THE UNIVERSITY OF KENTUCKY

PLAN FOR COMPLETING THE

SELF-STUDY FOR

NCAA DIVISION I CERTIFICATION

REVISED
FEBRUARY 3, 2004
GOALS

1. Solicit input and feedback from all interested constituencies to ensure balanced, broad-based participation in the self-study process.

2. Conduct an accurate, complete and thoughtful review of the Athletics Department that recognizes its many strengths as well as areas where improvements are needed. Evaluate progress made since first-cycle review.

3. Aid in establishing a departmental culture that values integrity, sound fiscal policy and excellence in developing student-athletes to their full potential, including academics and competition.

4. Demonstrate compliance with the NCAA Operating Principles leading to continuation of NCAA certification in the second-cycle review.
INSTITUTIONAL PLANS AND RECOMMENDATIONS
RESULTING FROM FIRST-CYCLE REVIEW

The University of Kentucky completed the NCAA first cycle review of its athletics program in 1996-97. As a result, the NCAA Committee on Athletics Certification reviewed written materials prepared by UK and the campus evaluation visit conducted by the peer-review team and concluded that UK should be certified. This meant that UK was considered to be operating its athletics program in conformity with NCAA’s Division I operating principles and that any problems identified were considered to be not serious enough to affect certification status. As part of its certification decision (See Summary of Actions in Appendix A.), the committee determined that UK must address three strategies for improvement. The NCAA peer-review team will review UK’s progress on the following three strategies during the second-cycle review:

- Amend the gender-equity plan to include a more thorough review of other issues related to gender equity in the intercollegiate athletics program (e.g., promotions, marketing, travel, per diem). The committee reviewed UK’s revised gender-equity plan as outlined in its April 10 correspondence and found it to be satisfactory. However, the committee expressed concern that the plan did not address the broad range of issues related to gender equity.

- Document and disseminate (e.g., through the athletics department policies and procedures manual) the job description detailing the responsibilities and role of the university’s faculty athletics representative.

- Ensure that the Wildcat Foundation and other booster organizations of UK are subject to a more thorough financial audit conducted by an outside auditor (as opposed to only a disclosure of financial summary data verified by outside auditors), as part of the annual external financial audit required by NCAA Constitution 6.2.3.1.

UK Self-Study
The written materials prepared by UK for the NCAA Committee on Athletics Certification included a self-study report (see Appendix B) in which each subcommittee made suggestions for improvement. These suggestions are listed below. Additionally, the University of Kentucky’s minority and gender plans were revised and submitted to the NCAA shortly after first-cycle certification review, as requested. Copies of the revised plans are included here as Appendix C and Appendix D, respectively.

Governance and Commitment to Rules Compliance

- The president, as chair of the Athletic Association Board, should conduct an orientation meeting, beginning fall 1996, for new members of the Board prior to their first meeting to communicate the role and responsibilities of the Athletic Association Board.
• The chair of the Student-Athlete Advisory Committee should be appointed as one of the two student members of the Athletic Association Board beginning fall 1997. The president will make the appointment effective July 1, 1997.
• The director of athletics and the faculty athletics representative should meet and report on the athletics program to the University Senate Council on an annual basis, beginning with the academic year 1996-97.
• The assistant director of athletics for compliance should present an annual oversight report to the Athletic Association Board, beginning with the academic year 1996-97.
• The University should utilize the Southeastern Conference Compliance Review Program to conduct rules-compliance evaluations coordinated by the Compliance Office according to a scheduled frequency conforming to NCAA regulations, beginning fall 1996.
• The assistant director of athletics for compliance should meet annually with each booster group to provide rules education, beginning fall 1996.

Academic Integrity
• The Academic Integrity Group should be formally recognized by the president in the academic year 1996-97 as a continuing committee.
• The president should include in the responsibilities of the Academic Integrity Group oversight of the academic support services and should appoint the dean of undergraduate students to assist in achieving this goal.

