

GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE

Previous Certification Self-Study

- 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 governance and commitment to rules compliance issues. In each case, provide: (a) the original “corrective action,” “condition,” or “strategy” imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or 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.**

The corrective action relating to Governance and Commitment to Rules Compliance required by the NCAA Committee on Athletics Certification after Radford University’s last self-study was:

“Provide a progress report on the actions by the University’s recently constituted intercollegiate athletics committee as a means of demonstrating that appropriate campus constituencies are being given the opportunity to provide input into the formulation of policies related to the conduct of the Athletics program and to scrutinize the implementation of such policies.”

Below is a list of actions and dates these actions were taken by the University to demonstrate that appropriate campus constituencies are being given the opportunity to provide input into the formulation of policies related to the conduct of the athletics program and to scrutinize the implementation of such policies.

- a. In Attachment 1, there is a memo from Radford University President, Dr. Covington (dated August, 2002) congratulating each member of the Intercollegiate Athletics Committee. The memo lists the name, title and university area that is being represented by the member. In addition, the committee function is clearly outlined to recommend and review policies concerning the Department of Intercollegiate Athletics (DIA). The restructuring of the IAC clearly shows that appropriate campus constituencies are given opportunity to provide input. The constituencies represented in the IAC are Student Affairs, Business Affairs, Student Government, Faculty Senate, Staff Senate and Administrative Senate.
- b. Attachment 2 contains the IAC meeting minutes from September 1999 through October 2002. These minutes clearly indicate that the IAC has taken on a much more proactive role regarding policies and procedures as well as adding and dropping sports. The minutes further indicate that the committee

- helps to insure the mission and purpose of the Intercollegiate Athletics program is in harmony with the mission and purpose of the university.
- c. The IAC's responsibilities, membership composition and designated administrator are outlined on page 5 of the Radford University Internal Governance Document.
 - d. The IAC formulated the working documents for Sports Sponsorship criteria and adding/dropping sports. These documents are used yearly to evaluate the DIA's mission and purpose.
 - e. In Fall, 1999, the IAC formulated the DIA's Strategic Plan. (Appendix D) The Strategic Plan was designed to achieve a strong and competitive presence in NCAA Division I Athletics. The IAC continues to review and update the document and has sent the document to various constituent groups on campus for comments. The constituencies that reviewed the Strategic Plan included the Staff Senate, Student Government, Faculty Senate and Administrative Senate. The Strategic Plan was approved by the President and has been implemented by the Department of Intercollegiate Athletics.

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendation developed by the institution during its first-cycle certification process in the governance and commitment to rules compliance area. Specifically include: (a) the original plan; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

	Original Plan	Action taken by Radford University	Date of Action
1	Uncertainty of reporting lines and guidelines for booster groups.	The Compliance Office has developed a booster brochure and website to clarify the reporting lines and establish clear written guidelines for booster groups. www.radford.edu/Athletics/compliance/compliance.html	Brochure-June 1999; Website-September 2002
2	Broad-based circulation of Mission Statement.	To broaden the circulation of the Mission Statement, the DIA publishes it in the Student-Athlete Handbook, media guides, and on the athletic website. The Intercollegiate Athletics Committee revises it when necessary and distributes it to the SGA, the Diversity and Equity Action Committee and the University Senates for review.	December 2002, Ongoing
3	Thorough documentation of department policies, procedures, and staff responsibilities.	Revision and implementation of the Intercollegiate Athletic Operations Manual is ongoing based on changes in legislation and implementation of new policies and procedures.	Manual-1997; Updated-2002-03

4	Implementation of established responsibilities for the Faculty Athletics Representative.	The FAR's responsibilities have been updated and will be reviewed annually. In addition, the IAC has approved a Compliance Committee which will assist the FAR in monitoring the compliance office.	Reviewed annually
5	Lack of established procedures for adding/dropping sports.	The IAC developed written procedures regarding sport sponsorship enclosed in Section __, page __ of the <i>Intercollegiate Athletics Operations Manual</i> .	2000
6	Recognition of the importance of compliance with NCAA rules by all staff.	Renewed emphasis and commitment to rules compliance by all coaches and staff through monthly rules education staff meetings, interpretations, compliance website, and compliance briefs from the Compliance Coordinator on an as-needed basis.	Ongoing
7	Procedures for operation of summer camps.	<i>Intercollegiate Athletics Compliance Manual</i> , Section __, page __ clarifies the role of summer camps in relation to the Department of Intercollegiate Athletics.	June 1999
8	Lack of clarity regarding the role of the internal audit.	The Office of Audit and Advisory Services' (OAAS) primary responsibility is to perform reviews of university internal controls. Generally, OAAS does not perform reviews of the DIA regarding NCAA rules compliance responsibilities.	February 2003
9	Need for clarification of established procedures for reporting compliance violations.	The Department of Intercollegiate Athletics has developed and implemented a more comprehensive reporting system for compliance violations. Located in the <i>Intercollegiate Athletics Compliance Manual</i> .	Fall 2002
10	Systematic approach to rules education.	The Department has clarified and strengthened rules education through completing and updating the <i>Intercollegiate Athletics Operations Manual</i> , <i>Intercollegiate Athletics Compliance Manual</i> , and Student-Athlete Handbook. In 2002-2003, in addition to Athletic staff, members of the Registrar's Office attended the BSC compliance workshop.	Fall 2002

3. Describe any additional plans for improvement/recommendations in the area of governance and rules compliance developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Radford University has developed the following improvements since the first cycle in the areas of Governance and Rules Compliance:

- a. Strengthening of the IAC in regards to frequent meetings, documentation and greater representation.
- b. The Athletic Strategic Plan was developed to bring the DIA parallel with the university's overall mission.

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- c. Sports Sponsorship criteria were developed by IAC by which all existing sports and any proposed sports will be evaluated annually by the DIA and the IAC. (See *Intercollegiate Athletics Operations Manual*.)
 - d. The university has taken on a more comprehensive Rules Education program encompassing student-athletes, the DIA staff, Boosters and Alumni (as described under Operating Principle 1.3, Self-Study Item #3).
- 4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to governance and commitment to rules compliance.**

Not applicable.

Operating Principle

- 1.1 Mission of the Athletics Program and the Institution. Maintaining intercollegiate athletics as an integral part of the educational program is a basic purpose of the Association. Consistent with this fundamental policy,**
- a. The institution shall demonstrate that the mission and goals of the athletics program:**
 - (1) Relate clearly to the mission and goals of the institution;**
 - (2) Support the educational objectives, academic progress and general welfare of student-athletes;**
 - (3) Support equitable opportunity for all students and staff, including women and minorities;**
 - (4) Embrace the Association's principles of sportsmanship and ethical conduct;**
 - (5) Are widely circulated among the institution's internal and external constituencies.**
 - b. The institution shall demonstrate that the actual practices of the institution's athletics program are consistent with the athletics program mission and goals.**

Self-Study Items

- 1. Please provide mission statements of the institution and athletics program and indicate the date of formal approval of the latest revisions.**

Radford University Mission Statement

Radford University serves the Commonwealth and the nation through a wide range of academic, cultural, human service, and research programs. First and foremost, the University emphasizes teaching and learning and the process of learning in its commitment to the development of mature, responsible, well-educated citizens. RU develops students' creative and critical thinking skills, teaches students to analyze problems and implement solutions, helps students discover their leadership styles, and fosters their growth as leaders. Toward these ends, the university is student-focused and promotes a sense of caring and of meaningful interaction among all members of the university community. Research is viewed as a vital corollary to the teaching and learning transaction as it sustains and enhances the ability to teach effectively. Radford University believes in the dynamics of change and has a strong commitment to continuous review, evaluation, and improvement in the curriculum and all aspects of the University, so as to meet the changing needs of society. (Approved by the Board of Visitors, May 10, 1991; revised and approved by the Board of Visitors, May 7, 1999.)

Radford University Athletics Mission Statement

The mission of the Radford University Intercollegiate Athletic Program is to provide an environment in which student-athletes may build character and strive for the highest ideals in life through education and participation in intercollegiate athletics.

Central to this mission are the following core principles:

- Intercollegiate athletic participation is an integral part of the educational mission of the University and athletic competition is offered to enhance the total development of the student.
- Through the Intercollegiate Athletic Program, the University endeavors to provide student-athletes with proper direction and motivation to help them grow academically, athletically, morally and socially.
- Radford University's Intercollegiate Athletic Program supports equitable opportunities for all student-athletes and staff, including women and minorities and is committed to establishing and maintaining an environment that values cultural diversity.
- The University strives for excellence in all athletic programs within the boundaries of integrity and honesty, and adheres to the principles of fair play and amateur athletic competition as defined by the NCAA.
- The Intercollegiate Athletic Program at Radford University endeavors to maintain a strong and competitive NCAA Division I Program in all sponsored sports. Intercollegiate athletic competition aims not only to enhance the total development of the student-athlete, but also to benefit and enhance spirit and school pride among the entire student body, the University, the surrounding community, and the Commonwealth.
- Radford University's Intercollegiate Athletic Program embraces the NCAA's principle of sportsmanship and ethical conduct through promoting the characteristics of courtesy, fairness, and respect.

(Approved by the Board of Visitors, February 10, 2003.)

2. Explain how the mission of the athletics program relates to that of the institution as a whole.

Radford University is an institution that is committed to the development of responsible and well-educated students. As stated in the University Mission Statement, "First and foremost, the university emphasizes teaching and learning and the process of learning in its commitment to the development of mature, responsible, well-educated citizens."

The Radford University Athletics' Mission Statement emphasizes the same developmental role of student-athletes: "Intercollegiate athletic participation is an integral part of the educational mission of the University and athletic competition is offered to enhance the total development of the student." It also states that the Intercollegiate Athletic Program aids student-athletes "to help them grow academically, athletically, morally and socially."

Both the mission statement of Radford University and that of the Intercollegiate Athletic Program are focused on the students and their positive experience as student-athletes at Radford University. The development of the student-athlete comes in the form of growth, academically, athletically, morally and socially. This occurs while providing a fair environment for all student-athletes and with the honesty and integrity which will further their success as well-rounded citizens.

3. Describe how and to whom the athletics program's mission statement is circulated.

The Radford University Intercollegiate Athletic mission statement is circulated in the following ways:

- a. The Radford University website (www.radford.edu/Athletics)—Available to all internet users.
- b. The Men's and Women's Basketball Media Guides—Available to media and prospective recruits. (Inadvertent omission from Women's Basketball Media Guide. Will be included next season.)
- c. Printed in some Recruiting Guides based on available space—Distributed to prospective recruits.
- d. The Mission Statement is distributed when changes are made to the University Staff, Faculty and Administrative Senates for informational purposes.
- e. Inserted into Basketball programs and circulated at all home games.
- f. Included in Student-Athlete Handbook and distributed annually to all student-athletes and DIA staff.
- g. Included in *Intercollegiate Athletics Operations Manual* that is distributed to all DIA staff.

