

**NCAA Certification Self-Study
Governance and Commitment to Rules Compliance
Draft of March 27, 2008**

Operating Principle

1.1 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 1.1 (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 dates(s) of the action(s); and (d) an explanation for any partial or non-completion of such required actions.

Response: The NCAA Division I Committee on Athletics Certification did not impose any corrective actions, conditions for certification or strategies for improvement with respect to Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities).

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 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically include: (a) the original plan; (b) the action(s) taken by the institution; (c) the dates(s) of the action(s); and (d) an explanation for any partial or non-completion of such required actions.

Response: The institution was not required to develop any plans for improvement or recommendations related to Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities).

3. Describe any additional plans for improvement/ recommendations relating to Operating Principle 1.1 (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.

1. Institutional Mission

1. (a) The original plan's recommendation:

The committee recommends that the mission statement of the athletics program be provided to all members of the University community by having it published in the Eagle Student Handbook, the Faculty Handbook, on the University's Web site, the Student-Athlete Handbook, and in the Handbook for Administrative, Professional and Support Staff.

(b) The action taken by the institution:

The original recommendation for the mission statement of the athletics program be provided to all members of the University community was addressed following the committee's work. Review of current handbooks and University Web sites where it would be appropriate for the mission statement of the athletics department to be published revealed the following:

- *The current mission statement is published in the Student- Athlete Handbook on the Athletics Web site at: www.msueagles.com in a downloadable format.*
- *The current mission statement is published in the Athletic Staff Handbook on the Athletics Web site at: www.msueagles.com in a downloadable format.*
- *The current mission statement is published in the Eagle Student Handbook at: www.moreheadstate.edu/eaglehandbook in a downloadable format.*
- *The current mission statement is published in the Faculty Handbook at: www.moreheadstate.edu/fachandbook in a HTML Web-based format.*
- *A Handbook of Administrative, Professional, and Support Staff is no longer published by the University.*

The Athletics Mission Statement

Morehead State University believes that intercollegiate athletics is an integral part of the University and that broad-based intercollegiate athletic programs encourage student participation and involvement in the total life of the University. In addition, intercollegiate athletic programs play a positive role by supporting the academic and public service mission of the University. The intercollegiate athletics program operates under the following philosophy and principles:

- *Each athletic program shall adhere to the principles of fair play and amateur competition as defined by the National Collegiate Athletic Association, the Ohio Valley Conference, and the Pioneer Football League.*

- *Each student-athlete, through academic counseling and individual assistance, shall be encouraged toward completion of degree requirements and graduation.*
- *Each athletic program shall be administered at the highest level that the University's resources will allow so that each student-athlete will have the opportunity to compete to the fullest extent of his or her ability.*
- *The athletic program shall adhere to the University's Affirmative Action Plan promoting equal opportunity for all employees and students, as well as applicants for employment and student participation.*

(c) The dates of the actions:

All handbooks have the current mission statement.

(d) An explanation for any partial or non-completion of such required actions:

All required actions were completed.

2. (a) The original plan's recommendation:

The committee recommends that the mission statement of the athletic program be reviewed by the Intercollegiate Athletics Committee (IAC) at least every five years and/or at all times that the University's mission statement is reviewed. In addition, the date of the most recent revision should be included wherever the statement appears in published form.

(b) The action taken by the institution:

The mission statement of the athletic program has been reviewed by the IAC at least every five years. Review of the IAC minutes revealed that the mission statement had been revised as recently as 2006.

(c) The dates of the actions:

Dates the mission statement was reviewed by the Intercollegiate Athletics Committee include:

- *November 22, 2004 – Reviewed the Strategic Plan including the mission statement.*
- *February 2, 2006 – Revised Mission Statement in Athletics Strategic Plan and revised 5 Keys to Success in the document.*

- *December 6, 2006 – Athletic Director reported that revisions to the Strategic Plan had been made as requested by the IAC*

(d) An explanation for any partial or non-completion of such required actions:

All required actions were completed.

ii Institutional Control

No recommendations from original plan.

iii Presidential Authority, Governing Board

No recommendations from original plan.

iv Shared Responsibilities

1. (a) The original plan's recommendation:

While all appropriate campus constituencies are given the opportunity to provide input on athletics issues, the Committee recommends that the bodies involved in the shared governance of the University; i.e., the Faculty Senate, the Staff Congress, and the Student Government Association be more actively involved in the development and implementation of athletics policies.

(b) The action taken by the institution:

The IAC membership makeup at MSU displays diversity and representation of shared governance from across campus including administrators and/or their designee, faculty, staff, and students. This committee is actively involved in the development of athletic policies and procedures related to intercollegiate athletics and how they influence the academic success of student-athletes.

(c) The dates of the actions:

Since the last compliance review, the IAC has periodically reviewed its description and membership and made recommendations to Faculty Senate in 2002 and 2006 in order to maintain an effective operational protocol. The recommendations made in November 2002 were approved in April 2003 and were immediately implemented. The Faculty Senate did not provide any recommendations in response to the changes suggested in December 2006.

(d) An explanation for any partial or non-completion of such required actions:

Faculty Senate, Staff Congress and Student Government constituents have been represented by appointees in the development of athletic policies and procedures related to intercollegiate athletics and how they influence the academic success of student-athletes. The IAC made additional recommendations in November 2007 in order to enhance the roles of these bodies in shared governance concerning athletic issues. The IAC implemented the scheduling of an annual presentation related to athletic policies and procedures in order to provide the constituencies of Faculty Senate, Staff Congress, and Student Government the opportunity to be more active in the development of athletic policies and procedures. In addition, the IAC has recommended to Faculty Senate, Staff Congress, and the Student Government Association that their representatives reflect their bodies' membership; that at least one of the faculty representatives be a faculty senator, that the staff representative is a staff congressperson, and that the student representatives be the President of the Student-athlete Advising Council and an officer from the Student Government Association.

2. (a) The original plan's recommendation:

The self-study committee recommends that the subcommittees of the Intercollegiate Athletics Committee be required to meet twice per semester. The Faculty Senate Governance Committee should rewrite the committee description to include this requirement and the policy should become effective during the spring semester 1999.

(b) The action(s) taken by the institution:

The IAC submitted a request to the Faculty Senate requesting its committee's description be adjusted to reflect two required meetings per semester in November 2002.

