

## **GOVERNANCE & COMMITMENT TO RULES COMPLIANCE Self-Study Items**

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**NCAA Required Response from First Self-Study – Develop and implement a systematic approach to educating its athletics boosters regarding NCAA rules. (Refer to Required Response Section, item #1).**

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**Institutional Response from First Self-Study – Institutional Mission. The athletics program mission and goals should be given wider circulation in university publications such as the student handbook, university catalogue, and additional appropriate annual publications. (Refer to Institutional Response Section, Governance, item #1).**

**Institutional Response from First Self-Study – Presidential Authority, Governing Board. No standing committee or other specially formed advisory board committee existed on the Board of Trustees to monitor athletics. It was recommended this oversight responsibility be discussed as a possible function to be folded into the purview of an existing board committee. (Refer to Institutional Response Section, Governance, item #2).**

**Institutional Response from First Self-Study – Shared Responsibility. A university philosophy has always been to integrate students into the mainstream. A university-wide athletics council would give appropriate constituencies an opportunity to provide input regarding the conduct of the athletics program. Such a council could be formed under the direction of the president and consist of representatives of the faculty, administration, students, staff, alumni, and community. (Refer to Institutional Response Section, Governance, item #3).**

**Institutional Response from First Self-Study – Compliance Responsibilities Outside of Athletics. No comprehensive written policies or procedures existed that outlined compliance responsibilities outside of athletics. The informal network that existed should be replaced with a formal, written policy. Responsibilities relevant to NCAA compliance should be written into specific job descriptions in the various university departments that have a role in compliance. The athletics director for compliance should identify the appropriate positions and provide supervisors with descriptive language. (Refer to Institutional Response Section, Governance, item #4).**

**Institutional Response from First Self-Study – Rules Compliance & Accountability. Coaches should meet monthly to review and discuss rules with the compliance coordinator. (Refer to Institutional Response Section, Governance, item #5).**

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**Self-Study Item 1.1.1 – AU’s Institutional & Athletics Mission Statements**

**Please provide mission statements of the institution and athletics program and indicate the dates of their last revision.**

I. Institutional Mission (American University adopted its Statement of Common Purpose in 1994)

The place of American University among major universities with first-rate faculties and academic programs grounded in the arts and sciences is secured by its enduring commitment to uncompromising quality in the education of its students. But its distinctive feature, unique in higher education, is its capacity as a national and international university to turn ideas into action and action into service by emphasizing the arts and sciences, then connecting them to the issues of contemporary public affairs writ large, notably in the areas of government, communication, business, law, and international service.

Recognized for its emphasis on personalized teaching and experiential education, the university provides for the direct involvement of faculty and students in the institutions and culture of the most important capital city in the world. Since its founding by an Act of Congress in 1893 as a private, independent, coeducational institution, under the auspices of the United Methodist Church, American University has been a national and international university. This is reflected in the scope of its teaching and research programs and the diversity of its faculty, staff, alumni, trustees, and student body, today representing over 135 countries.

The university actively encourages a commitment to public service, inclusive participation in university governance, equity and equal access, and an appreciation of diverse cultures and viewpoints. Its commitment to social justice, its ability to respond to the needs of a changing world while retaining its core values, and its capacity to turn to educational advantage the resources of the nation’s capital are hallmarks of the institution.



The university distinguishes itself through a broad array of undergraduate and graduate programs that stem from these primary commitments:

- **interdisciplinary inquiry** transcending traditional boundaries among academic disciplines and between administrative units
- **international understanding** reflected in curriculum offerings, faculty research, study abroad and internship programs, student and faculty representation, and the regular presence of world leaders on campus
- **interactive teaching** providing personalized educational experiences for students, in and out of the classroom
- **research and creative endeavors** consistent with its distinctive mission, generating new knowledge beneficial to society
- **practical application** of knowledge through experiential learning, taking full advantage of the resources of the Washington, D.C., metropolitan area

The central commitment of American University is to the development of thoughtful, responsible human beings in the context of a challenging yet supportive academic community.

## II. Athletics Mission Statement (revised March 2002)

The new mission statement for athletics was adopted by the university Board of Trustees in March 2002. It reads: “The Athletics Department will excel athletically in the Patriot League at the highest levels of achievement while maintaining the academic standards of the University and both the letter and spirit of the Patriot League Charter. In a fiscally and otherwise responsible manner, the Athletics Department will be a beacon of excellence and enthusiasm in the American University community.”

### **Self-Study Item 1.1.2 – Relating the Mission of the Athletics Program to the Institution**

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

Athletics fields a 19-sport NCAA Division I athletics program, featuring 10 women’s sports and nine for men. American currently supports 249 student-

athletes, including 137 women and 112 men. More than 11,000 graduate students and undergraduates attend American University.

As stated in American University's mission statement, the central commitment of AU is to the development of thoughtful, responsible human beings in the context of a challenging yet supportive academic community. The athletics department mission statement states: "The Athletics Department will excel athletically in the Patriot League at the highest levels of achievement while maintaining the academic standards of the University and both the letter and spirit of the Patriot League Charter. In a fiscally and otherwise responsible manner, the Athletics Department will be a beacon of excellence and enthusiasm in the American University community." The athletics department's mission connects with the university as a whole in many ways.

