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 chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program.

c. Appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies.

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 date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

The Committee on Athletics Certification identified (in 1998) as a Strategy for Improvement the following: “Modify the mission statement of the institution’s athletics program to ensure that it contains all elements of NCAA Bylaw 23.3.1.1 (Institutional Mission); specifically ensure that it addresses the support of equitable opportunities for all students and staff, including women and minorities.”

The current mission statement for the Division of Physical Education and Athletics (PERA) was originally written during the 1986-87 academic year, when it was first developed and adopted by the administration and faculty (coaches) of PERA. The mission statement was reviewed and revised by the Committee on Athletics during the fall of the 1998 academic year; it was received and approved by the Academic Affairs Board on February 10, 1999.

The mission statement is provided to new employees of PERA when hired; it is included in the manual of policies and procedures. The mission statement is also available to students in the Student-Athlete Handbook, and through a link on the athletics web page. The mission statement is included in the Division’s annual report (in August) to the President, the Dean of Faculty/Provost, and the Treasurer. The
annual report is on file in the office of Dean of Faculty/Provost, and is available to
members of the community upon request.

The revised mission statement (Attachment # ) of the Division of Physical Education,
Recreation, and Athletics and the mission statement of Colgate University
(Attachment # ) are consistent. The university’s mission remains “to provide a
demanding and expansive educational experience to a select group of diverse,
talented, intellectually sophisticated students who are capable of challenging
themselves, their peers, and their teachers in a community which brings together
living and learning.” The mission of PERA contributes to the education of Colgate
students by promoting mental, physical and social development through
intercollegiate and intramural athletics programs. The intercollegiate athletics
program specifically intends to provide an intense and concentrated challenge to
highly skilled and motivated student-athletes. The mission statement for PERA holds
this goal of highly competitive excellence as complementary to the educational goals
of the university.

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.

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

   None

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

The university Board of Trustees has among its standing committees a Committee on
Athletics Affairs. All eighteen standing committees of the Board of Trustees have
their members elected by members of the full Board. The Committee on Athletics
Affairs has board members as chairperson and vice-chairperson, and the President of
the University and chair of the board are ex officio members of this committee (and
each of the other standing committees).

The responsibility of this Committee on Athletics Affairs is specified in the bylaws
(adopted October, 2005) of the Board of Trustees: “The purpose of this Committee
shall be to promote the general interests of athletics in harmony with the overall
educational policy of the University. It shall consider and report to the Board on
matters pertaining to the athletic program of the University.” The Mission of the Board
(i.e., the full Board of Trustees) is contained in the bylaws; athletics is not specifically
identified as a separate issue or concern in the bylaws; the division of physical
education and athletics is considered to be one of the five academic divisions of the
university. This structure assures that important matters in athletics are considered in

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a manner that is consistent with the consideration of matters in the other four academic divisions of the university (i.e., Humanities, Social Sciences, Natural Sciences & Mathematics, and University Studies).

The Trustee Committee on Athletics Affairs generally meets between three and four times per year, but it does not have a regular schedule of meetings. Important matters involving athletics are typically brought to this committee by the President and the Director of Athletics together, although the Board of Trustees or this standing committee can initiate discussions regarding athletics. This situation regarding the working relationship among the President, Board, Director of Athletics, and the Athletics Affairs Committee is representative of the working relationship for non-athletics matters that would be of concern to the Board (e.g., policy for admissions, financial aid, etc.). Moreover, most matters brought to this standing committee of the Board (and those brought directly to the full Board) are very likely to have been exposed to discussion on campus through the campus governance system (e.g., Committee on Athletics; Academic Affairs Board, etc.), and other venues (e.g., Student-Athlete Advisory Council; President’s Staff; Dean’s Advisory Council, etc.).

The university Board of Trustees (during the last three academic years) participated in a significant way in the following decisions. Because these projects or renovations were capital projects with significant expense, they required the consideration and approval of the entire Board. The University President also participated in the discussions concerning the financing of each of these projects:

- Construction of the Glendening Boathouse on Lake Moraine. This boathouse serves the men’s and women’s crew teams and the greater Colgate community.
- Repairs of roof to the field house, which serves a variety of sports (including tennis, track, softball, football, etc, and the Colgate and Hamilton communities).
- Construction (i.e., extensive renovation) of the press box at Andy Kerr Stadium (football).
- Paving and installation of lights at Andy Kerr Stadium parking lot (football and soccer).
- New electrical switchgear for Lineberry Natatorium; this facility serves swimming and diving teams, and the Colgate and Hamilton communities.
- Renovation of the squash courts in Huntington Gymnasium.
- Approved the placement of memorial plaques (honoring former Colgate athletes and other persons) in or around various athletics facilities.

Individual members of the Board of Trustees were consulted during the hiring of the new Director of Athletics, and during the planning stages of renovation projects listed above.

