

## Governance and Commitment to Rules Compliance

### Operating Principle

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

##### Self-Study Items

1. List all "corrective actions", "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). In each case, provide: (a) the original "corrective action", "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

None

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process for Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) an explanation for any partial or noncompletion of such required actions. 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.

Recommendation 1: The peer-review team recommends a written policy and procedure to ensure that Racer Foundation funds are under the direct control of the chief executive officer. The peer-review team recommends that this be done within two months of the decision from the Committee on Athletics Certification. (Operating Principle No. 2)

On June 18, 1999 the Murray State University Board of Regents enacted guidelines for the receipt of funds from, and the expenditure of funds by, the Racer Foundation. The University President recommended the guidelines ". . . in order to provide additional institutional control as required by the National Collegiate Athletic Association." The guidelines specifically state:

"All expenditures [by the Racer Foundation], of whatever nature or kind and regardless of origination, must be in conformity with NCAA policy. It is the intent of the Board of Regents to comply with all NCAA policies relating to institutional control while preserving the Racer Foundation's non-affiliated status."

In September 2005 all fundraising and marketing functions were removed from the Racer Foundation and placed in the Athletics Department. Although the Racer Foundation still exists it performs in a very limited function and athletics fund raising is now handled entirely through internal University processes.

Recommendation 2: The peer-review team recommends the development of written policies and procedures to ensure total compliance and oversight of functions of athletics. The peer-review team recommends that this be done within two months of the decision from the Committee on Athletics Certification. (Operating Principle No. 5)

In 1999 the Compliance Policy & Procedure Manual was developed, approved by the President, and adopted as policy. In this document, the areas of oversight and individual responsibility for rules compliance are clearly delineated.

Suggestion: The peer-review team suggests that the institution consider involving the Faculty Athletics Representative at a higher level of decision making related to athletics. (Operating Principle No. 4)

The job description of the Faculty Athletics Representative (FAR) was reviewed and updated in 1999. The University clearly specifies the job responsibilities and compliance oversight duties of the Faculty Athletics Representative (FAR). The FAR job description specifies duties regarding eligibility certification oversight, recruiting certification of

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coaches and student-athlete exit interviews with particular emphasis on welfare issues. The FAR chairs the Intercollegiate Athletics Council (IAC). The FAR also participates in the Ohio Valley Conference committee comprised of FARs throughout the conference. This group meets biannually to discuss NCAA legislation, academics, and various compliance issues.

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

The structure in place has ensured that institutional control is present at Murray State and this is evidenced by various occurrences, discussed below, since the first-cycle report.

In September 2007, the Board of Regents confirmed its annual commitment to principles of institutional control by adopting the OVC Certification Form for the 2007-2008 Academic Year. This specifically states that responsibility for administration of the athletics program has been delegated to the President of the University, and that the President "has the mandate and support of the Board to operate a program of integrity in full compliance with NCAA, OVC, and all other relevant rules and regulations."

As discussed further below, the Board of Regents and the University President continually demonstrate that the Athletics Department at Murray State is under the control of the proper University authority.

4. Describe how the institution's governing board decisions are consistent with those of other on-campus units. Based upon the institution's experience in the last three years, list the decisions (if any) related to intercollegiate athletics in which the institution's governing board or individual board members have been significantly involved.

Murray State University is governed by an eleven member Board of Regents composed of eight members appointed by the Governor of the Commonwealth of Kentucky, one member elected by the faculty, one member elected by non-faculty employees, and one member elected by the student body. KRS 164.321. By statute, the Board is ultimately responsible for establishing University policy, expending University funds, and hiring University employees. The Board must comply with state law regarding, among other things, open meetings and open records, fiscal propriety, procurement, and conflicts of interest. Its actions are recorded in minutes that are available for public inspection.

Over the past three years, the Board of Regents has been significantly involved with the University's Athletics Department. The Board approves the annual budget for all University departments, including the Athletics Department. The Board exercises authority over all University employment matters by approving the annual budget and salary/employment rosters twice a year. This applies to employees in the Athletics Department. The Board specifically approved the appointment of an interim Director of Athletics and the hiring and contracts of a full-time Athletics Director, football coach, and men's and women's basketball coaches. Board members were on the selection committee for the new Athletics Director.

Consistent with established policy, the Board has been presented with requests for approval of the transfer of assets from the Racer Foundation to the University. It approved the naming of athletics facilities in honor of donors. The Board annually receives audits of the Racer Foundation and the reviews of agreed upon procedures relating to the Athletics Department. The Board of Regents approved the capital construction project consisting of installing new turf on the football field and resurfacing the track in the football stadium.

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

The University President is closely involved with the operations and oversight of the Athletics Department. The Athletics Director reports directly to the President and, therefore, numerous matters relating to athletics are brought to the attention of the President.