The mission of athletics relates to the mission of the university in AU's recent entry to the Patriot League. American University recently became a member (effective for the 2001-2002 season) of the Patriot League, which was founded on the principles of admitting athletes who are academically representative of their class. Participation in athletics at Patriot League institutions is viewed as an important component of a well-rounded education.

Athletics fosters student-athletes to become thoughtful and responsible individuals by providing academic support. The academic support program for student-athletes is designed to assist students in successfully attaining their academic goals. The program supports student-athletes in the process of exploring their interests and abilities and in developing a broad academic experience. This program promotes excellence, responsibility, and initiative in achieving educational, athletic, personal and social goals. The emphasis of this program is the development of the total person. It is operated to take advantage of the valuable resources and facilities provided by American University in the continued pursuit of excellence.

American University requires that all students meet with their academic advisors in their schools and colleges at least once a semester. Academic advisors assist students in obtaining a well-balanced education and in interpreting university policies and procedures. Each of the five schools and colleges has an advisor who acts as a liaison to the department of athletics and is responsible for the initial contact with all student-athletes. The designated advisors are responsible for providing assistance with the following: class selection, class scheduling, priority registration, monitoring the completion of degree and university requirements, and monitoring continuing eligibility. Students are responsible for selecting courses, meeting course prerequisites, and adhering to university policies and procedures.

In addition, all student-athletes have access to the academic support program for student-athletes (ASP) in the department of athletics. The ASP is designed to support student-athletes as they complete their academic degrees and maintain athletics eligibility. The ASP helps student-athletes make informed decisions and utilize campus resources. In this role, the ASP frequently acts as a consultant to the process of academic advising by providing support for priority registration, reminding student-athletes of important dates, keeping academic advisors informed of practice schedules to avoid scheduling conflicts, aiding student-athletes in reviewing the schedule of classes, and arranging for special academic major and group advising workshops. In addition, the ASP staff is responsible for monitoring the academic progress of student-athletes throughout the semester, the completion of degree and university requirements, and initial and continuing eligibility.

The university enjoyed a remarkable year in 2001-02, its first as a member of the Patriot League. The athletics department seeks competitive excellence at the NCAA Division I level with student-athletes by recruiting, retaining, and graduating student-athletes capable of achieving competitive and academic excellence. American University won the Patriot League Championships in men's and women's tennis, men's soccer, and women's volleyball. Also, men's basketball and women's lacrosse were the regular season champions. Both finished second in the league tournament.

Academics are taken seriously by the department's administrators and the student-athletes. In a report released by the USA Today/NCAA Foundation Academic Achievement Awards in July 2001, the university's athletics program was recognized as having the highest percentage point improvement for graduation rate in NCAA Division I. American's graduation rate climbed 29 percent since the previous report.

Examples (for 2001-2002 season):

- Katryn Costenbader, the leading scorer on the AU women's basketball team, was one of five women's basketball players named to the 2001-2002 District 2 Verizon Academic All-America First Team;
- The women's swimming teams final national rankings on the Academic All-American List was 13th nationally; men's swimming was 11<sup>th</sup> place;
- Six Eagles earned regional Academic All-America honors and five American student-athletes were named Patriot League Scholar-Athlete of the Year.

To be considered for Academic All-America honors, a student-athlete must hold a cumulative GPA of 3.2 or higher and be an important player on his or her respective teams. Student-athletes from Delaware, District of Columbia, Maryland, New Jersey, Pennsylvania, and West Virginia are eligible for the District Two award.

Other examples include:

Sophomores Natalie Hand and Jose Morales were honored by the School of International Service (SIS). Hand, a member of the volleyball team, and Morales, a member of the track team, both received two awards from the school. Hand, a Middle Eastern Affairs/International Politics and Political Science double major, received the Alan Taylor Memorial Prize, which was named after the late American University professor and recognizes outstanding academic performance in Middle Eastern studies. She also received the NSEP/David L. Boren Undergraduate Scholarship, which provides grants for studying abroad and aids students in gaining experience in less commonly studied languages and cultures. Hand received the award for Morocco.

Hand was named to the Verizon Academic All-American District 2 volleyball team in the fall. She is a member of American University's honors program and has a 4.0 grade-point average (GPA). Hand is a defensive specialist who started all 30 matches in 2001. A team co-captain as a sophomore, Hand finished second on the team with 1.94 digs per game. She also averaged 0.38 service aces per game and had 11 or more digs in eight matches last year.

Morales, an International Affairs major, was honored by SIS, receiving the Scholar-Athlete Award. He also was named to the honor society, Phi Beta Kappa, the nation's oldest academic honor society. Students elected to Phi Beta Kappa are recognized because of their academic achievement in the liberal arts and sciences.

Morales is a middle distance runner for the Eagles and holds a 3.94 GPA. He is third all-time for AU in the 800-meters in indoor track. In the 2002 indoor season, he placed seventh at the PVA Collegiate Invitational and eighth at the Lehigh Quad in the mile.

The department works to accomplish its objectives while maintaining a strong commitment to the principles of diversity, equity, and welfare of the student-athletes. The department is ranked nationally for its outstanding gender-equity ratio and for its graduation rate of athletes.

