NCAA CERTIFICATION
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 president or chancellor is assigned ultimate responsibility and authority for the operation and personnel of the athletics department.

c. Appropriate campus constituencies have the opportunity, under the purview of the president or chancellor, 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; and (d) an explanation for any partial or non-completion 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.

There were no “corrective actions” or “conditions for certification” imposed by the NCAA Division I Committee on Athletics Certification during the initial cycle. The three recommended “strategies for improvement” made by the Committee in its August 23, 1999 letter, and the University’s actions are listed below:

Paragraph 2. “Modify the mission statement of the institution’s athletics department to ensure that it contains all the elements of the NCAA Bylaw 23.2.1.1 (Institutional Mission); specifically ensure that it addressed the support of equitable opportunities for all students and staff, including women and minorities, as well as, provide the appropriate internal and external campus constituents (e.g. faculty senate, student government associations, etc.) with
the opportunity to review and amend (if necessary) the athletics department mission
statement.”

Paragraph 3. “Provide evidence that the university’s athletics mission statement has been
circulated among its external constituencies.”

Beginning with the 1999-2000 academic year, the University took action to ensure that its
mission statement was more widely disseminated. The mission statement was added to the
student-athlete compliance education packet, posted on the Athletic Department’s web site, and
printed in other Department publications so that it did “… provide the appropriate internal and
external campus constituents with the opportunity to review. . . “

The University modified its mission statement in 1999 to reflect “equitable opportunities for all
students and staff” (UM Mission Statement: “…. providing equal opportunities regardless of
ethnicity or gender.”).

These issues may be moot in that the mission statement requirement for Athletic Certification
was removed and is no longer listed in the NCAA Manual as a condition for Athletics
Certification.

Paragraph 7. “Clarify the relationship between the booster subgroups and the Ole Miss
Loyalty Foundation and explain how revenues and expenditures from each ensure
institutional control.”

The University has not and does not organize booster clubs with the exception of the Ole Miss
Loyalty Foundation which is the official private fund raising organization for the Athletics
Department. Its board consists of institutional administrators and is completely under the control
of the University. The “booster subgroups” are clubs which have been organized by alumni and
friends of the University to generate interest and support for the University’s athletic teams.
While some of these organizations do raise small amounts of money which are channeled
through the Athletics Department, their primary mission is more about promoting game
attendance than about raising money. As a condition for existence and assisting these
organizations through personal appearances by coaches and administrators, these organizations
must submit their financial records to be audited on an annual basis as a part of the Department
of Intercollegiate Athletics annual audit.

While the University did respond to the Committee’s recommendation, NCAA Bylaw 23.2.3
(Fiscal Integrity) which appeared in the 1998-99 NCAA Manual is no longer listed as a condition
for Athletics Certification in the 2007-08 NCAA Manual. These issues are examined in
accordance with the requirements of NCAA Bylaw 6 (Institutional Control) under 6.2.3
(Financial Audit)

Paragraph 9. Demonstrate that each year all coaches and other athletics staff
members receive the required prior approval of the chief executive officer for outside
athletically related income.
The University had always required but not adequately documented that all coaches and staff receive prior written approval from the Chancellor for outside athletically related income in excess of $500. However, NCAA Bylaw 11.22 (Athletically Related Income) no longer requires that prior approval be granted by the CEO for coaches outside athletically related income provided coaches report such income annually. Approval of such income must be consistent with the institution’s policy related to outside income and benefits applicable to all employees. Coaches submit on an annual basis a written detailed account of all athletically related income and benefits to the Chancellor.

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); and (d) an explanation for any partial or non-completion 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.

The following plans for improvement have either been completed on the date indicated or continue to be developed since the first cycle.

- In 1999 the Athletic Department’s mission statement was revised to include revised to include language confirming equitable opportunities for students and staff regardless of ethnicity or gender.

- Beginning in 1999 and continuing, the Athletics Department mission statement is reviewed by the AD, the Athletics Committee, and the University’s Student-Athlete Advisory Committee.

