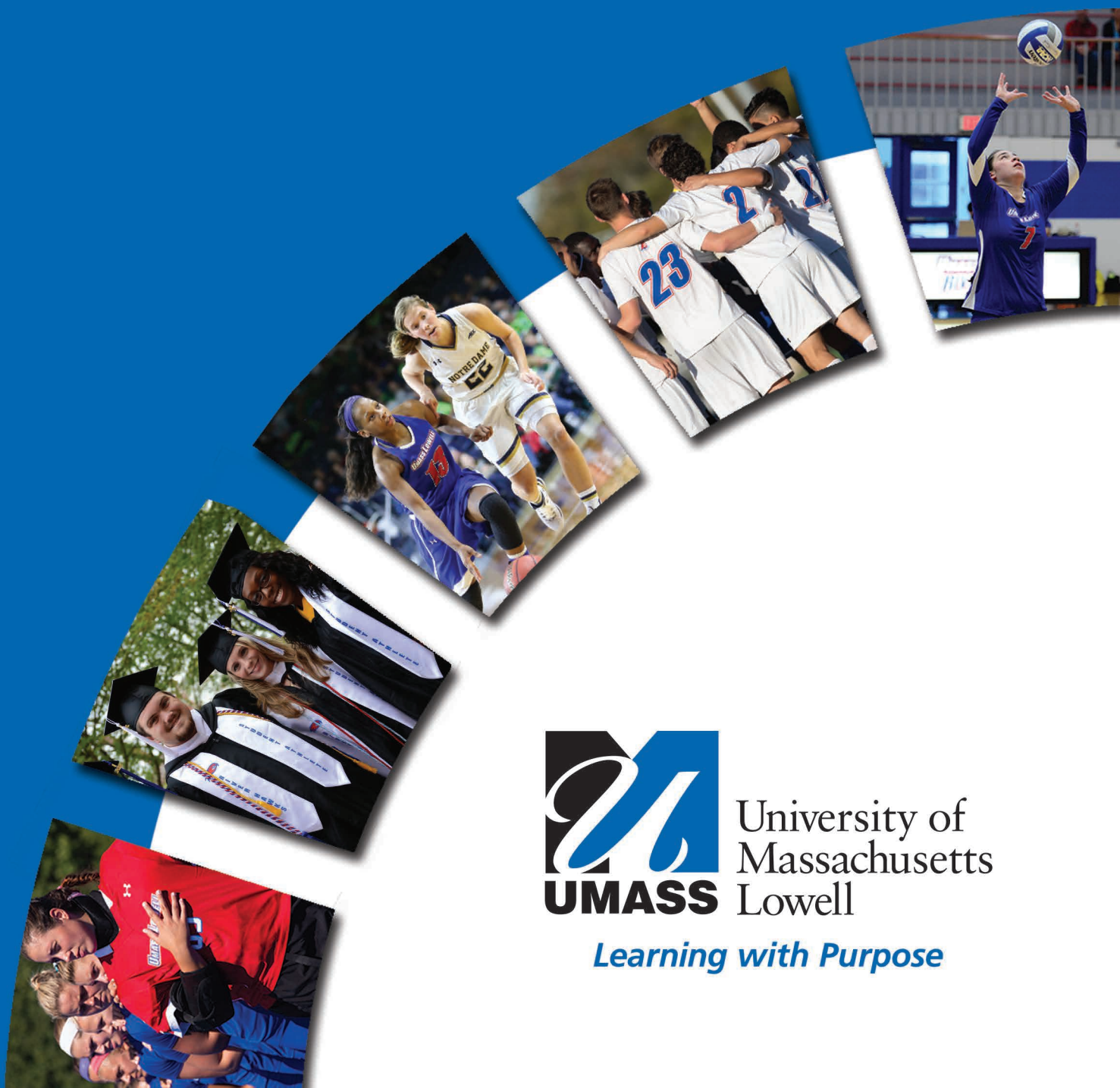


NCAA DIVISION I INSTITUTIONAL PERFORMANCE PROGRAM SELF-STUDY

Submitted May 2016 by UMass Lowell
Dr. Jacqueline Moloney, Chancellor
Dr. Don Pierson, Chair IPP Steering Committee



University of
Massachusetts
Lowell

Learning with Purpose

SELF-STUDY INSTRUMENT



2015-16
NCAA® Division I
Institutional Performance Program
Self-Study Instrument for Reclassifying Institutions

2015-16

RECLASSIFYING INSTITUTIONS

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Introduction to Self-Study Report

Institutional Information

University of Massachusetts Lowell (aka UMass Lowell)

1 Type of institution

Public Private

2 Year institution was founded:

1894/ Joins UMass system in 1991

3 Special affiliation (e.g., religious, military)?

Yes No

4 Coeducational?

Yes No

5 Total student enrollment (undergraduate and graduate combined) [using a full-time equivalency basis]:

12,259

6 Number of faculty [using a full-time equivalency basis]:

611

7 Highest level of academic degree offered:

Doctorate

8 Institution's governing entity (e.g., board of trustees):

University of Massachusetts Board of Trustees

a. Regional accreditation agency: New England Association of Schools and Colleges (NEASC)

b. Date of most recent regional accreditation self-study: 2014

c. Current accreditation status: Accredited

Athletics Information

1 Subdivision status of athletics program:

FBS FCS Division I (without football)

2 Conference affiliation(s) or independent status:

America East Conference (“America East”) and Hockey East Association (“Hockey East”), a previously established affiliation of men’s ice hockey since 1985.

3 Athletics program structure (check all that apply):

- One combined department of athletics.
 Separate men’s and women’s departments.
 Incorporated unit separate from institution.
 Department within a physical education division.

4 Date of NCAA major infractions case(s) (if any) in the last 10 years and impact (if any) on the areas of the Institutional Performance Program.

None

5 Other significant events (with dates) in the history of intercollegiate athletics program in the last 10 years.

- 2005: Field hockey team wins NCAA Division II National Championship – the university’s first-ever women’s national championship.
- 2010: Field hockey team wins, for the second time, NCAA Division II National Championship.
- 2010: Jacqui Barrett wins NCAA Individual Women’s National Championship in shot put.
- 2011: Ownership of the Tsongas Arena is transferred from the city of Lowell to UMass Lowell. Arena is renamed the Tsongas Center at UMass Lowell and undergoes \$12 million in renovations.
- 2012: Field hockey team competes in sixth consecutive NCAA Division II National Championship.
- 2013: UMass Lowell makes the decision to reclassify from Division II to Division I and, with board of trustees approval, implements an incremental student fee to support transition.

INTRODUCTION TO SELF-STUDY REPORT

ATHLETICS INFORMATION

- 2013: UMass Lowell is accepted into the America East Conference.
- 2013: University commits \$2.4 million to upgrade athletic fields.
- 2013: UMass Lowell captures its first Hockey East regular-season and tournament championships since entering the conference in 1985. Team also makes its first-ever appearance in the NCAA Frozen Four.
- 2014: University commits \$3.3 million to renovate Costello Athletic Center, including construction of a new academic center, athletic training facility and upgrade of locker rooms.
- 2014: UMass Lowell starts men's and women's lacrosse programs, both sports of emphasis in the America East Conference.
- 2015: Field hockey, as a fast-tracked sport, becomes an active member of Division I.
- 2016: Men's Cross Country wins first America East Conference Championship

6 Changes in key senior-level positions, institutional or athletics program in the last 10 years.

Chancellor:

- William Hogan 1981 – 2006
- David MacKenzie (Interim) 2006 – 2007
- Martin T. Meehan 2007 – 2015
- Jacqueline Moloney 2015 – Present

Provost:

- John Wooding 2003 – 2007
- Donald Pierson 2007 – 2008
- Ahmed Abdelal 2008 – 2015
- Donald Pierson 2015 – July 2016
- Michael Vayda Beginning July 2016

Executive Vice Chancellor:

- Jacqueline Moloney 2007-2015

Vice Chancellor for Finance and Operations:

- Louise Griffin 2004-2008
- Joanne Yestramski 2008 – Present

Vice Chancellor of University Relations:

- Patricia McCafferty 2011- Present

INTRODUCTION TO SELF-STUDY REPORT

ATHLETICS INFORMATION

Vice Chancellor for Advancement:

- Matthew Eynon 2004 – 2008
- Elizabeth Shore 2008 – 2010
- Edward Chiu 2010 – 2015
- John Feudo 2015 – Present

Deputy Athletic Director:

- Peter Casey 2013 – Present

Associate Athletic Directors:

- Joan Lehoullier (SWA/Internal Operations) 1993 – 2014
- Kristi Stake (Compliance/Academics) 2008 – 2015
- Tracy Ellis-Ward (SWA/Internal Operations) 2013 – 2015
- Scott Dolch (External Operations) 2013 – 2015
- Sandra Niedergall (SWA/Compliance) 2015 – Present
- Eric Allen (Corporate Sales) 2007 – Present
- Peter Souris (Communications) 2014 – Present
- Alan Zebrak (Facilities and Operations) 2013 – Present
- Christina Stone (Business Operations) 2008 – Present
- Christine Smith (Academic Services) 2015 – Present

Faculty Athletic Representative (change as of June 2016)

- Dr. Robert Gamache 2008 – 2012
- Dr. John Ting 2012 – 2013
- Stephen McCarthy 2013 – Present

UMass Lowell's faculty athletics representative, Dr. Stephen McCarthy, was given oversight of a new academic program in June of 2016 and will be stepping away from his role as FAR. The university will appoint an individual to serve as the FAR from among the faculty members who serve on one of the three IPP subcommittees. Dr. McCarthy is expected to participate in the NCAA IPP peer review team visit to campus in September 2016, as is his replacement.

7 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) in the last 10 years.

Significant and positive changes impacting UMass Lowell and its athletic programs began in 2007 upon the hiring of Marty Meehan as chancellor. A former member of Congress and graduate of UMass Lowell, Meehan was a strong supporter of the university's sports programs and possessed extensive and varied experience, as well as ambitious plans to elevate the university in all areas. He immediately assembled a talented senior staff (including current chancellor, Jacqueline Moloney, who served as executive vice chancellor during the Meehan administration) and began a campus wide strategic-planning process resulting in numerous notable achievements in the years since, including:

- A 50 percent increase in student enrollment;
- Improvement in academic success among students, as evidenced by significantly increased graduation and freshman retention rates;
- Significant rise in the academic credentials of incoming students as evidenced by a more than 100-point increase in the average SAT score. The fall 2015 average SAT score was 1173 and the average GPA increased to 3.54 for incoming students;
- The opening of 12 new buildings on campus, including academic and research facilities, new residence halls, a new state-of-the-art student center and the Tsongas Center at UMass Lowell;
- Since 2010, UMass Lowell has been ranked in U.S. News & World Report's Best National Universities as "Top Tier" among all national universities, with the third-fastest climb – 27 spots – in those rankings over the past five years;
- A more entrepreneurial model of operation resulting in an increase in annual generated revenues for athletics from 2006 to 2014 of more than \$1 million and overall increased financial stability of the athletics program;
- Reclassification of the athletic program from Division II to Division I as a member of the America East Conference.

Institutional Performance Program Self-Study Information

1 Steering committee chair (name and title).

Donald Pierson, Ph.D., provost

2 Report coordinator (name and title).

Maria Sheehy, assistant to the provost for faculty affairs and compliance

3 Campus contact (name and title).

Victoria Denoon, senior assistant to the provost and special project coordinator

4 Institutional Performance Program liaison (name and title).

Sandra Niedergall, senior associate athletic director/SWA

5 Describe the extent of broad-based participation of campus constituencies in the self-study.

Specifically, report on the opportunities that were provided to various individuals or groups in the broad-campus community to: (a) offer input into the self-study report before findings and plans for improvement were formulated; and (b) review the self-study report after it was drafted.

In 2012, a comprehensive strategic-planning process, which engaged virtually every campus constituency, included an assessment of the university's intercollegiate athletics program. Its final report in January 2013 recommended that the university begin aligning with its peer institutions by reclassifying all sports to NCAA Division I. Reclassification to Division I status would be a pivotal element in future strategies designed to increase enrollment, broaden institutional visibility, heighten the vitality of campus life and expand student diversity.

Many of the same campus constituencies involved in the strategic-planning process that recommended reclassification to Division I have been fully engaged in the current IPP self-study process. More than 70 members of UMass Lowell faculty, staff, students and alumni have served on the steering committee and three subcommittees to complete this self-study. Subcommittee chairpeople were selected based on their expertise in particular program areas. To obtain information needed to complete the self-study, surveys of all student-athletes and coaches were conducted and interviews were held with a broad group of campus faculty, staff, students, alumni and donors.

INTRODUCTION TO SELF-STUDY REPORT

INSTITUTIONAL PERFORMANCE PROGRAM SELF-STUDY INFORMATION

The following steps were taken to ensure communication, transparency and to encourage input throughout the reclassification process:

- A website uml.edu/NCAA - was developed and maintained including frequent progress updates from the chancellor, meeting agendas and minutes, and other information pertaining to the process;
- The university community was regularly informed via periodic emailed announcements;
- As virtually every unit on campus was represented on the self-study committees, staff in each area had numerous opportunities to provide input;
- The athletic director conducted question-and-answer sessions about the Division I process on the UNITEDINBLUEFUND website.

In April 2016, drafts of the self-study and the gender issues and diversity plans were posted on the Division I self-study website. An email informed the campus community about the self-study and plans, and requested feedback. The athletic director and the steering committee chairman attended meetings of the Student Government Association, Faculty Senate, and the Intercollegiate Athletics Council to further provide updates and encourage input.

6 Provide an electronic copy of the institution's written plan for conducting the self-study.

Please see Appendix A.

7 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 most recent versions.

UNIVERSITY'S MISSION AND 2020 STRATEGIC PLAN PILLARS OF EXCELLENCE:

A Public Research University Committed to Excellence

The University of Massachusetts system's mission is to provide an affordable and accessible education of high quality and to conduct programs of research and public service in order to advance knowledge and improve the lives of the people of the commonwealth, the nation and the world.

In 2010, UMass Lowell embarked on a strategic-planning process to craft a bold vision for the future and craft a road map to achieve our ambitious goals by 2020. At the mid-point of this 10-year plan in 2015, UMass Lowell revitalized the original plan articulating our mission as a public research university committed to excellence in teaching, research and community engagement. The university is dedicated to transformational education that fosters student success, lifelong

learning and global awareness. UMass Lowell offers undergraduate and graduate academic programs that are affordable, experience-based and taught by internationally recognized faculty who conduct research to expand the horizons of knowledge. These programs span and interconnect the disciplines of business, education, engineering, fine arts, health, humanities, sciences and social sciences. UMass Lowell continues to build on its founding tradition of innovation, entrepreneurship and partnerships with industry and the community to address challenges facing the region and the world.

UMass Lowell Pillars of Excellence

I. Transformational Education

Experiential and trans-disciplinary learning prepare UMass Lowell students for fulfillment and making a difference in the world;

II. Global Engagement and Inclusive Culture

Dynamic, global collaborations around the world support student and faculty exchanges, research and other entrepreneurial enterprises. These initiatives will contribute to the development of an inclusive campus culture;

III. Innovative Research and Entrepreneurship

UMass Lowell fosters innovative and creative research and scholarship that seeks sustainable solutions to the major challenges in today's world;

IV. Leverage Our Legacy and Our Place

UMass Lowell is a public enterprise committed to building on our legacy by creating partnerships, locally, regional, nationally and internationally, that enrich and sustain the human experience; and

V. Entrepreneurial Stewardship in Higher Education

An entrepreneurial approach to stewardship of human, physical and financial resources will be the hallmark of UMass Lowell's approach to building a healthy and sustainable future.

ATHLETIC DEPARTMENT'S MISSION, VALUES AND PLEDGES

Mission - To conduct an intercollegiate athletic program that inspires student-athletes to achieve excellence in their academic and athletic pursuits; emphasizes character, courage and respect; and creates a sense of pride for the campus and community. This mission is accomplished and further articulated through the following core values and pledges:

Values

- **Respect** We represent character, courage and respect, and use these traits to build a foundation of trust and inclusiveness;
- **Innovation** We embrace entrepreneurship and innovation to boost competitiveness and capitalize on diverse ideas;
- **Engagement** We embrace the opportunity to enrich the undergraduate experience through engagement on campus and in the community;
- **Collaboration** We emphasize generosity, sharing and openness;
- **Excellence** We will be accountable and provide the resources needed for coaches, staff and student-athletes to thrive and reach their full potential.

Pledges

- Develop 21st century leaders;
- Attain academic success;
- Achieve competitive excellence;
- Cultivate a culture of accountability;
- Ensure financial stability;
- Enhance the university brand;
- Instill unity and River Hawk pride.

The complete [UNITEDINBLUE](#) athletic strategic plan, which was updated in 2016, will be made available in fall 2016 for the peer review team members.

Introduction To Self-Study

Appendices

Appendix A: Self-Study Written Plan



University of Massachusetts Lowell
DIVISION I Institutional Performance Program (IPP)
Self-Study Written Plan

SUBMITTED - AUGUST 2015

INTRODUCTION

The University of Massachusetts Lowell was accepted as a member of Division I and the America East Conference in 2013, beginning a four-year reclassification process. Completing the Division I *Institutional Performance Program (IPP) Self-Study* is required in Year 4 of the transition process.

The IPP self-study process affords the University the opportunity to conduct a formal review of the entire athletic program by providing the framework to assess current practices and future plans in the three areas identified by the NCAA: governance and commitment to rules compliance, academic integrity, and gender/diversity and student-athlete well-being. Key to the self-study process is the opportunity to broaden campus-wide awareness of the positive role that intercollegiate athletics can play to support university goals with regard to increasing enrollment and student diversity, broadening exposure, and creating a more vibrant campus environment.

This self-study initiative is to be a comprehensive evaluation to make certain the intercollegiate athletics program is operating in accordance with the mission statements of both the University and the Athletics Department. To ensure campus-wide engagement, UMass Lowell alumni, faculty, staff and students have agreed to serve as committee members and participate fully in the self-study process.

Primary goals of the NCAA Division I Self-Study

1. Ensure that the core values of the University and the Athletic Department are one and the same and the goals of the University's Vision 2020 Strategic Plan are embodied in the actions of the Athletic Department.
2. Conduct a comprehensive assessment of Athletic Department operations to ensure compliance with the letter and spirit of NCAA Operating Principles in the areas of academic integrity, governance and rules compliance, and gender/diversity and student-athlete well-being.
3. Fully engage the entire University campus community, including faculty, staff, students, President's Office, and alumni.
4. Utilize the IPP self-study process to inform the University's on-going Division I strategic planning.
5. Develop specific action plans that identify areas of excellence as well as opportunities to adopt best practices where needed.
6. Successfully complete the IPP self-study process so as to receive a decision of "successful completion" from the NCAA Committee on Institutional Performance.

1

Major Components of Institutional Study

1. Appointment of Steering Committee Chair

Chancellor Jacqueline Moloney appointed Dr. Donald Pierson, current Interim Provost, as chair of the IPP self-study steering committee. Dr. Pierson has served the university as Professor of Education, Dean of the Graduate School of Education and Vice Provost for Graduate Education. He also served as a member of the university's Athletics Committee for many years and was appointed by the Chancellor to chair the Vision 2020 strategic planning process that resulted in the recommendation to pursue reclassification to NCAA Division I. Dr. Pierson has full authority and complete access to the Chancellor.

2. Appointment of IPP Steering Committee and Sub-Committee Members

UMass Lowell is presently in its third year of a transition from Division II to Division I. The University is utilizing the IPP self-study process to educate the entire campus about Division I, and appointments to the steering committee and three sub-committees were intended to assist in reaching that goal

Sub-committee notes:

- The steering committee includes the chancellor, faculty athletics representative, athletic director, the director of equal opportunity & outreach/Title IX coordinator, and the senior women's administrator (SWA). The SWA also serves as the Institutional Performance Plan liaison.
- The steering committee members are individuals with significant responsibilities in the Athletics Department as well as the key administrative units across campus.
- Approximately 75 individuals from the University community have agreed to serve on the IPP steering committee and three subcommittees. Their names and titles are listed below.
- Membership includes representatives of the general student body and the Athletic Department's Student-Athlete Advisory Committee (SAAC).
- Per requirements, no individual serving as a committee appointee or sub-committee chair is a member of the Athletic Department, and the three sub-committee chairs are members of the steering committee.
- Extensive dialog has occurred with the committee members and each understands the significance of the IPP self-study process and the time commitment required to serve.
- Each of the committees has access to the information necessary to complete their portions of the self-study.

Steering Committee Members:

Jacqueline Moloney – Chancellor*
 Don Pierson – Committee Chair – Interim Provost*
 Dana Skinner – Director of Athletics*
 Sandra Niedergall – Senior Associate Athletic Director for Compliance/SWA*
 Clara Orlando – Director of Equal Opportunity & Outreach/Title IX Coordinator*
 Stephen McCarthy – Faculty Athletics Representative*
 Lauren Turner – Associate Vice Chancellor for Human Resources and Equal Opportunity & Outreach*
 Amanda Robinson – UMass Lowell Student Trustee

Taelour Murphy – Cross Country, Track & Field Student-Athlete*
 Ed Chiu – Vice Chancellor for University Advancement
 Patricia McCafferty – Vice Chancellor for University Relations
 Joanne Yestramski – Vice Chancellor for Finance & Operations
 Larry Siegel – Associate Vice Chancellor for Student Affairs & University Events
 Jeffrey Courmoyer – Executive Director of Public Affairs
 Tom Taylor – Dean of Enrollment & Student Success
 Maria Sheehy – Assistant to the Provost for Faculty Affairs & Compliance
 Jon Geanakos – UMass Lowell Alumnus
 Peter Michelson – Legal Counsel to the President’s Office
 John Ting – Vice Provost for Enrollments
 Julie Alig – Director, Institutional Research
 Michael Carter – Professor & Chair of Economics Department
 Kristine Botto Drust – UMass Lowell Alumna
 James Canning – Dean, Honors College & Associate Professor of Computer Science
 Sima Suon – Cross Country, Track & Field Student-Athlete
 Jared Zaniewski – Men’s Lacrosse Student-Athlete

*Sub-Committee Members

GOVERNANCE & RULES COMPLIANCE SUBCOMMITTEE

Lauren Turner, Chair	Associate Vice Chancellor, Human Resources & EEO
Michelle Bazin	Lecturer, Legal Studies
Michael Carter	Associate Professor & Chair, Economics & President of Faculty Senate
Peter Casey	Deputy Athletics Director
Connor Doyle	Cross Country, Track & Field Student-Athlete
Lauren Dufresne	Associate Registrar
Joseph Hartman	Dean, College of Engineering
Shannon Hlebichuk	Head Coach, Women’s Field Hockey
Christine Gillette (<i>Recorder</i>)	Director of Media Relations
Alex Gonzalez	Assistant Director, Financial Aid
Joseph Hartman	Dean, Francis College of Engineering
Shannon Hlebichuk	Head Coach, Women’s Field Hockey
Sandra Niedergall	Senior Associate Athletics Director
Athanasia Petsis	Women’s Soccer Student-Athlete
Nancy Ritchie	Budget Director, Budget and Financial Planning
Michael Rutherford	Director of Employee and Labor Relations
Frank Talty	Assistant Dean, Fine Arts, Humanities & Social Sciences
Mark Tries	Associate Professor, Physics

ACADEMIC INTEGRITY SUBCOMMITTEE

John Ting, Chair	Vice Provost for Enrollment
Todd Avery	Associate Professor, English
Kerry Donohoe	Registrar
Paula Haines (<i>Recorder</i>)	Director of Assessment
Brooke Hargreaves-Heald	Associate Professor, Management
Ken Haring	Head Coach, Baseball
James Kohl	Dean of Student Affairs & Enrichment
Christine Lewis	Research Data Analyst, Office of Institutional Research
Erika Lewis	Associate Professor, Physical Therapy & Faculty Senate Executive Board
Eric Martin	Men's Soccer Student-Athlete
Steve McCarthy	Faculty Athletics Representative
Sheila Riley-Callahan	Executive Director of Academic Services & Special Programs
Ruben Sanca	Student Affairs Business Manager
Edward Secro	Associate Director of Undergraduate Admissions
Christine Smith	Associate Athletic Director for Student-Athlete Academic Services
Stacy Szczeziul	Assistant Professor, Leadership in Schooling, Graduate School of Education
John Ting	Vice Provost for Enrollments
Jontay Walton	Women's Basketball Student-Athlete

GENDER EQUITY/DIVERSITY ISSUES/STUDENT-ATHLETE WELL BEING SUBCOMMITTEE

Thomas Taylor, Chair	Dean of Enrollment & Student Success
Rachel Campbell (<i>Recorder</i>)	Student Affairs Assistant
Annie Ciaraldi	Associate Dean of Students
Brenda Evans	Dean, Student Affairs & Event Services
Kelsey Federico	Field Hockey Student-Athlete
Max Frawley	Baseball Student-Athlete
Gary Gardner	Head Coach, Men's/Women's Track & Field/Cross Country
Jody Goldstein	Director of Disability Services
Kareem Jordan	Associate Professor, Criminology & Justice Studies
Phil Kim	Associate Professor, Marketing, Entrepreneurship & Innovation
Jason Lawrence	Associate Professor, Psychology
Steve Mishol	Associate Professor, Art
Melissa Mullen	Police Lieutenant
Steve Norton	Assistant Dean, College of Science
Clara Orlando	Director, Equal Opportunity & Outreach
Kristen Ribbons	Assistant Athletic Trainer
Somenis Rivera	Senior Assistant Director, Financial Aid Office
Kerry Siebert	UMass Lowell Alumna
Jacklyn Solimine	Cross Country, Track & Field Student-Athlete
Keith Vinci	Assistant Athletic Director, Sports Performance
Tom Wilson	Associate Professor, Clinical Laboratory & Nutritional Sciences
Leslie Wong	Director of Multicultural Affairs

Responsibilities of Steering Committee and Subcommittees

All steering committee and subcommittee members came together for an IPP self-study introductory meeting and luncheon in November of Year 2 of the transition. The responsibilities of the steering committee and three sub-committees were clearly communicated by the chancellor and each committee member received NCAA materials relevant to the self-study process.

1. Self-Study Steering Committee Responsibilities

- Closely monitor the progress of the subcommittees' completion of the self-study
- Review the University's Division I strategic plan to assess progress and make recommendations in areas identified for improvement.
- Lead the initiative to engage the entire university and broader community in the self-study process.
- Review various reports and conclusions/recommendations of the subcommittees.
- Ensure transparent self-study process and publicize in a comprehensive manner.
- Produce and publicize final self-study report.

2. Steering Committee Chair Responsibilities

- Coordinate the collection and organization of relevant data needed to complete the self-study.
- Coordinate activities of the three subcommittees, including consultation and communication to the university community and steering committee.
- Maintain written records of:
 - All committee meetings including dates and attendance.
 - Invitations to members of the subcommittees and steering committee to comment on draft reports.
 - Communication with approved non-university sources utilized to assist in development of reports.

3. Subcommittee Responsibilities

- Research and organize relevant data to respond to self-study questions.
- Ensure effective communication across campus.
- Collect input from appropriate campus constituents.
- Ensure written records are maintained of all meetings.
- Ensure the steering committee members as well as the broader university committee is provided opportunities to review self-study findings.
- Formulate conclusions and recommendations based on the work of the subcommittees and feedback received during review process.
- Write the draft report for respective section of the self-study and submit to the IPP self-study reporter.

Self-Study Report

1. Campus Contact

Victoria Denoon has been appointed Campus Contact. Ms. Denoon reports directly to the Interim Provost and IPP Self-Study chair, Dr. Donald Pierson. She will be responsible for coordinating all preparations for the IPP evaluation visit, including lodging and travel for peer-review team members, scheduling interviews, securing meeting space, addressing IT needs, coordinating with Aramark, and communicating with the IPP steering committee.

2. IPP Reporter

Maria Sheehy, Assistant to the Provost for Faculty Affairs and Compliance, has been appointed Report Coordinator. Prior to her position at Lowell, Ms. Sheehy served for sixteen years as the Assistant City Solicitor for the City of Lowell, Massachusetts. She was the report coordinator for the university's successful NEASC accreditation in 2013.

Ms. Sheehy will work closely with the three sub-committee reporters to write the self-study report to ensure clarity and consistency in formatting.

3. Institutional Performance Program Liaison

Sandra Niedergall has been appointed as the Institutional Performance Program Self-Study Liaison. Ms. Niedergall is the Athletic Department's SWA and Senior Associate Athletic Director. She started employment at UMass Lowell in 2015, having worked for almost twenty years in compliance at Division I institutions. Ms. Niedergall came to Lowell from Old Dominion University, where she served as the Associate Athletic Director for Compliance and played an essential role during Old Dominion's elevation from FCS to FBS status in football.

Ms. Niedergall will ensure all requirements of the IPP self-study process are met. In addition, she will monitor the progress of the institution's plans for improvement developed during the process.

4. Subcommittee Chairs

- *Governance & Rules Compliance* – Lauren Turner, Associate Vice Chancellor, Human Resources and Equal Opportunity & Outreach
- *Academic Integrity* – Dr. John Ting, Vice Provost for Enrollments
- *Gender Equity Diversity Issues Student-Athlete Well Being* - Thomas Taylor – Dean of Enrollment & Student Success

NOTE: Subcommittee chairs are responsible for providing staff to support their sub-committee work.

5. Conference Assistance/Outside Individuals or Agencies

UMass Lowell is a member of the America East Conference. As such, Mary Mulvenna was appointed by the conference commissioner to provide assistance to the University during the IPP process. Ms. Mulvenna, Assistant Commissioner for Compliance, responsible for NCAA governance & compliance, student-athlete engagement, and serves as the conference liaison to the SAAC.

Outside Consultant – The NCAA Division I Committee on Institutional Performance approved an outside consultant - Ms. Janet Judge of Sports Law Associates - to assist with the development of the gender-issues plan in accordance with Operating Principle 3.1. Ms. Judge will not write the plan but will gather data and provide recommendations to the university.

6. Self-Study Communication Plan

The IPP self-study communication plan is designed to ensure that all university stakeholders are well informed about the process and outcomes, and are provided opportunities to participate and provide input and feedback.

Objectives of the Communication Plan:

- Identify key spokespeople and develop consistent and clear messages throughout the IPP process.
- Provide timely, accurate information about the IPP self-study process to the entire university communication.
- Communicate regularly with the steering committee on the sub-committee's process.
- Produce an IPP self-study link on the University's website and ensure the site includes all pertinent information, timelines, meeting minutes, and news about current issues impacting Division I.

Key Target Audiences for IPP Self-Study Process:

- UMass President's Office and Board of Trustees
- Faculty & Staff
- Student Body Including Student-Athletes
- Chancellor's Cabinet
- Student-Athlete Advisory Committee (SAAC)
- Student Government Association
- Alumni Association
- Broader UMass Lowell community

External Communications Vehicles:

- IPP Self-Study website link
- University student newspaper and radio station
- Athletics publications
- River Hawk Club newsletter
- *UMass Lowell Today* daily notice

7. Schedule of IPP Self-Study Meetings/Reports

- All scheduling will be communicated through Microsoft Exchange Outlook Calendars. Ms. Niedergall will work with the committee chairs to coordinate meetings dates.
- It is expected that meetings will be scheduled every other week for the three subcommittees. Additional meetings will be scheduled as needed.
- The steering committee will meet once a month through December, 2015 and once every three weeks January through April, 2016.

- *Minutes and Agendas:*
 - Assisted by Ms. Niedergall, the report coordinator (Maria Sheehy) will coordinate with the sub-committee reporters the collection and maintenance of committee meeting minutes and agendas.
 - Meeting minutes and agendas will be made available on the university's IPP self-study website located on the main university website with the primary link on the athletic department's website.
- *Report Draft:*
 - Each subcommittee has a designated reporter who is responsible for organizing the subcommittee report information and coordinating with the report coordinator to complete the subcommittee portion of the final self-study report.
 - The steering committee shall monitor the progress of the three subcommittees to ensure timely and accurate completion of the report drafts. The steering committee chair will provide regular updates to the Chancellor's Cabinet.
 - The report coordinator shall continue to monitor subcommittee report progress and ensure proper formatting and compatibility.

8. Institutional Guidelines for Writing and Editing the Self-Study Report

- As previously mentioned, each subcommittee has a reporter who is responsible for the preparation of the subcommittee portion of the report.
- The steering committee chair will have responsibility for the overall report, and the report coordinator for the self-study document, Maria Sheehy, is responsible for writing and editing the final report. Ms. Sheehy will ensure that the final written report will be clear and concise and adhere to the order of the self-study items listed in the *Handbook* and the *Self-Study Instrument*.
- The steering committee will review the report, be responsible for verifying any improvement plans, and approve the final document. The final report will also be reviewed by the Chancellor's executive cabinet and the UMass President's Office prior to the submission date.

NOTE: Budgetary, clerical, facility, and other support necessary to facilitate the self-Study and the report will be provided as necessary.

9. Outline and Schedule for Completion of the Self-Study:

Date	Activity
April 2014	<ul style="list-style-type: none"> ○ Chancellor Martin Meehan appoints Vice Provost of Faculty Affairs, Dr. Donald Pierson, as IPP steering committee chair ○ Tracy Ellis-Ward named as Campus IPP Liaison, Maria Sheehy report coordinator. ○ Subcommittee chairs appointed - Academic Integrity - John Ting (Vice-Provost for Enrollment); Governance & Rules Compliance - Lauren Turner (Associate Vice Chancellor, Human Resources & EOO); Gender Equity/Diversity Issues/Student-Athlete Well-Being – Thomas Taylor (Dean of Enrollment & Student Success) ○ Leadership team (steering committee chair, Athletic Director, IPP Liaison & Report Coordinator) develop plan and structure for conducting self-study. Mira Zimmerman provides guidance.
April 30, 2014	<ul style="list-style-type: none"> ○ Mira Zimmerman visits UMass Lowell campus to meet with IPP committee members to review 4-year transition process. ○ Committee membership is reviewed and adjusted to ensure broader campus participation.
November, 2014	<ul style="list-style-type: none"> ○ Chancellor sponsors IPP committee luncheon to charge the group and introduce IPP responsibilities. ○ UMass Board of Trustees receives overview of IPP process at Athletics subcommittee meeting.
May-August, 2015	<ul style="list-style-type: none"> ○ Mira Zimmerman conducts conference call with Chancellor, IPP Chair, IPP Liaison, and Athletic Director to clarify expectations of her campus visit in August 2015. ○ Draft IPP Written Plan reviewed by self-study reporter and subcommittee reporters. ○ Steering committee chair provides the steering committee members the following preliminary information for review: <ol style="list-style-type: none"> 1. Written plan draft 2. Tentative Outline and Schedule 3. NCAA Self-Study Instrument 4. NCAA Certification Handbook 5. Mission Statement for Intercollegiate Athletics ○ Chancellor Martin Meehan selected as President of UMass system, Executive Vice Chancellor selected as new Chancellor, effective August 3, 2015.

APPENDIX A

UMASS LOWELL SELF-STUDY WRITTEN PLAN

August 25, 26	<ul style="list-style-type: none"> ○ Mira Zimmerman visits campus to begin self-study process.
September, 2015	<ul style="list-style-type: none"> ○ The University's marketing and communications office announces the IPP self-study process through a press release and promotes IPP website link. ○ Subcommittees to begin formal meetings, delegate responsibilities, and begin work on subcommittee self-study report. ○ SAAC is briefed on IPP process and desired outcomes.
September-January, 2016	<ul style="list-style-type: none"> ○ Subcommittees continue work on self-study reports; and ○ Steering Committee meets to monitor progress.
February-March, 2016	<ul style="list-style-type: none"> ○ Subcommittees complete final reports ○ Subcommittee reports submitted to the steering committee chair and report coordinator
March, 2016	<ul style="list-style-type: none"> ○ Steering committee reviews subcommittee self-study reports and the report coordinator assembles overall self-study report; and ○ The Chancellor updates the UMass Board of Trustees on the process.
Early to mid-April, 2016	<ul style="list-style-type: none"> ○ Self-study report is shared with campus community and open forums conducted to elicit feedback.
Late to mid-April/Early May	<ul style="list-style-type: none"> ○ Self-study document is revised based on campus community feedback, completed and presented to the Chancellor's Cabinet ○ The Chancellor and steering committee chair shall confirm final report approval, as well as approval for any plans for improvement developed during the self-study process.
May 15, 2016	<ul style="list-style-type: none"> ○ Final self-study document is submitted to the NCAA.
June 2016	<ul style="list-style-type: none"> ○ Steering committee addresses any amendments or revisions per the initial feedback from the staff liaison.
Fall 2016	<ul style="list-style-type: none"> ○ NCAA full committee reviews IPP self-study report and provides a list of areas of focus in advance of the 2017 peer-review team visit.

APPENDIX A

UMASS LOWELL SELF-STUDY WRITTEN PLAN

Fall 2016	<ul style="list-style-type: none">○ Peer review team campus visit
February 2017	<ul style="list-style-type: none">○ NCAA Committee reviews IPP Self-Study and campus visit information.
March 2017	<ul style="list-style-type: none">○ Committee renders final decision on “successful completion” of self-study process.
March 2017	<ul style="list-style-type: none">○ Submit final materials to the Administrative Cabinet for reclassification, completing fourth and final year of change of division process.

Governance And Commitment To Rules Compliance

Operating Principle 1.1

Operating Principle 1.2

Appendices



University of
Massachusetts
Lowell

Learning with Purpose

Governance and Commitment to Rules Compliance

Operating Principle 1.1

Institutional Control, Presidential Authority and Shared Responsibilities

The Association's principle of institutional control vests in the institution the responsibility for the conduct of its athletics program, including the actions of its staff members and representatives of its athletics interests. In fulfilling this principle, the institution shall demonstrate that:

- a. The institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution.
- b. The chancellor or president is assigned ultimate responsibility and authority for the operation, fiscal integrity and personnel of the athletics program.
- c. Appropriate campus constituencies have the opportunity, under the purview of the chancellor or president, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies.

Self-Study Items for Operating Principle 1.1

- 1 Describe how the institution's chancellor or president maintains clear and direct oversight of the athletics program, including a description of reporting lines from the athletics director to the chancellor or president.**

Measurable Standard No. 1

The chancellor or president must have and demonstrate clear and direct oversight of the athletics program.

The chancellor of the University of Massachusetts Lowell, appointed by the president of the UMass system with approval by the UMass Board of Trustees, is responsible for the ultimate oversight of the university and the Department of Athletics.

The director of athletics reports to the chancellor and has regularly scheduled meetings on all matters related to the institution and, in particular, administration of the Department of Athletics. Direct access is available to address issues that are time-sensitive in nature. The director of athletics is also a member of the chancellor's senior leadership team, which meets regularly

GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE

OPERATING PRINCIPLE 1.1

throughout the academic year for the purposes of sharing information and planning relative to budgets, personnel, enrollment and all other matters that have an impact on the university.

The chancellor also maintains clear and direct oversight of the athletics program through her active involvement in the processes for hiring head coaches for men's ice hockey and both men's and women's basketball. The chancellor regularly attends scheduled games and competitions, awards banquets and athletic alumni events throughout the year. The chancellor personally addresses the importance of NCAA compliance and achieving both athletic and academic success through annual meetings with athletics staff members, participation in annual coaches' gatherings, and speaking and engaging with student-athletes at the annual fall student-athlete orientation and barbecue.

The chancellor appoints the faculty athletics representative (FAR), who works closely with the director of athletics, Department of Athletics staff and coaches and the Faculty Senate to monitor academic issues relative to student-athletes and ensure high academic standards for all student-athletes. The FAR reports directly to the chancellor on all matters related to athletics.

The chancellor further maintains oversight of the athletics program through the Intercollegiate Athletic Council (IAC), which was established in March 2016 to replace what was formerly known as the Athletics Committee. IAC members are appointed by the chancellor. This body serves in an advisory capacity to the director of athletics and the chancellor.

Finally, the UMass Board of Trustees has established the system-wide Committee on Academic and Student Affairs (CASA), which conducts periodic reviews of the athletics programs at each of the four UMass campuses offering such programs.

2 In the last 10 years, list the major decisions made related to intercollegiate athletics. For each decision, explain the role and involvement (if any) of the:

- a) Chancellor or president;**
- b) Athletics board or committee;**
- c) Faculty senate (or other faculty governing body);**
- d) Student-athlete advisory committee;**
- e) Director of athletics;**
- f) Faculty athletics representative;**
- g) Senior woman administrator; and/or**
- h) Other individual(s) or campus constituencies.**

Several individuals and campus constituencies at UMass Lowell have a role in determining the direction of intercollegiate athletics and operation of the Department of Athletics. Ultimately, the

chancellor reviews, offers approval and forwards those proposals requiring further approval of the system's board of trustees or president.

Major Decision No. 1 - Enhancement of Hockey Program

The university's first major decision related to intercollegiate athletics was its 2007 decision to position the men's ice hockey program for greater success. While the team had been competing at the Division I level as a member of Hockey East since 1985, it had failed to compete consistently in the top half of the Hockey East Conference.

Key components of the strategy to upgrade hockey included:

- With assistance of an external firm, Collegiate Consultants, the university conducted a cost comparison of all Division I hockey programs and produced a revenue/expense plan designed to increase the university's financial commitment to hockey;
- The university secured transfer of ownership of the Tsongas Arena from the city of Lowell to UMass Lowell in 2010. Upon gaining ownership of the building, the university renamed the venue the Tsongas Center at UMass Lowell and invested approximately \$12 million in facility upgrades. The university's ownership, investment in and management of the Tsongas Center has resulted in a dramatic increase in attendance at hockey games and produced new revenue streams benefitting the athletics program. For the 2015-2016 season, UMass Lowell ranked first in Hockey East and eighth nationally in Division I hockey attendance;
- The university hired a new hockey coaching staff and now provides a level of support comparable to the more successful Division I hockey programs, including construction of a team performance center and video review room, the addition of full-time support staff and increased funding for recruitment and team travel.

Campus Involvement

a. Chancellor

Marty Meehan, who served as chancellor from 2007 to 2015, worked to establish consensus with the city of Lowell and state officials that resulted in the university securing ownership of the Tsongas Center in February 2010. Meehan also worked closely with the director of athletics to conduct a thorough search process for a new head hockey coach. UMass Lowell's current chancellor, Jacqueline Moloney, who previously served as executive vice chancellor, was also actively involved in this process.

b. Athletic Committee (Now the Intercollegiate Athletic Council)

Shortly after announcing its reclassification to Division I in 2013, the university made the decision to reconstitute the athletic committee. With more than 70 faculty and staff

members participating in the IPP self-study process, it was determined that the university would be best served in future years by an Intercollegiate Athletic Council (IAC) populated by the campus constituencies most engaged in the IPP process through service on one of the IPP sub-committees. The IAC was established in March 2016.

The university's athletic committee was kept informed and regularly updated on the progress of the chancellor's efforts to secure ownership of the Tsongas Center. This committee also reviewed plans to transform the facility into a more vibrant venue in order to better support university athletics as well as entertainment and other events for the campus and community.

c. *Faculty Senate*

Given the need to conduct negotiations in a confidential manner, the Faculty Senate was notified once ownership of the Tsongas Center was finalized.

d. *Student-Athlete Advisory Committee (SAAC)*

SAAC members were engaged in discussions about the future of the athletic program, including the university's plans to enhance the men's ice hockey program. Given the need to conduct negotiations in a confidential manner, the SAAC was notified once ownership of the Tsongas Center was finalized.

e. *Director of Athletics*

Director of Athletics Dana Skinner served on the Lowell Arena and Civic Stadium Commission, which oversaw the construction and management of the Tsongas Arena from 1998 to 2010. His role in helping to transfer ownership from the city to the university included participation in discussions with city and state officials, assisting the chancellor's efforts to secure the necessary community support, working with the university's facilities staff to conduct a thorough assessment of the condition of the arena, producing financial plans to ensure successful operation of the facility, assistance in developing the plan to complete \$12 million in renovations, and selecting and working with a national advertising agency to re-brand the facility as the Tsongas Center at UMass Lowell.

f. *Faculty Athletics Representative (FAR)*

The FAR was kept informed and regularly updated on the progress of the chancellor's efforts to secure ownership of the Tsongas Center.

g. *Senior Woman Administrator (SWA)*

The SWA was a member of the athletic director's leadership team and participated in

discussions about the Tsongas Center transfer.

h. Other individual(s) or campus constituencies

Other individuals and campus constituencies including city of Lowell officials, the UMass President's Office and members of the board of trustees were engaged throughout the university's efforts to secure ownership of the Tsongas Center.

Major Decision No. 2: Reclassification of Athletics to Division I

The most significant major decision related to intercollegiate athletics at UMass Lowell was the university's decision, in 2013, to reclassify its athletics program from Division II to Division I.

Campus Involvement

a. Chancellor

Marty Meehan, who served as chancellor of UMass Lowell from July 2007 to May 2015, was highly engaged throughout the Division I exploration process. It was the strategic-planning process initiated and overseen by Meehan and his leadership team that led to the decision to reclassify athletics to Division I. His presentations to UMass Lowell students, faculty, staff and the UMass board of trustees, were essential in obtaining broad-based support. In addition, as part of the planning process, the chancellor contracted with Collegiate Consultants (external consulting group) to complete a clear and thorough assessment of the university's athletics program and to produce a projected cost analysis of elevating to Division I.

Meehan was named president of the UMass system in May 2015 and in August 2015, Jacqueline Moloney, who served as executive vice chancellor during the Meehan administration, was selected to serve as UMass Lowell chancellor. She also played an essential role in the Division I strategic-planning process and her appointment as chancellor has ensured continued commitment to the reclassification initiative.

b. Athletics Committee (Now the Intercollegiate Athletic Council)

For confidentiality reasons, discussions around the strategy to pursue Division I status and membership in the America East Conference were confined to a small group of campus stakeholders and, therefore, the athletics committee had limited involvement. However, ultimately, this committee was supportive of the reclassification of the athletics program to Division I and membership in a conference comprised of peer institutions.

c. Faculty Senate

Following a presentation by then-Chancellor Meehan, the Faculty Senate executive board voted unanimously in favor of the university exploring reclassification of its athletics

programs to Division I. Subsequent Faculty Senate support for the ultimate decision to reclassify to Division I was secured in 2013, during the process of admission to the America East Conference.

In 2014, the full Faculty Senate approved a resolution establishing an academic policy relative to student-athlete classroom attendance and permitted absences due to regularly scheduled intercollegiate athletic contests.

d. *Student-Athlete Advisory Committee (SAAC)*

SAAC members were involved in the assessment of UMass Lowell's athletic programs leading up to the university's strategic decision to seek admission to the America East Conference and reclassify to Division I. In February 2013, members of the SAAC and all other student-athletes were informed of the university's decision.

e. *Director of Athletics*

Director of Athletics Dana Skinner's involvement in the Division I reclassification process included working, as part of the strategic-planning process, to conduct a thorough assessment of athletics programs, evaluate the feasibility of reclassifying to Division I, identifying conference membership opportunities, develop a Division I strategic plan and sustainable financial model, secure and work closely with the external consultants and communicate, as needed, with America East Conference staff members as well as parties representing other conference schools.

f. *Faculty Athletics Representative (FAR)*

UMass Lowell's faculty athletics representative (then Prof. Robert Gamache) was involved in preliminary discussions about the pursuit of reclassifying to Division I, chaired the athletic committee and served on the strategic planning committee.

After Prof. Gamache was promoted to Associate Vice President of the University of Massachusetts five-campus system, Prof. John Ting, Vice-Provost for Enrollment, was appointed in early 2013 to serve as faculty athletics representative. However, upon clarification from the America East athletic conference that their guidelines required that the FAR be an active teaching faculty member, Prof. Stephen McCarthy was appointed in July 2013 as the faculty athletics representative. McCarthy worked with the Faculty Senate to establish a policy relative to student-athlete classroom attendance and permitted absences due to regularly scheduled intercollegiate athletic contests. Faculty Senate approval was obtained following McCarthy's presentation of the policy in April 2014.

g. Senior Woman Administrator (SWA)

The SWA served on the strategic planning committee, which assessed the athletics program and evaluated the feasibility of reclassification to Division I and assisted, as needed, as a member of the athletic director's leadership team.

h. Other individual(s) or campus constituencies

Other individual(s) and campus constituencies were engaged throughout the campus-wide discussion about reclassification and the subsequent move to Division I, including alumni, student government leaders, the UMass President's Office, members of the UMass Board of Trustees and community leaders.

Major Decision No. 3-Athletic Program Enhancement as a Member of Division I

The university's third major decision related to intercollegiate athletics was its 2013 decision to significantly increase resources for the athletics program, upgrade facilities and add the sports of men's and women's lacrosse to match America East Conference sports sponsorship requirements.

Campus Involvement

a. Chancellor

Then-Chancellor Marty Meehan led the effort to ensure that the university was prepared to successfully move forward as a Division I institution. He appointed a campus-wide reclassification transition team and met with the group regularly to address both short- and long-range needs and goals and to ensure timely completion of the Division I strategic action plan, including discussions relative to increased funding, upgrade of facilities and the addition of the sports of men's and women's lacrosse. The university's current chancellor, Jacqueline Moloney, served as executive vice chancellor during this period and also participated in these efforts.

b. Athletic Committee

The university's athletic committee was kept informed and regularly updated on all matters related to Division I reclassification.

c. Faculty Senate

The faculty athletics representative (FAR) attended Faculty Senate meetings and kept that group informed and updated about the reclassification process and efforts to enhance the athletics program.

d. Student-Athlete Advisory Committee (SAAC)

SAAC members assisted in the development of the Division I strategic action plan and

provided critical feedback in identifying areas in which increased resources would best advance efforts to enhance student-athlete well-being.

e. Director of Athletics

Director of Athletics Dana Skinner, as a member of the Division I transition team, worked closely with all campus constituencies including the university's facilities team, University Advancement, Academic Affairs and Human Resources to complete the Division I strategic action plan. He met frequently with America East colleagues to obtain data and information necessary to inform the strategic plan. In addition, the director of athletics was instrumental in establishing both men's and women's lacrosse programs.

f. Faculty Athletics Representative (FAR)

As the FAR and chairman of the Athletic Committee during the 2012-2013 academic year, Prof. Robert Gamache met with the consultants assisting in development of the Division I strategic action plan and reviewed all final plans. In 2013, Prof. Stephen McCarthy was appointed to serve as the faculty athletics representative. Upon his appointment, McCarthy became actively involved in all aspects of the reclassification process, including discussions relative to increased funding, upgrade of facilities and the addition of the sports of men's and women's lacrosse.

g. Senior Woman Administrator (SWA)

As a member of the athletic director's leadership team, the SWA served in an essential role in the implementation of the strategic action plan. She worked closely with America East Conference staff to compile comparative funding data and oversaw a number of administrative support units to ensure facility and funding needs were addressed.

h. Other individual(s) or campus constituencies

Other individuals and campus constituencies including the UMass President's Office and members of the board of trustees were actively involved in discussions relative to increased funding, upgrade of facilities and the addition of the sports of men's and women's lacrosse.

3 Describe the institution's written governance policies regarding the administration and oversight of the athletics program, including the specific role and responsibilities of the institution's governing board. Describe how the written athletics governance policies and/or other written communication is provided to the governing board on an annual basis.

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Measurable Standard No. 2

The institution must provide evidence that specific governance policies exist for its governing board regarding the administration and oversight of athletics, including the role and responsibilities of its governing board.

Measurable Standard No. 3

The institution must provide evidence that written communication (e.g., annual report, governance policies) is provided annually to its governing board with respect to athletics. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

The University of Massachusetts is governed by a 22-member board of trustees, which represents various statewide public interests on a non-partisan basis. Seventeen members of the board are appointed by the governor of the Commonwealth of Massachusetts and five members are UMass students elected by the student body on each of the five campuses in the system. The board of trustees functions as a legislative body, establishing general policies governing the UMass system. It is not an administrative or management board. Massachusetts General Laws allow it to act as an appellate body in certain limited circumstances.

The UMass president is selected by the board of trustees and the president's office has direct oversight of each of the five UMass campuses. Authority for the administration and oversight of UMass Lowell is delegated to the chancellor, who is selected by the UMass president with approval of the board of trustees. The chancellor reports directly to the president. The director of athletics reports to the chancellor and meetings between the two are held on a regular basis. Discussion topics include Department of Athletics operations, personnel matters, student-athlete issues and America East, Hockey East and NCAA proposals and regulations. The director of athletics is a member of the chancellor's senior leadership team, which meets regularly throughout the academic year.

The chancellor of each campus attends scheduled meetings of the board of trustees and provides regular written reports to the Committee on Academics and Student Affairs (CASA) on all issues affecting each campus including matters such as those related to personnel, facilities, athletics and recreation, and academic programming. In addition, annual reports and other information are provided upon request to the board of trustees for review and consideration. In 2013, the director of athletics and chancellor presented to the board of trustees, for input and approval, a plan addressing diversity and gender equity relative to the Division I reclassification process.

4 In the last 10 years, list the decisions related to intercollegiate athletics in which the institution’s governing board or individual board members have been involved and describe the extent of the governing board’s involvement with those decisions.

The UMass Board of Trustees has been involved in the following decisions:

- In order to upgrade men’s ice hockey - a program that had been a member of Division I and Hockey East since 1985 but had failed to compete consistently in the top half of the conference - UMass Lowell needed the support of the board of trustees to renegotiate its lease agreement at the Tsongas Arena in 2007, prior to the university’s acquisition of the building. This newly negotiated lease agreement allowed UMass Lowell to produce new revenue streams that were used to enhance the hockey program;
- The most significant major decision related to intercollegiate athletics at UMass Lowell was the university’s decision in 2013 to reclassify its athletic program from Division II to Division I. This decision required the review and approval of the board of trustees. A representative of the UMass President’s Office assisted the chancellor throughout the process and the full board reviewed UMass Lowell’s Division I strategic plan and voted unanimously to approve the reclassification. A member of the president’s office also serves on the IPP self-study steering committee;
- In 2013, as a directive of the UMass system’s Ad Hoc Committee on Athletics, a review of Title IX status relative to athletics on all UMass campuses was conducted. A detailed Title IX plan for UMass Lowell was presented to the board of trustees for discussion and, ultimately, approved by the board.

Measurable Standard No. 4

The institution must demonstrate that its governing board’s oversight and policy formulation for athletics is consistent with its policies and stated responsibilities for other units of the institution (e.g., personnel, budget, and facilities).

5 Describe how the institution’s governing board decisions regarding the athletics program are consistent with those of other on-campus units.

- a) **Explain the role and authority of the individual or group as it relates to intercollegiate athletics;**

As explained above, the University of Massachusetts is governed by a 22-member Board of Trustees, which represents various statewide public interests on a non-partisan basis. The UMass president is selected by the board of trustees and the President’s Office provides direct oversight of each of the five UMass campuses. The chancellor of each campus attends scheduled meetings of the board of trustees and provides regular written

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reports to the Committee on Academics and Student Affairs (CASA) on all issues affecting each campus including matters such as those related to personnel, facilities, athletics and recreation, and academic programming.

Decisions relative to UMass Lowell and its athletic program are made by the UMass Board of Trustees in a manner that is consistent with decisions regarding all University of Massachusetts campuses. Information is presented to the UMass Board of Trustees and reviewed at public meetings. As is the case for academic and student affairs units of UMass Lowell, the trustees vote on athletic-related issues as described above when deemed necessary based on the duties of the board.

- b) Describe how the individual or group has the opportunity (if any) to provide meaningful input into the formulation of the department of athletics policies (e.g., review admissions data, review academic performance data, receive periodic reports from the department of athletics); and**

In addition to the opportunities to provide input described above, the UMass Board of Trustees and UMass system engage with the UMass Lowell campus regarding policies and decisions related to the Department of Athletics through the Committee on Academics and Student Affairs (CASA). Past CASA committee meetings have included the review of topics such as gender equity and diversity, admissions and enrollment data, student-athlete academic performance and fundraising. Topics are determined in advance and information for discussion is provided by UMass Lowell prior to scheduled meetings.

- c) Describe how the individual or group has the opportunity (if any) to periodically review policy implementation related to athletics.**

Measurable Standard No. 5

The institution must identify involved individuals or groups external to the department of athletics (e.g., faculty senate, athletics advisory group, student-athlete advisory committee) and explain how they have opportunities to provide meaningful input into the formulation of policies and how they periodically review policy implementation related to the conduct of the athletics program.

Development and implementation of policies that are consistent with best practices is done in a careful and deliberate manner and involves a number of constituencies, including:

(1) Athletics board or committee;

Established in March 2016, the Intercollegiate Athletic Council (IAC) – a body

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consisting of UMass Lowell faculty, administrators, student-athletes and other student leaders – serves the chancellor in an advisory capacity regarding policies and decisions relative to the athletics program. IAC meetings are held a minimum of two times each semester. Information regularly presented to the IAC includes:

- Reports on student academic progress;
- Updates from members of the Student-Athlete Advisory Committee (SAAC);
- Reports on gender equity, diversity and student-athlete well-being;
- Occasional reports from coaching staff regarding athletic and academic performance;
- Annual budget information;
- Review of the Department of Athletics' strategic plan;
- Presentations on facility plans;
- Information relative to student-athlete conduct;
- Reports on student-athlete classroom attendance;
- Reports concerning establishment or discontinuance of sports programs.

The IAC also appoints standing subcommittees when necessary to provide ongoing review.

(2) Faculty Senate (or other faculty governing body);

The UMass Lowell faculty, acting through the Faculty Senate, examines and makes recommendations on a broad range of policy issues, including non-academic issues that have an impact on academic programs.

Although there is no specifically defined relationship between the Faculty Senate and the Department of Athletics, the director of athletics periodically attends Faculty Senate meetings to provide updates on the athletic program for discussion and feedback. For example, information concerning the recommendation to reclassify athletic teams to Division I was presented to the Faculty Senate for discussion and feedback. Ultimately, the Faculty Senate voted unanimously in support of such plan. It also later voted to support the university's Division I athletes through adoption of a policy related to permissible classroom absences for student-athletes to travel for athletics competitions.

(3) Faculty athletics representative;

UMass Lowell's faculty athletics representative (FAR), appointed by the chancellor and a member of the university's teaching faculty, has been designated to serve as a liaison between the administration and the Department of Athletics

to assist in ensuring student-athletes maintain the appropriate balance between academics and intercollegiate athletics. The FAR works closely with the director of athletics and the Faculty Senate to monitor academic issues relative to student-athletes, promote academic success and ensure high academic standards for all student-athletes.

The faculty athletics representative is also a member of the Intercollegiate Athletics Council (IAC) and meets regularly with the chancellor.

(4) Student-athlete advisory committee; and/or

The Student-Athlete Advisory Committee (SAAC) serves as a voice for all student-athletes at UMass Lowell. Monthly SAAC meetings are attended by members of the athletics staff and include review of all policies and discussion of issues affecting student-athletes. Meetings of the SAAC are intended to promote meaningful and productive discussions among student-athletes and campus leadership to ensure attention to student-athlete concerns.

(5) Other individual(s) or campus group(s)

Chancellor's Executive Cabinet

The chancellor's Executive Cabinet, a body consisting of the campus' top leadership, including vice chancellors and the provost, meet regularly and provide advice and counsel, as needed, regarding operational matters pertaining to the performance of the university's athletics program.

6 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.

The deputy director of athletics is responsible for oversight of all external operations pertaining to athletics. The assistant director for athletic advancement coordinates all athletics-related fundraising activities.

Currently, the university does not have a separate booster group for intercollegiate athletics. The *UNITEDINBLUE FUND* is the primary fundraising vehicle for the university and fundraising/booster club activities for individual sports fall under the umbrella of this fund. With regard to *UNITEDINBLUE FUND* operations:

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- Funds raised are deposited into a separate booster account for each individual sport (for example, the *UNITEDINBLUE* Women's Soccer Fund), and are to be utilized to supplement annual operating budgets;
- Control of booster funds is governed by the same policies as all other university funds. All requests for expenditures are submitted to the associate athletic director for business operations and must ultimately be approved by the director of athletics or his designee;
- All expenditures are subject to and made in compliance with university, departmental and NCAA rules and regulations;
- The athletic compliance office is responsible for extending compliance-related education to the various support groups through brochures, online communications and at scheduled meetings of such groups. The athletic business office closely monitors all expenditures and conducts an annual audit in conjunction with standard university procedures;
- UMass Lowell's Athletic Hall of Fame Committee consists of both university staff and alumni. The group provides input on matters relative to the recognition of former coaches and student-athletes. The director of athletics appoints all members of the selection committee and an associate athletic director serves as the committee chairperson.

The university is in the process of expanding the role of the *UNITEDINBLUE FUND* to include the establishment of a board of advisers. Bylaws will be adopted ensuring NCAA compliance as a priority. The board of advisers is expected to be in place by 2017.

7 Provide the composition of the athletics board or committee (including titles and positions).

The UMass system has established the Committee on Academics and Student Affairs (CASA), responsible for review of all areas related to student affairs, including intercollegiate athletics, on all campuses including UMass Lowell. Membership of CASA includes:

- Chairwoman - Alyce J. Lee, founding trustee emeritus, Boston Medical Center
- Vice-chairwoman - Kerri Osterhaus-Houle, M.D., Women's Health of Central Mass
- Lawrence M. Carpman, partner, Northwind Strategies
- Maria D. Furman, managing director (retired), Standish Ayer & Wood
- Jacob D. Miller, UMass Dartmouth student
- Nolan O'Brien, UMass Boston student
- Emily C. O'Neil, UMass Amherst student
- R. Norman Peters, founding partner, Peters & Sowydra
- James A. Peysner, secretary of education, Commonwealth of Massachusetts
- Amanda Robinson, UMass Lowell student
- Yevin Roh, UMass Medical School student
- Margaret D. Xifaras, senior named partner, Lang, Xifaras & Bullard

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- Henry M. Thomas III, president and CEO, Urban League of Springfield
- Victor Woolridge, UMass Board of Trustees chairman and vice president, Cornerstone Real Estate Advisors

The members of the Intercollegiate Athletics Council at UMass Lowell are as follows:

Representative	Campus Unit
• Kerri Johnston	Director of Undergraduate Admissions
• Erika Lewis	Faculty Member/Faculty Senate Representative
• Jim Canning	Dean, Honors College & Faculty Member
• Nicole Champagne	Faculty Member
• Ruben Sanca	Associate Director, Student Affairs
• Jeff Cournoyer	Executive Director, Public Affairs
• John Feudo	Vice Chancellor Advancement
• Joe Hartman	Dean & Faculty member, Engineering
• Leslie Wong	Director, Multicultural Affairs
• Kareem Jordan	Faculty Member
• Todd Avery	Faculty Member
• Stacy Szczesiul	Faculty Member
• Frank Talty	Assistant Dean/College of Fine Arts, Humanities and Social Sciences
• Clara Orlando	Director, Equal Opportunity & Outreach
• Stephen McCarthy ¹	Faculty Athletic Representative
• TBA	SGA Representative
• Eric Martin	Student-Athlete Advisory Council
• Athanasi Petsis	Student-Athlete Advisory Council
Ex Officio (non-voting)	
• Peter Casey	Deputy Director of Athletics
• Dana Skinner	Director of Athletics
• Sandra Niedergall	Senior Women's Administrator

¹UMass Lowell's faculty athletics representative, Dr. Stephen McCarthy, was given oversight of a new academic program in June of 2016 and will be stepping away from his role as FAR. The university will appoint an individual to serve as the FAR from among the faculty members who serve on one of the three IPP subcommittees. Dr. McCarthy is expected to participate in the NCAA IPP peer review team visit to campus in September 2016, as is his replacement.

8 Describe how the institution’s chancellor or president and his or her designee(s) maintain control with respect to each of the following areas of the athletics program:

Measurable Standard No. 6

Institutions must demonstrate institutional control of the athletics program with respect to budget, accounting, purchasing and debt management.

a. Budget, including all sources of funding;

The operating budget for each individual UMass campus, including UMass Lowell, is delineated separately in the UMass system’s overall operating budget and approved annually by the UMass Board of Trustees. Sources of funding for the UMass Lowell budget, like other UMass campus budgets, include an annual appropriation from the state budget, student tuition and fees, grants from public and private sources, revenue from operations and private donations.

UMass Lowell’s director of budget, who reports to the associate vice chancellor of financial services, is responsible for developing and managing the institutional budget. The Department of Athletics budget, like other divisional budgets within the university, is determined annually. The annual budget for the department includes automatic annual increases to accommodate changes in fixed costs and fringe benefit rates. Scholarships are considered a fixed cost.

Requests for changes to the Department of Athletics budget are submitted annually to the campus financial planning committee in accordance with the same processes utilized by other divisional budget areas. The chancellor’s senior leadership team makes all final decisions on budget requests.

Throughout the year, UMass Lowell’s budget office closely monitors all university divisional budgets, including those within the Department of Athletics. All university departments, including athletics, are notified when there is a budget shortfall and are required to make immediate, appropriate corrective action. In addition, at least twice annually, the director of athletics, deputy director of athletics and associate athletic director for business operations meet with the associate vice chancellor of financial services and the budget director to review all athletic budgets and address any areas of concern.

b. Accounting;

The university Controller’s Office maintains the accounting records for all Department of Athletics activity. All university accounting policies and procedures are applicable to the

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Department of Athletics. All department receipts and disbursements are processed and accounted for through standard established university processes. As such, the internal controls built into these processes are applicable to Department of Athletics transactions.

The associate athletic director for business operations is responsible for ongoing oversight of all Department of Athletics expenditures and ensures compliance with all UMass Lowell and UMass system accounting procedures and policies. This individual works closely with the campus budget director on all matters related to the business operation.

Requests by the Department of Athletics for funding above the annual amount approved by senior university leadership are presented to the athletic director for approval. Final decisions relative to requests of this nature depend on the availability of funds in ancillary accounts and the expenditure process must comply with university procedures. Budget shortfalls are the responsibility of the Department of Athletics and must be covered by revenue-generating activities.

Revenue Collection

In accordance with established campus collection security guidelines, all revenues collected by Department of Athletics personnel (from cash, checks, money orders, credit cards and any other sources) must be transferred immediately upon receipt to the athletics business office for immediate deposit into the appropriate university account(s). Checks received by revenue-generating areas of the department must be made payable to the University of Massachusetts. It is prohibited for any university personnel to open a bank account for the purpose of accepting or disbursing funds related to the university.

c. Purchasing;

UMass Lowell's director of procurement services, reporting to the chief procurement officer, is responsible for establishing and overseeing the purchasing process for all campus units.

The associate athletic director for business operations is responsible for ensuring that all athletic purchasing complies with both UMass Lowell and UMass system policies and procedures. All athletics-related purchases are made through the athletics business office. Contracts for services are managed by the associate athletic director for business operations and the director of procurement services.

In accordance with state purchasing laws, all contracts for goods or services in excess of \$10,000 are subject to a competitive bidding process.

Departmental Credit Cards

Department of Athletics staff members may be issued a university credit card to be used for individual or team travel and to purchase equipment in emergency situations. All credit card charges are billed to the university and charged against the appropriate individual accounts. Any staff member who has use of a university credit card must provide receipts and other documentation regarding use of the credit card, participate in regular audits and comply with other related policies as determined by the university. Monthly reviews are conducted for all staff members utilizing department-issued credit cards to ensure compliance with university policies and procedures.

d. Debt management

The university makes ongoing strategic capital investments in academic, student life, research and other facilities using an appropriate mix of funding sources including state bonds and appropriations, university-issued bonds, capital leases, internal reserves, operating funds, grants and private gifts. The UMass system policy concerning capital planning, land and facilities use requires the submission of a bi-annual capital plan by each campus for approval by the board of trustees. Only capital projects included in the each campus' plan may be the basis for borrowing. In addition, each campus periodically submits a multi-year financial plan, including a debt-affordability analysis, for review by the board of trustees.

At UMass Lowell, all capital projects, including those related to the Department of Athletics, are reviewed at the executive level and must adhere to established policies. This review includes approval of all funding sources including debt and capital leases.

In addition, identify key individuals, other than the chancellor or president, with responsibilities in these areas.

The following individuals are responsible to coordinate and oversee all athletics budget and related activities at UMass Lowell:

- Joanne Yestramski, vice chancellor for finance and operations
- Steve O'Riordan, associate vice chancellor for financial services
- Nancy Ritchie, budget director
- Dana Skinner, director of athletics
- Sandra Niedergall, senior associate athletic director for compliance/SWA
- Christina Stone, associate athletic director for business operations
- Peter Casey, deputy director of athletics

The associate athletic director for business operations works closely with the athletic director,

sport supervisors and athletic administrative unit leaders to coordinate the annual budgeting process. She also provides budget oversight for the Department of Athletics and works closely with the university's budget director to ensure compliance with established campus procedures, monitor spending, develop plans to cover overages when needed and produce reports as requested.

9 Describe how the institution's chancellor or president and his or her designated authority review the budget of the athletics program to at least the same extent that they do for other on-campus programs and departments. In addition, identify the authority (e.g., president's cabinet, finance committee) designated with this responsibility.

Measurable Standard No. 6

Institutions must demonstrate institutional control of the athletics program with respect to budget, accounting, purchasing and debt management.

The UMass Board of Trustees delegates authority to manage the budget process for the university system and each campus to system officials such as the president, senior vice president for administration, finance and technology and treasurer, as well as officials at each of the five campuses, including the chancellor, vice chancellor for administration and finance, and their designees.

In February of each year, UMass Lowell's Office of Finance and Operations begins formulating tentative funding estimates for the campus general operating budget based on factors including projected enrollment; anticipated level of state appropriations; revenue from student fees; interest earnings; indirect cost recovery from grants and other unrestricted revenues; and expected changes in fixed and variable costs. The allocations are adjusted throughout the spring semester as the enrollment and budget outlook becomes clearer and the financial planning committee's process unfolds, including review of individual departmental budgets. The final allocations of funding usually occur in the summer once the prior fiscal year is closed.

The budget-development process for athletics is subject to the same process as all other campus units. The associate athletic director for business operations works closely with sport supervisors and the director of athletics to produce a final budget for the Department of Athletics. Budget requests for the sports and support areas are submitted in December and January. The departmental budget-development process is completed in March and budget presentations are made to the campus financial-planning committee, which determines final allocations according to the timeframe stated above.

- 10 Describe the process by which the institution’s chancellor or president or his or her designee(s) conduct an administrative review of the NCAA comparative data (i.e., dashboard indicators) on an annual basis. In addition, specify the individual(s), other than the chancellor or president, involved in this administrative review. [Please note, this self-study item may not be applicable because reclassifying institutions do not have access to this data at the time of participation in the Institutional Performance Program process. However, according to our NCAA finance and operations department, Division II dashboard indicators were distributed June 9, 2010, with fiscal year 2009 data, so all former Division II institutions that are in the reclassification process to Division I should have access to this data. All reclassifying institutions have been sent the email to access this data.]**

Measurable Standard No. 7

Institutions must demonstrate that an administrative review of NCAA comparative data (i.e., dashboard indicators) has occurred on an annual basis by the chancellor or president or his/her designees. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

The chancellor has designated the director of athletics, the deputy director of athletics and the campus budget director with the responsibility to conduct an annual review of comparative data for the athletics program. The review process includes the participation and input of the associate athletic director for business operations and the SWA.

The budget director reports comparative data from this annual review to the vice chancellor for finance and operations, a direct report to the chancellor. The university utilized a number of outside consultants, including noted Title IX attorney Janet Judge and Collegiate Consultants, to guide the development of a sustainable Division I financial plan. UMass Lowell uses the NCAA dashboard and subscribes to WinAD to get the most accurate and current financial information. In addition, UMass Lowell’s two primary athletic conferences, Hockey East and America East, regularly collect and share data on salaries, financial aid (including cost of attendance) and operating allocations.

All information gathered through this annual review of comparative data is utilized to develop annual and multi-year budgets for the department of athletics.

- 11 If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 1.1, describe the institution’s efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval.**

No plans for improvement were determined to be needed.

Governance and Commitment to Rules Compliance

Operating Principle 1.2 Rules Compliance.

Membership in the Association places the responsibility on each institution to ensure that its staff, student-athletes, and other individuals and groups representing the institution's athletics interests comply with the applicable Association rules and regulations. Consistent with this responsibility, the institution shall demonstrate that:

- a. It has in place a set of written policies and procedures that are clearly communicated to athletics staff members and those individuals outside athletics who have rules compliance responsibilities. These written policies and procedures must assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chancellor or president assigns overall responsibility for the athletics program.
- b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside the Department of Athletics. The responsibility for admission, certification of academic standing, evaluation of academic performance and administration of financial aid for student-athletes must be vested in the same agencies that have authority in these matters for students in general.
- c. Rules compliance is the subject of a continuous, comprehensive educational effort to a wide range of constituencies.
- d. A clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program.
- e. At least once every four years, the rules compliance program is the subject of evaluation by an authority outside the Department of Athletics. This rules compliance evaluation shall include the following areas:
 - (1) Governance and organization.
 - (2) Initial-eligibility certification.
 - (3) Continuing-eligibility certification.
 - (4) Transfer-eligibility certification.
 - (5) NCAA Division I Academic Performance Program (APP).
 - (6) Financial aid administration, including individual and team limits.
 - (7) Recruiting (e.g., contacts and evaluations, official and unofficial visits).

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- (8) Camps and clinics.
- (9) Investigations and self-reporting of rules violation(s).
- (10) Rules education.
- (11) Extra benefits.
- (12) Playing and practice seasons.
- (13) Student-athlete employment.
- (14) Amateurism.
- (15) Commitment of personnel to rules compliance activities.

Self-Study Items for Operating Principle 1.2

1 Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals within the department of athletics. Specifically, the institution must provide written evidence that all individuals inside the department of athletics (e.g., coaches, staff) have statements regarding the importance of rules compliance in all of the following documents:

- a. Contracts or letters of appointment;**
- b. Job descriptions; and**
- c. Performance evaluations.**

Please note, if the institution does not use one or more of the documents (listed in a-c above), provide an explanation.

Measurable Standard No. 1

The institution must provide written evidence that all individuals inside the department of athletics (e.g., staff, coaches) have statements regarding the importance of rules compliance in all of the following documents: contracts or letters of appointment, job descriptions and performance evaluations. If the institution is in the process of revising one or more of the documents noted above due its obligation to seek approval from an outside entity (e.g., union), the institution must provide written evidence supporting the planned revision. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

UMass Lowell holds coaches and Department of Athletics staff to both the letter and spirit of NCAA and other conference rules and regulations. The goal is to sustain a culture of compliance within the university beginning with language in contracts and position descriptions and extending to the performance evaluation process.

- a. Contracts and Letters of Appointment** – The head coaches of men’s ice hockey and men’s and women’s basketball are employed under term contracts. All other coaches sign three-year letters of appointment upon their initial hire date followed by annual at-will

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letters once the initial appointment term has expired. All contracts and appointment letters include specific language indicating that coaches are required to comply with NCAA, university and conference rules, regulations and standards of ethical conduct, and include the requirement that university employees must adhere to the Commonwealth of Massachusetts Conflict of Interest Law and the Department of Athletics' policy regarding outside income. All contracts are subject to annual review by the university.

The following language is included in both letters of appointment and contracts:

Full compliance with all NCAA and conference rules and regulations is required. All employees must have a full understanding of applicable NCAA rules and participate in compliance workshops and meetings as requested. In the event there is reasonable cause to believe a violation has occurred, employees will report it in a timely manner to the director of athletics or his/her designee.

Violation of NCAA, conference or institutional regulations, or unsatisfactory outcomes with APR and GSR results may result in disciplinary or corrective action, including suspension with or without pay, or termination of employment for repetitive violations.

