Governance and Commitment to Rules Compliance

Operating Principle 1.1
Institutional Control, Presidential Authority and Shared Responsibilities

The Association’s principle of institutional control vests in the institution the responsibility for the conduct of its athletics program, including the actions of its staff members and representatives of its athletics interests. In fulfilling this principle, the institution shall 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.

b. The chancellor or president is assigned ultimate responsibility and authority for the operation, fiscal integrity and personnel of the athletics program.

c. Appropriate campus constituencies have the opportunity, under the purview of the chancellor or 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.

Self-Study Items for Operating Principle 1.1

[Note: Not applicable (N/A) in and of itself is not an appropriate response. If the institution cannot provide a response for a self-study item, the institution must provide a narrative explanation why a self-study item is not applicable.]

1. List all “conditions for certification” imposed by the committee in its Cycle 2 certification decision (if any) as they relate to NCAA Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). For each condition, provide:

   a. The original “condition” 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 opportunities for enhancement developed by the peer-review team unless those same items were adopted by the committee.

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 Cycle 2 certification process for Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). For each issue identified, provide:

   a. The original goal(s);
   b. The step(s) taken by the institution to achieve the goal(s);
   c. The date(s) the step(s) was completed; and
   d. An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve the goal.
Please note, the institution will not be required to fulfill an element of a Cycle 2 plan if the element does not affect conformity with a current operating principle.

**Measureable Standard No. 1**

*If the institution developed a plan for improvement for Operating Principle 1.1 during Cycle 2, the institution must demonstrate that it has implemented its Cycle 2 plan or provide an explanation for partial completion of the plan.*

a. **The committee will not accept the following explanations for partial completion or noncompletion:**

   1. The institution did not possess sufficient funds to implement the plan.
   2. The institution has had personnel changes since the original development of the plan.
   3. The institution does not have documentation of actions taken to implement the plan.

b. **The committee will accept the following explanation for partial completion or noncompletion:**

   - The institution has implemented a different plan(s) or taken a different action(s) to achieve or maintain progress toward the same goal outlined in its Cycle 2 plan

3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). For each additional plan, provide:

   a. The additional goal(s);
   b. The step(s) taken by the institution to achieve the goal(s); and
   c. The date(s) the step(s) was completed.

4. Describe how the institution’s chancellor or president maintains clear and direct oversight of the athletics program, including a description of reporting lines from the athletics director to the chancellor or president.

**Measureable Standard No. 2**

*The chancellor or president must have and demonstrate clear and direct oversight of the athletics program.*

5. Since the institution’s previous self-study, list the major decisions made related to intercollegiate athletics. For each decision, explain the role and involvement (if any) of the:

   a. Chancellor or president;
   b. Athletics board or committee;
   c. Faculty senate (or other faculty governing body);
   d. Student-athlete advisory committee;
   e. Director of athletics;
   f. Faculty athletics representative;
   g. Senior woman administrator; and/or
   h. Other individual(s) or campus constituencies.
Please note, if this is the institution's first time to complete an athletics certification self-study, respond to the question based on the last 10 years.

6. Describe the institution's written governance policies regarding the administration and oversight of the athletics program, including the specific role and responsibilities of the institution's governing board. Describe how the written athletics governance policies and/or other written communication is provided to the governing board on an annual basis.

**Measurable Standard No. 3**
The institution must provide evidence that specific governance policies exist for its governing board regarding the administration and oversight of athletics, including the role and responsibilities of its governing board.

**Measurable Standard No. 4.**
The institution must provide evidence that written communication (e.g., annual report, governance policies) is provided annually to its governing board with respect to athletics. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

7. Since the institution's previous self-study, list the decisions related to intercollegiate athletics in which the institution's governing board or individual board members have been involved and describe the extent of the governing board's involvement with those decisions.

Please note, if this is the institution's first time to complete an athletics certification self-study, respond to the question based on the last 10 years.

**Measurable Standard No. 5**
The institution must demonstrate, through examples since the institution's previous self-study, that its governing board's oversight and policy formulation for athletics is consistent with its policies and stated responsibilities for other units of the institution (e.g., personnel, budget, facilities).

8. Describe how the institution's governing board decisions regarding the athletics program are consistent with those of other on-campus units.

