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.

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

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

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.

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.
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.

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

Information to be available to the peer-review team, if requested:
- Minutes of athletics board or committee meetings.
- Composition of the institution’s governing board (including titles and positions).
- Minutes of the institution’s governing board meetings. (Please flag those that relate to the athletics program or athletics interests.)
- Published policies of the institution’s governing board. (Please flag those that relate to the athletics program or athletics interests.)
- An institutional organizational chart and an athletics department organizational chart.

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.

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 actions(s) taken by the institution; (c) the date(s) of the action(s); (d) an explana-
tion for any partial or noncompletion of such required actions. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

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.

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.

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.

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

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.

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."
   - Initial-eligibility
   - Continuing-eligibility certification
   - Transfer-eligibility certification
   - Financial aid administration
   - Recruiting
   - Camps and clinics
   - Investigations and self-reporting of rules violations
   - Rules education
   - Extra benefits
   - Playing and practice seasons
   - Student-athlete employment

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.

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.

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

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

**Information to be available** to the peer-review team, if requested:

- List of athletics booster organizations and their officers.
- Description of athletics booster group policies and procedures (e.g., constitution and bylaws).
- Documentation required by the institution to maintain compliance with NCAA rules (e.g., compliance manual, recruiting logs, eligibility files).
- Documentation generated as a result of conference involvement with the institution in reviewing compliance efforts.
- Documentation related to secondary rules violations for the last three years and the institutional response to those violations.
- Conference manual.
- Planning documents related to athletics (if any).
- Job descriptions for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Contracts or letters of appointment for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Personnel evaluation criteria for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Philosophy statements and other applicable sections of policy manuals for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
- Documentation related to the evaluation of the institution’s rules-compliance program by an authority outside of athletics at least once every four years.
- (Rules Compliance) Policies and Procedures
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.

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<tr>
<th>Currently Yes</th>
<th>Found On Page(s)</th>
<th>Currently No</th>
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</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?

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

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GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE
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?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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</table>

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)?

| _______ | _______ |

[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?

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

| _______ | _______ | _______ | _______ |
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?

   | ______ | ______ | ______ | ______ |

   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.]