

## Governance and Commitment to Rules Compliance

### Operating Principle

#### 1.1 Mission of the Athletics Program and the Institution

##### Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.1 (Mission of the Athletics Program and the Institution). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

The CAC had no required actions in this area. NOT APPLICABLE

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process for Operating Principle 1.1 (Mission of the Athletics Program and the Institution). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

NOT APPLICABLE.

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.1 (Mission of the Athletics Program and the Institution) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

NOT APPLICABLE.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.1 (Mission of the Athletics Program and the Institution). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

NOT APPLICABLE.

5. Please provide the athletics program mission statement and indicate the date of formal approval of the latest versions.

NOT APPLICABLE.

6. Please provide text excerpts from the institution's mission statement that correlate to the mission statement of the athletics program.

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NOT APPLICABLE.

7. Explain how the mission of the athletics program relates to that of the institution as a whole.

NOT APPLICABLE.

8. Describe how and to whom the athletics program's mission statement is circulated.

NOT APPLICABLE.

9. Please provide specific examples demonstrating how the athletics program's mission and goals are or are not supported by the actual practices of the athletics program.

NOT APPLICABLE.

### Evaluation

1. Does the institution demonstrate that the mission and goals of the athletics program relate clearly to the mission and goals of the institution? **Currently Yes**
2. Does the institution demonstrate that the mission and goals of the athletics program support the educational objectives, academic progress and general welfare of student-athletes? **Currently Yes**
3. Does the institution demonstrate that the mission and goals of the athletics program support equitable opportunity for all students and staff, including women? **Currently Yes**
4. Does the institution demonstrate that the mission and goals of the athletics program support equitable opportunity for all students and staff who are minorities? **Currently Yes**
5. Does the institution demonstrate that the mission and goals of the athletics program embrace the Association's principles of sportsmanship and ethical conduct? **Currently Yes**
6. Does the institution demonstrate that the mission and goals of the athletics program are widely circulated among the institution's internal and external constituencies? **Currently Yes**
7. Does the institution demonstrate that the actual practices of the institution's athletics program are consistent with the athletics program mission and goals? **Currently Yes**

**On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. Yes**

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Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Not applicable.	Not applicable.			

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### Operating Principle

#### 1.2 Institutional Control, Presidential Authority and Shared Responsibilities

##### Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

The University of Oklahoma did not have any corrective actions imposed by the first-cycle certification decision.

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process for Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

No plans for improvement or recommendations were made.

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

The University of Oklahoma has had in place for a number of years significant policies and guidelines regarding institutional control, presidential authority and shared responsibilities. As outlined in the first-cycle certification, the institution's governing body, the Board of Regents, established these guidelines as part of the Regents Policy Manual. The entire Policy Manual has been updated effective June 23, 2004, including the policies related to intercollegiate athletics. Athletics policy updates were actually approved by the Board of Regents in December 2003. The policy revisions reemphasized and updated the previous clear statement of institutional control and presidential authority. See generally Regents' Policy Section 6, Athletics.

Since the first-cycle certification, Joseph R. Castiglione was appointed Director of Athletics in 1998, replacing Steve Owens. Mr. Castiglione has reemphasized the significance of all elements of Operating Principle 1.2 in his administration. As an Executive Officer of the University of Oklahoma, he reports directly to the President and is responsible to the President for all phases of intercollegiate athletics. Regents Policy 6.3.4. Mr. Castiglione has just completed his term as president of the National Association of Collegiate Directors of Athletics.

The complete updating of the Department of Athletics Operating Manual has been underway for many months and is nearly complete. The manual details specific departmental policies and ways in which responsibilities are shared within the Department, and in some instances with the rest of the University.

In two separate actions in 2000, the sharing of responsibilities was improved: (1) The Athletics Council restructured its standing committees to mirror the Certification Operating Principles (with adjustments to accommodate the assignment of the responsibilities among senior administrative staff members). (2) The Regents created the Athletics Department Advisory Board "to provide the best means of communication between the Athletics Department and the student body." The usefulness of the Council's committee restructuring is self-evident. The

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usefulness of the new Board is that it has proven to be a helpful vehicle for communication between the general student body and the Athletics Department. The Board is chaired by the elected Student Body President. Athletics Director Castiglione and Vice President for Student Affairs Stroud are both ex-officio members of the Board, and most of the other members are students. The Board meets at least once each semester and additionally as needed. Among recent topics are student ticket prices and the identification of a new mascot. It has been clear to the students that Mr. Castiglione takes seriously their concerns and suggestions. This is one example of the purposeful openness of his administration. Vice President Stroud states that he is the envy of his Big 12 counterparts because they report that there generally is the feeling among student bodies that the Athletics Department does not care about their interests — and that feeling does not exist here.

At the Board's inception there was some concern that it might frustrate the independence of the Athletics Council's decision-making process. Accordingly, the Regents' action specified the Board would report to and get topics from the Athletics Council. That interaction has not occurred to date because there has been no need for it. New (6-23-04) Regents Policy 6.1.8 prescribes a combined annual review to be performed in the future (this Policy also renames this Board the Council's "Student Athletics Advisory Council Subcommittee").

The Student-Athletics Advisory Board (SAAB) has existed since 1993. In recent years SAAB has taken a more active and proactive role in providing input into the formulation of policy and the direct operation of the Athletics Department specifically impacting student-athletes. SAAB's purpose is to promote communication between the athletics administration and student-athlete body regarding the needs and concerns that impact on student-athletes' academic performance and personal well-being. SAAB also encourages more involvement of the student-athletes in campus and community activities, designs and implements programs which will encourage academic achievement, health promotions, and social responsibility, and acts as a vehicle for student-athlete representation on campus-wide activities.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation (s) for partial completion of such required actions.

No interim report applicable.

5. Based upon the institution's experience in the last three years, list the decisions related to intercollegiate athletics in which the institution's governing board or individual board members have been significantly involved (if any).

By Oklahoma Constitution (and supporting statutes) the University Board of Regents is "vested" with "[t]he government of the University of Oklahoma." For this reason and because of the broad public interest in collegiate athletics, the Board is involved in significant decisions related to intercollegiate athletics. The Board's actions are taken in accordance with legally mandated meeting rules. Although some individual Board members occasionally communicate with high-profile coaches on a personal level, as they do with other campus administrators, all Board decisions related to intercollegiate athletics are taken by the Board as a whole.

General areas involving the Board of Regents decisions are:

1. All personnel matters related to head coaches and personnel with a salary above \$60,000, the same as all University employees.
2. Employment contracts.
3. All purchases and contracts for equipment, goods, or services and other actions regarding expenditures of funds over \$25,000.
4. Financial plan/bond issuance for capital projects.
5. Audit/financial reports.
6. All major capital improvement projects over \$100,000.
7. Post-season travel.
8. Ticket policies.
9. Annual budget.

Specific decisions as categorized and listed in the Board of Regents Minutes Index are:

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### GENERAL ATHLETICS DECISIONS

- Approved athletics training facilities (02/06/01)
- Approved plan for repayment of athletics indebtedness and restructure of outstanding athletics department working capital advance (03/27/01)
- Approved contract to Murphy and Orr for design, fabrication, delivery and installation of interior design and sports museum quality display at various university locations (displays in Lloyd Noble, Switzer Center, etc.) (05/10/01)
- Approved athletics facilities revenue bonds (no date provided)
- Approved athletics training facilities (01/29/02)
- Approved contract with 1220 exhibits by Gallagher and Associates for design, fabrication, delivery and installation of interior design and sport museum quality exhibits to begin 10/01/02 (09/10/02)
- Approved athletics concessions (01/28/03)
- Approved acquisition of apparel, products and equipment for athletics (Nike contracts) (06/24/03)
- Approved acquisition to provide apparel, products and equipment for athletics (09/10/03)

### ATHLETICS TICKET POLICIES

- Approved athletics ticket printing (05/10/01)

### BASKETBALL ITEMS

- Approved air charter service for 2001-2002 basketball season for men's and women's teams (10/30/01)
- Approved air charter service for 2002-2003 basketball season for men's and women's teams (09/10/02)
- Approved air charter service for the 2003-2004 basketball season (10/27/03)

### FOOTBALL ITEMS

- Approved football ticket prices (02/06/01)
- Approved air charter for 2001 football season (05/10/01)
- Approved air charter service for 2002 football season, awarded to Continental Airlines in amount of \$190,655 (05/09/02)
- Approved air charter service for the 2003 football season (05/09/03)
- Approved digital video editing equipment for the OU football team (06/24/03)

