

# 2004 CU NCAA CERTIFICATION...GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE

## Operating Principle

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

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

## Self-Study Items

1. 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). In each case, provide: (a) the original "corrective *action*," "condition" or "*strategy*" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

## Not Applicable.

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). Specifically include: (a) the original plan; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

# University of Colorado Governance & Compliance Action Plan for Improvement

1997 First-Cycle Action Plan						2001 Interim Report				2004 Status
Study Item	Op Principle	Intended End Result	Specific Strategies	Specific Individual/Office Assigned the Responsibility	Specific Timetable	Task Complete?	Action Taken	Date	Explanation	Explanation
#1	2, 3	Strengthen the department's organizational structure	Monitor the changes in university reporting lines and changes in the conference and NCAA rules	Assistant AD for Compliance	Ongoing	Y	Assoc AD for Compliance tracks all legislation and coordinates institutional response on legislative proposals. AD is on the Chancellor's Executive Committee and meets regularly with the Regents Subcommittee on Athletics. The AD, FAR, SWA and Chancellor also meet on a quarterly basis, at a minimum regarding university, conference and NCAA matters	Ongoing	The Assoc AD for Compliance is also on the A/E/C Cabinet and LR/IS. The AD is currently on Division I Management Council and the Big XII Conference Administrative Committee	<i>Campus officials have even more involvement with the Dept as a result of the campus Action Plan for Athletics</i>
#4	3, 4	Improve coordination between the Regents' Committee on Athletics and the Vice President for Administration	Consult with the Chair of the Board of Regents Committee on Athletics for their meeting agendas	Athletic Director, Chair of the Committee and Vice President for Administration of the Boulder Campus	Prior to each bi-monthly meeting	Y	The Athletic Director and selected staff/SAs regularly meet with the Regents' Subcommittee on Intercollegiate Athletics.	Ongoing	Additionally, the AD and chair of the Regent's Subcommittee meet on a monthly basis.	<i>Same as 2001</i>

- 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.

**After a major infractions case in 2002, the Associate Athletics Director was assigned a dotted reporting line to the Provost and Faculty Athletics Representative to confirm and enhance the important relationship between the Athletics Compliance efforts and campus oversight.**

In the spring of 2004, the President of the University of Colorado and the Chancellor of the Boulder campus announced major changes to the reporting structure of intercollegiate athletics in order to help integrate the department more fully into the academic mission of the campus. Primary responsibility for the management of the Athletics Department will remain with the Boulder campus Chancellor, who has overall authority in personnel, budgetary and organizational matters. Changes articulated below went into effect July 1, 2004.

1. The Athletics Director will no longer report to the Chancellor, but will report directly to the Provost, the campus's chief academic officer, in order to enhance accountability and oversight.
2. An Academic Policy Board for Athletics, composed of faculty, staff and students, will advise the Provost on a wide range of departmental issues, such as admissions standards, recruiting practices, hiring processes, long-range planning and others.
3. The Provost will develop policies guiding academic decisions related to athletics, such as admissions, financial aid, eligibility, progress toward graduation and academic support, with input from the Academic Policy Board. For example, a plan will be developed to help ensure that recruits accepted to attend CU-Boulder are prepared to succeed academically.
4. The Provost will review and approve all personnel actions within the Athletics Department.
5. In order to help ensure independence in compliance responsibilities, the Provost will conduct the annual performance evaluation and set the salary for the Associate Athletics Director for Compliance, in consultation with the Athletics Director.
6. The Senior Associate Athletics Director for Facilities, Development and Business Affairs will report directly to the Provost; together, they will work closely with the campus's Chief Financial Officer to help ensure fiscal integrity.
7. The Athletics Director will serve on the Chancellor's Executive Committee, the major policy advisory group, in order to enhance interaction with campus leadership.
8. The Athletics Director will provide regular reports (at least quarterly) to the campus Dean's Council and to academic department chairs.
9. The Vice Chancellor for Student Affairs will assume additional liaison responsibilities for oversight of the integration of athletics more fully into the life of the campus.
10. Athletics student services will report to the Vice Chancellor for Student Affairs, in order to promote further integration of student athletes into the campus student body.
11. The Vice Chancellor for Student Affairs will oversee development and adjudication of disciplinary team rules for all sports, in order to ensure fair and equal treatment and improved coordination of discipline matters campus-wide.
12. The Associate Athletics Director for Compliance will assume additional duties for coordinating the department's educational and monitoring efforts related to compliance with general campus policies and practices.
13. In line with campus-wide practices, the Vice Chancellor for Administration will review and approve all sponsorships and revenue contracts, in order to help facilitate consistent compliance with University and state regulations.
14. The campus's Director of Human Resources will review and monitor the department's employment practices, in order to ensure consistent compliance with policies set or implemented by the Boulder campus.

15. The department's Gender Equity Committee will develop recommendations for addressing gender equity issues identified in recent studies.

16. The Athletics Media Relations Director will report to the Executive Director of University Communications, to help improve coordination among communications professionals on the Boulder campus.

17. The University will conduct targeted financial audits and performance reviews of the Athletics Department on an annual basis.

4. List all actions the institution has completed or progress it has made regarding required actions ~identified by the NCM Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

**Not Applicable.**

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

In 1999 the Athletics Department began an extensive strategic planning process. Through discussions by all department staff, the campus leadership and the Board of Regents, *Athletics 2010* was developed and approved by the campus [full text provided below]. This is the mission statement of the department and blueprint for its goals and activities. Department policy and efforts are placed in the context of this mission and reviewed for appropriateness and effectiveness with *Athletics 2010* as the standard. The department's *Athletics 2010* Committee reports annually on performance toward achievement of these goals.

Although the Board of Regents has a standing subcommittee on Intercollegiate Athletics, which meets three times a year, the subcommittee does not take any formal action at these meetings. Any major decisions involving athletics are brought to the Board through the normal processes applicable to all Departments on the Boulder campus.

In the past three years, the Board's has taken the following significant actions, among others, regarding intercollegiate athletics:

- Approved the annual budget of the Department as part of the University budget approval process.
- Approved the borrowing and financial payment plan for scholarship suites and club seats totaling approximately \$43.8 million.
- Approved the employment agreements with three head coaches: Coach Ceal Barry, Coach Ricardo Patton and Coach Gary Barnett.

**University of Colorado at Boulder**

**Department of Intercollegiate Athletics**

**MISSION STATEMENT AND DEPARTMENT VISION...*Athletics 2010***

**Mission Statement**

The Department of Intercollegiate Athletics, as an integral part of the educational mission of the University of Colorado, will educate the students we serve by providing the opportunity to participate in a nationally

successful and respected intercollegiate athletic program which embraces and promotes diversity and which establishes and maintains unparalleled standards in education, athletic competition, facilities and relationships with our internal and external communities.

### **ATHLETICS 2010**

- Education -
- Winning -
- Facilities -
- Culture -

#### ***Education Vision***

*The CU Athletics Department will recruit, educate, retain and graduate nationally competitive student-athletes. We will provide an environment where each student-athlete will pursue academic achievement, develop leadership skills and grow personally and professionally in preparation for success beyond graduation.*

#### **Education Goals**

- We will graduate every student-athlete that completes eligibility.
- We will retain nine out of ten student-athletes enrolled at CU.
- Our student-athletes will attain a 3.0 mean GPA.
- We will provide every student-athlete with a mentor.
- Every student-athlete will have an opportunity to accept an internship position or professional job offer within two months of graduation.
- We will establish nationally recognized leadership and personal development programs for student-athletes.

#### ***Winning Vision***

*Our student-athletes will experience and understand the educational value of being an athletic champion by being a member of a team that consistently competes for the highest possible athletic honors while representing the ideals of sportsmanship.*

#### **Winning Goals**

- CU programs will be ranked consistently in the top 20 and will compete for the national championship.
- Each CU team will compete for the Big XII Championship.
- We will win the Sears Cup.
- We will fully fund all athletic teams.

- We will create revenue opportunities through athletic success.
- We will compete with integrity and good sportsmanship by adhering to the principles set forth in the Arizona Sports Summit Accord.
- Annual Program Winning Goals (consistent final national ranking)
  - Basketball - Men Top 15
  - Basketball - Women Top 10
  - Cross Country - Men & Women Top 3
  - Football Top 10
  - Golf - Men Top 10
  - Golf - Women Top 15
  - Skiing Top 2
  - Soccer Top 10
  - Tennis - Men Top 20
  - Tennis - Women Top 20
  - Track & Field - Men & Women Top 20
  - Volleyball Top 10

### ***Facilities Vision***

*We will provide facilities for our programs to recruit, educate, train and compete at the highest national levels without adversely impacting the institution's academic priorities. Our facilities will be available for campus and community sharing.*

### **Facilities Goals**

- We will develop our facilities with financial integrity and ensure that our facilities will provide revenue opportunities.
- We will provide state-of-the-art academic support facilities.
- We will provide facilities for year-round practice and competition with priority access and scheduling for all intercollegiate sports.
- Expand Folsom Field (sky boxes, club seating, additional northeast seating, new press box) and build new parking structure and field house on northeast side.
- Build South Campus Sport Complex.
- Expand and remodel Coors Events Conference Center for practice facilities (including new volleyball venue), meeting space, ticket operations and concessions.
- We will collaborate with the campus and community to establish facilities sharing.

### ***Culture Vision***

*The Athletics Department is committed to the intellectual, physical, and social development and the general well being of each student-athlete. We will create an environment where student-athletes, University faculty and staff, and all of our customers are respected and valued.*

### **Culture Goals**

- We will aggressively embrace and promote diversity and equity.

- **Each student-athlete will leave CU with a mutual commitment to the institution and will be treated appropriately as a permanent member of the CU family.**
- **We will provide a forum for student-athlete input on departmental issues.**
- **We will support the principles contained in the Arizona Sports Summit Accord.**
- **We will communicate effectively with internal and external constituencies.**
- **Staff members will have mutual respect and support for each other's roles and responsibilities.**
- **We will empower all staff members in their roles and will provide appropriate opportunities for professional growth.**
- **We will compensate all staff at or above market rates.**
- **We will educate and require commitment by department staff, student-athletes and supporters to abide by the rules and regulations of the NCAA, Big XII Conference, and the University of Colorado.**

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

**The Chancellor has taken the following significant actions in the last three years with regards to intercollegiate athletics:**

- **Developed and announced an "Action Plan for the Reorganization and Oversight of Intercollegiate Athletics" (see Self-study Item #3),**
- **Instituted new recruiting policies and practices for all sport programs,**
- **Negotiated contracts and reappointed the head coaches for Football, Men's Basketball and Women's Basketball,**
- **Reviewed and approved the annual budget for the Department of Intercollegiate Athletics and the personnel actions related to exempt professional staff within the department, and represented the University of Colorado before the NCAA Division I Committee on Infractions.**

**Additionally, the Chancellor has served as Chair of the Big XII Conference Board of CEOs.**

7. Describe the process by which the institution makes major decisions regarding intercollegiate athletics. In so doing, describe the role and authority of the institution's governing board, the chief executive officer, the athletics board or committee (if one exists), the faculty athletics representative(s), the director of athletics, and any other appropriate campus constituencies (e.g., faculty, students, institutional personnel involved in rules-compliance activities) in this process.

**The University of Colorado system is made up of three separate campuses which include: Boulder, Colorado Springs, and the recently consolidated campuses of Denver and the Health Sciences Center. Each campus has its own Chancellor, who reports directly to the President of the system. The President reports to the nine-member Board of Regents.**

**The Regents have the responsibility and final authority for making and revising intercollegiate athletic policy for the University. The Regents assist in the determination of the appropriate role of athletics in the University's mission.**

**The University of Colorado's organizational structure and line authority as they relate to the intercollegiate**

athletic program reflects a strong commitment to institutional control. Under the laws of the State of Colorado, the control and management of the University are the responsibility of the Board of Regents. Effective July 1, 1995, the Board of Regents delegated the control and administration of the Athletics Department to the Chancellor of the Boulder Campus. Within the University of Colorado at Boulder, the Director of Intercollegiate Athletics reports directly to the Provost, the chief academic officer. This organizational structure provides administrative control of the intercollegiate athletic program at the institutional level. The Provost is directly involved and meets regularly throughout the year with the Athletics Director to discuss long-range planning, compliance, finances, budget, policy issues, personnel, academics, and logistical matters.