4. Please provide specific examples demonstrating how the athletics program's mission and goals are or are not supported by the actual practices of the athletic program.

The Athletics Program's Mission and Goals are supported by the Practices of the Athletics Department in the following ways: (Quotes are from the Athletics Mission Statement.)

- "Through the Intercollegiate Athletic Program, the University endeavors to provide student-athletes with proper direction and motivation to help them grow academically, athletically, morally and socially."

This goal is accomplished by:

1. Study hall for student-athletes.
 2. Tutors for student-athletes.
 3. Monitoring of academic progress of student-athletes.
 4. Higher graduation rate of student-athletes than general student body.
 5. Higher grade point average for student-athletes than the general student body.
 6. Random drug testing for student-athletes on a frequent basis.
- “The Intercollegiate Athletic Program at Radford University endeavors to maintain a strong and competitive NCAA Division I Program in all sponsored sports...”
 1. Reflected by the number of individuals named on all-conference teams. (Attachment _____)
 - “...Intercollegiate Athletic competition aims not only to enhance the total development of the student-athlete, but also to benefit and enhance sport and school pride among the entire student body.”

Radford University student-athletes participate in numerous community service projects:

1. Participate in a before school program at McHarg Elementary.
 2. Sponsor teams in the annual Relay for Life fundraiser for Breast Cancer awareness.
 3. Participate in the Adopt a Spot highway clean up program.
 4. Volunteer at various youth clinics.
 5. Volunteer with Special Olympics.
 6. Sponsor and assist with food drives.
 7. Volunteer at local soup kitchen.
 8. Participate in a reading program at Riverlawn Elementary School.
 9. Participate in a mentoring program at Riverlawn Elementary School.
- “Radford University Intercollegiate Athletic Program embraces the NCAA principle of sportsmanship and ethical conduct through promoting the characteristics of courtesy, fairness and respect.”

Radford University student-athletes adhere to the Radford University DIA Conduct Policy stated below (located in the Student-Athlete Handbook, pages 6-7):

“Based on a preponderance (majority) of evidence, a student-athlete may be suspended temporarily or permanently from intercollegiate practice and/or competition for conduct deemed unbecoming or inappropriate.”

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“This may include, but is not limited to: disorderly conduct, verbal abuse, physical abuse, threat of physical abuse, endangering conduct of self or others, lewd or indecent behavior, or violation of the Radford University Honor Code.”

“Remember, participation in intercollegiate athletics is a privilege, and due to the highly visible nature of intercollegiate athletics, your actions and behavior on the playing field, on campus, and in the community are noticed. Think about your actions and behavior, and subsequent consequences, before you engage in activities.”

“You represent Radford University, the Intercollegiate Athletic Program, and your team 24 hours a day! Represent your team, the athletic department, and Radford University with pride. The opportunity you have is shared by few!”

Radford University student-athletes adhere to the Big South Conduct Policy stated below. The policy is read prior to all contests.

“The NCAA, Radford University, and The Big South Conference promote good sportsmanship by student-athletes, coaches and spectators. We request your cooperation by supporting the participants and officials in a positive manner. Profanity, racial, sexist or other abusive comments or actions directed at officials, student-athletes, coaches or team representatives will not be tolerated and are grounds for removal from the site of competition.”

Operating Principle

1.2 Institutional Control, Presidential Authority and Shared Responsibilities. The Association's principle of institutional control vests in the institution the responsibility for the conduct of its athletics program, including the actions of its staff members and representatives of its athletics interests. In fulfilling this principle, the institution shall demonstrate that:

- a. The institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution.
- b. The chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program.
- c. Appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies.

Self-Study Items

1. Based upon the institution's experience in the last three years, list the decisions related to intercollegiate athletics in which the institution's governing board or individual board members have been significantly involved (if any).

In the past three years, the Board of Visitors has approved:

- a. The recommendation to drop Women's Gymnastics and Men's Lacrosse.
- b. The recommendation to add Women's Swimming and Diving.
- c. Recommendations for hiring head and assistant coaching positions, such as those in Track and Field and Men's and Women's Basketball and Women's Volleyball.

The following excerpts from the Intercollegiate Athletic Committee and Board of Visitors minutes document the decision to reclassify Men's Lacrosse and Women's Gymnastics to club sports and also to add Women's Swimming and Diving:

March 15, 2000 – IAC voted to discontinue Women's Gymnastics and Men's Lacrosse as varsity sports.

March 29, 2000 – IAC minutes reflect that the decision to drop two varsity sports was shared with "various internal governance senates, including SGA." Committee was told SGA voted March 27 not to support IACs' recommendation. It is going in front of the Faculty Senate March 6. Administrative Senate supported the recommendation.

May 5, 2000 – Board Minutes – "Mr. Duncan asked if Gymnastics and Lacrosse issues would be addressed." Dr. Covington stated his action on the recommendation

will be deferred. The President announced that there would be a university forum Fall semester to discuss intercollegiate athletics.

May 10, 2000 – IAC minutes. Dr. Pomerantz suggested the addition of Women’s Swimming and Diving. Dr. Pomerantz said that this had been shared with the Board of Visitors, who agreed that this promoted a viable alternative. It was the consensus of the committee that Dr. Pomerantz move forward. She said she needed to meet with the Faculty Athletic Representative, Chuck Hayes and Faculty Senate President, Chris Herman to “inform faculty and solicit comments.” She will contact SGA President, Jason Miller, at home.

September 1, 2000 – Board Minutes. Mr. Poole reported that during the Executive Session the Board has consulted with legal counsel with respect to the recommendation to reclassify Women’s Gymnastics and Men’s Lacrosse and have taken no further action.

November 10, 2000 – Board Minutes. Board approved reclassification of Men’s Lacrosse and Women’s Gymnastics to club status. The board reclassified Women’s Swimming and Diving to a varsity sport. The report for this meeting includes justifications for both actions.

February 20, 2001 – Board Minutes. Report that athletics forum was a success.

2. Based upon the institution’s experience in the last three years, list the decisions related to intercollegiate athletics in which the institution’s chief executive officer has been significantly involved.

Dr. Douglas Covington, President of Radford University, is actively engaged in decisions involving the DIA and is deeply committed to maintaining a strong competitive athletic program that helps enhance school spirit, pride, and unity. Some examples of his involvement are as follows:

- a. All major personnel decisions and issues. These include the search and selection of new Men’s and Women’s Basketball coaches, the hiring of other full-time staff such as the new Compliance Coordinator, hiring of Associate Athletic Director for External Affairs, and renewal of contracts.
- b. Active leadership and participation in the Big South Conference Council of Presidents.
- c. Continued support and emphasis on school spirit, pride and unity through attendance at many sporting events.
- d. Involvement in and commitment to ensuring strong and active participation on the Intercollegiate Athletics Committee.
- e. Decision about sports sponsorship in the existing athletic program: e.g., adding Track and Field and Women’s Swimming and Diving; dropping Women’s Gymnastics and Men’s Lacrosse.
- f. Involvement with NCAA legislation at the national conference each year.

- g. Leadership in the preparation and implementation of the university’s strategic plan, which addresses matters relevant to the development of the athletics program.
 - h. Updating of the campus facilities master plan, which includes the major renovation and improvement of several athletic facilities (including the construction of the new track and soccer stadium and throws area).
- 3. Describe the process by which the institution makes major decisions regarding intercollegiate athletics. In so doing, describe the role and authority of the institution’s governing board, the chief executive officer, the athletics board or committee (if one exists), the faculty athletics representative(s), the director of athletics, and any other appropriate campus constituencies (e.g., faculty, students, institutional personnel involved in rules-compliance activities) in this process. Please provide the composition of the athletics board or committee (including titles and positions).**

Day to day operational decisions that affect the athletics program at Radford University are made by the Athletic Director. The Intercollegiate Athletics Operations and Compliance Manuals are used by all athletic personnel to reference policies and procedures that involve the operational aspects of their respective programs. The *Intercollegiate Athletics Operations Manual* is used to establish standard operating procedures for the entire program. Management decisions for each sport that are not specifically covered in the manuals are made by the coaches and either the Athletic Director, the Athletics Business Manager, or the Compliance Coordinator. Major issues are directed to the IAC.

The IAC is a committee within the Radford University Internal Governance System that is composed of students, faculty, staff, administrators, and the FAR. The Athletic Director serves as an *ex officio* and non-voting member of this committee. This committee is responsible for policy review and for making recommendations regarding policy changes to the VPSA. The composition of the IAC is below:

AD (non-voting)	Greig Denny
Compliance Coordinator	Meghan Barter (effective 8/03, Stephanie Stacer)
FAR	Chuck Hayes, Professor of Theater
Social Equity Officer	Rosemary Gray
Faculty	Jack Call, Professor of Criminal Justice
Faculty	Martin Turnauer (retired 12/02; replaced by Angela Mickle, 1/03) (replaced by Don Sampson, Professor or English, 8/03)
Business Affairs Rep	Evelyn Wilson
University Advancement	Bill Yerrick (retired 12/02; replaced by Ashlee Claude, 1/03)
Staff Senate Rep	Patsy Chaffin (retired 12/02; replaced by Rhonda Mah, 1/03)
Female Student	Donna Rubin

Male Student

Chris Jordan

The VPSA oversees the AD. The VPSA has frequent, if not daily, contact with the AD through personal meetings, staff meetings, written communication, and by telephone as needed. The VPSA also communicates regularly with the FAR. In addition, all recommendations from the IAC are referred to the VPSA for consideration. In the event additional communication is needed with selected athletic personnel the VPSA and the AD will meet with the specific coach or other athletics personnel or participants.

The VPSA reports directly to the University President, who exercises administrative authority and responsibility for the planning and implementation of all university services and programs including athletics. President Covington meets regularly with the VPSA, the FAR, and the AD about issues related to athletics. In addition, he is available to coaches and student-athletes and meets frequently with them. While the President, as CEO, is responsible for the athletics program, final approval on all policies related to the University, including those affecting athletics, rest ultimately with the Radford University Board of Visitors.

The Director of Financial Aid reports directly to the VPSA. Her office oversees and administers the awarding of all athletics scholarships. If a student's athletics scholarship is not renewed, this office informs the student. If any student-athlete appeals non-renewal of an athletics scholarship, the appeal is made through the office of the Director of Financial Aid. The Director of Financial Aid notifies the DIA, the Chair of the Athletics Appeal Committee, and the VPSA of the appeal. The DIA will convene the Student-Athlete Appeals Committee, as specified by internal-governance, to hear the student-athlete's case.

The Director of Admissions reports to the VPSA. All admission decisions are made independently of the athletics program and are based solely on the academic merit and qualifications of specific students.

The FAR reports directly to the President. The FAR has excellent and open channels of communication with student-athletes, coaches, athletic personnel, the AD, the Faculty Senate, the VPSA, and the University President. He also chairs the IAC.

