INSTRUMENT

2009-2010 DIVISION I ATHLETICS CERTIFICATION SELF-STUDY INSTRUMENT

Governance and Commitment to Rules Compliance

Operating Principle

1.1 Institutional Control, Presidential Authority and Shared Responsibilities.

Self-Study Items

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

a. The original "condition" imposed;
b. The action(s) taken by the institution;
c. The date(s) of the action(s); and
d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the committee.

1. **Condition**

No conditions for certification as they relate to Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibility) were imposed by the committee in its Cycle 2 certification decision.

Action

No conditions for certification were imposed by the committee in its Cycle 2 certification decision so no action was taken.

Action Date

No conditions for certification were imposed by the committee in its Cycle 2 certification decision so no action was taken.

Explanation for partial or non-completion

No conditions for certification were imposed by the committee in its Cycle 2 certification decision so no action was taken and therefore there were no partial or noncomplete actions.

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its Cycle 2 certification process for Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). In each case, provide:

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 noncompletion of such plans.

Please note, the institution will not be required to fulfill an element of a Cycle 2 plan if the element does not affect conformity with a current operating principle.

Governance and Commitment to Rules Compliance

1. **Original Plan**

1.1.2.1 Ensure compliance. Periodic evaluations are conducted to ensure compliance. The current mission statement for the department of athletics was revised in May 2000. The mission will continue to be circulated via all athletics printed documents to student-athletes, faculty, staff and university supporters.

Action

1.1.2.1 The mission statement is reviewed annually by the Department of Athletics and by the Faculty Athletics Committee. It is then submitted to the president for final review and approval by June 30 of each year. The mission statement was not changed between May 2000 and 2008. The mission statement was revised and approved by the Department of Athletics and the Faculty Athletics Commitee and approved by the president in 2009.

Action Date

1.1.2.1 After the mission statement was revised in May 2000, it was not changed until it was revised in 2009.

Explanation for partial or non-completion

1.1.2.1 The plan was successfully completed.

2. **Original Plan**

1.1.2.2 Ensure compliance. Periodic evaluations are conducted to ensure compliance. Continue to have governing board be involved in and approved the hiring of personnel, modifying contracts, approving of contracts greater than $100,000 and adding new sports, namely softball and bowling. (Individuals and officers responsible for implementation: governing board.) Continue to have the president of the university and the governing board make and approve major intercollegiate athletic decisions. (Individuals and officers responsible for implementation: president and governing board).

Action

1.1.2.2 The president interviewed the head football coach and men's basketball coach (both of whom have annual salaries greater than $100,000) and approved their applications. The approved applications were sent to the university's governing board (Mississippi Board of Trustees of State Institutions of Higher Learning)for review and final approval. The president reserves the right to review and approve all contracts offered to faculty, staff and athletics department personnel.

Women's softball, women's soccer and women's volleyball were added as NCAA-sponsored sports. The addition of these sports was approved by the president and the Southwestern Athletic Conference.

Action Date

1.1.2.2 The date of the president's (Dr. Ross) approval for the contract for the head football coach (Ernest Jones) was January of 2008.

The date of the president's (Dr. Ross) approval for the contract for the head football coach (Ernest Colllins) was April of 2009.

The date of the president's (Dr. Ross) approval for the contract of men's basketball coach (Larry Smith) was May of 2008.

Women's softball, women's bowling and women's soccer were added as NCAA-sponsored sports in the 2004 academic year.

Explanation for partial or non-completion

1.1.2.2 The plan was successfully completed. However, during the 2006-2007 academic year, women's bowling was discontinued due to a lack of interest by female undergraduates. Women's bowling remains a sport that is sanctioned by the Southwestern Athletic Conference.

3. **Original Plan**

1.1.2.3 Established Fiscal Policies and Procedures-Plan for Improvement: New or Altered Plan in Response to CAC Issues. Equity in Athletics Disclosure Act (EADA). To complete the annual EADA report to ensure that all funds expended for athletics by the ASU Founcation are reflected in this report. The Executive Director of the ASU Foundation will assist in completing the report to ensure compliance. The action would be taken annually. Information from the ASU Foundation is provided every year to the athletics department and the Business Office to assist these entities in the preparation of the annual EADA report.

Action

1.1.2.3 The following procedure was implemented.The information about funding is received by the athletics department from the ASU Foundation. The athletics department sends the information to the Office of Finance and Administrative Services. That office prepares the operation and expenses section of the EADA report. The other sections are completed by the athletics department and the Office of Institutional Research and Assessment.

Action Date

1.1.2.3 This procedure was instituted in 2002 and has taken place annually since then. The EADA report is submitted to the NCAA during the fall semester of each academic year.

Explanation for partial or non-completion

1.1.2.3 There is no explanation because the plan was successfully completed.

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

a. The additional plan;
b. The action(s) taken by the institution; and
c. The date(s)of the actions.

a.There was no additional plan for improvement/recommendations between the end of the Cycle 2 certification decision and the beginning of the Cycle 3 certification process.

b.There was no action taken by the institution because there was no additional plan for improvement/ recommendations between the end of the Cycle 2 certification decision and the beginning of the Cycle 3 certification process.

c.No action was taken so there were no date(s) for the action(s).

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

The president of ASU maintains clear and direct oversight of the athletics program. The director of athletics reports directly to the president and meets with him periodically. The faculty athletics representative (FAR) reports directly to the president and meets at least monthly with him. The compliance officer reports to the director of athletics and also meets periodically with the president to report on compliance and other issues.

The reporting lines and oversight are visually reflected in an organizational chart for the athletics department that will be made available to the Peer Review Team (PRT). In descriptive terms, the reporting lines are as follows:

The FAR, director of athletics, and the Faculty Athletics Committee (FAC) make recommendations directly to the president.

Prior to January, 2008, the athletics director reported directly to the vice president of finance. After January, 2008, the change was made so that the athletics director reports directly to the president.