As the chief executive for the Boulder Campus, the Chancellor is responsible for directing the operation of the campus and all of its programs and services, including intercollegiate athletics. The Chancellor is the University's representative to the National Collegiate Athletic Association (NCAA) and to the Big XII Conference. As the University's representative to these organizations, the Chancellor has a primary role in developing the University's position on athletic issues, The Chancellor is actively involved in the management of the intercollegiate athletics program, is attuned to the key issues of the program, and is an advocate for the University's position regarding key issues that affect the program. The Chancellor is involved in the management decision-making process, which affects all aspects of the Athletics Department, and communicates on a continuing basis with the Athletics Director and other University authorities as appropriate on important athletics issues.

Under authority delegated by the Regents, President, and Chancellor, the Athletics Director has the day-to-day responsibility for the direct supervision, approval, conduct, and control of the athletics program. The Athletics Director provides the Chancellor and Regents with such reports, documentation and recommendations as are necessary for decisions pertaining to policy, administration, budget, personnel, programs, and related matters. The Athletics Director is responsible for the maintenance and implementation of policies approved by the Regents and also for those policies that are subject to the rules and regulations of the Big XII Conference and NCAA.

The Athletics Director promulgates and approves the budget recommendations for each of the intercollegiate sports programs after consultation with the Associate Athletics Directors and coaches on the staff. In addition, the Athletics Director is responsible for all fiscal matters pertaining to the Athletics Department.

The Athletics Director has overall responsibility for the conduct of coaches and the conduct of each program within the Athletics Department, including adherence to budget and policy procedures. The Athletics Director has the responsibility for establishing a strong and enduring rules compliance program and for emphasizing rules compliance to all members of the Department and to those associated with the Department.

The Athletics Director is a member of the Chancellor's Executive Committee, the major policy advisory group on campus. The Chancellor's expectation is that the Athletics Director has the top managerial responsibility for all aspects of the Athletics Department and will be involved in the Boulder Campus governing structure.

#### Decision Process

When making significant policy decisions regarding the Department, the Athletics Director and staff prepare a recommendation that is forwarded to the Provost, who will then proceed in one of two ways. Depending upon the significance of the issue, he may refer it directly to the Chancellor, who will make a decision about referring to the Athletics Subcommittee of the Board of Regents, or the Provost will refer it back to the

Athletics Director for implementation. The decision on how to proceed is made with input from the appropriate constituencies. A recent example of how this process works was the decision two years ago to move Athletics Academic Support Services from the department of athletics to Academic Affairs.

#### **Additional Campus Constituents**

The Board of Regents has established a Study Session on Intercollegiate Athletics that includes all members of the Board of Regents and is chaired by a member of the Board. The purpose of the study sessions generally is to provide briefings by the Athletics Directors at the Boulder and Colorado Springs campuses on any policy proposal that may require Board approval or that represents a potentially controversial issue of which the full Board needs to be apprised. The agenda for these meetings is developed by the University's Vice President for Budget and Finance in consultation with the Provost and the Athletics Director.

The Boulder Faculty Assembly has a Committee on Intercollegiate Athletics that meets monthly. The Athletics Director is a member of this committee. The focus of the Committee is to review graduation trends, satisfactory academic progress, budgets, eligibility requirements, and gender equity issues. This committee is advisory to the Boulder Faculty Assembly (BFA) and also advises the Chancellor and the Athletics Director. It also has decision-making authority regarding the scheduling of athletic events proposed during exam periods.

The campus Faculty Athletics Representative (FAR), Phil DiStefano, meets on a regular basis with the Chancellor, Athletics Director and the Compliance Officer as a member of the Compliance Committee to discuss compliance issues. Additionally, the FAR meets regularly with the Athletics Director to discuss issues such as long-range planning and permanent hiring decisions. The FAR attends all Big XII Conference and NCAA annual meetings and advises the Chancellor and the Athletics Director on NCAA legislative issues.

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

#### **Study Session on Intercollegiate Athletics**

**Mr. Tom Lucero**

**Dr. Peter Steinhauer (D.D.S.), (Chair)**

**Ms. Cindy Carlisle**

**Ms. Patricia Hayes**

**Ms. Susan C. Kirk**

**Mr. Jim Martin**

**Mr. Jerry Rutledge**

**Mr. Paul Schauer**

**Ms. Gail Sheridan Schwartz**

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

Minutes of athletics board or committee meetings.

Minutes of the institution's governing board meetings. (Please flag those that relate to the athletics program or athletics interests.)

Published policies of the institution's governing board. (Please flag those that relate to the athletics program or athletics interests.)

An institutional organizational chart and an athletics department organizational chart.

## 1.2 Institutional Control, Presidential Authority and Shared Responsibilities - Evaluation

Question	Currently Yes	Currently No
Does the institution demonstrate that the institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution?	<input type="checkbox"/>	<input type="checkbox"/>
Does the institution demonstrate that the chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program?	<input type="checkbox"/>	<input type="checkbox"/>
Does the institution demonstrate that appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies?	<input type="checkbox"/>	<input type="checkbox"/>

**On the basis of the yes/no answers above and the plans for correcting deficiencies below, is the institution in substantial conformity with Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities)?**

Yes  No

### Operating Principle

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

- a. It has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program.
- b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department.
- c. Rules compliance is the subject of an ongoing educational effort.
- d. A clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program.
- e. At least once every four years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department. [Note: The effective date of this requirement is August 2003; therefore, your institution is required to conduct an evaluation within four years of your most recent rules compliance evaluation and at least once every four years thereafter.]

### Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.3 (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 the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

Not Applicable.

- 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 1.3 (Rules Compliance). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

<b>University of Colorado Governance &amp; Compliance Action Plan for Improvement</b>										
<b>1997 First-Cycle Action Plan</b>						<b>2001 Interim Report</b>			<b>2004 Status</b>	
<b>Study Item</b>	<b>Op Principle</b>	<b>Intended End Result</b>	<b>Specific Strategies</b>	<b>Specific Individual/Office Assigned the Responsibility</b>	<b>Specific Timetable</b>	<b>Task Complete?</b>	<b>Action Taken</b>	<b>Date</b>	<b>Explanation</b>	<b>Explanation</b>
#7, 8, 9, 10	1, 2, 5, 6	Strengthen the department's rules compliance efforts	Conclude the search for Assistant AD for Compliance; budget for and conduct a national search for the Auditor	Athletic Director	Asst. AD & Admin. Asst. - Spring '97; Auditor - Fall '98	Y	Both positions filled	Feb. 1997 & Aug 1999	Additionally, the department Financial Aid liaison, Administrative Asst. and student worker have been moved to the Compliance Office to improve communication and provide administrative support to Compliance efforts. January 2001	The campus has committed to a reorganization of the Compliance operation to have an Associate AD, Assistant AD, Monitoring Coordinator, Rules Education Coordinator and Financial Aid Liaison. Additionally, the Business Office and campus Fin Aid offices are assisting more.
#7, #10	2	Improved rules education and institutional control over booster groups and donors	Coordination of rule compliance education efforts & annual review of violations and concerns about potential violations with the leaders of booster organizations	Assistant AD for Compliance, Foundation liaisons, and alumni liaisons	Annually	Y	Extensive rules education by Compliance and Foundation staff, including a signed agreement by all scholarship donors and mentors in the Life Skills program that they have received an NCAA rules summary and will	Ongoing	Liaisons are also provided with Legislative and Interpretation updates. Some 1200 donors receive e-mail rules reminders on a quarterly basis. Rules summary pamphlets are provided at every large booster gathering.	Same as 2001

							abide by the regulations.			
#8	4,5	Improve resource allocation, utilization & student service delivery needs	Increase the FTE from 80% to 100% for the eligibility coordinator position in the registrar's office.	Registrar and Athletic Director	Fall 1997	Y	Completed	7/1/1997		<i>Eligibility Certification has moved to the Office of Academic Support Services with two staff members doing certification tasks and much improved coordination with key campus officials.</i>
#8	5	Improve rules compliance efforts	Update the compliance manual	Assistant Director for Compliance	Annually	Y	Compliance Manual is updated annually each summer by the Compliance staff	Ongoing		<i>Update Fall 2004</i>
#10	7	Improve rules education program	Annual evaluation by a university committee outside of the department and by the Big XII Conference	Associate AD for Compliance	Annually	N	Campus review 1997-8 Big XII Reviews: 1997; 2000 and 2003	1997-98 & 2000-01	NCAA Certification and Big XII Conference Rules require a once-every-four-years review, which the University is following	<i>Same as 2001</i>

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 the spring of 2004, the President of the University of Colorado and the Chancellor of the Boulder campus announced major changes to the reporting structure of intercollegiate athletics in order to help integrate the department more fully into the academic mission of the campus. Primary responsibility for the management of the Athletics Department will remain with the Boulder campus Chancellor, who has overall authority in personnel, budgetary and organizational matters. Specific changes were described in Self-study Item #2 under Operating Principle 1.2. This re-structuring impacts the rules compliance efforts by further integrating the department into the campus community.**

**A new Academic Policy Board for Athletics, composed of faculty, staff and students, advises the Provost on a wide range of departmental issues, such as admissions standards, recruiting practices, hiring processes, long-range planning and others. The Provost reviews and approves all personnel actions within the Athletics Department, which includes rules compliance actions. In order to help ensure independence in compliance**

responsibilities, the Provost conducts the annual performance evaluation and sets the salary for the Associate Athletics Director for Compliance, in consultation with the Athletics Director. The Senior Associate Athletics Director for Facilities, Development and Business Affairs reports directly to the Provost; together, they work closely with the campus's Chief Financial Officer to help ensure fiscal integrity.

The Vice Chancellor for Student Affairs oversees development and adjudication of disciplinary team rules for all sports, in order to ensure fair and equal treatment and improved coordination of discipline matters campus-wide. The Associate Athletics Director for Compliance assumed additional duties for coordinating the department's educational and monitoring efforts related to compliance with general campus policies and practices. The University will conduct targeted financial audits and performance reviews of the Athletics Department on an annual basis.

Since the 1997 first-cycle certification, the University has added significant resources to the Athletics Compliance program. The current organizational chart now calls for four full-time compliance and financial aid staff members, with involvement and oversight from the Associate Athletics Director, the Faculty Athletics Representative (currently the Provost of the University), and the campus Compliance Committee.

Chancellor Byyny has appointed some of the most senior officers on the Boulder Campus to serve in areas relating to compliance. For example, Chancellor Byyny's top administration consists of one Provost and four vice chancellors. The Provost, Philip P. DiStefano, serves as the chair of the Committee on Compliance and is the Faculty Athletics Representative to the Big 12. Provost DiStefano personally signs certification forms and NCAA violation reports. For this appointment, Chancellor Byyny a high-level campus leader who would look after the best interests of the institution.

The Executive Director for Enrollment Services, Barbara Schneider, oversees the Office of Admissions and is the CU Certifying Officer. This office is directly involved in the admission of student-athletes and reports directly to Ron Stump, Vice Chancellor for Student Affairs. In addition, Director Schneider serves as a member of the Campus Compliance Committee. In this role, she personally certifies that student-athletes are eligible to participate in the athletic program and receive financial aid. The Office of Academic Support Services for Athletics now reports to Vice Chancellor for Student Affairs, Ron Stump. That office reviews the admissibility and eligibility status of CU recruits and directs the eligibility certification program with Director Schneider.

Mary Jo White, the Chancellor's Chief of Staff, is the Chancellor's liaison to the Department. As such, she monitors and communicates with the Department and serves on the Committee on Compliance on behalf of the Chancellor. Ms. White has served as the chief assistant to three chancellors. She holds a Juris Doctor degree and serves on the campus Compliance Committee.