The department also provides enriching life experiences to the student-athletes to make them productive members of society. AU athletics has been assisting the Cystic Fibrosis Foundation for the past 13 years to raise money for patients. In 2000, the Foundation recognized the American University athletics department as the outstanding civic organization of the year.

### **Self-Study Item 1.1.3 – Circulation of Mission Statement**

**Describe how and to whom the athletics program’s mission statement is circulated.**

The new mission statement for athletics was revised in spring 2002 and approved by the Board of Trustees. The program mission statement is available in the university catalog and the athletics department policy manual. The mission statement has not been used in sports communications materials in previous years but will be more widely communicated in the future. This is in part because over the past two years, AU has had two different athletics directors, each with his own opinions on how the statement should be written and circulated.

### **Self-Study Item 1.1.4 Athletics Mission and Goals**

**Describe briefly, using specific examples, how the athletics program’s mission and goals are or are not supported by the actual practices of the athletics program.**

The mission of the athletics department to excel athletically in the Patriot League while maintaining the academic standards of the university and the league is supported by the practices in the athletics department.

For example, the athletics department supports its mission statement by hiring and maintaining a diverse first rate coaching staff that has won numerous coaching awards. The athletics department has upgraded its athletics support staff and facilities such as building a new fitness facility, updating the weight and cardio machines, and hiring a full-time strength coach. Renovating the training room and increasing the training room staff has been instrumental in the rehabilitation of the student-athlete. Other facility improvements, such as a new basketball playing surface, new track, resurfaced tennis courts, and new wrestling room, have all contributed to the success of our athletics teams.

The result of the staff hiring and facility upgrades have affected the athletics program tremendously, as six athletics teams won Patriot League regular season championships, with six teams and/or individuals winning the conference championship and qualifying for the NCAA championship. American University was also the only school in the Patriot League to qualify all of its athletic teams for the Patriot League championships. Individually, there were four Patriot League players of the year in men's basketball, women's volleyball, men's tennis and women's tennis. At the NCAA championship, our men's soccer team reached the quarterfinals, and we had an All-American 1500-meter runner.

Along with the athletics achievements, the athletics department is supportive in the academic welfare of the student-athlete. The creation of a student-athlete academic support center with a full-time coordinator and staff has been instrumental in monitoring the academic progress of the student-athletes. The academic support center gives mentoring to any student-athlete who needs assistance, whether it is counseling or tutoring. The academic support staff also monitors a mandatory eight-hour-a-week study hall for first semester and academically challenged student-athletes. There is also a faculty advisor per team, who volunteers his or her time to support the team and works as a liaison with faculty members.

Because of the academic support the athletics department has provided, the goals of the mission statement are being met. For example, for fall 2001, twelve athletics teams had a grade point average of 3.0 or higher with the athletics team overall grade point average being a 3.117, its highest ever. There were also seven Patriot League scholar-athletes in 2001-2002 from men's soccer, men's swimming, women's swimming, volleyball, indoor track & field, men's tennis and women's tennis.

Although many of the athletics department's goals, as set forth in the mission statement, are being met and supported, there are some areas of the department for which the needs of the student-athletes might need improvement. For example, the women's field hockey team must travel 30-45 miles, very early in the morning, five times a week to practice on Astroturf, because the university has no Astroturf facility for them to practice on. There is insufficient space in the team locker rooms because many teams share the same locker room and student-athletes share lockers. Even though the fitness center is brand new, the weight room, where the athletic teams lift weights, is too small to accommodate more than one team, which makes it an inconvenience for

coaches to schedule around practices and student-athlete classes. The department suffers from very limited office space, which requires shared space to an extreme degree. Limited space for academic services, junior personnel and assistant coaches is of particular concern.

The areas where there is a need for additional support by the department reflects space needs for a growing and successful sports program. Funding for new facilities and upgrades also needs improvement, although, recently the athletics department, with the guidance of a new AD, has been emphasizing those sports that are higher profile and marketable and can raise revenue for the athletics department. Alumni and corporations are being solicited for monetary assistance by the university development office and athletics department staff and coaches to provide the support for its student-athletes to reach the goals of the athletics department mission statement.

### **Self-Study Item 1.2.1 – Decisions where the Governing Board has been Involved**

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

The Board of Trustees is kept informed on athletics issues through the president's report to the Board, the vice president for development's report to the Board, as well as through deliberations or interactions by the Board's ad hoc committee on athletics or its individual members. In the past three years, topics brought before the Board or its ad hoc committee for information and/or deliberation has included the following:

- The university's shift from the Colonial Athletics Association (CAA) to the Patriot League;
- The hiring of the new athletics director;
- The need for facilities renovations to Bender Arena;
- The hiring of a high-profile men's basketball coach, Jeff Jones.

Individual Board members from the ad hoc committee also were involved in reviewing the finalists for the AD position and the men's basketball coach. The Board was also fully informed of the NCAA's review of a self-report by the

university of a possible secondary rules violation during the 2000-2001 academic year.