- b. **Job Descriptions** – Consistent with university policy, all UMass Lowell employees are required to have a current job description on file with the Department of Human Resources and Equal Opportunity and Outreach. Job descriptions are reviewed annually by the university and the following language is included in all job descriptions for positions in the Department of Athletics:

Full compliance with all NCAA and conference rules and regulations is required. All employees must have a full understanding of applicable NCAA rules and participate in compliance workshops and meetings as requested. In the event there is reasonable cause to believe a violation has occurred, employees will report it in a timely manner to the director of athletics or his/her designee.

- c. **Performance Evaluations** – Performance evaluations are conducted annually by all university departments and include a review of the employee's goals for the previous year and the establishment of goals for the coming year. For employees who work in

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roles requiring compliance with NCAA rules and regulations, this process also includes an analysis of compliance through an 11-point matrix that includes the following section:

5. SPORTS INTEGRITY/COMPLIANCE	1	2	3	4	5	N/A
NCAA/America East/Hockey East rules compliance						
Minimal to no team violations (NCAA)						
Minimal to no student conduct issues						
Clear and consistent team rules						
Attendance at Rules Education monthly meetings						
Comments:						

2 Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals outside the department of athletics who are involved in rules compliance activities. Specifically, the institution must provide written evidence that all individuals outside the department of athletics who are involved or associated with athletics (including, but not limited to, individuals who have responsibility for admission, certification of academic standing, evaluation of academic performance and administration of financial aid for student-athletes) have statements regarding the importance of rules compliance in all of the following documents:

- a. Contracts or letters of appointment;
- b. Job descriptions; and
- c. Performance evaluations.

Measurable Standard No. 2

The institution must provide written evidence that all individuals outside the department of athletics who are involved or associated with athletics (including, but not limited to, individuals who have responsibility for admission, certification of academic standing, evaluation of academic performance and administration of financial aid for student-athletes) have statements regarding the importance of rules compliance in all of the following documents: contracts or letters of appointment, job descriptions and performance evaluations. If the institution is in the process of revising one or more of the documents noted above due its obligation to seek approval from an outside entity (e.g., union), the institution must provide written evidence supporting the planned revision. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

A number of university employees outside of the department of athletics play important roles in ensuring compliance with NCAA rules. These employees include:

- Kerry Donohoe, registrar
- Lauren Dufresne, associate registrar for registration and academic records
- Edward Seero, associate director of admissions

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- Kerri Johnston, associate dean of enrollment and director of undergraduate admissions
- Olivia Gavriel, transfer credit specialist
- Prof. Stephen McCarthy, faculty athletics representative
- Longino Alex Gonzalez, senior associate director of financial aid programs and athletic aid
- Joyce McLaughlin, associate dean of enrollment and director of financial aid

The university ensures that rules compliance is a central element in personnel matters for individuals outside the Department of Athletics who are involved in rules compliance activities.

a. Contracts or letters of appointment;

Individuals employed outside the Department of Athletics who are involved in rules compliance activities are either subject to a collective bargaining agreement or are long-standing, non-bargaining unit employees who did not receive a letter of appointment at their initial appointment and are not subject to an employment contract. For the latter, non-bargaining unit employees, job descriptions, which dictate terms of employment, contain the NCAA compliance statement described below. For collective bargaining unit-member employees, each union contract grants the university full authority to establish job titles, which include a clear and specific description of job functions and requirements. The job descriptions of collective bargaining unit members who are involved in rules compliance activities also contain the NCAA compliance statement described below.

b. Job descriptions; and

Job descriptions for these individuals includes the following statement:

Full compliance with all NCAA and conference rules and regulations is essential. All employees working with athletics must have a full understanding of applicable NCAA rules and participate in compliance workshops and meetings as requested. In the event there is reasonable cause to believe a violation has occurred, employees will report it in a timely manner to their supervisor.

c. Performance evaluations.

For all university employees outside the Department of Athletics who are involved in rules compliance activities, annual performance evaluations include an assessment of their performance with regard to NCAA compliance. In addition, these employees regularly participate in rules education workshops and many attend NCAA regional compliance workshops.

Please note, if the institution does not use one or more of the documents (listed in a-c above), provide an explanation.

3 Provide the name(s) and title(s) of the institutional staff member outside the department of athletics who has ultimate responsibility in determining student-athletes' admission to the institution, certification of academic standing and conferment of academic degrees.

Measurable Standard No. 3

The institution must demonstrate that the responsibility for admission, certification of academic standing and conferment of academic degrees of student-athletes is vested in the same agencies that have authority in these matters for students.

The responsibility for admission, certification of academic standing and conferment of academic degrees for student-athletes is vested in the same agencies and individuals that have authority over these matters for students who are non-athletes.

- *Admission to the institution:* Edward Seero, associate director of admissions
- *Certification of academic standing:* Lauren Dufresne, associate registrar for registration and academic records
- *Conferment of academic degrees:* Donald Pierson, current provost/Michael Vayda, provost as of July, 2016.

4 Provide the name(s) and title(s) of the individual(s) (other than the institution's compliance officer/director) who the chancellor or president designates as having final authority for the institution's rules compliance (e.g., athletics director, vice president for athletics).

Measurable Standard No. 4

The institution must assign direct accountability for rules compliance to the individual the chancellor or president assigns final authority for the athletics program (e.g., director of athletics, vice president for athletics).

UMass Lowell Chancellor Jacqueline Moloney has designated Director of Athletics Dana Skinner as the individual who has final authority and responsibility for rules compliance at UMass Lowell.

5 Identify the individuals inside and outside the department of athletics who have rules compliance responsibilities. Describe the reporting lines for and responsibilities assigned to these individuals, including but not limited to:

Measurable Standard No. 5

The institution must identify individuals who have rules compliance-related responsibilities and the reporting lines of these individuals.

Measurable Standard No. 6

The institution must demonstrate that individuals external to the athletics program (including, but not limited to, financial aid personnel, registrar, faculty athletics representative) are engaged in the critical and sensitive areas of rules compliance. Examples of critical and sensitive areas of rules compliance include, but are not limited to, eligibility certification, investigation and self-reporting of rules violations, monitoring financial aid and academic performance program.

a. Faculty athletics representative;

Stephen McCarthy was appointed faculty athletics representative (FAR) in 2013, and in this capacity reports directly to the chancellor. Prof. McCarthy is a longtime faculty member in the Department of Plastics Engineering.

The FAR's responsibilities include:

- Reviewing and serving as the outside-the-department signatory for hardship waivers and NCAA violations;
- Serving on the compliance council;
- Overseeing NCAA coaches' recruiting exam;
- Serving as liaison to the Faculty Senate;
- Serving as a member of the Intercollegiate Athletic Council (IAC);
- Assisting with resolving student-athlete academic issues.

b. Director of athletics

Dana Skinner, the director of athletics, provides direction and oversight for all aspects of UMass Lowell's 18-sport men's and women's intercollegiate athletics program, including compliance with NCAA and conference rules and regulations and standards of ethical conduct. The director of athletics reports directly to the chancellor.

c. Compliance officer/director

Senior Associate Athletic Director for Compliance Sandra Niedergall also serves as the senior woman administrator (SWA). She reports directly to the director of athletics and is a member of his executive leadership team. For all matters related to compliance, she also

has a secondary reporting line to Michael Rutherford, the director of employee and labor relations. Rutherford possesses a law degree and is responsible for employee-related legal issues.

Niedergall is responsible for providing direction and oversight of all matters related to rules compliance, including the following:

- Implementation of a comprehensive compliance-education program;
- Monitoring activities of coaches, including recruiting, playing seasons and extra benefits;
- Oversight of financial aid policies;
- Direction and oversight of two full-time compliance staff members and an intern;
- Serving as the campus liaison with Admissions, Financial Aid and the Registrar's Office.

d. Coaches

All coaches and administrative staff members are responsible for ensuring their programs and units work alongside the compliance staff to maintain a culture of accountability. Attendance at compliance-education workshops is required and suspected rules violations are to be reported immediately.

Coaches are trained to utilize the ARMS compliance software program, which automates portions of the department's compliance processes as well as institutional regulations. Head coaches report directly to one of the following senior staff members:

- Peter Casey, deputy director of athletics
- Sandra Niedergall, senior associate athletic director for compliance/SWA
- Alan Zebrak, associate athletic director for facilities and events
- Eric Allen, associate athletic director for corporate partnerships and ticketing

Assistant coaches and program support staff report directly to the head coaches in each sport and are also responsible for ensuring strict compliance with NCAA rules and regulations. They, too, are required to utilize the ARMS compliance software.

e. Other key individuals (e.g., admissions director, financial aid personnel, registrar) who are responsible for documenting and monitoring compliance with NCAA rules, including but not limited to:

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1. Eligibility certification

- Kerry Donohoe, registrar
- Lauren Dufresne, associate registrar for registration and academic records
- Christine Smith, associate athletic director for academic and student services
- Sandra Niedergall, senior associate athletic director for compliance/SWA
- Ravi Masand, athletics compliance coordinator

2. Investigation and self-reporting of violations

- Prof. Stephen McCarthy, faculty athletic representative (FAR)
- Sandra Niedergall, senior associate athletic director for Compliance/SWA
- Ravi Masand, compliance coordinator

3. Monitoring of financial aid

- Joyce McLaughlin, associate dean of enrollment and director of financial aid
- Longino Alex Gonzalez, senior associate director of financial aid programs and athletic aid
- Sandra Niedergall, senior associate athletic director for compliance/SWA

4. NCAA Division I Academic Performance Program (APP)

- Sandra Niedergall, senior associate athletic director for compliance/SWA
- Christine Smith, associate athletic director for academic and student services
- Lauren Dufresne, associate registrar for registration and academic records
- The head coach of each sport
- The coordinator of athletic academic services for each sport

6 Indicate by answering “yes” or “no” whether the institution has written policies and step-by- step procedures that include assignment of specific responsibilities pertaining to rules compliance. Please note, all policies and procedures must be available during the evaluation visit. If the institution indicates a specific written policy and step-by-step procedure is not applicable, the institution must provide an explanation.

Measurable Standard No. 7

The institution must provide evidence that written compliance policies and procedures exist and demonstrate that they are engaged and functioning in the following areas:

- | | |
|--|-----|
| a. Initial eligibility certification. | YES |
| b. Continuing-eligibility certification. | YES |
| c. Transfer-eligibility certification. | YES |

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d. APP.	YES
e. Financial aid administration.	YES
f. Recruiting.	YES
g. Camps and clinics.	YES
h. Investigations and self-reporting of rules violations.	YES
i. Rules education.	YES
j. Extra benefits.	YES
k. Playing and practice seasons.	YES
l. Student-athlete employment.	YES
m. Amateurism.	YES

7 Describe how the institution's written compliance policies and procedures are communicated on an annual basis to the department of athletics staff and individuals outside the department of athletics with rules compliance responsibilities.

Measurable Standard No. 8

The institution must demonstrate that its compliance policies and procedures are directly communicated in writing (e.g., provide hard copy of document, provide Web link via e-mail) on an annual basis to department of athletics staff and individuals outside the department of athletics with rules compliance responsibilities. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

The Department of Athletics annually provides an NCAA compliance manual to all coaches, department staff and other university employees. A copy of the manual is also available on a network drive, which is accessible to all Department of Athletics staff. In addition:

- All of the university's compliance forms are posted on the Department of Athletics website, goriverhawks.com;
- That website includes a section specifically focused on NCAA compliance;
- Compliance-related materials are provided during education workshops;
- Individuals outside the Department of Athletics with rules-compliance responsibilities attend monthly compliance workshops with coaches and athletic staff, and often make topic-specific presentations;
- Members of the compliance staff send regular emails to staff regarding rules interpretations, changes and reminders about various issues of importance.

8 Describe the institution's rules-education efforts for all individuals associated with the department of athletics, including the frequency and topics reviewed with each of the following groups:

Measurable Standard No. 9

The institution must provide evidence that it has a continuous and comprehensive rules education program for all individuals associated with the athletics program including boosters, student-athletes, department of athletics staff, coaches, and directly involved faculty and institutional staff outside the department of athletics.

Ensuring compliance has many components including comprehensive rules education for the many constituent groups to ensure a foundation is in place from which to build a culture of accountability.

a. Boosters

Boosters who represent the university's athletic interests are expected to adhere to all NCAA rules and policies and procedures established by the university for the governance of its intercollegiate athletics program. Those policies are distributed annually by the Department of Athletics via a brochure, "A Fan's Guide to NCAA Rules." This brochure is included in welcome letters and mailings to fans with season ticket packages, and is posted on the Department of Athletics website, goriverhawks.com, in a special section labeled specifically for boosters, faculty and alumni. This brochure addresses topics such as prohibitions on contact with prospects and recruits and extra benefits. Boosters who attend sporting events on campus also observe NCAA compliance posters at the various competitive venues.

b. Student-athletes

Student-athletes receive in-person rules education twice annually – once at the beginning of the year during individual team meetings and again just prior to the end of the academic year. Additionally, student-athletes receive an academic planner that includes NCAA rules education resources. Monthly compliance posters with information on current compliance topics are displayed in each team locker room.

Rules education is also addressed as needed during Student-Athlete Advisory Committee (SAAC) meetings. SAAC members are further engaged in the compliance process by reviewing all proposed legislation and forwarding their recommendations to the director of athletics. Topics reviewed with student-athletes focus on academic standards, extra benefits and well-being issues.

c. Department of Athletics staff

The Department of Athletics compliance staff conducts periodic rules-education workshops throughout the academic year for administrative staff and holds individual meetings with specific staff to ensure each area has up-to-date education on all NCAA

rules, with special emphasis placed on topics of current interest at that time. In addition, discussions of compliance matters are held with individual staff members as needed.

d. Coaches

The Department of Athletics compliance staff conducts monthly mandatory rules-education workshops for all coaches as well as regular meetings each semester with head coaches only. In addition, compliance-related materials and handouts are distributed on a regular basis and random visits are made to practice facilities to observe coaching staffs in their sport environment. Rules interpretations are also provided by email, phone or in-person as needed to individual coaches.

e. Faculty

Faculty members who attend sporting events on campus observe NCAA compliance posters at the various competitive venues. In addition, faculty members who are season ticketholders or athletic donors receive regular communication about NCAA rules.

f. Institutional staff outside the Department of Athletics

Compliance education provided to non-athletic personnel includes:

- Regular educational sessions for staff from the offices of Admissions, Financial Aid, Registrar, Housing and Advancement. These individuals are fully engaged by making topic-specific presentations to the group;
- The athletic compliance council meets on a monthly basis and many members also attend scheduled team rules-compliance meetings;
- Key staff members from university offices outside the Department of Athletics and Academic Affairs are invited to and regularly attend scheduled monthly rules education sessions;
- Key staff members outside the Department of Athletics often attend NCAA regional compliance workshops.

9 In regard to the institution's most recent rules compliance evaluation:

Measurable Standard No. 10

The institution must demonstrate that its rules-compliance program is subject to comprehensive, external rules-compliance evaluation at least once every four years and is conducted by an individual(s) external to athletics who is knowledgeable of NCAA compliance and who does not have day-to-day responsibilities in the areas under review. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE

OPERATING PRINCIPLE 1.2

- a. **Provide the name(s) and affiliation(s) of the individual(s) responsible for conducting the institution's rules compliance evaluation;**
Carrie McCaw of Ice Miller conducted UMass Lowell's rules compliance evaluation as required for transitioning institutions. Mary Mulvena, associate commissioner for compliance for the America East Conference also participated in the compliance review.
- b. **Describe the process used in selecting this authority outside the department of athletics to ensure the individual(s) does not have day-to-day compliance responsibilities for the institution's department of athletics and is knowledgeable of NCAA legislation and rules compliance practices; and**
The NCAA selected Ice Miller to conduct UMass Lowell's compliance review. The review was completed in year two of the reclassification process.
- c. **Provide the date of the institution's most recent rules compliance evaluation.**
Ice Miller visited the UMass Lowell campus from Dec. 3 to Dec. 5, 2014 to conduct the rules compliance evaluation.

[Please note, all reclassifying institutions must have completed a compliance review conducted by the national office and submission of a report with an institutional response to findings during Year Two of reclassification [See NCAA Bylaw 20.5.2.5.2].]

- 10** **The rules compliance evaluation must determine that the institution's compliance practices are engaged and functioning and must include the required areas listed below. Indicate by answering "yes" or "no" which areas were included in the institution's most recent rules compliance evaluation. If the institution indicates a specific area is not applicable, the institution must provide an explanation.**

Measurable Standard No. 11

The institution must provide evidence that the comprehensive, external rules-compliance evaluation demonstrates that the rules-compliance program is engaged and functioning. Further, the institution must review the written, comprehensive evaluation as part of the self-study process and determine if appropriate corrective actions are necessary in response to the written report.

Measurable Standard No. 12

The institution must provide evidence that the comprehensive, external rules-compliance evaluation includes, at a minimum, the following areas:

GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE

OPERATING PRINCIPLE 1.2

a. Governance and organization.	YES
b. Initial-eligibility certification.	YES
c. Continuing-eligibility certification.	YES
d. Transfer-eligibility certification.	YES
e. APP.	YES
f. Financial aid administration, including individual and team limits.	YES
g. Recruiting (e.g., contacts and evaluations, official and unofficial visits).	YES
h. Camps and clinics.	YES
i. Investigations and self-reporting of rules violations.	YES
j. Rules education.	YES
k. Extra benefits.	YES
l. Playing and practice seasons.	YES
m. Student-athlete employment.	YES
n. Commitment of personnel to rules-compliance activities.	YES

11 If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 1.2, describe the institution's efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval.

Measurable Standard No. 13

The institution must provide evidence that the comprehensive, external rules-compliance evaluation demonstrates that the rules-compliance program is engaged and functioning. Further, the institution must review the written, comprehensive evaluation as part of the self-study process and determine if appropriate corrective actions are necessary in response to the written report.

The IPP Governance and Commitment to Rules Compliance Subcommittee reviewed the final report and recommendations of Ice Miller, as well as the corrective action steps identified by the Department of Athletics. The subcommittee supported the action steps for improvement and established a timetable to ensure all corrective actions are implemented.

Based on review by subcommittee members and additional conversations with the director of athletics and the compliance staff, it was determined that the Department of Athletics has taken, or is in the process of taking, the necessary steps to address the areas of improvement and/or recommendations in the Ice Miller rules compliance reports.

The following is a list of the individuals involved in the review process and follow-up discussions relative to determining corrective actions:

GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE

OPERATING PRINCIPLE 1.2

- All members of the Governance and Commitment to Rules Compliance Subcommittee
 - Dana Skinner, director of athletics
 - Sandra Niedergall, senior associate athletic director for compliance/SWA
 - Peter Casey, deputy director of athletics
 - Prof. Stephen McCarthy, faculty athletic representative
- a. **Identify any relevant corrective action(s) planned as a result of the process described in Self- Study Item No. 11 or actions previously planned or implemented from the most recent rules compliance evaluation. Provide:**
 - b. **The plan(s) or action(s) implemented; and**
 - c. **The date(s) of action(s) taken or specific timetable(s) for completion of the plan(s).**

See Appendix C for corrective actions and the specific timetable to complete each action step in response to Ice Miller's report.

12 If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 1.2, describe the institution's efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval.

The Governance and Commitment to Rules Compliance Subcommittee reviewed the final report and recommendations produced by Ice Miller, as well as the corrective action steps identified by the Department of Athletics. The corrective actions were determined based on discussions with the compliance staff, the athletics leadership team, members of the Governance and Commitment to Rules Compliance Subcommittee and a number of individuals outside the Department of Athletics. The improvement plan was submitted to the Governance and Commitment to Rules Compliance Subcommittee and the IPP Self-Study Steering Committee for approval.

Both the Ice Miller compliance report and the university's compliance improvement plan are provided in Appendices B and C.

Governance and Commitment to Rules Compliance

Appendices

Appendix B: Ice Miller Compliance Report

Appendix C: UMass Lowell Compliance Improvement Plan



UNIVERSITY OF MASSACHUSETTES, LOWELL
Compliance Report

January 25, 2016

Carrie R. McCaw
Ice Miller Collegiate Sports Practice
One American Square
Indianapolis, IN 46282

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Introduction

Per the provisions of the “Services Agreement” agreement between Ice Miller and the National Collegiate Athletic Association (“NCAA”) and executed on September 30, 2014, this report contains the results of the Ice Miller Collegiate Sports Practice Group’s (“Ice Miller”) compliance review regarding the University of Massachusetts, Lowell (“UMass Lowell” or the “University”). This compliance review was conducted in conjunction with the University’s reclassification from NCAA Division II to NCAA Division I. The individual from Ice Miller who conducted this review was Practice Group Specialist Carrie McCaw *

This report provides a summary of the key components identified by the NCAA in its July 2, 2014 Request for Quotation. The primary focus of the report is to identify areas of particular strength and those where enhancements or improvements are needed. The report contains an executive summary outlining the primary findings, followed by a more detailed description of the University’s systems and Ice Miller’s observations and recommendations. Ice Miller has retained copies of the notes and other information it collected during the review, and these are available for NCAA inspection and analysis upon request.

* Not licensed to practice law in any state or other jurisdiction.

Executive Summary

This Executive Summary outlines the key strengths identified during the review of UMass Lowell's compliance program, as well as the specific areas that could be or should be enhanced. It is important when reviewing and evaluating these recommendations to consider the information presented in the body of this report regarding the existing compliance systems and procedures, as well as the full text of the recommendations themselves (presented in boxed text throughout the report).

Summary of Key Strengths. The following is a list of the key strengths identified throughout this report:

- The director of athletics reports directly to the chancellor and serves on the chancellor's cabinet.
- Letters of agreement for coaching staff members include language about the potential for NCAA enforcement actions as required by NCAA Bylaw 11.2.2.
- The compliance committee meets monthly and provides external oversight of compliance policies and procedures.
- Exit interviews are conducted with departing student-athletes and the results are discussed by the athletics director's senior leadership team.
- All monies earned through camps and clinics and other fundraising efforts are deposited with the University's advancement department and controlled by the University's accounting procedures.
- Coaches' meal cards can be utilized as debit cards for cash advances for team meals providing the athletics business office an efficient method for monitoring cash advances.
- Compliance meets with each coaching staff separately on a regular basis to discuss NCAA rules that apply specifically to that sport.
- Compliance meets with each team twice a year to review applicable and timely NCAA rules with the student-athletes.
- The compliance staff meets with all new athletics department employees within the first week of employment to review NCAA rules and compliance procedures.

- The external liaisons in the registrar and financial aid offices have attended the NCAA regional rules seminar.
- The University's dean of enrollment reviews recruiting policies and procedures.
- Admissions will conduct early reads on high school and transfer prospects to check the potential admissibility of the prospect.
- The student-athletes and coaches interviewed understand the expectations of appropriate conduct during a prospective student-athlete's official-paid visit.
- The University has invested in a compliance software system that is designed to track recruiting activities and reduce violations.
- Effective and free-flowing communication exists between compliance and the admissions and registrar's offices
- Student-athletes are provided priority registration, allowing them to schedule classes necessary to meet eligibility requirements.
- Prospective student-athletes are admitted on the same basis as the general student body.
- Decisions on admissions and the certification of eligibility of student-athletes are made outside of athletics.
- The eligibility certification officer in the registrar's office is evaluated on her athletics compliance responsibilities, which are included in her job description.
- Multiple checks of eligibility certification decisions occur.
- Prior to the start of the playing season, each team's roster is reviewed to ensure the eligibility status of each student-athlete.
- The process for awarding financial aid is set forth in writing and is reviewed and updated on a regular basis.
- There is regular communication between the compliance and financial aid staffs.
- The financial aid liaison enters financial aid awards in both ISIS and CA.
- Student-athletes are coded on the financial aid page of ISIS.
- The athletics liaison in the financial aid office is evaluated on his athletics compliance responsibilities, which are included in his job description.
- There is frequent monitoring of ISIS and CA for financial aid issues.

- The compliance staff meets with the student athletes twice a year to discuss NCAA rules and other student athlete issues.
- All information released publicly regarding a prospective student-athlete's signing of a National Letter of Intent must be approved by the compliance staff in advance.
- The student-athlete handbook contains information regarding complimentary admissions, amateurism, and agents.
- The logs regarding countable athletically related activities ("CARAs") are submitted to the compliance staff weekly by the coaches and are verified by student-athletes not identified to the coaches.

Summary of Recommendations for Improvement. The following items identify specific suggestions contained in the report for areas of improvement.

Governance and Institutional Control

- Add a secondary reporting line outside of athletics for Niedergall.
- Evaluate the role of the FAR, including compliance-related tasks, and revise the job description for the position.
- Update the procedures for investigating and reporting NCAA violations.
- Develop policies prohibiting coaches from contacting faculty and staff external to athletics.
- Provide the compliance staff with offices in both buildings housing athletics department staff members.
- Additional full-time compliance staff.
- Emphasize the importance of signing the certification of compliance form.
- Develop a camps and clinics manual.
- Create a camp director position.
- Develop policies and procedures to ensure that the compliance views coaches' expenditures.
- Initiate an annual chancellor address to the athletics department regarding the importance of rules compliance.
- Initiate an annual chancellor's message to the faculty and campus staff.
- Share applicable rules interpretations with others.
- Provide formal rules education for administrators external to athletics.
- Provide rules education to the athletics advancement staff.
- Strengthen the booster education program.

Recruitment Monitoring

- Review of all post official visit records by the compliance staff.

Eligibility and Certification

- Establish an eligibility team.
- Annual evaluation of the certification of eligibility system.
- Consider utilizing GradesFirst software.
- Document the APR data collection and penalty assessment procedures.
- Create a bridge allowing information from ISIS to be transferred into CA.
- Deter communication between admission and the coaching staff.
- Develop a form encompassing all transfer information.

Financial Aid

- Develop a bridge allowing information from ISIS to be transferred into the CA.
- Enhance the book award process.

Student-Athlete Issues

- Enhance the monitoring of student-athlete employment.
- Monitoring of student-athlete vehicles.
- Monitor out-of-season summer workouts.
- Identify athletic trainers and/or student-athletes from each team to assist in the monitoring of CARAs.
- Increase the monitoring of equipment and gear issued to student-athletes.

In summary, the compliance review revealed that UMass Lowell has established an environment emphasizing the importance of adhering to NCAA rules. This atmosphere of compliance is evidenced at various levels within the athletics department (e.g., executive, administrative, coaching, and student-athlete) and by University offices external to the athletics department with compliance-related duties. The existing compliance systems appeared to be functional and operating, even as some procedures and forms were being modified and implemented at the time of the campus visit. Accordingly, the recommendations in this report are designed to facilitate the continued development of the compliance program toward one that is sufficient to support the demands of a Division I program.

As is often the case on any campus, the implementation of several recommendations may be a function of University or athletics department priorities and/or budgeting constraints that are not within the control of the athletics department. Accordingly, some recommendations may not

be practical or possible in the near future. Nonetheless, the suggestions, if implemented, would enhance UMass Lowell's compliance program and assist with the transition toward Division I requirements.

Methodology Overview

This analysis of the compliance systems at UMass Lowell began with a document review prior to the on-campus visit. Ice Miller reviewed a preliminary needs assessment document that was completed by the athletics department and forwarded to Ice Miller along with numerous requested documents before Ice Miller's visit to campus. The on-campus visit to UMass Lowell occurred December 10 through 12, 2014 and included meetings and interviews with individuals within and external to the athletics department, as well as the review of additional documents and discussion of the software programs utilized on campus (e.g., ARMS, CA).

The following topics were among those reviewed:

- Governance and organization (e.g., governing board policies related to athletics, responsibilities and duties of compliance personnel), including
 - Organization, structure and commitment to compliance;
 - Finance and use of funds;
 - Rules education;
- Eligibility, including
 - Initial-eligibility certification;
 - Continuing-eligibility certification;
 - Transfer-eligibility certification;
- Academic performance program, including
 - Data collection process;
 - Penalty implementation process;
- Financial aid administration, including
 - Individual and team limits;
- Recruiting, including

- Official and unofficial visits;
- Student hosts and entertainment;
- Contacts, evaluations and phone call tracking;
- Camps and clinics;
- Investigations and self-reporting of rules violations;
- Extra benefits;
- Playing and practice seasons;
- Student-athlete employment;
- Amateurism;
- Commitment of personnel to rules-compliance activities.

During the on-campus visit, Kristi Stake ("Stake"), associate athletic director for student-athlete services, and Sandra Niedergall ("Niedergall"), associate athletic director for compliance, served as the University's primary contacts. They facilitated multiple interviews. Interviews with the following individuals occurred:

- *Geoff Degroot ("Degroot"), Baseball Student-Athlete*
- *Scott Dolch ("Dolch"), Senior Associate Athletics Director for External Operations*
- *Kerry Donohue ("Donohue"), Registrar*
- *Scott Donnelly ("Donnelly"), Assistant Athletics Director for Marketing & Promotions*
- *Lauren Dufresne ("Dufresne"), Associate Registrar*
- *Pat Duquette ("Duquette"), Head Men's Basketball Coach*
- *Tracy Ellis-Ward ("Ellis-Ward"), Senior Woman Administrator: Senior Associate Athletics Director for Internal Operations*
- *Gary Gardner ("Gardner"), Head Track & Field Coach*
- *Alex Gonzalez ("Gonzalez"), Senior Assistant Director of Financial Aid*
- *Shannon Hleibichuk ("Hleibichuk"), Head Field Hockey Coach*
- *Stephen McCarthy ("McCarthy"), Faculty Athletics Representative*
- *Joyce McLaughlin ("McLaughlin"), Associate Dean of Enrollment Director of Financial Aid*

- *Marty Meehan ("Meehan"), Chancellor*
- *Taylor Murphy ("Murphy"), Women's Track & Field Student-Athlete*
- *Sandra Niedergall, Associate Athletics Director for Compliance*
- *Ed Seero ("Seero"), Associate Director of Admissions*
- *Dana Skinner ("Skinner"), Director of Athletics*
- *Peter Souris ("Souris"), Assistant Athletics Director for Communications*
- *Kristi Stake, Associate Athletics Director for Student-Athlete Services*
- *Christina Stone ("Stone"), Assistant Athletics Director for Business Operations*

Each of the interviews was designed to inquire about existing athletics policies, procedures, and practices in order to identify areas of strength and areas that need improvement.

The review examined primarily the overall commitment, effectiveness and functionality of the NCAA compliance efforts at UMass Lowell. The goal of the review was to assess the University's educational and monitoring systems, as well as its ability to prevent NCAA rule violations and to ensure that appropriate procedures exist to detect and report such violations if they occur. The recommendations offered in this report are intended to assist the University in its ongoing efforts to enhance its compliance programs.

Key Compliance Components

The NCAA has set forth the following key compliance areas that are important to evaluate as part of a compliance review: (1) governance and institutional control; (2) recruitment monitoring; (3) eligibility certification; (4) financial aid; and (5) student-athlete issues. After careful review of each key component, it was apparent that UMass Lowell's athletics department is committed to rules compliance and has taken meaningful steps to enhance the compliance program to foster and monitor compliance with Division I rules. The noteworthy areas of strength in the compliance program are identified at the beginning of each component in a box

with *italic font*. These are not the only strengths, but are the ones identified as most important for NCAA compliance or unique to the UMass Lowell program in a very positive way.

As with any compliance program, there are areas that warrant enhancements or improvements, particularly to ensure the University is operating its compliance program in a manner similar to comparable Division I programs. Throughout this section, these areas of improvements for each key component will be framed with a box and identified as "Areas for Improvement."

1. **Governance and Institutional Control**

This key component assesses the overall structure and operations of UMass Lowell's compliance program, including the individuals with compliance responsibilities and how those responsibilities are carried out.

Key Strengths

1. *The director of athletics reports directly to the chancellor and serves on the chancellor's cabinet.*
2. *Letters of agreement for coaching staff members include language about the potential for NCAA enforcement actions as required by NCAA Bylaw 11.2.2.*
3. *The compliance committee meets monthly and provides external oversight of compliance policies and procedures.*
4. *Exit interviews are conducted with departing student-athletes and the results are discussed by the athletics director's senior leadership team.*
5. *All monies earned through camps and clinics and other fundraising efforts are deposited with the University's advancement department and controlled by the University's accounting procedures.*
6. *Coaches' meal cards can be utilized as debit cards for cash advances for team meals providing the athletics business office an efficient method for monitoring cash advances.*

7. *Compliance meets with each coaching staff separately on a regular basis to discuss NCAA rules that apply specifically to that sport.*
8. *Compliance meets with each team twice a year to review applicable and timely NCAA rules with the student-athletes.*
9. *The compliance staff meets with all new athletics department employees within the first week of employment to review NCAA rules and compliance procedures.*
10. *The external liaisons in the registrar and financial aid offices have attended the NCAA regional rules seminar.*

a. Organization, Structure, and Commitment to Compliance

Director of athletics Dana Skinner has a direct reporting line to Chancellor Meehan. They meet formally on a monthly basis and are in frequent contact, as-needed via additional meetings, e-mail, and telephone. Skinner is a member of chancellor Meehan's cabinet, which meets monthly as well. Skinner is responsible for all final hiring decisions in the athletics department, with input from the chancellor on senior level athletic administration and head coaching positions. The importance of compliance with NCAA rules is stressed during the hiring process. The chancellor is also notified of compliance issues and provides budgetary oversight and approval.

The University does not currently have an "Athletics Board" in place as described by NCAA Constitution 6.1.2. However, the chancellor plans to appoint an athletics board utilizing members currently serving on Institutional Performance Program ("IPP") committees, which are gathering and discussing Division I data requirements for academics, fiscal management, department demographics, and student-athlete opportunities and well-being.

The Compliance Committee was created to assist in the development and review of compliance policies and procedures. Members of the Compliance Committee include the

compliance staff (Niedergall and Jerron Pearson), the director for student-athlete services (Stake), members of the academic support services staff, and athletics liaisons in the financial aid, registrar, and admissions staffs. The Compliance Committee meets monthly to review existing procedures and will occasionally spot check compliance areas (e.g., recruitment monitoring, financial aid awards, etc.). The Compliance Committee appears to be an asset for the compliance program.

Stephen McCarthy is in his second year as the faculty athletics representative (FAR). He meets in-person with the chancellor once a semester and has regular informal communication with the director of athletics. McCarthy attends the monthly athletics staff rules education sessions and reviews the presentation if he misses a session. He receives, signs and approves NCAA violation reports, waiver requests and eligibility certification reports. McCarthy also administers the coaches' certification tests.

Sandra Niedergall began as the associate athletics director for compliance in November, 2014. Prior to her arrival, Kristi Stake served as the athletics department's compliance director and well as oversaw student-athlete services. The University made it priority to split those duties into two separate offices. Stake continues to oversee student-athlete services, and Niedergall is primarily responsible for the operations and oversight of UMass Lowell's rules compliance program. Niedergall and Jerron Pearson, assistant director of compliance, make up the compliance staff. The compliance staff utilizes the NCAA Compliance Assistant program ("CA"), for (i) student-athlete information; (ii) financial aid information; and (iii) eligibility information, allowing compliance to create NCAA-required forms (e.g., squad list). The athletics department also utilizes the ARMS software program to collect and monitor coaches' recruiting as well as playing and practice season activities.

In addition to their monitoring duties, the compliance staff is responsible for designing and implementing the rules education program for the athletics department's staff, coaches, and student-athletes, as well as for handling interpretative questions. Niedergall reports to the athletics director. Based on the discussions during the review, Niedergall and Pearson appear to have the respect and support of the athletics department and are readily accessible to the staff and coaches when questions or issues of a compliance nature arise. All staff members interviewed, internal and external to athletics, identified Niedergall as the contact for any questions on the application of NCAA rules. All staff members interviewed appeared to understand that any information regarding a possible violation is to be reported to the compliance staff.

During the interviews, the athletics staff and coaches appeared knowledgeable of the compliance policies and procedures, as consistent information was reported by the coaches and staff regarding compliance processes and expectations of conduct. Compliance is a part of each athletics department staff member's evaluation. Required attendance at staff meetings reinforces the message that full compliance is an obligation of employment.

The compliance staff has fostered cooperative relationships with the primary liaisons to the admissions, financial aid, and registrar's offices that have compliance-related duties. Final decisions regarding admissions, eligibility, and financial aid are made by these non-athletics offices, not by the athletics department.

Areas for Improvement

The rules compliance program, policies, procedures, and forms have undergone many recent changes and enhancements. It appears that most of the essential components of a viable program are in place. However, the compliance program would benefit from the following:

1. **Add a secondary reporting line outside of athletics for Niedergall.** Currently, Niedergall reports only to the director of athletics. A secondary (dotted line) reporting line for compliance to an office outside of the athletics department should

be established (e.g., member of the chancellor's cabinet, general counsel). This is a precautionary step to avoid a potential conflict of interest in the unlikely scenario of a high level athletics department administrator's involvement in a violation of NCAA rules.

- 2. Evaluate the role of the FAR, including compliance-related tasks, and revise the job description for the position.** The FAR appears to only be involved on the back-end of compliance (e.g., violation reports, eligibility certification). The FAR should have the opportunity, and be encouraged, to participate more proactively in compliance-related areas that are tied to academics and student-athlete welfare (e.g., eligibility certification discussions, academic progress and graduation success reporting), rules education, and investigation of potential NCAA violations. The job description for the FAR has not been revised since the move to Division I. Once a broader, more robust role for the FAR is established, the University should update the FAR's job description accordingly.
- 3. Update the procedures for investigating and reporting NCAA violations.** The University has written procedures to investigate and report routine secondary violation. However it should develop and place in writing a formal process for conducting investigations of potential major (i.e., Levels I and II) rules violations. The process should be available for review in a central location (e.g., the compliance manual). The process followed in a major infractions inquiry usually requires a more comprehensive and detailed investigative methodology, structure and timetable. The process should at a minimum include: identification of individuals to receive reports of violations, the individuals on campus to be involved in an investigation, how eligibility issues would be handled, the individual(s) who have the authority to determine if a violation occurred, who determines the corrective or preventative actions, and who writes the self-report. It is also important to have a media relations strategy in place. Further, the compliance staff should meet with all those involved in the investigative process (e.g., chancellor, director of athletics, in-house counsel, public relations, etc.) at least once a year to go over their roles in the process, as well as the NCAA's expectations cooperation and maintaining the integrity of an investigation.
- 4. Develop policies prohibiting coaches from contacting faculty and staff external to athletics.** A policy should be developed to prevent coaches from having independent direct contact with the registrar, financial aid, and admissions offices, or with faculty members about student-athletes or prospective student-athletes so that issues surrounding eligibility are not compromised. Coaches should coordinate communications with these campus departments and faculty through the compliance staff or the director of student-athlete services.
- 5. Provide the compliance staff with offices in both buildings housing athletics department staff members.** The athletics department houses its staff in two separate

locations, the Tsongas Center and the Costello Athletic Center. The compliance office is located in Costello. Providing the compliance staff with office space in which at least one staff member can regularly spend a significant amount of time in both locations will increase interaction between the compliance staff and other athletics department personnel and provide better opportunities for in-person communication and monitoring. Niedergall's office should be considered the central compliance office, where forms and other compliance-related information are directed. Currently, the compliance staff is made up of two individuals, but an increase in staff size (as recommended below) would make the operation of a "satellite office" increasingly feasible. If multiple compliance offices are established, the compliance staff should develop a regular meeting schedule to coordinate their communication and monitoring efforts.

6. **Additional full-time compliance staff.** It is recommended that at least one additional member be added to the compliance staff. In light of the scrutiny an institution's monitoring systems receive from the NCAA enforcement staff and Committee on Infractions if a major violation is discovered, the University should seriously consider a strategy to add at least one full-time professional compliance staff member. Based on the NCAA compliance best practices for a Division I institution, a compliance office should be staffed by at least two full-time staff members dedicated solely to compliance duties, with an additional part-time (at least) staff member to provide assistance with day-to-day monitoring and data entry.
7. **Emphasize the importance of signing the certification of compliance form.** Based on information shared during on-campus interviews, it appears that the administration of this form occurs absent any discussion about the purpose and importance of the form and what the coaches are attesting to when they sign it. It is recommended that the chancellor or director of athletics explain the significance of the form at an annual meeting attended by all athletics department staff before the coaches sign the form.

b. Finance and Use of Funds

The athletics department has established centralized fiscal control of expenditures and revenues. Senior associate athletic director Tracy Ellis-Ward oversees Christina Stone, the Athletics Business Manager, in the oversight of the athletics department's budget, and the sport supervisors have direct oversight of team expenses. The athletics budget is reviewed by an outside auditor annually, as required under NCAA rules. After receiving input from Stone, the

coaching staffs, and sport supervisors for each team, the director of athletics discusses the departmental budget with his senior leadership team and ultimately proposes a budget to the University's budget committee. The budget committee then determines preliminary allocations to each University department, including the athletics department. The budget then is sent to the chancellor for his approval. Subsequently, Chancellor Meehan presents the University's budget, including the athletics department's portion, to the University of Massachusetts System president and board of trustees for final approval. The University's accounting office monitors all sport expenditures. Monthly budget reports are sent to the head coaches and their sport supervisors.

The University's accounting office utilizes a number of checks and balances to monitor accounts. Coaches are provided institutionally issued meal cards and departmental Master Cards to pay for travel expenses. The meal cards are to be used for team meals. The Master Cards are to be used for hotels and rental cars for individual travel, equipment purchases under \$1,000, and team travel. All cash advances for recruiting or team travel and all operating expenditures (e.g., equipment purchases) must be approved in writing by the athletics department's business office. The University has started a pilot program allowing coaches to obtain cash advances utilizing their meal cards. A cash withdrawal will show up on the coaches' monthly statements, and the coaches will need to demonstrate how the cash was spent via receipts. When meal per diems are dispensed to a team, each student-athlete must sign a form attesting to the receipt of the funds. The monthly credit card statements for both cards are sent to the athletics department's business office. From there, the statements and reconciliation sheets are sent to the coach for their completion and return with receipts for each purchase. The associate athletics director for compliance does not review any financial transactions for compliance with NCAA legislation.

All monies generated through fundraising, or otherwise donated to the athletics department, are processed through the University's advancement office. Donations or gifts to a specific sport are deposited in that sport's booster account. The money in a booster account may be used at the discretion of the head coach, subject to approval from senior associate athletic director for external operations, Scott Dolch. All athletics-related accounts must adhere to the University's normal accounting practices. Further, the advancement accounts are audited on an annual basis, along with all other University accounts.

The River Hawk Club is the fundraising entity responsible for generating donations for the athletics department. Dolch and the athletic advancement staff oversee the operations of the River Hawk Club. Coaches may raise money for their own sports to supplement their operational budgets after receiving prior approval from both the athletics advancement staff and compliance office. Many coaches utilize income from sports camps or clinics to raise these funds. Most camps are institutionally owned, with the exception of men's basketball and ice hockey. The revenue from a camp is submitted to the athletics department's business office for deposit into the sport's camp account.

Areas for Improvement

1. **Develop a camps and clinics manual.** It appears that the majority of the policies and procedures for holding an institutional camp or clinic are in place and a brief description is provided in the athletics department's policies and procedures manual. However, a step-by-step guide including forms to complete, approvals required, conduct during the camps, financial, and post-camp requirements should be developed.
2. **Create a camp director position.** Currently, coaches are primarily responsible for seeking the proper camp approvals, handling any funds received during the camps, and documenting camp requirements. This decentralized approach could lead to inconsistent practices and standards as well as place the University at greater risk of an institutional monitoring or control violation if there is an underlying NCAA violation related to the conduct of camps. It is recommended that the University consider creating a centralized position within the existing athletics department staff

or with a new hire to serve as the overall camp director for the department. This person could ensure department-wide consistency and compliance with institutional and NCAA rules regarding the camp approval process, how finances are handled and reported, camp advertising, the employment of student-athletes and other camp staff, recruiting issues, and the like.

- 3. Develop policies and procedures to ensure that the compliance views coaches' expenditures.** The compliance office does not have the opportunity to review any expenses incurred by the coaches to ensure compliance with NCAA rules. It is recommended that the compliance staff reviews all official visit expenditures and, at least on a spot-check basis, the expenditures/reimbursements for recruiting, team travel, and camps and clinics. This should include a review of the coaches' meal card and Master Card statements. If a policy is established where compliance reviews and approves such expenses, adding a signature or initial line for compliance to reimbursement/ reconciliation forms is recommended.

c. Rules Education

The athletics department's compliance staff of Niedergall and Pearson serves as the key figures for rules compliance and appear to be respected by others in the department and offices external to athletics because of their knowledge and experience in applying NCAA legislation. All those interviewed reported good accesses to the compliance staff and awareness that they should contact Niedergall or Pearson with any compliance-related questions or concerns. Requests for an interpretation of NCAA rules may be asked verbally or submitted in writing to the compliance staff. Verbal responses to simple questions are not documented. However, if a question is complicated or requires research, the response is provided in writing, and a record of the response is kept in the compliance office.

Rules education is provided to the athletics department staff via in-person rules education once a month at a mandatory rules education meeting. The FAR and external liaisons in the financial aid, admissions, and registrar's offices also attend these meetings when available. As a

follow-up, the compliance staff e-mails the monthly presentation to the athletics department staff and external liaisons with compliance responsibilities. The athletic director also provides Niedergall the opportunity to present information at a mandatory monthly head coaches' meetings. In addition to the in-person meetings, the compliance staff sends timely e-mail reminders and hangs print-outs of compliance tips throughout athletics department facilities.

The compliance staff meets separately with each team before the start of the season to review NCAA rules and NCAA-mandated forms (e.g., drug testing consent form). The FAR also attends these meetings, which enables him to meet the student-athletes and to explain his role. The compliance staff plans to meet again with each team toward the end of the spring semester to address rules more specific to the summer vacation period (e.g., outside team participation and employment).

The booster education program is growing. Compliance information is posted on the athletics department's website.

Areas for Improvement

1. **Initiate an annual chancellor address to the athletics department regarding the importance of rules compliance.** The chancellor should address the athletics department on an annual basis to reinforce the University's compliance expectations and stress the importance of working within the NCAA rules and regulations.
2. **Initiate an annual chancellor's message to the faculty and campus staff.** The Chancellor should send an e-mail to the faculty and campus staff at the start of each academic year to explain the importance of compliance with NCAA rules and to identify specific rules that may apply to the campus community (e.g. extra benefits, academic issues).
3. **Share applicable rules interpretations with others.** The compliance office does not usually share the interpretations it obtains for a specific sport with others external to athletics (e.g., FAR, registrar, etc.). The sharing of interpretations supplements a rules-education program and enhances institution-wide rules awareness.
4. **Provide formal rules education for administrators external to athletics.** The liaisons

to the athletics department from various external offices (e.g., admissions, academic records, financial aid) are invited, and typically attend monthly athletics department compliance meetings and regularly speak with the compliance office on an informal basis. However, these individuals, along with the staffs in their respective offices, do not receive formal NCAA rules education. They would benefit from an annual rules education presentation focused on their institutional responsibilities.

5. **Provide rules education to the athletics advancement staff.** The athletics advancement staff has expanded. It is important for the compliance staff to meet with the athletics advancement staff at least once a year to go over NCAA rules associated with boosters, sponsors, and other corporate partners (e.g., extra benefits, employment, etc.).
6. **Strengthen the booster education program.** The University should develop a more comprehensive and regular booster education program than currently exists. The boosters need to know their responsibilities under NCAA rules. UMass Lowell can include booster education materials in many of its existing publications such as game-day programs, booster program applications, and compliance presentations at fundraising activities. Further, the University has partnered with a number of local corporations for sponsorships, and it is recommends that those partners are provided rules education as well.

2. Recruitment Monitoring

This key component of the review measures the athletics department's efficacy in monitoring the recruitment of prospective student-athletes.

Key Strengths

1. The University's dean of enrollment reviews recruiting policies and procedures.
2. Admissions will conduct early reads on high school and transfer prospects to check the potential admissibility of the prospect.
3. The student-athletes and coaches interviewed understand the expectations of appropriate conduct during a prospective student-athlete's official-paid visit.
4. The University has invested in a compliance software system that is designed to track recruiting activities and reduce violations.

a. Organization/Communication/Evaluation of the Recruitment Process

Sandra Niedergall and Jerron Pearson comprise the full-time compliance staff. The compliance staff is provided an intern from the law school. Pearson reviews ARMS on a daily basis and serves as the primary person who monitors the recruiting activities the coaching staffs log into ARMS. UMass Lowell has developed written procedures for monitoring official-paid visits. Before a coach may invite a prospect on an official-paid visit, the coach must submit an official visit request along the prospect's transcripts and test scores through ARMS for the compliance staff to review. The compliance staff ensures the prospect is registered with the Eligibility Center and placed on the University's Institutional Request List (IRL).

Prior to the prospect's visit, the coach is expected to meet with his or her team and any student hosts to review recruiting guidelines (e.g., no alcohol, drugs, excessive entertainment). The athletics department's business manager also reviews the student-host guidelines when the host completes and signs the student host form in order to collect student-host money. Once the visit is complete, the coach completes the post official visit form and reconciles any cash advance (e.g., money for the student host), as well any MasterCard card statements, by providing the appropriate receipts. The athletics business manager reviews the information and approves the expenses. Coaches are to also document unofficial visits via ARMS as soon as possible after the visits take place.

All coaches who recruit off-campus must pass the NCAA Coaches Certification Exam, which is administered by the FAR, when he is available. Exam results are posted in CA.

Areas for Improvement

1. **Review of all post official visit records by the compliance staff.** Currently, the compliance staff only has access to the pre-visit request form and any official visit information the coaches put in ARMS. The compliance staff should review all post-visit information, including expenses, activities attended, and who was involved with

the visit (e.g., prospect's family, volunteer coaches, etc.). Written policy should require coaches to input all official visit information into ARMS by a certain deadline after the visit takes place (e.g., 10 days). Also, the compliance staff should spot check expense reconciliations submitted to the athletics business manager and cross check that information with ARMS.

3. Eligibility and Certification.

This key component of the review measures the athletics department's compliance with NCAA rules when certifying the eligibility (initial or continuing) of a student-athlete.

Key Strengths

1. *Effective and free-flowing communication exists between compliance and the admissions and registrar's offices*
2. *Student-athletes are provided priority registration, allowing them to schedule classes necessary to meet eligibility requirements.*
3. *Prospective student-athletes are admitted on the same basis as the general student body.*
4. *Decisions on admissions and the certification of eligibility of student-athletes are made outside of athletics.*
5. *The eligibility certification officer in the registrar's office is evaluated on her athletics compliance responsibilities, which are included in her job description.*
6. *Multiple checks of eligibility certification decisions occur.*
7. *Prior to the start of the playing season, each team's roster is reviewed to ensure the eligibility status of each student-athlete.*

a. Organization/Communication/Evaluation of the Eligibility Certification Process

When the compliance staff receives a prospect's transcript and test scores from a coach prior to an official visit, compliance contacts the NCAA Eligibility Center and activates an IRL

for the prospect. Compliance is responsible for monitoring the initial eligibility status of prospects and communicating the information from the Eligibility Center to the coaches. As noted above, upon receipt of the prospect's academic transcript, the compliance staff also reviews the academic information and communicates to the coach whether the prospect appears to be eligible. Compliance also shares the transcript and test scores with admissions office liaison Ed Seero to determine whether the prospect would be admissible.

UMass Lowell admits prospective student-athletes on the same basis as it does other students. The admission standards are in writing and require a prospective student to meet minimum requirements (i.e., 2.7 grade-point-average and 970 SAT score). If a prospective student-athlete fails to meet the minimum requirements, he or she can request a "second read". The coach will inform Kristi Stake, associate athletics director for student-athlete services, that the prospect would like second read. Then Stake and Seero interview the prospect to assess his or her ability to succeed at the college level based on a demonstration of resiliency, leadership, and outside support (e.g., family), among other factors. One prospective student-athlete per team can be admitted via a second read each year. Seero ultimately determines if a student-athlete is admitted via a second read. It was estimated that approximately 60 students in total are admitted to the University via a second read each academic year, with approximately 10 of these being prospective student-athletes.

Regarding the certification of continuing eligibility, Lauren Dufresne, associate registrar, is the primary contact for the compliance staff in the registrar's office and serves as the University's certification officer. She reports to the registrar and is responsible for making progress-toward-degree decisions for student-athletes. Dufresne understands the requirements of each degree program and ensures that only proper credits are counted to meet progress-toward-

degree requirements. During the spring term, Dufresne develops “progress-toward-degree audit forms” for each student-athlete based on information provided in the “student-athlete annual enrollment and grade report”. She certifies which classes count toward the student-athlete’s major and determines his/her degree percentage completed. Dufresne then sends the spreadsheet to the compliance staff.

Once grades are posted, the athletics department utilizes the “grades report” and the “academic details of enrolled student-athletes (end term)” to certify student-athletes’ GPA, credits passed and degree declaration. Dufresne also reviews the reports to double-check that the progress-toward-degree forms remain accurate. In addition, the University’s student information system (“ISIS”) has a degree audit component, which allows for “advising reports” indicating degree progress to be run for each student at the University. The advising reports are set up for each major and populate which courses count toward the degree. Dufresne utilizes the advising reports as an additional check on the accuracy of the progress-toward-degree audit forms used to help certify student-athlete academic eligibility. The compliance staff utilizes the information obtained from the progress-toward-degree audit forms created by Dufresne, as well as from the other institutional reports to create the “academic eligibility for coaches report”, which is distributed to the coaches, athletic director, sports supervisors, and FAR as a means to communicate the eligibility status for each student-athlete.

The eligibility certification for transfer student-athletes (both 2 and 4-year) begins when a coach provides a copy of a transfer’s unofficial transcript to the compliance staff. The compliance staff then sends the transcript to the admissions office for an “early” analysis of transferable credit and all credits applicable towards a degree. The University has a “transfer dictionary” of transfer courses that have counted as credit in the past. If courses come in on a

transcript that are not in the transfer dictionary, a course description is sent to the relevant University department to determine if the course should be counted toward a major. The transfer's official admissions application is reviewed in the admissions office in the same manner as other applicants. Once the admissions office admits the transfer and the official transcript and coursework is entered in ISIS, Dufresne evaluates these credits and the transfer's progress-toward-degree percentage and then consults with the compliance staff to determine if all transfer requirements have been met.

Stake oversees academic advising within the athletics department. She and two full-time staff members assist student-athletes with academic issues through referrals to writing labs, tutoring, and other counseling issues. They communicate coaching staffs about student-athletes' academic progress, and liaison between student-athletes, faculty, University academic advisors, and coaching staffs about academic issues. In her role as liaison between these groups, Stake sends out periodic grade reports to the student-athletes' professors to obtain updates about student-athletes' academic progress during a term.

The University monitors full-time enrollment of its student-athletes (i.e., 12 hours) through ISIS, which contains a code that identifies student-athletes. A hold is also placed on student-athletes' accounts so they cannot drop a class and fall below 12 credits without approval from Stake.

b. Academic Progress Program

Fall 2014 was the first year for UMass Lowell to report Academic Progress Rate ("APR") information to the NCAA. The compliance staff imports eligibility information from CA and retention data from ISIS into the APR portal. The University has yet to incur any APR penalties

Areas for Improvement

1. **Establish an eligibility team.** Currently, both Dufresne and the compliance staff share responsibility for certifying student-athlete eligibility. While athletics department staff should be involved in the certification process, they should not be decision-makers. The determination of eligibility should take place outside of the athletics department with input and interpretations provided by athletics department staff. The University should develop an eligibility team to assist Stake with this important compliance component to ensure that additional checks and balances are in place when certifying a student-athlete's eligibility. Possible members of such a team include Stake, the admissions liaison, and the FAR. The compliance staff should attend eligibility team meetings to answer any compliance-related questions, but should not be part of discussions surrounding eligibility decisions.
2. **Annual evaluation of the certification of eligibility system.** Review and evaluation of the initial and continuing eligibility process should occur annually. If new procedures are implemented, the chancellor should review and approve the updated procedures. This may be an area in which the compliance committee could provide oversight.
3. **Consider utilizing GradesFirst software.** GradesFirst will help Stake facilitate communication and grade reporting with the faculty, coaches, and student-athletes, which will allow Stake to offer academic assistance and advice in a more timely fashion. GradesFirst also has a textbook tracking component that could provide an efficient compliance tool for monitoring the textbook program.
4. **Document the APR data collection and penalty assessment procedures.** The procedures used for APR reporting have not been documented and no procedures exist in the event contemporaneous and/or historical penalties apply. Documentation of these procedures would also be useful to train another individual to conduct the data collection and reporting process.
5. **Create a bridge allowing information from ISIS to be transferred into CA.** Currently, Stake enters eligibility certification data into CA manually. Although nothing is inherently wrong with this process, an IT bridge would reduce the opportunity of human error and increase the efficiency of monitoring continuing eligibility.
6. **Deter communication between admission and the coaching staff.** During the review, it was reported that coaches contact the admissions office regarding admissions questions about recruited prospects. Although it does not appear that any coach is attempting to inappropriately influence admissions decisions, it would be best for institutional control purposes to channel all communication about the admissions process between Niedergall or Stake and admissions office. Then, Niedergall or Stake could contact the coach with pertinent information.

- 7. Develop a form encompassing all transfer information.** The compliance staff should develop a form where all information about a transfer student-athlete can be input and tracked. Information should include type of transfer (e.g., 2-4, 4-4, etc.), transfer requirements (e.g., permission to contact, academic requirements, year in residence, etc.) and approval signatures from those involved in the process (e.g., compliance, admissions).

4. Financial Aid.

This key component measures the athletics department's compliance with NCAA rules when awarding financial aid to student-athletes.

Key Strengths

1. The process for awarding financial aid is set forth in writing and is reviewed and updated on a regular basis.
2. There is regular communication between the compliance and financial aid staffs.
3. The financial aid liaison enters financial aid awards in both ISIS and CA.
4. Student-athletes are coded on the financial aid page of ISIS.
5. The athletics liaison in the financial aid office is evaluated on his athletics compliance responsibilities, which are included in his job description.
6. There is frequent monitoring of ISIS and CA for financial aid issues.

a. Organization/Communication/Evaluation of Financial Aid Awarding Process.

Alex Gonzalez, Senior Associate Financial Aid Director, serves as the primary liaison to the compliance staff and works with the compliance office in coordinating financial aid for student-athletes. The financial aid office interacts with the compliance staff on an almost daily basis via e-mail, phone, and in-person conversations. The Board of Trustees sets tuition and

fees, and the financial aid office uses that information to calculate the value of the cost of attendance. Gonzalez develops the cost of a full grant-in-aid at UMass Lowell.

For prospects signing a National Letter of Intent (“NLI”), a coach completes the NLI authorization form and submits it to the compliance staff. Compliance then checks the prospect’s eligibility status and whether the prospect is admissible before signing the form. The sport supervisor then reviews the form to ensure the amount offered is within the team’s budget. The form is then sent to Gonzalez who creates the actual financial aid agreement and sends it back to compliance. Compliance then generates the NLI and sends it, along with the financial aid agreement, to the prospect.

Gonzalez serves as the primary data entry person for student-athletes in the financial aid office. He posts the financial aid information to each student-athlete’s account in ISIS and is also responsible for entering the data into the CA and tracking the financial aid information for compliance with NCAA rules. Compliance maintains a master spreadsheet of all student-athlete athletics awards and cross checks that information with the information contained in CA five times a year. If a student-athlete’s aid exceeds the permissible limits, the compliance staff contacts the financial aid office to make the necessary adjustments. As an additional cross-check of financial aid limits, compliance reviews squad lists to ensure financial aid awards are within permissible limits. Squad lists are reviewed and signed by the athletics director (or designee), the FAR, liaisons from the financial aid and registrar’s offices, the head coach and compliance.

The compliance staff tracks countable aid by collecting information from student-athletes and coaches at the beginning of the academic year regarding the student-athletes’ recruited or non-recruited status, and whether any outside aid was awarded on the basis of athletics participation (to any degree). All aid from outside sources is reviewed by Gonzalez prior to

posting the aid to a student-athlete's account. Gonzalez also reviews a weekly report tracking student-athletes' outside aid to ensure financial aid awards are within team and individual limits. The compliance staff communicates to the financial aid office any changes to a team roster (e.g., addition to the team, dropped from the team), allowing both offices to track student-athletes' eligibility to receive financial aid. The compliance office indicates the recruitment status of a student-athlete in CA, based on how the head coach identifies the student-athlete. All student-athletes are presumed recruited, unless a coach indicates the student-athlete was not recruited. The compliance staff reviews ARMS to make final determinations on recruitment status.

Financial aid renewal letters are sent out prior to the July 1 deadline. Toward the end of the spring term, each head coach completes the "financial aid agreement authorization form", which is a spreadsheet indicating the award for each student-athlete. A member of the compliance staff, the sport supervisor, and the coach meet to go over the spreadsheet. All three individuals sign the spreadsheet. If an award is reduced or cancelled, the coach indicates a reason for the reduction and meets with the relevant student-athlete regarding the decision. Once the spreadsheet is signed by all parties, it is sent to the financial aid office, which generates the financial aid agreements and renewal or nonrenewal letters. Renewal letters are signed by Gonzalez, and reduction or cancellation letters are signed by the University's financial aid director Joyce McLaughlin. In the event of a nonrenewal or cancellation, the letter includes a description of the appeal procedures in case the student-athlete elects to challenge the decision to reduce or cancel financial aid. The University has an appeals committee for student-athletes to contest cancellations or adjustments to their financial-aid awards.

Stake maintains a list of student-athletes who receive books as a part of their financial aid awards and provides the list to the bookstore. The bookstore is educated on the NCAA

requirements for book awards. The athletics department has a credit at the bookstore, which receives a list of those student-athletes permitted to receive required textbooks. Once the student-athletes receive their books, the bookstore sends the receipts to Stake, who audits the receipts to ensure book awards comply with NCAA requirements. At the end of the term, the student-athletes return the books to each sport's director of operations, who returns the books to Stake. The University is currently reviewing its existing book policy, and new procedures intended to enhance efficiency and accountability may be implemented.

Areas for Improvement

1. **Develop a bridge allowing information from ISIS to be transferred into the CA.** Currently, Gonzalez enters financial aid data into CA manually. Although nothing is inherently wrong with this process, an IT bridge would reduce the opportunity of human error and increase the efficiency of monitoring financial aid. The monitoring of student-athletes' financial aid would continue to be a shared compliance function between the financial aid office and the compliance staff.
2. **Enhance the book award process.** While the current process appears to be functional and all involved parties are educated regarding NCAA requirements, the process could be better streamlined. Utilizing a software program (e.g., GradesFirst), that works in conjunction with the bookstore, could help enhance communication between the athletics department and the bookstore, as well as assist in the monitoring process. Any policy and procedure for book awards should be placed in writing and found in both the athletics department policies and procedures handbook and student-athlete handbook.

5. **Student-Athlete Issues.**

The NCAA uses this key component to focus on four specific areas of NCAA legislation that have direct impact on student-athletes: amateurism; playing and practice seasons; promotional activities; and awards.

Key Strengths

1. *The compliance staff meets with the student-athletes twice a year to discuss NCAA rules and other student-athlete issues.*

2. *All information released publicly regarding a prospective student-athlete's signing of a National Letter of Intent must be approved by the compliance staff in advance.*
3. *The student-athlete handbook contains information regarding complimentary admissions, amateurism, and agents.*
4. *The logs regarding countable athletically related activities ("CARAs") are submitted to the compliance staff weekly by the coaches and are verified by student-athletes not identified to the coaches.*

a. Amateurism

The NCAA Eligibility Center certifies the initial eligibility of each student-athletes freshman year based on NCAA academic and amateurism requirements. The compliance staff monitors the employment of student-athletes during the academic year as well vacation periods by having student-athletes review and sign forms to verify that any employment is within the guidelines established by the NCAA. The compliance staff requires student-athletes to get approval from both the head coach and compliance prior to participating in any outside competition. The compliance staff also provides rules education via the student-athlete handbook and team meetings regarding amateurism.

As UMass Lowell transitions to Division I, it will likely recruit higher-profile student-athletes, and its teams and student-athletes will become more visible. Thus, concerns about amateurism issues may increase. Based on the information provided, it does not appear that this has been an area of high compliance risk for UMass Lowell in the past and, thus, has not been an area of compliance emphasis. However, the compliance office should begin to implement a system which anticipates future changes and emphasizes that student-athletes and coaches are educated about NCAA rules regarding amateurism

Areas for Improvement

These recommendations regarding amateurism may not appear to be an immediate need, but should be included in UMass Lowell's long-term plan.

1. **Enhance the monitoring of student-athlete employment.** The compliance staff should evaluate the benefit of implementing a process of providing education to employers (particularly those in the Lowell area) about NCAA rules governing employment. For example, adding a section to the existing employment form for employers to sign attesting to their understanding of applicable NCAA rules regarding student-athletes who they employ would assist in monitoring employment.
2. **Monitoring of student-athlete vehicles.** The University does not currently have student-athletes register their cars with the compliance staff. The University should consider having student-athletes report vehicles they have on campus to compliance so they can appropriately monitor and track which student-athletes have vehicles on campus and that those vehicles were obtained within NCAA amateurism guidelines.

b. *Playing and Practice Seasons*

NCAA rules specify the number of athletics-related hours in which student-athletes can be involved, both on a daily and weekly basis. UMass Lowell has implemented a system to monitor daily and weekly CARAs on a weekly basis. CARA hours are recorded by the coaching staffs via ARMS and a link to the CARA logs is sent by the compliance office to two student-athlete on each team, not identified to the coaches, for review and approval. In addition to reviewing CARA logs on a weekly basis, Pearson also administers the "declaration of playing season form" to all coaches. Both Pearson and the sport supervisors monitor each team's number of contests and first permissible dates for practice and competition.

It was reported that currently only those student-athletes enrolled in summer school may live on campus during the summer break. Men's ice hockey, and men's and women's basketball

are the only sports that have student-athletes attending summer school. However, the policy does not prohibit prospects from living in the vicinity of campus prior to enrollment.

Areas for Improvement

1. **Monitor out-of-season summer workouts.** One of the most prominent trends among Division I programs over the last decade has been the increase in on-campus summer school attendance by enrolled student-athletes, and their involvement in summer workouts. The University should institute effective monitoring of these issues. In regard to workouts, the University should provide specific guidance as to the difference between the voluntary and non-voluntary nature of the workouts. In addition, the compliance staff should know who is on campus to track housing arrangements and other possible extra benefits that could be afforded a prospective student-athlete coming to campus in the summer.

2. **Identify athletic trainers and/or student-athletes from each team to assist in the monitoring of CARAs.** A monitoring strategy that may enhance the effective monitoring of CARAs is to request on a confidential basis that select athletic trainers and/or student-athletes contemporaneously track the time commitments on a chart that is provided to the coaches. The compliance staff can then compare the charts for any differences.

c. *Promotional Activities.*

Interest in the usage of a student-athlete's picture or name by outside organizations or businesses will likely increase as the program transitions to Division I. The athletics marketing staff handles all promotional activities for the athletics department. If a promotional activity involves a student-athlete, coach, or an event involving prospective student-athletes, the compliance staff must approve the event.

d. *Awards and Benefits.*

The monitoring of awards and benefits is achieved primarily in the form of rules education provided to student-athletes at the beginning of the academic year. During these

sessions, student-athletes review the student-athlete statement and other NCAA forms (e.g., drug testing consent) and are provided with a rules-education summary by the compliance office. The compliance office provides rules education to the coaching staffs regarding permissible and non-permissible expenses related to practice and competition. Complimentary admissions are administered through an online portal on ISIS. Coaches and student-athletes submit the names of those they would like to appear on the pass list for each game. The list is reviewed by the compliance staff prior to the competition. Those working the pass gate at home contests are educated regarding NCAA required procedures for the complimentary admissions process, and the compliance staff is on hand at home games to spot check that procedures are adhered to.

Areas for Improvement

- **Increase the monitoring of equipment and gear issued to student-athletes.** UMass Lowell should enhance the policies and procedures documenting any instance when apparel and equipment is provided to student-athletes. Currently, head coaches are responsible for the selection, distribution, and collection of team equipment and gear. The University should obtain software to help the equipment manager monitor and track equipment and gear issued by the department. Further, the compliance staff should be able review and compare a summary of the equipment and apparel issued at the beginning of the academic year/season and returned by student-athletes at the end of the academic year/season to ensure compliance with NCAA rules governing equipment issued to student-athletes.

Conclusion

It was apparent throughout the compliance review process and the on-campus visit in particular, that a top-down commitment to compliance exists at UMass Lowell. The University should be commended for hiring athletics administrators with past Division I experience (e.g., Stake and Niedergall) to assist with the transition from Division II to Division I. The athletics department has established liaison contacts, processes, and procedures regarding admissions, eligibility, and financial aid. There is a general understanding regarding the various compliance monitoring processes, although some of these processes need to be placed in writing and are still being revised and refined as needed.

UMass Lowell is appropriately continuing to improve its compliance systems during the transition to Division I. The University has been attentive to the time and staffing demands that are required to maintain a compliance program that will meet the standards expected of a Division I program on a daily basis, as evidenced by establishing compliance-related positions within the financial aid and registrar's offices. As with many institutions that are transitioning, establishing priorities is vital, as it is not possible to implement all recommendations at once. In that regard, the primary areas of emphasis for UMass Lowell, as set forth above, should be reviewing current policies and procedures to ensure that what is in writing is what is actually taking place, involving parties outside the athletics department in the development and approval of new policies (e.g., compliance committee), and developing an eligibility team to assist in the eligibility certification process.

Other suggestions in this report may not be urgent needs (e.g. increased monitoring of student-athlete vehicles), but have been made in anticipation of potential vulnerabilities for UMass Lowell as a Division I program.

APPENDIX C

COMPLIANCE IMPROVEMENT PLAN

Elements		Steps		
Program Areas	Recommendation(s)	Steps to Achieve Goals	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
1. Governance and Institutional Control	• Add a secondary reporting line for compliance	Establish secondary reporting line to HR – Michael Rutherford	AD/Provost/Chancellor/HR Director	End of 2016 spring semester
	• Evaluate role of FAR, including compliance-related tasks, and revise job description	<ul style="list-style-type: none"> • Review self-study report • Determine oversight gaps in academic areas • Review job description based on input • Review current procedures 	Chancellor/AD/Provost/ Sr Assoc. Compliance	End of 2016 spring
	• Update procedures for investigating and reporting NCAA violations	Review current procedures and make adjustments with new compliance staff	Sr. Assoc. Compliance, Compliance Coordinator, Deputy AD	Beginning fall 2015
	• Develop policies prohibiting coaches from contacting faculty and staff external to athletics	<ul style="list-style-type: none"> • Hire new assoc. AD academics • Implement policy change 	Assoc. AD Academics Assoc. AD Academics	Beginning fall 2015
	• Provide compliance staff with offices primary office buildings	Analyze feasibility of creating compliance office in Tsongas Center	Deputy AD/Assoc. AD Facilities	TBD in 2017
	• Hire additional full-time compliance staff	Forward job description to HR and begin posting process	Sr. Assoc. Compliance /Deputy AD	End of 2016 semester
	• Emphasize importance of signing the certificate of compliance form	Compliance staff will focus on document in 1st rules education meeting with staff	Sr. Assoc. Compliance	Beginning fall 2015 and ongoing

APPENDIX C

COMPLIANCE IMPROVEMENT PLAN

Elements		Steps		
Program Areas	Recommendation(s)	Steps to Achieve Goals	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
	<ul style="list-style-type: none"> Develop camps & clinics manual 	<ul style="list-style-type: none"> Review current manual and campus event management regulations for compliance Forward email to staff with updated manual 	Sr. Assoc. Compliance/Compliance Coordinator	Beginning 2015 fall term
	<ul style="list-style-type: none"> Create camp/clinic position 	<ul style="list-style-type: none"> Assign camp director for all sport programs - Assoc. AD Facilities Centralize all camp & clinic requests 	Deputy AD/Assoc. AD Facilities	Beginning 2015 fall term
	<ul style="list-style-type: none"> Develop policies & procedures to ensure compliance review of coaches' expenditures 	<ul style="list-style-type: none"> Set regular meetings with Compliance of Business Offices Analyze business operations and insert compliance steps into process of official visits, team travel, camps/clinics, and travel authorization recruiting logs 	Sr. Assoc. Compliance/Assoc. AD Business Sr. Assoc. Compliance /Deputy AD	2016 spring semester
	<ul style="list-style-type: none"> Share applicable rules interpretations with other parties on campus 	Compliance office will share interps with athletic department and external personnel through emails and during monthly rules meetings	Sr. Assoc. Compliance/Compliance Coordinator	Beginning fall 2015 and ongoing
	<ul style="list-style-type: none"> Provide formal NCAA rules education for administrators external to athletics 	Periodic education meetings will be scheduled to ensure effective communication and knowledge of NCAA rules	Sr. Assoc. Compliance/Compliance Coordinator	Beginning 2015 fall term
	<ul style="list-style-type: none"> Strengthen education for boosters 	<ul style="list-style-type: none"> Include NCAA rules information during scheduled booster Improve compliance documentation on departmental website Expand compliance education postings in major athletic facilities 	Sr. Assoc. Compliance/Compliance Coordinator Sr. Assoc. Compliance/Compliance Coordinator Sr. Assoc. Compliance/Compliance Coordinator	Beginning 2015 fall term Beginning 2015 fall term Beginning 2015 fall term

APPENDIX C

COMPLIANCE IMPROVEMENT PLAN

Elements		Steps		
Program Areas	Recommendation(s)	Steps to Achieve Goals	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
2. Recruitment Monitoring	Review all post official visit records by compliance staff	<ul style="list-style-type: none"> Schedule regular meetings with compliance office and business office to review rules Analyze business operations and insert steps to ensure compliance where necessary 	Sr. Assoc. Compliance/Compliance Coordinator/ Assoc. AD Business	Beginning 2016 spring term
3. Eligibility and Certification	<ul style="list-style-type: none"> Establish eligibility team Conduct annual evaluation of the certification of eligibility system Utilize GradesFirst software Document APR collection data and penalty assessment procedures 	<ul style="list-style-type: none"> Identify members responsible for eligibility certification Schedule 1-2 meetings each semester to review student-athlete eligibility status Develop certification documents (actual and projected) Provide professional development opportunities to research processes used elsewhere Conduct periodic meetings during academic year to assess certification Create eligibility checks five times during the academic year Schedule conference office to conduct review within the next two years <p>Purchase GradesFirst software and work with IT department to integrate</p> <p>Identify individuals to document APR data collection procedures</p>	<p>Sr. Assoc. Compliance/Compliance Coordinator/Assoc. AD Academics/Associate Registrar</p> <p>Sr. Assoc. Compliance/Compliance Coordinator</p> <p>Sr. Assoc. Compliance/Assoc. AD Academics/Associate Registrar</p> <p>IT personnel/Assoc. AD Academics/Academic Coordinators</p> <p>Sr. Assoc. Compliance/Assoc. AD Academics/Associate Registrar/Head Coaches</p>	<p>Beginning 2015 fall term</p> <p>Beginning 2015 fall term</p> <p>Summer 2016 and summers thereafter</p> <p>Beginning 2015 fall term</p> <p>Beginning 2016 fall term</p> <p>Prior to 2018</p> <p>2015 fall term</p> <p>2015 fall term</p>

APPENDIX C

COMPLIANCE IMPROVEMENT PLAN

Elements		Steps		
Program Areas	Recommendation(s)	Steps to Achieve Goals	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
	<ul style="list-style-type: none"> • Create a bridge allowing information from ISIS to be transferred to CA • Stop communication between admissions and coaches 	Determine feasibility of creating bridge <ul style="list-style-type: none"> • Inform coaches of policy. • Admissions report inappropriate communication to Sr. Assoc. AD 	Dr. Director IT Services/Sr. Assoc. AD Assoc. Director Undergraduate Admissions/Sr. Assoc. AD/Coaches/Athletic Director	TBD 2015 spring term
4. Financial Aid	<ul style="list-style-type: none"> • Develop bridge allowing information to be transferred into CA 	<ul style="list-style-type: none"> • Determine feasibility of creating bridge • Analyze current process and develop new procedures as needed • Conduct pilot of new procedures during 2015 summer school 	Dr. Director IT Services/Sr. Assoc. AD Sr. Assoc. AD/Compliance Coordinator/Bookstore Manager	TBD 2015 summer term
5. Student-Athlete Issues	<ul style="list-style-type: none"> • Enhance monitoring of student-athlete employment • Monitor student-athlete vehicles • Improve monitoring of student-athlete out-of-season workouts 	<ul style="list-style-type: none"> • Analyze current process and develop new documents as needed • Promote need to use new document and process throughout calendar year • Develop form to track vehicles on campus • Coordinate parking exceptions for vehicles needing parking decals • Code student-athlete vehicles in University Parking Services database Develop process to document summer workouts	Sr. Assoc. Compliance/Compliance Coordinator Sr. Assoc. Compliance/Compliance Coordinator Sr. Assoc. Compliance/Compliance Coordinator Compliance Coordinator	Beginning 2015 fall term 2015 summer session 2015 fall term 2015 summer session

APPENDIX C

COMPLIANCE IMPROVEMENT PLAN

Elements		Steps		
Program Areas	Recommendation(s)	Steps to Achieve Goals	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
	<ul style="list-style-type: none"> Identify athletic trainers and/or student-athletes from each team to assist in monitoring CARAs 	<ul style="list-style-type: none"> Conduct random checks on athletic facilities Require monthly meetings with random student-athletes from each team to review activities Schedule meetings between compliance staff and athletic trainers to discuss playing and practice rules. 	<p>Compliance Coordinator</p> <p>Compliance Coordinator</p>	<p>2015 fall term</p> <p>2015 fall term</p>
	<ul style="list-style-type: none"> Increase monitoring of equipment and gear issued to student-athletes 	<ul style="list-style-type: none"> Create position for team services manager Centralize ordering of all apparel and equipment through team services manager. Conduct annual compliance review of equipment distribution & retention 	<p>Deputy AD/HR</p> <p>Team Services Manager</p> <p>Team Services Manager/Compliance Coordinator</p>	<p>2015 fall term</p> <p>2015 fall term</p> <p>Ongoing beginning 2015 fall term</p>

Academic Integrity

Operating Principle 2.1

Operating Principle 2.2

Appendices



University of
Massachusetts
Lowell

Learning with Purpose

Academic Integrity

*Operating Principle 2.1
Academic Standards*

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

- a. The institution admits all student-athletes as regularly enrolled, degree-seeking students in accordance with the regular, published entrance requirements that apply to all students;
- b. The institution admits only student-athletes who have reasonable expectations of obtaining academic degrees;
 - (1) If the academic profile of entering student-athletes, as a whole or for any student-athlete subgroup, is lower than that of other student-athlete or comparable student-body groups or subgroups, the contrast shall be analyzed and explained by appropriate institutional authorities.
 - (2) If the measures of academic performance of student-athletes, as a whole or for any student-athlete subgroup, are lower than that of other student-athlete or comparable student-body groups or subgroups, this disparity shall be analyzed, explained and, if necessary, addressed (through specific plans for improvement) by appropriate institutional authorities.
- c. Academic standards and policies applicable to student-athletes are consistent with those adopted by the institution for the student body in general or conference or Association standards, whichever are higher;
- d. Written policies related to scheduling are established in all sports to minimize student-athlete conflicts with class time and/or final examination periods due to participation in intercollegiate athletics, consistent with the provisions of NCAA Constitution 3.2.4.14; and
- e. Assessment, evaluation and plans for improvement exist to ensure acclimation, retention and academic success for student-athletes with special academic needs and student-athletes who are admitted through the institution's special-admission process or, for those institutions without a special-admission process, student-athletes in the lower quartile of the institution's student academic profile.