(c) The dates of the actions:

Faculty Senate approved this change in April 2003.

(d) An explanation for any partial or non-completion of such required actions:

All required actions were completed.

3. (a) The original plan's recommendation:

The self-study committee recommends that the term of the office of the chair of the IAC be two years. The Faculty Senate Governance Committee should rewrite the committee description to include this requirement and the policy should become effective during the spring semester 1999.

(b) The action(s) taken by the institution:

The IAC submitted a request to the Faculty Senate in December 2006 requesting its committee's description be adjusted to reflect that the IAC's chair be elected to serve a two-year term.

(c) The dates of the actions:

This recommendation was submitted to Faculty Senate in December 2006 and is currently being considered along with several other recommended changes to the IAC's description.

(d) An explanation for any partial or non-completion of such required actions:

The adjustment of the IAC's description reflecting a change in its leadership protocol was never instituted. The IAC has operated since the last NCAA review by annually electing a chair for a one-year term. The Faculty Senate Governance subcommittee reviewed the IAC's recommendation to elect a chair for a two-year term and, in turn, suggested that the IAC alter its operating leadership from a single chair elected for a two-year term to a chair and chair-elect system in order to provide long-term continuity. This alteration in the IAC's description is currently under review, along with the structure of all standing committees(2007-08).

4. (a) The original plan recommendation:

The committee recommends that the Intercollegiate Athletics Committee conduct a minimum of one open forum per year at which students, faculty, staff, and administrators can express concerns and/or offer suggestions regarding the athletics program.

(b) The action taken by the institution:

While the IAC has not acted on this recommendation the Athletics Department and the SGA have been conducting several on campus and community events of a forum-like nature. Some of these activities were started recently but others have been in existence for many years. The Athletics Department provides many opportunities for the students, faculty, staff, administrators and the community to address concerns regarding athletics at Morehead State University. These activities include:

Lunch with the Eagles - a monthly opportunity for interested parties to address the athletic administration and those coaches in attendance.

Ask the Athletic Director – a Web site developed to create an online forum for open discussion regarding athletic issues.

Eagle Sports Coaches Show – a weekly call-in radio show that provides accessibility to members of the Athletics Department.

Creation of the Athletic Facilities Master Plan – In the spring of 2006, the Athletics Department conducted several open forums in order to solicit input from the campus and the surrounding community regarding the future of athletics and its facilities on Morehead State's campus.

Student Life Forums – Conducted by SGA, these events are an opportunity for students to address their concerns to the senior leadership of the University, including the Director of Intercollegiate Athletics.

(c) The dates of the actions:

The above have been instituted at various times during the period following the previous certification.

(d) An explanation for any partial or non-completion of such required actions:

All required actions were completed.

At the time of the 1999 Self Study Report, the chief athletics officer was the Vice President for Student Life and Director of Intercollegiate Athletics (VPSL/DIA). This changed in 2002. The VPSL/DIA retired the end of June 2002. A new Vice President for Student Life (VPSL) was appointed and a national search was conducted to fill the position, Director of Intercollegiate Athletics. The successful candidate assumed the position in August of 2002. Additional steps were taken to create two separate positions in 2002.

The President of the University announced his intention to retire by the end of the calendar year in 2004. The Director of Intercollegiate Athletics resigned effective September 2004. At that time, on the recommendation of the VPSL, the associate director of athletics was appointed interim director by the President. Because the University was in the process of searching for a new President, the decision was to name an interim director and have the new President involved in the hiring of a Director of Intercollegiate Athletics.

The University welcomed a new President in January of 2005. On the recommendation of the VPSL, the President named the Associate Director of Athletics to the position of Director of Intercollegiate Athletics in March of 2005. In accordance with University policy, this personnel recommendation was forwarded to the Board of Regents for final approval which occurred at the meeting of June 16, 2005. (BOR Agenda Book, June 16, 2005, page 38).

4. Describe how the institution's governing board's decisions are consistent with those of other on-campus units. Based upon the institution's

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

The Board of Regents (BOR) has final approval of all personnel and financial decisions related to athletics upon recommendation of the President. The BOR has the responsibility to approve guidelines for salary ranges, the establishment of insurance, retirement and other programs. The BOR ratifies all personnel decisions, including appointments, reassignments, terminations and salary adjustments for the athletics departments, as it does for all faculty and senior level administrative and support staff. The BOR approves general budget policies, which would govern student financial aid programs and approves the annual budget. The BOR also approves the formulation and periodic revision of long-range plans, which includes capital projects related to athletics.

Examples of BOR Involvement:

*March 2004 – Resolution recognizing KY NCAA Woman of the Year
Recognition of Football Coach as PFL Coach of the Year
Recognition of Volleyball Coach as OVC Coach of the Year and team as
OVC Champs*

*September 2004 – Recognition of former MSU Coach selection for OVC
Hall of Fame and student-athlete as recipient of OVC Steve Hamilton
Sportsmanship Award
Appointment of Interim Athletics Director*

*December 2004 – Recognition of Volleyball student-athlete as KY
NCAA Woman of the Year and Football student-athlete as National
Scholar by Football Foundation and College Hall of Fame and recipient
of \$18, 000 graduate school fellowship*

*March 2005 –Recognition of OVC Honors for 110 student-athletes and
coaches and those student-athletes had a higher retention and
graduation rate than the all student average
Recognition of Football Coach as PFL Coach of the Year; Soccer Coach
recognized as OVC Coach of the Year*

*June 2005 – Budget spotlight noted that \$300,000 had been added to
Athletics for facility renewal and maintenance and operating budget*

September 2005 – approved \$200,000 one-time funding for athletic facility renewal and maintenance.

December 2005 – Report on Audit of NCAA Special Assistance Fund, Internal Controls over expenditures and disbursements related to NCAA Special Assistance fund, and compliance with NCAA in the administration of this fund.