### GAYLORD FAMILY - OKLAHOMA MEMORIAL STADIUM

- Approved sound system at the Gaylord Family Oklahoma Memorial Stadium (05/09/03)
- Approved construction of a memorial at the stadium (05/09/03)
- Informational purposes discussed stadium 2003 master plan update (09/10/03)
- Approved stadium expansion and improvements (10/27/03)

### TRACK

- Approved John Jacobs Track and Field improvements (01/28/03)
- Approved John Jacobs Track and Field improvements (05/09/03)

### TENNIS COURTS

- Approved tennis center for intercollegiate athletics, Phase I of the project (03/29/00)
- Approved tennis center for intercollegiate athletics (05/05/00)
- Approved tennis center for intercollegiate athletics, awarded project to Dillon Construction (03/27/01)
- Approved Phase I substantial completion effective 09/11/01, authorized final payment and approved naming the tennis center "The University of Oklahoma Headington Family Tennis Center" (10/03/01)

### SOFTBALL FACILITY

- Approved softball facility addition Phase I (01/29/02)

### L. DALE MITCHELL BASEBALL PARK

- Approved L. Dale Mitchell press box and accessibility improvements (03/27/01)
- Approved contract in the amount of \$580,000 to Flintco Inc. for L. Dale Mitchell Baseball Park accessibility and press box improvements (05/10/01)
- Approved to accept project substantial completion and authorized final payment to contractor (06/18/02)

**6. Based upon the institution's experience in the last three years, list the decisions related to intercollegiate athletics in which the institution's chief executive officer has been significantly involved.**

The President has been significantly involved in all of the Board's decisions referenced above. Specifically, the Board's decisions are invariably based upon the President's recommendations.

The President's decision-making process is informed by his weekly "executive staff" meetings with the other principal executive officers including the Director of Athletics.

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7. Describe the process by which the institution makes major decisions regarding intercollegiate athletics. In so doing, describe the role and authority of the institution's governing board, the chief executive officer, the athletics board or committee (if one exists), the faculty athletics representative(s), the director of athletics, and any other appropriate campus constituencies (e.g., faculty, students, institutional personnel involved in rules-compliance activities) in this process.

The responses to Self-Study Items 5 and 6 are also applicable here. In addition, major decisions regarding the intercollegiate athletics program involve a broad range of review and consideration within the University's organizational structure and with input from various constituent groups, based on the nature of the issue. The following are regularly involved in such decisions.

The Athletics Council is an official advisory group on athletics policy matters. Regents Policy 6.1.1. The Athletics Council is charged with responsibility to annually review six major components of the athletics programs. The Council is also "encouraged to make recommendations" (Policy 6.1.1) and does so. As a recent example, at the request of the Athletics Director during the 2003-04 academic year, the Athletics Council developed and adopted a policy for evaluating the addition or deletion of sports. This policy will involve the Athletics Council and its subcommittees in any major discussion and decision regarding the addition or deletion of a sport. Also, an Athletics Council Subcommittee process is involved in the development and recommendation of the annual Athletics Department budgets.

The Faculty Athletics Representative (FAR) is an accessible and regularly used "sounding board" on a wide range of major (and minor) decisions. Although rare, when he has thought needed, the FAR has initiated contact with the President, the Vice President for Administrative and Executive Affairs, and the University General Counsel. He is Executive Secretary of the Athletics Council, and with the Chair has specified responsibilities for the Council's functioning. He is a member of the Compliance Review Committee (see Self-Study Item 1.3.2., *infra*), and regularly participates in the weekly Athletics Director's Executive Staff meetings. He is a University representative in the Big 12 Conference, and over the years has been a regular participant in various NCAA committees and processes (including six Certification peer-review teams).

The Athletics Director is a University executive officer and attends the weekly President's Executive Staff meetings (other Executive Officers include the Provost, the General Counsel, and the vice-presidents. Various campus-wide issues are reviewed and discussed with input from all constituent groups. Activities and issues related to the Athletics program are part of these weekly staff meetings.

Major decisions regarding athletics are made with direct involvement and input from the other executive officers and their staffs. Personnel actions, purchasing, financial reporting, and budget processes are coordinated with the Vice President for Executive and Administrative Affairs. Facility plans and development including architectural selection, construction bids, financing options, and project schedules are all developed with this Vice President and the Associate Vice President and Controller. Similarly, major decisions related to athletics fundraising, marketing and development are coordinated with the President and the Vice President for University Development. Issues and major decisions concerning personnel actions, access for persons with disabilities and other issues of equal opportunity and affirmative action are coordinated with the University Affirmative Action Office. The General Counsel's office is consulted regularly on a variety of issues related to intercollegiate athletics, including rules compliance.

The Associate Athletics Director for Academic Affairs reports directly to the Athletics Director and is responsible for the academic and student life program for all men and women student-athletes. He also has a reporting line to the Provost related to major decisions regarding academic advising, counseling, tutoring, and other academic services for student-athletes. Additionally, he is responsible for housing programs and student-athlete government activities, e.g., SAAB (see Self-Study Item 3, above), campus disciplinary policies and other student life activities. The housing area includes non-athlete students as well as student-athletes. Programs and activities in these areas of student life are developed and coordinated with the Vice President for Student Affairs.

The Faculty Senate Executive Committee includes the Athletics Council chair, and he often meets with them. At the end of each academic year he submits to the Faculty Senate a written report of the Council's actions during that year.

Annually the last few years, Athletics Director Castiglione has met with the Faculty Senate, providing a report on current developments and answering questions. In addition, he has met annually with the Senate Executive Committee.



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Effective interaction with students occurs through the Athletics Department Advisory Board (recently renamed the "Student Athletics Advisory Council Subcommittee"), described in Self-Study Item 3, supra.

The Athletics Director has monthly meetings with the head coaches at "coaches roundtables." The assistant coaches are also included at least once each year. As might be expected, a variety of issues are discussed in these sessions. Compliance issues receive regular attention.

The Athletics Director meets on a weekly basis with his executive staff members, which include the Director of Compliance. Compliance issues are regularly discussed.

### 8. Please provide the composition of the athletics board or committee, if one exists, including titles and positions.

ATHLETICS COUNCIL MEMBERS (2003-2004, members' terms listed)

#### FACULTY

Charles W. Bert  
George Lynn Cross Research Professor  
Holder of Benjamin H. Perkinson Chair  
College of Engineering, Aerospace and Mechanical Engineering  
2001-2004

G. Frans Currier  
Elected Council Chair 2004-2005, Vice-Chair 2003-2004  
Professor of Orthodontics  
College of Dentistry  
2002-2005

Trent E. Gabert  
Council Chair 2003-2004  
Associate Dean, College of Liberal Studies  
Professor, Health and Sport Sciences  
2000-2004

David Garrison  
David Ross Boyd Professor of Physical Therapy  
College of Allied Health  
2003-2006

Gregory D. Kunesh  
Regents' Professor  
Holder of Max Weitzenhoffer Chair  
Chair, Department of Musical Theatre  
College of Fine Arts  
2001-2004

Joanna E. Rapf  
Professor, English and Film & Video Studies  
College of Arts and Sciences  
2002-2005

Richard S. Marshment  
Professor, Regional and City Planning  
Director, Division of Regional and City Planning  
College of Architecture  
2003-2006

Linda J. McKinney  
Associate Professor, Instructional Leadership and Academic Curriculum  
College of Education  
2003-2006

#### STAFF



## Governance and Commitment to Rules Compliance

David M. Lingo  
Clinical Business Administrator  
Department of Obstetrics and Gynecology  
College of Medicine  
2003-2006

Connie G. Smith  
Promotion and Information Specialist  
Oklahoma Geological Survey  
2002-2005

### ALUMNI

Larry C. Houchin  
Managing Partner  
Adams Hall Investment Management  
2002-2004

James K. Anderson  
President  
James K. Anderson, Inc.  
2003-2005

### STUDENTS

Trevor Tullius  
Norman campus (UOSA)  
2003-2004

Robbie Herman  
Health Sciences Center campus (HSCSA)  
2003-2004

### STUDENT-ATHLETES (non-voting)

(Two, varies per SAAB, according to availability)

### EX-OFFICIO (non-voting)

Joseph R. Castiglione  
Director of Athletics

Daniel G. Gibbens  
Council Executive Secretary  
Faculty Athletics Representative  
Regents' Professor of Law

Amy M. Murphy  
Council Secretary  
Athletics Director's secretarial staff

## Evaluation

1. Does the institution demonstrate that the institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution? **Currently Yes**
2. Does the institution demonstrate that the chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program? **Currently Yes**

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3. Does the institution demonstrate that appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies? **Currently Yes**

**On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. Yes**

## Governance and Commitment to Rules Compliance

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Not applicable.				