### **Self-Study Item 1.2.2 – Decisions Related to Intercollegiate Athletics**

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

AU's intercollegiate athletics program previously directly reported to President Ladner from (1997 to 2000). The AD met regularly with the president to keep him apprised of departmental activities. After 2000, athletics reported to the president through the vice president of development, Al Checcio. Vice President Checcio reports directly to the president and serves on the president's cabinet. Beyond the actual reporting line, the president was significantly involved in athletics on a number of occasions, which included: (a) the decision to join the Patriot League and leave the CAA, in 2000; (b) the hiring of Director of Athletics Dan Radakovich in 2000 and the hiring of Director of Athletics Tom George in 2001; (c) renovations to Bender Arena for enhanced seating, sound, lighting, and playing surface in 2001; (d) the hiring of Jeff Jones to coach men's basketball in 2000; (e) the selection of new Faculty Athletics Representative Robert Karch in 2001; (f) the review by NCAA officials of possible secondary rules violations in academic year 2000-2001; (g) the hiring of Mark Cody to coach wrestling; (h) the hiring of Shann Hart to coach women's basketball; and (i) the evaluation of the wrestling program and the decision to upgrade the program.

### **Self-Study Item 1.2.3 – Process by which AU makes Major Decisions Related to Athletics**

**Describe the process by which the institution makes major decisions regarding intercollegiate athletics. In so doing, describe the role and authority of the institution’s governing board, the CEO, the athletics board or committee (if one exists), the FAR, the director of athletics, and any other appropriate campus constituencies (e.g., faculty, students, institutional personnel involved in rules-compliance activities) in this process. Please provide the composition of the athletics board or committee (including titles & positions).**

Major decisions are made by the president, acting with consent from the Board of Trustees. The department of athletics, through the AD, reports to the vice president of development; they meet in formal meetings each week and frequently in informal meetings. The vice president directly reports to the president, and through regular meetings, is able to keep the president abreast of departmental activities and especially those that require an executive decision. The president keeps the Board of Trustees informed through regular meetings of the Board or through the Board’s ad hoc committee on athletics, which includes individual trustees, the president, and the athletics director and vice president of development as resource persons. The FAR serves as a vital liaison for the athletics department to the university and appropriate organizations and off-campus bodies; the university senate committee on athletics had served as a consultative body as well, especially in academic matters as they affect the department of athletics or individual athletes. That oversight is now the responsibility of the newly created Faculty Senate Committee on Student Life.

### **Self-Study Item 1.2.4 – Organizational Chart**

**Attach an institutional organizational chart and an athletics department organizational chart.**

Please see *Appendix 1*.

### **Study Item 1.3.1 – Activities of Athletics Booster Groups & Support Groups**

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

#### **The American University Eagles Club**

The American University Eagles Club was established in 1997 to recognize donors who made annual gift contributions in support of American University’s intercollegiate athletics program. The Eagles Club exists for the purposes of creating a network of alumni, parents and friends of AU who have a specific interest in supporting any of AU’s athletic programs in order to foster a sense of community and to inspire others to become a part of the AU athletics family. The Eagles Club makes an immediate impact on the lives of nearly 250 student-athletes on a daily basis. Club members take great pride in supporting AU’s teams and their quest for success on the field and in the classroom. Club members are in the stands cheering for the AU teams and offering mentoring and guidance to AU’s student-athletes. Together, the club, the athletics department, and the office of development are building a program AU is proud of and molding a generation of leaders in the process. A brochure has been written to inform all boosters of rules and regulations.

At this time, the AD is in the process of reorganizing the Eagles Club to enhance membership and the club’s role in athletics and the university. It is the only alumni booster organization for AU athletics. The Eagles Club is overseen by the AD, and the vice president of development to ensure compliance with university and NCAA guidelines. The Eagles Club Council consists of boosters who advise the AD and the vice president of development and suggest policies and procedures for the Eagles Club. The vice president of development and senior staff members of the athletics department serve on the Council as well. The AD meets regularly with the council to track its activities and to maintain clear control of the council and the Eagles Club.

### **Self-Study Item 1.3.2 – Identify how the Organization has organized itself to Comply with NCAA Rules**

**Identify, using an organizational or flow chart, how the institution has organized itself to maintain compliance with NCAA rules. Specify the individual (other than the institution's compliance officer/coordinator) who the CEO designates as being responsible for the institution's rules compliance. Also, include a description of the reporting lines for and responsibilities assigned to the faculty athletics representative, director of athletics, compliance coordinator (if any), coaches, and other key individual inside and outside athletics (i.e. administrator monitoring permissible recruiting activities, registrar, financial aid officer, admissions director, internal auditor) who are responsible for documenting and monitoring compliance with NCAA rules.**

The AD has been designated by the CEO as responsible for the institution's rules compliance, although major responsibility rests with the compliance coordinator (CC). To maintain compliance with NCAA rules, the CC has expanded and formalized a network of professionals from across the university. This network includes staff from admissions, financial aid, the registrar's office, deans' offices, judicial affairs & mediation services, academic support center, international student services, and staff within the department of athletics.

The liaison within the admissions office first reviews all freshman recruits for initial eligibility status. Ultimately, initial eligibility status decisions are made by the Clearinghouse. The academic support coordinator reviews the initial eligibility forms for all student-athletes. The admissions office also provides the determination of how many qualified credits transfer recruits present to the university. The liaison within the dean's office of the school or college into which the transfer recruit is enrolling makes the determination on the number of credits applicable to specific degree programs and whether the transfer recruit has met applicable satisfactory progress requirements.

