THE UNIVERSITY of NORTH CAROLINA at CHAPEL HILL

The University of North Carolina at Chapel Hill
Academic Anomalies Review
Report of Findings

Prepared by James G. Martin, Ph.D.
Former Governor of North Carolina

Assisted by Baker Tilly

December 19, 2012

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The Board of Trustees
Chancellor Holden Thorp
The University of North Carolina at Chapel Hill

Ladies and Gentlemen:

Last summer, the University of North Carolina at Chapel Hill (the University) requested that I undertake a deeper review to investigate "serious anomalies" related to the course offerings and methods of instruction within the Department of African and Afro-American Studies (AFRI/AFAM, or the Department). The University engaged Baker Tilly, a national advisory firm, to assist with the review. Baker Tilly has experience in working with other institutions on sensitive matters and is accustomed to performing such reviews objectively, but also cooperatively. Our review team worked independently from University leadership and staff, but with their full cooperation. We were granted unfettered access to University systems, records, and personnel.

Considering the nature of the project and speculation from the media, students, alumni, and the public, the review team carried out the project with an attitude of professional skepticism. We did not accept any evidence or viewpoints at face value and performed procedures to corroborate the accounts given and assess the completeness of the information provided. The 84 individuals interviewed were cooperative, and very few others declined the opportunity to meet with the review team.

In brief, we can say with confidence:

- This was not an athletic scandal. Sadly, it was clearly an academic scandal; but an isolated one, within this one department.
- Within AFRI/AFAM, no other faculty member was involved unethically, other than former Chairman Nyang'oro and Administrator Crowder. Eight other professors were unwittingly and indirectly compromised in dozens of instances in which someone else signed their signatures to Grade Rolls and Grade Changes, without their knowledge or authorization to do so. Our evidence shows that no other AFRI/AFAM instructor was responsible for this wrongdoing.
- We found nothing that is inconsistent with the internal Hartlyn-Andrews Review. We found new or additional information, and a great deal more of the same information, from an earlier time. There was a mass of interesting information. We found "red flags" in other departments that aroused our curiosity, but found reasonable, acceptable explanations for those courses. After pursuing a large number of leads, we found no evidence to implicate other parties than those identified by the Hartlyn-Andrews Review.
- In every respect, cooperation throughout your organization was impeccable and our access was unrestricted. We did receive a number of additional opinions and observations, but limited our findings to those we could corroborate.

As we expected from the beginning, finding a longer chain of serious misbehavior will cause enduring pain and embarrassment for the University. We believe it has been characterized, and did not spread, and that appropriate remedies are being put in place to restore the expectation of institutional integrity.

Sincerely,

James G. Martin, Ph.D.

Contents

Letter from the Governor ii
Purpose, Scope, and Approach of this Review 1
Introduction 1
Purpose of this Review 3
Scope of and Time Period Covered by this Review 3
Approach for Completion of this Review 4
Executive Summary and Conclusions 6
Background 10
Timeline 10
Other Reports Related to Identified Academic Anomalies 12
Definitions of Terms Used within this Report 17
University Departments and Administrative Areas Discussed in this Report 22
Relevant University Processes 24
Processes in Establishing, Offering, and Instructing Courses 24
Process for Student-Athlete Admissions 25
Academic Support Program for Student-Athletes 27
Overview of Analysis and Procedures Performed 28
Procedures to Identify Course Sections for Review 28
Initial Data Analysis – "Red Flags" Identification 29
Further Evaluation – Review of Course Records 31
Final Confirmation – Instructor and Administrator Interviews 31
Findings on Academic Anomalies 34
Exploration of Factors Potentially Contributing to the Discovered Academic Anomalies 52
University-wide and Department-Level Factors 53
Evaluation of the Possibility of Individual Gains 60
Appendix A – Interviews Conducted 63
Appendix B – High-Level Analytical Questions Considered 69
Appendix C – Governor Martin's Remarks to Trustees 70
Report Addendum – January 24, 2013

Data Included in this Report and Addendum

As of the date of the Addendum, this report has been updated with additional footnotes and parenthetical references to explain minor differences in data reported due to refinement of analysis and assumptions. Timing differences between the Data Set and the census data used in prior public disclosures, differences between hard copy and electronic course records, and refinement of analysis and assumptions since other information was reported have resulted in some differences between the data in this Report, Addendum, and data previously reported or publicly disclosed. These differences were not material to the analysis and conclusions in this Report, the Addendum, or in prior reports and disclosures.

Purpose, Scope, and Approach of this Review

Introduction

A joint investigation between the University of North Carolina at Chapel Hill (UNC or the University) and the National Collegiate Athletic Association (NCAA), and subsequent legal actions and media stories, raised questions at the University in the Summer of 2011 regarding the legitimacy of two courses offered through UNC's Department of African and Afro-American Studies (AFRI/AFAM or the Department) by the Department's Chair, Dr. Julius Nyang'oro. Specifically, for one of the identified courses, a lawsuit filed against the University by a former student-athlete included a term paper that was subsequently reported by *The News & Observer* to contain "multiple examples of apparent plagiarism," which called into question the legitimacy of the courses in the Department. The second example involved a story published in the newspaper that indicated a student-athlete received a B+ in AFAM 428 in the Summer before he enrolled in English 100, Basic Writing.

In follow-up to the reporting of the two AFRI/AFAM courses, the University notified the NCAA that new issues had been identified that involved student-athletes and asked the NCAA to join in the investigation of these issues. Together with the NCAA enforcement staff, an internal working group focused on potential academic irregularities involving student-athletes, and it did not find any evidence of 1) students receiving grades without performing work for the courses, 2) student-athletes receiving more favorable treatment than non-athlete students, nor 3) any tangible benefits to Department personnel involved in the courses reviewed (beyond standard University compensation). However, the investigation identified "serious anomalies" related to the Department's course offerings and methods of instruction in several areas.

In light of the working group's findings, the Dean of the University's College of Arts and Sciences, Karen Gil, launched a comprehensive review of all courses offered within the Department from the first Summer session of 2007 through the final Summer session of 2011. This review commenced on September 2, 2011, and was headed by Jonathan Hartlyn, who had been involved in the initial working group, and William Andrews, both Senior Associate Deans within the College of Arts and Sciences (the review committee). In the report of the review committee's conclusions (the Hartlyn-Andrews Report), published May 2, 2012, Deans Hartlyn and Andrews identified anomalies in 54 of the 616 courses offered by the Department during this period, with a collective total of 686 student enrollments (enrollments are for each course; not unique students) in the anomalous courses. They found instances of:

- Courses where students completed work and received grades without the course being supervised or graded by an approved instructor of record; and
- Courses that were designed to include regular classroom time and instructor contact but were offered with limited to no classroom or other instructional contact.

In addition, they identified several other irregularities, including:

- Irregularities in independent study courses, and related to temporary grades and unauthorized grade changes, either temporary or permanent; and
- Submitted student grade rolls or change of grade forms that the instructors of record do not remember having signed or approved.

Purpose of this Review

University leaders questioned whether anomalous courses had been offered beyond the period of the Hartlyn-Andrews Report or in other academic departments outside of AFRI/AFAM.

To address these outstanding concerns, UNC invited former North Carolina Governor James G. Martin, supported by Baker Tilly, a national advisory firm with extensive higher education consulting experience, to lead an independent review to address questions of further academic anomalies. UNC tasked Governor Martin and Baker Tilly (the review team) with reviewing an expanded population of courses to address the following questions:

- Did anomalies exist in other academic subjects or departments outside of AFRI/AFAM?
- If so, for what time period did anomalies exist?
- What were the factors or environment that allowed the anomalies to occur and who was culpable?

Scope of and Time Period Covered by this Review

This review was intended to expand upon the results of the Hartlyn-Andrews Report in order to identify the extent to which academic anomalies occurred beyond the timeframe identified in that report or in departments outside of the Department of African and Afro-American Studies. Where relevant, we contrast the review team's scope of work to that of the Hartlyn-Andrews Report.

The review team applied analytical procedures to electronic course records containing personally-identifiable information for all 172,580 course sections with undergraduate students enrolled across the entire University from the Fall semester of 1994 through the Fall semester of 2012 (the Data Set). We selected this time period because prior to Fall 1994, the University's records could not support our electronic data analysis.

The Hartlyn-Andrews Report covered *every* course in *one* Department for data representing four academic years (2007-2011) and five Summer sessions (2007-2011), a time period that was chosen not because it coincided with any particular individual's service to the University, but because it covered four full academic years, as well as the Summer 2007 Summer session that was the source of the earliest known irregularity at the time that Deans Hartlyn and Andrews commenced their review.

To expand upon the time period previously covered, our review team analyzed 172,580 course sections through an initial screen and then selected certain course sections to review in more detail. We describe herein the methodology that we applied. Since it was impractical to review *every* course section, we identified data correlations for irregular courses identified via prior University reviews and applied those potential "red flags" to screen the Data Set. While it is possible that there could be other courses that our screening procedures did not identify, we believe that this scope enabled us to answer the key questions at the heart of our review.

The focus was largely on identifying anomalies at the course section or instructor level and understanding the depth and breadth of any such anomalies across courses offered to undergraduates at the University. This included consideration of whether any classifications of students, including student-athletes, received special treatment. The conclusions that we were able to draw and trends that we were able to identify in this respect are detailed in this report. The time period of the Data Set that included classifications of students began in 2001. Prior to that time, this information was available only in hard copy form.

Although various tangential allegations of cheating or plagiarism among student-athletes have been made publicly, pursuant to the UNC system records retention policy, student academic work is not retained for more than a year and therefore could not be analyzed along with other course section information. This review was not intended to make academic judgments about whether plagiarism occurred or to opine on the difficulty or quality of the courses offered and instructed at the University.

The Hartlyn-Andrews Report considered whether the instructional method of courses varied in relation to those courses' representation in the course Catalog (e.g., lecture course versus independent study course) and whether the instructor apparently engaged in limited or no classroom or other instructional contact with students. We did not undertake this same analysis, as we learned that prior to the University's recent policy changes, instructors had wide latitude to offer courses as "Term Paper Courses" when they were represented in the course Catalog as lecture courses.

While we asked the instructors that we interviewed how they taught each course, we did not collect sufficient information to assess the classroom or other instructional contact with students. Due to the passage of time, we were not able to interview students who enrolled in each course section. Additionally, UNC system records retention policy provides that records of exam or paper submissions for a course section be destroyed after one year. As noted in the Hartlyn-Andrews report, the internal working group identified no instances in which students had received grades but had not performed written work.

Approach for Completion of this Review

The review team based this report on an analysis of the Data Set; and interviews with University faculty, staff, students, and other stakeholders. We also considered information previously reported through internal investigations and reviews. Our comprehensive analysis considered all manner of available information, related narratives, and subjective speculation. Our ultimate goal was to issue a report based on supportable facts. The review team believes that all reasonable efforts were taken to make this information-gathering process as thorough as possible. To accomplish this task, the review team:

1. Conducted interviews [1]with a wide range of stakeholders, including faculty members and academic administrators (e.g. deans), departmental staff across the College of Arts and Sciences, the University Registrar, Academic Support Program for Student-Athletes personnel, Department of Athletics personnel (including athletic coaches), former and current students (both student-athletes and non-athlete students), parents of students, University trustees, and other members of the University and greater Chapel Hill community. We selected interviewees based on a number of factors, including their direct relationship to course section data, inclusion (and non-inclusion) in previous University reviews, roles within the University, suggestions of other interviewees, and voluntary offering of information to this review[2].

[1] In order to encourage full candor, we determined early on that we would not attribute the source of our information to specific interviewees and would factor into our analysis only information that was corroborated by more than one source.

[2] Some interested parties offered information directly to the review team. We established an email address, uncreview@bakertilly.com, to allow anyone with pertinent information to contact the review team directly. This email address was publicized by the University in the Gazette (faculty and staff newsletter), in the Daily Tar Heel (student newspaper), and on the University's website.

2. Performed analytical procedures on the Data Set to identify "red flags" related to potential academic anomalies within each course section. The Data Set covered:

    - 18 years,
    - 172,580[3] course sections,
    - 68 academic terms,
    - 118,611 undergraduates,
    - 12,715 instructors, and
    - 4,603,810 data elements.

    We used this information to ascertain certain characteristics of, and demographic information for the students enrolled in, each course section. The review team received unfettered access to the University's databases and other sources of course records, including all personally-identifiable information requested – whether protected by the Family Educational Rights and Privacy Act (FERPA) or the North Carolina State Personnel Act.

3. Reviewed copies of certain tutor logs (containing personally-identifiable information) from the Academic Support Program for Student-Athletes to identify references to any independent study courses that were taught as lecture courses, which we then subjected to further scrutiny.

4. Developed a series of "red flags" screening criteria against which to analyze the Data Set, as further described in the Overview of Analysis and Procedures Performed section of this report.

5. Reviewed course-specific, personally-identifiable supporting information to further investigate the existence of potential course section and grade change anomalies.

6. Through information obtained in our interviews and other procedures that are detailed in the Possible Individual Gains section of this report, we evaluated factors that could have contributed to the discovered academic anomalies using a three-point analysis framework that was developed in 1950 by criminologist Donald Cressey. The Fraud Triangle concept suggests that acts of fraud are typically found to be driven by a combination of three factors: 1) Opportunity, 2) Motive/ Pressure, and 3) Rationalization.

These procedures were aimed at identifying anomalies that were similar to those found in the Hartlyn-Andrews Report, while also permitting us to examine other possible anomalies that had been raised via University administrators, interviews, media sources, and review team brainstorming.

[3] The 172,580 course sections comprised 156,109 course sections on campus and 16,471 distance learning courses.

Executive Summary and Conclusions

From 2010 to 2011, a University of North Carolina at Chapel Hill (UNC or the University) investigation identified "serious anomalies" related to the course offerings and methods of instruction within the Department of African and Afro-American Studies (the Department or AFRI/AFAM). Jonathan Hartlyn and William Andrews, both Senior Associate Deans within the College of Arts and Sciences, then conducted a comprehensive review of *every* course in the Department for data representing four academic years (2007-2011) and five Summer sessions (2007-2011). Their report (the Hartlyn-Andrews Report) in May 2012 identified 54 courses with "academic anomalies," including:

- Courses where students completed work and received grades without the course being supervised or graded by an approved instructor of record; and
- Courses that were designed to include regular classroom time and instructor contact but were offered with limited to no classroom or other instructional contact.
- Irregularities in independent study courses, and related to temporary grades and unauthorized grade changes, either temporary or permanent; and
- Submitted student grade rolls or change of grade forms that the instructors of record do not remember having signed or approved.

University leaders questioned whether anomalous courses had been offered beyond the period of the Hartlyn-Andrews Report or in other academic departments outside of AFRI/AFAM. To address these outstanding concerns, UNC invited former North Carolina Governor James G. Martin, supported by Baker Tilly, a national advisory firm with extensive higher education consulting experience, to lead an independent review to address questions of further academic anomalies. UNC tasked Governor Martin and Baker Tilly (the review team) with reviewing an expanded population of courses to address the following questions:

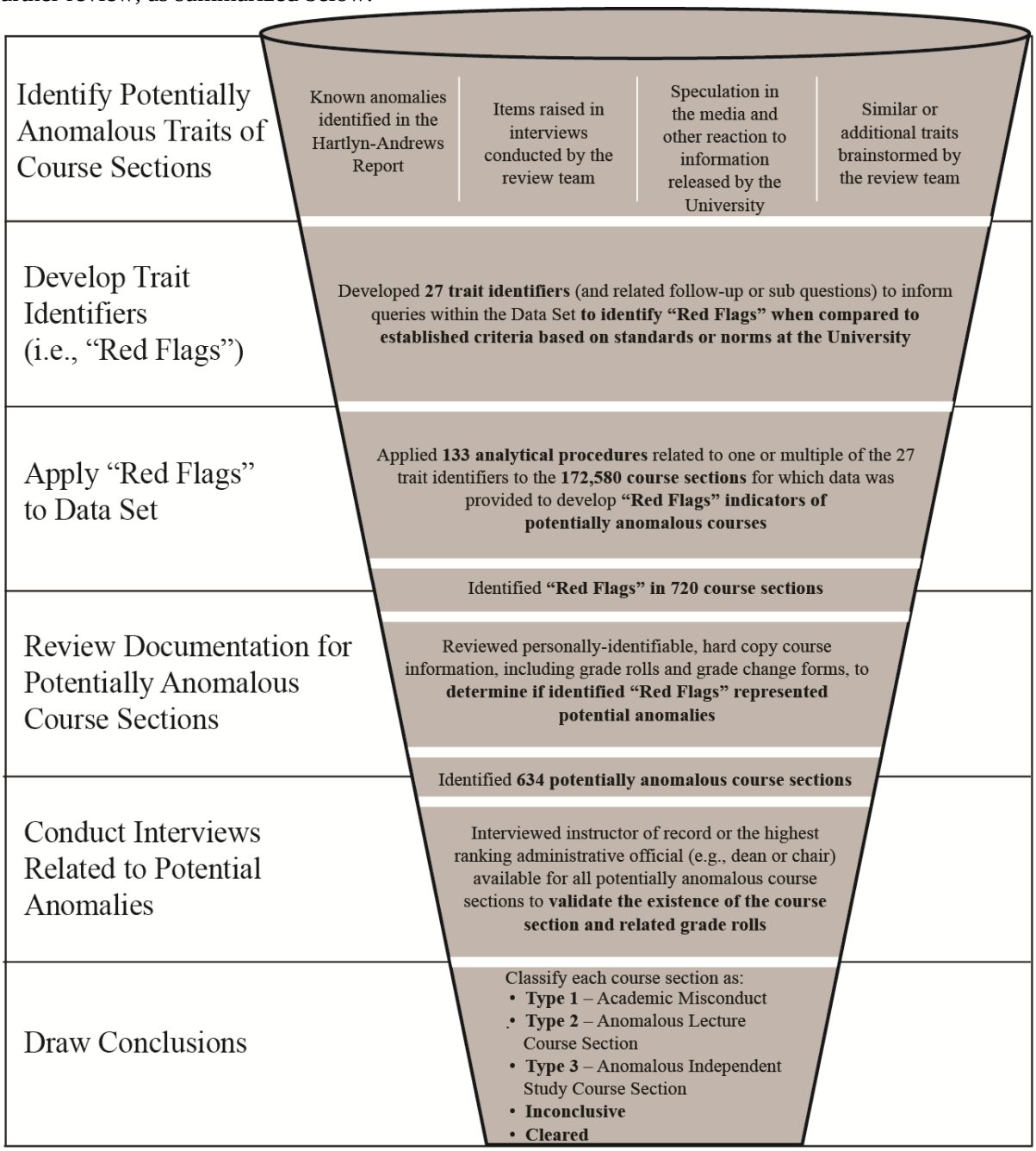
- What year did academic anomalies begin?
- Did anomalies exist in other academic subjects or departments outside of AFRI/AFAM?
- What were the factors or environment that allowed the anomalies to occur and who was culpable?

To expand upon the time period previously covered by the Hartlyn-Andrews Report, the review team based our findings on data analysis covering all course sections with undergraduate students enrolled from the 1994 Fall term through second Summer term in 2012, covering:

- 18 years,
- 172,580 course sections,
- 68 academic terms,
- 118,611 undergraduates,
- 12,715 instructors, and
- 4,603,810 data elements.

We conducted 84 interviews with University faculty, staff, students, and other stakeholders. We also considered information previously reported through internal investigations and reviews. Our comprehensive analysis considered all manner of available information, related narratives, and subjective speculation.

The review team leveraged a "cascade" approach to flagging potentially anomalous course sections for further review, as summarized below.



Findings

We drew conclusions through documentation review and interviews based on defined criteria. Summarized below are the total numbers of course sections and grade changes by type of conclusion:

Summary of Course Sections Tested	Course Section Conclusions
720	Identified through "red flags"
86	"Cleared" through initial screen
268	Cleared via interviews
129	Inconclusive – Independent Study Course Sections
21	Inconclusive – Lecture Course Sections
10	Type 3 – Anomalous Independent Study Course Section
167	Type 2 – Anomalous Lecture Course Sections
39	Type 1 – Academic Misconduct in a Lecture Course

Summary of Grade Change Conclusions	Grade Change Conclusions
1,136	Grade changes associated with 347 course sections
203	Cleared Grade Changes
373	Inconclusive Grade Changes
454	Type 2 – Potentially Unauthorized Grade Changes
106	Type 1 – Unauthorized Grade Changes

Based on the results of our data analyses, documentation review, and interviews, we drew the following overall conclusions:

- The presence of confirmed anomalous course sections in the Department of African and Afro-American Studies extended as far back as Fall 1997. If anomalies were occurring in the 1994-1996 time period, they were not prevalent, were unrelated to instructor overload, and were not associated with course sections with numerous grade changes.
- The percentage of student-athletes enrolled in anomalous course sections was consistent with the percentage of student-athletes enrolled in all courses offered by the Department.

- We found no indication of academic misconduct or other anomalies in departments outside of the Department of African and Afro-American Studies.
- We identified 216 course sections, or over 40 percent of the initially selected course sections, with proven or potential anomalies.
- We reviewed both temporary and permanent grade changes, noting grade change anomalies only in the Department of African and Afro-American Studies and identifying 454 suspected unauthorized grade changes
- Eighty percent of the Department's grade changes in courses with "red flags" were temporary grade changes.
- No evidence from our review points to anyone else's involvement beyond Ms. Crowder and Dr. Nyang'oro. While we cannot definitively conclude regarding the degree of Ms. Crowder's responsibility for the academic anomalies noted in this report, both this review and the Hartlyn-Andrews Report found a dramatic reduction in academic anomalies after Summer 2009, which coincided with the time of Ms. Crowder's retirement.

One of the key questions surrounding the anomalies identified is why anomalous courses were offered. The review team sought to understand what were the factors or environment that allowed the anomalies to occur and who benefitted.

- The review team identified no confirmation for speculation that the Academic Support Program for Student-Athletes (ASPSA) academic counselors colluded with instructors or administrators to offer anomalous course sections for the benefit of student-athletes or engage in any improper activities to maintain eligibility of a student-athlete.
- In the case of the Department of African and Afro-American Studies, there is evidence that certain ASPSA employees were aware that certain courses within the Department were so-called "Term Paper Courses," and that lecture courses were being taught in an independent study format. When these concerns were raised, the Faculty Athletic Committee stated that it was incumbent upon each instructor of record to determine how to teach his/her own course and that it was therefore unnecessary for ASPSA personnel to question the instructional methods used.
- The high degree of trust and autonomy, coupled with manual processes, in the University-wide environment created an opportunity for an administrator and a department chair to schedule classes and change grades with limited oversight. New University policies and procedures are designed to address this issue for the future.
- We did not identify any instances in which unusual personal or professional gains or incentives were received by Dr. Nyang'oro or Ms. Crowder in exchange for courses offered within the Department (either specifically for student-athletes or otherwise). We discovered no evidence of unusual compensation to Dr. Nyang'oro and Ms. Crowder beyond their standard University salaries[4], nor any evidence of the provision of other financial incentives to either of them by the University or by certain affiliated University organizations.
- The existence of less challenging, or "easy," courses does not in itself represent academic misconduct. The results of our analysis of "easy courses" did not support speculation that student-athletes comprised a higher population of the enrollment for these courses.

Based on our work, we conclude that this matter was truly academic in nature and not an athletic scandal as originally speculated, and that the identified academic misconduct and anomalies were isolated to the Department of African and African-American Studies. We appreciate the cooperation and unrestricted access by the University afforded to the review team in the conduct of this project.

Background

Timeline

This review, as well as the information contained in this report, was completed independently from, but in consideration of, many related initiatives and activities undertaken within and by the University. Many of these activities were completed internally, led by UNC faculty and administrators, and provided an invaluable level of support and information to assist in the completion of this review. Outlined below is the series of events and analyses by which the University became aware of and investigated questions regarding courses in the Department.

- **June 2010** – The University begins a joint investigation with the NCAA regarding information received alleging impermissible benefits received by student-athletes at the University. In the course of this investigation, the University discovers and self-reports academic issues related to a former student-tutor and academic mentor.
- **June 2011** – The University receives a Notice of Allegation from the NCAA related to the review of the University's football program.
- **July 1, 2011** – A former student-athlete, who was ruled permanently ineligible to play football by the NCAA, files a lawsuit against the University and the NCAA; the legal filing includes an attachment of a paper that the student completed for a Swahili 403 course offered within AFRI/AFAM, with Dr. Julius Nyang'oro listed on the paper as the instructor.
- **August 21, 2011** – A news article reports that an unnamed source had provided a reporter with what was alleged to be a partial transcript from a former UNC football player's first term at the University.
- **August 24, 2011** – The University notifies the NCAA of potential new issues related to student-athletes and convenes an internal working group comprised of Jack Evans, a retired professor in the Kenan-Flagler Business School who served 15 years as the University's faculty representative to the NCAA and Atlantic Coast Conference; Jonathan Hartlyn, Senior Associate Dean for Social Sciences and Global Programs; and Leslie Strohm, University Counsel. The group worked with a member of the NCAA enforcement staff to review relevant documents, including records of student work in Department courses, and to interview faculty and staff in the Department, academic support counselors, and student-athletes who had taken multiple courses in the Department. While this joint review identified no violations of NCAA rules or student-eligibility issues, the working group identified "serious" concerns with courses within the Department.
- **August 29, 2011** – UNC receives media requests for "information regarding student-athletes and courses" within AFRI/AFAM.
- **August 30, 2011** – Dr. Julius Nyang'oro resigns as chair of the Department of African and Afro-American Studies.
- **September 2, 2011** – College of Arts and Sciences Dean Karen Gil engages Senior Associate Deans Jonathan Hartlyn and William Andrews to review courses in the Department from the Summer of 2007 through the Summer of 2011.
- **September 9, 2011** – Dean Karen Gil requests that Bobbi Owen, Senior Associate Dean for Undergraduate Education, ask the Administrative Board of the College of Arts and Sciences "to develop guidelines for undergraduate independent study courses and directed reading courses."

- **Mid September 2011 –** Dean Bobbi Owen forms a task force to review policies and practices on independent study and directed reading courses across the entire College of Arts and Sciences and to make recommendations regarding:
    - Expectations concerning student assignments and contact hours with professors or teaching assistants in independent study courses
    - Conditions and approval process for a course approved as a lecture or seminar course to be delivered in an alternative format
    - Process by which a course taken as an independent study or directed reading course is submitted to an Administrative Board for review and approval as a permanent course with its own assigned course number.
- **October 2011 –** UNC appears before the NCAA Committee on Infractions with respect to matters identified by the NCAA in its June 2011 Notice of Allegations. The NCAA did not include issues related to AFRI/AFAM during the appearance before the Committee on Infractions.
- **December 2011 –** The University appoints Dr. Eunice Sahle as Chair of the Department of African and Afro-American Studies.
- **March 2012 –** The NCAA announces the ruling of its Committee on Infractions regarding violations involving UNC's football program.
- **April 10, 2012 –** The Independent Study Task Force publishes its report.
- **May 2, 2012 –** Deans Hartlyn and Andrews issue the report on the "Review of Courses in the Department of African and Afro-American Studies, College of Arts and Sciences."
- **July 2012 –** Dr. Julius Nyang'oro relinquishes tenured faculty position and resigns from the University.
- **August 2012 –** UNC requests this review.