- The Chancellor expanded the athletics committee to include a student-athlete who would be from the University’s Student-Athlete Advisory Committee and the opposite gender and of a different ethnicity of the other student member (President of the Associated Student Body).

- The Athletic Department’s Department Policy and Procedure Manual was revised and continues to be revised on an annual basis.

- An annual evaluation instrument was created developed in 1999 and revised in 2005 which supplements the institution’s annual performance evaluation created by the Human Resources Office. The Athletic Department’s supplemental evaluation form focuses on factors not included in the University’s performance evaluation form, such as compliance issues, student-athlete welfare, and coaching ability.
3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibility) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

- None at this time.
- The compliance director was reassigned from the athletic department to the Chancellor’s office.

4. Describe how the institution’s government 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.

- Agreed to construct of $16m baseball renovation
- Agreed to begin a $12m basketball practice facility
- Agreed to raise money for a $2m tennis center renovation
- Approved $34m athletics department budget

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

- Fired a basketball coach 2006
- Hired a basketball coach
- Fired a football coach 2004
- Hired a football coach
- Fired a football coach 2007
- Hired a football coach
- Agreed to construct of $16m baseball renovation
- Agreed to begin a $12m basketball practice facility
- Agreed to raise money for a $2m tennis center renovation
- Approved $34m athletics department budget
6. Describe the process by which the institution makes major decisions regarding intercollegiate athletics. If the institution has different processes for making various major decisions regarding intercollegiate athletics, describe the process for making each major decision. For each process, describe the role and authority of the institution’s governing board, the president or chancellor, 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 the process.

- **Hiring of Head Coaches/Approval of Contracts/Termination**

  The university Athletics Director is the primary lead in the decision making process for the selection and hiring of head coaches for university sports programs, with input from the administrative staff of the athletics department including the Senior Associate Athletics Director. The university intercollegiate athletics committee is solicited for input during the hiring process but plays no formal role in the decision making process. The final decision for the selection and hiring of head coaches is made by the university Chancellor, based upon recommendation of the Athletics Director. The Chancellor subsequently recommends the individual selected through this process to the Board of Trustees of State Institutions of Higher Learning of the State of Mississippi (“IHL Board”) which then approves or rejects the decision.

  State employment contracts with head coaches for university sports programs are entered into between the individual coaches and the university. Decisions to approve and execute such contracts on behalf of the university are made by the Athletics Director and the Chancellor. These state employment contracts, which are uniform at all state institutions of higher learning in Mississippi, are subject to the final approval of the IHL Board. The policies and bylaws of the IHL Board limit the maximum length of such contracts to four years. In some cases, a separate supplemental compensation and incentive contract with head coaches for university sports programs is entered into between the individual coach and the UMAA Foundation, a non-profit corporation established to support the intercollegiate athletics department at the university. The Athletics Director and the University Attorney are involved in creating the supplemental compensation and incentive contract which then must be approved by the Chancellor. Following the Chancellor’s approval, the supplemental contract must be approved by the Board of Directors of the UMAA Foundation. The supplemental contracts with the UMAA Foundation are not subject to the approval of the IHL Board, although IHL Board policy limits the maximum length of any such contract to four years.

  Decisions to terminate contracts with head coaches for university sports programs are made by the Athletics Director and the Chancellor. The University Attorney advises the Athletics Director and the Chancellor during this process. Such decisions are not subject to the approval of the IHL Board.
• Athletics Operating Budgets

Decisions relating to athletics operating budgets are made within the framework of the overall annual budgeting process at the university. Regarding the operating budget for athletics expenditures within the university, an executive committee consisting of the Athletics Director, the Senior Associate Athletics Director, and the Senior Associate Athletics Director for finance, work together jointly to make decisions in creating the annual budget. The chief financial officer for the university, the Vice Chancellor for Administration and Finance, advises the executive committee during the budgeting process. This process for creating the athletics operating budget begins during January with the objective for completion by mid-May, within the framework of overall university guidelines on completing the annual operating budget for the entire university. The athletics operating budget for the university as proposed by the executive committee is subsequently approved by the Chancellor, based upon the recommendation of the Chancellor’s delegate for approving the athletics operating budget, Senior Vice Chancellor for Planning and Operations. Following approval by the Chancellor, the annual operating budget for the entire university, including the athletics operating budget, is submitted to the IHL Board for approval.