The financial aid liaison prepares the squad lists based on information provided by the department of athletics regarding team membership and recruited status. The liaison uses the NCAA's compliance assistance software, inputting required information during the setup for financial aid sources. The financial aid liaison also certifies for exemption those student-athletes who were not recruited or otherwise receive exempted aid. The financial aid liaison is the initial contact for students who have appeals regarding their athletics financial aid.

Each dean has a designee among his or her academic advising staff who certifies the satisfactory progress of the student-athletes enrolled in that school or college. The CC works with the designees and the FAR to review satisfactory progress requirements.

The registrar's office and the academic support coordinator track which students are also student-athletes. The data warehouse has a program that can be run at any time that provides a list of individuals who are coded as student-athletes and who are enrolled in fewer than 12 hours per semester. For those student-athletes enrolled in fewer than 12 hours, the deans' office liaisons certify in writing that those student-athletes are in their final semester prior to graduation.

The director of judicial affairs and mediation services is responsible for coordinating any appeals that arise from an institutional decision to deny student-athletes either the right to speak with another institution's coaching staff about the possibility of transferring (Bylaw 13.1.1.3.1) or the ability to participate immediately under a one-time transfer exception (Bylaw 14.5.5.2.10).

The director of the Office of International Student Services verifies international student-athlete eligibility for the NCAA special assistance fund and for on- or off-campus employment for international student-athletes.

The coaches in each sport are responsible for providing to the CC compliance forms such as playing season forms, monthly calendars, practice reports, telephone logs, recruiting forms, official visit forms, and clearinghouse forms. The CC oversees all recruiting and the assistant athletics director for business reviews those documents that have a financial component with recruiting.

The graduation rates disclosure form data is compiled and certified by the CC, based on records obtained from financial aid and from the registrar's office.

The FAR reviews all compliance procedures periodically. The assistant commissioner for the Colonial Athletics Association (CAA) reviewed all compliance procedures and spot-checked records regularly when American University was a member of the CAA. Discussions about having a Patriot League representative review compliance procedures continue.

**Self-Study Item 1.3.3 – Describe the Institution's Rules-Education Efforts**

**Describe the institution's rules-education efforts for student-athletes, athletics department staff members, other institutional staff members and representatives of the institution's athletics interests.**

American University uses a multi-phased approach to educating student-athletes, athletics department staff members, and representatives of the institution's athletics interests.

The assistant director of athletics for compliance & administration takes the lead in educating all pertinent constituencies. For student-athletes, a letter is sent prior to their initial enrollment that educates student-athletes on initial eligibility and outside financial aid concerns. Multiple team meetings are conducted at the start of the academic year with athletics teams, going over pertinent rules regarding initial and continuing eligibility, financial aid, drug testing, employment, amateurism, and outside competition. In addition, the assistant athletics director for compliance & administration started to conduct postseason meetings with teams about summer employment and competition. Specific subsets of student-athletes (e.g.: international student-athletes, Pell Grant recipients) receive additional education in the form of seminars related to specific topics (e.g., financial aid, special assistance fund procedures, etc.)

In addition, the department of athletics produces a student-athlete handbook that details commitments to the NCAA and Patriot League and institutional rules for eligibility, financial aid, practice and competition.

Athletics department staff members receive rules-education through multiple methods. The assistant athletics director for compliance & administration educates them through regularly occurring coaching staff meetings that discuss rules appropriate to the time of the academic year and during the legislative process. In addition, individual meetings are held with individual coaches or staffs regarding specific rules and scenarios relevant to those individuals. Additionally, the assistant athletics director for compliance & administration provides documentation during the legislative process on pertinent rules changes and provides written updates to rules situations for coaches and individual staff members as appropriate. The assistant athletics director for compliance & administration sends out bi-weekly e-mails to coaches and athletics department staff members, which help to educate coaches and athletics department staff members on pertinent rules and rules changes. The department's policy manual also details the institution's commitment to rules compliance and provides rules education for athletics staff members.

In addition to those regular activities, the assistant athletics director for compliance & administration conducts a comprehensive review for the off-campus recruiting exam each May, which helps to remind coaches and those administrators who take the exam about recruiting, eligibility and financial aid rules. Also, individual rules-education sessions are conducted with newly-hired coaches and appropriate athletics department staff members. These sessions not

only cover the rules but also American University's methods for complying with some of the more common recruiting and eligibility rules. All coaches and nearly all athletics staff members receive individual copies of the NCAA Division I manual so they can continue the rules-education process on their own.

Other institutional staff members receive rules education through irregular meetings and documentation. The assistant athletics director for compliance & administration meets twice yearly with those individuals who participate in the process to establish continuing and transfer eligibility. During these meetings documentation is provided which explains and reinforces the rules which guide the eligibility verification process. The assistant athletics director for compliance & administration also meets and consults regularly with individuals with compliance responsibilities in the registrar's office, admissions, financial aid, president's office, development office, university senate committee on athletics (or its replacement), deans' offices, and faculty groups.