The President was significantly involved in numerous employment decisions in the approximate three year period which preceded the beginning of this review. In September 2004, a former President transferred a former Athletics Director from his position. He was involved in the search for a new Athletics Director, as well as coaches for the sports of football and men's and women's basketball.

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The President performs the annual performance review of the Athletics Director. Any extension of the contract of the Athletics Director requires approval by the President. He executed the NCAA Form 07-1, "Certification of Compliance for Institution" on behalf of the University.

The President initiated efforts to remove fund-raising and marketing functions for Athletics from the Racer Foundation, which was accomplished. The Racer Foundation had performed fund-raising and marketing functions for the Athletics Department. However, all those responsibilities were removed from the Foundation and placed inside the University. This resulted in the transfer of restricted fund balances from the Racer Foundation to the University. Although the Racer Foundation still exists it performs in a very limited function and athletics fund raising is now handled entirely through internal University processes. The President was significantly involved with incorporating these functions into regular University processes and procedures. He has also been involved with securing corporate sponsors and major gifts for Athletics.

The President annually reviews the budget of the Athletics Department for presentation to the Board of Regents. He has directed the Internal Auditor, who reports directly to the President, to prepare monthly reports regarding accounts of Athletics Department and the Racer Foundation.

The President has approved various projects related to Athletics facilities, including installation of new turf and resurfacing of the track for the football stadium, office renovation, construction of a new tennis/soccer complex, and scoreboard renovation. He is involved in discussions regarding the future use of facilities and the addition of new intercollegiate varsity sports.

The President was involved in the decision to discontinue the non-scholarship men's track program. He was a strong proponent for implementation of drug testing for student-athletes. The President supported a Title IX review undertaken by the Athletics Department and supported the Department's implementation of initiatives.

6. Describe the process by which the institution makes major decisions regarding intercollegiate athletics. If the institution has different processes for making various major decisions regarding intercollegiate athletics, describe the process for making each major decision. For each process, describe the role and authority of the institution's governing board, the president or chancellor, the athletics board or committee (if one exists), the faculty athletics representative(s), the director of athletics, and any other appropriate campus constituencies (e.g., faculty, students, institutional personnel involved in rules-compliance activities) in the process.

Major decisions related to the Athletics Department are subject to the same policies and procedures as other departments on campus. The budget for the Athletics Department is reviewed internally by the President and the Vice President for Finance and Administrative Services in the same manner as other offices. The budget for the University, including Athletics, ultimately is subject to the approval of the Board of Regents. Selected financial procedures of the Athletics Department are reviewed annually and the findings are presented to the Board of Regents.

The Athletics Department is subject to the same hiring procedures that are used for other exempt positions, i.e. faculty and professional staff, at the University. In addition, for "high profile" hires such as those for head coach of highly visible sports, the Director of the Office of Equal Opportunity and the Athletics Director work closely together to solicit applications from a pool of talented individuals from diverse backgrounds. All such employees are subject to the University's Personnel Policies and Procedure Manual. Criminal background checks were implemented for hires in the Athletics Department before they were used across campus. All hires ultimately are subject to the approval of the President and Board of Regents.

A recent capital construction project involving Athletics, the replacement of the turf and the resurfacing of the track in the football stadium, was handled the same as other such projects. Approvals were secured from the Board of Regents and the appropriate state officials and the awarding of the construction contract was handled by the University's Procurement Services.

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

Murray State University does not have an Athletics Board as the term is defined in Policy 6.1.2 of the NCAA Manual.

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

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- Minutes of athletics board or committee meetings.
- Composition of the institution's governing board (including titles and positions).
- Minutes of the institution's governing board meetings. (Please flag those that relate to the athletics program or athletics interests.)
- Published policies of the institution's governing board. (Please flag those that relate to the athletics program or athletics interests.)
- An institutional organizational chart and an athletics department organizational chart.

### **Evaluation**

1. Does the institution demonstrate that the institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution? **Currently Yes**
2. Does the institution demonstrate that the president or chancellor is assigned ultimate responsibility and authority for the operation and personnel of the athletics program? **Currently Yes**
3. Does the institution demonstrate that appropriate campus constituencies have the opportunity, under the purview of the president or chancellor, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies? **Currently Yes**

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## Operating Principle

### 1.2 Rules Compliance

#### Self-Study Items

1. List all "corrective actions", "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.2 (Rules Compliance). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

1. a) Recommendation: The peer-review team recommends that the athletics mission statement be revised to address minority issues. The peer-review team recommends that this be done within two months of the decision from the Committee on Athletics Certification. (Operating Principle No. 1)
- b) The mission statement has been reviewed and revised. The statement contains language referring to fair treatment of minorities.
- c) The mission/statement of philosophy was reviewed and revised in 1999 and in 2001. It was reviewed again in 2007-2008.