*March 2006 – Resolution recognizing MSU Football Team's 4th Consecutive PFL South Division Championship
Recognition of Football Coach as PFL Coach of the Year
Approved increase to Athletics Department Operating Budget (2nd year of a 3-year plan)*

December 2006 – Initial review of six-year capital plan, prioritizing list of capital projects to include results of Athletic Facilities Master Plan projects, including the construction of athletic administration building, renovation of the academic center and tennis team facility, reconstruction of Allen Field, renovation of Jayne Stadium, construction of an indoor practice facility, renovation of the Academic Athletic Center, and construction of a new softball facility

March 2007 – Discussion of financial plans, recognition of two MSU OVC scholar-athletes, and MSU Soccer Head Coach as OVC Coach of the Year

*Reviewed 2008-2013 Capital Projects Priority List implementing several phases of Athletic Facilities Master Plan
Apprised of gift to Athletics from Pepsi Cola in excess of \$10,000*

June 2007 – The BOR approved financial statements and amended operating budgets for fiscal 2007 (EEF, Basketball gate receipts, NCAA proceeds)

Ratified 2008-2014 Capital Plan

Approved acquisition of Eagle Trace Golf Course as a gift from the MSU Foundation, Inc., Eagle Trace is the home course of the men's and women's golf teams. It was privately owned and was in danger of closing when acquired.

5. Based upon the institution's experience in the last three years, list the decisions related to intercollegiate athletics in which the institution's President has been significantly involved.

Below are administrative decisions made by the President after discussions with appropriate senior University officials. In addition, the President's Cabinet, comprised of vice presidents, general counsel, and selected directors, may act in an advisory capacity and provide information regarding decisions the President is considering.

Examples of Presidential involvement are:

*Reviewed Strategic Plan for athletics department
Appointed new athletics director
Approved the development of women's golf as sport at MSU
Authorized hiring of new women's golf coach
Reassigned head women's basketball coach
Hired new head women's basketball coach
Hired new head soccer coach
Hired new women's softball coach
Hired new head men's basketball coach
Hired new head baseball coach
Hired new assistant director of Intercollegiate Athletics/SWA
Approved facilities upgrade/maintenance
Approved Facilities Master Plan for athletics
Led the fund raising drive to acquire Eagle Trace Golf Course*

6. Describe the process by which the institution makes decisions regarding intercollegiate athletics. If the institution has different processes for making various major decisions regarding intercollegiate athletics, describe the process for making each major decision. For each process, describe the role and authority of the institution's governing board, the President, the Athletics Committee, the Faculty Athletics Representative, the Director of Intercollegiate Athletics, and any other appropriate campus constituencies (e.g., faculty, students, institutional personnel involved in rules-compliance activities) in the process.

Decisions are made the same for athletics as they are for other campus constituencies.

7. Please provide the composition of the athletics committee (including titles and positions).

Intercollegiate Athletics Committee Membership, 2007-2008

Voting Members

<i>Dr. Haiwook Choi</i>	<i>Associate Professor of CIS College of Business</i>
<i>Dr. Julie Hypes</i>	<i>Assistant Professor of HPES College of Education</i>
<i>Dr. Tricia Farwell</i>	<i>Assistant Professor of Public Relations Caudill College of Humanities</i>
<i>Dr. Ann MacIntosh</i>	<i>Associate Professor of Physical Sciences College of Science & Technology</i>
<i>Mr. Al Baldwin</i>	<i>Assistant to the Provost Staff Congress Appointee</i>
<i>Mr. Michael Harman</i>	<i>Student Officer, Student Government Association</i>
<i>Ms. Melinda Humen</i>	<i>Student President, Student-Athlete Advisory Council</i>
<i>Dr. Robert Albert</i>	<i>Dean, College of Business Provost Appointee</i>
<i>Dr. Roger Cleveland</i>	<i>Assistant Professor of Education Presidential Appointee</i>

Non-Voting Members

<i>Ms. Madonna Weathers</i>	<i>Vice President for Student Life</i>
<i>Mr. Brian Hutchinson</i>	<i>Director of Intercollegiate Athletics</i>
<i>Ms. Melissa Dunn</i>	<i>Senior Woman Administrator</i>
<i>Ms. Peggy Osborne</i>	<i>Faculty Athletic Representative</i>
<i>Ms. Jami Hornbuckle</i>	<i>Vice President for University Relations Appointee</i>

Operating Principle

1.2 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 1.2 (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 dates(s) of the action(s); and (d) an explanation for any partial or non-completion of such required actions.

Response: The NCAA Division I Committee on Athletics Certification did not impose any corrective actions, conditions for certification or strategies for improvement with respect to Operating Principle 1.2 (Rules Compliance)

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 (Rules Compliance). Specifically include: (a) the original plan; (b) the action(s) taken by the institution; (c) the dates(s) of the action(s); and (d) an explanation for any partial or non-completion of such required actions.

Response: The institution was not required to develop any plans for improvement or recommendations related to Operating Principle 1.2 (Rules Compliance)

3. Describe any additional plans for improvement/ recommendations relating to Operating Principle 1.2 (Rules Compliance) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

1. Rules Compliance Accountability

1. (a) The original plan's recommendation:

The committee recommends that a systemic review, rules education, and control process be implemented. This would include preparation of a document (to be mailed to all current athletics donors, future donors at the time they first give, and parents of all the first-time student-athletes at the time of the student's first registration at MSU) which outlines what, if anything, a booster (representative of our athletics interests) can do for a

student who is being recruited or one who is already enrolled. The document should also outline what a booster should and should not do if he/she is aware of an outstanding prospect.

(b) The action taken by the institution:

In response, the Athletics Department produced a brochure for mailing to educate all parties as to what a booster (representative of our athletic interests) can and cannot do for a student who is being recruited, or for a student already enrolled at the University. The document also states what a booster should do if he/she is aware of an outstanding athletic prospect. The mailing of this document has been handled by the Athletics Department and the MSU Foundation as an enclosure with gift acknowledgements.

(c) The dates of the actions:

The brochure was first published in 1998 and was updated in 2007.

(d) An explanation for any partial or non-completion of such required actions:

All required actions were completed.

2. Rules Compliance Evaluation

1. (a) The original plan's recommendation:

The committee recommends that an external compliance audit be completed on an annual basis. This audit should be completed by the Ohio Valley Conference and/or the NCAA.

(b) The action taken by the institution:

In response to a Committee Recommendation, the Athletics Department arranged for the Ohio Valley Conference to conduct an audit of the University's Compliance program in 2002 and 2006. The OVC performs this service for each of its member institutions every four years. In addition to the audits provided by the Ohio Valley Conference, MSU's Internal Auditor has access to the NCAA Audit Guide provided by the Association of College and University Auditors.