Self-Study Items for Operating Principle 2.1

- 1 Describe the process by which student-athletes are admitted to the 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 in general? Be specific and give careful attention to key decision points (e.g., second-level or subsequent review process, appeals procedure) in these processes and the individuals or groups involved at each point, including the role, either formal or informal, the department of athletics plays (if any) in the admissions process for student-athletes.**

Measurable Standard No. 1

Student-athletes must be governed by the institutional admissions policies that apply to all students.

Measurable Standard No. 2

Institutional admissions decisions for student-athletes must be made solely by the authority responsible for admissions decisions.

Admissions Process

Admission to all baccalaureate day programs is made through the Office of Undergraduate Admissions according to established undergraduate policies applicable to all students including student-athletes. The processes and criteria applicable to the admission of student-athletes do not differ from the processes and criteria for admitting students in general. Authority for admissions and certification of academic standing for student-athletes is entrusted to the same individuals and offices that are charged with those responsibilities for the general student population.

Senior Associate Athletic Director/SWA Sandra Niedergall serves as the primary liaison to the Office of Undergraduate Admissions through Associate Director for Admissions and Athletic Liaison Ed Seero, who communicate directly to discuss issues related to student-athlete admissions.

Freshman Admission

All applicants for admission as freshmen are evaluated using standards determined by both the Massachusetts Department of Higher Education (DHE) and the University of Massachusetts Lowell. These standards represent minimum requirements; meeting them does not guarantee admission.

Prospective freshman students are asked to submit an application for admission, an official high school transcript with at least six semesters of college preparatory level or higher coursework (completed at the time of admission), at least one letter of recommendation and an essay. Emphasis is placed upon the rigor of the high school course selection as well as scores on standardized tests (if applicable); letters of recommendation, essays and extracurricular activities are also considered during the evaluation of applications. Students shall have fulfilled all requirements for the high school diploma or its equivalent upon enrollment.

No-Test Option Admission

Effective for fall 2016 admissions, UMass Lowell implemented a “No-Test Option” through which prospective students may elect to not submit any standardized test scores as part of their admissions application.

Transfer Admission

For regular transfer admission to an undergraduate college or degree program, probability of success is measured by an individual’s previous academic record at some other accredited institution of higher education. Within the space available in particular programs, admission is offered first to those whose performance record indicates the highest probability of success in the chosen college and/or program.

Transfer students must meet one of the following criteria:

1. 12 to 23 transferable college credits and a minimum 2.5 college GPA;
2. Up to 23 transferable college credits, a minimum 2.0 college GPA and a high school transcript that meets the admission standards for freshman applicants;
3. 24 or more transferable credits and a minimum 2.0 college GPA.

2 Describe the process by which students who do not meet the institution’s standard or normal entrance requirements may be admitted, and identify the agencies vested with this responsibility. This should include any second-level or a subsequent review processes or appeals procedure that may be used when students are not automatically admitted because they do not meet the institution’s published entrance requirements.

Applicants, including student-athlete applicants, not admissible under the standards outlined for freshman students may be considered for acceptance through the special admissions process.

Admission on the Basis of Special Merit (Special Admissions)

Applicants not admissible under the standards outlined for freshman, transfer or nontraditional students may be considered for acceptance based upon demonstration of their potential for academic success in a four-year program. Appropriate indicators of success include steadily

improving high school grades, a high class rank, special talents and/or strong recommendations. Special admissions students are limited to 10 percent of new enrollees consistent with DHE policy.

The admission of student-athletes through the special admissions process is monitored by the senior associate athletic director/SWA. In addition to the standard admissions requirements, student-athletes must provide the following documents to the Office of Undergraduate Admissions:

- a. Summary letter from the head coach stating the rationale for the prospect's consideration;
- b. Academic plan from the Athletic Academic Center to document the first two years of assistance and support to be offered to the student-athlete;
- c. The prospect's written essay on the topic: "Describe your experience, motivation or character traits that will allow you to be a successful student at UMass Lowell."

Following receipt of these three additional documents by the Office of Undergraduate Admissions, a timely decision is made to either admit or deny the student under the special admission process. In certain circumstances, The Office of Undergraduate Admissions may require additional information or an in-person evaluative interview with the student.

Measurable Standard No. 3

Academic standards and policies for student-athletes must be consistent with the standards for the student body in general conference or NCAA standards, whichever are higher.

Academic standards and policies for student-athletes at UMass Lowell are consistent with the standards for the student body in general, as previously described. Admissions decisions for student-athletes at UMass Lowell are made solely by the Office of Undergraduate Admissions.

3 Compare and explain any differences between the percentage of first-year student-athletes receiving athletics aid who were admitted through any of the processes described in Self-Study Item No. 2 and the percentage of first-year students in general (including student-athletes) who were so admitted. Provide these comparative data for the four most recent academic years.

As seen in the Special Admissions Chart on page 174 and summarized below, the percentage of first-year student-athletes receiving financial aid who were admitted through the special admit process is consistent with (and actually lower than) the percentage of first-year, general population students admitted through the special admit process.

	Year	All First-Year Students	All First-Year Student-Athletes on Athletic Aid
Percentage of Specially Admitted Students	2014-15	1.3	0.5
	2013-14	1.3	0.4
	2012-13	1.7	0.3
	2011-12	4.5	0.6

In addition to the special admissions process outlined in Self-Study Item No. 2 for fall 2016, a No-Test admissions option is available to all first-year applicants. However, it is not anticipated that student-athletes applying under the No-Test option will enroll at a percentage significantly different from the overall population.

4 Compare and explain any differences in the admissions profiles of student-athletes who received athletics aid with the profiles of students in general by submitting the following information for the four most recent academic years: average standardized test scores for first- year student- athletes who received athletics aid (by gender, by racial or ethnic group, and according to the eight sport groups) and for all entering first-year students (by gender and by racial or ethnic group).

Measurable Standard No. 4

The institution must analyze and explain any differences between the academic profiles of entering student-athletes, as a whole or for any student-athlete subgroup (i.e., sport, gender, ethnicity, transfers), and the academic profile of other student-athletes and comparable student-body groups or subgroups.

At UMass Lowell, the selectivity of the admissions process for the general student population has increased dramatically over the past seven years, with the average SAT score increasing more than 100 points between fall 2008 and fall 2015. The average SAT scores of our student-athletes have increased in a manner consistent with the general population. Average student-athlete profiles are considerably higher than Massachusetts DHE-mandated levels. The Test Scores by Gender Chart on page 176, also summarized below, shows that for the past four years, the academic profiles of male and female student-athletes have risen and are now only slightly different the overall student population.

Average SAT M+V Test Score	Academic Year:	Male Students		Male Student-Athletes		Female Students		Female Student-Athletes	
		Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
	2014-15	1168	1,089	1073	66	1128	523	1059	46
	2013-14	1158	1,042	1060	24	1100	584	1044	33
	2012-13	1149	987	1097	14	1084	503	1042	26
	2011-12	1136	909	983	18	1076	511	1026	19

At UMass Lowell, academic success for the entire student population is predicated on other admissions factors such as high school GPA and less so on SAT scores. In important academic success outcomes such as six-year graduation rates, UMass Lowell student-athletes perform at a far higher level than the general student population, with graduation rates of student-athletes 20 percentage points higher than the overall population. As a result, the university views the slightly lower SAT score averages of our student-athletes as shown in the academic profiles above as inconsequential.

SATs

As indicated above, over the past four academic years, the academic profiles of student-athletes, as measured by SAT scores, are slightly lower compared to the general student population. This is true for each ethnicity and by gender as well, with the average SAT of the student-athletes of each ethnic or gender group typically trailing the same subgroup of the overall student population. Comparison of male and female SAT and GPA scores indicate that, overall, male student-athletes have a slightly higher average SAT and lower GPA compared to female student-athletes. This trend is consistent with that of the general student population.

GPAs

A review of average high school GPA by sport indicates averages that for some sports, such as women’s basketball and “women’s other,” are very close to the fall 2014 institutional average of 3.43 for the general population. Significantly, for each year in almost every category, the average team GPAs are higher than 3.0.

Federal Graduation Rates (FGR)

Student success, as measured by the federal graduation rate, of almost every student-athlete subgroup exceeds that of the comparable general student population. With the exception of men’s basketball, every male and female team’s federal graduation rate exceeds the FGR of the general student population (53 percent). This underscores that the slight difference in average SAT scores of student-athletes, as compared to the general student population, is not significantly consequential to academic success.

5 Describe the institution’s specific academic support programs (e.g.; Facilitating Learning and Achieving Graduation program (FLAG) to ensure acclimation, academic success and retention of first-year student-athletes with special academic needs and first-year student-athletes admitted through any of the processes described in Self-Study Item No. 2.

Measurable Standard No. 5

The institution must develop specific academic support programs to address the unique needs of student-athletes with entering academic profiles lower than those of the general student body.

UMass Lowell is committed to ensuring acclimation, academic success and retention of all students admitted through any of the university’s admissions processes, including first-year student-athletes with special academic needs. With regard to student-athletes, the university places a strong emphasis on admitting talented student-athletes who are committed to success both in academics and athletics. In addition, the university offers academic support for all student-athletes, including those admitted through the processes described in Self-Study Item No. 2.

Student-Athlete Academic Services – Academic services available to student-athletes are designed to integrate the university’s academic support services with specific Department of Athletics services that focus on the distinctive needs and time demands of the student-athletes. The integration of these services allows student-athletes flexibility in time, location and type of service to better meet their schedules. They also provide a strong, collaborative environment between campus academic specialists and Department of Athletics academic staff. Associate Athletic Director for Academics and Student Services Christine Smith oversees academic support. She has a staff of two other full-time academic counselors and an intern. Department resources include:

- Academic counseling;
- Tutoring;
- Academic performance evaluations;
- Monitoring study halls;
- Developing and monitoring work plans for at-risk students;
- Assistance with class scheduling;
- Peer mentoring;
- Life skills programs;
- Referrals to academic support-service units across campus.

In addition to these services, student-athletes entering with academic profiles lower than those of the general student population have access to a host of academic supports detailed in the *Academic Support Services Evaluation*. These resources – including tutoring across disciplines,

intensive workshops in time management, note taking and organizational skills, and computer labs are available to all UMass Lowell students. For student-athletes with documented disabilities, an additional layer of support is available, including academic accommodations, use of learning technologies and weekly one-on-one advising and tutoring appointments.

Since the federal graduation rate of student-athletes is 20 percentage points higher than the overall student population (73 percent compared to 53 percent), the university's view is that student-athlete academic success services, combined with admissions policies, are effective in enhancing student-athlete academic success.

- 6 For the four most recent academic years, assess and evaluate data regarding acclimation, retention and the academic success of student-athletes with special academic needs [as defined by the institution (e.g., at-risk, education-impacting disability)] and those student-athletes admitted through any of the processes described in Self-Study Item No. 2. If necessary, the institution must develop plans for improvement to ensure acclimation, retention and academic success for these student-athletes.**

If the institution does not employ a special, or alternate, admissions process, the institution must assess and evaluate acclimation, retention and the academic success of student-athletes in the lowest (i.e., fourth) quartile of the institution's general student academic profile or for an alternate group defined by a different benchmark (e.g., quintile) typically used by the institution. If necessary, the institution must develop plans for improvement to ensure acclimation, retention and academic success for these student-athletes.

Measurable Standard No. 6

The institution must assess, evaluate and if necessary, develop plans for improvement to ensure acclimation, retention and academic success for student-athletes with special academic needs and student-athletes who are admitted through the institution's special admissions process. If an institution does not employ a special admissions process, assessment, evaluation and if necessary, plans for improvement must be completed for student-athletes in the lowest (i.e., fourth) quartile of the institution's general student academic profile or for an alternate group defined by a different benchmark (e.g., quintile) typically used by the institution.

The Special Admissions by Sport Chart on page 175, also summarized in the table below, indicates the number of student-athletes on athletic aid that were admitted through the special-admit category described in Self-Study Item No. 2 for the past four cohort years, along with their one-year retention rate. This table shows that in all years except 2015, the one-year retention rate of student-athletes has exceeded that of the general student population.

Because of the small number of student-athletes in this category each year, it is not meaningful to draw conclusions based on the annual data. However, in looking at the one-year retention rate of all 28 special-admit student-athletes over four years, only four were not retained, and the four-year average of the one-year retention rate is 86 percent. This average one-year retention rate of the special-admit student-athletes is higher than that of the overall student population for the same time period. And very significantly, of the four first-year students who did not return for their second year, three left in good academic standing. This means that the percentage of students who either returned for their second year or left in good academic standing was 96.4 percent.

Since the academic performance and one-year retention rate of student-athletes admitted through the special-admit process is higher than the general population, no additional improvement plans are needed to ensure acclimation, retention and academic success for these student-athletes.

Cohort Term	Reporting Term	# of SAs on Athletics Aid in Special Admit Cohort	1-yr Retention Rate, Specially Admitted SAs on Athletics Aid	1-yr Retention Rate, Overall University
Fall 2014	Fall 2015	8	62.5%	86.0%
Fall 2013	Fall 2014	7	100.0%	84.3%
Fall 2012	Fall 2013	5	100.0%	84.0%
Fall 2011	Fall 2012	8	87.5%	81.0%

7 Describe your institution’s written policies and procedures related to the step-by-step sequence of actions taken by particular individuals on the institution’s campus to certify initial eligibility for student-athletes. Provide the names and titles of individuals inside and/or outside athletics who are involved with the certification of initial eligibility. In addition, provide the name(s) and title(s) of the individual(s) who has ultimate responsibility in determining student- athletes’ initial eligibility.

Measurable Standard No. 7
The institution must have written step-by-step policies and procedures for the certification of initial, transfer, and continuing eligibility.

Initial Eligibility Certification Policies

UMass Lowell’s written policies and procedures for certifying the initial eligibility of student-athletes can be found in the UMass Lowell Athletic Compliance Manual and are described below in detail.

- The Compliance Office of the Department of Athletics, in conjunction with the Office of Admissions and the Registrar’s Office, is responsible for reviewing and evaluating UMass Lowell’s procedures for monitoring compliance with NCAA, conference and

university regulations dealing with the initial eligibility of student-athletes as described in NCAA Bylaw 14.

- Associate Registrar for Registration and Academic Records Lauren Dufresne is responsible for certification of initial, transfer and continuing eligibility of student-athletes. This process is coordinated with the Senior Associate Athletic Director for Compliance/Senior Woman Administrator, Sandra Niedergall. Admissions decisions for freshmen are coordinated with the Office of Undergraduate Admissions through Associate Director for Admissions Ed Seero, who serves as athletic liaison.

Initial Eligibility Certification Process for Recruited First-Year Students

- Head coaches provide the compliance coordinator a list of all incoming prospects.
- The compliance coordinator is the liaison to the NCAA Eligibility Center and is responsible for monitoring the initial eligibility certification of all prospects. All recruited prospects shall be certified by the eligibility center no later than two weeks after the first day of classes. All incoming student-athletes are added to the eligibility center status report on the internet as they are identified by the coaching staff.
- Prior to final certification for first-year students, the Compliance Office, along with the Registrar's Office, must ensure the following: (a) the student-athlete has completed the "NCAA's Student-Athlete Statement," and the "Drug Testing Consent Form;" (b) the student-athlete has been properly recorded on the NCAA squad list and "NCAA Affirmation of Eligibility;" and (c) the student-athlete has been coded in SIS, the UMass Lowell student information system.
- The head coach is notified of all student-athletes (incoming, transfers and continuing) from his/her sport who have been certified to compete prior to the first competition.

Academic Evaluation of Prospects (Domestic and International Freshmen)

- Coaches input all relevant academic credentials including ACT and/or SAT and/or TOEFL scores and copies of the most recent secondary school credentials into compliance software system (ARMS).
- The compliance coordinator adds the prospect to the NCAA Eligibility Center Institutional Request List (IRL). The coach is notified if the prospect is not registered.
- The compliance coordinator conducts a preliminary evaluation of the prospect for initial eligibility. The Office of Undergraduate Admissions evaluates for admissibility.

- 8 Describe your institution’s written policies and procedures related to the step-by-step sequence of actions taken by particular individuals on the institution’s campus to certify transfer eligibility for student-athletes. Provide the names and titles of individuals inside and/or outside athletics who are involved with the certification of transfer eligibility. In addition, provide the name(s) and title(s) of the individual(s) who has ultimate responsibility in determining student-athletes’ transfer eligibility.**

Measurable Standard No. 7

The institution must have written step-by-step policies and procedures for the certification of initial, transfer, and continuing eligibility.

Transfer Eligibility Certification Policies

UMass Lowell’s written policies and procedures for certifying the eligibility of student-athletes can be found in the UMass Lowell Athletic Compliance Manual and are described below in detail.

- The Compliance Office of the Athletic Department, in conjunction with the Office of Admissions and the Registrar’s Office, is responsible for reviewing and evaluating UMass Lowell’s procedures for monitoring compliance with NCAA, conference, and university regulations dealing with the transfer eligibility of student-athletes. NCAA Bylaw 14 is the primary source for NCAA regulations concerning transfer eligibility.
- Associate Registrar for Registration and Academic Records Lauren Dufresne is responsible for certification of initial, transfer and continuing eligibility of student-athletes. This process is coordinated with the Senior Associate Athletic Director for Compliance/SWA Sandra Niedergall.

Initial Eligibility Certification Process (Walk-Ons)

- All walk-ons must complete the “Tryout Policy/Procedures Form” before moving forward with the certification process.
- The Compliance Office shall have the student complete the “Student-Athlete Statement,” “Drug Testing Consent Form” and additional UMass Lowell documents prior to engaging in any practice activities.
- The Compliance Office reviews the information provided and verifies the following: (a) the student-athlete is enrolled as a full-time student; (b) the student-athlete is in good academic standing; (c) the student-athlete has registered with the NCAA Initial Eligibility Center; and, (d) all other eligibility issues have been resolved.
- Prior to final certification for walk-ons, the Compliance Office, along with the Registrar’s Office, must ensure the following: (a) the student-athlete has completed the required NCAA forms listed above; (b) the student-athlete has been properly recorded on the

NCAA squad list and “NCAA Affirmation of Eligibility;” and (c) the student-athlete has been coded in SIS.

- The head coach is notified of all student-athletes (incoming, transfers and continuing) from his/her sport who have been certified to compete prior to the first competition.

Academic Evaluation of Prospects (Domestic and International Transfers)

- Coaches provide the Registrar’s Office and the senior associate athletic director of compliance/SWA with a copy of all college transcripts.
- For 4-4 and 4-2-4 transfers, the senior associate athletic director of compliance/SWA verifies that permission has been granted to contact the prospect and, if not already completed, a “Transfer Release Form” is sent to the prospect’s institution.
- The transcript is sent to the Registrar’s Office for a preliminary review of transferrable hours. The Registrar’s Office provides the senior associate athletic director of compliance/SWA with a list of transferrable credits for the prospect.
- The senior associate athletic director of compliance/SWA reviews the “Transfer Evaluation Form” and forwards it, along with all transcripts and admissions transfer evaluation to the compliance coordinator, head coach and the appropriate coordinator of academic services.

9 Describe your institution’s written policies and procedures related to the step-by-step sequence of actions taken by particular individuals on the institution’s campus to certify continuing eligibility for student-athletes. Provide the names and titles of individuals inside and/or outside athletics who are involved with the certification of continuing eligibility. In addition, provide the name(s) and title(s) of the individual(s) who has ultimate responsibility in determining student-athletes’ continuing eligibility.

Measurable Standard No. 7

The institution must have written step-by-step policies and procedures for the certification of initial, transfer, and continuing eligibility.

Continuing Eligibility Policies

UMass Lowell’s written policies and procedures for certifying the continuing eligibility of student-athletes can be found in the UMass Lowell Athletic Compliance Manual and are described below in detail.

- The Compliance Office of the Department of Athletics, in conjunction with the Registrar’s Office, is responsible for reviewing and evaluating UMass Lowell’s procedures for monitoring compliance with NCAA, conference and university regulations dealing with the continuing eligibility of student-athletes. NCAA Bylaw 14 is the primary source for NCAA regulations concerning continuing eligibility.

- Associate Registrar for Registration and Academic Records Lauren Dufresne is responsible for certification of initial, transfer and continuing eligibility of student-athletes. This process is coordinated with Senior Associate Athletic Director/SWA Sandra Niedergall.

Continuing Eligibility Certification Process

The associate registrar oversees the enrollment status of student-athletes to verify that they remain eligible throughout each semester. By activating a daily enrollment report, the associate athletic director for academic and student services assists in overseeing this task.

1. Prior to the start of each semester, squad lists are reviewed by the Compliance Office, the Athletic Academic Support Office and the Registrar's Office to resolve any problems. The squad lists will indicate a "Y" in the "Elig." column for all student-athletes who are academically eligible to compete based on the preliminary eligibility report from the Registrar's Office. The process to determine eligibility includes:
 - a. Upon completion of the fall semester, the associate registrar reviews all student-athletes' advising reports, grades and GPAs to verify they have met all eligibility requirements. Information on each student-athlete is entered into an internal spreadsheet. Any student-athlete who is not eligible to compete will have a notation as to what is needed for certification. The primary eligibility report is sent to the senior associate athletic director for compliance and the associate athletic director for academic and student services for review and comment.
 - b. Upon completion of the spring semester, the associate registrar will follow the same procedure as described above. In addition, by mid-June, the Athletic Department Compliance Office will update all returning student-athletes in UMass Lowell's student information system (SIS) and the NCAA compliance software.
 - c. Upon completion of the summer session, any student-athlete who enrolled for summer courses will be reviewed by the associate registrar to verify they have met all eligibility requirements. This also includes progress towards degree percentage, which is updated on the spreadsheet. Any student-athlete who is not eligible to compete will have a notation as to what is needed for certification. This preliminary eligibility report is sent to the senior associate athletic director for compliance and the associate athletic director for academic and student services for review and comment.
2. The Registrar's Office audits the squad list to ensure accuracy. If no changes are needed, the associate registrar signs and dates the squad list to officially certify the academic eligibility of all student-athletes listed.
3. The Compliance Office provides a signed copy of the official squad list to each head coach and appropriate sport supervisor prior to each sport's first competition.

4. The head coach is responsible for making sure that all student-athletes have been certified as eligible on the squad list prior to allowing them to participate in a competition. No student-athlete is eligible to compete unless he/she has a “Y” in the “Elig.” column on the official signed squad list.

Certification Responsibilities

Associate registrar for registration and academic records:

- Runs transcripts and audits all student-athletes identified as returning and new student-athletes;
- Generates a “problem list” and meets with the Compliance Office to resolve;
- Checks list of incoming student-athletes against NCAA Eligibility Center to verify initial eligibility;
- Signs-off on squad lists as the official certifying officer for academic eligibility;
- Develops projection reports twice a year to update student-athletes’ eligibility status.

Senior associate director for compliance/SWA and compliance coordinator:

- Coordinates the parallel audits of all student-athletes for continuing eligibility;
- Maintains accuracy with Compliance Assistant database;
- Generates a “problem list” and meets with the Registrar’s Office to resolve;
- Clarifies and produces documentation for exceptions (e.g., those cleared through the averaging method, one-time transfer exception or other NCAA and/or conference interpretations);
- Signs-off on squad lists.

10 Analyze, explain and address any differences between the most recent 4-class average Federal Graduation Rate for student-athletes who received athletics aid and the most recent 4-class average Federal Graduation Rate of all students.

Measurable Standard No. 8

The institution must analyze, explain and address any differences between the most recent four-class average Federal Graduation Rate of student-athletes as a whole and the most recent four-class average Federal Graduation Rate of students generally. If there is a difference that cannot be adequately explained between the most recent four-class average Federal Graduation Rate of student-athletes and the most recent four-class average Federal Graduation Rate of students generally, the institution must develop a plan for improvement to address the issue.

UMass Lowell has conducted the required analysis and the results are captured on the Federal Graduation Rate Chart on page 179 and can also be seen in the table below.

All Students	53 percent
Student-Athletes Receiving Financial Aid	73 percent

As seen in this table, the most recent four-class average federal graduation rate for all students at UMass Lowell was 53 percent while the four-class average federal graduation rate for student-athletes receiving athletic aid was 73 percent. Therefore, student-athletes receiving athletic aid have consistently outperformed all students by a 20-point margin. This pattern was consistent over the four-year period that was studied.

The difference in graduation rates may be explained by various factors, including:

- a. Upon entering and throughout their time as students at UMass Lowell, student-athletes receive substantial academic support. A full description of these support services is provided in response to Self-Study Item No. 5.
- b. Student-athletes come to UMass Lowell with solid academic credentials. Upon entering as freshmen, student-athletes' SAT scores and GPAs are comparable to those of the overall incoming freshman class.
- c. Upon entering UMass Lowell, student-athletes become part of a strong social support network that includes their team, athletes from other teams, coaches and support personnel within the Department of Athletics.

If there is a difference that cannot be adequately explained between the most recent four-class average Federal Graduation Rate for student-athletes and the most recent four-class average Federal Graduation Rate for all students, the institution must develop a plan for improvement to address the issue.

The factors listed above have contributed to strong graduation rates. Because student-athletes are outperforming all students, no plan for improvement is required.

- 11 Analyze, explain and address any differences between the most recent 4-class average Federal Graduation Rate for all student-athlete subgroups (i.e., team, gender, ethnicity, ethnicity within team) and the most recent 4-class average Federal Graduation Rate for all students, including comparable student-body subgroups (i.e., gender, ethnicity).**

Measurable Standard No. 9

The institution must analyze, explain and address any differences between the most recent four-class average Federal Graduation Rate of all student-athlete subgroups (i.e., team, gender, ethnicity, ethnicity within team) and the most recent four-class average Federal Graduation Rate of students generally, including comparable student body groups. If there is a difference that cannot be adequately explained between the most recent four-class average Federal Graduation Rate of a student-athlete subgroup and the most recent four-class average Federal Graduation Rate of students generally or a comparable student body subgroup, the institution must develop a plan for improvement to address the issue.

If there is a difference that cannot be adequately explained between the most recent four-class average Federal Graduation Rate of a student-athlete subgroup and the most recent four -class average Federal Graduation Rate for all students or comparable student-body subgroup, the institution must develop a plan for improvement to address the issue.

Overall, graduation rates for UMass Lowell student-athletes, irrespective of sport or racial/ ethnic subgroups, were higher than graduation rates for the general UMass Lowell student population with the exception of men’s basketball. Since the four-class graduation rate for men’s basketball is only slightly (6 percent) less than the overall male population, and within 4 percent of the national team average for men’s basketball, this difference is not considered to be significant given the small sample size involved (11 to 15 total student-athletes).

The data is shown in the required charts (found in appendices) for this self-study and is summarized below. The following is a detailed analysis for each team and subgroup. Because student-athletes in each subgroup – by team, ethnicity and gender, with the exception of men’s basketball – are outperforming all students and respective subgroups, no overall plan for improvement is required.

Men's team	Team FGR	All students FGR	All male students FGR	All SAs FGR	All male SAs FGR
Baseball	76%	53%	49%	73%	69%
Basketball	43%	53%	49%	73%	69%
CC track	69%	53%	49%	73%	69%
Football	-na-				
Men's other sports	73%	53%	49%	73%	69%
Women's team	Team FGR	All students FGR	All female students FGR	All SAs FGR	All female SAs FGR
Basketball	90%	53%	61%	73%	78%
CC track	69%	53%	61%	73%	78%
Women's other sports	80%	53%	61%	73%	78%

Team Comparisons

Men's Sports:

- **Baseball:** The baseball team's most recent four-class average graduation rate of 76 percent was higher than all students (53 percent), all male and female students (49 percent and 61 percent, respectively), all student-athletes (73 percent), and all male student-athletes (69 percent). The baseball team's most recent four-class average graduation rate was higher than the national four-class average for all NCAA student-athletes (65 percent) and considerably higher than the national average for baseball student-athletes (50 percent).
- **Basketball:** The basketball team's most recent four-class average graduation rate (43 percent) was lower than the average graduation rates for both all student-athletes (73 percent) and male student-athletes (69 percent). However, it was close to that of all male students (49 percent) and slightly lower than the national average for men's basketball, which was 47 percent. Because of the small sample size (11 to 15 total student-athletes), this difference between the team graduation rate and the national average is not considered to be statistically significant but will be monitored.
- **Cross Country/Track:** The Cross Country/Track team's most recent four-class average graduation rate was 69 percent putting it above all students (53 percent), all male and female students (49 percent and 61 percent, respectively), and close to all student-athletes (73 percent). The team's four-class average graduation rate was equivalent to that of all male student-athletes and higher than the national average graduation for men's Cross Country/Track (63 percent).
- **Other men's sports (golf, ice hockey, lacrosse, soccer):** With a most recent four-class average graduation rate of 73 percent, the remaining male sports had an equivalent or higher average graduation rate than all students (53 percent), all male and female students (49 percent and 61 percent, respectively), all student-athletes (73 percent) and all male student-athletes (69 percent). The teams' average graduation rate was higher than the national average for all male NCAA student-athletes participating in other sports (65 percent).

Women's Sports:

- **Basketball:** With the highest four-class average graduation rate of all the UMass Lowell athletic teams (90 percent), the women's basketball team's four-class average graduation rate was higher than the four-class average graduation rate for all students (53 percent), all student-athletes (73 percent), female student-athletes (78 percent), all female students (61 percent) and all male students (49 percent). The team also exceeded the national average for female student-athletes participating in basketball (63 percent).
- **Cross Country/Track:** Cross Country/Track had a four-class average graduation rate of 69 percent, which was higher than all students (53 percent), all male and female students

(49 percent and 61 percent, respectively), and all male student-athletes (69 percent). The team's average was slightly below the UMass Lowell female student-athlete average (78 percent) and the national average for all female NCAA student-athletes participating in the sport (71 percent).

- Other women's sports (field hockey, lacrosse, softball and volleyball): With a most recent four-class average graduation rate of 80 percent, the remaining female sports had a higher average graduation rate than UMass Lowell female student-athletes (73 percent) and the national average for female athletes participating in the sports (74 percent). They also outpaced all students (53 percent), all male and female students (49 percent and 61 percent, respectively), and all male student-athletes (69 percent).

Racial and Ethnic Group Comparisons

The four-year graduation rates for student-athletes – whether male or female – are higher than for all students for each racial and ethnic subgroup for which there is reportable data. The graduation rate for all students at UMass Lowell is 53 percent while the student-athlete graduation rates are 63 percent for black (compared to 47 percent overall for the university's black student population), 80 percent for non-resident alien (compared to 64 percent overall for the non-resident alien population) and 75 percent for white (compared to 55 percent for the overall white population). This data is reflected in the Federal Graduation Rates by Sport Chart found on page 180 and is summarized in the table below.

Direct comparison of graduation rates by ethnicity indicates that student-athletes graduated at a rate that is 16 to 20 percentage points higher than the overall student population of each ethnicity. Black student-athletes graduated at a rate that is 16 percentage points higher (63 percent compared with 47 percent overall, 19 percentage points higher for males and 7 percentage points higher for females) and white student-athletes graduated at rate that is 20 percentage points higher (75 percent compared to 55 percent overall, 18 percentage points higher for male and 20 percentage points higher for female). Non-resident alien student-athletes graduated at rate that is 16 percentage points higher (80 percent compared to 64 percent). And student-athletes in the “unknown” category graduated at a rate that is 20 percentage points higher (71 percent compared to 51 percent). Note that due to the small numbers of students in some of the race/ethnicity categories, direct comparisons are not possible in all cases (e.g. Asian, Hispanic, American Indian, native Hawaiian/Pacific Islander, two or more).

RACIAL AND ETHNIC GROUP COMPARISONS

Race/Ethnicity	All Students	All SA	All Male	Male SA	All Female	Female SA
American Indian/AN						
Asian	51%		49%		53%	
Black	47%	63%	38%	67%	55%	62%
Hispanic	48%		42%		56%	
Native Hawaiian/PI						
N-R alien	64%	80%	63%	80%	67%	
Two or more	63%		55%		83%	
Unknown	51%	71%		78%		60%
White	55%	75%	50%	68%	63%	83%

The following is a detailed analysis for each subgroup by team. Note that due to the small number of each ethnicity on some teams (five or fewer, except for white), there is a wide variation in graduation rates (zero to 100 percent). Because of small sample sizes, it is difficult to draw meaningful conclusions from this data for all except for the white subgroup for which there are larger sample sizes.

Men’s Sports:

While the overall graduation rates of student-athletes across racial/ethnic subgroups are higher than those of comparable UMass Lowell student subgroups, an analysis of men’s team graduation rates by race/ethnicity suggests that male black and Hispanic students on the men’s basketball team and male Hispanic students participating in other sports are lagging behind their peers. This data, reflected in “Chart 8: Federal Graduation Rates by Racial and Ethnic Group,” found in the appendix, is discussed more fully below.

4-CLASS GRADUATION RATES FOR MEN’S TEAMS BY RACE/ ETHNICITY

Race/Ethnicity	Baseball	Basketball	CC/Track	Other
American Indian/AN			100%*	
Asian				
Black		0*	100%*	100%*
Hispanic		0*	100%*	50%
Native Hawaiian/PI				
N-R Alien		67%*		83%
Two Or More				
Unknown	100%*		80%*	67%*
White	76%	50%	62%	74%

*1-5 students represented

- *Baseball:* The four-class average graduation rate for the team’s white student-athletes (76 percent) was equal to the rate for the entire team while the team’s athletes of unknown racial/ethnic backgrounds outperformed the team average with a 100 percent graduation

rate. Both subgroups outperformed the national rates for unknown and white student-athletes in baseball, which are 37 percent and 51 percent, respectively.

- *Basketball*: The team's four-class average graduation rate for student-athletes in the non-resident alien category (67 percent) outpaced the team average (43 percent), the average for all UMass Lowell students (64 percent) and the male UMass Lowell students in the same category (63 percent). White student-athletes on the team also outpaced the team average with a four-class average graduation rate of 50 percent, yet lagged behind when compared to all white student-athletes (75 percent), all white male student-athletes (68 percent) and the national average for white males participating in the sport (57 percent). While the basketball team's black and Hispanic student-athletes had reported four-class graduation rates of zero percent, well below national averages (42 percent and 39 percent respectively), these computations are based on very small sample sizes. In two of the four cohort years forming the four-class graduation rate, there were zero Hispanic or Black student-athletes and a total of between one and five in the four-class cohorts. As a result, no useful conclusions can be drawn for these subgroups.
- *Cross Country/Track*: Along with the team's four-class average graduation rate for its American Indian, black and Hispanic student-athletes of 100 percent, student-athletes from unknown racial/ethnic backgrounds also outpaced the national averages for these categories as well as all students and all student subgroups at UMass Lowell with a four-year average graduation rate of 80 percent. While still outpacing all white students (55 percent) and all male white students (50 percent) on campus, white athletes on the team lagged behind the team average with a rate of 62 percent and slightly behind the national average for this category (68 percent).
- *Other men's sports (golf, ice hockey, lacrosse, soccer)*: With an average graduation rate of 100 percent, the team's black student-athletes outpaced all students, the national average for the category and most other student-athletes across subgroups. White student-athletes on the team achieved a rate of 74 percent, putting them ahead of all students at UMass Lowell (53 percent), all male students (49 percent), all UMass Lowell student-athletes (73 percent), all male student-athletes (69 percent) and the overall team average for the category (73 percent). Non-resident alien student-athletes also exceeded other categories with a four-year graduation rate of 83 percent. The rates of student-athletes from unknown racial/ethnic backgrounds was slightly lower (67 percent) than that of all UMass Lowell student-athletes (73 percent) and the overall team average, but exceeded that of the national average for both the team category (65 percent) and the subgroup category (65 percent). Other sports' Hispanic student-athletes reported a rate of 50 percent, ahead of all male students at UMass Lowell, but below all other categories including the national average for all Hispanic students (57 percent), all male Hispanic students (53 percent), all Hispanic student-athletes (60 percent) and all male Hispanic student-athletes (52 percent).

In general, with the exceptions noted above where sample sizes are small, the UMass Lowell men’s athletic teams graduate at a higher rate than their comparable subgroups. UMass Lowell student-athletes also graduated at higher rates than the national averages for their sports, except for men’s basketball.

Women’s Sports:

While the overall graduation rates of student-athletes across racial/ethnic subgroups is higher than those of comparable UMass Lowell student subgroups, an analysis of women’s team graduation rates by race/ethnicity suggests that black athletes participating in cross country/track are lagging behind their peers. Asian female athletes participating in other sports appear to have a low graduation rate (zero percent) but the sample size is extremely small (five or less). These data, reflected in Chart 8: Federal Graduation Rates by Racial and Ethnic Group (found in appendix) are discussed more fully below.

4-CLASS GRADUATION RATES FOR WOMEN’S TEAMS BY RACE/ETHNICITY

Race/Ethnicity	Basketball	CC/Track	Other
American Indian/AN		100%*	
Asian			0*
Black	80%	33%	100%*
Hispanic			100%*
Native Hawaiian/PI			
N-R Alien			83%
Two Or More			
Unknown	100%	50%	50%*
White	100%	69%	81%

*1-5 students represented

- **Basketball:** Basketball’s black female student-athletes graduated at a rate of 80 percent, which was higher than the graduation rates for all UMass Lowell student-athletes (73 percent), UMass Lowell female student-athletes (78 percent), female UMass Lowell students (61 percent), all black female UMass Lowell students (55 percent) and all black UMass Lowell students (47 percent). Black female basketball players also outpaced the national average for black student-athletes (50 percent) and black female basketball players (64 percent). Along with the team’s athletes from unknown racial/ethnic background, basketball’s white student-athletes reported graduation rates at 100 percent, making the women’s basketball team the highest performing on campus in terms of four-year graduation rates.
- **Cross Country/Track:** The four-class average graduation rate for the team’s American Indian athletes was 100 percent although the sample size is very small. White athletes on

the team reported a 69 percent rate, ahead of all UMass Lowell students (53 percent), all female UMass Lowell students (61 percent) and the national average for all white students (64 percent). They were on par with the team average and the national average for all white females (69 percent), but they lagged slightly behind the rate for all UMass Lowell student-athletes (73 percent), UMass Lowell female student-athletes (78 percent), the national average for all female athletes in the sport (71 percent), and the national average for white female athletes in the sport (75 percent). With an average graduation rate of 50 percent, female athletes of unknown racial/ethnic backgrounds performed slightly below the average of all UMass Lowell students (53 percent) and well below the average of all UMass Lowell student-athletes (73 percent) and the national average for female student-athletes from unknown racial/ethnic backgrounds in cross country and track (65 percent). Black female student-athletes in the sport at UMass Lowell graduated at a rate of 33 percent, which is well below most other groups and subgroups at UMass Lowell and nationally. However, it should be noted that the sample size for this subgroup is quite small (between six and 10) and subject to considerable variability.

- *Other women's sports (field hockey, lacrosse, softball, volleyball)*: Black, Hispanic, non-resident alien and white student-athletes grouped in the other women's sports category outpaced most other groups and subgroups, reporting graduation rates of 100 percent, 100 percent, 83 percent and 81 percent, respectively. With an average graduation rate of 50 percent, student-athletes from unknown racial/ethnic backgrounds lagged slightly behind the UMass Lowell student average (53 percent), the national average for all students and unknown (64 percent) and for all female students (66 percent). They also lagged behind the national average for female student-athletes from unknown backgrounds participating in other sports (74 percent). Female Asian student-athletes had a reported four-year graduation rate of zero percent, but the sample size is extremely small (five or fewer), with zero first-year students in three of the four cohort years. As a result, no useful conclusions can be drawn for this subgroup.

In general, with the exceptions noted above where sample sizes are small, the UMass Lowell women's athletic teams graduate at a rate similar to or higher than their comparable subgroups. UMass Lowell student-athletes also all graduated at the same or a higher rate than the national averages for their sports.

12 Describe the department of athletics written policies and procedures related to scheduling competitions and practices to minimize student-athletes' conflicts with class time and/or final examination periods due to participation in intercollegiate athletics, including how the institution monitors this area.

Measurable Standard No. 10

The institution must have established, written policies regarding the scheduling of practices and competition to minimize student-athletes' conflicts with class time and final examination periods due to their participation in intercollegiate athletics. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

Written policies and procedures related to the scheduling of competitions and practices are designed to ensure the academic success of student-athletes by minimizing academic conflicts. Competition and practice schedules are arranged by the coaches and sport supervisors of each sport in a way that provides the most equitable competition within the framework of the respective sport's budget and consistent with the goal of avoiding class time and final examination period conflicts.

The following guidelines apply for coaches and sport supervisors when they develop schedules:

- Schedule more home contests than away;
- Seek home/away arrangements and in some cases, multi-year arrangements;
- Minimize missed class time;
- No competition during final exams unless special exemptions are granted due to unavoidable conference scheduling;
- Student-athletes are not required to depart more than 48 hours in advance of a scheduled contest if the departure will result in missed class time. Exceptions to this policy must be approved in advance by the director of athletics or his or her designee.

Policies for Missed Class Time

The philosophy of the Department of Athletics is that student success begins in the classroom and with the relationship they develop with faculty and academic advisers. Policies and practices to ensure proper communication regarding missed classes due to team travel include:

- All student-athletes are given excused absence letters to present to and discuss with their professors. The letter, written by the faculty athletics representative, lists the dates of travel for athletic events. (See Appendix F). It clearly outlines the student-athlete's responsibility for class attendance and missed assignments that may result from his or her competitive schedule. This approach has been helpful in opening the lines of communication between student-athletes and professors. It also provides professors with contact information for, and an understanding of the role of, the faculty athletics representative.
- The athletic academic coordinators electronically send updated travel letters two weeks prior to each competition via GradesFirst/EAB. These are sent only to those professors with students involved with the travel and competition.

- Minimizing missed class time for athletic-related travel and competition is part of the approval process between sport supervisors and coaches when developing competitive schedules. Balancing home and away contests and minimizing extended weekday travel is an essential part of schedule development.
- In the spring 2014, the university's Faculty Senate passed a resolution with respect to student-athletes who miss class as a result of necessary team travel and athletic competitions. Pursuant to this policy, the student-athlete is still responsible for fulfilling all academic requirements of the course, but any missed classes are considered excused absences in the event that class attendance is used as part of a course grade.

13 Describe the institution's written missed-class time policies for all students, including any exceptions or differences that exist for student-athletes.

UMass Lowell does not have an institutional missed-class policy for its student body. Academic departments and individual faculty members determine their own policies with regard to class attendance. Attendance policies and requirements for each course are included in the individual course syllabi distributed to students at the start of each semester.

14 Provide supporting data to analyze explain and address missed class time for the last two years for each sports team.

Measurable Standard No. 10

The institution must have established, written policies regarding the scheduling of practices and competition to minimize student-athletes' conflicts with class time and final examination periods due to their participation in intercollegiate athletics. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

The Missed Class Time chart (below) illustrates the estimated number of class days missed by each UMass Lowell team during the 2013-14 and 2014-15 academic years. These are estimates, as missed class time was not explicitly tracked prior to the 2015-16 academic year. The numbers should be considered an upper boundary on the actual number of class days missed, as they do not consider whether the student-athletes on a particular team actually had scheduled classes during the missed days.

In particular, estimates do not account for the fact that many classes do NOT have Friday meeting times, as many courses are scheduled on two-day Monday/Wednesday or Tuesday/Thursday blocks instead of the traditional Monday-Wednesday-Friday blocks. In fall 2014, only 20 percent of undergraduate courses scheduled (384 out of 1,932) had Friday meeting times, so the actual missed class days for each team is likely considerably lower than the

estimates shown in the table below.

ESTIMATED MISSED CLASS TIMES DUE TO TRAVEL AND COMPETITION

Sport	2013-2014			2014-2015		
	Fall	Spring	Total	Fall	Spring	Total
Baseball	0	8.5	8.5	0	15.5	15.5
Men's Basketball	9.2	4.4	13.6	7.4	3.1	10.5
Women's Basketball	8.3	5.7	14	3.3	4	7.3
Men's Golf	8	7	15	9	4	13
Women's Soccer	8.5	0	8.5	8	0	8
Men's Soccer	6.7	0	6.7	5.3	0	5.3
Women's Lacrosse	n/a	n/a	0	0	7.3	7.3
Men's Lacrosse	n/a	n/a	0	0	3.3	3.2
Softball	0	15.2	15.2	0	16.2	16.2
Volleyball	7.2	0	7.2	10.5	0	10.5
Women's Field Hockey	7.6	0	7.6	5.3	0	5.3
Men's Ice Hockey	6	2.16	8.2	3.5	0	3.5
Men's Cross Country	3.5	0	3.5	4	0	4
Women's Cross Country	3.5	0	3.5	4	0	4
Men's Track And Field	0	10.5	10.5	0	12	12
Women's Track and Field	0	10.5	10.5	0	12	12

Day divided into thirds (Monday through Thursday): 8 a.m. to noon = 1/3; noon to 4 p.m. = 1/3; 4 p.m. and later = 1/3 Day divided into halves (Friday): 8 a.m. to noon = 1/2; noon to 4 p.m. = 1/2

Did not count missed class time during fall, winter and spring breaks, or finals week.

There are a number of factors contributing to the amount of missed class time over the past two years:

- *Last-minute scheduling* – UMass Lowell announced its intention to reclassify to Division I and join the America East Conference in February 2013. With Boston University moving from the America East to the Patriot League, UMass Lowell replaced Boston University in all conference schedules. This meant UMass Lowell was able to start full Division I conference schedules in the fall 2013. Men’s ice hockey was already Division I and a member of Hockey East. However, since the majority of the sports were given just two months to develop out-of-conference schedules for their first Division I season, these away out-of-conference games resulted in longer travel times.
- *Replacing postseason play with in-season tournaments* – With its reclassification to Division I, UMass Lowell would be eligible for postseason competition in four years (starting in 2017-18), with the exception of ice hockey, which was already in Division I, and women’s field hockey, which was fast-tracked for postseason eligibility after two years (starting in 2015-16). To provide meaningful student-athlete experiences especially during these years of postseason ineligibility, UMass Lowell arranged additional out-of-

conference trips and tournaments, which account for some of the additional missed class time.

- *Distance between conference opponents* – UMass Lowell is a member of the America East Conference and Hockey East Association, with several conference opponents located 200 to 900 miles away, resulting in significant travel times. America East and Hockey East member institutions and their distances from UMass Lowell are as follows:

University of Albany	Albany, NY	180 miles
Binghamton University	Binghamton, NY	314 miles
Boston College	Chestnut Hill, MA	30 miles
Boston University	Boston, MA	30 miles
University of Connecticut	Storrs, CT	90 miles
University of Hartford	Hartford, CT	107 miles
University of Maine	Orono, ME	240 miles
University of Maryland Baltimore County	Baltimore, MD	420 miles
University of Massachusetts	Amherst, MA	80 miles
Merrimack College	North Andover, MA	16 miles
University of New Hampshire	Durham, NH	63 miles
University of Notre Dame	South Bend, IN	897 miles
Northeastern University	Boston, MA	33 miles
Providence College	Providence, RI	70 miles
Stony Brook University	Stony Brook, NY	180 miles
University of Vermont	Burlington, VT	197 miles

An explanation and analysis of estimated missed class time by sport is as follows:

- *Baseball*: The UMass Lowell baseball team missed 8.5 days of classes in 2013-14 and 15.5 in 2014-15. The number of missed class days is due to several factors, including the need to travel to warmer geographic locations at the beginning of the spring season, canceling and rescheduling of games due to field conditions and inclement weather and conference games scheduled during the week. In particular, Lowell faced historic snowfall accumulation in excess of 9 feet during the winter of 2015 that negatively affected travel and competition schedules for an outdoor sport such as baseball, which is dependent on field conditions. Also, the number of missed class days in 2014-15 is likely an overestimate, as two of the missed class days occurred on Fridays, a day when only 20 percent of UMass Lowell's undergraduate courses have scheduled meeting times.
- *Men's basketball*: The UMass Lowell men's basketball team missed 13.6 days of class in 2013-14 and 10.5 in 2014-15. A large part of their season occurs over winter break, minimizing missed class days. The slight increase in missed class days in 2013-14 is due in part to distant non-conference games against opponents such as Michigan, Cincinnati and St. Bonaventure that were scheduled during UMass Lowell's inaugural Division I season.

- *Women's basketball:* The UMass Lowell women's basketball team missed 13.6 days of class on 2013-14 and 10.5 in 2014-15. The main reason for the decrease in missed class days in 2014-15 is an increase in home games during this season, 16 compared to 11 in 2013-14, resulting in less travel for away games.
- *Men's and Women's Cross Country:* The UMass Lowell men's and women's cross country team had 3.5 missed class days in 2013-14 and 4 in 2014-15. Not all members of the cross-country team traveled to each competition.
- *Field hockey:* The UMass Lowell field hockey team missed 7.6 days of class in 2013-14 and 5.3 days of class in 2014-15. The low number of missed class days is because most games were scheduled on the weekends or Fridays.
- *Men's golf:* The UMass Lowell men's golf team missed 15 days of class in 2013-14 and 13 in 2014-15. The main reason for this is that most of the tournaments are during the week and even home competitions require missed classes. Since golf is split over two semesters, it minimizes the number of missed class days per semester.
- *Ice hockey:* The UMass Lowell ice hockey team missed more class days in 2013-14 (8.16) than 2014-15 (3.5) due to some trips to play non-conference opponents. In addition, the team played in the NCAA regional tournament in 2013-14, resulting in two additional games played. Overall, Hockey East Association schools are geographically close to UMass Lowell, so the team's overall missed class time is minimal.
- *Men's lacrosse:* The UMass Lowell men's lacrosse team's inaugural season was 2014-15, so there is no data to compare to their one season. However, UMass Lowell does not anticipate that the number of missed class days (3.2) in 2014-15 will increase in future years
- *Women's lacrosse:* The UMass Lowell women's lacrosse team's inaugural season was 2014-15, so there is no data to compare to their one season. However, with a geographically close conference schedule, UMass Lowell does not anticipate the 2014-15 number of missed class days (7.33) will increase in future years.
- *Men's soccer:* The UMass Lowell men's soccer team missed 6.7 class days in 2013-14 and 5.3 class days in 2014-15.
- *Women's soccer:* The UMass Lowell women's soccer team missed 8.5 days of class in 2013-14 and eight days of classes in 2014-15.
- *Softball:* The UMass Lowell softball team missed 15.2 days of classes in 2013-14 and 16.2 in 2014-15. The higher number of missed classes is the result of several factors – the need to travel to warmer climates at the beginning of the spring season in order to play games, canceling and rescheduling of games due to field conditions and inclement weather, and conference games scheduled during the week. In particular, Lowell faced historic snowfall accumulation in excess of 9 feet during the winter of 2015 that negatively affected travel and competition schedules, especially for an outdoor sport such as softball, which is dependent on field conditions. Also, the number of missed class-days

in 2014-15 is likely a significant overestimate, as four of the missed class days occurred on Fridays, a day when only 20 percent of undergraduate courses have scheduled meeting times.

- *Men's and women's track and field:* The UMass Lowell men's and women's track and field team missed 10.5 days of class in 2013-14 and 12 days of class in 2014-15. It is important to note that not all members of the team travel to each competition. Also, the number of missed class days in 2014-15 is likely a significant overestimate, as nine of the missed class days occurred on Fridays (one in fall, eight in spring), a day when only 20 percent of undergraduate courses have scheduled meeting times.
- *Women's volleyball:* The UMass Lowell women's volleyball team missed 7.2 class days in 2013-14 and 10.5 in 2014-15. The difference is due in part to a special tournament for institutions reclassifying that took place in Arizona in fall 2014. However, the number of missed class days in 2014-15 is likely a significant overestimate, as eight of the missed class days occurred on Fridays, a day when only 20 percent of undergraduate courses have scheduled meeting times.

15 Describe the means by which the department of athletics policies and procedures regarding the scheduling of athletics competition and practices (as described in Self-Study Item No. 12) and the institution's missed-class policies (as described in Self-Study Item No. 13) are directly communicated in writing to student-athletes, department of athletics staff members and appropriate faculty and administrative staff.

Measurable Standard No. 12

The institution's established, written policies regarding the scheduling of practices and competition must be directly communicated in writing (e.g., provide hard copy of document, provide Web link via e-mail) to student-athletes, department of athletics staff members and other appropriate faculty and administrative staff (e.g., published in the institution's student-athlete handbook or department of athletics policies and procedures manual, an e-mail with an attachment or link to the posting on the institution's Web site). Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

As described in Item No. 12, UMass Lowell written policies regarding the scheduling of competitions and practices can be found in Appendix D and are communicated as follows:

- *Student-athletes* – Student-athletes receive a scheduling handbook each year that includes Department of Athletics policies. Student-athletes also attend an orientation each fall where policies that impact student-athletes are highlighted. The FAR addresses the student-athletes with regard to academic policies.

- *Staff handbook* – Members of the Department of Athletics staff receive a staff handbook which includes scheduling policies.
- Faculty members receive a student-athlete travel notice from the FAR at the beginning of each semester, which includes anticipated dates of travel. In addition, each professor receives, from the associate athletic director for academic and student services, an electronic travel update at least two weeks prior to a scheduled trip.

As explained in Self-Study Item No. 13, UMass Lowell does not have an institutional missed-class policy for its student body.

16 If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 2.1, describe the institution’s efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval.

UMass Lowell has conducted the required review and analysis of Operating Principle 2.1. At this time, all of the requirements outlined in this section of the self-study are met and no plans for improvement are needed.

Academic Integrity

Operating Principle 2.2 - Academic Support

Members of the Association have the responsibility to conduct intercollegiate athletics programs in a manner designed to protect and enhance the educational experience of student-athletes and to ensure proper emphasis on educational objectives. Consistent with this responsibility, the institution shall demonstrate that:

- a. Adequate academic support services are available for student-athletes;
- b. Student-athletes are encouraged and assisted in reaching attainable academic goals of their own choosing;
- b. When it is determined that individual student-athletes have special academic needs, these needs are addressed either through institutional programming or through student-athlete support services;
- c. The support services are evaluated and approved at least once every four years by appropriate academic authorities outside the department of intercollegiate athletics (e.g., faculty members or academic administrators of the institution); and
- d. There is a commitment to the fair and equitable treatment of student-athletes, in support of their academic endeavors.

Self-Study Items for Operating Principle 2.2

- 1 Explain how the institution is organized to provide academic support and advising services to student-athletes, either through institutional programming or student-athlete support services. In addition, provide a description of reporting lines and responsibilities assigned to specific staff members.**

Measurable Standard No. 1

Academic support services must be available to student-athletes either through institutional programming or through student-athlete support services.

Measurable Standard No. 2

The institution must demonstrate that its institutional structures and reporting lines for student-athlete academic support services are organized such that academic advising for student-athletes is an integral part of the institution's educational system.

The university provides an array of resources designed and managed to support the intellectual, academic and professional growth of the entire student population, including student-athletes. Support for the university's diverse student body is carried out by a range of coordinated and complementary campus outlets and is threaded throughout academic colleges and departments, in addition to the services delivered by the Department of Athletics through the Student-Athlete Academic Center.

Institution-wide academic support services available to all students are overseen by the provost for the Office of Academic Affairs and by the associate vice chancellor for student affairs and events. The Department of Athletics provides additional services to student-athletes through the Student-Athlete Academic Center, overseen by the director of athletics and the senior associate athletic director for compliance/SWA. Athletic academic staff includes an associate athletic director for academics and student-athlete services, two full-time academic counselors, one intern and numerous student employees.

To ensure support is consistently strong, Academic Affairs, Student Affairs and Department of Athletics personnel communicate regularly through both formal reporting lines and informal exchanges to promote a high standard of service and a shared message to students regarding the availability and value of academic support to all students. This concerted effort includes the sharing of academic technologies, best practices and professional development for providers.

The associate athletic director for academic and student services reports to the senior associate athletic director/SWA, who reports directly to the director of athletics. The associate athletic director for academics and student services has a secondary reporting line to the vice provost for undergraduate education.

Complete details of the available services for student-athletes are included in the "Academic Support Services Evaluation" in Appendix E.

2 Explain how the institution's staffing, physical space and financial support for student-athlete academic support services has been reviewed by appropriate institutional academic authorities to ensure they meet the academic needs of student-athletes at the institution (this review must be conducted as part of the self-study process).

Measurable Standard No. 3

The institution must demonstrate that its staffing, physical space and financial support for student-athlete academic support services have been reviewed by appropriate institutional authorities and determined to meet the academic needs of student-athletes at the institution. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

The Academic Support Services Evaluation Committee Report, provided in response to Self-Study Item No. 4 below, demonstrates careful review by appropriate institutional authorities. As an orientation to the task, members of the committee visited the Student-Athlete Academic Center in April 2015 to see the facility in use and to participate in a question-and-answer session with staff and student-athletes. Over the course of the fall 2015 semester, the committee met weekly to interview individuals from across campus about the services available for student-athletes and the particular needs of and demands on student-athletes. A list of questions was developed based on the IPP self-study document and members' knowledge of the campus. Weekly interviews were focused either on self-study items or types of services; these interviews led to discussions and, in some cases, follow-up questions or requests for materials to ensure clarity of understanding. Please see the observations and analysis detailed in the full report.

In addition to information provided in the Academic Support Services Evaluation Report, student-athlete feedback regarding academic services available to student-athletes was obtained through the Department of Athletics' annual program assessments, exit interviews and surveys.

- 3 Using the program areas for academic support services listed below, describe the following (this program analysis must be conducted as part of the self-study process):**
- a. The specific academic support services offered to student-athletes (if any);**
 - b. Any policies that govern which students can use these services; and**
 - c. The mechanisms by which student-athletes and staff are made aware of these services;**

Measurable Standard No. 4

Information related to all academic support services must be clearly communicated to student-athletes and staff (e.g., through inclusion in the student-athlete handbook, discussion during team meetings, through inclusion in personnel manuals, review during staff orientation).

Measurable Standard No. 5

Academic support services must be available to student-athletes either through institutional programming or through student-athlete support services.

Measurable Standard No. 6

The institution must demonstrate that all academic support services provided to student-athletes are subject to a comprehensive, written evaluation and approval at least once every four years by appropriate academic authorities outside athletics who do not have day-to-day responsibilities in the academic support services area (e.g., faculty members, degree program advisors or academic administrators of the institution). The institution's faculty athletics representative must serve as a member of the group responsible for the evaluation and approval of all academic support services. Please note, academic support services evaluations conducted by athletics conference office personnel generally will not meet this requirement. Finally, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

If the institution has additional or different academic support services not included in the following list of examples, please add those additional areas using the same analysis.

(1) Academic counseling/advising: Course selection, class scheduling, priority registration

- a. In addition to faculty and professional advising available to all students, advising for student-athletes is available from the professional staff of the Student-Athlete Academic Center. Staff members are trained in NCAA compliance regulations, university policies and curricular requirements to ensure that student advising and enrollment is timely and appropriate for each student-athlete's course of study. They also provide advising related to overall university policy, as well as assisting with interpreting the degree audit, advising on changes of major and providing referrals to other university offices. Student-athletes receive priority registration to ensure their ability to complete required coursework while accommodating practice and game schedules.
- b. Student-athletes are made aware of these services through an orientation program, the student-athlete handbook and regular, direct communication from coaches and coordinators of athletic academic services.

(2) Tutoring: Availability; procedures and criteria for obtaining assistance; assignment, qualifications, training, experience, etc.; compensation, rate of pay, pupil loads, qualifications, experience, other terms and conditions of employment

- a. In addition to tutoring services available to all students, the Student-Athlete Academic Center offers tutoring specifically for student-athletes. The tutoring center provides a managed study environment to support students' transition to the academic workload of college. Tutoring is done on both a drop-in and by-appointment basis. Student-athletes deemed to have academic concerns (relating

to incoming GPA, multiple Starfish Early Alert warnings, or course performance) are required to make use of tutoring services. Peer tutors are trained by the coordinators of athletic academic services with regard to appropriate interaction with students and academic integrity. Tutors meet with a member of the compliance office to review applicable NCAA rules. At the present, five tutors host 10 to 20 hours of tutoring weekly.

- b. Student-athletes are made aware of tutoring services through an orientation program, the student-athlete handbook and regular, direct communication from coaches and the coordinators of athletic academic services.
- c. Study hall monitors and peer tutors are presently paid \$10 per hour and the job tasks and qualifications are as follows:
 - Description of tasks
 - Monitor study hall areas and ensure that all the rules and regulations are followed by student-athletes.
 - Provide tutoring assistance as requested in assigned areas of study.
 - Act as an academic mentor when needed.
 - Qualifications
 - Enrollment as a full-time student at UMass Lowell
 - Demonstrated excellence in their respective areas of study
 - Demonstrated ability to model good academic skills for first and second year students
 - Ability to maintain student confidentiality.

(3) Academic progress monitoring and reporting: Individual's responsibility, frequency, procedures for periodic grade and attendance checks

- a. Athletic Academic Services sends electronic academic progress reports to professors via GradesFirst at Week 4 and Week 12 of each semester. The progress reports provide academic coordinators with updated information on grades, behavior, struggles and suggestions for improvement for each student-athlete.
- b. Handling of this reporting is standard practice for the Registrar's Office and Department of Athletics. Academic policy requires timely grade submission at the end of each term.
- c. Reports relative to student-athlete academic performance are shared as needed with the associate athletic director for academic and student services, the coordinators of athletic academic services, coaches and sports supervisors.

(4) Assistance for special academic needs: Provisions for diagnosis and treatment of education-impacting disabilities (EID)

- a. Student-athletes with education-impacting disabilities have access to all accommodations offered by UMass Lowell’s Office of Disability Services, including provisions for extended time and reduced-distraction testing, organizational assistance and the use of a wide range of assistive technologies.
- b. University policy regarding students with disabilities is in compliance with the Americans with Disabilities Act and Section 504, which require all students to be treated equitably. UMass Lowell’s student-athletes are provided with the same accommodations as all students.
- c. Student-athletes are made aware of these services through the application process, which invites students with documented disabilities to identify themselves as being in need of accommodation. Additionally, information about campus disability services is shared with student-athletes at orientation, in the student-athlete handbook, through regular, direct communication from coaches and the coordinators of athletic academic services and by outreach conducted by the Office of Disability Services.

(5) Assistance for at-risk students: Availability including institution-wide assistance

- a. The Department of Athletics employs a full-time associate athletic director for academic and student services and two full-time athletic academic support coordinators who are available to support student-athletes identified as being at-risk (including those who entered through the special admissions process and those who have received multiple warnings for poor grades through the Starfish Early Alert program). Regular meetings with at-risk student-athletes provide assistance with time management, academic planning and grade monitoring; mandatory tutoring is put in place when warranted. Institution-wide assistance is available through the tutoring, study skills workshops and advising services at the Centers for Learning and Academic Support Services and through faculty and academic advisers in academic programs. There is also tutoring offered within academic programs.
- b. Student-athletes identified as being “at risk” may be required to participate in the Student-Athlete Assistance Program. The program consists of weekly English and/or math tutoring, as well as weekly academic assistance meetings with the academic coordinator. Coaches are responsible for ensuring complete participation by their selected student-athletes in the Student-Athlete Assistance Program. At the end of each semester, the academic coordinator meets with the head coach and sport supervisor of each sport to discuss each student-athlete in the program and determine if continued assistance is necessary.

- c. Student-athletes' academic performance is tracked through mid-term grade reporting, regular eligibility review and regular advising appointments with faculty and athletic staff. At-risk student-athletes are made aware of academic support services through an orientation program, the student-athlete handbook and regular, direct communication from coaches and the academic coordinators.

(6) Academic support facilities: Availability of study rooms, computers and labs

- a. The Student-Athletic Academic Center in the Costello Athletic Center is available to student-athletes from 8 a.m. to 9 p.m. Monday through Thursday, from 9 a.m. to 5 p.m. Fridays and from 4 p.m. to 9 p.m. on Sundays. The center is managed by Department of Athletics staff and offers individualized tutoring rooms, desktop computers in separate study carrels for student use, quiet study spaces and a large group study space.
- b. Student-athletes are also able to access a full range of services available to all students at the institution's primary academic learning center.
- c. Living-Learning Communities provide students the opportunity to explore common interests with other students in their living environment in university housing. This opportunity assists student-athletes in making purposeful links between the academic and co-curricular components of their college experience.
- d. Student-athletes are made aware of these services through an orientation program, the student-athlete handbook and regular, direct communication from coaches and the academic coordinators.

(7) Academic evaluation of prospective student-athletes: Review of academic profiles of prospective student-athletes

- a. Coaches provide transcripts and test scores for prospective student-athletes to the athletic compliance staff for evaluation with regard to UMass Lowell admissions standards, NCAA eligibility standards and potential for academic success at UMass Lowell. The Department of Athletics works in conjunction with the Office of Undergraduate Admissions to ensure that admissions policies are applied accurately.
- b. The Department of Athletics evaluates potential students in accordance with UMass Lowell admissions policies and NCAA initial eligibility standards for all prospective student-athletes.
- c. Department of Athletics staff discusses potential students and relevant policies at regular staff meetings.

(8) Student-athlete degree selection: Degree program assistance

- a. In addition to faculty and professional advising available to all students, advising for student-athletes is available from the professional staff of the Student-Athlete Academic Center. Staff members are aware of curricular requirements for various colleges and majors; they provide advice and direction to student-athletes regarding their chosen course of study and any change of major.
- b. All student-athletes are able to access the services of the Student-Athlete Academic Center.
- c. Student-athletes are made aware of these services through an orientation program, the student-athlete handbook and regular, direct communication from coaches and the academic coordinators.

(9) Learning assessments: Provisions for testing and evaluation (e.g., placement testing)

- a. No specific testing protocols are in place for student-athletes beyond what is required for all students.
- b. The University of Massachusetts system and the Massachusetts Board of Higher Education set requirements for learning assessments, which are carried out in coordination with the Office of Enrollment and Student Success at UMass Lowell.
- c. Student-athletes are also made aware of these services through direct contact with the Office of Undergraduate Admissions and Office of Student Enrollment and Success, the student-athlete handbook and regular, direct communication from coaches and the coordinators of athletic academic services.

(10) Success skills: Study skills, note and test taking, writing and grammar skills, time-management skills

- a. In addition to the success-skills workshops and support available to all students, student-athletes' are supported by the professional staff of the Student-Athlete Academic Center. Programming includes workshops, speakers and individual mentoring appointments to help build success skills for academics and beyond.
- b. Student-athletes are made aware of these services through an orientation program, the student-athlete handbook and regular, direct communication from coaches and the academic coordinators.

(11) Study hall: Availability, facilities, attendance policies

- a. Supervised study halls for informal quiet study are available for all student-athletes in the Student-Athlete Academic Center. Additional supervised study hall hours are held in alternative locations. Between four and 10 hours a week

are required of first-year and transfer students; the number of hours required is determined team-by-team on the basis of GPA. Study hall hours are monitored using GradesFirst and are reported to coaches on a weekly basis.

- b. All student-athletes are able to access study space in the Student-Athlete Academic Center.
- c. Student-athletes are made aware of these services through an orientation program, the student-athlete handbook and regular, direct communication from coaches and the academic coordinators.

(12) First year/transfer orientation: Availability, attendance requirements

- a. Both first-year and transfer student-athletes attend the university-wide orientation program. Essential information from orientation as well as details about Student-Athlete Academic Center services is also reviewed at an annual welcome-back event for student-athletes. All student-athletes are expected to attend orientation and the welcome-back event.
- b. Student-athletes are also made aware of these services through direct contact with the Office of Undergraduate Admissions and Office of Student Enrollment and Success, the student-athlete handbook and regular, direct communication from coaches and the coordinators of athletic academic services.

(13) Mentoring: Availability of mentors, identification and assignment methods

- a. UMass Lowell does not presently have a formal mentoring program for student-athletes; however, some coaches have established team-specific mentoring programs.

(14) Post-eligibility programs: Availability of scholarships, assistantships and academic support

- a. Presently, UMass Lowell does not have specific policies with regard to post-eligibility programs. Student-athletes who have exhausted their athletic eligibility but have not graduated may request financial aid to complete their degree. Requests are handled on a case-by-case basis. It is expected that this need will be addressed in the future with funds generated through further activities.
- b. Communication with student-athletes regarding post-eligibility support is done by the senior associate athletic director/SWA on a case-by-case basis.

4 Please submit an electronic copy of the written report from the most recent academic support services evaluation.

Measurable Standard No. 6

The institution must demonstrate that all academic support services provided to student-athletes are subject to a comprehensive, written evaluation and approval at least once every four years by appropriate academic authorities outside athletics who do not have day-to-day responsibilities in the academic support services area (e.g., faculty members, degree program advisors or academic administrators of the institution). The institution's faculty athletics representative must serve as a member of the group responsible for the evaluation and approval of all academic support services. Please note, academic support services evaluations conducted by athletics conference office personnel generally will not meet this requirement. Finally, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

Measurable Standard No. 7

The comprehensive, written academic support services evaluation must include an evaluation of all services provided to student-athletes. [Note: The list below should provide institutions with a starting point for the evaluation but it is not an exhaustive list. Institutions are required to evaluate all relevant services provided.]

- a. *Academic counseling/advising resources and services;*
- b. *Tutoring;*
- c. *Academic progress monitoring and reporting;*
- d. *Assistance for special academic needs;*
- e. *Assistance for at-risk students;*
- f. *Academic support facilities;*
- g. *Academic evaluation of prospective student-athletes;*
- h. *Student-athlete degree selection;*
- i. *Learning assessments;*
- j. *Success skills;*
- k. *Study hall;*
- l. *First year/transfer orientation;*
- m. *Mentoring;*
- n. *Post-eligibility programs; and*
- o. *Any other relevant service provided to student-athletes.*

Measurable Standard No. 8

The institution must submit a copy of the written evaluation of the academic support services. Please note that the institutions that do not have a separate academic support program for student -athletes are not required to ensure that its academic support program for students generally is subject to a comprehensive written evaluation at least once every four years by authorities external to athletics.

Please see UMass Lowell's "Academic Support Services Evaluation" in Appendix E.

5 Identify the academic authorities outside the department of athletics responsible for conducting the institution’s academic support services evaluation and explain the process used in selecting these individuals to ensure they do not have day-to-day responsibilities in the academic support services area. Also, provide the date of the institution’s most recent academic support services evaluation.

UMass Lowell’s Athletic Academic Support Services Evaluation Subcommittee, appointed by Vice Provost and Chairman of the Academic Integrity Subcommittee John Ting, included representation from faculty and staff from academic affairs. Evaluation committee members included:

- Stephen McCarthy (chairman), professor of plastics engineering and faculty athletics representative (FAR);
- Paula Haines, director of assessment;
- Brooke Hargreaves-Heald, associate professor of management;
- Erika Lewis, associate professor and department chairwoman, physical therapy;
- Stephen Norton, assistant dean, Kennedy College of Sciences;
- Sheila Riley-Callahan, executive director of academic services and special programs

The membership of this committee was drawn from the larger body of faculty and staff participating in the IPP self-study process. While the self-study recommends that this membership exclude individuals with day-to-day responsibilities in the academic support services area, we felt that, for this initial evaluation, both Sheila Riley-Callahan and Stephen Norton were needed to provide valuable insights to the process as a result of their involvement in this work. The committee will be reconstituted with new membership for subsequent evaluations.

The committee completed the first academic support services evaluation for submission as part of the IPP Self-Study on Jan. 11, 2016.

6 If the institution used an outside individual or entity (e.g., conference office, peer colleagues) to assist in the coordination or facilitation of the academic support services evaluation, provide the name(s) and affiliation(s) of the individual(s). Further, describe the process used in selecting this authority outside the institution to ensure the individual(s) is knowledgeable of academic support services. Also, provide a description of the authority’s involvement in the academic support services evaluation.