• Capital Improvement Projects

Certain capital improvement projects for university athletics facilities are of sufficiently high value to place them outside the normal university operating budget process. Decisions regarding such projects are therefore made within a framework separate from the normal university budgeting process. On a project-by-project basis, the executive committee consisting of the Athletics Director, the Senior Associate Athletics Director, and the Senior Associate Athletics Director for finance, begins the decision making process for such projects by creating an initial financial plan in consultation with the Chancellor and the Vice Chancellor for Administration and Finance.

 Upon approval of the initial financial plan for a specific athletics capital improvement project by the Chancellor, the project proceeds to a planning stage conducted by the Facilities Planning Committee (“FPC”), a university standing committee operating under the auspices of the university Provost. The FPC includes the Director of the Department of Facilities Planning, Ian Banner, the Vice Chancellor for Administration and Finance and the Senior Vice Chancellor for Planning and Operations. For each project the FPC approves, among other things, the project concept, location, and funding sources. Any project approved through this process is subsequently submitted to the IHL Board for approval.

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

• Dr. Ronald Rychlak, Chair
  Associate Dean of the Law School
• Ms. Shawn Goff  
  Student Athlete

• Mr. John Cossar  
  Alumni Representative

• Dr. J. David Duncan  
  University Medical School faculty member

• Ms. Rose J. Flenorl  
  Alumni Representative

• Mr. Ron Kitchens  
  University Staff  
  Technical Services Systems Administrator

• Ms. Karen Lee, JD  
  Alumni Board

• Mr. David McCormick  
  President of Alumni Association

• Dr. Robert Plants  
  Professor Emeritus of Elementary Education  
  Faculty Senate Representative

• Dr. Jason Ritchie  
  Associate Professor of Chemistry and Biochemistry  
  Faculty Senate Representative

• Mr. Drew Taggert  
  Associated Student Body

• Mr. Lee Tyner  
  University Attorney

• Laurel Lambert, Ph.D., R.D.  
  Assistant Professor of Family & Consumer Sciences  
  Program Director for The Didactic Program In Dietetics  
  Faculty Senate Representative

• Dr. Ethel Young-Minor  
  Associate Professor of English and African-American Studies
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 president or chancellor 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, it’s 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; and (d) an explanation for any partial or non-completion 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.
There were no corrective actions or strategies for improvement noted by the Committee in 1998 relating to Operating Principle 1.2.

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); and (d) an explanation for any partial or non-completion 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.

There were no corrective actions or strategies for improvement noted by the Committee in 1998 relating to Operating Principle 1.2.

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.**

Beginning with the 2007-08 academic year, each sport was assigned a specific coordinator to monitor all activities of that sport.

4. **Describe how the activities of the institution’s athletics booster groups, support groups and other representatives of the institution’s athletics interest are maintained under the clear control of the institution, including whether institutional personnel serve on booster-club, support group or foundation boards.**

The Ole Miss Loyalty Foundation, Inc. has operated under the control of the University of Mississippi since its inception in 1969. In May 2007 the Ole Miss Loyalty Foundation, Inc. was reorganized as The UMAA Foundation. The UMAA Foundation is the only booster-club that has been organized by The University of Mississippi to aid its intercollegiate athletics program. It is an independent foundation created for the purpose of receiving funds for the benefit of the program. The UMAA Foundation is a tax exempt organization as defined by Section 501(c) (3) of the Internal Revenue Code. Funds are received and disbursed only in support of The University of Mississippi and its Department of Intercollegiate Athletics. Disbursements are made to assist student-athletes by providing scholarships, by providing funding for facility improvements and construction, and by supporting the Department financially in many other areas. A copy of the University’s Affiliation Agreement with the UMAA Foundation, By Laws, and name change information is attached.
Mission Statement. The UMAA Foundation has the obligation and responsibility, as a nonprofit corporation, to use its resources in a responsible and effective manner to foster the mission of the University and its Intercollegiate Athletics at the University of Mississippi. Such assistance takes the form of providing scholarships for student-athletes, funding for necessary facility improvements and construction, supplements to coaches' salaries, and by supporting the department in many other ways necessary to have an outstanding athletics program.