The president maintains clear and direct oversight of the athletics program by participating in the hiring of head coaches, by approving all major construction projects involving athletic facilities and by approving the budget of the athletics department on an annual basis. These actions are described in detail in the university's answer to Item No. 1.1.2.2 (participating in the hiring of head coaches), Item No. 1.1.5 (approving all major construction projects involving athletic facilities) and Item No. 1.1.12 (approving the budget of the athletics department on an annual basis) of this self-study instrument.

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

a. Chancellor or president;
b. Athletics board or committee;
c. Faculty senate (or other faculty governing body);
d. Student-athlete advisory committee;
e. Director of athletics;
f. Faculty athletics representative;
g. Senior woman administrator; and/or
h. Other individual(s) or campus constituencies.

Major Decision No. 1: Renovations to Whitney Complex (training room, men's and women's basketball locker rooms, football locker room)

a. Chancellor or president:
The president reviewed and approved the athletics director's request for these renovations.

b. Athletics board or committee:
The Faculy Athletics Committee did not have any role or involvement.

c. Faculty Senate
The Faculy Senate did not have any role or involvement.

d. Student-athlete advisory committee:
The student-athlete advisory committee did not have any role or involvement.

e. Director of athletics
The director of athletics prepared the request and submitted it to the president for review and approval.

f. Faculty athletics representative
The faculty athletics representative did not have any role or involvement.

g. Senior woman administrator
The senior woman administrator was involved in the request for renovations in training room and women's basketball locker rooms. She and the director of athletics reviewed and approved the request.

h. Other individual(s) or campus constituencies
The A Club was responsible for securing the funds for the renovations. The funding was donated to the ASU Foundation. The Foundation Office released the funds upon approval by the president for the renovations.

The athletic trainers as well as several coaches and student-athletes voiced their concerns to the athletics director about the need for renovations to the training room, men's and women's basketball locker rooms and football locker room.

Major Decision No. 2: Renovate and upgrade softball field to meet collegiate participation requirements.

a. Chancellor or president:
The president reviewed and approved the athletics director's request for the work.

b. Athletics board or committee:
The Faculy Athletics Committee did not have any role or involvement.

c. Faculty Senate
The Faculy Senate did not have any role or involvement.

d. Student-athlete advisory committee:
The student-athlete advisory committee did not have any role or involvement.

e. Director of athletics
The director of athletics prepared the request and submitted it to the president for review and approval.

f. Faculty athletics representative
The faculty athletics representative did not have any role or involvement.

g. Senior woman administrator
The senior woman administrator was involved in the request for this work. She and the director of athletics reviewed and approved the request.

h. Other individual(s) or campus constituencies
The funding came from state monies approved by the vice president for finance and administration. The design and execution of the upgrade was handled by the facilities manager.

The coach of the softball team and several student-athletes voiced their concerns to the athletics director about the need for the upgrades to the softball field.

Major Decision No. 3: Installation of new gym floor and lower seating of basketball floor as well as the goals. The upper level seating was also refurbished.

a. Chancellor or president:
The president reviewed and approved the request prepared by the director of athletics.

b. Athletics board or committee:
The Faculy Athletics Committee had no role or involvement.

c. Faculty Senate
The Faculy Senate did not have any role or involvement.

d. Student-athlete advisory committee:
The student-athlete advisory committee did not have any role or involvement.

e. Director of athletics
The director of athletics prepared and submitted the request for this work.

f. Faculty athletics representative
The faculty athletics representative did not have any role or involvement.

g. Senior woman administrator
The senior woman administrator reviewed and approved the request along with the director of athletics.

h. Other individual(s) or campus constituencies
The institution's facilities manager, outside architects and outside contractors were involved in the execution of the work.

The men's basketball coach and the women's basketball coach, along with several alumni, voiced their concerns to the athletics director about the need for these renovations.

Major Decision No. 4: Renovation of baseball field (new bleachers, men's and women's rest rooms, press box, lighting, and fencing)

a. Chancellor or president:
The president reviewed and approved the request prepared by the director of athletics.

b. Athletics board or committee:
The Faculy Athletics Committee had no role or involvement.

c. Faculty Senate
The Faculy Senate did not have any role or involvement.

d. Student-athlete advisory committee:
The student-athlete advisory committee did not have any role or involvement.

e. Director of athletics
The director of athletics prepared and submitted the request for this work.

f. Faculty athletics representative
The faculty athletics representative did not have any role or involvement.

g. Senior woman administrator
The senior woman administrator did not have role or involvement.

h. Other individual(s) or campus constituencies
The institution's facilities manager, outside architects and outside contractors were involved in the execution of the work.

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

The institution's written governance policies regarding the administration and oversight of the athletics program, including the specific role and responsibilities of the institution's governing board are as follows:

The governing board of Alcorn State University is the Mississippi Board of Trustees of State Institutions of Higher Learning (IHL) for the state of Mississippi. In its Policies & Bylaws, the IHL delineates its written governance policies regarding the administration and oversight of the athletics program. These policies are described in Section 613 ATHLETICS and Section 704 ATHLETIC OPERATING BUDGETS of the Policies & Bylaws:

613 ATHLETICS

A. ATHLETIC RECRUITMENT

The Board endorses the National Collegiate Athletic Association (NCAA) rules and regulations for the recruitment of student athletes. The Board reserves the prerogative to adopt standards more restrictive than those which have been approved by NCAA but under no conditions shall the Board adopt less restrictive standards. All institutional standards and/or policies relating to institutional athletics will be on file in the Board Office.

B. INTERCOLLEGIATE AND INTRAMURAL ATHLETICS

The programs of intercollegiate and intramural athletics of the state institutions shall be organized and developed as elements in the total educational programs of the institutions. Athletic programs shall be conducted so as to promote the total welfare of students, including physical and mental health and the development of capacities and talents, and so as to contribute to the morale of students, alumni and friends of the institutions. Programs of intercollegiate athletics shall be under the complete control of the Institutional Executive Officers, subject to the oversight of the Board. Funds used to support all athletic programs shall be

fully controlled by the Institutional Executive Officer of the institution; however, no funds budgeted for instructional purposes may be diverted to athletics and no athletics funds may be diverted to other purposes without approval by the Board. Standards of the NCAA and appropriate regional conferences shall be the standards of the institution's athletic departments.