Other Reports Related to Identified Academic Anomalies

As shown in the timeline above, the University and related parties undertook extensive reviews and investigations to identify, and attempt to correct, concerns raised related to academic anomalies within the College of Arts and Sciences' Department of African and Afro-American Studies. In addition to issuing the reports identified in the timeline, the University was also conducting other activities related to (though, not specifically resulting from) the observations and findings of academic anomalies. These activities included:

- Strategic planning for the Academic Support Program for Student-Athletes;
- Policy and procedural changes related to:
    - the process for submission of grade rolls and grade change forms,
    - minimum syllabus guidelines,
    - Summer teaching assignments,
    - course numbering, and
    - exams.
- Consulting with the UNC campus police, Orange County District Attorney's Office, and the State Bureau of Investigation (SBI) regarding the possibility of criminal actions involved in the academic misconduct identified.

These undertakings focused on identifying concerns beyond the problem courses already discovered within the Department as well as on addressing concerns regarding internal controls over academics. Below we provide additional detail of the prior reviews completed and the related findings, observations, and recommendations of each:

College of Arts and Sciences, Dean's Office	**Purpose**	Fact-finding in response to media reports that many portions of a former student-athlete's paper submitted for a Swahili 403 course, which was included in a legal filing against the University and NCAA, showed evidence of plagiarism.
	Work Performed	Questioned Dr. Julian Nyang'oro, chair of the Department and named on the student's paper as instructor for the Swahili 403 course, about how the course was instructed.
	Results	Dr. Nyang'oro stated that he did not teach the Swahili 403 course in question and speculated that a former Department manager may have been involved in, or responsible for, making the course available.

Internal Working Group in Association with the NCAA	**Purpose**	Following the College's preliminary fact-finding, this internal working group was formed in association with the NCAA to focus on potential academic irregularities involving student-athletes and related to courses offered within the Department of African and Afro-American Studies.
	Work Performed	Worked with a member of the NCAA enforcement staff to review relevant documents, including records of student work in Department courses, and to interview a sample of faculty and staff in the Department, academic support counselors, and student-athletes who had taken multiple courses in the

		Department.
	Results	Did not find any evidence of: 1. Students' receiving grades without performing work for a course, 2. Student-athletes' receiving more favorable treatment than non-athlete students, nor 3. Any tangible benefits to Department personnel involved in the courses reviewed (beyond standard University compensation). However, the investigation identified "serious anomalies" related to the Department's course offerings and methods of instruction in several areas.

Hartlyn-Andrews Review of Courses in the Department of African and Afro-American Studies	**Purpose**	To expand investigation into the anomalies identified within the Department of African and Afro-American Studies.
	Work Performed	Reviewed all grade rolls and grade change forms for all courses offered in the Department from Summer Session I 2007 through Summer Session II 2011 and all continuing education course sections offered by the Department's main teaching faculty through the Friday Center for Continuing Education. Interviewed all 15 tenured or tenure-track Department faculty, an adjunct instructor who frequently taught in the Department, the Department's senior lecturer, and the Department's five lecturers. Interviewed all Department staff employed at the time of the review.
	Results	Identified 54 courses, out of a total of 616 reviewed, which were either offered without faculty supervision or which were instructed with limited or no classroom contact or other formal interaction with faculty. Only two of the fifty-four identified courses were offered after Summer 2009. Determined that grade rolls and grade change forms were submitted to the Office of the University Registrar with forged faculty signatures for some of the 54 course sections with identified academic anomalies (in these instances, the faculty whose names appeared on the forms stated that they had not taught the course or approved the related grade rolls or, in certain instances, grade change forms). All unauthorized grades discovered were for courses taught between Summer 2007 and Summer 2009.

		Identified irregularities related to independent study courses, temporary grades, and unauthorized grade changes, either temporary or permanent. In addition to the academic anomalies identified, the report identified several aspects of lax departmental oversight and practices that allowed improper activities to occur, including concerns related to the level of autonomy and authority granted to a departmental administrator.

College of Arts and Sciences Administrative Board's Independent Study Task Force	**Purpose**	To review policies and practices across the College of Arts and Sciences related to independent study and directed reading courses in order to make recommendations related to: 1. Expectations concerning student assignments and contact hours with the instructor; 2. Conditions under which an active (approved) lecture course might be taught in a different format (such as directed reading or independent study); and 3. Conditions under which a course might be taught as a directed reading course before being submitted for a permanent course number.
	Work Performed	Reviewed current University policies concerning independent study courses and protocols related to "enrollment and assignment of faculty to independent studies courses." Members also studied enrollments and grades for the Fall 2011 semester for undergraduate students enrolled in course sections defined as independent studies by the standard course numbering system.
	Results	The report of the Task Force included recommendations related to the offering and instruction of independent studies courses, the offering and instruction of "special topics courses," the use of the standard course numbering system, and honors theses. These recommendations were aimed at establishing guidelines for undergraduate independent studies to allow consistency and focus as the University continues to grow in the face of faculty turnover, retirements, and new hires.

Special Subcommittee of the Faculty Executive Committee	**Purpose**	Formed in the Summer of 2012 in response to faculty concerns that the reports of the Independent Study Task Force and the Hartlyn-Andrews Report may not have "fully explored all relevant issues."
	Work Performed	Reviewed the results of all reports "relevant to this situation" and met with 31 individuals from across the University to discuss the matters at hand.

	Results	Identified four areas of "continuing concern" related to: 1. Advising and counseling 2. Departmental supervision and faculty conduct in general 3. A campus with two cultures 4. Need for institutional transparency regarding athletics

North Carolina State Bureau of Investigations (SBI) Fraud Investigation	**Purpose**	Criminal investigation commenced in May 2012 at the request of Orange-Chatham District Attorney Jim Woodall[5] to "look into any academic or computer fraud that may have taken place, any forgery that may have taken place, [or] any conspiracy that may have taken place to commit any of those crimes or conceal any of those crimes" specific to the actions of Dr. Julius Nyang'oro or Ms. Deborah Crowder. This request appeared to be based in part on the results of the Hartlyn-Andrews report, including the fact that Dr. Julius Nyang'oro was paid to teach a summer school course that was found by the Hartlyn-Andrews report to have included little to no interaction with students or other supervision.
	Work Performed	The scope of work is unknown.
	Results	This investigation is still ongoing as of the date of this report.

UNC Board of Governors Academic Review Panel	**Purpose**	Charged with assessing the University's investigative work and its response to the academic irregularities
	Work Performed	In process
	Results	In process

Baker Tilly Review of Changes to Academic Policies and Procedures	**Purpose**	While UNC leaders are committed to understanding the breadth and depth of academic anomalies such as those identified in the Department of African and Afro-American Studies, they are also focused on creating a culture of increased and enhanced controls to prevent similar concerns in the future. In addition to assisting in the completion of this report, Baker Tilly was engaged by the University to review the process and control changes made or planned to mitigate the risk of similar issues in the future.
	Work Performed	Baker Tilly compared the risks (i.e., what could or did go wrong) referenced in the College of Arts and Sciences Administrative

[5] The University's President and Chancellor also reached out to the SBI regarding conducting a possible criminal investigation at roughly the same time as the District Attorney's request.

		Board's Independent Study Task Force Report and the Hartlyn-Andrews Report (the Reports) to the related recommendations and implementation plans in the Reports and other supporting documentation, with the goal of identifying any gaps (i.e., risks that were only partially or not addressed through a related recommendation and/or implementation plan). Baker Tilly assessed the design of the University's implementation plans, including plans for changes to academic policies, procedures, systems, and roles and responsibilities (e.g., involvement of individuals and departments), and associated plans for communication to the UNC community (e.g., training), based on the criteria that were agreed-upon with the University related to accessibility, accountability, clarity, evidence, approvals, and impact.
	Results	Based on the procedures performed, Baker Tilly noted no gaps between the risks referenced in the Reports and the University's implementation plans. Additionally, Baker Tilly noted no exceptions or inconsistencies in the planned changes to policies and procedures in relation to the assessment criteria.

Definitions of Terms Used within this Report

Throughout this report, specific terms of art are used which are pertinent to the matters being discussed, but may not be part of the common vernacular or consistent with the "standard" usage of such terms. To assist the reader in comprehending the background and facts provided in this report, those terms are defined below.

Academic Anomaly – a course section or student grade for which the establishment of the course section, method of instruction, or assignment of grades was found to differ from the expected standards of how these academic, or the related administrative, processes are completed within the University. Incidents of academic anomalies may result from a number of factors, and do not necessarily represent academic or ethical misconduct.

Academic System of Record – the documented record of each course section completed at the University, to include information related to students enrolled, instructor of record, class schedule, and grades assigned.

Academic Term – the defined timing assigned to each period for which a course section is offered. For the University, existing terms are Fall semester, Spring semester, Summer Session I, and Summer Session II.

Add/Drop – Students are allowed a fixed period of time at the beginning of each term to enroll in (add) or remove (drop) a course before finalizing their course schedule for that term. After the end of this period, all students appear on the class roll and final grade roll, and the course is reflected on the student's transcript. A process exists to petition to drop a course for extenuating circumstances at the end of the drop/add period. When this occurs, a "W" grade (withdrew) generally appears on that student's transcript.

Class – each specific meeting of a particular section of a course.

Cleared Independent Study Course Sections - a naming convention used specifically for the purposes of this report to describe a course section for which the instructor of supervision confirmed teaching all students in the course section and signing the grade roll.

Cleared Lecture Course Sections - a naming convention used specifically for the purposes of this report to describe a course section for which the instructor of record or chair confirmed teaching the course section and signing the grade roll, or for which the chair stated that the course section had been taught.

Course (sometimes used interchangeably with class) – an academic offering for a particular subject. Courses are scheduled within the overall academic offerings each term; multiple sections can be offered, led by one or more instructors.

Course Catalog – the complete listing of courses (and related course sections) offered during any given term at the University (not to be confused with the course inventory which is a record of the entire set of offerings). The course Catalog typically provides a 25-word summary of the content of each course and related specifics of each course section offered during that term (such as credit hours, instructor of record, or meeting time for each course section). The course catalog is used by students when preparing their schedule, allowing them to select which courses to take and the particular section of a course that would comprise a desired term's schedule.

Course Number – alpha-numeric identifier assigned to each course offered as a part of a term's course catalog.

Course Section – the identifier for a group of students assigned to an instructor or instructors for a given course in a given academic term. Each course section is accompanied by a specific roster of students enrolled in that course section. Most course sections specify a meeting place, class schedule (i.e., what time and days classes are held each week), and the location for classroom interaction for the term. Some courses are offered in multiple sections (for example SPAN 101 or ENGL 105).

Data Set – a term used specifically for this report to describe electronic course records containing personally-identifiable information for all 172,580 course sections with undergraduate students enrolled across the entire University from the Fall semester of 1994 through the Fall semester of 2012, to which analytical procedures were subsequently applied.

"Easy" Course – a course which is, or is perceived to be, less challenging academically than others at an institution. "Easy" courses may be perceived as requiring less work by students or applying less rigorous grading standards relative to other courses. Students may also refer to courses as being "easy" when they have specific expertise in the content and when they are in their major or minor.

Enrollment – the students registered to participate in a particular course section, which would appear on the related section's grade roll. Enrollment in a course section is not comparable to the total student body of an institution, as each student typically takes 3-5 course sections a semester and would be counted as enrolled for each unique course section s/he is registered for. Thus, total student enrollment in any given academic term is likely to be a multiple of the total number of students matriculating at the University.

FERPA – the Family Educational Rights and Privacy Act, a federal law that protects the privacy of student education records.

Grade Change – the process of changing the initial grade, either temporary or permanent, assigned to a student on the course's grade roll. The grade change process is completed through the submission of a grade change form to the Office of the University Registrar. A change from a temporary grade (see definition below), such as an IN (Incomplete) to permanent grade is approved by the instructor of record for the course section. A change from one permanent grade to another, such as a B+ to an A-, requires the approval of both the instructor of record and chair of the department.

Grade Roll – the final course roster of all enrolled students completed at the end of each term to reflect the grade assigned to each student. Grade rolls are to be completed and/or approved by the course's instructor of record and submitted to the Office of the University Registrar at the completion of each term, and serve as the basis for the grades that are reflected on a student's official course record and transcript.

Inconclusive Independent Study Course Sections – a naming convention used specifically for the purposes of this report to describe a course section for which the instructor of record could not confirm whether all students had been taught (because he or she was not also the instructor of supervision for all students in the course section).

Inconclusive Lecture Course Sections – a naming convention used specifically for the purposes of this report to describe a course section for which neither the instructor of record nor the chair could

confirm whether the course section had been taught, but grade changes and/or enrollment in the course section did not match certain characteristics of a potentially anomalous course.

Independent Study – a course where students complete assignments focused on a (typically) specialized subject that is not otherwise addressed through a regularly-offered course (or not addressed to the same level of detail). In order to complete an independent study course, a student must secure an agreement with a University faculty member who will serve as the student's advisor. UNC has recently implemented process improvements in this area. Now all students wishing to enroll in an independent study course must complete an Independent Study Contract Form (along with the selected faculty advisor), which is reviewed by the faculty members comprising the Undergraduate Committee (in departments where that format exists). If the Undergraduate Committee agrees that the contract represents a feasible plan worthy of the number of credit hours assigned to the independent study, enrollment will be allowed (if the contract is not approved, the student and faculty advisor have the option to revise and resubmit the contract).

Instructor of Record (Instructor) – the approved university instructor assigned to teach each course section and responsible for the completion, approval, and submission of grade rolls and any required grade change forms.

Overload – a naming convention used specifically for the purposes of this report to describe an instructor's course load relative to the "typical" instructor course load in an academic term.

"Red Flag" – a term used specifically for the purposes of this report to describe an attribute associated with a set of data or information that identifies potential concerns or potential non-compliance with an established set of criteria. For the purpose of this report, "red flags" relate to data attributes used to identify potential academic anomalies requiring further attention from the review team.

Special-Talent Admissions (also known as Committee Cases) – an admission recommendation related to student-athletes, music, and drama majors, based on guidelines established by the University's Undergraduate Admissions Committee for applicants who may not meet the average student's academic background, preparation, or other admission qualities established for an offer of admission but are determined to possess a special-talent or other cause for admission. Recommendations are made by the Faculty Subcommittee for Athletics Admissions to the Office of Undergraduate Admissions, and consider the applicant's prior academic performance, personal circumstances, potential for contributions to the University, and academic support that will be provided.

Temporary Grade – a grade issued for a student who has not yet finished all of the required assignments and/or exams to complete a course and is granted an extension to complete the necessary work. The temporary grade, which carries the weight of a failing grade, is reported on a student's transcript until the grade is changed by the instructor of record or until the grade defaults to an administration F (F*). The University has two temporary grades for undergraduate students. An incomplete (IN) converts to an F* after 8 weeks into the next semester unless the necessary work is completed. A grade of AB (Absent from Final Exam, but would have passed if exam taken) converts to an F* on the last day of the next semester.

Term (also known as semester or summer session) – the defined timing assigned to each period for which a course section is offered. For the University, existing terms are Fall semester, Spring semester, Summer Session I, and Summer Session II.

Term Paper Course – an informal, unofficial designation for a course that is approved and listed in the Course Catalog as a lecture course, but which in practice meets rarely, if at all, and requires a single term paper (typically of 20-25 pages in length) to be submitted in order to receive a grade for credit.

Transcript – a document, prepared and maintained by the Office of the University Registrar, that details a student's complete academic record for courses that student enrolled in each term and any other academic achievements which impact that student's academic performance (such as transfer credits, advanced placement credits, or results of University-specific placement exams [including exemption from core required courses]).

Type 1 Academic Misconduct in a Lecture Course Section – a naming convention used specifically for the purposes of this report to describe a lecture course section in which the instructor of record denied teaching the course section and signing the grade roll, or the chair stated that the course section had not been taught. For similarly anomalous course sections, the Hartlyn-Andrews Report concluded that courses had been offered to students without the related assignment of, and involvement or oversight from, a University instructor (thus deviating from the standard expectations of an academic course), while also noting that the internal working group found no instance of a student receiving a grade who had not submitted written work (an aspect that was outside of the scope of this review).

Type 2 Anomalous Lecture Course Section – a naming convention used specifically for the purposes of this report to describe a course section for which the identity of the instructor was not evident via review of the grade rolls, grade change forms, or discussion with personnel in the related academic unit; or for which neither the instructor of record nor the chair could confirm whether the course section had been taught and grade changes and/or enrollment in the course section matched certain characteristics of a potentially anomalous course.

Type 3 Anomalous Independent Study Course Section – a naming convention used specifically for the purposes of this report to describe a course section for which the instructor of record noted the presence of an unauthorized signature on the grade roll.

Type 1 Unauthorized Grade Changes – a naming convention used specifically for the purposes of this report to describe the instructor of record confirmed that, while listed as the authorizer/approver on a grade change form, the signature represented a grade change s/he did not approve. Unauthorized grade changes were either specifically identified by the instructor of record, or associated with a course section found to be Type 1 as a course determined to represent academic misconduct could not have appropriate grade changes associated.

Type 2 Suspected Unauthorized Grade Change – a naming convention used specifically for the purposes of this report to describe the instructor of record could not be identified or the characteristics of the course were such that, while misconduct could not be conclusively proven, the grade changes are possibly anomalous. Suspect grade changes are associated with Type 2 course sections, with the review team unable to conclusively determine the appropriateness of the grade change.

Type 3 Independent Study Grade Change **–** a naming convention used specifically for the purposes of this report to describe because of the aforementioned process for listing only one instructor of record for an independent study course section which could have many involved instructors of supervision, a grade change authorized by someone other than the instructor of record is not necessarily anomalous. During the period of review, any instructor of record for an independent study would have been able to complete, approve, and submit a grade change for a student(s) s/he was supervising. Because of

this administrative practice, any grade change for which the instructor of record could not definitively state s/he authorized was considered within this classification, regardless of the determination of the course section itself.

University Departments and Administrative Areas Discussed in this Report

The concerns raised to, and identified by, the University centered around a combination of academic, administrative, and support departments involving students, student-athletes, and the Department of African and Afro-American Studies. This report references the roles of the following areas of the University that were impacted by the occurrence of academic anomalies.

Academic Advising – each student at the University (including student-athletes) is assigned an academic advisor to assist in planning his/her academic career. Advisors' roles include meeting with students to discuss their desired academic path (e.g., major or field of study), progress, and specific scheduling for each academic term. On average, each academic advisor is responsible for 598 students at the University, and the level of interaction and involvement with each student can vary widely.

Academic Departments (including the Department of African and Afro-American Studies) – responsible for the development, scheduling, and instruction of courses related to a particular field or area of study. Each department within the College of Arts and Sciences is led by a Chair responsible for the overall operation and administration of courses and other departmental operations, and includes relevant tenured, tenure-track, and adjunct instructors who perform research, service, and instruction activities.

Academic Support Program for Student-Athletes (ASPSA) – the University maintains a program to offer additional academic assistance to student-athletes to meet the goal of keeping student-athletes on track for graduation while balancing the demands of student-athletes' schedule. While ASPSA is an academic-focused organization under the oversight of an Associate Dean within the College of Arts and Sciences, until Fall 2012 the ASPSA Director had an indirect reporting relationship to an administrative member of the Athletics Department. ASPSA employs a series of academic counselors, learning specialists and tutors who each fulfill unique roles:

- **Academic counselors:** ASPSA employees are assigned to a group of student-athletes "to assist in exploring their interests and abilities, enjoying a broad educational experience, and reaching or exceeding their academic goals." Academic Counselors strive to form relationships with the various academic departments to understand the nature of each course offered and the related academic requirements in order to inform their work with their portfolio of student-athletes. While Academic Counselors are not the student-athletes' official academic advisor, they do often work with their assigned student-athletes in considering potential courses to take in each term, focusing on factors such as balancing section times with practice requirements, maintaining NCAA progress toward degree requirements, and matching course load with students' abilities.
- **Learning specialists:** University employees available to provide additional support and resources to students with development needs in certain academic-focused areas, such as reading and language development, learning disabilities, etc.
- **Tutors:** graduate-level students or individuals who are employed to work with student-athletes for a specific subject.

Department of Athletics – the Department of Athletics, led by the Director of Athletics, is responsible for the operation of intercollegiate athletic teams and programs (i.e., those governed by the NCAA). This includes the coordination of athletic competition (games), hiring and firing of coaches and

athletic staff, and oversight of compliance with NCAA and University policies and other requirements.

Faculty Advisory Committee – Per the University's Faculty Code, the Advisory Committee "is advisory to the chancellor in any matter deemed important by the chancellor or the committee, and particularly with respect to:

1. proposed amendments to the trustee policies and procedures governing academic tenure;
2. academic program planning and assessment;
3. appointment of vice chancellors, deans, and other senior administrators;
4. recommendations for corrective action;
5. pursuant to a report of the Faculty Hearings Committee with respect to a decision not to reappoint a probationary-term instructor;
6. pursuant to a report of the Faculty Grievance Committee with respect to a decision not to promote to a higher rank a person holding permanent tenure at the rank of associate professor or assistant professor; and
7. appointment and renewal of appointment of the faculty marshal and appointment and review of the faculty athletic representative."

Faculty Athletic Committee – Per the University's Faculty Code, the Faculty Athletic Committee is "concerned with informing the faculty and advising the chancellor on any aspect of athletics, including, but not limited to, the academic experience of varsity athletes, athletic opportunities for members of the University community, and the general conduct and operation of the University's athletic program." When questions were brought forth by the Department of Athletics and the leadership of the ASPSA in 2002 and 2006 related to the construct of certain courses offered to students (including student-athletes), the Faculty Athletic Committee stated that it was incumbent upon each instructor of record to determine how to teach his/her own course and that it was therefore unnecessary for ASPSA personnel to question the instructional methods used.

Office of Undergraduate Admissions (Admissions) – responsible for reviewing student applications for enrollment to the University, evaluating each application against standard enrollment criteria (such as academic performance, standardized test scores, and extra-curricular involvement), and making decisions related to offers of enrollment. Admissions works in coordination with the Faculty Advisory Committee on Undergraduate Admissions, which serves in an advisory capacity on matters related to the design and application of admissions policy, guidelines for special-talent admissions, and actions driven by the national college admissions environment.

Office of the University Registrar – the Registrar serves as the official academic record keeper for the institution and maintains information related to courses offered and student academic performance.

Relevant University Processes

Our work was informed by understanding certain University processes.

Processes in Establishing, Offering, and Instructing Courses

The design, plan, and completion of a course offered at the University is a complex and involved process requiring coordination among many of the areas of the University described above. In addition to the pedagogical aspects such as syllabi and exams, a series of administrative processes occur.

Course Creation – academic departments are responsible for designing and offering courses which contribute to students' learning within that department's specialized subject area. As departments identify gaps in the available curricula, new courses are designed to fill the gaps (or expand upon the offerings available). Creation of a new course includes working with instructors to identify the relevant subject matter to include, developing a curriculum or syllabus detailing its academic aims, and receiving a series of approvals from across the University to finalize the course as available for students.

Course Scheduling – each academic department at the University is responsible for selecting the courses it will offer each term, and alerts the Office of the University Registrar of the number of course sections that will be offered. Each section is scheduled based on availability of instructors and classroom space and the level of student demand. This information is then used by the University to create the catalog of courses for each term.

Student Advising – University students are assigned an academic advisor who is responsible for working with students to discuss and evaluate that student's academic course load and desired area(s) of study for each term and his/her overall collegiate career. While the level to which each student leverages an academic advisor as a resource in the course selection and academic planning process varies widely, this support is available for all students.

Student Registration – University students enroll for course sections prior to the start of each term, or through the add/drop period at the beginning of each term. To complete this process, students are able to review the University's catalog of offered courses for each term and often work with an academic advisor to select the number and type of courses s/he should enroll in for the coming term.

Reporting, Changing, and Approval of Student Grades – all students enrolled in a course section are issued a formal record for that course upon completion of the term, and this record will appear on that student's official university transcript (typically as a letter grade). Each section's instructor of record is responsible for maintaining student grades throughout the academic term, and then approving and submitting final course grades for each student. Prior to 2010, the processes for reporting, changing, and approving student grades were all completed by submitting a paper form, such as a grade roll or grade change form, to the Office of the University Registrar. The process changed in 2010 with the implementation of the PeopleSoft electronic record-keeping system for student records.

Process for Student-Athlete Admissions

While the University appreciates its standing as one of the nation's premier institutions of higher education, it also values its major college athletics program. Decades of accomplished student-athletes have positioned the Tar Heels at the highest levels of Division I athletics. The University's athletic teams compete in the Atlantic Coast Conference (ACC), one of the premier college conferences, and have won 39 national championships in six different sports, ranking the University 8th of all-time relative to the number of team titles held. UNC often appears near the top of the national rankings in sports including basketball, soccer, baseball, and field hockey. This athletic success not only adds to the reputation and prominence of the University, but also benefits the University financially.

All students hoping to enroll at the University, including potential student-athletes, complete a standard application process through the Office of Undergraduate Admissions. An admissions officer evaluates applications for admission comprehensively and holistically, using a wide range of criteria related to previous academic performance, standardized testing, extracurricular activities, residency status, and other personal and demographic information. These evaluations are then used to select candidates for admission who will compose an incoming student body that reflects the culture of the University and its goals for a diverse student population.

Based on our interviews, we understand that the University strives to maintain a culture that balances outstanding academic achievement and nationally-competitive athletics. To this end, University policy provides for the admission of "selected applicants…who give evidence of possessing special-talents" in athletics. Of the approximately 175-200 student-athletes who enroll at the University as a part of each incoming class, some are admitted through the standard admissions process and without regard to their special-talent. The remaining student-athletes are admitted through guidelines established by the Faculty Advisory Committee on Undergraduate Admissions.

Following this process, each incoming class' student-athletes may receive an admissions recommendation through one of the categories described below. Each category varies in the type of information reviewed and the consideration given to athletic ability, and results only in a recommendation to the Office of Undergraduate Admissions, which maintains the final decision-making authority in all admissions determinations.