The University of Mississippi maintains clear control of the activities of the UMAA Foundation through the members of the Corporation. The members of the corporation are as following University officers: the Director of Intercollegiate Athletics, the Chancellor of the University of Mississippi, the Vice-Chancellor for Administration and Finance, the President/CEO of the University of Mississippi Foundation, the Vice-Chancellor for University Relations, the Executive Director of Alumni Affairs and the Chair of the Committee on Intercollegiate Athletics (Exhibit - See Organizational Chart). The UMAA Foundation is audited annually by independent certified public accounts.

There are several organizations that promote the University’s Intercollegiate Athletics Department in general or specific sports. They are:

- The Ole Miss Quarterback Club, Oxford (football)
- The Rebel Club of Memphis
- The Rebel Club of Jackson, Inc.
- The Tip-Off Club, Oxford (men’s basketball)
- The Fast Break Club, Oxford (women’s basketball)
- The Bullpen Club, Oxford (baseball)

While these organizations were not organized by The University of Mississippi and are not a part of the operations of the University or the Department of Intercollegiate Athletics, the University understands that it is ultimately responsible for these organizations’ activities. Coaches and other Department of Intercollegiate Athletics personnel will occasionally attend their meetings and address the membership, to include compliance issues. The primary purpose of these organizations is to generate interest and enthusiasm for a particular sport or sports. While some of the organizations do raise small amounts of money which are channeled through the Athletics Department, their primary mission is more about promoting the sport through game attendance than about raising money. These clubs frequently host pre-season cookouts or post-season banquets for team members and supporters. Occasionally they may purchase equipment for the team they support. As a condition for assisting these organizations through personal appearances by coaches and administrators, these organizations must submit their financial records to be audited on an annual basis as a part of the Department of Intercollegiate Athletics annual audit.
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 president or chancellor 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 maintaining compliance with NCAA rules, including but not limited to eligibility certification, investigation and self-reporting of violations and monitoring of financial aid.

The Chancellor, who is ultimately responsible for institutional compliance, has delegated the Director of Athletics responsibility for compliance within the Athletics Department. The Athletics Director reports directly to the Chancellor and is a member of the Chancellor’s Leadership Cabinet. The Sr. Associate A.D. for Compliance and Student Services is also budgeted by the Chancellor’s office and has a reporting line to the Chancellor, but is located in the Athletics Department for monitoring purposes and is not a member of the Leadership Cabinet. The Sr. Associate AD/Compliance has monitoring responsibilities within the Athletics Department and is the Athletic Directors advisor on compliance. This position also assists those with compliance responsibilities outside the athletics department, is the Athletic Department’s liaison with the FAR, and is a member of the institution’s Compliance Committee and PSA Academic Credentials Review Committee.

While charged with the overall responsibility for athletic compliance, the AD directly supervises football, men’s basketball, and baseball. The Sr. Associate A.D/SWA is responsible for the other 15 sports. These two administrators are responsible for the conduct of coaches and their teams. Other senior administrators have responsibilities for specific compliance oversight: the Sr. Associate AD for Business, monitors all financial matters; the Sr. Associate AD for Sports Medicine administers drug testing, food supplements, and strength and conditioning.

The two compliance coordinators, who report directly to the Sr. Associate AD for Compliance, monitor the activities of all sports to include recruiting and practice records. The Sr. Associate AD/Compliance monitors financial aid, benefits, and is responsible for financial aid, benefits, investigations, education, self-reports and waiver requests.