During the years not covered by an OVC audit, MSU's Internal Auditor has the option of using any of the 15 modules in the NCAA Audit Guide dealing with intercollegiate athletics.

(c) The dates of the actions:

The Ohio Valley Conference audited in 2002 and 2006. The University's Internal Auditor conducts an annual audit of the NCAA Special Assistance Fund, regarding internal controls associated with expenditures, disbursements and compliance with the NCAA in the administration of this fund. The MSU Internal Auditor also audits the Student-athlete Opportunity Fund. In addition, general compliance and certification of compliance audits were performed in the 2004-05 school year and student-athlete eligibility and financial aid audits were performed in 2005-06.

(d) An explanation for any partial or non-completion of such required actions:

All required actions were completed.

Since the first-cycle certification decision was rendered by the Committee on Athletics Certification, all sport specific booster groups have been eliminated. In addition, the entire fund raising efforts of the Athletics Department (Eagle Excellence Fund) have been moved into the University Development Office. This insures institutional oversight and control over all fund raising/booster club efforts.

4. 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.

There are no organized booster groups at Morehead State University. All support groups are administered through the MSU Foundation under the name of the Eagle Excellence Fund. The EEF is the fiduciary organization which receives all gifts to Athletics and other components of the University. Gifts to Athletics are deposited in the EEF, a restricted account like those for other programs. In order to use funds deposited with the EEF, the Athletics Department must submit a written request to have the private funds transferred into a University account. This is the same procedure required of other University units which utilize private funds to enhance their operations. In terms of University personnel serving on external boards, the President and the Vice President for Administrative and Fiscal Services are ex-officio members of the Board of Trustees of the MSU Foundation, Inc.

5. Identify how the institution has organized itself to maintain compliance with NCAA rules. Specify the individual (other than the institution's compliance coordinator) who the President 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 Intercollegiate 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.

OVERSIGHT: The Compliance and Eligibility Coordinator, in conjunction with the Director of Intercollegiate Athletics and Assistant Directors of Athletics, is responsible for administering a compliance program in accordance with NCAA guidelines. This includes advising and counseling student-athletes on his/her progress to promote academic success, assisting in the initial eligibility process of incoming student-athletes, administering the athletic financial aid program for the Athletics Department, assisting staff members in rules education and administering submission of NCAA and OVC forms and other documents related to compliance and eligibility.

Alignment issues

- *The Director of Intercollegiate Athletics is designated by the President as being ultimately responsible for the institution's NCAA rules compliance. The MSU Eligibility Committee is responsible for validating eligibility of student-athletes.*
- *Faculty Athletic Representative*
- *Director of Intercollegiate Athletics*
- *Compliance and Eligibility Coordinator*
- *Assistant Director of Intercollegiate Athletics*
- *Assistant Director of Intercollegiate Athletics (Marketing & Promotions)*
- *Assistant Director of Intercollegiate Athletics/SWA*
- *Athletic Academic Coordinator*
- *Athletic Business Manager*
- *Coaches*

KEY INDIVIDUALS INSIDE ATHLETICS

*The **Faculty Athletics Representative (FAR)** is appointed by the President for a one-year term. There is no limit on the number of years one may serve. The FAR is expected to perform the following duties with an uncompromising commitment to NCAA rules compliance:*

- *Regularly attend OVC meetings.*

- *Attend the NCAA convention, Faculty Athletic Representative Association meetings, and Regional Rules Seminars when possible.*
- *Serve on the Ohio Valley Conference Faculty Athletic Representatives Committee to hear and rule on appeals of the commissioner's decisions on infractions of OVC legislation.*
- *Certify student-athlete academic eligibility and sign, when necessary, requests for waivers of initial-eligibility requirements.*
- *Administer the NCAA Coaches' Exam and submits results to the OVC, PFL and the Director of Intercollegiate Athletics.*
- *Participate in investigations of major NCAA violations*
- *Serve as chair for committee to hear student-athlete drug test appeals*
- *Serve on the OVC/FAR Committee to select OVC Scholar-Athlete Award recipients.*

*The **Director of Intercollegiate Athletics** is the chief athletic officer of the institution and reports to the University President and Vice President for Student Life. The Director is responsible for supervising a competitive program at the NCAA Division I level in the Ohio Valley Conference (OVC) and the Pioneer Football League (PFL). The Director manages the University's office of intercollegiate athletics and is responsible for strategic and long range planning; developing relationships with external constituencies that will lead to aggressive growth of external funding; negotiating, designing and managing contracts for commercial relationship; managing and enhancing facilities; ensuring compliance with NCAA, OVC, PFL, and institutional rules and regulations; achieving diversity through Title IX and equal opportunity; and representing the University and the intercollegiate athletics program to ensure positive relationships with students, faculty, staff, media, alumni, civic groups, booster groups, and local, regional, and state-wide communities.*

Compliance responsibilities include:

- *Serve as primary budget manager for athletics and develop budgetary and operation plans based upon specific athletic goals.*
- *Supervise and coordinate all aspects of athletic event planning, game administration, scheduling with coaches, contracting, and travel arrangements.*
- *Communicate compliance policy and procedures to coaches, staff, and student-athletes.*
- *Ensure compliance with NCAA, OVC, PFL, and institutional rules and regulations to keep the Vice President, members of the Intercollegiate Athletic Committee, athletic staff and coaches informed and updated.*
- *Administer issuance and/or preparation of OVC athletic grant-in-aid papers and national letters of intent.*

- Supervise preparation of NCAA and conference required forms and lists.
- *Work closely with the Office of the Registrar in preparing eligibility lists for all sports.*
- *Approve athletic camps and clinics conducted by coaches ensuring compliance to NCAA and institutional rules and regulations governing such activities.*
- *Correspond with other institutions, prospective student-athletes, the NCAA and conferences.*
- *Attend NCAA and conference meetings and may serve as the University's official representative if so designated by the President.*
- *Represent athletics on the President's Cabinet.*
- *Attend NCAA convention and Regional Rules Seminars when possible.*
- *Represent the University to the Ohio Valley Conference and the Pioneer Football League (PFL).*
- *Review and sign waiver requests.*
- *Review, approve and sign National Letters of Intent.*
- *Serve as a member of the Compliance Team.*