C. ATHLETIC TICKETS

Upon request, Institutional Executive Officers may furnish complimentary athletic tickets for Board members. The number of such tickets for any one event is not to exceed six. Upon request to the institutions, former Board members may receive two complimentary tickets for athletic events. The Board delegates to the respective Institutional Executive Officers the administrative responsibility of issuing complimentary athletic tickets to individuals other than those identified in the preceding paragraph. (Universities shall keep accurate records of complimentary tickets distributed by number of tickets and category of recipients and shall file an annual report with the Commissioner.)

704 ATHLETIC OPERATING BUDGETS

704.01 ATHLETIC REVENUE AND EXPENDITURES

Institutional Executive Officers are authorized each fiscal year to transfer or use up to the following amounts from Unrestricted Educational and General (E&G) funds for athletic expenditures:

University of Mississippi, Mississippi State University, University of Southern Missisippi $1,000,000

Delta State University, Jackson State University, Alcorn State University, Mississippi Valley State University $1,300,000

For the purposes of this section, athletic expenditures includes all direct operating costs, pro-rated costs for facilities support, all athletic scholarships, but excludes waivers of non-resident tuition for athletes.

Over and above the sums shown above, each school is authorized to expend a limited amount per student FTE from Unrestricted Education and General funds. The maximum amount per student FTE per semester (summer, fall, and spring) for each institution is $175.00. Every three years beginning after FY 2005 the athletic allocation will be reviewed and automatically indexed to the Consumer Price Index. All other revenue for athletic expenditures must 1) be generated directly by the institution through athletic department receipts, 2) income from available athletic fund balances, or 3) for those institutions operating athletics as an auxiliary enterprise, come from available auxiliary fund balances. Under no circumstances shall an institution conclude a fiscal year with a deficit.

704.02 ATHLETIC BUDGET APPROVAL AND REPORTING

Institutional Executive Officers shall present a detailed, balanced athletic budget for Board approval with their annual operating budget.

The written athletics governance policies and/or written communication is provided to the governing board on an annual basis as follows. The athletic budget as part of the university's budget is submitted to IHL on an annual basis. Contracts for athletics personnel in excess of $100,00 per year that have already approved by the university are submitted to IHL as necessary.

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

The decisions related to intercollegiate athletics in which the institution's governing board has been involved are listed below along with the extent to which the IHL was involved:

The funding for the following capital improvement projects described in Item No. 1.1.5 in this self-study instrument was approved by IHL. These included renovations to the Whitney Complex (training room, men's and women's basketball locker rooms, football locker room); renovation of softball field; gym upgrades; and renovation of the baseball field (new bleachers, men's and women's rest rooms, press box, lighting, and fencing).

The hiring decisions for the following individuals was approved by the IHL:

Director of athletics Mrs. Brenda Square (Spring 2008)
Head football coach Ernest Jones (Spring 2008)
Head men's basketball coach Larry Smith (Fall 2008)
Head football coach Ernest Collins (April 2009)

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

The institution's governing board's decisions regarding the athletics program are consistent with those of other campus units in the following areas.

The hiring of any employee with a salary above $100,000 within any unit of the university must be approved by IHL.

The IHL approves capital outlays of monies for construction and renovations to all facilities for all units of the university.

The IHL grievance procedures for terminated athletic and non-athletic employees are consistent for all units of the university.

9. For each of the following individuals or groups:

a. Explain the role and authority of the individual or group as it relates to intercollegiate athletics;
b. Describe how the individual or group has the opportunity (if any) to provide meaningful input into the formulation of athletics department policies (e.g., review admissions data, review academic performance data, receive periodic reports from athletics department); and
c. Describe how the individual or group has the opportunity (if any) to periodically review policy implementation related to athletics.

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

1. Athletics board or committee
a. The Faculty Athletics Committee is concerned with informing the faculty and advising the president on any aspect of athletics, including, but not limited to, the academic experience for varsity athletes, and the general conduct and operation of the University's athletic program.
b. The FAC gives meaningful input to the president on such topics as the athletics department policies and procedure manual and the student-athlete handbook.
c. The FAC periodically reviews documents from the athletics department such as the athletics department policies and procedures manual.

2. Faculty senate (other faculty governing body)
a. The faculty senate has the ability to review at its discretion any decision related to intercollegiate athletics.
b. The faculty senate may at its discretion give meaningul input to the president regarding intercollegiate athletics.
c. The faculty senate may at its discretion review decisions made by the president regarding intercollegiate athletics.

3. Faculty athletics representative
a. FAR assists in the preparation of the NCAA report and confers on academic matters regarding athletes with administration, faculty, admissions, registration, financial aid and alumni, reviewing certification of academic eligibility as well as reviewing graduation rates of student athletes. FAR is well known to the university's student athletes. The FAR maintains an interest in student athlete welfare through observation and through exit interviews of those students terminating athletic activity and in active involvement with the student-athlete advisory committee, and its officers. The FAR influences policy and assists in the maintenance of integrity on the institutional, conference, and national level
b. The FAR meets regularly with the Athletic Director. FAR assists the athletics director, coaches, senior woman Aaministrator, and compliance officer in understanding and carrying out compliance requirements, and in the administration of the coaches' certification tests, and secondarily participates in NCAA rules education at the university, and in preparation of written reports of infractions, waivers or appeals. The FAR participates in investigations in which major or minor rules violations may have been committed.
c. The FAR has the responsibility to inform the athletics department of faculty concerns, and conversely, inform faculty of developments in athletics, and be active in the development of athletics policy. The FAR provides advice to the president that reflects the traditional values of the faculty and which is rooted in the academic ethic of the university.

4. Student-athlete advisory committee
a. The student-athlete advisory committee's role is to make recommendations to the athletics director regarding intercollegiate athletics
b. The student-athlete advisory committee is represented by at least one athlete in each sport (both revenue generating and non-revenue generating sports).
c. The student-athlete advisory committee periodically reviews concerns by student-athletes and refers such

concerns to the athletics director.

