

**GOVERNANCE AND COMMITMENT  
TO RULES COMPLIANCE**

**[INSTITUTIONS ARE NO LONGER REQUIRED TO PERFORM A SELF  
ADDRESSING OPERATING PRINCIPLE 1.1]**

**SELF STUDY ITEMS FOR OPERATING PRINCIPLE 1.2**

**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 (Institutional Control, Presidential Authority, and Shared Responsibilities).**

The NCAA in its Summary of Actions related to the first-cycle certification decision identified no Strategies for Improvement for the University of San Diego as noted in the November 12, 1997 memo title “Summary of Actions Taken by the NCAA Committee on Athletics Certification”.

**2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process for Operating Principle 1.2 (Institutional Control, Presidential Authority, and Shared Responsibilities).**

The Peer Review Team for the first-cycle certification process recommended that, “San Diego establishes a procedure that provides for an authority outside the athletics department to periodically review the rules compliance program. This should be completed within 3 months after being reviewed by the Committee on Athletics Certification.” This particular recommendation was not included in the strategies for improvement by the NCAA Division I Committee on Certification.

Dr. Alice Hayes, former President of the University of San Diego, commented on this suggestion in a letter dated August 15, 1997. She informed the NCAA Division I

Committee on Certification that the University of San Diego established a periodic review of the athletic department's rules compliance program by a member of the Commissioner's Office of the West Coast Conference (WCC). Since that time, there have been three periodic reviews by the WCC Commissioner's Office--in 1998, 2001, and 2004. It is the intention of the University of San Diego to continue this relationship with the WCC Commissioner's Office so that period reviews of the athletic department's rules compliance can be accomplished every three years.

**3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.2 (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 1997 University Self-Study developed the following recommendations:

**Recommendation A.** Because acknowledgement letters to the Sports Banquet donors have been issued by the Office of Student Affairs, not University Relations, the reference guide to NCAA rules and regulations has not been included.

The University of San Diego established the Office of Athletic Development and Marketing and Promotions in 1996. The Director of this office is an Associate Athletic Director for Development (AADD) and has a dual reporting line to the Executive Director of Athletics/Assistant Vice President for Student Affairs established in 2004 and the Associate Vice President for University Relations. This structure allows for improved oversight for NCAA rules and regulations with respect to fundraising activities.

**4. 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 members have been significantly involved (if any).**

- i. The financing and construction of the Jenny Craig Pavilion, the new University complex for basketball, volleyball, convocations, concerts, etc.
- ii. On-going review of strategic plan for Athletics.
- iii. The restructuring of the Athletics administration with the establishment and the hiring for the positions of Executive Director of Athletics and the Director of Athletics.
- iv. Members of the Board are directly involved helping guide departmental fundraising, budgeting, and marketing efforts.
- v. As part of the process of identifying, interviewing, and hiring high profile coaches as exhibited in the recent hiring of the head football coach.
- vi. The review of the NCAA Division I status and appropriate funding levels.

**5. Based upon the institution's experience during the last three years, list the decisions related to intercollegiate athletics in which the institutions chief executive officer has been significantly involved.**

Dr. Alice Hayes (1995-2003) and Dr. Mary Lyons (2003-present) have been involved in all items enumerated in number 4 above. In addition, the president is a member of the WCC Presidents' Council and meets yearly to approve policies and the annual conference budget developed by the Executive Committee of the conference schools. The President of the University of San Diego is represented by the Vice President for Student Affairs, the Executive Director of Athletics/Assistant Vice President for Student Affairs, and the Director of Athletics, who also is the Senior Women's Administrator, at all appropriate WCC meetings. The president also meets with major donors to the Department of Athletics.

**6. Describe the process by which the institution makes major decisions regarding intercollegiate athletics. In doing so, 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 representatives(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).**

All major decision-making at the University follows the same process. An idea, policy, or budget request adheres to the established University procedures. Ideas and requests flow from the concept stage, through administrators to the President to the Board of Trustees Committee on Athletics, to the full Board of Trustees.