The Executive Director of the Athletic Association/Associate Athletic Director for External Affairs (currently, Director of Athletic Development) is in charge of fund raising for the Highlander Club. This position reports to both the Vice President for University Advancement and to the AD. The Executive Director maintains an open line of communication with the DIA staff regarding fund raising activities, policy formation and scholarship assistance. (This position was changed, effective July, 2003, to eliminate the split in reporting lines. The current position reports solely to University Advancement).

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The Compliance Coordinator, the Athletics Business Manager, and the Academic Coordinator, all report to the AD.

- 4. Please attach an institutional organizational chart and an athletics department organizational chart.**

(See Appendices _____)

Operating Principle

1.3 Rules Compliance. Membership in the Association places the responsibility on each institution to assure that its staff, student-athletes, and other individuals and groups representing the institution's athletics interests comply with the applicable Association rules and regulations. Consistent with this responsibility, the institution shall demonstrate that:

- a. It has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program.
- b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department.
- c. Rules compliance is the subject of an ongoing educational effort.
- d. A clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program.
- e. At least once every three years, its rules compliance program is the subject of evaluation by an authority outside of the athletics department.

Self-Study Items

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

The major "booster club" for the University is known as the Highlander Club, formerly called the Radford University Athletic Association. The Highlander Club operates under the control of the Radford University Foundation, Inc., a non-profit organization. The Highlander Club generates financial support from alumni, friends, faculty and staff, along with other community supporters in order to raise additional funds for the athletic programs. Its focus is on generating additional monies for athletics scholarships. The Advisory Council, comprised of local community leaders along with faculty and staff members, governs the Highlander Club. (See Attachment: _____ Members of Advisory Council)

The AD, the President of Radford University, the President of the Radford University Foundation Board of Directors, the Vice President for Student Affairs, and the FAR all serve on the Advisory Council as either official or *ex-officio* members.

The Advisory Council of the Highlander Club organizes an annual meeting for rules and compliance education in which the AD and the Compliance Coordinator are in attendance to present information. Additional meetings regarding issues of

compliance are held as needed throughout the year. The Executive Director of the Athletic Association works closely with the Highlander Club in fundraising and monitors the group's activities for compliance with NCAA regulations. Letters containing compliance rules and regulations are sent to donors of the Highlander Club and athletics programs as well as all basketball season ticket holders.

The activities of the Highlander Club are controlled by the Executive Director of the Athletic Association. Currently the Highlander Club has an active role in the Radford University Sports Hall of Fame.

The "Hoop Group" is a community-based organization for the support of Men's and Women's Basketball and is currently advised by the Senior Women's Administrator. The "Hoop Group" sponsors a variety of fundraisers and activities throughout the year.

Each sport at Radford University has a separate "Varsity Club" account within the Highlander Club, under the control of the Radford University Foundation, Inc. "Varsity Club" accounts allow the donor the opportunity to restrict donations to a specific sport. Funds within the account can be requested by the head coach as a means of supplementing existing funds for equipment, travel expenses, and/or operating expenses. All requests for funds from a "Varsity Club" account must receive prior approval by the AD and the Executive Director of the Athletic Association before any funds are distributed.

All transactions of the Highlander Club are maintained by the Radford University Foundation, Inc. accountant and are reviewed by the Executive Director of the Foundation Board of Directors. All expenditures are reviewed on a quarterly basis.

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

Radford University has made a concerted effort to maintain compliance with NCAA bylaws and regulations. Radford University has established reporting lines for those responsible for compliance from the members of the coaching staff to the chief executive officer. The President of the university has assigned the AD direct responsibility for the DIA (See Appendix _____ for organizational charts, including responsibility for rules compliance.)

Organization of Individuals Responsible for Compliance

- a. The AD is responsible for the administration and operation of the entire DIA. He is the individual the CEO has assigned direct responsibility for supervising and maintaining compliance with all NCAA rules and bylaws. This position reports directly to the VPSA. (See Attachment _____ for a complete job description.)
- b. Radford University's NCAA Faculty Athletics Representative (FAR) is appointed by and reports to the President. The FAR has general knowledge of all aspects of the athletics program. At Radford University, the FAR assists in verification of eligibility certification, transfer certification, and continuing eligibility certification.

The FAR assists the Compliance Coordinator, the head coach and the AD in the certification process. The FAR serves as the faculty liaison for the DIA with the NCAA and maintains contact with the AD, the Compliance Coordinator, coaches, and student-athletes.

The FAR serves as chairman of the IAC, that is responsible for policies and procedures relating to the operation of the DIA that includes student-athlete welfare, sport sponsorship, etc.

The FAR also serves on committees within the Big South Conference and may serve on NCAA committees. (See Attachment _____ – Job Description-FAR)

- c. The Compliance Coordinator reports directly to the AD. This person maintains overall responsibility for the university's compliance program that includes comprehensive rules education for all staff members on a monthly basis, as well as maintaining records on eligibility and certification of student-athletes and other matters pertaining to compliance. A copy of the current job description of this position is attached. (See Attachment _____)
- d. All coaching staff members within the athletics department are required to comply with NCAA rules, regulations, and policies. Their compliance is verified through spot checks of records dealing with recruiting contacts, official visits, etc. These spot-checks are conducted by the Compliance Coordinator and the FAR. The AD as well as Conference officials or NCAA officials may also do spot checks of any records.

The DIA has recommended to the VPSA that all university staff with responsibilities relating to the DIA should have those responsibilities including compliance, defined in their job descriptions.

- e. The Director of Financial Aid is responsible for maintaining compliance with state and federal policies regarding the awarding of financial aid to student-athletes and to the student body as a whole. This position is also responsible for assisting in maintaining compliance with NCAA regulations regarding the awarding of financial aid. In addition to making initial financial aid awards, issuing scholarship renewals and monitoring individual aid limits for all students, including student-athletes, the Director of Financial Aid is also responsible for any non-renewals for financial aid. This position reports directly to the VPSA.
- f. The Director of Admissions is directly responsible for admitting student-athletes and students in general. No special admissions exemptions are made for athletes. This position reports directly to the VPSA.
- g. The Office of International Studies works with coaches and other university personnel in providing international athletes with appropriate visas. This office reports to Academic Affairs.
- h. The DIA utilizes information from the Registrar's Office to assist with eligibility certification. The Registration/Enrollment Assistant, within the Registrars Office, is the certifying officer. This position verifies all continuing eligibility. The Registrar reports directly to the VPSA.
- i. The Internal Auditor reports directly to the Chair of the Business Affairs Committee of the Board as stated in the bylaws for the Board of Visitors. For the purpose of day-to-day administration, the Internal Auditor reports to the President of the University.

In short, Internal Audit does not have any specific assignments related to reviews of athletics. However, athletics has been identified as part of the audit universe for which they are charged with providing audit coverage. In addition to the annual NCAA audit, as part of an ongoing evaluation of financial control, the DIA completed an internal audit, Summer 2003.

- j. The Intercollegiate Athletics Committee consists of 10 voting members as follows:
 - Compliance Coordinator
 - Three teaching faculty member (including the FAR)
 - One female student
 - One male student
 - One representative each from
 - Business Affairs
 - Student Affairs (* DIA personnel)
 - Staff Senate

- University Advancement
- Social Equity Officer
- FAR
- AD (ex officio and non-voting)

Its responsibilities include, but are not limited to the following:

- Making recommendations to and/or advising the President regarding policies and procedures for the effective and efficient operation of the intercollegiate athletics program.
- Maintaining open lines of communication with university faculty and administrators regarding NCAA and Big South Conference rules and regulations, particularly in such sensitive areas as fiscal integrity and academic standards for admission and performance.
- Assisting in the investigation of any potential major NCAA violations and reporting findings to the President.
- Conducting an annual review of the sports sponsorship of the intercollegiate athletics program in relation to the interests and abilities of the student body. This review includes equity issues.

- k. The Radford University compliance programs are also reviewed by the Big South Conference Compliance Coordinator. The last Big South review was in December of 2002. This review consisted of spot checking of recruiting records, eligibility records, and interviewing selected members of the coaching staff, the administrative staff, and staff in related University offices. The review also included all areas specified in Self-Study Item 1.3.2, paragraphs a-k. (The report of the Big South Conference review can be found at p. _____.)
- l. Radford University has established reporting lines for those responsible for reporting self-discovered violations. Members of the coaching staff or other staff, (e.g., student-athletes, supporters, parents, other staff members) are instructed to report any violations directly to the Compliance Coordinator, who then reports to the AD. The VPSA and the President are always notified of any violation, whether secondary or major. Rules violation reports are sent directly to the NCAA, unless the violation is on the secondary penalty schedule in which case the report is sent to the Big South Conference. All reports are copied to the President, the VPSA, the AD, the FAR, the SWA and the Commissioner of the Big South Conference. A copy of the information is also placed in the coach's file.

- 3. Describe the institution's rules-education efforts for all individuals associated with the athletics department, including student-athletes, athletics department staff members (including coaches), other institutional staff members and representatives of the institution's athletics interests.**

Rules education is an on-going process at Radford University. Keeping members of the Athletic and University community informed of NCAA rules falls under the responsibility of RU's NCAA Compliance Coordinator. There are various ways the Compliance Coordinator informs the community of regulations:

For enrolled student-athletes, the Student-Athlete Handbook is distributed at the beginning of each season. The Compliance Coordinator holds pre-season meetings with each team to inform them of rules. The Student-Athlete Advisory Committee (made up of representatives from each team) meets monthly where rules information is discussed. Compliance Briefs are written by the Compliance Coordinator based on new legislation or current events pertaining to NCAA compliance and e-mailed to all student-athletes. A compliance website is maintained on Radford University's athletics homepage: (www.radford.edu/Athletics/compliance/compliance.html)

Prospective student-athletes are informed of rules through the National Letter of Intent, mailings, and the Radford University compliance website.

The Compliance Coordinator holds rules education at monthly staff meetings. The Compliance Coordinator maintains education throughout the month by handouts, e-mails, and the Radford University compliance website maintained on Radford University's athletics website. There is a yearly workshop with Admissions, Financial Aid, Registrar, Office of International Studies, Dean of Students and Vice-President for Student Affairs on rules that pertain to the university community.

Highlander Club members are informed of rules through their advisory council meetings, brochures sent out with season tickets, and the compliance website.

The Compliance Coordinator serves on several University-wide committees such as the IAC, International Advising Committee, Academic Advising Committee, Student-Athlete Appeals Committee, and keeps the respective members of these committees informed of NCAA compliance issues.