# Governance and Commitment to Rules Compliance

## Operating Principle

### 1.3 Rules Compliance

#### Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.3 (Rules Compliance). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

The University of Oklahoma did not have any corrective actions imposed by the first-cycle certification decision.

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process for Operating Principle 1.3 (Rules Compliance). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

1. From first-cycle Self-Study (1996):

Governance and Commitment to Rules Compliance:

- (1) Expand the rules education program:

- (a) Expand rules education provided to University staff external to the Athletics Department.

- (b) Provide written and verbal education materials to Oklahoma high schools and junior colleges through coaching clinics, academic seminars and periodic correspondence.

- (c) Update the University's NCAA Rules and Regulation Guide for Alumni and Friends of Sooner Athletics.

- (d) Include Guide information or similar rules education information in game programs, media guides, ticket mailings, public address announcements, coaches' shows, and other widely circulated general material.

- (2) Continue the role of the Compliance Review Committee in compliance oversight and review and expand its role in active assistance in procedures for compliance education, monitoring, enforcement and reporting.

- (3) Review written policies to conform policies to compliance practices.

The above areas noted for improvement and enhancement will be the responsibility of the Athletics Department Compliance Coordinator with assistance and oversight from the Compliance Review Committee. Areas noted for improvement and enhancement will be included in the Annual Report to the Athletics Council. The above areas will be implemented within the 1996-97 academic year with annual assessment and continued development in each area noted.

- The University of Oklahoma has improved and enhanced areas of rules compliance. In an effort to expand our rules education program the Department of Athletics has implemented the following:

- a. Rules education provided to University staff external to the Athletics Department (e.g., certifying officer, faculty athletics representative, financial aid officer, registrar, admissions, etc.):

- Daily rules interpretations

- Access to University of Oklahoma Compliance Website

## Governance and Commitment to Rules Compliance

- "Compliance Corner" featured in the Sooner Insider
- Education Notebook
- Materials available to address education in the areas of recruiting, transfer regulations, booster regulations, and eligibility guidelines
- New legislation updates
- Seminars and conferences related to rules compliance.

b. Written and verbal education materials to Oklahoma high schools and junior colleges through coaching clinics, academic seminars and periodic correspondence. In addition, our Director of Compliance participated in the "YES Clinics" conducted by the NCAA in an effort to aid in the education of high school parents regarding NCAA rules and regulations. Recruiting packets are also provided to all high school and junior college prospects, which contain information regarding NCAA rules and regulations pertaining to recruiting and eligibility requirements. Our NCAA Clearinghouse and Admission Coordinator is in constant contact with Oklahoma High Schools and available to answer questions regarding relevant NCAA rules and regulations. She also directs all high schools, junior colleges and students to the NCAA website and/or provides copies of the "College Bound Athlete" for further reference.

c. An updated version of The University of Oklahoma's NCAA Rules and Regulation Guide for Alumni and Friends of Sooner Athletics. The Booster Guide was updated in the summer of 2003 and has been sent to all booster groups, all persons involved with our student-athletes, and other selected members of the community. See also aforementioned career mentoring program.

d. Guide information or similar rules education information in game programs, media guides, ticket mailings, coaches' shows, and other widely-circulated general material. Athletics has also included the guide information on our Athletics Department website in our compliance section, which can be accessed by anyone seeking related information. Athletics added a "Compliance Corner" link to our website where periodical updated articles can be accessed regarding various rule topics and discussion. Athletics also added another educational dimension to the website by offering a weekly statement addressing different compliance issues.

- The University of Oklahoma has continued the role of the Compliance Review Committee in compliance oversight and review and expanded its role in active assistance in procedures for compliance education, monitoring, enforcement and reporting. We have added new members to the Compliance Review Committee in an effort to expand the scope and breadth of its review. An agenda is established and minutes of the meetings are recorded. The Committee has been actively seeking diverse viewpoints in assisting with developing improved procedures for compliance education, monitoring, enforcement and reporting. These individuals include the Associate Athletic Director, Faculty Athletics Representative, Director of Compliance, Staff Financial Aid Assistant, Special Assistant to the Athletics Director, Monitoring Coordinator, Compliance Interns, and others as needed (Director of Financial Aid, Registrar, General Counsel's Office).

- The University of Oklahoma Compliance Office has routinely reviewed written policies to ensure such policies conform to compliance practices. Recent updates have been made to the Recruiting Manual, Camp Manual, and Financial Aid Manual. The Athletics Department has been through a two-year process of updating the Athletics Department Policy and Procedures Manual including areas regarding Compliance, NCAA Rules, Mission Statement and Organizational Structure. The University Board of Regents has similarly updated its Board of Regents' Policy of the University of Oklahoma including all policies related to intercollegiate athletics.

### 3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.3 (Rules Compliance) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

None.

### 4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.3 (Rules Compliance). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

The University of Oklahoma did not have any corrective actions imposed by the first-cycle certification decision.

## Governance and Commitment to Rules Compliance

5. Describe how the activities of the institution's athletics booster groups, support groups and other representatives of the institution's athletics interests are maintained under the clear control of the institution, including whether institutional personnel serve on booster-club, support group or foundation boards.

- Athletics booster groups operate within the framework of the Sooner Club. The Sooner Club is housed within our Development Department and serves as a liaison to all booster and athletics alumni groups. Development designates specific members of its staff to oversee each of these organizations.

- Institutional staff members have oversight in not only the creation of such groups, but also keep close watch on their activities involving our student-athletes thereby maintaining these organizations and individuals under the clear control of the institution. Staff members attend meetings of such groups and provide rules education in efforts to keep these individuals abreast of current legislation and repercussions of any impermissible activities. The Compliance Office has created an Athletics Representative/Booster Guidebook to NCAA Regulations to be disseminated to these groups as another educational tool. The Compliance Office also maintains periodical correspondence through institutional publications, which addresses legislation relevant to the activities of such organizations.

- Educational material is provided to booster groups, support groups, and other representatives of athletics interests through game programs, our Compliance Website, booster guides, and our periodic "Compliance Corner" featured in the Sooner Insider.

- NCAA external audits include audits of booster groups.

6. Identify how the institution has organized itself to maintain compliance with NCAA rules. Specify the individual (other than the institution's compliance officer/coordinator) who the CEO designates as being responsible for the institution's rules compliance. Also, include a description of the reporting lines for and responsibilities assigned to the faculty athletics representative, director of athletics, compliance coordinator, coaches, and other key individuals inside and outside athletics (e.g., registrar, financial aid officer, admissions director, internal auditor) who are responsible for documenting and monitoring compliance with NCAA rules, including but not limited to eligibility certification, investigation and self-reporting of violations and monitoring of financial aid.

1. Board of Regents

- a. President: Boren

- i. Athletics Director: Castiglione

- (1) Executive Athletics Director: Naifeh (also reports to University General Counsel: Harroz)

- a. Director of Compliance: Jones

- i. Compliance Monitoring Coordinator: Roberts

- (2) Associate Athletics Director for Academic Affairs: Gurney (also reports to the Provost: Mergler)

- a. Assistant Directors of Academic Affairs: Turner and Elder

- i. Academic Counselors and Academic Counselor/Life Skills Coordinator: Cardamone and Williams

- b. Assistant Director of Athletics Academic Affairs and Coordinator of Academics Services: Garibay

- c. Clearinghouse Coordinator: Wyatt

- d. Athletics Financial Aid: Carter

- i. Graduate Assistants

- e. Administrative Coordinator: Moyer

- ii. Athletics Council

## Governance and Commitment to Rules Compliance

- iii. Financial Aid Officer: Reeser (Reports only to Vice President)
- iv. General Counsel: Harroz (Reports to President)
- v. NCAA Faculty Athletics Representative: Gibbens (Reports to President)
- vi. Director of Admissions and Records: Skeel (Reports to President)

- Please see the University Athletics Department Operating Manual containing job descriptions and the organizational chart for athletic department personnel as well as attached job descriptions for those individuals outside of the Athletics Department.

### 7. Describe the institution's rules-education efforts for all individuals associated with the athletics department, including student-athletes, coaches, other athletics department staff members, other institutional staff members and representatives of the institution's athletics interests.

- Please see attached 2002-2003 Athletics Council Annual Report on NCAA Governance and Compliance. The following list of examples includes, but is not limited to, many items within this document:

- o Daily rules interpretations.
- o Access to University of Oklahoma Compliance website.
- o "Compliance Corner" featured in the Sooner Insider.
- o Education Notebook.
- o Materials available to address education in the areas of recruiting, transfer regulations, booster regulations, and eligibility guidelines.
- o New legislation updates.
- o Seminars and conferences related to rules compliance.
- o An updated version of the University's NCAA Rules and Regulation Guide for Alumni and Friends of Sooner Athletics (also included on our Athletic Department website in our "Compliance" section, accessible to anyone seeking related information).
- o Added a "Compliance Corner" link to our website where periodical updated articles can be accessed regarding various rule topics and discussion.
- o Added another educational dimension to the website by offering a weekly statement addressing different compliance issues.