- Standard Admits – These student-athletes are accepted into the University based on the fit of their applications and prior academic records with the standard admissions guidelines and the composition of the desired incoming class. While the admissions officers may be aware that the candidates intend to participate in varsity athletic competition upon enrolling, athletic ability is not factored into these admissions decisions.
- Incentive Athletic Recommendations – These student-athletes meet the minimum standard admissions guidelines used to evaluate all admissions candidates, but may not have been selected for admission solely based on their applications for admission and prior academic records (e.g., waitlisted candidates). However, due to these candidates' standing as athletic recruits, the Department of Athletics can request that the Office of Undergraduate Admissions consider candidates' athletic ability as a factor for admission. The Faculty Advisory Committee on Undergraduate Admissions allows for up to 20 incentive recommendations per year, which are reserved for athletic recruits who "significantly improve the average academic profile of [the University's] recruited athletes." The Faculty Committee on Undergraduate Admissions establishes annual standards for the minimum combination of high school rank and SAT scores

that must be achieved in order for a potential athletic recruit to qualify for an incentive recommendation.

- Standard Athletic Recommendations – These student-athletes would not be competitive for admission without regard to their special-talent, but do exceed the minimum criteria established by the Faculty Advisory Committee on Undergraduate Admissions for consideration of varsity athlete admission. The Committee establishes the criteria as a way to enable and govern the University's admission of gifted student-athletes who may not otherwise have been selected for admission (the guidelines established by the Committee are set below the minimum standard admissions guidelines used by the Office of Undergraduate Admissions, but exceed the minimum academic standards for competition eligibility established by the NCAA). In these cases, the Department of Athletics notifies the Office of Undergraduate Admissions that an applicant is a potential recruit, and the Office of Undergraduate Admissions determines whether the candidate meets or exceeds the minimum criteria established by the Committee before making an admissions decision.
- Faculty Admissions – Student-athletes who are not admitted through one of the methods described above may still be considered for admission. In such cases, the Faculty Subcommittee on Special Talent evaluates the athletic recruit's application and other information. The Subcommittee is charged with:
    - Establishing admissions procedures for prospective student-athletes that maintain the academic integrity of the University; respect the competitiveness of admission to [the University]; recognize the contributions that athletically talented students can make to the education and the experience of everyone within the campus community; and encourage the eventual success, as students, and citizens, of those candidates who are admitted and enroll.
    - Reviewing the credentials and circumstances of prospective student-athletes who (a) fall below the threshold established by the Subcommittee for "committee cases," (b) involve issues that might go against community standards for academic or personal behavior, or (c) fail to meet the minimum course or admissions requirements of the UNC System.
    - Advising the Office of Undergraduate Admissions on the capacity of the students described above to succeed academically and personally at the University, both individually and as a class.
    - Reviewing and understanding the success or failure of past decisions made by the Faculty Subcommittee on Special Talent.
    - Reporting activities, decisions, and outcomes to the Faculty Advisory Committee on Undergraduate Admissions at least once per academic year.

The Subcommittee reviews all cases of potential student-athlete admission from an individual and group perspective, including consideration of previous decisions made. The review process includes information presented by representatives from the Office of Undergraduate Admissions regarding each applicant's relevant prior academic record and performance, information presented by those who provide academic support to student-athletes, and information presented by representatives from the respective athletic teams regarding the applicant's history, personal circumstances, expected contribution to the team, and level of support to be provided by the team. After consideration of all of these factors, the Subcommittee votes to determine the admissions action for each case considered. This "committee case" process may only be used for a maximum of 25, though preferably no more than 20, admissions decisions per year.

Academic Support Program for Student-Athletes

The University maintains a policy of competitive admissions, with special talent in athletics or fine arts as one criterion among many to be considered, and does not employ minimum course or admissions requirements other than those specified by the University of North Carolina system. Student-athletes are evaluated within this framework and expected to meet these minimum requirements. Based on the admissions process, almost all admitted student-athletes meet the UNC system's minimum standard admissions guidelines used to evaluate all admissions candidates. However, as described above, a handful each year are offered admission only after faculty review and approval. These student-athletes include a very few – typically fewer than five per year – who do not meet minimum course or admission requirements, as well as others whose first-year grade-point averages are projected to fall below 2.3.

To achieve success in the University's rigorous academic environment, these student-athletes may require additional support from tutors or learning specialists. Toward this end, the University provides academic support to student-athletes through its Academic Support Program for Student-Athletes[6], in compliance with, and in fact as required by, the governing rules of the NCAA. ASPSA provides academic counselors, tutors, and learning specialists to assist student-athletes in balancing the demands of academics and athletics and keeping the focus on student-athletes' progression toward graduation. ASPSA supports nearly 800 student-athletes across 28 varsity sports.

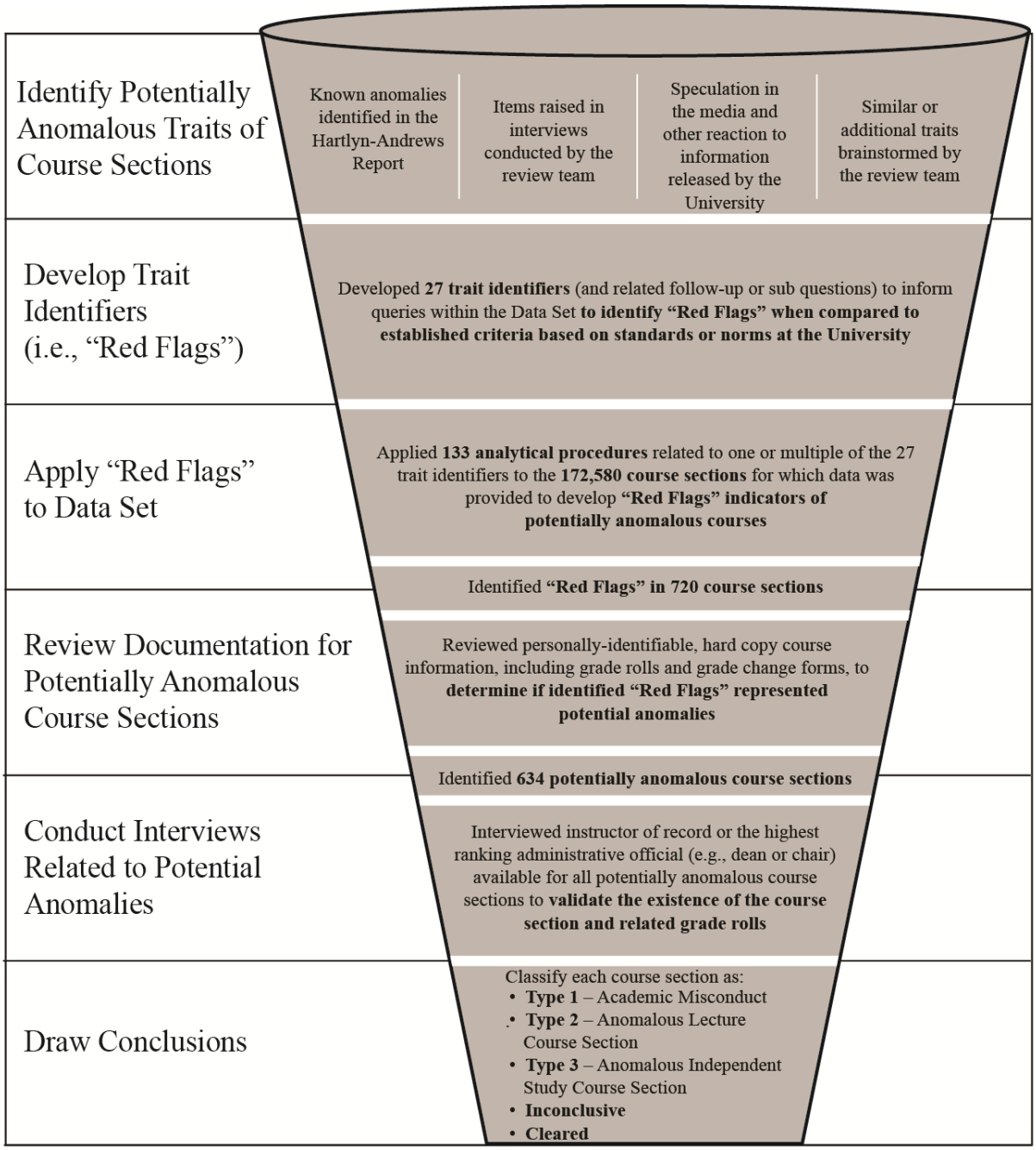
Academic counselors, as part of their stated job responsibilities, build relationships with administrators and instructors in the academic units that offer course sections being taken by student-athletes. Based on interviews, we understand that the objectives for developing these relationships are to 1) facilitate communication regarding the academic performance of student-athletes in course sections offered by these academic units and 2) understand the nature of courses available, in hopes of providing the highest level of support possible to student-athletes. Through our interviews, we understand that academic counselors built relationships with Dr. Nyang'oro and Ms. Crowder, as they did with many other instructors and administrators across campus.

[6] ASPSA's services are available to all student-athletes at the University.

Overview of Analysis and Procedures Performed

Procedures to Identify Course Sections for Review

To identify academic anomalies across all course sections with undergraduate students enrolled from the 1994 Fall term through second Summer term in 2012, the review team utilized data analysis to leverage a "cascade" approach to flagging potentially anomalous course sections for further review, as summarized below.



Initial Data Analysis – "Red Flags" Identification

To begin, the review team applied data analysis to isolate "red flags" that could indicate potential academic anomalies related to a specific course section. To identify common characteristics of anomalous course sections, the team analyzed course sections known to be anomalous based on the findings of previous University reviews. We then analyzed the Data Set containing personally-identifiable student information in relation to the "red flags" of these common characteristics to isolate course sections with characteristics similar to those already questioned within the Department of African and Afro-American Studies. Based on interviews conducted, concerns raised through the uncreview@bakertilly.com email address, and other speculation reported by the media and across the University community, the review team also ran analyses to identify enrollment trends related to student-athletes and other student groups, course sections within particular departments or subjects, and grading. For additional detail on the analytical questions considered, see **Appendix B.**

Specifically, several iterations of data analysis were performed on course data to identify "red flags" that may indicate academic anomalies within a course section. The review team developed specific queries related to personally-identifiable course data that included student enrollment and related demographics, departmental or subject-based trends, and faculty-specific information. Tests were initially performed on data from the same time period as the Hartlyn-Andrews Report to identify which factors indicated the likelihood that a course section had academic irregularities, including relationships between and among the following information:

- Class size (sections with a low or high level of student enrollment);
- Type of course (i.e., lecture versus independent study);
- Number of student-athletes enrolled in the course section;
- Gender and racial composition of students enrolled in the course section;
- Non-athletic student affiliations, such as Greek organizations or common housing assignments;
- Department or subject offering;
- Course section specifics, such as meeting time or location;
- Faculty member assigned as instructor of record;
- Number of courses assigned to a given instructor;
- Average course grade; and
- Number of changed grades for the course section.

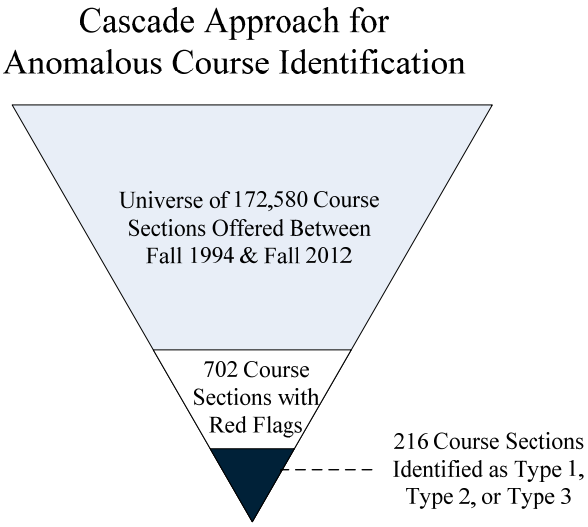
We noted that many of the trends and characteristics considered as possible links to academic anomalies appeared to have little direct correlation to course sections confirmed to have anomalies. The table below highlights the impact of certain tested demographics on identifying academic anomalies.

Analytical Tests which Appeared to have a Direct Correlation with Anomalous Course Sections
Lack of regularly assigned meeting time or location.
Lack of assigned instructor of record.
High level of grade changes as a percentage of the course section's enrollment.
The number of course sections assigned to an instructor anomalously exceeds threshold expectations.

Analytical Tests which Appeared Not to Have a Direct Relationship with Anomalous Course Sections
Whether a course section was cataloged as a lecture-based course or as an independent study[7].
Percentage of students enrolled in the course sections that are student-athletes.
Proportion of students enrolled in a course section from a particular gender or race.
Proportion of students enrolled in a course section affiliated with a fraternity or sorority.
Proportion of students enrolled in a course section from University housing.
Nature of grades issued (i.e., average course section grade exceeding comparable averages in similar subjects or other sections of the same course)[8].

Each test was assigned a standard baseline criteria, such as the maximum number of course sections led by any particular instructor in a term or percentage of student-athletes as a proportion of the total campus enrollment, and then course sections which fell outside of the normal range expected were considered to have "red flags" that required further investigation.

Of the 172,580 course sections reviewed, 720 course sections matched "red flags" criteria, such as departments or class sections with:



- Instructors with a considerable number of classes exceeding the usual course load;
- Prominent clustering of athletes, especially from revenue sports;
- Abnormally high grades, substantially higher than each student's GPA;
- Numerous grade changes, especially of permanent grades;
- Unusually high numbers of DROP/ADDS in enrollment;
- No classroom for meetings, typically with the notation "TBD" or similar;
- No time scheduled for class meetings, typically showing "12:00 noon to 12:00 noon" (the default entry).

A few of the course sections that were found to be anomalous in the Hartlyn-Andrews Report were not detected by our screen. We set our "red flags" screening criteria to focus on course sections with a combination of anomalies within the vast population of course sections in the Data Set. It is possible that our testing did not detect every anomalous course, but the results of our testing demonstrate the extent of the problems within the Department.

[7] Analysis completed showed that enrollment in independent study courses was more prevalent for non-athlete students than for student-athletes.
[8] Certain courses or course sections may have represented an "easy" course rather than an anomalous course.

Further Evaluation – Review of Course Records

Once identified as having "red flags," we reviewed physical course section records requested for each course section. We compared these records to course section information in the academic system of record to determine, among other characteristics, who taught the course section. We were able to conclude who taught certain course sections based on our comparison of physical records and information in the academic system of record. Our initial inspection of the course records enabled us to clear the status of 86 of the 720 course sections.

Final Confirmation – Instructor and Administrator Interviews

As the review of the course records could not immediately resolve the existence of noted "red flags" for 634 of the course sections, the review team conducted in-person interviews with the instructors of record listed for each course section or, in the event that the instructor was unavailable for interview, with the lead administrator for that academic unit (e.g., the chair of the academic unit) who had knowledge of the course section in question. These interviews allowed instructors or administrators the chance to offer additional detail into the nature of the course section in question and to confirm whether the course was taught.

Based on the results of this evaluation "cascade," we drew conclusions on the course sections based on the following criteria.

Type 1 – Academic Misconduct within a Lecture Course Section	**Type 2 – Anomalous Lecture Course Section**	**Type 3 – Anomalous Independent Study Course Section**	**Inconclusive Course Section**	**Cleared**
Lecture Course	**Lecture Course**	**Independent Study**	**Lecture Course**	**Lecture Course**
Instructor of record denied teaching the course section and signing the grade roll, or the chair stated that the course section had not been taught	Instructor was unknown OR The instructor of record was Dr. Nyang'oro and the Hartlyn-Andrews review had <u>not</u> concluded that the course section had been taught OR Neither instructor of record nor chair could confirm whether the course section had been taught AND [>10% grade changes and/or enrollment <10 students in the course section]	Instructor of record noted the presence of an unauthorized signature on the grade roll	Neither instructor of record nor chair could confirm whether the course section had been taught AND [≤10% grade changes and enrollment ≥ 10 students in the course section]	Instructor of record or chair confirmed teaching the course section and signing the grade roll, or the chair stated that the course section had been taught
			Independent Study[9]	**Independent Study**
			Instructor of record could not confirm whether all students had been taught (because was not the instructor of supervision for all students in the course section)	The instructor of supervision confirmed teaching all students in the course section and signing the grade roll

[9] By definition, an independent study course section would be determined inconclusive unless the instructor of record had also served as the instructor of supervision for every student in that course section. Administrative practices did not require that the instructor(s) of supervision be listed in the permanent course record documentation.

Additionally, to identify any grade changes not authorized by the instructor that taught the course section, we asked the instructor of record for each course section whether he or she had approved each grade change. We applied the following criteria in concluding on the grade changes that we reviewed.

<table>
<tr><th>Type 1 Unauthorized Grade Changes</th><th>Type 2 Potentially Unauthorized Grade Changes</th><th>Inconclusive Grade Changes</th><th>Cleared Grade Changes</th></tr>
<tr><td>Lecture Course</td><td>Lecture Course</td><td>Lecture Course</td><td>Lecture Course</td></tr>
<tr><td rowspan="3">Instructor of record denied signing the grade change form

OR

Grade changes related to any identified Type 1 Academic Misconduct within a Lecture Course Section</td><td rowspan="3">Grade changes related to any identified Type 2 Course Section Anomalies</td><td>Grade changes related to an Inconclusive Lecture Course Section</td><td>The instructor of record confirmed signing the grade change form(s)</td></tr>
<tr><td>Independent Study Grade Changes[10]</td><td>Independent Study Grade Changes</td></tr>
<tr><td>Instructor of record could not confirm whether the grade change forms had been signed by an instructor of supervision</td><td>Instructor of record was also the instructor of supervision and confirmed authorizing the grade change form(s)</td></tr>
</table>

The results of our final confirmation interviews are detailed below.

[10] If the instructor of record had not served as the instructor of supervision for all students in the course section, it was not possible to “clear” the grade changes. As described elsewhere in this report, University procedures did not require that the instructor of supervision be tracked in the academic system of record, on the grade rolls, or on the grade change forms.

Findings on Academic Anomalies

Conclusions from Data Analyses

1. **No Anomalies Found Outside of the Department of African and Afro-American Studies**

   Our procedures did not identify any anomalies (i.e., Type 1, Type 2, or Type 3) in course sections offered by an academic unit outside of the Department of African and Afro-American Studies. Consistent with our finding that no anomalous course sections were offered by any other department outside of the Department of African and Afro-American Studies, we can report that no individual interviewed by us alleged any specific anomaly in another department. In other words, no current or former member of the University community came forward to allege that, outside of the Department of African and Afro-American studies, they participated in any course whose characteristics implied academic misconduct or other anomalies.

   To reach this conclusion, we tested a subset of course sections based on our initial "red flags" analysis that identified 187 potentially anomalous course sections offered by academic units outside of the Department, as listed in **Figure 1.1** below:

Figure 1.1 *– Count of course sections reviewed outside of AFRI/AFAM*

Academic Year	Communication Studies	Dramatic Art	Exercise and Sport Science	Linguistics	Naval Science	Romance Languages and Literature	Total
1994-1995	-	8	-	-	-	2	10
1995-1996	9	7	-	-	-	3	19
1996-1997	-	7	-	-	-	1	8
1997-1998	7	1	-	1	-	-	9
1998-1999	6	1	-	1	-	5	13
1999-2000	5	7	1	-	-	-	13
2000-2001	2	6	4	1	-	1	14
2001-2002	1	-	-	1	-	1	3
2002-2003	1	-	-	-	-	1	2
2003-2004	6	-	2	-	-	-	8
2004-2005	8	-	-	-	-	-	8
2005-2006	7	-	-	1	1	1	10
2006-2007	4	-	-	-	-	1	5
2007-2008	-	2	2	1	1	2	8
2008-2009	2	3	-	3	-	2	10
2009-2010	6	2	-	1	-	-	9
2010-2011	4	2	1	5	-	4	16
2011-2012	11	-	-	3	-	8	22
2012-2013	-	-	-	-	-	-	-
Total	**79**	**46**	**10**	**18**	**2**	**32**	**187**

   We tested all 187 of these course sections via documentation review and/or discussions with faculty or academic administrators with first-hand knowledge, ultimately clearing all 187 course sections, as listed in **Figure 1.2** on the following page.

Figure 1.2 *– Summary of non-AFRI/AFAM course sections tested*

Summary of Non-AFRI/AFAM Course Sections Tested	Conclusions
72	"Cleared" through initial screen
115	Cleared via interviews
187	Total cleared

None of the information gathered from the interviews and documentation reviews indicated academic misconduct or other anomalies in departments outside of the Department of African and Afro-American Studies. This is further supported by the "red flags" methodology used to select the 720 course sections for further review. These "red flags" were created based on known anomalies previously identified in AFRI/AFAM, and when applied across the Data Set for 172,580 course sections, resulted in the identification of only a fraction of course sections compared to the number of course sections with "red flags" identified within the Department. The number of course sections outside of AFRI/AFAM displaying similar "red flags" represented just 0.1 percent of all course sections offered outside of the Department; it is important to recall that "red flags" do not necessarily indicate a conclusion of academic misconduct (and, as indicated above, our procedures cleared all courses outside of the Department).

2. The presence of anomalous course sections in the Department of African and Afro-American Studies extended as far back as Fall 1997.

Our data analysis covered all course sections with at least one undergraduate student registered from the 1994 Fall academic term through the 2012 Summer II academic term. **Based on the results of our data analysis, documentation review, and interviews, the only course sections with confirmed and suspected anomalies were found in subjects offered through the Department of African and Afro-American Studies and its predecessor academic unit.**

To reach this conclusion, we tested a subset of course sections based on our initial "red flags" analysis that identified 533 potentially anomalous course sections offered by the Department. Of these, 509 course sections required additional analysis through interviews with instructors of record and academic administrators. This additional analysis resulted in the identification of 216 course sections, or over 40 percent of the initially selected course sections, with proven or potential anomalies, 143 that were found to have no anomalies, and 150 course sections for which we could not conclude, including 129 independent study course sections where the Department's administrative practices (allowed by University policy) prevented the review team from reaching conclusions.

2A. Type 1 Academic Misconduct within a Lecture Course Section Offered by the Department of African and Afro-American Studies

We identified 39 Type 1 course sections offered in the Department between the 1997 Fall academic term and the 2009 Summer II term, representing 1.7 percent of all course sections

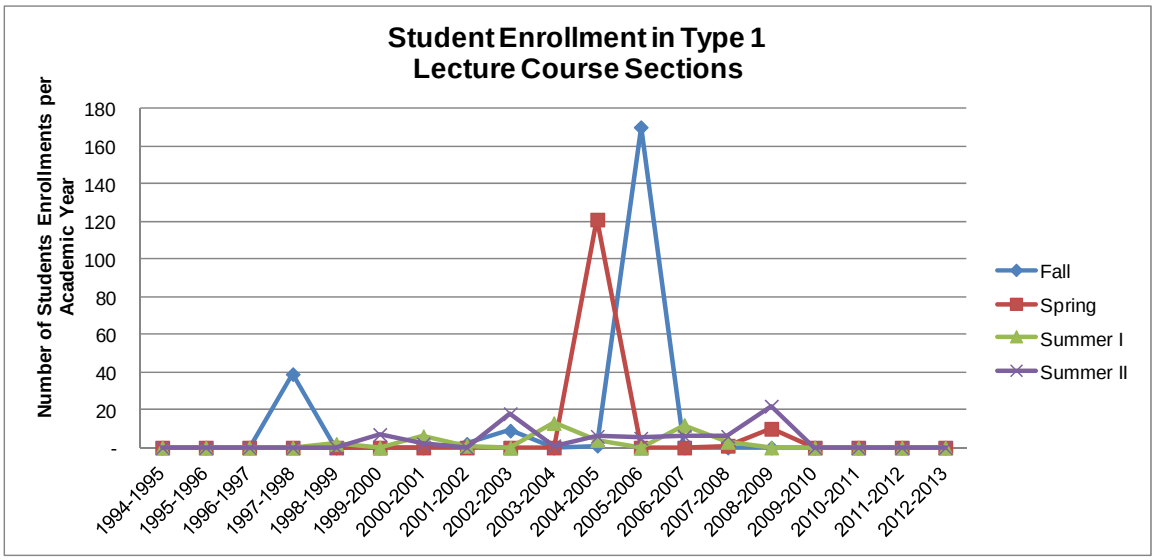
offered by AFRI/AFAM during the period of review. Of these course sections, 23 were offered during the Summer academic terms, while the remaining 16 were offered during a Fall or Spring academic term. **Figure 2.1** below details the number of course sections identified as academic misconduct, based on: 1) interviews conducted with the instructor of record where s/he denied teaching the course section and signing the grade roll, or 2) the chair stated that the course section had not been taught.

Figure 2.1 – *Number of Type 1 lecture course sections by academic year and term*

Academic Year	Fall	Spring	Summer I	Summer II	Total
1994-1995	-	-	-	-	-
1995-1996	-	-	-	-	-
1996-1997	-	-	-	-	-
1997-1998	2	-	-	-	**2**
1998-1999	-	-	1	-	**1**
1999-2000	-	-	-	1	**1**
2000-2001	-	-	2	1	**3**
2001-2002	2	-	1	-	**3**
2002-2003	2	-	-	2	**4**
2003-2004	-	-	1	1	**2**
2004-2005	1	4	1	1	**7**
2005-2006	3	-	-	3	**6**
2006-2007	-	-	1	1	**2**
2007-2008	-	1	2	2	**5**
2008-2009	-	1	-	2	**3**
2009-2010	-	-	-	-	-
2010-2011	-	-	-	-	-
2011-2012	-	-	-	-	-
2012-2013	-	-	-	-	-
Total	**10**	**6**	**9**	**14**	**39**

The 39 Type 1 course sections mentioned above had a combined 464 student enrollments (updated from 459 originally reported, to reconcile timing differences between manual and electronic grade rolls). As seen in **Figures 2.1 and 2.2**, the course sections offered, and related enrollment, hit a peak between the 2004-2005 and 2007-2008 academic years.

Figure 2.2



We identified academic misconduct for these course sections because the instructor denied teaching the course section and signing the grade roll or the chair stated that the course section had not been taught. However, in relation to these Type 1 course sections, we noted that in relation to similar course anomalies, the Hartlyn-Andrews Report did not identify any evidence of an instance when a student enrolled in a course section received a grade without performing associated written work. The issue at hand is that the instructors and administrators involved in establishing these course sections created the instances of academic misconduct, and fault should not be assigned to students who enrolled in the course section or instructors who may have been presented as instructors of record without their knowledge.

The percentage of student-athletes enrolled in Type 1 Lecture Course Sections was consistent with the percentage of student-athletes enrolled in all courses offered by the Department.