The entire Board of Trustees was involved in the decision to provide grants-in-aid for selected intercollegiate sports. This new policy, part of the strategic plan for the university approved by the Board of Trustees in the fall of 2003, was a significant change for the institution, and the issue received considerable attention and deliberation on campus during community-wide formulation and discussion of the strategic plan for the university.
5. Based upon the institution’s experience in the last three years, list the decisions related to intercollegiate athletics in which the institution’s chief executive officer has been significantly involved.

University President Rebecca Chopp was significantly involved in many of the decisions regarding projects and programs listed in “4.” above.

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

Most decisions regarding intercollegiate athletics are made by the Director of Athletics, in consultation with administrative staff of PERA, athletics faculty (coaches), the Committee on Athletics, the Student-Athlete Advisory Council, the Faculty Athletics Representative, the Dean of Faculty/Provost, the President, and the university Board of Trustees. The Director of Athletics meets regularly with the PERA administrative staff and the athletics faculty, the Committee on Athletics, the Faculty Athletics Representative, the Student-Athlete Advisory Council, and the Dean of Faculty/Provost.

The Director of Athletics reports to the Dean of Faculty/Provost as a member of the Dean’s Advisory Council, meeting weekly with the Dean’s Advisory Council and twice per month with the Dean/Provost.

The Director of Athletics is a member of the President’s Staff, which meets weekly with the President. The Director of Athletics also individually meets twice monthly with the President. The Director of Athletics attends each of (at least) four annual meetings of the Board of Trustees, and attends approximately four annual meetings of the standing Athletics Affairs subcommittee of the Board of Trustees.

Final decisions on matters of importance in athletics are made by the President in consultation with the Director of Athletics, the Dean of Faculty/Provost, and where appropriate, the Board of Trustees.

The organization of people responsible for rules compliance is the following:

The Assistant Director of Athletics/Compliance (a new position created since the first-cycle certification review, held by Shondell Reed) reports to the Senior Associate Director of Athletics. The Senior Associate Director of Athletics reports to the Director of Athletics, who reports to the Provost who has the ultimate responsibility for rules compliance. Coaches from various sports report directly to one or another of the Assistant or Associate Directors of Athletics; for example, coaches for women’s soccer, men and women’s crew, softball, men and women’s swimming, and assistant coaches for football report to Assistant Director of Athletics/Compliance; coaches for men’s basketball, men’s lacrosse, field hockey, men’s and women’s cross country and track report to Senior Associate Director of Athletics; coaches for women’s ice hockey, men’s soccer, women’s lacrosse, volleyball, men’s and
women's tennis and golf report to Senior Associate Director of Athletics/Senior Woman Administrator, who reports to the Director of Athletics; head coach of football, coaches for men’s ice hockey and women’s basketball report to Director of Athletics.

The Faculty Athletics Representative, who has limited responsibilities regarding rules compliance, reports to the Dean of the Faculty/Provost, but has direct access to the President and to all athletics administrators and all coaches.

The campus governance system, through the Committee on Athletics, provides for input from faculty, administrators, and students into issues of major and minor importance regarding intercollegiate and intramural athletics. The membership of the Committee on Athletics is the following:

- Director of Division of Physical Education, Recreation, and Athletics (i.e., Director of Athletics).
- Four faculty (one representative from each division of Humanities, Social Sciences, Natural Sciences, and Athletics) elected by the faculty at-large for three-year terms.
- One faculty member of the Academic Affairs Board (elected by the members of Academic Affairs for a one-year term). Faculty members of the Academic Affairs Board are elected by the faculty at-large. The Committee on Athletics reports to the Academic Affairs Board.
- Three students elected by the Student Senate for one-year terms.
- The Dean of the Faculty/Provost
- The Dean of the College
- Associate Provost

There are in addition several members of the university community who serve as non-voting, consultants to the Committee on Athletics. These include:

- Senior Associate Athletics Director (Alice Tym, Senior Woman Administrator)
- A representative of the Dean of College office (e.g., Dean of First-Year Students)
- President of the Student-Athlete Advisory Council
- Representative to the Policy Committee of the Patriot League
- Faculty Athletics Representative
- Director of Academic Support Program

The Campus Committee on Athletics has two main roles: The Committee advises the Director of Athletics, and the Committee develops policy legislation for consideration by the Academic Affairs Board. The Committee chairperson reports to the Academic Affairs Board, the faculty, and the Student Senate.

The Student-Athlete Advisory Council was established in 1996 and is recognized by the Student Government Association. The group comprises two representatives from each varsity team; representation from the Colgate Maroon News and CUTV has recently been added. The Student-Athlete Advisory Council currently has Co-Presidents and two vice presidents on its executive board. Its activities have focused upon community outreach, academic affairs, spirit and fan support, mascot, student life, Hamilton School partnership, and a task force focusing upon connections between student-athletes and non-athlete-students. The Council meets monthly to discuss problems or concerns. This group is consulted when the Director
of Athletics seeks information on important issues from students (e.g., merit aid for some athletes). The meetings of the Student-Athlete Advisory Council are occasionally attended by the Director of Athletics, and are regularly attended by the Senior Associate Director of Athletics (Senior Woman Administrator, Alice Tym).