No parties outside UMass Lowell assisted in the development of the Academic Support Services Evaluation.

7 Describe the process used by the institution during development of the self-study to review the most recent academic support services evaluation to determine any necessary corrective actions. In addition, identify the individuals involved with this review

Measurable Standard No. 9

The institution must involve a broad group of on-campus personnel who are employed outside the department of intercollegiate athletics (e.g., academic board, undergraduate education office, provost office) as participants in the comprehensive, written evaluation and periodic approval of academic support services. Further, institutions must review the written, comprehensive evaluation as part of the self-study process and determine if appropriate corrective actions are necessary in response to the written report.

As this was the first formal NCAA Division I Academic Support Services Evaluation at UMass Lowell, no formal review of prior evaluations was conducted.

8 Identify relevant corrective action(s) planned as a result of the process described in Self-Study Item No. 7 or actions previously planned or implemented from the most recent academic support services evaluation. Provide:

- a. The plan(s) or action(s) implemented; and**
- b. The date(s) of actions taken or specific timetable(s) for completion of the plan(s).**

UMass Lowell's Athletic Academic Support Services Evaluation Committee conducted a thorough assessment of all aspects of academic services available to student-athletes. No corrective action steps were deemed necessary.

As the committee did recommend expansion of staff and services to enhance academic support to student-athletes, specific actions steps will be identified as additional resources become available.

9 If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 2.2, describe the institution's efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval.

The recommendations provided by the Athletic Academic Support Services Committee are included in the committee's final report. The membership of the committee was drawn from the larger body of faculty and staff participating in the IPP self-study process. The recommendations were shared with university leadership as part of the self-study process.

Academic Integrity

Appendices

Appendix D: UMass Lowell Facility Scheduling Policies & Procedures

Appendix E: University of Massachusetts Lowell Academic Support Services Evaluation

Appendix F: UMass Lowell Excused Absences for NCAA Competition

Charts/ Tables

Chart 1: Special Admissions

Chart 2: Special Admissions by Sport

Chart 3: Test Scores by Gender

Chart 4: Test Scores by Racial or Ethnic Group

Chart 5: Test Scores & GPA by Sport

Chart 6: Federal Graduation Rates Comparison

Chart 7: Federal Graduation Rates by Sport

Chart 8: Federal Graduation Rates by Racial & Ethnic Group

Chart 9: ACT/SAT Conversation Chart



University of
Massachusetts
Lowell

Learning with Purpose



ATHLETIC DEPARTMENT **FACILITY MANAGEMENT & OPERATIONS**

Document Name: Facility Scheduling Policies & Procedures

Issuing Office: Athletic Facilities

Updated Date: June 2014

Related Documents:

All Department of Intercollegiate Athletics events and activities must be scheduled and conducted in accordance with University, NCAA and Conference policies, rules, regulations, and procedures. All Coaches and staff members who plan to schedule a competitive event, practice, camp, clinic, fundraising activity or special event in or on University property must adhere to the following procedures for scheduling:

I. Scheduling Intercollegiate Contests:

The following considerations should apply to the development of all intercollegiate competitive contests:

1. **Budget** – all nonconference contests must be approved by appropriate sport supervisor prior to final agreement with competition institution.
2. **Missed Class Time** - Coaches are required to keep the amount of missed class time to a minimum while scheduling non-conference contests.
 - Please have submitted all dates for intercollegiate contests by the following for your respective sport:
 - **Fall Sports: April 1**
 - **Winter Sports: June 1**
 - **Spring Sports: July 1**
 - All composite schedules should be submitted in a word document via email to the Sport Supervisor who will once approved will forward to :
 - Athletic Training
 - Business Manager
 - Facilities
 - Academic Services
 - Athletic Communications
 - Non-traditional season games for fall and spring sports must be approved by appropriate sport supervisor at least one month prior to first contest. Dates and times for these contests will only be approved with regard to facility and staffing conflicts with traditional season contests.

3. Contracts-

- Contracts for Home games will be administered by the business office based on composite schedules once submitted for non-conference opponents.
- If there is a home contract or visiting contract sent for signature that stipulates a return game or series and/or involves a monetary guarantee please submit via the Athletics Contract Tracking Sheet (see below or on athletic shared drive under facilities).
 - Tracking Sheet will be initiated by the Coach and sent to Sport Supervisor.
 - Once signed off on Business Office will create contract or send visiting game contract to host institution.

II. Scheduling Practice Sessions

- The Head Coach or his/her designee will submit a practice schedule to the following administrators based on normal practice time: Sport Supervisor, Athletic training, Facility Scheduler. Practice Schedule should be submitted in Calendar format (i.e. publisher) inclusive of travel days and days off.
 - M/W Soccer, Field Hockey, Volleyball, Cross Country, Golf, Ice Hockey - July 15
 - Baseball, M/W Lacrosse, Softball, M/W Basketball, M/W Track- fall season and non-traditional season schedules due August 1.
 - Ice Hockey, M/W Basketball, Track, M/W Lacrosse, Softball, Baseball - winter intercession practice schedules due Nov 15.
 - Ice Hockey, M/W Basketball, Track, Baseball, Softball, Golf, M/W Lacrosse - spring semester practice schedules due Dec 1.
 - M/W Soccer, Field Hockey, Volleyball- nontraditional season practice schedules due December 15.
- Practice schedules should be submitted in calendar format (preferably in Microsoft Publisher) denoting weekday, weekend, off-days, & any pre-game practices.
- Practice time slots will be determined on a yearly basis with priority going to in season teams and rotating priority choice between programs that share practice venues.
 - The facility scheduler will verify that all requested practice days/times are available.
 - Scheduling conflicts will be discussed and ultimately resolved by the appropriate Sport Supervisors if coaches cannot resolve.
 - Practices will not be scheduled two hours or less before an intercollegiate contest at the same venue.
 - Practice may not take place between 9am-1pm during the academic school year. Any alteration to this must be approved by the sport supervisor.
 - All schedules must be entered into ARMS as part of compliance protocol.

III. Rescheduling Intercollegiate Contests

A formal request for a traditional season contest change must be made to appropriate sport supervisor for the following situations:

1. A change to any conference game scheduled by the conference office.
2. A postponement for any conference or traditional season contest due to weather conditions or other emergency situations.

APPENDIX D

FACILITY SCHEDULING POLICIES & PROCEDURES

- Head Coach may request, to sport supervisor, a change of schedule for a conference scheduled game up to two months prior to scheduled contest.
- Weather or emergency related postponements must be approved by appropriate sport supervisor prior to a coach's agreement with the opposing team.
- Sport Supervisor will contact opposing Athletic Director to confirm agreement of contest change.
- Sports Supervisor will verify the ability to manage the change according to internal facility availability and staffing capabilities.
- Sport Supervisor will notify the following people of any change to the conference or non-conference schedule: Business Manager, Head Athletic Trainer, Equipment Manager, Athletic Communications and Facility Scheduler

IV. Rescheduling Practices

In order to adequately prepare for and service intercollegiate athletic practices support staff must be informed and prepared as early as possible. Therefore all practice schedules must be submitted and approved as outlined above. On the rare occasion that a "non-weather related" practice needs be rescheduled the following will be considered:

1. Availability of practice facility
2. Availability of athletic training coverage
3. Availability of laundry/equipment service

- Head Coach must request any schedule change at least **48 hours** prior to originally scheduled practice.
- Request schedule change with facility scheduler and athletic training staff to determine availability of practice facilities coverage of trainer for practice.
- Notify appropriate athletic department staff immediately. Notification and confirmation should be entered into Arms and communication sent to Athletic Training Staff, Facility Scheduler and Facility/Equipment Manager.

Please note: It is understood that there are instances whereby weather is a direct influence on the need to cancel, reschedule, postpone, or change the time of a scheduled practice. However, non-weather related practice changes should be avoided as it is the expectation that programs are well organized hence the need for changes are limited.

SUMMER CAMPS

Camp and clinic requests must be made: by **November 15** for all summer requests to the administrative contact for Camps and Clinics. All other requests for Academic Year Camps and Clinics should be submitted via ARMS. **ALL CAMPS AND CLINICS MUST FOLLOW COMMONWEALTH OF MASSACHUSETTS AND UML ATHLETIC DEPARTMENT REGULATIONS.**

- All Camps and clinics must be approved by the sport supervisor and follow NCAA guidelines.
- Cancellations of summer camps and clinics must be made 60 days prior to the start of the camp/clinic. If summer camps are cancelled in less than 60 days, Cancellation Fees May Apply.
- Please refer to UML Camps & Clinics Manual for more information.

Please post and/or add to your work calendar to comply with the established deadline.

APPENDIX D

FACILITY SCHEDULING POLICIES & PROCEDURES

Summary of Important Dates

Date	Team(s)	Action Required
April 1	Field Hockey M/W Soccer Volleyball Cross Country Golf	Intercollegiate Contest schedule due
June 1	M/W Basketball (non-conference) Ice Hockey M/W Track	Intercollegiate Contests schedule due.
July 1	Baseball Softball M/W Lacrosse Track	Intercollegiate Contests schedule due.
July 15	Field Hockey, M/W Soccer, Volleyball, Cross Country Golf	Fall Practice Schedules due
August 1	M/W Basketball Ice Hockey Baseball Softball M/W Track M/W Lacrosse	Fall Practice Schedules Due
November 15	M/W Basketball Ice Hockey M/W Track M/W Lacrosse Baseball Softball	Winter Intersession Practice Schedules Due
December 1	Baseball M/W Basketball Golf Ice Hockey Softball M/W Lacrosse M/W Track Golf	Spring Semester Practice Schedules Due
December 15	M/W Soccer Field Hockey Volleyball	Spring Non Competitive Practice Schedule Due



**University of Massachusetts Lowell
Academic Support Services Evaluation
Fall 2015**

The NCAA Academic Support Services Evaluation Committee, appointed by Vice Provost John Ting, included representation from Faculty and staff in Academic Affairs. Evaluation Committee members included:

Stephen McCarthy (Chair), Professor, Plastics Engineering; Faculty Athletics Representative
Paula Haines, Director of Assessment
Brooke Hargreaves-Heald, Associate Professor, Management
Erika Lewis, Associate Professor and Chair, Physical Therapy
Stephen Norton, Assistant Dean, Kennedy College of Science
Sheila Riley-Callahan, Executive Director, Academic Services & Special Programs

The charge of this committee is to complete a thorough evaluation of the academic support services in place for UMass Lowell's student-athletes, and, based on that evaluation, make recommendations to the relevant offices or individuals for continuing and improving the effectiveness of those services. The evaluation process is intended to ensure that student-athletes have access to, and are encouraged to use, campus services that will enhance their academic success.

In addition to seeking information from the university and athletics websites, the committee met with and solicited written comments from a number of individuals to elicit information for this evaluation. Material in this report is based on the input of:

Michael Anderson, Athletic Academic Services Coordinator, Athletics
Jody Goldstein, Director, Disability Services
Ken Haring, Coach, Athletics
Tracy Moore, Assistant Director, Health Education and Promotion
Sandra Niedergall, Senior Associate Director, Athletics
Edward Seero, Associate Director, Undergraduate Admissions
Rachel Stringer-Grimsley, Assistant Director, Orientation
Lauren Trapasso, Athletic Academic Services Coordinator, Athletics
Laura Kender, Student Athlete, Women's Lacrosse
Elizabeth Kender, Student Athlete, Women's Lacrosse

APPENDIX E

ACADEMIC SUPPORT SERVICES EVALUATION

In addition, the Chair, Stephen McCarthy, interviewed the following student athletes:

Baseball - Max Frawley, Chris Ortega
Golf- James Walmsley, Johnathan Burgin
Ice Hockey - Ryan McGrath, Jacob Townsend
Men's Lacrosse - Jared Zaniewski, Grant Lardieri
Men's Soccer - Eric Martin, Wullito Fernandes
Men's Track - Richard Mulo, Connor Doyle
Women's Basketball - Lauren Parra, Nicole Riddick
Field Hockey - Kelly Freitas, Jenna Freitas, Georgia Cowderoy
Softball - Sam Mcqueen, Mari Handley
Women's Soccer - Thalia Petsis, Emily Duchesne
Women's Track - Kathryn Loughnane, Jessica Amadee, Layshla Gonzalez
Volleyball - Megan Young, Lindsey Visvardis

Process recommendation: This initial evaluation serves as a template for ongoing evaluation; building on the base established here, future evaluations should identify measurable performance indicators.

Overview

Academic support for UMass Lowell students is both a critical strategic goal and a point of pride in our community. The commitment to Transformational Education as the first “pillar” of our 2020 Strategic Plan outlines the core mission to:

- recruit and retain academically qualified and diverse undergraduate students who benefit from the University’s intellectually challenging environment
- enhance student success by increasing academic support beyond the classroom and enriching campus life with an emphasis on learning
- create curricula and programs that foster excellence in teaching and learning and create a climate in which intellectual achievement is honored and encouraged
- improve pedagogy by creating a culture that fosters innovation, examination, and assessment of teaching and learning.

The university’s commitment to these goals is critical to the success of student-athletes and all students. As both the overall enrollment and the athletics programs grow, the university must carefully plan to provide the human, technological, and financial resources necessary to the achievement of these goals.

This student academic support evaluation offers observations on existing processes and resources and recommendations for future action.

1. Academic counseling/advising

Oversight for academic advising is the responsibility of Charlotte Mandell, the Vice Provost for Undergraduate Education. Advising initiatives that span campus include the Council of Advisors, a group of faculty and staff who assist the Vice Provost in identifying critical issues in campus advising practices. Their work is extended through the Advising Affinity Group, a listserv community capturing a wider group of faculty and staff advisors. Key technological advising resources fall under the aegis of the VPoUE, including Starfish, Student Success Collaborative, and GradesFirst.

Though practice varies by college and department, primary academic advising for UMass Lowell students is a faculty role, in some areas, primary advising is done by professional advisors. Each student is assigned a faculty advisor. In some cases, a department has advisors specifically for first-year students (typically tied to the first-year seminar, which, for some majors, includes ongoing advising) and for transfer students; after the first year, the student is assigned to another faculty advisor in the department. Again, practice varies across campus, but, typically, the professional advisor supports the faculty advisor and facilitates transactional/enrollment advising—including advising students about relevant university policies and assisting students in interpreting advisement reports generated by the Student Information System (SiS). Advisors also provide transformational/academic, personal and career development advising.

While most advising takes place during the advising period specified in the academic calendar, faculty maintain regular office hours throughout the academic year; these hours are often used for impromptu advising and for students to seek guidance on academic matters more specifically related to coursework.

Special care is taken to make sure that all students understand the importance of academic advising. Advising is a highlight of Orientation, and this critical function is reinforced through campus-wide e-mail communication, reminders from teaching faculty, e-mail reminders from advisors, and through SiS enrollment appointments and, for some academic units, advising holds within SiS. Advising workshops and events highlight advising at critical times of the year.

To supplement the advising embedded within colleges and departments, all students are able to use academic counseling and advising services offered through the Centers for Learning and Academic Support Services (CLASS). CLASS's staff of professional advisors are available year round, face-to-face in four locations on campus, and virtually via Skype and e-mail. They offer assistance with academic planning, course selection, SiS functions, change of major, and course deletions, as well as intercollegiate transfer, academic standing, major and minor exploration, and graduate school preparation.

Academic advisors are supported in their work through technology solutions designed to gather information about student performance. Students in critical gateway courses across campus are tracked using Starfish Early Alert, which provides kudos for good work and warnings that direct students to faculty and advisors as well as other support services. This system puts particular emphasis on early behavioral intervention with first-year students. In addition to Starfish, the faculty have access to the Student Success Collaborative, a tool designed to help advisors predict outcomes for students based on performance trends and to assist with timely degree completion by suggesting degree pathways that work with students' academic strengths and past successes. Many faculty use the Student Information System (SiS) to post mid-term progress grades that alert students to potential concerns and encourage discussion with faculty and advisors.

In addition to the practices and services noted above, some additional advising oversight is required for student-athletes at UMass Lowell. In some academic units, a specific faculty member or professional advisor has been identified as the student-athlete advisor. In such cases, that faculty member is assigned students within their major(s) who are also student-athletes. Also, Athletic Academic Services Coordinators (AASCs) remind student-athletes to work with their faculty advisors. In preparation for those meetings, student-athletes fill in the student-athlete advising form with the classes they intend to take. Students secure the academic advisor's signature of approval and return the form to an AASC, who check to make sure that student-athletes' intended schedules are in compliance with NCAA progress-towards-degree requirements. The Associate Athletics Director for Academic and Student Services, Christine Smith, and both AASCs, Lauren Trapasso and Michael Anderson are members of the Council of Advisors; their practices are attuned to campus standards and university policy.

Finally, following from the recommendations made in the 2014-15 NCAA Division I Annual Report, a new technology solution has been adopted to support the academic performance of student-athletes: GradesFirst works in conjunction with the Student Success Collaborative product, and is used by the Athletic Academic Support staff to monitor student-athlete

performance and solicit mid-term progress reports from faculty, as well as monitor eligibility data and time in study hall.

Recommendations: The designated department advisor for student athletes varies between departments and should be improved. The committee recommends that UMass Lowell implement a Faculty Fellows program whereby there will be at least one faculty from each department who shall serve as the advisor for all student athletes within that department. These Faculty Fellows can also serve as advocates for the students athletes among other faculty within their departments.

Additionally, with over 400 student-athletes on campus, and only three individuals devoted full-time to supporting academic initiatives in athletics, the evaluation committee is concerned about the demand for services and the available human resources for students. We recommend that advising hours be tracked carefully to determine usage and potential shortfall in availability.

2. Tutoring

The Centers for Learning and Academic Support Services is the main source of tutoring at UMass Lowell. CLASS tutoring is a highly respected, well-publicized and heavily used campus resource, faculty work closely with the professional staff who oversee tutoring services and with 65 peer tutors who are direct service providers. Student tutors carry a minimum GPA of 3.2, meet relevant course grade requirements, and submit a letter of recommendation from a faculty member who teaches the course for which they will tutor and who can speak to the expertise of the student. The CLASS Tutoring Center is accredited through the College Reading and Language Association, which requires ongoing tutoring practice and continuing training in key tutoring skills.

CLASS's faculty-driven, peer-delivered tutoring is done on both a drop-in and appointment basis, in both group- and one-on-one settings. Tutoring is available in four locations, including two residential locations, from 8:30 a.m. to 11:00 p.m. Tutors are available for tutoring in over 75 separate courses, covering a wide range of disciplines and subjects, from Arabic to Thermodynamics.

The Centers for Learning partners with the UMass Lowell Writing Center, located in O'Leary Library; together, these outlets provide writing tutoring for all students on campus. The Writing Center is directed and staffed by both faculty tutors and by peer tutors and is overseen by faculty in the English Department.

Some academic units present students majoring in a particular discipline with additional opportunities for tutoring in other settings. In some cases, the tutoring is overseen directly by faculty teaching the course. In other cases, the tutoring is entirely peer-to-peer, sometimes in conjunction with a discipline-based honor society or other student group.

Tutoring resources exclusively available to student-athletes through Student-Athlete Academic Center include evening tutoring in writing, math, business, engineering, and health sciences, as well as managed study halls (see section #11, below). These services are overseen

by the Associate Athletics Director for Academic and Student Services, and are organized to meet student-athletes' need for flexibility in time and location; the presence of tutors in Costello Athletic Center encourages student-athletes to take advantage of available services. The tutors operating in the Student-Athlete Academic Center are given a mandatory training, offered each semester, relating to NCAA rules and regulations.

Most tutoring in the Student-Athlete Academic Center is done on a drop-in basis, though student-athletes may be flagged for mandatory tutoring appointments. This is the case for student-athletes who are flagged as "at-risk," including students entering through special admissions, students who receive three warnings through the Starfish Early Alert program within the first 6 weeks of classes, and those who are flagged by tutors or Athletic Academic Services Coordinators based on observations made in study hall.

Recommendations: The hiring, continuous training, and oversight of student tutors for the Student-Athlete Academic Center should be standardized at the high level of expectations set by the Centers for Learning, including GPA and CLRA training. Whenever possible, tutors should be prepared and qualified to work in any university tutoring location. Tutors should be continuously evaluated to ensure quality. Student Athletes who obtain tutoring at the Centers for Learning, College, or Departmental Tutoring Centers should receive credit towards their required weekly tutoring hours as monitored by the Student Athlete Academic Center. The committee also recommends that a tutoring handbook and brainshark be developed for all student athletes.

3. Academic progress monitoring and reporting

In Spring 2015, the responsibility for monitoring progress toward degree for student-athletes was shifted to the Registrar's Office to help ensure accuracy and independence in reporting. Lauren Dufresne, Associate Registrar for Student Records and Compliance, holds primary responsibility in this area. As the Registrar's Office liaison to Athletics, she calculates and reports student-athletes' progress toward degree five times annually.

Three of these reports are made at semesters' end (fall, spring, and summer) and two of the annual reports (October and March) are provided as projections. To create the reports, each student-athlete's transcript is reviewed and the SiS (Student Information System) Advisement Reports are used to calculate progress in degree-relevant coursework for the primary degree.

Any question that arises regarding a student-athlete's degree progress triggers outreach from the Registrar's Office to Admissions and to Athletic Academic Services. Dufresne partners closely with the Athletic Academic Services Coordinators, Lauren Trapasso and Mike Anderson, to ensure that each student-athlete's progress is on track in accordance with NCAA requirements.

Dissemination and use of the resulting data is also done in partnership. Dufresne provides completed reports to Sandra Neidergall, Senior Associate Athletic Director, and Christine Smith, Associate Athletics Director for Academic and Student Services, as well as Trapasso and Anderson, who share pertinent details of Dufresne's report with coaches, athletic director.

sports supervisors, and faculty athletics representative. Trapasso and Anderson meet with student-athletes to discuss any concerns raised by the report.

Recommendations: UMass Lowell has recently instituted Grades First to monitor student academic progress. The success of this software should be monitored and ways to encourage faculty to submit academic progress and attendance should be explored.

Having an individual in the Registrar's Office designated for progress-toward-degree monitoring ensures independent review of student data and allows for good communication with Athletics. Given the fast-growing number of student-athletes, and the time required for the reporting process, analysis and follow-up, careful accounting of this workload is needed to ensure that proper staffing is available both in the Registrar's Office and in Athletics.

The total number of missed classes due to athletics travel should be calculated for each student-athlete based on his or her schedule; this information should be used to improve oversight for making up missed work during study hall hours and should be studied against academic outcomes including course grades, semester GPA, and progress-towards-degree.

4. Assistance for special academic needs

Academic assistance for students with special academic needs, including student-athletes with special academic needs, is delivered for all UMass Lowell students through the Office of Disability Services. Jody Goldstein, Director of Disability Services, oversees this work. To better address students' complex and intersecting needs, Disability Services has been made part of the Wellness Center, which also includes Counseling Services, Health Education and Health Services. Division of Student Affairs leadership responsible for oversight of the Wellness Center include Associate Vice Chancellor of Student Affairs and University Events Larry Siegel, Dean of Student Affairs and Enrichment James Kohl, and Assistant Dean for Health and Wellness Paulette Renault-Caragaines.

Within the Office of Disability Services, Goldstein (M.S.W., with post-Masters Educational Counseling Certification) supervises Assistant Director Laruen Tornatore (M.Ed., CAGS in School Psychology) and Assistant Director for Assistive Technology Brandon Drake (M.S. in Management). These full time professional staff, along with Janelle Diaz (M.A. in Community Social Psychology), a part-time Support Counselor, serve a population of over 800 students who have identified themselves as having a disability and registered a disability with that office. Goldstein and her staff are responsible for ADA compliance and strategic planning, educating faculty on productive working relationships with students with disabilities, providing assistive technology and encouraging Universal Design, and coordinating areas of support across the campus.

Disability services works with students and faculty to ensure that qualified students are granted accommodations including extra time, limited distraction testing environments, alternative format texts and instructional materials, Braille and audio translation, classroom use of laptops, screen readers, FM amplification, note-takers, sign language interpreters, real time captioning, Smart Pens, and provision for service animals to be accommodated in the

classroom. The Office of Disability Services works with faculty to ensure that accommodations are granted as needed.

Administrative assistance is available in the form of priority registration, foreign language substitution, and reduced course load (for student-athletes, reduced course load is cleared with the Athletic Academic Services Coordinators to ensure that NCAA compliance is maintained).

The staff of Disability services also provides weekly or on-demand intervention sessions for students on the Autism spectrum, and those with ADHD and anxiety. They can also facilitate accommodation for one-on-one tutoring sessions at the Centers for Learning.

Campus partnerships are of critical importance to the success of the Office of Disabilities Services; partnerships are maintained by regular communication with and outreach to Admissions, the Centers for Learning, Career Services, the Library, and with Athletic Academic Services.

Recommendations: The committee recommends that a dedicated learning specialist be added to Disability Services to be dedicated at least part time to student athletes. It would be valuable to have this individual work closely with the student athlete advisors to provide support (e.g. mentoring, study and planning skills, and extra-time testing) for student-athletes in that location. Such an individual would need to report directly to the Office of Disability Services to ensure that academic integrity is maintained while providing necessary and reasonable accommodations.

5. Assistance for at-risk students

Athletics proactively monitors at-risk students starting with the admissions process, and continues to work with those students to support their success. During the admissions process, standardized test scores and high school grades serve as initial risk indicators. Additionally, the Office of Disability Services works with applicants with special needs to secure waivers for NCAA eligibility, housing, etc. when necessary.

At-risk student-athletes are identified initially through their pre-collegiate academics and then through monitoring of their academic performance once on campus. The various, interlocking early warning notification systems make timely intervention possible in order to address academic problems before they undermine the student's semester. A range of services exists for at-risk students. These are all available to student-athletes, and include more structured advising, tutoring opportunities, and study skills development. Athletics directs at-risk student-athletes to the University-wide resources while also providing direct support through the Student-Athlete Academic Center in the form of specialized advising and managed study hall requirements.

Once student-athletes are on campus, their academic performance is monitored closely. It is tracked through GradesFirst (previously, faculty completed handwritten progress cards) and the Starfish Early Alert system, both of which are early warning systems. Mid-semester grades provide another marker of student performance. Another, critical early warning system for student-athletes is the close observation by their athletic advisors and coaches. This careful

monitoring helps identify changes in behavior and attitude that might adversely affect academic performance and thus warrant some form of immediate intervention. Despite these early warning systems, some students still fail to perform well and thus are identified at the end of each semester based on their final course grades, as monitored by the Registrar's Office. Finally, the Student Success Collaborative (SSC) software is used to identify at-risk students. Based on historical trends, the SSC software helps identify students who are at risk of not completing their chosen degree, and suggests alternative pathways more compatible with a student's academic strengths in order to increase the student's likelihood of successful degree completion.

When concerns are raised through these monitoring processes, student-athletes are directed to the support services specifically offered to student-athletes, and to the university-wide support services described extensively in the other sections of this evaluation.

Interventions for at-risk student-athletes include additional, intensive advising and monitoring by Athletic Academic Services Coordinators and guidance from coaches. Student-athletes struggling with their academic performance, depending on the nature of their difficulties, may be required to attend additional meetings with their advisors, work with Athletics Academic Services Coordinators to develop detailed academic action plans, and attend additional required tutoring, study skills workshops and/or study hall hours. (Please see detailed descriptions of specific services elsewhere in this report.)

The athletics department complies with university policies governing Academic Standing, including warning, probation, suspension, and dismissal. Student-athletes on Academic Warning are required to meet with their advisors and develop a detailed plan for academic success, to complete additional study hall hours, and to attend tutoring. Additional requirements are established by coaches; these vary by team.

Recommendations: Although the athletics advisors already do an excellent job of supporting at-risk student-athletes and directing them to appropriate resources on campus, stronger networking with the various university offices is recommended – all with an eye toward crafting specialized programs and additional resources to meet the specific needs of athletes.

UMass Lowell has recently instituted Grades First to monitor student academic progress. The success of this software should be monitored and ways to encourage faculty to submit academic progress and attendance should be explored.

As the university and its athletics programs continue to grow, resources for handling at-risk students will also need to grow. Athletics should carefully track the resources (demands on advisors, study hall space, etc.) at-risk students require. This will allow for more accurate projections for human resource and physical space needs as the student-athlete population grows.

Even though the academic credentials of the entering student-athlete population is very high, it would still be worthwhile creating a summer bridge program to ensure a smooth transition from high school to college, with both academic and co-curricular programming. In

developing such a bridge program, careful attention will have to be given to the financial needs of the incoming student-athletes who will participate.

6. Academic support facilities

UMass Lowell is constantly expanding to accommodate its growing enrollments, and making space for students to study in both formal and informal settings is a consideration and a challenge for campus planners.

The Centers for Learning and Academic Support Services provides the majority of the formalized academic support facilities, with four different locations on campus. They have a major presence on each of the two academic campuses: on North Campus, Southwick Hall 302- 321, and, on South Campus, O'Leary Library 1st floor. They also maintain academic support facilities in two residential buildings: in the lobby of Fox Hall, and on the 8th floor of the Inn and Conference Center. Fox Hall and the Inn and Conference Center are open from 6:00 pm-11:00 pm Sunday through Thursday for the convenience of resident students. North and South Campus locations are open from 8:00 am– 5:00 pm for all students.

In addition to the advising and tutoring functions described at length above, the Centers for Learning maintains five computer labs, with 122 computers available to students. These labs are part of the University's Virtual Desktop Infrastructure (VDI) system, which provides an array of constantly-updated academic software. There are two professional staff and many student lab assistants to help students use the facilities. The Tutoring Center has 11 tutoring stations, where two professional staff are able to closely supervise the peer tutors. The Advising Center serves all undergraduate students with a total of 5 professional advisors on North and South campus.

The Student-Athlete Academic Center is located on the lower level of the Costello Student Athletic Complex and is exclusively for the use of student-athletes. The Student-Athlete Academic Center houses the offices of all Academic Staff, several tutoring rooms, a conference room, and a large team room that functions as a quiet study room during study hall. There are no stations for tutoring support for the five tutors who host 10-20 hours of drop-in tutoring weekly. In the main area of the study hall, there are five computers running the campus VDI system for student-athlete use.

The hours of operation for the Student-Athlete Academic Center are as follows:

Sunday: 4:00 PM-9:00 PM (*Olney 150 used for overflow*)
Monday: 8:00 AM – 9:00 PM
Tuesday: 9:00 AM – 9:00 PM (*Olney 150 used for Track & Field*)
Wednesday: 8:00 AM – 9:00 PM
Thursday: 9:00 AM – 9:00 PM (*Olney 150 used for overflow*)
Friday: 8:00 AM – 5:00 PM

Recommendations: While the existing facilities are inviting, convenient to students, and well-managed, they are under critical strain. The current use of a lecture hall to accommodate the overflow need for academic support space speaks directly to the fact that enrollment growth has outpaced physical growth in this area. To help alleviate some amount of pressure on the

Student-Athlete Academic Center, the committee recommends that student athletes who obtain tutoring at the Centers for Learning, College, or Departmental Tutoring Centers should receive credit towards their required weekly tutoring hours as monitored by the Student Athlete Academic Center (see also section 11 on Study Hall, below), though we recognize that space is tight at those locations as well. This issue requires attention in strategic planning regarding space use (K1 300). The addition of a lounge area for student athletes could also relieve the strain of the current Student Athlete Academic Center.

Additionally, Athletics does not own laptops that can readily be loaned to student-athletes on travel; the committee recommends a survey of student-athletes to determine how many students do not have laptops, and an investment in a reasonable number of loaner laptops to afford students on athletic travel access to appropriate academic software.

7. Academic evaluation of prospective student-athletes

Student-athletes follow the same admission process and must meet the same admissions standards as any student at UMass Lowell. To ensure that these standards are upheld and that student-athletes are selected for their ability to succeed academically and complete a degree at UMass Lowell, the Admissions Office works closely with the Athletics Department.

Students can be preliminarily evaluated for admission based upon unofficial high school, two-year and four-year college transcripts as well as any standardized test scores the student may have available. To assist with recruitment, the academic support services staff within the athletics department will meet with a potential student-athlete during a recruiting visit when requested to do so by the coach.

All students are required to submit an application for admission along with required application materials. A coach may submit official transcripts from high school and any higher education to the Admissions Officer, who, on the same day, will recalculate the applicant's GPA to conform to a 4.0 scale and return the results to the coach. The Athletics Compliance Director evaluates all of the transcripts of potential student-athletes as well as transfer student-athletes.

Freshman applicants are required to submit official transcripts from all secondary schools attended; official SAT or ACT scores are sent directly from The College Board or ACT respectively. The application also requires one letter of recommendation and an essay. Once all of these materials are received, the student is officially evaluated for admission.

Transfer applicants are required to submit official transcripts from all post-secondary institutions attended. Admission decisions are made based on the cumulative grade point average from the most recently attended institution.

International freshman and transfer applicants from non-English speaking countries, or who have attended institutions wherein English is not the primary language of instruction, are required to submit a TOEFL score to prove English proficiency. Additionally, international transfer students are required to submit translated, notarized course descriptions to the university in order to receive course credit.

Admissions decisions are determined based on the cumulative grade point average from the most recently attended post-secondary institution. If a student meets the criteria for admission as outlined by the Massachusetts Department of Higher Education, the student is admitted.

Admissions Process

Admission to all Baccalaureate day programs is made through the Office of Undergraduate Admissions according to established undergraduate policies applicable to all students, including student-athletes. Authority for admissions and certification of academic standing for student-athletes is entrusted to the same individuals and offices that are charged with those responsibilities for the general student population.

As stated in the referenced Admissions – General Policy statement, it is the policy of the University of Massachusetts Lowell that students seeking admission will be evaluated on their merits and without respect to their race, color, creed, national origin, age, gender, handicap, sexual orientation, veteran status or marital status.

Senior Associate Athletic Director Sandra Niedergall serves as the primary liaison to the Admissions Office through Associate Director for Admissions and Athletics Liaison Ed Seero, who communicate directly to discuss issues related to student-athlete admissions. Coaches are not permitted to discuss prospects directly with Admissions Office personnel.

Freshman Admission

All freshman applicants are evaluated using standards determined by both the Massachusetts Department of Higher Education (DHE) and the University of Massachusetts Lowell. These standards represent minimum requirements; meeting them does not guarantee admission.

The process by which student-athletes are admitted as first-year students to the University of Massachusetts Lowell is consistent with the process by which any applicant is admitted to the university. Admission to all Baccalaureate day programs is made through the Office of Undergraduate Admissions according to established undergraduate policies.

Prospective freshman students are asked to submit an application for admission, an official high school transcript with at least 6 semesters of college preparatory level or higher coursework (completed at the time of admission), at least one letter of recommendation and an essay. Emphasis is placed upon the rigor of the high school course selection as well as scores on standardized tests (if applicable); letters of recommendation, essays and extracurricular activities are also considered during the evaluation of applications. Students shall have fulfilled all requirements for the high school diploma or its equivalent upon enrollment.

Effective in Fall 2016, UMass Lowell will implement a “No-Test Option” wherein prospective students may elect to not submit any standardized test scores as part of their Admissions application. Students selecting this option will be required to answer several additional essay questions, and will be assessed on their High School performance, the academic rigor of their high school and high school curriculum, as well as other special

factors that may indicate a high probability of academic success at UMass Lowell. Students enrolling in this category will be part of the DHE "Special Admit" category, and will be subject to the DHE cap of a maximum of 10% of new students. While it is not known at this time how many Student-Athletes might be admitted or enrolled in this category, this No-Test Option will be available to all students applying for admissions to the University. This Option is described in more detail below.

Transfer Admission

The process by which student-athletes are admitted as transfer students to the University of Massachusetts Lowell is consistent with the process by which any applicant is admitted to the university. Admission to all Baccalaureate day programs is made through the Office of Undergraduate Admissions according to established undergraduate policies.

For regular transfer admission to an undergraduate college or degree program, probability of success is measured by an individual's previous academic record at some other accredited institution of higher education. Within the space available in particular programs, admission is offered first to those whose performance record indicates the highest probability of success in the chosen college and/or program.

Transfer students must meet one of the following criteria:

1. 12 - 23 transferable college credits and a minimum 2.5 college GPA;
2. Up to 23 transferable college credits, a minimum 2.0 college GPA, and a high school transcript that meets the admission standards for freshman applicants; or
3. 24 or more transferable credits and a minimum 2.0 college GPA.

For the purposes of the transfer GPA calculation, transferable credits are to be calculated based on non-remedial credits earned from the most recently attended higher education institution. Students who have earned college credits while enrolled in high school are not transfer students and must meet the admissions standards for freshman applicants.

Non-Traditional Applicants

Students applying for admission more than three years after high school graduation, or who have completed the GED and whose high school class graduated three or more years prior to applying to college, must show their ability to succeed in college based upon their high school and/or college transcripts.

Students who drop out of high school, earn a GED, and apply to college within three years of high school graduation are subject to the same admissions standards as students applying within three years of graduation from high school.

Learning Disabled Applicants

Applicants with professionally diagnosed and documented learning disabilities (documentation must include diagnostic test results) are exempt from taking standardized tests for admission to any public institution of higher education in the Commonwealth. Such students, however, must complete 16 required academic courses with a minimum required GPA of 3.00 or present other evidence of the potential for academic success.

An applicant may substitute two college preparatory electives for the two required foreign language courses only if the applicant has on file with the high school results of a psycho-educational evaluation completed within the past three years that provides a specific diagnosis of a learning disability and an inability to succeed in a foreign language.

Admission on the Basis of Special Merit

Applicants not admissible under the standards outlined for freshman, transfer, or nontraditional students, may be considered for acceptance based upon demonstration of their potential for academic success in a four-year program. Appropriate indicators of success include steadily improving high school grades, a high class rank, special talents, and/or strong recommendations. Special admissions students are limited to 10% of new enrollees consistent with Massachusetts Department of Higher Education policy.

No Test Option

As mentioned earlier, UMass Lowell is piloting a No Test Option for entering freshman applicants applying for admission to the Fall 2016 semester. Research on our own students has indicated that a student's high school GPA is a very strong predictor of academic success in a university setting. The No Test Option is designed for students who perform well in the classroom but feel that their academic strength is not reflected in their standardized test scores.

Students who elect not to submit standardized test scores are required to answer three short-answer essay questions. These questions focus on the areas of leadership, self-awareness, goal setting, determination, personal challenges and extracurricular activities, all factors which research have shown to lead to academic persistence. These questions give students the opportunity to both reflect upon their academic abilities and demonstrate their potential to be successful in college.

If a student elects not to submit test scores, greater emphasis will be placed on the following:

- a. Strength of high school (% of student body enrolling in a 4 year college, number of honors/AP courses offered and completed)
- b. Strength of course selection for the duration of the high school career
- c. Strong and compelling evidence in teacher recommendations of personal/academic fortitude
- d. Strength of the essay and short answer questions
- e. Intended major
- f. Enrollment goals

All admission decisions for No Test Option applicants are made by a committee of senior Admissions staff. Admission of No Test applicants will be limited to less than 10% of our enrolled cohort for the Fall 2016 semester.

While it is not known at this time how many Student-Athletes might be admitted or enrolled in this category, this No-Test Option will be available to all students applying for admissions to the University.

To reiterate, all undergraduate day admission decisions for student-athletes at UMass Lowell are made solely by the Office of Undergraduate Admissions adhering to the policies that apply to all students.

In the case of a prospective student-athlete being considered in the “Special Admit” category, some additional diligence is performed to ensure that only students with strong chances for academic success are admitted. In addition to the requirements stated in the university catalog, the following documents are presented to the Office of Undergraduate Admission:

1. Summary letter for the head coach stating the rationale for the prospect’s consideration (understanding of the family background and their commitment/reason for the current academic deficiencies/commitment of sport program toward the structure and guidance of the student’s welfare);
2. Academic plan from the Student-Athlete Academic Center to document their first two years of assistance and support; AND
3. The prospect’s required written essay for Admissions will no longer be an essay on a subject of the prospect’s choice but rather, the subject of the essay must now be “Describe your experience, motivation, or character traits that will allow you to be a successful student at UMass Lowell”.

Once these three additional documents are forwarded to the Office of Undergraduate Admissions, a timely decision will be made to admit the student under the “Special Admit” process, deny the prospect admission to UMass Lowell, or require additional information for further evaluation.

The Senior Associate AD for Compliance maintains constant communication with the Admissions Office, the prospective student-athlete, and the coach throughout this process in order to assist in the organization of paperwork and to ensure that all documentation is completed correctly so that a timely decision can be made.

Recommendations: The evaluation committee had no recommendations for improvements in this area.

8. Student-athlete degree selection

In addition to faculty and professional advising available to all students, advising for student-athletes is available from the professional staff of the Student-Athlete Academic Center. The staff are aware of and are regularly updated on curricular requirements for various colleges and majors; they provide advice and direction to student-athletes regarding their chosen course of study and any change of major.

Recommendations: The committee recommends that UMass Lowell implement a Faculty Fellows program whereby there will be at least one faculty from each department who shall serve as the advisor for all student athletes within that department. These Faculty Fellows can help the students within their department balance the workload such that a student athlete will always be able to participate in the degree of their choice and the sport of their choice.

9. Learning assessments

The University of Massachusetts and the Massachusetts Board of Higher Education set requirements for learning assessments, which are carried out in coordination with the Office of Enrollment and Student Success at UMass Lowell.

Student-athletes, like all incoming freshman students admitted to the University, are required to complete a series of Accuplacer placement tests in order to register for first year courses

All admitted freshman students are offered the same opportunities for testing. Students may choose from the following options: off-site testing, early on-campus testing, or testing at their scheduled Orientation. Students who choose to take placements tests when they arrive for Orientation are tested as a group; only students with documented disability accommodations are tested separately.

The assessments required of each student depend on the following criteria: academic major, submitted SAT scores, and submitted ACT scores. Students submitting an SAT Verbal score of 500 and below or ACT Writing score of 26 and below are required to sit for math, English, and Reading assessment. Students submitting an SAT Verbal score of 510 or higher or ACT Writing score of 27 or higher are exempt from reading and English and will only sit for a math assessment.

At UMass Lowell, our testing staff is incorporated into Orientation; all professional Orientation staff members and student Orientation Leaders are trained to proctor assessment tests.

Recommendations: The evaluation committee recommends that formal workshops be held for student athletes to help them balance the requirements of both academic and athletic success. These workshops should involve successful upperclassmen as well as Faculty Fellows.

10. Success skills

Through the professional staff at the Centers for Learning, the university offers regularly-scheduled success skills workshops available to all students, including student-athletes. Students can elect to attend these workshops with topics such as Time Management, Note Taking, Study Skills, and Test Taking Strategies. To accommodate demand for this academic support, students can request a workshop or workshop materials, or an advising appointment to discuss these topics. Workshops are well-publicized through mailings, at Orientation, through posters, social media, and the CLASS web page.

One or more of these study-skill workshops may be required for students, including student-athletes who have less-than-satisfactory academic standing, or for students who have been required to file Satisfactory Academic Progress appeals through Financial Aid.

Student-athletes have access to additional success skills programming offered through Athletics, including NCAA Life Skills programs, as well as advising in key success skills offered by the Athletic Academic Services Coordinators.

Recommendations: The evaluation committee had no recommendations for improvements in this area.

11. Study hall

Student-athletes at UMass Lowell have access to supervised study hall as well as space for informal quiet study in the Student-Athlete Academic Center located in the Costello Gym. All transfer and first-year students are required to log a minimum of 6 hours per week in study hall. Individual coaches may require additional hours; requirements beyond the minimum are determined team-by-team on the basis of GPA. Sophomore student-athletes with below-cutoff GPA and/or credit hours may be required to log additional study hours.

Student-athletes must swipe their ID cards when entering and exiting study hall to allow for tracking attendance; study halls are monitored by 12 student employees who ensure that student-athletes swipe their IDs, that they are working on official coursework, and that there is no talking or eating in study hall. Tutors are available in co-ordination with study hall during evening hours.

Study hall is available at the following times:

- Sunday: 4:00 PM-9:00 PM (*Olney 150 used for overflow*)
- Monday: 8:00 AM – 9:00 PM
- Tuesday: 9:00 AM – 9:00 PM (*Olney 150 used for Track & Field*)
- Wednesday: 8:00 AM – 9:00 PM
- Thursday: 9:00 AM – 9:00 PM (*Olney 150 used for overflow*)
- Friday: 8:00 AM – 3:00 PM (*Study Center open until 5:00 PM*)

Student-athlete attendance in study hall is tracked using the GradesFirst program, and study hall hours are reported to coaches on a weekly basis. The head coach of each athletic program determines penalties for student-athletes who miss required study hall hours.

Recommendations: The committee would like to see additional study hall space made available, though space is tight across campus. As noted in section 6 on Academic Support Facilities, the committee recommends that the Student-Athlete Academic Center partner with the Centers for Learning to implement a card-swipe system that will allow college and departmental tutoring hours to count for study hall. Encouraging this intense learning time, which clarifies content and concepts and also models good study skills, will make subsequent independent study more effective, and will also help with space limitations in the study hall rooms. The committee recommends monitoring and evaluating the supervision of student athletes during study hall.

12. First year/transfer orientation

To ensure that students are well-prepared to start their academic careers at UMass Lowell, we require all admitted students, both freshman and transfer, to attend orientation. Orientation dates, scheduled throughout the summer, are based on academic major and College. Students have the choice to register online and can select from dates that apply to their chosen major.

Student-athletes, both freshman and transfer, are able to attend an “Athletes Only” session,

held in mid-July. This session provides all the routine academic support presentations, workshops, and social opportunities of any other session, but a specific team of enrollment professionals is available to assist student-athletes in building schedules that accommodate their practice and travel schedules.

Students choose from 17 Orientation sessions each summer; additionally, two days of Orientation are available immediately preceding the move-in dates for the Fall semester. These late sessions offer students an opportunity to move into campus housing early and to participate in Orientation just 48 hours before starting classes. For admitted transfer students, we offer an online registration program with all required components of the Orientation program, and we facilitate contact with the academic advisor. If a student is not able to attend any session, Orientation staff provide individual meeting times during the first week of classes to go over critical information, complete all assessments, and assist students in registering for courses.

Some key components of the Orientation sessions include:

Freshman Orientation:

- Overnight stay on campus for two-day programs
- Address from Academic Deans, Faculty and Academic Support Services staff
- Transitional workshops to aid in adjusting from high school to college
- Discipline-based faculty advising and partial block course registration
- Exposure to North, South, and East campuses
- Interactive and social programming
- Meals in various dining facilities on campus

Transfer Registration:

- One-day programs only
- Address from Faculty and Academic Support Services staff
- Optional campus tours
- Discipline-based faculty advising and independent course registration
- Additional advisors available to accommodate complex academic histories

Recommendations: The evaluation committee had no recommendations for improvements in this area.

13. Mentoring

There is currently no formal mentoring program for student-athletes at UMass Lowell.

Recommendations: The evaluation committee recommends that a formal mentoring program for student-athletes be implemented. This program should include successful upperclassmen student athletes, coaches, and Faculty Fellows.

14. Post-eligibility programs

There is currently no formal post-eligibility programs for student-athletes at UMass Lowell.

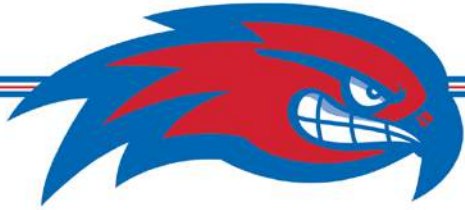
Recommendations: The evaluation committee would recommend that formal post-eligibility programs for student-athletes be explored.

Conclusion

The Academic Support Services Evaluation Committee, having interviewed campus service providers and reviewed available resources, concludes that UMass Lowell is providing the academic supports that our student-athletes require to succeed academically as they manage the demands of their academic programs as well as their participation in athletics.

APPENDIX F

EXCUSED ABSENCES FOR NCAA COMPETITION



UMASS LOWELL

ATHLETICS

September 1, 2015

TO: UMass Lowell Faculty
FROM: Dr. Stephen McCarthy, Faculty Athletics Representative
THRU: Mr. Dana Skinner, Director of Athletics
RE: Excused Absences for NCAA Competition

The students listed on the back are members of the Men's Soccer team. Game schedules and contractual commitments may require these students to be absent from the University to participate in intercollegiate competition. For your convenience, a complete competition schedule is printed on the back of this form. Please allow this to assist you with the dates missed by the student-athlete.

These students will be representing UMass Lowell in authorized NCAA competition. Student-athletes fully understand they must attend all classes which do not conflict with the dates listed on this form. They also know they are responsible for all material covered in class and will be responsible for taking assignments and exams missed during this period.

An Athletic Academic Policy has been passed by the UMass Lowell Faculty Senate. The complete policy is located at www.uml.edu/Catalog/Undergraduate/Policies/Athletic-academic-policy.aspx. I have copied a portion of this policy below:

However, given that student-athletes represent the University when participating in competition away from campus, absence by a student-athlete resulting from his/her travel to, or participation in a regularly-scheduled intercollegiate athletic contest, about which the faculty member has been properly notified, shall not incur an academic penalty (i.e., lower grade), even when a portion of the grade in a course is based on attendance. This policy shall not apply to laboratory sections or clinical sections.

We ask you for your cooperation. Athletics are an integral part of University life, and your willingness to help facilitate student's participation is appreciated.

If you have questions, please contact me at extension 43417 (McCarthy) or Dana Skinner at 42301.

GORIVERHAWKS.COM

One University Avenue, Lowell, MA 01854
Phone: (978) 934-2181 • Fax: (978) 934-4001

#UNITEDINBLUE

APPENDIX F

EXCUSED ABSENCES FOR NCAA COMPETITION

Roster

Ivan Abramovic	Jay Marchand
Bryan Amaris	Eric Martin
Paul Beatty	Emmanuel Morgan
Alexander Bouthot	Richard Mulo
Roy Butlin	Nana Osei
Joseph Conti	Gabriel Polanco Rodriguez
Guilherme Desouza	Chase Reichenberg
Mauricio Escobar	Guilherme Rodrigues
Wuilito Fernandes	Carlos Ruiz
Federico Ferre	Julian Stewart
Jacob Fitzgerald	Carlo Tashjian
Kevin Herrera	James Thompkins
Keith Hill	Augusto Trento
Carter Hochman	Brandon Vazquez
Shu Kitamura	Edward Venta-Yepes
Austin Kroll	Abel Wasswa

Schedule

Tournament/Match	Match Date	Departing	Tournament/Match
Buffalo	9/11	9/11/15	5pm
Hartwick	9/18	9/18/15	5pm
Bryant	9/23	9/23/15	5pm
Boston University (MA)	9/30	9/30/15	3pm
Binghamton University (NY)	10/9	10/10	3pm
Stony Brook	10/14	10/14	5pm
Vermont (Burlington, VT)	10/24	10/23	3pm
Brown (Providence, RI)	10/27	10/27	2pm
Hartford (CT)	11/4	11/4	2pm

CHART 1

SPECIAL ADMISSIONS

**Special-Admissions
FOR FIRST-YEAR STUDENTS GENERALLY
AND FIRST-YEAR STUDENT-ATHLETES ON ATHLETICS AID***

- 1 Indicate the numerical percentage of entering first-year students who were admitted through special exception provisions during the four most recent academic years. List the most recent academic year's data first and include all first-year students entering the institution during the year.

Column 1. Calculate this percentage by dividing the number of all entering first-year students who were admitted through special exception provisions by the total number of entering first-year students.

- 2 Indicate the numerical percentage of first-year student-athletes receiving athletics aid* who were admitted through special exception provisions during the four most recent academic years. Include nonqualifiers who were ineligible for aid. List the most recent academic year's data first.

Column 2. Calculate this percentage by dividing the number of entering first-year student-athletes receiving athletics aid* who were admitted through special exception provisions by the total number of entering first-year students.

		1	2
	Year	All First-Year Students	All First-Year Student-Athletics on Athletic Aid
Percent of Specially Admitted Students	2014-15	1.3%	0.5%
	2013-14	1.3%	0.5%
	2012-13	1.7%	0.3%
	2011-12	4.5%	0.6%

*Institutions that do not award athletics aid should compile these data for student-athletes who were recruited, in accordance with NCAA Division I Bylaw 13.02.13.1 (Recruited prospective student-athlete). Note: Institutions are not required to report data if the number of students in a group is two or less.

Name of Person completing this chart:

Christine Lewis-Horton

Title

Research Data Analyst, Office of Institutional Research

CHART 2

SPECIAL ADMISSIONS BY SPORT

Special Admissions by Sport FOR FIRST-YEAR STUDENT-ATHLETES ON ATHLETICS AID BY SPORTS GROUP*

Operating Principle 2.1, Self-Study Item No. 3

- 1 Indicate the total number of entering first-year student-athletes receiving athletics aid* by sport group who were admitted through special exception provisions during the four most recent academic years. List the most recent academic year's data first.
- 2 Indicate the total number of entering first-year student-athletes receiving athletics aid*. List the most recent academic year's data first.

Academic Year	All First-Year Student Athletes		Baseball		Men's Basketball		Football		Men's Track/Cross Country		Men's Other Sports and Mixed Sports		Women's Basketball		Women's Track/Cross Country		Women's Other Sports	
	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2
2014-15	8	112	1	8	2	7	-	-	1	11	2	40	0	4	1	11	1	31
2013-14	7	57	1	6	1	1	-	-	0	6	2	11	0	6	2	6	1	21
2012-13	5	39	0	0	0	3	-	-	1	4	1	7	1	4	1	8	1	13
2011-12	8	37	1	5	0	0	-	-	2	3	4	10	0	0	0	2	1	17

* Institutions that do not award athletics aid should complete this data for first-year student-athletes who were recruited in accordance with NCAA Division I Bylaw 13.02.13.1 (Recruited prospective student-athletes.)

Name of perspn completing the chart:

Christine Lewis-Horton

Title:

Research Data Analyst, Office of Institutional Research

CHART 3

TEST SCORES BY GENDER

Test Scores by Gender

FOR FIRST-YEAR STUDENTS GENERALLY AND FIRST-YEAR STUDENT-ATHLETES ON ATHLETIC AID*

Operating Principle 2.1, Self-Study Item No. 4

Calculate and provide the average (mean) standardized test scores for all entering first-year students and first-year student-athletes who received athletics aid (include nonqualifiers who were ineligible for athletically related aid) during the four most recent academic years, by gender. Report all scores as either recentered SAT or ACT sumscores. Individual student-athlete scores should be converted using the conversion chart before the average (mean) test scores are calculated. If possible, this same procedure should be used in converting the scores of first-year students generally.

Academic Year	Male Students		Male Student-Athletes		Female Students		Female Student-Athletes	
	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
2014-15	1168	1089	1073	66	1128	523	1059	46
2013-14	1158	1042	1060	24	1100	584	1044	33
2012-13	1149	987	1097	14	1084	503	1042	26
2011-12	1136	909	983	18	1076	511	1026	19

Average
Standardized
Test Score

* Institutions that do not award athletics aid should compile these data for first-year student-athletes who were recruited, in accordance with NCAA Division I Bylaw 13.02.13.1 (Recruited prospective student-athlete)

Name of perspn completing the chart:

Christine Lewis-Horton

Title:

Research Data Analyst, Office of
Institutional Research

CHART 4

TEST SCORES BY RACIAL OR ETHNIC GROUP

Test Scores by Racial or Ethnic Group - New Race/Ethnicity Categories Chart (IPEDS)

FOR FIRST-YEAR STUDENTS GENERALLY AND FIRST-YEAR STUDENT-ATHLETES ON ATHLETICS AID*

Operating Principle 2.1, Self-Study Item No. 4

Calculate and provide the average (mean) standardized test scores for all first-year students and first-year student-athletes who received athletics aid* (include nonqualifiers who were ineligible for athletically related aid) during the four most recent academic years, by racial or ethnic group. Report all scores as either recentered SAT or ACT sumscores. Individual student-athlete scores should be converted using the conversion chart before the average (mean) test scores are calculated. If possible, this same procedure should be used in converting the scores of first-year students generally. Otherwise, the average score for first-year students generally may be converted using the conversion chart. List the most recent academic year's data first and include all first-year students entering the institution during the year.

Racial or Ethnic Group - All Entering First-Year Students																			
	Academic Year	American Indian/ Alaska Native		Asian		Native Hawaiian/ Pacific Islander		Black/ African American		Hispanic/Latino		White/Non Hispanic		Nonresidence Alien		Two or more races		Unknown	
		Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score	2014-15	1070	2	1148	143			1081	63	1120	110	1164	1184	1100	23	1156	52	1138	35
	2013-14			1130	149			1061	65	1089	138	1149	1115	1092	19	1138	42	1137	98
	2012-13	1143	3	1113	132			1042	59	1066	116	1142	1040	1099	11	1112	31	1120	98
	2011-12			1100	124			1033	58	1075	106	1120	983	1114	7	1180	32	1142	110

Racial or Ethnic Group - All Entering First-Year Student-Athletes on Aid																			
	Academic Year	American Indian/ Alaska Native		Asian		Native Hawaiian/ Pacific Islander		Black/ African American		Hispanic/Latino		White/Non Hispanic		Nonresidence Alien		Two or more races		Unknown	
		Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
Average Standardized Test Score	2014-15			1110	3			979	7	1035	2	1074	78	1005	8	1072	11	1233	3
	2013-14			1260	1	1000	1	933	3	1020	2	1072	41			1004	5	955	4
	2012-13							1025	6	970	1	1056	28	1150	1	1155	2	1160	2
	2011-12									875	2	1016	27			1018	4	1040	3

*Institutions that do not award athletics aid should complete this data for first-year student-athletes who were recruited in accordance with NCAA Division I Bylaw 13.02.13.1 (Recruited prospective student-athletes.)

Name of person completing the chart:

Title:

CHART 5

TEST SCORES AND GPA BY SPORT

Test Scores and GPA by Sport

FOR FIRST-YEAR STUDENT-ATHLETES ON ATHLETICS AID

Operating Principle 2.1, Self-Study Item No. 4

Calculate and provide the average (mean) standardized test scores and core-course grade point average for first-year student-athletes who received athletics aid *(include nonqualifiers who were ineligible for athletically related aid) during the four most recent academic years, by sport group. Report all scores as either recentered SAT or ACT sumscores. Individual student-athlete scores should be converted using the conversion chart before the average (mean) test scores are calculated. List the most recent academic year's data first and include all first-year students entering the institution during the year. For student-athletes certified through the early academic certification program beginning August 1, 2008, institutions should base student-athlete core-course GPA on his/her six semester academic transcript [see NCAA Bylaw 14.3.1.1.1]

Sport Group

Academic Year	Football		Men's Basketball		Baseball		Men's Track/Cross Country		Men's Other Sports and Mized Sports		Women's Basketball		Women's Track/Cross Country		Women's Other Sports	
	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students	Core GPA	# of Students
2014-15	-	-	3.08	7	3.17	8	3.15	11	3.14	40	3.38	4	3.17	11	3.37	31
2013-14	-	-	2.56	1	2.99	6	3.3	6	3.04	11	3.41	6	3.2	6	3.39	21
2012-13	-	-	3.73	3	-	-	3.43	4	2.91	7	3.13	4	3.31	9	3.18	13
2011-12	-	-	-	-	3.21	5	2.78	3	2.68	10	-	-	3.48	2	3.32	17

Average Core Course GPA

Sport Group

Academic Year	Football		Men's Basketball		Baseball		Men's Track/Cross Country		Men's Other Sports and Mized Sports		Women's Basketball		Women's Track/Cross Country		Women's Other Sports	
	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students	Score	# of Students
2014-15	-	-	1110	7	1079	8	1051	11	1072	40	905	4	1020	11	1083	31
2013-14	-	-	800	1	1049	6	1143	6	1044	11	1037	6	1077	6	1037	21
2012-13	-	-	1097	3	-	-	1210	4	1033	7	1005	4	1041	9	1055	13
2011-12	-	-	-	-	1080	5	977	3	937	10	-	-	900	2	1041	17

Average Standardized Test Score

*Institutions that do not award athletics aid should complete this data for first-year student-athletes who were recruited in accordance with NCAA Division I Bylaw 13.02.13.1 (Recruited prospective student-athletes.)

Note: Institutions are not required to report data if the number of students in a group is two or less.

Name of perspn completing the chart:

Title:

CHART 6

FEDERAL GRADUATION RATE

Federal Graduation Rates - Comparison Chart

Operating Principle 2.1, Self-Study Item No. 10

	FGR
All Students	53%
Student-Athletes	73%

CHART 7

FEDERAL GRADUATION RATE BY SPORT

Federal Graduation Rates by Sport					
Operating Principle 2.1, Self-Study Item No. 11					
	1	2	3	4	5
Men's Teams	Team FGR	All Students FGR	All Male Students FGR	All SAs FGR	All Male Sas FGR
Baseball	76%	53%	49%	73%	69%
Basketball	43%				
CC Track	69%				
Football					
Men's Other Sports and Mixed Sports	73%				
Women's Teams	Team FGR	All Students FGR	All Male Students FGR	All SAs FGR	All Male Sas FGR
Basketball	90%	53%	61%	73%	78%
CC Track	69%				
Women's Other Sports	80%				

CHART 8

FEDERAL GRADUATION RATE BY RACIAL OR ETHNIC GROUP

Federal Graduation Rates by Racial and Ethnic Group
Operating Principle 2.1, Self-Study Item No. 11

Team FGR by Racial and Ethnic Group											All Male Students FGR by Racial and Ethnic Group											
Men's Teams	American Indian/Alaska Native	Asian	Native Hawaiian/Pacific Islander	Black/African American	Hispanic/Latino	White/Non-Hispanic	Nonresident Alien	Two or more races	Unknown	Team FGR	All SA's	All Male SA's	All Male Students	American Indian/Alaska Native	Asian	Native Hawaiian/Pacific Islander	Black/African American	Hispanic/Latino	White/Non-Hispanic	Nonresident Alien	Two or more races	Unknown
Baseball						75%			100%	76%	75%	69%	49%				38%	42%	50%	63%	55%	
Basketball				0%	0%	50%	67%			43%												
CC Track	100%			100%	100%	62%			80%	69%												
Football																						
Men's Other Sports and				100%	50%	76%	83%		67%	73%												

Team FGR by Racial and Ethnic Group											All Female Students FGR by Racial and Ethnic Group											
Women's Teams	American Indian/Alaska Native	Asian	Native Hawaiian/Pacific Islander	Black/African American	Hispanic/Latino	White/Non-Hispanic	Nonresident Alien	Two or more races	Unknown	Team FGR	All SA's	All Female SA's	All Female Students	American Indian/Alaska Native	Asian	Native Hawaiian/Pacific Islander	Black/African American	Hispanic/Latino	White/Non-Hispanic	Nonresident Alien	Two or more races	Unknown
Basketball				80%		100%			100%	90%	73%	78%	61%		53%		55%	56%	63%	67%	83%	
CC Track				33%		83%			50%	69%												
Women's Other Sports		0%		100%	100%	81%			50%	80%												

All Students FGR by Racial and Ethnic Group										
All Students	American Indian/Alaska Native	Asian	Native Hawaiian/Pacific Islander	Black/African American	Hispanic/Latino	White/Non-Hispanic	Nonresident Alien	Two or more races	Unknown	
		51%		47%	48%	55%	64%	63%		

CHART 9

ACT/SAT CONVERSION CHART

SAT	ACTSUM	SAT	ACTSUM	SAT	ACTSUM	SAT	ACTSUM
1600	144	1290	115	980	83	680	56
1590	140	1280	114	970	82	670	55
1580	139	1270	113	960	81	660	54
1570	138	1260	112	960	80	650	53
1560	138	1250	111	950	80	640	53
1550	137	1240	110	940	79	630	52
1540	137	1230	109	930	78	620	52
1530	136	1220	108	920	77	610	51
1520	135	1210	107	910	76	600	50
1510	134	1200	105	900	75	590	50
1500	133	1190	104	890	74	580	49
1490	132	1180	103	880	73	570	49
1480	132	1170	102	870	72	560	48
1470	131	1160	101	860	71	550	47
1460	130	1150	100	860	70	540	47
1450	129	1140	99	840-850	70	530	46
1440	129	1130	98	830	69	520	46
1430	128	1120	97	820	68	510	45
1420	127	1110	96	810	67	500	44
1410	126	1100	95	800	66	490	44
1400	125	1090	94	790	65	480	43
1390	124	1080	93	780	64	470	42
1380	123	1070	91	770	63	460	42
1370	123	1060	90	760	62	450	41
1360	122	1050	89	740-750	61	440	41
1350	121	1040	88	730	60	430	40
1340	120	1030	87	730	59	420	39
1330	119	1020	86	720	59	410	38
1320	118	1010	86	710	58	400	37
1310	117	1000	85	700	57		
1300	116	990	84	690	56		

Gender/Diversity Issues and Student-Athlete Well-Being

Operating Principle 3.1

Operating Principle 3.2

Operating Principle 3.3

Appendices



University of
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Lowell

Learning with Purpose

Gender/Diversity Issues and Student-Athlete Well-Being

Operating Principle 3.1 Gender Issues

It is a principle of the Association to conduct and promote its athletic programs free from gender bias. In accordance with this fundamental principle, the institution shall:

- a. Demonstrate that it is committed to, and has progressed toward, fair and equitable treatment of both male and female student-athletes and athletic department personnel.
- b. Formally adopt a written plan for the future for the intercollegiate athletic program that ensures the institution maintains, or continues progress toward, a program that is equitable for both genders. The plan shall include measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables.

Self-Study Items for Operating Principle 3.1

Within gender-issues and diversity-issues written plans, specific numerical targets may place an institution at legal risk and are not expected in an institution's written plan, particularly as it relates to hiring practices. Institutions may develop plans that have broad, flexible non-numeric hiring goals. As it relates to the program areas, including but not limited to participation rates and budget increases, specific numerical targets may be appropriate.

1 Explain how the institution is organized to further its efforts related to the gender-issues operating principle for department of athletics staff, coaches and student-athletes.

UMass Lowell is committed to ensuring gender equity in its athletics program. In order to ensure that the athletics program is conducted in accordance with NCAA principles of gender equity, the university has developed a sound gender-equity plan that addresses the fair and equitable treatment of both male and female student-athletes and Department of Athletics personnel. This written plan ensures that the university maintains, and continues progress toward, a program that is equitable for both genders. This plan includes measurable goals that the institution intends to achieve, as well as, steps the institution will take to achieve these goals, identifies persons responsible for implementation and establishes a timeline for accomplishment of objectives.

Organizational Structure

The chancellor of UMass Lowell has ultimate oversight of the university and the Department of Athletics. The chancellor is appointed by the president of the UMass system with approval by the UMass Board of Trustees. The director of athletics, who reports directly to the chancellor, has regularly scheduled meetings with the chancellor on all matters related to the organization and administration of the department, including matters related to Title IX compliance and gender equity.

All matters on campus related to perceived incidents of gender-based bias or discrimination fall under the oversight of the Office of Human Resources and Equal Opportunity and Outreach. Such incidents would include, but not be limited to, issues related to sexual misconduct (dating violence, domestic violence, sexual assault or stalking) and the inequitable treatment in the conduct of the intercollegiate athletics program.

The university's Title IX coordinator is Clara Orlando, who is also the director of equal opportunity and outreach. She is supported by five deputy Title IX coordinators. A list of deputy coordinators is available at www.uml.edu/HR/Equal/Contact.aspx. The Department of Athletics' senior woman administrator, Sandra Niedergall, is the deputy Title IX coordinator for the Department of Athletics.

Department of Athletics staff members and coaches are directed to report perceived incidents of gender-based discrimination to the deputy Title IX coordinator for the Department of Athletics (Niedergall). Trained investigators will promptly conduct an impartial investigation of reported incidents and take appropriate steps to resolve the situation. Complaints against employees will initially be responded to by Title IX investigators in the university's Office of Equal Opportunity and Outreach (see www.uml.edu/HR/Equal/Equal-Opportunity/Sexual-Harassment-Assault.aspx);

Student-athletes are directed to report perceived incidents of gender-based discrimination to the deputy Title IX coordinator in the Department of Athletics, any of the university's other deputy coordinators, or Director of Student Conduct Bo Zarycky. Once a student reports an incident, the Dean of Students Office conducts an investigation to determine the need for a hearing and is responsible for any initial sanctions that may be assessed to stop the harassment or violence while the investigative process is ongoing. Complaints against students will initially be responded to by trained investigators who administer the Student Conduct Code and Discipline Process. (see www.uml.edu/student-services/reslife/policies/code-of-conduct.aspx).

UMass Board of Trustee Committee on Academics and Student Affairs (CASA)

The UMass Board of Trustees appoints the Committee on Academics and Student Affairs (CASA). Each of the UMass system's four directors of athletics provides reports and regular updates to the committee on matters relevant to the conduct of their respective athletics programs. Gender equity reports are submitted regularly to the committee for review and discussion at Board of Trustees meetings.

Campus Gender Equity/Title IX Committee

The university has a standing gender equity/Title IX committee that falls under the direction of the director of equal opportunity and outreach. In addition to assisting the university with regard to ensuring equity in the conduct of the athletics program, the gender equity/Title IX committee coordinates activities relative to sexual violence and gender-based discrimination across the university. The committee includes deputy coordinators for Title IX representing a number of campus units, including the Department of Athletics. The committee meets quarterly. The senior woman administrator (SWA) is the deputy Title IX coordinator for the Department of Athletics.

Intercollegiate Athletics Council

The Intercollegiate Athletics Council (IAC) serves in an advisory capacity to the director of athletics and the chancellor. The council's diversity and gender equity subcommittees are appointed from the IAC membership and provide input into diversity and gender-equity plans for the Department of Athletics.

Department of Athletics Leadership Team

The Department of Athletics leadership team consists of the director of athletics and all administrators with sport oversight. The leadership team is responsible for providing day-to-day oversight of the conduct of the athletics program. Ensuring the equitable treatment of all student-athletes and staff is a primary goal. The leadership team gathers information annually from student-athlete and staff surveys, performance evaluations, exit interviews and individual and group meetings on all matters, including gender equity. Improvement plans are developed as needed.

Administrative Staff and Coaches

Department of Athletics staff members and coaches regularly complete gender-equity surveys. Survey questions address all 15 program areas as identified in Title IX standards. In addition, annual performance evaluations include discussions relative to equity. Information gathered from the surveys and evaluations is reviewed by the Department of Athletics leadership team and shared with the IAC and the campus Title IX coordinator. Plans for improvement are developed as needed.

Student-Athlete Advisory Committee

The Student-Athlete Advisory Committee (SAAC) serves to provide input about the student-athlete experience by promoting leadership opportunities, protecting student-athlete welfare, fostering a positive student-athlete image and providing educational and community service opportunities. Two SAAC members are selected annually to serve on the Intercollegiate Athletics Council and participate in the review of gender-based issues.

In addition to the active engagement of SAAC members in assessing gender issues, all student-athletes regularly complete gender-equity surveys. Survey information is reviewed by the Department of Athletics leadership team and presented to the IAC.

2 Describe how matters concerning gender equity for department of athletics staff, coaches and student-athletes are monitored, evaluated and addressed on a continuing basis.

The director of athletics is designated by the chancellor as the employee responsible to monitor, evaluate and address matters related to gender equity in the operation of the Department of Athletics. He works closely with the Department of Athletics leadership team including the SWA/deputy Title IX coordinator.

The SWA/deputy Title IX coordinator serves on the campus Gender Equity Committee. Information relative to gender equity is reviewed annually by this committee. Department of Athletics staff provide information to the committee relative to gender equity, departmental support services and the overall work climate in the department through surveys, regular meetings with their supervisors and annual performance evaluations.

Student-athletes complete anonymous online program assessments annually. The assessments are used to obtain detailed information about the program and the environment created for the student-athletes. The assessments are reviewed by the sport supervisor and the director of athletics and discussed with coaches during annual staff evaluations. Should a gender-based issue arise, it is addressed by the senior woman administrator and the university's Title IX coordinator.

Survey information and data provided by Department of Athletics staff relative to gender equity is monitored, evaluated and addressed on a continuing basis and plans for improvement are developed as needed.

3 Describe the programs and activities that the institution has in place for coaches, department of athletics staff and student-athletes that address gender issues, including programs and activities designed to address the needs of the underrepresented gender within the athletic program.

Measurable Standard No. 1

The institution must demonstrate that it provides programs and activities for coaches, department of athletics staff and student-athletes that address gender issues, including programs and activities designed to address the needs of the underrepresented gender within the athletic program.

The university addresses gender issues within the athletics program by providing a broad range of programs and activities for student-athletes, coaches and staff, including those designed to address the needs of the underrepresented gender. Included among these programs and activities are the following:

- The university brings noted Title IX attorney Janet Judge to campus biannually to make presentations to campus staff.
- Student-Athlete Advisory Committee (SAAC) members are engaged annually to discuss Title IX and its application to intercollegiate athletics.
- All Department of Athletics staff members are required to complete annually two D. Stafford & Associates online courses; these courses address topics such as gender equity and sexual violence awareness and prevention and are listed below:
 - Title IX Training (VAWA Compliant Version)
 - General Campus Security Authority Training for Clery (VAWA Compliant Version).
- New hires also undergo the UMass Lowell Criminal Offender Record Information (CORI) check prior to being employed.
- New students complete the “Essentials” Modules of MyStudentBody.com, offered by the Hazeldon Foundation. In addition, workshops and events are provided on an ongoing basis for all employees and students including bystander training, consent training, and self-defense training for women (RAD), to mention a few of the offerings.
- Student-athletes have access to support services in the Student Affairs Office and in the Wellness Center on campus. There, students can talk with staff about any experiences they have had with power-based personal violence and also participate in advocacy and education programs for students.

As men are the underrepresented gender in the athletic program at UMass Lowell, achieving gender equity is also being addressed first through a combination of roster-management strategies and institutional efforts to increase the number of female students enrolled at UMass Lowell. Additional strategies will be implemented as needed. See specific action steps in Appendix G, the university’s gender issues plan.

- 4** For the three most recent academic years in which information is available, analyze the institution’s Equity in Athletics Disclosure Act (EADA) report (i.e., participation, head coaches and assistant coaches). [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its analysis]. If any differences exist, the institution must explain (using supporting data) and address any deficiencies in the gender-issues plan for improvement.

[Please note, reclassifying institutions may not have all three previous years of data, since they are only required to be in compliance with Division I legislation for the two years immediately preceding the start of the self-study process. However, all NCAA member institutions are requested to provide the data to the national office, so it is possible that reclassifying institutions have submitted the previous three years of data. At minimum, reclassifying institutions must analyze the previous two years of data in response to the self-study item.]

Measurable Standard No. 2

The institution must analyze its Equity in Athletics Disclosure Act (EADA) report (i.e., participation, head coaches and assistant coaches) and NCAA financial report (specified expense categories) for the three most recent academic years, explain (using supporting data) any differences, address any deficiencies and comment on any trends.

The Gender Issues Subcommittee has examined the university’s Equity in Athletics Disclosure (EADA) reports for Fiscal Years 2013, 2014 and 2015 in order to provide analysis of the number of team participants by gender and full- and part-time head and assistant coaches. The EADA reports for FY 2016 were also reviewed.

Student-Athlete Participation Ratios

Following is a summary of student-athlete participation rates taken from the FY 2013, 2014, and 2015 EADA reports:

	2013		2014		2015	
	Duplicated/Unduplicated		Duplicated/Unduplicated		Duplicated/Unduplicated	
Male	325	210 (56%)	289	193 (58%)	357	244 (56%)
Female	236	163 (44%)	195	141 (42%)	267	191 (44%)

- Notable changes in the participants occurred from 2013 to 2014 due to the reclassification of women’s rowing to club sport status and roster fluctuations within the men’s soccer and men’s track and field programs.
- Notable changes in participants occurred from 2014 to 2015 due to the addition of both men’s and women’s lacrosse programs as well as transitional commitments to Division II student-athletes that increased the squad sizes of some sport programs.