2B. Type 2 Anomalous Lecture Course Sections Offered by the Department of African and Afro-American Studies

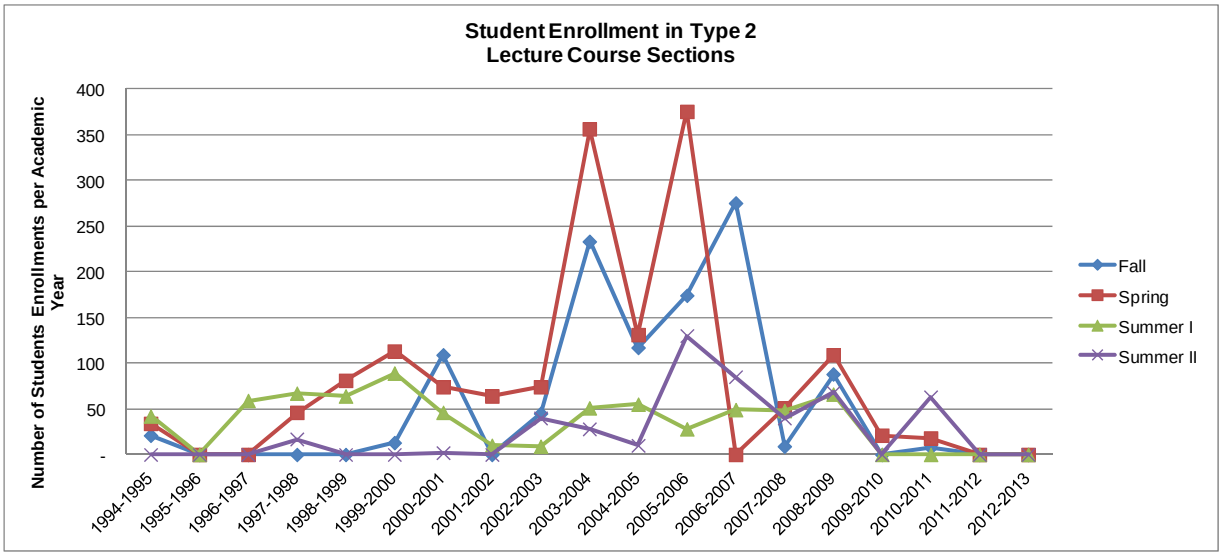
We identified 167 Type 2 course sections offered in the Department between the 1996 Summer II term and the 2011 Summer II term, **which equals 7.2 percent of the course sections offered in the Department during the period of review**. These course sections could not be confirmed as academic misconduct, but had associated characteristics, such as the lack of an identified instructor of record or a high number of grade changes as a percentage of total student enrollments, which match course sections found to be anomalous. Of these course sections, 77 were offered during the Summer sessions, while the remaining 90 were offered during a Fall or Spring academic term. **Figure 2.3** on the following page details the number of course sections found to be anomalous, listed as a count of the number of course sections in each academic year and term:

***Figure 2.3** – Number of Type 2 lecture course sections by academic year and term*

Academic Year	Fall	Spring	Summer I	Summer II	Total
1994-1995	1	1	2	-	**4**
1995-1996	-	-	-	-	**-**
1996-1997	-	-	2	-	**2**
1997-1998	-	1	2	1	**4**
1998-1999	-	1	2	-	**3**
1999-2000	4	2	3	-	**9**
2000-2001	4	3	3	1	**11**
2001-2002	-	1	3	-	**4**
2002-2003	8	4	2	1	**15**
2003-2004	7	8	3	5	**23**
2004-2005	5	2	4	1	**12**
2005-2006	5	10	4	8	**27**
2006-2007	7	-	4	7	**18**
2007-2008	1	3	4	4	**12**
2008-2009	5	4	5	5	**19**
2009-2010	-	1	-	-	**1**
2010-2011	1	1	-	1	**3**
2011-2012	-	-	-	-	**-**
2012-2013	-	-	-	-	**-**
Total	**48**	**42**	**43**	**34**	**167**

These 167 course sections accounted for a combined 3,760 student enrollments (updated from 3,735 in original reported, to reconcile timing differences between manual and electronic grade rolls). **Figure 2.4** below shows the related trends in student enrollments based on the increased number of Type 2 course sections identified between Fall 2000 and Summer II 2009, when the Type 2 course sections severely decreased in frequency.

Figure 2.4



The percentage of student-athletes enrolled in Type 2 Lecture Course Sections was consistent with the percentage of student-athletes enrolled in all courses offered by the Department.

2C. Type 3 Anomalous Independent Study Course Sections Offered by the Department of African and Afro-American Studies with Administrative Anomalies

Though certain independent study course sections reviewed contained similar characteristics to the Type 1 and Type 2 lecture course sections described above, a conclusive determination could not be made as to a course section's appropriateness due to the nature of instruction of independent studies in AFRI/AFAM. It was the Department's administrative practice to schedule students working with many different instructors in one independent study course section with one instructor of record. While the academic system of record showed only one instructor of record for each independent study course section per academic term, the Department considered each instructor working with a student(s) in the independent study course section to be serving as the instructor of supervision for that student(s) and to hold responsibility for assigning and grading the work of the student(s). In other words, the academic system of record and manual grade rolls contained information only about the instructor of record, not the instructor(s) of supervision. Therefore, there may have been other instructors working with students, but not noted in the academic system of record.

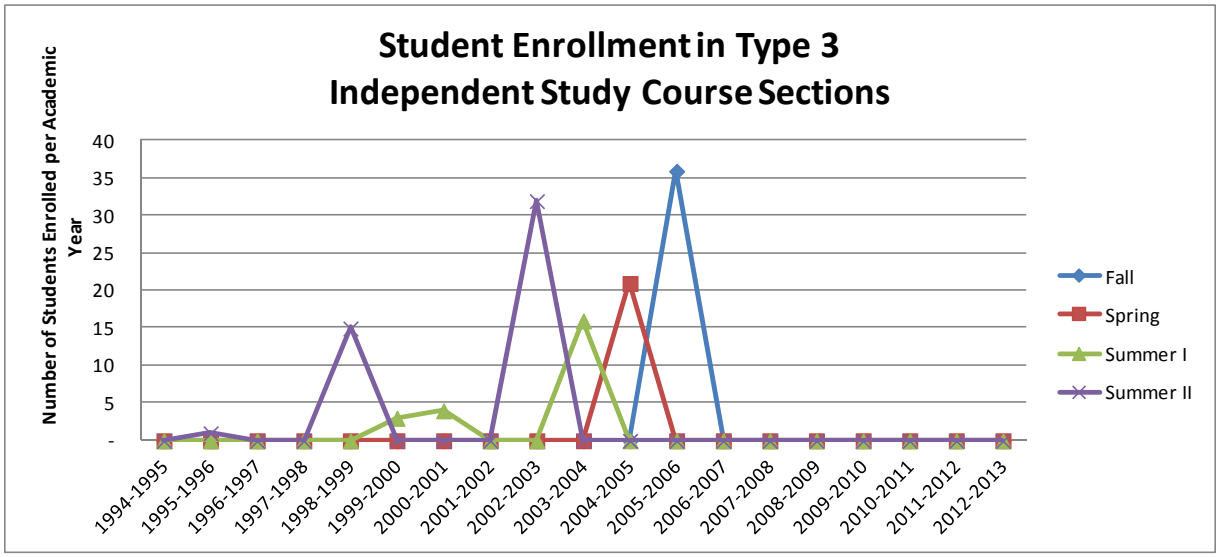
Independent study course sections represented 161, or 22.4 percent, of the total course sections identified by "red flags" from the review team's data analysis. Of the 161 independent study course sections, we identified ten offered in the Department between the 1996 Summer II term and the 2009 Summer II term for which that the instructor of record listed in the academic system of record denied involvement in the course section, including assigning or grading any student's work, and identified an unauthorized signature for the approval of the related grade roll. Of these ten course sections, six were offered during the Summer sessions, while the remaining four were offered during a Fall or Spring semester. **Figure 2.5** details the number of independent study course sections with unauthorized signatures, listed as a count of the number of course sections in each academic year and term:

Figure 2.5 – *Number of Type 3 potentially anomalous independent study course sections by academic year and term*

Academic Year	Fall	Spring	Summer I	Summer II	Total
1994-1995	-	-	-	-	-
1995-1996	-	-	-	1	1
1996-1997	-	-	-	-	-
1997-1998	-	-	-	-	-
1998-1999	-	-	-	1	1
1999-2000	-	-	1	-	1
2000-2001	-	-	1	-	1
2001-2002	-	-	-	-	-
2002-2003	-	-	-	1	1
2003-2004	-	-	1	-	1
2004-2005	-	3	-	-	3
2005-2006	1	-	-	-	1
2006-2007	-	-	-	-	-
2007-2008	-	-	-	-	-
2008-2009	-	-	-	-	-
2009-2010	-	-	-	-	-
2010-2011	-	-	-	-	-
2011-2012	-	-	-	-	-
2012-2013	-	-	-	-	-
Total	**1**	**3**	**3**	**3**	**10**

Though the occurrence of a Type 3 independent study course was not identified after Fall 2005, 70 percent of the unauthorized signatures found were between Fall 2000 and Fall 2005. The ten Type 3 independent study course sections ranged from just one student enrollment during Summer academic terms to as many as 36 student enrollments in Fall 2005. **Figure 2.6** below shows the level of student enrollments in Type 3 independent course sections during the period of our review.

Figure 2.6



3. <u>Grade Change Anomalies within the Department of African and African-American Studies</u>

In addition to the review team's process of interviewing instructors of record and the department chair to verify the nature of the 634 course sections flagged for further review, we also addressed the validity of the 1,136 associated grade changes completed for 347 of the course sections reviewed (the remaining 287 course sections did not have related student grade changes). This included reviewing both temporary and permanent grade changes (910, or 80 percent, of the grade changes reviewed were temporary grade changes). Through our discussions with instructors and administrators, we inquired whether the temporary and permanent grade changes for students were authorized by the instructor of record for the course section. These discussions led to the identification of three grade change classifications, associated with the course section determinations discussed above.

1. **<u>Type 1 Unauthorized Grade Change</u>** – the instructor of record confirmed that, while listed as the authorizer/approver on a grade change form, the signature represented a grade change s/he did not approve. Unauthorized grade changes were either specifically identified by the instructor of record, or associated with a course section found to be Type 1 as a course determined to represent academic misconduct could not have appropriate grade changes associated.

2. **<u>Type 2 Suspected Unauthorized Grade Change</u>** – the instructor of record could not be identified or the characteristics of the course were such that, while misconduct could not be conclusively proven, the grade changes are possibly anomalous. Suspect grade changes are

associated with Type 2 course sections, with the review team unable to conclusively determine the appropriateness of the grade change.

3. **Type 3 Independent Study Grade Change –** because of the aforementioned process for listing only one instructor of record for an independent study course section which could have many involved instructors of supervision, a grade change authorized by someone other than the instructor of record is not necessarily anomalous. During the period of review, any instructor of record for an independent study would have been able to complete, approve, and submit a grade change for a student(s) s/he was supervising. Because of this administrative practice, any grade change for which the instructor of record could not definitively state s/he authorized was considered within this classification, regardless of the determination of the course section itself.

The existence of grade changes within a course section does not necessarily represent anomalies or academic misconduct, as there are various reasons why a grade change (especially a temporary grade change) may be required. Grade changes are common practice at the University, and institutions of higher education nationwide, to allow for the continued administrative operations related to the completion of each academic term. The Department's level of permanent grade changes as a percentage of student enrollments was largely in line with, if not slightly below, the average across other departments. However, as shown in **Figure 3.1** below, the Department showed a greater tendency to issue temporary grades in its course sections (leading to required temporary grade changes), with the level of temporary grades issued as much as 8 percent higher than the University average (we have highlighted academic years where the level of temporary grade changes was five percent or more above the University average).

Figure 3.1 – *Comparison of temporary grades in AFRI/AFAM versus other departments*

Academic Year	Temporary Grades Issued within AFRI/AFAM	Total AFRI/AFAM Course Enrollment*	Percent of Temporary Grades Issued in AFRI/AFAM	Temporary Grades Issued in non AFRI/AFAM departments	Total non AFRI/AFAM Course Enrollment	Percent of Temporary Grades Issued in non AFRI/AFAM departments
1994-1995	84	2,975	3%	2,569	182,951	1%
1995-1996	72	2,994	2%	2,616	183,554	1%
1996-1997	122	3,467	4%	2,665	177,546	2%
1997-1998	114	3,529	3%	2,686	177,208	2%
1998-1999	158	3,555	4%	2,519	178,193	1%
1999-2000	164	3,567	5%	2,473	180,207	1%
2000-2001	150	3,656	4%	2,251	185,290	1%
2001-2002	182	3,617	5%	2,024	189,908	1%
2002-2003	203	3,893	5%	2,075	193,167	1%
2003-2004	265	4,124	6%	2,167	195,117	1%
2004-2005	262	4,072	6%	1,898	199,091	1%
2005-2006	348	3,984	9%	1,899	203,752	1%
2006-2007	320	3,455	9%	1,759	210,440	1%
2007-2008	208	2,911	7%	1,819	215,008	1%
2008-2009	250	3,243	8%	2,041	218,974	1%
2009-2010	101	2,812	4%	1,888	221,472	1%
2010-2011	123	5,244	2%	2,055	344,343	1%
2011-2012	40	5,486	1%	1,614	359,144	0%

* "Total AFRI/AFAM Course Enrollment" includes students who may have dropped or withdrew from the course (i.e., all registrations during the period).

3A. Unauthorized Grade Changes Processed within the Department of African and Afro-American Studies

We identified 106 unauthorized grade changes in the 634 course sections reviewed in detail. Seventy-eight of these represented changes from a temporary to a permanent grade, while the remaining 28 were changes related to an already issued permanent grade. Each of the 106 grade changes was related to a lecture course section and was specifically identified by the course section's instructor of record as unauthorized or was for a course that our review already identified as Type 1. **Figure 3.2** shows the number of course sections with permanent and/or temporary grade changes per academic year and term (a single course section could have had both associated temporary and permanent grade changes).

***Figure 3.2** – Number of permanent and temporary unauthorized grade changes by academic year and term*

Permanent Grade Changes

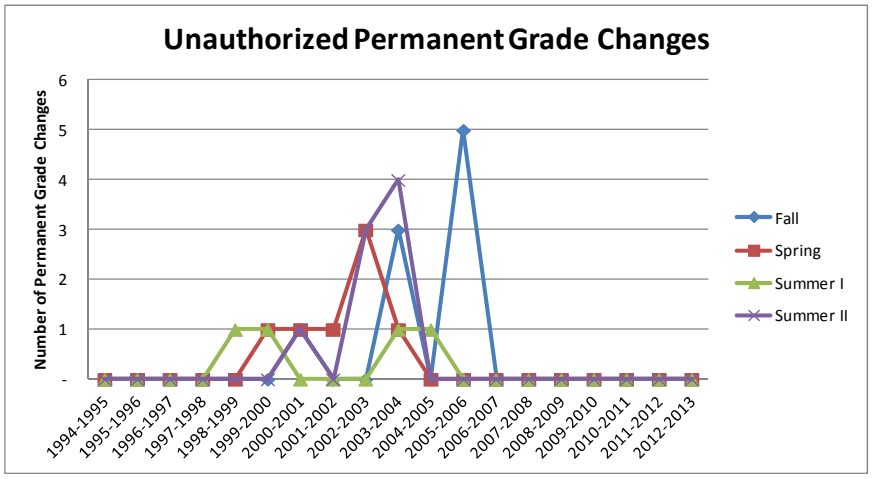
Academic Year	Fall	Spring	Summer I	Summer II	Total
1994-1995	-	-	-	-	-
1995-1996	-	-	-	-	-
1996-1997	-	-	-	-	-
1997-1998	-	-	-	-	-
1998-1999	-	-	1	-	1
1999-2000	-	1	1	-	2
2000-2001	1	1	-	1	3
2001-2002	-	1	-	-	1
2002-2003	-	3	-	3	6
2003-2004	3	1	1	4	9
2004-2005	-	-	1	-	1
2005-2006	5	-	-	-	5
2006-2007	-	-	-	-	-
2007-2008	-	-	-	-	-
2008-2009	-	-	-	-	-
2009-2010	-	-	-	-	-
2010-2011	-	-	-	-	-
2011-2012	-	-	-	-	-
2012-2013	-	-	-	-	-
Grand Total	**9**	**7**	**4**	**8**	**28**

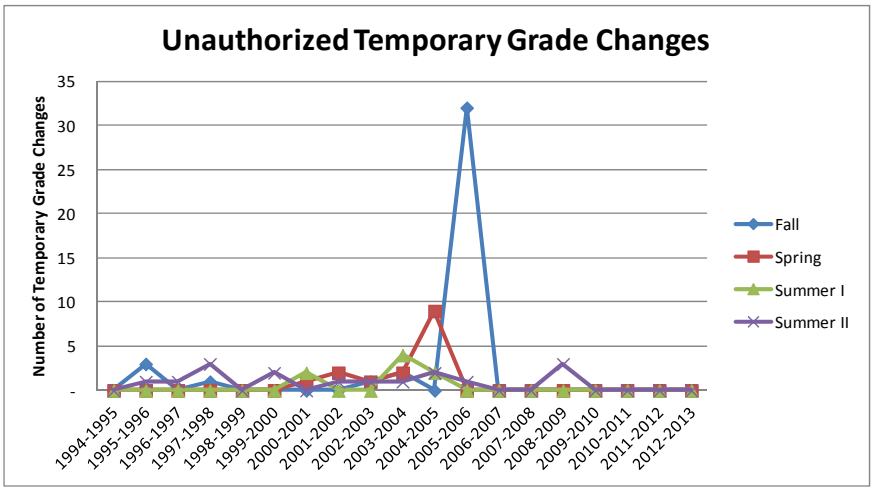
Temporary Grade Changes

Academic Year	Fall	Spring	Summer I	Summer II	Total
1994-1995	-	-	-	-	-
1995-1996	3	-	-	1	4
1996-1997	-	-	-	1	1
1997-1998	1	-	-	3	4
1998-1999	-	-	-	-	-
1999-2000	-	-	-	2	2
2000-2001	-	1	2	-	3
2001-2002	-	2	-	1	3
2002-2003	1	1	-	1	3
2003-2004	2	2	4	1	9
2004-2005	-	9	2	2	13
2005-2006	32	-	-	1	33
2006-2007	-	-	-	-	-
2007-2008	-	-	-	-	-
2008-2009	-	-	-	3	3
2009-2010	-	-	-	-	-
2010-2011	-	-	-	-	-
2011-2012	-	-	-	-	-
2012-2013	-	-	-	-	-
Grand Total	**39**	**15**	**8**	**16**	**78**

As can be seen in Figure 3.2, and is further illuminated in **Figure 3.3**, unauthorized temporary and permanent grade changes reached their highest level within the Department in Fall 2005.

Figure 3.3





The percentage of unauthorized grade changes for student-athletes was consistent with student-athlete enrollment in the course sections with grade changes. Additionally, the student-athlete enrollment in courses with unauthorized grade changes was consistent with student-athlete enrollment in all courses offered by the Department.

3B. Suspected Unauthorized Grade Changes Processed within the Department of African and Afro-American Studies

We identified a combination of 454 permanent and temporary grade changes for lecture course sections where the relevant instructor of record could not be determined through interviews or the course section had already been determined to be a Type 2 anomalous lecture course section. Because the characteristics of these course sections align with characteristics of "red flags" and other course sections found to be academic misconduct, we considered the authorization of the related grade changes suspect. Additionally, as shown in **Figure 3.4**, 376 (82.8 percent) of the grade changes were temporary grades, with 334 of the temporary grade changes occurring in the five year period highlighted in Figure 3.1 where the Department had consecutive years of at least a five percent higher level of temporary grades issued than other departments across the University.

Figure 3.4 – *Number of permanent and temporary suspected unauthorized grade changes by academic year and term*

Permanent Grade Changes

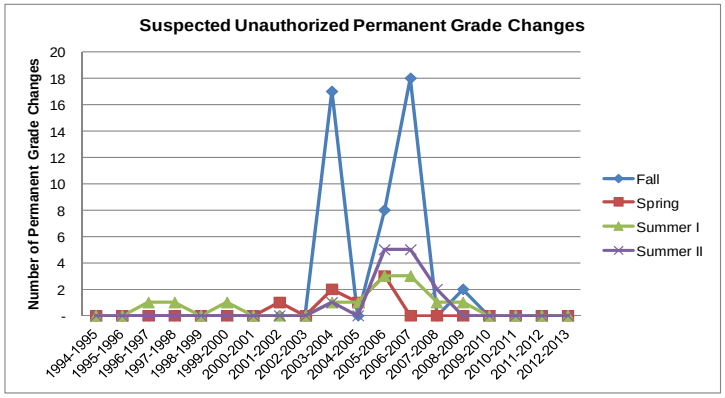
Academic Year	Fall	Spring	Summer I	Summer II	Total
1994-1995	-	-	-	-	-
1995-1996	-	-	-	-	-
1996-1997	-	-	1	-	1
1997-1998	-	-	1	-	1
1998-1999	-	-	-	-	-
1999-2000	-	-	1	-	1
2000-2001	-	-	-	-	-
2001-2002	-	1	-	-	1
2002-2003	-	-	-	-	-
2003-2004	17	2	1	1	21
2004-2005	-	1	1	-	2
2005-2006	8	3	3	5	19
2006-2007	18	-	3	5	26
2007-2008	-	-	1	2	3
2008-2009	2	-	1	-	3
2009-2010	-	-	-	-	-
2010-2011	-	-	-	-	-
2011-2012	-	-	-	-	-
2012-2013	-	-	-	-	-
Grand Total	**45**	**7**	**13**	**13**	**78**

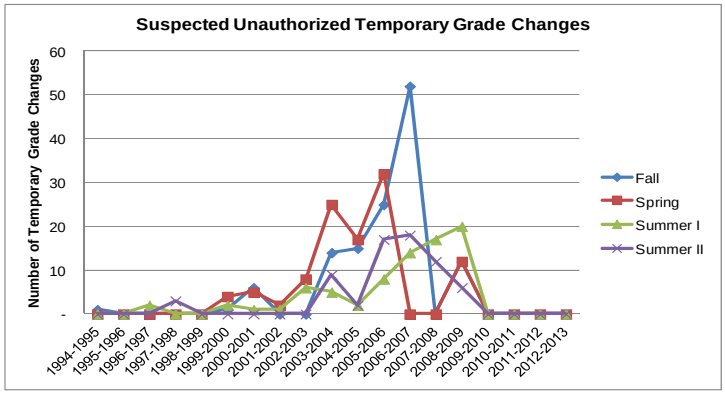
Temporary Grade Changes

Academic Year	Fall	Spring	Summer I	Summer II	Total
1994-1995	1	-	-	-	1
1995-1996	-	-	-	-	-
1996-1997	-	-	2	-	2
1997-1998	-	-	-	3	3
1998-1999	-	-	-	-	-
1999-2000	1	4	2	-	7
2000-2001	6	5	1	-	12
2001-2002	-	2	1	-	3
2002-2003	-	8	6	-	14
2003-2004	14	25	5	9	53
2004-2005	15	17	2	2	36
2005-2006	25	32	8	17	82
2006-2007	52	-	14	18	84
2007-2008	-	-	17	12	29
2008-2009	12	12	20	6	50
2009-2010	-	-	-	-	-
2010-2011	-	-	-	-	-
2011-2012	-	-	-	-	-
2012-2013	-	-	-	-	-
Grand Total	**126**	**105**	**78**	**67**	**376**

There were less than ten permanent and temporary grade changes per academic year until the 2000-2001 academic year, at which point both the number of temporary grades and the related suspect grade changes began to increase, with a drastic rise from 2003-2004 to Fall 2006. This trend can be seen in the dramatic peaks in **Figure 3.5**.

Figure 3.5





The percentage of suspect unauthorized grade changes for student-athletes was consistent with student-athlete enrollment in the course sections with grade changes. Additionally, the student-athlete enrollment in courses with suspect unauthorized grade changes was consistent with student-athlete enrollment in all courses offered by the Department.

3C. Grade Change(s) Related to Independent Studies within the Department of African and Afro-American Studies

Due to the Department's practice of not documenting instructors of supervision for independent study, we could not, in most cases, determine whether grade changes were authorized by the instructor who assigned and graded work for those students in the independent study course sections. As such, 348 grade changes related to independent study course sections, 53 permanent and 295 temporary, were noted as having the instructor of record unable to confirm the appropriateness of the grade change. However, these grade changes were not necessarily unauthorized or incorrect. As can be seen in **Figure 3.6** on the following page, the majority of these grade changes occurred between academic years 2003-2004 and 2008-2009. However, **Figure 3.7** shows that grade changes for independent study seem to have begun to increase in the five years prior to this period as well.