- 4. Describe, using specific examples, how the institution ensures that rules compliance is a central element in personnel matters. Also, please provide the following items for individuals inside and outside the athletics department who are involved in rules-compliance activities: (a) job descriptions, (b) contracts or letters of appointment, (c) personnel evaluation criteria, and (d) philosophy statements and other applicable sections of policy manuals.**

Radford University ensures that rules compliance is a central element in personnel matters in a variety of ways:

- a. During the DIA monthly staff meeting, the AD and/or Compliance Coordinator reminds coaches to adhere to all NCAA rules and regulations as well as inform staff of any current changes. In addition, all coaches must take and pass the NCAA Recruiting Test each year.
- b. The Compliance Coordinator sends out periodic emails alerting coaches of NCAA rules changes. In addition, all compliance issues are dealt with immediately.
- c. The Compliance Coordinator's office is centrally located and easily accessible to all DIA staff members. This ensures timely attention to any compliance issues.

A. Job Descriptions

Attached are four job descriptions. They are for the Intercollegiate Athletic Director, the Compliance Coordinator, the Academic Coordinator/CHAMPS Life Skills position and a generic coach. All job descriptions mention compliance as follows:

- A. Director of Intercollegiate Athletics – Page 2 requires the AD to “Administer the Intercollegiate Athletic Department within guidelines set by Radford University, the Big South Conference and the NCAA.” Page 6 requires knowledge of NCAA rules and regulations. (Attachment _____)
- B. Compliance Coordinator – Compliance is the most important duty in this job description. Compliance experience and knowledge of NCAA compliance software are part of the knowledge needed for this position. (Attachment _____)
- C. Academic Coordinator/CHAMPS – This job description was signed in August 2000. Part of the job description is to complete NCAA forms and to communicate NCAA academic policies to student-athletes and coaches. The job description also calls for the monitoring of student-athlete eligibility. (Attachment _____)
- D. Assistant Track Coach – The chief objective includes “adherence to NCAA rules and regulations.” The duties include maintaining knowledge of NCAA rules and strictly adhering to the rules. (Attachment _____)

Attached are job descriptions for people in the Registrar's, Admissions and Financial Aid Offices that deal with the DIA:

1. David Kraus, Director of Admissions (Attachment _____)
2. Barbara Porter, Director of Financial Aid (Attachment _____)
3. Heidi Terry, Registrar (Attachment _____)
4. Michelle (Jocelyn) Hash, Academic Records/ Micrographic Assistant, processes withdrawal forms. If a student is identified as an athlete, she contacts the Athletic Department before processing the withdrawal request. Student-athletes are flagged in the student data base and cannot process registration transactions without being identified as an athlete.
5. Norma Whitlow, Verification and Certification Coordinator. She verifies eligibility. This is mentioned in her job description. Her job description specifically calls for a high degree of accuracy and timely processing of forms.

6. Suzie Roop, Registration and Scheduling Manager. She codes the athletes in the computer. Her job description includes “Run an athletic report weekly to check full-time status of athletes to ensure NCAA compliance.”

B. Contracts and Letters of Appointment

Attached is a sample appointment letter (Attachment _____), a generic contract (Attachment _____), and the Radford University Policies for Salaried Assistant and Head Coaches (Appendix _____). Page two of the contract calls for the individual to have “a thorough knowledge of the NCAA rules and regulations and to ensure that (his/her) program maintain strict compliance.” The policy calls for coaches to follow rules in recruiting, “maintain knowledge of and adherence to NCAA rules and regulations,” and complete NCAA paperwork.

C. Personnel Evaluation Process

Head coaches are evaluated on a yearly basis at the end of their seasons. If any compliance issues arise throughout the year they are dealt with immediately. A file of compliance issues is kept for each sport. The evaluation comes in the form of a face-to-face meeting before which the coaches are asked to self-assess their performance. The matrix for doing so is goal and performance oriented. Prior to the conference, the AD meets with the Compliance Coordinator and other support staff to see if there are any issues. If there are any compliance issues that arise during the year, the AD will address the issue immediately with the appropriate staff member. This issue is also addressed as part of the annual performance evaluation to ensure that there are no future infractions.

D. Philosophy Statements and other applicable sections of policy manuals

1. Radford University *Intercollegiate Athletics Compliance Manual* has been developed to ensure NCAA Compliance within the DIA and campus community. The manual contains the policies and procedures specifically designed for use at RU as well as institutional forms designed for use within the DIA to maintain compliance with NCAA regulations. (See Appendix _____ - *Intercollegiate Athletics Compliance Manual*)
2. The DIA Mission Statement states the following: “The University strives for excellence in all athletic programs within the boundaries of integrity and honesty, and adheres to the principles of fair play and amateur athletic competition as defined by the NCAA.” (See Appendix _____ - DIA Mission Statement)
3. All job descriptions for coaches contain the wording “follow NCAA rules in the recruiting process,” “maintain knowledge of and adherence to NCAA rules and regulations,” and “ensure program is operated in strict compliance with NCAA rules and regulations.” (See Appendix _____—RU Policies for Salaried Assistant and Head Coaches)

5. **Please attach written policies and step-by-step procedures that include assignment of specific responsibilities pertaining to the areas of rules compliance, including, but not limited to, eligibility certification, investigation and self-reporting of rules violations, monitoring financial aid and monitoring recruiting (if not included elsewhere in the report). [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (academic Standards) when preparing the response to this self-study item.**

RU Intercollegiate Athletics Compliance Manual, pages 35-48. (Appendix_____)

6. **Please attach documentation related to the evaluation of the institution's rules-compliance program by an authority outside of athletics at least once every three years. The authority may not have day-to-day compliance responsibilities for the institution's athletics department and must be knowledgeable in NCAA legislation and rules-compliance practices. The evaluation must consist of a review to determine that the compliance practices are engaged and functioning and must include, at a minimum, the following areas:**

- A. **Initial-eligibility certification.**
- B. **Continuing-eligibility certification.**
- C. **Transfer-eligibility certification.**
- D. **Financial aid administration, including individual and team limits.**
- E. **Recruiting (e.g., official visits, etc.)**
- F. **Camps and clinics.**
- G. **Investigations and self-reporting of rules violation.**
- H. **Rules education.**
- I. **Extra benefits (compliance with Bylaw 16, e.g., per diem, student host reimbursement, equipment retrieval, etc.).**
- J. **Playing and practice seasons (compliance with Bylaw 17, e.g., out-of-season activities, voluntary activities, hours per week during season, etc.).**
- K. **Student-athlete employment.**

See the following Big South Conference Institutional Compliance Review report and the accompanying Radford University response. These areas have all been reviewed in the Big South Conference Institutional Review Report, which follows. RU's responses are included in the body of the report.

11/5/2003

BIG SOUTH CONFERENCE INSTITUTIONAL COMPLIANCE REVIEW REPORT:

February 3, 2003

Dr. Douglas Covington
President
Radford University
Box 6890
Radford, Virginia 24142

Dear Dr. Covington:

Radford University was reviewed by the Big South Conference on December 2, 2002, to evaluate the institution's compliance with NCAA principles and legislation. Enclosed please find the compliance review report.

It is the intention of the Big South Conference, through this review, to commend member institutions on their strengths as well as to assist them with identifying necessary changes in the compliance program. It is our hope that the enclosed report will be helpful in this regard.

The format of the report has been changed to reflect the eleven review areas as required by the NCAA Division I Committee on Athletics Certification to satisfy the provisions of Operating Principle 1.3, Self Study Item 6. Should you desire an electronic version of this report to include in your self-study documents, I will be happy to provide one to you.

The Big South Conference respectfully requests that the institution respond, in writing, to the issues raised in the report on or before March 17, 2003. This will allow the Conference to monitor the actions being taken with regards to the recommendations.

Thank you for your participation in the review. If you have any questions about this report or the review process, please do not hesitate to contact me.

Best regards,

Dawn Turner
Assistant Commissioner for Compliance

Encl.

cc: Dr. Norleen Pomerantz, Vice President for Student Affairs
Mr. Greig Denny, Director of Athletics
Mr. Charles Hayes, Faculty Athletics Representative
Ms. Jackie Clouse-Snell, Senior Woman Administrator
Ms. Meghan E. Barter, Compliance Coordinator
Mr. Kyle B. Kallander, Big South Conference Commissioner

11/5/2003

Big South Conference
Institutional Compliance Review

Radford University
December 2, 2002
Radford, Virginia

INTRODUCTION

Dawn Turner, Assistant Commissioner for Compliance for the Big South Conference, conducted an institutional compliance review of the compliance program at Radford University on December 2, 2002. During the review, Miss Turner spoke with the following individuals: Dr. Douglas Covington, president; Dr. Noreen Pomerantz, Vice President for Student Affairs; Greig Denny, Director of Athletics; Jackie Clouse, Head Athletics Trainer and Senior Woman Administrator; Charles Hayes, Faculty Athletics Representative; Meghan Barter, Compliance Coordinator; Barbara Porter, Director of Financial Aid; Jocelyn Hash, Norma Whitlow and Becky Alls from the Registrars Office; Dave Kraus, Director of Admissions and Kylie Williamson, women's basketball student-athlete. Miss Turner also reviewed relevant documents related to the operations of the compliance program at Radford University.

The organization and structure of the Radford University compliance office seems to be strong. The institution has taken steps to ensure that rules compliance is emphasized on campus, from the athletics department to the president's office. Based on the current organization structure, the president has final authority in the operations of the athletics department. The compliance coordinator reports to the director of athletics, who reports to the vice president for student affairs, who reports to the president. The president is accessible to the director of athletics and the faculty athletics representative when necessary. The director of athletics meets regularly with the vice president for student affairs to discuss matters concerning athletics. The vice president then provides information to the president on those issues. The president and vice president receive copies of all violation reports from the athletics department and subsequent correspondence from the Big South Conference. The institution also has an Intercollegiate Athletics Committee, which serves in an oversight capacity to the department, and which includes the compliance coordinator, director of athletics and faculty athletics representative as members.

The compliance coordinator does a commendable job considering there is only one person on staff for this particular area. Each individual interviewed was comfortable with this individual's knowledge level and understanding of her role. There are excellent lines of communication between her office and the offices of financial aid, registrar and admissions and their liaisons.

This report will summarize the information obtained while conducting the visit, and fulfills the requirements as outlined by the NCAA Division I Committee on Athletics Certification. It is important to note that this report is intended to assist the Radford University athletic department in examining and improving its compliance operations. Specifically, this report

is designed to identify areas of strength and areas in which improvements to existing procedures could be made to reduce the institution's vulnerability to potential violations and strengthen the overall compliance program.

I. Initial Eligibility Certification

Evaluation: The systems used for monitoring and tracking initial eligibility appear to be working properly. The Director of Admissions conducts preliminary academic evaluations for each prospect prior to his/her official visit to the campus.

The compliance coordinator is the primary individual involved in tracking the admissions and certification status of each prospective student-athlete. This individual provides updated NCAA Initial-Eligibility Clearinghouse information to coaches in a timely manner and has established good lines of communication between the admissions office and compliance office. The university does not have a special admissions policy for student-athletes; however, the Director of Admissions does give additional attention to the transcripts of prospective student-athletes prior to a final admissions decision. In addition, the Director of Admissions also drafts a letter to the prospective student-athlete outlining the areas where he/she may have deficiencies for admissions purposes.