Student-athlete participation rates as compared to the undergraduate student enrollment:

2013	Student-athlete participants:	M=56%	W=44%
	Student enrollment:	M=62%	W=38%
2014	Student-athlete participants:	M=58%	W=42%
	Student enrollment:	M=62%	W=38%
2015	Student-athlete participants:	M=56%	W=44%
	Student enrollment:	M=63%	W=37%

The comparison of enrollment percentages to the student-athlete participation percentages reflect an inequity that is addressed in the gender issue plan.

In FY 2015, UMass Lowell’s undergraduate student enrollment was 63 percent male and 37 percent female. The student-athlete participation rate was 56 percent male and 44 percent female. Based on these percentages, there is a 7 percent difference, favoring female student-athlete participants. This inequity will be initially addressed by team roster management and institution-level enrollment strategies to increase the number of female students at UMass Lowell.

Head Coaching Positions

Analysis of the men sports’ coaching positions for 2013 and 2014 indicates that the men’s teams had four full-time male coaches, one part-time male coach in the sport of golf and one full-time male serving as the head coach for both men’s and women’s cross country/track and field programs. In 2015, the number of head coaches increased by one full-time male as the sport of men’s lacrosse was added.

In 2013, the total head coach count for women’s sports decreased by one from the previous year to six full-time university employees due to the reclassification of the women’s rowing program from varsity to club status. Of these six full-time university employees, five were assigned full-time to a team (three males and two females) and one male served as the head coach for women’s cross country/track and field program (as stated previously). In 2014, the number of head coaches for women’s sports remained constant with six full-time university employees. However, of these six, five were assigned full-time to a team (two males and three females) and one male continued to serve as the women’s cross country/track and field coach. In 2015, the demographics and number of head coaches for women’s sports changed. With the addition of women’s lacrosse, six coaches were assigned full-time to a team (one male and five females) and one male continued to serve as the women’s cross country/track and field coach.

Assistant Coaching Positions

In 2013, the number of assistant coaches for the men’s sports totaled 20, with four full-time assistant male coaches assigned to a sport and the remaining 16 male coaches being part-time. As

for the women's sports, the assistant coaches totaled 25, with two full-time assistant coaches assigned to a team and 23 part-time: nine male coaches and 14 female coaches.

In 2014, the number of assistant coaches reported for the men's sports totaled 18, with five full-time assistant male coaches assigned to a team and 12 part-time male coaches with one female part-time coach. As for the women's sports, four coaches were reported as being a full-time assistant coach assigned to a team: two male and two female. Of the remaining assistant coaches for the women's sports, 16 were part-time: seven male coaches and nine female coaches. In 2015, the number of assistant coaches reported for the men's teams totaled 21, with eight full-time male assistant coaches and 13 part-time coaches: 11 male and two female. As for the women's teams, 20 assistant coaches were reported. This number included eight full-time assistant coaches: seven female and one male. For the remaining 12 coaches employed, all were part-time and were six females and six males.

In reviewing this data, the number of head coaches for men's and women's sports was determined to be equitable. The subcommittee concluded that the assistant coaches assigned to the men's and women's sports are within an acceptable equitable range as well.

Maintaining and continuing to promote gender equity will be a primary goal as more full-time positions are created in accordance with the university's Division I financial plan.

5 For the three most recent academic years in which information is available, analyze the institution's NCAA financial report (specified expense categories). [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its analysis]. If any differences exist, the institution must explain (using supporting data) and address any deficiencies in the gender-issues plan for improvement. See Appendix H for specified expense categories.

Measurable Standard No. 2

The institution must analyze its Equity in Athletics Disclosure Act (EADA) report (i.e., participation, head coaches and assistant coaches) and NCAA financial report (specified expense categories) for the three most recent academic years, explain (using supporting data) any differences, address any deficiencies and comment on any trends.

Following a complete assessment of its status with regard to gender equity, UMass Lowell has made the decision to pursue compliance with prong one – proportionality – of Title IX standards. Due to the university's undergraduate student ratio of 63 percent male and 37 percent female, males are presently the underrepresented gender with regard to accommodation of interests and abilities. However, in some program areas, progress is also needed to ensure women are provided equitable treatment.

UMass Lowell has been challenged for many years in recruiting female students. This is due, in large part, to the popularity with male students of the university's many majors in STEM (science, technology, engineering and math) disciplines. One component of the university's gender issues plan is a commitment to work closely to manage enrollment in order to increase the number of female undergraduate students, which will help to minimize the gender-equity gap.

With regard to funding, there has been an impact on budget allocations due to men's ice hockey's classification in Division I since 1985 as a member of the Hockey East Association, one of the top Division I conferences in the country. Coaches' salaries and overall funding for the men's ice hockey program has been reflective of peer institutions in Hockey East and Division I hockey in general. All remaining sport programs at UMass Lowell now compete in the America East Conference, with the coaches' salaries and overall funding comparing favorably with other America East institutions. However, the subcommittee's analysis of funding data shows discrepancies in the areas below:

Athletic Scholarship/Student Aid

FY 2014 scholarship allocations indicate significant progress with regard to gender-equity distribution of athletic scholarships and student aid since the university's final year in Division II. With the incremental annual increases in scholarship aid to women's programs needed to match peers in the America East Conference, a gap has developed that favors women.

The University has increased athletic scholarship funding from \$2,710,360 in FY 2014 to its FY 2016 level of \$4,765,810, and full implementation in FY 2018 of the five-year Division I financial plan will bring athletic scholarship allocations to more than \$6.2 million. The gender issues plan includes strategies to address existing inequities between men and women. In addition, distribution of scholarship aid will be closely monitored and adjustments made as the university's undergraduate enrollment ratios change.

Coaching Positions and Salaries

UMass Lowell's elevation to Division I ensured that all sport programs would receive an equitable number of coaches and salaries that are both equitable and in line with conference peers. Salaries are determined by market-based factors, performance and level of experience.

Men's ice hockey has a full-time head coach, two full-time assistants and a director of hockey operations. Both men's and women's basketball programs have a full-time head coach, three full-time assistant coaches and an intern position. The head coach for men's basketball receives a salary of \$183,218, which is currently the second-lowest salary in the America East Conference. The women's coach receives a salary of \$130,126 and ranks in the middle of the conference. The full-time assistant-coaching salary pool for men's basketball is \$146,804 while the women's pool

is \$155,901. Both basketball programs have a \$20,000 non-benefitted position that can be supplemented with generated revenues.

Men's and women's lacrosse both have a full-time head coach and two full-time assistants. Men's and women's cross country/track and field teams have been combined for the purposes of staffing and have a full-time head coach, two full-time and four part-time assistants. Golf has a part-time head coach. All other programs have a full-time head coach, one full-time assistant coach and a \$20,000 non-benefitted coaching position.

As a general guideline, salaries for coaches in all sports at UMass Lowell are determined by market-based factors, performance and level of experience. Presently, a gender gap exists in the average salaries of men's head coaches compared to women's head coaches in all three years examined (FY 2013, FY 2014 and FY 2015). In 2013, the average male head coach salary was \$92,333 while the average female head coach salary was \$64,446, approximately 70 percent of the average male salary. In 2014, the average male head coach salary was \$112,704 while the average female head coach salary was \$70,746, approximately 63 percent of the average male salary. The average male head coach salary in 2015 was \$112,104 and the average female head coach salary was \$71,878, approximately 64 percent of the average male salary.

While the data for 2013, 2014 and 2015 indicates a disparity in salaries of male versus female coaching staff, it must be noted that the salary of the men's ice hockey head coach significantly contributes to this disparity as there is no equivalent women's sport at UMass Lowell. In addition, the impact of the reclassification to Division I will result in further changes as coaching staff members turn over and more coaches with Division I qualifications are hired.

NOTE: The 2013 and 2014 salary data above does not include benefits and any coaching buyouts that were originally reported in the EADA for those fiscal years.

Recruiting Expenditures

For many years, inequities in budgets allocated for recruiting were largely the result of competing in men's ice hockey at the Division I level while all other programs competed in Division II. The university's five-year Division I financial plan addresses these disparities in recruiting expenditures. Comparable sports are allocated comparable recruiting budgets. In the event additional funds are needed for recruiting, all programs have the flexibility to transfer funds from one account to another or utilize booster club funds to supplement recruiting allocations. In the chart below, Fiscal Years 2014 and 2015 indicated actual recruiting expenses while Fiscal Years 2016 through 2018 show recruiting allocations. Actual expenditures will be closely monitored to ensure equitable spending of recruiting budgets.

DIVISION I 5-YEAR ANTICIPATED RECRUITING EXPENSES

Year	Men	Women	Total
2018	\$245,000 (55%)	\$200,000 (45%)	\$445,000
2017	\$245,000 (55%)	\$200,000 (45%)	\$445,000
2016	\$245,000 (60%)	\$160,000 (40%)	\$405,000
2015	\$238,732 (60%)	\$158,732 (40%)	\$397,464
2014	\$204,712 (72%)	\$80,603 (28%)	\$285,315

Team Travel

Travel budgets have increased significantly in reporting years 2014 and 2015 due to the increased Division I travel schedules. Travel budgets favor men's teams, as men's ice hockey travel expenses are higher and ice hockey has incurred post-season travel in addition to their budgeted expenses in all years reviewed.

Equipment, Uniforms and Supplies

The gender gap with regard to equipment and supplies has narrowed over the course of the review period. In FY 2015, men's teams were ahead of women's teams by 58 percent. Men's ice hockey contributes to the disparity as they receive the highest equipment budget due to the amount and cost of the equipment required by the sport.

Game Day Expenses

The amount spent on game day expenses was higher for men's teams (71 percent more) because of the cost of men's ice hockey. Men's ice hockey plays at the Tsongas Center and home games typically cost \$6,000 to \$7,000. Game-day expenses will increase for both basketball programs as all games will move from the Costello Athletic Center to the Tsongas Center. All other sports were determined to be equitable.

Fundraising, Marketing and Promotions

Over the three-year period, all expenses in this category occurred at the department level and were not specified by team.

Sport Camp Expenses

The sports-camp expense ratios have favored female athletes over the three-year period, fluctuating from 70 percent to 96 percent and back down to 72 percent. Sports camps are run at the discretion of the coaches and most of the women's coaches choose to run departmental camps, while most men's coaches choose to run camps as independent contractors. The number of teams/coaches running camps has fluctuated as well due to staff turnover.

Medical Expenses

Over the three-year period, all expenses in this category occurred at the department level as the Department of Athletics uses the athletic training budget to service all teams equitably. All student-athletes have the same access to athletic training facilities, staff, physician care and

equipment. Student-athletes carry their own primary insurance and UMass Lowell provides secondary insurance at the same level for all athletes.

Membership and Dues

In 2013, UMass Lowell paid dues to the NCAA and the America East Conference (approximately \$1.7 million). Since that reporting year, memberships and dues have favored the women's teams over the three-year period with the largest difference (74 percent) in the 2014 reporting year. This is due to the \$10,000 membership fee to fast-track women's field hockey as a Division I-eligible sport.

6 Using the program areas for gender issues provided on Page Nos. 55-56:

Measurable Standard No. 3

The institution must conduct a thorough and written review of each of the 15-program areas for gender issues. Please see program area definitions located in the Gender, Diversity and Student-Athlete Well-Being attachment of the self-study instrument. If the institution identifies any deficiencies during this review, the deficiencies must be incorporated into the institution's gender-issues plan for improvement. If no deficiency exists, the institution must include a maintenance plan for each program area and action steps the institution will take if the program area(s) becomes inequitable in the future.

The review must:

Describe how the institution has ensured a complete study of each of the 15-program areas for gender issues. This study should be conducted as part of the self-study process. Please note that for the program area of accommodations of interests and abilities, the use of surveys alone does not constitute a complete study. If an institution chooses to use an interest survey (e.g., a Web survey or hard-copy survey) as one of its sources of data, the committee will require an explanation regarding the survey content, populations surveyed, the survey response rate, method used to interpret the data, and written evidence demonstrating the institution's Title IX coordinator has approved the survey. In addition, the institution must describe other methods of measuring interest and ability.

- a. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the areas;*
- b. Using the data provided in (a) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletic program. Please note, any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis; and*
- c. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15-program areas, including any deficiencies identified in the institution's narrative response as listed above.*

Measurable Standard No. 4

The institution must develop a five-year written, stand-alone plan addressing gender issues that maintains an institution's conformity or moves an institution into conformity with the operating principle.

- a. Describe how the institution has ensured a complete study of each of the 15 program areas. This study must be conducted as part of the self-study process;**

In addition to reviewing the EADA reports from FY 2013 through FY 2016, the Gender Issues Subcommittee conducted a comprehensive gender-equity study during fiscal years 2015 and 2016. This gender-equity study examined the following 15 program areas:

1. *Accommodation of interests and abilities* – Participation proportionate to enrollment; and/or, history and continuing practice of program expansion for underrepresented gender; and/or fully and effectively accommodate underrepresented gender; and equivalent levels of competition.
2. *Athletics scholarships* – Scholarship dollars to be awarded to women and men at same proportion as their respective rate of participation in the intercollegiate athletic program.
3. *Equipment and supplies* – Quality, amount, suitability, maintenance and replacement, and availability of equipment and supplies.
4. *Scheduling of contests and practice time* – Number of games; number, length, and time of day of practices; time of day of games; and preseason and postseason opportunities, including foreign tours.
5. *Travel allowance* – Modes of transportation; housing furnished during travel; length of stay before and after competitive events; and dining arrangements and per diem.
6. *Academic support services* – Availability of procedures and criteria for obtaining assistance; and assignment – qualifications, training, experience, etc.
7. *Coaches* – Availability of full-time, part-time, assistant, interns; 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; and 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; and health, accident and injury insurance coverage.
10. *Housing, dining facilities and services* – Housing provided; special services as part of housing; and dining arrangements.
11. *Publicity* – Availability and quality of communications personnel; access to other publicity resources; and quantity and quality of publications and other promotional devices.
12. *Support services* – Administrative and clerical support and office space.

13. *Recruitment of student-athletes* – Equal opportunities for professional personnel to recruit; availability of financial and other resources for recruitment; and equivalent benefits, opportunities and treatment of prospective athletes.
14. *Retention* – APR and retention rates; quality of campus experience; availability of majors; programs and services to address retention of staff, coaches and student-athletes from the underrepresented gender within the athletic program; review of retention and promotion of staff and coaches to include professional-development opportunities; and compensation, contract terms and renewals.
15. *Participation in governance and decision making* – Participation and opportunities for leadership.

Information obtained from this survey was included in a gender-equity report that will be made available for review during the fall 2016 peer review team visit. This report was based on:

- Gender-equity surveys completed by the head coaches in FY 2015;
- Gender-equity surveys completed by student-athletes in FY 2016;
- Student-athlete program assessments and exit interviews;
- Annual staff performance evaluation discussions;
- Review of the survey data by the Department of Athletics leadership team and the Gender Issues Subcommittee;
- Further review of the survey data by the university's Title IX attorney, Janet Judge.

In addition, members of the Gender Issues Subcommittee toured all athletic facilities and conducted interviews with the following athletic administrative staff members responsible for each administrative service unit:

- Dana Skinner, director of athletics;
- Sandra Niedergall, senior associate athletic director/ SWA/compliance;
- Christina Stone, associate athletic director for business operations;
- Kerry Abenante, athletic business coordinator;
- Keith Vinci, assistant athletic director for sports performance;
- Lauren Trapasso, coordinator of academic services;
- Peter Souris, associate athletic director for communication;
- Alan Zembrak, associate athletic director for facilities and event management;
- Amy Judge, external operations manager;
- Christine Smith, associate athletic director for student-athlete services;
- Sean Patno, director of team services;
- Michael Letzeisen, assistant athletic director for events and operations.

b. Provide data demonstrating the institution’s status and commitment, including resource allocation, across each of the 15 areas;

The comprehensive gender-equity study conducted over a two-year period was utilized to inform discussions relative to program area needs.

The following data was taken from the gender-equity report and utilized to identify both strengths and areas of concern:

1. *Accommodation of interests and abilities*

UMass Lowell’s undergraduate student enrollment is presently 63 percent male and 37 percent female, while the student-athlete participation rate is 56 percent male and 44 percent female. In order to sponsor all America East Conference sports of emphasis at the time of acceptance, the university added men’s and women’s lacrosse in FY 2014, which affected participation rates.

Student-athlete participant and campus undergraduate ratios are as follows:

<i>Student-Athlete Participation</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>
Male	56% (210)	58% (193)	56% (244)
Female	44% (163)	42% (141)	44% (191)
<i>Student Enrollment</i>			
Male	63%	62%	63%
Female	37%	38%	37%

The drop of 17 participation opportunities for men between 2013 and 2014 was due to a reduction in roster spots in the sports of track and field and soccer. Twenty-two participant opportunities for women were dropped during the same period due to the reclassification of women’s rowing from varsity to club sport status. In comparing 2014 to 2015, there were increases in participation with the men’s and women’s lacrosse programs, as well as team rosters spiking because of transitional commitments to Division II student-athletes that increased squad size of some sport programs.

Based on FY 2015 numbers, there is a 7 percent difference, favoring female student-athlete participants.

2. *Athletics scholarships*

The total amount of athletic scholarship aid awarded in FY 2016 is anticipated to be \$4,765,810. Male student-athletes represent 55.19 percent of the unduplicated participants and received 53.4 percent of the awards. Female student-athletes

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represented 44.81 percent of the unduplicated participants and received 46.6 percent of the awards. There is a difference of plus 1.79 percent for female student athletes between the unduplicated participation rate for each gender and the percentage of financial assistance received by male and female participants.

The university has increased athletic scholarship funding from \$2,710,360 in FY 2014 to its current level of \$4,765,810 and expects to award more than \$6.2 million once its Division I financial plan is fully implemented.

ROSTER SIZES & SCHOLARSHIP DISTRIBUTION FY2014 – FY2016

Sport	FY 14			FY15			FY16		
	Roster Size	Equiv. Dist.	Aid Dist.	Roster Size	Equiv. Dist.	Aid Dist.	Roster Size	Equiv. Dist.	Aid Dist.
MENS									
Baseball	31	5.33	\$184,115	35	7.19	\$217,960	36	8.72	\$276,518
Basketball	14	8.89	\$337,451	14	13	\$588,897	13	13	\$537,697
Golf	15	1.22	\$33,814	15	1.94	\$62,500	10	2.29	\$70,000
Hockey	30	17.66	\$665,987	29	17.49	\$768,186	28	17.75	\$757,062
Lacrosse				40	5.34	\$194,477	40	7.34	\$286,871
Soccer	41	4.47	\$147,149	35	6.79	\$190,065	30	8.44	\$282,515
CC/Track	62	4.08	\$145,169	76	6.35	\$187,442	77	10.49	\$335,418
Total	193	41.65	\$1,513,685	244	58.1	\$2,209,527	234	68.03	\$2,546,081
WOMENS									
Basketball	16	13.74	\$416,679	13	12	\$491,280	13	12.5	\$490,196
F. Hockey	24	6.73	\$205,961	22	8.61	\$316,166	22	9.62	\$372,934
Lacrosse				26	3.04	\$105,197	30	5.13	\$188,714
Soccer	29	3.94	\$153,695	35	6.12	\$200,470	32	9.25	\$347,463
Softball	19	2.99	\$137,765	25	4.81	\$176,013	24	7.26	\$298,185
CC/Track	41	3.08	\$132,786	59	6.58	\$178,782	55	8.15	\$247,245
Volleyball	13	3.69	\$149,789	11	5.74	\$230,894	14	6.78	\$274,992
Total	142	34.17	\$1,196,675	191	46.9	\$1,698,802	190	58.69	\$2,219,729
Grand Totals	335	75.82	\$2,710,360	435	105	\$3,908,329	424	126.72	\$4,765,810
Male %	0.5761	0.549	0.558	0.5609	0.5533	0.565	0.5519	0.5369	0.534
Female %	0.4238	0.451	0.442	0.4391	0.4467	0.435	0.4481	0.4631	0.466

3. *Equipment and supplies*

All sport programs are provided equitable resources to purchase and maintain equipment. For like sports such as soccer, lacrosse and basketball, men and women are allocated similar budgets for equipment and supplies. For example, men's basketball is allocated \$27,425 and women's basketball receives \$25,530. Based on the student-athlete equity surveys:

- With regard to whether uniforms were deemed satisfactory, 97 percent of women were satisfied and 95 percent of men were satisfied;
- 70 percent of women said the quality of gear was deemed of sufficient quality while 71 percent of men said the same;

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- 75 percent of women and 78 percent of men said equipment and supplies were suitable.

4. *Scheduling of contests and practice times*

All teams are treated equitably with regard to scheduling contests and the availability of practice times. Based on the student-athlete equity survey:

- 1 percent of women said the days/times of practices are not appropriate and 2 percent of men said practice days/times were not appropriate.

Game schedules

All coaches have the opportunity to schedule the NCAA maximum number of contests; however, spring sports are impacted by weather conditions and rarely complete their schedules. Games scheduled per sport for the most recently completed regular seasons are as follows:

Sport	Male			Female		
	No. Games	NCAA Max	Percentage	No. Games	NCAA Max	Percentage
Baseball	43	56	77%			
Basketball	29	29	100%	28	28	100%
Cross Country	7	7	100%	7	7	100%
Field Hockey				19	20	95%
Golf	21	24	88%			
Ice Hockey	34	34	100%			
Lacrosse	14	17	82%	17	17	100%
Soccer	17	20	85%	18	20	90%
Softball				47	56	84%
Track & Field (O/D)	18	18	100%	18	18	100%
Volleyball				26	28	93%

The equity survey results identified limited areas of concern between men's and women's programs. Following are some results of the equity surveys:

- 70 percent of women student-athletes said the balance between home and away contests were appropriate compared to 89 percent of men student-athletes said the balance was appropriate. Results are affected by ice hockey, an established Division I program with more control over its schedule than the transitioning sports.

Practice Schedules

Coaches and the assistant athletic director for events and operations meet prior to the beginning of each sport's season to review schedule requests and determine

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assignments. Priority is given to in-season teams. The equity survey results show no significant issues between men's and women's programs. Following are some results of the equity surveys:

- 1 percent of women student-athletes said the days/times of practices are not appropriate and 2 percent of men student-athletes said practice days/times were not appropriate.

The following analysis was completed based on the actual practice schedules for 2014-2015:

Team	Morning	Mid Morning	Early Afternoon	Late Afternoon	Evening	Total
W Basketball	7	9	15	19	4	54
M Basketball	0	15	32	6	0	53

Results

	Percentage Women	Percentage Men
Morning	100%	0%
Mid-Morning	38%	63%
Early Afternoon	32%	68%
Late Afternoon	76%	24%
Evening	100%	0%

Women received 54 percent of peak hours and men received 46 percent, and times changed from year-to-year based on student schedules. Differences were determined to be non-discriminatory.

Team	Morning	Mid Morning	Early Afternoon	Late Afternoon	Evening	Total
W Soccer	21	1	42	0	1	71
M Soccer	2	9	0	35	11	57

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Results

	Percentage Women	Percentage Men
Morning	9%	7%
Mid-Morning	10%	90%
Early Afternoon	0%	100%
Late Afternoon	100%	0%
Evening	92%	8%

Assuming that early afternoon and late afternoon are equivalent time slots, soccer practice time slots were determined to be equitable. The teams had equal access to peak times. During non-peak hours women opted for evenings, while men opted for mornings and weekends.

5. *Travel allowance*

Team trips are carefully monitored to ensure equitable travel opportunities for both men and women. The FY 2016 budget allocates \$570,339 for men and \$537,946 for women.

For example, in 2015-16, men's ice hockey traveled to Belfast, Northern Ireland to participate in the first-ever college hockey tournament in Europe; field hockey traveled to California; and baseball, softball, women's lacrosse, and men's and women's track teams traveled south.

Both men's and women's basketball scheduled "guarantee games" during the first three years in Division I. In 2015-16, men's basketball played guarantee games against Northwestern University, Boston College, University of Notre Dame, University of Connecticut and Rutgers University. Women's basketball played the University of Maryland, University of Miami and Boston College. Typically, guarantee games for men produce significant cash returns while the women's guarantee games cover travel expenses.

With regard to travel, following are some results of the equity surveys:

- 88 percent of women said bus quality is high and 91 percent of men said bus quality is high;
- 96 percent of women and 91 percent of men said the mode of transportation was appropriate;
- 89 percent of women and 87 percent of men said the length of stay was appropriate when traveling;
- 95 percent of women said they are provided sufficient time on road for proper warmups and 96 percent of men said they are provide sufficient time.

- 80 percent of women said post meals were sufficient and 83 percent of men said post meals were sufficient.

6. *Academic Support Services*

The university constructed a new student-athlete academic center in FY 2015, located in the Costello Athletic Center, which is home to all teams except hockey. The facility contains offices for student-athlete academic staff, individual computer space and private large and small group study rooms. Hockey student-athletes utilize the academic center at Costello and also have study hours at the Tsongas Center.

The university has expanded the athletic academic services staff since 2013 to three full-time employees and one intern. In addition, student-athlete academic services are provided in conjunction with the university's Centers for Learning and Academic Support Services, which provides advisers, tutors and learning specialists for all UMass Lowell students. Advising nights are scheduled during the academic year at which academic officials visit Costello to provide advising services by colleges to student-athletes.

With regard to academic services, the equity survey results show no significant issues between men's and women's programs. Following are some results of the equity surveys:

- 96 percent of women and 95 percent of men said the academic center was available to them;
- 94 percent of women and 96 percent of men said the staff was qualified and capable.

7. *Coaches*

The University's Division I financial plan provided for an equitable number of coaches and salaries that are commensurate with conference peers. Salaries are determined by market-based factors, performance and level of experience.

The student-athlete equity survey results show no significant concerns relative to the availability of quality coaches provided for the men's and women's programs, as:

- 94 percent of women said that quality full-time coaches were sufficiently available and
- 93 percent of men said that quality full-time coaches were sufficiently available.

The reclassification to Division I resulted in significant changes with coaches. As former Division II coaches depart the university, salaries for new coaches with Division I qualifications will be adjusted to address gender deficiencies that may exist.

Additional coaching data is provided in response to question 5, measurable standard 2.

8. *Locker rooms, practice and competitive facilities*

The members of the Gender Issues Subcommittee toured the locker rooms, practice and competitive facilities at the Costello Athletic Center, Cushing Field Complex, Riverview Field, LeLacheur Park and the Tsongas Center. The Tsongas Center is home to the hockey team and the site for men's and women's basketball games, and the baseball facility, LeLacheur Park, was constructed through a partnership between the university and city of Lowell. The city oversees the use of the park, which is shared by UMass Lowell and the Boston Red Sox Single-A affiliate, the Lowell Spinners.

A major component of the university's reclassification to Division I was a commitment of approximately \$6.3 million to immediately upgrade athletic facilities - \$2.3 million to replace the field hockey surface with AstroTurf and install new artificial turf on the soccer and lacrosse field; \$3.5 million to renovate team locker rooms, expand the athletic training center and construct a new student-athlete academic center; and \$550,000 to construct a new visiting team locker room and improve the basketball facilities at the Tsongas Center.

All men's and women's teams are provided locker rooms that are not shared, though several teams do share shower and restroom facilities. Men's ice hockey is presently the only sport housed at the Tsongas Center and has a locker room that is at a higher quality level than all other sports. Baseball has an appropriately-sized locker room at LeLacheur Park, but doesn't have year-round access to the facility. Softball has its own locker room at Mahoney Hall. The locker rooms for all other sports are adequate, although the Costello Athletic Center locker rooms have more limited square-footage.

Short of constructing a new athletic center, all teams will continue to have modest-sized locker-room space. Chart 13 found in the appendix provides information about the location, availability and the quality of locker rooms for each team.

While all sports are treated equitably with regard to locker rooms, upgrades are needed as generated revenues allow.

Practice and competitive venues were determined to be of sufficient quality. With regard to the accessibility and preparation of practice and game facilities, the student-athlete equity survey results show no significant issues between men's and women's programs. Following are some results:

- 91 percent of men and 91 percent of women said their game facility was well prepared for games
- 83 percent of women said their primary practice facility was sufficiently accessible and 84 percent of men said their primary practice facility was sufficiently accessible.

9. *Medical and training facilities and services*

The newly renovated athletic training center ensures all sports have access to equitable facilities. While hockey has a dedicated athletic training center at the Tsongas Center, student-athletes from other teams also utilize the facility for treatment and medical evaluations, and both men's and women's basketball utilize it during home basketball games and practices scheduled at the Tsongas Center.

A high-quality strength and conditioning facility at the Tsongas Center is utilized by both ice hockey and women's field hockey. All other teams utilize strength and conditioning facilities at the Costello Athletic Center. While the current Costello arrangements are equitable, the university's plan is to relocate and significantly upgrade the strength and conditioning center when sufficient external funds have been generated.

With regard to athletic training services, the following are some results of the equity surveys:

- 90 percent of women and 93 percent of men said their athletic trainer was available during their season;
- 84 percent of women and 86 percent of men said the Costello training room was of high quality.

With regard to strength and conditioning, the student-athlete equity surveys show no significant differences between men's and women's programs. Following are some results of the equity surveys:

- 97 percent of women and 98 percent of men said their sports performance coach was accessible;
- 92 percent of women and 96 percent of men said their sports performance coach was capable;

- 97 percent of women and 98 percent of men said the Costello strength and conditioning center was sufficiently equipped.

The university's capital plan includes upgrading equipment in the strength and conditioning center, which will benefit all student-athletes.

10. *Housing, dining facilities and services*

Men's ice hockey and men's and women's basketball student-athletes are assigned premium campus housing. All other full-scholarship student-athletes are assigned standard housing.

The university's premium-level meal plan – the platinum plan – is available for all full-scholarship student-athletes. Student-athletes residing off-campus have the option to cash out at the rate of a standard-level meal plan. All student-athletes have the same access to dining halls in Fox Hall, the UMass Lowell Inn & Conference Center and McGauvran Center, as well as a variety of other campus dining facilities and restaurants.

Teams that travel or remain on campus during intersession periods are provided per diem and/or team meals at restaurants on and off campus. Per diem is \$24. Pre-and post-game meals are provided for home games and supplemental meals and snacks are provided when needed.

Student-athlete equity survey results about meal and dining options reveal no significant concerns regarding equity between men's and women's programs.

Following are some results of the equity surveys:

- 96 percent of men and 96 percent of women were satisfied with pregame meals;
- 39 percent of women and 42 percent of men said supplemental snacks were provided to adequately meet their needs.

11. *Publicity and awards*

The level of publicity and communication services provided for each sport has expanded annually since reclassifying to Division I in 2013. A demonstration of the university's commitment to ensuring a higher level of publicity and marketing is the increase of full-time staff from FY 2013 to FY 2016 from four to eight. During the same three-year period, the marketing allocation increased from \$65,000 to \$125,000 while the communications budget increased from \$36,000 to more than \$100,000.

The university is committing approximately \$550,000 to ensure that all athletic facilities can produce plug-and-play, ESPN-quality telecasts.

The university negotiated an agreement with ESPN New Hampshire and WCAP-AM radio to broadcast all hockey and men's basketball games. Coverage of select women's basketball games on ESPN New Hampshire was negotiated in FY 2016. Hockey games are televised on a variety of stations as part of the Hockey East television package.

The expansion of communications services now includes the assignment of a full-time staff member for each team with responsibility for the following:

- Producing weekly video and written previews for fall and spring sports and game-by-game previews are produced for winter sports;
- In-game and post-game coverage for all games with recaps that include live video highlights for home games and coach interviews for away games;
- Streaming of home games as required for the America East TV package, with careful monitoring of the expansion of streaming and television opportunities to ensure equitable coverage of both men's and women's programs;
- Nomination of student-athletes for conference awards.

Since FY 2014, new positions have been added to increase marketing efforts in men's and women's basketball and ensure equitable treatment for men's and women's sports. Marketing continues to expand services to include schedule cards and posters, game programs, social media promotions and game-day marketing events.

With regard to publicity and marketing, the equity surveys show no significant issues between men's and women's programs. Following are some results of the equity surveys:

- 81 percent of women and 80 percent of men rate the quality of the publicity/media as sufficient;
- 93 percent of women and 89 percent of men rate their team website as high-quality;
- 76 percent of men and 76 percent of women said marketing activity was sufficient for their programs.

12. *Support Services*

Renovations to the Costello Athletic Center completed since 2013 have improved office space for all staff members. However, as Costello is a 50-year-old facility, available office space is insufficient to effectively accommodate all coaches and

administrative staff. In particular, while the current men's and women's basketball office suites are virtually identical, they are both inadequate for Division I. No issues of equity were identified for all other coaches as the office spaces are similar in size and quality.

To support the increased activity in Division I and ensure equitable availability of services, a new administrative assistant position was created in FY 2016. Presently, men's ice hockey does not have an administrative assistant at the Tsongas Center. It is expected that a position will be created in the future.

13. *Recruitment of Student-Athletes*

Past inequities in recruiting allocations were largely the result of men's ice hockey competing in Division I while all other programs competed in Division II. The university's five-year Division I financial plan includes incremental increases in recruiting allocations to achieve equity. Matching sports for men and women are allocated comparable recruiting allocations and all sports have the flexibility to transfer funds from one line item to another in the event more funds are needed for recruiting in a particular year. Closely monitoring actual expenditures is needed to ensure equity.

All sports also receive the same benefits, ticket, housing and meal arrangements for official recruiting visits and all sports are allowed to recruit nationally and internationally.

14. *Retention*

Equitable resources are allocated to meet university and departmental goals with regard to retention.

Student-Athlete Retention

The subcommittee identified areas of concern with regard to student-athlete retention and attributed differences to the transition from Division II to Division I, as well as men's and women's lacrosse being startup programs. Compared to other sports at UMass Lowell, slightly lower retention rates were identified in the sports of baseball, men's soccer, softball and men's and women's lacrosse.

APR and retention goals are in place for all programs.

Coaches and Staff Retention

The university's five-year Division I financial plan includes the addition of 41 new full-time positions. Coaching positions have been allocated equitably and salaries determined based market-based factors, performance and level of experience. Administrative salaries have been consistent with the institution's salary-grade levels. Treatment of male and female employees with regard to benefits and promotions is equitable.

- Head hockey, men's and women's basketball coaches receive multi-year contracts. All other new head coaches receive an initial three-year appointment followed by annual one-year renewals.
- Assistant coaches are appointed annually.
- All administrative staff members at the associate level or above are non-unit, at-will employees. All other administrative staff members are unit employees.
- Promotions are based on performance and market-based factors.
- Coaches and administrative staff have opportunities to attend professional development conferences and seminars.
- Many staff members have visited other colleges to assess operations and develop best practices at UMass Lowell.

15. *Participation in governance and decision making*

Student-athletes are active participants in decisions that have a direct impact on their experience on campus. Student-athletes are engaged in the decision-making process as follows:

- As members of the Student-Athlete Advisory Committee (SAAC);
- By serving as members of coaching search committees, student government representatives, and on the university's Intercollegiate Athletics Council;
- By providing input about the conduct of their programs through annual program assessments and exit interviews.

- c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletic program (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis). [Note: the institution must include all male and female NCAA intercollegiate sports programs offered at the institution in its program area analysis]; and**

Due to the university's undergraduate student ratio of 63 percent male and 37 percent female, males are presently the underrepresented gender at UMass Lowell with respect to accommodation of interests and abilities. However, in some program areas, progress is also

needed to ensure women are provided equitable treatment. The data provided above was analyzed by the Gender Issues Subcommittee and areas requiring specific action steps to meet the needs of the underrepresented gender are addressed below and the corrective steps are specified in the gender issues plan.

1. *Accommodation of interests and abilities*

The university is committed to correcting the gap between men's and women's participation rates by implementing the multi-prong strategies outlined in the Gender Issues Plan. Those strategies include roster management for both men and women and a variety of campus initiatives to increase the number of female undergraduate students. Careful monitoring of the strategies over the next five years will determine if additional measures are needed.

2. *Athletic scholarships*

The total amount of athletics scholarship aid awarded in FY 2016 is anticipated to be \$4,765,810. Men represent 55.19 percent of the unduplicated participants and received 53.4 percent of the awards. Women represented 44.81 percent of the unduplicated participants and received 46.6 percent of the awards. There is a difference between the unduplicated participation rate of male and female participants and the percentage of financial assistance received by male and female participants, of 1.79 percent more for women.

The university has increased athletics scholarship funding from \$2,710,360 in FY 2014 to its current level of \$4,765,810 and expects to award more than \$6.2 million once its Division I financial plan is fully implemented.

3. *Coaches*

Deficiencies with regard to salaries exist primarily due to market-based factors, performance and level of experience, and the fact that men's ice hockey is the university's highest-profile sport and does not have a women's equivalent program. Salaries for future hires will be closely monitored and equity adjustments will be made as opportunities arise.

4. *Locker rooms, practice and competitive facilities*

The Costello Athletic Center was constructed in 1967 for a small male-only athletics program. As a result, effectively accommodating all office and locker room needs for a developing 18-sport Division I program has presented challenges. Renovations during the first three years of the Division I reclassification were completed in a manner that addressed a number of immediate equity concerns.

Remaining facility concerns to be addressed are as follows:

- Improving softball facilities so the experience for softball student-athletes matches more closely the experience of the baseball student-athletes, who utilize a minor league baseball park. Implementation of the university's Division I action plan has already resulted in significant progress addressing a number of deficiencies by constructing batting cages, installing a new scoreboard, creating an indoor practice facility and renovating the locker room, athletic training room, and the field playing surface. Future plans include replacing the dugouts and adding lights to the field.
- Effective in FY 2018, all men's and women's basketball games will be played at the Tsongas Center, thus eliminating the use of the one competition facility deemed poor in student-athlete surveys.
- Locker rooms will be expanded in an equitable manner as the university raises external funds.

5. *Recruitment of Student-Athletes*

Strict adherence to the university's Division I financial plan will result in equitable allocations by sport for recruiting. Expenditures will be monitored closely.

d. **Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15 areas, including any deficiencies identified in the institution's narrative response as listed in item (c) above.**

The gender issues plan was developed by the subcommittee following a thorough assessment of all 15 program areas. The plan identifies inequities between the men's and women's programs and provides specific action steps to ensure gender equity moving forward. Maintenance plans for all other program areas have been implemented to ensure effective monitoring on an on-going basis.

1. *Accommodation of interests and abilities*

Addressing the gap between the university's undergraduate enrollment and student-athlete participation rates will be addressed by implementing the following strategies:

- Increasing the enrollment of female students – The university is committed to achieving an undergraduate student ratio of 55 percent male and 45 percent female using the following action steps:
 - Marketing materials will be designed so as to make the campus more appealing to females;
 - Close examination of applicants shows that the female applicant pool would increase with the recently adopted No-Test Option for

admission. This policy is effective beginning with the 2016-17 incoming class.

- The Board of Trustees will be meeting in October, 2016 to conduct their final vote of approval for a newly established Bachelor of Arts in Education. This bachelor degree will be offered in the 2017 fall semester.
- Roster management – The transition to Division I created roster challenges because many of the student-athletes from the university's last year in Division II have been retained on rosters. These students, in addition to new students, have produced larger than normal roster sizes. With only one year remaining in the four-year Division I transition, both men's and women's teams will utilize roster management to reach equity goals.

2. *Athletics scholarships*

The distribution of athletics scholarship aid will be monitored closely to ensure equity between males and females. Achieving and maintaining equity will likely require an increase in the total number of equivalencies for men, using funds to be generated externally.

3. *Equipment and supplies*

The equipment staff has implemented a tracking system whereby every equipment item purchased with budgeted or generated revenues will be tracked. This system will result in more exact monitoring and ensure that equipment is of high quality and maintained appropriately to promote gender equity.

4. *Scheduling of contests and practice times*

Sport administrators will continue to work cooperatively with coaches to produce equitable practice and game schedules. The athletics leadership team will monitor scheduling closely to ensure equity.

5. *Travel allowance*

The athletics business office approves all team travel arrangements and closely monitors travel to ensure equitable treatment and experiences for males and females.

6. *Academic support services*

Academic services staff closely monitors all services available to student-athletes. They also track annually the availability of tutors, access to advisers and campus learning specialists, and experiential learning opportunities to ensure gender equity.

7. *Coaches*

Coaching salaries will continue to be based on market-based factors, performance and level of experience, and will be closely monitored to ensure that gender equity is achieved and compensation packages are comparable to conference and national peers.

8. *Locker rooms, practice and competitive facilities*

The subcommittee identified the softball complex, visiting team locker rooms, and Costello Gym as primary areas of concern. Plans are already in place to upgrade the softball complex. Locker rooms were renovated in FY 2016 for all programs except hockey and basketball. Hockey and basketball locker rooms will be renovated in 2016. Future improvements to locker rooms will be monitored by facility staff to ensure gender equity. Both men's and women's basketball games will be played at the Tsongas Center beginning in 2017-18.

9. *Medical and Training Facilities Services*

With athletic training facilities in four different campus locations, the athletics leadership team will closely monitor the availability and assignment of certified trainers, team physicians and all other medical services provided to student-athletes to ensure equity.

While both the Tsongas and Costello Centers have above-average strength and conditioning centers, the subcommittee identified a future need to relocate and renovate the Costello strength and conditioning center.

10. *Housing, dining facilities and services*

The university presently provides housing and meal plans in an equitable manner. The senior woman administrator will work closely with Residence Life staff to sustain equity and ensure a high-quality campus experience for student-athletes.

11. *Publicity*

The increase in full-time staff during the transition to Division I enabled the university to achieve equity with regard to publicity and awards. The America East Conference has set a standard to stream games in all sports. Meeting this standard will be a challenge as athletics facilities are located in four different areas of campus, but progress will be done in an equitable manner.

12. *Support services*

Department of Athletics staff members are housed in two separate buildings - Costello Athletic Center and the Tsongas Center. The athletics leadership team will monitor office assignments and support personnel to ensure equity.

13. *Recruitment of Student-Athletes*

The Department of Athletics leadership team will closely monitor strict adherence to the university's five-year Division I financial plan, which ensures equity in recruiting allocations between the men's and women's programs.

14. *Retention*

Close monitoring by the academic services staff will ensure retention rates are at the level of peer institutions. In addition, the athletics leadership team will continue its commitment to attracting, developing and retaining quality staff members.

15. *Participation in governance and decision making*

A primary goal identified in the Department of Athletics strategic plan is to produce 21st century leaders. Achieving this goal demands that student-athletes participate in a broad range of leadership and decision-making positions, including:

- Student-athletes have permanent positions on the Intercollegiate Athletics Council;
- The Student-Athlete Advisory Committee will continue to be the leading voice as representatives of the entire student-athlete body;
- Student-athletes will continue to have opportunities to serve on search committees to select new coaches.

[Note: The institution may want to refer to the equitable medical care section of the NCAA Sports Medicine Handbook as a guide in responding to Item No. 9 of the program area checklist.]

- 7 Using the plan for improvement section, provide an institutional gender-issues plan that addresses all 15 aforementioned program areas for the department of athletics. The plan must include all required elements of a plan as noted by the committee (Appendix B). If a deficiency does not exist in a program area(s), the institution must include an evaluation mechanism to maintain the institution's status in that program area(s) and action steps the institution will take if the program area(s) becomes inequitable in the future. Finally, the institution must describe how it will review its plan on an annual basis and include this information in the institution's gender-issues plan.**

Within gender-issues and diversity-issues written plans, specific numerical targets may place an institution at legal risk and are not expected in an institution's written plan, particularly as it relates to hiring practices. Institutions may develop plans that have broad, flexible non-numeric hiring goals. As it relates to the program areas, including but not limited to participation rates and budget increases, specific numerical targets may be appropriate.

Measurable Standard No. 5

The institution's plan must be active at all times and include a mechanism to ensure the plan is reviewed on an annual basis, including a comparison with its EADA report and NCAA financial report, to determine if the course of action is still appropriate and this information must be included in the institution's gender-issues plan.

The Gender Issues Subcommittee developed the gender issues plan (Appendix G) with broad campus participation, including student-athletes, coaches, athletic and other university staff and faculty. The plan has been reviewed and approved by the IPP steering committee and received the endorsement of the chancellor's leadership team. The senior women's administrator /NCAA IPP liaison has been identified as the individual responsible to monitor progress on all self-study improvement plans.

- 8 Describe how the institution will annually compare its gender-issues plan with its EADA reports and NCAA financial reports to determine if the course of action is still appropriate. Further, please provide the names and titles of the individuals who will be responsible for this review.**

Measurable Standard No. 5

The institution's plan must be active at all times and include a mechanism to ensure the plan is reviewed on an annual basis, including a comparison with its EADA report and NCAA financial report, to determine if the course of action is still appropriate and this information must be included in the institution's gender-issues plan.

A thorough review of all aspects of the athletics operation will be conducted annually by the Department of Athletics leadership team. The process will include reviewing the EADA report, the NCAA financial report, results of student-athlete program assessments, exit interviews and information gathered from student-athlete surveys. Findings will be presented annually to the Intercollegiate Athletics Council and the gender issues plan will be adjusted as needed based on findings.

9 Describe the institution's efforts to ensure the gender-issues plan for improvement was developed through a process involving broad-based campus participation and has received formal institutional approval. Further, please identify the length (i.e., five years) of this plan, including the specific years this plan will be active.

Measurable Standard No. 6

The institution's gender-issues plan must include the following requirements:

- a. Include identification of issues or problems confronting the institution.*
- b. Include measurable goals the institution intends to achieve to address issues or problems.*
- c. Include specific steps the institution will take to achieve its goals.*
- d. Include a specific timetable(s) for completing the work.*
- e. Identify the individuals and/or offices responsible for carrying out the actions identified by the institution.*

Further, the institution's gender-issues plan must meet the following requirements:

- a. Be committed to paper and be a stand-alone document.*
- b. Be developed with opportunities for significant input from appropriate constituent groups inside and outside athletics.*
- c. Must be adopted formally by the institution's final authority in such matters (i.e., chancellor/president or board of trustees) to ensure that it carries the commitment and support of the entire institution.*

The university's Division I Institutional Performance Program (IPP) self-study process included the establishment of a steering committee that has provided effective oversight of the self-study process and ensured the broad-based participation of more than 70 students, faculty and staff. The Gender Issues Subcommittee was appointed to include representation from the key campus units including Human Resources, Athletics, Student Affairs, University Police, Academic Affairs and Enrollment Services.

The process to develop a comprehensive gender issues plan included conducting a thorough survey of all student-athletes and coaches, reviewing past EADA reports, analyzing student-athlete program assessments, conducting interviews with a broad range of campus employees, a subcommittee tour of all athletic facilities and review of all sport budgets. Finally, the gender

GENDER/DIVERSITY ISSUES & STUDENT-ATHLETE WELL-BEING

OPERATING PRINCIPLE 3.1

issues plan was reviewed by the IPP steering committee and presented to the chancellor's leadership team. The campus is committed to adherence to the gender issues plan and to making adjustments to the plan as needed over the next five years.

Gender/Diversity Issues and Student-Athlete Well-Being

Operating Principle - 3.2. Diversity Issues

It is a principle of the Association to promote respect for and sensitivity to the dignity of every person and to refrain from discrimination. In accordance with this fundamental principle, the institution shall:

- a. Demonstrate that it is committed to, and has progressed toward, fair and equitable treatment of all student-athletes and department of athletic personnel with diverse racial, ethnic and other backgrounds; and
- b. Formally adopt a written plan for the future of the intercollegiate athletic program that ensures the institution maintains, or continues progress toward, a program that expands equitable opportunities and support for student-athletes and athletic personnel with diverse racial, ethnic and other backgrounds. The plan shall include measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables.

Please note, that for purposes of the Institutional Performance Program, institutions have discretion to address those areas of diversity that align with the institution's overall mission and culture. However, institutions are reminded that the Committee on Institutional Performance expects a comprehensive and good-faith effort throughout the self-study process. Examples of areas to review for diverse backgrounds or underrepresented groups include, but are not limited to: race, ethnicity, creed, color, national origin, age, disability, sexual orientation and gender identity, in addition to other areas such as religion, marital status, education, income, geographic location and work experience.

Self-Study Items for Operating Principle 3.2

Within gender-issues and diversity-issues written plans, specific numerical targets may place an institution at legal risk and are not expected in an institution's written plan, particularly as it relates to hiring practices. Institutions may develop plans that have broad, flexible non-numeric hiring goals. As it relates to the program areas, including but not limited to participation rates and budget increases, specific numerical targets may be appropriate.

1 Explain how the institution is organized to further its efforts related to the diversity-issues operating principle for department of athletics staff, coaches and student-athletes.

UMass Lowell's 2020 Strategic Plan identified global engagement and inclusive culture as one of its five pillars of excellence. The university's Office of Human Resources and Equal

Opportunity and Outreach works collaboratively with the campus community to promote a diverse and inclusive environment. Data is compiled and analyzed and serve as the basis for the goals identified in the university's affirmative action plan. Additionally, areas of concern and programmatic goals are informed by consultation with vice chancellors, deans and hiring managers across the university.

Organizational Structure

The chancellor of UMass Lowell has ultimate oversight of the university and the Department of Athletics. The chancellor is appointed by the president of the UMass system with approval of the UMass Board of Trustees. The director of athletics, who reports directly to the chancellor, has regularly scheduled meetings with the chancellor on all matters related to the organization and administration of the department, including matters related to promotion of diversity and inclusive culture in the Department of Athletics.

An extensive campus-wide effort by the chancellor, with the support of all vice chancellors, directors, deans and other campus leaders, resulted in the following actions to address diversity in all aspects of campus life that required:

- The chancellor issued a comprehensive charge to the Executive Cabinet to advance minority hiring. This demonstrated commitment from the university leadership is critical toward molding institutional values and culture, and spearheading action.
- The associate vice chancellor for human resources and equal opportunity and outreach and the director of equal opportunity and outreach actively develop partnerships with all campus constituencies around affirmative initiatives.
- A search adviser model was introduced. Hiring authorities and staff members who support searches utilize search advisers as a single source of contact for the search committee chairs and members. Search advisers provide support and advice at all stages of the search process, from requesting approval for a position to providing suggestions for outreach and monitoring the success of the searches at achieving diverse applicant pools at various stages throughout the hiring process.
- All members of search committees are required to complete the search committee training. This training for search committees was revised to reflect this new model and to publicize the university's leadership commitment to achieving diversity goals.

UMass Board of Trustees Committee on Academics and Student Affairs

The UMass Board of Trustees has established the Committee on Academics and Student Affairs. Each of the UMass system's four athletic directors provides reports to the committee on matters relevant to the conduct of their athletic programs. Diversity reports are submitted upon request to the committee for review and discussion at Board of Trustees meetings.

Intercollegiate Athletics Council (IAC)

The IAC serves in an advisory capacity to the director of athletics and the chancellor, and diversity and gender equity sub-committees are appointed from the IAC membership to provide input into the department's diversity plans.

Department of Athletics Leadership Team

The athletics leadership team consists of the athletic director and all administrators with sport oversight. Responsibilities of the leadership team include providing on-going oversight of the conduct of the athletic program. The leadership team annually gathers and reviews information from student-athlete and staff surveys, performance evaluations, exit interviews and individual and group meetings on all matters, including diversity. Improvement plans are developed as needed.

Administrative Staff and Coaches

Like all departments on campus, the Department of Athletics is responsible for implementing the campus diversity goals and developing a workforce that is representative of available hires, as well as of the diverse student population served.

All coaches and staff members participated in the development of the athletics strategic plan, which includes a commitment to diversity and inclusiveness.

Student-Athlete Advisory Committee (SAAC)

The SAAC serves to provide input about the student-athlete experience. SAAC members are engaged in discussions relative to a wide range of topics, including diversity. In addition, two SAAC members are selected annually to serve on the IAC and participate in a review of diversity issues.

- 2 Describe the institution's written statements (e.g., vision statements, mission statements, diversity statements, policies, plans) that address issues of diversity, including where the statements are published. Describe how the institution's written statements are communicated directly to department of athletics staff, coaches and student-athletes.**

Measurable Standard No. 1

The institution must demonstrate how the institutions' and department of athletics' written commitment and expectations related to diversity are communicated directly to department of athletics staff, coaches and student-athletes.

UMass Lowell's 2020 Strategic Plan includes five Pillars of Excellence, including the following:

Global Engagement and Inclusive Culture

Dynamic, global collaborations around the world support student and faculty exchanges, research and other entrepreneurial enterprises. These initiatives will contribute to the development of an inclusive campus culture.

In addition, the Department of Athletics' strategic plan identifies its five essential values as follows:

- **Respect** We represent character, courage and respect, and use these traits to build a foundation of trust and inclusiveness.
- **Innovation** We embrace entrepreneurship and innovation to boost competitiveness and capitalize on diverse ideas.
- **Engagement** We embrace the opportunity to enrich the undergraduate experience through engagement on campus and in the community.
- **Collaboration** We emphasize generosity, sharing and openness.
- **Excellence** We will be accountable and provide the resources needed for coaches, staff and student-athletes to thrive and reach their full potential.

The themes of respect, engagement and collaboration form the foundation of a basic commitment to developing a diverse and inclusive environment in furtherance of university's goals to develop students into individuals who are work ready, life ready, world ready.

The university's five Pillars of Excellence and the values of the Department of Athletics are communicated to the university community as follows:

- The UMass Lowell 2020 Strategic Plan can be found on the university's website at <http://uml.edu/About/default.aspx>
- Upon hire, new Department of Athletics employees receive training about a variety of topics including the university's 2020 Strategic Plan and Pillars of Excellence.
- Placards that promote the university's Pillars of Excellence are posted in most campus buildings, including athletics facilities.
- The Department of Athletics mission, values and pledges are included in both staff and student-athlete handbooks and can found on the Department of Athletics website at http://www.goriverhawks.com/sports/2012/2/29/general_0229122551.aspx
- The annual fall student-athlete orientation and regularly scheduled athletic staff meetings include presentations about the Department of Athletics' mission, values and pledges.
- The chancellor annually sends an announcement sharing with the community the university's commitment to diversity and inclusion, providing information about the university's policies and procedures and reporting the progress towards its diversity and inclusion goals.

- All faculty and staff receive information regarding campus activities and special messages, including those promoting diversity and inclusion, via the daily UMass Lowell announcements as well via emails and the university's website.

3 Describe how matters concerning diversity issues for department of athletics staff, coaches, and student-athletes are monitored, evaluated and addressed on a continuing basis.

The director of athletics is designated by the chancellor as having primary responsibility for monitoring, evaluating and addressing matters related to the conduct of the athletics program, including matters related to diversity. The director of athletics works closely with the athletics leadership team to ensure diversity goals are achieved. The director of equal opportunity and outreach is included on all concerns related to diversity and plans for improvement are developed as needed.

Monitoring Diversity Issues

- Effective communication with student-athletes, coaches and Department of Athletics staff about university a goals relative to diversity and inclusion is the first step to ensuring diversity goals are achieved. This is done during student-athlete orientations, SAAC meetings, staff meetings and development workshops, and through a variety of university publications and announcements.
- Information relative to diversity issues and the overall work climate in the Department of Athletics is gathered through regular meetings with sport supervisors, staff surveys and annual performance evaluations.
- Program assessments and exit interviews of student-athletes are utilized to gather information about sports programs and the environment created for the student-athletes. The information is reviewed by the sport supervisors and the director of athletics and discussed with coaches and staff during annual evaluations.
- The IPP self-study process served to identify best practices with regard to obtaining and monitoring information to properly assess diversity-related matters.
- Athletic administrators share the responsibility to monitor day-to-day activities in the athletic department and ensure a commitment to diversity-related goals.

Evaluating & Addressing Diversity Issues

- UMass Lowell utilized the IPP self-study process to identify best practices with regard to gathering and evaluating diversity-related information.
- The Department of Athletics' various assessment tools – student-athlete program surveys, exit interviews, staff evaluations, annual service surveys, etc. enable concerns about all matters to be gathered and evaluated. Significant concerns related to diversity are shared

with the university's Office of Human Resources and Equal Opportunity and Outreach to develop plans for improvement when needed.

- SAAC meetings are utilized to evaluate and address a variety of matters related to the student-athlete experience, including issues related to diversity.
- If a climate issue is identified or if a specific student, employee or anyone interacting with the university appears to be affected by diversity- or inclusion-related issues/concerns, the Department of Athletics refers the matter to the university's director of equal opportunity and outreach to promptly review the matter. The university will stop, remedy and prevent future occurrences of any inappropriate behaviors related to issues of diversity and inclusion.

4 Describe the programs and activities the institution has in place for coaches, department of athletics staff and student-athletes that address diversity issues, including programs and activities designed to address the needs of the underrepresented groups or individuals of diverse backgrounds.

Measurable Standard No. 2

The institution must demonstrate that it provides programs and activities for coaches, department of athletics staff and student-athletes that address diversity issues, including programs and activities designed to address the needs of under-represented groups or individuals of diverse backgrounds.

The Office of Human Resources and Equal Opportunity and Outreach, in collaboration with other university offices and departments, such as Student Affairs, Multicultural Affairs and Athletics, provides diversity and inclusion programs and activities for the entire university community.

The Department of Athletics actively participates in and promotes the university's diversity and inclusion initiatives, programs, workshops and activities. Ongoing dialogue with staff and student-athletes highlight the essential role athletics can play to improve lives, strengthen communities and effect social change. Information about diversity-related programming is regularly included via university announcements and coaches, athletic staff and student-athletes are encouraged to participate in campus programs that highlight topics on diversity, cultural competency, multiculturalism and social justice. Specific programs and activities in athletics include:

- The university's Pillars of Excellence and the Department of Athletics' mission, values and pledges are discussed annually with coaches, staff and student-athletes at the annual student-athlete orientation held each fall and SAAC committee meetings.

- SAAC members who are selected to attend the annual America East Conference SAAC workshops benefit from discussions relative to diversity and inclusion.
- Staff development and student-athlete leadership workshops include diversity discussions about individuals who have used sports in a meaningful way to achieve this goal. Past workshops have included discussions about a variety of topics related to diversity, including:
 - Former South African President Nelson Mandela’s use of rugby as a means to avoid a civil war and unite a divided nation. The university also worked closely with the city of Lowell’s African American Alliance to dedicate a section of the campus to the life and memory of Mandela. The Nelson Mandela Overlook is located on the grounds of the primary athletics facility, the Tsongas Center, overlooking the Merrimack River. Athletics staff and student-athletes were involved in the dedication ceremony.
 - Jackie Robinson’s role in desegregating the sport of baseball.
 - The use of the films “Lincoln” and “Remember the Titans” as educational tools to teach student-athletes about diversity.

The following UMass Lowell departments also provide a wide variety of programs and activities addressing issues of diversity and inclusion, including:

- The Office of Multicultural Affairs (including Invisible Identity Dialogue Series, Heritage Awareness Month Programs, Diversity Peer Educators, community-based events, diversity trainings in classrooms and First Year Experience classes and more.);
- The Office of Student Activities and Leadership (including Welcome Week activities, STRIVE and SOAR Leadership, Women’s Leadership Retreat);
- Office of Residence Life (including resident adviser diversity training, Diversity and Social Justice Living Learning Community);
- Campus Recreation Center (including Student Inclusion team, Campus Sports Index);
- Office of Veteran Services;
- Student Disability Services (including Wheelchair Basketball, Disable the Label, workshops, panels)
- Academic Affairs;
- Initiatives from the Violence Prevention Coordinator;
- Wellness Center (Hawk Talk);
- International Students and Scholars Office.

The Department of Human Resources and Equal Opportunity and Outreach offers several diversity and inclusion workshops for faculty and staff, including:

- Search committee training;

- New employee orientation, which includes “Key Information for Employees” and “Responsible Employees Regarding Sexual Violence” and “Sexual Harassment Guide” available at: <https://www.uml.edu/HR/Equal/Equal-Opportunity>
- Quarterly Title IX workshops;
- Bystander awareness training;
- “Knowledge, Skills and Awareness: Develop Your Cultural Competence”;
- Develop Your Cultural Competence Lunch and Learn Session;
- Diversity and inclusion and LGBTQ employee resource groups.

5 Describe how the institution actively recruits department of athletics staff, coaches and student-athletes from underrepresented groups or diverse backgrounds including a description of actions and strategies taken to increase diversity.

Measurable Standard No. 3

The institution must demonstrate through actions and strategies how it actively recruits department of athletics staff, coaches, and student-athletes from underrepresented groups or diverse backgrounds from those currently represented in athletics.

Recruiting athletics staff and coaches

Search committees are established for all coaching and administrative positions. Search committee chairs and members are required to complete regular search committee workshops including information about best practices for attracting diverse qualified candidates and identification of strategies to enhance the diversity of applicant pools.

The Department of Athletics makes extensive efforts to ensure that pools of candidates for all open positions are strong and diverse. The athletics leadership team networks with colleagues and various professional organizations to promote open positions. In addition, search advisers from the Office of Human Resources and Equal Opportunity and Outreach collaborate with the search committees throughout the recruitment process for specific positions. Search advisers review the applicant pool for diversity and the recruitment strategy with the search chairperson and ensures the quality and diversity of the pool at various stages of the hiring process and, if needed, makes recommendations to enhance the pool. The search adviser also works closely with the search chairperson in developing diversity advertisement strategies and outreach.

In addition, positions are advertised on the NACDA website, the Black Coaches Association, the NCAA’s Marketplace website and the various other sport-specific and professional organizations that promote intercollegiate athletics. These include:

- NABC – National Association of Basketball Coaches

- WBCA – Women’s Basketball Coaches Association
- NAAC – National Association of Athletic Compliance
- NAAA – National Association of Academic Advisors for Athletics
- SWA – Senior Woman Administrator
- Other sport-specific and administrative organizations

All Athletics positions are also posted by Human Resources and Equal Opportunity and Outreach at:

- Higher Education Recruitment Consortium (HERC)
- Monster.com with Diversity/Veterans (reaches several diversity partnering sites)
- Bostonworks
- Lowell Sun
- Eagle-Tribune
- Military.com
- Hire Disability.com
- BlackPlanet.com/jobs
- AsianAve.com/jobs
- Giantmag.com, etc.
- Higheredjobs.com
- Insidehigher.com
- Latinosinhigher.com
- Diversity Higher Education

Recruiting Student-Athletes

The university’s decision to reclassify to Division I was made in part as a strategy to increase out-of-state and international enrollment to attract a more diverse student population. Recruiting points of emphasis:

- Student-athletes are recruited first and foremost on their potential to achieve both academic and athletic success.
- As UMass Lowell is located in the heart of the city of Lowell, its multicultural and urban environment is a key selling point in efforts to recruit students from diverse backgrounds.

The university also partners with community, national and global organizations known for their commitment to diversity and is has partnerships with more than 100 international higher education institutions to provide global educational opportunity programs for its students and faculty.

6 Describe institutional and department of athletics hiring practices to ensure the department of athletics demonstrates a commitment to diversity in hiring procedures

for department of athletics staff and coaches. Compare and explain any differences that exist between institutional hiring practices and department of athletics hiring practices. Please provide the date of your most recent assessment and comparison of the institution's and athletic department's hiring practices. Note: this assessment and comparison must occur at least once every five years.

Measurable Standard No. 3

The institution must conduct a thorough and written review of each of the 15-program areas for gender issues. Please see program area definitions located in the Gender, Diversity and Student-Athlete Well-Being attachment of the self-study instrument. If the institution identifies any deficiencies during this review, the deficiencies must be incorporated into the institution's gender-issues plan for improvement. If no deficiency exists, the institution must include a maintenance plan for each program area and action steps the institution will take if the program area(s) becomes inequitable in the future.

The review must:

Describe how the institution has ensured a complete study of each of the 15-program areas for gender issues. This study should be conducted as part of the self-study process. Please note that for the program area of accommodations of interests and abilities, the use of surveys alone does not constitute a complete study. If an institution chooses to use an interest survey (e.g., a Web survey or hard-copy survey) as one of its sources of data, the committee will require an explanation regarding the survey content, populations surveyed, the survey response rate, method used to interpret the data, and written evidence demonstrating the institution's Title IX coordinator has approved the survey. In addition, the institution must describe other methods of measuring interest and ability.

- a. Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the areas;*
- b. Using the data provided in (a) above, analyze and explain how the institution is meeting the needs of the underrepresented gender within the athletic program. Please note, any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis; and*
- c. Explain how the institution's written, stand-alone plan for gender issues addresses each of the 15-program areas, including any deficiencies identified in the institution's narrative response as listed above.*

Measurable Standard No. 4

The institution must provide evidence that an assessment and comparison of the institutions' and department of athletics' hiring practices has occurred at least once every five years.

The Department of Human Resources and Equal Opportunity and Outreach ensures that all hiring is conducted in a consistent manner across campus. Human and Resources and Equal

Opportunity and Outreach search advisers collaborate with the search committees throughout the recruitment process. The process is the same for all departments, including Athletics.

- Initial review of resumes against a matrix (qualifications and criteria outlined prior to application review);
- First round interviews (phone or in person, if applicable) – evaluation forms are submitted;
- Campus interviews – evaluation forms are submitted;
- Submitting recommendation/proposal for hire.

The latest comparison of the institution's and Department of Athletics' hiring practices was conducted in the fall 2015 semester as part of the IPP self-study process.

7 Describe institutional and department of athletics polices related to the use of outside firms (e.g., search firms) and truncated or expedited hiring processes. Describe the actual hiring practices used by your institution in the last ten years for any positions (e.g., coaches, staff) determined to be high profile at your institution.

Measurable Standard No. 5

The institution must demonstrate a commitment to diversity in all athletic department hiring efforts, including those involving outside firms (e.g., search firms) and truncated or expedited processes.

Currently, UMass Lowell engages search firms only for leadership or hard-to-fill positions. The university has been successful recruiting for benefited positions without the assistance of outside search firms.

The university's 2013 Division I financial plan called for a significant increase in the number of full-time coaches and athletic administrators, including a new level of senior staff members. In filling these and the head hockey coach positions, the decision was made to use a search firm. The search process led to an African America candidate being hired for the position of senior associate athletic director.

All other searches were conducted internally with the assistance of the search adviser from the university's Office of Human Resources and Equal Opportunity and Outreach. All searches including those conducted with the assistance of an external search firm are required to comply with the university's recruitment process. Of the new positions created, candidates of color were selected in the areas of compliance, athletic training, internal operations, as well as the head coach of women's basketball and several assistant coaching positions in both men's and women's basketball.

8 For the three most recent academic years, analyze and explain the data regarding the racial or ethnic composition for the following:

[Note: Use the supplied chart (Racial or Ethnic Composition of Personnel on Page No. 47) to compile the data requested in this self-study item.]

Please Chart 11 in the appendix

a. Full-time senior administrative department of athletics staff members (i.e., assistant director of athletics up through the director of athletics level);

Diversity among full-time senior administrative Department of Athletics staff members increased from zero percent to 31 percent over the three most recent academic years.

- In 2013, zero percent of the full-time senior administrative staff of the Department of Athletics was from a racial or ethnic minority group.
- In 2014, 13 percent of the full-time senior administrative staff from the Department of Athletics was from a racial or ethnic minority group.
- In 2015, 31 percent of the full-time senior administrative staff from the Department of Athletics was from a racial or ethnic minority group.

b. Other full- and part-time professional (i.e., nonclerical) department of athletics staff members (such as directors of operations, athletic trainers, ticket managers, academic support staff and facility managers, even if the position is not funded by or does not report to the department of athletics);

Diversity among other full- and part-time professional Department of Athletics staff members increased from zero percent to 9 percent over the three most recent academic years.

- In 2013, zero percent of the other full- and part-time professional staff of the Department of Athletics was from a racial or ethnic minority group.
- In 2014, 9 percent of the other full- and part-time professional staff from the Department of Athletics was from a racial or ethnic minority group.
- In 2015, 9 percent of the other full- and part-time professional staff from the Department of Athletics was from a racial or ethnic minority group.

c. Full- and part-time head coaches;

Diversity among full- and part-time head coaches decreased from 18 percent to 11 percent over the three most recent academic years.

- In 2013, 18 percent of the full- and part-time head coaches of the Department of Athletics were from a racial or ethnic minority group.

- In 2014, 19 percent of the full- and part-time head coaches from the Department of Athletics were from a racial or ethnic minority group.
- In 2015, 11 percent of the full- and part-time head coaches from the Department of Athletics were from a racial or ethnic minority group.

d. Full- and part-time assistant coaches (including graduate assistant and volunteer coaches);

Diversity among full- and part-time assistant coaches decreased from 17 percent to 13 percent over the three most recent academic years.

- In 2013, 17 percent of the full- and part-time assistant coaches of the Department of Athletics were from a racial or ethnic minority group.
- In 2014, 17 percent of the full- and part-time assistant coaches from the Department of Athletics were from a racial or ethnic minority group.
- In 2015, 13 percent of the full- and part-time assistant coaches from the Department of Athletics were from a racial or ethnic minority group.

e. Faculty-based athletics board or committee (e.g., faculty senate subcommittee on athletics, faculty athletics committee) members; and

The percentage of UMass Lowell students of a racially or ethnically diverse background is approximately 30 percent. It is the goal of the university for this figure to be matched when establishing university committees.

The Intercollegiate Athletics Council was established in March 2016 and the racial and ethnic composition is as follows: 78 percent white and 22 percent diverse.

f. Other advisory or policy-making group (e.g., governing board subcommittee for athletics, student-athlete advisory committee) members (if any).

UMass Lowell has demographic information for the Student Athletic Advisory Committee only for the past two academic years. Diversity among the SAAC members decreased from 20 percent to 16.6 percent over the two most recent academic years.

- In 2014, 20 percent of the SAAC members were from a racial or ethnic minority group.
- In 2015, 16.6 percent of the SAAC members were from a racial or ethnic minority group.

9 For the three most recent academic years, analyze and explain the data regarding the racial or ethnic composition for student-athletes who received athletic aid and for all students.

[Note: Use the supplied chart (Racial or Ethnic Composition of all Students on Page No. 48) to compile the data requested in this self-study item.]

Please see Chart 12 in the appendix

Between 2013 and 2015, the number of UMass Lowell student-athletes receiving aid has increased by 40 percent, from 183 students to 257 students. The number of racial/ethnic diverse student-athletes who received athletic aid has increased by 61 percent, from 33 to 53 students. The proportion of racially or ethnically diverse student-athletes receiving aid has increased from 18 percent in 2013 to 21 percent in 2015.

- In 2013, 18 percent of student-athletes who received aid were from a racial or ethnic minority group.
- In 2014, 18 percent of student-athletes who received aid were from a racial or ethnic minority group.
- In 2015, 21 percent of student-athletes who received aid were from a racial or ethnic minority group.

In relation to the student population:

- In 2013, 27 percent of students were from a racial or ethnic minority group.
- In 2014, 27 percent of students were from a racial or ethnic minority group.

In 2015, 27 percent of students were from a racial or ethnic minority group.

10 For the three most recent academic years, analyze and explain the data regarding the racial or ethnic composition of student-athletes who received athletic aid by the eight sport groups listed in the NCAA Federal Graduation Rates Report.

[Note: Use the supplied chart (Racial or Ethnic Composition of Student-Athletes by Sport Group on Page No. 49) to compile the data requested in this self-study item.]

Please see Chart 10 in the appendix

In men's baseball, the proportion of racial/ethnic diverse student-athletes receiving athletic aid showed no net change in the three most recent academic years.

- In 2013, 9 percent of student-athletes receiving athletic aid for men's baseball were from a racial or ethnic minority group.
- In 2014, 11 percent of student-athletes receiving athletic aid for men's baseball were from a racial or ethnic minority group.

- In 2015, 9 percent of student-athletes receiving athletic aid for men's baseball were from a racial or ethnic minority group.

In men's basketball, the proportion of racial/ethnic diverse student-athletes receiving athletic aid decreased from 60 percent to 46 percent in the three most recent academic years.

- In 2013, 60 percent of student-athletes receiving athletic aid for men's basketball were from a racial or ethnic minority group.
- In 2014, 67 percent of student-athletes receiving athletic aid for men's basketball were from a racial or ethnic minority group.
- In 2015, 46 percent of student-athletes receiving athletic aid for men's basketball were from a racial or ethnic minority group.

In men's track/cross country, the proportion of racial/ethnic diverse student-athletes receiving athletic aid decreased from 29 percent to 16 percent during the three most recent academic years.

- In 2013, 29 percent of the student-athletes receiving athletic aid for men's cross country were from a racial or ethnic minority group.
- In 2014, 13 percent of student-athletes receiving athletic aid for men's cross country were from a racial or ethnic minority group.
- In 2015, 16 percent of student-athletes receiving athletic aid for men's cross country were from a racial or ethnic minority group.

For men's other sports/mixed sports, the proportion of racial/ethnic diverse students-athletes receiving athletic aid increased from 5 percent to 20 percent in the three most recent academic years.

- In 2013, 5 percent of student-athletes receiving athletic aid for men's other sports/mixed sports were from a racial or ethnic minority group.
- In 2014, 13 percent of student-athletes receiving athletic aid for men's other sports/mixed sports were from a racial or ethnic minority group.
- In 2015, 20 percent of student-athletes receiving athletic aid for men's other sports/mixed sports were from a racial or ethnic minority group.

In women's basketball, the proportion of racial/ethnic diverse student-athletes receiving athletic aid increased from 42 percent to 64 percent for the three most recent academic years.

- In 2013, 42 percent of student-athletes receiving athletic aid for women's basketball were from a racial or ethnic minority group.
- In 2014, 54 percent of student-athletes receiving athletic aid for women's basketball were from a racial or ethnic minority group.
- In 2015, 64 percent of student-athletes receiving athletic aid for women's basketball were from a racial or ethnic minority group.

For women's track/cross country, the proportion of racial/ethnic diverse student-athletes receiving athletic aid decreased from 25 percent to 7 percent in the three most recent academic years.

- In 2013, 25 percent of the student-athletes receiving athletic aid for women's track/cross country were from a racial or ethnic minority group.
- In 2014, 5 percent of student-athletes receiving athletic aid for women's track/cross country were from a racial or ethnic minority group.
- In 2015, 7 percent of student-athletes receiving athletic aid for women's track/cross country were from a racial or ethnic minority group.

For women's other sports, the proportion of racial/ethnic diverse student-athletes receiving athletic aid increased from 10 percent to 24 percent in the three most recent academic years.

- In 2013, 10 percent of student-athletes receiving athletic aid for women's other sports were from a racial or ethnic minority group.
- In 2014, 15 percent of student-athletes receiving athletic aid for women's other sports were from a racial or ethnic minority group.
- In 2015, 24 percent of student-athletes receiving athletic aid for women's other sports were from a racial or ethnic minority group.

11 Using the program areas for diversity issues provided on Page No. 57:

a. Describe how the institution has ensured a complete study of each of the four program areas. This study must be conducted as part of the self-study process;

The university established a Global Engagement and Inclusion Committee as part of its UMass Lowell 2020 Strategic Plan. This committee is charged with assisting in the development of diversity strategies for the university. Sandra Niedergall, the SWA/deputy Title IX coordinator and a member of the Department of Athletics leadership team has joined the committee and will participate in the assessment and development of the institution's diversity strategies and implementation of these strategies in the department. The Global Engagement and Inclusion Committee has held focus group discussions on the topic of diversity and inclusion for employees and students. Future discussions will be held and the results will serve to inform the university's diversity and inclusion strategies, including the development of policies, programs and outreach efforts.