### 8. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals inside the athletics department.

- The University of Oklahoma ensures that rules compliance is a central element in personnel matters for individuals inside the Athletics Department through the following:

- o Contracts for each employee that includes specific mention of adherence to NCAA rules compliance.
- o Policy manuals that outline the duty of each individual to be committed to the policy of the Athletic Department, which includes NCAA rules compliance.
- o The University of Oklahoma Board of Regents' Policy specifically provides:

"Any Athletics Department staff member who knowingly commits a major violation of an NCAA or Conference rules or who conceals or attempts to cover up the violation of an NCAA or Conference rule will be terminated immediately and all contract rights will be terminated. Athletics Department staff members who commit violations of NCAA or Conference rules shall be subject to disciplinary or corrective action as set forth in NCAA or Conference enforcement procedures." This provision shall be included in all Athletics Department letters of employment.

—Any student-athlete who is knowingly involved in a major NCAA or Conference rule violation will be subject to disciplinary, eligibility, or corrective action, as set forth in the provisions of the NCAA or Conference enforcement procedures.



## Governance and Commitment to Rules Compliance

—The President will meet yearly with the Athletics Department staff and emphasize the importance of compliance with NCAA and Conference legislation rules.

—The Athletics Department shall establish an Athletics Department Compliance Handbook, Recruiting Manual, and Booster Guide, which shall be subject to the approval of the President and maintained on file in the Athletics Department.

—A rules education program shall be provided for all Athletics Department staff, student-athletes, and representatives of the University's athletics interests. The Compliance Handbook plays a significant role in this educational effort. The Associate Athletics Director for Compliance and Enforcement will be responsible for the rules education program.

—The University's Legal Counsel will conduct regular meetings with Athletics Department staff regarding the rules education program.

—The University shall notify its alumni and other representatives of its athletics interests of the absolute necessity of complying with NCAA and Conference rules. The University's guide to rules compliance is distributed to active representatives of its athletics interests to aid in compliance with NCAA and Conference rules."

(RM, 12-8-88, p. 20802) Regents' Policy Manual Section 6.3.3, University Community p. 1, available at <http://www.ou.edu/regents/Section7.pdf>.

o Letters of Appointment sent out yearly from the Regents' office outlining NCAA and institutional rules compliance and adherence to said rules.

o Rules education activities, emphasizing staying abreast of current legislation and mandating that all individuals abide by such legislation.

o Frequent memos sent out to personnel as reminders of certain pertinent NCAA rules and outlining the impact of these rules on current issues.

### 9. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals outside the athletics department who are involved in rules-compliance activities.

- The University of Oklahoma ensures that rules compliance is a central element in personnel matters for individuals outside the at athletics department through the following:

o Policy manuals that outline the duty of each individual to be committed to the policy of the Athletics Department, which includes NCAA rules compliance.

o The University of Oklahoma Board of Regents' Policy specifically provides: "Any Athletics Department staff member who knowingly commits a major violation of an NCAA or Conference rules or who conceals or attempts to cover up the violation of an NCAA or Conference rule will be terminated immediately and all contract rights will be terminated. Athletics Department staff members who commit violations of NCAA or Conference rules shall be subject to disciplinary or corrective action as set forth in NCAA or Conference enforcement procedures." This provision shall be included in all Athletics Department letters of employment.

\* Any student-athlete who is knowingly involved in a major NCAA or Conference rule violation will be subject to disciplinary, eligibility, or corrective action, as set forth in the provisions of the NCAA or Conference enforcement procedures.

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## Governance and Commitment to Rules Compliance

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Regents' Policy Manual Section 6.3.3, University Community p. 1, available at <http://www.ou.edu/regents/Section7.pdf>.

**10. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of initial-eligibility certification. [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]**

- Athletics Department Procedures for complying with NCAA rules before a student-athlete is eligible to receive aid:
  - o Once the Athletics Student Life staff has received transcripts and other pertinent documents required for an official visit and it has been determined that a prospective student-athlete will be on athletic-related aid or without athletic related aid, the student-athlete will be entered into a database to generate an Admissions Report. The NCAA Clearinghouse is also notified so we may begin to receive information about the prospect concerning eligibility.
  - o The student-athletes' transcripts are forwarded to the Office of Admissions and the Office of Academic Records to be evaluated for admissibility and eligibility. Both offices require official transcripts before they can provide a pre-evaluation. If we do not have official transcripts on file, the Associate Athletics Director for Academic Affairs will provide an evaluation of potential admissibility and eligibility (for internal use only) based upon the information that is provided to the Athletics Student Life Office.
  - o The Athletics Student Life staff distributes the following reports to the head coaches to inform them of required documents for admissibility and eligibility prior to receiving aid:
    - a) Admissions Report that includes information regarding admissibility and outstanding transcripts and documents required
      - Distributed bi-monthly
    - b) NCAA Clearinghouse Status Report
      - Distributed bi-monthly
    - c) Transfer student-athlete pre-evaluations regarding eligibility requirements
      - For those sports that have student-athletes with outstanding documents, verbal communication to coaches is done weekly, often daily, approximately 4 weeks prior to the first day of class.
  - o Transfer student-athletes cannot be admitted until official transcripts from each collegiate institution attended are received. Therefore, a student-athlete is not permitted to enroll or receive financial aid until all required documents have been received.
- Registrar Procedures for complying with NCAA rules before a student-athlete is eligible to receive aid (initial-eligibility for transfer student):
  - o The process for reviewing and determining the athletic eligibility of transfer student-athletes begins with the notification of the Athletics Department to the Certifying Officer that a transfer student-athlete has been added to a particular sport list and will be attending the University of Oklahoma.
  - o If requested at that point, the Certifying Officer does a preliminary review of the student's academic work and history. The Certifying Officer continues to check for receipt of final and official transcripts from each transfer institution prior to the beginning of the term in which the student-athlete is entering the University.
  - o Prior to the beginning of the term, the Certifying Officer will make an eligibility determination, notifying the Compliance Office in writing as to the status of all of the transfer students for that term. This notification includes the eligibility status, any outstanding information or documents needed to make a final determination and a projection as to the potential status of the student-athlete, if necessary and appropriate.
  - o For those student-athletes who cannot be certified at that point, the Certifying Officer continues to audit their

## Governance and Commitment to Rules Compliance

status and the status of any information needed for eligibility that is still outstanding. This audit/review continues until all documentation is provided and a final determination can be made.

- This process is included in the Athletics Department Compliance Manual.

**11. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of continuing-eligibility certification. [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]**

- Several people are involved with continuing eligibility certification. This mainly includes the Athletics Scholarships & Financial Aid Coordinator (AFA), the University Certifying Officer, and the Compliance Monitoring Coordinator.

o The Athletics Scholarships & Financial Aid Coordinator (AFA) houses the student-athlete database and rosters for each team. A month prior to a team's first date of competition, the roster is sent to the Certifying Officer on campus. Often updates to the roster continue until one day before the first competition; therefore, daily communication is necessary between the Coach, the AFA Coordinator, the Advisor, Compliance, and the Certifying Officer.

o The Certifying Officer issues an Eligibility Report to the Compliance Monitoring Coordinator, which will list the names of all student-athletes who are eligible to compete. With this list is also a memo containing a list of student-athletes who are not eligible to compete and the reason why.

o Communication to the Coaching staff, Academic Advisors/ Counselors, Clearinghouse Coordinator, and other appropriate staff members, occurs at this time in the form of a memo, e-mail, and a phone call regarding those student-athletes who are not eligible.

o The AFA Coordinator compares the Eligibility Report to the team's roster to be sure everyone is accounted for and then relays this information to Compliance.

o Compliance contacts the appropriate party to follow up on any outstanding eligibility issues. They may need to contact the NCAA Admissions & Clearinghouse Coordinator or the Athletics Academic Advisor to assist in solving the student-athlete's eligibility issue(s).

o If any additional student-athletes are certified as eligible before the first date of competition, the Certifying Officer creates a supplemental Eligibility Report to include with the original report.

o Once all student-athletes are certified as eligible to compete, Compliance acquires all of the appropriate signatures on the Eligibility and/or Supplemental Reports including the Faculty Athletics Representative, the Athletics Director, and the Head Coach. Specific notice is given of those on the squad list who are not eligible to compete.

o Compliance copies the Eligibility Report to the AFA Coordinator who then marks each student as eligible to compete "yes" on the Squad List if they are certified as such. The AFA Coordinator also prints out an Affirmation of Eligibility Form, which is copied to Compliance.

o Compliance and the AFA Coordinator fax or mail in the Squad List and Eligibility Report to the Big 12 Conference before the first date of that team's competition.

o The AFA Coordinator keeps all copies of Squad Lists (later signed by Director of Compliance, Director of Financial Aid, and Associate Athletics Director for Academic Affairs) and Eligibility Reports on file; Compliance copies Affirmation of Eligibility and Eligibility Reports to Head Coaches and then keeps these reports on file in their records.