The Director of Admission, Registrar, Director of Financial Aid, and Director of Housing report to the Vice Chancellor for Student Life, who reports to the Chancellor. The Eligibility Certification Analyst, who is responsible for making all initial, transfer, and continuing eligibility decisions, reports directly to the Director of Admissions and Registrar.
6. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals inside the athletics department. Specifically, the institution must provide evidence that all individuals inside the athletics department who are involved or associated with athletics have statements regarding the importance of rules compliance in all of the following documents: contracts, letters of appointment, performance evaluations and job descriptions.

Each coach’s employment contract contains language which holds the coach accountable for personal and team compliance conduct. At the beginning of each academic year, a department wide compliance meeting is held at which the Chancellor, Director of Athletics, and Faculty Athletic Representative address the coaches and staff and review the compliance expectations to which each individual and team will be held accountable.

The Athletic Department’s compliance staff conducts a monthly coach’s compliance education meeting to review existing and new legislation and to answer questions from coaches. Occasionally an outside speaker who has experience with NCAA compliance issues will be invited to address the coaches at the monthly meeting. A compliance message is shared at the Athletic Directors monthly senior staff meeting. A compliance education meeting is conducted each semester with support staff in each sport.

The compliance staff publishes a monthly compliance newsletter which is distributed to all athletic department administrators, coaches, and staff. The newsletter reviews rules, procedures, interpretations, and news stories of infraction cases or investigations into potential violations at other institutions. The purpose of the latter is to illustrate specific bylaws and the conditions which led to the violation or alleged violation.

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

The employment contract of administrators and staff members outside the Athletics Department with compliance certification responsibilities (i.e., Registrar, Directors of Admission, Financial Aid, Housing, etc.) has been modified to contain a statement confirming their compliance responsibilities. These same personnel receive the monthly compliance newsletter and are provided with other NCAA literature relevant to their compliance responsibilities. These persons, or their representative, attend NCAA Regional Rules Seminars and conference workshops to ensure they understand legislation and its application.
The compliance publishes a brochure for alumni and friends of the University which explains what is permissible and not permissible in their involvement with prospective student-athletes and enrolled student-athletes. Copies are distributed during visits with alumni clubs and to those purchasing priority seating. All season ticket holders receive an abbreviated version annually with their season tickets.

The University’s Alumni Association conducts an annual alumni leadership seminar for the officers of each alumni club. The compliance staff participates in this seminar and reviews the rules relating to their involvement to recruiting prospects and student-athlete benefits.

All such educational material is also posted on the Athletic Department’s web site.

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

- Initial Eligibility (Yes – P&P Manual)
- Continuing eligibility certification (Yes – P&P Manual)
- Transfer eligibility certification (Yes – P&P Manual)
- Financial Aid Administration (Yes – P&P Manual)
- Recruiting (Yes – P&P Manual)
- Camps and Clinics (Yes – P&P and Handbook)
- Investigations and Self-Reporting Violations (Yes – P&P Manual)
- Rules Education (Yes – P&P Manual)
- Extra Benefits (No)
- Playing and Practice Seasons (No – NCAA/SEC Manuals)
- Student-Athlete Employment (Yes – P&P Manual)

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 athletic interests.

The Sr. Associate AD for Compliance and Student Services, assisted by two compliance coordinators, is responsible for developing and presenting educational programs for student-athletes, coaches, staff, and alumni and friends of the University.

The approach uses print, on-line, and personal presentations. Some efforts are continuous while others are on a scheduled basis. All athletic department administrators, coaches, and staff participate in an annual compliance orientation meeting in which education material is distributed and introduced. The Chancellor, Director of Athletics, and Faculty Athletics
Representative also attend this annual meeting and address all members of the athletics department, explaining their expectations.

Upon employment all new coaches and administrators with sport specific responsibilities are required to complete an institutional compliance orientation with the institution’s compliance officer. The new coach is provided with manuals, educational material, etc. relating to rules and policies of the NCAA, SEC, and University. If the new coach has not already completed the NCAA Coaches Certification Test, the compliance office schedules a rules education session and proctors the NCAA coach’s test which is taken on-line. Additionally, all coaches who have not coached at an SEC institution within the past three years are required to participate in a SEC New Coaches Orientation during the first year of their employment.