Recommendations:

1. Due to the sensitive nature of the admissions process, and the level of involvement of the Director of Admissions, it is recommended that the job description of the Director be expanded to include specific reference to the position's responsibilities with regards to prospective student-athletes admissibility. In addition, it is recommended that the Director's performance evaluation be expanded to include reference to that position's involvement with prospective, student-athletes and allow the department of athletics the opportunity to provide feedback during the evaluation process.

The job description of the Director of Admissions has been updated to include language regarding prospective student-athletes admissibility. The Director of Admissions is evaluated annually by the Vice President for Student Affairs who also oversees intercollegiate athletics.

2. Based on information provided during the interview, the athletics department does provide some level of rules education to the admissions director and appropriate staff. It is recommended that the athletics department develop a formal rules education program that includes staff members from both inside and outside the athletics program to keep those staff members informed and up to date on pertinent legislative issues that might affect their area.

The Athletic Department has developed a formal rules education program that will include regularly scheduled meetings to update and review NCAA and institutional compliance policies and procedures with constituencies both inside and outside the Athletic Department. This rules education program will include student-athletes, intercollegiate athletic staff members, and designated staff in related areas outside of the athletic department including Admissions, Financial Aid, University Registrar, and International Student Services. Individuals from outside the Athletics Department will also be invited to attend regularly scheduled rules compliance seminars sponsored by the Athletics Department, the Big South Conference, and/or the NCAA.

3. The compliance policies and procedures manual has not been updated since 1997. As the athletics department moves forward in revising this document, it is recommended that the Director of Admissions be involved in the development of written policies and procedures related to the admission of prospective student-athletes and other areas as appropriate.

The *Intercollegiate Athletics Operations Manual* (which includes the Compliance Manual) is currently being updated. This manual will be fully updated and distributed to all staff prior to the start of the Fall 2003 semester. The manual will include written documentation related to all athletics operating policies and procedures. This will include, but is not limited to: Admissions, Financial Aid, Initial, Transfer, and Continuing Eligibility (Registrar's Office), internal policies relating to recruiting, awarding of initial scholarships, scholarship renewals and non-renewals, tickets, summer camps, rules education program, rules violations, compliance committee, and scheduling.

4. During the revision process, the institution should take steps to ensure that written policies and procedures regarding the admission of prospective student-athletes are revised and/or included in the updated manual, and that those policies and procedures are subject to review by an outside entity (i.e. compliance committee) at least annually.

A formal Compliance Committee has been established through the Intercollegiate Athletic Committee. This committee is composed of the Compliance Coordinator, The Faculty Athletics Representative, the University Registrar, the Director of Financial Aid, and one faculty selected from the Intercollegiate Athletics Committee. It is expected that this committee will begin meeting formally in the Fall of 2003. The charge of this committee is as follows:

- **Meet on a regular basis to discuss NCAA and institutional compliance related issues.**
- **Annually review established compliance policies and procedures.**

- **Recommend any new polices and/or procedures or changes to existing policies and procedures.**
- **Oversee/assist in the investigation of any potential major NCAA rules violation. Annually review all NCAA secondary violations.**

II. Continuing Eligibility Certification

Evaluation: The system used for monitoring and tracking continuing eligibility appears solid and involves several individuals, including four individuals from the Registrars' office. The compliance coordinator is the primary individual involved in tracking the certification status of all continuing student-athletes. Student-athletes are coded in the university's information system. The institution has implemented a program whereby each student-athlete's name is coded with an "ATH" tag. If a student-athlete were to attempt to drop a course, the system alerts the registrars' office personnel that the individual is a student-athlete, and the athletics department is contacted for approval. (It is noted that the program alerts regardless of how many hours the student-athlete is enrolled in, or whether the withdrawal will drop them to less than 12 hours total.)

Recommendations:

1. The system appears to be adequate; however, the process could be improved. Based on information received during the interview process, the registrars' office relies heavily on the compliance coordinator for the majority of the information that is received. The compliance coordinator is responsible for monitoring 12/24 hours, 75/25 and required grade point averages. The staff members interviewed indicated that the institution was in the process of upgrading its computer resources, which might improve their accessibility. The individuals also seemed open to using the NCAA Compliance Assistant Software for the Internet (available Spring/Summer 2003) to further streamline the process. It is suggested that, as is feasible for the institution, the compliance coordinator be relieved of the responsibility of certifying continuing eligibility for student-athletes and that this responsibility be moved to the Registrars' Office.

The Compliance Coordinator at Radford University does not certify continuing eligibility. The Compliance Coordinator does provide information to the designated individual in the University Registrar's Office who then certifies that the information provided is accurate. While it would be an ideal situation to have a designated individual in the University Registrar's Office who would be responsible for this entire process, given the current financial environment in the state and the fact that the Registrar's Office, among others, is already short-staffed, it is very unlikely they will have the human resources to take on this responsibility any time in the near future.

2. In order for the process to become more streamlined, and less based in the Athletics Department, it is recommended that the Athletics Department make every effort to improve the rules education and training that is currently provided to the Registrar's Office staff. The staff members who were interviewed indicated that they had not received formal rules education from the athletics department; however, they felt comfortable contacting the compliance coordinator with questions that might arise. The institution should consider providing the staff members from the registrar office the opportunity to attend regional rules compliance seminars to assist them in further knowledge of eligibility certification requirements.

The Athletic Department has developed a formal rules education program that will include regularly scheduled meetings to update and review NCAA and institutional compliance policies and procedures with constituencies both inside and outside the Athletic Department. This rules education program will include student-athletes, intercollegiate athletic staff, and designated staff in related areas outside of the athletic department including Admissions, Financial Aid, University Registrar, and International Student Services. Individuals from outside the Athletics Department will also be invited to attend regularly scheduled rules compliance seminars sponsored by the Athletics Department, the Big South Conference, and/or the NCAA.

3. There seemed to be some confusion as to whom the certifying officer was for the purposes of initial, continuing and transfer eligibility certification. Individuals interviewed indicated more than one individual as the certifying officer. The faculty athletics representative, compliance coordinator and Registrar's Office personnel are all involved with certification, but it did not seem that an individual had been designated as the certifying officer. The institution should take steps to appoint one individual outside the athletics department as the certifying officer for eligibility and to include that responsibility in the individual's job description as well as his/her performance evaluation, and make this designation known to constituencies on campus.

Due to the organizational structure at Radford University, it is necessary designate more than one individual as the certifying officer. At Radford, transfer students are evaluated by a designated individual in the Admissions Office. This individual determines the number of transferable degree credits which is then used to determine admissibility to the University and NCAA transfer eligibility. Academic progress is monitored by the Registrar's Office and the designated individual in this office serves as the certifying officer for continuing eligibility. This structure has been put in place by the University as a means of most effectively and efficiently dealing with the day-to-day responsibilities in

each area given the financial limitations the entire University is currently operating under. Should there come a time when additional resources are available to increase staff in these areas, the issue of one certifying officer could be addressed.

4. The institution may also wish to consider implementing a policy of running the full-time attendance report prior to each contest to insure that all student-athletes are in a minimum of twelve hours per term. It was unclear as to whether this report was being run on a regular basis.

The procedure for ensuring full-time enrollment of all student-athletes is in place. Currently all student-athletes are coded on the Registrar's computer system. When a student brings a drop form to the Registrar's Office to drop a class, the designated individual in the Registrar's Office looks the student up on the appropriate computer screen. If the screen shows that the student is also a student-athlete, the designated individual will call the Compliance Coordinator to inform them of the name of the student-athlete desiring to drop a class. The designated individual in the Registrar's Office will not officially drop the class from the student-athlete's schedule until they have received approval from the Compliance Coordinator or other designated individual (s) within the athletic department. This procedure has been working very well eliminating the need to run full-time enrollment report on a daily basis. The 12-hour report (full-time attendance) is also run every Friday by both the athletic department (Compliance Coordinator) and a designated individual in the Registrar's Office.

5. As stated previously, the compliance manual has not been updated recently. During the revision process, the institution should take steps to ensure that written policies and procedures regarding the certification of eligibility for prospective and returning student-athletes are revised and/or included in the updated manual, and that those policies and procedures are subject to review by an outside entity (i.e. compliance committee) at least annually.

The *Intercollegiate Athletics Operations Manual* (which includes the Compliance Manual) is currently being updated. This manual will be fully updated and distributed to all staff prior to the start of the Fall 2003 semester. The manual will include written documentation related to all athletics operating policies and procedures. This will include, but is not limited to: Admissions, Financial Aid, Initial, Continuing and transfer Eligibility, internal polices relating to recruiting, awarding of initial scholarships, scholarship renewals and non-renewals, tickets, summer camps, rules education program, rules violations, compliance committee, and scheduling Procedures for certifying initial and continuing eligibility will be reviewed annual by the newly established Compliance Committee.

III. Transfer Eligibility Certification

Evaluation: The system used for monitoring and certifying eligibility for transfer student-athletes appears to be solid and working efficiently. The compliance coordinator handles the necessary releases that initiate the transfer process. The admissions office reviews previous transcripts and academic credentials and determines the number of credits that are transferable. The compliance coordinator then reviews all other elements of satisfactory progress, including seasons of competition, initial-eligibility status, and also determines if any waivers or exceptions apply.

Recommendations:

1. As mentioned earlier, the designation of certifying officer should be clarified so that this individual and all parties involved understand his/her role and responsibility as the institution's official certifying officer of eligibility. A flowchart could be created to demonstrate the proper reporting lines and responsibilities so that all individuals involved clearly understand the system.

Due to the organizational structure at Radford University, it is necessary designate more than one individual as the certifying officer. At Radford, transfer students are evaluated by a designated individual in the Admissions Office. This individual determines the number of transferable degree credits which is then used to determine admissibility to the University and NCAA transfer eligibility. The feasibility of developing a flowchart will be explored during the coming academic year.

2. The institution should consider developing procedures to monitor full-time enrollment on a more frequent basis to avoid having student-athletes participate or compete while enrolled in less than full-time. While the system the institution has in place prevents the student-athlete's from withdrawing without permission, it does not allow constant monitoring to prevent participation while ineligible.

The procedure that is currently in place does ensure full-time enrollment of all student-athletes is in place. Currently all student-athletes are coded on the Registrar's computer system. When a student brings a drop form to the Registrar's Office to drop a class, the designated individual in the Registrar's Office looks the student up on the appropriate computer screen. If the screen shows that the student is also a student-athlete, the designated individual will call the Compliance Coordinator to inform them of the name of the student-athlete desiring to drop a class. The designated individual in the Registrar's Office will not officially drop the class from the student athlete's schedule until they have received approval from the Compliance Coordinator or other designated individual (s) within the athletic department. This procedure has been

working very well eliminating the need to run full-time enrollment report on a daily basis. The 12-hour report (full-time attendance) is also run every Friday by both the athletic department (Compliance Coordinator) and a designated individual in the Registrar's Office.