- This process is included in the Athletics Department Compliance Manual.

**12. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of transfer-eligibility certification. [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]**

- The NCAA Admissions & Clearinghouse Coordinator along with the campus Admissions Office, Compliance, the

## Governance and Commitment to Rules Compliance

Certifying Officer, the Athletic Academic Advisor(s), and the Associate Athletics Director for Academic Affairs are involved in the step-by-step process of eligibility for transfer student-athlete eligibility.

- o Head Coaches work with the NCAA Admissions & Clearinghouse Coordinator to indicate prospective student-athletes for the following academic year.
- o The NCAA Admissions & Clearinghouse Coordinator then begins evaluating the NCAA and Conference eligibility requirements for eligibility and admissibility.
- o For transfer student-athletes the NCAA Admissions & Clearinghouse Coordinator delivers the transcript to the appropriate Athletics Academic Advisor who then evaluates their student-athlete(s) to determine if they meet the transfer requirements of the institution, the Conference, and the NCAA.
- o The Athletics Academic Advisor then returns the student-athlete's transcript to the NCAA Admissions & Clearinghouse Coordinator to obtain approval for an athletics scholarship from the Associate Athletics Director for Academic Affairs.
- o Each student-athlete must apply for admission to the University in the same manner as the general student body.
- o The campus Admissions Office works with the NCAA Admissions & Clearinghouse Coordinator to identify those student-athletes who have been and who have not been admitted into the institution.
- o For those student-athletes not admitted into the institution, or who have not met the NCAA or Conference requirements, the Certifying Officer works with the NCAA Admissions & Clearinghouse Coordinator to identify these issues and then forwards any appropriate requests for action to Compliance, (i.e., waivers).
- o Head Coach is notified throughout this process if any student-athlete has not met admission requirements.
- o Once all student-athletes are admitted into the University and have met all the transfer requirements for the Conference as well as the NCAA, the next step of financial aid begins.
- This process is included in the Athletics Department Compliance Manual.

University Process:

- The process for reviewing and determining the athletic eligibility of transfer student-athletes for the University Registrar or University Certifying Officer begins with the notification of the Athletics Department to the Certifying Officer that a transfer student-athlete has been added to a particular sport list and will be attending the University of Oklahoma.
- o If requested at that point, the Certifying Officer does a preliminary review of the student's academic work and history. The Certifying Officer continues to check for receipt of final and official transcripts from each transfer institution prior to the beginning of the term in which the student-athlete is entering the University.
- o A couple of weeks prior to the beginning term of the student-athlete the Certifying Officer will make an eligibility determination, notifying the Compliance Office in writing as to the status of all of the transfer students for that term. This notification includes the eligibility status, any outstanding information or documents needed to make a final determination, and a projection as to the potential status of the student-athlete, if necessary and appropriate.
- o For those student-athletes who cannot be certified at that point, the Certifying Officer continues to audit their status and the status of any information needed for eligibility that is still outstanding. This audit/review continues until all documentation is provided and a final determination can be made.

### 13. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of investigation and self-reporting of rules violations.

- The Director of Athletics is responsible for the implementation and enforcement of NCAA rules and regulations. These responsibilities and the review and investigation of alleged violations are executed primarily through the Executive Associate Athletics Director and the Director of Compliance. The Compliance Review Committee (Faculty Athletics Representative, Executive Associate Athletics Director, Director of Compliance, Compliance Monitoring Coordinator, Senior Counsel/Director of Compliance, and Compliance Interns) will also review all alleged violations. The CRC will assist in any review of reports and proposed corrective action(s) and any post report monitoring and assessment.

## Governance and Commitment to Rules Compliance

o Upon investigation, a report will be prepared which includes the following:

- The date and location of the occurrence(s).
- A description of the alleged facts and applicable NCAA rules.
- Identification of individuals involved (coach(s), student-athlete(s), prospect(s), others).
- Reason for the occurrence.
- Means by which the occurrence was discovered.
- Position regarding whether a violation occurred including any NCAA interpretation supporting this determination.
- Corrective action.
- Description of any eligibility issues and request for restoration.
- Other pertinent information.

- In cases involving secondary violations a written report will be forwarded to the NCAA and Big 12 Conference with copies to the President, Athletics Director, Faculty Athletics Representative and involved individuals. Any additional reporting and processing of alleged major violations will be determined upon full review by the Compliance Review Committee, the Athletics Director, the President, and the University General Counsel.

- Coaches and departmental staff members are to uphold the principle of institutional control of and responsibility for all intercollegiate sports in conformity with applicable rules and regulations. Staff members having knowledge of any alleged violation of applicable governing rules or regulations are expected to cooperate with the proper authorities by furnishing factual information and assistance as requested.

- This process is included in the Athletics Department Compliance Manual.

### 14. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of financial aid.

- The University of Oklahoma Athletics Scholarship and Financial Aid Coordinator (AFA) maintains policies and step-by-step procedures to ensure rules compliance in the area of financial aid. This commitment to rules compliance includes a variety of activities that include but are not limited to the following:

o Memos to the coaches explaining rules compliance regarding roster management, renewal, non-renewal, outside aid, and institutional aid concerns.

o Attend seminars and conferences to keep informed of current NCAA legislation in the area of financial aid; also the institutional liaison from the University Financial Aid Office often attends such conferences and seminars.

o Annual international student-athlete meetings to address such concerns as amateurism, taxes, and other specific financial aid concerns.

o Letters sent out to the student-athletes periodically to explain regulations concerning all financial aid rules compliance.

o Daily interaction with the Academic Student Life Office and the Compliance Office ensuring coordination of rules education.

- Athletics Financial Aid & Scholarships Coordinator's purpose is to act as a liaison for student-athletes and the University's Financial Aid Office and Office of the Bursar. To answer questions and assist student-athletes in dealing with athletic related financial aid, outside aid and/or scholarships, bursar problems and payments of student accounts. To track and monitor scholarship limits within NCAA rules and regulations as specified in Bylaw 15. To be a support position for the Athletics Compliance Office, helping to educate and enforce NCAA rules and regulations. The AFA's responsibilities include:

1. Book Roster: Two weeks prior to the beginning of each semester, a roster of student-athletes receiving a FULL fees scholarship is provided to the Coordinator of Academic Services. This roster is then forwarded to the University Bookstore.

2. Bursar FULL Tuition and Fees List: Two weeks prior to the beginning of each semester, a roster of student-athletes receiving a FULL tuition and a FULL fees scholarship is provided to the Office of the Bursar. This is to ensure that student-athletes get a written release on their athletics scholarship from the AFA Office so that they may then pick up their federal financial aid from the Office of the Bursar without it being applied to accounts that the Athletics Department will be paying.

3. Bursar Stop Tracking: Before early enrollment each semester, a list of student-athletes who have a bursar stop is



## Governance and Commitment to Rules Compliance

created and forwarded to all academic advisors for that particular sport, as well as the Associate Athletics Director for Academic Affairs.

4. Certification of Eligibility: A month prior to a team's first date of competition, the roster for that team is sent to the Certifying Officer. Often updates to the roster continue until days before the first competition; therefore, daily communication is necessary among the coach, AFA Coordinator, the Advisor, Compliance, and the Certifying Officer. The Certifying Officer will issue an eligibility report to the AFA Coordinator, which will contain names of all the student-athletes who are eligible to compete, as well as a list of student-athletes who are not eligible to compete. The AFA Coordinator will compare this with the team's roster to be sure everyone has been accounted for and copy the information to Compliance. Compliance will be responsible for following up with the necessary parties in order to reinstate ineligible student-athletes. The AFA Coordinator will also be sure to mark who is eligible on the team's squad list and generate the Affirmation of Eligibility Report for Compliance.

5. Certification of Non-Counters: At the beginning of each semester, the AFA Office obtains a list of student-athletes who are receiving outside/institutional aid from the University's Financial Aid Office. This report is sent to the AFA Office every week in order to update any changes. These student-athletes are then certified as non-counters in the specific sport, if applicable. The appropriate forms are completed, forwarded for signatures, copied to all involved parties, and then kept on file in the AFA Office.