2. a) Recommendation: The peer-review team recommends that the institution have an audit of compliance by an authority outside of the athletics department. The peer-review team recommends that this be done within two months of the decision from the Committee on Athletics Certification. (Operating Principle No. 7)
- b) The office of the Ohio Valley Conference conducts an audit of compliance policies and procedures every three years.
- c) Audits were conducted September 2000, September 2003, August 2005, and January 2008.

#### PEER REVIEW TEAM SUGGESTIONS

1. a) The the role of the Intercollegiate Athletics Council (IAC) should be clarified.
- b) The role of the IAC has been clarified.
- c) 2005 ongoing
2. a) Certain employees in the Athletics Department who were not receiving rules education should have rules education.
- b) The Athletics Department now requires all employees to attend rules education meetings at least twice a year.
- c) 2005 ongoing
3. a) It was suggested that MSU continue development of booster education programs, in addition to providing information directly and through the Athletics website ([www.goracers.com](http://www.goracers.com)),
- b) Ongoing booster education programs have been expanded and utilize a variety of strategies. Brochures and pamphlets have been developed, some of which are distributed to all season ticket holders annually. Compliance related tips are included in "This Week in Racer Athletics," a weekly email highlighting upcoming athletics events which is distributed to all Racer Club members and Athletics Department employees.
- c) 2005 ongoing
4. a) Suggestions were made that the Assistant Athletic Director for Compliance (AADC) exercise greater oversight of camps and clinics and the National Letter of Intent program.
- b) The AADC has prepared a comprehensive manual regarding camps and clinics which contains a detailed checklist of required steps and due dates. In addition, the AADC has assumed complete control of the National Letter of Intent process. This control includes processing all forms, gathering all signatures, and ensuring all letters are signed correctly by prospective student-athletes.
- c) 2006 ongoing
- 5) a) A suggestion was made to increase emphasis on the responsibility of coaches to investigate the previous participation of prospective international student-athletes in organized competition.

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b) All international student-athletes must register with the NCAA Eligibility Center prior to the awarding of any athletic related financial aid or signing of a National Letter of Intent. The NCAA Eligibility Center requires all international prospects to complete an Amateurism Questionnaire and to have their amateurism certified prior to any competition. In addition, the coaching staffs are encouraged to have the international prospects complete an International Student-Athlete Questionnaire as soon in the recruiting process as possible. This will help the AADC with identifying amateurism issues not identified to the NCAA Eligibility Center.

c) 2005 ongoing

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process for Operating Principle 1.2 (Rules Compliance). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

1. a) Dissemination of Athletics Department Mission/Statement of Philosophy and regular review by Athletics Council.

b) The mission has been disseminated in the Student Handbook, the University Bulletin, and the Student-Athlete Handbook. The statement has been and continues to be reviewed by the Intercollegiate Advisory Council.

c) The mission statement appears in the University Student Handbook (beginning 2004), the University Bulletin (beginning 2003), and the Student-Athlete Handbook (beginning 1999). The mission/statement of philosophy was reviewed and revised in 1999 and in 2001. It was reviewed again in 2007-2008.

2. a) Standardization, in written form, of assigned procedures and responsibilities for rules compliance in Athletics.

b) The Athletics Department created the Compliance Policies and Procedure Manual, which presents assigned procedures and responsibilities for rules compliance.

c) 1999 and updated in an ongoing manner

3. a) Ensure the University clearly delineates assigned responsibilities of both Athletics and University personnel in athletics compliance issues.

b) The Athletics Department created a new, full-time position to oversee compliance efforts in 1999. This first Assistant Athletics Director for Compliance was hired in 1999. The Compliance Policy & Procedures Manual clearly specifies compliance responsibilities within athletics and the university communities. Responsibilities are delineated for the President of the University, the Faculty Athletics Representative, the Director of Athletics, the Senior Woman Administrator, the Assistant Athletics Director for Compliance, the Director of Financial Aid, the Registrar, and all head coaches, as well as other positions in Athletics and the University.

c) A compliance staff member was added 1999. The Compliance Policy & Procedures Manual was created in 1999 and updated regularly.

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.2 (Rules Compliance) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Murray State University is continually exploring and implementing processes and procedures to improve its fulfillment of this principle and such actions are reflected throughout these responses. One particular item of note is that MSU hired a NCAA Specialist for the Office of the Registrar. This employee handles NCAA matters including determining and monitoring initial, continuing, and transfer eligibility. This employee also assists the Athletics Department in calculating APR scores, GSR scores, and Federal graduation rates. The addition of this employee allows closer attention to, and better scrutiny of, matters related to eligibility and progress towards degree completion.