Each month, the compliance office conducts a coach’s compliance education meeting in which selected topics are reviewed. A monthly compliance newsletter is distributed at this addresses legislation, interpretations, and highlights compliance issues which have received area and national attention. Some meetings are conducted with all coaches while others are with specific sports. Each spring the conference sends a representative to campus to conduct a rules review, answer questions, and administer the annual NCAA coaches recruiting certification exam.

A monthly multi-page compliance newsletter is distributed to all coaches, administrators, and support staff each month. The newsletter is also posted on the Departments internal and external web sites. Once a semester (or as requested) an educational meeting is designed and conducted specifically for clerical support staff.

Student-athletes receive their introduction to rules compliance while they are still prospective student-athletes during their visit to campus. A compliance section for prospects and parents is on the Athletic Department’s external compliance web site. Compliance education programs are presented prospects during campus visits. Before making an official visit, a prospect is sent a list of rules concerning their official visit. Those attending athletic contests are given printed rules reminders when they enter the facility. Once a prospect has signed a letter of intent, a letter is sent from the compliance office informing them of requirements they must meet (i.e., academic, drug testing, mandatory compliance orientation, etc.)

Upon enrollment, student-athletes participate in an annual compliance orientation meeting at the beginning of each year (or at mid year if delayed enrollment). These educational meetings are conducted with each team by one or more compliance personnel. Upon the conclusion of the orientation, student-athletes are issued a compliance packet which contains a variety of information about eligibility requirements, benefits, employment, complimentary admission, etc. More detained compliance information is included in the UM Student Athlete Handbook, which is issued during the student-athlete’s academic orientation by the Academic Support Office.

During the year the compliance coordinator assigned to the sport will visit with team members. The compliance office also publishes a student-athlete compliance newsletter which addresses issues relevant to student-athletes only. The Sr. Associate AD for Compliance and Student Services meets with the Student-Athlete Advisory Committee once a semester to review new or
pending legislation, address specific subjects, and answer questions. There is also a compliance section for enrolled student-athletes on the Athletic Department’s web site.

Alumni and friends of the University are provided a brochure published by the compliance office which provides definitions and outlines what “representatives of the institution’s athletics interest” can and cannot do for both prospects and enrolled student athletes. A representative from the compliance office attends the annual alumni leadership workshop conducted by the Alumni Association and provides similar information to the officers of the various alumni clubs. Compliance representatives also attend at least one meeting annually with sports specific booster groups.

All persons ordering season tickets to athletic contests receive a summary of NCAA rules produced by the compliance office included in their ticket order. Those attending sporting events are exposed to compliance messages on the facilities “jumbo screen” and all media guides and most game programs include compliance messages to the reader.

10. Indicate the individual or individuals responsible for conducting the institution’s rules compliance evaluation. Further, describe the process used in selecting this authority outside of athletics to ensure the individual or individuals do not have day-to-day compliance responsibilities for the institution’s athletics department and are knowledgeable in NCAA legislation and rules-compliance practices. Also, provide the date of the institution’s most recent rules-compliance evaluation.

For the past five years the Southeastern Conference has assisted each member institution with an on-campus compliance review by a knowledgeable outside authority. The review is conducted jointly by the SEC compliance office and a representative from Bond, Schoeneck & King, PLLC, a law firm in Overland Park, Kansas. B.S. & K has extensive experience in conducting compliance reviews and representing institutions before the NCAA Infractions Committee. An initial review was conducted with a follow-up review two years following the initial review. A comprehensive compliance review was conducted on October 18-20, 2004.

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.

- Initial Eligibility Certification (Yes)
- Continuing Eligibility Certification (Yes)
- Transfer Eligibility Certification (Yes)
- Fin. Aid Admin (Yes)
- Recruiting (i.e. official visits, etc.) (Yes)
• Camps and Clinics (Yes)
• Investigations and Self-Repots (Yes)
• Rules Education (Yes)
• Extra Benefits (Yes)
• Playing and Practice Seasons (Yes)
• Student-Athlete Employment (Yes)

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

During their compliance review, B, S, & K made several recommendations which are listed below along with the University’s completed or planned actions.