Opinions from student-athletes also reach the Director of Athletics in two systematic ways:

A newly-designed (Attachment #) Student-Athlete Survey is completed by each varsity student-athlete at the end of his/her athletic season. This form assures anonymity, and it asks for information regarding specific aspects of the student-athlete’s athletic and academic experiences and responsibilities, including issues related to compliance to NCAA rules. The information from these forms is read by the coach of the team and by the team’s administrative liaison (an athletics administrator), and a tabulated summary is read by the Director of Athletics. A random selection of student-athletes in their senior year are selected for exit interviews. These one-on-one interviews are conducted by athletics administrators. A summary of these interviews is provided to the Director of Athletics for his review.

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

Current voting members of the Committee on Athletics (2005-06 academic year):
Rebecca Chopp, President
Jim Terhune, Dean of Student Affairs
Lyle Roelofs, Dean of the Faculty/Provost
Trish St. Leger, Associate Provost
Peter Klepeis, Assistant Professor of Geography
Kenneth Belanger, Associate Professor of Biology
Katrina Silva, Head coach of Women’s Lacrosse
Robert McVaugh, Professor of Art and Art History
Graham Hodges, Langdon Professor of History, representative of Academic Affairs Board

Current non-voting, consultants to the Committee on Athletics (2005-06 academic year):
Bruce Selleck, Whitnall Professor of Geology, Patriot League Policy Committee
Doug Johnson, Associate Professor of Psychology, Faculty Athletics Representative
Ali Tym, Senior Associate Director of Athletics, Senior Woman Administrator
Janet Little, Senior Associate Director of Athletics, Director of Recreational Sports
Charles Melichar, Vice President for Public Relations and Communications
Lynn Waldman, Director of Academic Program and Disability Services
James Silas, student, elected representative of Student Government Association
Sheila Giaovannini, student, elected representative of Student Government Association
Matt Inbusch, student, elected representative of Student Government Association
Kelly Kuss, student, co-President of Student-Athlete Advisory Council
Jon Smyth, student, co-President of Student-Athlete Advisory Council
Operating Principle

1.2 Rules Compliance. Membership in the Association places the responsibility on each institution to assure 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 assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program.

b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department.

c. Rules compliance is the subject of an ongoing educational effort.

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 of the athletics department.

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 date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

The Committee on Athletics Certification identified (in 1998) as a Strategy for Improvement the following: “Submit the university’s revised rules-compliance policies and procedures manual, which includes rules-compliance education, eligibility, recruiting, handling of possible rules violations, and other areas, noted in the institution’s June 11, 1998, letter.”

During the first-cycle certification process, regarding the “Assignment of Rules-Compliance Responsibilities”, Colgate was found to be not in substantial conformity with the operating principle.

The rationale provided by the certification committee found “The institution has a set of written policies and procedures that assigns responsibilities for some areas of rules compliance. The publication is outdated and incomplete, and not circulated. No coaches asked were aware of its existence. In addition, much of the materials reproduced in the manual were from another institution.”

“There are no set procedures in the crucial areas of continuing eligibility, practice and competition limitations, and booster regulatory policies.”

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“The institution has clearly demonstrated provision for the regular participation of persons outside the athletics department in critical and sensitive issue. This was evidenced in several situations. The Title IX lawsuit, the decision not to award grants-in-aid, and the elimination of the sport of baseball, to name a few. However, no written policies are in existence to provide for this input.”

Pertaining to the above, the Peer Review Team required four actions:

a. “The peer-review team concurs with the institution’s recommendation that deals with the updating, review, and distribution of the athletics department mission statement. The peer-review team recommends that the redrafting and approval of such mission be done within six months of the NCAA Committee on Athletics Certification notification of its decision to the university.”

b. “The peer-review team concurs with the institution’s recommendation that the current policies and procedures manual be updated. The peer-review team recommends that the update be completed within three months of the decision from the NCAA Committee on Athletics Certification.”

c. “The peer-review team concurs with the institution’s recommendation that the committee for compliance procedures be convened immediately. The committee, with input from all related campus constituencies, should create sound procedures regarding full-time enrollment requirements, drop/add procedures, initial and continuing eligibility, and all other related areas of compliance. The peer-review team recommends that the drafting of these procedures be completed within six months of the decision from the NCAA Committee on Athletics Certification.”

d. “The peer-review team concurs with the institution’s recommendation that there must be a periodic evaluation by an authority outside the athletics department. This plan for the evaluation must be completed within three months of the decision from the NCAA Committee on Athletics Certification. In addition, this first outside evaluation must be completed at Colgate by the end of the 1998-99 academic year.”

During the first-cycle certification process, regarding the “Rules-Compliance Accountability”, Colgate was found to be not in substantial conformity with the operating principle.