The Board of Trustees of the University of San Diego is an independent, self-perpetuating corporation chartered by the State of California. The Board of Trustees has absolute authority over all matters of University business. The Board of Trustees delegates operating authority to the President. The President delegates certain authority to the four divisional vice presidents responsible for Academic Affairs, Finance and Administration, Mission and University Relations, and Student Affairs. Responsibility for athletics rests with the Vice President for Student Affairs. The Executive Director of Athletics/Assistant Vice President for Student Affairs reports to the Vice President for Student Affairs. The overall responsibility for the functioning of the Department of Athletics rests with the Executive Director of Athletics/Assistant Vice President for Student Affairs. The Board of Trustees Committee on Athletics advises on matters of policy, budget, fundraising, marketing, and capital projects related to the Department of Athletics.

The Faculty Athletics Representative reports directly to the President and meets on a periodic basis with the President and the Executive Director of Athletics/Assistant Vice President for Student Affairs. The Executive Director of Athletics/Assistant Vice President for Student Affairs and the Vice President for Student Affairs meet on a bi-weekly basis and they meet with the Director of Athletics periodically throughout the semester to discuss a broad range of issues facing the Department of Athletics. In addition, the Executive Director of Athletics/Assistant Vice President for Student Affairs is part of the Student Affairs Cabinet that meets weekly with the Vice President for Student Affairs and is comprised of the Associate Vice President for Student Affairs/Dean of Students, the Assistant Vice President for Student Affairs for Student Services, the Assistant Vice President for Student Affairs for Student Learning, the Assistant Vice President for Student Affairs for Student Wellness and the Assistant Vice President for Student Affairs for Public Safety. The Executive Director of Athletics/Assistant Vice President for Student Affairs is a member of the President's Cabinet that meets several times a semester with the President to discuss academic program initiatives, budget issues and other policy matters. The President's Cabinet is comprised of the University executive officers, academic deans, Associate Vice President for Student Affairs/Dean of Students, and the chair of the University Senate. Also, the Vice President for Student Affairs meets with all coaches and administrators at least one time a year to discuss and evaluate the activities of the Department of Athletics.

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

The Board of Trustees Committee on Athletics is comprised of seven members of the Board of Trustees, three non-Board members from the community of San Diego, one

undergraduate student from the Associated Students organization, one faculty member selected by the University Senate, one faculty member that is also appointed by the President as the Faculty Athletics Representative, and four University Administrators.

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Student Representative

Joyleen Tropel	Student-Senior
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Faculty Representatives

Dr. Jim Smith	(School of Business—Faculty Senate)
Dr. Mitch Malachowski	(College of Arts and Sciences—FAR)

Administrators

Dr. Robert Pastoor	Vice President for Student Affairs
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Mr. Ky Snyder

Executive Director of Athletics/Assistant Vice  
President for Student Affairs

Dr. Jo-Ann Nester

Director of Athletics

Mr. Brian Fogarty

Associate Director of Athletics/Athletic  
Development

**GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE  
SELF STUDY ITEMS FOR OPERATING PRINCIPLE 1.3  
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**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 1.3 (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 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.**

There were no corrective actions. The University was found in substantial conformity in the area of governance and rules compliance.

**2. List all actions the institution has completed or progress has been made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process of Operating Principle 1.3 (Rules compliance). Specifically include: (a) the original plan; (b) the action(s) taken by the institution; (c) the date(s) of action(s); (d) actions not taken or not completed; and (e) explanations of 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.**

There were two recommendations for required actions based on the institution’s plan for improvement.