Compliance Infrastructure Recommendations

1. Specific responsibilities for compliance oversight should continue to be incorporated into each area within the athletics department so that compliance is integrated into the daily operation of the department, rather than being primarily the responsibility of the athletics compliance office to “catch” potential violations.

Response: Such responsibilities are added as policy and procedure manuals and job descriptions are updated.

2. Consider adding the FAR into the personnel evaluation of the Assoc. AD for Compliance.

Response: The Assoc. AD/Compliance continues to be evaluated annually by the Athletic Director in accordance with University’s Human Resource policies.

3. The AD should develop written one year and three year strategic plans for the compliance program to be reviewed annually and approved by the Institutional Compliance Committee.

Response: No plans have been developed at this time.

4. The Institutional Compliance Committee should perform independent testing related to the critical areas identified in the AD’s strategic plans.

Response: No plans have been developed for the Compliance Committee to test.
5. The University should consider adding at least one student-athlete to the Compliance Committee.

Response: No student-athlete has been added to the Compliance Committee. The Institutional Compliance Committee’s mission is to develop policies and procedures to monitor compliance and draws heavily on the expertise of professionals who have extensive experience in technical institutional matters. There is student-athlete representation on the University’s Athletics Committee which gathers, considers, and makes recommendations on student-athlete welfare issues.

6. The job description of athletic personnel should be reviewed annually to ensure that they are consistent with the priorities established by the department’s strategic plans so that proper oversight might be exercised; paperwork flow through the compliance office should be reviewed annually; and evaluate the time consumed by the compliance staff performing clerical duties to determine if clerical support is needed.

Response: Job descriptions are reviewed on an annual basis and updated as needed. No evaluation has been made concerning paperwork flow or clerical support for the compliance office.

**Monitoring Systems/Forms/Rules Education**

1. Comprehensive written outlines of the procedures for monitoring and certifying compliance needs to be developed by the Athletic Director and placed in the Staff Manual or a stand along Compliance Manual.

Response:

2. The rules education program needs to ensure the inclusion of individuals from offices within and outside the Athletics Department who have compliance responsibilities (i.e., Academic Support, Registrar, Financial Aid, etc).

Response: The Director of the Academic Support attends the monthly compliance education meetings. This individual also attends, along with academic counselors, conference workshops and NCAA Regional Rules Seminars. Representatives from the Admissions, Financial Aid, and the Registrar’s Office attend the annual conference workshop. Representatives from these offices all receive the monthly compliance newsletter and are members of the Institutional Compliance Committee. There have not, however, been specific meetings designed for these outside offices.
3. Rules education efforts should be documented through the use of annual rules education file for agendas and a rules education calendar with references to specific constituencies should be developed.

**Response:** Rules educational program agendas and attendance rosters are filed on an annual basis with sample materials which was disseminated or reviewed at the meetings. Annual compliance calendars are maintained within the compliance office, but only in individual planners and not on a department wide calendar which is filed.

4. Individuals who may not fit the traditional “representative of athletics interests” label but who assist with the athletics program should be identified periodically by coaches so that these individuals may be included in the University’s rules-education program.

**Response:** Requests are made annually to coaches to identify such individuals.

5. The responsibility of coaches, athletics department staff, student-athletes, and representatives of the University’s athletic interest to seek interpretations of NCAA legislation when in doubt should be consistently reinforced in writing.

**Response:** Every effort is made to remind all groups to contact the compliance office with questions.

6. Rules interpretation requests should be submitted in writing to the greatest extent possible and the questions should be answered in writing.

**Response:** In an effort not to discourage coaches and staff from seeking correct information, the compliance office does not require that questions be submitted in writing. However, when the issue is complex or the consequences significant, the question as it was understood and the interpretation is returned in writing.