In October 2001, the assistant athletics director for compliance & administration met with leaders of the alumni chapters through the development office. In this way, he reached some representatives of the university's athletics interests. In addition, the university has developed a brochure and letter for donors and other representatives of athletics interests, detailing permissible and impermissible activities. The university expects to not only use traditional mailings to reach representatives of athletics interests but also to place this information on the athletics web site and direct representatives to the information. Last, the university used its quarterly newsletter, produced through fall 2000, to educate all constituencies, including university employees and representatives of athletics interests, on rules relevant to the conduct of the athletics program and relevant to their allowed participation in the program.

#### **Self-Study Item 1.34 – Student-Athlete Employment**

**Describe the procedures used by the institution to monitor student-athlete employment in compliance with NCAA legislation.**

For student-athlete contacts prior to employment, the student-athlete meets with the assistant athletics director for compliance and administration and completes a student-athlete employment request form and statement. The assistant athletics director for compliance and administration will determine whether the student-athlete is eligible for employment by checking the student-athlete's financial aid limitations, the team's financial aid limitations, and the student-athlete's cumulative grade point average, academic probation status and year in residence at American University. The student-athlete's countable financial aid must be below his or her cost of attendance, or, if in his or her first year at American University, below the value of a full grant-in-aid. The

student-athlete must possess a 2.00 cumulative grade point average and not be on academic probation. If the student-athlete's academic status changes during the academic year so that the student-athlete no longer possesses a 2.00 grade point average or goes on academic probation, the student-athlete must terminate employment after giving the employer two weeks notice.

The student-athlete may then complete an employment and earnings declaration form. This form details the student-athlete's name, address and phone number; the employer's name, address and phone number; the student-athlete's prospective supervisor; the rate of pay; the anticipated hours worked per week; and the type of work completed by the student-athlete. The assistant athletics director for compliance and administration must receive the employer participation agreement before the student-athlete can begin work.

The student-athlete or the employer will forward copies of the student-athlete's pay stub to the assistant athletics director for compliance and administration. The stub should indicate the number of hours worked, rate of pay and gross pay received. The assistant athletics director for compliance and administration will monitor the student-athlete's earnings to ensure that the student-athlete does not exceed the appropriate limit, paying special attention to exclude vacation employment from computations. As the student-athlete approaches his or her limit, the assistant athletics director for compliance and administration will notify the student-athlete and the employer of the situation.

Once the student-athlete reaches his or her limit, the student-athlete must terminate employment immediately. Earnings beyond this limit will result in an NCAA violation for the student-athlete, whom American University will declare ineligible immediately. Conditions for a student-athlete's restoration of eligibility will be addressed on a case-by-case basis.

### Education

The Athletic Department will direct its educational efforts toward student-athletes during squad meetings, walk-on procedures and updates throughout each semester, concluding with the post-employment questionnaire. The athletics department will direct its educational efforts toward coaches and athletics department staff during coaches' monthly meetings and through updates as required. The athletics department will direct its educational efforts toward other university employees as well as boosters and other alumni through the athletics newsletter, published quarterly by the athletics department.

**Self-Study Item 1.3.5 – Describe how the Institution Ensures that Rules Compliance is Central in Personnel Matters**

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

Please see *Appendix 2* and *Equity, Welfare and Sportsmanship Appendix 12*.

### **Self-Study Item 1.3.6 – Policies Pertaining to Rules Compliance**

**Attach written policies and step-by-step procedures that include assignment of specific responsibilities pertaining to the area of rules compliance in critical and sensitive areas, including (a) eligibility certification, (b) investigation and self-reporting of rules violations, (c) monitoring financial aid and (d) monitoring recruiting.**

#### **Sequence for transfer initial eligibility:**

The applications and transcripts of prospective student-athletes are reviewed and evaluated by the director of admissions or his/her designee, who determines the number of transferable credits and whether that number and the grades meet the university standards for admissions.

The credentials are returned to the athletics department, generally the coach of the sport recruiting the prospective student-athlete, who turns the information over to the assistant athletics director for compliance and administration who forwards the credentials to the dean's office of the school or college in which the prospective student-athlete plans to enroll. The dean's designee reviews and evaluates the transfer credits and determines whether the student-athlete has satisfied the satisfactory progress requirements (25/50/75 rule) and declared a major, when applicable. Completed certification is returned to the assistant athletics director for compliance and administration who forwards them to the FAR for review and verification. When the FAR is satisfied that the transcript demonstrates that the student-athletes are satisfying continuing eligibility standards, the FAR signs the form and returns it to the assistant athletics director for compliance and administration.

#### **Sequence for continuing eligibility:**

The assistant athletics director for compliance and administration is working with the student-athlete academic support assistant athletics director in consultation with the registrar to obtain copies of the transcripts of each student-athlete.

The assistant athletics director for compliance and administration divides the student-athletes' transcripts according to their course disciplines. The

transcripts are then forwarded to the appropriate academic advisors within the five undergraduate schools responsible for oversight in those disciplines.

The academic counselors within the individual schools review the transcripts to certify that students are registered full-time, are in the process of satisfying university requirements, have declared majors when applicable, and are making satisfactory progress toward completing the general education and major requirements. The academic counselors review the transcripts to ensure that the student-athletes are in compliance with the NCAA regulations as they pertain to academic progress.