***Figure 3.6** – Number of independent study grade changes that could not be otherwise categorized*

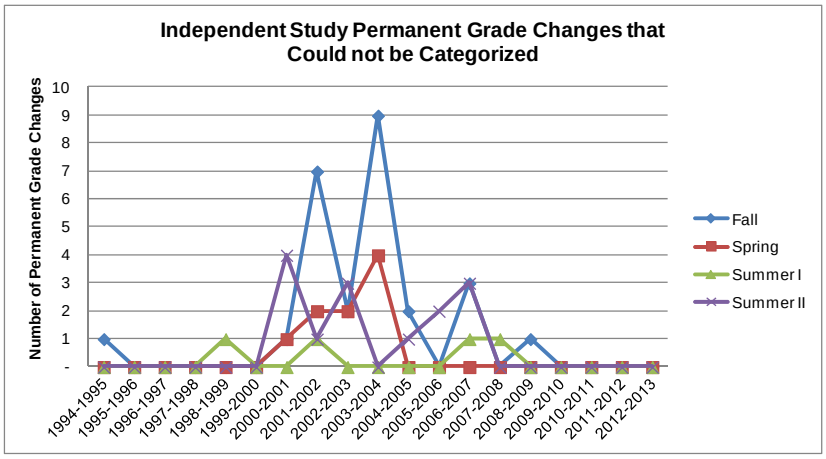
Permanent Grade Changes

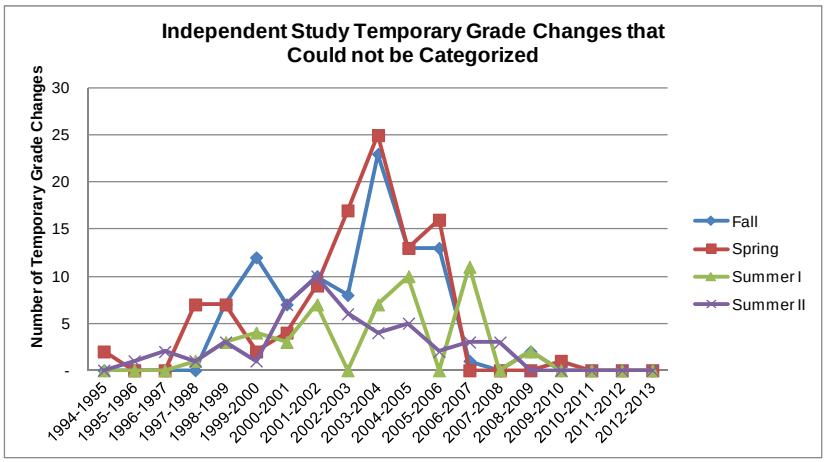
Academic Year	Fall	Spring	Summer I	Summer II	Total
1994-1995	1	-	-	-	**1**
1995-1996	-	-	-	-	**-**
1996-1997	-	-	-	-	**-**
1997-1998	-	-	-	-	**-**
1998-1999	-	-	1	-	**1**
1999-2000	-	-	-	-	**-**
2000-2001	1	1	-	4	**6**
2001-2002	7	2	1	1	**11**
2002-2003	2	2	-	3	**7**
2003-2004	9	4	-	-	**13**
2004-2005	2	-	-	1	**3**
2005-2006	-	-	-	2	**2**
2006-2007	3	-	1	3	**7**
2007-2008	-	-	1	-	**1**
2008-2009	1	-	-	-	**1**
2009-2010	-	-	-	-	**-**
2010-2011	-	-	-	-	**-**
2011-2012	-	-	-	-	**-**
2012-2013	-	-	-	-	**-**
Grand Total	**26**	**9**	**4**	**14**	**53**

Temporary Grade Changes

Academic Year	Fall	Spring	Summer I	Summer II	Total
1994-1995	-	2	-	-	**2**
1995-1996	-	-	-	1	**1**
1996-1997	-	-	-	2	**2**
1997-1998	-	7	1	1	**9**
1998-1999	7	7	3	3	**20**
1999-2000	12	2	4	1	**19**
2000-2001	7	4	3	7	**21**
2001-2002	10	9	7	10	**36**
2002-2003	8	17	-	6	**31**
2003-2004	23	25	7	4	**59**
2004-2005	13	13	10	5	**41**
2005-2006	13	16	-	2	**31**
2006-2007	1	-	11	3	**15**
2007-2008	-	-	-	3	**3**
2008-2009	2	-	2	-	**4**
2009-2010	-	1	-	-	**1**
2010-2011	-	-	-	-	**-**
2011-2012	-	-	-	-	**-**
2012-2013	-	-	-	-	**-**
Grand Total	**96**	**103**	**48**	**48**	**295**

Figure 3.7





4. Inconclusive Determinations

As a part of our review of the course sections and grade changes, there were certain course sections where a determination could not be made for which was the appropriate classification for a course section or related grade change. Though every effort was made to be exhaustive in our treatment of all the records received, there were 21 lecture course sections, 25 lecture course section grade changes, and 129 independent study course sections that we determined to be inconclusive. These course sections could be one of the categories of anomalous course sections or course sections with no anomalies, but we were not able to conclude based on the information in the academic system of record, physical documentation, and interviews performed.

4A. Inconclusive Lecture Course Sections offered by the Department of African and Afro-American Studies

We identified 21 lecture course sections offered in the Department between the 1995 Summer II term and the 2005 Summer II term for which the instructor of record or the administrator for the subject of the course section could not confirm who taught the course section and approved the grades assigned to students. Of these course sections, 15 were offered during the Summer sessions, while the remaining six were offered during a Fall or Spring term, as shown in **Figure 4.1** below.

Figure 4.1 – *Number of inconclusive lecture course sections by academic year and term*

Academic Year	Fall	Spring	Summer I	Summer II	Total
1994-1995	-	-	-	1	**1**
1995-1996	-	-	-	1	**1**
1996-1997	-	-	-	2	**2**
1997-1998	-	-	-	-	**-**
1998-1999	-	-	-	2	**2**
1999-2000	2	1	-	2	**5**
2000-2001	-	2	-	2	**4**
2001-2002	-	1	-	2	**3**
2002-2003	-	-	-	1	**1**
2003-2004	-	-	-	-	**-**
2004-2005	-	-	-	2	**2**
2005-2006	-	-	-	-	**-**
2006-2007	-	-	-	-	**-**
2007-2008	-	-	-	-	**-**
2008-2009	-	-	-	-	**-**
2009-2010	-	-	-	-	**-**
2010-2011	-	-	-	-	**-**
2011-2012	-	-	-	-	**-**
2012-2013	-	-	-	-	**-**
Total	**2**	**4**	**-**	**15**	**21**

4B. Inconclusive Lecture Course Grade Changes within the Department of African and Afro-American Studies

There were 25 grade changes related to lecture course sections that could not be classified based on the procedures performed. For these grade changes, the instructor of record or the chair were unable to confirm definitively if the grade change was appropriately authorized and correctly submitted.

These grade changes were related to course sections which were deemed to be inconclusive. Of the 25 grade changes, detailed in **Figure 4.2**, eight were permanent grade changes while the other 17 were for temporary grades outside of the period of elevated use of temporary grades within the Department.

Figure 4.2 – *Number of inconclusive lecture course grade changes by academic year and term*

Permanent Grade Changes

Academic Year	Fall	Spring	Summer I	Summer II	Total
1994-1995	-	-	-	-	-
1995-1996	-	-	-	-	-
1996-1997	-	-	-	-	-
1997-1998	-	-	-	-	-
1998-1999	-	-	-	1	1
1999-2000	3	-	-	1	4
2000-2001	-	-	-	-	-
2001-2002	-	-	-	2	2
2002-2003	-	-	-	-	-
2003-2004	-	-	-	-	-
2004-2005	-	-	-	1	1
2005-2006	-	-	-	-	-
2006-2007	-	-	-	-	-
2007-2008	-	-	-	-	-
2008-2009	-	-	-	-	-
2009-2010	-	-	-	-	-
2010-2011	-	-	-	-	-
2011-2012	-	-	-	-	-
2012-2013	-	-	-	-	-
Grand Total	**3**	**-**	**-**	**5**	**8**

Temporary Grade Changes

Academic Year	Fall	Spring	Summer I	Summer II	Total
1994-1995	-	-	-	-	-
1995-1996	-	-	-	-	-
1996-1997	-	-	-	-	-
1997-1998	-	-	-	-	-
1998-1999	-	-	-	-	-
1999-2000	5	-	-	1	6
2000-2001	-	4	-	1	5
2001-2002	-	4	-	2	6
2002-2003	-	-	-	-	-
2003-2004	-	-	-	-	-
2004-2005	-	-	-	-	-
2005-2006	-	-	-	-	-
2006-2007	-	-	-	-	-
2007-2008	-	-	-	-	-
2008-2009	-	-	-	-	-
2009-2010	-	-	-	-	-
2010-2011	-	-	-	-	-
2011-2012	-	-	-	-	-
2012-2013	-	-	-	-	-
Grand Total	**5**	**8**	**-**	**4**	**17**

4C. Inconclusive Independent Study Course Sections offered by the Department of African and Afro-American Studies

As described previously in this report, the nature of instruction and administration for independent study course sections within the Department did not provide for the tracking of all instructors who may have been involved in the instruction, supervision, and evaluation of enrolled students. For most independent study course sections, the nature of this untracked information prevented the review team from reaching a final conclusion related to the correct classification.

Figure 4.3 – *Number of inconclusive Independent Study Course Sections by academic year and term*

Academic Year	Fall	Spring	Summer I	Summer II	Total
1994-1995	3	3	1	-	**7**
1995-1996	-	1	-	-	**1**
1996-1997	-	1	3	1	**5**
1997-1998	1	3	3	2	**9**
1998-1999	1	2	3	2	**8**
1999-2000	3	3	3	4	**13**
2000-2001	4	3	2	3	**12**
2001-2002	3	3	2	3	**11**
2002-2003	3	3	1	2	**9**
2003-2004	8	6	3	1	**18**
2004-2005	2	1	3	3	**9**
2005-2006	5	4	-	2	**11**
2006-2007	4	1	2	1	**8**
2007-2008	-	-	1	2	**3**
2008-2009	1	-	1	-	**2**
2009-2010	1	2	-	-	**3**
2010-2011	-	-	-	-	**-**
2011-2012	-	-	-	-	**-**
2012-2013	-	-	-	-	**-**
Total	**39**	**36**	**28**	**26**	**129**

Though conclusions could not be reached on these independent study course sections, the review team did identify some information specific to the Department and its use of independent studies. Most notably, for the period of academic year 2001-2002 through 2005-2006, the Department was offering a high number of independent study course sections, and enrolling a large number of students, well beyond commonly accepted standards (i.e., two independent study students per instructor per academic term). While the University now has a limitation in place on how many students an instructor may oversee as part of an independent study course, the Department was in the practice of having a level of enrollment in independent studies that significantly exceeded the capacity of instructors in the Department at the time.

The sudden decline in independent study enrollments after the 2005-2006 academic year, shown in **Figure 4.4,** may be attributable to the following:

1. In 2006, the University conducted a renumbering of its courses in order to increase the number of course offerings to its students. By increasing the number of courses offered, the need for a student to request an independent study to fulfill a degree requirement would likely decrease, as a newly created lecture course may satisfy a degree requirement for which an independent study would have been needed prior to 2006.
2. Beginning with the 2006-2007 academic year, overall enrollments decreased by 14% in AFRI/AFAM courses. This would also impact the number of students enrolling in independent study courses.

Figure 4.4 – *Drop in AFRI/AFAM enrollment*

	Fall		Spring		Summer I		Summer II	
Academic Year	Course Sections Offered	Student Enrollment	Course Sections Offered	Student Enrollment	Course Sections Offered	Student Enrollment	Course Sections Offered	Student Enrollment
2001-2002	6	62	5	90	3	20	3	23
2002-2003	6	104	7	155	3	19	3	32
2003-2004	8	104	9	181	4	30	3	31
2004-2005	7	135	14	197	2	16	2	11
2005-2006	12	74	13	116	3	12	3	21
2006-2007	10	53	5	17	3	20	3	22
2007-2008	4	13	4	15	2	9	2	21
2008-2009	5	22	7	22	2	5	2	8
2009-2010	4	23	4	7	2	7	2	11
2010-2011	4	17	8	18	2	13	1	4

As **Figure 4.5** shows, though the Department had between nine and 14 instructors between Fall 2001 and Summer II 2006, independent study enrollments were at or above approximately 200 students each year, meaning that the average instructor in the Department would have had responsibility for 16 or more independent study students.

Figure 4.5 – *Independent Study Enrollment to Instructor Ratio*

	Fall			Spring			Summer I			Summer II		
Academic Year	Instructors	Student Enrollment	Student to Instructor Ratio	Instructors	Student Enrollment	Student to Instructor Ratio	Instructors	Student Enrollment	Student to Instructor Ratio	Instructors	Student Enrollment	Student to Instructor Ratio
2001-2002	6	62	10.33	5	90	18.00	3	20	6.67	3	23	7.67
2002-2003	6	104	17.33	7	155	22.14	3	19	6.33	3	32	10.67
2003-2004	8	104	13.00	9	181	20.11	4	30	7.50	3	31	10.33
2004-2005	7	135	19.29	14	197	14.07	2	16	8.00	2	11	5.50
2005-2006	12	74	6.17	13	116	8.92	3	12	4.00	3	21	7.00
2006-2007	10	53	5.30	1	17	17.00	3	20	6.67	3	22	7.33
2007-2008	4	13	3.25	1	15	15.00	2	9	4.50	2	21	10.50
2008-2009	5	22	4.40	4	22	5.50	2	5	2.50	2	8	4.00
2009-2010	4	23	5.75	1	7	7.00	2	7	3.50	2	11	5.50
2010-2011	4	17	4.25	4	18	4.50	2	13	6.50	1	4	4.00

Timing of Anomalies Identified

Our Data Set covered the time period from 1994 to 2012. We confirmed anomalies as far back as 1997. If anomalies were occurring in the 1994-1996 time period, they were not prevalent, were unrelated to instructor overload, and were not associated with course sections with numerous grade changes.

Figure 5.1 – *AFRI/AFAM course section offering and enrollment decrease*

Academic Year	Number of Courses Offered in AFRI/AFAM	Number of Courses Offered in All Other Departments	Number of Enrollments in AFRI/AFAM Courses*	Number of Enrollments in All Other Departments Courses*	Percent of Temporary Grades Issued in AFRI/AFAM	Percent of Temporary Grades Issued in All Other Departments	Percent of Permanent Grades Issued in AFRI/AFAM	Percent of Permanent Grades Issued in All Other Departments	Percent of AFRI/AFAM Courses with No Place, Day, or Time Listed	Percent of All Other Department Courses with No Place, Day, or Time Listed	Percent of AFRI/AFAM Courses with No Instructor Listed	Percent of All Other Department Courses with No Instructor Listed
1994-1995	70	6,975	2,975	182,951	3%	1%	2%	4%	14%	15%	4%	6%
1995-1996	83	7,067	2,994	183,554	2%	1%	2%	3%	14%	16%	1%	6%
1996-1997	97	7,143	3,467	177,546	4%	2%	2%	3%	11%	18%	3%	8%
1997-1998	93	7,214	3,529	177,208	3%	2%	2%	3%	13%	18%	4%	9%
1998-1999	98	7,211	3,555	178,193	4%	1%	3%	3%	17%	19%	4%	9%
1999-2000	108	7,413	3,567	180,207	5%	1%	3%	3%	23%	19%	5%	11%
2000-2001	102	7,700	3,656	185,290	4%	1%	3%	4%	25%	18%	4%	14%
2001-2002	105	7,871	3,617	189,908	5%	1%	4%	3%	23%	18%	13%	11%
2002-2003	120	8,098	3,893	193,167	5%	1%	4%	4%	31%	19%	20%	9%
2003-2004	132	8,399	4,124	195,117	6%	1%	4%	4%	32%	20%	14%	9%
2004-2005	128	8,589	4,072	199,091	6%	1%	3%	3%	39%	20%	16%	8%
2005-2006	140	8,777	3,984	203,752	9%	1%	3%	5%	27%	19%	15%	7%
2006-2007	122	8,894	3,455	210,440	9%	1%	4%	4%	22%	21%	5%	7%
2007-2008	104	9,249	2,911	215,008	7%	1%	3%	5%	21%	22%	12%	8%
2008-2009	125	9,464	3,243	218,974	8%	1%	5%	5%	21%	22%	9%	6%
2009-2010	108	9,485	2,812	221,472	4%	1%	4%	4%	7%	22%	7%	7%
2010-2011	131	10,069	5,244	344,343	2%	1%	2%	3%	20%	23%	9%	8%
2011-2012	126	10,040	5,486	359,144	1%	0%	2%	2%	9%	23%	3%	8%

* The number of enrollments includes students who may have dropped or withdrew from the course (i.e., all registrations during the period).

Dramatic Reduction in Anomalies Following Ms. Crowder's Retirement

No evidence from our review points to anyone else's involvement beyond Ms. Crowder and Dr. Nyang'oro. While we cannot definitively conclude regarding the degree of Ms. Crowder's responsibility for the academic anomalies noted in this report, both this review and the Hartlyn-Andrews Report found a dramatic reduction in academic anomalies after Summer 2009, as shown in **Figure 6.1**. This reduction coincided with the time of Ms. Crowder's retirement.

Figure 6.1 – *AFRI/AFAM enrollment drop for 2009*

Academic Year	Number of Courses Offered in AFRI/AFAM	Number of Enrollments in AFRI/AFAM Courses*	Number of Enrollments in AFRI/AFAM Independent Study Courses**	Julius Nyango'ro's Course Load in AFRI/AFAM	Percent of Temporary Grades Issued in AFRI/AFAM	Percent of Permanent Grades Issued in AFRI/AFM	Percent of AFRI/AFAM Courses with No Place, Day, or Time Listed	Percent of AFRI/AFAM Courses with No Instructor Listed
1994-1995	70	2,975	-	10	3%	2%	14%	4%
1995-1996	83	2,994	-	10	2%	2%	14%	1%
1996-1997	97	3,467	-	10	4%	2%	11%	3%
1997-1998	93	3,529	-	11	3%	2%	13%	4%
1998-1999	98	3,555	-	10	4%	3%	17%	4%
1999-2000	108	3,567	-	15	5%	3%	23%	5%
2000-2001	102	3,656	-	15	4%	3%	25%	4%
2001-2002	105	3,617	195	11	5%	4%	23%	13%
2002-2003	120	3,893	310	11	5%	4%	31%	20%
2003-2004	132	4,124	346	24	6%	4%	32%	14%
2004-2005	128	4,072	359	19	6%	3%	39%	16%
2005-2006	140	3,984	223	24	9%	3%	27%	15%
2006-2007	122	3,455	88	24	9%	4%	22%	5%
2007-2008	104	2,911	52	15	7%	3%	21%	12%
2008-2009	125	3,243	38	16	8%	5%	21%	9%
2009-2010	108	2,812	23	6	4%	4%	7%	7%
2010-2011	131	5,244	-	6	2%	2%	20%	9%
2011-2012	126	5,486	-	4	1%	2%	9%	3%

* The number of enrollments includes students who may have dropped or withdrew from the course (i.e., all registrations during the period).
**Independent study data only available for the time period (2001-2010)

The number of course sections without regularly assigned meeting time or location in the academic system of record as a percentage of course sections offered were 1.41 percent higher for the Department than for other departments as shown in **Table 6.2**.

Figure 6.2 – *Comparison of course sections without a regularly scheduled meeting time or location*

	AFRI/AFAM			All Other Departments		
Academic Term	No Place/Day/Time Listed in Academic System of Record	Total Course Sections Offered	Percent of Sections with No Place/Day/Time	No Place/Day/Time Listed in Academic System of Record	Total Course Sections Offered	Percent of Sections with No Place/Day/Time
1994-1995	10	70	14%	1,069	6,975	15%
1995-1996	12	83	14%	1,140	7,067	16%
1996-1997	11	97	11%	1,287	7,143	18%
1997-1998	12	93	13%	1,294	7,214	18%
1998-1999	17	98	17%	1,340	7,211	19%
1999-2000	25	108	23%	1,381	7,413	19%
2000-2001	26	102	25%	1,403	7,700	18%
2001-2002	24	105	23%	1,444	7,871	18%
2002-2003	37	120	31%	1,556	8,098	19%
2003-2004	42	132	32%	1,693	8,399	20%
2004-2005	50	128	39%	1,708	8,589	20%
2005-2006	38	140	27%	1,652	8,777	19%
2006-2007	26	122	21%	1,777	8,894	20%
2007-2008	21	104	20%	1,972	9,249	21%
2008-2009	25	125	20%	1,968	9,464	21%
2009-2010	7	108	6%	1,986	9,485	21%
2010-2011	26	131	20%	2,236	10,069	22%
2011-2012	11	126	9%	2,176	10,040	22%
2012-2013	8	64	13%	879	4,395	20%
TOTAL	**428**	**2,056**	**20.82%**	**29,961**	**154,053**	**19.45%**

The number of course sections without an instructor of record entered in the academic system of record were 0.33 percent higher for the Department than for other departments as illustrated in **Figure 6.3**.

Figure 6.3 – *Comparison of course sections without an instructor of record*

	AFRI/AFAM			All Other Departments		
Academic Term	No Instructor of Record Assigned	Total Course Sections	Percent of Course Sections without an Assigned Instructor of Record	No Instructor of Record Assigned	Total Course Sections	Percent of Course Sections without an Assigned Instructor of Record
1994-1995	3	70	4%	430	6,975	6%
1995-1996	1	83	1%	454	7,067	6%
1996-1997	3	97	3%	592	7,143	8%
1997-1998	4	93	4%	634	7,214	9%
1998-1999	4	98	4%	641	7,211	9%
1999-2000	5	108	5%	822	7,413	11%
2000-2001	4	102	4%	1,091	7,700	14%
2001-2002	14	105	13%	861	7,871	11%
2002-2003	24	120	20%	713	8,098	9%
2003-2004	18	132	14%	735	8,399	9%
2004-2005	21	128	16%	654	8,589	8%
2005-2006	21	140	15%	651	8,777	7%
2006-2007	6	122	5%	623	8,894	7%
2007-2008	12	104	12%	698	9,249	8%
2008-2009	11	125	9%	578	9,464	6%
2009-2010	7	108	6%	652	9,485	7%
2010-2011	11	131	8%	788	10,069	8%
2011-2012	3	126	2%	721	10,040	7%
2012-2013	4	64	6%	334	4,395	8%
Total	176	2,056	8.56%	12,672	154,053	8.23%

Exploration of Factors Potentially Contributing to the Discovered Academic Anomalies

One of the key questions surrounding the anomalies identified, and the accompanying discussion within the community and media, is why anomalous courses were offered. In working to identify the "root cause" of the issue, the review team sought to understand what were the factors or environment that allowed the anomalies to occur and who benefitted?

As further described below, based on information learned in our interviews and through our documentation review, the high degree of trust and autonomy, coupled with manual processes, created an opportunity for an administrator to schedule a course section without an instructor of record, register students in the course section, and assign course work and grades to students. Additionally, this environment provided an instructor with the opportunity to teach a course in an unapproved manner (e.g., teach a course designed to have regular lectures as an independent study without lecture time). In each case, administrators outside of the academic unit were not responsible for monitoring how course sections were taught or did not consistently have access to information that showed course sections that had not been taught by an instructor of record.

Was there a problem, concern, or incentive present that would inform the behavior of departmental personnel? In a prudent and necessary effort to address this question, the review team investigated whether certain individuals gained financially from the occurrence of academic anomalies. The specific findings from the results of our investigation are detailed below but we did not identify any instances in which unusual personal or professional gains or incentives were received by Dr. Nyang'oro or Ms. Crowder in exchange for courses offered within the Department (either specifically for student-athletes or otherwise). We discovered no evidence of unusual compensation to Dr. Nyang'oro and Ms. Crowder beyond their standard University salaries[11], nor any evidence of the provision of other financial incentives to either of them by the University or by certain affiliated University organizations. The possibility of personal gains was not considered for other instructors of record of anomalous courses since, by definition, instructors of record of anomalous courses beyond Dr. Nyang'oro served as neither the actual instructors of those courses nor the signers of the associated grade rolls.

In exploring factors that potentially contributed to the discovered academic anomalies, we sought to address a number of questions, some of which were merely speculation on local message boards, but which still called for a response, if possible. In the pages that follow, we structure this evaluation into two broad categories:

- University-wide and department-level factors
- Other factors considered
- Possibility of individual gains

[11] Instructors are not paid on a per course basis except during Summer terms, where they are only paid for a maximum of two courses. Many professors have responsibilities beyond these payment maximums and consider the additional effort to be a part of their roles as faculty members.

University-wide and Department-Level Factors

In the area of University-wide and departmental factors, we structured our inquiry, and related interviews and data analysis procedures, to answer the following questions:

- What factors in the University's overall environment may have played a role in enabling the academic anomalies to occur? Were there impacts from the levels of oversight, policies and procedures, systems, processes, or internal controls in place to prevent or detect such anomalies?
- Why were these anomalies not detected sooner?
- In the Department, who was involved in the anomalies and how?
- Was there merit to speculation that anomalous courses were created and offered for the benefit of student-athletes, particularly those playing "revenue sports" (i.e., football and basketball) for the University?
- Is there a culture of "easy" courses or inflated grades for student-athletes?
- Are student-athletes unprepared for a collegiate workload, and do some require an extraordinary level of academic assistance?

University-wide Factors

The role of academic freedom at the University

The University of North Carolina at Chapel Hill is regarded as one of the nation's top institutions of higher learning. It is routinely ranked among the best public colleges in the country by the *U.S. News & World Report*[12], in part due to the breadth of academic offerings and the academic freedom enjoyed by academic units, instructors, and students to develop and pursue course work and research within all manner of subjects of interest.

As with many institutions of higher learning, the University's climate of academic freedom empowers instructors to teach course content in a variety of ways, students to earn credit in alternative course formats (i.e., non lecture formats), such as independent research and experiential learning through an internship, and instructors and students to develop new course content or design independent study courses focused on subjects of interest.

Through interview and meeting minutes, we learned that ASPSA employees raised questions to administrators within the Department of Athletics (Athletics administrators) about the prevalence of independent study courses and about lecture courses that were being taught in an independent study format. As a result, Athletics administrators brought to the attention of the Faculty Athletic Committee (FAC) in 2002 and 2006 their questions about trends related to the frequency of student-athletes' earning credit through independent study course sections. Additionally, Athletics administrators in 2006 raised a general question to the FAC regarding the propriety of lecture courses that were being taught in an independent study format; however, we found no evidence that the FAC received specific data regarding the frequency or number of students, both student-athletes and non-athlete students, in these course sections. By its nature, this data is not readily available (i.e., in the academic system of record these courses appear to be identical to "regular" lecture courses). Through interviews, we understand that the FAC provided the following responses to the questions raised by Athletics administrators: 1) instructors have wide latitude in how they teach approved course content and 2) all students, including student-

[12] Ranked as the 5th best public university in *U.S. News & World Report's* 2013 "Best Colleges" guidebook, the University's 12th consecutive ranking in the top five of public universities.

athletes, may take any course for which they are able to register. While in hindsight we can say that this interchange may have represented a missed opportunity for inquiring further into the offerings of the Department, this misapplication of the concept of academic freedom may not be unique among many institutions of higher learning in the United States.

Decentralized nature of academic operations

The decentralized nature of academic operations provided a high degree of autonomy. Oversight was limited due to the historical division of responsibilities among senior administrators, academic unit chairs and administrative staff, and instructors. The College of Arts and Sciences, the University's largest academic unit, supports "more than 40 academic departments and interdepartmental curricula." Within the College of Arts and Sciences, senior administrators (i.e., the Dean and Senior Associate Deans) were responsible for the operation of multiple academic units. The chair of each academic unit was responsible for monitoring how course sections offered by the unit were scheduled and taught. This division of responsibilities provided the chair, administrative staff, and instructors in an academic unit with autonomy related to the scheduling and teaching of course sections.