1. (Related to Operating Principle number 1):

The peer review team concurs with the institution’s recommendations that the Director of Athletics be responsible for publishing and distributing the mission and goals of the athletics department, effective immediately. This

recommendation for required action has been implemented. The newly revised University mission statement and the newly revised athletic department mission statements are published in the following manner:

- Both statements appear in all athletic department publications (media guides, recruiting materials and game day programs)
- Appears on University website
- Published in Athletic Department Policy Manual, Coaches Manual and Student-Athlete Handbook

2. (Relating to Operating Principle number 7):

The peer review team recommends that the University of San Diego establish a procedure that provides for an authority outside the athletics department to periodically review the rules compliance program.

The Assistant Commissioner for the WCC has served as the authority outside of the athletic department to periodically review (every three years) the rules compliance program at the University of San Diego. The first review was completed in 1998, the second review was completed in 2001, and latest review was just completed in 2004.

The peer review team suggested that the institution consider designating one individual to provide interpretations of NCAA, conference and institutional rules. As a result of that suggestion, a full time compliance officer was hired in August of 2000. Since then the position has been expanded and is now an Associate Athletic Director position. The

person serving as the Associate Athletic Director for Compliance (AADC) has been designated as the one individual to provide interpretations for the athletic department.

**3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.3 (Rules Compliance) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.**

In our continuing effort to emphasize the importance of the compliance process we have expanded the compliance section in the Athletics Department Policy Manual, Coaches Manual and Student Athlete Manual. We have also developed a separate Compliance Manual which is a convenient reference guide for all of our staff members. We have improved “rules education” and included a compliance review at each required monthly coaches meeting. In addition, a yearly staff rules review session has been mandated for all institutional staff members associated with the athletic department. All coaching staff members are required to take the NCAA Recruiting Test. A new official visit policy that meets NCAA Guidelines has been adopted. The AADC has a regular meeting with the Director of Summer Camps to ensure that all rules are met with regard to employment, reduced fees, and recruiting calendars.

**4. No institutional interim report was required.**

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

Members of the Athletic Development office have oversight responsibilities for all fundraising activities for the department. This would include supervising booster

groups/committees with respect to fundraising efforts. Members of the development staff schedule and attend meetings of booster groups/committees and are present at all athletic department functions that involve “representatives of athletic interests”, coaches and student-athletes. At the present time, the following sports have sports booster groups or fundraising committees associated with their program:

Women’s Volleyball

Football

Men’s Soccer

Women’s Soccer

Men’s Basketball

Women’s Basketball

Baseball

Men’s Golf

Women’s Swimming and Diving

Women’s and Men’s Rowing

Salute to Women’s Athletics Committee – supports all women’s sports

As each group plans their fundraising events and activities, the development staff and/or coaching staff works with the AADC in planning the events to ensure that NCAA rules are adhered to. The AADC provides clarification on all applicable rules, but it remains the responsibility of the development staff to oversee the booster groups/committees. Members of the development staff are also responsible for ensuring that all student-athletes participating in fundraising events are educated on all applicable NCAA regulations.

Athletic department staff members attempt to be visible at all athletic functions. Student-athletes and coaches are advised of issues pertaining to involvement with “representatives of athletics interests”. This advisement initially takes place at the yearly compliance meeting for each team but all regulations are provided to coaches and athletes in writing in the Coaches Manual and the Student-Athlete Handbook.

The athletic department has also added information on our website [www.usdtoreros.com](http://www.usdtoreros.com) with specific information for “representatives of athletics interests”. It is the responsibility of the AADC to update this website with current NCAA legislation.

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

Although it is ultimately the responsibility of the President to control the operation of the athletic program and to assure the effective administration of the program, the budgets and personnel, we believe that the compliance function is a shared responsibility across the University and with our student-athletes, coaches, administrators and staff. The President has assigned the Director of Athletics to oversee the institution’s rules compliance. It is the obligation of all members of the department of athletics and our

student-athletes to have an understanding of all applicable NCAA, WCC, PFL, PCSC WAC, and University rules, to act in compliance with those rules and to report any suspected violations to the AADC and the athletic department administrator who has direct oversight for the sport in question.

The Faculty Athletics Representative (FAR) has a significant role in the continuing eligibility process as well as the review of the USD Academic Support Program. The FAR reports directly to the President.