After reviewing the transcripts of the student-athletes, the academic counselors signify that the student-athletes are eligible by signing the reverse side of the academic record, at the end of the form for certifying satisfactory progress. The transcripts are then returned to the assistant athletics director for compliance and administration, who forwards them to the FAR for review and verification. When the FAR is satisfied that the transcript demonstrates that the student-athletes are satisfying continuing eligibility standards, the FAR signs and returns the form to the assistant athletics director for compliance and administration.

The assistant athletics director for compliance and administration repeats the same process as the FAR, signing when he or she is satisfied that the transcript demonstrates that the student-athletes are satisfying continuing eligibility standards.

### Investigating and Self-Reporting Violations

If a coach, other athletics department staff member, prospective or enrolled student-athlete, representative of American University's athletic interests or other member of the university community believes he or she has committed a violation of NCAA rules, the individual informs the assistant athletics director for compliance and administration immediately. If the potential violation occurs off-campus, the individual informs the assistant athletics director for compliance and administration immediately upon the individual's return to campus. The individual provides the assistant athletics director for compliance and administration with as much information about the potential violation as possible.

The assistant athletics director for compliance and administration conducts an investigation into the matter. The investigation includes, but is not

limited to, discussions with the individual reporting the alleged violation, conversations with other individuals potentially involved, including prospective student-athletes and other coaches, review of documents, and other steps the assistant athletics director for compliance and administration thinks appropriate.

At the end of this investigation, if the assistant athletics director for compliance and administration believes no violation has occurred, he or she informs the AD and the individual of his or her opinion in writing, giving a review of events, applicable NCAA Bylaws, and the application of the Bylaws to the facts. The AD has the right to overrule the assistant athletics director for compliance and administration and request a report be filed with the Patriot League requesting an interpretation of the facts.

If the assistant athletics director for compliance and administration believes a secondary violation has occurred, he or she completes a report to the AD and the Patriot League for forwarding to the NCAA. This report constitutes American's self-reporting of the violation. The assistant athletics director for compliance and administration recommends corrective measures to be applied to the coach, staff member, representative of American's athletic interests, student-athlete or prospect, as appropriate. The AD will then direct the assistant athletics director for compliance and administration to file the report with the Patriot League office or to amend the report as needed. The assistant athletics director for compliance and administration files the report and informs the involved parties, the president, the vice president of development, the AD, the senior woman administrator, and the FAR.

If the assistant athletics director for compliance and administration believes an alleged major violation occurred, he or she informs in writing the AD of this decision, including a description of the facts, the NCAA Bylaws at issue, the application of the Bylaws to the facts, and the assistant athletics director for compliance and administration's reasons for believing a major violation has allegedly occurred. The AD will notify the president and vice president of development. The assistant athletics director for compliance and administration, with the AD's approval, then turns the investigation over to the compliance committee.

American University's compliance committee consist of a representative appointed by the vice president of development; the FAR; a member of the Faculty Senate's Committee on Student Life; the assistant athletics director for compliance and administration (*ex officio*); a representative from the university

general counsel's office (*ex officio*); and other individuals as requested by the committee.

The committee investigates the alleged major violation, including interviewing individuals associated with the alleged violation and inspecting documents concerning the alleged violation. The assistant athletics director for compliance and administration and the representative from the general counsel's office act as resources for the committee, providing information on pertinent NCAA, League and university regulations. The committee presents its findings regarding its investigation into the alleged violation to the president, the AD, and the senior woman administrator.

The university reports the results of the committee's investigation to the NCAA enforcement staff and the executive director of the Patriot League.

#### Monitoring Financial Aid:

The Office of Financial Aid, through the director of financial aid and his or her designee, works with the assistant athletics director for compliance and administration to monitor financial aid. The Office of Financial Aid and the athletics department are responsible for entering information into the NCAA compliance assistant software, which is networked within American University's computing system.

The athletics department is responsible for entering the demographic information for the student-athletes. The Office of Financial Aid is responsible for entering the financial aid categories and the individual awards into the system. If the Office of Financial Aid does not know the answer to some of the questions posed by the software, the assistant athletics director for compliance and administration will provide the information.

Once the academic year has started, any changes to the financial aid portion of the software for employment are made by the assistant athletics director for compliance and administration directly into the software. Any changes in the financial aid award package are made by the Office of Financial Aid, working in consultation with the assistant athletics director for compliance and administration.

## Monitoring Recruiting

The assistant athletics director for compliance and administration requires all sports to submit the following forms for all coaches: recruiting telephone log and the recruiting contact and evaluation form. Coaches should submit these forms to the assistant athletics director for compliance and administration on the first Monday of the month for recruiting activities for the previous month. The assistant athletics director for compliance and administration uses these forms to ensure compliance with NCAA recruiting legislation regarding the communications with, contacting and evaluation of prospective student-athletes.

These forms are presently tracked in paper form and arranged by color. If an individual coach or a sport's coaching staff wishes to modify any university form or to submit the data found on the form electronically using recruiting software, the interested coaches must speak with the assistant athletics director for compliance and administration before affecting any change in the required form.