The IPP self-study process also served as a vehicle to assess the institution's efforts regarding diversity with regard to student-athletes, athletic staff and coaches. Following are the four program areas reviewed by the Diversity Subcommittee:

1. **Assessment** – Assessment of Department of Athletics activities to evaluate consistency with objectives set forth in the institutions’ and Department of Athletics’ written diversity statements and assessment of campus diversity climate through evaluation of various campus constituencies using the four diversity program areas.
2. **Retention** – Programs and services to address retention and acclimation of diverse staff, coaches and student-athletes and review of retention and promotion of staff and coaches who are members of underrepresented groups, including professional development opportunities (e.g., mentoring programs), compensation, duration of contracts, conditions relating to contract renewal.
3. **Partnerships** – Collaboration and integration between Department of Athletics and other institutional units or external organizations to enhance diversity efforts in programs, activities and services.
4. **Participation in governance and decision-making** – Involvement of Department of Athletics staff, coaches and student-athletes from underrepresented groups or diverse backgrounds in the governance and decision-making processes of the Department of Athletics; provision of leadership opportunities for all student-athletes (e.g. participation on student-athlete advisory committee); and Department of Athletics staff and coaches (e.g. participation at the conference and/or national level.)

Assessment

As part of the self-study, the IPP Diversity Subcommittee reviewed the October 2015 update of the UMass Lowell 2020 Strategic Plan for indications of university progress in the area of diversity and inclusiveness. The subcommittee also reviewed the university’s and Department of Athletics’ written statements and goals relative to diversity.

In addition, the subcommittee examined the organizational structure of the Department of Athletics with regard to the monitoring of day-to-day operations to ensure oversight is sufficient to encourage pursuit of university goals relative to diversity and inclusion. Sport supervisors are charged with providing oversight over diversity issues relating to staff, coaches and student-athletes within the department. These individuals monitor the recruitment of staff, coaches and student-athletes. Sports supervisors gather information from student-athlete and staff surveys, exit interviews and staff evaluations. Using this information, sports supervisors recommend policies and procedures for continual improvement in the department’s efforts to promote a fair, diverse and safe environment for its student-athletes. Sports supervisors are also responsible for collaborating with departments across campus to ensure the Student-Athlete Handbook and Student-Athlete

Code of Conduct complements and is in line with the university's Student Code of Conduct.

Finally, during the past year the university's Global Engagement and Inclusion Committee initiated several student focus groups to discuss diversity and inclusion in order to ascertain students' views and concerns about diversity and the campus climate. This committee will continue to hold focus groups for students and employees during the spring of 2016.

Retention

The Diversity Subcommittee conducted a thorough review of retention data, professional development opportunities for coaches and athletic staff members and worked with Human Resources to examine terms of employment and promotional opportunities.

Partnerships

In order to analyze the involvement of the Department of Athletics in diversity-related initiatives, the Diversity Subcommittee obtained information from numerous campus constituencies, including the Office of Student Activities and Leadership, Office of Multicultural Affairs, the Office of Human Resources and Equal Opportunity and Outreach and multi-cultural and spiritual-based student-run organizations.

Participation in governance and decision-making

The subcommittee reviewed the current structure of the Department of Athletics to determine the level of involvement of student-athletes in the governance and decision-making process. Athletics staff development agendas were reviewed to determine the level of engagement on matters related to diversity.

b. Provide data demonstrating the institutions' status and commitment across each of the four areas;

Data that demonstrates the university's commitment to diversity issues across the four programs is detailed here:

Assessment

The IPP self-study process served as an effective vehicle to thoroughly assess all matters related to diversity. Throughout this process, the Diversity Subcommittee utilized staff and student-athlete surveys, exit interviews and performance evaluations to gather information needed to assess its status with regard to diversity and the campus climate.

The following is a sample of exit survey questions and responses collected in 2014-15:

- “On a scale of 1 to 5 with 5 being ‘strongly agree,’ please rank the following: ‘My head coach is committed to recruiting people from diverse backgrounds.’
 - The average rating for this question was a 4.2 (one N/A).
- “The Athletic Department encouraged all student-athletes to participate in diversity-related programs on campus.”
 - The average rating for this question was 3.44.
- “The Athletic Department offered diversity-related programs and support services in the area of diversity education (e.g. race, class, disabilities, and sexual orientation).”
 - The average rating for this question was 3.72.

The Diversity Issues Plan includes a number of action steps to address diversity and the campus climate. The plan will serve as a roadmap to address areas of concern as identified by the data collected through this self-study.

Retention

Responses to Self-Study Items Nos. 8 and 9 were utilized to inform discussions related to retention. The following data demonstrates the university’s commitment to retention of student-athletes from diverse backgrounds:

- The university established diversity and inclusion as a strategic priority, which has resulted in an increase in enrollment by students from diverse backgrounds since fall 2007.
- One-year retention and six-year graduation rates have improved dramatically for many student minority groups, greatly closing any achievement gaps. The university’s equal opportunity and outreach staff engages in ongoing discussions with academic and administrative leaders to address retention concerns and develop strategies to continue the upward swing.
- Over the past eight-year period, UMass Lowell has seen significant increases in the diversity of students, as well as student performance and degrees granted to students from underrepresented backgrounds.
- Programs, activities and leadership opportunities for student-athletes, through the SAAC, membership on the IAC and in NCAA and America East Conference programming, will continue to expand.
- Increasing diversity and promotion of an inclusive culture will continue to be a focus of the athletics program, as indicated in strategic planning and day-to-day operations.

Partnerships

The Diversity Subcommittee examined the current level of engagement between the Department of Athletics and both internal and external partners and found that:

- In filling the large number of new positions as part of the Division I reclassification, the Department of Athletics worked closely with the university's Office of Human Resources and Equal Opportunity and Outreach to ensure a consistent hiring process, including thorough searches that promoted consideration from diverse pools of candidates. In addition, practices and policies that align with the university's affirmative action plan were implemented.
- The Department of Athletics staff has the opportunity to participate in workshops, presented by the Global Engagement and Inclusive Culture Committee, to promote the development of cultural competence and managing effective searches to ensure high-quality and diverse candidate pools.
- The Department of Athletics collaborates with the Division of Student Affairs on a wide variety of student promotions, leadership development and activities that promote a culture of diversity and inclusion.
- The Department of Athletics is active in the Network of Health Educators to further efforts in promoting health and wellbeing and diversity of all students.
- The Department of Athletics participates in the university's "Invisible Identity Series" to increase awareness of many less recognized and underrepresented cultures that exist on campus.
- The Department of Athletics is committed to participating in the campus Ally Space training.
- The Department of Athletics participates in Starfish, the early warning system, and refers to STARS - the Behavioral Intervention team.

Participation in governance and decision-making

Student-athletes from underrepresented backgrounds will continue to be exposed to campus leadership opportunities by:

- Serving on the SAAC and as well as search committees;
- As members of campus-wide committees;
- Active participation in various campus clubs and organizations.

Coaches and Athletics staff will also continue to serve on campus-wide committees.

- c. Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes and staff with diverse racial, ethnic and other backgrounds (any differences should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis); and**

As indicated previously in this document, the university's decision to reclassify to Division I was made as part of an overall campus goal to increase enrollment, broaden institutional visibility, heighten the vitality of campus life and expand student diversity. The activities, practice and efforts of the Department of Athletics are in alignment with these strategic initiatives. Review of data studied by the Diversity Subcommittee indicates a strong trend of increased retention and graduation rates of minority student-athletes, more closely aligned with the general student body. The number of student-athletes receiving aid has increased by 59.9 percent. The number of racial/ethnic diverse student-athletes receiving aid has increased by 67 percent. In addition to attracting a more diverse student-athlete population, the significant increase in full-time positions helped to increase diversity among coaches and administrative staff.

- d. Explain how the institution's written, stand-alone plan for diversity issues addresses each of the four areas, including any deficiencies identified in the institution's narrative response as listed in item (c) above.**

Assessment

The Department of Athletics' Diversity Issues Plan requires that data be regularly collected from coaches, staff and student-athletes and reviewed by the department's leadership team to ensure progress meeting diversity goals. In addition, the university's Global Engagement and Inclusion Committee will include the Department of Athletics in the development, implementation and assessment of campus-wide diversity strategies.

Retention

The Department of Athletics leadership team has identified the retention of quality and diverse coaches, staff and student-athletes as a primary measure of success for the athletics program. The Diversity Issues Plan calls for new professional development initiatives and the continued exposure of underrepresented groups to leadership and decision-making opportunities.

Partnerships

The Department of Athletics will collaborate with the university's Global Engagement and Inclusive Culture planning commission and the Office of Human Resources and Equal Opportunity and Outreach to continue to promote the university's commitment to diversity and inclusive campus culture. In addition, the Department of Athletics will collaborate with the Office of Student Activities and Leadership to implement the Victory Academy leadership-development program.

Participation in Governance and Decision Making

The Department of Athletics will continue to have a voice on the Global Engagement and Inclusion Planning Committee through the senior woman administrator, Sandra Niedergall. Additionally, information gathered annually from minority student-athletes who serve on various departmental and university committees will assist the Department of Athletics with ongoing evaluation of the diversity-issues plan, and strategies for improvement will be developed as needed.

Measurable Standard No. 6

The institution must conduct a thorough and written review of each of the four program areas for diversity issues. Please see program area definitions located in the Gender and Diversity and Student-Athlete Well-Being attachment of the self-study instrument. If the institution identifies any deficiencies during this review, the deficiencies must be incorporated into the institution's diversity issues plan for improvement. If no deficiency exists, the institution must include a maintenance plan for each program area and action steps the institution will take if the program area(s) becomes inequitable in the future.

Measurable Standard No. 7

The review must:

- a. *Describe how the institution has ensured a complete study of each of the four program areas for diversity issues. This study should be conducted as part of the self-study process;*

Please note that for the program area of assessment, the use of student-athlete exit interviews alone does not constitute a complete assessment for purposes of the self-study. An institution may choose to include student-athlete exit interviews as part of a broader assessment conducted, but the institution must ensure that an assessment of the entire department of athletics has been conducted with respect to diversity issues.

- b. *Provide data demonstrating the institution's status and commitment, including resource allocation, across each of the areas;*
- c. *Using the data provided in (b) above, analyze and explain how the institution is meeting the needs of its student-athletes, coaches, and athletic department staff with diverse racial, ethnic and other backgrounds. Please note, any deficiencies should be clearly explained in the institution's narrative response, including any deficiencies the institution identifies in its analysis; and*
- d. *Explain how the institution's written, stand-alone plan for diversity issues addresses each of the four program areas, including any deficiencies identified in the institution's narrative response as listed in (c) above.*

Measurable Standard No. 8

The institution must develop a five-year written, stand-alone plan addressing diversity issues that maintains an institution's conformity or moves an institution into conformity with the operating principle.

- 12** Using the “plan for improvement” section, provide an institutional diversity-issues plan that addresses all four aforementioned program areas for the department of athletics. The plan must include all required elements of a plan as noted by the committee (see Appendix B). If a deficiency does not exist in a program area(s), the institution must include an evaluation mechanism to maintain the institution’s status in that program area(s) and action steps the institution will take if the program area(s) becomes inequitable in the future. Finally, the institution must describe how it will review its plan on an annual basis and include this information in the institution’s diversity-issues plan.

Within gender-issues and diversity-issues written plans, specific numerical targets may place an institution at legal risk and are not expected in an institution’s written plan, particularly as it relates to hiring practices. Institutions may develop plans that have broad, flexible non-numeric hiring goals. As it relates to the program areas, including but not limited to participation rates and budget increases, specific numerical targets may be appropriate.

See Appendix G for UMass Lowell’s Diversity Issues Plan.

Measurable Standard No. 8

The institution must develop a five-year written, stand-alone plan addressing diversity issues that maintains an institution's conformity or moves an institution into conformity with the operating principle.

- 13** Describe how the institution will periodically compare its diversity-issues plan with its assessment of the campus diversity climate (see Program Area No. 1) using the four diversity program areas to determine if the course of action is still appropriate. Further, provide the names and titles of the individuals who will be responsible for this review.

At UMass Lowell, diversity and inclusion goals align with the university’s 2020 Strategic Plan, of which global engagement and inclusive culture is one of the five Pillars of Excellence. The Global Engagement and Inclusive Culture Planning Commission is comprised of administrators, faculty and staff whose focus is to make an assessment of the current climate and to make recommendations for the diversity plan based on campus best practices while enhancing and

strengthening diversity and inclusion at all levels of the university.

In February 2015, the planning commission launched a number of student-targeted focus groups to ascertain and gather a more comprehensive understanding on student perceptions on campus climate, attitudes and sense of belonging. This initiative will continue into the 2015-16 academic year with faculty/staff focus sessions to be added. The data provided by these focus groups will inform current recommendations for the university's diversity plan to develop more inclusive programs, policies, services, curriculum and facilities, especially towards the recruitment and retention of diverse students, faculty, staff and coaches across campus. This assessment will also serve as an informative marker to illustrate the concerns, needs as well as areas that are working well with the hopeful progression towards a campus climate survey in the near future. The Department of Athletics will have a representative on this commission to serve as a liaison. Additionally, the data collected from regularly administered Department of Athletics surveys will be utilized to ensure all four program areas – assessment, retention, partnerships and governance and decision-making – are evaluated so the diversity issues plan can be adjusted as needed.

Individuals responsible for the evaluation and comparison will include the Global Engagement and Inclusive Culture Planning Commission and the Community Engagement and Focus Groups Subcommittee members: Dean of Fine Arts, Humanities and Social Sciences Luis Falcon; Equal Opportunity and Outreach Director Clara Orlando; Dean of Student Affairs and University Events Brenda Evans; Director of Employment Services Ruby Carnevale; Director of Multicultural Affairs Leslie Wong; Associate Chair for Graduate Affairs Prof. Alkim Akyurtlu. In addition, Director of Athletics Dana Skinner, Senior Associate Athletic Director/ SWA Sandra Niedergall and the Department of Athletics leadership team will be responsible for evaluating and making adjustments to the diversity issues plan when needed.

Measurable Standard No. 9

The institution's plan must be active at all times and include a mechanism to ensure the plan is reviewed on annual basis to determine if the course of action is still appropriate. This information must be included in the institution's diversity- issues plan.

Measurable Standard No. 10

The institution must compare its diversity-issues plan with its written assessment of the campus diversity climate (see Program Area No. 1) at least once every four years, to determine if the course of action is still appropriate.

14 Describe the institution’s efforts to ensure the diversity-issues plan for improvement was developed through a process involving broad-based campus participation and has received formal institutional approval. Further, please identify the length (e.g., five years) of this plan, including the specific years this plan will be active.

As explained in Self-Study Item No. 13, the university has developed, in line with the 2020 Strategic Plan, a Global Engagement and Inclusive Culture Commission comprised of administrators, faculty and staff whose focus is to make an assessment of the current climate and to make recommendations for the diversity plan based on campus best practices while enhancing and strengthening diversity and inclusion at all levels of the university. In February 2015, the Planning Commission launched a number of student-targeted focus groups to ascertain and gather a more comprehensive understanding on student perceptions on campus climate, attitudes and sense of belonging.

The Department of Athletics, in conjunction with the university, will identify a committee, such as the Intercollegiate Athletic Council or a separate diversity and inclusion subcommittee, to monitor the implementation of the Diversity Issues Plan. This plan is designed to be implemented over the next five years, ensuring that the Department of Athletics’ hiring practices are strengthened. Continuing to build partnerships with various departments across campus and with the America East Conference, infusing our mission of diversity and inclusion within the student handbook, as well as continuing to identify perspectives missing in the dialogue and canvas for input during decision-making processes are ways to ensure fidelity of this diversity plan.

Gender/Diversity Issues and Student-Athlete Well-Being

Operating Principle 3.3 Student-Athlete Well-Being

Conducting the intercollegiate athletic program in a manner designed to protect and enhance the physical and educational well-being of student-athletes is a basic principle of the Association.

Consistent with this fundamental principle, the institution shall:

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

Self-Study Items for Operating Principle 3.3

1 Please submit an electronic copy of the student-athlete exit-interview instrument with the submission of your self-study report.

Measurable Standard No. 1

The institution's instrument used to conduct student-athlete exit interviews must contain questions related to the following: (Note: Institutions should note the list of examples below is not an exhaustive list and institutions are not limited to addressing only those provided.)

- a. *The institution's commitment to the academic success of its student-athletes (e.g., academic support services available, priority registration for classes, coaches' support).*
- b. *The institution's commitment to opportunities for student-athletes to integrate into campus life.*
- c. *The institution's efforts to measure the extent of time demands encountered by student-athletes.*
- d. *The institution's efforts to measure the effectiveness of the institution's mechanisms to monitor time demands of its student-athletes (e.g., travel commitments, missed class time, final exam schedules, and summer vacation periods).*
- e. *The institution's efforts to measure the effectiveness of the institution's NCAA Division I Student-Athlete Advisory Committee (SAAC).*
- f. *The institution's commitment to informing student-athletes about the NCAA Special Assistance Fund and NCAA Student-Athlete Opportunity Fund.*
- g. *The institution's efforts to measure the effectiveness of the institution's mechanisms (e.g., annual surveys, exit-interview process) to monitor the well-being of its student-athletes.*
- h. *The institution's commitment to the physical, psychological and emotional health (e.g., athletic training, nutrition, counseling) of student-athletes.*
- i. *The institution's commitment to the safety (e.g., travel policies, emergency medical plans) of student-athletes.*
- j. *The institution's commitment to a safe and inclusive environment for all student-athletes.*
- k. *The institution's commitment to diversity.*
- l. *The value of student-athletes' athletics experience.*
- m. *The opportunity for student-athletes to suggest proposed changes in intercollegiate athletics.*
- n. *The opportunity for student-athletes to express concerns related to the administration of the sport(s) in which student-athletes participate.*

Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

Student-athlete exit interviews are used to measure the university's success and identify ways to continually improve the student-athlete experience. The student-athlete exit questionnaire was updated in fall 2015 to address standards listed above. See Appendix I for UMass Lowell's student-athlete exit interview questionnaire.

2 Describe the methods used to conduct student-athlete exit interviews. Further, describe the process used to evaluate and implement outcomes.

Measurable Standard No. 2

The institution must demonstrate that it conducts exit interviews via in-person meetings and/or conference calls in each sport with a sample of student-athletes (as determined by the institution) whose eligibility has expired in accordance with NCAA Constitution 6.3.2. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

UMass Lowell conducts voluntary exit interviews of student-athletes who graduate, transfer to another institution or leave the university prior to completing their degree or athletic eligibility. These exit interviews are designed to gather accurate information regarding the student-athlete's overall experience at the university. By tracking the outcomes of exit interviews over time, we are able to identify trends and patterns with respect to:

- University and community environment;
- Day-to-day challenges facing student-athletes;
- Style, leadership and effectiveness of coaches;
- Student-athlete well-being issues;
- Academic offerings and resources.

Student-athlete exit interviews are coordinated by sport supervisors and include a confidential written questionnaire and a face-to-face interview. The exit interview is not an evaluation of the student-athlete's performance, nor is it an opportunity for departmental staff to defend the university. Student-athletes are informed that participation in the exit interview process is entirely voluntary and that the process is intended to improve the student-athlete experience.

Following conclusion of the exit-interview process, sport supervisors review results with the Department of Athletics leadership team to determine whether action is warranted. Aggregate results are also presented to the Intercollegiate Athletics Council (IAC) for discussion about the student-athlete experience.

In addition, the Department of Athletics leadership team annually reviews the information-gathering process for effectiveness and to identify opportunities for improvement.

3 Describe opportunities other than the student-athlete exit-interview process that are available to student-athletes to provide input regarding student-athlete well-being issues (e.g., student-athlete advisory committee; open-door policy of athletics administrators, including the director of athletics, senior woman administrator, and/or faculty athletics representative).

Obtaining input directly from student-athletes is essential to ensuring a positive and productive experience for all members of the intercollegiate athletic program. Sport supervisors, the faculty athletics representative (FAR), director of athletics, senior woman administrator and other administrative personnel are introduced to the student-athletes at the annual fall orientation. Student-athletes are informed by the director of athletics that they have unlimited access to coaches, sport supervisors, the FAR and the athletic director and are encouraged to engage in dialogue on all issues that affect their well-being as student-athletes. The FAR and sport supervisors also meet with each team to explain their roles within the athletics program. The athletic director meets at the beginning of each academic year with the president of the SAAC and attends many SAAC meetings during the year.

All athletics administrators are encouraged to have an open-door policy for student-athletes. They also often attend practices and games, and visit with student-athletes in the sports performance, sports medicine and academic centers. Other opportunities for student-athletes to provide input regarding well-being issues include:

- *Student-athlete program assessments* – Under the direction of the sport supervisor, program assessments are administered to all student-athletes annually. The assessments are completed online and information obtained is kept anonymous.
- *Representation on committees* – Student-athlete representatives are included on most Department of Athletics committees as well as the IPP self-study subcommittees, the Intercollegiate Athletics Council and on many occasions, as members of search committees coaches.
- *Student-Athlete Advisory Council (SAAC)* – The SAAC serves as the collective voice on various issues for all student-athletes and as means of communicating directly with the Department of Athletics leadership team. SAAC membership consists of two elected representatives from each of the department's 18 varsity sports. The SAAC has five executive board positions – president, vice president, finance officer, SAAC liaison and public relations officer. SAAC meetings are conducted monthly with subcommittee meetings held more regularly.

4 Describe the department of athletics written grievance and/or appeals procedures available to student-athletes in areas mandated by NCAA legislation (i.e., financial aid and transfers). Also, provide the name(s) and title(s) of the individual(s) responsible for overseeing the administration of these grievance and/or appeals procedures. Describe the means by which these grievance and/or appeals procedures are directly communicated in writing to department of athletics staff members, coaches and student-athletes.

Measurable Standard No. 3

The institution must have established written grievance and/or appeals procedures for areas mandated by NCAA legislation (i.e., financial aid [in accordance with NCAA Division I Bylaw 15.3.2.3] and transfers [in accordance with Bylaws 13.02.1, 13.1.1.3, 13.1.1.3.1, 14.5.5.2.10 and 14.5.5.2.10.1]). Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

Measurable Standard No. 4

The institution must demonstrate that grievance and/or appeals procedures for areas mandated by NCAA legislation (i.e., financial aid [in accordance with NCAA Division I Bylaw 15.3.2.4] and transfers [in accordance with Bylaws 13.02.1, 13.1.1.3, 13.1.1.3.1, 14.5.5.2.10 and 14.5.5.2.10.1]) are directly communicated in writing (e.g., provide hard copy of document, provide Web link via e-mail) to department of athletics staff members, coaches and student-athletes. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

To comply with NCAA legislation and institutional guidelines with regard to financial aid and transfer issues, UMass Lowell ensures that student-athletes are provided an appeals process related to these issues.

Appeals Related to Financial Aid Status

Notification of Financial Aid Status

At the conclusion of each academic year, the senior associate athletic director for compliance/SWA meets with each head coach. All student-athletes receiving athletic aid are reviewed and evaluated to determine if their athletic financial aid will be reduced, renewed, increased or terminated for the following year. All athletic financial aid decisions are documented on the team decision form and submitted to the senior associate director of financial aid programs and athletics. If athletic financial aid is renewed or increased, the student-athlete is notified and must sign a financial aid athletic agreement agreeing to the decision for the following year. If the aid is reduced or terminated, the student-athlete will be notified as follows:

Cancellation or Reduction of Athletic Financial Aid

In the event that an athletic financial aid award for a student-athlete is cancelled or reduced, the Financial Aid Office will send a written notification to the student, both through the student's university email account and in a letter sent to their permanent home address. This letter further informs the student-athlete of his/her right to request a hearing regarding their financial aid status. Such written request for a hearing must be made personally by the student-athlete, and not a third party, within 10 calendar days following the student's receipt of notice from the Financial Aid Office.

Hearing Process Timeline

No later than five business days prior to the hearing, the student-athlete and a representative of the Department of Athletics must provide the chairperson of the Athletic Financial Aid Appeals Committee with a written statement indicating the student-athlete's position regarding the change in scholarship status, documents or exhibits to be presented at the hearing, the names of witnesses to be called and a description of the relevancy of the witnesses to the hearing. The hearing will occur as soon as reasonably possible, but no later than 30 calendar days following receipt of the student-athlete's written request for the hearing.

Athletic Financial Aid Appeals Committee

The Athletic Financial Aid Appeals Committee consists of staff members outside the Department of Athletics. This committee is chaired by the associate dean of enrollment/director of financial aid and includes four additional voting members: the assistant dean of student affairs, associate registrar, associate director of admissions and senior associate director of financial aid programs and athletics. A non-voting member from the Department of Athletics, a non-coach, is also a member of the committee and must be present during hearings. When necessary, substitute committee members are designated by the associate dean of enrollment/director of financial aid.

Athletic Financial Aid Appeals Committee Decision

Following the presentation of evidence and testimony, members of the Athletic Financial Aid Appeals Committee deliberate in closed session and deliberations are confidential unless disclosure is required by law. In making its decision, the committee weighs both the interests and responsibilities of the student-athlete and the Department of Athletics. The Athletic Financial Aid Appeals Committee has final authority to affirm or overturn any canceled, reduced or non-renewed athletic financial aid. A majority decision is required.

Within 10 business days after the hearing, the chairperson of the committee transmits a written copy of the decision to the student-athlete, athletic director, senior woman administrator and head coach of the student-athlete.

Individuals Responsible to Administer Financial Aid Appeals

- Joyce McLaughlin, chairwoman and associate dean of enrollment/director of financial aid
- Longino Alex Gonzalez, senior associate director of financial aid programs and athletics
- Edward Seero – associate director of admissions
- Lauren Dufresne, associate registrar for registration and academic records
- Mary Connelly, assistant dean of students

Communication Regarding Appeals Process Related to Financial Aid Status

Policies relative to financial aid awards and grievance/appeals processes are published in the Athletic Department Student Handbook, the Athletic Department Staff Handbook and on the Department of Athletics website, www.goriverhawks.com.

Appeals Related to Transfer Status

Notification of Transfer Out/One-Time Transfer Exception

When the Compliance Office is notified that a student-athlete at UMass Lowell is requesting permission to contact another institution for the purposes of transferring, the Compliance Office must respond to the student-athlete's written request within 14 calendar days. The Compliance Office's first step is to contact the head coach for input regarding the student-athlete's request.

If the head coach agrees with the request, the Compliance Office sends an email to the director of athletics, compliance officer and the appropriate head coach at the other institution, granting permission to contact the student-athlete. If the UMass Lowell head coach does not agree with the request for the student-athlete to contact another institution, then a meeting is held with the head coach, sport administrator and director of athletics to discuss the reason for the denial.

If the coach's decision is upheld by the director of athletics or if the institution chooses to object to the one-time transfer exception, the student-athlete is entitled to a hearing to determine if the student-athlete's request to contact another institution or desire to use the one-time transfer exception shall be granted.

Transfer/One-Time Exception Hearing Process

- Once the Compliance Office notifies the student-athlete in writing of his/her right to appeal the Department of Athletics' decision to deny the request to contact another institution or to use the one-time transfer exception, the student-athlete is given 10 calendar days from the date of the notice to formally appeal.
- The student-athlete's right to appeal must be made in writing. All documents, including the written statement of appeal and all supporting documentation, must be submitted at this time. In addition, the written appeal must be made only by the student-athlete.

- The appeals committee will convene a hearing and provide written results of the hearing to the student-athlete within 30 calendar days after receiving the student-athlete's appeal request.
- If the appeals committee fails to conduct the hearing and/or provide the written results within the 30 calendar days, permission to contact the student-athlete shall be granted by default.
- The student-athlete and a representative of the Department of Athletics will be the only individuals to meet with the appeals committee but they will not appear before the committee at the same time.
- The written results of the appeals committee will be final and no additional appeal process can be made.

Individuals Responsible to Administer Appeals Related to Transfer Status

- Athletic Financial Aid Appeals Committee, Joyce McLaughlin, Chair and Associate Dean of Enrollment/Director of Financial Aid
- Financial Aid, Longino Alex Gonzalez, Senior Associate Director of Financial Aid Programs and Athletics
- Edward Seero, Associate Director-Admissions
- Lauren Dufresne, Associate Registrar and Academic Records
- Mary Connelly, Assistant Dean of Students

Communication Regarding Appeals Process Related to Transfer Status

Policies appeals processes relative to transfer status are published in the *Athletic Department Student Handbook*, the *Athletic Department Staff Handbook*, and on the Department of Athletics website.

- 5 Describe the institution's written grievance and/or appeals procedures available to student-athletes in other areas (e.g., harassment, hazing, abusive behavior, discrimination). Also, provide the name(s) and title(s) of the individual(s) responsible for overseeing the administration of these grievance and/or appeals procedures. Describe the means by which these grievance and/or appeals procedures are directly communicated in writing to department of athletics staff members, coaches and student-athletes.**

Measurable Standard No. 5

The institution must have established written grievance and/or appeals procedures for other areas not mandated by NCAA legislation (e.g., harassment, problems with coaches, hazing, abusive behavior). Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

Measurable Standard No. 6

The institution must demonstrate that all grievance and/or appeals procedures for other areas not mandated by NCAA legislation (e.g., harassment, problems with coaches, hazing, abusive behavior) are directly communicated in writing (e.g., provide hard copy of document, provide Web link via e-mail) to department of athletics staff members, coaches and student-athletes. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

The University of Massachusetts Lowell is committed to fostering a safe, welcoming and inclusive learning environment. Under federal and state laws, all students are protected from discrimination based on race, color, religion, national origin, disability, gender (including sexual harassment), age, and sexual orientation, marital or veteran status. Individuals who feel they have been discriminated against based upon any of these areas are directed to the Office of Human Resources and Equal Opportunity and Outreach (EEO).

Policies relative to behavioral standards and grievance procedures are published in the student-athlete handbook, the Department of Athletics staff handbook, and on the Department of Athletics website. In addition, the university student conduct code can be found at <http://www.uml.edu/student-services/StudentConduct/Student-Conduct-Code.aspx>.

Any member of the university community or any aggrieved member of the neighborhood community may notify the Division of Student Affairs of violations of the university's Student Conduct Code. The complaint is evaluated by the director of student conduct to determine if further action is appropriate. Ann Ciaraldi, associate dean of student affairs for compliance/violence prevention, and Bohdan Zaryckyj, director of student conduct, are responsible for overseeing procedures relative to enforcement and grievances or appeals related to the university's Student Code of Conduct. Individuals responsible for overseeing procedures relative to enforcement and grievances or appeals related to the Student-Athlete Code of Conduct include Dana Skinner, director of athletics; Sandra Niedergall, senior associate athletic director for compliance/SWA; Peter Casey, deputy athletic director; and Clara Orlando, director of equal opportunity and outreach and Title IX coordinator.

References

- Student-Athlete Handbook
- <http://www.goriverhawks.com/documents/2015/5/7/1516SAhandbook.pdf>
- University Student Conduct Code (<http://www.uml.edu/student-services/Student-Conduct/Student-Conduct-Code.aspx>)
- http://www.uml.edu/docs/Final%20Code%204-1-15_tcm18-109870.pdf
- Hazing Policy (Appendix A of Student Conduct code attached)

6 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.

University efforts to support the LGBTQ community and to provide greater campus awareness and ongoing education about LGBTQ issues are coordinated through Ally Space, the Office of Multicultural Affairs and the Office of Human Resources and Equal Opportunity and Outreach. The following are examples of educational and support programs offered at UMass Lowell to promote awareness and ongoing education about LGBTQ issues:

- *Ally Space* – is an educational initiative designed to help promote a safe and healthy campus environment for all students and staff, regardless of sexual orientation, gender identity or gender expression. Students, faculty and staff are encouraged to participate in training sessions to become campus trainers, advocates and allies. Three departments, housed under the Division of Student Affairs and University Events (Residence Life, Student Activities and Leadership, and Multicultural Affairs) provide training year-round, as well as events during Coming Out; Coming Together, which honors National Coming Out Month in October; and Trans Awareness Week in November.
- *Coming Out, Coming Together and Trans Awareness Week* – programs are part of the Office of Multicultural Affairs’ Heritage Awareness Monthly line of events. Events are hosted by the Multicultural Programming Committee (MPC), which consists of more than 10 university departments (including Career Services and Co-operative Education Center, Office of Student Activities and Leadership, Office of Residence Life, International Students and Scholars Office, campus ministries, Dean of Students Office, etc.) working collaboratively to increase equity and inclusion on campus.
- *PRIDE Alliance* – is a student organization supported by Ally Space members and the Division of Student Affairs. Opportunities such as the LGBTQ Pop-Up Lounge, a monthly visible presence on campus, provide a safe space for individuals to walk-in, gather information and resources, and connect with others in the LGBTQ community. Queer Chat is a dialogue opportunity that is also provided to LGBTQ students on a host of topics.
- *You Can Play* - The America East Conference teamed with the You Can Play Project (<http://youcanplayproject.org/>), which has as its goal ensuring equality, respect and safety for all student-athletes regardless of orientation. All conference schools are encouraged to support You Can Play initiatives and participate by hosting You Can Play promotional nights, posting signs and banners, wearing game-day patches on uniforms and producing a campus-specific video featuring student-athletes, coaches, trainers and others who pledge acceptance and respect for LGBTQ athletes. For several years in a row, Ally Space, the Office of Multicultural Affairs and PRIDE Alliance have brought

awareness to campus through collaboration with the Department of Athletics' You Can Play campaign. UMass Lowell's You Can Play video may be found here: <https://www.youtube.com/watch?v=f-FLkMMdCpg>

- *LGBTQ Employee Resource Group (ERG)* – Newly formed in 2015 and housed within the Office of Human Resources and Equal Opportunity Outreach, LGBTQ ERG serves as a faculty and staff network that meets to create community and develop goals relative to supporting LGBTQ faculty and staff, while also providing a direct information flow to the Global Engagement and Inclusive Climate Committee that was appointed by the chancellor to address issues relative to diversity and inclusive culture at UMass Lowell. Since its inception, the LGBTQ ERG has made great strides in developing a governance model, mission and goals for the new academic year.

7 Describe the policies, organization and structure of the department of athletics and how it enhances student-athlete well-being. Further, describe the commitment of the institution to enhance the overall student-athlete educational experience including how issues are monitored, evaluated and addressed on a continuing basis.

While the director of athletics is ultimately responsible for ensuring a safe, positive and productive environment for the student-athletes, all Department of Athletics staff members play important roles in these efforts. The deputy athletic director, senior woman administrator (SWA), the associate athletic director for academics and student services and all sport supervisors have direct responsibility for oversight of the student-athlete experience. Communicating staff obligations and providing student-athletes with a clear understanding of behavioral expectations of all parties is the first step toward ensuring a high-quality experience for the participants.

Student-athletes' well-being is further enhanced through the following programs and activities:

- *Annual River Hawk Ready Orientation and Barbecue* – Student-athletes and Athletics staff members attend a welcome back orientation program and barbecue. The program includes discussion of important policies and procedures, academic and athletics expectations, introduction of Athletics staff and a leadership development component.
- *River Hawks Rising* – This program designed for each student-athlete to pursue the development of the complete student-athlete and is overseen by senior staff.
- *Intercollegiate Athletics Council (IAC)* – A subcommittee of the Intercollegiate Athletics Council reviews information annually regarding the student-athlete experience and provides input into plans for improvement. Two student-athletes serve as members of the IAC.
- *Student-Athlete Academic Services* - Athletic academic coordinators assist student-athletes with all aspects of the student-athlete experience. Each academic coordinator is assigned specific teams and they monitor academic progress throughout the year. The

coordinators provide tutoring options, learning assistance services and assist campus advisers in the course selection and scheduling process.

- *GradesFirst* – A web-based student performance monitoring system, GradesFirst provides automated student services and communication between faculty and academic advisers to monitor academic performance.
- *Annual Academic Team Meetings* - At the beginning of the school year, the academic coordinator for each team holds a meeting at which time student-athlete handbooks are distributed. The handbook incorporates a weekly planner and includes all current Department of Athletics policies pertaining to student-athletes. Academic policies are reviewed during this meeting and the faculty athletic representative (FAR) attends and explains his/her role to the student-athletes.
- *Leadership Development* - Academic coordinators work closely with an external organization, Victory Academy, to implement a broad range of student-athlete leadership development initiatives.
- *Student-Athlete Advisory Committee (SAAC)* – SAAC members are charged with the responsibility of representing their respective sports teams by serving as the collective voice for all student-athletes. Examples of past SAAC actions with regard to improving the quality of the student-athlete experience include addressing parking access for student-athletes, increasing sports performance training time slots, contributing to the campus decision to adjust course offerings to decrease conflicts with team travel schedules and working with the campus dining staff to ensure student-athletes have satisfactory access to meals on event days.
- *Strength and Conditioning/Sports Performance* – Sports performance coaches work with all student-athletes to maximize their potential mentally and athletically. This is done using multiple methodologies that keep all athletes progressing through their years in the program while reducing their injury potential. Each team is assigned a sports performance coach and each coach is responsible for no more than three teams.
- *Athletic Health Care* - The mission of the athletic health care department is to create an environment that allows health-care practitioners to successfully provide quality and equitable health care to all student-athletes. Health-care needs of student-athletes are divided into two categories: (a) Injury care, which is the prevention, care and rehabilitation of athletics injuries from on-field evaluation and emergency treatment through return to full activity; and (b) General Health Care, which includes physician referrals and treatment for illness, non-athletic injuries, drug/alcohol, nutrition and eating disorder counseling and other conditions. The department is comprised of four full-time certified athletic trainers, three certified athletic trainer interns, team physicians, ancillary medical providers and athletic training students. All athletic trainers are available to student-athletes during the day as a walk-in as well as by phone at any time.

In addition, monitoring and regular assessment is key to ensuring student-athlete well-being. This begins with sport supervisors and other Athletics administrators, who are responsible for knowing the student-athletes personally. They also gather information on an annual basis to ensure student-athlete needs are being met by conducting annual program assessments and exit interviews, completing administrative unit surveys to identify strengths and areas of improvement and annual evaluations of all coaches and staff members to ensure a commitment to providing a positive and productive experience for student-athletes. All information is reviewed annually by the Department of Athletics leadership team. In addition, this information is presented to the Intercollegiate Athletics Council for discussion. Plans for improvement are developed when needed.

8 Describe how student-athletes are involved in the governance and decision-making processes of the department of athletics, including the role of the student-athlete advisory committee (SAAC).

Measurable Standard No. 7

The institution must demonstrate that it has an active SAAC pursuant to Constitution 6.1.4. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

Student-athletes have long played an essential role in governance of the athletics program. The Student-Athlete Advisory Council (SAAC) provides the most effective means of direct involvement in the decision-making process. SAAC membership consists of a minimum of two representatives from each varsity athletic team and each executive board member is assigned a subcommittee in the areas of fundraising and special events, community service, public relations and student-athlete concerns. SAAC meetings are held monthly and subcommittees meet four times each semester. The general responsibilities of the SAAC are as follows:

- Provide input into the operational procedures that affect student-athletes;
- Develop strategies to better involve student-athletes in campus and community-related activities;
- Disseminate important information to the other members of their teams.

SAAC representatives have direct access to Department of Athletics administrators and members of the administrative staff serve as advisers for the four SAAC subcommittees. This advising role is intended to ensure full consideration of broader campus perspectives during discussions, to provide advice and direction when needed and to introduce other resources and faculty/staff so SAAC representatives can become better connected across campus. The director of athletics also routinely attends monthly SAAC meetings as his schedule allows. UMass Lowell's SAAC bylaws can be found in Appendix M.

SAAC members also serve as liaisons to the university's Student Government Association (SGA) and are represented at the conference level by the America East SAAC. Through the America East SAAC, all conference schools work together to develop community-service initiatives that serve to unite the conference. Conference SAAC representatives are responsible for disseminating conference and national information to UMass Lowell and other institutional members.

Student-athletes also provide input in governance and decision-making through participation in annual program assessments, exit interviews and surveys, which provide essential information about their experiences at UMass Lowell. The Department of Athletics leadership team annually reviews the information obtained through these processes and shares this with the Intercollegiate Athletics Council. This information may serve as the basis for improvement plans when needed.

- 9 List the department of athletics and/or other institutional programs in place that address the needs and issues affecting student-athletes (e.g., Life Skills program and/or programming involving career counseling, personal counseling, nutrition, diversity, gambling, alcohol and drug guidelines, sexual orientation, personal development, leadership). Further, describe the policies and procedures in place to encourage and ensure student-athletes' access to these programs.**

Measurable Standard No. 8

The institution must demonstrate that it has an active Life Skills program (or an equivalent program) pursuant to NCAA legislation with programming to address nonacademic areas (e.g., career counseling, personal counseling, nutrition, diversity, gambling, alcohol and drug guidelines, sexual orientation, personal development, leadership). Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the self-study process.

The America East Conference mission slogan, "Building the Complete Student-Athlete," effectively captures the essence of member institutions' values regarding athletics and the student-athlete experience. The initiative is built upon three pillars – academic achievement, leadership on and off the field and athletic excellence. UMass Lowell is fully committed to these values and has implemented life-skills programming that complements the conference initiative and ensures that student-athletes are developing to their full potential.

The following are some examples of life-skills programs and activities offered to student-athletes at UMass Lowell:

River Hawks Rising

River Hawks Rising is the Department of Athletics life-skills program, designed to provide a range of programming to develop leadership traits and a broad range of personal skills in student-athletes. River Hawks Rising sets an expectation for all young leaders to go back to their community, team or group and make others better. This expectation is referred to as “the exponential factor.” Components of River Hawks Rising include:

- *Academic Programming* – Provided in conjunction with the university’s Centers for Learning and Academic Support Services, the Student-Athlete Academic Success Center is the hub of the academic assistance program for student-athletes. Services include supervised small- and large-group study sessions, advising on matters related to class-scheduling, academic majors, tutoring and eligibility. Students with identified academic needs receive additional levels of support that include weekly meetings with an academic coordinator, grade/attendance monitoring throughout the semester, assistance in locating course-specific tutors as needed, referrals to campus academic support services if necessary and assistance with time management, test preparation and other study skills.
- *Personal Development Workshops* – Conducted to assist student-athletes with challenges related to personal fiscal management, balancing academic and athletic demands, nutrition and working in a diverse world.
- *Community Outreach* – The actions of UMass Lowell’s student-athletes are aligned with departmental values by providing opportunities to engage in community outreach that reflects high standards of personal responsibility. Programming is designed to ensure participants understand the importance of involvement in the lives of community youth and families and is responsive to the needs of the community. The following list provides a small sample of UMass Lowell’s community outreach activities:
 - TeamIMPACT is an initiative with a mission to improve the quality of life for children facing life-threatening and chronic illness by matching these children with college sports teams. TeamIMPACT children are “signed” onto the squad list, in effect, becoming official members of the team from signing day to graduation. UMass Lowell presently has 11 teams with TeamIMPACT children. Members of the SAAC organize the annual “Bowling for IMPACT” event at which team members and other UMass Lowell students participate in a bowling fundraiser to support TeamIMPACT activities.
 - The UMass Lowell baseball team is partnered with the American Heart Association in memory of a baseball student-athlete who passed away unexpectedly in 2011 from a heart condition. Each year, the baseball team raises donations and participates as “Adam’s Team” in the Boston Heart Walk, a six-mile walk that raises awareness and funds for the American Heart Association.

- Several UMass Lowell teams have partnered with “For the Love of the Game,” an organization with roots at UMass Lowell whose mission is to improve the quality of life for physically handicapped children through participation in sports.
- SAAC is also involved with all America East Conference community service initiatives. The current initiative is the “America East Food Frenzy,” which is a food drive designed to build unity within the conference. Three food drives are held throughout the year, one each during the fall, winter and spring sports seasons.
- *Leadership Development Programming* – Implemented during the 2015-16 academic year, this initiative includes workshops for team captains, graduating seniors and SAAC members. Programming is designed to strengthen each individual’s leadership traits and to teach them to understand how to navigate challenging situations and how best to inspire their teams to high performance.

Also available to student-athletes are the following university leadership programs:

- *Leadership in Motion* – Encourages membership and leadership in a wide variety of social, cultural and academic student organizations coupled with various personal and professional workshops, educational sessions, conferences and retreats. Leadership in Motion also provides a three-tiered curriculum to enhance student learning.
- *REACH*: Based on StrengthsQuest, this program was created for students interested in engaging with leadership ideas for the first time and involves primarily group sessions and reflection conversations.
- *STRIVE*: Focused on Kouzes and Posner’s Leadership Challenge, STRIVE is designed for intermediate student leaders and involves primarily group sessions and peer feedback.
- *SOAR*: Follows the servant leadership model, SOAR was developed for experienced student leaders and involves 1:1 coaching in addition to group work.
- *Career Development*
 - Workshops conducted by Victory Academy staff assist student-athletes in the preparation of resumes, the development of interviewing skills and networking.

Other campus services available to student-athletes include:

- *UMass Lowell’s Career Services and Co-operative Education Center* – The Career Services and Co-operative Education Center offers a range of services emphasizing both career development and employment recruiting. Through individual and group settings, students learn how to make informed career decisions combining self-awareness, career exploration, action planning, job-search tools and skills, and applied learning (co-op and internships). Specific services available to students and alumni include individual career

advising, resume and cover letter assistance, job search coaching, networking and interview preparation, and career exploration events. Numerous online resources are provided through the Career Services and Co-operative Education Center's website including the CareerLink jobs database, Focus 2, InterviewStream, CareerSpots video series and "What Can I Do with This Major?"

The Career Services and Co-operative Education Center coordinates with local and national companies to create employment (full-time, co-op, and internship) opportunities for UMass Lowell students. Employers post job opportunities to the CareerLink jobs database. Employers visit campus to conduct information sessions and interview days as well as participating in career fairs. Additionally, employers support career development activities by helping students directly through programs like Resume Makeover and Employer-in-Residence, as well as participating in panels and guest talks.

- *ProPath* – Students are eligible to enroll in this four-year career development curriculum outlining developmentally appropriate activities to aid in a student's career decision process.
- *Student Wellness Center* – All matriculated students have access to the Wellness Center, which offers counseling, disability services and health education within a single multidisciplinary suite. The Wellness Center has a strong relationship with the Department of Athletics and many direct referrals are made through this partnership.
- *Counseling Services* – Counseling Services is staffed by therapists with a minimum of a master's degree in some aspect of behavioral health and two staff members, including the director of counseling services, hold doctorates in this area. Staff from Counseling Services is available as consultants and referral sources for UMass Lowell faculty and staff. Counseling Services works in conjunction with the UMass Lowell Police Department, EMS and Office of Residence Life to handle after-hours crisis calls.
- *Disability Services* – Disability Services provides support to students who identify as having a disability, ranging from physical disabilities to learning disabilities, in accessing their educational opportunities at UMass Lowell. A comprehensive Disabilities Services Resource Guide is available in hard copy and electronically and outlines the process of requesting accommodations as well as providing a listing of resources on- and off-campus for students seeking support in meeting their goals of academic success.
- *Health Services* – Health Services is staffed by four full-time nurse practitioners, all of whom have master's degrees. The director holds a doctoral degree and the staff includes two registered nurses. The services of a consulting physician are engaged to assist in management of more complex cases. Health Services has the capacity to address a range of illnesses. Most commonly, students access services for complaints associated with colds, the flu, reproductive health, gastric distress, headaches, bumps and bruises, or any

sense of generalized ill health. Students in need of services after hours are able to access care at several local walk-in clinics.

- *Gambling Counseling* – Although it may not seem as destructive as the effects of drugs or alcohol, gambling can have a negative impact on many aspects of a student’s life, including family and relationships, finances and health. The following gambling policy is included in the student-athlete handbook and communicated through in student-athlete compliance meetings:

NCAA rules prohibit student-athlete from placing bets on any sporting event, collegiate or professional, in which the NCAA sponsors a championship. It is a violation of federal law to affect, or attempt to affect, the outcome of a collegiate contest. Additionally, it is not legal for anyone (student-athlete, coach, staff or booster) to provide information that can be used to bet on the outcome of a contest.

- *Student-Athlete Alcohol & Drug Education and Testing Policy* – Participation in intercollegiate athletics is determined to be a privilege that is accompanied by elevated expectations with regard to how student-athletes are viewed within the campus and local community. Students-athletes are considered role models and expected to maintain the highest levels with regard to fitness for athletic pursuits, academic focus and the ethical standards of sport. It is with this in mind that the university implemented an alcohol and drug education and testing policy. The Department of Athletics alcohol and drug policies can be found in Appendix L.

The overall goal of the UMass Lowell Drug Education and Testing Policy is to promote a year-round drug-free environment within the intercollegiate athletics program. Embedded within the overall goal are the following guiding objectives:

1. *Education* – To provide student-athletes with the knowledge and information regarding the use, misuse and abuse of alcohol and drugs.
 2. *Testing* – To detect the possible use of prohibited drugs that may be harmful to student-athletes in either the short or long term.
 3. *Rehabilitation* – To provide counseling and rehabilitative services to student-athletes who have been identified as drug users through the screening process. It is important to note that the UMass Lowell drug-testing program is separate from the NCAA-sponsored drug-testing program.
- *NCAA Drug Testing* - Drug testing is conducted in conjunction with all NCAA championship events at the site of competition. If a student-athlete tests positive, he/she will be automatically declared ineligible for one year from the date of the test, unless an appeal is made and granted by the NCAA, in which case the consequence may be a suspension from 50 percent of in-season competition.

- *UMass Lowell Drug Testing* - Any student-athlete appearing on an official squad list is subject to random drug testing at any point during a traditional or non-traditional season. Student-athletes may be tested for any combination of drugs listed on the NCAA banned substance list. Student-athletes who test positive will automatically be suspended from 10 percent of scheduled traditional season contests. A second positive test will result in a 50 percent suspension from traditional contests and a third positive will result in permanent suspension from intercollegiate athletics and a loss of any athletic grant-in-aid. This suspension policy is also applicable to student-athletes who violate campus policies with regard to alcohol consumption.

10 Describe how the department of athletics monitors student-athlete time demands, including travel commitments, missed class time, final exam schedules, summer vacation periods and intercession periods. Further, describe methods used to educate coaches and student-athletes about time demands and opportunities to integrate into campus life.

UMass Lowell is committed to closely monitoring the time commitments of student-athletes to ensure a positive and productive environment and enable student-athletes to maximize their development as a complete student-athlete. Issues related to missed class time are evaluated annually and reviewed with the Intercollegiate Athletics Council.

Monitoring of NCAA-Mandated Time Limits

The university utilizes the ARMS compliance software program to track time demands of student-athletes. Coaches are required to input into ARMS all countable athletics-related activity. The compliance office monitors the process by reviewing ARMS and speaking directly to student-athletes, athletic trainers and sports performance coaches to verify hours are accurate. Concerns are addressed to coaches and sport supervisors as needed.

Scheduling and Team Travel Commitments

Practices and games are scheduled in a manner that ensures student-athletes will have sufficient time to complete their academic coursework. Contest schedules are arranged by the coaches and staff of each sport in a way that provides the most equitable competition within the framework of the respective sport's budget and consistent with the philosophy of the Department of Athletics to avoid missed classes by student-athletes whenever possible. The following guidelines apply when coaches and sport supervisors develop team schedules:

- More home contests than away should be scheduled;
- Home/away arrangements are preferred, and in some cases, multi-year arrangements;
- Missed class time should always be minimized;

- Competitions should not be scheduled during final exams unless special exemptions are granted due to unavoidable conference scheduling.

Missed Class Time Policies

- UMass Lowell student-athletes are responsible to notify instructors before the end of the period for adding classes about any possible conflicts between scheduled class meetings, exams, or assignment due dates, and scheduled athletic contests, especially those involving team travel off campus. Student-athletes are responsible for completing all reading and acquiring all lecture notes and other material introduced in the class during their absence.
- UMass Lowell faculty are asked to offer reasonable accommodations for student-athletes when contest schedules require them to be absent from class or miss scheduled quizzes, exams or assignment due dates. The faculty member retains the right to make the final determination about course scheduling, academic requirements and assignment due dates.
- However, given that student-athletes represent the university when participating in competition away from campus, absence by a student-athlete resulting from his/her travel to or participation in a regularly scheduled intercollegiate athletics contest, about which the faculty member has been properly notified, shall not incur an academic penalty (i.e., lower grade), even when a portion of the grade in a course is based on attendance. This policy does not apply to laboratory sections or clinical sections.
- Except for absences resulting from travel to, or participation in, regularly scheduled intercollegiate athletics contests about which the instructor has been properly notified, UMass Lowell student-athletes shall have the responsibility to attend class, sit for exams and meet assignment due dates on the same schedule as other students enrolled in the same course and may be penalized for absences other than those resulting from such travel or participation.

More on these policies can be found at:

<http://www.uml.edu/Catalog/Undergraduate/Policies/Academic-Policies/Athletic-academic-policy.aspx>.

Final Exam Schedules

Each team's sport supervisor reviews the composite competition schedule before final approval. Careful consideration is given to any competition scheduled around and during the final exam period. If granted a special exemption, the appropriate academic coordinator is consulted and additional academic services are offered.

Summer Vacation and Intersession Periods

UMass Lowell has greatly expanded summer course offerings to meet student demand. All students are encouraged to take advantage of the additional offerings to maximize progress towards their degree.

With the exception of basketball, no sport is permitted to participate in any countable athletics-related activities during summer vacation. These activities are monitored by the compliance staff through random checks and conversations with the coaching staff. As for basketball, summer hours are documented through the compliance software system, ARMS. The compliance coordinator oversees the system and routinely meets with players to ensure its accuracy.

Should the student-athletes be involved in any athletics-related activity, the compliance staff will attempt to confirm these activities are done on a volunteer basis with no coach input or reporting procedure required. As for academic commitment in the summer, all student-athletes who want or need to take courses have access to the Student-Athlete Academic Center.

Regarding the intersession period between the fall and spring semesters, teams that are in-season or beginning their traditional segment prior to the start of the spring term are permitted to be on campus. The compliance staff will organize random checks at practice facilities. In addition, some student-athletes may select to enroll in an intersession course. Adherence to NCAA rules regarding no missed classes for practice is still in effect and the full range of academic services is available through the Student-Athlete Academic Center.

Communication about Time Demands

Coaches and student-athletes are informed about NCAA rules on time demands at annual team compliance meetings. In addition, student-athlete program assessments and exit interviews address time demands. Coaches are also informed about these policies and expectations during regular compliance workshops and the issue of time demands is discussed during annual evaluations.

Opportunities for Student-Athletes to Integrate into Campus Life

UMass Lowell believes that engaging in campus activities beyond athletics helps to balance the college experience for student-athletes and allows them to build a community outside of the athletics program. For this reason, as a general practice, student-athletes are admitted to the institution in the same manner as all other students, they attend regularly scheduled orientation programs, live in campus housing that is open to all students and eat in dining facilities that are available to all students. Student-athletes are held to the same standards with regard to academic advising and standing as are all students and utilize many of the same academic support services as the general student body. In addition, student-athletes utilize the same health, counseling and

career service areas as all students and are fully integrated into all academic courses with other students.

Additional examples of action steps to ensure student-athletes are integrated into the general student body include:

- Student-athletes are involved in campus organizations and activities and at times engage in community service projects with other student groups on campus;
- The Student-Athlete Advisory Committee elects annually an individual to serve as the liaison between the Student Government Association and SAAC in an effort to coordinate efforts and support the agendas of both organizations;
- Another member of SAAC serves on the campus dining committee to share student-athlete concerns with other students and staff on campus;
- SAAC members participate in campus-wide leadership development programs, which include day-long programming for top student leaders;
- Student-athletes are active members in campus honor societies, leadership organizations, academic clubs and intramural programs;
- Student-athletes are encouraged to join a fraternity or sorority, become part of the more than 250 student clubs and organizations on campus, work with the campus program board or participate in a myriad of events based on their academic, cultural or spiritual interests.

Communicating with Student-Athletes Regarding Broader Campus Engagement

Communicating the importance of campus engagement is accomplished in a number of ways:

- All student-athletes are encouraged by their coaches and administration to participate in campus life events, organizations and clubs;
- The fall student-athlete orientation and barbecue includes a presentation relative to broader campus opportunities;
- SAAC members serve on various student organizations and report back regarding campus events/activities;
- Student-athletes coordinate a number of outreach activities with student groups outside athletics.

11 Please submit an electronic copy of the department of athletics and/or institution's written travel policies to ensure the safety and well-being of student-athletes with the submission of your self-study report (e.g., road travel; air travel, including charter policies; driver selection; training; privately owned vehicles).

Consistent with the goal of providing a positive and productive experience for student-athletes, the university's travel policies are designed to protect the health and safety of student-athletes,

coaches, staff and other students. While detailed travel policies are provided in Appendix N, a summary is provided below:

- Team supervisors approve all schedules and budgets are determined based on these schedules. All team travel is approved during the budget process. A travel itinerary for each trip is prepared by the administrative assistant and distributed to a variety of individuals in Athletics as well as the University Police.
- As representatives of the university and the Department of Athletics, staff and student-athletes are expected to conduct themselves in a professional manner when traveling. Coaches are responsible for establishing and enforcing a dress code for their teams when traveling.
- *Mode of Transportation for Team Travel* - The mode of transportation is determined based on the distance traveled and must be approved by the sport supervisor. When choosing the mode of transportation, the following factors are considered: safety, impact on academic schedules, number of travel days, expense, distance and budget.
 - Air – Commercial airlines are an acceptable means of travel for athletic teams for competition more than 400 miles from campus.
 - Bus/Mini Bus – Buses may be used as transport to away venues, to hotels from airports and from hotels to playing venues.
 - Vans/Automobiles – Student-athletes may not drive other athletes as part of team travel. All drivers (such as managers and volunteer coaches) must have prior approval from the sport administrator before driving. Drivers must be at least 21 years of age and have a valid and approved driver's license.
- *Hotels* – As a general guideline, no more than two student-athletes may be assigned to a room, one per bed. Special circumstances may occasionally arise in which more than two to a room will be authorized.
- *Meals*
 - Meal per diem is \$24 for away games (\$5 for breakfast, \$7 for lunch and \$12 for dinner) and \$12 for home contests.
 - It is the responsibility of the coach to distribute meal money and ensure that all players, coaches and staff members sign a meal roster form when receiving per diem allowance. The university pre-paid travel card must be used for all arranged team meals.
 - Coaches have the option to provide a meal for the team at a restaurant, order sandwiches or make other arrangements.
- *Alcohol During Team Travel* – Alcohol is not to be possessed or consumed by any student-athlete, manager or student-trainer, regardless of age, during any university-sponsored travel for the purpose of athletics practice or competition. This restriction is in effect from the time of departure until the time of return and includes, but is not limited to, time spent in: (1) university, commercial or private carriers/vehicles; (2) hotels and

restaurants; and (3) athletics, commercial and/or private facilities. It is the responsibility of each head coach to fully acquaint his/her team members with this policy and to monitor policy adherence.

- *Non UMass Lowell Personnel Traveling with Team* – If a non-UMass Lowell employee is traveling with a team, they must have prior approval from the director of athletics or designee. Authorized passengers on Athletics buses, vans and cars must be persons who are: (1) members of the department’s official travel party (players, coaches, manager(s), trainer(s), sports information staff); (2) cheerleaders and student newspaper/radio station personnel when previously approved by the Athletics Business Office; and (3) departmental and/or university staff. Individuals who are not directly affiliated with the university may not travel on university vehicles.
- *Administrative and Recruiting Travel*
 - All employees are required to submit individual travel requests on the ARMS compliance software program for review and approval of the compliance and business offices.
 - Travel for visiting recruits must follow departmental guidelines.

12 Describe the annual evaluation of the department of athletics and/or institution’s travel policies to ensure these policies are effective. Further, describe how the travel policies are directly communicated in writing to department of athletics staff members and student-athletes and list the name and title of the administrator(s) responsible for oversight in this area.

Measurable Standard No. 9

The institution must have written travel policies that are annually evaluated for their effectiveness in protecting the health and providing a safe environment for student-athletes. Further, the administrator(s) responsible for annually evaluating travel policies must be identified and travel policies must be directly communicated in writing (e.g., provide hard copy of document, provide Web link via e-mail) to athletic department staff members, including coaches, and student-athletes.

The Department of Athletics reviews and adjusts travel policies on a regular basis to ensure safety and a positive experience for all travelers. Travel policies are communicated to all Athletics staff in writing through the Department of Athletics’ staff and student-athlete handbooks and additionally to staff via email and during staff meetings. Information regarding team travel experiences is obtained from student-athlete assessments and exit interviews, coach evaluations and administrative surveys.

The following Athletics administrators are responsible for travel oversight:

- Christina Stone, associate athletic director for business operations
- Sport supervisors

- Peter Casey, deputy director of athletics
- Sandra Niedergall, senior associate athletic director for compliance /SWA
- Alan Zebrak, associate athletic director for facilities and events
- Eric Allen, associate athletic director for corporate partnerships and ticketing.

13 Please submit an electronic copy of the department of athletics written emergency medical plan for practices, contests, strength training and skills sessions with the submission of your self- study report.

UMass Lowell’s emergency action plans (EAPs) are attached and include the following facilities:

- Cushing Field Complex for Track/Multipurpose Field;
- Costello Athletic Center;
- Costello Weight Room;
- LeLacheur Park;
- Mahoney Gym;
- Riverview Field;
- Tsongas Center.

14 Describe the annual evaluation of the department of athletics written emergency medical plan for practices, contests, strength training and skills sessions to ensure its effectiveness. Further, describe how the department of athletics written emergency medical plan for practices, contests, strength training and skills sessions is directly communicated in writing to department of athletics staff members and student-athletes and list the name and title of the administrator(s) responsible for oversight in this area.

Measurable Standard No. 10

The institution must have a written emergency medical plan for practices, contests, strength training and skills sessions. Further, the administrator(s) responsible for annually evaluating this emergency medical plan must be identified and the emergency medical plan must be directly communicated in writing (e.g., provide hard copy of document, provide Web link via e-mail) to athletic department staff members, including coaches, and student- athletes.

At the conclusion of each academic year, full-time athletic health-care staff members meet to review and update all written policies and procedures. Present staff members include:

- Artie Poitras, ATC, head athletic trainer
- TBD, assistant athletic trainer (position is presently open)
- Kristen Ribbons, ATC, assistant athletic trainer
- Ashley Rudolph, ATC, assistant athletic trainer

The review of EAPs includes assessing services provided by external health providers, team doctors, dentists and others. Changes and updates are made to reflect updates in protocol offered by the NATA and NCAA according to best practices. The review ensures the following:

- *EAPs are Current* - The EAPs are evaluated and updated annually by the sports medicine staff: Head Athletic Trainer Artie Poitras, Assistant Athletic Trainer Kristen Ribbons and head team physician, Dr. Mark Romanowsky. Annual updates include changes in facility, staffing, University Police policies, NATA policy and other details.
- *CPR and First Aid Certification is Current* – UMass Lowell, per NCAA guidelines, requires that all coaches (head and assistant) and strength coaches are certified in CPR and First Aid. All athletic trainers are required to read and know the venue-specific EAPs as well as the athletics health-care policies and procedures manual on an annual basis.
- *Effective Communication of EPAs to Staff and Student-Athletes* – The venue-specific EAPs are posted to the Department of Athletics website for Athletics personnel, student-athletes and coaches to access and review. The EAPs are also posted along with the AEDs for immediate reference during an emergency situation.

Following the review of EAPs, recommendations for improvement are submitted to the Department of Athletics leadership team. Approved changes are communicated to coaches, administrative staff and student-athletes by updating the athletics health-care manual, the departmental website, and the staff and student-athlete handbooks.

Staff, interns and student athletic trainers are required to read and review all policies and procedures prior to the start of the academic year. Policies are reviewed annually with all student-athletes at the initial meeting with their athletic trainer prior to the start of the season. In addition, all EAPs are posted in each athletic facility.

The administrator responsible for oversight and for the annual evaluation of the emergency action plans and athletics health-care policies is Artie Poitras, head athletic trainer, in conjunction with Associate Athletic Director for Facilities and Events Alan Zebrak.

Sport	In-Season Contest	In-Season Practice	Out-Season Contest	Out-Season Practice
Baseball	ATC on site	ATC on site	ATC on site	ATC on call
Softball	ATC on site	ATC on site	ATC on site	ATC on call
Women's Lacrosse	ATC on site	ATC on site	ATC on site	ATC on site
Men's Lacrosse	ATC on site	ATC on site	ATC on site	ATC on site
Men's Ice Hockey	ATC on site	ATC on site	N/A	ATC on site
Men's Basketball	ATC on site	ATC on site	N/A	ATC on call
Women's Basketball	ATC on site	ATC on site	N/A	ATC on call
Men's Soccer	ATC on site	ATC on site	ATC on site	ATC on site
Women's Soccer	ATC on site	ATC on site	ATC on site	ATC on site
Field Hockey	ATC on site	ATC on site	ATC on site	ATC on site
Volleyball	ATC on site	ATC on site	ATC on site	ATC on call
Men's Golf	ATC on call	ATC on call	ATC on call	ATC on call
M/W XC/T&F	ATC on site (home events)	ATC on site	ATC on call	ATC on call

15 Please submit an electronic copy of the department of athletics written emergency medical plan for out-of-season workouts with the submission of your self-study report.

UMass Lowell's emergency action plans (EAPs) for all venues are attached and include:

- Cushing Field Complex for Track/Multipurpose Field;
- Costello Athletic Center;
- Costello Weight Room;
- LeLacheur Park;
- Mahoney Gym;
- Riverview Field;
- Tsongas Center.

16 Describe the annual evaluation of the department of athletics written emergency medical plan for out-of-season workouts to ensure its effectiveness. Further, describe how the department of athletics written emergency medical plan for out-of-season workouts is directly communicated in writing to department of athletics staff members and student-athletes and list the name and title of the administrator(s) responsible for oversight in this area.

Measurable Standard No. 11

The institution must have a written emergency medical plan for out-of-season workouts. Further, the administrator(s) responsible for annually evaluating this emergency medical plan must be identified and the emergency medical plan must be directly communicated in writing (e.g., provide hard copy of document, provide Web link via e-mail) to athletic department staff members, including coaches, and student-athletes.

At the conclusion of each academic year, full-time athletics health-care staff members meet to review and update all written policies and procedures. Present staff members include:

- Artie Poitras, ATC, head athletic trainer
- Kristen Ribbons, ATC, assistant athletic trainer
- Ashley Rudolph, ATC, assistant athletic trainer
- *Open Position*, ATC, assistant athletic trainer

The review of EAPs includes assessing services provided by external health providers, team doctors, dentists and others. Changes and updates are made to reflect updates in protocol offered by the NATA and NCAA according to best practices.

The review ensures the following:

- *EPAs are Current* - The EAPs are evaluated and updated annually by the sports medicine staff: Head Athletic Trainer Artie Poitras, Assistant Athletic Trainer Kristen Ribbons and head team physician, Dr. Mark Romanowsky. Annual updates include changes in facility, staffing, University Police policies, NATA policy and other details.
- *CPR and First Aid Certification is Current* – UMass Lowell, per NCAA guidelines, requires that all coaches (head and assistant) and strength coaches are certified in CPR and First Aid. All athletic trainers are required to read and know the venue-specific EAPs as well as the athletics health-care policies and procedures manual on an annual basis.
- *Effective Communication of EAPs to Staff and Student-Athletes* – The venue-specific EAPs are posted to the Department of Athletics website for Athletics personnel, student-athletes and coaches to access and review. The EAPs are also posted along with the AEDs for immediate reference during an emergency situation.

Following the review of EAPs, recommendations for improvement are submitted to the Department of Athletics leadership team. Approved changes are communicated to coaches, administrative staff and student-athletes by updating the athletics health-care manual, the departmental website and the staff and student-athlete handbooks. In addition, all EAPs are posted in each athletic facility.

Staff, interns and student athletic trainers are required to read and review all policies and procedures prior to the start of the academic year. Policies are reviewed annually with all student-athletes at the initial meeting with their athletic trainer prior to the start of the season.

17 Please submit an electronic copy of the athletics department’s athletic training and sports medicine policies and procedures with the submission of your self-study report.

References:

- Physical Examination
- Insurance Coverage
- Insurance Procedures
- Prescription Drugs
- Heat and Cold Weather
- Lightning
- PED/Substance
- Drug, Alcohol, and Tobacco
- AED
- Concussion
- Sickle Cell
- Body Composition
- Summer Camps

18 Describe the annual evaluation of the department of athletics written athletic training and sports medicine policies and procedures. Further, describe how the department of athletics athletic training and sports medicine policies and procedures is directly communicated in writing to department of athletics staff members and student-athletes and list the name and title of the administrator(s) responsible for oversight in these areas.

Measurable Standard No. 12

The institution must have written athletic training and sports medicine policies that are reviewed annually. Further, the administrator(s) responsible for annually evaluating athletic training and sports medicine policies must be identified and the athletic training and sports medicine policies must be directly communicated in writing (e.g., provide hard copy of document, provide Web link via e-mail) to athletic department staff members, including coaches, and student-athletes.

At the conclusion of each academic year, full-time athletics health-care staff members meet to review and update all written policies and procedures. Present staff members include:

- Artie Poitras, ATC, head athletic trainer
- TBD, assistant athletic trainer (position is presently open)
- Kristen Ribbons, ATC, assistant athletic trainer
- Ashley Rudolph, ATC, assistant athletic trainer

The review includes an assessment of all athletics health-care services. Following the review, recommendations that reflect updates in protocol offered by the NATA and NCAA according to best practices are submitted to the Department of Athletics leadership team.

Approved changes are communicated to coaches, administrative staff and student-athletes by updating the athletics health-care manual, the departmental website and the staff and student-athlete handbooks. Staff, interns and student athletic trainers are required to read and review all policies and procedures prior to the start of the academic year. Policies are reviewed annually with all student-athletes at the initial meeting with their athletic trainer prior to the start of the season. In addition, all EAPs are posted in each athletic facility.

19 If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 3.3, describe the institution's efforts to ensure the plan(s) has received formal institutional approval.

Plans for improvement with regard to promotion of student-athlete well-being were an essential part of the IPP self-study process. Presently, all requirements have been met and a maintenance plan will be implemented.

Gender/Diversity Issues and Student-Athlete Well-Being

Appendices

- Appendix G: Gender Issues & Diversity Issues Plan
- Appendix H: Financial Analysis
- Appendix I: Student-Athlete Exit Interview
- Appendix J: UMass Lowell Grievance Policies and Procedures
- Appendix K: Renewal, Non-Renewal of Financial Aid
- Appendix L: Athletic Healthcare Policies & Procedures
- Appendix M: UMass Lowell SAAC Bylaws
- Appendix N: UMass Lowell Athletic Travel Policies
- Appendix O: UMass Lowell Hazing Policy

Charts/ Tables

- Chart 10: Racial or Ethnic Composition of Student-Athletes by Sport Group
- Chart 11: Racial or Ethnic Composition of Personnel
- Chart 12: Racial or Ethnic Composition of all Students
- Chart 13: Locker Room Data by Team



APPENDIX G

GENDER ISSUES PLAN

Program Areas	Elements			Areas	
	Issues	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
1. Accommodation of Interests and Abilities	Athletics participation rates are not in proportion to undergraduate enrollment rates.	<ul style="list-style-type: none"> Increase male student-athlete participant ratio. Increase campus undergraduate female enrollment. 	<p>Enrollment management is implementing aggressive strategies to enroll more female students.</p> <ul style="list-style-type: none"> Team rosters for men and women will be managed to improve the percentage of male participants. The Board of Trustees will be meeting in October, 2016 to conduct their final vote of approval for a newly established Bachelor of Arts in Education. This bachelor degree will be offered in the 2017 fall 	<p>Vice Chancellor for Enrollment Management</p> <p>Sport supervisors, SWA</p>	<p>Ongoing beginning FY2016</p> <p>Ongoing beginning FY2016</p>
2. Athletic Scholarship Aid	Athletic scholarship aid is awarded to female student-athletes at a level that exceeds their participation rate.	<ul style="list-style-type: none"> Award scholarship aid to male and female student-athletes in proportion to athletic participation rates. Identify new strategies to achieve equity. 	<p>Increase men's scholarship allocations utilizing generated revenues.</p> <p>Closely monitor distribution of scholarship aid to ensure equity.</p>	<p>Athletics leadership team, associate AD business, athletics advancement officer</p> <p>Deputy AD, SWA, enrollment management</p>	<p>Ongoing beginning FY2017</p> <p>Ongoing beginning FY2016</p>
3. Equipment and Supplies	No issues identified. Current maintenance plan will remain in place.	<ul style="list-style-type: none"> Continue to provide equipment & supplies to all programs as needed. Continue to provide allocations for men and women's programs in an equitable manner. 	<p>Closely monitor annual allocations for equipment & supplies.</p> <p>Ensure maintenance and replacement policies are in place and adhered to by all teams.</p>	<p>Associate. AD business, equipment manager</p> <p>Associate. AD business, equipment manager</p>	<p>Ongoing beginning FY2016</p> <p>Ongoing beginning FY2016</p>

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GENDER ISSUES PLAN

Program Areas	Elements		Areas		
	Issues	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
4. Scheduling of Contests and Practice Times	No issues identified. Current maintenance plan will remain in place.	Continue to provide equitable contest and practice times.	Continue to monitor contest & schedules to ensure equity.	Athletic leadership team, associate AD facilities.	Ongoing beginning FY2016
5. Travel Allowance	No issues identified. Current maintenance plan will remain in place.	Continue to ensure equal travel opportunities and resources are available for men and women.	<ul style="list-style-type: none"> Athletic leadership team will meet annually during budget process to review travel allowances and ensure resources are allocated equally. Develop out-of-country travel opportunities that are equitable for men and women. 	Athletic leadership team, associate AD business, sport supervisors	Ongoing beginning FY16
6. Academic Support Services	No issues identified. Current maintenance plan will remain in place.	Continue to maintain equitable academic support for all student-athletes.	Ensure large and small group study halls, academic tutors, advising, learning specialists, and all other resources are made available in an equitable manner.	Associate AD academics, deputy AD and SWA	Ongoing beginning FY2016
7. Coaches	No issues identified. Current maintenance plan will remain in place.	Continue to employ equitable number of head and assistant coaches in all sports and ensure salaries are competitive with conference and other peer institutions based on market-based factors, performance and level of experience.	<ul style="list-style-type: none"> Athletic leadership team will monitor annually. New hires will be monitored closely to ensure equity. 	Athletic leadership team, associate AD business, sport supervisors	Ongoing beginning FY16

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GENDER ISSUES PLAN

Program Areas	Elements			Areas	
	Issues	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
8. Locker Room, Practice and Competitive Facilities	<ul style="list-style-type: none"> Experience of softball student-athletes at Riverview Field does not match the experience of baseball student-athletes at LeLacheur Park. 	Improve facility for softball to ensure experiences for student-athletes that are equitable to baseball.	Continue renovation of Riverview Field to include adding lights and replacing the dugouts.	Athletic leadership team, associate AD facilities, associate vice chancellor facilities	Anticipated completion date - in FY18-20
	<ul style="list-style-type: none"> Men's and women's basketball locker rooms are below Division I standards. 	Improve locker rooms for men's and women's basketball.	<ul style="list-style-type: none"> Renovate game-day Tsongas Center basketball locker room for men and women. Renovate Costello practice locker rooms for men and women. 	Athletic leadership team, associate AD facilities, associate vice chancellor facilities	<ul style="list-style-type: none"> Anticipated completion date - FY17 Anticipated completion date - FY19
	<ul style="list-style-type: none"> Visiting team locker rooms for men and women is inequitable. 	Provide visiting team locker room facilities that are equitable.	Construct visiting team locker room for use by both men and women.	Athletic leadership team, associate AD facilities, associate vice chancellor facilities	Anticipated completion date - FY17
9. Medical and Training Facilities and Services	No issues of equity identified. Current maintenance plan will remain in place.	Continue to provide equitable facilities & services but expand sports performance facilities with generated revenues	Conduct feasibility study to expand sport performance center	Head Athletic Trainer, Assistant AD Sports Performance, Deputy AD	Ongoing beginning in FY16
10. Housing, Dining, Facilities and Services	No issues identified. Current maintenance plan will remain in place.	<ul style="list-style-type: none"> Continue to provide equitable meal plan options and resident hall assignments for all student-athletes. 	Closely monitor meal plans and resident hall assignments for student-athletes.	Senior women's administrator, associate AD sports performance	Ongoing beginning in FY16
		<ul style="list-style-type: none"> Work with Aramark and corporate partners to develop plan to enhance nutritious snack options. 	Continue to collect comparative data from peer institutions and obtain information from student-athletes to analyze food options.		