Fiscal Integrity
• Budget revisions should be handled throughout the year by the senior associate director of athletics when the overall budget is increased or decreased by obtaining approval of the UKAA and the UK Board of Trustees as the need occurs, beginning fiscal year 1996-97. This is currently done only at year-end.

Commitment to Equity
• The Director of Athletics should continue the commitment to increase the number of African Americans in senior administrative, professional and head coaching positions in the Athletics Department as positions become available.
• The Director of Athletics should continually strive to achieve the objectives outlined in both the plan for gender equity and the plan for addressing minority opportunities.
• The Director of Athletics should communicate to student-athletes through the Student-Athlete Advisory Committee when changes are effected as a result of recommendations made during student-athlete exit interviews.
COMMITTEE FUNCTION AND COMPOSITION

The Steering Committee Chair
Constance A. Ray, Vice President for Institutional Research, Planning and Effectiveness, was appointed as Chair of the Steering Committee by President Lee T. Todd, Jr. Dr. Ray has a direct reporting line to the President, has direct access to the President, and has the authority to oversee the self-study process.

Steering Committee and Subcommittees
All subcommittee chairs also serve as members of the Steering Committee. All committee members were appointed with the oversight and approval of President Todd. Names and titles of steering committee and subcommittee members can be found at the end of this section.

While the majority of members of the steering committee and three subcommittees have no day-to-day connection to university athletics, there is good representation of members from both inside and outside the Athletics department.

Student-athletes were recruited and recommended by the Athletics Director. Student-at-large committee members’ names were provided by the Student Government Association.

There is good racial and gender representation throughout the committee structure, including the steering committee and subcommittee chairs. One means of assuring broad-based participation in the self-study process was inclusion of faculty, staff, students, student-athletes, administration, a member of the Board of Trustees, a community representative, and alumni on the various committees.

All individuals appointed to either the Steering Committee or one of the subcommittees were given the opportunity to refuse participation in this project. It is assumed that those who have agreed to participate have an adequate amount of time to devote to completion of the project.

Responsibilities

Steering Committee
- Hold regular meetings.
- Maintain a written record of dates and minutes of meetings, including a record of attendance.
- Maintain a record of opportunities provided to the campus community for broad-based input into the self-study process, as well as updates and progress reports posted to the Web or published in campus or local publications.
- Review the progress of subcommittees by receiving, analyzing, and interpreting their reports.
• Prepare a final self-study report, relying on the reports of the subcommittees and aided by the chief report writer who will attend all meetings of the steering committee.
• Host the peer-review team.

Subcommittees
• Meet monthly or more often as needed.
• Maintain a written record of dates and minutes of meetings, including a record of attendance.
• Assure that all subcommittee meetings are accessible, providing opportunities for individuals and campus groups to be heard.
• Hold public meetings/forums as necessary to invite input and gather information.
• Meet with the Student Athletic Advisory Committee to solicit input.
• Meet with/interview members of the Athletics department and student athletes as appropriate to gather information necessary for completing subcommittee assignment.
• Assign a member from the Athletics department to assist in collecting necessary data.
• Collect, organize and interpret data pertinent to subcommittee assignment.
• Assure conformity with the NCAA Operating Principles.
• Check for areas of overlap with other subcommittees (see page 36 of the NCAA self-study instrument).
• Write the subcommittee report.
• Develop appropriate institutional plans for improvement.
• Provide monthly reports/updates to the steering committee.
NCAA Division I Certification Steering Committee

Connie A. Ray, Chair and Vice President for Institutional Research, Planning & Effectiveness (appointed by President)

Lee T. Todd, Jr., President (required)

Douglas A. Boyd, Acting Chief of Staff to the President (President’s designee)

John J. Piecoro, Jr., Faculty Representative to NCAA and Professor, Pharmacy (required)

Mitch Barnhart, Director of Athletics (required)

Micki King, Assistant Athletics Director and Senior Woman Administrator (SWA) (required)