### **FAR Responsibilities - Compliance**

- Monthly compliance meetings
- Review of all violations
- Double-check and sign off on all of our eligibility forms
- Yearly review of the compliance office
- Yearly review of the academic support program

The FAR reports to the President and consults with the Director of Athletics and the AADC on compliance related matters. The AADC is the main contact on and off campus for compliance related matters. Specifically this position serves as the main liaison for the Registrar's Office and Admissions Office for on-campus issues and the WCC and NCAA for off-campus issues. The AADC also shares responsibilities with the Assistant Athletic Director for Academics and Student Services (AADASS) with respect to the Registrar's Office and the Dean's Office. Another Associate Director of Athletics (ADD) serves as the liaison for the Financial Aid Office, but all compliance related matters are the responsibility of the AADC. The members of these offices are

responsible for adhering to the University guidelines with respect to general rules and regulations that are documented in the Undergraduate Bulletin, official financial aid documents and admission documents.

**7. 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.**

The AADC is primarily responsible for rules education efforts. With regard to the coaches, compliance related issues are regularly discussed at monthly coaches meetings. Additionally, coaches are invited to bi-weekly compliance education meetings that specifically address topics within the NCAA Manual. Coaches are provided with an education session on new legislative items, at which time the NCAA Recruiting Practice test is reviewed. Coaches are also provided with a rules-education from the WCC's Assistant Commissioner for Compliance. This is a major review session prior to the NCAA recruiting test. With respect to athletic department staff (including administrative staff), the AADC holds a yearly "rules-education" review session.

The AADC and the sport supervisor meet with each team prior to their first competition to review the NCAA Compliance Paperwork so each student-athlete is aware of the significance of what they are required to sign to be eligible for competition. At this time, the sport supervisor for the program reviews the Student-Athlete Handbook. This information is reviewed in depth and students are encouraged to ask questions.

Additionally, the AADC has made a continuous effort to have an "open door" policy for its student-athletes and they are encouraged to meet with the compliance officer with any

questions. Throughout the year the AADC meets with teams on individual issues as needed (i.e. agents, guidelines for being a student-host, etc.)

Members of the athletic department administration continually meet with members of departments who are involved with the NCAA compliance function to ensure that NCAA compliance policies are followed (financial aid, registrar, admissions, housing, summer camps). This commitment includes rules review sessions to update personnel on changing legislation, when needed (i.e. admissions for transfer requirements, financial aid for new guidelines, etc).

With respect to “representatives of athletic interests,” members of the athletic department continue to update and maintain the department website to be current with NCAA legislation. Athletic department sport supervisors are also reminded by the AADC to discuss compliance issues and questions at their weekly supervisory meetings with the head coaches of the sports they directly supervise.

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

The University has made a commitment to rules compliance within the department since the last certification by hiring the AADC. This individual is responsible for overseeing the rules education program, the certification of eligibility, recruiting, and for upholding the overall policies and guidelines established for all areas within the University. Other administrators share NCAA Compliance duties as described in their position descriptions. This helps to further broaden the athletic department’s commitment to compliance. Each individual employed by the athletic department is required to abide by all NCAA rules

and regulations and to report any suspected violations. Individuals not following these guidelines will be sanctioned based on athletic department guidelines and policies.

**9. 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.**

Various athletic department administrators serve as direct liaisons within the campus community to ensure compliance with NCAA and WCC regulations. These reporting lines are as follows:

Director of Athletics: Reports directly to the Executive Director of Athletics. The Executive Director of Athletics reports to the Vice President for Student Affairs who reports to the President. The Director of Athletics also has direct access to the President in any areas related to NCAA and WCC regulations.

AADC: Reports directly to the Director of Athletics and serves as direct liaison with members of the Undergraduate Admissions Office and the transfer student analyst. The primary focus for these administrators is to oversee the recruiting process and to monitor the activities of the coaching staffs to ensure adherence to the University guidelines for academic standards for incoming freshman and transfer students.