*The **Compliance and Eligibility Coordinator** advises and counsels student-athletes including monitoring their progress toward degree in conjunction with the Athletic Academic Coordinator to promote academic success. The person also assists in the initial eligibility process of incoming student-athletes and administers the athletic financial aid program for the Athletics Department. They administer a compliance program in accordance with NCAA guidelines. The Compliance and Eligibility Coordinator reports directly to the Director of Intercollegiate Athletics and has contact with the Vice President for Student Life and President. The Compliance and Eligibility Coordinator also interacts with coaches, student-athletes, other athletic staff, financial aid staff, Registrar, admissions personnel, faculty, OVC office, and the NCAA office.*

Compliance responsibilities include:

- *Advise staff regarding student-athlete progress toward degree requirements.*
- *Obtain documentation and work with the NCAA Eligibility Center to verify eligibility for all incoming student-athletes.*
- *Devise and implement systems of communication, organization, documentation and evaluation to establish accountability in all areas of eligibility certification, financial aid, recruitment, general eligibility and other compliance areas.*
- *Administer student financial aid program for the Athletics Department.*

- *Work extensively with the Financial Aid and Accounting and Budgetary Control staffs to assure that student scholarship awards and financial aid fall within guidelines set by the University, OVC, PFL and NCAA.*
- *Administer submission of NCAA, PFL and OVC forms and other documents related to compliance and develop procedures for self-reporting violations and processing eligibility issues.*
- *Monitor continuing eligibility, working extensively with the Office of the Registrar.*
- *Maintain on-going dialogue related to compliance with institutional staff and administrators outside athletics and identify responsibilities of key administrators for implementing and supervising compliance systems.*

*The **Assistant Director of Intercollegiate Athletics** is a senior member of the department management team. This individual engages in long-range planning, policy development, and general administration. This individual works closely with the AD on inherent matters pertaining to the day-to-day and long-range operations of the Athletics Department. In addition, the Assistant AD represents the University on appropriate University, OVC, PFL and NCAA committees and supervises the Student-Athlete Advisory Committee, coordinating meetings and activities. The Assistant AD serves as the events manager for all home contests and is charged with fulfilling the development and implementation of a comprehensive promotional strategy designed to generate enhanced spectator support, assisting the Director of Intercollegiate Athletics. They oversee day-to-day operating organizational efficiency of the Athletics Department and recommends modifications to the Director of Intercollegiate Athletics.*

Compliance responsibilities include:

- *Keep the Director of Intercollegiate Athletics, members of the Intercollegiate Athletics Committee, and athletic staff members abreast of NCAA, OVC, and PFL rules and regulations in conjunction with the Compliance and Eligibility Coordinator.*
- *Advise and monitor compliance with Title IX and other federal regulations, in conjunction with Compliance and Eligibility Coordinator.*
- *Assist in conducting the program within NCAA, OVC and PFL rules and regulations.*
- *Supervise preparation of NCAA, OVC, PFL, and other required forms and lists.*
- *Correspond with other institutions, prospective student - athletes, NCAA, OVC, and PFL.*

- *Attend OVC, PFL, and NCAA meetings as needed and serve as the University's official representative, if so designated by the Director of Intercollegiate Athletics.*

*The **Assistant Director of Intercollegiate Athletics (Marketing & Promotions)** is responsible for sales and marketing activities related to sponsorship sales, promotional activities, fund raising, publicity, and event management. Responsible for the conception, development, and implementation of a comprehensive promotional strategy designed to enhance spectator support and revenue. Serves as sport administrator for cross country and track & field, rifle, and men and women's tennis, coordinating functions with other University offices and personnel as well as external agencies. This position reports directly to the Director of Intercollegiate Athletics with up-line reporting to the Vice President for Student Life and President. This position has direct responsibility for head track and field coach, head rifle coach, head men's and women's tennis coach, administrative graduate assistants and works very closely with other coaches, faculty, staff, alumni, boosters, students, community, other institutions and prospective student-athletes.*

Compliance responsibilities include:

- *Assist in conducting the program with NCAA, OVC and PFL rules and regulations.*
- *Coordinate production of sport schedule cards and posters in compliance with NCAA*

*The **Athletic Academic Coordinator** is responsible for the direction and operation of the Eagle Academic Athletic Resource Center. Duties include:*

- *Develop and implement Center policies.*
- *Oversee the facility and equipment.*
- *Supervise study and computer labs.*
- *Monitor student-athlete progress toward a degree.*
- *Monitor and track MSU and NCAA eligibility requirements and certify class attendance, when applicable.*
- *Develop programs that support and highlight the academic accomplishments of student-athletes.*

The Athletic Academic Coordinator reports directly to the Director of Intercollegiate Athletics and interacts with the Vice President for Student Life and the President.

Compliance responsibilities include:

- *Supervise day-to-day operations of the Eagle Academic Athletic Resource Center*
- *Maintain oversight of academic progress per MSU and NCAA rules.*
- *Monitor uniform athletic progress reports and attendance reports when necessary.*
- *Assist coaches and the Compliance and Eligibility Coordinator in all areas of academics.*
- *Conduct freshman orientation sessions to inform new student-athletes of the academic support opportunities available throughout the University,*
- *Instruct in time management techniques and other helpful skills.*
- *Utilize the Office of Academic Support and Retention to develop strategies to assist at-risk student-athletes.*
- *Coordinate the NCAA CHAMPS/Life skills program.*
- *Develop and conduct mandatory NCAA educational session for attendees of summer athletic camps.*

*The **Senior Woman Administrator (SWA)** is defined by NCAA as a female administrator involved with the conduct of a member institution's intercollegiate athletics program. The SWA acts as liaison for all women's teams to the Director of Intercollegiate Athletics, OVC, PFL and NCAA, and represents the University on appropriate University, conference and NCAA committees. These are supplemental duties held in conjunction with either an administrative or coaching position within athletics. The SWA reports directly to the Director of Intercollegiate Athletics with up-line contact to the Vice President for Student Life and the President.*

Compliance responsibilities include:

- *Serve as a liaison for women athletes and staff to athletic administration, OVC and NCAA.*
- *Represent University at Ohio Valley Conference and NCAA Senior Woman Administrator's meetings and functions.*
- *Represent Athletics Department as a member of Intercollegiate Athletics Committee.*
- *Assist in fiscal year budget planning for Intercollegiate Athletics.*
- *Assist in creating, revising athletic policies, reviewing, and editing Athletics Department Policy and Procedure Manual.*
- *Assist in reviewing and editing Student-Athlete Handbook.*