C. Darrell Jennings, Chair of the Academic Integrity Subcommittee and Associate Dean for Academic Affairs in the College of Medicine (recommended by Faculty Senate)

Lionel Williamson, Chair of the Equity and Student-Athlete Welfare Subcommittee and Associate Dean for Diversity and Professor in the College of Agriculture (recommended by Provost)

Ken Roberts, Chair of the Governance and Commitment to Rules Compliance Subcommittee and Dean of the College of Pharmacy (recommended by Faculty Senate)

Mary Marchant, Professor in the College of Agriculture (recommended by Provost; member of President’s Commission on Women)

William, B. Daugherty, Jr., Alumni Representative (recommended by Alumni Association)

Barbara Young, UK Board of Trustees (recommended by President)

Antoine Huffman, Student-Athlete (recommended by Athletics Director)

Jessica Burke, Student-at-Large (recommended by Student Government Association)

Chief Report Writer: Carl Nathe, UK Public Relations (Recommended by Director, UK Public Relations)

Campus Liaison: Lisa Peterson, Assistant Athletics Director for Business (Recommended by Athletics Director)
Governance and Commitment to Rules Compliance Subcommittee

Ken Roberts, Chair and Dean of the College of Pharmacy (recommended by Faculty Senate)

Sandra D. Bell, Assistant Director of Athletics for Compliance (recommended by Athletics Director)

Mary J. Davis, Stites and Harbison Professor of Law (recommended by Provost)

Karen Combs, Vice Provost for Budget and Administrative Services (recommended by Provost)

Lynda George, Director of Financial Aid (recommended by Associate Provost for Undergraduate Education)

Barbara Jones, Legal Office (recommended by Steering Committee Chair)

Luther Deaton, Community Representative (recommended by Athletics Director)

Steve Parker, Associate Professor in Kinesiology and Health Promotion (recommended by The President’s Commission on Diversity)

Alexis Bwenge, Student-Athlete (recommended by Athletics Director)

Matthew Rippetoe, Student-at-Large (recommended by Student Government Association)
**Academic Integrity Subcommittee**

C. Darrell Jennings, Chair and Associate Dean for Academic Affairs in the College of Medicine (recommended by Faculty Senate)

Robert L. Bradley, Associate Athletics Director for C.A.T.S. (recommended by Athletics Director)

Victor Hazard, Associate Vice President and Dean of Students (recommended by Vice President for Student Affairs)

Michelle Nordin, Associate Director, Registrar (recommended by Associate Provost for Undergraduate Education)

Lois Chan, Professor of Library and Information Science (recommended by The President’s Commission on Diversity)

Chuck Staben, Professor of Biology (recommended by Faculty Senate)

Roger Sugarman, Director of Institutional Research (recommended by Steering Committee Chair)

Vicki Goss, Student-Athlete (recommended by Athletics Director)

Justin Rasner, Student-at-Large (recommended by Student Government Association)
Equity and Student-Athlete Welfare Subcommittee

Lionel Williamson, Chair and Associate Dean for Diversity and Professor in the College of Agriculture (recommended by Provost)

Sonya Feist-Price, Associate Professor in Rehabilitation Counseling (recommended by Faculty Senate)

Micheline Schott, Athletics Administration (recommended by Athletics Director)

Patricia V. Burkhart, Associate Professor of Nursing (recommended by President’s Commission on Women)

Terry Allen, Associate Vice President for Equal Opportunity (recommended by Steering Committee Chair)

Randy Gonzalez, Director of Student Affairs Administration (recommended by Vice President for Student Affairs)

Sandy Copher, Director of the Office of Academic Scholarships (recommended by Associate Provost for Undergraduate Education)

Ricardo Nazario-Colon, Director of the Martin Luther King Cultural Center (recommended by The President’s Commission on Diversity)

Wes Coffman, Community Representative (recommended by President)

Anne Ogundele, Student-Athlete (recommended by Athletics Director)