ADA: Has a dual report to the Executive Director of Athletics and the Director of Athletics and serves as the direct liaison with members of the Financial Aid Office and monitors NCAA scholarship limitations. The primary role in the process is to monitor

team and individual scholarship limitations and to serve as the liaison for coaches in this area.

AADASS: Reports to the Director of Athletics and serves as the direct liaison to the members of the Registrar's Office, academic offices and professors. The AADASS monitors academic integrity within the University setting and also monitors satisfactory progress requirements for all student-athletes.

AADD: Has a dual report to the Executive Director of Athletics and the Assistant Vice President for University Development and serves as the liaison for the athletic department with the "representatives of athletics interests". The AADD oversees fundraising activities and is the main contact with "representatives of athletics interests" regarding compliance related issues.

All remaining staff members associated with the department of athletics (marketing, development, facilities, academic support, etc.) must understand and uphold NCAA regulations. These individuals must contact the AADC if they have any questions pertaining to their roles in the compliance process and how the NCAA regulations apply to the areas they supervise. Administrators are expected to educate members of their support staffs (i.e. student workers, volunteers) on NCAA legislation.

**10. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of initial-eligibility certification [Note: The institution may use elements of its response to self-study item Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]**

### **Initial Freshman Eligibility**

The AADC is responsible for certifying initial eligibility. Coaches are responsible for providing the AADC with all updated information and the names of all incoming prospective students-athletes. Throughout the summer, the AADC provides lists to each coach updating them on the Clearinghouse status of each prospective incoming student-athlete. This information is then reviewed and approved by the FAR and the Registrar. Each coach is notified, in writing, when a prospective incoming student-athlete is officially certified for competition.

**11. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of continuing-eligibility certification. [Note: The institution may use elements of its response to self-study item Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]**

### **Continuing Eligibility**

The AADAAS, in cooperation with the AADC, are primarily responsible for certifying continuing eligibility. The AADAAS completes a review of continuing eligibility and is responsible for evaluating the initial numbers for continuing eligibility for each student-athlete. This information is reviewed and confirmed by the AADC. Once confirmed, the data is compiled into each team's eligibility report. This information is reviewed by the FAR and the Registrar. The FAR is also responsible for reviewing the AADAAS's and AADC's files. Once this information has been confirmed it is then forwarded to the appropriate conference office.

**12. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of transfer-**

**eligibility certification. [Note: The institution may use elements of its response to self-study item Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]**

### **Incoming Transfer Eligibility**

The AADC is responsible for certifying transfer eligibility. Coaches are responsible for providing information to the AADC with names of incoming prospective transfer student-athletes and providing the AADC with an accurate history of the project. The AADC meets with the University's transfer analyst to obtain the number of potential transferable units. The AADC reviews the numbers and evaluates the eligibility issues and the academic status of the potential transfer student. The AADC then provides the coach with a detailed summary of the transfer student's status.

Once all official documents (i.e. application, transcripts and deposit) have been received, the student is officially evaluated by the transfer analyst. The AADC reviews the evaluation and performs a NCAA eligibility check on the student. Once an evaluation has been completed, the student evaluation is passed on to the AADASS to resolve all remaining certification issues (class registration, declare major, etc). This information is then reviewed and approved by the FAR and the Registrar. The transfer status and eligibility status is also verified through an athletic tracer to the college(s) from which the student has transferred. Throughout the summer the AADC provides a list to each coach that updates them on the transfer status of each incoming student. Each coach is notified, in writing, when an incoming transfer student is officially certified for competition.

**13. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of investigation and self-reporting of rules violations.**

**PROCEDURE FOR REPORTING POSSIBLE VIOLATIONS**

The initial reporting of a possible violation may originate from a variety of sources. However, the procedure is similar at all levels. Coach, assistant coach, administrator, staff member, student-athlete, faculty member, and “representative of athletics interests” are to report any possible violation to the AADC or an appropriate athletic department staff member. The AADC notifies the Director of Athletics who notifies the Executive Director of Athletics that a possible violation may have occurred. An investigation then takes place and parties associated with the possible violation are interviewed. If a violation has occurred, the following steps are in place for either a secondary/institutional violation or a major violation.