The budget for the Compliance Office has grown significantly under Athletics Director Richard Tharp. Specifically, there was no defined budget for compliance prior to the tenure of A.D. Tharp. The compliance budget has grown from approximately \$60,000 in 1997 to approximately \$291,000 in 2004. These amounts are separate and apart from the NCAA- and conference-related activities of Director Karen Morrison as Senior Woman Administrator.

CU's compliance procedures have been revamped under Director Morrison. For information on these changes, see the descriptions of the CU NCAA/Big XII Rules Education Program and the description of the CU Monitoring System in the department's compliance manual.

Under Director Morrison, the Campus Committee on Compliance has assumed an active role with substantial power. The Committee meets monthly during the academic year to review all violation reports, eligibility certification and investigations; make suggestions on monitoring systems; discuss national and conference legislative initiatives; and receive reports on rules education efforts and waiver applications. The Faculty Athletics Representative chairs the Committee and its members are appointed by the Chancellor.

The University was subject to a major infractions case in 2002 for violations under its previous football coaching staff. As a result of the internal investigation and the reports to the Committee on Infractions, CU

concentrated on improvements to its Monitoring and Rules Education programs. The Compliance staff has pursued several improvements to its systems, including:

- ✓ Increased their meeting schedule with coaching staffs, in particular with the football coaching and their support staff members [2003-04 meeting chart provided as an example below].
- ✓ Allocated over \$26,000 to purchase the Cybersport mobile recruiting software and service agreement.
- ✓ Continued corrective action measures to prevent repeat violations noted in the infractions report:
- ✓ Travel reimbursement for prospects' official visits must be routed through the Business Office and accompanied by an internet confirmation of the exact distance from the prospect's home to his local airport; and
- ✓ No tours of the Equipment room are allowed; displays of apparel and equipment must be inventoried before and after the display.
- ✓ Revised the Compliance Manual to separate policies/procedures, including recruiting forms, from rules education materials for efficiency and clarity, and placed the manual online for easier staff access.

Sample annual meeting chart:

<b>Compliance Meeting Schedule 2003-04</b>				
<b>Month</b>	<b>Date</b>	<b>Attendees</b>	<b>Agenda Topics</b>	<b>Comments</b>
<b>July</b>	7/16/2003	C-Club	Extra benefits, involvement with student-athletes after graduation, add compliance corner to newsletter	Jon Meadows, Bill Harris, Frank Bernardi
<b>August</b>	8/5/2003	Ticket/Business Office Staff	Extra benefits, Gambling, Comp tickets, Recruiting	All ticket office and business office staff
	FB - 8/5 & 8/6, VB - 8/6, SC - 8/12, CC - 8/18, GF & TN - 8/25, TR - 8/26, MB &WB - 8/27, SK - 8/28	Student-Athletes	Rules Summary, Gambling, Extra Benefits, Promotions, Recruiting.	Sports Med, Winkelbauer, Lynn
	8/25/2003	All Staff	Chancellor's Meeting - Major infractions case, reporting sec. violations, repeat violators, gambling.	All Athletic Dept. Staff
<b>September</b>	9/11/2003	Equipment	Gambling, Extra Benefits, Major case, probation	Equipment Managers (20)
	9/16/2003	Sports Medicine	Gambling, Extra Benefits, Major case, probation	All Athletic Trainers
	9/24/2003	Football	Roster update, fall recruiting schedule, recruiting logs	David Hansburg
	9/25/2003	Financial Aid	Athletic department overview, compliance, recruiting, athletic scholarships, extra benefits, comp tix, Jeremy Bloom , major infractions case.	All financial aid staff (20)
<b>October</b>	10/29/2003	Football	Recruiting logs, spring enrollees, Mid-year JC transfers.	David Hansburg
		All Sports	Monthly Meeting	At least one sport rep.
<b>November</b>	11/12/2003	Football	Recruiting logs, spring enrollees, Official visit documentation.	David Hansburg
		All Sports	Monthly Meeting	At least one sport rep.

<b>December</b>	12/18/2003	Football	Recruiting logs & calendars, February NLI's, spring contracts, spring enrollees, Barnett wavier	David Hansburg
	12/11/2003	Financial Aid	Reviewed NCAA document, suggested areas for improvement, implement changes, rules education program.	Karon Johnson, Rosann Romano, Evan Icolari, James Broscheit, Lynn Faudree, Tara Koeltzow
<b>January</b>	1/20, 1/21, 1/22, 1/28	All Sports	Monthly Meeting	At least one sport rep.
		Strength & Conditioning		Greg Finnegan
	1/22/2004	Football		David Hansburg
	1/29/2004	Financial Aid	Rules Education	Rosann Romano, Lynn Faudree, Tara Koeltzow, James Broscheit
	1/27/2004	W Basketball	Academic Standards, gambling	Coaches and entire team.
	1/17/2004	Mentors	Rules Education Refresh Extra benefits, gambling, sample cases & penalties	Current Mentors
	1/15/2004	Camp Directors	Reviewed camp rules/regs provided new forms w/ deadlines	WBB, MBB, SOC, VB, FB, SKI, TN
<b>February</b>	2/17/2004	Herbst Academic Center Staff	Rules Education	Nelson, Swain, Kema, Sulentic, Wellik, Wyatt, Ewing
	2/21/2004	Mentors	Rules Education Refresh Extra benefits, gambling, sample cases & penalties	Current Mentors
	2/16/04, 2/18/04, 2/19/04, 2/20/04, 2/25/04	All Sports	Monthly Meeting	At least one sport rep.
	2/12/2004	Football	Monthly Meeting	David Hansburg
	2/5/2004	Financial Aid	Rules Education	Stump, Faudree, Koeltzow, Icolari
	2/12/2004	Financial Aid	Rules Education	Stump, Faudree, Koeltzow, Icolari, Broscheit
	2/26/2004	Financial Aid	Rules Education	Stump, Faudree, Koeltzow, Icolari, Broscheit
<b>March</b>	3/9, 3/10, 3/11	All Sports	Monthly Meeting	At least one sport rep.
	3/8/2004	Football	Gambling, Coaches, Agents, GA's.	David Hansburg
	3/4/2004	Financial Aid	Rules Education	Stump, Faudree, Koeltzow, Icolari
	3/12/2004	Financial Aid	Rules Education	Stump, Faudree, Koeltzow, Icolari, Broscheit
	3/18/2004	Financial Aid	Rules Education	Stump, Faudree, Koeltzow, Icolari, Broscheit
	3/13/2004	Mentors	Rules Education, extra benefits, gambling, new members.	New Mentors
<b>April</b>	4/26, 4/27, 4/28, 4/29, 5/3, 5/4	All Sports	Monthly Meeting	At least one sport rep.
	4/9/2004	Football	Coaches, recruiting, calendar, practice calendar, roster review.	David Hansburg
	4/13/2004	All Coaches	Update recruiting, probation, violations, camp funds.	Hansburg, Harris, Shelton, Barry, Watson, Livingston, Simpson, Rokos, Kenneally, Winterbotham, Hemen, Hogan, Morrison
	4/20/2004	Football coaches	Spring recruiting reminder	All coaches, GA's & interns
	4/1/2004	Financial Aid	Rules Education	Stump, Faudree, Koeltzow, Icolari, Broscheit
<b>May</b>	NONE			
<b>June</b>	6/21/2004	Transfer Appeal Committee	Reviewed legislation surrounding appeals and institutional policy.	Barb Schneider (chair), Liz Bradley, Scott Adler

	6/22/2004	All coaches	Ebihara exam review and academic reform	MBB, WBB, FB, TRK, MGO, WGO, SKI, SOC, WTN, VB
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CU's third Compliance review conducted by the Big XII Conference in November of 2003 resulted in significant improvements to the coordination between the campus Financial Aid Office and the Athletics Department. Over a ten-week period, the Compliance Office staff and members of the campus Financial Aid staff met weekly to discuss NCAA regulations, as well as to review the Office of Financial Aid's responsibilities to rules compliance. These meetings proved to be beneficial for both parties and were successful in defining each office's roles and responsibilities to NCAA compliance. The campus Financial Aid Office has taken on additional compliance responsibilities as a result.

As directed by the campus' 2004 Action Plan for Athletics, the Department's Compliance Office now has been assigned the responsibility to educate and monitor staff and student-athletes with regards to campus policy, in addition to its normal NCAA/Big XII Conference Compliance tasks. The staff has started a monthly brown bag seminar at which each sport program/department area must have a representative. Fall 2004 topics include: Official Functions and Travel procedures; the CU Recruiting Policy and Occasional Meals; NCAA Academic Reform; the CU Admissions Process; Hiring/Termination; A-card and Cell Phones; Department. Policies and Procedures Manual; and NCAA Certification. When all its staff positions are completely filled in the Compliance office, this program will continue to expand its activities.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim- report process (if applicable) as they relate to Operating Principle 1.3 (Rules Compliance). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action (s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

**There were no required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process.**

5. 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.

**All booster organizations are organized through the University of Colorado Foundation, Inc. Currently there are five booster organizations that exist to benefit the athletic programs at the University of Colorado at Boulder. "Buff Clubs" are in Denver, Colorado Springs, and Boulder; "Buffalo Belles" is a faculty and staff group (mostly women) at CU; and the "C Club" is a varsity lettermen's association. All booster clubs are organized with volunteer boards and bylaws that include a mission statement, the scope of board, and the board member classifications.**

The activities of the booster organizations are in support of the athletics program through fund raising and promotion. Some examples include golf tournaments, weekly luncheons, lettermen reunions, and award presentations. A staff member of the Foundation supervises each activity of a booster club and Athletics Department assigned as a liaison. Staff members assigned to booster club activities are often joint appointments between the Athletics Department and the CU Foundation.

Booster organizations are structured through the CU Foundation and maintain their checking accounts and fund raising accounts with the Foundation. They therefore follow the policies and procedures established by the Foundation. The funds raised or contributed by these groups are accounted for in either agency or gift

accounts within the Foundation. Agency funds are maintained to permit accounting for expenditures associated with specific fund raisers (e.g., golf tournament) and revenues from these events. Agency funds are also maintained to receive payments from members of the Flatirons Club, Men's Basketball Clubroom, and Club Level in the football stadium for food provided to these members at games. Net proceeds from these events are transferred from the agency accounts to gift accounts in the Foundation. Individual donor contributions (i.e., gifts which are not associated with a particular fund-raiser) are deposited directly into gift accounts, with all unrestricted gifts considered to be Buff Club contributions. The net proceeds are transferred from the CU Foundation gift accounts to the general revenue accounts of the Athletics Department, as required by the University of Colorado budget process.

The primary use of athletics booster funds is to serve as budgeted general revenue to the Athletics Department. These funds are budgeted each year as "contributions" to support the general expenses of the Department. They are not viewed as dedicated revenues to support specific expenses, with few exceptions such as the capital construction campaign for the Dal Ward Athletics Center. Only the Athletics Director may approve the expenditure of funds transferred from the Foundation.

The Athletics Department communicates annually in writing with booster organizations and other special interests of the department (such as summer employers of student-athletes) to explain and increase awareness of the various rules and restrictions on private giving in support of the athletic programs. A review of the compliance files indicates a few irregularities occur with individual boosters, whereas none have occurred with booster organizations.

Athletics Department staff, coaches, and students participate at various booster organization fund raisers such as golf tournaments and luncheons. There are no Athletics Department staff on any of the booster organization of foundation boards; however, a staff liaison is assigned to monitor each board, attend all meetings and pre-approve all expenditures.

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.