The rationale provided by the certification committee found “An ongoing educational effort is not evident. Coaches are given a manual with subscription to the NCAA news, and a copy of updated legislation following the NCAA convention. There are no face-to-face interactive discussions held. There are no scheduled educational opportunities for coaches, booster club members, institutional staff, or administrators. These groups are on their own to interpret and apply legislation as they understand it. Coaches meet informally to prepare for the annual NCAA required rules test.”
“Through discussion, written policy, and contractual stipulation, a commitment to rules compliance has been demonstrated to be a central element in personnel decisions within the department of intercollegiate athletics.”

Pertaining to the above, the Peer Review Team required one action:

“The peer-review team recommends that an ongoing effective educational program must be instituted that will include the opportunity for formal discussion of the regulations and their application. Programs should be devised for coaches, institutional staff (financial aid, admissions, and registrar) who deal with athletes, student-athletes, athletics department support staff, and booster clubs. This should be completed within three months of the decision from the NCAA Committee on Athletics Certification.”

During the first-cycle certification process, regarding the “Rules-Compliance Evaluation”, Colgate was found to be not in substantial conformity with the operating principle.

The rationale provided by the certification committee found “There is no annual evaluation of the rules-compliance program by an authority outside the athletics department. A proposed committee will be formed during the 1998-99 academic year to oversee NCAA compliance procedures. This committee is badly needed to help institute sound compliance policies and procedures. However, it can not serve as the annual review team by an outside authority.

“The compliance program as presented is very casual and missing crucial procedures to satisfy NCAA regulations.”

Pertaining to the above, the Peer Review Team required one action:

“The peer-review team concurs with the institution’s recommendation that there must be a periodic evaluation by an authority outside the athletics department. This plan for the evaluation must be completed within three months of the decision from the NCAA Committee on Athletics Certification. In addition, this first outside evaluation must be completed at Colgate by the end of 1998-99 academic year.”

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 date(s) of the action(s); (d) an explanation for any partial or noncompletion of such required actions.

Plan: The institution planned an examination and revision of the mission statement for athletics. It planned that the Committee on Athletics be charged with that responsibility, because that committee is part of the university governance system and it has wide representation across the university community. And it planned that the mission statement be made widely available to the campus community.
Outcome: The institution reviewed and revised the mission statement for the Division of Physical Education and Athletics. This work was conducted by the Committee on Athletics. The Committee focused on providing a revised mission statement for athletics that was consistent with the mission statement for the university. This work was completed on December 4, 1998, and it was approved by the Academic Affairs Board on February 10, 1999. The mission statement is available in the Policy and Procedures Manual for the Division of Physical Education and Athletics, and it is available in the Student Athlete Handbook, and on the athletics web page.

Plan: The institution planned a major overhaul of the Policy and Procedures Manual for athletics. This task was to be completed by a newly-formed compliance committee and would include oversight by a representative of the academic administration. This revised document was to be ready by the end of the 1997-98 academic year.

Outcome: Work on the manual began in 1998; the first version of the manual continued to be expanded and revised over the next several years, and was essentially completed during the 2004-05 academic year (after the hiring of a new Director of Athletics and the creation of a new position--Compliance Coordinator). Principal participants in this final revision were: Assistant to the Athletic Administrators, Shelly Respecki; Assistant Director of Athletics/Compliance Coordinator, Shondell Reed; Director of Athletics, David Roach. The most recent revision of the manual (targeted for completion on May 1, 2006) will be reviewed during the summer of 2006 by non-athletics personnel--the Dean of the Faculty/Provost, university legal counsel, and by the Administrative and Risk Management Coordinator.

Plan: The institution planned to form a compliance committee.

Outcome: That committee was assembled and first met in April, 1999. The members of that committee were: Associate Dean of the College, Linda Murphy; Assistant Men's Basketball Coach, Dennis Csentsis; Senior Associate Director of Athletics, Janet Little; Senior Associate Director of Athletics, Braden Houston; Faculty Athletics Representative, Scott Kraly. That committee did not institute great change, and it last met in April, 2000, leaving the responsibilities of the committee to a Senior Associate Director of Athletics. The committee was not reconvened when the new Director of Athletics was hired; instead, a new, much-needed administrative position in athletics was created for a Compliance Coordinator who would take on the responsibilities of that committee and much more.

Plan: The institution planned a coordinated educational program for rules compliance issues designed to reach staff, coaches, student-athletes, booster clubs, and select non-athletics administrators. This plan was to be coordinated by the newly formed compliance committee.