Braphus Kaalund, Student-at-Large (recommended by the Student Government Association)
CAMPUS LIAISON

The institution’s Campus Liaison is Lisa Peterson, Assistant Athletics Director for Business. Duties include:

- Serve as a member of the Steering Committee
- Serve as a resource person to the subcommittees
- Coordinate the collection and dissemination of information about the self-study and certification process to institutional personnel
- Handle questions from institutional personnel in interpreting certification policies and procedures as contained in the handbook and self-study instrument
- Forward difficult interpretive questions to the NCAA staff and communicate answers to appropriate personnel
- Coordinate preparations for the NCAA liaison’s orientation visit
- Coordinate preparations for the evaluation visit:
  - arranging lodging and travel for the peer-review team;
  - arranging dinner/reception for first evening of evaluation visit and extending invitations;
  - arranging meals/breaks;
  - scheduling interviews and other peer review team activities;
  - organizing work-related needs for peer reviewers (computer resources, secretarial support, copier, fax machine, telephone, audiovisual needs, meeting rooms, etc.)
  - arranging exit interview
- Conduct a pre-visit briefing for the Student-Athlete Advisory Committee, student-athletes, coaches, and others
- Coordinate involvement of the Southeastern Conference
- Coordinate communication with the NCAA regarding comments concerning potential peer-review team members proposed by the Committee on Athletics Certification
- Coordinate evaluative comments on the self-study process
- Organize follow-up studies and reports as identified by the University or required by the Committee on Athletics Certification

CHIEF REPORT WRITER

Carl Nathe, UK Office of Public Relations, will serve as the Chief Report Writer for the Athletics Certification self-study. Duties include:

- Serve as a member of the Steering Committee
- Serve as a resource person for the subcommittees
- Maintain a file of all supporting documents and prepare these for evaluation visit (one set for on-campus working room, one set for off-campus location)
- Ensure that additional documentation is available as needed at various campus locations
• Prepare for and coordinate Steering Committee editing sessions.
• Compile approved subcommittee drafts into final self-study report
• Arrange for Public Relations review of report to ensure compliance with Style Guide
• Work with appropriate individuals to submit electronic copy of report to NCAA
# OUTLINE AND SCHEDULE

## Preparing for the Self-Study

<table>
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<tr>
<th>Month</th>
<th>Event Description</th>
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<tr>
<td>July 2003</td>
<td>University receives letter of notification that second-cycle NCAA certification review process is to begin.</td>
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<td>August 2003</td>
<td>President Lee T. Todd, Jr. appoints Constance A. Ray, Vice President for Institutional Research, Planning and Effectiveness to chair the NCAA Division I Self-Study Steering Committee</td>
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<td>Sept.-Oct. 2003</td>
<td>Steering Committee and subcommittee members are appointed and notified.</td>
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<tr>
<td>October 2003</td>
<td>Chair schedules planning meeting with subcommittee chairs. President Todd announces beginning of Athletics self-study process to University community – Board of Trustees and Athletics Board.</td>
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<tr>
<td>December 2003</td>
<td>First meeting of Steering Committee. President presents charge. Working materials distributed. Self-study Plan reviewed and approved. Subcommittee chairs contact their committee members. Self-Study Plan sent to NCAA representative.</td>
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## Conducting the Self-Study

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<tr>
<td>January 2004</td>
<td>Meeting of all members of steering committee and subcommittees officially kicks off the self-study process. Campus orientation visit by NCAA representative. Convening subcommittees to begin work on individual reports.</td>
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Tour of Athletics department/facilities.

February 2004
Steering Committee meets on a monthly basis. Subcommittees meet at least monthly/more often as needed to gather information and begin to draft reports.

Begin preliminary inquiries/arrangements for peer-review team’s visit.

June 2004
Draft reports completed by subcommittees and submitted to Steering Committee for review.

Receive list of potential peer-review team members from the NCAA. Institution has one month to review and respond to this list with recommendations to add/remove potential team members.