9. For each of the following individuals or groups:
   a. Explain the role and authority of the individual or group as it relates to intercollegiate athletics;
   b. Describe how the individual or group has the opportunity (if any) to provide meaningful input into the formulation of the department of athletics policies (e.g., review admissions data, review academic performance data, receive periodic reports from the department of athletics); and
Operating Principle 1.1

c. Describe how the individual or group has the opportunity (if any) to periodically review policy implementation related to athletics.

(1) Athletics board or committee;
(2) Faculty senate (or other faculty governing body);
(3) Faculty athletics representative;
(4) Student-athlete advisory committee; and/or
(5) Other individual(s) or campus group(s)

Measurable Standard No. 6
The institution must identify involved individuals or groups external to the department of athletics (e.g., faculty senate, athletics advisory group, student-athlete advisory committee) and explain how they have opportunities to provide meaningful input into the formulation of policies and how they periodically review policy implementation related to the conduct of the athletics program.

10. 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.

11. Provide the composition of the athletics board or committee (including titles and positions).

12. Describe how the institution’s chancellor or president and his or her designee(s) maintain control with respect to each of the following areas of the athletics program:

a. Budget, including all sources of funding;

b. Accounting;

c. Purchasing; and

d. Debt management.

In addition, identify key individuals, other than the chancellor or president, with responsibilities in these areas.

Measurable Standard No. 7
Institutions must demonstrate institutional control of the athletics program with respect to budget, accounting, purchasing and debt management.

13. Describe how the institution’s chancellor or president and his or her designated authority review the budget of the athletics program to at least the same extent that they do for other on-campus programs and departments. In addition, identify the authority (e.g., president’s cabinet, finance committee) designated with this responsibility.

Measurable Standard No. 7
Institutions must demonstrate institutional control of the athletics program with respect to budget, accounting, purchasing and debt management.

14. Describe the process by which the institution’s chancellor or president or his or her designee(s) conduct an administrative review of the NCAA comparative data (i.e., dashboard indicators) on an annual basis. In addition, specify the individual(s), other than the chancellor or president, involved in this administrative review.
Operating Principle 1.1

Measurable Standard No. 8.
Institutions must demonstrate that an administrative review of NCAA comparative data (i.e., dashboard indicators) has occurred on an annual basis by the chancellor or president or his/her designees. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

15. If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 1.1, describe the institution’s efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval.
Operating Principle 1.2

Governance and Commitment to Rules Compliance

Operating Principle 1.2 - Rules Compliance.

Membership in the Association places the responsibility on each institution to ensure that its staff, student-athletes, and other individuals and groups representing the institution’s athletics interests comply with the applicable Association rules and regulations. Consistent with this responsibility, the institution shall demonstrate that:

a. It has in place a set of written policies and procedures that are clearly communicated to athletics staff members and those individuals outside athletics who have rules compliance responsibilities. These written policies and procedures must assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chancellor or president assigns overall responsibility for the athletics program.

b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the department of athletics. The responsibility for admission, certification of academic standing, evaluation of academic performance and administration of financial aid for student-athletes must be vested in the same agencies that have authority in these matters for students in general.

c. Rules compliance is the subject of a continuous, comprehensive educational effort to a wide range of constituencies.

d. A clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program.

e. At least once every four years, its rules compliance program is the subject of evaluation by an authority outside the department of athletics. This rules compliance evaluation shall include the following areas:

(1) Governance and organization.
(2) Initial-eligibility certification.
(3) Continuing-eligibility certification.
(4) Transfer-eligibility certification.
(5) NCAA Division I Academic Performance Program (APP).
(6) Financial aid administration, including individual and team limits.
(7) Recruiting (e.g., contacts and evaluations, official and unofficial visits).
(8) Camps and clinics.
(9) Investigations and self-reporting of rules violation(s).
(10) Rules education.
(11) Extra benefits.
(12) Playing and practice seasons.
(13) Student-athlete employment.
(14) Amateurism.
(15) Commitment of personnel to rules compliance activities.

Page No. 10 - Governance and Commitment to Rules Compliance
Self-Study Items for Operating Principle 1.2

[Note: Not applicable (N/A) in and of itself is not an appropriate response. If the institution cannot provide a response for a self-study item, the institution must provide a narrative explanation why a self-study item is not applicable.]