Outcome: Some of these educational efforts were initiated by the compliance committee formed in April, 1999. These efforts were quite limited in their scope, and they did not adequately address the educational efforts that were needed. A period of transition marked by the hiring of a new Director of Athletics and the creation of a new full-time position for a Compliance Coordinator allowed for the sustained efforts of the
Compliance Coordinator toward the development of appropriate educational programs focusing upon compliance issues. These more extensive efforts began (and continue to be developed) following the hiring of the full-time Compliance Coordinator in the fall of 2004. The following educational components have been introduced since the fall semester of 2004:

- Monthly education meetings for coaches. Attendance is required at these meetings and the coaches are tested on the material presented.
- Orientation/education sessions for student-athletes at the beginning of each academic year.
- Compliance education sessions for various departmental units including sports communications staff, athletics training staff, athletics administrative assistants, and strength and conditioning coaching staff.
- Educational pamphlets for boosters were created in Fall 2005 for all season ticket buyers, alumni, and donors.
- A “compliance” page has been assembled and posted to the Colgate Athletics website. The mission statement for compliance is posted on the compliance page: “Colgate University is committed to the principal of institutional control in administering its athletics program in a manner consistent with NCAA, ECAC, and Patriot League rules. Maintaining institutional control is paramount to the continued growth and success of Raider Athletics. Each individual involved in the athletics division is obligated to maintain competency and knowledge of the rules, to act within his or her realm of responsibility in full compliance with the governing legislation, and to report any violation of NCAA or conference rules of which he or she is aware.”

“The commitment to the principal of institutional control is an important component in Colgate’s mission to maximizing the collegiate experience for each student-athlete. This mission can be better accomplished through:

- Employment and hiring of responsible administrators, coaches and support staff
- Continued education of staff, coaches, and all individuals involved with the Athletics Division in an effort to apprise them of the rules as they evolve
- Discover and report any violations as they occur
- Regularly reviewing Colgate operating systems and making the necessary improvements to run a more efficient compliance program and avoid future violations”

Formal educational sessions for non-athletics departments are in the planning stages and have not yet been implemented. They will be implemented Fall 2006. Despite the fact that a formal educational program for non-athletics personnel has not yet been implemented, the personnel who have responsibilities related to rules compliance in the offices of admissions, registrar, financial aid, and academic programs support have extensive working knowledge (through regular consultations with the Compliance Coordinator in athletics and through their use of the NCAA manual) of NCAA rules that are relevant to their responsibilities.

Plan: The institution planned a periodic review of the compliance program by an external source.
Outcome: That first review was conducted in 2000 by Grace Calhoun, Commissioner of the Patriot League. The next evaluation was conducted in September, 2005 by Joanna Kreps, Patriot League Assistant Executive Director for Sports Management and governance. (A delay from 2004 until 2005 for the second external review was necessitated by re-organization of duties within the Patriot League Office, and to accommodate Colgate’s transition from old to new Director of Athletics and new Compliance Coordinator.)

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.

None

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.

The current director of athletics was hired in the summer of 2004. Since his starting date Colgate has been in the process of reviewing and updating all procedures in this area. In the fall of 2005 a new senior associate athletics director was hired and assigned the responsibility to review the current practices, update policies and establish clear guidelines and operating procedures within the area of athletic booster groups, support groups and representatives of the institutions athletic interests.

At Colgate there is presently not a consistent organization of booster/support groups from sport to sport. The Colgate Athletic Council is the main athletic support group which is run by the Colgate Athletic department and does not function with assistance of alumni or outside board members.

The Maroon Council (men’s football) and Silver Puck (men’s ice hockey) are the only two organized booster clubs. Their current structures were reviewed in the fall of 2005 as were the structures of support groups run by coaches in other sports. All donations to both sets of groups come directly to the university and are overseen by both the athletics department, the Colgate Advancement office and accounting office. While funds may be solicited by coaches or members of the booster groups, all funds are controlled and administered by the university.

In situations where a booster group has a formalized structure, either the Director of Athletics, or his/her designee or the Senior Associate Director of Athletics serves as members of their boards. At this point in time the senior associate is working with head coaches of all the remaining sports to establish formalized groups, and athletics department representation will be assigned by the Director of Athletics to any newly formed group.

The Senior Associate Director of Athletics is also creating a timeline to be followed by all groups that includes a spring semester educational component for people in leadership positions in all booster groups currently existing and those newly formed. The first educational meeting was conducted by the Senior Associate Director of
Athletics in April 2006 and was given to representatives of each sport’s booster group leadership. This meeting was also attending by the Director of Athletics.

In 2004 a new Compliance Coordinator was hired, who is in the process of updating web material and written material so that clear NCAA guidelines are contained in all publications that alumni or booster groups may receive. Monthly compliance meetings are mandatory for head and assistant coaches and also serve as a means of ensuring that guidelines are being followed by all coaches within this area.

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

The organization of people responsible for rules compliance is the following:

The Assistant Director of Athletics/Compliance (a new position created since the first-cycle certification review, filled by Shondell Reed) reports to the Senior Associate Director of Athletics. The Senior Associate Director of Athletics reports to the Director of Athletics; the Director of Athletics reports to the Dean of Faculty/Provost who is ultimately responsible for compliance to NCAA rules. Coaches from various sports report directly to one or another of the Assistant or Associate Directors of Athletics; for example, coaches for women’s soccer, men and women’s crew, softball, men and women’s swimming, and assistant coaches for football report to Assistant Director of Athletics/Compliance; coaches for men’s basketball, men’s lacrosse, field hockey, men’s and women’s cross country and track report to Senior Associate Director of Athletics; coaches for women’s ice hockey, men’s soccer, women’s lacrosse, volleyball, men’s and women’s tennis and golf report to Senior Associate Director of Athletics/Senior Woman Administrator, who reports to the Director of Athletics; head coach of football, coaches for men’s ice hockey and women’s basketball report to Director of Athletics.