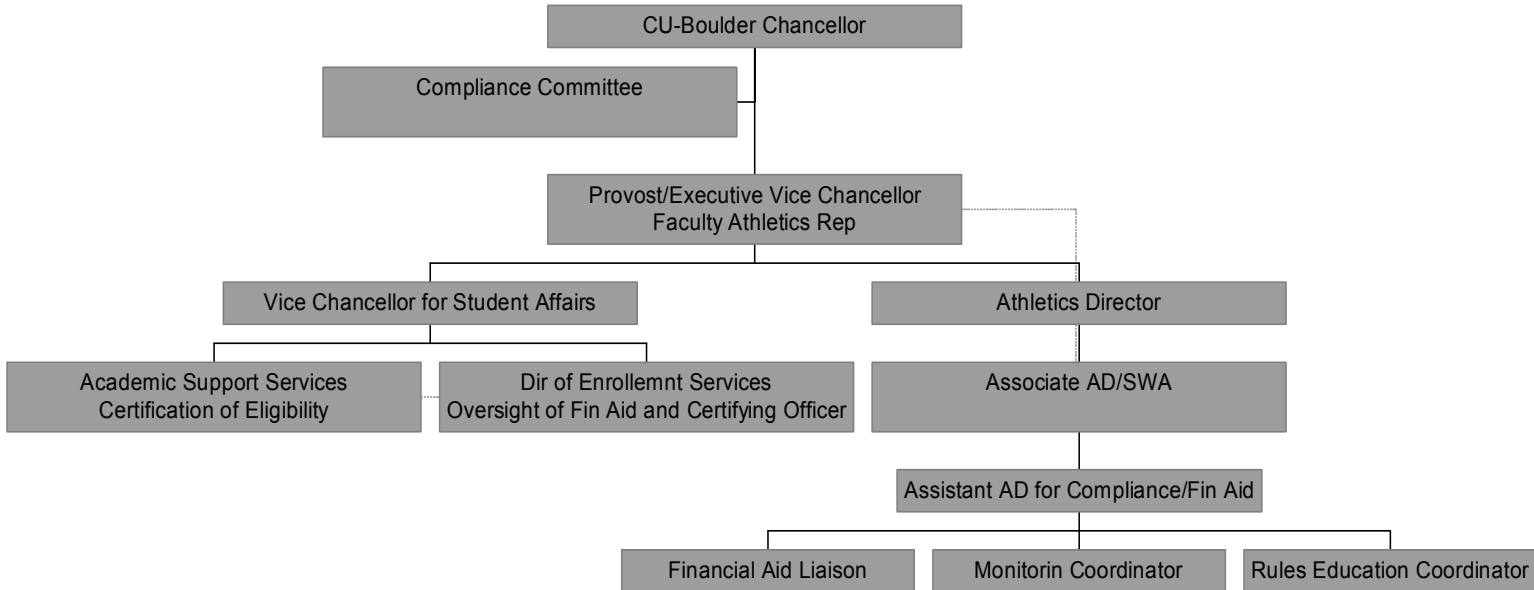
The sources of this response include discussions with the Associate Athletics Director, a review of the CU Athletics Department Compliance Manual, which was updated in October, 2004, and an examination of the current lines of authority and responsibility. Below are the general compliance responsibilities that are included in the manual:

- Coordinating of all compliance elements;
- Assignment of responsibilities for compliance for each staff position, student-athletes, prospective student-athletes and representatives of athletics interests;
- Identifying rules violations;
- Investigating of alleged rules violations;
- Reporting of confirmed rules violations;
- Attending compliance education seminars;
- Modifying specific compliance responsibilities; and
- Supervising of the compliance staff.

The ultimate responsibility for NCAA compliance rests with the Chancellor of the Boulder Campus. However, the functional responsibility for NCAA compliance is assigned to the designated Associate Athletics Director

in the Athletics Department. The organization chart displays the relationships and identifies the other individuals in the Athletics Department and on campus who participate in determining and monitoring NCAA rules compliance.

## CU-Boulder Rules Compliance Organizational Chart



Following is a description of the key roles of the persons or positions involved in the University's compliance efforts [all other position responsibilities are spelled out in the department's NCAA Compliance Manual]:

**Faculty Athletics Representative (Phil DiStefano, Provost & Executive Vice Chancellor)**

Chair of the Compliance Committee; institutional liaison with the NCAA and Big XII Conference. Assists with legislative interpretation; oversees investigations; reviews and signs all eligibility certificates. *{Reviews and signs all violation reports to the NCAA}*

**Athletics Director (Richard Tharp)**

Member of the Compliance Committee; assists in application and education of NCAA and Big XII rules; sets the tone and encourages the environment for the Compliance Program.

**Associate Athletics Director (Karen Morrison)**

Oversight of the Compliance and Financial Aid staff; Member of the Compliance Committee; Assists with interpretations and investigations; NCAA legislation coordinator.

**Assistant Director of Athletics for Compliance (vacant)**

Interfaces with the NCAA and the Big XII to receive interpretations and clarification of Bylaws. Knows and understands all Big XII and NCAA rules. Establishes the rules education program; provides legislative interpretations, procedures and updates; evaluates coaches and administration staff on rules knowledge; and monitors the overall program effectiveness. Participates in eligibility determinations by reviewing and monitoring recruiting activities, financial aid awards, and eligibility of freshmen, transfer and continuing student-athletes. Investigates and reports rules violations. Serves as liaison to the Big XII Compliance Staff and the NCAA. Prepares all self-reports for the NCAA and Big XII.

### Head Coaches

Understand and abide by all rules. Conduct rules education of all student-athletes and their families. Responsible for compliance with recruiting By-laws; submit recruiting reports and records; set recruiting standards for all coaches; assist in rules education of boosters, parents and student-athletes; submit NCAA squad list material to the Compliance Coordinator for financial aid, admission, and registrar certification; monitor and document playing season and practice requirements; report all violations to the Compliance Coordinator; and establish an environment for all staff and student-athletes which fosters rules compliance.

### Academic Coordinator (Mark Nelson)

Reviews prospective student-athlete's (PSA) academic credentials; coordinates efforts with the NCAA Clearinghouse, Admissions, Financial Aid and Registrar to verify the PSA's eligibility and admissibility. Monitors the Clearinghouse eligibility process; coordinates information to and from PSA's; verifies submission of credentials and test scores to the Clearinghouse. For continuing eligibility, provides academic resources to student-athletes; maintains copies of academic records; coordinates with faculty and college advisors; monitors term and degree progress of student-athletes; monitors the full time enrollment requirement; updates coaches and staff on student status. For transfer eligibility, obtains and reviews academic history; reviews qualifier status; applies proper NCAA transfer requirement standards to determine remaining eligibility. Knows and understands all NCAA and Big XII rules; and reports all academic irregularities or violations to the Compliance Coordinator. This individual reports outside of the athletics department to the Vice Chancellor of Student Affairs.

### Financial Aid Office

Review aid recommendations; ensure eligibility to receive aid; award appropriate aid; notify student-athlete of the award; review and sign exemption certificate forms; determine classification of outside awards; participate in financial aid appeals process; chair the Financial Aid Appeal Committee; educate coaches and staff on financial aid rules; final approval for all disbursements from the Student-Athlete Special Assistance Fund. All rules education is coordinated out of the Compliance Office. The Special Assistance Fund is disbursed and monitored by the Compliance Office. Coordinate the institution's need-based aid program; sign financial aid agreement; identify all sources and types of aid to PSA. Knows and understands all of NCAA and Big XII rules and report irregularities to the Compliance Coordinator.

### Admissions Office

Assist with the initial review of PSA's academic credentials; review PSA application for admission; make final admission decision. Review academic credentials and application materials for transfer students; make admissions decision; determine academic eligibility. Educate department staff and coaches on Admission policies. Understand applicable NCAA and Big XII rules and report irregularities to the Compliance Coordinator.

### Registrar Office (Eligibility Coordinator and Certifying Officer)

Determine and certify qualifier status and academic eligibility of freshmen. Monitor the "12 hours rule" for current student-athletes, review academic and eligibility status of continuing student-athletes. Review status and certify eligibility of transfer student-athletes. Certify all athletes prior to first competition. Prepare annual graduation report. Monitor the Big XII and NCAA 6-hour rule. Report all violations or irregularities to the Compliance Coordinator. These duties have been moved from the Registrar's Office to the Academic Coordinator and are signed off by the Executive Director of Enrollment Management.

Compliance Committee consists of the Assistant Director of Compliance, Faculty Athletics Representative, Senior Woman Administrator, the Boulder Campus Chancellor's liaison to the Athletics Department, and a member of the Boulder Faculty Association's Intercollegiate Athletics Subcommittee. In addition, other

sport administrators and consultants may attend the meeting at the request of the Compliance Committee. The Compliance Coordinator updates the committee members on all relevant issues and recent events and relies upon the Committee's advice to address compliance concerns.

### Self Reports

1. All allegations of wrongdoing will be reported to the Assistant AD for Compliance for investigation and adjudication.
2. The Assistant AD for Compliance will initiate a review of the situation to determine if a violation has occurred. If no violation has occurred, the reporting individual will be notified. If a violation is deemed to have occurred, the Associate Athletics Director will be informed and the review will be upgraded to an investigation.
3. The Assistant AD for Compliance will conduct the investigation to determine the circumstances surrounding the violations and who was involved. In addition, the Assistant AD for Compliance will prepare the official report for review by the Associate AD and to be signed by the Faculty Athletics Representative. Included in the report will be recommendations regarding punishment, what actions are necessary to preclude recurrence of similar incidents, and if necessary a request to restore any lost eligibility.
4. If eligibility is affected, the student-athlete and head coach will be advised by the Assistant AD for Compliance as soon as the violation has been verified.
5. The signed report will be forwarded to the NCAA with copies to the Office of the Chancellor, Athletics Director and the Big XII Conference.
6. Follow-up with the NCAA by the Assistant AD for Compliance will be conducted as necessary.
7. Once a decision is reached by the NCAA, the Assistant AD for Compliance will review the decision and take whatever action is necessary. Should an appeal be appropriate, the Assistant AD for Compliance will collect supporting documentation and forward to the NCAA. The appeal decision will be enacted by the Associate AD for Compliance.
8. A file of all report correspondence will be maintained by the Assistant AD for Compliance.
9. All incidents of violation are evaluated to determine what remedial and preventative measures are required. Discipline of all involved parties and educational reviews are conducted by the Athletics Director and the Assistant AD for Compliance.
10. All investigations and the results of all reportable incidents are covered at Department staff meetings and Compliance Committee meetings.

### External Reports (Secondary Violations)

1. Reports of violations received from the Big XII Conference or the NCAA will be handled in a manner similar to the self-report process. However, the Athletics Director will be informed immediately of the allegations before a final determination on whether a violation has occurred.
2. The Assistant AD for Compliance will determine whether a violation has occurred and if not, report that finding to the external source. If a violation is deemed to have occurred, then the same process as self-report will be followed, and the external source will be informed that a report of violation will follow.

### Major Violations

1. All major violations will be handled by the Chancellor's Compliance Committee and the Associate AD, assisted by the Assistant AD for Compliance. Upon receipt of a Letter of Preliminary Inquiry from the NCAA, the Athletics Director, the Faculty Athletics Representative, the Associate AD, Assistant AD for Compliance, a representative from the Chancellor's Office and University Legal Counsel will meet to discuss the issue(s) and launch the internal investigation of the charges. The Compliance Committee will be consulted during each phase of the process.

3. Failure to report violations or to act to correct the problem once a violation is discovered results in severe consequences. Each job description includes notice to the employee that violation of NCAA and conference rules will result in some form of reprimand, up to and including termination, if warranted. Supervisors are instructed to remind employees at annual evaluations of the importance of rules compliance. Department policy promotes the full disclosure of all rules violations. Additionally, the Department utilizes other campus sources to develop procedures for preventing rules violations (e.g., the CU Internal Audit Office).

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

Examination of current efforts and documentation of rules education program are the sources of information for this item.

The Rules Education program is currently the responsibility of the Assistant AD for Compliance. The department also will hire a Rules Education Coordinator, who has the responsibility to be accessible to athletics personnel and institutional officials, as well as external constituents. In addition, the Rules Education Coordinator will ensure that all appropriate groups receive pertinent rules information, updates, and interpretations. This position will report to the Assistant Athletics Director for Compliance.