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

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The University President initiated efforts to remove fund-raising and marketing functions from the Racer Foundation. This was accomplished and the Racer Foundation is no longer involved in these activities. The sole function of the Racer Foundation now is to manage real property it owns. It has no responsibilities on behalf of Athletics and is no longer the recognized support organization for Murray State Athletics. However, University employees remain on its Board of Directors and the Athletics Director and Vice President for Finance and Administrative Services are ex officio members. The Racer Foundation is subject to an annual audit which is presented to the Board of Regents. The transfer of funds or assets to the University from the Racer Foundation must comply with University procedures.

All fund-raising and marketing activities are now handled by the University and the recognized support group for Athletics is the Racer Club which exists within the University. Its receipt and expenditure of funds are subject to the same University procedures as other campus departments and all gifts and donations are received, documented, and reconciled according to University policy.

Season ticket holders annually receive an informational brochure concerning NCAA policies regarding representatives of athletics interests. A brochure for representatives of athletics interests is also available on the Athletics Department's website. Compliance related tips are included in "This Week in Racer Athletics," a weekly e-mail highlighting up-coming athletics events which is distributed to all Racer Club members and Athletics Department employees.

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

Murray State University is organized to ensure compliance with all pertinent rules and regulations, including the rules of the NCAA.

Board of Regents: By statute, the governance of the University is vested in the Board of Regents which, in all University matters, exercises the ultimate authority relating to policy, finances, and employment. The Athletics Department is not exempt from this structure. The Board has demonstrated its authority over finances relating to the Athletics Department. It approves the annual budget by which the Athletics Department operates. It approves capital construction projects related to Athletics. It enacted the procedures by which funds would be transferred from the Racer Foundation to the University. It routinely exercises its authority over personnel in the Athletics Department. The Board specifically approved the hiring of an interim Athletics Director. Board members were involved in the search, in 2005, for a new Athletics Director and the Board of Regents approved the hire of the current Director. The Board has specifically approved the contracts of the head coaches for the University's most visible sports. The Board annually receives financial audits of the Racer Foundation and the reviews of the agreed upon procedures of the Athletics Department.

University President: The Board of Regents recently confirmed that responsibility for administration of the athletics program has been delegated to the President, and confirmed that the President has the "mandate and support" of the Board to operate the program in full compliance with NCAA and conference rules. The President of Murray State University clearly oversees the actions of the Athletics Department. Budgetary and employment issues, in all areas of the University, are presented to the Board only upon recommendation of the President. The President has been involved in employment actions and searches within Athletics. The Athletics Director reports directly to the President and any extension of the employment of the Director requires the approval of the President. The President of the University initiated the removal of fund-raising and marketing activities from an external support group and placed them within the University. Moreover, the President has directed the University's Internal Auditor, who reports to the President, to prepare independent monthly financial status reports of all Athletics and Racer Foundation accounts. The President talks with the Faculty Athletics Representative and regularly attends OVC meetings.

Vice President for Finance and Administrative Services: The Chief Financial Officer of the University is the Vice President for Finance and Administrative Services. This officer, who reports directly to the University President, is responsible for all financial areas of the University including accounting, the University budget office, and

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procurement. Athletics is not exempt from the authority of this office. The Athletics Director is subject to oversight by the Vice President for Finance and Administrative Services in financial matters. This ensures independent oversight of financial matters. The Vice President for Finance designates the financial procedures in the Athletics Department which are to be reviewed by independent auditors in connection with the report of agreed upon procedures.

Office of Registrar: This official's job duties include record management, registration, transfer credit evaluation, degree audit, and graduation. The job description of the Registrar specifically states that the official "interprets and enforces . . . all NCAA eligibility policies." In addition, the job description for the Associate Registrar for Research includes, "extracting and editing data and preparing reports of student data required to comply with . . . NCAA guidelines. . . . Determining academic eligibility of all athletes required by the NCAA, attending NCAA training to stay current on regulations, and assisting the Athletics Office in determining courses needed for maintaining athletes' eligibility and graduation requirements. . . . Maintaining student-athlete database for current and historical reporting to OVC, NCAA, and surveys for outside agencies." The Registrar reports to the Provost of the University. Individuals in the Office of the Registrar are responsible for determining eligibility of student-athletes who transfer to Murray State and for determining the continuing eligibility of all student-athletes. The Associate Registrar for Research and the NCAA Specialist in the Registrar's Office assist the Athletics Department in calculating APR scores, GSR scores, and Federal graduation rates. The Registrar's Office continually monitors the academic progress of student-athletes and the Associate Athletics Director for Internal Operations is notified if issues arise. This includes monitoring midterm grades, courses which are dropped, grade changes, transfer work, and percentage degree completion. The registration system used by the University prevents student-athletes from dropping below full-time status. Employees receive and consult the NCAA Manual, and receive notices from the Assistant Athletics Director for Compliance of new legislation. Employees attend the annual NCAA Regional Rules Seminar and participate in sessions dealing with initial eligibility, continuing eligibility, transfer regulations, international regulations, compliance assistance training, and newly adopted and emerging legislation. This office recently added a NCAA Specialist whose primary responsibilities include monitoring the academic progress of student-athletes.