The Faculty Athletics Representative reports to the Dean of the Faculty/Provost, but has direct access to the President and to all athletics administrators and all coaches. The Faculty Athletics Representative participates in the waiver process and reporting of violations, but has little involvement with the rules compliance program.

Within the organization described above, the responsibilities of key personnel include the following: The Assistant Director of Athletics/Compliance is responsible for the initial eligibility and continuing eligibility certification process, the NCAA squad lists, recruiting documentation, providing rules interpretations and rules education. The Senior Associate Athletic Director (Kevin Hatcher) who has been a compliance director at three other institutions serves as another source of rule compliance interpretations and provides back up interpretations in the absence of the Assistant.
Athletic Director/Compliance. The Business Manager, in conjunction with the University Accounting Office, reviews all purchases and monitors permissible income and expenses.

The Financial Aid Office works closely with the Assistant Director of Athletics/Compliance to ensure that aid awarded to student-athletes does not exceed NCAA limits, and to determine and record financial aid categories. With the move to athletic scholarships for athletes in some sports, in 2003 representatives from financial aid, admissions and athletics, together with the Dean of the Faculty/Provost, Associate Provost, and Registrar, drafted the procedures that are currently used. In addition, an athletics subcommittee within financial aid monitors the athletic scholarship process.

The Admissions office) and Registrar’s Office are closely involved in the recruiting process and assist coaches with evaluations of academic criteria. The Registrar’s Office completes the course/credit analysis of incoming transfer student athletes in accordance with documented policies and consults regularly with the Assistant Director of Athletics/Compliance Coordinator. The Registrar’s Office also completes NCAA reports (e.g., Academic Progress Rate, Academic Performance Census, Graduation Rate Supplemental Form) and the IPEDS Graduation Rate survey, and provides data directly to the Director of Athletics and Compliance Coordinator as requested to monitor student athlete academic progress and compliance.

Working with the Associate Provost, the Director of Athletics is directly involved with development of the budget for athletics and recreational sports; the budgeting process includes consideration of issues related to gender equity and compliance with NCAA rules and regulations.

The Director of Academic Program Support and Disability Services works closely with the Assistant Director of Athletics/Compliance to certify continuing eligibility of student-athletes: they review academic performance at the midpoint of each semester and, at that time conduct meetings with each head coach to discuss academic issues involving their student-athletes. At the end of each semester, they review grade records to determine whether or not continuing eligibility requirements are being met. These reviews of student performance at the midpoint and at the end of each semester are conducted in order to identify students who are deemed at risk for losing their eligibility, and to formulate plans with students, coaches and administrative advisors to facilitate academic improvement.

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

Within the athletics department, the Senior Associate Director of Athletics/ Senior Woman Administrator oversees personnel issues. It is her responsibility to work with the personnel office and ensure that NCAA clauses are contained in ads for new positions and contract letters for new hires. Since there has been a large turnover in the administrative staff, a review is also being conducted to ensure that NCAA guidelines are contained in all job descriptions as necessary.
Periodically during the year each head coach and staff member meets with an administrative liaison. These meetings ensure that the administrative liaison is in contact with the staff and is up to date with important issues that arise. The assistant director in charge of compliance also schedules a monthly compliance meeting with all head and assistant coaches. These meetings are used for educational purposes.

The entire department also meets periodically which provides an avenue to convey issues of importance. Coaches and staff are also updated via email when necessary with new information from the league offices or the Colgate compliance office.

At the conclusion of each season student athletes are asked to complete program evaluations and exit interviews. The current Colgate evaluation form contains questions regarding NCAA compliance issues. These completed evaluations are reviewed by the liaison and reviewed with the coaching staff and selected staff members at the conclusion of the season.

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.

The Assistant Director of Athletics/Compliance (Shondell Reed) is in regular (almost daily) contact with liaisons within the Financial Aid Office, Admissions Office and the Registrar’s Office. These offices receive from the Assistant Director of Athletics/Compliance philosophy statements and other applicable sections of policy manuals regarding rules compliance. The Athletics Business Manager, along with the coaches, reviews all purchases to ensure that all expenses are in compliance with NCAA rules. The University Accounting Office monitors all income and expenses to ensure that they are in compliance with all federal, state and University policies and procedures.”

Personnel in the offices of financial aid, admissions, accounting and registrar do not currently have in their job descriptions or in their letters of contract wording that alerts them to responsibilities in the area of rules compliance for the NCAA. We have addressed this in our plan for improvement.