*The **Athletics Business Manager** performs specialized job duties in the area of budget administration and advises the Director of Intercollegiate Athletics on the day-to-day disbursement of the Athletics Department's operating budget. The Athletics Business Manager initiates and coordinates budget transfers, travel expenses, purchases, and maintains files and data*

necessary for audit inquiries. The Business Manager maintains and processes data for student-athlete awards, organizes team travel for all athletics teams, contracts with businesses in locations where teams will travel, acquiring estimates, planning, and reserving room nights and meeting space as necessary. This individual provides oversight to all sports with regard to travel, including those with support staff assigned to manage their office and business transactions. The Business Manager serves as the department's ticket manager. The Athletic Business Manager reports to the Director of Intercollegiate Athletics

Compliance responsibilities include:

- Review and approve all budget transactions for all units of athletics, including budget transfer, travel requests and vouchers, purchase requisitions, on-campus transactions, check requests, and others as required.*
- Prepare budget transfers, travel requests and vouchers, on-line purchase requisitions, and check requests for majority of units in athletics.*
- Prepare and process necessary information from game competition contracts for officials/umpires assignments and payments.*
- Resolve routing problems with budget transaction forms.*
- Advise the Director of Intercollegiate Athletics in the formulation and recommendation of new-year budgets.*
- Manage Eagle Excellence Fund budget transfers as needed for individual sports.*
- Coordinate and maintain in-house budget tracking system to ensure proper uses consistent with NCAA and University policies.*
- Coordinate account transactions for MSU Department Access cards.*
- Respond to routine inquiries regarding budget policies from Athletics Department staff.*
- Coordinate and manage all travel arrangements for each athletics team, including all applicable travel bookings and coordinate with all sports and any staff assigned to help those programs with travel arrangements.*
- Work with the liaison from each coaching staff to coordinate all travel itineraries.*
- Collect cash, issue receipts, and deposit funds into accounts as needed.*
- Facilitate travel arrangements for members of the athletic administrative staff.*

- *Advise the Director of Intercollegiate Athletics with regard to any revisions to the department policy and procedure manual in the areas of budget administration.*
- *Train new staff on budgetary procedures.*
- *Review budgetary materials submitted by other Athletics Department clerical staff for accuracy and availability of funds.*
- *Serve as the department's ticket manager, working with season ticket renewals, all season and game ticket disbursements, and visitor ticket requests.*

Coaches - *All coaches are required by contract to adhere to and abide by all NCAA legislation.*

Compliance responsibilities include:

- *Being responsible for the complete operation of an NCAA Division I program, including staff selection and supervision, scheduling, recruiting, and academic progress of student-athletes.*
- *Being involved in development and planning of fund raising activities and be able to promote the best interests of the University by developing and maintaining effective relationships with faculty, staff, players, other students, administrators, the community, secondary school personnel, and media*

(a) KEY INDIVIDUALS OUTSIDE ATHLETICS WITH COMPLIANCE RESPONSIBILITIES

*The **Registrar** is responsible for the planning, development and implementation of systems relevant to all phases of a student's academic records. The Registrar administers the University's undergraduate degree audit and electronic course transfer programs for campus, regional campuses and at participating community colleges within the service region. The Registrar supervises and is responsible for the preparation of official internal and external reporting packages related to academic records and enrollment. The Registrar reports directly to the Provost.*

Compliance responsibilities include:

- *Certify athletic eligibility in accordance with the NCAA*
- *Participate in the evaluation of progress toward degree percentages for student-athletes*
- *Enforce and interpret academic policy*
- *Coordinate evaluation of transfer student credentials*
- *Serve as a member of the Compliance Team*

The **Financial Aid Administrator** is responsible for the efficient and effective delivery of all student financial aid programs (including athletics). This includes the financial management and awarding of federally and state funded programs, and other miscellaneous assistance programs. The Financial Aid Administrator reports to the Assistant Vice President for Enrollment Services with up-line contact with the Vice President for Student Life.

Compliance responsibilities include:

- Ensure the fair, effective, and efficient delivery of student financial assistance.
- Interpret and implement federal, state, and institutional financial aid regulations and policies.
- Coordinate the University's comprehensive scholarship program, including awarding and renewal of institutional scholarships and awards.

The **Assistant Director of Enrollment Services for Credentials and Communication** supervises and coordinates the day-to-day operation of the financial aid programs at Morehead State University and reports to the Director of Enrollment Services.

The Assistant Director of Enrollment Services for Credentials and Communication is responsible for establishing and adhering to appropriate disbursement, record keeping, reporting, and verification procedures as well as the data entry function necessary to support the programs. The Assistant Director of Enrollment Services for Credentials and Communication must ensure compliance with University, state, and federal financial aid regulations and procedures and is responsible for verification procedures and providing research data and analysis to federal, state and institutional agencies. Coordinates verification process including electronic reprocessing of student data with the central processor.

Compliance responsibilities include:

- Serve as liaison for internal and external auditors, provide data and documentation of compliance.
- Perform research and analysis of financial aid data for the financial aid staff and other offices on campus that use financial aid related data.

The **Assistant Director of Enrollment Services for Outreach Services** supervises and coordinates the counseling, recruiting, and marketing activities of the financial aid staff. The Assistant Director of Enrollment Services for Outreach Services must ensure compliance with University, state, and federal financial aid regulations and procedures. This position also manages the student employment, Federal Pell Grant, Alternative Loan, and

Study Abroad Programs. This individual reports to the Assistant Vice President for Enrollment Services.