**SECONDARY/INSTITUTIONAL VIOLATIONS**

The AADC files the appropriate report with the NCAA and the conference office. Copies of the report and the NCAA/conference action are provided to the Director of Athletics and the Executive Director of Athletics. In addition, the FAR and the Vice President for Student Affairs will receive a copy of the report.

**MAJOR VIOLATION**

If the initial action taken (call to conference office and NCAA) results in an interpretation of a possible major violation of NCAA rules, the following procedure will be put into action.

1. The AADC will notify the Director of Athletics who will notify the Executive Director of Athletics of the possible major violation.
2. The Director of Athletics and the Executive Director of Athletics will meet with the Vice President for Student Affairs, the FAR and a representative of the University's legal counsel to discuss all of the facts pertaining to the potential violation. The President will receive an initial report of the potential violation.
3. After consultation with the appropriate NCAA representative, a major-violations investigation will be initiated by the President.
4. Results of the investigation will be provided to the NCAA. Depending on the outcome, appropriate action will be taken.
5. Results of the investigation will be reported to all appropriate parties. A decision will be made by the President as to how to release the results of the investigation to the internal and external public.

**14. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of financial aid.**

All student-athletes are entered into the NCAA Compliance Assistant Software (CAS).

This data entry is done under the supervision of the ADA and the AADC. The

Administrative Assistant to the Executive Director of Athletics (AAEDA) downloads all

financial aid packaging information provided to each student-athlete. This data is rechecked in October and again in January. This data is placed into the CAS for each individual student-athlete by the AAEDA and ADA. NCAA Squad Lists are completed by the first day of competition for each respective sport. The NCAA Squad Lists are provided to the sport's respective conference office. Our main conference affiliation, the WCC, is provided with a user name and password that provides access to our online squad lists. NCAA Squad Lists are also reviewed by the AADC. Each list is provided to the head coach to review. Individual and team limitations are both checked in accordance with NCAA rules.

Regarding Grant-In-Aid offer procedures, the coach makes the initial request to grant athletically related aid. The coach requests an "OK to sign" from the Director of Admissions. An "OK to sign" must be completed for all prospective student-athletes who will be receiving scholarship offers. The coach then completes the Scholarship Offer Information Form and submits the form to the AADC. The AADC checks on admissibility and NCAA eligibility. The AADC will note any stipulations or comments, as necessary. If approved by the AADC, the signed Scholarship Offer Information Form is given to the ADA to verify individual and team limitations in accordance with NCAA rules. Any student-athlete who will be offered partial athletic or combination aid (athletic aid and institutional funding) is verified with a financial aid officer. Once approved, the AAEDA prepares the scholarship agreement and the National Letter of Intent (if applicable), and forwards the packet to the financial aid officer. If approved by the financial aid officer, the head coach then signs the scholarship offer. All finalized and signed scholarships are submitted to the Director of Athletics for final approval, signature

and mailing. Signed and returned National Letters of Intent are then forwarded to the WCC.

**15. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of recruiting.**

Each summer, coaches are highly encouraged to attend a review session administered by the WCC prior to the administration of the NCAA Recruiting Test. During this rules review session, current and updated legislation is reviewed. Coaches are provided with a summary of the results of their recruiting test, which includes the bylaws that must be reviewed. Coaches that fail the exam are strongly encouraged to meet with the AADC. To be in compliance with the new department policy manual, all paid coaches (regardless of full time status) are now required to take the NCAA Recruiting test. All volunteer positions, including manager positions and Director of Operations positions, are also mandated to take the NCAA Recruiting Practice Test.