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

<table>
<thead>
<tr>
<th>Area</th>
<th>Assignment of Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial-eligibility</td>
<td>no</td>
</tr>
<tr>
<td>Continuing-eligibility certification</td>
<td>no</td>
</tr>
<tr>
<td>Transfer-eligibility certification</td>
<td>no</td>
</tr>
<tr>
<td>Financial aid administration</td>
<td>yes</td>
</tr>
<tr>
<td>Recruiting</td>
<td>yes</td>
</tr>
<tr>
<td>Camps and clinics</td>
<td>no</td>
</tr>
<tr>
<td>Investigations and self-reporting of rules violations</td>
<td>yes</td>
</tr>
<tr>
<td>Rules education</td>
<td>no</td>
</tr>
<tr>
<td>Extra benefits</td>
<td>no</td>
</tr>
<tr>
<td>Playing and practice seasons</td>
<td>yes</td>
</tr>
<tr>
<td>Student-athlete employment</td>
<td>no</td>
</tr>
</tbody>
</table>
Note for above: Each “no” above will become a “yes” upon the completion of the revised Policy and Procedures Manual targeted for May 1, 2006 completion.

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.

The rules education efforts are continuous and broad: Internal communication among the coaches, staff members, administration and Assistant Director of Athletics/Compliance is comprehensive, and communication between the athletics personnel and senior administrators outside of athletics is frequent and efficient. The Assistant Director of Athletics/Compliance conducts monthly rules education sessions with the coaching staff (separate from regular monthly staff meetings), and he forwards information regarding new legislation and time sensitive interpretations and generates reminders for coaches and staff via email. The Director of Athletics is actively involved with rules education through team meetings, staff orientation, staff reviews and public support of the Compliance office. The Assistant Director of Athletics for Compliance regularly attends Patriot League meetings and NCAA seminars and performs timely reporting in compliance with Patriot League initiatives.

Regarding the education of student-athletes, the Assistant Director of Athletics/Compliance attends all initial team meetings to discuss rules compliance and to ensure that each student-athlete completes all required forms. The Director of Athletics attends some Student-Athlete Advisory Committee meetings, and the Senior Associate Director (Senior Woman Administrator) attends all of them. In addition, each student-athlete receives a copy of the Colgate University Student-Athlete Handbook that includes information about NCAA eligibility regulations, the University academic program, support services and support programs and facilities. This handbook is also available online.

The Athletics Policy and Procedures Manual is maintained and distributed to all department staff members.

The Assistant Director of Athletics/Compliance answers questions (i.e., provides interpretations of rules) brought by coaches after the Compliance Coordinator consults with either the NCAA manual, LSDBi (Legislative Services Interpretation Database), the Patriot League Commissioner, or the NCAA offices. Each response is then catalogues for future reference. The Assistant Director of Athletics/Compliance also regularly verifies interpretations with the Patriot League office staff and/or the NCAA Membership Services Patriot League contact. Coaches are accustomed to researching questions using the NCAA manual and generally “ask before they act” on rules compliance issues.

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.
A compliance review (Attachment #) was recently (September 27, 28, 2005) conducted by Joanna Kreps, Patriot League Assistant Executive Director for Sports Management and Governance at the invitation of Colgate Director of Athletics (David Roach).

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.

<table>
<thead>
<tr>
<th>Area</th>
<th>Included</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial-eligibility certification</td>
<td>yes</td>
</tr>
<tr>
<td>Continuing-eligibility certification</td>
<td>yes</td>
</tr>
<tr>
<td>Transfer-eligibility certification</td>
<td>yes</td>
</tr>
<tr>
<td>Financial aid administration, including individual and team limits</td>
<td>yes</td>
</tr>
<tr>
<td>Recruiting (e.g., official visit, etc.)</td>
<td>yes</td>
</tr>
<tr>
<td>Camps and clinics</td>
<td>yes</td>
</tr>
<tr>
<td>Investigations and self-reporting of rules violations</td>
<td>yes</td>
</tr>
<tr>
<td>Rules education</td>
<td>yes</td>
</tr>
<tr>
<td>Extra benefits</td>
<td>yes</td>
</tr>
<tr>
<td>Playing and practice seasons</td>
<td>yes</td>
</tr>
<tr>
<td>Student-athlete employment</td>
<td>no</td>
</tr>
</tbody>
</table>

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

Recommendations offered by Joanna Kreps, of the Patriot League following the rules-compliance evaluation:

a. The department of athletics should work to establish a more formal role within the faculty leadership and within the certification process.

b. The Faculty Athletics Representative should play a greater role in the certification process by conducting at minimum a spot check of random samples and/or a review of all non-traditional enrollees (e.g., transfers) or at-risk student-athletes.

c. The newly developed policies regarding financial aid be referred to in the student-athlete handbook and also included with the National Letter of Intent documentation for future years.

d. Colgate should continue to work toward linking the University-wide Banner database to the NCAA CAi website.