June-August 2004
Draft reports reviewed by Steering Committee and compiled by Chief Report Writer.

September 2004
Institution will receive notification of specific peer review team members selected to visit campus in April 2005.

Draft report posted to web page and announcement made to University community soliciting review and comment.

October 2004
Revision of final report. Report sent to printing to prepare hard copies for Board of Trustee review, additional internal copies.

November 30, 2004
Report to President’s Office for distribution to Board of Trustees, others.

December 14, 2004
Meeting of the Board of Trustees. Present draft of self-study to the Board for their review and endorsement.

**Preparing for Evaluation Visit**

January 2005
Submit completed self-study report to NCAA.

Finalize arrangements for peer-review team visit – accommodations, transportation, meals, working room, clerical assistance, etc.
February 2005
Develop itinerary for peer-review team visit.
Schedule interviews. Gather and organize documentation.

**The Evaluation Visit**

April 2005
Receive the peer-review team on campus.

Exit report to President and University community.

**Receipt of Report and Certification Decision**

May-June 2005
Institution to receive draft of peer-review team’s report prior to its submission to the NCAA. Institution has one month to prepare a written response. Response is only to include: 1) corrections of factual errors; 2) presentation of new, relevant information not considered by the peer-review team; 3) proposed additional corrective actions for remedying deficiencies.

Peer-review team finalizes its report and submits to NCAA Division I Committee on Athletics Certification for review and certification decision.

Institution may be asked to complete evaluation of the self-study process.

Written certification decision will be sent to the chief executive officer and announced publicly through an NCAA press release.

Institution will revise plans for improvement as instructed by NCAA and begin implementation of corrective actions in response to recommendations.
CONFERENCE INVOLVEMENT

The Southeastern Conference (SEC) office will serve in an advisory capacity, represented by Mr. Greg Sankey. The Steering Committee will keep all channels of communication open with Mr. Sankey including: ensuring access to all meetings, reports, proceedings, minutes, referral to the self-study Web page, providing copies of press releases, and other announcements.

GUIDELINES FOR WRITING AND EDITING THE REPORT

Committee Support

The Athletics Department will make arrangements to provide staff support to the subcommittees, as needed. This support will include attending subcommittee meetings on a monthly basis (more often as needed/requested by the subcommittee chair), maintaining a file of minutes for each subcommittee and forwarding these for posting to the NCAA Self-Study Web page, scheduling meeting rooms and sending out announcements of subcommittee meetings, preparing draft reports, making copies and performing additional duties necessary.

The Athletics Department will provide computer resources, telephones, copier, fax machine, office supplies and other necessary support for the peer-review team visit.

Writing

The final self-study report will be submitted through the NCAA Athletics Certification System. Writing for the online submission, as well as hard copy reports, of the self-study will follow the rules presented in the “University of Kentucky Style Guide”. The guide can be found online at www.uky.edu/Regs/Style/style.html. For all areas the guide does not cover, the “Chicago Manual of Style” is to be used. The report format is provided in the “NCAA Self-Study Instrument,” as presented in the web-based NCAA Athletics Certification System. The instrument lists relevant NCAA Operating Principles under each of the three major report sections, includes the appropriate forms to be completed by each subcommittee, provides an evaluation checklist to judge the institution’s compliance with each of the relevant Operating Principles, and describes how plans for improvement are to be structured and completed. Each subcommittee will also be provided with: 1) a copy of the institution’s first-cycle certification report and, 2) a copy of the peer-review team’s report and recommendations to use as reference materials in preparation of their draft documents.
Editing

Individual subcommittees will edit draft reports prior to their submission to the Steering Committee. As mentioned above, by using the NCAA Self-Study Instrument in preparing draft reports, each subcommittee will have responded to the Operating Principles relevant to their individual section. A progress report from each subcommittee will be included on the agenda of each meeting of the Steering Committee. The Steering Committee will provide oversight, input and guidance as subcommittees gather, analyze, and interpret the information needed to complete their assignments. As necessary, questions will be referred to the NCAA for answers.