Director of Student Financial Aid: The job description for the Director of Student Financial Aid includes "signing and authorizing all athletic grant-in-aid awards" and this official approves the athletics grants-in-aid scholarship list. He also chairs the Athletics Scholarship Committee, which hears appeals from student-athletes if aid is denied or terminated. No financial aid is posted to a student's account until he/she has been accepted by and fully admitted into the University. The Director of Financial Aid advises the AADC of any additional awarding of aid to a student as soon as he learns of it. The Director of Financial Aid ensures that student-athletes do not receive financial aid in excess of the amount they are allowed. The Director of Student Financial Aid reports to the Vice President for Student Affairs. This official meets with the Assistant Athletics Director for Compliance as needed. He, too, attends the NCAA Regional Rules Seminar.

Director of Athletics: The President of the University has designated the responsibility of institutional rules compliance to the Director of Athletics. The Director of Athletics is assigned the responsibility of overseeing the operations of the Athletics Department which includes, according to the job description for the position, striving "to meet the necessary requirements of the NCAA, Office of Civil Rights, and the OVC." He reports directly to, and is subject to the authority of, the University President. He is subject to oversight by the Vice President for Finance and Administrative Services in financial matters. His contract specifically provides that he is "to abide by the NCAA Constitution" and that if he is found in violation of NCAA regulations "he shall be subject to disciplinary and corrective actions as set forth in provisions of the NCAA Enforcement Procedures." His employment may be extended only upon recommendation by the President.

Assistant Athletics Director for Compliance: The Assistant Athletics Director for Compliance (AADC) engages in numerous activities to ensure rules compliance. The position description for this official states the AADC will keep the Director of Athletics aware of progress and issues related to maintaining institutional compliance with NCAA, OVC, and University rules, as well as reporting to the Director of Athletics all violations of those rules. The AADC manages, day-to-day, all aspects of departmental compliance program. The AADC is involved in overall rules compliance efforts at Murray State and his duties are outlined in the Department's Compliance Policies and Procedures Manual. He is involved with significant education efforts. He addresses all Athletics Department personnel twice a year regarding rules compliance. During the school year, the AADC prepares and distributes a monthly newsletter dedicated to compliance issues for all Athletics employees. He meets monthly with coaches to discuss compliance. This is supplemented with memoranda to coaching staff members addressing developing issues and NCAA legislation. The AADC meets three times during the school year to discuss compliance issues with student-athletes. The AADC also provides rules education to pertinent constituents across campus. He is the recognized Department official to whom NCAA inquiries, requests for rules interpretations, et cetera, are to be submitted. He is involved with investigating and assessing potential rules violations. The AADC monitors student-athlete employment and also receives documentation regarding matters such as season participation, OVC competition lists, eligible recruiters, athletes eligible to practice, and official and unofficial visits.



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**Faculty Athletics Representative:** The Faculty Athletics Representative (FAR) administers the annual coaches' certification test. He chairs the Intercollegiate Athletics Council, discussed below. The FAR must approve the OVC official eligibility list submitted by the Registrar's Office of student-athletes who are eligible to compete. In addition, the FAR chaired the search committee for the current Athletics Director and has served on search committees for head men's and women's basketball coaches and head football coach.

**Intercollegiate Athletics Council:** The Intercollegiate Athletics Council (IAC) is comprised of University students, faculty, and staff members and alumni and community representatives. The charge of the council is:

- To advise the President and Director of Athletics on matters relating to intercollegiate athletics at Murray State University;
- To facilitate effective communication among both on-and off-campus constituencies interested in the intercollegiate athletics program;
- To provide an avenue for transparency of athletic operations among both on- and off-campus constituencies;
- To assist with NCAA compliance education initiatives;
- To receive reports from the Director of Athletics and President regarding proposed plans and policies that affect the athletics program, including plans and policies on building, facilities, budgets, services, academic support and NCAA compliance, gender equity, sports sponsorship, etc. and to advise and make recommendations on the same;
- To take on additional duties as directed by the President and/or Director of Athletics.

The IAC meets at least quarterly during the school year. Appointments to the IAC are made by the University President. There are 15 members of the IAC, consisting of the FAR, the Senior Woman Administrator, three faculty members, six staff members, two students, one representative of the Alumni Association, one representative of the Racer Club, and one community representative. The constituents represented include the Racer Club, the Registrar's Office, the Financial Aid Office, the Bursar's Office, the Faculty Senate, the Staff Congress, and the Student Government Association.