1. List all "conditions for certification" imposed by the committee in its Cycle 2 certification decision (if any) as they relate to Operating Principle 1.2 (Rules Compliance). For each condition, provide:

   a. The original "condition" 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 opportunities for enhancement developed by the peer-review team unless those same items were adopted by the committee.

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 Cycle 2 certification process for Operating Principle 1.2 (Rules Compliance). For each issue identified, provide:

   a. The original goal(s);
   b. The step(s) taken by the institution to achieve the goal(s);
   c. The date(s) the step(s) was completed; and
   d. An explanation for any partial or noncompletion of the original goal(s) and/or step(s) to achieve the goal.

### Measurable Standard No. 1

If the institution developed a plan for improvement for Operating Principle 1.2 during Cycle 2, the institution must demonstrate that it has implemented its Cycle 2 plan or provide an explanation for partial completion of the plan.

a. The committee will not accept the following explanations for partial completion or noncompletion:
   (1) The institution did not possess sufficient funds to implement the plan.
   (2) The institution has had personnel changes since the original development of the plan.
   (3) The institution does not have documentation of actions taken to implement the plan.

b. The committee will accept the following explanation for partial completion or noncompletion:

   The institution has implemented a different plan(s) or a taken different action(s) to achieve or make progress toward the same goal outlined in its Cycle 2 plan.

Please note, the institution will not be required to fulfill an element of a Cycle 2 plan if the element does not affect conformity with a current operating principle.
3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 1.2 (Rules Compliance). For each additional plan, provide:

   a. The additional goal(s);
   b. The step(s) taken by the institution to achieve the goal(s); and
   c. The date(s) the step(s) was completed.

4. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals within the department of athletics. Specifically, the institution must provide written evidence that all individuals inside the department of athletics (e.g., coaches, staff) have statements regarding the importance of rules compliance in all of the following documents:

   a. Contracts or letters of appointment;
   b. Job descriptions; and
   c. Performance evaluations.

Please note, if the institution does not use one or more of the documents (listed in a-c above), provide an explanation.

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**Measurable Standard No. 2**

The institution must provide written evidence that all individuals inside the department of athletics (e.g., staff, coaches) have statements regarding the importance of rules compliance in all of the following documents: contracts or letters of appointment, job descriptions and performance evaluations. If the institution is in the process of revising one or more of the documents noted above due its obligation to seek approval from an outside entity (e.g., union), the institution must provide written evidence supporting the planned revision. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

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5. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals outside the department of athletics who are involved in rules compliance activities. Specifically, the institution must provide written evidence that all individuals outside the department of athletics who are involved or associated with athletics (including, but not limited to, individuals who have responsibility for admission, certification of academic standing, evaluation of academic performance and administration of financial aid for student-athletes) have statements regarding the importance of rules compliance in all of the following documents:

   a. Contracts or letters of appointment;
   b. Job descriptions; and
   c. Performance evaluations.

Please note, if the institution does not use one or more of the documents (listed in a-c above), provide an explanation.
Measurable Standard No. 3
The institution must provide written evidence that all individuals outside the department of athletics who are involved or associated with athletics (including, but not limited to, individuals who have responsibility for admission, certification of academic standing, evaluation of academic performance and administration of financial aid for student-athletes) have statements regarding the importance of rules compliance in all of the following documents: contracts or letters of appointment, job descriptions and performance evaluations. If the institution is in the process of revising one or more of the documents noted above due to its obligation to seek approval from an outside entity (e.g., union), the institution must provide written evidence supporting the planned revision. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

6. Provide the name(s) and title(s) of the institutional staff member outside the department of athletics who has ultimate responsibility in determining student-athletes’ admission to the institution, certification of academic standing and conferment of academic degrees.

Measurable Standard No. 4
The institution must demonstrate that the responsibility for admission, certification of academic standing and conferment of academic degrees of student-athletes is vested in the same agencies that have authority in these matters for students in general.

7. Provide the name(s) and title(s) of the individual(s) (other than the institution’s compliance officer/director) who the chancellor or president designates as having final authority for the institution’s rules compliance (e.g., athletics director, vice president for athletics).