6. Checks: The AFA Coordinator is responsible for creating and issuing the appropriate room and board checks to student-athletes based on their scholarship. For those student-athletes living in the dorms on full athletics room and board scholarship, the AFA Coordinator pays their room and board online and then issues a check every Friday, equal to the remaining 6 meals allowed by the NCAA. For those student-athletes who live off campus, a monthly "cash-in-lieu" (of the room and board on campus) check is given to them, which is equal to the room and board stipend over the course of 10 months. Checks are ordered via e-mail from both the Athletics Business Office (accounting) and Financial Support Services. Checks can be picked up at Financial Support Services.

7. Countable/Non-Countable Aid: In congruence with the certification of noncounters, and tracking of outside aid with initial student-athletes; prior to the beginning of each academic year, all aid that student-athletes are receiving must be accounted for. The AFA Coordinator works with the University's Financial Aid office to classify all types of aid students are receiving. Once the aid is classified, appropriate forms must be completed. The Academic Honor and Honorary Academic Forms must be certified by the Certifying Officer. The Outside Aid Inquiry Forms must be completed by the outside agency awarding the scholarship to determine which of the three outside aid categories it may fall into (athletics major criterion, athletics considered but not major criterion, and educational grant unrelated to athletics). These must all then be signed by the Director of Financial Aid on campus and filed away in the AFA office.

8. Degree Completion Program: The Degree Completion Program is usually maintained by Graduate Assistant and/or part-time staff member for student-athletes who are still completing their degree beyond their five years of eligible financial aid. Amounts and community service time are designated by the Associate Athletics Director for Academic Affairs. Student must sign a contract to participate.

9. Employment Program: With the 1998-99 academic year, student-athletes were first able to work during the academic year with limitations. With the 2003-04 academic year, there are no longer any limitations on how much money student-athletes can make during the academic year. However, NCAA rules still require tracking of employment earnings. The Career Center Coordinator is responsible for this tracking and giving quarterly reports to the AFA Coordinator, who would then report to Compliance with any major issues or concerns.

10. Fifth Year Application Processing: All student-athletes who have completed their participation eligibility (4 years within a 5 year period) can apply for a 5th year of financial assistance (5 years within a 6 year period). These applications are available through the AFA Coordinator as well as the student-athlete's Academic Advisor. Students are encouraged to apply as soon as they know they might have to return for an additional year in order to complete their degree. It should be signed by the student-athlete, the advisor, and the Associate Athletics Director for Academic Affairs. The financial aid amount is always based on the student's previous semester's aid from his or her last semester of eligibility, unless otherwise noted by the coach and/or administration. It is filed with other student's Financial Aid Agreement Forms.

11. Financial Aid Agreement Forms (FAA): An FAA form is required to be kept on file for every student-athlete for each semester or period of award. These forms are produced based on the scholarship amounts awarded by the coaching staff, copied and forwarded to the University's Financial Aid Office during the renewal/reduction/non-renewal process, and then mailed with the student's award letter. Before the beginning of each semester, each student-athlete is checked to make sure his/her FAA form is signed and on file. If the form is missing, the copy is used, signed and filed. FAA forms are to be signed by the Director of Financial Aid, Associate Athletics Director for Academic Affairs, Head Coach, and student-athlete.

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12. Free Application for Federal Student Aid (FAFSA): The AFA Coordinator works closely with the campus Financial Aid Officer/ Liaison in assisting student-athletes with filing their FAFSA and any additionally requested paperwork by the campus Financial Aid Office. Examples of FAFSA, forms, and directions to the OU Financial Aid website are included.

13. Grade Performance Check (GPC): The GPC is often maintained daily by a Graduate Assistant or part-time staff member. However, in order to create the GPC database every semester, the AFA Coordinator works with the Athletics Information Technology Office to get the information necessary (address table) for the download from the University Academic Records Office. Once the download is complete and all student-athletes' classes have been accounted for, the employee(s) maintaining the database are responsible for issuing grade performance checks to each student-athlete's instructor. Once the instructor returns the grade performance check, the employee(s) enters the information into the database and prints off appropriate reports for coaches, administration, and advisors. They are also responsible for issuing midterm letters and grades to both students and parents.

14. Initial Student-Athletes: Two months prior to the start of each semester, the AFA Coordinator contacts and works with the NCAA Clearinghouse & Admissions Coordinator to obtain all scholarship information for incoming student-athletes. During the summer prior to the fall term, a letter is sent to all incoming student-athletes requesting information on any and all outside financial aid the students will be receiving during the upcoming year. This process assists the AFA Coordinator in classifying financial aid.

15. International Student-Athlete Forms/Taxes: During the summer months when the AFA Coordinator knows of any incoming international student-athletes attending in the subsequent semester, he/she will coordinate all international student orientation between the International Student Office on campus and the Athletics Orientation Coordinator(s). Also, during the first week of school an international student-athlete meeting is held to complete necessary forms (Foreign National Form, W4 forms, and W7 form, if necessary) and make copies of all identification information (passport, visa, I-94, I-20). For all W7 applications, they must be notarized and sent to the ITIN office (IRS). The remaining information is for the payroll office for tax purposes. International student-athlete's room and board scholarship is taxed 14% based on the number of days they were present in the United States that calendar year. Because of this, the AFA Coordinator deducts a portion from each student's monthly or weekly check. This deducted portion is paid to the IRS for their room and board taxes each year. If the tax is an unexpected amount, the student will either receive a refund or be charged the difference owed to their bursar account.

16. Intersession and Summer School Forms: During advising for the intersession or summer term(s) the student-athlete is interested in attending, the Advising Secretary creates the new worksheets for that period. Advisors are to complete the worksheet at the time they enroll the student in the intersession/summer term, and return the forms to the Advising Secretary, who will then make sure they are all signed before she submits them to the Associate Athletics Director for Academic Affairs. After they are approved and the Advising Secretary enters them into an Access database, an excel spreadsheet, and verifies their enrollment, she/he then turns them over to the AFA Coordinator. The AFA Coordinator then prints the Financial Aid worksheets to determine the amount of a possible room and board check for the student-athlete, or to confirm the amount to be paid on the bursar accounts.

17. Meal Money: During official vacation and break periods (Pre-season, Thanksgiving, Winter Break, Spring Break, summer months) any student-athletes who are required to remain on campus for either organized practice or organized competition (home), are allowed to receive room and/or board money for that time. The coach turns in the request to the AFA Coordinator designating how many days, if room and/or board is needed, and a list of student-athletes and their living situation (on or off campus). The room and board is based on the rates at the Bud Wilkinson dorm and Wagner Dining Facility, respectively. For those students living in the dorms (anywhere), the Sooner Housing Coordinator bills the room for each day to the student-athlete's sport. Then, they receive the remaining board money in the form of a check. For those students who live off campus, they would receive both the room and board money in the form of a check. The amount for room and board depends on a number of factors, including, but not limited to time of year, team meals, whether or not the dining facility is open, etc. Checks are either given to the coaches directly or the students can pick them up from the AFA office. All travel and per diem money is handled through the Athletics Business Office.

18. Notification of Awards: Report that is sent to the University's Financial Aid office reporting all student-athletes on scholarship and the amount of the award. That office then creates a reporting sheet where all student-athletes are coded and sends the AFA Coordinator a weekly report for checks and balances.

19. Participation Reports: The Big 12 Conference requires participation records kept on file for all student-athletes in all sports. The AFA Coordinator works with the Sports Information Department and the coaching staff at the end of the academic year to track participation of each team's student-athletes. The information is gathered on reporting forms and the AFA Coordinator enters the participation information on the actual report, forwards for signatures to the Head Coach and the Faculty Athletics Representative, and submits to the Conference by July 15th every year. A copy must be kept on file in the AFA Office.



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20. Pass List: Created from the rosters for the ticket office. AFA Coordinator is responsible to submit an updated student-athlete roster for the Pass List used on Home Game Days for comps. It is sent via e-mail attachment.

21. Payment Plans: When a student-athlete on athletics scholarship cannot pay charges he/she owes to the University (parking, telecom), the AFA office can assist the student in doing so by utilizing a check deduction. The student-athlete must first speak with the office of the debt and sign a promissory note for payment. Then they can sign up for a payment plan with the AFA office; the payment amount is determined by the office of the debt, usually \$40-\$50 a month to be deducted from their CIL check. So, two checks are ordered: one for the Bursar Office to pay the debt and the other for the student-athlete containing the remaining money. The AFA Coordinator takes the deducted check to the Bursar Office for payment and copies the receipt to the office where the debt is owed. All information is then filed into the payment plan folder until the student pays the debt off.

22. Processing Medical Exemptions & Medical Hardships (M), (H): Compliance handles all paperwork, but will need AFA Coordinator's assistance in completing participation information.