**Publications:** The Athletics Department creates and distributes significant documents relating to responsibilities and expectations. The Department maintains a Compliance Policies and Procedures Manual which details the responsibilities of the AADC and other offices. The Manual explains critical issues including the reporting and investigating of alleged rules violations, student-athlete eligibility, financial aid, and official visits. Various forms have been created for use in connection with policy compliance. The Manual is distributed to all personnel in the Athletics Department. As previously noted, the AADC prepares and distributes a monthly newsletter dedicated to compliance issues for all Athletics employees. The Department publishes a Camps and Clinics Manual. This publication contains detailed information regarding issues surrounding camps, and is replete with references to NCAA by-laws. The manual contains numerous forms with instructions as to whom they should be submitted and is distributed to all members of the coaching, training, strength and conditioning, and equipment room staffs. Student-Athletes receive a Student-Athlete Handbook. This document addresses significant issues such as academic requirements for participation in athletics; policies for granting, continuing, and renewing athletics scholarships; extra benefits including employment; available student services; and the University's drug education, testing, and treatment program. The Handbook is given to all student-athletes. Beginning in the Fall, 2008, the Handbook will be incorporated into a student-athlete datebook/planner. Season ticket holders are provided a brochure regarding the responsibilities of representatives of athletics interests. This brochure is included with the season ticket renewal form. A booster brochure is also available on the Athletics website. Pertinent organizational charts, demonstrating the lines of authority with respect to these offices, are available for peer review team review.

**Associate Athletic Director for Internal Operations:** The Associate Athletic Director for Internal Operations has direct oversight for the following areas: academic support services for student-athletes, the Weaver Academic Study Center, the CHAMPS/Life Skills program, the sports information department, the athletic training staff, and the equipment and weight room staff. The AADIO works very closely with the Athletic Compliance Office on numerous topics regarding the activities of all the direct reports, including announcements of prospective student-athlete signings on the web site, keeping the Athletic Compliance section of the web site up-to-date, monitoring all equipment and apparel issued to student-athletes, monitoring the voluntary summer workouts with the strength and conditioning coach, and promotional activities for student-athletes and coaches in coordination with the CHAMPS/Life Skills program. In addition, the AADIO also has sport administration responsibilities, including mixed rifle, track and field and cross country, women's soccer, women's rowing, and women's volleyball.

**Associate Athletic Director for External Affairs:** The Associate Athletic Director for External Affairs has direct oversight of the Racer Club (Athletics booster club) and the Marketing and Promotions staff. The AADEA works with the Athletic Compliance Office to ensure all booster functions are organized and run in compliance with NCAA regulations. In addition, the Marketing and Promotions staff works with the Athletic Compliance Office in the areas of ticket give-a-ways for outside auctions and events, pre-game and in-game promotions and public service announcements, and request for signed memorabilia from coaches and student-athletes. In addition, the AADEA has sports administration for several sports, including baseball, men's golf, and men's and women's tennis.

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**Senior Woman Administrator:** The Senior Woman Administrator (SWA) is involved in the planning and operational activities of the intercollegiate athletics program. This position acts as the liaison for female athletes, women's sports, and head coaches of women's sports. The SWA assists in organizing, promoting and supporting events associated with the Athletic Department's CHAMPS/Life Skills program. The SWA also assists in monitoring Title IX compliance. The position helps out in the compliance function by assisting in creating, revising, and communicating athletic policies and procedures with the Athletic Department's Policies and Procedures Manual and the Student-Athlete Handbook.

**Head Athletic Trainer:** The Head Athletic Trainer assists the Athletic Department's compliance effort in two areas. The first area is the head trainer arranges for all medical examinations for all student-athletes prior to any workout or physical activity, which is newly adopted NCAA legislation. In addition, the head trainer serves as the liaison for NCAA drug testing purposes and operates the Athletic Department's internal drug testing program.

**Coaching Staff:** According to NCAA Bylaws, it is the responsibility of an institution's head coaches to promote an atmosphere for compliance with the program supervised by each coach and to monitor the activities regarding compliance of all assistant coaches and other administrators involved with the program who report directly or indirectly to the coach. Although the head coach has the ultimate responsibility for his or her program, the head coach normally assigns various aspects of the NCAA compliance effort to various members of his or her staff. To this end, all coaching staff members assist the compliance effort of the Athletics Department by completing the required forms (Telephone and Recruiting Logs, Contacts and Evaluations Forms, Off-Campus Recruiting Request Forms, Request for Official Visits, Unofficial Visit Records, Declaration of Playing and Practice Seasons, and Countable Athletically Related Activities Forms) in a timely manner as requested.