The target audiences for rules education in the program are:

1. Coaching staffs for all sports
2. Prospective student-athletes and their parents
3. High school/junior college coaches
4. High school principals and counselors
5. Current student-athletes
6. Institutional and athletic personnel with decision-making roles regarding NCAA, conference and institutional rules and regulations:
  - a. Athletics Department administrators
  - b. Academic and institutional administrative offices:
    - ◆ Associate Deans for student affairs in Arts and Sciences, Business, Engineering, Environmental Design, and Music
    - ◆ Financial Aid
    - ◆ Bursar's Office
    - ◆ Registrar's Office
    - ◆ Admissions Office
    - ◆ CU Foundation
    - ◆ CU Alumni Association
7. Other representatives of the institution's Athletics Department interests:
  - a. Boosters
  - b. Private donors
  - c. Corporate donors
  - d. Mentor groups

A timetable has been established with a calendar of events to provide continuing education to institutional groups, Athletics personnel, and groups outside of the Athletics program who make decisions regarding NCAA and conference rules. A sample of the annual rules education program follows:

## CU NCAA/Big XII Rules Education Program

Program Item	Description	Target Audience	Comments
Annual Memo Reminders	Bylaw 17 + team travel/entertainment and benefit rules; Publicity about recruits; Camp rules; Award rules	Various	
Booster Booklet	Extensive pamphlet on rules effecting representatives of athletic interests	All Athletic Reps, local businesses, student-athletes and families	
C-Club Handout	Rules summary for former student-athletes	Former CU athletes	
Compliance Manual	All Compliance procedures & forms	Every coach and key department leaders + Compliance Committee and campus liaisons	Now online with all forms
Compliance Newsletters	Contain a variety of topics - New legislation, new interpretations, recruiting date reminders, examples of secondary and major infraction cases, forms deadlines		
Donor Emails	Sent via the fundraising office	All donors to the athletic department	Sample topics - no selling tickets to events, even at face value, to student-athletes or their families or friends
Hot News	New LRIS Interpretations, important LAC, CCACA emails or minutes and new Staff interpretations	Usually sent via email to all affected staff members	
Interp of the Month	Hard copy highlight of new or, more often, existing Staff or Official interpretations. Focus is on one or two items and timed to the activity to prevent violations	Newsletter list (all coaches, dept heads, on-campus contacts - Compliance Committee, Certifying Officer, FAR, Faculty Assembly Chair, etc	
Interpretations Service	Interps per request	Whoever asks, and if it is a good question, Q&A are forwarded to other staff	Compliance Log - approximately 420 entries per year
Mentors Training	Compliance rules review and Q&A with new Mentors	Mentors in UCAMP program	
Recruiting Period Reminders	Posters for each sport affected by a Dead Period	Sport office and some key dept heads	
SA Rules Summary	Description of rules topic areas applicable to enrolled student-athletes	Student-athletes, coaches, mentors, staff	Given at annual SA rules reviews, trainings and to incoming PSAs
Staff Emails	Mass email reminders several times a year	All dept staff	Sample topics - sports wagering, usually sent at the end of February
Student-Athlete Emails	Topics vary - Employment, Voluntary workouts, etc	All student-athletes via campus email system	

Program Item	Description	Target Audience	Comments
Timely Topics	Descriptions in detail of various topic areas	Varies	Examples - Support Staff Rules Summaries (for classified and volunteer staff); Before You Go - recruiting rules reminders prior to evaluation periods; Bylaw 17 - annual rules summary on practice & travel benefit rules; etc.
Website	Staff, student-athlete, prospects and athletics reps rules information	Same	on the CU website at <a href="http://cubuffs.fansonly.com/school-bio/colo-school-bio-compliance.html">http://cubuffs.fansonly.com/school-bio/colo-school-bio-compliance.html</a>

Meetings Summary	When?	Topics	Comments
Every student-athlete (mandatory)	Prior to first practice or first day of classes each Fall semester, whichever is earlier	Ethical Conduct, Sportsmanship, Amateurism/Agents, Recruiting, Financial Aid & Employment, Benefits, Reporting violations	Academic Eligibility issues handled by the Academic Support staff; Drugs covered by the Sports medicine staff; Meeting includes forms - SA Historical, Drug-testing, SA Statement, etc
	New - Start of Spring semester review on limited topics	Employment, Outside competition, Benefits	
All Coaches - Annual Recruiting Rules review	Spring/Summer	Conducted by Big XII Officer	Mandatory that all coaches go through the recruiting/eligibility/fin aid rules review prior to sitting for the recruiting certification exam
Annual Compliance Review (mandatory)	End of August	Chancellor's presentation on Commitment to Compliance and various topics	Example: 2001 Gary Barnett was a supplemental speaker on Sports Wagering. This meeting is conducted after staff signs the annual Certificate of Compliance
New Staff	Varies	New staff are required to visit the compliance office at the beginning of their employment	Handout on rules topics also distributed
All Coaches	Throughout the year	Recruiting forms reviews	Every 3-5 week review of recruiting documentation by the Asst Director of Compliance
Head Coaches only	Roster/Aid Renewal meetings - May & August	Bylaw 15 review	Reminder opportunities on additional rules topics
	Signing Squad Lists & Certificates of Eligibility - varies	Bylaw 14 rules review	Reminder opportunities on additional rules topics
	Participation Reports - End of season & Spring	In-person meeting with each head coach	Memo reminder annually about definition of intercollegiate competition, Hardship waivers & additions/deletions from rosters
	Big 12 coaches' meetings once annually	Big 12 Compliance reviews new rules issues with head coaches at the conference coaches' meetings	

Meetings Summary	When?	Topics	Comments
Fin Aid, Academics, Certification & Compliance staff	Bi-weekly	Roundtable meetings for dept & campus staff on rules, deadlines, procedures, etc	

Campus Compliance Committee	Monthly during the academic year; one summer meeting barring emergency issues	Chancellor's appointments - FAR, Faculty Assembly Athletics Committee Chair, Certifying Officer, Chancellor's Executive Asst, Athletic Director, all Compliance staff	Emergency issues - campus legal counsel as ex-officio and expert appointments (e.g., Dean of the Law School)
Football Coaches	Asst Coaches & Officiating rules seminar - Big 12, Spring	Annual compliance and officiating rules workshop for FT asst coaches, including legislative updates	
	All coaches w/Compliance staff: July, November & April	Various topics and Q&A opportunity	
Olympic Sport Coaches	All coaches w/Compliance staff: August, December	Various topics and Q&A opportunity	
Men's & Women's Basketball Coaches	All coaches w/Compliance staff: June, October, February	Various topics and Q&A opportunity	
Gate 1 - Fundraising, Marketing, SID (Sports Information Director)	May & November	Various topics and Q&A opportunity	
Business Office/Tickets/Facilities	July	Various topics and Q&A opportunity	
Booster Club liaisons and club leadership	August	Benefits, fundraising & control of funds, recruiting	Designated Gate 1 staff serve as primary liaisons
SAAC (Student-Athlete Advisory Committee)	February	Various topics and Q&A opportunity	Asst AD for Student Services serves as primary liaison; rules topics also funneled through him and via email to SAAC leadership
Student Services Staff	September	Various topics and Q&A opportunity	Asst AD for Student Services serves as primary liaison; rules topics also funneled through him and via email/memo/newsletters to Dept heads

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

**As part of the reorganization of the Athletics Department, the Provost reviews and approves all new hires in the Athletics Department. The Provost's Office ensures that statements of the importance of rules of compliance are included within all letters of offer and job descriptions for administrative staff inside the athletics department and coaches associated with athletics. In addition, the Provost informs the Athletics Director and other supervisors, including head coaches and supervisory staff, that they need to include knowledge and application of rules of compliance as criteria in annual evaluations of their coaches and staff.**

**The department also prepares annual compliance reports for the Compliance Committee and the Athletics Executive Committee and copies all supervisors on violation reports to help with performance evaluations. Starting in 2004-2005, the Athletics Department instituted a monitoring system performance evaluation for use by supervisors. This evaluation tool is intended to help supervisors determine how well staff are completing the monitoring system requirements.**

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.

**The Provost has informed the Vice Chancellor for Student Affairs that all directors and staff in the division must include the importance of rules of compliance in letters of appointments, performance evaluations and job descriptions for staff who work with staff, coaches and student athletes in the Department of Athletics.**

**Certification of eligibility processes are conducted by the Office of Academic Support Services with a direct reporting line to the Vice Chancellor for Student Affairs. The Certifying Officer (also the Director of Enrollment Services with oversight of the University's Admissions, Financial Aid, Registrar and Bursar offices) serves on the campus Compliance Committee. Representatives from the Athletics Compliance/Financial Aid office meet bi-monthly with the Athletics Academic advising staff and campus financial aid officers to review interpretations, monitoring systems, violations, recruiting and certification status, waivers and complex cases. All violations or problems with compliance systems are reported to the Provost and Compliance Committee, as well as to the supervisors of responsible individuals.**

**The commitment and involvement of the campus leadership, including the Chancellor, Provost, Vice Chancellor for Student Affairs, Director of Enrollment Services and Director of Financial Aid, in the continuous communication between the department and campus personnel have made compliance with NCAA rules a high priority for the campus, as well as the Athletics Department.**

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 items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

**Oversight for initial eligibility was relocated to the Herbst Academic Center in January of 2002, as part an organizational change. The Official Certification Officer now is the Executive Director for Enrollment Management/Executive Director of Admissions, who approves the initial eligibility for all student-athletes for final athletics certification.**

**The Assistant Director for Academics and Eligibility in the Herbst Academic Center evaluates all prospective student-athletes' (PSA) transcripts for NCAA core course requirements. A copy of this evaluation is provided to the appropriate sport office.**

**Each new student-athlete, freshman or transfer, is required to fill out an Affirmation of Eligibility form to document his or her status prior to enrollment at the University of Colorado. Information in Part D of this form is completed by the Director of the Herbst Academic Center; the Executive Director for Enrollment Management/Executive Director of Admissions is the final approval required prior to athletics certification. All information is then entered into the NCAA Compliance Assistant program by the Herbst Academic for final athletics certification.**

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 items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

**As part of the organizational change for the Herbst Academic Center, a new process was implemented to streamline the continuing eligibility process for timely information from the respective Dean's Office and to be more pro-active in addressing any concerns that may arise each semester. For example, a new form has been developed requiring each Dean's Office to sign off on each student-athlete's schedule during the first half of each semester, verifying the degree applicability of his or her coursework.**

In addition, a new form has been developed and implemented for the College of Arts & Sciences students to verify progress toward degree and remaining graduation requirements. At this time, there is no need for similar forms for the other colleges, due to their more structured curriculum and due to the development of the campus-wide Progress-to-Degree form used each semester. All data received from the College is then entered into an excel spreadsheet for the tracking of continuing eligibility, as well as entering into the NCAA Compliance Assistant program for final certification.