23. Room and Board Contracts: Based on each student-athlete's room and board scholarship, a room and board contract is printed for each student prior to the beginning of the next semester, copied for file, and forwarded to the Sooner Housing Coordinator. The Sooner Housing Coordinator mails these to each student-athlete living in Sooner Housing and has them select their room and board option. Once the form is completed, the Housing Coordinator keeps a copy for his files and copies another to the AFA Coordinator so that room and board information for bursar accounts will be accurate.

24. Rosters/Roster Management: All official rosters are kept by the AFA Coordinator. The rosters are sent to coaches every two weeks for approval up until the first date of competition and every month thereafter. They are instructed to make any necessary changes to the roster and to sign off on it and return to the AFA Coordinator. The AFA Coordinator then updates the database and copies rosters to all appropriate departmental staff members (student life staff, compliance, appropriate administration, coaches, housing, dining, training room, insurance, ticket office) and University Offices (Academic Records, University College, Dean Carney, and Financial Aid). Any major change in the roster (add/drop) will be e-mailed directly to all appropriate parties. Roster Management numbers are figured and sent only to the appropriate administrator.

25. Scholarship Approval Forms: During the academic year when coaches are signing student-athletes for the subsequent academic year, they should use a scholarship approval form in which to draft the student-athlete's aid. This is first given to the AFA Coordinator to review for equivalency/head count issues, signed and then given to the NCAA Clearinghouse and Admissions Coordinator, who draws up each student-athlete's original Financial Aid Award/National Letter of Intent. He/she signs off on the scholarship draft if he/she approves it and has the amount and language approved by the Associate Athletics Director for Academic Affairs.

26. Scholarship Processing (bursar accounts): After the free add/drop period in each semester, athletics scholarships are applied to the student's bursar accounts. The appropriate covered charges are moved from the student's account to the sport's account, where the Athletics Accounting Office will actually pay the charges. All student-athletes' accounts are originally processed by the 15th of September and February and then checked once a month until the bill is processed to Accounting. For processing the bill the AFA Coordinator requests a bursar bill from the Office of the Bursar, reviews for any needed changes/corrections, reorders if necessary, and creates an excel spreadsheet broken down by sport and semester to turn into the Athletics Accounting Office. Always keep a copy of the bill and the excel worksheet in the AFA files.

27. Student-Athlete Database: The AFA Coordinator is responsible for the maintenance of student-athlete's records for financial aid information, team roster, squad lists, and biographical data (race, sex, address, birthday, etc.). This information is housed in the NCAA Compliance Assistant internet (CAi) Program, as well as an access database that can easily be updated from year to year. All maintenance, inputting, and requests are handled by the AFA Coordinator or his/her designee (Graduate Assistant).

28. Student-Athlete Scholarship Award and Renewal Process (R-NR-R): During the summer months student-athletes on athletic scholarship have their aid renewed, reduced, or in some cases, cancelled. The AFA Coordinator works with the coaching staff to determine what aid will be renewed, reduced, or cancelled for the upcoming semester. This information is necessary to complete the Financial Aid Agreement forms, mentioned previously, and is sent to the University's Financial Aid Office, who is responsible for notifying the student-athletes. They must be notified in writing by July 1st each year. This process can also be done for the spring semester for those student-athletes on a semester by semester scholarship. The student-athletes who are renewed are required to sign and return their Financial Aid Agreement form; those reduced or cancelled have the right to a hearing to appeal the decision that had been made. There are specific rules/bylaws in Chapter 15 associated with this process.

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29. Student-Athlete Special Assistance Fund (SASAF): The SASAF is utilized only by those students receiving a Federal Pell grant or those international students approved by the University's Financial Aid Office, and allows them each up to \$500 for a clothing/academic supplies allowance. In the case of the clothing the student-athlete must pick up required forms from the AFA Office. The clothes are put on "layaway" at the store until the student returns with the check to trade it for the clothes they had selected. The application is processed through the AFA Office, Compliance, Business, and Accounting offices, where a check is made to the store of the student's choice. In the case of the academic supplies, it must be approved by the AFA and Accounting Offices and is actually charged directly to the student-athlete's sport account.

30. Student-Athlete Opportunity Fund (SAOF): The SAOF is utilized for degree completion and for those student-athletes who do not have health insurance to cover non-athletically related injuries; in addition to supplementing the SASAF, if necessary. The AFA Coordinator's role with the SAOF is to pay the student-athlete's bursar accounts that are under the degree completion program for the amount designated by the Associate Athletics Director for Academic Affairs.

31. Squad List: The squad list for each team is generated from the student-athlete database housed in the AFA Office. The squad list should be signed by the Associate Athletics Director for Academic Affairs, Compliance, and University Financial Aid. They are due to the Big 12 Conference by May 15th each year.

32. Tracer Reports/One-Time Transfers for Eligibility: During the summer months when the AFA Coordinator receives all of the information from the NCAA Clearinghouse and Admissions Coordinator on all incoming student-athletes, a tracer/one-time transfer report is completed for each of those students who already attended another collegiate institution. This information can be obtained from the NCAA Blue Book. The form is sent to each institution that the student-athlete may have attended. These are completed for two reasons: to obtain tracer information which will be necessary to complete both the squad list and the participation reports; to verify a one-time transfer for eligibility purposes. Therefore, when the report is returned, it is copied to the Compliance Office and to the Certifying Officer, and kept on file in the AFA Office.

33. Tuition Reallocation: Once the bursar bill is processed, equivalency sports have an opportunity to receive tuition reallocation for any amount of unused tuition. All student-athletes in an equivalency sport on 100% tuition scholarship are evaluated. Their schedules are pulled off the CICS system to see if each of these student-athletes actually utilized their full 100% tuition scholarship. If they did not, then their particular sport can gain back the equivalency portion by using the difference between their actual tuition amount and the average full tuition amount, to help with equivalencies. This process can be used if necessary, but is not highly encouraged because of the "crunch" in equivalency sport scholarship limits.

34. Other: The AFA Coordinator attends the Compliance Review Meetings and is also responsible for a variety of other reports/surveys that need to be completed throughout the academic year. Most of these include graduation rates reports, ethnicity reports, SASAF reports, EADA report, gender equity report, etc. He/she will also assist Athletics Administration with any special requests per approval of the Associate Athletics Director for Academic Affairs (i.e., search committees). The AFA Coordinator also has some supervisory duties over 1-2 Graduate Assistants for the Athletics Student Life Office.

- Please refer to the Financial Aid Manual for a detailed outline of the step-by-step processes and policies in place to ensure rules compliance.

### 15. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of recruiting.

All coaches, staff members and athletics representatives receive periodic updates of current legislation regarding NCAA recruiting rules and regulations from both our Director of Compliance and/or the Director of Compliance for the Big 12 Conference to ensure education and knowledge of the applicable rules. Among other procedures, the Athletics Department reviews official visit forms and national letters of intent. Please see our attached Recruiting Manual for our policies and step-by-step procedures in the area of recruiting.

### 16. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of camps and clinics.

The Director of Compliance is responsible for the implementation and enforcement of rules compliance in the area of camps and clinics. These responsibilities and the review of camp and clinic procedures are executed primarily through the Compliance Monitoring Coordinator. We maintain a Camp Manual outlining our policies and procedures which includes rules education, guidelines and forms to ensure that each sport conducting such camp or clinic

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provides the relevant documentation to ensure compliance with all NCAA and University rules and regulations. The Business Office and the Director of Facilities ensure that our teams' pay the proper fee for use of the facilities and are also involved in maintaining billing procedures for each camp. Please see our attached Camp Manual for our policies and step-by-step procedures in the area of camps and clinics.

### 17. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in other areas (if applicable).

o Awards - Receipts of all awards are sent to the Compliance Office where the Monitoring Coordinator reviews which student-athletes received an award and to ensure that the sport does not go above the allotted limit for each individual.

o Playing and Practice Seasons - Playing and Practice Season Forms are distributed at the beginning of each academic year to the head coach of all sports. The forms are completed and returned to the Compliance Office where the Monitoring Coordinator confirms that the information is in compliance with NCAA and Conference regulations. If the coach has made an error the forms are returned for editing with specific instructions and explanations of the governing rules.

o Practice Logs - Practice Logs are maintained by each sport throughout the entire academic year. Each sport is responsible for logging the hours they require student-athlete attendance at countable athletically related activities. The coaching staff must attain the players' signatures each week to verify the accuracy of each report. These forms are routinely turned into the Compliance Office where the Monitoring Coordinator screens each practice log and verifies that all teams are abiding by the applicable hours depending upon whether the team is within or outside its declared playing season.

o Student-Athlete Statements/NCAA Packets/Team Meetings - At the beginning of each academic year, prior to beginning practice and within the first week of classes, athletes are required to complete all required NCAA, Conference, and Institutional paperwork necessary for practice and competition. This paperwork includes:

- Student-athlete general information including any outside aid or scholarships and sport participation history,
- NCAA drug testing consent form
- List of NCAA banned drugs,
- NCAA student-athlete statement,
- University of Oklahoma drug testing consent form,
- University of Oklahoma consent to testing of urine sample,
- University of Oklahoma authorization of medical information and records
- University of Oklahoma authorization for release of information and records under banned substance use prevention and screening policy,
- Big 12 Conference drug testing consent form,
- Student-Athlete acknowledgement of NCAA Bylaw 12.5, Promotional Activities,
- Student-Athlete vehicle registration form,
- Student-Athlete employment form.

o In addition to completing the student-athlete paperwork, the Compliance Office and members of the Student Life Office educate all sports on the importance of rules compliance. A handout is given containing a summary of NCAA legislation that affects all student-athletes.