3. The institution should consider conducting regular meetings (once per semester, once per year) with all individuals associated with the eligibility certification process to review roles and procedures. As the institution revises its compliance policies and procedures manual, these individuals would be helpful in developing and/or revising policies and procedures in this area.

The Athletic Department has developed a formal rules education program that will include regularly scheduled meetings to update and review NCAA and institutional compliance policies and procedures with constituencies both inside and outside the Athletic Department. This rules education program will include student-athletes, intercollegiate athletic staff members, and designated staff in related areas outside of the athletic department including Admissions, Financial Aid, University Registrar, and International Student Services. Individuals from outside the Athletics Department will also be invited to attend regularly scheduled rules compliance seminars sponsored by the Athletics Department, the Big South Conference, and/or the NCAA. The newly established Compliance Committee, which includes the Registrar, will annual review and make recommendations regarding compliance policies and procedures

4. It is recommended that the athletics department make every effort to improve the rules education and training that is currently provided to the Registrar's Office staff. The staff members who were interviewed indicated that they had not received formal rules education from the athletics department; however, they felt comfortable contacting the compliance coordinator with questions that might arise. The institution should consider providing the staff members from the Registrar's Office the opportunity to attend regional rules compliance seminars to assist them in further knowledge of eligibility certification requirements.

The Athletic Department has developed a formal rules education program that will include regularly scheduled meetings to update and review NCAA and institutional compliance policies and procedures with constituencies both inside and outside the Athletic Department. This rules education program will include student-athletes, intercollegiate athletic staff members, and designated staff in related areas outside of the athletic department including Admissions, Financial Aid, University Registrar, and International Student Services. Individuals from outside the Athletics Department will also be invited to attend regularly scheduled rules compliance seminars sponsored by the Athletics

Department, the Big South Conference, and/or the NCAA. The newly established Compliance Committee, which includes the Registrar, will annual review and make recommendations regarding compliance policies and procedures. The certifying officer from the Registrar's Office will be attending the NCAA regional Rules Compliance Seminar in May of 2003.

5. As stated previously, the compliance manual has not been updated recently. During the revision process, the institution should take steps to ensure that written policies and procedures regarding transfer eligibility certification for student-athletes are revised and/or included in the updated manual, and that those policies and procedures are subject to review by an outside entity (i.e. compliance committee) at least annually.

The *Intercollegiate Athletics Operations Manual* (which includes the Compliance Manual) is currently being updated. This manual will be fully updated and distributed to all staff prior to the start of the Fall 2003 semester. The manual will include written documentation related to all athletics operating policies and procedures. This will include, but is not limited to: Admissions, Financial Aid, Initial, Continuing and transfer Eligibility, internal polices relating to recruiting, awarding of initial scholarships, scholarship renewals and non-renewals, tickets, summer camps, rules education program, rules violations, compliance committee, and scheduling Procedures for certifying initial and continuing eligibility will be reviewed annual by the newly established Compliance Committee.

IV. Financial Aid Administration

Evaluation: The monitoring and tracking system for financial aid is conducted primarily by the compliance coordinator and the Director of Financial Aid. The compliance coordinator compiles information within the athletics department and then forwards that information to the Financial Aid office. The compliance coordinator communicates with both the Director of Financial Aid and the office manager's position within the Financial Aid Office. The compliance coordinator works in conjunction with the Director and office manager to determine countable and non-countable aid. No written documentation is kept regarding the determination of countable and non-countable aid (other than emails between the two offices). The compliance coordinator monitors team and individual limits as well as student-athlete employment. Student-athletes are informed at their preseason meeting and material is included in the Student-Athlete Handbook regarding financial aid. Appeals for cancellation or reduction of athletically related financial aid are heard by the institution's Student-Athlete Appeals Committee. The institution does not hear financial aid appeals from the general student body; therefore, it has set up a committee chaired by the Dean of Students to hear financial aid appeals for student-athletes. Written procedures are available for renewal and non-renewals of athletically related financial aid; however, it was unclear as to whether these procedures were disseminated to staff and student-athletes. It does appear that there

is a good working relationship and open communication between the compliance office and the Financial Aid Office.

Recommendations:

1. All student-athletes who receive financial aid are flagged within the university's system. It is recommended that all student-athletes, regardless of counter status, be flagged to indicate a student's status as a student-athlete to ensure compliance with NCAA rules for counters and non-counters.

All student-athletes, regardless of their financial aid status, are flagged on the University's system. A printout from the Financial Aid Office listing the financial aid (countable and non-countable) of all student-athletes is periodically provided to the Compliance Coordinator to update NCAA squad lists.

2. Currently, the compliance coordinator, with assistance from the Director of Financial Aid, determines countable and non-countable aid for student-athletes. The institution may wish to consider having this responsibility move from the compliance coordinator to the Financial Aid Office.

The decision of what constitutes countable versus non-countable aid is determined annually by the Compliance Coordinator and Director of Financial Aid and subsequently entered into the NCAA Compliance Assistant software. This information is used to determine countable versus non-countable aid for all student-athletes. Due to the constant changing of NCAA rules and federal financial aid guidelines, Radford University believes there is considerable value in collaborating in the process to ensure awards are accurately identified.

3. The staff members interviewed indicated that the institution was in the process of upgrading its computer resources, which might improve their accessibility. The individuals also seemed open to using the NCAA Compliance Assistant Software for the Internet (available Spring/Summer 2003) to further streamline the process. This would allow the compliance coordinator and Financial Aid office to network the system and take some of the responsibility of determining counter/non-counter status from the compliance coordinator.

The upgrading of the University computer system is at least two years away. Once the system is upgraded, the Compliance Committee will review all responsibilities relating to NCAA compliance and any appropriate recommendations will be made. These recommendations will, in a large part, be based on available resources.

4. As stated previously, the compliance manual has not been updated recently. During the revision process, the institution should take steps to ensure that

written policies and procedures regarding the awarding of financial aid to prospective and returning student-athletes are revised and/or included in the updated manual, and that those policies and procedures are subject to review by an outside entity (i.e. compliance committee) at least annually.

The *Intercollegiate Athletics Operations Manual* (which includes the Compliance Manual) is currently being updated. This manual will be fully updated and distributed to all staff prior to the start of the Fall 2003 semester. The manual will include written documentation related to all athletics operating policies and procedures. This will include, but is not limited to: Admissions, Financial Aid, Initial, Continuing and transfer Eligibility, internal polices relating to recruiting, awarding of initial scholarships, scholarship renewals and non-renewals, tickets, summer camps, rules education program, rules violations, compliance committee, and scheduling Procedures for certifying initial and continuing eligibility will be reviewed annual by the newly established Compliance Committee. Updated written policies and procedures regarding the awarding of financial aid to prospective and returning student-athletes were in place and available at the time of this compliance review.

5. As the institution develops written procedures regarding financial aid, it should take steps to ensure that those individuals involved in the process have those responsibilities outlined in their job descriptions and performance evaluations.

NCAA responsibilities have been outlined in the Director of Financial Aid's job description for a number of years. The Director of Financial Aid is evaluated annually by the Vice President for Student Affairs who also oversees intercollegiate athletics.

6. The institution should consider developing a compliance committee, composed of individuals from the admissions office, Registrar's Office and financial aid office, along with the faculty athletics representative and compliance coordinator. This committee would be charged with oversight of the compliance program and would also review annually the procedures used in the compliance program for changes or revisions.

A formal Compliance Committee has been established through the Intercollegiate Athletic Committee. This committee is composed of the Compliance Coordinator, The Faculty Athletics Representative, the University Registrar, the Director of Financial Aid, and one faculty selected from the Intercollegiate Athletics Committee. It is expected that this committee will begin meeting formally in the Fall of 2003. The charge of this committee is as follows:

- **Meet on a regular basis to discuss NCAA and institutional compliance related issues.**
- **Annually review established compliance policies and procedures.**
- **Recommend any new polices and/or procedures or changes to existing policies and procedures.**
- **Oversee/assist in the investigation of any potential major NCAA rules violation. Annually review all NCAA secondary violations.**

7. It is recommended that the athletics department make every effort to improve the rules education and training that is currently provided to the financial aid office staff. The staff members who were interviewed indicated that they had not received formal rules education from the athletics department; however, they felt comfortable contacting the compliance coordinator with questions that might arise. The institution should consider providing the staff members from the financial aid office the opportunity to attend regional rules compliance seminars to assist them in further knowledge of financial aid requirements.

The Athletic Department has developed a formal rules education program that will include regularly scheduled meetings to update and review NCAA and institutional compliance policies and procedures with constituencies both inside and outside the Athletic Department. This rules education program will include student-athletes, intercollegiate athletic staff members, and designated staff in related areas outside of the athletic department including Admissions, Financial Aid, University Registrar, and International Student Services. Individuals form outside the Athletics Department will also be invited to attend regularly scheduled rules compliance seminars sponsored by the Athletics Department, the Big South Conference, and/or the NCAA.

V. Recruiting

Evaluation: The system for monitoring recruitment appears to be in order. The compliance coordinator is primarily responsible for monitoring recruitment activities within the athletics department. The written procedures for recruitment have not been updated since 1996, when the most recent compliance manual was completed. Therefore, the procedures relating to recruitment have not been updated or revised. The compliance coordinator spot checks recruiting records, coordinates and approves all official visits (including review of transcripts and test scores for all visits). The compliance coordinator also does some review and spot check of the coaching staff's recruiting documentation, but it was unclear through interviews whether those spot checks were done frequently or infrequently. During the 2001-02 academic year, the compliance coordinator was provided a graduate assistant to assist in compliance operations, however, that position is no longer in place. Head coaches are required to maintain all documentation related to official visits and telephone communication.

Recommendations:

1. To ensure accuracy with the reporting of recruiting contacts and evaluations, it is suggested that the institution develop a procedure whereby the coaching staff would complete their contact and evaluation forms immediately after each off-campus recruiting trip. This practice would allow the compliance coordinator an additional monitoring tool for recruiting activities.

While this may be an ideal system to have in place, it is not practical from an implementation standpoint. This system would require the coaches for all 19 sports to turn in information on all prospective student-athletes to the Compliance Coordinator. Given that every coach is recruiting 50-100 prospects at any given time, this system would create a mountain of paperwork that would be impossible to keep up with and very possible create more problems than it solves. The current process of periodically spot checking recruiting records is adequate to maintain compliance with NCAA rules.

2. The institution may wish to consider developing a more formal listing of information that coaching staff members are required to maintain within their recruiting files. It is suggested that the basic information be maintained, such as telephone logs, official visit documentation, etc. In addition, the compliance coordinator should enhance the spot check system that is already in place, possibly including the faculty athletics representative as part of the oversight team.