5. Other individual(s)or campus group(s)
a. The cheerleaders do not have any authority as it relates to intercollegiate athletics but have a role in that they represent the university at athletic events and travel with the sports team on university-sanctioned trips.
b. The cheerleaders may make their concerns known to the university through the student-athlete advisory committee.
c. The cheerleaders do not periodically review policy implementation related to athletics.

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

To demonstrate how the activities of Alcorn's booster group (A-Club) and other support groups are maintained under the clear control of the institution, the athletics department on an annual basis (spring semester) presents a compliance pamphlet that educates by covering areas such as financial aid, eligibility, recruiting and institutional issues. This informational plan is described as follows:

This compliance information for the A-Club (Booster Club and other possible support groups) is provided in several formats:

Annually, a pamphlet entitled Boosters/Representative of Athletic Interest is provided to A-Club during the month of August/September. This pamphlet discusses frequently asked questions, permissible assistance by a booster to a prospect and enrolled student athlete and a "did you know" section along with other information. In addition, athletic personnel contact information is made available in the pamphlet.

Annually, during the month of February, the institutions National Alumni Association holds its annual Alcorn State University Alumni Mid-Winter Conference. At this conference, any and all applicable resource information such as NCAA, conference and/or institutional updates is disseminated to any potential booster/representative of athletic interest.

The athletics department realizes the potential for rules violation by booster and support groups and so has developed plans for imporvement to ensure that athletics maintain a clear control over its external groups. These plans for improvement are described at the end of this section of the self-study instrument.

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

The names of the members of the Faculty Athletics Committee for the 2010-2011 academic year with their departments and titles are as follows:

Dr. Norris Edney
Office of the President
Interim President

Dr. John G. Igwebuike
Business
Faculty Athletics Representative

Katangelia Tenner
Assistant Admissions Director
Interim Director

Emmanuel Barnes
Admissions
Director

Moses Dupre
Athletics
Director of Compliance

Jimmy Smith
Registrar's Office
Interim Registrar

Dr. Gerald Peoples
Student Affairs
Vice President

Connie Hannah-Willis
Student Affairs
Associate Vice President of Student Affairs

Dr. Richard Green
Academic Affairs
Provost and Vice President for Academic Affairs

Dr. Edward Vaughn
College of Excellence
Dean

Brenda Square
Athletics
Athletics Director

Juanita Russell
Financial Aid
Director

Dr. George Sanders
Financial Aid
Assistant Director

Colonel Rickey Coleman
College of Excellence
Academic Athletic Advisor

Robert Z. Carr
College of Education
Dean

Mrs. Lijuna Weir
Athletics Department
Associate Athletics Director
Senior Women's Administrator

Melaine Wells
Student Athlete Advisory Committee
President

Jason Owens
Student Athlete Advisory Committee
Vice President

Corey Cooper
Student Government Association
President

Dr. Paula D. Dobard
Nursing
Professor

Dr. Lisa Micich
College of Business
Assistant Professor

Dr. Dickson Idusuyi
Faculty Senate
President

Dr. April Owens Rankin
Faculty Assembly
President

Dr. Keith McGee
Department of Biology
Assistant Professor

Dr. Peter Malik
Department of English and Foreign Languages
Associate Professor

Dr. Cassandra Vaughn
Department of Agriculture
Associate Professor

Harry Brown
Alumnus

Permy Thuha
Institutions of Higher Learning for State of Mississippi
Internal Auditor

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

1. budget;
2. accounting;
3. purchasing; and
4. debt management.

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

1. budget

All budgets are set by the university's appropriate entities i.e. divisions, schools, etc. The director of athletics, coupled with the institution's business office and the athletics operations business manager establishes an operating budget for this unit, while budgets are set for other relevant budgets to athletics. For example, there are allocations to the athletics budget from at least three funding sources: the institution's general fund (E & G), allocations for athletic scholarships (athletic grant in aids and fee waivers) and the ASU Foundation which includes funds generated fund raising and donations. The budget developed by the athletics department is then submitted to the vice president for finance and administration for review and approval and is then submitted to the president and the Budget Advisory Council. Once approved, the budget for the athletics department becomes part of the overall budget of the university. The overall budget is submitted to the institution's governing board which is the Institutions of Higher Learning for the state of Mississippi (IHL). The president maintains control by periodically reviewing the budget throughout the fiscal year. In addition, he reviews the budget through his regular meetings with the athletics director and the vice president for finance and administration and the Budget Advisory Council.

2. accounting

All financial records are first maintained by the individual departments with the assistance of the university's general accounting department. The vice president for finance and administration, who reports directly to the president, advises the president on revenues and expenditures of a specific department and the university as a whole to ensure that the sources of the funds are used according to specific guidelines. However, the institution's business office is ultimately responsible for review and approval of all expenditures.

3. purchasing

Any purchases required by the athletics department whether using state money or funds utilized through the ASU Foundation must be approved through the institution's normal approval process. This process is facilitated through the Banner computer system for state monies and a manual system for Foundation and private donations. In both processes, the president maintains control of state funds through the vice president of finance and administration/ business office. As to money generated through a private source, the president has a signature line to approve all expenditures from the Foundation.

4. debt management

The university's president and vice president for finance and administration are responsible for the management of the university's through the administration and approval of the annual budget. All budgets for the institutions governed by the IHL within the state of Mississippi are required to submit balanced budgets.

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

The institution's president maintains control with respect the athletics program in the same manner and extent as he does for other on-campus programs and departments in this manner.

With respect to the budget, accounting, purchasing and debt management functions as described in Item No. 12, the president reviews other on-campus programs and departments in the identical manner as he reviews the athletics department.

The vice president of finance and administration and the Budget Advisory Council review the budget of other on-campus programs and departments to the same extent as they review the athletics department.

For example, the library purchases books. The purchase requisition goes through the Banner system in order to be approved if state monies are being used. The athletics department purchases helmets, the purchase requisition goes through the Banner system in order to be approved if state monies are being used.

If the purchase amount is more than $5,000, bidding takes place from two sources for purchases by the athletics departments and all on-campus programs and departments.

The Southwestern Athletic Conference has an exclusivity contract for its 10-member institutions with a shoe and apparel company for shoes and apparel for the athletic teams within the conference. However, this contract was approved by the Presidents Council which is comprised of all 10 presidents of conference schools.