Recruiting Logs are reviewed periodically throughout the year. Forms have been designated for department wide use. Coaches are required to list all telephone calls, contacts and evaluations in their logs. Additionally, certain sports must also turn in a monthly calendar that documents recruiting activities, including coaches “on the road” and the events attended. Specifically these sports include: Baseball, Men’s Basketball, Women’s Basketball, Football, Softball and Volleyball. Coaches are also required to list all unofficial and official visits. With respect to official visits, coaches are required to submit transcripts and test scores, an itinerary and the Student-Host Designation Form. All prospects receive a copy of the athletic department’s official visit policy prior to their

visit. Coaches are required to submit reimbursement forms and to document all expenditures incurred for off campus recruiting travel and on campus official visits.

All coaches must have prior approval for all off-campus recruiting trips. These trips must be approved by their individual sport supervisor.

**16. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of camps and clinics.**

Coaches and the summer camp staff are provided with a yearly Summer Camp Manual. This manual outlines all current NCAA guidelines and rules as they pertain to summer camp rules and regulations. Additionally, the AADC attends a yearly summer camp meeting to further review all pertinent rules and regulations. Coaches must submit the completed student-athlete summer employment forms needed prior to employing any current USD student-athlete. This form indicates dates of employment, scale of pay and a description of camp duties. The AADC also contacts any member institution should a student-athlete from their university be employed in any of our camps. The AADC also reviews and approves all camp brochures prior to printing. For boys and girls basketball camps that have prospects in attendance, all participants are shown a video, produced by the AADC, that provides required information about NCAA initial eligibility requirements, gambling and substance abuse.

**17. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in other areas (if applicable)**

Each administrative staff member is expected to educate their staff on compliance related matters within their individual area of responsibility. For example, the ticket manager provides new staff members with guidelines about NCAA rules on ticket distribution. The AADAAS meets with individual tutors to educate them about issues and guidelines in the area of academic integrity.

**18. Indicate the dates of the institution's rules compliance program evaluation conducted by an authority outside of athletics at least once every four years.**

The WCC conducted a rules compliance audit in February 1998, July 2001 and September 2004.

**19. 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(s) do not have day-to-day compliance responsibilities for the institution's athletics department and are knowledgeable in NCAA legislation and rules compliance practices.**

The rules compliance evaluation is completed by the Assistant Commissioner for Compliance of the WCC. The decision to use this person is primarily because of their knowledge in NCAA compliance and eligibility issues. The last review included interviews with the following individuals: President, AADC, Executive Director of Athletics, Director of Athletics, ADA, and selected members of the coaching staff, admissions office and registrar's office.

**20. 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.**

The following are responses with respect to the function of the compliance office.

Initial-Eligibility Certification - YES

Continuing Eligibility Certification – YES

Transfer Eligibility Certification – YES

Financial aid administration, including individual and team limits – YES

Recruiting (e.g. official visit, etc.) – YES

Camps and Clinics – YES

Investigations and self-reporting of rules violations – YES

Rules education – YES

Extra Benefits – YES

Playing and Practice Seasons – YES

Student-Athlete Employment – YES

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

The rules Compliance sub-committee has evaluated the standard and concludes that the University is in substantial conformity with all of the operating principles and intends to maintain conformity with each. The University just completed a 2004 compliance review in September which was conducted by the WCC. In the review the WCC noted specific recommendations for maintaining and improving the way in which compliance is monitored on campus and ways to increase institutional control on compliance related matters. Recommendations adopted by the Self Study Steering Committee are as follows:

Recommendation No 1. As part of the revitalized Academic Advisory Committee it is recommended that a sub-committee of the AAC be established to review and discuss

compliance issues, review violations, determine institutional action, and conduct reviews of the department's compliance efforts.

Recommendation No. 2. It is recommended that the University identify a person outside the Department of Intercollegiate Athletics to be charged with the ultimate responsibility of certifying student-athletes overall eligibility.

Recommendation No 3. Develop and implement a formal method to assure submission of recruiting logs.