Measurable Standard No. 5
The institution must assign direct accountability for rules compliance to the individual the chancellor or president assigns final authority for the athletics program (e.g., director of athletics, vice president for athletics).

8. Identify the individuals inside and outside the department of athletics who have rules compliance responsibilities. Describe the reporting lines for and responsibilities assigned to these individuals, including but not limited to:

a. Faculty athletics representative;
b. Director of athletics;
c. Compliance officer/director;
d. Coaches; and
e. Other key individuals (e.g., admissions director, financial aid personnel, registrar) who are responsible for documenting and monitoring compliance with NCAA rules, including but not limited to:

1. Eligibility certification;
2. Investigation and self-reporting of violations;
3. Monitoring of financial aid; and
4. NCAA Division I Academic Performance Program (APP).

Measurable Standard No. 6.
The institution must identify individuals who have rules compliance-related responsibilities and the reporting lines of these individuals.
Measurable Standard No. 7

The institution must demonstrate that individuals external to the athletics program (including, but not limited to, financial aid personnel, registrar, faculty athletics representative) are engaged in the critical and sensitive areas of rules compliance. Examples of critical and sensitive areas of rules compliance include, but are not limited to, eligibility certification, investigation and self-reporting of rules violations, monitoring financial aid and academic performance program.

9. Indicate by clicking “yes” or “no” in the Athletics Certification System (ACS), whether the institution has written policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance. Please note, all policies and procedures must be available during the evaluation visit. If the institution indicates a specific written policy and step-by-step procedure is not applicable, the institution must provide an explanation. Please use the file upload link contained within this question on ACS to submit an explanation if the institution selects N/A.

a. Initial eligibility certification.
b. Continuing-eligibility certification.
c. Transfer-eligibility certification.
d. APP.
e. Financial aid administration.
f. Recruiting.
g. Camps and clinics.
h. Investigations and self-reporting of rules violations.
i. Rules education.
j. Extra benefits.
k. Playing and practice seasons.
l. Student-athlete employment.
m. Amateurism.

Measurable Standard No. 8

The institution must provide evidence that written compliance policies and procedures exist and demonstrate that they are engaged and functioning in the following areas:

a. Initial-eligibility certification;
b. Continuing-eligibility certification;
c. Transfer-eligibility certification;
d. NCAA Division I Academic Performance Program (APP) (e.g., data collection process, penalty implementation process);
e. Financial aid administration, including individual and team limits;
f. Recruiting (e.g., official and unofficial visits, hosts, entertainment, contacts, phone calls)
g. Camps and clinics;
h. Investigations and self-reporting rules violations;
i. Rules education;
j. Extra benefits;
k. Playing and practice seasons;
l. Student-athlete employment;
m. Amateurism.

Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.
10. Describe how the institution’s written compliance policies and procedures are communicated on an annual basis to the department of athletics staff and individuals outside the department of athletics with rules compliance responsibilities.

   **Measurable Standard No. 9**
   The institution must demonstrate that its compliance policies and procedures are directly communicated in writing (e.g., provide hard copy of document, provide Web link via e-mail) on an annual basis to department of athletics staff and individuals outside the department of athletics with rules compliance responsibilities. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.

11. Describe the institution’s rules-education efforts for all individuals associated with the department of athletics, including the frequency and topics reviewed with each of the following groups:
   a. Boosters;
   b. Student-athletes;
   c. Department of athletics staff;
   d. Coaches;
   e. Faculty; and
   f. Institutional staff outside the department of athletics.

   **Measurable Standard No. 10**
   The institution must provide evidence that it has a continuous and comprehensive rules education program for all individuals associated with the athletics program including boosters, student-athletes, department of athletics staff, coaches, and directly involved faculty and institutional staff outside the department of athletics.

12. In regard to the institution’s most recent rules compliance evaluation:
   a. Provide the name(s) and affiliation(s) of the individual(s) responsible for conducting the institution’s rules compliance evaluation;
   b. Describe the process used in selecting this authority outside the department of athletics to ensure the individual(s) does not have day-to-day compliance responsibilities for the institution’s department of athletics and is knowledgeable of NCAA legislation and rules compliance practices; and
   c. Provide the date of the institution’s most recent rules compliance evaluation.