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

The dashboard indicators are made available to the president on an annual basis. The president reviews the dashboard indicators which allow Division I presidents and chancellors to compare their own budgets against their peers in aggregate form. The assistant to the president and the vice president of finance and administrative services may be asked by the president to review the dashboard indicators.

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

The plan(s) for improvement were developed by the Rules Compliance Subcommittee over the course of the self-study. The plan(s) for improvement were reviewed and approved by the president, co-chairs of the Steering Committee, the faculty athletics representative and the director of athletics before being reviewed and approved by the Steering Committee and the Faculty Athletics Committee. The plan(s) for improvement were included in the draft of the self-study plan that was posted to the university's Web site. A feedback option was also provided. A press

release was circulated in the campus publication entitled ASU Today which informed the campus community that the self-study plan had been posted to the university's Web site and was available for review and for feedback.

Governance and Commitment to Rules Compliance

Elements	Goals	Steps		
Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
1.0 Improved dissemination of compliance information to A-Club.	1.0 Communicate with at least 60 percent of all season ticket holders and A-Club members	1.1 A pamphlet will be sent to all season ticket holders and potential season ticket purchasers about NCAA rules compliance.	1.1 Compliance officer and ticket manager.	1.1 Fall 2011 and ongoing.
		1.2 The alumni office will distribute the pamphlet on rules compliance.	1.2 Compliance officer and director of alumni affairs.	1.2 Spring 2011 and ongoing.
		1.3 The compliance officer will meet with A-Club in person to discuss compliance rules that govern booster groups.	1.3 Compliance officer.	1.3 Fall 2011 and ongoing.
		1.4 Relevant information about compliance will be placed on the athletics department's Web site.	1.4 Compliance officer, sports information director.	1.4 Spring 2011 and ongoing.

Governance and Commitment to Rules Compliance

Operating Principle

1.2 Rules Compliance.

Self-Study Items

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

a. The original "condition" imposed;
b. The action(s) taken by the institution;
c. The date(s) of the action(s); and
d. An explanation for any partial or noncompletion of such required actions.

Please note, the institution is not required to respond to opportunities for enhancement developed by the peer-review team unless those same items were adopted by the committee.

1. **Condition**

There were no conditions imposed by the committee in its Cycle 2 certification decision.

Action

There was no action because there were no conditions imposed by the committee in its Cycle 2 certification decision.

Action Date

There were no dates because there were no conditions imposed by the committee in its Cycle 2 certification decision.

Explanation for partial or non-completion

There was no partial or non-completion because there were no conditions imposed by the committee in its Cycle 2 certification decision.

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its Cycle 2 certification process for Operating Principle 1.2 (Rules Compliance). In each case, provide::

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 noncompletion of such plans.

Please note, the institution will not be required to fulfill an element of a Cycle 2 plan if the element does not affect conformity with a current operating principle.

1. **Original Plan**

The university will revisit its plan to have its rules compliance program evaluated annually by the Southwestern Athletic Conference Office. Re-establish the evaluation schedule. By the end of the 2000-2001 academic year. Compliance officer meets regularly with conference office on compliance matters.

Action

A rules compliance review was conducted on May 5-6, 2003 and the final report was issued July 15, 2003. Beginning in 2007, there is an annual meeting of all compliance officers from the SWAC member schools. There are monthly phone calls where compliance is a central element on the agenda. The phone call is with the assistant commissioner for compliance and conference staff.

Action Date

An external rules compliance review was conducted in 2003 and the annual meeting and monthly phone calls started in 2007. A external rules compliance review was also conducted in October of 2010.

Explanation for partial or non-completion

A plan for improvement has been developed to assure that the external rules compliance review will be conducted as per NCAA bylaws.

2. **Original Plan**

All student-athletes and coaches will participate in any NCAA sponsored enhancement/ compliance program offered by the university. Coordinator of student-athlete support services will correspond with university and athletic personnel on all enhancement activities offered. Student-athletes and coaches will participate in at least five hours of compliance rules education seminar annually. July 2003 and ongoing.

Action

At least five hours of compliance rules education seminar have been provided annually to student-athletes and coaches since July of 2003. The compliance officer has corresponded with university and athletic personnel on all enhancement activities offered since July of 2003.

Action Date

Student-athletes and coaches have participated in at least five hours of compliance rules education seminar annually since July 2003.

Explanation for partial or non-completion

There is no explanation of any partial or noncompletion of such plans because the plans were successfully completed.

3. Describe any additional plans for improvement/recommendations developed by the institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 1.2 (Rules Compliance). In each case, provide:

a. The additional plan;
b. The action(s) taken by the institution; and
c. The date(s) of the action(s).

a. There was no additional plan because no plans for improvement were developed by institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 1.2 (Rules Compliance).

b. No action was taken because no plans for improvement were developed by institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 1.2 (Rules Compliance).

c. There are no dates of the action(s) because no plans for improvement were developed by institution since the Cycle 2 certification decision was rendered by the committee for Operating Principle 1.2 (Rules Compliance).

Governance and Commitment to Rules Compliance

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

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

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

a. Prior to the 2008-2009 academic year, coaches and staff got a letter of appointment with language that stated that NCAA rules compliance was a central element in all personnel matters for individuals within the athletics department. Beginning with the 2008-2009 academic year, the letter of appointment was eliminated and replace by an "at will" letter which did not contain NCAA language. A plan for improvement has been developed to incorporate language that was formerly in the letter of appointment into the "at will" letter.

Any person whose contract has to be approved by IHL at a certain dollar value receives NCAA compliance language at the time the contract is executed.

b.All job descriptions contain with language that states that NCAA rules compliance was a central element in all personnel matters for individuals within the athletics department.

c. There is no language in performance evaluations that evaluates the individual's knowledge and apptitude that NCAA rules compliance is a central element in all personnel matters for individuals within the athletics department. A plan for improvement has been developed for this item.

