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.
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.
11. Extra benefits.
12. Playing and practice seasons.
13. Student-athlete employment.
15. Commitment of personnel to rules compliance activities.

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.

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

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

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

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.

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 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.

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.

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.

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.

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.

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.

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.
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.

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.
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. 14

The institution must submit a copy of the written evaluation from its comprehensive, external rules-compliance evaluation.