Historically, academic administrators outside of academic units did not actively monitor adherence to requirements that Chairs and instructors obtain approvals related to the development and delivery of academic courses. For example, the University requires approval outside of the academic unit (e.g., from a Senior Associate Dean and/or Dean) for certain changes to how a course is taught (e.g., requiring a written term paper instead of a final examination). Also, the University requires approval from committees outside of an individual academic unit for creating and adding new courses to the University's course catalog. Additionally, instructors and academic administrators are subject to the Faculty Code of Conduct, the Chair's Manual, the Undergraduate Bulletin, and other academic policies, and are expected to act with academic integrity, ethical behavior, and personal responsibility, but in the past a process has not been in place for providing formal performance evaluations of individuals in these roles. Decentralization is not uncommon in higher education, but is more the norm, requiring monitoring and oversight in place to have a strong control environment

Limited accountability resulting from manual administrative processes and practices

The University operated for a number of years with manual administrative processes, including the process for submitting and changing students' grades for course sections. These manual processes, accomplished via paper forms, made it difficult for the Office of the University Registrar to validate submitted grade information or for instructors to provide oversight that correct grade information was entered into the academic system of record and appeared on a student's transcript. Once a completed grade roll or grade change form was submitted to the Office of the University Registrar, there was no process by which an instructor could validate the information that had been manually entered into the academic system of record by personnel in the Office of the University Registrar[13], and instructors were not required to review the official grade history in the academic system of record for course sections that they had taught.

[13] Grade rolls and grade change forms were required to contain the instructor's signature showing approval that the information contained on the forms was correct. The Office of the University Registrar could not consistently confirm that a given signature was in fact that of the instructor of record because of the number of instructors and course sections and because the forms were not consistently pre-populated with the instructor of record information from the academic system of record.

Historical administrative practices resulted in limited accountability related to the scheduling and teaching of course sections because, for certain courses, the time and/or location for class sections and the instructor of record were not readily identifiable in the academic system of record. Designated administrators in each academic unit were responsible for scheduling course sections for each term with approval of the Chair and oversight of the Senior Associate Dean for the academic unit. Through interviews, we learned that it was a common practice for administrative staff to save time and maintain scheduling flexibility by not updating the academic system of record with scheduling information and/or with the instructor of each course section in academic units that had dedicated classroom space or that used adjunct instructors and graduate teaching assistants. With the implementation of a new student records system in 2010, the grade submission process is managed electronically and provides a greater measure of visibility and oversight across the campus. While the process for changing a student's grade still requires the submission of a hard copy form via a manual process, the new student records system provides ongoing visibility for the instructor of record into the grades assigned to students. Additionally, new University policies and procedures are designed to address this issue for the future.

Department-level Factors

Beyond the environmental factors mentioned above that affected the University as a whole, we noted via interviews and documentation review that several unique aspects of the Department's operations created an environment of opportunity for the noted academic anomalies.

Department's evolving status

The Department received department status in the College of Arts and Sciences in 1997. Prior to this time, courses in African and Afro-American Studies were offered as curricula. The Department was chaired by Dr. Julius Nyang'oro, who joined the University as a faculty member in 1988, chaired the Curriculum in African and Afro-American Studies from 1992, and became Chair of the Department in 1997. Ms. Deborah Crowder began her University career as a secretary in 1979, supporting the Curriculum and Department for 30 years. She retired as the Department manager in September 2009. As a small but growing department at UNC, the Department's faculty initially consisted primarily of adjunct and other non-tenured instructors. For many years, the Department operated without the typical faculty committees or additional leadership positions (e.g., Director of Undergraduate Studies and Associate Chair). While the Department grew and instructors were added and promoted, the leadership and administrative structure of the Department did not substantially evolve. This resulted in few checks and balances and few members of the faculty in positions to balance the authority that Dr. Nyang'oro and Ms. Crowder exercised over the Department's administrative operations.

We noted the possibility that an emerging department would be motivated to increase its enrollment, pressure which could potentially have contributed to the identified academic anomalies. We also noted that for a department to offer a lecture course section requires a minimum enrollment of ten students.

Deficient oversight by Department Chair

Based on interviews and a review of Dr. Nyang'oro's Curriculum Vitae dated 2010, we understand that he was not consistently present, during the Fall, Spring, nor Summer sessions, to oversee the academic and administrative activities of the Department staff and instructors. Dr. Nyang'oro also taught as an adjunct instructor for the Africa Center for Strategic Studies in Washington, DC. He frequently consulted on political and national security issues for the United States and certain African countries, including the following:

- 2009 - Present (2010) AkibaUhaki, Nairobi, Kenya: Human Rights and Governance
- 2009 - Present (2010) Trans-Saharan Security Program, Development Alternatives Inc., Washington. DC
- 2003 - Present (2010) Mwengo Civil Society, Governance and Political Transition in Eastern and Southern Africa
- 1992 - Present (2010) Consultant, Civil Society Task Force, MWENGO

In addition to his consulting activities, through our analysis of course data and interviews, we determined that Dr. Nyang'oro consistently served as the instructor of record far more frequently than the standard course section load for a chair, or even an instructor, in that department (i.e., one or two course sections in each of the Fall and Spring terms) and often appeared as the instructor of record even more frequently than the standard course section load for an instructor without administrative responsibilities in that department (i.e., two course sections in the Fall term and two in the Spring term).

As a consequence of Dr. Nyang'oro's absence, Ms. Crowder was entrusted with autonomy and authority related to many administrative and academic matters.

Ms. Crowder's expanded role in the Department

Ms. Crowder was perceived across campus as a caring individual, and many expressed surprise that she had been implicated in these anomalies. However, we learned that over the years, some students referred to her as "Professor Debbie," apparently mistaking her administrative role as an instructor role.

During Ms. Crowder's experience of over thirty years with the Curriculum and then the Department, she became a key figure in the Department's operations and activities until her retirement in the Summer of 2009. Ms. Crowder managed course section scheduling, manual student enrollment, and the submission of student grades and grade changes to the Office of the University Registrar. Additionally, Ms. Crowder served as the Human Resources representative for the Department. During her service, Ms. Crowder was promoted from secretary to manager of the Department. Ms. Crowder developed a detailed understanding of how the University's academic systems and processes worked. Additionally, based on interviews conducted as part of this review, we understand that she developed relationships with individuals across the University, including members of the University's Athletics Department and the ASPSA.

Ms. Crowder's span of influence was much broader than what we would expect of someone in her position in a different department. Ms. Crowder's role and responsibilities within the Department afforded her with broad access to records, systems, and other information. Due to her involvement in the administrative processes outlined above, Ms. Crowder had access to view and edit student and course section information in the academic system of record. Based on interviews and our review of course information, it appears that she frequently assumed the roles and responsibilities of the Chair and instructors related to the reporting and changing of grades. In addition, Ms. Crowder's role as Human Resources representative for the Department resulted in her having access to and influence over Departmental personnel matters.

Department-specific practices

As part of the course scheduling process, Ms. Crowder was responsible for establishing course sections for the courses to be offered in each academic term and for updating the course section information in the academic system of record to include the instructor(s) for the course section and the meeting

time/location. Ms. Crowder did not always update the academic system of record with instructor information and meeting time/location for course sections, purportedly to save administrative time and maintain scheduling flexibility. This was a relatively common practice for academic units. Due to this administrative practice, the academic system of record did not always contain accurate or current data regarding the instructor of record and the meeting time/location for certain course sections and, in most cases, this information also did not appear on the grade rolls that were submitted to the Office of the University Registrar. As a result, information regarding the instructor of record and the method of instruction (e.g., lecture course) was not readily available for many course sections. Consequently, the effectiveness of monitoring by administrators outside of the Department would have been limited.
It was the Department's administrative practice to create only one independent study course section in an academic term, and therefore only one grade roll, for all of the students who were enrolled in independent studies with instructors in the Department. While the record of the independent study course section showed only one instructor of record, each instructor working with student(s) in the independent study course section was considered the independent study supervisor for those student(s) and was responsible for assigning to and grading the work by the student(s). Ms. Crowder was responsible for collecting grades from the independent study supervisors and for obtaining the instructor of record's signature on the grade roll before submitting it to the Office of the University Registrar for processing at the end of the academic term. Due to this administrative practice, the independent study supervisor was not documented in the academic system of record and, in most cases, also did not appear on the grade rolls that were submitted to the Office of the University Registrar. As a result, we were not able to determine the instructor who assigned and graded work for each student who received credit for an independent study within the Department.

Other Possible Factors

No evidence of ASPSA involvement in offering anomalous course sections

The review team identified no confirmation for speculation that ASPSA's academic counselors colluded with instructors or administrators to offer anomalous course sections for the benefit of student-athletes or engage in any improper activities to maintain eligibility of a student-athlete. In the case of the Department of African and Afro-American Studies, there is evidence that certain ASPSA employees were aware that certain courses within the Department were so-called "Term Paper Courses," and that lecture courses were being taught in an independent study format. As previously mentioned, when these concerns were raised, the Faculty Athletic Committee stated that it was incumbent upon each instructor of record to determine how to teach his/her own course and that it was therefore unnecessary for ASPSA personnel to question the instructional methods used.

Consideration of speculation regarding student-athlete admissions

The University's highly structured process for athlete admissions applies clear decision criteria and multiple levels of oversight, such as:

- A Faculty Advisory Committee on Undergraduate Admissions (FACUA) sets guidelines for athlete admissions.
- A Faculty Subcommittee on Special Talent Admissions … specifically reviews and approves admissions recommendations for all "committee cases," which exceed no more than 25 student-athletes per year.

- The Office of Undergraduate Admissions retains final authority for all admissions decisions. Department of Athletics officials make recommendations within the parameters set by the FACUA.

The University administers diagnostic tests after student-athletes matriculate in order to identify particular educational concerns that could impact a student-athlete's ability to succeed in college courses; the timing of these diagnostic tests complies with the Americans with Disabilities Act. The results of the diagnostics are used to provide an appropriate level of academic support for student-athletes, and in certain cases even to identify undiagnosed learning disabilities and connect the student-athletes with services available to assist them with developing in spite of such disabilities. If found to be necessary, certain student-athletes may require additional support from tutors or learning specialists to achieve success in the University's rigorous academic environment, which the University provides in compliance with, and as required by, the governing rules of the NCAA.

The review team worked with the University's contracted educational testing service to review personally-identifiable diagnostic results for special admission student-athletes over a five-year period. These diagnostic tests, offered to special admission student-athletes in the Spring before they matriculate, evaluate a student-athlete's grade level equivalent for academic performance in the areas of reading, math, and writing.

We consulted with University learning specialists and were advised that it is possible for students with learning disabilities or other special needs to succeed if they have sufficient support, and that, contrary to publicized assertions that this was more prevalent, there are very few student-athletes who need such extensive remediation to enable them to be successful academically.

<u>The role of "easy" courses</u>

The University has acknowledged that certain courses may be perceived by groups of students as less academically challenging than other courses, and has also acknowledged that certain course sections for the same course offered across campus may be perceived by groups of students as less academically challenging than other course sections in the same course. In a world of diverse academic offerings covering a multitude of subjects, many subject areas offer courses, such as an introduction to a subject, that are intended to appeal to a broad audience of students and, typically, are viewed as less rigorous in terms of the course work required. However, the existence of these courses is not focused on resulting in, or intended to provide, high grades for student-athletes. On campuses across the country, university students can provide examples of courses that were, or are rumored to be, less academically challenging, and these courses are often included in a student's schedule to provide a level of balance or reprieve from a schedule of other courses perceived to be more challenging.

While research has shown a distinct trend in the increase of average grade point averages (GPAs) for college students in the past decades[14], this is a national trend present in all institutions of higher learning and is not specific to UNC or the academic performance of student-athletes. Further, the fact that a student-athlete enrolled in and completed one of these "easy" courses did not mean that the course was taught irregularly or that the student-athlete did not complete the course work as required and earn the

[14] Research on grade inflation conducted by Stuart Rojstaczer and Christopher Healy shows that grade inflation has been a growing trend across the country since the 1960s and 1970s. Between 1991 and 2007, the average GPA across over 230 colleges and universities included in the researchers' study rose by nearly 0.2 points.

grade assigned. The existence of less challenging, or "easy," courses does not in itself represent academic misconduct.

The results of our analysis of "easy courses" did not support speculation that student-athletes comprised a higher percentage of enrollments for these courses relative to the overall student population. The procedures completed during this review included an analysis of courses where the average assigned grade was above-average compared to the population of all other courses. The enrollment in these courses sometimes included student-athletes, but the results of this analysis did not support speculation that student-athletes comprised a higher population of the enrollment for these courses than others across the University.

We heard from several sources that there was a potential for anomalies in other departments, one of which was Naval Sciences. We followed-up on those leads and found that the questioned courses were legitimate courses that gave high grades to every student. For example, we confirmed with the instructor of a questioned Naval Science (Weapons) course that it was a regularly taught course with considerable technical rigor, although it specifically awarded high grades. In subsequent years, grading became stricter. Therefore, the course was not anomalous in the sense of academic misconduct. For this particular course, we were told that the department was concerned about disrespectful graffiti on the walls of its building and had reached out to try to attract student leaders to the course so that the campus might come to appreciate the value of the program. In doing so, he attracted six basketball players to join the course, which explains a concentration of basketball players in that particular course. This type of reasonable explanation was the norm in our exploring potentially anomalous courses suggested by a variety of sources.

Evaluation of the Possibility of Individual Gains

In addition to addressing possible University-wide and departmental factors contributing to the discovered academic anomalies, we structured a number of points of inquiry to assess the possibility of individual gains. As mentioned previously, some of these points were mere speculation, but where possible we attempted to address the questions:

- Did Dr. Nyang'oro or Ms. Crowder receive financial or other benefits for their roles in providing anomalous course sections or making unauthorized grade changes, either temporary or permanent?
- Did Department instructors or administrators possess an extraordinary interest in supporting the University's Athletic programs?
- Did unusual personal or external relationships, or financial exchanges, with members of the University community or affiliated University organizations possibly influence the actions of Dr. Nyang'oro or Ms. Crowder in their University roles, including relationships such as:
    - Dr. Carl Carey – Current sports agent to professional football players, former tutor to student-athletes, former adjunct instructor of one course section in the Department of African and Afro-American Studies
    - Carolina for Kibera – an international, nonprofit organization based in the Kibera slum of Nairobi, Kenya, and a program of the UNC Center for Global Initiatives, in which it was rumored that Dr. Nyang'oro could have conceivably had an interest
    - Department of Athletics or ASPSA staff
    - The Educational Foundation, Inc. (commonly known as the Ram's Club) – the University's affiliated athletics booster club, which is a separate 501(c)(3) organization that cooperated voluntarily with this review
    - Nike Foundation – a donor to Carolina for Kibera and a sponsor of UNC Athletics, whose interest in supporting both the Department of Athletics and a UNC program that provides service to an African country could have potentially been connected through Dr. Nyang'oro
    - Mr. Warren Martin – a former member of UNC's men's basketball team who is known to have a long-time personal relationship with Ms. Crowder

Beyond the points mentioned above, our interviews revealed no additional speculation regarding unusual relationships of Dr. Nyang'oro and Ms. Crowder.

We did not review the Department's financial records, since the University had previously taken this step. However, through the procedures that we did perform, we found no evidence of financial malfeasance.

Detailed Procedures Performed and Conclusions Regarding Possible Individual Gains

As noted at the beginning of this section, our procedures did not identify any instances of personal or professional gains, including unusual compensation or evidence of the provision of other financial incentives. Through our review, we noted the following points, some of which were interesting but did not in our judgment appear to fit the definition of motive for the identified academic anomalies:

Procedures Performed Regarding Possible Individual Gains	**Information Regarding Possible Individual Gains**
Commissioned and reviewed the results of personal background checks on Dr. Nyang'oro, Ms. Crowder, Dr. Carey, and Mr. Martin, including: • Performing nationwide online searches for federal-level civil, criminal, bankruptcy, judgment, and lien records, and state-level online searches for bankruptcy, judgment, and lien records in North Carolina as well as other select states. • Engaging a former law enforcement investigator to follow-up on possible relationships identified through review of the background check results and initial interviews. • Reviewing collected filings from various federal and state regulatory agencies such as the Securities and Exchange Commission, Financial Industry Regulatory Authority, Housing and Urban Development, and the U.S. Department of the Treasury Office of Foreign Assets Control. • Conducting an online media search of over 20,000 available sources, including newspapers, magazines, press releases, industry journals, and television broadcast transcripts.	We noted no relationships of Dr. Nyang'oro, Ms. Crowder, Dr. Carey, or Mr. Martin, as identified through the background check results, private investigator's inquiry, and interviews, that appeared to lead to the possibility of unusual financial gain. We identified a friendship between Ms. Crowder and a long-time academic tutor and advisor for the men's basketball team, Ms. Burgess McSwain, who died in 2004. Ms. Crowder and Ms. McSwain were known to be close friends. We identified via a public records search a bequest made in 2008 to Ms. Crowder from the estate of Ms. McSwain's father, who died in 2008. The will described the bequest of Hummel figurines and Christmas decorations, as well as a sum of $100,000 to be provided upon the condition that "she provide care, maintenance support, and routine and reasonable health and veterinary care, for all of my dogs…" We concluded that there was nothing inappropriate about this.
Inquired of University officials regarding the results of their prior searches of University financial records (that contained personally-identifiable information) for any unusual payroll transactions or athletics tickets that may have been provided to or purchased by Dr. Nyang'oro, Ms. Crowder, Dr. Carey, or Mr. Martin.	We noted that the University, in its prior searches, had identified no extraordinary payroll transactions. University records indicated that all athletics tickets utilized by these individuals had been purchased through normal means.

Procedures Performed Regarding Possible Individual Gains	**Information Regarding Possible Individual Gains**
Searched the Data Set (containing personally-identifiable information) to identify any course sections for which Dr. Carey was listed as the instructor of record and applied the same testing methodology that we employed for the 702 anomalous courses that were initially identified through our "red flags" analysis, including a review of the related grade roll.	The academic system of record and related grade roll for the one class taught by Dr. Carey in the Summer 2010 academic term showed enrollment of students with varied backgrounds and affiliations (e.g., only one student-athlete from a non-revenue sport) and contained no "red flag" characteristics. Additionally, we noted that Dr. Carey has a Doctorate in Educational Psychology and academic administrators considered him to be qualified to teach. We also noted via discussion with University officials that Dr. Carey received only the standard payment for an adjunct instructor for teaching that course section.
Reviewed publicly-available information of affiliations with and donations to Carolina for Kibera (consisting of the 2011 Internal Revenue Service Form 990 and Annual Reports of the past five years) to search for relationships (i.e., board of directors membership, advisory board membership, or donation) between that organization and Dr. Nyang'oro.	We noted no evidence of Dr. Nyang'oro's having a relationship with Carolina for Kibera, which addressed speculation on the possibility of a connection between Dr. Nyang'oro and the Department of Athletics via the Nike Foundation.
Visited the financial office of the Ram's Club[15] to direct a Ram's Club employee in performing, and to witness the results of, specific queries of the financial records of the Ram's Club within its financial systems and databases (containing personally-identifiable information) to search for any payments made to administrators and instructors who had been assigned to the Department during the 1994 to 2012 time period of our review, or for donations made by those individuals to the Ram's Club.	Our search queries resulted in no evidence of payments from the Ram's Club to administrators and instructors who had been assigned to the Department during the 1994 to 2012 time period of our review. We noted nominal donations (i.e., totaling less than $1,500 in the aggregate) to the Ram's Club by a few administrators and instructors who had been assigned to the Department at some point during the time period of our review.

[15] Ram's Club officials responded promptly and thoroughly to all queries from the review team.

Appendix A – Interviews Conducted

The review team interviewed the following individuals, plus an additional ten individuals from Beta Theta Pi and Delta Kappa Epsilon. All references are to interviewees' roles at the University unless otherwise noted.

Steven L. Bachenheimer
Professor, Microbiology and Immunology
Retiree, Human Resources

Richard A. Baddour
Former Athletic Director

V. William Balthrop
Associate Director, Arts and Humanities Institute
Professor, Communication Studies

J. Troy Blackburn
Adjunct Associate Professor, Orthopedics
Associate Professor, Exercise and Sport Science

Carole Blair
Professor, Communication Studies

John Blanchard
Senior Associate Athletic Director for Student-Athletes

Jan Boxill
Chair, Faculty Council
Master Lecturer of Philosophy

Robert G. Bracknell
Lieutenant Colonel, U.S. Marine Corps
Alumnus

Beth Bridger
Associate Director, Academic Support Program for Student-Athletes

E. Willis Brooks
Emeritus Faculty

John S. Bunting
Former Head Football Coach

Janis Carter
Administrative Assistant, Naval Science (NROTC)

Joseph Cheshire V
Attorney for Jennifer Wiley

McKay Coble
Department Chair, Dramatic Art

Nicole Comparato
University Editor, *The Daily Tar Heel*

Renee (Alexander) Craft
Adjunct Assistant Professor, Global Studies
Assistant Professor, Communication Studies

Richard Cramer
Academic Advisor, Steele Building
Former Professor of Sociology

Deborah Crowder[16]
Former Department Manager, Department of African and Afro-American Studies

Lawrence R. Cunningham
Director of Athletics

Chris Derickson
University Registrar

Jack Evans
Emeritus Faculty, Kenan-Flagler Business

Steve Farmer
Director of Admissions

Dominique Fisher
Professor, Romance Languages

William Friday
President Emeritus

Karen Gil
Dean of the College of Arts and Sciences

S. Travis Gore
Administrative Assistant, Department of African and Afro-American Studies

Bryan Griffin
Former Football Player

[16] A phone call was placed to Ms. Crowder; however, she did not answer the call or respond to a message requesting an interview.

Kevin Guskiewicz
Department Chair, Exercise and Sport Science

Wade Hargrove
Chairman, Board of Trustees

Jonathan Hartlyn
Senior Associate Dean for Social Sciences and Global Programs

Blaine Hicks
Special Agent, State Bureau of Investigation

Reginald Hildebrand
Associate Professor, African and Afro-American Studies

Eric Hooks
Deputy Director, State Bureau of Investigation

Larsen Jones
Former President of Eta Chapter of Beta Theta Pi Fraternity

Dan Kane
Reporter, *The News & Observer*

Amy Kleissler
Part-time Learning Assistant, Academic Support Program for Student-Athletes

Michael C. Lambert
Director, African Studies Center, Department of African and Afro-American Studies

Jaimie Lee
Academic Counselor, Academic Support Program for Student-Athletes

Margaret C. Lee
Associate Professor, African and Afro-American Studies

Sharon Lee
Mother of Devon Ramsay, Current Football Player

Brian Lubitz
Former Fighter Pilot, U.S. Navy
Former Instructor of Naval Sciences

Laurie F. Maffly-Kipp
Department Chair, Religious Studies

Lee Y. May
Associate Dean and Director, Academic Advising

Timothy J. McMillan
Senior Lecturer, African and Afro-American Studies

Robert Mercer
Special Assistant for Operations, James M. Johnston Center for Undergraduate Excellence
Former Director of Academic Support Program for Student-Athletes

Dennis Mumby
Department Chair, Communication Studies

Alphonse Mutima
Adjunct Assistant Professor, African and Afro-American Studies

Scott Myers
Visiting Lecturer, Communication Studies

Julius Nyang'oro[17]
Former Chair of the Department of African and Afro-American

Kym Orr
Academic Counselor, Academic Support Program for Student-Athletes

Robert F. Orr
Attorney
Former North Carolina Supreme Court Justice

Tia Overstreet
Academic Counselor, Academic Support Program for Student-Athletes

Bobbi A. Owen
Senior Associate Dean for Undergraduate Education

Andrew J. Perrin
Associate Professor of Sociology
Member, Faculty Athletic Committee
Former Member and Chair, Faculty Educational Policy Committee

Della Pollock
Distinguished Term Professor, Communication Studies
Acting/Interim Director, Study of American South, Center

Robert Porter
Lecturer, African and Afro-American Studies

[17] Governor Martin placed a phone call to Dr. Nyang'oro, who did not answer the call or respond to a message requesting an interview.

David J. Ravenscraft
Fulton Global Business Dist Prof, Kenan-Flagler Business School

Charlene Regester
Associate Professor, African and Afro-American Studies

Wally Richardson
Associate Director, Academic Support Program for Student-Athletes

Walter C. Rucker
Associate Professor, Department of African and Afro-American Studies

Eunice Sahle
Chair, Department of African and Afro-American Studies
Associate Professor, Global Studies Curriculum and Department of African and Afro-American Studies

Erin C. Schuettpelz
Chief of Staff, Office of the Chancellor

John P. Shoop
Former Offensive Coordinator for Football

Jay M. Smith
Associate Department Chair and Professor of History

Jeanne Smoot
Former English Professor at NC State University, member of NCSU Faculty Athletic Committee

Patrick Snyder
Current Student
President of Eta Chapter of Beta Theta Pi Fraternity

Richard M. Southall
Associate Professor, Department of Exercise and Sports Science

Leslie C. Strohm
Vice Chancellor and General Counsel

Deborah Stroman
Lecturer and Academic Advisor, Department of Exercise and Sports Science
Chair, Faculty and Student Black Caucus

Holden Thorp
Chancellor

Jennifer J. Townsend
Associate Director, Center for Student Success and Academic Counseling

Richard Vernon
Assistant Department Chair, Romance Languages
Senior Lecturer, Romance Languages

Deunta Williams
Former Football Player

Mary C. Willingham
Assistant Director, Center for Student Success and Academic Counseling

James R. Woodall
District Attorney for Orange County, North Carolina

Harold Woodard
Associate Dean and Interim Director, Academic Support Program for Student-Athletes

Appendix B – High-Level Analytical Questions Considered

The following questions informed our analytical procedures that served as the foundation for developing "red flags" indicators.

1. What instructors taught a relatively high number of courses in a given academic period?
2. What instructors are double booked (i.e., have courses at the same location and time)?
3. What course sections did not have an assigned instructor? What course sections did not have an assigned meeting time, day, or location?
4. What course sections had small enrollment totals or enrollment totals greater than the enrollment maximum?
5. In what courses did students receive higher grades relative to other courses?
6. In what majors did students receive higher grades relative to other majors?
7. In what subjects and majors did students receive higher grades relative to other courses?
8. In what courses or majors do students often earn grades that are substantially higher than their overall GPA?
9. What instructors gave students higher grades on average?
10. What instructors gave certain student groups higher grades on average than other students?
11. What students or student groups took advanced level courses early in their academic careers? What grades did they receive?
12. What students or student groups have a high percentage of temporary grades and grade changes? What grades did they eventually receive (e.g., always up)?
13. What sport types (e.g., basketball, football, swimming, etc.) had grade changes?
14. What classes or majors issue a relatively high percentage of temporary grades and grade changes?
15. What was the rate of student-athletes' grade changes relative to the population? Were there classes where grade changes were given to student-athletes only when non-athletes were also enrolled?
16. What courses had a higher percentage of student-athletes, students of a certain gender or race, or students with other affiliations (e.g., Greek affiliations)?
17. What course sections had 100% student-athlete enrollment? What sport types (e.g., basketball, football, swimming, etc.) were represented in these classes?
18. What majors had a higher percentage of student-athletes, Greek organizations, and Residence Hall assignments?
19. What instructors had a higher percentage of student-athletes, Greek organizations, and Residence Hall assignments?
20. What students or student groups (e.g., student-athletes and sub-groups of athletes such as football and basketball vs. non-football and non-basketball) took a relatively higher number of independent study classes during an academic career or during a given term?
21. What instructors taught a relatively high number of independent study classes?
22. What courses were taught as independent study in AFRI/AFAM?
23. Did the rate of independent studies change over time in AFRI/AFAM (e.g., did the number of independent studies fluctuate from year to year, did courses designated as independent study suddenly get designated as lecture or vice versa, was there a significant change to the independent study rate in 2002 or 2004?)?
24. What classes have gates/restrictions (e.g., prerequisite courses)?
25. What courses have a relatively high percentage of adds? At what point during the term do they typically occur (e.g., beginning, midterm, and end)?
26. What students or student groups have a high percentage of adds? At what point during the term do they typically occur (e.g., beginning, midterm, end)?
27. How many students took elective independent study courses that were not required for their major curriculum of study?