5. 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 written evidence that all individuals outside the athletics department who are involved or associated with athletics (including, but not limited to, individuals who have responsibility for admission, certification of academic standing, evaluation of academic performance and administration of financial aid for student-athletes) have statements regarding the importance of rules compliance in all of the following documents:

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

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

a. Prior to the 2008-2009 academic year, individuals outside the athletics department who are involved in rules compliance activities got a letter of appointment with language that stated that NCAA rules compliance was a central element in all personnel matters for individuals within the athletics department. Beginning with the 2008-2009 academic year, the letter of appointment was eliminated and replace by an "at will" letter which did not contain NCAA language. A plan for improvement has been developed to incorporate language that was formerly in the letter of appointment into the "at will" letter.

Any individual outside the athletics department who is involved in rules compliance activities whose contract has to be approved by IHL at a certain dollar value receives NCAA compliance language at the time the contract is executed.

b. No job descriptions for individuals outside the athletics department who are involved in rules compliance activities contain with language that states that NCAA rules compliance is a central element in all personnel matters for individuals outside the athletics department. A plan for improvement has been developed for this item.

c. There is no language in performance evaluations that evaluates the individual's knowledge and apptitude that NCAA rules compliance is a central element in all personnel matters for individuals outside the athletics department involved in rules compliance activities. A plan for improvement has been developed for this item.

6. Provide the name(s) and title(s) of the individual(s) who has ultimate responsibility in determining student-athlete's admission to the institution, certification of academic standing, and evaluation of academic performance.

The individual with the ultimate responsibility for determining a student-athlete's admission to the institution is the director of admissions, Emmanuel Barnes.

The individual with the ultimate responsibility for determining a student-athlete's certification of academic standing is the registrar, Jimmy Smith.

The individual with the ultimate responsibility for determining a student-athlete's evaluation of academic performance is the academic athletic advisor, Rickey Coleman

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

The name and title of the individual who the president has designated as having final authority for the institution's rules compliance is Dr. John Igwebuike, faculty athletics representative.

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

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

1. Eligibility certification;
2. Investigation and self-reporting of violations;
3. Monitoring of financial aid; and
4. APP.

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a. Faculty athletics representative
1. The faculty athletics representative reviews, evaluates and approves all eligibility certification forms for student-athletes.
2. The faculty athletics representative is the lead officer appointed by the president for investigations and self-reporting of violations. He serves on the committee for investigations and self-reporting of violations.
3. The faculty athletics representative does not monitor financial aid.
4. The faculty athletics representative reviews, evaluates and approves the APP for all student-athletes who are recipients of athletic aid.

b. Director of athletics
1. The director of athletics reviews, evaluates and approves all eligibility certification forms for student-athletes.
2. The director of athletics serves on the committee for investigations and self-reporting of violations.
3. The director of athletics reviews, evaluates and approves financial aid awards for all student-athletes.

4. The director of athletics reviews and evaluates the APP for all student-athletes who are recipients of athletic aid.

c. Compliance officer/director
1. The compliance officer reviews, evaluates and approves all eligibility certification forms for student-athletes.
2. The compliance officer representative is the lead officer appointed by the president for investigations and self-reporting of violations. He serves on the committee for investigations and self-reporting of violations.
3. The compliance officer reviews, evaluates and approves financial aid awards for all student-athletes.
4. The compliance officer performs the APP for all student-athletes who are recipients of athletic aid.

d. Coaches
1. The coaches provide the compliance officer with a potential list of student-athletes for evaluation of eligibility certification, i.e. continuing and initial.
2. The coaches are not involved in the investigation process but are responsible of self-reporting of violations.
3. The coaches are responsible for the monitoring of the financial aid awards for student-athletes on their respective teams.
4. The coaches are responsible for the APP of the student-athletes on their respective teams with regard to retention and graduation rates.

e. Other key individuals (director of admissions)
1. The director of admissions is responsible for eligibility certification for initial and transfer student-athletes.
2. The director of admissions is involved in the investigation process in cases of academic fraud and is responsible for self-reporting of violations.
3. The director of admissions is involved in the monitoring of financial aid with regard to other countable related aid where athletics is a major criteria.
4. The director of admissions is not involved in APP.

e. other key individuals (director of student financial aid)
1. The director of student financial aid is involved in eligibility certification by determining all students' financial aid.
2. The director of student financial aid is part of any investigation involving improper use and/or receipt of financial aid. She is responsible for self-reporting of violations.
3. The director of student financial aid is responsible for monitoring financial aid for all part-time and full-time students enrolled in the institution.
4. The director of student financial aid is responsible for APP with regard to supplying the names of those students who are recipients of athletic aid to the compliance officer.

e. other key individuals (registrar)
1. The registrar has ultimate responsiblity for eligibility certification of all part-time and full-time students enrolled in the institution.
2. The registrar is involved in the investigation process in cases of academic fraud and is responsible for self-reporting of violations.
3. The registrar has no role in monitoring of financial aid.
4. The registrar is responsible for providing the official document (i.e. academic transcript) to the compliance officer to complete the APP process.

The president maintains clear and direct oversight of the athletics program. The director of athletics reports directly to the president. The faculty athletics representative reports directly to the president. The compliance officer reports directly to the athletics director and also meets with the president and faculty athletics representative on a periodic basis on compliance matters. The director of admissions reports directly to the vice president of student services. The director of financial aid reports directly to the vice president of student services. The registrar reports directly to the vice president for academic affairs and provost.

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

	Yes	No	N/A
Initial eligibility.	X		
Continuing-eligibility certification.	X		
Transfer-eligibility certification.	X		
APP	X		
Financial aid administration.	X		
Recruiting.	X		
Camps and clinics.	X		
Investigations and self-reporting of rules violations.	X		
Rules education.	X		
Extra benefits.	X		
Playing and practice sessions.	X		
Student-athlete employment.	X		
Amateurism.	X		

10. Describe how the institution's written compliance policies and procedures are communicated on an annual basis to athletics department staff and individuals outside the athletics department with rules compliance responsibilities.

The compliance officer meets annually with the Admissions Office staff, Financial Aid Office staff, and the Registrar's Office staff. A representative from one or more of these departments attends the NCAA Annual Compliance Seminar.