- Student-Athlete Employment - Compliance meetings provide rules education for student-athletes concerning employment guidelines at the beginning of the academic year. Student-athletes are required to complete an Employment Acknowledgement form which indicates if they are working or not at the first check handout each semester. Those student-athletes who are working must then complete two forms with the Career Center Coordinator, the Written Statement Form and the Coach/Student-Athlete Agreement Form. The Written Statement Form must be signed by the student-athlete and their employer agreeing to release their employment earnings to the Athletics Department. The Coach/Student-Athlete Agreement Form must be signed by the student-athlete and his/her coach agreeing to the employment guidelines. The Career Center Coordinator keeps a log of student-athletes who are employed and enters them into the employment database. The Career Center Coordinator sends out employment earnings statements to be completed by the student-athlete's employer and sent back to the Athletics Department for five periods throughout the year. The Career Center Coordinator enters the student-athlete's earnings into the employment database for each specified period. The Career Center Coordinator prints off the earnings report and gives it to the Athletics Financial Aid Coordinator after every period. The Career Center Coordinator also maintains a hard copy file with all appropriate employment forms. The Career Center Coordinator

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and/or the Athletics Financial Aid Coordinator report any concerns to the Compliance Office for further investigation.

o Student-Athlete Vehicle Registration and Monitoring- As mentioned above, each student-athlete is required to fill out a vehicle registration form, which outlines the automobile description and information regarding the purchase, including who purchased the vehicle and from what dealer. On occasion the Monitoring Coordinator and Interns police the surrounding parking facilities to check for any suspicious vehicles, which have not been properly registered with the Compliance Office. Occasionally, the Compliance Office and other departments receive anonymous tips regarding the vehicle a student-athlete is driving. Upon receipt of such information, the compliance staff then follows up with the proper investigation including monitoring the parking facilities for the suspicious vehicle, checking with campus parking office for parking pass registration, and campus police for vehicle ownership information.

o Complimentary Admissions- The football or basketball office sends the Compliance Staff a complete list of each teams' complimentary admissions on the day of the game. The complimentary admission list is reviewed by the Compliance Staff against a list of the student-athletes' employers, boosters, agents and other individuals which we may have had problems with in the past. The Ticket Office also receives a copy of the complimentary admissions list and enforces the NCAA guidelines regarding complimentary admissions. The Ticket Office Staff requires those on the list to show a valid form of identification in exchange for a ticket stub and wristband, which are both needed for admission into the game. The Ticket Office Staff places the wristband on the individual so that it may not be transferred to a third person that is not on the complimentary admission list. On the day of the game, the Compliance staff confers with the Ticket Office staff to solve any problems that may arise.

o Promotional Activities and Appearance Requests- Promotional Activity and Appearance Request Forms are kept on file with the Compliance Office and all such activities must have prior approval by the compliance staff. The forms are sent to all individuals seeking to utilize any University of Oklahoma items containing student-athletes or staff member names, pictures or signatures to promote their cause. The forms are faxed back to the Compliance Office whereby communication is maintained with persons requesting a promotional item or appearance to verify the accuracy of the form and the request. If the activity is permissible the form is forwarded to the requesting agency or individual and to the involved sport. If the activity is deemed to be impermissible, a phone call is made to the requesting agency or individual to explain why such activity violates NCAA, Conference, or Institutional policy. A phone call is also made to the involved sport explaining why such activity is impermissible and to monitor that the sport does not proceed with the request. In addition, all student-athletes are informed of Bylaw 12.5.1, Promotional Activities and the proper procedures for complying with the rule during the initial team meetings.

o Waivers - The waiver process and step-by-step procedures for the University of Oklahoma Athletics Department is dependent on the student-athlete's unique situation. Generally, the waiver process begins through communication with the Athletics Student Life staff, the coaching staff, and the Compliance Office. If the waiver request surrounds academic deficiencies, the compliance office and the athletic advisor coordinate efforts with the student-athlete and his/her parents to gather all the documentation necessary to file a waiver. If the waiver request surrounds initial eligibility deficiencies, the compliance office and the clearinghouse coordinator work together to gather the necessary documentation from the appropriate individuals. Once the appropriate documentation has been received the Monitoring Coordinator prepares the waiver and packet of materials to be sent the NCAA.

o Please refer to the Compliance Manual and the Financial Aid manual for detailed step-by-step processes outlining the above procedures and any other additional responsibilities pertaining to rules compliance not specified above.

### 18. Indicate the dates of the institution's rules-compliance program evaluation conducted by an authority outside of athletics at least once every four years.

- The Athletics Council Governance and Compliance Subcommittee annually reviews and evaluates the rules compliance program. A summary of the subcommittee's review is submitted and discussed annually. The subcommittee's annual evaluation specifically assesses the detailed components of the programs as outlined in each attached report. The subcommittee reports its findings and evaluation to the full Council, which then makes a determination annually regarding the evaluation. The Athletics Council has specifically determined in past Annual Reports that:

o "The Athletics Council has evaluated the NCAA Rules Compliance Program of the University of Oklahoma Athletics Department. The Program has in a place a set of written policies and procedures that assign specific responsibilities in areas of rules compliance. The subcommittee reported to the full Council that the Athletics Department has a formal, proactive, and comprehensive program in place to ensure (as far as is possible) compliance with OU, Regents, Big 12, and NCAA rules and regulations governing intercollegiate athletics."

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- In addition to the annual evaluation by the Athletics Council, the University of Oklahoma Internal Auditors annually audit and evaluate an area of the Athletics Rules Compliance Program. These auditors are external to athletics and report directly to a University Executive Officer, the University Internal Auditor. Please see the answer to Question 3 for the list of internal audits that have been conducted with the rules compliance programs.

- The Big 12 Conference also conducts an evaluation of rules compliance programs. The Big 12 has conducted such a review on November 17, 1997, and will conduct such an additional review during the 2003-2004 academic year. Please see attached review.

**19.** Indicate the individual or individuals responsible for conducting the institution's rules-compliance evaluation. Further, describe the process used in selecting this authority outside of athletics to ensure the individual or individuals do not have day-to-day compliance responsibilities for the institution's athletics department and are knowledgeable in NCAA legislation and rules-compliance practices.

Please see answer to Question 18. Individuals perform these functions as part of their job responsibilities established by the University. Athletics is not involved in their employment, appointment, or assignment.

**20.** The rules-compliance evaluation must consist of a review to determine that the compliance practices are engaged and functioning and must include, at minimum, specific areas. Please indicate by clicking "yes" or "no" which areas were included in the rules-compliance evaluation.

	Yes	No
Initial-eligibility certification.	X	
Continuing-eligibility certification.	X	
Transfer-eligibility certification.	X	
Financial aid administration, including individual and team limits.	X	
Recruiting (e.g., official visit, etc.).	X	
Camps and clinics.	X	
Investigations and self-reporting of rules violations.	X	
Rules education.	X	
Extra benefits.	X	
Playing and practice seasons.	X	
Student-athlete employment.	X	

**21.** Describe relevant corrective actions planned or implemented from the rules-compliance program evaluation(s).

Not applicable.

### Evaluation

**1.** Does the institution demonstrate that it has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program? **Currently Yes**

**2.** Does the institution demonstrate that In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department? **Currently Yes**

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3. Does the institution demonstrate that rules compliance is the subject of an ongoing educational effort? **Currently Yes**
4. Does the institution demonstrate that a clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program? **Currently Yes**
5. Does the institution demonstrate that at least once every three years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department? **Currently Yes**

**On the basis of the yes/no answers above and the plans for for correcting deficiencies, is the institution in substantial conformity with the operating principle. Yes**

## Governance and Commitment to Rules Compliance

Elements		Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Not applicable.				