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 items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

**All prospective transfer student-athlete transcripts are evaluated within the Admissions Office for transfer credit and admissibility. In turn, the Herbst Academic Center performs a transfer credit evaluation on all two-year transfers to verify the number of transfer credits and transfer GPA. Transfer credits for all incoming transfer student-athletes are then evaluated in their respective college and major for progress toward degree. This information is then entered into the NCAA Compliance Assistant program by the Herbst Academic Center for all incoming transfer student-athletes for athletics certification.**

**The Compliance Monitoring Coordinator verifies a transfer student-athlete's seasons of competition used and receipt of athletics financial aid at previous institutions through a release process with the previous institution's compliance or registrar's office.**

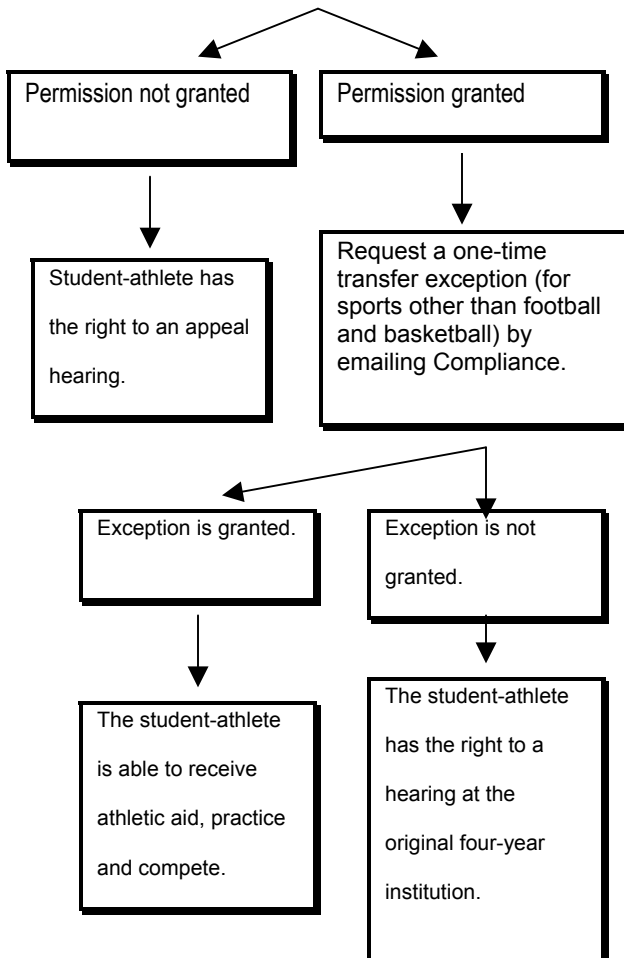
## Transfer Flow Chart

### Transfers to CU

Obtain permission to communicate with the student-athlete:

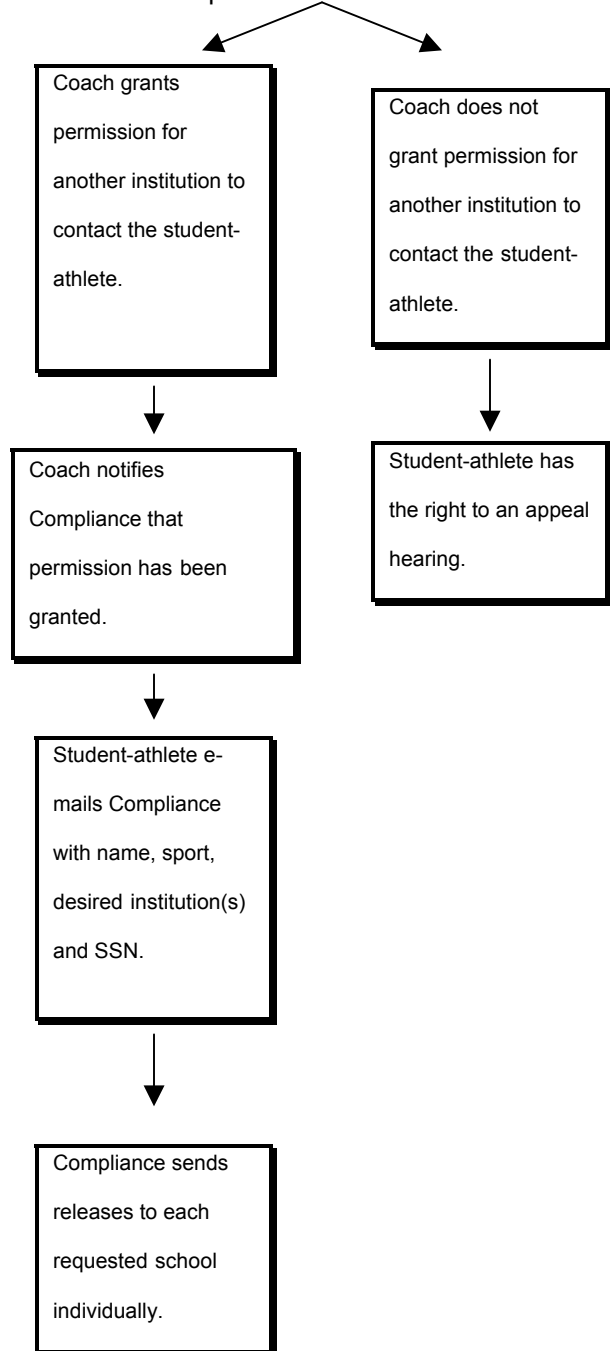
- Send an e-mail request to Compliance (include name, sport, current institution and SSN), or
- The student-athlete can request that permission to contact be sent directly to CU Compliance (fax 303-492-3364)

If a student-athlete of another four-year institution contacts a coach directly, the coach must discontinue the conversation and explain that he or she can not speak to the student-athlete until written permission is obtained (*even if the student-athlete is not currently competing or that institution does not sponsor the sport.*)



### Transfer from CU (transfers in) (transfers out)

Student-athlete completes an exit interview with his or her sport administrator.



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.

The following procedures are a part of the department's Compliance Manual:

### Procedures for Reporting a Potential NCAA Rules Infraction

#### Table of Contents

- General Principles
- Definition of Secondary and Major Violations
- Steps For Reporting a Potential Violation
- Penalties Associated With a Secondary Violation

#### I. General Principles

Exemplary Conduct – 19.01.2

Responsibility to Cooperate – 19.01.3

#### II. Definitions

A secondary violation as defined in Bylaw 19.02.2.1, is one that provides only a limited recruiting or competitive advantage and is isolated or inadvertent in nature. If the Committee on Infractions determines that repeated secondary violations have occurred and that the institution is not taking appropriate action to prevent such violations, a penalty appropriate for a major violation may be imposed.

A major violation as defined in Bylaw 19.02.2.2, is any other violation, specifically those that provide an extensive recruiting or competitive advantage. Repeated secondary violations by a member institution may be identified as a major violation.

#### III. Reporting

An individual concerned that a violation of NCAA rules may have occurred should take the following steps:

1. Recall the facts and circumstances surrounding the infraction such as:
  - ❑ date of violation;
  - ❑ individual(s) involved in the violation;
  - ❑ description of the violation;
  - ❑ reason(s) the violation occurred, and
  - ❑ a statement of actions which have been or will be taken in order to prevent a similar violation from recurring.
2. Contact the Office of Athletics Compliance and report the facts in a concise, yet comprehensive manner. Be completely honest when reporting.
3. Report the facts to your immediate supervisor (if appropriate).
4. The Office of Athletics Compliance will contact those involved and research the incident(s).
5. You may be contacted again by the Office of Athletics Compliance to respond to additional questions.
6. The Office of Athletics Compliance, upon gathering pertinent information, will prepare a report to be submitted to the NCAA and Big XII Conference Office. Certain violations are reported only to the Big XII Conference Office, which makes a semi-annual report of all such conference-member violations. Other

violations, including any that affect eligibility, are reported to the NCAA.

7. The report will include all pertinent facts, plans to prevent similar violations in the future and, if applicable, actions CU will self-impose with respect to the infraction. If the eligibility of a student-athlete or prospect is affected by the violation, CU will, if deemed appropriate, request re-instatement of eligibility in such a report. The report is copied to CU's Faculty Athletics Representative, the CU Chancellor, the Commissioner of the Big XII Conference and the involved CU staff members or Head Coach of the involved student-athlete/prospect.

8. In eligibility cases, the NCAA Eligibility Re-instatement Committee will respond in regard to the restoration of the individual's eligibility and any penalty that must be served prior to reinstatement.

9. After reviewing actions taken by CU with regard to the infraction, the NCAA Enforcement Department will respond in regard to the appropriateness of those actions, if applicable.

10. The involved parties will be informed of the responses from both the NCAA and the Big XII Conference Offices.

In addition, the NCAA reserves the right to impose a number of additional disciplinary measures against the institution, staff, and/or enrolled student-athletes. A representative of the institution's athletics interests involved in a major violation may be disassociated from the athletics department on a temporary or permanent basis.

The Big XII Conference rules allow for sanctions of member institutions, including forfeiture of contests and revenues.

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.

Each spring, the coach provides scholarship renewal and nonrenewal information to the Athletics Financial Aid Coordinator, who then verifies compliance with sport scholarship limits and six-year clocks. The scholarship data is forwarded to the Office of Financial Aid. The Office of Financial Aid prepares athletic aid renewals and nonrenewals, which are sent to the student-athletes by July 1.

The Registrar's Office flags all student-athlete records in order to monitor full-time enrollment and all financial aid. The Athletics Financial Aid Coordinator meets with the Office of Financial Aid to assist in packaging student-athletes athletic aid.

The Office of Financial Aid sends a weekly report to the Athletics Department listing all student-athletes who receive any type of financial aid. The Athletics Financial Aid Coordinator enters athletics, institutional and Federal aid into the NCAA Compliance Assistant software.

The Office of Financial Aid reviews all outside aid and forwards certification to the Athletics Financial Aid Coordinator. The Financial Aid Coordinator determines whether the student can accept the aid, based on the classification of the aid and whether it affects team limits.

The Athletics Financial Aid Coordinator completes NCAA squad lists and reviews the lists to ensure compliance with institutional/individual limitations.

Office of Financial Aid Athletics Compliance Responsibilities:

- Confirm that all awards granted to student-athletes meet federal, state, institutional, conference and NCAA Requirements
- Organize and participate in the financial aid appeal process
- Designate one person as the liaison between the Office of Financial Aid and the Athletic Compliance Office

**Office of Financial Aid Liaison Responsibilities:**

- Confirm athletic financial aid amounts with the Financial Aid Compliance Coordinator
- Assemble financial aid packages and award aid
- Review student-athletes' accounts on a regular basis and make necessary adjustments
- Adjust student-athletes' budgets as needed
- Ensure the student athlete's eligibility to receive athletic financial aid
- Certify student-athletes' outside aid
- Add and remove stops on all student-athlete records
- Calculate and approve permissible refunds for all student-athletes
- Attend Compliance Roster meetings for each team once per semester
- Determine and send the required notification when athletic financial aid is renewed, not renewed or cancelled before July 1 (or in the spring semester, prior to awarding aid)
- Determine interim cancellation of aid notification as needed
- Review and sign non-counter certification forms
- Produce the "NCAA Report" and "Pell Report" and provide them to the Financial Aid Compliance Coordinator on a regular basis
- Review and sign Special Assistance Fund applications
- Participate in the financial aid appeal process

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.

Annually, each coach is provided a 3-ring binder for tracking his or her recruiting actions. The binder contains a Policy and Procedure Manual, as well as the required forms related to recruiting information. The coaches are required to log their weekly telephone calls as well as their contacts and evaluations of Prospective Student-Athletes ("PSAs") via computer software on their PDA. In addition, forms track official visit information, including an Official Visit Summary. These forms require the coaches to identify all aspects of the PSA's visit, including dates of the visit, dining (the place, who attended, the cost and who paid), lodging, travel expenses, student-host name, and complimentary passes. Coaches also must document unofficial visits, including the fact that the team paid no expense(s) on behalf of the PSA.

Along with the Official Visit Summary, coaches also are required to complete an Official Function Summary, which must be filled out if an Official Function form is used. Thus, for any social event, which under University policy requires the filing of an Official Function form, the summary must be completed (., annual examples of social events include team banquet, team dinners, among others.). This form is used to document: (1) where the food was consumed (e.g., hotel, restaurant), (2) the total cost, (3) the names attendees, and (4) who paid for the event.

The Compliance office reviews each coach's recruiting documentation every 3-5 weeks to ensure the forms and PDA information are filled out properly and in a timely manner. At that time, compliance staff meet with the coach to address any deficiencies in the recruiting materials and to answer any questions about the compliance notebook or procedures, recruiting issues, or NCAA rules.

All Official visits must be approved by Compliance staff before the PSA is permitted to visit campus. The coach is responsible for submitting the PSA's transcript, test scores, core form (completed by Academics), Travel Authorization ("TA") and Official Function Form to the Compliance office. Compliance staff reviews the package, and, if complete, send a pre-visit letter to the PSA, approve the TA and forward it to the

appropriate administrator.