APPENDIX G

GENDER ISSUES PLAN

Program Areas	Elements		Areas		
	Issues	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
11. Publicity and Awards	<ul style="list-style-type: none"> Current maintenance plan will remain in place for all other aspects of this program area. 	Continue to provide equitable coverage, streaming of games, news releases, social media coverage and promotional activity for men's and women's teams.	<ul style="list-style-type: none"> Closely monitor communications staff assignments and team coverage to ensure equity. Ensure equity with regard to away-game travel. 	Associate AD communication, associate AD marketing	Upgrades begin in FY17 and continue until completed.
	<ul style="list-style-type: none"> Video streaming and television quality is not ESPN plug and play ready. 	Upgrade technology in facilities to ensure compliance with America East standards.	<ul style="list-style-type: none"> Annually track marketing materials to ensure equity. Work with ESPN to upgrade video capabilities. 	<ul style="list-style-type: none"> Associate AD communication, associate AD marketing Deputy AD, Assoc AD Communications 	Upgrades begin in FY17 and continue until completed. FY17
12. Support Services	<ul style="list-style-type: none"> Hockey lacks adequate administrative assistance. 	Ensure equitable administrative support for men and women's programs.	Add a full-time administrative assistant to be assigned to the hockey office at the Tsongas Center.	Deputy AD, Athletic Director	FY19
	<ul style="list-style-type: none"> Number of offices is insufficient to meet the needs of Division I staff. 	Increase available office space for coaches.	Develop facilities master plan that includes identifying new space and funding mechanism to construct new offices.	Deputy AD, associate AD facilities	Included in facilities master plan
13. Recruitment of Student-Athletes	Recruiting allocations for women are not equitable.	Provide equitable recruiting resources for both male and female programs.	Fully implement Division I 5-year financial plan.	Deputy AD, Senior women's administrator, associate AD business	FY16-18

APPENDIX G

GENDER ISSUES PLAN

Program Areas	Elements			Areas	
	Issues	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
14. Retention	No issues identified. Current maintenance plan will remain in place.	Meet University goals with regard to retention.	<ul style="list-style-type: none"> Establish retention goals for programs when needed. Closely monitor retention rates, APR, GSR and graduation rates to ensure goals are being met. 	Head coaches, Associate AD Academics, SWA/Compliance	Ongoing beginning FY15
15. Participation in Governance and Decision-Making	No issues identified. Current maintenance plan will remain in place.	Continue to provide opportunities for student-athletes to be represented in all facets of the athletics program.	Conduct thorough annual assessment of governance structure to ensure equitable opportunity and representation.	Intercollegiate Athletic Council, athletic leadership team	Ongoing beginning FY2016

APPENDIX G

DIVERSITY ISSUES PLAN

Elements			Steps		
Program Areas	Issue(s)	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
1. Assessment	<ul style="list-style-type: none"> The athletics department would benefit from gathering more extensive data related to the assessment of the effectiveness of its programs and activities for creating a diverse and inclusive environment. Diversity goals are not communicated sufficiently to 	<p>Continually review and assess the athletics department's Diversity Issues plan to determine the effectiveness of the measureable goals and steps taken identified in the diversity issues plan.</p> <ul style="list-style-type: none"> Ensure diversity goals are clearly communicated to coaches, staff and student-athletes. Continue to monitor all written materials to ensure diversity goals are clear and communicated to all. Ensure diversity goals are clearly communicated to coaches, staff and student-athletes. Continue to monitor all written materials to ensure diversity goals are clear and communicated effectively to all parties. 	<ul style="list-style-type: none"> The athletics leadership team will implement a periodic diversity/climate issues survey to staff and student-athletes. Review annually demographic data on coaches, staff and student-athletes. Progress on the Diversity Issues Plan will be presented to the IAC and SAAC for review and discussion. Annual assessments of Diversity Issues Plan will be included in the University's 2020 Strategic Plan Update. Closely monitor all materials to ensure diversity goals are included. Include a clearly delineated diversity & inclusion section in the student-athlete handbook and on the website that provides all readers necessary information and resources. Regularly present diversity goals at staff and student-athlete meetings and workshops. Make certain students & staff are aware of the options and offerings available to them on diversity and inclusion topics and actively engage in offerings. Make certain students & staff understand their options in raising concerns about diversity-related issues and available resources on campus. Sponsor events to celebrate or recognize diversity (ex. recognize diversity during games or events like during the Martin Luther King, Jr., Hispanic month, etc.) 	<p>SWA, Deputy AD</p> <p>SWA, Athletic Director</p> <p>SWA, Athletic Director</p> <p>Athletic Director, liaison to Global Engagement, Inclusion Planning Assoc. AD Communications/ athletics leadership team</p> <p>Athletic Director, Athletics leadership team</p> <p>SWA, Assoc. AD Academic Services</p> <p>SWA, Assoc. AD Academic Services</p> <p>SWA, Assoc. AD Academic Services</p>	<p>Ongoing beginning spring 2016</p> <p>Ongoing beginning spring 2016</p> <p>Ongoing beginning spring 2016</p> <p>Ongoing beginning spring 2016</p> <p>Ongoing beginning spring 2016</p> <p>Ongoing beginning spring 2015</p> <p>Ongoing beginning spring 2016</p> <p>Ongoing beginning spring 2016</p> <p>Ongoing beginning spring 2016</p>

APPENDIX G

DIVERSITY ISSUES PLAN

Elements			Steps		
Program Areas	Issue(s)	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
2. Retention	The athletic department's retention programs can be enhanced for greater effectiveness and impact.	<ul style="list-style-type: none"> Increase retention of diverse student-athletes, coaches and staff. Enhance retention programs for student-athletes, coaches and staff. 	<ul style="list-style-type: none"> Provide greater opportunities for student-athletes to achieve academic success and personal goal development through more individualized planning & coaching. Enhance support programs for diverse student-athletes. <p>Infuse diversity and inclusion tenets at all levels of the department including student-athlete and staff orientations, student-athlete and staff handbooks, and in other ways that help communicate the University and athletics department commitment to diversity and inclusion.</p>	<p>Head and assistant coaches</p> <p>Assoc. AD Academic Services</p> <p>Athletics leadership team</p>	<p>Ongoing beginning with the fall 2016 class</p> <p>Ongoing beginning with the fall 2015</p> <p>Ongoing beginning with the fall 2015</p>
3. Partnerships	The department of athletics would benefit from expanding its current partnerships and collaborative efforts in deepening its work around diversity and inclusion.	Further develop collaborations with various units across campus (OMA, HREOO, Ally Space, Disability Services, Veteran Services, Violence Prevention, Women in Work, International Students & Scholars, Student Activities & Leadership, and Residence Life in the development of opportunities for coaches and staff and programs for student-athletes.	<ul style="list-style-type: none"> Meet with various campus directors to map outreach efforts and programmatic activities for student-athletes. Meet with human resources and identify professional development opportunities for coaches and staff. Continue to partner with HREOO to develop best practices to develop hiring practices to attract diverse applicant pools. 	<p>SWA/Assoc. AD Academic Services</p> <p>Athletic Director, Deputy AD</p> <p>Athletic Director, Deputy AD</p>	<p>Ongoing beginning fall 2016</p> <p>Ongoing beginning fall 2016</p> <p>Ongoing beginning fall 2016</p>
4. Participation in Governance and Decision-Making	<ul style="list-style-type: none"> A higher percentage of minority student-athletes is needed in leadership positions. 	Increase the diversity of the SAAC and the IAC.	Meet with coaches to review possible SAAC members from each team with the goal to increase minority representation.	Academic counselor, SAAC liaison.	Ongoing beginning 2015

APPENDIX G

DIVERSITY ISSUES PLAN

Elements			Steps		
Program Areas	Issue(s)	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
	<ul style="list-style-type: none"> The athletics department would benefit from more effective communication and promotion of opportunities to student-athletes and staff for leadership development and participation in decision-making across campus. 	<ul style="list-style-type: none"> Increase the number of minority officers on the SAAC. Reach out to campus units outside athletics to better understand leadership opportunities for student-athletes Enhance leadership skills of underrepresented coaches and athletics' staff. Increase input from underrepresented coaches and staff in decision-making processes and policy implementation. 	<p>Identify ways to create organic and natural partnerships that enhance student-athletes ability to engage in SA offerings such as Ally Space, Diversity Peer Educators, Disable the Label, Invisible Identity Series, STRIVE/SOAR leadership, etc.</p> <p>Provide opportunities for student-athlete and intern mentoring, shadowing, outreach, and liaison work.</p> <p>Identify opportunities for underrepresented staff to participate, build content expertise and practice leadership skills in a variety of roles.</p>	<p>SWA, Assoc. AD Academic Services</p> <p>SWA, Athletic Leadership Team</p> <p>SWA, Athletic Leadership Team</p>	<p>Ongoing beginning 2015</p> <p>Ongoing beginning 2015</p> <p>Ongoing beginning 2015</p>
5. Recruiting and Staff Development	There is insufficient representation of underrepresented groups as student-athletes and athletic staff members.	<ul style="list-style-type: none"> Increase the number of minority coaches and staff members. 	<ul style="list-style-type: none"> Increase active recruitment of diverse employees through diversity organizations, conferences, connections and partnerships known for their commitment to diversity, among others. Expand professional networks to reach out to a more diverse pool of potential candidates for all open positions. Hold administrators and coaches accountable for diverse applicant pools, advancing diverse candidates, and recruiting diverse student-athletes, by developing relevant criteria in annual review. 	<p>Deputy AD, athletics leadership team, head coaches</p> <p>Athletic Director, Deputy AD, athletics leadership team, head coaches</p> <p>Athletic Director, Deputy AD, athletics leadership team, head coaches</p>	<p>Ongoing beginning fall 2015</p> <p>Ongoing beginning spring 2015</p> <p>Ongoing beginning fall 2015</p>

APPENDIX G

DIVERSITY ISSUES PLAN

Elements			Steps		
Program Areas	Issue(s)	Measurable Goals	Steps to Achieve Goal	Individuals Responsible for Implementation	Specific Timetable for Completing the Work
		<ul style="list-style-type: none"> Increase the number of minority student-athletes. 	<ul style="list-style-type: none"> Form diverse search committees that are educated on best practices and implicit bias for recruiting and retaining diverse students, faculty and staff. <p>Work with coaches to develop annual recruiting goals</p>	<p>Athletic Director, Deputy AD, athletics leadership team, head coaches</p> <p>Sport Supervisors</p>	<p>Ongoing beginning 2015</p> <p>Ongoing beginning 2015</p>

APPENDIX H

DIVERSITY ISSUES PLAN

Category	FY15			FY14			FY13		
	Men	Women	Admin	Men	Women	Admin	Men	Women*	Admin
1- Student Aid	2,209,527	1,698,802	-	1,513,685	1,196,675	-	1,061,909	673,820	-
2- Coaching Salaries	1,773,548	1,235,586	-	1,531,309	1,014,723	-	1,105,435	722,916	-
3- Coaching 3rd Party	-	-	-	-	-	-	-	-	-
4-Admin Salaries	232,421	49,564	3,403,192	171,604	12,482	2,510,286	153,364	15,443	1,440,076
5- Admin 3rd party	-	-	-	-	-	-	-	-	-
6- Recruiting	238,732	158,733	-	215,376	85,215	-	114,823	35,054	-
7- Team Travel	690,341	506,768	-	607,276	369,333	-	332,690	268,049	-
8- Equipment	444,512	250,702	-	493,188	203,533	-	372,158	97,528	90,389
9- Game Day	334,386	139,713	-	285,970	119,364	-	301,475	51,924	2,644
10- Marketing	-	-	271,936	-	-	284,569	-	-	76,249
11- Sports Camps	26,688	67,438	-	1,297	28,561	-	6,644	15,259	-
12- Medical	-	-	222,077	-	-	202,484	-	-	195,751
13- Membership/Dues	5,617	6,106	77,025	5,122	14,818	154,498	1,754	2,713	20,014
TOTAL	5,955,772	4,113,412	3,974,230	4,824,827	3,044,704	3,151,837	3,450,252	1,882,706	1,825,123
GRAND TOTAL	14,043,414			11,021,368			7,158,081		

**figures include D2 Crew/Rowing Team*

UNIVERSITY OF MASSACHUSETTS LOWELL
STUDENT-ATHLETE EXIT INTERVIEW

NCAA regulations require each Division I institution to offer an exit interview to student-athletes in all sports who will no longer be participants in the athletic program as a result of their graduation, exhausted eligibility, or inability to continue their participation due to transferring or removal from the team.

The purpose of the survey is to examine and improve the quality of life for student-athletes at UMass Lowell by gathering your opinion on a variety of aspects related to the student-athlete experience. The information collected helps the Athletic Department's efforts to review the strengths and areas of improvement of the current academic, campus, and athletic services offered.

All responses to this survey will be kept confidential. The content will be reviewed by the senior athletic leadership team. Thank you in advance for your time, honest opinions, and cooperation. Your feedback will assist us with enhancing programs and services for all UMass Lowell student-athletes.

Name: _____ Date: _____

Sport: _____ Years at UMass Lowell: _____

GENERAL INFORMATION:

1. Your first year as a student-athlete participant at UMass Lowell, were you: (Check all that apply)
 - recruited
 - a walk-on (not recruited)
 - a recipient of an athletics scholarship
 - a transfer to this institution

2. What race/ethnicity do you self-identify as: (Check all that apply)
 - American Indian/Alaskan Native
 - Asian
 - Black or African-American
 - Hispanic/Latino/a
 - Native Hawaiian/Pacific Islander
 - Non-resident (e.g., International)
 - White/Non-Hispanic
 - Other: _____

3. Rate your overall athletic experience at UMass Lowell. (Check One)
 - Excellent
 - Very Good
 - Good
 - Average
 - Below Average



APPENDIX I

STUDENT-ATHLETE EXIT INTERVIEW

4. Please select ONE MAIN REASON you came to UMass Lowell.
- Athletic scholarship
 - The coach
 - Reputation of institution
 - Reasonable cost/affordability
 - Location
 - Specific Academic Program
 - Recruiting Trip
 - Other: _____
5. Which of the following best describes your current financial-aid status as a student-athlete?
- Full athletic scholarship
 - Partial athletic scholarship
 - Academic scholarship
 - Athletics and academic scholarships
 - No scholarship of either type
6. In retrospect, would you say:
- your experience as a student-athlete did not meet your expectations.
 - your experience as a student-athlete met your expectations.
 - your experience as a student-athlete exceeded your expectations.
7. Do you believe that participation in athletics helped you:
- | | | | |
|-----------------|------------|----------------|------------|
| a. Academically | Often ____ | Sometimes ____ | Never ____ |
| b. Socially | Often ____ | Sometimes ____ | Never ____ |
| c. Physically | Often ____ | Sometimes ____ | Never ____ |
| d. Emotionally | Often ____ | Sometimes ____ | Never ____ |
8. To what extent would you say you achieved your athletic goal(s) at UMass Lowell?
- Very Much
 - Somewhat
 - Very Little
9. To what extent would you say you achieved your academic goal(s) at UMass Lowell?
- Very Much
 - Somewhat
 - Very Little



APPENDIX I

STUDENT-ATHLETE EXIT INTERVIEW

USE THE FOLLOWING SCALE FOR QUESTIONS 10-49

5	4	3	2	1	NA					
<i>Strongly Agree</i>	<i>Agree</i>	<i>Sometimes Agree</i>	<i>Disagree</i>	<i>Strongly Disagree</i>	<i>Not Applicable</i>					
10.	As a student-athlete, I felt integrated into other campus experiences outside of my sport/team (e.g. campus activities, student clubs, organizations).				5	4	3	2	1	NA
11.	My head coach is committed to recruiting student-athletes from diverse backgrounds.				5	4	3	2	1	NA
12.	The athletics department encouraged all student-athletes to participate in diversity-related programs on campus				5	4	3	2	1	NA
13.	The athletics department offered programs and support services in the area of diversity education (e.g., race, class, disabilities, sexual orientation).				5	4	3	2	1	NA
14.	The athletics department offered educational programs and opportunities for me to develop leadership and life skills.				5	4	3	2	1	NA
15.	I believe that men's and women's sports are treated equitably at UMass Lowell.				5	4	3	2	1	NA
16.	My needs in intercollegiate athletics were identified and met.				5	4	3	2	1	NA
17.	My academic needs were identified and met while at UMass Lowell.				5	4	3	2	1	NA
18.	I believe the University overall provides a welcoming, supportive and inclusive environment for all students, regardless of gender.				5	4	3	2	1	NA
19.	I believe the University overall provides a welcoming, supportive and inclusive environment for all students, regardless of race/ethnicity.				5	4	3	2	1	NA
20.	I was informed of NCAA, conference and institutional regulations.				5	4	3	2	1	NA
21.	I would have liked to receive more information on NCAA rules and regulations.				5	4	3	2	1	NA
22.	I felt pressure to participate in volunteer workouts from my coaches.				5	4	3	2	1	NA
23.	I felt pressure to participate in volunteer workouts from my teammates.				5	4	3	2	1	NA
24.	I believe that there is a drug or alcohol problem on my team specifically.				5	4	3	2	1	NA
25.	I believe that there is a drug or alcohol problem within the intercollegiate athletics culture at UMass Lowell.				5	4	3	2	1	NA
26.	<i>If you were a transfer student-athlete:</i> My overall athletic experience at UMass Lowell in comparison to my previous institution was significantly better.				5	4	3	2	1	NA
27.	Coaches were sensitive to the demands placed on me as a student-athlete.				5	4	3	2	1	NA
28.	I have respect for the manner in which my head coach led and directed the student-athletes on the team.				5	4	3	2	1	NA



APPENDIX I

STUDENT-ATHLETE EXIT INTERVIEW

29. I have respect for the manner in which my assistant coach(es) led and directed the student-athletes on the team.	5	4	3	2	1	NA
30. During my time as a student-athlete at UMass Lowell, my athletic skills improved significantly.	5	4	3	2	1	NA
31. My participation as a student-athlete improved my leadership skills.	5	4	3	2	1	NA
32. My SAAC (Student-Athlete Advisory Council) representative was a valuable resource for me and my teammates	5	4	3	2	1	NA
33. My coaches often used verbal encouragement and positive motivation.	5	4	3	2	1	NA
34. My coaches used positive language (e.g. no profanity) the majority of the time.	5	4	3	2	1	NA
35. My coaches didnot physically or mentally abuse student-athletes.	5	4	3	2	1	NA
36. The athletics department offered and encouraged opportunities for me to engage in community service.	5	4	3	2	1	NA
37. Team rules and conduct standards were clearly defined by coaches.	5	4	3	2	1	NA
38. Athletic performance expectations and goals were clearly defined by coaches.	5	4	3	2	1	NA
39. The playing facilities for my sport were safe.	5	4	3	2	1	NA
40. The playing facilities for my sport were in accordance with regulations.	5	4	3	2	1	NA
41. The practices facilities for my sport were safe.	5	4	3	2	1	NA
42. The practice facilities for my sport were in accordance with regulations.	5	4	3	2	1	NA
43. I was aware of emergency medical policies and procedures.	5	4	3	2	1	NA
44. The equipment issued to my team was in a safe condition.	5	4	3	2	1	NA
45. The equipment issued to my team was in accordance with regulations.	5	4	3	2	1	NA
46. The game uniforms were satisfactory.	5	4	3	2	1	NA
47. The practice clothing was satisfactory.	5	4	3	2	1	NA
48. I would make the same decision today to attend UMass Lowell.	5	4	3	2	1	NA
49. I would recommend a friend or relative being recruited from high school today, to attend UMass Lowell.	5	4	3	2	1	NA



APPENDIX I

STUDENT-ATHLETE EXIT INTERVIEW

USING THE SCALE BELOW, PLEASE RESPOND TO THE SERIES OF STATEMENTS BELOW.

5	4	3	2	1
<i>Excellent</i>	<i>Very Good</i>	<i>Average</i>	<i>Poor</i>	<i>Not Sure</i>

50. Please rate the following athletic department support personnel on their service provided to you:

a. Athletics Administration	5	4	3	2	1
b. Athletic Trainers	5	4	3	2	1
c. Team Physician(s)	5	4	3	2	1
d. Sports Performance (Strength & Conditioning)	5	4	3	2	1
e. Media Relations	5	4	3	2	1
f. Academic Support Services	5	4	3	2	1
g. Equipment/Issue room Manager	5	4	3	2	1
h. Marketing/Promotions personnel	5	4	3	2	1
i. Compliance Personnel	5	4	3	2	1
j. Faculty Athletic Representative (FAR)	5	4	3	2	1
k. Secretaries (Admin Assts.)	5	4	3	2	1

a.

5	4	3	2	1
<i>Excellent</i>	<i>Very Good</i>	<i>Average</i>	<i>Poor</i>	<i>Not Sure</i>

51. Please rate the following areas as they relate to your sport:

a. Locker rooms	5	4	3	2	1
b. Practice and competitive facilities	5	4	3	2	1
c. Sport Specific equipment	5	4	3	2	1
d. Academic support services	5	4	3	2	1
e. Athletic training services	5	4	3	2	1
f. Injury/rehabilitation facilities/equip	5	4	3	2	1
g. Practice scheduling	5	4	3	2	1
h. Competitive scheduling	5	4	3	2	1
i. Team travel-transportation	5	4	3	2	1
j. Team travel-meals	5	4	3	2	1
k. Team travel-lodging	5	4	3	2	1
l. Practice uniforms	5	4	3	2	1
m. Game uniforms	5	4	3	2	1
n. Athletic Awards	5	4	3	2	1
o. Marketing/promotions	5	4	3	2	1
p. Publicity/media coverage	5	4	3	2	1

52. How often did you miss class due to practice?

- Never
- About once a season
- About once a month
- About once a week
- Several times a week



APPENDIX I

STUDENT-ATHLETE EXIT INTERVIEW

53. How often did you miss practice due to class?

- Never
- About once a season
- About once a month
- About once a week
- Several times a week

54. Were you ever drug tested by the Athletics Department? YES NO

What, if any, comments do you have regarding the drug testing program?

55. If you had a drug or alcohol problem, whom would you have turned to for help? (Check all that apply)

- Head Coach
- Assistant Coach
- Athletics Trainer
- Fellow student-athlete
- Professor
- Campus Health Services
- Campus Counseling Services
- Athletics Department staff member
- Other: _____

PLEASE PROVIDE FEEDBACK TO THE QUESTIONS BELOW.

56. What do you believe were the strengths of the coaching staff in your sport?

57. In what area(s) if any, do you believe the coaching staff in your sport could improve?

58. Were you aware of other avenues to address your concerns about the administration of the sport(s) in which you participated?

Yes No (If no, please explain)



APPENDIX I

STUDENT-ATHLETE EXIT INTERVIEW

59. How did your participation in athletics affect your overall experience at UMass Lowell?

60. What did you learn about your personal strengths and weaknesses as a result of your participation in athletics?

61. What types of changes do you think would be beneficial for intercollegiate athletics at UMass Lowell?

62. If you could change one thing relative to your athletic experience here, what would it be?

63. What do you plan to pursue following graduation?

64. Did your athletic participation have an influence over what you have decided to pursue in the future?

65. If you are planning to transfer, please indicate rationale and the campus you intend to transfer to.

66. Please add any additional comments you believe would be valuable to this process.





ATHLETIC DEPARTMENT
ATHLETIC DEPARTMENT POLICY AND PROCEDURE

Document Name: Grievance Policy and Procedure

Issuing Office: Athletic Compliance

Updated Date: February 2016

PURPOSE

The Grievance Policies and Procedures defines appropriate NCAA, conference and institutional rules and regulations regarding grievances and appeals and serves to provide all personnel with pertinent data about their respective duties and responsibilities. Each policy presented - university appeals for students, scholarships, and permission to transfer - is outlined.

The Grievance Policy and Procedure overview of our policies and philosophy and is in no way intended to cover all questions that may arise.

GENERAL POLICY

All coaches, support services staff, and student-athletes should be aware of the general guidelines for any student grievance made on campus. The policy and procedures that follow can also be found on the university website. Please refer to the *Student-Athlete Handbook* or the SWA for any questions or concerns.

UNIVERSITY-STUDENT APPEALS

UMass Lowell is deeply committed to providing students with accurate and accessible information related to their experience at UMass Lowell both inside and outside the classroom. All academic policies and procedures are published in UMass Lowell's catalog with the "Student Conduct Code and Judicial Process" published online. There are a number of appeal procedures in place to review issues that students may encounter.

Student Registration/Enrollment Appeals

The academic calendar clearly designates the add/drop period for each academic semester. There are no refunds after the add/drop period. Appeals related to registration/enrollment issues and requests for refunds due to extenuating circumstances are reviewed by the Student Status Committee, which is comprised of representatives from the Registrar's Office, Student Financial Services, Financial Aid, Continuing Studies and designees of the Office of the Provost. A student who has experienced extenuating circumstances that prevented the student from

dropping or withdrawing from a course or courses may appeal for consideration by submitting their request to the Student Status Committee. This request may be submitted to the Registrar's Office. Claims of extenuating circumstances must be supported by documentation.

1. Students are strongly advised to discuss the academic impact of withdrawing from classes with an academic advisor, the Financial Aid Office and other areas of the university which may be impacted by a change in status. Dropping or withdrawing from classes may have an adverse effect on financial aid, veterans benefits, athletic eligibility, international student status, eligibility to remain in housing and probationary standing. Students who receive financial assistance in the term associated with the request may be required to repay financial aid funds, and this may impact eligibility to receive financial aid in future terms.
2. Appeals must be made prior to the end of the academic term in which the late drop/withdrawal occurred or a refund is requested. Appeals that are made beyond this time frame will only be reviewed when there is documentation of a circumstance that prevented the student from appealing within the academic term.
3. Documentation supporting a request must be attached to the appeal. If the committee cannot verify the circumstances of the appeal, the appeal will be denied. If additional documentation is necessary, notification will be made through the UMass Lowell student email account.
4. Appeals that are related to medical issues should be made directly to Student Health Services. Students are required to have a licensed health care provider complete the "Verification for a Medical Withdrawal Form" providing information on the student's situation. The form is located on the registrar's website.
5. Appeals that involve instructional or academic issue(s) will be forwarded to the department chair or faculty coordinator of the major or program in which the course is offered. If the issue is related strictly to grading or a grading policy, students should see the specific policy and procedure for filing this type of appeal.
6. Questions about student status appeal process should be directed to the Registrar's Office.

Medical Withdrawal Appeal Process

Students who are requesting to be withdrawn for medical reasons should submit their appeal directly to Student Health Services. Students are required to have a licensed health care provider complete the "Verification for a Medical Withdrawal Form" providing information on the student's situation.

Academic Suspension Appeal Process

All students are required to maintain at least a 2.000 average throughout their academic career. Academic records are evaluated at the end of each semester. No

student, however, will be academically suspended from the university without having at least one semester of academic warning. Some academic departments may have requirements specific to their academic program, however, the minimum 2.0 GPA is a university-wide requirement. Students who are placed on academic suspension are sent a letter notifying them of their status which outlines the process for appeal to the college in which the student is enrolled. A suspended student may submit a written appeal to the college dean or designee requesting permission to continue enrollment for an additional semester on academic probation.

Financial Aid/Satisfactory Academic Progress (SAP) Appeal Process

Students are required to make Satisfactory Academic Progress (SAP) to maintain their eligibility for financial aid. The complete policy is available online. While this process is related to a student's academic standing, it is a separate process from academic standing and students must submit their appeal directly to the Financial Aid Office.

In accordance with Title IV Financial Aid federal regulation 34 CFR 668.34, the University of Massachusetts Lowell has established the following policy for evaluating the Satisfactory Academic Progress (SAP) of Title IV financial aid recipients. This policy extends to university and state financial aid programs.

Satisfactory Academic Progress (SAP) is the measurement of a student's academic progress toward the degree or certificate program. SAP evaluates three components to determine eligibility for financial aid: qualitative measure (cumulative grade point average), quantitative measure (percentage of coursework completed) and maximum time frame allowed for degree completion.

The review of a student's SAP status is based on the entire academic record, even if the student did not receive financial aid for previous semesters of enrollment. In order to be eligible for financial aid, students must satisfy all three components.

Undergraduate students must meet each of the following SAP criteria:

- Minimum cumulative grade point average (GPA) of 2.0
- Minimum completion rate of 70% of course work
- Maximum time frame of 180 attempted credits for bachelor's degree; maximum of 90 attempted credits for associate's degree; maximum 150% of defined program length for certificate programs

Students who do not meet the minimum SAP requirements for financial aid eligibility have the right to appeal when special circumstances exist. Conditions when a student may appeal include death of a relative, injury or illness of the student or other extenuating circumstances.

To appeal, a student must:

1. Complete the "SAP Appeal Form". Student statement must include why the student failed to meet SAP requirements and explain what has changed to allow student to meet the requirements at the end of next evaluation.
2. Meet with his/her academic advisor and develop an academic plan. Both student and advisor must sign "SAP appeal form".
3. Submit completed forms and supporting documentation to the Financial Aid Office for review.
4. Prior to each term's deadline, complete and submit for review all appeal forms, academic plans, and supporting documentation for review. (See the SAP appeal form for the deadlines per term.)

Notes On Appeals:

- Appeal forms submitted for a specific term will not be granted for that term if the student has stopped attending that term or the student withdraws from all courses or the university while waiting for an appeal decision during that term.
- An appeal reviewed by the Financial Aid Office does not guarantee reinstatement of financial aid eligibility.
- All appeals are reviewed by representatives of the Financial Aid Office, with input from academic administrators when appropriate.
- Approved appeals will result in the student being placed on Financial Aid Probation (see Financial Aid Probation section). Written notification will be sent to the student's university e-mail account.
- Denied appeals will result in the student being ineligible for financial aid. The student may enroll in coursework.

Academic Integrity Appeal Process

The University of Massachusetts Lowell Academic Integrity Policy and detailed appeal process may be found in the online academic catalog.

Statement of Principles

The university has a responsibility to promote academic honesty and integrity and to develop procedures to deal effectively with instances of academic dishonesty. Students are responsible for the honest completion and representation of their work, for the appropriate citation of sources, and for respect of others' academic endeavors. Academic dishonesty is prohibited in all programs of the university.

Academic Misconduct Subject to Disciplinary Action

- (1) Academic misconduct is an act in which a student:
 - (a) Seeks to claim credit for the work or efforts of another without authorization or citation;

- (b) Uses unauthorized materials or fabricated data in any academic exercise;
- (c) Forges or falsifies academic documents or records;
- (d) Intentionally impedes or damages the academic work of others;
- (e) Engages in conduct aimed at making false representation of a student's academic performance; or
- (f) Assists other students in any of these acts.

- (2) Examples of academic misconduct include, but are not limited to: cheating on an examination; collaborating with others in work to be presented, contrary to the stated rules of the course; submitting a paper or assignment as one's own work when a part or all of the paper or assignment is the work of another; submitting a paper or assignment that contains ideas or research of others without appropriately identifying the sources of those ideas; getting unauthorized access to examinations or course materials; submitting, without the permission of the current instructor, work previously presented in another course; tampering with the laboratory experiment or computer program of another student; knowingly and intentionally assisting another student in any of the above, including assistance in an arrangement whereby any work, classroom performance, examination or other activity is submitted or performed by a person other than the student under whose name the work is submitted or performed.

Possible Disciplinary Sanctions

- (1) One or more of the following disciplinary sanctions may be imposed by an instructor for academic misconduct:
- (a) An oral or written notice of misconduct;
 - (b) An assignment to repeat the work, to be graded on its merits;
 - (c) A lower or failing grade on the particular assignment or test;
 - (d) A lower grade in the course;
 - (e) A failing grade in the course;

In addition, an instructor or the academic dean may recommend the following sanctions:

- (f) A non-deletable failing grade in the course;
- (g) Suspension from the university;
- (h) Expulsion from the university.

Sanctions f – h are imposed by the Office of the Provost.

Imposition of Disciplinary Sanctions by the Instructor

- (1) When possible, prior to imposing a minor sanction, the instructor shall notify the student that the instructor believes an act of academic misconduct has

occurred, that a sanction may be imposed, and that a "Notification of Academic Dishonesty Form" will be filed with the Office of the Provost.

- (2) Upon the imposition of a minor sanction under this section, the instructor shall notify the Office of the Provost. Notification to the Office of the Provost shall occur within 10 days, using the "Notification of Academic Dishonesty Form," and shall include identification of the student, a description of the misconduct and a specification of the sanction imposed.
- (3) Within 10 days following receipt of such notice, the Office of the Provost shall provide notice of the imposed discipline to the student, the instructor and to the academic dean. Notification to the student shall include a statement of the misconduct, specification of the sanction imposed, a statement indicating the student's right to an appeal before the academic dean and a link to the policy and procedures set forth herein.
- (4) A student who receives notice of a disciplinary sanction imposed under this section has the right to a hearing before the academic dean to contest the determination that academic misconduct occurred or the disciplinary sanction imposed or both. If the student desires such a hearing, he or she must submit a written request to the Office of the Provost and the academic dean within 10 days of receipt of notice from the Office of the Provost.
- (5) In the event that the student does not file a written request for an appeal within 10 days, the Office of the Provost shall review the and may, at his or her discretion, uphold the recommended sanction or impose a major sanction. In any event, the Office of the Provost shall, within a reasonable time, provide notice of the outcome to the student, the instructor and academic dean.

Recommendation of Major Disciplinary Sanction by the Instructor

- (1) Where an instructor concludes that a student enrolled in one of his or her courses has engaged in academic misconduct in the course, the instructor for that course may recommend one or more of the following disciplinary sanctions:
 - (a) A non-deletable failing grade in the course;
 - (b) Suspension from the university;
 - (c) Expulsion from the university.
- (2) When possible, prior to the recommendation of a major sanction, the instructor shall notify the student that the instructor believes an act of academic misconduct has occurred, that a major sanction is being recommended, and that a "Notification of Academic Dishonesty Form" will be filed with the Office of the Provost.

- (3) Upon the recommendation of a major sanction under this section, the instructor shall notify the Office of the Provost using the "Notification of Academic Dishonesty Form." Notification to the Office of the Provost shall occur within 10 days and shall include identification of the student, a description of the misconduct and a specification of the sanction recommended.
- (4) Within 10 days following receipt of such notice, the Office of the Provost shall provide notice of the recommended discipline to the student, the instructor and the academic dean. Notification to the student shall include a statement of the misconduct, specification of the sanction recommended, a statement indicating the student's right to an appeal before the academic dean and a copy of the policy and procedures set forth herein.
- (5) A student who receives notice of a disciplinary sanction recommended under this section has the right to a hearing before the academic dean to contest the determination that academic misconduct occurred or the disciplinary sanction recommended or both. If the student desires such a hearing, he or she must file a written request with the Office of the Provost and the academic dean within 10 days of receipt of notice from the Office of the Provost.
- (6) In the event that the student does not file a written request for an appeal within 10 days, the Office of the Provost shall review the matter and may, at his or her discretion, impose or modify the sanction recommended. In any event, the Office of the Provost shall, within a reasonable time, provide notice of the outcome to the student, the instructor, and to the academic dean.

Appeal to the Academic Dean

When an appeal to the academic dean is commenced in accordance with the provisions set forth, the academic dean shall proceed in accordance with this section to consider one or more of the disciplinary sanctions listed above.

- (1) *Conference with Student:* The academic dean shall offer to discuss the matter with the student. The purpose of this discussion is to permit the academic dean to review with the student the charges levied against him or her and to afford the student an opportunity to respond.
- (2) *Conference with Instructor:* The academic dean shall attempt to discuss the matter with any involved instructor. This discussion may occur either before or after the conference with the student. It should include consultation with the instructor on the facts underlying the alleged academic misconduct and on the appropriateness of the imposed or recommended sanction.

- (3) *Determination that No Academic Misconduct Occurred:* If, as a result of discussions under subsections (1) and (2), the academic dean determines that academic misconduct did not in fact occur or that the disciplinary sanction is not appropriate under the circumstances, the academic dean shall notify the instructor and the Office of the Provost. The Office of the Provost shall promptly thereafter notify the student and take appropriate action with respect to the student records.
- (4) If, as a result of discussions under subsections (1) and (2), the academic dean determines that academic misconduct did occur and that one or more of the disciplinary sanctions listed above is appropriate, the academic dean shall prepare and forward to the Office of the Provost, within 10 days, a written "Finding of Misconduct" which shall include identification of the student, a description of the alleged misconduct, a summary of evidence, findings of fact and a specification of the disciplinary sanction imposed.

Appeal to the Office of the Provost

The decision reached by the academic dean may be appealed to the Office of the Provost if the student believes that he or she did not receive due process.

An appeal to the Office of the Provost shall be limited to a review of supporting documents and the process and outcome of the academic dean or designee for one or more of the following "Grounds for Appeal":

- Bias by the instructor, academic dean, or designee substantially influenced the outcome of the process to the detriment of the student.
- New, relevant information has come to light that was not available at the time of the hearing by the academic dean.
- Unusual procedures were followed or the procedures outlined herein were not followed, to the detriment of the student.

If the student desires such a hearing, he or she must file a written request with the Office of the Provost and the academic dean within 10 days of receipt of notice from the Office of the Provost. The request must be based upon the "Grounds for Appeal" listed above.

When an appeal to the Office of the Provost is commenced in accordance with this paragraph, the Office of the Provost shall review the matter with respect to the subject student and may, at his or her discretion, uphold, vacate or modify the discipline imposed or direct such appeal to be heard by the Academic Integrity Appeals Board. In any event, the Office of the Provost shall, within a reasonable time, provide notice of the outcome to the student, instructor, and to the academic dean.

In the event a student does not file a written request for an appeal within 10 days, the Office of the Provost shall review the matter with respect to the subject student and may, at his or her discretion, uphold or modify the discipline imposed. In any event, the Office of the Provost shall, within a reasonable time, provide notice of the outcome to the student, instructor and to the academic dean.

Role of the Academic Integrity Appeals Board

- (1) The Academic Integrity Appeals Board is an ad hoc committee appointed by the Office of the Provost and consists of a minimum of three faculty members chosen by the Office of the Provost with no two members selected from the same college; the board shall not include a faculty member from within the department initiating charges of academic dishonesty. The board is chaired by the Office of the Provost who shall vote only in the case of a tie. [Or one member shall serve as Chair at the direction of the Office of the Provost. The Chair shall vote only in the case of a tie.]

When an appeal is directed to the Academic Integrity Appeals Board by the Office of the Provost in accordance with the provisions set forth above, the Academic Integrity Appeals Board shall schedule the hearing, within a reasonable time period, at a time that is mutually agreed upon by the student, Office of the Provost and members of the Academic Integrity Appeals Board.

- (2) Reasonably in advance of the hearing, the Academic Integrity Appeals Board shall obtain from the academic dean, in writing, a full explanation of the facts upon which the determination of misconduct was based and shall provide to the student a copy of the policy and procedures set forth herein.
- (3) The hearing before the Academic Integrity Appeals Board shall be conducted in accordance with the following requirements:
 - (a) The Academic Integrity Appeals Board shall consider relevant evidence including documentary evidence and testimony of the instructor, student, chair and/or dean where appropriate.
 - (b) The student shall have the right to be heard and to present relevant evidence, including documentary evidence and the testimony of witnesses, in his or her own behalf.
 - (c) The Academic Integrity Appeals Board shall maintain a record of the hearing including any and all pleadings and documentary evidence presented.
 - (d) The Academic Integrity Appeals Board shall prepare written findings of fact and a written statement of its decision based upon the record of the hearing.
 - (e) The Academic Integrity Appeals Board may find academic misconduct

and impose a sanction of suspension or expulsion only if the proof of such misconduct is clear and convincing. In other cases, a finding of misconduct must be based on a preponderance of the credible evidence.

- (f) The Academic Integrity Appeals Board may impose a disciplinary sanction that differs from the recommendation of the academic dean.
- (g) The instructor or academic dean may be witnesses at the hearing conducted by the Academic Integrity Appeals Board, but shall not have responsibility for conducting the hearing.

(4) *Determination that No Academic Misconduct Occurred:* If, after the hearing, the Academic Integrity Appeals Board determines that there is insufficient evidence that academic misconduct occurred or that no disciplinary sanction is appropriate under the circumstances, the Academic Integrity Appeals Board shall notify the instructor, the academic dean and the Office of the Provost. The Office of the Provost shall promptly thereafter notify the student and take appropriate action with respect to the student records.

(5) *Process Following Determination by the Academic Integrity Appeals Board that Academic Misconduct Occurred:*

- (a) If, after the hearing, the Academic Integrity Appeals Board determines that academic misconduct did occur and that one or more of the disciplinary sanctions listed above is appropriate, the Academic Integrity Appeals Board shall prepare and forward to the Office of the Provost, within 10 days, a written "Finding of Misconduct" which shall include identification of the student, a description of the misconduct and a specification of the disciplinary sanction to be imposed.
- (b) Within 10 days following receipt of the written "Finding of Misconduct" from the Academic Integrity Appeals Board, the Office of the Provost shall provide written notice of the imposed discipline to the instructor, the academic dean and the student.

Student Appeals Related to Grading/Faculty

The following process for students to file complaints concerning classroom matters or grading is outline in the online academic catalog.

Faculty members are expected, as a matter of right and professional standards, to recalculate any grade in which a computational error is alleged or suspected, provided that the student challenges the grade before the deadlines established by the policy on grade appeals. Generally speaking grades may only be challenged when a faculty member is alleged to have violated university, college, or departmental academic regulations and policies, or to have violated the faculty member's own grading policy, as determined from the published course requirements for the course or section in question.

Students confronting classroom problems that are a source of legitimate concern are entitled to have their complaints heard and resolved according to the procedures specified below.

Classroom problems may include, but are not limited to, the following examples (but note that questions concerning grades and grading policies are reserved to the process specified above):

1. Faculty failure to observe university policy and/or regulations, such as violating the regulation against scheduling examinations during the last week of the semester;
2. Changing class schedules without the permission of the department chairperson and the college dean, or rescheduling final examinations (including setting a due date for take-home examinations) to a time and place other than that established by the Student Records Office;
3. Terminating semester classes prior to the date specified by the University calendar;
4. Failing to fulfill instructional obligations (such as unjustified cancellation of classes, frequent absenteeism, and lateness);
5. Failing to provide and distribute a written statement of course requirements within the first 10 days of classes, which is mandated for all instructors;
6. Failing to adhere to the written statement of course requirements; and
7. Failing to post office hours or to maintain such hours.

Students normally should seek to resolve problems by discussion with the faculty member. If this is not feasible or if, after discussion, the matter cannot be resolved, the student must inform the faculty member in writing that he or she will initiate a formal complaint. This complaint must be in writing and addressed jointly to the chairperson of the department and the dean of the college in which the alleged problem and/or violation occurred.

After discussing the problem with the student and the faculty member, the chairperson and the dean determine whether the complaint is valid. (Should the subject of a formal complaint be a department chairperson, the review and determination will be made by the dean and the chairperson of another department.) Copies of the complaint, together with the written decision of the chairperson and the dean, will be sent to the student, the faculty member, the Provost and the President of the Massachusetts Society of Professors.

Formal complaints about classroom problems shall be initiated before the last day of semester examinations in the semester during which the violation is alleged to have occurred. The determination of the chairperson and the dean must be made within ten working days following receipt of the student complaint and, if unchallenged by the Massachusetts Society of Professors, it is final.

Equal and Fair Treatment

Under federal and state laws, all students are protected from discrimination based on race, color, religion, national origin, disability, gender, (including sexual harassment), age, sexual orientation, marital or veteran status. If you feel that you have been discriminated against based upon any one of these areas, you must contact Equal Opportunity and Outreach (<http://www.uml.edu/equal/>). These protections also include retaliation for filing complaints of discrimination. Concerns regarding course offerings, instructor and student attitudes should also be directed to EOO staff.

Student Conduct and the Judicial Process

Students who wish to make an appeal related to student conduct or the judicial process should review the appeals process outlined in the *UMass Lowell's Conduct Code*. Any questions related to this process should be directed to the Dean of Students Office.

ATHLETIC AWARD CHANGES-FINANCIAL AID

Prior to the start of each semester, the Compliance Office receives grant-in-aid requests from the Head Coaches recommending athletically-related financial aid to only those student-athletes who a) are not receiving an athletic award during the previous academic year, or b) are to receive an increase in their athletically-related financial aid. The Compliance Office reviews these requests and, if appropriate, processes the "Grant-In-Aid Request Form" with the appropriate sport administrator. The senior associate athletics director/SWA then submits the change request to the Office of Financial Aid. A revised grant-in-aid form is issued to the student-athlete for his/her signature and a copy is kept on file in the Compliance Office.

Reduction and Cancellation During the Period of the Award

1. Head coaches must inform the senior associate athletics director/SWA and their sport administrator immediately should a student-athlete meet any of the provisions of NCAA Bylaw 15.3.4 for the cancellation/reduction of aid during the period of the award. The senior associate athletics director/SWA and the deputy athletics director (or appropriate sport administrator) shall review any such recommendation.
2. If the circumstances of the head coach's request meet one of the provisions in 15.3.4, then the head coach meets with the involved student-athlete.
3. The deputy athletics director (or the appropriate sport administrator) and the senior associate athletics director/SWA determine if the reduction/cancellation is warranted. If so, the senior associate athletics director/SWA sends a written request to the Office of Financial Aid.

4. The university's policies for reductions or cancellations of athletically-related financial aid shall govern any such action.
5. The director of financial aid sends a cancellation letter to the student-athlete with information about the appeals process. Copies of the letters are provided to the Compliance Office who shall provide copies, if needed, to the appropriate head coach.

All cancellation, reduction, and nonrenewal letters--sent to student-athletes by the director of financial aid--contain the following notification:

Notification:

If the University of Massachusetts Lowell Athletic Department cancels or reduces a student-athlete's scholarship in current year or does not renew a student-athlete's scholarship for the following academic year, the Financial Aid Office will notify the student-athlete in writing of the opportunity to request an appeals hearing within **14 consecutive calendar days** of the date the student-athlete was notified of the athletic department's decision. The notification will be sent to student-athlete's permanent home address and his/her email account.

To request a hearing, the student-athlete must notify the Financial Aid Office in writing within **10 calendar days** of receiving a notification letter. The student-athlete must specify in their written request that they are requesting a hearing. *Written requests must be made by student-athletes only.* Any written hearing requests delivered to the Financial Aid Office via US mail, in person, email or fax after the 10 calendar day notice period will not be accepted.

No later than **5 business days** prior to the hearing, the student-athlete and representative of the Athletic Department must provide the chair of the committee a written statement of the allegations, including, every document or other exhibit they plan to use at the hearing, full names of any witnesses they intend to call and a description of the relevancy of such witnesses to the hearing. The chair of the committee promptly distributes to the other party copies of all materials submitted by each party.

The hearing will occur as soon as possible, but no later than **30 consecutive calendar days** following the student-athlete's written request.

PERMISSION TO BE RELEASED-TRANSFER OUT

When the Compliance Office is notified that a student-athlete is requesting permission to contact another institution for the purposes of transferring, the Compliance Office must respond within 14 calendar days to the student-athlete's

written request. The Compliance Office's first step is to contact the head coach for input regarding the student-athlete's interest in contacting another institution.

If the head coach agrees with the request, the Compliance Office sends an email to the athletics director, compliance officer, and the appropriate head coach at the other institution granting permission for that institution to contact the student-athlete.

If the head coach does not agree with the request for the student-athlete to contact another institution, then a meeting is held with the head coach, sport administrator and director of athletics to discuss the reason for the denial.

If the coach's decision is upheld or if the institution chooses to object to the one-time transfer exception, the student-athlete and the University's Appeals Committee are notified of the decision. The University Appeals Committee (same committee that oversees scholarship reductions or terminations) coordinates a hearing outside of the Department of Athletics to determine if the student-athlete's request to contact another institution or desire to use the one-time transfer exception shall be granted.

The Transfer/One-Time Exception Hearing Process

1. Once the Compliance Office notifies the student-athlete in writing of his/her right to appeal the athletic department's decision to deny the request to contact another institution or desire to use the one-time transfer exception, the student-athlete is given 10 calendar days from the date of the notice to formally appeal.
2. The student-athlete's right to appeal must be made in writing to the University Appeals Committee (UAC). All documents, the written statement of appeal and all supporting documentation, must be submitted at this time. In addition, the written appeal must be made by the student-athlete only.
3. The UAC will convene a hearing and provide written results of the hearing to the student-athlete within 30 calendar days after receiving the student-athlete's appeal request.
4. If the UAC fails to conduct the hearing and/or provide the written results within the 30 calendar days, permission to contact the student-athlete shall be granted by default.
5. The student-athlete and a representative of the Athletic Department will be the only individuals to meet with the UAC but they will not appear before the committee at the same time.

APPENDIX J

GRIEVANCE POLICY AND PROCEDURE

6. The written results of the UAC will be final and no additional appeal process can be made.



ATHLETIC DEPARTMENT
STAFF HANDBOOK POLICY AND PROCEDURES

Policy Name: Renewal, Non Renewal of Financial Aid

Issuing Office: Athletic Compliance

Effective Date: February 8, 2016

Related Documents: Staff Handbook

1. At the beginning of May each year, the Compliance Office provides the Head Coaches a Scholarship Decision Form documenting each student-athlete currently on his/her roster. By the end of May, the Head Coach must return the completed forms to the Compliance Office noting any grant-in-aid changes he/she would like to make for the ensuing academic year.
2. The Senior Associate Athletics Director/SWA reviews the Scholarship Decision Form for eligibility of each student-athlete to receive financial aid (individually and team). She approves the requests and forwards to the appropriate Sport Administrator for acknowledgement.
3. The Sport Administrator reviews and initials the forms and returns to the Senior Associate Athletics Director/SWA.
4. The Financial Aid Office then prepares renewal letters for all student-athletes as well as all non-renewal and gradation letters.
5. The University's policies regarding nonrenewal or gradation of athletically related financial aid shall govern any such action.
6. The Senior Associate Director for Financial Aid sends renewal/non-renewal/gradation letters to each student-athlete by July 1. All cancellation, reduction, and nonrenewal letters--sent to student-athletes by the Director of Financial Aid--contain the following notification:

Notification:

If the University of Massachusetts Lowell Athletic Department cancels or reduces a student-athlete's scholarship in current year or does not renew a student-athlete's scholarship for the following academic year, the Financial Aid Office will notify the student-athlete in writing of the opportunity to request an appeals hearing within **14 consecutive calendar days** of the date the student athlete was notified of the athletic department's decision. The notification will be sent to student-athlete's permanent home address and his/her email account.

To request a hearing, the student-athlete must notify the Financial Aid Office in writing within **10 calendar days** of receiving a notification letter. The student athlete must specify in their written request that they are requesting a hearing. **Written requests must be made by student athletes only.** Any written hearing requests delivered to the Financial Aid Office via US mail, in person, email or fax after the **10 calendar day notice period will not be accepted.**

No later than **5 business days** prior to the hearing, the student athlete and representative of the Athletics Department must provide the chair of the committee a written statement of the allegations, including, every document or other exhibit they plan to use at the hearing, full names of any witnesses they intend to call and a description of the relevancy of such witnesses to the hearing. The chair of the committee promptly distributes to the other party copies of all materials submitted by each party.

The hearing will occur as soon as possible, but no later than **30 consecutive calendar days** following the student athlete's written request.

Copies of the nonrenewal/graduation letters are provided to the Compliance Office who shall provide copies, if needed, to the appropriate Head Coach.

Athletic Award Changes

Prior to the start of each semester, the Compliance Office receives grant-in-aid requests from the Head Coaches recommending athletically related financial aid to only those student-athletes who a) are not receiving an athletics award during the previous academic year, or b) are to receive an increase in their athletically related financial aid. The Compliance Office reviews these requests and, if appropriate, processes the grant-in-aid request form with the appropriate Sport Administrator. The Senior Associate Athletics Director/SWA then submits the change request to the Office of Financial Aid. A revised grant-in-aid form is issued to the student-athlete for his/her signature and a copy is kept on file in the Compliance Office.

Reduction and Cancellation During the Period of the Award

1. Head Coaches must inform the Senior Associate Athletics Director/SWA and their Sport Administrator immediately should a student-athlete meet any of the provisions of NCAA Bylaw 15.3.4 for the cancellation/reduction of aid during the period of the award. The Senior Associate Athletics Director/SWA and the Deputy Athletics Director (or appropriate Sport Administrator) shall review any such recommendation.
2. If the circumstances of the Head Coach's request meet one of the provisions in 15.3.4, then the Head Coach meets with the involved student-athlete.

APPENDIX K

RENEWAL, NON-RENEWAL OF FINANCIAL AID

3. The Deputy Athletics Director (or the appropriate Sport Administrator) and the Senior Associate Athletics Director/SWA determine if the reduction/cancellation is warranted. If so, the Senior Associate Athletics Director/SWA sends a written request to the Office of Financial Aid.
4. The University's policies for reductions or cancellations of athletically related financial aid shall govern any such action.
5. The Director of Financial Aid sends a cancellation letter to the student-athlete with information about the appeals process. Copies of the letters are provided to the Compliance Office who shall provide copies, if needed, to the appropriate Head Coach.

UMASS LOWELL ATHLETICS

Athletic Healthcare

Policies & Procedures



#UNITEDINBLUE

ATHLETIC HEALTHCARE MISSION

The mission of the Athletic Health Care Office is to create an environment that allows health care practitioners to successfully provide quality and equitable health care for student-athletes at the University of Massachusetts Lowell. Thus, ensuring the overall physical health and wellbeing of our student-athletes.

The health care needs of the student-athlete are divided into two categories:

Athletic Health Care and General Health Care. Athletic Health Care is the care, prevention, and rehabilitation of athletic injuries. From on-field evaluation and emergency treatment through return to full activity. General health care needs includes; but is not limited to: illnesses, non-athletic injuries, drug/ alcohol, nutrition and eating disorder counseling.

**ATHLETIC HEALTHCARE
POLICIES & PROCEDURES**

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**ATHLETIC HEALTHCARE
POLICIES & PROCEDURES**

I. Introduction

The UMass Lowell Athletic Health Care Office provides for the prevention, treatment and rehabilitation of athletic injuries under the direction of our team physicians. In general, the Mahoney Gym Training Room serves softball, the Tsongas Arena Training Room serves ice hockey, and the LeLacheur Park Training Room serves baseball while the Costello Gym Training Room provides care to all other varsity athletes. Specific hours of each facility will be posted at the entrance doors. All new injuries should be reported and evaluated during the morning hours. The following are some specific policies of the Athletic Health Care Office.

II. Physical Examination

- A. New student-athletes:** All student-athletes participating in a program for the first time shall submit, prior to competing, a current (within 6 months) Physician's Physical Exam clearing them to participate in intercollegiate athletics. In addition, they must complete a Medical History Questionnaire, an Assumption of Risk Statement, complete an NCAA and UMass Lowell Drug Testing Consent form, an NCAA and UMass Lowell HIPPA form, a Parent's Insurance Information form (including a copy of the front and back of their health insurance card), proof of sickle cell status or complete waiver of such and participate in a pre-participation meeting with a member of the Athletic Health Care Staff. Those athlete who are prescribed a banned stimulant medication, including but not limited to Adderall, Ritalin, or an Albuterol inhaler, must have the necessary documentation filled out by the prescribing doctor. This is listed on the NCAA medical exemption documentation form. This documentation must be re-submitted every year.

- B. Returning student-athletes:** All student-athletes participating in a program shall submit; prior to competing, a Medical History Questionnaire, an Assumption of Risk Statement, complete an NCAA and UMass Lowell Drug Testing Consent form, an NCAA and UMass Lowell HIPPA form a Parent's Insurance Information form (including a copy of the front and back of their health insurance card) and participate in a pre- participation meeting with a member of the Athletic Health Care Staff. Those athlete who are prescribed a banned stimulant medication, including but not limited to Adderall,

**ATHLETIC HEALTHCARE
POLICIES & PROCEDURES**

Ritalin, or an Albuterol inhaler, must have the necessary documentation filled out by the prescribing doctor. This is listed on the NCAA medical exemption documentation form. This documentation must be re-submitted every year.

- C. **Transfer student- athletes:** All student-athletes participating in a program for the first time shall submit, prior to competing, a current (within 6 months) Physician's Physical Exam clearing them to participate in intercollegiate athletics. Transfers may submit a physical with an earlier date as long as it was accepted by their previous institution's athletic health care program. In addition, they must complete a Medical History Questionnaire, an Assumption of Risk Statement, complete an NCAA and UMass Lowell Drug Testing Consent form, an NCAA and UMass Lowell HIPPA form, a Parent's Insurance Information form (including a copy of the front and back of their health insurance card), proof of sickle cell status or complete waiver of such and participate in a pre-participation meeting with a member of the Athletic Health Care Staff. Those athlete who are prescribed a banned stimulant medication, including but not limited to Adderall, Ritalin, or an Albuterol inhaler, must have the necessary documentation filled out by the prescribing doctor. This is listed on the NCAA medical exemption documentation form. This documentation must be re-submitted every year.

III. **Insurance Coverage**

UMass Lowell provides athletic insurance for its student-athletes under an **EXCESS POLICY**. All injuries sustained as the result of a regularly scheduled; supervised, game, practice, conditioning session, or from team travel is covered. However, the University's insurance carrier will only act on a claim once all other private insurance benefits are exhausted. It is the responsibility of the student-athlete to file all medical bills first with their primary insurance or prove to the satisfaction of the University's carrier that no other insurance coverage exists. Claim filing procedures are outlined below. The Athletic Health Care Office must be notified of all off-campus medical referrals; relating to athletic injuries, for bills to be considered by the athletic insurance for reimbursement. All claims must be filed within 12 months of the date of injury.

**ATHLETIC HEALTHCARE
POLICIES & PROCEDURES**

*Each student-athlete was mailed a complete explanation of the UMass Lowell Athletic Insurance Policy. Additional copies are available in the Training Room.

IV. Insurance Procedures*CLAIMS PROCESS (if covered by other insurance)*

1. File all medical bills with primary insurance carrier.
2. Upon completion of payments, bring itemized bills with corresponding explanation of benefits statements or denial of benefits statements from the primary insurance carrier to the athletic training office, to Artie Poitras. (Insurance will not accept "balance forward" bills)
3. Fill out and sign school insurance claim form, AIG.
4. Athletic training office will submit the following to school insurance:
 - a. Completed claim form, signed by student athlete and attending physician.
 - b. Copy of parent's insurance information form.
 - c. Itemized bills with corresponding E.O.B.s or Denials.
 - d. Operative report, if surgical claim.
 - e. Completed claim ledger.
 - f. If bills submitted are additional bills to a previously filed claim, a supplemental claim form must be filled out and submitted.
 - g. Claims will be submitted to AIG.
 - h. Upon payment of bill the University will receive payment voucher from AIG.

***All claims must be submitted to AIG within 12 months of the date of injury**

CLAIMS PROCESS (if no other insurance)

1. The student athlete will be billed directly for all medical services rendered.
2. Bring itemized bills to the athletic training office, immediately upon receipt, to Artie Poitras. (Insurance will not accept "balance forward" bills)
3. Fill out and sign school insurance claim form, AIG.
4. Athletic training office will submit the following to school insurance:
 - a. Completed claim form, signed by student athlete and attending physician.
 - b. Copy of parent's insurance information form.
 - c. Itemized bills

**ATHLETIC HEALTHCARE
POLICIES & PROCEDURES**

- d. Operative report, if surgical claim.
- e. Completed claim ledger.
- f. If bills submitted are additional bills to a previously filed claim, a supplemental claim form must be filled out and submitted.
- g. Claims will be submitted to AIG.
- h. Upon payment of bill the University will receive payment voucher from AIG.

*** All claims must be submitted to AIG within 12 months of the date of injury.**

V. Prescription Drugs

The Athletic Health Care Office recognizes that athletic injury; and illness not directly related to athletic participation, can be serious concerns to our athletes and coaches. In an effort to assist in securing certain medicines prescribed by a physician while maintaining a consistent response, we have established the following policies. Please see attached for NCAA rules and regulations governing these expenses. These policies are meant as guides and require the Head Athletic Trainer's approval prior to the incurring of expenses in these categories.

Athletic-Related Injuries

As with all incurred medical expenses, prescription drug expenses must be submitted through the athlete's primary insurance carrier. If the athlete is covered by the school health insurance, the athletic insurance will act as the student-athlete's primary insurance.

In many cases, the student-athlete must pay upon receiving of medication and then submit the bills to his/her health insurance for reimbursement. Blue Cross/Blue Shield for example, is this type of carrier, as is the athletic insurance. The student-athlete may submit the remaining balances, if any, to the athletic insurance for reimbursement.

In the event that a student-athlete does not possess the means to pay for a prescription, the Athletic Health Care Office will pay for the medication. This requires the approval of the Head Athletic Trainer. The student-athlete will follow the procedure outlined below for prescriptions. The student-athlete must then submit the bill to his/her primary insurance.

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Athletic insurance reimbursement is coordinated through the Athletic Health Care Office. Upon receipt of reimbursement, the student-athlete will then reimburse the Athletic Health Care Office for the prescription. Failure to reimburse the Athletic Health Care Office may result in a "hold flag" being placed on the student-athlete's record.

Prescription for Non-Athletic Illness.

Recognizing that athletes cannot compete effectively with colds, flus, etc., prescription drugs for non-athletic illness may be paid for in compliance with NCAA rules under the following conditions.

- A. Athlete must be seen & medicine prescribed by team physician, or his designee.
- B. Athlete must be referred by the staff athletic trainer to the pharmacy with written approval of charges from the Head Athletic Trainer.
- C. Athlete must be participating during a qualified practice period as defined by the NCAA in preparation or participate in the athletic season.*

As with all incurred medical expenses, prescription drug expenses must be submitted through the athlete's primary insurance carrier. If the athlete is covered by the school health insurance, this is the student-athlete's primary Insurance. In many cases, the student-athlete must pay upon the receiving of medication then submit the bills to his/her health insurance for reimbursement. Blue Cross/Blue Shield for example is this type of carrier.

In the event that a student-athlete does not possess the means to pay prescription, the Athletic Health Care Office will pay for the medication.

This requires the approval of the Head Athletic Trainer. The student-athlete must then submit the bill to his/her primary insurance. Upon receipt of this reimbursement, the student-athlete will then reimburse the Athletic Health Care Office for the prescription. If this expense is deemed unreimbursable through insurance, the student-athlete will not be held responsible for repayment. If the expense is covered by a collectable insurance, failure to reimburse the Athletic

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Health Care Office may result in a "hold flag" being placed on the student-athlete's record.

The Athletic Health Care Office reserves the right to limit, restrict or refuse responsibility for medication in this category or refuse responsibility for medication in this category. This policy is established to assist athletes in participation.

In providing this assistance to the athlete, the department in no way implies that conditions or illnesses are a result of athletic participation. Future financial responsibility is not guaranteed or implied when an individual prescription is approved.

*In season is defined as beginning seven days prior to the official first day of practice during the school year, or the first official day of practice during the summer break.

VI. Medical Records & Documentation

1. Each staff athletic trainer is responsible for generating current files on each of their student-athletes participating in the programs under their care. Complete medical files would include:
 - a. A complete medical history & a yearly update.
 - b. Insurance information on file.
 - c. A physical, completed upon their entrance into the program.
 - d. Emergency cards.
 - e. Post Season Health Review Questionnaire
2. Staff athletic trainers are responsible for insuring that student-athletes sign in the daily treatment log.
3. Each injury should be documented on an individual injury/illness report form.
4. All outside referrals must be documented on the Athletic Health Care Off-Campus Medical Referral Form.
5. All referrals to the University Health Service must be done on an Athletic Health Care University Health Service Referral Form.

VII. UMass Lowell Hot and Cold Weather Policy

While life-threatening situations are rare in athletics, the potential for serious heat problems exists here in Lowell, particularly during pre-season camp in the summer

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and winter. To insure athletic safety, the athletic training staff has established the following guidelines.

Hot Weather Conditions

During times of hot & humid weather, a member of the athletic training staff will determine air temperature and relative humidity using the Weather Service or a sling psychrometer. Up-to-date weather information may be obtained by going to www.uml.edu, click on weather and then click on current conditions. Even when a particular sport has athletic trainer coverage, it is the responsibility of the individual coach to obtain information pertaining to heat/humidity and follow appropriate procedures for each zone of risk (see below).

When in the "ALERT" zone, special observation & consideration should be given to athletes susceptible to heat problems (i.e. athletes overweight or underweight due to water loss, history of previous heat injury and athletes who normally reside in cool and dry climate.) Cold water should be easily accessible before, during and after each activity.

Furthermore, buckets of ice towels should be used for cooling during breaks.

As hot/humid weather approaches the caution or "DANGER" zone, it is important to have several 5-10 minutes rest/water breaks for activity lasting over one hour (maximum of 30 minutes between breaks). Practice intensity should be lighter and utilize loose, light colored clothing.

When conditions are in the "EMERGENCY" zone, practice intensity should be scaled back or canceled. Unlimited water should be available and breaks should be taken every 15 minutes. Activity should be limited to the coolest part of the day (before 10:00 am or after 4:00pm).

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Wet Bulb Temp (WGBT)	Temperature (F) Zone	Humidity
Under 82°	80-90 ° Alert	Under 70%
82-90°	80-90 ° Danger	Over 70%
82-90°	90-100 ° Danger	Under 70%
Over 90°	90-100 ° Emergency	Over 70%

Cold Weather Conditions

Cold injuries are a common result of prolonged exposure to cold environments during physical activity. Athletic Departments whose teams practice/compete in settings or geographic regions that predispose their student-athletes to cold injury must be aware of the inherent risk to them. Implementation strategies must be used to minimize risks when possible. Individual responses to cold vary physiologically with combinations of cold, wet, and windy conditions. Clothing insulation, exposure time, and other non-environmental factors must be considered, as well. Therefore, this policy is to be used as a guide in deciding whether UMass Lowell athletic teams should practice/compete during cold conditions. The final decision should come from a team approach including the athletic director or designee, certified athletic trainer and coach. In situations where regularly scheduled contests are a factor, the ability to reschedule the contest, change start time, modify overall time of exposure to the student-athletes, and/or willingness of both teams to participate must be considered.

Prevention of Environmental Cold Injury:

- Educate athletes and coaches concerning the prevention, recognition, and treatment of cold injury and the risks associated with activity in cold environments.
- Utilize practice and competition guidelines that take into account air temperature and wind speed conditions. The NCAA recommends the use of the Wind-Chill Equivalent Index to assist athletic staff with the monitoring of heat loss. (See Wind Chill Chart and Tables attached to policy)

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- Monitor environmental conditions before and during the activity and adjust activities if weather conditions change or degenerate lower than safe level. It is recommended that staff access the UMass Lowell Weather station/current conditions at: www.storm.uml.edu or utilize the WeatherBug App on their mobile devices to monitor current weather conditions.
- The Wind Chill Index is an important indicator of how to dress properly for winter weather.
- Proper layered clothing should be worn and encouraged by staff and coaches. Individuals should be advised to dress in layers and stay dry. Moisture, whether from perspiration or precipitation, significantly increases body heat loss.
Clothing recommendations:
 - Several layers around the core of the body. Begin with a wicking fabric next to the skin; wicking will not only keep the body warm and dry, but also eliminates the moisture retention of cotton.
 - Long pants designed to insulate (lightweight pile or wool layers). On very cold/wind days, a nylon shell or wind pant can be worn on top of them for additional wind break
 - Long sleeve shirt/sweatshirt/coat designed to insulate and break the wind
 - Gloves-mittens are warmer than gloves,
 - Ear protection/Hat (this should be done even when wearing a helmet): Heat loss from the head/neck may account for as much as 40% of total heat loss-head and ears should be covered during cold conditions.
 - Face protection
 - Feet can be kept dry by wearing moisture-wicking or wool socks that breathe and should be dried between wears.
- Provide the opportunity for athletes to re-warm during and after activity using external heaters, a warm indoor environment, or the addition of clothing.
- On the field, include water for rehydration as well as warm fluids for possible re-warming purposes, heat packs, blankets, external heaters and cell phone/radio to summon emergency medical transportation.
- Cushing Field Complex Re-Warming Station is Costello Athletic Center.
Recommended re-warming time before re-starting activities is 15 minutes.

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Signs of Cold Stress: Student-athletes should be instructed on signs of cold stress (wind chill, frostbite and hypothermia). Fatigue, confusion, slurred speech, red or painful extremities, swollen extremities, blurred vision, red watery eyes, dizziness, headache, numbness, tingling of skin and extremities, shivering, uncontrollable shivering, etc....are a few warning signs of cold stress.

Athletic trainers will monitor athletes to allow for early recognition of potential injury, circulating among athletes to monitor comfort level regarding warmth, check skin for frost nip, frost bite, etc. Coaches should also be aware of signs/symptoms of cold stress when communicating with athletes during practice sessions.

Cold Weather Management

A



Wind Chill Chart



		Temperature (°F)																	
		40	35	30	25	20	15	10	5	0	-5	-10	-15	-20	-25	-30	-35	-40	-45
Wind (mph)	Calm	36	31	25	19	13	7	1	-5	-11	-16	-22	-28	-34	-40	-46	-52	-57	-63
	5	34	27	21	15	9	3	-4	-10	-16	-22	-28	-35	-41	-47	-53	-59	-66	-72
	10	32	25	19	13	6	0	-7	-13	-19	-26	-32	-39	-45	-51	-58	-64	-71	-77
	15	30	24	17	11	4	-2	-9	-15	-22	-29	-35	-42	-48	-55	-61	-68	-74	-81
	20	29	23	16	9	3	-4	-11	-17	-24	-31	-37	-44	-51	-58	-64	-71	-78	-84
	25	28	22	15	8	1	-5	-12	-19	-26	-33	-39	-46	-53	-60	-67	-73	-80	-87
	30	28	21	14	7	0	-7	-14	-21	-27	-34	-41	-48	-55	-62	-69	-76	-82	-89
	35	27	20	13	6	-1	-8	-15	-22	-29	-36	-43	-50	-57	-64	-71	-78	-84	-91
	40	26	19	12	5	-2	-9	-16	-23	-30	-37	-44	-51	-58	-65	-72	-79	-86	-93
	45	26	19	12	4	-3	-10	-17	-24	-31	-38	-45	-52	-60	-67	-74	-81	-88	-95
	50	25	18	11	4	-3	-11	-18	-25	-32	-39	-46	-54	-61	-68	-75	-82	-89	-97
55	25	17	10	3	-4	-11	-19	-26	-33	-40	-48	-55	-62	-69	-76	-84	-91	-98	
60	25	17	10	3	-4	-11	-19	-26	-33	-40	-48	-55	-62	-69	-76	-84	-91	-98	

Frostbite Times 30 minutes 10 minutes 5 minutes

Wind Chill (°F) = 35.74 + 0.6215T - 35.75(V^{0.16}) + 0.4275T(V^{0.16})
 Where, T= Air Temperature (°F) V= Wind Speed (mph) Effective 11/01/01

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	T _{air} (°C)											
V ₁₀ (km/h)	5	0	-5	-10	-15	-20	-25	-30	-35	-40	-45	-50
5	4	-2	-7	-13	-19	-24	-30	-36	-41	-47	-53	-58
10	3	-3	-9	-15	-21	-27	-33	-39	-45	-51	-57	-63
15	2	-4	-11	-17	-23	-29	-35	-41	-48	-54	-60	-66
20	1	-5	-12	-18	-24	-30	-37	-43	-49	-56	-62	-68
25	1	-6	-12	-19	-25	-32	-38	-44	-51	-57	-64	-70
30	0	-6	-13	-20	-26	-33	-39	-46	-52	-59	-65	-72
35	0	-7	-14	-20	-27	-33	-40	-47	-53	-60	-66	-73
40	-1	-7	-14	-21	-27	-34	-41	-48	-54	-61	-68	-74
45	-1	-8	-15	-21	-28	-35	-42	-48	-55	-62	-69	-75
50	-1	-8	-15	-22	-29	-35	-42	-49	-56	-63	-69	-76
55	-2	-8	-15	-22	-29	-36	-43	-50	-57	-63	-70	-77
60	-2	-9	-16	-23	-30	-36	-43	-50	-57	-64	-71	-78
65	-2	-9	-16	-23	-30	-37	-44	-51	-58	-65	-72	-79
70	-2	-9	-16	-23	-30	-37	-44	-51	-58	-65	-72	-80
75	-3	-10	-17	-24	-31	-38	-45	-52	-59	-66	-73	-80
80	-3	-10	-17	-24	-31	-38	-45	-52	-60	-67	-74	-81

Frostbite Risk Increasing High, 5 to 10 min High, 2 to 5 min High, 2 min

The following guidelines can be used in planning activity depending on the wind-chill temperature:

Wind speeds greater than 40 mph have little additional effect on chilling. In using the above table, values of wind chill below -10F are considered bitterly cold. Values of wind chill below -20F are extremely cold and human flesh begins to freeze within 1 minute!

-
- 30°F and below: Be aware of the potential for cold injury and notify appropriate personnel of the potential.
 - 25°F and below: Provide additional protective clothing, cover as much exposed skin as practical, and provide opportunities and facilities for re-warming.
 - 15°F and below: Consider modifying activity to limit exposure (1.5 hours of outside exposure) or allow more frequent chances to re-warm. Instruct athletes to bring jackets/capes out to practice. Minimize “down time” at practice, continuous activity a best practice.
 - 0°F and below: Consider terminating or rescheduling activity.
-

**NCAA 2014-15 Sports Medicine Handbook & 2008 NATA Position Statement*

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Cold Exposure Policy – Home Events

- UMass Lowell Athletic Health Care, Athletic Facilities and/or Athletic Director will check weather at least 3 days prior to game. In the event of anticipated inclement weather, UMass Lowell Athletic Health Care and AD or designee will confer to discuss who should contact visiting team to discuss our Cold Exposure Policy, along with discussing a plan of action should the weather be a concern on the day of competition.
- After initial contact is made with visiting team, UMass Lowell Athletic Care, Athletic Facilities/AD/Designee will check the weather each day leading up to the game to monitor changes. (Weather.com is one reliable source that looks at all areas of importance – wind speed, air temperature, and humidity)
- Temperature (actual or real feel) from 25 - 0 degrees will result in heightened awareness of cold injury and all preventative measures previously mentioned will be put into effect before, during, and after the contest.
- Temperature (actual or real feel) below 0 will result in likely termination of outside contest.
- Athletic Health Care personnel from both teams, Athletic Director or Designee, Officials and Home/Visiting coaching staff will be involved in the decision making process.