   **Measurable Standard No. 11**
   The institution must demonstrate that its rules-compliance program is subject to a comprehensive, external rules-compliance evaluation at least once every four years and is conducted by an individual(s) external to athletics who is knowledgeable of NCAA compliance and who does not have day-to-day responsibilities in the areas under review. Please note, if an institution develops a plan for improvement in this area, the plan must be implemented prior to the completion of the certification process.
13. The rules compliance evaluation must determine that the institution’s compliance practices are engaged and functioning and must include the required areas listed below. Indicate by clicking “yes” or “no” in the ACS which areas were included in the institution’s most recent rules compliance evaluation. If the institution indicates a specific area is not applicable, the institution must provide an explanation. Please use the file upload link contained within this question on ACS to submit an explanation if the institution selects N/A.

   a. Governance and organization.
   b. Initial-eligibility certification.
   c. Continuing-eligibility certification.
   d. Transfer-eligibility certification.
   e. APP.
   f. Financial aid administration, including individual and team limits.
   g. Recruiting (e.g., contacts and evaluations, official and unofficial visits).
   h. Camps and clinics.
   i. Investigations and self-reporting of rules violations.
   j. Rules education.
   k. Extra benefits.
   l. Playing and practice seasons.
   m. Student-athlete employment.
   n. Amateurism.
   o. Commitment of personnel to rules-compliance activities.

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**Measurable Standard No. 12**

The institution must provide evidence that the comprehensive, external rules-compliance evaluation demonstrates that the rules-compliance program is engaged and functioning. Further, the institution must review the written, comprehensive evaluation as part of the self-study process and determine if appropriate corrective actions are necessary in response to the written report.
Measurable Standard No. 13

The institution must provide evidence that the comprehensive, external rules-compliance evaluation includes, at a minimum, the following areas:

a. Governance and organization (e.g., governing board policies related to athletics, responsibilities and duties of compliance personnel);
b. Initial-eligibility certification;
c. Continuing-eligibility certification;
d. Transfer-eligibility certification;
e. APP (e.g., data collection process, penalty implementation process);
f. Financial aid administration, including individual and team limits;
g. Recruiting (e.g., official and unofficial visits, hosts, entertainment, contacts, phone calls);
h. Camps and clinics;
i. Investigations and self-reporting of rules violations;
j. Rules education;
k. Extra benefits;
l. Playing and practice seasons;
m. Student-athlete employment;
n. Amateurism;
o. Commitment of personnel to rules-compliance activities.

All rules compliance evaluations conducted on/after September 1, 2008 must include the following new areas: governance and organization; APP; amateurism; and commitment of personnel to rules-compliance activities. If an institution’s rules compliance program has been evaluated at least once in the past four years at the time of the self-study process and the evaluation was conducted prior to September 1, 2008, the institution is not required to include the four new areas in its evaluation or conduct an additional evaluation to include the four new areas. However, the institution must create a plan for improvement demonstrating that the four new areas of review will be included in the next scheduled rules compliance evaluation.

14. Describe the process used by the institution during the development of the self-study to review the most recent rules compliance evaluation to determine any necessary corrective actions. In addition, identify the individuals involved with this review.

Measurable Standard No. 12

The institution must provide evidence that the comprehensive, external rules-compliance evaluation demonstrates that the rules-compliance program is engaged and functioning. Further, the institution must review the written, comprehensive evaluation as part of the self-study process and determine if appropriate corrective actions are necessary in response to the written report.

15. Identify any relevant corrective action(s) planned as a result of the process described in Self-Study Item No. 14 or actions previously planned or implemented from the most recent rules compliance evaluation. Provide:

a. The plan(s) or action(s) implemented; and
b. The date(s) of action(s) taken or specific timetable(s) for completion of the plan(s).

16. Submit a copy of the report from the institution’s most recent rules compliance evaluation. [Please use the file upload link contained within this question on the ACS to submit a copy of the institution’s most recent rules compliance evaluation.]
Measurable Standard No. 14
The institution must submit a copy of the written evaluation from its comprehensive, external rules-compliance evaluation.

17. If the institution has developed a plan(s) for improvement during the current self-study process for Operating Principle 1.2, describe the institution’s efforts to ensure the plan(s) for improvement was developed through a process involving broad-based participation and has received formal institutional approval.