Hard copies of compliance manual and the policies and procedures are available in the athletics department and posted on the Athletic and Compliance Matters Web site.

The athletic interest /booster clubs pamphlet is available in the Athletics Department and posted on the Athletic and Compliance Matters website.

11. Describe the institution's rules-education efforts for all individuals associated with the athletics department, including the frequency and topics reviewed with each of the following groups:

a. Boosters;
b. Student-athletes;
c. Athletics department staff;
d. Coaches;
e. Faculty; and
f. Institutional staff outside the athletics department.

a.) Boosters:

1) A rules education brochure is distributed annually to (A-Club) donors informing them of rules regarding the "institutional athletics interest" rules. The pamphlet/brochure also refers them to the compliance officer if they have any questions.

2) The foundation office personnel are educated on the NCAA rules and regulations in an annual meeting with the compliance officer.

3) There is a representative of the alumni and representatives of the athletics department on the Faculty Athletics Committee where compliance education occurs and issues such as the APR are discussed on a monthly basis.

b.) Student-athletes:

1) Student-athletes are informed of the NCAA rules and regulations at the student-athlete certification meetings at the beginning of each academic year. The Student-Athlete handbook includes NCAA rules and regulations, and the Summary of NCAA Regulations is distributed and presented, and NCAA banned substances, drug testing policies and procedures, gambling, hazing, amateurism, extra benefits, alumni and boosters, employment restrictions, recruiting and eligibility requirements are covered.

2) Adjustment to University Life and/or Survival Skills coupled with The NCAA Champs/Life Skills program is required for all student athletes during their first term at the college. The course meets weekly and covers a number of life skills, and legal issues. Students are given a letter grade based on their ability to meet the challenges provided in the course syllabus.As to the Student-Athlete Advisory Committee's (SAAC), its' charge is to voice questions and concerns regarding NCAA rules to the athletic administration. The President of the SAAC meets periodically with the Director of Athletics.

c.) Athletics department staff:

1) The Department of Athletics holds quarterly "all staff meetings" run by the Director of Athletics. NCAA rules compliance is a standing agenda item. Policies and Procedures are covered, and new/changed legislation is covered. Policies and Procedures for NCAA rules interpretations are also covered.

2) Department of Athletics personnel who supervise sport programs, and coaches are required to attend the student-athlete certification meetings at the beginning of the academic year respectively.

3) The compliance officer, academic athletic advisor and the athletics director meet bimonthly. Compliance issues are always an agenda item at these meetings.

4) The Department of Athletics staff meets periodically. Compliance issues are always an agenda item at these meetings.

5) Hard copies of the new NCAA legislation and changes to NCAA legislation are provided to coaches and administrators.

6) The compliance officer provides interpretations and one on one education to administrators and staff daily as a result of inquiries to the NCAA rules.

7) NCAA rules reminders are sent regularly to coaches and administrators.

8) Frequently asked questions are sent as interpretations to all coaches and administrators.

9) SWAC interpretations are sent to the appropriate programs and administrators.

10) There is a representation of the athletic staff on FAC where compliance education occurs and issues are discussed.

11) The Compliance Officer attends the NCAA rules seminar annually.

d.) Coaches:

1) Department of Athletics personnel who supervise sport programs, I.e.; (SWA and Assistant Athletic Director) and coaches are required to attend the student-athlete certification meetings at the beginning of the academic year respectively.

2) There are periodic Head Coaches meeting with the Director of Athletics. The compliance officer attends those meetings when rules education is deemed appropriate.

3) Hard copies of new NCAA legislation and changes to NCAA legislation are provided to coaches and administrators.

4) NCAA rules reminders are sent regularly to coaches and administrators.

5) The compliance officer gives interpretations and one on one education to administrators and staff daily as a result of inquiries to the NCAA rules.

6) Frequently asked questions are sent as interpretations to all coaches and administrators.

7) SWAC interpretations are sent to the appropriate programs and administrators.

8) Coaches are represented on FAAC where compliance education occurs and issues are discussed.

e.) Faculty:

1) The Faculty Athletic Representative (FAR) is the chair of the Faculty Athletics Committee where compliance issues are discussed.

2) Each student-athlete has a letter from the Athletic Department to present to their respective instructors at the beginning of each term, informing them of any potential missed classes for that term. This letter also includes NCAA rules and regulations.

3) The class attendance policy for student-athletes is documented in the 2008-10 ASU General Catalog.

4) Team contest schedules are sent to the faculty making them aware of any contests that may conflict with class.

f.) Institutional staff outside the athletics department:

1) The compliance officer meets annually with the Admissions Office staff, Financial Aid office staff, and the Registrar's Office staff.

2) A representative from one or more of these aforementioned departments is invited to attend the NCAA Annual Regional Rules Conference,

3) The compliance officer is available for any campus meeting where NCAA rules and regulations need to be reviewed and discussed.

12. In regard to the institution's most recent rules-compliance evaluation:

a. Provide the name(s) and affiliation(s) of the individual(s) responsible for conducting the institution's rules-compliance evaluation;

b. Describe the process used in selecting this authority outside the athletics department to ensure the individual(s) does not have day-to-day compliance responsibilities for the institution's athletics department and is knowledgeable of NCAA legislation and rules compliance practices; and

c. Provide the date of the institution's most recent rules-compliance evaluation.

A rules compliance evaluation was conducted in 2003. An on-campus rules compliance evaluation visit occured on May 5-6, 2003. The final rules compliance evaluation report was issued on July 15 2003 by Donald R. Sims, assistant athletic director for compliance, Mississippi Valley State University.

A rules compliance evaluation was conducted in 2010. An on-campus rules compliance evaluation visit occurred on October 25-26, 2010 by LaShona Stirgis, former compliance officer at Grambling State University.

13. The rules compliance evaluation must determine that the institution's compliance practices are engaged and functioning and must include the required areas listed below. Indicate by clicking "yes" or "no" in the ACS which areas were included in the institution's most recent rules compliance evaluation. If the institution indicates that a specific area is not applicable (N/A), the institution must provide an explanation. Please use the file upload link contained within this question on ACS to submit an explanation if the institution selects N/A.