When draft reports are completed, the Steering Committee will review these and meet with individual subcommittees to discuss and make suggestions for changes or additional information needed. Drafts will be returned to the subcommittees for revision if needed.

Preparing the Final Report

Following Steering Committee review of subcommittee reports and after suggested changes have been made, the approved drafts will then be combined into a single final draft by the Chief Report Writer. The Steering Committee’s final draft will be posted to the NCAA Self-Study section of the President’s Web page and an announcement made to the University community asking for review and input into the report. Public comment and suggestions will be reviewed and incorporated, as appropriate, into the self-study report, which will be presented to the Board of Trustees for their review and endorsement prior to electronic submission to the NCAA. Upon final input of the self-study report to the web-based NCAA Athletics Certification System, the Steering Committee Chair will make the official online submission.
COMMUNICATIONS PLAN

The Communications Plan is designed to ensure that the campus and community are aware of the importance of the self-study and to ensure opportunities for participation in its completion. The committee structure was designed to be representative of various university constituencies, providing a direct communication link to interested parties; a web page will ensure broad-based communication to the campus community and the general public; and a well-conceived publicity plan will convey consistent, accurate information to both internal and external audiences. Additional details follow.

A. Committee Structure

A broad-based, complete and accurate self-study can only be accomplished through participation of all interested parties. To ensure the opportunity for input from various constituencies, particular attention was paid to the appointment of members to both the Steering Committee and three subcommittees. Recommendations were solicited from various groups. As these were received, individuals were invited to serve on the committee/subcommittee where it was determined they could make the greatest contribution. Committee lists were finalized as individuals agreed to participate. The following are among the groups/individuals from whom recommendations were requested:

- Faculty Senate
- Student Government Association
- President’s Commission on Diversity
- President’s Commission on Women
- Office of the Provost
- Athletics Director
- Vice President for Student Affairs
- Associate Provost for Undergraduate Education
- UK Alumni Association

As word spread that the self-study process for Athletics was underway, interested individuals also contacted the Chair of the Steering Committee to volunteer their service as committee members/subcommittee chairs.

Subcommittees will be in touch with individual university offices/personnel as necessary to gather information for draft reports.

B. Web Page

An area devoted to the self-study will be established on the President’s Web page. An initial announcement regarding the beginning of the self-study will include an invitation for interested individuals to provide their input. Throughout the self-study process, relevant documents will be posted to the page. This will include the self-study plan, schedules for committee meetings, and minutes from steering and subcommittee meetings. When the self-study is completed, a draft of the report will be posted to the web page and the entire university community will be
invited to review and provide feedback on the report which will then be revised to incorporate relevant suggestions prior to submission to the NCAA.

C. Publicity
In October 2003 President Todd made an official announcement of the self-study to the Board of Trustees and the Athletics Board and stressed the need for broad-based involvement.

Periodic reports to specific groups will be used as a means of keeping them informed of the self-study’s progress. The Board of Trustees will receive periodic reports as will the Faculty Senate. Announcements, progress reports, and updates will be published in University publications throughout the self-study process. Upon completion of the self-study and following the time period of posting to the web site for public comment/feedback, the revised report will be submitted to the Board of Trustees for their review and endorsement prior to submission to the NCAA.

A tentative plan currently includes:
December 2003  Article in “UK News” announcing beginning of self-study process.

News release to local media announcing beginning of self-study process.

January 2004  Article in “UK News” regarding NCAA liaison’s orientation visit.

News release to local media announcing NCAA liaison’s orientation visit.

February – May 2004  Monthly article in “UK News”. Each month the work of a different subcommittee will be featured.

September 2004  Article in “UK News” announcing posting of the self-study report to the website and encouraging campus feedback.

*Any of the UK News articles can also be part of a broader release to outside media.