e. The athletics department should continue to reach out to educate potential boosters/donors of NCAA recruiting bylaws; perhaps by including literature in mailing information for football/basketball season tickets, including rules information in issues of University-produced publications for alumni/parents, game-day programs and recruiting publications and/or having the Assistant Director of Athletics/Compliance provide formal education sessions.

f. The Assistant Director of Athletics/Compliance should review and approve all camp brochures prior to being printed. It may also be helpful to develop a “Camps and Clinics” policy manual.

g. Continue rules education sessions during monthly coaches meetings.
h. A compliance section should be created for the athletics web site, including reference to the Countable Athletically Related Activities “20/4” rule.
Evaluation and Plan for Improvement

Given the responses to the self-study items on the previous page, complete the responses below to: (1) indicate (with a yes or no) whether each part of the operating principle exists in the athletics program, and (2) evaluate whether the activities of the athletics program are in substantial conformity with the operating principle as a whole. [Note: In completing this assessment, make sure that all relevant information from the other certification areas is considered, given that some overlap does exist.]

Where the institution concludes in its evaluation that it does not conform to the operating principle as a whole or to any particular element(s) of the operating principle [as indicated by a “Currently No” response to the element(s)] or that problems or deficiencies exist in this area, outline the institution’s specific plans for improvement, which should include/meet the following required elements: (a) stand-alone and in writing, (b) developed through broad-based participation, (c) issues/problems identified in the self-study, (d) measurable goals the institution intends to attain to address the issues/problems, (e) step(s) to achieve the goals, (f) the specific timetable for completing the work, (g) individuals/offices responsible for carrying out the actions, and (h) institutional approval. [Note: Please see Appendix A, Page 43 for an example format outlining all required elements of plans.]

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

<table>
<thead>
<tr>
<th>Currently Yes</th>
<th>Found On Page(s)</th>
<th>Currently No</th>
<th>Plan For Improvement Number</th>
</tr>
</thead>
</table>

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?

\[ \checkmark \quad 2-3 \quad \quad \quad \quad \]

b. The chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program?

\[ \checkmark \quad 3-4 \quad \quad \quad \quad \]

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GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE

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c. Appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies?

[Handwritten answer: Yes]

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)?

[Handwritten answer: Yes]

(Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has a plan to address any “Currently No” response to any element(s) of the operating principle.)

1.2 Rules Compliance.

Does the institution demonstrate that:

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 chief executive officer assigns overall responsibility for the athletics program?

[Handwritten answer: Yes] 12-14

Currently Found On Currently
Yes Page(s) No

If Currently
No, If Deficiencies
Exist, or if an
Enhancement has been
Identified, Indicate
Plan For Improvement
Number

GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE REVISED MAY 2005
b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department?

   ✓ 12-14  2, 3

c. Rules compliance is the subject of an ongoing educational effort?

   ✓ 15

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?

   ✓ 14  1

e. At least once every four years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department?

   ✓ 15-17

   Yes  No

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

   ✓

[Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has a plan to address any “Currently No” response to any element(s) of the operating principle.]
Plan for Improvement
Recommendations for improvement regarding Operating Principle 1.2: Rules Compliance.

1. We recommend that the Dean of Faculty/Provost consider the addition to letters of appointment (i.e., contracts), job descriptions, or annual evaluations, a paragraph that brings to the attention of the employee the importance of compliance to NCAA rules, insofar as the duties of their positions bear upon NCAA rules and regulations. We recommend that the Dean of Faculty/Provost consult (as needed) with the Dean of Admissions, the Dean of the College, the Associate Vice President for Human Resources, and the Financial Vice President when considering the appropriateness of such a paragraph for personnel in the offices of (a) registrar, (b) admissions, (c) financial aid, (d) academic support and disability services, (e) administrative/advising deans, and also for the faculty athletics representative. Consideration of this recommendation, and implementation in a manner determined by the Dean of Faculty/Provost to be in the best interests of the college, should take place during the fall of the academic year 2006-07, if possible.

2. We recommend that the Dean of the Faculty/Provost assign to the Faculty Athletics Representative the responsibility of reading the tabulations of the Student-Athlete Survey (collected by the Director of Athletics) at the end of each semester, and that the tabulations should be sent by the Director of Athletics to the Dean of the Faculty office. This recommendation should be implemented by the summer of 2006.

3. Following upon a recommendation from the “Action Plan” in the September 2005 Compliance Review, we recommend that the Dean of the Faculty ask the Faculty Athletics Representative to be included in the end-of-the-semester process of reviewing grade summaries to ensure that academic requirements are met to certify continuing eligibility for student-athletes. This review process should be conducted by the Compliance Coordinator and the Director of Academic Support and Disability Services. The results would be shared with the Faculty Athletics Representative. This new procedure would begin at the end of the fall semester, 2006. Involvement in this process also affords the Faculty Athletics Representative an opportunity to become aware of recurring academic difficulties for student-athletes in specific programs.