All private plane use for recruiting purposes must be recorded, regardless of whether the private plane is owned by CU or donated for institutional use. There are two separate forms: one for transporting recruits and one for transporting coaches. Both forms require the coaches to list all passengers on the plane (and their relationship to the CU program), the owner of the plane and its hangar location, the pilot, departure/arrival date and time, and whether a gift-in-kind was given by the donor. The form for transporting recruits also requires the submission of the charter rate per Bylaw 13.6.2.3.3.

The coach is required to complete the appropriate form for private plane usage and submit copies to the business, development, and compliance offices. The business office is responsible for ensuring that the proper form is submitted with a coach's expense form if no transportation expenses are listed. The development office is responsible for issuing a gift-in-kind receipt to the donor for the use of a plane. The copy to the Compliance office is used to confirm that all information was properly supplied. A copy also is kept in the coach's compliance notebook.

The compliance notebooks are collected at the end of the academic year. After a review to ensure that all forms have been properly completed and signed, the recruiting information is removed from the notebook and maintained in the compliance office. New forms are placed in the book, which is returned to the coaches for the following year's recruiting cycle.

### Official Visits

#### University of Colorado-Boulder Recruiting of Prospective Student-Athletes

The NCAA has adopted the following prospect student-athlete recruiting philosophy and it shall be the foundation for the University of Colorado's recruiting process:

*Recruiting visits bring a prospective student-athlete (and frequently parents) to the University of Colorado (CU) campus, fundamentally, to allow a mutual exploration by the prospective student-athletes and institutional officials (especially athletics personnel) of whether CU and the prospective student-athlete are a good fit for each other. While the primary emphasis during these visits is often athletic, the premise for them must be that the student-athlete is making a decision about where to pursue his or her athletic and academic future.*

The primary consideration, therefore, in selecting activities for these visits should be to provide information that will assist the prospective student-athlete and his/her family in making that decision. Behavior that would not be acceptable in the recruitment of a non-athlete prospective student has no proper or acceptable justification simply because the recruiting involves athletics. This principle applies equally to the structured activities of transporting, informing, lodging, feeding, and entertaining the prospects making a campus visit, as well as to the unstructured activities when prospects are often under the guidance of player-hosts. It is CU's intention to eliminate any form of recruiting abuses, to investigate all complaints or allegations of recruiting improprieties, and to take immediate and appropriate disciplinary action if violations of NCAA legislation, CU Codes of Conduct or state criminal statutes occurred. In addition, CU precludes support organizations' involvement in recruiting prospective student-athletes, other than any established for all students and controlled through the campus administration.

The CU staff intends to promote an official campus visit experience that serves the academic and athletic missions of the institution and to assure a public confidence in the integrity of the recruiting process. The recruiting process offers an avenue to extend athletic participation beyond high school, but a more important goal is that student-athletes contribute constructively to the academic mission of CU and in turn, benefit by gaining knowledge and tools through education and athletics participation in preparation for their vocations and future contributions to society.

## Recruiting Principles

- Prospective student-athletes and their families should be afforded the opportunity to fairly and ethically assess their opportunities for academic and athletic success and integration into the collegiate experience, a shared responsibility by all participants with minimal emphasis on preferences or inducements.
- CU should be afforded the opportunity to fairly and reasonably evaluate a prospective student-athlete for admission and participation in the intercollegiate program.
- CU has established a set of principles and guidelines for the conduct of the recruiting process with full regard for reasonable and acceptable forms of behavior.
- Principles of institutional and personal accountability will be maintained and a set of internal controls is in place sufficient to monitor compliance and ensure public confidence.
- The provision or use of alcohol, drugs or sex in recruiting shall not be tolerated and will result in disciplinary action.

## CU Recruiting Visit Practices

- Football recruiting practices are governed by the campus 2004 Athletics Reorganization Action Plan and the CU Football Handbooks.
- Every prospective student-athlete visiting CU at the University's expense will be evaluated academically by the Office of Academic Support Services for his/her potential for admission to CU and by the Director of Enrollment Services or her staff for projected performance as a CU student. Official visits will be structured to allow for a meeting by the prospect with an Athletics academic advisor and/or a college advisor or professor for discussions surrounding the prospect's academic goals and the University and NCAA requirements for academic success.
- Every prospect will receive a letter from CU prior to the official visit regarding expectations for behavior during their visit to our campus [Attachment C]. Every prospect who makes an official visit will sign a declaration of adherence to our recruiting policies and NCAA rules .
- The Athletics Compliance Office will certify every student-athlete host of a prospect on NCAA recruiting rules by before serving as a host. The sport programs coaches will instruct each host in appropriate recruiting activities and behavior. Each host will sign a statement after each official visit attesting that all rules were followed during his/her hosting of the prospect. Hosts or the coach supervising the visit will be required to account for all entertainment expenditures during the visit and will provide receipts and return unused entertainment advances to the Athletics Business Office through the coaches of their sport. The Compliance Office must also certify the supervising recruiting coaches, and who must sign an agreement to abide by the CU Recruiting Policy.
- The Athletics Department will not organize host or hostess groups to help in recruiting. Teams can access the regularly scheduled Admissions office tours for unofficial or official visits. No personalized recruiting aides will be used.
- Both CU student-athletes and prospects will be notified by the Compliance Office process and by the head coach of the relevant sport that the following expectations apply during visits to the CU campus:
  - No use of alcohol.
  - No use of drugs or sex as a recruiting device.
  - No activity that violates criminal law.
  - No gambling/gaming activities.
  - No use of strippers, gentlemen's club or an equivalent, or escort services.

- No failure to return to lodging before the curfew, if applicable.
  - No activities or events at any location that may cause a perception of impropriety.
- All CU coaches bringing prospects to campus for official visits will develop the itinerary of the visits to limit unstructured time and ensure appropriate supervision of the prospects.
  - Any reports of potential sexual harassment must be reported immediately to the campus Office of Sexual Harassment and the University's policies on sexual harassment must be strictly followed by all participants in recruiting visits: <http://www.colorado.edu/sexualharassment/>
  - All funds used for the recruitment of prospective student-athletes must be accounted for through the Athletics Business Office. Funds from private sources, such as camp accounts, boosters or a coach's personal funds, cannot be used for any aspect of recruiting. Discounted or free services, such as the use of a private plane, must be approved prior to the recruitment activity as described in the Athletics Compliance Manual procedure.
  - Lodging and restaurants used for official visits will come from a list approved by the Athletics Compliance Office to meet the NCAA requirement that only "standard" facilities are used for these purposes. Only commercial, coach-class airfare and standard local transportation means will be provided for visiting prospects. Head coaches are responsible for ensuring that prospects are not provided excessive entertainment, meals, lodging or transportation.
  - Head coaches are responsible for ensuring that all monitoring documentation is complete and current. The Athletics Compliance Office is responsible for the provision of appropriate forms and checking completion of all required forms on a regular basis. Failure to maintain required documentation and/or to enforce CU's recruiting policies will result in disciplinary action and/or negative performance evaluations of each coach.
  - Coaches will conduct a formal exit meeting with prospective student-athletes and hosts to obtain information concerning the visit, including a description of activities experienced during the visit.

Violations of any of these rules will result in a report to the CU-Boulder Provost and the NCAA. Student-athletes involved in such violations will automatically be suspended from competition until the Provost or his designee reviews the incident. Violations that rise to the level of Judicial Affairs review will be forwarded to that office. CU staff members involved in any such violation will be required to submit to an immediate review by the Provost, the Athletics Director and appropriate campus officials, and may be suspended until the review is concluded. CU prospects in violation of these standards may be denied admission to CU by the Provost or his designee. It should be clear that CU will not tolerate inappropriate recruiting activities and violations may result in termination of employment, imposition of fines, and possible loss of athletics aid and participation opportunities.

The CU Athletics Department is developing a position paper that will further detail expectations for all student-athletes, including behavior in their role as recruiters. Additionally, the campus has appointed an Academic Policy Board for Athletics, which will review these guidelines. This policy and the CU Athletics Compliance Manual (located in the staff section of the department's website) will stand as the current guides for recruiters. Any changes must be approved by the Chancellor.

[This Philosophy/Policy Statement was drafted in August 2004. The Athletics Department solicited input and advice from the Boulder campus Chancellor; the Provost/Faculty Athletics Representative; the Vice Chancellor for Student Affairs, the Academic Policy Board for Athletics, all department staff at a September policy seminar, and the Athletics Executive Committee.]

**ATTACHMENTS:**        A -- Campus Reorganization Plan – Recruiting-specific changes

                              B -- Recruiting Visit Forms

## **ATTACHMENT A**

**Preliminary Action Plan for the Reorganization and Oversight of Intercollegiate Athletics**

**May 27, 2004**

### **I. INTRODUCTION**

...

**Recruiting Policies and Practices.** Recruitment policy changes are a critical part of our plan for the reorganization and oversight of athletics. Recruiting guidelines have been revised several times in recent years. Further reforms were announced in March 2004, as part of a new model for football recruiting practices. These revisions are intended to provide a full opportunity to determine whether the campus and the prospective student athlete are a good fit for each other -- from an academic, athletic and personal character perspective. (Specific actions are provided in [Attachment A](#).) In summary, the recruitment guidelines will:

- Strengthen, clarify and communicate behavioral expectations for football recruiting visits, with clear notification provided to recruits and their parents
- Change the schedule and timing of recruiting visits
- Require adult supervision of recruits during the entire visit
- Prohibit participation in private parties
- Establish an earlier curfew for the overnight stay
- Require exit interviews with visiting recruits
- Involve faculty in official recruiting visits

...

**Principle C: Coaches in all programs will take responsibility for ensuring that student athletes are informed of and understand the expectations of being a CU-Boulder student athlete. Coaches will:**

1. Comply with recruitment policies articulated for each sport, including the revised football recruitment policies announced in March 2004
2. Reinforce efforts to educate student athletes about making good choices related to alcohol and drug use, sexual activity, and other behavior
3. Model and teach the behavioral standards expected of student athletes
4. Support the full implementation of -- and student-athlete participation in -- the department's Life Skills program, which provides support for student athletes' academic and athletic performance, personal and career development, and commitment to service
5. Develop a clear understanding of NCAA and conference regulations, team rules and the campus Student Code of Conduct
6. Address, document and report in a timely manner all student-athlete violations of team rules, NCAA and conference regulations and the Student Code of Conduct
7. Comply with all the general responsibilities expected of coaches, including those articulated in the Arizona Accord, a set of ethical principles
8. Recruit student athletes who will be positive representatives of the University and can meet academic, social and athletic expectations
9. Be committed to and participate actively in the academic success of student athletes
10. Ensure that coaches' staff members are fully informed of and help promote behavioral standards and expectations

11. Participate in annual performance evaluations that include compliance with the expectations listed above, in addition to those related to teams' academic and athletic performance

Principle D: The operation of the department will be conducted in an ethical and effective manner that complies with all relevant policies and practices. Decision-making will be based on:

1. Full compliance with NCAA, State of Colorado, and University policies as they pertain to the department's fiscal operations, employee hiring, and personnel practices
2. Creating a supportive atmosphere for all people, including women and people of color, in order to enhance equity and diversity within the department
3. Open and fair personnel search processes, with meaningful involvement by faculty, staff and students
4. An understanding of current research, policies, practices, and protocols related to sexual harassment, diversity, gender equity, substance abuse and other issues, with appropriate training provided for coaches, departmental staff and student athletes

...

**Alcohol and Substance Abuse.** Alcohol initiatives announced in April 2004 include more intensified research on alcohol issues on college campuses, expanded education and intervention programs, and strengthened campus sanctions for violations of alcohol rules and laws. The initiatives will be implemented by fall 2004. Under the direction of the Vice Chancellor for Student Affairs, the campus also will work with the Boulder community in developing more effective measures to address issues related to substance abuse.

**Sexual Assault/Harassment.** Violence against women is abhorrent to the values held by the University of Colorado at Boulder. Concern for the safety and welfare of women must be a high priority in efforts to create a supportive environment for learning, living and working. Discussions with faculty, staff and students have identified a number of initiatives aimed at addressing these serious issues.