Cold Exposure Policy – Away Events

- UMass Lowell Athletic Health Care and/or Athletic Director will check the weather at least 3 days prior to game. In the event of anticipated inclement weather, UMass Lowell Athletic Health Care/AD will contact the host institution to discuss our cold exposure policy and discuss plan of action should the weather be a concern on the day of competition.
- After initial contact is made with the host institution, UMass Lowell Athletic Health Care/AD will check the weather each day leading up to the game to monitor changes. Communication will be maintained with the host institution should any changes occur following initial discussion.
- Temperature (actual or real feel) from 25 – below 0 degrees will result in heightened awareness of cold injury and all preventative measures normally taken at UMass Lowell will be recommended to host institution and hopefully put into effect before, during and after the contest.

**ATHLETIC HEALTHCARE
POLICIES & PROCEDURES**Cold Exposure Policy – Daily Practice

It is the responsibility of every coach/ATC to know the weather report prior to activity outside. It is equally important to be able to adjust Team plans to changing weather conditions. The variables on cold injuries vary from individual to individual. Acclimatization is a primary variable, but hydration, fatigue, clothing and lack of illness affect one's ability to combat the cold. This should be considered when the following guidelines are followed:

- If there are blizzard conditions and/or the outdoor turf is not adequately prepared, then the Team should not
- train outside (adequately prepared would have the surface free of snow and ice)
- If the conditions prevent a Student-Athlete from control of their limbs, then activity should take place inside.
- If the temperature appears high enough to allow outdoor participation, but Student-Athletes begin to have
- Signs/symptoms of a cold injury, then they must return indoors to re-warm the body for at least 45 minutes.

**It should be noted that this protocol came from much research through the NATA, NCAA and other D-I Institutions with similar climates. The protocol is meant to be used as a guideline and may need to be altered in cases where acclimation to the climate has not adequately taken place.*

VIII. Lightning Safety Policy

This policy is to be used for all UMass Lowell sponsored collegiate athletic outdoor activities; including school sponsored athletic sport camps, athletic sponsored youth development programs, and all tournaments and sport clinics.

1. The supervising certified athletic trainer, will make the decision to remove a team or individuals from an athletic site or event, in the event of lightning in the area. If a certified athletic trainer is not present, the head coach, assistant coach, or event supervisor will make the decision.
2. The decision to remove a team or individuals from outdoors will follow the "Flash to Bang" protocol which is promoted by the National Lightning Safety Institute & National Severe Storms Laboratory. This practice measures the interval between the time lightning is seen (flash) to hearing thunder (bang). Each five-second count represents one mile between lightning and the person

ATHLETIC HEALTHCARE POLICIES & PROCEDURES

counting. The Weatherbug app, "Spark" will also be used in conjunction with the "flash to bang" method to determine strike distance.

3. In the event that a lightning storm occurs during an outdoor school sponsored athletic activity, and the "Flash to Bang" count is 50 seconds (10 miles) or less, all activities will be immediately suspended.
4. All athletes, coaches, and participants will immediately leave the playing field and take shelter in Costello Gymnasium or other safe shelter. A "Safe Shelter" is defined as any building normally occupied or frequently used by people; a building with plumbing and/ or electrical wiring that acts to electrically ground the structure.
5. Stay away from tall or individual trees, lone objects (i.e., light pole or goal posts), metal objects (i.e., metal fences or bleachers), standing pools of water, and open fields. Lightning is attracted to these types of objects.
6. When considering resumption of an athletic activity, the National Severe Storms Laboratory recommendations will be followed. All activities will be resumed once lightning and thunder have ceased completely for 30 minutes. The weather bug app "spark" will also be used to ensure there has been no lightning strikes within the 10 miles radius.

IX. Emergency Plan

The Athletic Training staff at UMass Lowell is committed to quality care in the treatment of athletic and emergency injuries. However, we recognize that it is possible that programs may have workouts or meetings at times in which the Athletic Training staff is not present. For this reason, the following emergency procedures plan has been established to assist the coaching staff in dealing with emergency situations. Venue specific emergency plans are in Appendix I.

Emergency Telephone Numbers

EMS Off-Campus	911
EMS On-Campus	44-911
Athletic Training Room	(978) 934-2321/2322
Lowell General Emergency Room	(978) 937-6000
Dr. Mark Romanowsky, Team Physician	(978) 458-1293
Dr. Scott Sigman, Team Orthopedic	(978) 454-0706
Dr. Jason Silva, Team Orthopedic (W/M Bsk)	(978) 275-9650

Athletic Trainers:

Artie Poitras (hck, trk)	home: (978) 459-4098 cell: (339) 221-0118
Kristen Ribbons (fh, mlax)	cell: 207-649-2204
TBD (mbb)	cell: TBD
Ashley Rudolph (wbb)	cell: 313-590-3652
Jeanette Verbiar (wsoc, sb)	cell: 484-653-9477
Matthew Schafer (vb, w/lax)	cell: 651-214-8646
Christian Ahlstrom (msoc, sb)	cell: 847-431-3519

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- X. Emergency Plan on Road Without Athletic Trainer**
1. Before departure, obtain necessary athletic training supplies from athletic training room.
 2. Upon arrival, introduce self to Athletic Trainer of host school.
 3. Injuries sustained are to be evaluated by host athletic trainer. Return to play/treatment decisions are made by host certified athletic trainer.
 4. Before departure, obtain necessary athletic training supplies from athletic training room.
 5. If host certified athletic trainer determines a physician is required and one is not available, proceed to the nearest hospital emergency room
 6. Emergency/Insurance info cards are in each medical kit. Every effort should be made to stabilize the injury and return them to Lowell with the team. However, every situation is unique and the head coach should consult with the local medical services and determine what is in the best interest of the injured athlete and act accordingly.
 7. If the athlete is to be kept at the local hospital, the athlete's parents and the head athletic trainer or a staff athletic trainer should be notified at this time.
 8. If an athlete is hospitalized on the road, in Lowell, or if you are returning to campus with a significant injury. The head athletic trainer or a staff athletic trainer should be notified of the situation prior to your departure. This will give the athletic training staff an opportunity to assess the situation and line up the appropriate medical referral. In the event that no athletic trainers are located, the head coach should accompany the injured athlete to the Lowell General Emergency Room. Inform the ER staff that he/she is a UMass Lowell athlete and Dr. Sigman is our orthopedic consultant and Dr. Mark Romanowsky is our team physician. The emergency room doctor will determine whether the situation warrants calling in one of our physicians or whether the injury can be stabilized and referred the following day. Every effort should be made to contact a member of the athletic training staff at this point!
 9. If an athlete is treated and released, report the injury to an athletic trainer by phone prior to departing the medical facility or if this is not possible, as soon as you return to campus.
 10. Injuries sustained are to be evaluated by host athletic trainer. Return to play/treatment decisions are made by host certified athletic trainer.

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11. If host certified athletic trainer determines a physician is required and one is not available, proceed to the nearest hospital emergency room.
12. Emergency/Insurance info cards are in each medical kit. Every effort should be made to stabilize the injury and return them to Lowell with the team. However, every situation is unique and the head coach should consult with the local medical services and determine what is in the best interest of the injured athlete and act accordingly.
13. If the athlete is to be kept at the local hospital, the athlete's parents and the head athletic trainer or a staff athletic trainer should be notified at this time.
14. If an athlete is hospitalized on the road, in Lowell, or if you are returning to campus with a significant injury. The head athletic trainer or a staff athletic trainer should be notified of the situation prior to your departure. This will give the athletic training staff an opportunity to assess the situation and line up the appropriate medical referral. In the event that no athletic trainers are located, the head coach should accompany the injured athlete to the Lowell General Emergency Room. Inform the ER staff that he/she is a UMass Lowell athlete and Dr. Sigman is our orthopedic consultant and Dr. Mark Romanowsky is our team physician. The emergency room doctor will determine whether the situation warrants calling in one of our physicians or whether the injury can be stabilized and referred the following day. **Every effort should be made to contact a member of the athletic training staff at this point!**
15. If an athlete is treated and released, report the injury to an athletic trainer by phone prior to departing the medical facility or if this is not possible, as soon as you return to campus.

XI. Pregnant Student-Athlete Participation Policy

Since the effects of intense exercise on both the mother and the fetus is unknown, pregnant athletes shall be medically ineligible to participate in intercollegiate athletics at UMass Lowell until the athlete has undergone a physical exam and is cleared for participation by a medical specialist (a medical doctor with OB/GYN specialty). If the attending physician allows athletic participation, a written statement to that effect must be on file in the athletics' department medical records.

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A termination of pregnancy would again require a written statement from the attending physician, clearing the athlete for a return to competition.

XII. "Performance Enhancing" Substance Policy

The University of Massachusetts Lowell believes that the use and abuse of "performance enhancing" substances can negatively influence the health and wellbeing of its student-athletes. Many substances/supplements when used in conjunction with athletic activities or physical conditioning programs pose serious risks to the health of the athlete. Symptoms of illness, temporary injury, and even death can be caused by such use.

To date, after over five centuries of independent experimentation, there is no documented proof that those who use substances/ supplements show any measurable improvement in performance. Nor do competitive results reveal that users have a demonstrable "edge" over the non-user. Many of these substances have not been proven to be either safe or effective in long-term scientific studies. Also, the long-term side effects and health risks of usage with many of these substances remain unknown.

We believe that positive performance is attributable to training, skills mastery, and natural talent. Unfortunately, the mystique that surrounds substance/supplement use tends to create the belief that a chemical can lead to performance improvement. Invariably, performance deteriorates and the long-term outcome reveals the destructive nature of so-called "performance-enhancing" substances/ supplements.

Therefore, the UMass Lowell Department of Athletics does not promote, condone, or recommend the use of "performance-enhancing" substances by its student-athletes.

Athletic Department staff and coaches are prohibited from purchasing either directly or indirectly or facilitating the purchase of "performance-enhancing" substances for use by student-athletes. Any athletic staff member, found in violation of this policy, will be subject to disciplinary action.

**ATHLETIC HEALTHCARE
POLICIES & PROCEDURES****XIII. UMass Lowell Drug, Alcohol & Tobacco Policy**

The improper use of drugs and alcohol has become a matter of deep and widespread concern within our society. Many lives are being damaged, and in some cases completely destroyed, by drug or alcohol abuse. While at the University, you are not only shaping your academic and social character for the rest of your life, but you are also representing the University as a whole. Your behavior must be exemplary on and off the playing field. Responsible decision-making with regard to alcohol and other drugs will promote respect within the University and Greater Lowell communities. Responsible decision-making will also convey to the public that the University of Massachusetts Lowell student-athletes are of strong character and will be contributing members of society after they leave the University.

The University of Massachusetts Lowell believes that the illegal use and abuse of "controlled" or "performance enhancing" drugs, tobacco products and alcohol can negatively influence the health and well-being of its student-athletes. Alcohol and other drug use can also interfere with optimal performance, threaten the integrity of intercollegiate athletics, and endanger fellow student-athletes.

In light of this, the Department of Athletics at the University implements a mandatory program of alcohol and drug education, random drug testing, counseling, and rehabilitation efforts to assist and benefit the student-athletes of the University of Massachusetts Lowell.

Some student athletes are prescribed medications which are banned and would produce a positive drug test result. To expedite the process of an appeal, we ask that those athlete who are prescribed a banned stimulant medication, including but not limited to Adderall, Ritalin, or an Albuterol inhaler, must have the necessary documentation filled out by the prescribing doctor. This must be turned into athletic health care upon diagnosis or with the student athlete's incoming medical paperwork. Necessary documentation is listed on the NCAA medical exemption documentation form found on our website. This documentation must be re-submitted every year.

XIV. Athletic Health Care Coverage Priorities

The UMass Lowell Athletic Health Care Office is committed to providing its student-athletes with the appropriate medical coverage for all the athletic activities they

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POLICIES & PROCEDURES**

may participate in. Appropriate medical coverage involves more than basic emergency care during sports participation. It encompasses the provision of many other health care services for the student-athlete. While emergency medical care and event coverage are critical, appropriate medical coverage also includes activities of ongoing daily health care of the student-athlete, such as:

- Determination of athletes' readiness to participate, in conjunction with the team physician.
- Risk management and injury prevention.
- Recognition, evaluation and immediate treatment of athletic injury/illnesses.
- Rehabilitation and reconditioning of athletic injuries.
- Psychosocial intervention and referral.
- Nutritional aspects of injuries/illnesses.
- Health care administration.

The Athletic Health Care office, reviewing the most current literature and compiled injury rate data from: NCAA Injury Surveillance System, detailed institutional and conference studies, NCAA Emergency Care and Coverage Survey and Sports Medicine Handbook and national surveys of current medical coverage have established the following medical coverage guidelines/priorities for UMass Lowell athletics:

1. High Risk, Collision Sport Games/Practices Ice Hockey, M/W Soccer, M/W Basketball
2. Home Events
3. Low Risk, Non-Contact Sport Away Contests
4. Non-Traditional Season Practices
5. Non-Traditional Season Away Contests
6. Non-Traditional Season Skill Sessions
7. Weight Training/Conditioning Sessions

XV. AED Policy*Medical Necessity for Use of AED*

Defibrillation is a recognized means of terminating certain potentially fatal arrhythmias during a cardiac arrest. A direct current defibrillator applies a brief, high-energy pulse of electricity to the heart muscle. Automated external defibrillators, or AEDs, were introduced in 1979. AEDs accurately analyze cardiac rhythms and, if

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appropriate, advise/deliver an electric countershock. AEDs are currently widely used by trained emergency personnel and have become an essential link in the "chain of survival" as defined by the American Heart Association:

- Early access
- Early CPR by first responders or bystanders
- Early defibrillation
- Early advanced life support

It is recognized that successful resuscitation is related to the length of time between the onset of a heart rhythm that does not circulate blood (ventricular fibrillation, pulseless ventricular tachycardia) and defibrillation. The AHA states with every minute it takes to respond, the chance for successful defibrillation decreases 7- 10%. The provision of timely emergency attention saves lives. Athletic events (both practice and competition) present a high risk for cardio-pulmonary emergencies. Therefore, by training certified athletic trainers, team physicians and athletics staff (coaches, administrators and support staff) in the use of AEDs, the emergency response time is shortened.

Explanation of the Use of AED

Automated external defibrillator, or AED, means a defibrillator which:

- is capable of cardiac rhythm analysis
- will charge and deliver a countershock after electrically detecting the presence of cardiac dysrhythmias
- is capable of continuous recording of the cardiac dysrhythmia at the scene
- is capable of producing a hard copy of the electrocardiogram

Defibrillation is only one aspect of the medical care required to resuscitate a patient with a shockable ECG rhythm. Dependant on the situation, other supportive measures may include:

- Cardiopulmonary resuscitation (CPR)
- Administration of supplemental oxygen
- Drug Therapy

Written Medical Protocol Regarding Use of AED

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Use of the AED will follow the American Heart Association AED treatment algorithm (appendix). The AED is to be used only on patients in cardiopulmonary arrest. Before the device is utilized to analyze the patient's ECG rhythm, the patient must be:

- unconscious
- pulseless, and
- not breathing spontaneously

The device is, however, not intended for children less than eight years of age and/or victims weighing less than 90 pounds. The AED units are programmed to administer an initial set of 3 shocks at 200 Joules (J), 300 J, and 360 J. If ventricular fibrillation (VF) persists, the Lifepak CR Plus will repeat sets of 3 stacked shocks at 360 J with 1 minute of CPR, performed by rescuer, between each set until "no shock indicated" message is received. The Lifepak CR Plus will shock until VF is no longer present, the patient converts to a performing rhythm, or an advanced life support team arrives on scene and assumes control.

To prepare for ECG analysis and defibrillation:

- Verify that the patient is in cardiac arrest (unconscious, no respiration, no pulse) ▪ Press ON/OFF to turn on the AED (green light will light). The connect electrodes message and voice prompt will occur until the patient is connected to the AED.
- Prepare the patient for electrode placement.
- Follow the screen messages and voice prompts provided by the AED.

Provisions to Coordinate with Local EMS

In the event of a cardiopulmonary emergency, the 44-911 emergency system should be activated as quickly as possible. The first responders should provide initial care as appropriate to the situation and coordinate with other emergency medical service providers upon their arrival in the provision of CPR, defibrillation, basic life support, and advanced life support.

Operator Considerations

The University of Massachusetts Lowell athletic health care program utilizes the ZOLL AED PLUS. The ZOLL AED PLUS is a fully-automatic defibrillator that uses a patented Shock Advisory System. This software algorithm analyzes the patient's electrocardiographic (ECG) rhythm and indicates whether or not it detects a

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shockable rhythm. The ZOLL AED PLUS requires operator interaction in order to defibrillate the patient. The ZOLL AED PLUS is intended for use by personnel who are authorized by the head athletic trainer (Artie Poitras, ATC) and have, at a minimum, the following skills and training:

- CPR training (which meets the standards of the American Red Cross BLS)
- AED training equivalent to the recommended by the American Red Cross
- Training in the use of the ZOLL AED PLUS

Procedures for Training and Testing in Use of AED

Personnel using the AED must complete a training session each year, to include instruction in:

- The proper use, maintenance, and periodic inspection of the AED
- Defibrillator safety precautions to enable the user to administer shock without jeopardizing the safety of the patient, the user, or other individuals
- Assessment of an unconscious person to determine if cardiac arrest has occurred and the appropriateness of applying an AED
- Recognizing that an electrical shock has been delivered to the patient that the defibrillator is no longer charged
- The operations of the local emergency medical services system, including methods of access to the emergency response system, and interaction with emergency medical services personnel
- The role of the user and coordination with other emergency medical services providers in the provision of CPR, defibrillation, basic life support, and advanced life support
- The responsibility of the user to continue until the arrival of medically qualified personnel

Procedures to Ensure the Continued Competency Required for AED Use

Personnel using the AED must complete a review session every six months with a Member of the athletic health care staff to ensure continued competency in the use of the device. A record will be maintained documenting staff competency training on the AED.

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Medical Control Reporting and Incident Review

The ZOLL AED PLUS digitally records patient data, including ECG rhythm and delivered shocks. A digital audio recording of scene activity is available. Recorded data may be transferred by direct connection to a printer or by modem to a remote computer.

Following an incident of application, the data will be downloaded from the AED and reviewed by both the medical director and the attending physician(s) at the emergency facility where emergency care was provided. In addition, a report detailing the emergency scene will be documented in writing.

Location and Maintenance Required for AEDs

The University of Massachusetts Lowell athletic health care office has one ZOLL AED PLUS, located in a wall cabinet on the Costello gym second floor landing outside the main entrance to the athletic training room. Five additional ZOLL AEDs are available for other athletic venues and contests.

Based upon the Sport covered, the AED unit may either be maintained in the wall cabinet or carried on-site to an athletic venue. The athletic training staff will determine the location and use of the AED unit at the athletic venues.

The ZOLL AED PLUS performs an automatic self-test every 24 hours. If service is required, the AED activates an alarm. The non-rechargeable lithium batteries have a five-year life. If batteries require replacement, the AED activates an alarm. Pads are one use only and must be replaced after each use. Personnel using the AED on a regular basis and after each time the AED is used should inspect and clean the AED and check to make sure that all necessary supplies and accessories are readily available.

XVI. Concussion Management Plan

The University of Massachusetts Lowell's Athletic Health Care Department is committed to ensuring the health and safety of its student-athletes. As part of this ongoing commitment and accordance with NCAA policies, the following concussion management plan is being implemented. Please see appendix for full plan.

**ATHLETIC HEALTHCARE
POLICIES & PROCEDURES****XVII. Sickle Cell Position Statement***About Sickle Cell Trait*

Sickle cell trait is a rare condition that affects the type of hemoglobin found within the red blood cells. Hemoglobin is responsible for carrying oxygen within the red blood cells. During normal daily activities, those affected by sickle cell trait show no symptoms and have no adverse health issues related to the abnormal hemoglobin. However, when stressed physically under extreme conditions (extreme heat, high level exertion in the presence of an active illness, exertion at altitude, or exertion at intensity levels greater than normally experienced by the student-athlete), the individual may begin to manifest symptoms of the disorder. Symptoms can include severe muscle cramps, dizziness, nausea, and extreme shortness of breath. If not recognized and treated relatively early, it may progress to multi organ damage and possibly sudden death. Although rare, sudden death among athletes has occurred and been linked to carrying the trait. For a variety of reasons, the condition seems to affect those aged 18-24 years of age at greater degrees than younger individuals. Although sickle cell trait is most prominent in African-American, and those of Mediterranean, Middle Eastern, Indian, Caribbean, and South American ancestry may test positive for sickle cell trait.

Policy

The NCAA is mandating that student-athletes must be tested for sickle cell trait, show proof of a prior test or sign a waiver releasing the institution of liability if they decline to be tested. In accordance with this legislation the University of Massachusetts Lowell Athletic Health Care Office is mandating that student-athletes must be tested for sickle cell trait, show proof of a prior test or sign a waiver releasing the Commonwealth of Massachusetts, the University of Massachusetts Lowell, its officers, employees and agents from any and all costs, liability, expense claims, demands or causes of actions on account of any loss or personal injury that might result from my non-compliance with the mandate of the NCAA and the University of Massachusetts Lowell Athletic Health Care Office.

If identified as carrying the abnormal hemoglobin, you can continue to participate in your respective sport without significant restrictions. Care would be taken and restrictions imposed only if you had an active febrile infection or one that affected

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your respiratory system, if you were training at altitude, or in extreme weather conditions (especially heat). Ensuring adequate hydration during practice and competition, and training at reasonable exertion levels is another important factor in preventing adverse health issues.

Infants born after 1984 were tested for the sickle cell trait and therefore the documentation should be available from your family pediatrician. The screening test can be performed at the University of Massachusetts Lowell Student Health Service for a fee or with your family physician. If the initial screening test does come back positive for sickle cell, a follow up test can be performed to determine if you have Sickle Cell Disease vs. Sickle Cell Trait. Educational sessions around the topic of sickle cell and the precautions that need to be undertaken due to the serious nature of the conditions will be required for all those individuals who are sickle cell trait positive.

It is with your health and safety in mind that we take this position that all student-athletes know their sickle cell trait status. Please feel free to contact us with any questions or concerns regarding this issue.

XVIII. Use of Body Composition in Intercollegiate Athletics

Athletic performance is, to a great degree, dependent on the ability of the student-athlete to overcome resistance and to sustain aerobic and/or anaerobic power. Both of these elements of performance have important training and nutritional components and are, to a large degree, influenced by the student-athletes body composition. Nonetheless, scientific studies have yet to show a strong correlation between body composition and athletic performance.

Successful student-athletes achieve a body composition that is within a range associated with performance achievement in their specific sport. Each sport has different norms for the muscle and fat levels associated with a given height, and the student-athletes natural genetic predisposition for a certain body composition may encourage him or her to participate in a particular sport or take a specific position within a sport.

Besides the aesthetic and performance reasons for wanting to achieve an optimal body composition, there also may be safety reasons. A student-athlete who is carrying excess weight may be more prone to injury when performing difficult skills than an athlete with a more optimal body composition. However, the means

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student-athletes often use in an attempt to achieve an optimal body composition may be counterproductive. While achieving an optimal body composition is useful for high-level athletic performance, the processes student-athletes often use to attain an optimal body composition may reduce athletic performance, may place them at a higher risk and may increase health risks.

The purpose of body composition assessment is to determine the student-athlete's distribution of lean (muscle) mass and fat mass. A high lean mass to fat mass ratio is often synonymous with a high strength to weight ratio, which is typically associated with athletic success. However, there is no single ideal body composition for all student-athletes in all sports. Each sport has a range of lean mass and fat mass associated with it, and each student-athlete has an individual range that is ideal for him or her. Body composition should be obtained as part of an overall health assessment or in conjunction with formal nutrition counseling, not as part of a performance assessment. Health professionals involved in obtaining body composition data will be sensitive to the confidentiality of this information, and explain to each student-athlete that differences in height, age and gender are likely to result in differences in body composition, without necessarily any differences in performance. Therefore, a key to body composition assessment is the establishment of an acceptable range of lean and fat mass for the individual student-athlete, and the monitoring of lean and fat mass over regular intervals (twice yearly) to assure a stability or growth of the lean mass and a proportional maintenance or reduction of the fat mass. Importantly, there should be just as much attention given to changes in lean mass (both in weight of lean mass and proportion of lean mass) as the attention traditionally given to body fat percent.

In the absence of published standards for a sport, an allowable strategy for determining if a student-athlete is within the body composition standards for the sport is to obtain a body fat percent value for each student-athlete on a team (using the same method of assessment), and obtaining an average and standard deviation for body fat percent for the team. The student-athletes should not feel forced or obligated to undergo body composition or weight measurement. Student-athletes, who are within 1 standard deviation of the team mean, should be considered within the range for the sport. Those greater than or less than plus/minus 1 standard deviation should be evaluated to determine the appropriateness of their training schedule and nutrient intake. Coaches may have access to the team normative data, not individual student-athlete data. In addition, it is important for coaches and

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student-athletes to use functional performance measures in determining the appropriateness of a student-athlete's body composition. Student-athletes outside the normal range of body fat percent for the sport may have achieved an optimal body composition for their genetic makeup, and may have objective performance measures (e.g., jump height, beep test) that are well within the range of others on the team.

The University of Massachusetts Lowell Athletic Health Care and Sports Performance staffs consider body composition assessment an important part of a student-athletes overall health assessment. When used appropriately, it can positively affect both a student-athletes performance and health. It's appropriate use will be determined by the athletic health care staff (physicians and athletic trainers) in consultation with the University's sports performance and nutrition staff. All information gathered through this process will be confidential.

UMASS LOWELL ATHLETICS

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ATHLETIC HEALTHCARE APPENDICES

UMASS LOWELL DEPARTMENT OF ATHLETICS
CUSHING SOCCER FIELD EMERGENCY PLAN
X-44-911 OR 978-934-4911

The Athletic Training staff at UMass Lowell is committed to quality care in the treatment of athletic and emergency injuries. The following emergency procedures plan has been established in dealing with emergency situations.

- I. Identification of Emergency Situations
 - A. Individual making decision:
 1. Team Physician
 2. Certified Athletic Trainer
 3. Head coach or his/her designee
 - B. Conditions that may warrant emergency care:
 1. Heat Illness
 2. Head Injury
 3. Neck or Spine Injury
 4. Respiratory Difficulties
 5. Fractures, Dislocations
 6. Severe Bleeding
 7. Shock
- II. Communications in Emergency Situation:
 - A. Contact Athletic Training Room:
 - B. If Athletic Training Room not available, Activate Emergency Medical System (EMS) for emergency transport to hospital.
 1. Head Coach/designee decides that emergency transportation is warranted.
 2. This Head Coach/designee remains with athlete to administer necessary emergency care & sends someone else to call x-44-911 or 978-934-4911. Emergency phone is in parking lot near ticket booth.
 3. What to say when calling EMS:

"We have an emergency situation at Cushing (North) Soccer Field. The emergency is

We request an ambulance at Cushing (North) Soccer Field. Enter rear driveway by way of Riverside Street, enter field complex via the stairway located beside the tennis courts. If the ambulance requires field access, this is obtained via the gate at the far end, beyond the tennis courts."

DO NOT HANG UP UNTIL EMS DOES!!!

4. Person making the call waits for ambulance at the designated entrance.
5. Person designated by Head Coach/designee shall go in the ambulance with the athlete. The hospital of choice is Lowell General Hospital. Team Physicians are Dr. Mark Romanowsky or Dr. Scott Sigman, Team Orthopedic.
6. Emergency care is to be administered until EMS relieves the Head Coach/designee of their responsibility to the student-athlete.
7. Make every effort to contact a member of the Athletic Training Staff to alert them of the situation to provide follow-up care and contact.

ATHLETIC HEALTHCARE APPENDICES

UMASS LOWELL DEPARTMENT OF ATHLETICS
CUSHING TRACK/MULTI-PURPOSE FIELD EMERGENCY PLAN
X-44-911 OR 978-934-4911

The Athletic Training staff at UMass Lowell is committed to quality care in the treatment of athletic and emergency injuries. The following emergency procedures plan has been established in dealing with emergency situations.

- I. Identification of Emergency Situations
 - A. Individual making decision:
 1. Team Physician
 2. Certified Athletic Trainer
 3. Head coach or his/her designee
 - B. Conditions that may warrant emergency care:
 1. Heat Illness
 2. Head Injury
 3. Neck or Spine Injury
 4. Respiratory Difficulties
 5. Fractures, Dislocations
 6. Severe Bleeding
 7. Shock
- II. Communications in Emergency Situation:
 - A. Contact Athletic Training Room:
 - B. If Athletic Training Room not available, Activate Emergency Medical System (EMS) for emergency transport to hospital.
 1. Head Coach/designee decides that emergency transportation is warranted.
 2. This Head Coach/designee remains with athlete to administer necessary emergency care & sends someone else to call x-44-911 or 978-934-4911. Emergency phone is in parking lot near ticket booth.
 3. What to say when calling EMS:

"We have an emergency situation at Cushing Track/Multi-purpose Field. The emergency is _____"

"We request an ambulance at Cushing Track/Multi-purpose Field. Enter complex through gate located at the end of Sparks Street (scoreboard end)."

DO NOT HANG UP UNTIL EMS DOES!!!

4. Person making the call waits for ambulance at the designated entrance.
5. Person designated by Head Coach/designee shall go in the ambulance with the athlete. The hospital of choice is Lowell General Hospital. Team Physicians are Dr. Mark Romanowsky or Dr. Scott Sigman, Team Orthopedic.
6. Emergency care is to be administered until EMS relieves the Head Coach/designee of their responsibility to the student-athlete.
7. Make every effort to contact a member of the Athletic Training Staff to alert them of the situation to provide follow-up care and contact.

ATHLETIC HEALTHCARE APPENDICES

**UMASS LOWELL DEPARTMENT OF ATHLETICS
RIVERVIEW FIELD (SOUTH) EMERGENCY PLAN
X-44-911 OR 978-934-4911**

The Athletic Training staff at UMass Lowell is committed to quality care in the treatment of athletic and emergency injuries. The following emergency procedures plan has been established in dealing with emergency situations.

- I. Identification of Emergency Situations
 - A. Individual making decision:
 1. Team Physician
 2. Certified Athletic Trainer
 3. Head coach or his/her designee
 - B. Conditions that may warrant emergency care:
 1. Heat Illness
 2. Head Injury
 3. Neck or Spine Injury
 4. Respiratory Difficulties
 5. Fractures, Dislocations
 6. Severe Bleeding
 7. Shock
- II. Communications in Emergency Situation:
 - A. Contact Athletic Training Room:
 - B. If Athletic Training Room not available, Activate Emergency Medical System (EMS) for emergency transport to hospital.
 1. Head Coach/designee decides that emergency transportation is warranted.
 2. This Head Coach/designee remains with athlete to administer necessary emergency care & sends someone else to call x-44-911 or 978-934-4911. Emergency phone is in parking lot near ticket booth.
 3. What to say when calling EMS:

"We have an emergency situation at Riverview Field (South). The emergency is _____"

"We request an ambulance at Riverview Field (South). Enter complex through gate located on Broadway Street, down the left field line."

DO NOT HANG UP UNTIL EMS DOES!!!

4. Person making the call waits for ambulance at the designated entrance.
5. Person designated by Head Coach/designee shall go in the ambulance with the athlete. The hospital of choice is Lowell General Hospital. Team Physicians are Dr. Mark Romanowsky or Dr. Scott Sigman, Team Orthopedic.
6. Emergency care is to be administered until EMS relieves the Head Coach/designee of their responsibility to the student-athlete.
7. Make every effort to contact a member of the Athletic Training Staff to alert them of the situation to provide follow-up care and contact.

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**UMASS LOWELL DEPARTMENT OF ATHLETICS
MAHONEY GYM (SOUTH) EMERGENCY PLAN
X-44-911 OR 978-934-4911**

The Athletic Training staff at UMass Lowell is committed to quality care in the treatment of athletic and emergency injuries. The following emergency procedures plan has been established in dealing with emergency situations.

- I. Identification of Emergency Situations
 - A. Individual making decision:
 1. Team Physician
 2. Certified Athletic Trainer
 3. Head coach or his/her designee
 - B. Conditions that may warrant emergency care:
 1. Heat Illness
 2. Head Injury
 3. Neck or Spine Injury
 4. Respiratory Difficulties
 5. Fractures, Dislocations
 6. Severe Bleeding
 7. Shock
- II. Communications in Emergency Situation:
 - A. Contact Athletic Training Room:
 - B. If Athletic Training Room not available, Activate Emergency Medical System (EMS) for emergency transport to hospital.
 1. Head Coach/designee decides that emergency transportation is warranted.
 2. This Head Coach/designee remains with athlete to administer necessary emergency care & sends someone else to call x-44-911 or 978-934-4911. Emergency phone is in parking lot near ticket booth.
 3. What to say when calling EMS:

"We have an emergency situation at Mahoney Gym (South). The emergency is _____"

"We request an ambulance at Mahoney Gym (South). Enter through blue door on Coburn side of Mahoney Gym via access road between Coburn Hall and Mahoney Gym off Broadway Street. "

DO NOT HANG UP UNTIL EMS DOES!!!

4. Person making the call waits for ambulance at the designated entrance.
5. Person designated by Head Coach/designee shall go in the ambulance with the athlete. The hospital of choice is Lowell General Hospital. Team Physicians are Dr. Mark Romanowsky or Dr. Scott Sigman, Team Orthopedic.
6. Emergency care is to be administered until EMS relieves the Head Coach/designee of their responsibility to the student-athlete.
7. Make every effort to contact a member of the Athletic Training Staff to alert them of the situation to provide follow-up care and contact.

ATHLETIC HEALTHCARE APPENDICES

UMASS LOWELL DEPARTMENT OF ATHLETICS
LELACHEUR PARK EMERGENCY PLAN
X-44-911 OR 978-934-4911

The Athletic Training staff at UMass Lowell is committed to quality care in the treatment of athletic and emergency injuries. The following emergency procedures plan has been established in dealing with emergency situations.

- I. Identification of Emergency Situations
 - A. Individual making decision:
 1. Team Physician
 2. Certified Athletic Trainer
 3. Head coach or his/her designee
 - B. Conditions that may warrant emergency care:
 1. Heat Illness
 2. Head Injury
 3. Neck or Spine Injury
 4. Respiratory Difficulties
 5. Fractures, Dislocations
 6. Severe Bleeding
 7. Shock
- II. Communications in Emergency Situation:
 - A. Contact Athletic Training Room:
 - B. If Athletic Training Room not available, Activate Emergency Medical System (EMS) for emergency transport to hospital.
 1. Head Coach/designee decides that emergency transportation is warranted.
 2. This Head Coach/designee remains with athlete to administer necessary emergency care & sends someone else to call x-44-911 or 978-934-4911. Emergency phone is in parking lot near ticket booth.
 3. What to say when calling EMS:

"We have an emergency situation at LeLacheur Park. The emergency is

We request an ambulance at LeLacheur Park. Enter the complex via the access road between LeLacheur Park and Bourgeois Hall, off Pawtucket Street. Field access is through the gate down the left field line."

DO NOT HANG UP UNTIL EMS DOES!!!

4. Person making the call waits for ambulance at the designated entrance.
5. Person designated by Head Coach/designee shall go in the ambulance with the athlete. The hospital of choice is Lowell General Hospital. Team Physicians are Dr. Mark Romanowsky or Dr. Scott Sigman, Team Orthopedic.
6. Emergency care is to be administered until EMS relieves the Head Coach/designee of their responsibility to the student-athlete.
7. Make every effort to contact a member of the Athletic Training Staff to alert them of the situation to provide follow-up care and contact.

ATHLETIC HEALTHCARE APPENDICES

UMASS LOWELL DEPARTMENT OF ATHLETICS
COSTELLO ATHLETIC CENTER EMERGENCY PLAN
X-44-911 OR 978-934-4911

The Athletic Training staff at UMass Lowell is committed to quality care in the treatment of athletic and emergency injuries. The following emergency procedures plan has been established in dealing with emergency situations.

- I. Identification of Emergency Situations
 - A. Individual making decision:
 1. Team Physician
 2. Certified Athletic Trainer
 3. Head coach or his/her designee
 - B. Conditions that may warrant emergency care:
 1. Heat Illness
 2. Head Injury
 3. Neck or Spine Injury
 4. Respiratory Difficulties
 5. Fractures, Dislocations
 6. Severe Bleeding
 7. Shock
- II. Communications in Emergency Situation:
 - A. Contact Athletic Training Room:
 - B. If Athletic Training Room not available, Activate Emergency Medical System (EMS) for emergency transport to hospital.
 1. Head Coach/designee decides that emergency transportation is warranted.
 2. This Head Coach/designee remains with athlete to administer necessary emergency care & sends someone else to call x-44-911 or 978-934-4911. Emergency phone is in parking lot near ticket booth.
 3. What to say when calling EMS:

"We have an emergency situation at Costello Athletic Center. The emergency is _____"

We request an ambulance at Costello Athletic Center.

For middle bottom floor emergency: *enter rear driveway by way of Riverside St.; enter gym through the rear entrance located above the tennis courts.*

or;

For Gym level: *enter campus police driveway by way of Riverside St. and enter front of building."*

DO NOT HANG UP UNTIL EMS DOES!!!

4. Person making the call waits for ambulance at the designated entrance.
5. Person designated by Head Coach/designee shall go in the ambulance with the athlete. The hospital of choice is Lowell General Hospital. Team Physicians are Dr. Mark Romanowsky or Dr. Scott Sigman, Team Orthopedic.
6. Emergency care is to be administered until EMS relieves the Head Coach/designee of their responsibility to the student-athlete.
7. Make every effort to contact a member of the Athletic Training Staff to alert them of the situation to provide follow-up care and contact.

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UMASS LOWELL DEPARTMENT OF ATHLETICS
TSONGAS CENTER EMERGENCY PLAN
X-44-911 OR 978-934-4911

The Athletic Training staff at UMass Lowell is committed to quality care in the treatment of athletic and emergency injuries. The following emergency procedures plan has been established in dealing with emergency situations.

- I. Identification of Emergency Situations
 - A. Individual making decision:
 1. Team Physician
 2. Certified Athletic Trainer
 3. Head coach or his/her designee
 - B. Conditions that may warrant emergency care:
 1. Heat Illness
 2. Head Injury
 3. Neck or Spine Injury
 4. Respiratory Difficulties
 5. Fractures, Dislocations
 6. Severe Bleeding
 7. Shock
- II. Communications in Emergency Situation:
 - A. Contact Athletic Training Room:
 - B. If Athletic Training Room not available, Activate Emergency Medical System (EMS) for emergency transport to hospital.
 1. Head Coach/designee decides that emergency transportation is warranted.
 2. This Head Coach/designee remains with athlete to administer necessary emergency care & sends someone else to call x-44-911 or 978-934-4911. Emergency phone is in parking lot near ticket booth.
 3. What to say when calling EMS:

"We have an emergency situation at The Tsongas Center. The emergency is _____"

"We request an ambulance at The Tsongas Center. Enter the via the East Entrance, on the Ayotte Parking Garage side."

DO NOT HANG UP UNTIL EMS DOES!!!

4. Person making the call waits for ambulance at the designated entrance.
5. Person designated by Head Coach/designee shall go in the ambulance with the athlete. The hospital of choice is Lowell General Hospital. Team Physicians are Dr. Mark Romanowsky or Dr. Scott Sigman, Team Orthopedic.
6. Emergency care is to be administered until EMS relieves the Head Coach/designee of their responsibility to the student-athlete.
7. Make every effort to contact a member of the Athletic Training Staff to alert them of the situation to provide follow-up care and contact.

ATHLETIC HEALTHCARE APPENDICES

UMASS LOWELL DEPARTMENT OF ATHLETICS
COSTELLO ATHLETIC CENTER RENTAL EMERGENCY PLAN
X-44-911 OR 978-934-4911

The Athletic Training staff at UMass Lowell is committed to quality care in the treatment of athletic and emergency injuries. The following emergency procedures plan has been established in dealing with emergency situations.

- I. Identification of Emergency Situations
 - A. Individual making decision:
 1. Team Physician
 2. Certified Athletic Trainer
 3. Head coach or his/her designee
 - B. Conditions that may warrant emergency care:
 1. Heat Illness
 2. Head Injury
 3. Neck or Spine Injury
 4. Respiratory Difficulties
 5. Fractures, Dislocations
 6. Severe Bleeding
 7. Shock
- II. Communications in Emergency Situation:
 - A. Contact Athletic Training Room:
 - B. If Athletic Training Room not available, Activate Emergency Medical System (EMS) for emergency transport to hospital.
 1. Head Coach/designee decides that emergency transportation is warranted.
 2. This Head Coach/designee remains with athlete to administer necessary emergency care & sends someone else to call x-44-911 or 978-934-4911. Emergency phone is in parking lot near ticket booth.
 3. What to say when calling EMS:

"We have an emergency situation at Costello Athletic Center. The emergency is _____"

We request an ambulance at Costello Athletic Center.

For middle bottom floor emergency: *enter rear driveway by way of Riverside St.; enter gym through the rear entrance located above the tennis courts.*

or;

For Gym level: *enter campus police driveway by way of Riverside St. and enter front of building."*

DO NOT HANG UP UNTIL EMS DOES!!!

4. Person making the call waits for ambulance at the designated entrance.

ATHLETIC HEALTHCARE APPENDICES

**UMASS LOWELL DEPARTMENT OF ATHLETICS
CONCUSSION MANAGEMENT PLAN**

The University of Massachusetts Lowell's Athletic Health Care Department is committed to ensuring the health and safety of its student-athletes. As part of this ongoing commitment and accordance with NCAA policies, the following concussion management plan is being implemented.

BACKGROUND

A concussion is defined as: a complex pathophysiological process affecting the brain, induced by traumatic biomechanical forces. Several common features that incorporate clinical, pathologic and biomechanical injury constructs that may be utilized in defining the nature of a concussive head injury include:

Concussion may be caused by a direct blow to the head, face, neck and elsewhere on the body with an "impulsive" force transmitted to the head. Concussion typically results in the rapid onset of short-lived impairment of neurologic function that resolves spontaneously. Concussion may result in neuropathologic changes, but the acute clinical symptoms largely reflect a functional disturbance rather than a structural injury.

Concussion results in a graded set of clinical symptoms that may or may not involve a loss of consciousness. Resolution of the clinical and cognitive symptoms typically follows a sequential course; however, it is important to note that a small percentage of cases, postconcussive symptoms may be prolonged.

No abnormality on standard structural neuroimaging studies is seen in concussion.

The majority (80-90%) of concussions resolve in a short (7-10-day) period.

Symptoms of concussion may include:

Headache	"Don't feel right"
"Pressure in Head"	Difficulty Concentrating
Neck Pain	Difficulty remembering
Nausea or vomiting	Fatigue or low energy
Dizziness	Confusion
Blurred	Vision Drowsiness
Balance Problems	Trouble falling asleep
Sensitivity to light	more emotional
Sensitivity to noise	Irritability
Feeling slowed down	Sadness

EDUCATION

At the beginning of each school year, every student-athlete will sign a statement in which student-athletes accept the responsibility for reporting their injuries and illnesses to the institutional medical staff, including signs and symptoms of concussions. During the review and signing process student-athletes will be presented with educational material on concussions. (Appendix I)

At the beginning of each school year, every coach will receive an informational sheet on concussions and sign a statement acknowledging receipt of the information and their role in the management of concussions and sport safety. (Appendix I)

At the beginning of each school year, all team physicians, Certified Athletic Trainers, and directors of athletics will receive an informational sheet on concussions and sign a statement acknowledging receipt of the information and their role in the management of concussions and sport safety.

ATHLETIC HEALTHCARE APPENDICES**BASELINE ASSESSMENT**

In accordance with NCAA recommendations, all student athletes at UMass Lowell will have baseline testing done. Team physician will determine pre-participation status.

Baseline testing will include a cognitive/neuropsychological exam as well as vestibular testing.

EVALUATION OF THE POTENTIALLY CONCUSSED STUDENT-ATHLETE

When a student-athlete shows any signs, symptoms or behaviors consistent with a concussion, the athlete shall be removed from practice or competition and evaluated by an athletics healthcare provider with experience in the evaluation and management of concussion. This may be a certified athletic trainer, physician, nurse practitioner or physician assistant.

The minimum evaluation will consist of a clinical exam (physical and neurological), symptom inventory, cognitive and balance assessment, performed serially. This will include: clinical assessment for cervical spine trauma, skull fracture and intracranial bleed.

Certain head injuries require a more intensive evaluation: cervical spine trauma, skull fracture, prolonged loss of consciousness, intracranial bleed/trauma, repetitive emesis, diminished/worsening mental status or other neurological signs/symptoms or Glasgow Coma Scale < 13. Any student-athlete that sustains a significant loss of consciousness (more than just a few seconds), exhibits focal neurological findings on their physical examination, or has a decline in their clinical status will be transported to the appropriate medical facility for further evaluation; in accordance with the UMass Lowell Emergency Action Plan (Appendix III).

Emergency Action Plans for each venue utilized by the athletics program at the UMass Lowell are maintained and posted on the UMass Lowell Athletics website under the Athletic Health Care page.

A student-athlete diagnosed with a concussion shall be withheld from the competition or practice and not return to activity for the remainder of that day. The student-athlete will continue to be monitored for worsening clinical status.

Athletics healthcare providers are empowered to have the unchallengeable authority to determine management and return-to-play of any ill or injured student-athlete, as he or she deems appropriate. The certified athletic training staff works very closely with a team of medical providers in a number of specialties to provide comprehensive sports medicine services. Occasionally the providers will also utilize outside, consulting physicians to provide the best care possible to the student-athlete.

EARLY MANAGEMENT OF THE STUDENT-ATHLETE WITH A CONCUSSION

The student-athlete will receive serial monitoring for deterioration. Once a student-athlete has been determined to be clinically stable, they will be discharged with oral and written instructions for home care and follow-up. Athletes will be provided with written instructions upon discharge; preferably with a roommate, guardian, or someone that can follow the instructions. (Appendix IV) The student-athlete will be required to report the next day for follow-up.

FOLLOW-UP ASSESSMENT OF THE STUDENT-ATHLETE WITH A CONCUSSION

All student-athletes who sustain a concussion will follow-up with their athletic trainer on a daily basis for reassessment. Minimum assessment at this time will include the completion of a symptom checklist with documentation of their symptom score for the day. Once the student-athlete is asymptomatic, they will undergo neuropsychological/cognitive and vestibular testing. These assessments (symptom and neuropsych/cognitive/vestibular) will continue until the student-athlete completely recovers or until the clinical judgement of the Athletic Health Care Staff is that the student-athlete is no longer making significant daily change, either positively or negatively, to necessitate daily evaluation. Follow-up physician evaluation will be determined on an

ATHLETIC HEALTHCARE APPENDICES

individualized basis determined by what the treating physician deems clinically appropriate. Subsequent consultation with other specialists, such as neurologists, neuropsychologists, physical/vestibular therapists, or neurosurgeons will be determined as clinically appropriate by the team physician. The same is true regarding any additional testing, such as neuroimaging studies, follow-up neurocognitive testing, or other clinically relevant testing.

RETURN TO PLAY/LEARN DECISION-MAKING AND CLEARANCE

Once asymptomatic and post-injury neurocognitive and vestibular are within normal baseline limits for 24 hours, return to play/return to learn will follow a medically supervised stepwise process as outlined in below, from the Consensus Statement on Concussion in Sport: The 3rd International Conference on Concussion in Sport Held in Zurich, November 2008.

Rehabilitation Stage	Functional Exercise at Each Stage of Rehabilitation	Objective
No activity	Complete physical and cognitive rest	Recovery
Light aerobic exercise	Walking, swimming, or stationary cycling, keeping intensity to ,70% of maximum predicted heart rate; no resistance training	Increase heart rate
Sport-specific exercise	Skating drills in ice hockey, running drills in soccer; no head impact activities	Add movement
Non-contact training	Progression to more complex training drills, eg, passing drills in football and ice hockey; may start progressive resistance training	Exercise, coordination and cognitive load
Full-contact practice	Following medical clearance, participate in normal training activities	Restore athlete's confidence; coaching staff assesses functional skills
Return to play	Normal game play	

* If symptoms return during any one of these phases, discontinue activity for that day and repeat that step the next day.

If the exertion activities do not produce acute symptoms, the athlete may progress to the next step. The athlete may advance to step 5 and return to full participation the day after completing step 4 of the protocol if they remain asymptomatic. The amount of time spent in each level of the progression will be dependent upon the student-athlete's symptoms and presence or absence of concussion modifiers, such as previous concussions, previous prolonged post concussive syndromes, ADD/ADHD, depression, or other mental illness. Many athletes will be able to progress through the progression in a matter of a few days. Others may require a few days at each stage. The determination regarding the speed of progression through the stages will be the clinical judgement of the UMass Lowell Athletic Healthcare Staff.

Final authority for Return-to-Play shall reside with the team physician or the physician's designee. No other health care professional can clear a UMass Lowell student-athlete for return to play without the agreement of that student-athlete's team physician. The decision to return a student-athlete to participation centers on the complete resolution of all post-concussive symptoms, a normal neurologic examination, return to baseline scores on clinical measures, and the successful completion of the stepwise progression of activity outlined above.

Documentation of the incident, evaluation, continued management, and clearance of the student-athlete with a concussion will be placed in the student-athlete's medical record.

ATHLETIC HEALTHCARE APPENDICES**RETURN-TO-LEARN FOLLOWING A CONCUSSION**

Return-to-learn is a parallel concept to return to play, but has received less scientific evaluation. These guidelines assume that both physical and cognitive activities require brain energy utilization, and that after a sport related concussion, brain energy may not be available for physical and cognitive exertion because of a brain energy crisis. Return-to-learn should be managed in a step wise program that fits the needs of the individual, within the context of a multidisciplinary team that includes physicians, athletic trainers, coaches, psychologist, neuro-psychologist, administrators, as well as academic and office of disability services representative. The return-to-learn recommendations outlined below are based on expert consensus. Like return-to-play it is difficult to provide prescriptive recommendations for return-to-learn. The student athlete may appear physically normal but may be unable to perform as expected due to concussive symptomology.

- 1) Relative cognitive rest involves minimizing potential cognitive stressors, such as school work, video games, reading, texting, and watching television.
- 2) For the college student-athlete, consideration should be given to avoid the classroom for at least the same day as the sports related concussion. The specific time needed to avoid class or homework should be individualized.
- 3) The gradual return to the classroom should be based on the absence of symptoms following cognitive exposure.
- 4) Modifying factors such as ADD/ADHD, migraines, headache disorders, learning disabilities and mood disorders should be taken into consideration to minimize complications when returning to academics.
- 5) The majority of student athletes who are concussed will not need a detailed return-to-learn program because full recovery typically occurs within two weeks.
- 6) For student athletes who require some minor modification in the first one to two weeks following a sport- related concussion, adjustments can often be made without requiring meaningful curriculum or testing adjustments.
- 7) For those student athletes whose symptoms persist longer than two weeks, there are differing ways to access academic adjustment or accommodations. The student-athlete may need a change in his or her class schedule; special arrangements may be required for extended absences, tests, term papers and projects.
- 8) Accommodations can often be made through the disability services office in cases of "short term" impairments (ie: concussion/broken arm).
- 9) For those with prolonged cognitive difficulties, consideration should include neuropsychological evaluation to: a) determine the nature and severity of the cognitive impairment b) identify the extent to which psychological issues may be present and interacting with the cognitive process.
- 10) Additional interaction with the disability services office may be needed for those student athletes with prolonged cognitive difficulties.

RETURN- TO- LEARN GUIDELINES

- If the student-athlete cannot tolerate 30 minutes of light cognitive activity, he or she should remain at home or in the residence hall.
- Once the student-athlete can tolerate 30-45 minutes of cognitive activity without return of symptoms, he/she should return to the classroom in a step-wise manner. Such return should include no more than 30-45 minutes of cognitive activity at one time, followed by at least 15 minutes of rest.
- The levels of adjustment needed should be decided by a multi-disciplinary team that may include the team physician, athletic trainer, faculty athletic representative or other faculty representative, coach, individual teachers and psychologist. The level of multi-disciplinary involvement should be made on a case-by-case basis.



ATHLETIC DEPARTMENT
STUDENT-ATHLETE ADVISORY COMMITTEE

Document Name: SAAC Bylaws Updated Date: August 2015
Issuing Office: Academics and Student-Athlete Services
Related Documents: Student Athlete-Handbook

UMass Lowell SAAC Mission Statement

The Student-Athlete Advisory Committee (SAAC) provides leadership to bring about positive change at the institutional and NCAA Division I Athletic level while also providing an outlet for student-athletes to discuss issues specific to student-athlete life and development. Additionally, the SAAC is committed to facilitating communication amongst student-athletes, coaches, athletics administrators, and the UMass Lowell community on issues to improve the student-athlete experience and promote growth. SAAC also provides opportunities to meet with peers and develop a support system for each other.

Article I: Name

The name of this organization shall be the UMass Lowell Student-Athlete Advisory Committee, hereafter referred to as SAAC.

Article II: Membership

1. All SAAC members must be a member of a University of Massachusetts Lowell intercollegiate athletic team and institutionally eligible both academically and athletically. Individuals who have graduated, exhausted all eligibility, or have exhibited behavior not consistent with representation of their team shall be replaced.

2. Team representatives will be selected by their head coach and have a personal interest in becoming an active SAAC representative.
3. Each varsity team shall be represented by a maximum of two (2) to three (3) individuals.
4. Team representatives will be selected at the conclusion of the spring semester for the upcoming year.
5. SAAC members shall serve a one-year term and may be re-appointed. Any varsity student-athlete with eligibility remaining is eligible for appointment.

Section III: Duties of Membership

1. Actively participate in SAAC committee and ad hoc committee meetings and activities. Team representatives unable to attend a meeting are responsible to arrange for an alternate to attend in their place. SAAC members must:
 - a. Regularly Attend SAAC Meetings - Missing more than 60% (3) of scheduled meetings in a semester may result in dismissal and the naming of a replacement SAAC member.
 - b. Serve on at least one standing committee.
 - c. Promote a positive student-athlete image, both on campus and in the community.
 - d. Facilitate discussion of issues and agenda between the respective teams and the SAAC and keep the team apprised of current issues.
 - e. Represent the team's views in committee meetings.
 - f. Encourage team members to assist with any projects deemed significant by the committee.

Article IV: Leadership Structure

Executive Board

The Student-Athlete Advisory Committee will consist of the following Executive Board officers: President, a Vice President (VP), Secretary/Public Relations, Financial Officer, and SGA Representative.

1. The Executive Board Officers of the SAAC shall consist of five (5) student-athletes and shall be elected by the committee as a whole during the first meeting of each academic year.
2. Executive Board officers will serve for one (1) academic year. If an executive officer does not return the following semester, a re-vote will occur at the first meeting of the following semester.
3. The Executive Board shall consist of members from each gender. All members will retain their elected positions until they resign from SAAC or a new officer is elected by the committee. A representative will be appointed if no person runs for the position. Following are duties of each Executive Board position:

President

- a. Presides over all SAAC meetings and acts as the direct liaison to the Department of Athletics leadership team members.
- b. Attends SAAC officer meetings.
- c. Reviews agenda items with the Athletics Department SAAC Advisor prior to SAAC meetings.
- d. Serves as the spokesperson for the SAAC and addresses student-athletes, coaches and administration when needed.
- e. Assists with SAAC events.
- f. Other duties as determined by the SAAC membership.

Vice-President

- a. Assume Presidential duties for SAAC meetings when the President is not present.
- b. Work closely with the President and assist him/her in the daily operating tasks of the committee.
- c. Responsible to oversee and monitor the progress of the Community Service sub-committee.

- d. Attends SAAC officer meetings.

Secretary/Public Relations Officer

- a. Attend SAAC officer meetings.
- b. Post and distribute material advertising athletics activities as well as material advertising SAAC accomplishments and events.
- c. Utilize social media programs such as but not limited to Facebook, Twitter, Instagram.
- d. Act as a liaison between SAAC and the Athletic Communications Office.
- e. Responsible to oversee and monitor the progress of the Public Relations/Social Media sub-committee.
- f. Responsible to record minutes at each SAAC meeting and disseminating minutes via email to the Athletic Department's SAAC advisor.

Financial Officer

- a. Shall be responsible for maintaining SAAC's overall budget.
- b. Developing and presenting the SAAC budget during scheduled SAAC meeting.
- c. Advise sub-committees on the budgets for projects and events.
- d. Responsible to oversee and monitor the progress of the Fundraising and Special Event sub-committee.

SGA Representatives

- a. Serve as the liaison between Student Government Association (SGA) and SAAC.
- b. Responsible to provide updates on SGA to the SAAC committee.
- c. Responsible to oversee and monitor the progress of the Student-Athlete Concerns Committee.

Standing Sub-Committees

The four standing sub-committees and duties are as follows:

1. Social Media & Public Relations Committee
 - a. Update the official Life Skills Facebook and Twitter page on a daily or weekly basis.
 - b. Promote SAAC and other athletic events.
 - c. Take pictures at official events and post to Social Media.
 - d. Prepare written media releases for the Communications regarding Department regarding SAAC events.
2. Special Event & Fundraising Committee
 - a. Develop fundraising goals, ideas, and plans.
 - b. Plan and develop events for SAAC members and all student-athletes.
 - c. Work within the assigned budget for projects.
 - d. Work closely with the Social Media and Public Relations committee to promote events.
3. Community Service Committee
 - a. Plan and develop outreach activities for SAAC and all student-athletes.
 - b. Develop at least one service project each semester.
 - c. Work closely with the Social Media and Public Relations committee to promote service activities.
4. Student Athlete Concerns Committee
 - a. Raise student-athlete concerns for discussion during SAAC meetings.
 - b. Develop improvement plans as needed to improve student-athlete well-being and concerns.
 - c. Meet with campus constituents as needed to address student-athlete concerns.

Article V: Meetings

1. Frequency

Meetings shall be held every third week of the month. The meeting schedule is subject to change.

2. Location

Meetings will be held in the Student-Athlete Academic Center unless otherwise publicized prior to meeting.

3. Sub- Committees

Sub-Committees will schedule meetings as needed, and will be called as needed by each Sub-Committee.

4. Attendance

Attendance is mandatory for all members. Alternates shall be notified with as much advance notice as possible; one of the officers shall be notified at least 24 hours in advance. Failure to attend at least 60% (3 meetings) of the meetings in a semester can result in dismissal from the committee. After a third unexcused absence, the representative shall be replaced by an alternate from their team.

If all team representatives fail to attend SAAC meetings and removed as members of the SAAC, the team may lose its voting privileges for the year.

5. General Student Body Participation

- a. Any student or staff member of the UMass Lowell may attend a SAAC meeting.
- b. Any member of the UMass Lowell community may express any concerns regarding the UMass Lowell students-athletes and their well-being at any scheduled meeting, however, they must bring issues to the attention of the SAAC officers and Athletic Department staff advisor before raising the issues at a SAAC meeting.

- c. General members of the general student body are not permitted to run for a position as a representative or an officer to the SAAC.

Article VI: Voting

1. Each individual team will have one vote on issues brought forth to the SAAC; the representatives are encouraged to solicit input from their teammates prior to votes being taken.
2. Voting will occur through a ballot process. Should all representatives of a team have excused absences, the representatives may submit their votes to the officers prior to the meeting.
3. Should there be a tie in votes cast; a tie breaker vote will be conducted among the executive officers. The vote will consist of a secret ballot to be read by the Athletic Department staff member present.
4. When voting in new executive officers, the SAAC representatives will conduct a secret ballot vote that will be counted by the Athletic Department staff member present. In the case of a tie, the existing officers will conduct a secret ballot vote, which will be counted and read by the Athletic Department staff member present.
5. A quorum shall occur if half of the SAAC representatives are present during meetings.

Article VII: Amendments

1. Amendments to the Constitution can only be made during meetings when all SAAC members are present.
2. Representatives will be notified via hard copy or e-mail prior to all votes being taken. A two-thirds affirmative vote is needed to ratify an amendment to the constitution.

Article VIII: Open Meetings

1. Regularly scheduled Student-Athlete Advisory Committee meetings will

remain "open" meetings, unless otherwise stated with appropriate notice and reason. Student-athletes, coaches, administrators, staff, and members of the university community are welcome to attend "open" meetings.

2. The Executive Board (the elected officers of the Student-Athlete Advisory Committee) shall have the authority to rule on behalf of the full advisory committee when necessary.

Article IX: Fundraising

1. All fundraising activities must adhere to Athletic Department fundraising procedures and must receive the written prior approval by the institution's compliance officer.
2. No expenses shall be made without approval of the SAAC advisor and SAAC executive Board.

Article X: Advisor

A member of the athletic administration, appointed by the Director of Athletics, shall serve as an advisor to the Student-Athlete Advisory Committee.



ATHLETIC DEPARTMENT
BUSINESS OFFICE POLICY AND PROCEDURES

Policy Name: Athletic Travel Effective Date: January 19, 2016
Issuing Office: Athletic Business Office
Related Documents: University Travel Policy, Athletic Travel Quick Reference

PURPOSE

The Athletic Travel policy defines appropriate use of team and individual travel within the UMass Lowell Athletic Department. All travel is subject to conference and NCAA rules, regulations and guidelines. This manual is an overview of our policies and philosophy and is in no way intended to cover all questions that may arise. The purpose is to provide all personnel with pertinent data relative to their respective duties and responsibilities, to afford general information relative to University regulations, and to inform all employees of departmental policy and procedures.

GENERAL POLICY

All coaches and administrative directors are responsible for securing travel for their respective unit. All individual or team travel must be booked through the University's approved vendors. Please see Athletic travel quick reference sheet for current travel agency contacts.

INDIVIDUAL TRAVEL

A travel authorization form is required for all in and out of state travel. Travel authorization forms are submitted online through the ARMS portal and ultimately must be approved by the Associate AD of Business Operations before travel may commence.

All international travel must be approved by the Assoc. AD and by the Office of Institutional Compliance prior to travel.

Failure to complete information in ARMS prior to travel may result in forfeiture of

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ATHLETIC TRAVEL POLICY

expenses incurred and reimbursements will be declined.

To reconcile individual travel, all staff must follow the department and/or university policy and submit reconciliations to the Athletics Business Office.

TEAM TRAVEL

All team trips must be included in the annual sports budget and must be approved by the appropriate sport supervisor. Special requests relevant to team trips should be made to the appropriate sport supervisor.

Each head coach will receive a detailed annual travel budget at the beginning of the each fiscal year. The travel budget will indicate travel party limits and per diem allowances. Travel itineraries are required and must be emailed to the sport supervisor and administrative assistant prior to departure for distribution to the appropriate campus personnel.

The following mileage chart should be used to determine lodging and airfare/bus standards. Variations to this chart must be approved by the sport supervisor.

MILEAGE FROM LOWELL, MA

Distance		
School	Mileage	Time
UMBC*	420	6:42
↑ 400 MILES PLUS – AIRFARE ↑		
Binghamton *	314	5:00
Maine *	240	3:40
NJIT	230	4:00
Hofstra	222	3:41
Columbia	210	3:25
Vermont *	197	3:00
Albany *	180	2:50
Stony Brook *	180	3:50
↑ 180 MILES PLUS – OVERNIGHT ↑		
Fairfield	162	2:35
Yale	140	2:10
Quinnipiac	132	2:05
Central Connecticut	119	2:00
Dartmouth	107	1:50
Hartford *	107	1:50
Rhode Island	100	1:40

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UConn	90	1:30
UMass Amherst	80	1:30
Brown	78	1:30
Providence	70	1:15
Bryant	65	1:20
New Hampshire *	63	1:00
Holy Cross	45	0:50
Northeastern	33	0:45
Boston College	30	0:40
Boston University	30	0:40
Harvard	28	0:35
Merrimack	16	0:25

* America East Schools

To reconcile each team trip, all staff must follow the department and/or university policy and submit reconciliations to the Athletics Business Office.

Travel Squad

The Head Coach is responsible for managing all members of the official travel party.

All travel party members should travel as a unit to and from the competition.

Travel squad limits established for each program are as follows:

<i>Sport</i>	<i>Coaches</i>	<i>Players</i>	<i>Trainers</i>	<i>Sports Info</i>	<i>Manager</i>	<i>Total</i>
Baseball	3	28	1		1	33
Cross Country (co-ed)	3	24			1	28
Field Hockey	3	20	1		1	28
Golf	2	5				7
Ice Hockey	6	24	1	1	1	33
Indoor Track (co-ed)	7	56	#		1	64
Men's Basketball	4	15	1	1	2*	23
Men's Lacrosse	3	36	1		1	41
Men's Soccer	3	25	1		1	30
Outdoor Track (co-ed)	7	72	#		1	80
Softball	3	20	1		1	25
Volleyball	3	13	1		1	18
Women's Basketball	3	15	1	1	2*	23
Women's Lacrosse	3	25	1		1	30
Women's Soccer	3	20	1		1	25

*One of the two allocated for basketball operations personnel

An athletic trainer will travel for select meets

TEAM TRAVEL MEALS

Meal per diem will be limited to \$24.00 for away games (\$5 Breakfast, \$7 Lunch, \$12 Dinner) and \$12 per student-athlete for home contests. Per Diem is provided to cover meals missed as a result of competition.

It is the responsibility of the coach to distribute meal money and ensure that all players, coaches, and staff members sign a meal roster form when receiving per diem allowance. Receipts must be retained for all meals purchased. Unused meal money must be returned. The University Pre-paid Travel Card (Bank of America) must be used for all team meals. The Head Coach or designee is responsible for reconciling all charges against the team meal card and for ensuring proper usage consistent with NCAA and University guidelines. Coaches have the option to either disburse cash per-diem (requires meal signature roster) or use the card at a retail point of sale.

Alcohol is not be possessed or consumed by any student-athlete, manager, or student-trainer, regardless of age, during any University-sponsored travel for the purpose of athletic practice or competition. This restriction is in effect from the time of departure until the time of return, and includes, but is not limited to, time spent in: (1) University, commercial or private carriers/vehicles; (2) hotels and restaurants; and (3) athletic, commercial, and/or private facilities. It is the responsibility of each head coach to fully acquaint his/her team members with this policy, and to monitor policy adherence.

A detailed listing of University Guidelines for processing individual, team and recruiting travel is provided in Appendix (University Travel Policy)

RENTAL VEHICLES

Coaches and/or staff members must exercise supreme caution and sound judgment when operating rented vans/cars, and are the only authorized individuals who can operate rental vans/cars. Regardless of age, it is prohibited for student-athletes, student managers or student interns to operate rental vehicles. A member of the coaching staff must always directly supervise all team trips.

Drivers must abide by all state driving regulations and practice safe driving habits at all times when operating vehicles. -Seat Belts must be used by all passengers. - Never drink alcohol or use drugs and drive. Heed all prescription and over-the-counter drug warnings. -Drivers are prohibited from texting or e-mailing while

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driving, pull off the road in a safe area to use cellular phones. -Always drive the speed limit, adjusting to road and weather conditions. Use your signals at all times. Speeding fines are the responsibility of the driver. The Athletics Department will not reimburse drivers for speeding fines. -Rented team vehicles may be checked out Monday through Friday between the hours of 8:00 am and 5:00 pm, from the Team Services Manager. Special arrangements must be made in advance. -Vans must be thoroughly cleaned and gas tanks filled when returned to campus. -Return vans to designated parking area in the North Campus garage near Costello Athletics Center. -Keys should be returned to the Team Services Manager during business hours or special arrangements must be made on weekends/evenings. - Report any damage to the Team Services Manager immediately.

AUTHORIZED PASSENGERS

Authorized passengers on athletic buses, vans and cars must be persons who are: (1) members of the department's official travel party (coaches, manager(s), trainer(s), sports information staff; (2) cheerleaders and student newspaper/radio station personnel when previously approved by the Athletics Business Office; and (3) departmental and/or University staff. Persons who are not directly affiliated with the University may not travel on University vehicles.

EMERGENCY INFORMATION

In the case of an emergency, coaches should contact the Campus Police Office immediately. They will provide further notification. Coaches should then refer to the Van Information Form for additional information.

IMPORTANT TELEPHONE NUMBERS:

Department of Athletics: 978-934-2310

University Police Emergency Number: 978-934-2911

University Police: 978-934-2394



ATHLETIC DEPARTMENT
STAFF HANDBOOK POLICY AND PROCEDURES

Policy Name: Hazing Policy	Effective Date: February 8, 2016
Issuing Office: Athletic Compliance	
Related Documents: Staff Handbook	

The University of Massachusetts Lowell Athletics Department adheres to the University policy on hazing in compliance with Massachusetts State law G.L. 269 Section 17, 18 & 19.

The University defines hazing as the following:

Any intentional action taken, situation created, or conduct or method of initiation into any University organization, residence hall, club or athletic team, which denies a person his or her individual rights or results in mental or physical discomfort, embarrassment, harassment, ridicule, or endangerment, whether occurring on public or private property."

Such activities may include but are not limited to, the following: use of alcohol; paddling in any form; creation of excessive fatigue; physical and psychological shocks; quests, treasure hunts, scavenger hunts, and road trips; wearing in public apparel which is conspicuous and not normally in good taste; engaging in public buffoonery; morally degrading or humiliating games and activities which are not consistent with the regulations and policies of the educational institution.

Any individual student-athlete or athletic team found guilty of hazing or participating in hazing activities is subject to disciplinary action by the athletics department, the University Judicial Board, as well as civil action according to Massachusetts State Law.

CHART 10

RACIAL OR ETHNIC COMPOSITION OF STUDENT-ATHLETES BY SPORT GROUP

**Racial or Ethnic Composition of Student-Athletes by Sport Group - New Race/Ethnicity Categories Chart (IPEDS)
Operating Principle 3.2, Self-Study Item No. 10**

Indicate the number of student-athletes who received athletics aid* (include partial and nonqualifiers who were ineligible for aid) in each of the racial or ethnic groups listed below for the three most recent academic years. List the most recent academic year's data first.

Sports** Year	Racial or Ethnic Group																										
	American Indian/ Alaska Native			Asian			Native Hawaiian/ Pacific Islander			Black/ African American			Hispanic/Latino			White/Non Hispanic			Nonresidence Alien		Two or more races			Unknown			
	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13			
Baseball	-	-	-	-	-	-	-	-	-	-	-	1	1	-	19	16	9	-	-	-	1	1	1	1	-	1	
Men's Basketball	-	-	-	-	-	-	-	-	4	5	5	-	-	1	5	2	2	-	-	-	2	1	-	2	1	2	
Men's Track/Cross Country	-	-	-	-	-	-	-	-	2	2	5	-	-	-	20	12	12	-	-	1	2	-	1	1	1	2	
Men's Other Sports and Mixed Sports	-	-	-	1	-	-	-	-	4	2	1	4	3	1	47	35	26	8	2	6	6	1	-	4	4	4	
Women's Basketball	-	-	-	-	-	-	-	-	4	4	4	-	1	-	3	5	5	-	-	1	3	2	1	1	1	1	
Women's Track/Cross Country	-	-	-	1	-	1	-	-	1	1	5	-	-	1	24	15	17	-	-	-	-	-	-	3	3	4	
Women's Other Sports	-	-	-	2	1	-	1	1	-	1	1	-	3	2	2	58	49	55	3	2	-	10	5	4	5	6	2
Total	0	0	0	4	1	1	1	1	0	16	15	20	8	7	5	176	134	126	11	4	8	24	10	7	17	16	16

*Institutions that do not award athletics aid should compile these data for student-athletes who were recruited, in accordance with NCAA Division I Bylaw 13.02.13.1 (Recruited prospective student-athlete).

**For those sports listed in this column that have not been at the varsity level for three years, indicate in this column the year in which the sport was recognized as a varsity sport.

Name of persn completing the chart: Title

CHART 10

RACIAL OR ETHNIC COMPOSITION OF STUDENT-ATHLETES BY SPORT

Racial or Ethnic Composition of Student-Athletes by Sport Group - New Race/Ethnicity Categories Chart (IPEDS)

Operating Principle 3.2, Self-Study Item No. 10

Indicate the number of student-athletes who received athletics aid* (include partial and nonqualifiers who were ineligible for aid) in each of the racial or ethnic groups listed below for the three most recent academic years. List the most recent academic year's data first.

Sports** Year	Racial or Ethnic Group																										
	American Indian/ Alaska Native			Asian			Native Hawaiian/ Pacific Islander			Black/ African American			Hispanic/Latino			White/Non Hispanic			Nonresidence Alien		Two or more races		Unknown				
	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13
Baseball	-	-	-	-	-	-	-	-	-	-	-	1	1	-	19	16	9	-	-	-	1	1	1	1	-	1	
Men's Basketball	-	-	-	-	-	-	-	-	4	5	5	-	-	1	5	2	2	-	-	-	2	1	-	2	1	2	
Men's Track/Cross Country	-	-	-	-	-	-	-	-	2	2	5	-	-	-	20	12	12	-	-	1	2	-	1	1	1	2	
Men's Other Sports and Mixed Sports	-	-	-	1	-	-	-	-	4	2	1	4	3	1	47	35	26	8	2	6	6	1	-	4	4	4	
Women's Basketball	-	-	-	-	-	-	-	-	4	4	4	-	1	-	3	5	5	-	-	1	3	2	1	1	1	1	
Women's Track/Cross Country	-	-	-	1	-	1	-	-	1	1	5	-	-	1	24	15	17	-	-	-	-	-	-	3	3	4	
Women's Other Sports	-	-	-	2	1	-	1	1	-	1	1	-	3	2	2	58	49	55	3	2	-	10	5	4	5	6	2
Total	0	0	0	4	1	1	1	1	0	16	15	20	8	7	5	176	134	126	11	4	8	24	10	7	17	16	16

*Institutions that do not award athletics aid should compile these data for student-athletes who were recruited, in accordance with NCAA Division I Bylaw 13.02.13.1 (Recruited prospective student-athlete).

**For those sports listed in this column that have not been at the varsity level for three years, indicate in this column the year in which the sport was recognized as a varsity sport.

Name of person completing the chart:

Title

CHART 12

RACIAL OR ETHNIC COMPOSITION OF ALL STUDENTS

Racial or Ethnic Composition of all Students - New Race/Ethnicity Categories Chart (IPEDS) STUDENTS GENERALLY AND STUDENT-ATHLETES ON ATHLETICS AID* Operating Principle 3.2, Self-Study Item No. 9

Indicate the number of students generally (including student-athletes) who received athletics aid* (include partial and nonqualifiers who were ineligible for aid) in each of the racial or ethnic groups listed below for the three most recent academic years. List the most recent academic year's data first.

	Racial or Ethnic Group																										
	American Indian/ Alaska Native			Asian			Native Hawaiian/ Pacific Islander			Black/ African American			Hispanic/Latino			White/Non Hispanic			Nonresidence Alien			Two or more races			Unknown		
	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13	AY14-15	AY13-14	AY12-13
All Students	15	10	9	928	906	859	3	2	1	593	578	611	922	892	837	6577	6366	6167	294	201	123	255	214	212	567	635	582
Student Athletes	-	-	-	4	1	1	1	1	-	16	15	20	8	7	5	176	134	126	11	4	8	24	10	7	17	16	16

*Institutions that do not award athletics aid should compile these data for student-athletes who were recruited, in accordance with NCAA Division I Bylaw 13.02.13.1 (Recruited prospective student-athlete).

**For those sports listed in this column that have not been at the varsity level for three years, indicate in this column the year in which the sport was recognized as a varsity sport.

Name of person completing the chart:

Title

*All students include Undergraduate Day Students. Source: Enrollment At-a-Glance, various years.

Submission Page



University of
Massachusetts
Lowell


Learning with Purpose

I DO HEREBY CERTIFY THAT ALL STATEMENTS MADE IN THIS APPLICATION ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, INFORMATION AND BELIEF.

Name and title of person completing this form:



Chancellor Jacqueline Moloney



Provost Don Pierson

Date: May 15, 2016