Radford University does have a sample recruiting form included in the Compliance Manual, however, we believe as long as the same basic information is included in the form, that coaches should be given the flexibility to maintain their information in a way that best suits their program. The newly established Compliance Committee will annually review recruiting procedures and required documentation.

3. With regards to official visits, it is suggested that the institution consider developing and disseminating procedures to allow the compliance coordinator to review all reimbursement requests submitted by the coaching staff at the conclusion of the official visit to ensure that rules and regulations regarding official visits were adhered to (i.e. those individuals who received meals, entertainment expenses, lodging). In addition, it is recommended that the coaching staff be required to turn in itemized receipts along with the names of each individual receiving expenses to ensure that expenses are related to the official visit and do not include individuals who are not permitted to receive such expenses (e.g. prospect's sibling, high school coach, volunteer coach).

Currently the Athletic Director is signing off on reimbursement request forms from all official visits. In the future Radford will include having

the Compliance Coordinator review and sign off on all reimbursement requests from official visits.

4. The institution should review all currently used recruiting documents and forms to ensure that they are up to date and cite correct bylaws, where applicable.

All documents and forms are currently being reviewed and/or updated and will be included in Operations Manual. A formal Compliance Committee has also been established through the Intercollegiate Athletic Committee. This committee is composed of the Compliance Coordinator, The Faculty Athletics Representative, the University Registrar, the Director of Financial Aid, and one faculty selected from the Intercollegiate Athletics Committee. It is expected that this committee will begin meeting formally in the Fall of 2003. The charge of this committee is as follows:

- **Meet on a regular basis to discuss NCAA and institutional compliance related issues.**
 - **Annually review established compliance policies and procedures.**
 - **Recommend any new polices and/or procedures or changes to existing policies and procedures.**
 - **Oversee/assist in the investigation of any potential major NCAA rules violation. Annually review all NCAA secondary violations.**
5. As stated previously, the compliance manual has not been updated recently. During the revision process, the institution should take steps to ensure that written policies and procedures regarding the recruitment of prospective student-athletes are revised and/or included in the updated manual, and that those policies and procedures are subject to review by an outside entity (i.e. compliance committee) at least annually.

The *Intercollegiate Athletics Operations Manual* (which includes the Compliance Manual) is currently being updated. This manual will be fully updated and distributed to all staff prior to the start of the Fall 2003 semester. The manual will include written documentation related to all athletics operating policies and procedures. This will include, but is not limited to: Admissions, Financial Aid, Initial, Continuing and transfer Eligibility, internal polices relating to recruiting, awarding of initial scholarships, scholarship renewals and non-renewals, tickets, summer camps and clinics, rules education program, rules violations, compliance committee, and scheduling Procedures for certifying initial and continuing eligibility will be reviewed annual by the newly established Compliance Committee. Updated written policies and procedures regarding the awarding of financial aid to prospective and returning student-athletes were in place and available at the time of this compliance review.

VI. Camps and Clinics

Evaluation: The system for monitoring sports camps and clinics seems to be in order. The institution's coaches have incorporated all sports camps and clinics, which means that the operation of the camps and clinics are controlled by the coaches rather than the university. The head coach is responsible only for paying a fee to the university for use of its facilities. The compliance coordinator does not review any documentation prior to the beginning of the camp or clinic, or review any reconciliation information at the conclusion of the camp or clinic. The athletics business manager does require certain information to be turned in at the conclusion of the camp or clinic (i.e. budget, revenues/expenses, and payrolls).

Recommendations:

1. Since the institution has incorporated all sports camps and clinics, there is less monitoring required by the compliance coordinator and/or athletics administration. However, the compliance coordinator should continue to review camp brochures prior to printing to ensure that the documents conform to NCAA regulations concerning camp brochures.

Radford University has not incorporated all sports camps and clinics. However, the University has taken the position that sports camps and clinics will not be operated through the University. This means that coaches are responsible for running/operating their own camps and clinics and, in most cases for their own protection, they have chosen to incorporate. The Compliance Coordinator still has responsibility for ensuring sports camps and clinics are in compliance with NCAA guidelines. There is a section in the Compliance Manual dedicated to policies and procedures relating to sports camps and clinics.

2. The institution should consider having the coaching staff submit, prior to the beginning of the sports camp or clinic, a list of those individuals who will be employed by the camp or clinic, to verify that student-athletes are being paid at a rate commensurate with other staff members employed by the camp or clinic. This increased level of monitoring will be another check and balance in the system.

This issue is addressed in the Camps and Clinics portion of the Compliance Manual and is currently in effect.

3. As stated previously, the compliance manual has not been updated recently. During the revision process, the institution should take steps to ensure that written policies and procedures regarding the operation and monitoring of its sports camps and clinics are revised and/or included in the updated manual,

and that those policies and procedures are subject to review by an outside entity (i.e. compliance committee) at least annually.

The *Intercollegiate Athletics Operations Manual* (which includes the Compliance Manual) is currently being updated. This manual will be fully updated and distributed to all staff prior to the start of the Fall 2003 semester. The manual will include written documentation related to all athletics operating policies and procedures. This will include, but is not limited to: Admissions, Financial Aid, Initial, Continuing and transfer Eligibility, internal polices relating to recruiting, awarding of initial scholarships, scholarship renewals and non-renewals, tickets, summer camps and clinics, rules education program, rules violations, compliance committee, and scheduling

VII. Investigations and Self-Reporting of Violations

Evaluation: The system for self-reporting and investigating rules violations appear to be effective and understood by all. It is generally accepted that self-reporting is encouraged and welcomed by the compliance staff. The compliance coordinator is mainly responsible for the organization and investigation of all alleged rules violations, and includes the faculty athletics representative in all correspondence, along with the president, Athletic Director, senior woman administrator, vice president for student affairs, and Big South Conference. The institution reports all secondary violations which appear on the secondary schedule to the Big South Conference, and reports all other secondary violations to the NCAA National Office.

Recommendations:

1. As stated previously, the compliance manual has not been updated recently. During the revision process, the institution should take steps to ensure that written policies and procedures regarding the investigation and self-reporting of violations are revised and/or included in the updated manual, and that those policies and procedures are subject to review by an outside entity (i.e. compliance committee) at least annually.

The *Intercollegiate Athletics Operations Manual* (which includes the Compliance Manual) is currently being updated. This manual will be fully updated and distributed to all staff prior to the start of the Fall 2003 semester. The manual will include written documentation related to all athletics operating policies and procedures. This will include, but is not limited to: Admissions, Financial Aid, Initial, Continuing and transfer Eligibility, internal polices relating to recruiting, awarding of initial scholarships, scholarship renewals and non-renewals, tickets, summer camps and clinics, rules education program, rules violations, compliance committee, and scheduling

2. The institution should implement procedures to allow the compliance coordinator to document any actions taken with regards to a secondary or major violation in writing for future reference and informational purposes.

The Compliance Coordinator has never been not allowed to do this. The Compliance Coordinator currently does document all secondary and/or major violations.

3. The institution should take steps to ensure that senior level administrators (e.g. president, vice president for student affairs, university counsel) are involved in the institution's formal investigatory and self-reporting policies and procedures.

Senior level administrators are immediately informed of any potential rules violations and are copied on all documented rules violations.

4. The institution should take steps to ensure that those individuals who are involved in this process have those responsibilities outlined in their individual job descriptions and personnel evaluations. Also, the institution should take steps to make campus constituencies aware of those individuals' responsibilities and level of authority.

This issue is being taken under advisement. The University has a great deal of concern regarding how much/many additional responsibilities can or should be written into the job descriptions of personnel outside the athletic department.

VIII. Rules Education

Evaluation: The institution does conduct rules education for student-athletes, coaches, administrators and representatives of the institution's athletics interests. Each coach is provided with a copy of the NCAA Division I Manual, a staff policies and procedures manual, and a copy of the NCAA News. Once the compliance manual is revised, the staff will be provided with a copy of that document as well. The compliance coordinator communicates vital information to the athletics staff and campus constituencies via electronic mail. All new staff are also required to meet with each area to review policies and procedures after hiring.

Student-athletes receive rules education through the institution's student-athlete handbook as well as through pre-season meetings conducted by the athletics department.

It was evident that some rules education is provided to representatives of athletics, however it was unclear to what extent or how formal the program was. It was

indicated that the director of athletics does attend meetings of the board of the institution's fund-raising association, and provides rules education when present.

It should be noted that a solid rules education program is paramount in a comprehensive compliance program. It is a fundamental element in maintaining institutional control and should be given appropriate significance throughout the athletics department and university.

Recommendations:

1. The institution may wish to consider developing a new staff orientation program to target new head and assistant coaches and administrative staff. A specific orientation for these individuals would provide a more intimate review of NCAA, conference and institution-specific procedures and requirements.

The Athletic Department has developed a formal rules education program that will include regularly scheduled meetings to update and review NCAA and institutional compliance policies and procedures with constituencies both inside and outside the Athletic Department. This rules education program will include student-athletes, intercollegiate athletic staff, and designated staff in related areas outside of the athletic department including Admissions, Financial Aid, University Registrar, and International Student Services. Individuals from outside the Athletics Department will also be invited to attend regularly scheduled rules compliance seminars sponsored by the Athletics Department, the Big South Conference, and/or the NCAA. New staff members are responsible for going through an orientation with existing staff in all pertinent areas. New staff are provided an orientation checklist that existing staff sign off on after they have met and discussed policies and procedures in that particular area.

2. The institution should take steps to ensure that a compliance-related topic is discussed at each full-staff meeting by developing a compliance calendar to outline those topics.

A compliance related topic is discussed at each full staff meeting. Topics are chosen according to where we are in the academic/athletic cycle and what is germane at that time.

3. As stated previously, the compliance manual has not been updated recently. During the revision process, the institution should take steps to ensure that written policies and procedures regarding rules education are revised and/or included in the updated manual, and that those policies and procedures are subject to review by an outside entity (i.e. compliance committee) at least annually.

A compliance related topic is discussed at each full staff meeting. Topics are chosen according to where we are in the academic/athletic cycle and what is germane at that time.

4. The institution may wish to consider allowing the compliance coordinator to attend regular meetings of the Highlander Club board to provide rules education to its membership. This will allow the compliance coordinator to develop an on-going relationship with both the board and the membership of the association.

The University will include the Compliance Coordinator as a regular invite to Highlander Club meetings to discuss/provide rules education to its membership.

5. The institution should consider formalizing its rules education program to detail the steps that will be taken to provide rules education to its student-athletes on more than one occasion during the academic year.