Appendix C – Governor Martin's Remarks to Trustees

Summary Presentation of Findings on Academic Anomalies
The University of North Carolina at Chapel Hill
December 20, 2012

Chancellor Thorp
Members of the Board of Trustees

President Ross
Members of the Board of Governors

Ladies and gentlemen:

I am here to present the results of a four month Review of Academic Anomalies within this University. Our report of over 100 pages will be distributed after it is summarized for its vital points in these opening remarks.

I am joined by colleagues from the advisory firm of Baker Tilly, with whom I have worked closely and admiringly on this project. Raina Rose Tagle is a Partner of Baker Tilly, and has had constant overall guidance of their work. Matthew Dankner has been here more than I have, as the direct liaison with the massive data resources available and with our interviewees.

Earlier this year, a chain of evidence starting from one plagiarized term paper led an internal committee (*Hartlyn-Andrews Review*) to discover a pattern of academic anomalies in one department. During a span from summer 2007 through summer 2011 there had been 54 courses offered in the Department of African and Afro American Studies (AFRI/AFAM) that were called "aberrant" or "irregularly taught." This was found to be associated solely with the chairman of the Department, Professor Julius Nyang'oro, and the then Departmental Administrator, Deborah Crowder, although others were unwittingly compromised, but innocent. We were asked by Chancellor Thorp to find out when this mischief began, and why; and to see if anything like it had occurred in other departments.

Of course, I could not say "No" to his request, although my mind lingered on the old story of the fellow about to be tarred and feathered and run out of town on a rail. He said, "If it were not for the honor of the thing, I would just as soon walk!"

Well, I thought at first that it would be interesting to see who else would be asked to serve on the committee with me. [Pause] It turned out that I was the committee. I remembered an old saying that the nice thing about a committee of one is that it's easy to get a quorum, but hard to find a consensus!

With Baker Tilly being a professional advisory firm, and with my having no loyalties for or against this institution, he expected us to be independent and thorough. With that in mind, we began with a general attitude of caution, if not suspicion, regarding any view we received that could not be corroborated. We studied the internal reviews and numerous news accounts. Then we interviewed 86 individuals, most at our initiative, but some at theirs:

- Former student-athletes,
- Other undergraduates, current and former (including leaders of two fraternities),
- Faculty, staff, and top administrators (current and former),
- Coaches, advisers, counselors, and tutors.

In addition, we conducted a computer search of every course in every department, taught by every instructor, with grades and grade changes for every student, going back as far as useful electronic data are available, back to 1994. That included:

- 172,580 course sections,
- From 12,715 instructors,
- For 118,611 individual undergraduates.

That required processing almost five million data elements.

I can assure you that, in every respect, cooperation was impeccable and our access was unrestricted. We heard a number of additional opinions and observations, but limited our Findings to those we could corroborate.

CONCLUSION

This was not an athletic scandal. It was an academic scandal, which is worse; but an isolated one.

FINDINGS

1. As the internal Hartlyn-Andrews Review surmised, the anomalous courses in the AFRI/AFAM Department did not begin in 2007, the first year of their Review, but had been in play well before that. We believe we have detected the first example of a course approved and listed as a Lecture Course which was in fact a single "term paper course." With no prior foreshadowing, it suddenly occurred in fall 1997, a few months after the twin curricula of African Studies and Afro American Studies became a new, free standing department. Professor Julius Nyang'oro had become chair of the African Studies and Afro American Studies curricula in 1992.

2. We also discovered an earlier variant. While analyzing courses listed as "Independent Studies," we found a dozen or so for which the signature of the instructor of record was not authentic, and appear to have been forged without authorization.

3. We found nothing like any of this in any other course of any other department of the University. It was a unique malpractice, endemic to AFRI/AFAM. We did find some curious features in six other departments, but each had a rationally acceptable explanation and did not defraud students of its avowed educational purposes.

4. Within AFRI/AFAM, no other faculty member was involved culpably or unethically, other than Chairman Nyang'oro and Administrator Crowder. Eight other professors were unwittingly and indirectly compromised in dozens of instances in which someone else signed their signatures to Grade Rolls and Grade Changes, without their authorization to do so. Let me repeat that for emphasis: Our evidence shows that no other AFRI/AFAM instructor was responsible for such wrongdoing. They were innocent. This Department has endured a year of unmitigated Hell arising from the implied guilt by association, and the rumors and jokes at their expense. They had nothing to do with creating this monster, or serving its demands. They deserve your support and thanks for their enduring grace under fire. We discovered that a couple of faculty members did glimpse an indication that something was out of order, but not enough to suspect anything like the raw magnitude of the abuse.

5. The four innocent AFRI and AFAM instructors who were most frequently exploited in this scheme were all non-tenured at the time. That appears to be a shrewdly calculated utilization of the only departmental faculty whose status might keep them quiet in fear of losing their jobs. For example, one instructor of record would be told to sign the Grade Report for 20-30 or more students in Independent Studies, only 2-3 of whom he would personally supervise. That was not unique, because a number of other academic departments used that same shortcut, which was not against policy at the time. But then, someone else would sign their name on Grade Changes, without authorization or any right to do so. That part was unique.

6. Now, I want you to look at a graph showing the annual trend of enrollments for the anomalous lecture courses, with a separate line for fall, spring and combined summer sessions. This slide continues what we call Type 1 and Type 2 anomalies: sections that were listed and approved as lecture courses, but which have all the earmarks of what are popularly called "term paper courses." Type 1 means the instructor of record disclaims having any responsibility for the course or the grades. Here, you can see clearly that the beginning of this academic impropriety appeared for the first time in the fall semester 1997, immediately after the AFRI/AFAM curricula received departmental status. Its incidence came and went for a few years, almost absent-mindedly . . . or perhaps testing the waters.

   Notice that these "term-paper courses" rapidly expanded in the fall of 2003. Enrollments in these anomalous lecture sections far exceeded enrollments in Independent Studies. For some unknown reason, this practice subsided by the summer of 2007, the beginning of the period reviewed by Hartlyn-Andrews. They found, as did we, that it almost ceased after the summer of 2009, when Department Administrator Deborah Crowder retired. Thereafter, only an occasional term paper course appeared under sponsorship of Professor Nyang'oro.

7. This second chart shows graphically how the overuse of courses listed as "Independent Studies" began modestly, and then grew to astonishing proportions before plummeting to just one such course per term in 2006, and disappearing in the summer of 2009, when administrator Crowder retired. We cannot confirm that all of these Independent Studies course sections were defective, because the instructor of record is not always available to us. So this slide shows all suspect Independent Studies enrollments that were caught by our computer analysis. What it clearly shows is that there was an inordinate abuse of what should have been legitimate Independent Study experience, because the numbers are far more than could ever be supervised by the 9-14 instructors of the department. According to our earliest electronic data, this anomalous practice of overloading instructors with this kind of Independent Studies was already evident in the fall of 1994, but on a relatively small scale. It gained traction and confidence from 1997 (when departmental status was secured) through 2001.

   In 2005-2006, these excessive Independent Studies enrollments had subsided to 223. This was offset in the anomalous lecture courses, which soared to 175. Now it is interesting to note that in April 2002, the Faculty Committee on Athletics received a report on Independent Studies during the previous academic year, 2000-2001, which found nothing yet amiss, and noted that the percentage of student-athletes taking Independent Studies was only moderately higher than among the rest of the undergraduates. After that point, the practice of enrolling Independent Studies rose dramatically, spiking in 2003-2006.

   The Faculty Athletics Committee again became acutely concerned in November 2006, when Auburn University reported a single professor with an unmanageably large number of students

doing "Directed Readings." By that time, the abusive practice had subsided to modest levels, and raised no serious concerns. In part, the trick had been shifted to Type 1 and Type 2 Lecture Courses that did not meet.

8. Enrollments in these courses were never restricted to student-athletes, although in a few instances their proportions exceeded 40, occasionally reaching a very high percentage . . . and occasionally very low. These raw numbers per course were not always large, and the probability exists that there would be some with a majority of athletes, and some with none, which was indeed the case. The typical proportion of student athletes was on the order of 30%, which arguably is not out of line, considering the personal interest of some athletes in these topics. That point would appear to satisfy one NCAA requirement that courses offered to student athletes must also be offered to non-athletes, and vice versa.

9. In general, grade changes do not appear to be isolated or reserved for student-athletes.

10. The total number of all course sections offered in AFRI/AFAM over this 18 year span was over 1,992. The total number of Type 1 and Type 2 anomalous lecture courses was 167. The total enrollment within the department during this span was over 66,584; while the total enrollment in these dubious lecture courses was 4,194 (or 6.3%).

11. We were unable to discern a clear motive for establishing and offering these perverse and anomalous courses. The evidence is consistent with one hypothesis that these courses were provided for the primary purpose of enlarging the department's enrollment, as a factor for increasing its allotted faculty positions. As a generality, no one was paid extra for having more than the normal number of these courses. There is no evidence that anyone outside of the Department office was active in its instigation and continuance. I believe personally that the big money from television contracts does distort values of collegiate sports programs; but we found no evidence that it was a factor in these anomalous courses. Despite what one might imagine, there is no evidence the Counselors, or the students, or the coaches had anything to do with perpetrating this abuse of the AFRI/AFAM curriculum, or any other.

12. As far as regular course requirements were concerned, and as far as NCAA eligibility requirements were concerned, there were many other ways (within the rules) to get high grades to boost one's GPA. Many departments offer courses for which 80% or more of the students enrolled receive A's and B's. Some have built reputations that considerable academic rigor is required for these grades, but it is known to Counselors (and Fraternities) which instructors are relatively easier. That is not unique here, and need not involve anomalous courses.

13. It is not surprising that some fraternities maintain files indicating the courses and instructors that are regarded as relatively easy for high grades at every college. Social media are full of it. It turns out that at least two Carolina fraternities were not familiar with the AFRI/AFAM anomalous lecture courses that did not require attendance.

14. On two occasions (in 2002 and 2006) leaders of Academic Support for Student-Athletes brought to the Faculty Athletic Committee their concerns about students taking nominally lecture courses that did not meet and only required one 20-page term paper, and other forms of questionable independent study. These courses became the subject of the Hartlyn-Andrews Review, but at the time these concerns were dismissed with reassurances that instructors had wide latitude how to teach a course. Thereafter, no questions need be raised about the pedagogic presentation of any

course, and Counselors felt that if it was offered by the Faculty, it was inherently legitimate and available for student-athletes and others to enroll.

15. There has been some attention to various courses that are taught in a regular, acceptable manner, but which have a reputation for high grades for all students, or almost all. This was the focus of one course section of Naval Science 302 (Weapons) offered in spring 2007. We checked that out, and found that the course was not irregularly taught. It was characterized as having considerable rigor and mathematical content, but did indulge the fashionable practice here and at most colleges of awarding high grades for everyone who completes the assignments. The instructor, a former Navy fighter pilot, had been concerned with disrespectful graffiti on the walls of the classroom building, and personally recruited those he considered student leaders to experience the value of the course, and that included six basketball players. We saw no harm or abuse in that, aside from the uniformly high grades, a practice that was reformed by succeeding NAVS 302 instructors.

I will close by sharing with you my astonishment at the growing trend among faculty at most institutions in America to award high grades to all but a few students. Back in the day, when I was teaching undergraduates, it was normal that the national average of all grades was approximately C+ (a 2.5 GPA). For some reason, this has steadily risen to 3.3 GPA, even higher if you take out mathematics and the physical sciences, which still maintain their integrity with averages of 2.5 GPA.

It is as if the instructors are unwilling or unable to distinguish between good performance and great performance, or maybe want to help weaker students get admitted to graduate and professional schools. In my opinion, this is part of the cultural malaise in higher education that looked the other way when one or two launched the pattern of anomalous courses here that we have examined. The mutual mantra (The Inverse Golden Rule of Academia) is: I won't question how you teach and grade your courses, if you won't question mine.

This was justified by some as Academic Freedom, a system originally for protecting the jobs of instructors whose personal political and social views were unpopular. In my view, for anyone to offer phantom courses that don't meet is not academic freedom, but academic misconduct. I am pleased to tell you that there is a growing minority of faculty here who are pressing for reforms against this insidious grade inflation. Grade Inflation is aptly named, for it devalues the academic currency of higher education. So you can count me on the side of the reformers, before grades get devalued to where they mean nothing.

We were asked to get to the bottom of this academic misconduct, and we have done everything in our power to do so. It is always possible that we missed something that got through our computer screen and our interviews. We could not duplicate for 1994-2012 the meticulous work of the Hartlyn-Andrews Review, because they had students and tutors and instructors available, which was not always possible for us. What we did was to take the characteristic traits of the 54 courses captured by their Review, and fashion them into a powerful filter with which to "red flag" courses from the earlier period. That missed a few courses that they caught, because we only screened those where an instructor had an excessive number of courses listed. But what we found was astonishing in its enormity, especially from 2002 through 2006.

We could not examine early term papers for plagiarism, because those papers are not retained. In fact, it would not be reliable to check for plagiarism a draft that was on the computer of the tutors, because there is no way to tell whether that was the final draft as submitted to the instructor. So that was beyond us.

What was not beyond us is straight forward:

- Did we find when this mischief began? Yes, in fall 1997.
- Was the practice pervasive across this department? No, it was isolated to no more than two officials.
- Did it extend to other departments? No, it was isolated within this one department. It did not metastasize.

This concludes the summary of our report.

THE UNIVERSITY of NORTH CAROLINA at CHAPEL HILL

The University of North Carolina at Chapel Hill
Academic Anomalies Review
Report Addendum

Prepared by James G. Martin, Ph.D.
Former Governor of North Carolina

Assisted by Baker Tilly

January 24, 2013

January 24, 2013

The Board of Trustees
Chancellor Holden Thorp
The University of North Carolina at Chapel Hill

Ladies and Gentlemen:

In follow-up to my December 19, 2012, Academic Anomalies Review Report of Findings, I transmit to you this Report Addendum in response to the request for specific information that supports our findings regarding student-athlete enrollments in the Department of African and Afro-American Studies (the Department). The Addendum details the enrollment composition of the anomalous courses and grade changes that were identified via the review that I performed with the assistance of Baker Tilly. To prepare this Addendum, our team painstakingly incorporated redactions to the details from our Data Set of nearly 5 million data elements in order to protect individual students' privacy as required by the Family Educational Rights and Privacy Act.

Our review, conducted over the course of four months, was not a simple, straightforward analysis, and the data cannot be interpreted in a simple manner. We applied over 133 analytical procedures to assess the relationships between and among various data elements, reviewed course records for 720 course sections that warranted closer examination, and interviewed 84 individuals, including faculty members and other relevant parties.

Our prior statements that student-athlete enrollments were "consistent" in a number of respects summarized our extensive analysis indicating that student-athlete enrollments related to anomalous courses and grade changes in the Department were reflective of patterns noted elsewhere in the Department and other departments. As this Addendum further describes, the "clustering" patterns shown in student-athlete enrollments in anomalous courses are repeated in other cluster groupings of "cleared" courses, both in and outside of the Department.

The findings of our review were frustrating to some in that they pointed to inappropriate behavior on the part of only two individuals. We stand behind these findings. As I shared with you on December 20, enrollments in anomalous courses and unauthorized grade changes were never restricted to a particular type of student affiliation. In a few instances, student-athlete proportions reached a very high percentage, and occasionally were very low. These raw numbers per course were not always large, and the probability exists that there would be some course sections with a majority of student-athletes, and some with none, which was indeed the case.

Sincerely,

James G. Martin, Ph.D.

Overview

This Addendum to the Academic Anomalies Review Report of Findings, dated December 19, 2012, provides additional data related to specific course sections that were reported as academic misconduct or potentially anomalous, as well as data related to unauthorized and suspected unauthorized grade changes. It details the course sections that were identified as anomalous, provides more specifics regarding grade changes, and highlights selected student affiliation data. In order to protect students' privacy, we redacted information that represented fewer than six students[1].

An athletic scandal led to the initial discovery of "serious anomalies" related to the course offerings and methods of instruction within the Department of African and Afro-American Studies (the Department). How could we state that the findings of our review represent not an athletic scandal, but an academic scandal? As illustrated in this Addendum, the proportion of student-athletes in anomalous course sections varied widely, ranging from none to all. Many student-athletes enrolled in courses in the Department, as did many non-athlete students. Unauthorized and suspected unauthorized grade changes affected both student-athletes and non-athlete students. We concluded that these anomalies were academic in nature because many undergraduates were affected, no evidence was found of any other parties' involvement in making these anomalous courses available, and the decentralized University-wide academic environment created an opportunity for an administrator and a department chair to schedule classes and change grades with limited oversight.

Student-athletes were not the primary beneficiaries of these course sections. Non-athlete student enrollments in anomalous course sections exceeded student-athlete enrollments; non-athlete students comprised approximately 55% of the anomalous course sections. Additionally, only 26% of the total student-athlete enrollments in the Department were in anomalous courses. The opportunity to enroll in these anomalous course sections was equally available to all students. The student-athlete enrollment patterns noted in anomalous courses (e.g., "clustering") are repeated in other cluster groupings of "cleared" course sections, both in the Department as well as in other departments at the University.

[1] We based this approach on *The Optimal Reference Book: Revisions to FERPA Guidance*, published by ESP Solutions Group, which has advised state-level education agencies and the U.S. Department of Education on best practices for data quality, confidentiality, and reporting, as follows: "We recommend a minimum of between three and five students per cell for public reporting of sensitive data, such as achievement scores." "Higher minimum cell sizes are selected to ensure greater protection of individual student's personal information." "According to numbers reported on state agency web sites, North Carolina and Texas do not report cell sizes fewer than 5, Oregon and Wisconsin fewer than 6, Pennsylvania, Washington, Wyoming, Michigan, Florida fewer than 10, and Colorado and Delaware fewer than 16."

Family Educational Rights and Privacy Act

We used the information presented herein to ascertain certain characteristics of, and demographic information for the students enrolled in, each course section. The review team received unfettered access to the University's databases and other sources of course records, including all personally-identifiable information requested – whether protected by the Family Educational Rights and Privacy Act (FERPA) or the North Carolina State Personnel Act. To protect the individual rights of students, we have redacted from this Addendum all data related to groups of five or less students. Cells with redacted information are indicated with an asterisk (*). While all data cannot be shown due to these privacy considerations, all totals and averages account for the redacted information.

Data Included in this Addendum

All reported data was sourced from electronic course records containing personally-identifiable information for all 172,580 course sections with undergraduate students enrolled across the entire University from the Fall semester of 1994 through the Fall semester of 2012 (the Data Set). Timing differences between the Data Set and the census data used in prior public disclosures, differences between hard copy and electronic course records, and refinement of analysis and assumptions since other information was reported have resulted in some differences between the data in this Addendum and data previously reported or publicly disclosed. These differences were not material to the analysis and conclusions in this Addendum nor in prior reports and disclosures.

Summary of "Clustering" Analysis

To analyze the consistency of student-athlete enrollments in anomalous course sections, we assessed whether similar enrollment patterns in "cleared" courses existed elsewhere, in both the Department as well as in other departments. We have stated that the percentage of student-athletes enrolled in anomalous course sections was consistent with the percentage of student-athletes enrolled in all courses offered by the Department. However, it is critical to understand that the term "consistent" does not in all cases mean "equal," due to the enrollment of student-athletes within "cluster groupings" of course sections throughout the University. Our analysis indicated that student-athlete enrollments are not typically distributed equally across all course sections in a department. One reason for this is that the timing of only some course sections matches student-athletes' schedules for practices and games. Through our analysis, we noted the existence of similar student-athlete enrollment patterns in "cleared" course sections in the Department as well as in other departments in the University, as further detailed below.

It is critical to understand that the term "consistent" does not in all cases mean "equal," due to the enrollment of student-athletes within "cluster groupings" of course sections throughout the University. Our analysis indicated that student-athlete enrollments are not typically distributed equally across all course sections in a department.

We identified 172 anomalous course sections from Fall 2001 to Summer II 2012. For the same time period in which anomalous course sections were identified and student-athlete data was available[2], we specifically identified another cluster grouping of 172 course sections within the Department that were found to have no anomalies (i.e., "cleared" course sections) and contained a similar proportion of student-athlete enrollments as the anomalous course sections (i.e., some course sections had no student-athlete enrollments, some course sections had high or all student-athlete enrollments, and some had similar percentages of student-athlete enrollments). We noted that the percentage of student-athlete enrollments in this grouping of "cleared" course sections in the Department was generally consistent with the student-athlete enrollments in anomalous course sections in the Department (i.e., student-athletes comprised 44.9% of the total student enrollments in the anomalous course sections and comprised 48.9% of the total student enrollments in a similarly distributed cluster grouping of 172 cleared course sections). During this same time period, student-athlete enrollments comprised 16% of total student enrollments in the Department, but it is misleading to assume that student-athlete enrollments were distributed equally across all course sections in the Department, as this clustering analysis demonstrates.

Additionally, we identified student-athlete "clustering" in other departments with a high concentration of student-athlete enrollments. We specifically identified representative groupings of cleared courses that contained a similar proportion of student-athlete enrollments as the anomalous course sections. We noted that the percentages of student-athlete enrollments in these groupings of cleared course sections were generally consistent with the student-athlete enrollments in the anomalous course sections in the Department. Our analysis indicated that similar student-athlete clustering appeared in similar groupings of course sections in at least seven other departments.

[2] The time period of the Data Set that included classifications of students began in 2001. Prior to that time, this information was available only in hard copy form.

Figure A1 includes summary information related to the student-athlete enrollment in anomalous courses and the Department during the period of our review for which student-athlete data was available in our Data Set (from Fall 2001 to Summer II 2012). All references to "student-athletes" include both current and former student-athletes.

Figure A1 – *Summary of Student-Athlete Enrollment and Course Section Data from Fall 2001 to Summer II 2012*

	Type 1 – Academic Misconduct in a Lecture Course Section	**Type 2 – Anomalous Lecture Course Sections**	**Type 3 – Anomalous Independent Study Course Sections**
# of anomalous course sections in period for which student-athlete data was available in Data Set	32	134	6
# of anomalous course sections with only non-athlete student enrollments	9	15	2
# of anomalous course sections with only (current and former) student-athlete enrollments	7	14	0
# student enrollments in anomalous course sections (Fall 2001 through Summer II 2012)	409	2,883	105
% of student-athlete enrollments in all anomalous course sections in relation to total # of student enrollments in anomalous course sections	44.9%		
% of student-athlete enrollments in a similar "clustered" grouping of cleared course sections **within** the Department in relation to total # of student enrollments in the same cleared course sections within the Department	48.9%[3]		
% of student-athlete enrollments in similarly clustered groupings of cleared course sections in departments **outside** of the Department in relation to total # of student enrollments in the same cleared course sections	Between 44.0% and 47.7%[4]		

[3] As student-athlete enrollments are not typically distributed equally across all course sections in a department, it would be misleading to compare the percentage of student-athlete enrollments in anomalous courses to the percentage of student-athlete enrollments throughout the entire Department. Instead, we noted that the percentage of student-athlete enrollments in a similarly clustered grouping of cleared course sections was generally consistent with the student-athlete enrollments in the anomalous course sections in the Department.

[4] Our analysis indicated that student-athlete clustering that was generally consistent with the student-athlete clustering in anomalous course sections also appeared in similar groupings of course sections in at least seven other departments.

Department Enrollment

Figure A2 shows total student enrollment in the Department by terms Fall 1994 through Summer II 2001. Student-athlete data was not available in our Data Set for this time period.

Figure A2 *– Total Student Enrollments within the Department from Fall 1994 to Summer II 2001*

Term	Total Course Section Enrollment
1994 Fall	1,074
1995 Spring	1,116
1995 Summer I	149
1995 Summer II	144
1995 Fall	986
1996 Spring	1,222
1996 Summer I	155
1996 Summer II	144
1996 Fall	1,245
1997 Spring	1,203
1997 Summer I	194
1997 Summer II	146
1997 Fall	1,320
1998 Spring	1,240
1998 Summer I	239

Term	Total Course Section Enrollment
1998 Summer II	173
1998 Fall	1,155
1999 Spring	1,293
1999 Summer I	278
1999 Summer II	246
1999 Fall	1,300
2000 Spring	1,188
2000 Summer I	291
2000 Summer II	254
2000 Fall	1,163
2001 Spring	1,489
2001 Summer I	370
2001 Summer II	251
Total	**20,028**

Figure A3 shows total student enrollment and student-athlete enrollment in the Department by term. Student-athlete enrollment information was available in our Data Set for the period of Fall 2001 to Summer II 2012. Redacted information is indicated with an asterisk (*) to protect individual privacy. The numbers in all "student-athlete" columns include both current and former student-athletes.

Figure A3 *– Total Student Enrollments within the Department from Fall 2001 to Summer II 2012*

Term	Total Course Section Enrollment	Student-Athlete Enrollment
2001 Fall	1,363	183
2002 Spring	1,335	193
2002 Summer I	354	66
2002 Summer II	299	57
2002 Fall	1,482	235
2003 Spring	1,511	241
2003 Summer I	350	82
2003 Summer II	335	59
2003 Fall	1,503	259
2004 Spring	1,617	318
2004 Summer I	472	98
2004 Summer II	395	79
2004 Fall	1,446	282
2005 Spring	1,762	343
2005 Summer I	436	61
2005 Summer II	310	53
2005 Fall	1,577	303
2006 Spring	1,513	307
2006 Summer I	434	72
2006 Summer II	336	66
2006 Fall	1,563	305
2007 Spring	1,023	176
2007 Summer I	340	88
2007 Summer II	350	120
2007 Fall	1,114	170

Term	Total Course Section Enrollment	Student-Athlete Enrollment
2008 Spring	832	116
2008 Summer I	337	64
2008 Summer II	258	51
2008 Fall	1,056	149
2009 Spring	1,312	145
2009 Summer I	354	104
2009 Summer II	258	71
2009 Fall	1,066	104
2010 Spring	1,036	122
2010 Summer I	335	60
2010 Summer II	160	16
2010 Fall	1,338	119
2011 Spring	1,082	97
2011 Summer	457	84
2011 Fall	1,218	130
2012 Spring	1,288	119
2012 Summer I	202	20
2012 Summer II	92	5
Total	**35,901**	**5,792**

Student-athlete enrollments in a term varied widely as a percentage of total enrollments in the Department, ranging from a minimum of 5% to a maximum of 34%.