**Office of Admissions:** The Office of Admissions is charged with making admissions' decisions on all incoming students, no matter their status (freshman, international, transfer, non-traditional, student-athlete) to Murray State University. All student-athlete applicants are treated the same as the general student population, and no one person in the Office is charged with student-athlete admissions. The Office of Admissions assists the Athletics compliance effort by ensuring that all students meet the University's requirements for admission, all paperwork is complete to issue I-20s to international students, and all transfer course work is credited for the proper number of credit hours and grade point average. The communication with the Office of Admissions normally occurs in the spring and summer months, with some necessary during the semester break in December/January.

**Bursar's Office:** The Bursar's Office is charged with student account maintenance and appropriate billing statements. This Office works closely with the Athletic Compliance Office to ensure that student-athletes are not over-awarded with their university and athletic scholarship monies, that the appropriate charges are put on a student-athlete's account, and that all checks issued to student-athletes for off-campus housing and meals are done in accordance with NCAA regulations. This communication occurs on an as-needed basis, but is concentrated around the times that semester bills are being sent out.

**Internal Auditor:** All financial accounts within the Athletics Department are reviewed by two separate sources. The first review is performed by an agency outside of the University. The second review is performed by the Internal Auditor for Murray State. The Internal Auditor works through the Athletics Business Office to acquire the necessary accounts and paperwork. The Internal Auditor is responsible for the audit of the Special Assistance Fund and Student-Athlete Opportunity Fund monies per NCAA and Ohio Valley Conference guidelines. This audit helps ensure the monies in these two accounts are spent according to NCAA and Ohio Valley Conference guidelines and within the parameters of Title IX guidelines.

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

Murray State University fully observes the requirements of the NCAA Manual by including the required language from Section 11.2.1 in its contracts with coaches and the Athletics Director.

In addition, the University includes similar language in contracts of other athletics employees, e.g., the Ticket Manager, Athletics Business Coordinator, and the Assistant Athletics Director for Compliance, although there is no such requirement.

The Athletics Department incorporates an "Addendum to Performance Evaluation" into its employee evaluation process. The addendum further emphasizes the centrality of rules compliance for all full-time employees, and

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requires, among other things, each affected employee to acknowledge "that compliance with all rules, regulations, and interpretations of the NCAA and OVC are a condition of my continued employment at Murray State University."

As previously noted, rules education is an on-going process in the Athletics Department. Moreover, the AADC orients new employees as to rules compliance.

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

All University employees are expected to know what their job entails and to perform it with excellence, honesty, and integrity. Not every conceivable requirement is included in the one page contract or letter of appointment received by most all University employees.

The previous responses demonstrate the extent to which processes to ensure NCAA rules compliance are embedded throughout the University. The job descriptions of the Registrar, the Associate Registrar for Research, and the Director of Student Financial Aid state those officials have responsibilities related to Athletics. Moreover, key employees at the University attend NCAA rules seminars.

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

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

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

A primary responsibility of the Assistant Athletics Director for Compliance (AADC) is education in rules compliance for all individuals associated with the Athletics Department including student-athletes, coaches and other Athletics Department staff members, as well as other institutional staff members and representatives of the institution's athletics interests. To this end he provides both educational materials as well as written manuals and brochures and ensures that up-to-date information is available on the Athletics website ([www.goracers.com](http://www.goracers.com)). It is the responsibility of all Athletics Department personnel to be fully aware of NCAA rules compliance issues relating to their work.

The AADC addresses all Athletics personnel twice a year regarding rules compliance. During the school year, the AADC prepares a monthly newsletter for all Athletics personnel dedicated to compliance issues. This is

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supplemented with memoranda addressing developing issues. The AADC meets monthly with coaches to discuss compliance issues. Coaches must successfully complete the required examination, administered by the FAR, in order to engage in off-campus recruiting activities. The AADC meets three times during the school year to discuss compliance issues with student-athletes. The AADC also provides rules education to pertinent constituents across campus and provides compliance support to offices across campus. He is the official designated to provide interpretations of NCAA by-laws.

Employees in the Office of Student Financial Aid and the Registrar's Office attend Annual NCAA Regional Rules Seminars to become familiar with new legislation and to reinforce their understanding of existing legislation. They participate, e.g., in sessions relating to initial eligibility (including Clearinghouse), continuing eligibility, transfer regulations, international regulations, APP (Academic Performance Plan which includes APR) rules, CAI (Compliance Assistance) training, financial aid, and newly adopted and emerging legislation. These employees also receive the NCAA Manual annually and receive notices from the AADC regarding new legislation or pertinent legislative interpretations. Although the Associate Athletic Director for Internal Operations and the Assistant Athletics Director for Compliance hold primary responsibility for education of the coaching staffs, the Director of Admissions and Registrar have provided training for coaches regarding admission policy and how it relates to NCAA initial eligibility requirements, FERPA confidentiality training, and degree audits using the MAP report.