Rules education for student-athletes currently takes place on more than one occasion per academic year. These opportunities include Tam Radford Day, individual team meetings, discussion and distribution of the Student-Athlete Handbook, periodic compliance brief issued via e-mail, and SAAC discussions. The Athletic Department has also developed a formal rules education program that will include regularly scheduled meetings to update and review NCAA and institutional compliance policies and procedures with constituencies both inside and outside the Athletic Department. This rules education program will include student-athletes, intercollegiate athletic staff, and designated staff in related areas outside of the athletic department including Admissions, Financial Aid, University Registrar, and International Student Services. Individuals form outside the Athletics Department will also be invited to attend regularly scheduled rules compliance seminars sponsored by the Athletics Department, the Big South Conference, and/or the NCAA.

6. The institution should also, as stated previously, enhance its rules education efforts with those individuals involved in the compliance effort outside the athletics department. Participation in the NCAA Regional Rules Seminars would be beneficial as there are specific sessions relating to eligibility (initial and continuing) and financial aid. In addition, these seminars provide hands-on experience with the NCAA Compliance Assistant Software, which the institution may consider networking between the three offices. Rules education for individuals involved in the certification of initial and continuing eligibility is critical at this stage with the many changes in NCAA legislation in these areas.

The Athletic Department has also developed a formal rules education program that will include regularly scheduled meetings to update and review NCAA and institutional compliance policies and procedures with constituencies both inside and outside the Athletic Department. This rules education program will include student-athletes, intercollegiate athletic staff, and designated staff in related areas outside of the athletic department including Admissions, Financial Aid, University Registrar, and International Student Services. Individuals from outside the Athletics Department will also be invited to attend regularly scheduled rules compliance seminars sponsored by the Athletics Department, the Big South Conference, and/or the NCAA.

IX. Extra Benefits

Evaluation: Student-athletes appear to receive information regarding extra benefits, complimentary admissions, gambling and professional agents at their preseason meetings. The Student-Athlete Advisory Committee is active and involved in different areas of interest within the athletics department.

The procedure for administering complimentary admissions appears sound. It appears that those who are involved are informed of the regulations surrounding the process; however, there is no actual monitoring of the system. There is good communication between the coaching staffs, compliance and facility staff regarding NCAA rules.

Recommendations:

1. The institution may wish to consider including in its exit interviews for student-athletes opportunity for discussion on NCAA rules and compliance, which would be facilitated by one-on-one discussions with some student-athletes.

The exit interview process has been revised. Student-athletes will have two opportunities to provide feedback regarding their intercollegiate athletic experience. All student-athletes expiring eligibility will be required to complete an exit survey and/or afforded the opportunity for a face-to-face exit interview with any one of five designated individuals within the athletic department. Those individuals are the Athletic Director, Senior Woman Administrator, Faculty Athletics Representative and the Academic Support Coordinator, and Compliance Coordinator. All student-athletes will also complete an extensive student-athlete questionnaire at least every other year to provide feedback to the athletic department. There are questions pertaining to rules education and rules knowledge on all three of these instruments.

2. The institution should take steps to ensure that, as individuals are admitted to home events via the player pass list, they are required to present a picture identification card as proof of identity. Currently, the institution indicates it informs the ticket staff of the requirement, but did not indicate that it monitored their actions to ensure it was occurring.

This is a staffing issue. RU does not currently have, and probably will not have in the near future, enough staff to monitor the player pass gate on a game-by-game basis. Individuals managing the player pass gate and home event management staff are given written instructions regarding NCAA compliance policies relating to complimentary admissions. As appropriate, the Compliance Coordinator will spot check the player pass gate.

3. As stated previously, the compliance manual has not been updated recently. During the revision process, the institution should take steps to ensure that written policies and procedures regarding extra benefits are revised and/or included in the updated manual, and that those policies and procedures are subject to review by an outside entity (i.e. compliance committee) at least annually.

The *Intercollegiate Athletics Operations Manual* (which includes the Compliance Manual) is currently being updated. This manual will be fully updated and distributed to all staff prior to the start of the Fall 2003 semester. The manual will include written documentation related to all athletics operating policies and procedures. This will include, but is not limited to: Admissions, Financial Aid, Initial, Continuing and transfer Eligibility, internal policies relating to recruiting, awarding of initial scholarships, scholarship renewals and non-renewals, tickets, summer camps and clinics, rules education program, rules violations, compliance committee, and scheduling.

X. Playing and Practice Seasons

Evaluation: The systems used for monitoring playing and practice seasons seem to be effective. The compliance coordinator provides the coaching staff with the appropriate forms to monitor and track declarations of the playing season, scheduling and countable activities. The compliance coordinator, with assistance from the director of athletics, monitors this area. Coaches are required to turn in their countable athletically related activities forms every two weeks.

Recommendations:

1. As stated previously, the compliance manual has not been updated recently. During the revision process, the institution should take steps to ensure that

written policies and procedures regarding playing and practice seasons are revised and/or included in the updated manual, and that those policies and procedures are subject to review by an outside entity (i.e. compliance committee) at least annually.

The *Intercollegiate Athletics Operations Manual* (which includes the Compliance Manual) is currently being updated. This manual will be fully updated and distributed to all staff prior to the start of the Fall 2003 semester. The manual will include written documentation related to all athletics operating policies and procedures. This will include, but is not limited to: Admissions, Financial Aid, Initial, Continuing and transfer Eligibility, internal polices relating to recruiting, awarding of initial scholarships, scholarship renewals and non-renewals, tickets, summer camps and clinics, rules education program, rules violations, compliance committee, and scheduling.

XI. Student-Athlete Employment

Evaluation: The compliance coordinator is responsible for monitoring student-athlete employment. All student-athletes are informed of the procedures that should be followed if they are interested in gaining employment during the academic year. The Student-Athlete Handbook also contains information regarding employment. It appears that student-athletes are aware and understand the process, although few if any work during the academic year. With the pending change in legislation, the institution will likely need to revise its procedures for monitoring student-athlete employment.

Recommendations:

1. As stated previously, the compliance manual has not been updated recently. During the revision process, the institution should take steps to ensure that written policies and procedures regarding student-athlete employment are revised and/or included in the updated manual, and that those policies and procedures are subject to review by an outside entity (i.e. compliance committee) at least annually.

The *Intercollegiate Athletics Operations Manual* (which includes the Compliance Manual) is currently being updated. This manual will be fully updated and distributed to all staff prior to the start of the Fall 2003 semester. The manual will include written documentation related to all athletics operating policies and procedures. This will include, but is not limited to: Admissions, Financial Aid, Initial, Continuing and transfer Eligibility, internal polices relating to recruiting, awarding of initial scholarships, scholarship renewals and non-renewals, tickets, summer

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camps and clinics, rules education program, rules violations, compliance committee, and scheduling.

SUMMARY

In conclusion, it appears that the compliance systems at Radford University are solid. The overall organization and structure are sufficient to meet the needs of the administration, coaching staff and student-athletes, as well as outside constituencies. The recommendations listed in this report should be taken into consideration to possibly improve the current systems and to assist in fostering a greater awareness and understanding regarding the importance of rules compliance at an NCAA Division I institution. While the President and Director of Athletics are ultimately responsible for the operation of the athletics department, it is important that each individual accept and understand his or her role as a shared responsibility toward the institution's commitment to rules compliance.

Evaluation and Plan for Improvement

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

Where the institution concludes in its evaluation that it does not conform to the operating principle as a whole or to any particular element(s) of the operating principle [as indicated by a “Currently No” response to the element(s)] or that problems or deficiencies exist in this area, outline the institution’s specific plans for improvement, which should include/meet the following required elements: (a) stand-alone and in writing, (b) developed through broad-based participation, (c) issues/problems identified in the self-study, (d) measurable goals the institution intends to attain to address the issues/problems, (e) step(s) to achieve the goals, (f) the specific timetable for completing the work, (g) individuals/offices responsible for carrying out the actions, and (h) institutional approval. [Note: Please see Appendix A, Page 60 for an example format outline all required elements of plans.]

Plan for Improvement - Governance and Commitment to Rules Compliance

1.1. Mission of the Athletics Program and the Institution.	Currently YES	Found on Page(s)	Currently NO	If Currently No, If Deficiencies Exist, or If an Enhancement has been identified, indicate Plan For Improvement Number
Does the institution demonstrate that the mission and goals of the athletics program:				
1. Relate clearly to the mission and goals of the institution?				
2. Support the educational objectives, academic progress and general welfare of student-athletes?				
3. Support equitable opportunity for all students and staff, including women?				
4. Support equitable opportunity for all students and staff who are minorities?				
5. Embrace the Association’s principles of sportsmanship and ethical conduct?				
6. Are widely circulated among the institution’s internal and external constituencies?				Plan for Improvement #4

Does the institution demonstrate that the actual practices of the institution's athletics program are consistent with the athletics program mission and goals?		19-21		
On the basis of the yes/no answers above and the plans for correcting deficiencies below, is the institution in substantial conformity with Operating Principle 1.1 (Mission of the Athletics Program and the Institution)?				
1.2 Institutional Control, Presidential Authority and Shared Responsibilities.	Currently YES	Found on Page(s)	Currently NO	If Currently No, If Deficiencies Exist, or If an Enhancement has been identified, indicate Plan For Improvement Number
Does the institution demonstrate that:				
a. The institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution?		21-22		
b. The chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program?		22-23		
c. Appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies?		23-25		
On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities)?				
1.3 Rules Compliance.	Currently YES	Found on Page(s)	Currently NO	If Currently No, If Deficiencies Exist, or If an Enhancement has been identified, indicate Plan For Improvement Number
Does the institution demonstrate that:				

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a. It has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program?	√	26-30		
b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department?		27-30		
c. Rules compliance is the subject of an ongoing educational effort?		30		
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?		31-33		
e. At least once every three years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department?		33		
On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 1.3 (rules Compliance)?				

Plan for Improvement – Governance and Commitment to Rules Compliance

Issues in the Self Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
1. Written evaluations are not done on all full-time staff.	The Athletic Director will conduct annual evaluations on all full-time staff.	Develop an evaluation form to be used on all full-time staff members.	Athletic Director	May 2004
2. Compliance manual has not been updated annually.	The Compliance Coordinator will annually update the compliance manual by August 15 and distribute to staff before the start of each Fall semester.	Compliance Committee will review and approve all new policies and procedures.	Compliance Coordinator	August 2003, and annually thereafter
3. Offices of critical and sensitive areas on campus do not use the NCAA Compliance Assistant software.	All information regarding student-athletes will be streamlined using the Compliance Assistant for the Internet.	The Registrar and Financial Aid offices will input information on the Compliance Assistant for the Internet.	Vice President for Student Affairs and Athletic Director	July 2005 or when new platform is fully implemented
4. The mission of the athletic program needs to be more widely disseminated.	Disseminate the athletic mission statement to all internal and external constituencies, identified by IAC.	The revised mission statement will be published in the Student-Athlete Handbook, Athletic Department <i>Intercollegiate Athletics Operations Manual</i> , all media guides and athletic booster brochures.	IAC and Athletic Director	May 2004