



President's Directive on Intercollegiate Athletics October 2016

I. Institutional Purpose and Athletic Philosophy

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

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

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

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

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

Athletics and Recreation to adhere to all regulations promulgated for the governance of intercollegiate athletics by the Big Ten Conference, the NCAA, and other groups to which the University belongs. Specifically, Northwestern policies and practices regarding institutional governance and control of intercollegiate athletics are consistent with the May 2015 Big Ten Conference Standards. Beyond these controls, and in the interest of its student-athletes, Northwestern has adopted procedures, guidelines, and policies that are more stringent than those for which it is held accountable externally. The University administration and the Department of Athletics and Recreation are equally responsible for observing these internal standards.

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

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

II. Student-Athlete Well-Being and Educational Experience

Recruiting

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

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

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

coach must accurately represent both the athletic and academic programs of the University. To do so, each coach will include academic information in communications with all prospective student-athletes early in the recruiting process. The Presidential Directive will be available to all prospective student-athletes in the recruiting section of the athletics department website

Admission

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

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

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

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

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

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

Financial Aid

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

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

Academic Advising and Assistance for Intercollegiate Athletes

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

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

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

The Committee on Athletics and Recreation is also responsible for reviewing the effects of intercollegiate practices and competitions on the academic performance of student-

athletes and for reviewing the Department of Athletics and Recreation's academic assistance program for student-athletes.

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

Certification of Eligibility

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

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

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

Academic Progress

In order for a student-athlete to graduate from Northwestern University within four academic years, he or she must make progress towards a degree at a faster rate than the minimum required for athletic eligibility by the NCAA and the Big Ten Conference. The associate athletic director for academic services and student development is responsible for monitoring the academic progress of student-athletes on both a quarterly and yearly basis. While every effort must be made to give every student-athlete the opportunity to graduate from Northwestern in four academic years, the University recognizes that in some cases this is not possible. Under such circumstances, the University is fully committed to financial support of such student-athletes during their fifth year.

Health and Safety of Student-Athletes

Northwestern is deeply concerned with both the short- and long-term effects of intercollegiate competition on the well-being of student-athletes. The head team physician, who is responsible for the quality of medical care of student-athletes, reports directly to the executive director of University Health Services. In all matters bearing on the healthcare of student-athletes, an approach taking into account the entire person, rather than only his or her medical and/or psychological diagnosis will be emphasized.

The head team physician will have authority for the return to practice and/or competition of any student-athlete who has been limited from participation by injury or illness. The head team physician will also directly supervise the athletic training staff and all ancillary healthcare providers regarding medical decisions and treatments pertaining to student-athletes. This administrative structure provides independent medical care and affirms the unchallengeable autonomous authority of primary athletics health care providers (team physicians and athletic trainers) to determine medical management and return-to-play decisions related to student-athletes. Further, this structure ensures that no coach serve as the primary supervisor for any medical provider, nor have hiring, retention, and dismissal authority over that provider.

The psychological care of student-athletes, just as with all students, is the responsibility of Counseling and Psychological Services (CAPS). CAPS psychologists and psychiatrists report to the executive director of CAPS, and provide both mental health care and performance psychology services for student-athletes. The CAPS sport psychology team will collaborate closely with the head team physician and other healthcare providers to ensure care of the whole person.

Both University Health Services and Counseling and Psychological Services report to the vice president for student affairs.

All coaches must conduct their programs in such a way as to maximize the well-being of their student-athletes, and coaches will be provided with appropriate education and feedback from intercollegiate and health service sports medicine services and CAPS in order to do so. Opportunities for student-athletes to enhance their performance and well-being will be provided by therapeutic and educational resources through both University Health Services and Counseling and Psychological Services.

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

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

Senior Exit Interviews and Student Evaluations

The Committee on Athletics and Recreation reviews student-athlete evaluations annually for all intercollegiate teams. These confidential evaluations encompass all aspects of student-athlete experience at Northwestern. In addition, the Committee conducts exit interviews for all graduating student-athletes. Results of exit interviews will be reported in groups of three or more to the Committee and discussed with coaches.

III. Intercollegiate Financial Affairs, Personnel, and Administration

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

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

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

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

IV. Interactions outside the Department of Athletics and Recreation

The vice president for athletics and recreation will notify in writing representatives of athletics interests, including N Club members, booster club members, and others who may come in contact with student-athletes or prospective student-athletes of the constraints imposed on contacts with student-athletes by NCAA, Big Ten, and University regulations.

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

V. “Concern” Reporting

Northwestern University uses EthicsPoint for anonymous and confidential reporting of activities that may involve violations of NCAA regulations by Northwestern coaches, faculty, staff, student-athletes, boosters, or members of the public at large. A report may be filed by accessing [EthicsPoint](https://secure.ethicspoint.com/domain/media/en/gui/7325/index.html) online (<https://secure.ethicspoint.com/domain/media/en/gui/7325/index.html>) or by calling EthicsPoint toll-free (866-294-3545). Reports submitted via EthicsPoint are handled promptly and discreetly. No retaliatory action will be taken against anyone for reporting or inquiring in good faith about potential violations of NCAA regulations.

VI. Review of the Presidential Directive on Self-Regulation of Intercollegiate Athletics

This directive will be reviewed annually and revised as necessary by the Committee on Athletics and Recreation and approved by the president or the president’s designee to ensure compliance with all internal, NCAA, and Big Ten principles and regulations.

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