Compliance responsibilities include:

- *Perform activities during registration periods to include the electronic transmittal of funds for all programs as well as the organization, supplies, and counseling needed.*
- *Process NCAA Special Assistance Fund Requests.*

*The **Assistant Vice President for Enrollment Services** provides leadership for the coordinated programs of the Office of Enrollment Services and the continued creation of a one-stop, integrated student services unit. The Assistant Vice President is a member of the Student Life leadership team and interacts on a daily basis with other administrators, faculty, staff, alumni and the public including prospective students and their families. The Assistant Vice President for Enrollment Services reports to the Vice President for Student Life. This position has the direct supervision of the Director of Enrollment Services, the Assistant Director of Enrollment Services for Outreach Services, the Assistant Director of Enrollment Services/Recruitment, the Enrollment Services Administrative Specialist and the Financial Aid Administrator.*

Compliance responsibilities include:

- *Provide leadership for planning, budget, supervision and oversight of all recruitment, admission, and financial aid functions of the University, including student-athletes*
- *Provides leadership for the institutional scholarship program and is responsible for the coordination of all scholarships offered by Morehead State University.*
- *Ensure timely and collaborative awarding of all scholarship programs with other financial aid, as well as provide leadership for evaluating the program for effectiveness, and for continuous improvement of processes*

6. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals inside the athletics department. Specifically, the institution must provide evidence that all individuals inside the athletics department who are involved or associated with athletics have statements regarding the importance of rules compliance in all of the following documents: contracts or letters of appointment, performance evaluations and job descriptions.

Morehead State University believes compliance with NCAA rules is the responsibility of the entire institution and its staff. In addition to the NCAA

Division 1 Manual, the Athletics Department uses the OVC Handbook, the Athletics Staff Handbook, and letters of appointment to ensure that all coaches and staff understand rules compliance, responsibilities and actions.

*The **Compliance and Eligibility Coordinator**, in conjunction with the Director of Intercollegiate Athletics and Assistant Directors of Intercollegiate Athletics, is responsible for administering a compliance program in accordance with NCAA guidelines. This includes advising and counseling student-athletes on his/her progress to promote academic success, assisting in the eligibility process of incoming student-athletes, administering the athletic financial aid program for the Athletics Department, assisting staff members in rules education, and administering submission of NCAA, OVC and PFL forms and other documents related to compliance and eligibility.*

Key individuals at Morehead State University have this statement regarding the importance of rules compliance in their job descriptions, letters of appointment, and performance evaluations: "Knowledge of NCAA rules and compliance issues concerning the administration of intercollegiate athletics is required. All athletic personnel are expected to have knowledge of and maintain the rules of the NCAA in all aspects of their position."

In addition, statements related to rules compliance are published in the Staff Handbook. Issues related to rules compliance are discussed in regular staff meetings held throughout the year. When considering a "new-hire", athletic staff contacts the NCAA to determine whether the prospective employee has had any previous NCAA rules infractions. Rules compliance is discussed in each orientation session for new employees. Currently, all coaches recruiting off-campus must pass the annual NCAA Certification Test.

A statement of responsibility for compliance to and repercussions for violations of NCAA regulations appears on the Office of Human Resources, Personnel Action Request form for all appropriate individuals within the Athletics Department. This same statement appears in annual letters of appointment with a notation that individuals are subject to dismissal for violations.

All University job descriptions of full-time positions are found online on the Office of Human Resources Web page (www.moreheadstate.edu/hr/). Review of head coach's job descriptions found that each contained a clear statement of their responsibility to "have a thorough knowledge of and commitment to compliance with the rules, regulations and policies of Morehead State University and the NCAA, Ohio Valley Conference and PFL." (Part-time coaching position job descriptions are not found online and can be provided in hard copy.)

Review of assistant coach job descriptions found they included a statement that they would "Assist with other duties including, but not limited to, recruiting student-athletes." Listed as an essential duty and

responsibility on the assistant coach job description is the statement, "Recruit student-athletes and complete necessary compliance paperwork in regards to recruiting."

The Director of Intercollegiate Athletics, the Assistant Director/SWA, Assistant Director /Director of Sports Medicine, Assistant Director of Intercollegiate Athletics, Athletic Academic Coordinator, Director of Media Relations, Assistant Director of Media Relations, Assistant Athletic Trainer, Compliance and Eligibility Coordinator as well as all head coaches are significantly involved in NCAA and conference rules compliance.

7. 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. Specifically, the institution must provide evidence that all individuals outside the athletics department who are involved or associated with athletics have statements regarding the importance of rules compliance in all of the following documents: contracts or letters of appointment, performance evaluations and job descriptions.

Morehead State University believes compliance with NCAA rules is the responsibility of the entire institution and its staff. In addition to the NCAA Division 1 Manual, the Athletics Department uses the OVC Handbook, the PFL Bylaws, Athletics Staff Handbook, and letters of appointment to ensure that all coaches and staff understand rules compliance, responsibilities and actions.

KEY INDIVIDUALS OUTSIDE ATHLETICS

Individuals outside of the Athletics Department not reporting to the Director of Intercollegiate Athletics that have a role in the documenting and monitoring of compliance with NCAA and conference rules are listed below. Each has the following statement in their job description, performance evaluation and letter of appointment: "Knowledge of NCAA rules and compliance issues concerning the administration of intercollegiate athletics is required. All athletic personnel are expected to have knowledge of and maintain the rules of the NCAA in all aspects of their position."

Compliance responsibilities listed below are detailed in the job descriptions.

Mr. Jeffrey Liles; Assistant Vice President for Enrollment Services is responsible for the admission of all undergraduate students, including student-athletes. Prospective student-athletes are identified and academic credentials provided, preliminary analysis regarding admission qualification is completed and provided to the appropriate individuals in the athletics department.

Ms. Peggy Osborne; Faculty Athletic Representative (FAR) reports directly to the President and is expected to perform all duties with an uncompromising commitment to NCAA rules compliance. It is part of the FAR's responsibility to certify student-athlete's initial and continuing eligibility.

Ms. Donna King; Interim Financial Aid Administrator and Assistant Director of Enrollment Services for Outreach Services, is responsible for certifying financial aid data on squad lists and is responsible for checking athletically related and non-athletically related aid on a semester basis.

Ms. Cathy Vance; Assistant Director of Enrollment Services for Credentials and Communication, is responsible for verifying financial aid data on squad lists and is responsible for verifying eligibility for athletically related and non-athletically related aid.

Ms. Jessica Cooper; Assistant Director of Enrollment Services/Scholarships is responsible for examining the amount of scholarships student-athletes receive.

Ms. Loretta Lykins; Registrar, reports to the Provost, the University's chief academic officer. The Registrar is responsible for certifying the academic eligibility, both initial and continuing, of each student-athlete prior to the beginning of each semester. The Registrar certifies squad lists and is responsible for the interpretations and day-to-day implementation of the regulations and monitoring procedures applicable to the academic standards for athletics eligibility. All incoming freshmen student-athletes at MSU are verified through the NCAA initial eligibility center, the Registrar does verify that the process has been completed and that freshmen and/or transfers are admitted by the published admission standards before certifying eligibility on squad lists.