Type 1 – Academic Misconduct in a Lecture Course

Figure A4 includes student enrollment in Type 1 course sections for the terms Fall 1994 through the Summer II 2001. Student-athlete data was not available in our Data Set for this time period.

Figure A4 *– Enrollment in Type 1 Course Sections from Fall 1994 to Summer II 2001*

Term	Course Subject/ Number/Section	Total Course Section Enrollment
1997 Fall	SWAH001 001	24
1997 Fall	SWAH003 001	15
1999 Summer I	SWAH003 001	2
2000 Summer II	AFAM070 001	7
2001 Summer I	AFAM070 001	4
2001 Summer I	AFAM174 001	2
2001 Summer II	AFAM070 001	2
Total		**56**

Figure A5 details Type 1 course sections for the terms Fall 2001 through Summer II 2012. The table includes total student enrollment and student-athlete enrollment by course section. Additionally, the table includes the grade point average (GPA) of all students enrolled, the GPA of student-athletes enrolled, and the GPA of non-athlete students in each course section.

Figure A5 *– Enrollment in Type 1 Course Sections from Fall 2001 to Summer II 2012*

Term	Course Subject/ Number/Section	Total Course Section Enrollment	Student-Athlete Enrollment	Total Average GPA	Student-Athlete Avg. GPA	Non-Athlete Student Avg. GPA
2001 Fall	SWAH002 001	1	*	*	*	*
2001 Fall	SWAH102 001	1	*	*	*	*
2002 Summer I	SWAH002 001	1	*	*	*	*
2002 Fall	AFAM041 003	8	*	3.89	*	*
2002 Fall	AFRI080 002	1	*	*	*	*
2003 Summer II	AFAM070 001	3	*	*	*	*
2003 Summer II	AFAM174 001	15	10	3.75	*	*
2004 Summer I	AFAM065 001	13	12	3.88	*	*
2004 Summer II	SWAH003 001	1	*	*	*	*
2004 Fall	SWAH003 003	1	*	*	*	*
2005 Spring	AFAM040 005	6	*	3.23	*	*
2005 Spring	AFAM065 001	101	42	3.76	3.73	3.77
2005 Spring	AFAM076 001	13	*	3.47	*	3.44
2005 Spring	SWAH003 001	1	*	*	*	*
2005 Summer I	AFAM065 001	4	*	*	*	*
2005 Summer II	AFAM070 001	6	*	2.62	*	*
2005 Fall	AFAM052 001	23	9	3.46	3.86	3.17
2005 Fall	AFAM069 001	25	9	3.76	3.63	3.83
2005 Fall	AFAM080 001	122	63	3.03	3.04	3.01
2006 Summer II	AFAM041 001	2	*	*	*	*
2006 Summer II	SWAH003 001	2	*	*	*	*
2006 Summer II	SWAH004 001	1	*	*	*	*
2007 Summer II	AFAM102 001	10	10	3.71	3.71	*
2007 Summer II	SWAH403 001	6	6	2.85	2.85	*
2008 Spring	SWAH403 001	1	*	*	*	*
2008 Summer I	SWAH402 001	1	*	*	*	*
2008 Summer I	SWAH403 001	2	*	*	*	*
2008 Summer II	SWAH403 001	5	*	*	*	*
2008 Summer II	SWAH404 001	1	*	*	*	*
2009 Spring	AFAM102 003	10	8	3.58	3.48	*
2009 Summer II	AFAM102 001	15	14	3.52	3.77	*
2009 Summer II	SWAH403 001	7	6	2.89	2.87	*
Total		**409**	**208**			

Of the 32 Type 1 course sections within the time period of terms Fall 2001 to Summer II 2012, a total of nine course sections had only non-athlete students enrolled and a total of seven course sections had only current and former student-athletes enrolled.

Student-athlete enrollments in the Department for a term during the time period ranged from 5% to 34% of total student enrollments in the Department.

Student-athlete enrollments in Type 1 course sections in a term during the time period ranged from 0% to 28% of total student-athlete enrollments in the Department.

The average GPA for non-athlete students and student-athletes was 3.44 and 3.42 respectively. The average GPA for student-athletes was less than that of the non-athlete students in nine of the 16 Type 1 course sections where both non-athlete students and student-athletes were enrolled.

The percentage of student-athletes enrollments in Type 1 Lecture Course Sections was consistent with the percentage of student-athlete enrollments in similarly clustered course sections offered by the Department.

Type 2 – Anomalous Lecture Course Sections

Figure A6 includes student enrollment in the Type 2 course sections for the terms Fall 1994 through Summer II 2001. Student-athlete data was not available in our Data Set for this time period.

Figure A6 *– Enrollment in Type 2 Course Sections from Fall 1994 to Summer II 2001*

Term	Course Subject/ Number/Section	Total Course Section Enrollment
1994 Fall	AFRI121 001	21
1995 Spring	AFRI065 001	34
1995 Summer I	AFRI040 001	32
1995 Summer I	AFRI065 001	10
1997 Summer I	AFRI040 001	42
1997 Summer I	AFRI120 001	17
1998 Spring	AFRI120 001	46
1998 Summer I	AFRI040 001	44
1998 Summer I	AFRI040 002	23
1998 Summer II	AFAM054 001	17
1999 Spring	AFRI040 002	81
1999 Summer I	AFRI040 001	43
1999 Summer I	AFRI040 002	21
1999 Fall	AFRI065 001	4
1999 Fall	AFRI066 001	3
1999 Fall	AFRI120 001	5
1999 Fall	AFRI174 001	1
2000 Spring	AFAM174 001	46
2000 Spring	AFRI120 001	67
2000 Summer I	AFRI040 001	42
2000 Summer I	AFRI040 002	37
2000 Summer I	AFRI066 001	10
2000 Fall	AFRI040 851	5
2000 Fall	AFRI065 001	55
2000 Fall	AFRI070 001	22
2000 Fall	AFRI124 001	27
2001 Spring	AFAM065 001	17
2001 Spring	AFRI066 001	7
2001 Spring	AFRI120 001	50
2001 Summer I	AFAM128 001	1
2001 Summer I	AFRI040 001	40
2001 Summer I	AFRI066 001	5
2001 Summer II	AFRI121 001	2
Total		**877**

Figure A7 includes Type 2 course sections from Fall 2001 through Summer II 2012. The table includes total student enrollment and student-athlete enrollment by course section. Additionally, the table includes the GPA of all students enrolled, the GPA of student-athletes enrolled, and the GPA of non-athlete students enrolled in each course section.

Figure A7 *– Enrollment in Type 2 Course Sections from Fall 2001 to Summer II 2012*

Term	Course Subject/ Number/Section	Total Course Section Enrollment	Student-Athlete Enrollment	Total Average GPA	Student-Athlete Avg. GPA	Non-Athlete Student Avg. GPA
2002 Spring	AFRI060 001	64	23	3.78	3.66	3.86
2002 Summer I	AFAM070 001	3	*	*	*	*
2002 Summer I	AFAM128 001	2	*	*	*	*
2002 Summer I	AFRI066 001	5	*	*	*	*
2002 Fall	AFRI040 004	10	0	4.00	*	4.00
2002 Fall	AFRI060 002	6	0	*	*	*
2002 Fall	AFRI061 002	1	*	*	*	*
2002 Fall	AFRI063 001	1	*	*	*	*
2002 Fall	AFRI065 002	8	0	4.00	*	4.00
2002 Fall	AFRI066 001	3	*	*	*	*
2002 Fall	AFRI120 001	11	0	4.00	*	4.00
2002 Fall	AFRI174 002	5	*	*	*	*
2003 Spring	AFAM065 002	27	14	3.87	3.87	3.86
2003 Spring	AFAM128 002	25	8	3.40	3.31	3.44
2003 Spring	AFAM174 001	4	*	*	*	*
2003 Spring	AFRI120 001	18	6	3.66	3.28	3.84
2003 Summer I	AFAM070 001	7	7	3.53	3.53	*
2003 Summer I	AFAM128 001	2	*	*	*	*
2003 Summer II	AFAM054 001	40	10	3.13	2.83	3.23
2003 Fall	AFAM069 001	59	35	3.83	3.73	3.98
2003 Fall	AFAM128 002	23	*	3.70	*	3.72
2003 Fall	AFRI060 001	17	*	3.65	*	3.63
2003 Fall	AFRI070 001	5	*	*	*	*
2003 Fall	AFRI120 001	95	35	3.80	3.71	3.86
2003 Fall	AFRI120 002	17	*	3.38	*	3.41
2003 Fall	AFRI131 001	17	*	4.00	*	4.00
2004 Spring	AFAM065 002	87	37	3.72	3.67	3.75
2004 Spring	AFAM128 002	63	20	3.71	3.72	3.71
2004 Spring	AFAM174 002	31	17	3.86	3.91	3.80
2004 Spring	AFRI060 001	8	6	3.71	3.62	*
2004 Spring	AFRI120 001	158	45	3.72	3.57	3.79
2004 Spring	AFRI122 001	7	*	3.95	*	*
2004 Spring	AFRI123 001	1	*	*	*	*
2004 Spring	AFRI174 002	1	*	*	*	*

Term	Course Subject/ Number/Section	Total Course Section Enrollment	Student-Athlete Enrollment	Total Average GPA	Student-Athlete Avg. GPA	Non-Athlete Student Avg. GPA
2004 Summer I	AFAM070 001	10	10	3.73	3.73	*
2004 Summer I	AFRI040 002	40	6	3.55	3.43	3.58
2004 Summer I	AFRI070 001	1	*	*	*	*
2004 Summer II	AFAM128 001	8	*	4.00	*	*
2004 Summer II	AFAM174 001	11	8	3.34	3.68	*
2004 Summer II	AFRI121 001	3	*	*	*	*
2004 Summer II	AFRI124 001	5	*	*	*	*
2004 Summer II	AFRI174 001	1	*	*	*	*
2004 Fall	AFAM041 002	31	19	3.81	3.74	3.95
2004 Fall	AFAM128 002	64	22	3.77	3.66	3.83
2004 Fall	AFAM174 002	10	*	3.85	*	*
2004 Fall	AFRI065 001	3	*	*	*	*
2004 Fall	AFRI121 001	9	*	3.41	*	*
2005 Spring	AFAM069 001	39	25	3.74	3.64	3.91
2005 Spring	AFAM128 001	92	42	3.77	3.67	3.85
2005 Summer I	AFAM128 001	6	*	3.72	*	*
2005 Summer I	AFRI040 001	39	6	3.62	3.37	3.67
2005 Summer I	AFRI066 001	3	*	*	*	*
2005 Summer I	AFRI120 001	7	*	3.87	*	*
2005 Summer II	AFAM066 001	10	*	3.34	*	*
2005 Fall	AFAM054 002	15	12	3.41	3.28	*
2005 Fall	AFAM128 001	64	16	3.67	3.79	3.62
2005 Fall	AFRI060 001	7	*	3.59	*	*
2005 Fall	AFRI066 001	14	7	3.68	3.63	3.73
2005 Fall	AFRI120 001	74	16	3.62	3.74	3.58
2006 Spring	AFAM065 001	41	29	3.51	3.40	3.81
2006 Spring	AFAM069 001	31	16	3.65	3.69	3.60
2006 Spring	AFAM080 001	18	*	3.32	*	3.55
2006 Spring	AFAM094A001	27	8	3.69	3.61	3.72
2006 Spring	AFAM128 001	97	30	3.45	3.37	3.73
2006 Spring	AFAM174 002	42	19	3.65	3.50	3.52
2006 Spring	AFRI066 001	38	14	3.68	3.73	3.65
2006 Spring	AFRI120 001	78	22	3.70	3.66	3.72
2006 Spring	AFRI122 002	1	*	*	*	*
2006 Spring	AFRI174 002	2	*	*	*	*
2006 Summer I	AFAM073 001	8	6	3.79	3.88	*
2006 Summer I	AFAM094A001	7	*	3.73	*	*
2006 Summer I	AFAM128 001	11	*	3.52	*	3.33
2006 Summer I	AFRI121 001	2	*	*	*	*

Term	Course Subject/ Number/Section	Total Course Section Enrollment	Student-Athlete Enrollment	Total Average GPA	Student-Athlete Avg. GPA	Non-Athlete Student Avg. GPA
2006 Summer II	AFAM069 001	1	*	*	*	*
2006 Summer II	AFAM070 001	6	*	3.73	*	*
2006 Summer II	AFAM094A001	32	13	3.70	3.70	3.69
2006 Summer II	AFAM128 001	11	*	3.91	*	4.00
2006 Summer II	AFAM174 001	11	*	3.37	*	3.30
2006 Summer II	AFRI040 002	42	18	3.35	2.97	3.63
2006 Summer II	AFRI066 001	13	6	3.58	3.85	3.34
2006 Summer II	AFRI120 001	14	*	3.83	*	3.87
2006 Fall	AFAM269 001	33	19	3.61	3.48	3.81
2006 Fall	AFAM428 001	43	13	3.64	3.66	3.63
2006 Fall	AFAM697 001	68	37	3.51	3.67	3.30
2006 Fall	AFRI266 001	99	50	3.66	3.69	3.63
2006 Fall	AFRI520 001	27	8	3.67	3.73	3.65
2006 Fall	AFRI521 001	3	*	*	*	*
2006 Fall	AFRI523 001	2	*	*	*	*
2007 Summer I	AFAM428 001	24	20	3.42	3.37	*
2007 Summer I	AFAM697 001	17	15	3.58	3.55	*
2007 Summer I	AFRI520 001	4	*	*	*	*
2007 Summer I	AFRI521 001	4	*	*	*	*
2007 Summer II	AFAM269 001	1	*	*	*	*
2007 Summer II	AFAM398 001	12	10	3.21	3.08	*
2007 Summer II	AFAM428 001	42	22	3.49	3.40	3.60
2007 Summer II	AFAM474 001	3	*	*	*	*
2007 Summer II	AFAM697 001	16	7	3.25	3.59	2.96
2007 Summer II	AFRI266 001	8	*	3.81	*	3.94
2007 Summer II	AFRI520 001	3	*	*	*	*
2007 Fall	AFRI523 002	9	6	2.75	3.05	*
2008 Spring	AFRI266 001	12	10	3.28	3.17	*
2008 Spring	AFRI520 001	36	15	3.28	3.55	3.01
2008 Spring	AFRI521 001	4	*	*	*	*
2008 Summer I	AFAM398 001	5	*	*	*	*
2008 Summer I	AFAM428 001	23	13	3.69	3.55	3.89
2008 Summer I	AFRI266 001	17	9	3.83	3.69	4.00
2008 Summer I	AFRI520 001	3	*	*	*	*
2008 Summer II	AFAM392 001	1	*	*	*	*
2008 Summer II	AFAM428 001	24	10	3.51	3.38	3.62
2008 Summer II	AFAM474 001	13	10	3.82	3.77	*
2008 Summer II	AFRI266 001	2	*	*	*	*
2008 Fall	AFAM269 001	27	16	3.41	3.61	3.13
2008 Fall	AFAM428 001	23	12	3.77	3.78	3.76
2008 Fall	AFAM697 001	2	*	*	*	*
2008 Fall	AFRI266 002	23	21	3.51	3.48	*
2008 Fall	AFRI521 001	12	*	3.59	*	3.72

Term	Course Subject/ Number/Section	Total Course Section Enrollment	Student-Athlete Enrollment	Total Average GPA	Student-Athlete Avg. GPA	Non-Athlete Student Avg. GPA
2009 Spring	AFAM428 001	36	26	3.48	3.65	3.04
2009 Spring	AFAM474 002	2	*	*	*	*
2009 Spring	AFAM697 001	32	20	3.66	3.64	3.71
2009 Spring	AFRI520 001	38	13	3.26	3.10	3.41
2009 Summer I	AFAM398 001	10	9	3.59	3.54	*
2009 Summer I	AFAM428 001	33	24	3.81	3.77	3.93
2009 Summer I	AFAM474 002	8	*	3.91	*	*
2009 Summer I	AFRI266 001	9	8	3.41	*	*
2009 Summer I	AFRI520 001	6	*	3.85	*	*
2009 Summer II	AFAM398 001	6	*	2.96	*	*
2009 Summer II	AFAM428 001	34	6	3.44	3.18	3.50
2009 Summer II	AFAM474 001	14	9	3.20	*	*
2009 Summer II	AFAM697 001	5	*	*	*	*
2009 Summer II	AFRI266 001	9	7	3.52	3.53	*
2010 Spring	AFRI370 001	21	14	3.22	3.42	2.75
2010 Fall	AFAM428 001	8	0	2.75	*	2.81
2011 Spring	AFRI266 001	18	13	3.40	3.32	*
2011 Summer II	AFAM280 001	19	19	3.43	3.43	*
Total		**2,883**	**1,265**			

Of the 134 Type 2 course sections within the time period of terms Fall 2001 to Summer II 2012, a total of 15 course sections had only non-athlete students enrolled and a total of 14 course sections had only current and former student-athletes enrolled.

Student-athlete enrollments in the Department for a term during the time period ranged from 5% to 34% of total student enrollments in the Department.

Student-athlete enrollments in Type 2 course sections in a term during the time period ranged from 0% to 73% of total student-athlete enrollments in the Department.

The average GPA for non-athlete students and student-athletes was 3.66 and 3.57 respectively. The average GPA for student-athletes was less than that of the non-athlete students in 70 of the 105 Type 2 course sections where both non-athlete students and student-athletes were enrolled.

The percentage of student-athletes enrollments in Type 2 Lecture Course Sections was consistent with the percentage of student-athlete enrollments in similarly clustered course sections offered by the Department.

Type 3 – Anomalous Independent Study Course Sections

Figure A8 includes student enrollment in Type 3 course sections from Fall 1994 to Summer II 2001. Student-athlete data was not available in our Data Set for this time period.

Figure A8 *– Enrollment in Type 3 Course Sections from Fall 1994 to Summer II 2001*

Term	Course Subject/ Number/Section	Total Course Section Enrollment
1996 Summer II	AFRI090 001	1
1999 Summer II	AFAM190 001	15
2000 Summer I	AFAM071 001	3
2001 Summer I	AFAM071 001	4
Total		**23**

Figure A9 includes Type 3 course sections from Fall 2001 through Summer II 2012. The table includes total student enrollment and student-athlete enrollment by course section. Additionally, the table includes the GPA of all students enrolled, the GPA of student-athletes enrolled, and the GPA of non-athlete students in the course section.

Figure A9 *– Enrollment in Type 3 Course Sections from Fall 2001 to Summer II 2012*

Term	Course Subject/ Number/Section	Total Course Section Enrollment	Student-Athlete Enrollment	Total Average GPA	Student-Athlete Avg. GPA	Non-Athlete Student Avg. GPA
2003 Summer II	AFAM190 001	32	12	3.80	3.95	3.71
2004 Summer I	AFAM071 001	16	9	3.59	3.82	3.23
2005 Spring	AFAM094A001	18	10	3.69	3.57	3.90
2005 Spring	AFAM098A001	1	*	*	*	*
2005 Spring	AFAM098B001	2	*	*	*	*
2005 Fall	AFAM071 001	36	12	3.68	3.53	3.75
Total		**105**	**43**			

Of the six Type 3 course sections from Fall 2001 to Summer II 2012, two course sections had only non-athlete students enrolled and no course sections had only student-athletes enrolled.

The average GPA for non-athlete students and student-athletes was 3.65 and 3.72 respectively. The average GPA for student-athletes was less than that of the non-athlete students in two of the four Type 3 course sections where both non-athlete students and student-athletes were enrolled.

Summary of Average GPA in Anomalous Courses

Figure A10 below shows the average GPA within course sections determined as Type 1, Type 2, or Type 3. The table presents the overall total GPA for each type and the associated averages for student-athletes and non-athlete students.

Figure A10 *– Average GPA for Type 1, Type 2, and Type 3 Course Sections from Fall 2001 to Summer II 2012*

	All Student Enrollments	Student-Athletes	Non-Athlete Students
Type 1	3.43	3.42	3.44
Type 2	3.62	3.57	3.66
Type 3	3.68	3.72	3.65
Average	**3.60**	**3.56**	**3.63**

For the 166 course sections found to be either Type 1 or Type 2, student-athletes received average grades lower than non-student-athletes by between 0.02 and 0.09 points. Student-athletes received slightly higher grades than non-athlete students in the six Type 3 course sections. However, across all Type 1, Type 2, and Type 3 course sections, student-athletes averaged a GPA 0.07 points lower than non-athlete students.

Additionally, all students received lower grades on average in Type 1 course sections than in either Type 2 or Type 3 course sections.

Grade Changes

Figure A11 below shows details of the temporary and permanent grade changes identified as either unauthorized or suspected unauthorized from Fall 1994 to Summer II 2001. Student-athlete data was not available in our Data Set for this time period.

Figure A11 *– Unauthorized and Suspected Unauthorized Grade Change Detail by Course Section from Fall 1994 to Summer II 2001*

	Number of Grade Changes Related to All Students			
	Unauthorized Grade Changes		Suspected Unauthorized Grade Changes	
Term	**Temporary**	**Permanent**	**Temporary**	**Permanent**
1994 Fall			1	
1995 Fall	3			
1996 Summer II	1			
1997 Summer I	1			
1997 Summer II			2	1
1997 Fall	1			
1998 Summer I				1
1998 Summer II	3		3	
1999 Summer I			1	
1999 Fall		1		
2000 Spring		1	6	
2000 Summer I		1	4	
2000 Summer II		1	2	1
2000 Fall	2			
2001 Spring	1	1	5	
2001 Summer I	2		1	
2001 Summer II		1		
Total	**14**	**6**	**25**	**3**

Figure A12 below shows details of temporary and permanent grade changes identified as either unauthorized or suspected unauthorized from Fall 2001 to Summer II 2012.

Figure A12 *– Unauthorized and Suspected Unauthorized Grade Change Detail by Course Section from Fall 2001 to Summer II 2012*

	Number of Grade Changes Related to All Students				Number of Grade Changes Related to Student-Athletes			
	Unauthorized Grade Changes		Suspected Unauthorized Grade Changes		Unauthorized Grade Changes		Suspected Unauthorized Grade Changes	
Term	**Temporary**	**Permanent**	**Temporary**	**Permanent**	**Temporary**	**Permanent**	**Temporary**	**Permanent**
2002 Spring	1							
2002 Summer I	2	1	2	1			1	
2002 Summer II			1					
2002 Fall	1				1			
2003 Spring	2	3	14	17			8	1
2003 Summer I	1	3	8				2	
2003 Summer II			6				6	
2003 Fall	1	3			1	3		
2004 Spring			15				8	
2004 Summer I	2	1	25	2	1		15	1
2004 Summer II	4	1	5	1	3		5	
2004 Fall	1	4	9	1			9	
2005 Spring	32	5	25	8	17	1	12	1
2005 Summer I	9		17	1	6		14	
2005 Summer II	2	1	2	1			1	1
2005 Fall	2		2		2		1	
2006 Spring			52	18			23	4
2006 Summer I			32	3			13	1
2006 Summer II			8	3			6	1
2006 Fall	1		17	5			5	
2007 Summer I			14	3			13	2
2007 Summer II			18	5			8	3
2008 Summer I			12	2			7	1
2008 Summer II			17	1			9	1
2008 Fall			12	2			5	1
2009 Spring			12				7	
2009 Summer I			20	1			14	
2009 Summer II	3		6		3		5	
Total	**64**	**22**	**351**	**75**	**34**	**4**	**197**	**18**

Of the 347 course sections reviewed containing grade changes, 152 course sections had grade changes classified as either unauthorized or suspected unauthorized. In the time period of Fall 2001 to Summer II 2012 (the time period for which student-athlete data was available in our Data Set), student-athletes accounted for 36% of the 3,853 total enrollments in the 123 course sections with unauthorized or suspected unauthorized grade changes. Of the 3,853 total enrollments in these 123 course sections, 13% (512 enrollments) had unauthorized or suspected unauthorized grade changes. Of the 1,378 student-athlete enrollments in these 123 course sections, 18% (253 student-athlete enrollments) had unauthorized or suspected unauthorized grade changes. In the time period of Fall 1994 to Summer II 2012, 19% of unauthorized and suspected unauthorized grade changes were confirmed to be unauthorized. In the time period of Fall 2001 to Summer II 2012 (the time period for which student-athlete data was available in our Data Set), 17% of the grade changes were confirmed to be unauthorized.

Of the unauthorized or suspected unauthorized grade changes for student-athletes, 231 (over 91% of the 253 grade changes) were temporary grade changes, while the remaining 22 were permanent unauthorized or suspected unauthorized grade changes. Overall, nearly 56% of the temporary unauthorized or suspected unauthorized grade changes related to student-athletes, though less than 23% of the unauthorized or suspected unauthorized permanent grade changes were related to student-athletes.

We would expect student-athletes to have more temporary grade changes than non-athlete students, as the demands of an athletic schedule are more likely to create conflicts or delays in student-athletes' abilities to take exams at scheduled times. So, while the percentage of temporary unauthorized or suspected unauthorized grade changes for student-athletes is above the proportional student-athlete enrollments in the courses, the fact that student-athletes accounted for less than one quarter of the unauthorized or suspected unauthorized permanent grade changes while representing over a third of the enrollments shows that they were less likely than non-athlete students to have a permanent unauthorized or suspected unauthorized grade change issued.

The percentages of unauthorized grade changes for student-athletes relative to the total unauthorized grade changes in the course sections were generally consistent with the percentage of grade changes for student-athletes in similarly clustered course sections with grade changes in the Department. Student-athlete enrollments in courses with unauthorized grade changes were generally consistent with student-athlete enrollments in similarly clustered course sections in the Department.

The percentages of suspected unauthorized grade changes for student-athletes were generally consistent with student-athlete enrollments in similarly clustered course sections with grade changes in the Department. Student-athlete enrollments in courses with suspected unauthorized grade changes were generally consistent with student-athlete enrollments in similarly clustered course sections in the Department.

Conclusion

In summary, the proportion of student-athletes in anomalous course sections varied widely. Many student-athletes enrolled in courses in the Department, as did non-athlete students. Unauthorized and suspected unauthorized grade changes affected both student-athletes and non-athlete students. The data in this Addendum supports our earlier statements regarding how non-athlete students and student-athletes alike were affected by these academic anomalies.