When new coaching staff arrives, or at the coaching staff's request, the Director of Admissions and Registrar train the coaches on MSU's admission policy and how it relates to NCAA's initial eligibility requirements, FERPA confidentiality training, and degree audit training with MSU's MAP report.

Twice each year, season ticket holders are provided an educational brochure with their ticket renewal forms. Moreover, information related to representatives of athletics interests appears on the Athletics website.

The Athletics Department produces and distributes numerous manuals regarding rules compliance. These include manuals related to compliance policies and procedures, camps and clinics, and issues of particular interest to student-athletes.

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

The Ohio Valley Conference provides the compliance review of the University. It has been agreed that compliance review is to be performed by the Assistant Commissioner for Institutional Services as prescribed by current NCAA Bylaws. The compliance review includes investigation of the following areas: governance and institutional control, eligibility certification, financial aid administration, recruitment monitoring, student-athlete welfare, and rules education.

The Ohio Valley Conference performed reviews in September 2000, September 2003, August 2005, and January 2008.

- 11.** The rules-compliance evaluation must consist of a review to determine that the compliance practices are engaged and functioning and must include, at minimum, specific areas. Please indicate by clicking "yes" or "no" which areas were included in the rules-compliance evaluation.

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

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

The most recent review by the Ohio Valley Conference was conducted in January, 2008. Among the findings by the OVC were:

- "Murray State University's chief executive officer has direct oversight and responsibility over the institution's Athletics Department."
- "The recruitment monitoring activities of the institution are coordinated by the AADC."
- "The eligibility certification of continuing student-athletes and transfers is conducted outside the athletics department by the research and registrar systems coordinator [Assistant Registrar for Research]."
- "The institution's Director of Financial Aid coordinates all aspects of financial aid to student-athletes."
- "The AADC has been designated to coordinate the institution's rules education program, including rules interpretations."
- "The institution has developed a specific means to investigate alleged or suspected rules violations."
- "The institution has implemented all of the key elements necessary for an effective rules compliance program."
- "The institution's commitment to rules compliance is reinforced by the Director of Athletics and is demonstrated through regular rules education, monitoring efforts and application of NCAA rules."
- "The institution has also shown a commitment to rules compliance by addressing the areas of enhancement from the previous four-year conference review."

There were no recommendations for improvement in the areas of Recruitment and Investigatory and Self-Reporting Processes. Consistent with the University's commitment to rules compliance, it will address suggested enhancements in an expeditious manner.

Governance and Institutional Control - Increase the role and duties of the IAC.

MSU will abide by the suggestions made by the OVC for increasing the role of the IAC. It will conduct the exit interviews, and other surveys, and report their findings to the Athletics Department. This will begin on an uninterrupted basis spring 2008. The AADC will provide the IAC with a year-end compliance report (at the first meeting of every fall) in regards to academic progress, graduation rates, and secondary violations. The Athletics Director already provides updates to the IAC in these and other areas.

Eligibility Certification - Access to Academic Records

The AADC will work with the FAR and the Athletics Director to schedule a training session with the Director of Admissions to gain read-only access to academic records of student-athletes. The AADC will have access to the various systems once the Banner system gets up and running in another year and a half.

Financial Aid - Areas of Enhancement

The AADC will continue to work with Director of Student Financial Aid to improve the financial aid monitoring within the Athletics Compliance Office.

Rules Education - Booster Groups and Student-Athletes

The AADC has recently initiated a "Weekly Rules Tip" to the "This Week in Racer Athletics" e-mail which is sent to

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all members of the Racer Club and to all employees in the Athletics Department. In addition, efforts will be made to enhance the Athletics website as a source of information, including the publication of a monthly newsletters on-line.

MSU certainly endorses the idea of additional educational opportunities for student-athletes and believes this can effectively be done with the Student-Athlete Advisory Council (SAAC). This group consists of two representatives of each team selected by the head coach. It meets regularly to voice concerns of teammates. The AADC can attend the SAAC meetings and provide it a short, informative compliance message which can be relayed by the representatives to their teams. This can be implemented by the Fall of 2008.

Miscellaneous - Banner (University-wide Internet data access system currently being developed and implemented)  
The AADC is involved with Banner training and the Student Service Implementation Team. The AADC will attempt to implement the Banner system as much as possible into the compliance system and the academic monitoring of student-athletes.

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

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

### Evaluation

1. Does the institution demonstrate that it has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the president or chancellor assigns overall responsibility for the athletics program? **Currently Yes**
2. Does the institution demonstrate that in critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department? **Currently Yes**

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3. Does the institution demonstrate that rules compliance is the subject of an ongoing educational effort? **Currently Yes**
4. Does the institution demonstrate that a clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program? **Currently Yes**
5. Does the institution demonstrate that at least once every four years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department? **Currently Yes**