8. Please indicate by clicking "yes" or "no" by the areas below, whether the institution has written polices and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance.

Documented Institutional Policies & Procedures Regarding Rules Compliance	Yes	No
Initial-Eligibility	x	
Continuing-Eligibility Certification	x	
Transfer-Eligibility Certification	x	
Financial Aid Administration	x	
Recruiting	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	

9. 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.

Rules education efforts for student-athletes at Morehead State University start at the beginning of the fall term of each academic year. At that time, students in all sports attend a meeting where documents, i.e. drug testing consent forms, student-athlete statements, etc. are signed.

During this meeting, the Director of Intercollegiate Athletics and other members of the athletic staff address the student-athletes on NCAA, OVC and PFL rules and regulations. The students are given an overview of what constitutes proper adherence to the rules on their part. Items covered would include eligibility, amateurism, gambling awareness and substance abuse issues.

For information that becomes available during the academic year, that affects student-athletes, a line of communication from the Compliance and Eligibility Coordinator to coaches and then the student-athlete is utilized. Also used is a link with the Student-Athlete Advisory Committee through the Senior Woman Administrator. The same type of year-opening activity is used with coaches and Athletics Department staff members, where the Director of Intercollegiate Athletics hosts a full athletic staff meeting to cover departmental policies and procedures. The Compliance and Eligibility Coordinator uses this time to inform the staff as to new legislation that has taken effect for the upcoming year.

As many rules and regulations become effective during the academic year, electronic communications that become available from the OVC, PFL and NCAA in the form of electronic mail are communicated to the full staff or specific coaches on a case-by-case basis.

Key staff outside athletics are briefed on an individual basis by the Compliance and Eligibility Coordinator. The offices on campus that are linked with athletics in this way are Accounting and Budgetary Control, Registrar's Office, Enrollment Services, Card Access Service, Bookstore and University Development.

The educational efforts for representatives of the institution's athletics interest are done primarily through the publication of a brochure outlining the proper role of "boosters" in both the recruitment and continuing eligibility of

a student-athlete. These brochures are distributed by both the Athletics Department and the MSU Foundation, Inc.

In addition to the brochure, MSU coaches warn potentially overzealous boosters of the pitfalls of illegal activity and what limited role, if any, the booster can have with the identification and recruitment of prospective student-athletes.

10. 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. Also, provide the date of the institution's most recent rules-compliance evaluation.

In addition to the Director of Intercollegiate Athletics, MSU's rules-compliance evaluations also are conducted by staff of the Ohio Valley Conference. The lead individual who conducts the evaluation is the Assistant Commissioner for Institutional Services.

One of the services provided to member schools in the OVC is a compliance evaluation visit every four years. As an employee of the conference office, the Assistant Commissioner must be knowledgeable in both NCAA and OVC legislation and rules compliance practices. This is a requirement placed on the position by the Commissioner of the Ohio Valley Conference.

In addition to visits every four years by the OVC, MSU's Internal Auditor audits any of the 15 modules available to him in the NCAA Audit Guide provided by the Association of College and University Auditors. The Internal Auditor is totally independent of the Athletics Department.

The OVC has visited MSU twice since the last certification visit, in 2002 and 2006.

11. 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.

Engaged Institutional Policies & Procedures Regarding Rules Compliance	Yes	No
Initial-Eligibility	x	
Continuing-Eligibility Certification	x	

Transfer-Eligibility Certification	x	
Financial Aid Administration	x	
Recruiting	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	

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

Although the most recent OVC Compliance Audit was conducted in 2006, the Athletics Department did not receive the report until January 2008. Staff turnover at the OVC was cited by Commissioner Jon Steinbrecher as the reason for the delayed response. As an immediate result of that audit, the Athletics Department is converting a part-time compliance position to full-time and has assigned the women's golf coach to also assist with compliance duties, primarily rules education. Persons outside athletics involved in rules compliance will be participating in an NCAA rules seminar in the summer of 2008. Other suggestions in the OVC compliance audit report are being reviewed by the policies subcommittee of the IAC.

As a result of the 2006-2007 internal audit of the NCAA Special Assistance Fund, it was noted that there were four instances in which student-athletes failed to turn in receipts as required. In accordance with the provisions of the Athletics Department as stated in the Rules, an academic hold was placed on these student-athlete's University accounts and the student-athletes were not eligible for competition until the receipts or funds were received by the Athletics Department.

Also as a result of the 2006-2007 Internal Audit of the NCAA Special Assistance Fund, the Rules state that only items of clothing and shoes may be purchased and that receipts for the purchase of jewelry and other accessories cannot be accepted. During the review by the Internal Auditor, it was noted that one student-athlete submitted three receipts, which included six items that appeared to be jewelry and one receipt which included one item that appeared to be for perfume. The total questioned cost was \$37.12.

A corrective action plan was submitted by the Athletics Department which included providing further training and explanations of the Rules and policies regarding the Special Assistance Fund to responsible Athletics Department staff; performing a timely review of receipts upon presentation by student-athletes to ensure compliance; and continuing to place academic holds on student-athlete accounts that will not be released until they are in

compliance. A follow up on these deficiencies will be performed during the 2007-08 review.

Evaluation and Plan for Improvement

1.1 Institutional Control, Presidential Authority and Shared Responsibilities.

	<u>Currently Yes</u>	<u>Currently No</u>
Does the institution demonstrate that:		
a. The institution’s governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution?	X	
b. The President is assigned ultimate responsibility and authority for the operation and personnel of the athletics program?	X	
c. Appropriate campus constituencies have the opportunity, under the purview of the President, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies?	X	
	<u>Yes</u>	<u>No</u>
On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities)?	X	

1.2 Rules Compliance

a. 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 President	X	
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assigns overall responsibility for the athletics program?

- b. In critical and sensitive area, institutional compliance procedures provide for the regular participation of persons outside of the athletics department? **X**
- c. Rules compliance is the subject of an ongoing educational effort? **X**
- d. A clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics programs? **X**
- e. At least once every four years, its rules compliance program is the subject of evaluation by an authority outside of the athletics department? **X**

Yes

No

On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 1.2 (Rules Compliance)?

X