Governance and Commitment to Rules Compliance

	Yes	No	N/A
Governance and organization.	X		
Initial-eligibility certification.	X		
Continuing-eligibility certification.	X		
Transfer-eligibility certification.	X		
APP.	X		
Financial aid administration, including individual and team limits.	X		
Recruiting (e.g., contacts and evaluations, official and unofficial visits).	X		
Camps and clinics.	X		
Investigations and self-reporting of rules violations.	X		
Rules education.	X		
Extra benefits.	X		
Playing and practice seasons.	X		
Student-athlete employment.	X		
Amateurism.	X		
Commitment of personnel to rules compliance activities.	X		

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

The review of the rules compliance evaluation is being conducted across a broad spectrum of the university's community. Dr. John Igwebuike, faculty athletics representative, Mrs. Brenda T. Square, athletics director, and Dr. Edward Vaughn, chair of the Rules Compliance Subcommittee, are reviewing the evaluation along with the Faculty Athletics Committee, the Rules Compliance Subcommittee and the Steering Committee for NCAA Recertification.

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

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

The corrective actions will be determined after the process described in Item No. 2.1.14 has been completed.

16. Submit a copy of the report from the institution's most recent rules compliance evaluation. [Please use the file upload link contained within this question to submit a copy of the institution's most recent rules compliance evaluation.]

The rules compliance evaluation file has been uploaded.

List of attachments

1. Alcorn State University Compliance Review.pdf

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

Governance and Commitment to Rules Compliance

The plan(s) for improvement were developed by the Rules Compliance Subcommittee over the course of the self-study. The plan(s) for improvement were reviewed and approved by the president, co-chairs of the Steering Committee, the faculty athletics representative and the director of athletics before being reviewed and approved by the Steering Committee and the Faculty Athletics Committee. The plan(s) for improvement were included in the draft of the self-study plan that was posted to the university's Web site. A feedback option was also provided. A press release was circulated in the campus publication entitled ASU Today which informed the campus community that the self-study plan had been posted to the university's Web site and was available for review and for feedback.

Governance and Commitment to Rules Compliance

Elements	Goals	Steps		
Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
1.0 Lack of compliance staff	1.0 Increase the compliance by one full-time employee.	1.0 Hire one full-time employee.	1.0 Director of Athletics, FAR, Athletics Business Manager and SWA	1.0 December 2010
2.0 Lack of privacy of compliance office	2.0 Move the compliance office to more private space.	2.0 Move to the first floor of the Whitney Complex.	2.0 Compliance Officer, Facilities Manager, Athletics Director	2.0 October 2010
3.0 Need for professional development relating to rules compliance.	3.0 More rules compliance education for the Registrar.	3.1 The Registrar will attend the NCAA Rules Seminar.	3.1 Registrar, Vice President for Academic Affairs	3.1 August 2011, and ongoing.
		3.2 The Registrar will attend the Southwestern Athletic Conference seminars.	3.2 Registrar, Vice President for Academic Affairs	3.2 August 2011, and ongoing.
4.0 Need for more checks and balances on the athletics program by the FAC.	4.0 FAC should formalize the charge and could serve as an objective check and balance entity to evaluate compliance policies, procedures and review summaries of academic performance and violations.	4.1 FAC members will tour and visit the Whitney Complex more frequently.	4.1 President, FAR, FAC Members	4.1 December 2011 and ongoing.
		4.2 FAC members will attend practices and games on a more regular basis.	4.2 President, FAR, FAC Members	4.2 December 2011 and ongoing.
		4.3 The FAC will hold some of its meetings in the Whitney Complex.	4.3 President, FAR, FAC Members	4.3 December 2011 and ongoing.
		4.4 FAC members will attend NCAA and SWAC rules compliance meetings.	4.4 President, FAR, FAC Members	4.4 December 2011 and ongoing.
5.0 Need for more comprehensive review of documents submitted to Compliance Office.	5.0 Better review to minimize violations and better education of coaches.	5.0 The Compliance Officer conducts reviews of submitted documentation and issue deadline reminders to both the coaches, staff and athletic administrators at least monthly.	5.0 Compliance Officer, SWA, FAR, FAC	5.0 August 2011 and ongoing

Governance and Commitment to Rules Compliance

Elements	Goals	Steps		
Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
6.0 Limited availability of existing rules compliance material.	6.0 Better dissemination of existing rules compliance material.	6.0 The student-athlete handbook, the athletics department policies and procedures and the departmental compliance manual will be placed on the athletics department Web site.	6.0 Compliance Officer, AD, SWA, Athletic Department Webmaster	6.0 Spring 2011
7.0 Need for overall schedule of compliance-related deadlines.	7.0 Submission of compliance documents in a timely fashion.	7.0 A comprehensive compliance calendar will be developed detailing NCAA, Southwestern Athletic Conference and institutional time lines for compliance-related deadlines.	7.0 Compliance Officer, SWA, AD, FAR	7.0 August 2011 and ongoing
8.0 Need for better education of staffers internal and external to the athletics department.	8.0 Create a "culture of compliance" at the university.	8.0 Make presentations about rules compliance during coaches, student-athlete meetings and administrator meetings.	8.0 Compliance Officer, SWA, AD, FAR	8.0 August 2011 and ongoing
9.0 To have rules compliance reviews every four years as per the NCAA guidelines.	9.0 To meet or exceed the prescribed guidelines for such reviews as mandated by the NCAA.	9.0 Arrange to have the rules compliance review every four years.	9.0 Compliance Officer, SWA, AD, FAR	9.0 On or before 2014 and 2018
10.0 Insert rules compliance language in "at will" letter for athletic department employees.	10.1 To improve rules compliance for all employees within the athletics department.	10.1 The compliance officer will work with human resources office to change letter to incorporate rules comliance language.	10.1 Compliance officer and human resources officer	10.1 Spring 2011
	10.2 Increase understanding of rules compliance by employees outside of the athletics department	10.2 Insert rules compliance language in contracts, job descriptions and performance evaluations for employees outside the athletics department.	10.2 ACL and human resources officer	10.2 Spring 2011