### Telephone Log:

Each coach responsible for calling prospective student-athletes must complete the telephone log for each answered call to a prospect. An answered call is one where the coach reaches the prospect, a member of the prospect's family, or an answering machine (regardless of whether the coach leaves a message). The form consists of eight columns:

- Date: date of the call;
- Time: time of the call;
- Prospect: the prospect called by the coach;
- Phone Number: the prospect's phone number;
- Call From: the location of the coach at the time of the call;
- Spoke With: the individual with whom the coach spoke;
- N/R: checked only if the call was not a recruiting call;
- Notes: any notes the coach makes regarding the call.

The coach must fill all of the applicable columns for each answered recruiting phone call. The "Notes" column is there for the coach's reference only. It does not need to be completed for compliance purposes.

The assistant athletics director for compliance and administration reviews each sport's recruiting telephone logs each month and performs an in-depth inspection of at least one sport's recruiting telephone log every month. An in-depth inspection includes reference to university telephone and calling card records, and questions asked of the coach regarding any inconsistencies or potential violations of NCAA recruiting regulations.

### Contact and Evaluation Form

Each coach certified by the NCAA to go off-campus and recruit prospects must complete a contact and evaluation form each month detailing all off-campus contacts and evaluations of prospective student-athletes. If the coaches of a particular sport wish to complete only one form among all coaches, they may turn in only one form, provided all coaches whose recruiting activities are detailed on the form sign the form under the verification of adherence to NCAA recruiting rules on the back of the form. Coaches must fill out all eight columns of the contact and evaluation form for each recruiting event detailed on the form. The information needed is:

- Name of Prospect/Parents
- Contact Number (which contact this is)
- Evaluation number (which evaluation this is)
- Date and time
- People present (the names of the individuals who were present during the contact)
- City/street (the location of the contact or evaluation)
- Approved by: For a recruiting event at a prospect's educational institution, which school administrator approved the event.

## Official Visits

An official visit is a visit taken by a prospective student-athlete for which the university pays some expenses. These expenses can be travel, accommodations, meals or entertainment. Once a recruit starts a visit (either unofficial or official) the entire visit must be conducted as that type of visit. A coach cannot change an unofficial visit to an official visit during the visit.

## Letters for Official Visits

Prior to an official visit by a prospective student-athlete, a coach must send a letter to the prospect that outlines the NCAA regulations surrounding the visit. The letter must include the date of the visit and notify the student-athlete that the visit is one of the five official visits he or she may take.

## Expense Paid Visit Pre-Approval and Summary Form

After the coach has discussed the financial aspects of the visit with the assistant athletics director for business and operations, the coach must give the pre-approval form to the assistant athletics director for compliance and administration. The assistant athletics director for compliance and administration may approve the visit by one of two ways. First, he or she may verify that the NCAA Clearinghouse approved the prospective student-athlete for an official visit. The second method the assistant athletics director for compliance and administration may use is to approve the prospective student-athlete for a visit by examining the prospect's transcript and test score(s). If the prospect has applied to the university, the assistant athletics director for compliance and administration can check the admissions office database for the prospect's transcript and test score. After the assistant athletics director for compliance and administration approves the prospect for an official visit, he or she returns to the coach the official visit pre-approval and summary form

After this information has been returned to the coach, the prospective student-athlete is permitted to visit the campus on an official visit.

## Student Host Forms

These forms are provided to inform the student host of NCAA rules applying to the visit of prospective student-athletes. An additional goal of this

form is to educate the student-athletes who serve as hosts about the role they play in ensuring American's compliance with NCAA rules.

The front side of this form is to be signed and dated by the AU student-athlete who is serving as the host before the visit. The student host and expense report on the reverse side is to be used after the visit to reconcile the funds the host received with the money returned and receipts turned in. The student-athlete serving as host must sign the back of the form after the reconciliation.

#### Reconciliation (at the end of the visit)

All official visit forms must be returned to the assistant athletics director for compliance and administration. Requests for grants-in-aid are not processed until the assistant athletics director for compliance and administration has received both the official visit form and the student host form. If there are any discrepancies between the official visit form and the student host form, the assistant athletics director for compliance and administration will discuss those discrepancies and resolve any issues to his or her satisfaction before he or she signs the grant-in-aid request form.

#### Education

The athletics department directs its educational efforts toward student-athletes during squad meetings, walk-on procedures, and updates throughout each semester, concluding with the post-employment questionnaire. The athletics department directs its educational efforts toward coaches and athletics department staff during the coaches' monthly meetings and through updates as required. The athletics department directs its educational efforts toward other university employees as well as boosters and other alumni through the athletics newsletter, published quarterly by the athletics department.

#### **Self-Study Item 1.3.7- Evaluation of Rules Compliance**

**Please attach documentation related to periodic evaluation of the institution's rules-compliance program by an authority outside of athletics.**

As described in the response to self-study item 1.3.2: “the FAR reviews all compliance procedures periodically. The assistant commissioner for the Colonial Athletics Association (CAA) reviewed all compliance procedures and spot-checked records regularly when American University was a member of the CAA. Discussions about having a Patriot League representative review the

compliance procedures continue.” In addition, the university’s office of general counsel assists with specific rules interpretation on a periodic basis.

Documentation regarding the most recent review by the CAA is attached; this is an 8/30/00 letter from Assistant Commissioner Kathleen Hallock to the university, based on a compliance review and interviews conducted 5/15/00.

Please see *Appendix 3*.