Specifically, we will commit necessary resources to raising awareness of sexual assault issues and reducing the number of incidents on the Boulder campus. We do not tolerate violence against women in any area of campus life. We are committed to providing supportive resources for women who report incidents of sexual assault and sexual harassment.

In March 2004, a group of faculty, staff and students was formed to help enhance educational programming on these issues. The group was charged with:

- Reviewing current programs and initiatives
- Identifying gaps in programming, services, and educational efforts
- Making recommendations for enhanced educational programs, services and training

The committee includes representatives from such groups as the Boulder Faculty Assembly, Student Affairs, New Student Orientation, CU Rape and Gender Education Program (COURAGE), Interactive Theatre Project, Office of Victim Assistance, Office of Judicial Affairs, Life Skills Program, Women's Resource Center, student government, Office of Sexual Harassment Policy and members of the SAFE-T student group. Discussions to date have focused on such initiatives as:

- Design and delivery of focused educational efforts directed toward men
- Revision and enhancement of new-student orientation programs to include initial sessions on student responsibilities and expectations in the area of sexual assault/harassment
- Enhanced and expanded First-Year Programming as students begin their academic careers

...

**ATTACHMENT A**  
**Football Recruitment Policy Changes**  
**March 8, 2004**

**Summary**

Recruitment guidelines at the University of Colorado at Boulder have been revised several times in recent years. Changes were made in 1998 and again in 2002, resulting in improvements and further strengthening of expectations. Further revisions were announced on March 4, 2004, as part of a new model for football recruiting practices.

In summary, the new model will:

- Strengthen and clarify behavioral expectations for recruiting visits
- Change the schedule and timing of recruiting visits
- Require adult supervision of recruits during the entire visit
- Prohibit participation in private parties
- Establish an earlier curfew for the overnight stay.

**Revised Guidelines**

Specific guidelines within the new model include:

- The Head Football Coach will continue to communicate the recruiting guidelines to student-athletes.
- Football recruiting visits to campus will occur primarily after completion of the regular football season, with only a few exceptions such as visits by local recruits or other extraordinary circumstances approved by the Chancellor.
- Prior to the visit, prospective student-athletes, parents, and high school coaches will continue to receive letters explaining all expectations, including behavioral standards.
- Recruitment visits will be limited to one overnight stay, rather than the current two-night stay.
- Prospective student-athletes will be supervised by their parents or a designated coach from the time of arrival until departure. The involvement of player hosts will be discontinued.
- On the night of arrival, curfew will be set at 11:00 p.m., rather than the current 1:00 a.m. curfew, and will be documented by a designated coach.
- Recruitment day will be scheduled and supervised by Athletics Department staff and will include:
  - Breakfast with coaches and players
  - Meetings with faculty members and academic advisors
  - Review of campus academic expectations, support services and sportsmanship issues
  - Review of campus and program policies, processes and expectations regarding responsible alcohol use, sexual and other assault, date rape, sexual harassment, and all aspects of the Student Code of Conduct
  - Meetings with football staff, departmental staff and players
  - A mandatory exit interview will be held with each recruit who visits the campus.
  - Departure for home in the late afternoon or evening of the recruitment day.
- Recruits already are prohibited from using alcohol or drugs. They also are specifically prohibited from attending private parties or entering bars or strip clubs.
- All activities attended by recruits will be planned, approved and supervised by a designated coach.
- Coaches, student athletes and recruits continue to be required to adhere to all NCAA regulations prior to and during a recruiting visit.

**Enforcement of Recruitment Guidelines**

Sanctions for violations will be strengthened and clarified for all involved in the recruitment process.

Specific sanctions include:

- Any prospective student-athlete violating recruitment guidelines will not be admitted to the University.
- Violations by current student-athletes or coaches will result in disciplinary action appropriate to the level of severity of the violation.

- Any violation of the CU-Boulder Student Code of Conduct by current student-athletes will be referred immediately to the campus Office of Judicial Affairs for prompt investigation and adjudication.

**ATTACHMENT B**  
**Visit Recruiting Forms**

*Pre-Visit Letter to Prospects*

Dear <prospect's name>:

Congratulations on your upcoming official visit to the University of Colorado! This visit will be a great opportunity for you to get to know the University, Athletics Department and the great town of Boulder. The purpose of this letter is to inform you of the expectations we have for all prospective student-athletes who come to visit and all student-athletes who are a part of the CU family.

As a prospective student-athlete visiting CU, you will be required to abide by the same rules and code of conduct as the students who are already here. During your visit a member of our coaching staff will supervise you and you may have a student-athlete as your host. More specifically, the following expectations will be placed upon you and your student-athlete host during your visit:

- No use of alcohol or drugs.
- No activity that violates criminal law.
- No gambling/gaming activities.
- You must return to your lodging before curfew, if applicable.
- Do not attend an activity or event at any location that may cause a perception of impropriety.
- All entertainment arranged for you by our staff during your visit will meet the University's expectations of appropriate activities and NCAA rules; you and/or your student-athlete host should always follow the staff's directions for activities during your visit.

Additionally, attached you will find the most recent graduations rates report for CU. Student-athletes who exhaust their NCAA eligibility at CU graduate at an 80% rate. You can read about every school's graduation rates at: <http://www.ncaa.org/govfrontF.html>

Remember that one of the reasons CU has recruited you is because our coaches feel you have outstanding character and integrity. The players, coaches, staff and other CU students look forward to seeing these attributes in you while you are on your official visit. Please let your recruiting coach or me know if you have any problems or questions about your visit.

Go Buffs!

Lindsey K. Babcock  
Assistant Director of Compliance



**PROSPECT DECLARATION**

*This form must be completed and signed by the prospect at the conclusion of an official visit to the University of Colorado. Each CU coach responsible for the recruitment of this prospect must conduct an exit interview with the prospect about the visit.*

I, \_\_\_\_\_, completed an official visit to the University of Colorado-Boulder on the following

(Print Prospect Name)

dates: \_\_\_\_\_.

(Print Date of Official Visit)

By signing below, I affirm that I have not:

- Received transportation to and from the campus in excess of my actual round-trip transportation costs on a direct route between my home (or site of my athletics competition or educational institution) and the CU-Boulder campus.
- Had any knowledge that my friends or relatives received reimbursement or cost-free transportation or travel expenses.
- Received an automobile for use by my relatives, my student host or myself.
- Received paid expenses for my return trip home if I am remaining in Boulder area after the official visit has ended.
- Received an actual hard ticket for admission to a CU athletics contest.
- Received souvenirs (e.g., T-shirts or other institutional mementos) purchased by a student host or other individuals entertaining me or given to me as gifts from CU staff, students or boosters/donors/mentors.
- Received athletics gear at a reduced rate or at no cost.
- Been entertained outside a 30-mile radius of CU’s Boulder campus.
- Received cash for entertainment purposes.
- Been provided alcohol, drugs, strippers or sex as a recruiting device or visited a “gentlemen’s club” or the equivalent during my visit.
- Had in-person contacts with athletics boosters/donors/mentors on or off CU’s campus.
- Participated in physical workouts or other athletic activities that were observed by a coaching staff member.
- Participated in any activities that violate criminal law, activities or events at any location that may cause a perception of impropriety, or gambling/gaming activities; or returned to my lodging after any CU-imposed curfew.

\_\_\_\_\_  
Prospect Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Recruiting Coach Signature

\_\_\_\_\_  
Date



## STUDENT HOST FORM

Prior to serving as a student host the student-athlete must be certified through the Compliance Office. A student host is required to adhere to the laws of the State of Colorado, the NCAA, the Big XII Conference, and the University of Colorado.

1. The following expectations apply during any prospects' visit to the CU campus:
  - No use of alcohol.
  - No use of drugs or sex as a recruiting device.
  - No activity that violates criminal law.
  - No gambling/gaming activities.
  - No use of strippers, gentlemen's club or an equivalent, or escort services.
  - No return to lodging after the curfew, if applicable.
  - No activities or events at any location that may cause a perception of impropriety.

Violations of any of these rules will result in a report to the CU-Boulder Provost and the NCAA. Student-athletes involved in such violations will automatically be suspended from competition until the Provost or his designee reviews the incident. Violations that rise to the level of Judicial Affairs review will be forwarded to that office. CU staff members involved in any such violation will be required to submit to an immediate review by the Provost, the Athletics Director and appropriate campus officials, and may be suspended until the review is concluded. CU prospects in violation of these standards may be denied admission to CU by the Provost or his designee. It should be clear that CU will not tolerate inappropriate recruiting activities and violations may result in termination of employment, imposition of fines, and possible loss of athletics aid and participation opportunities.

2. You must be enrolled in a full-time program of studies at the University of Colorado-Boulder and a current student-athlete. Football student-athletes do not serve as hosts.
3. A maximum of \$30.00 per day may be provided to cover the entertainment expenses of both yourself and the prospect. You may be provided with an additional \$15.00 per day for each additional prospect entertained by you. The money provided may only be used to entertain you, the prospect, the prospect's parents (legal guardian) or spouse. Other students may assist with the hosting of the prospect but shall pay for their own entertainment. No cash may be given to the prospect or anyone else.
4. You may not use the entertainment funds to purchase, or otherwise provide the prospect with, gifts of value (e.g., souvenirs, clothing, etc.).
5. You may not use any vehicle provided or arranged for by any institution staff member, booster or representative of our athletics interests.
6. You may not transport the prospect or anyone accompanying the prospect more than 30 miles from the campus.
7. You should not allow any conversations to occur, on- or off-campus, between the prospect and a booster/donor/mentor of the athletics program. If an unplanned meeting occurs, only an exchange of greetings is permissible.
8. You may receive a complimentary admission to a home athletics contest when accompanying a prospect.

9. Neither you nor the prospect can pay for additional entertainment above and beyond the \$30/day provided to you by the Athletics Department.
10. At the conclusion of the official visit you must account for all of the money you received by either providing a receipt and/or returning any remaining money.

Prospect's name: \_\_\_\_\_

Student host's name: \_\_\_\_\_

Date(s) of visit: \_\_\_\_\_

Amount provided to the host: \_\_\_\_\_

By signing below, I affirm that I have been certified by the Compliance Office to serve as a student host and I have read and understand the above instructions. I hereby acknowledge the receipt of the amount of student host money listed above and I understand that improper use of these funds may render me ineligible for competition.

\_\_\_\_\_  
Student Host (Sign)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Recruiting Coach (Sign)

\_\_\_\_\_  
Date



### 2004-2005 OFFICIAL VISIT SUMMARY

#### General Information

Prospect Name: \_\_\_\_\_ Sport: \_\_\_\_\_

Arrival date/time: \_\_\_\_\_ Departure date/time: \_\_\_\_\_

How was the prospect transported to the Boulder area? \_\_\_\_\_

If applicable, how was the prospect transported from the nearest airport/train station/bus station to campus, and who provided that transportation? \_\_\_\_\_

Student-Host Name: \_\_\_\_\_ Was the host certified? YES NO

Did anyone accompany the prospect on the visit? YES NO If yes, please list them below.

Name: \_\_\_\_\_ Relationship: \_\_\_\_\_

Name: \_\_\_\_\_ Relationship: \_\_\_\_\_

Name: \_\_\_\_\_ Relationship: \_\_\_\_\_

Lodging (*All lodging must be provided either on campus or at a previously approved hotel*)

Was lodging provided en route to/from campus? YES NO If yes, where? \_\_\_\_\_

# of nights: \_\_\_\_\_ # of rooms: \_\_\_\_\_ # of people per room: \_\_\_\_\_ Total cost: \_\_\_\_\_

Who else stayed in the room? \_\_\_\_\_

How was the bill paid? \_\_\_\_\_

Were incidental expenses included on the bill (if yes, explain)? \_\_\_\_\_

# of nights: \_\_\_\_\_ # of rooms: \_\_\_\_\_ # of people per room: \_\_\_\_\_ Total cost: \_\_\_\_\_

Who else stayed in the room? \_\_\_\_\_

How was the bill paid? \_\_\_\_\_

Were incidental expenses included on the bill (if yes, explain)? \_\_\_\_\_

### Complimentary Admissions

Were complimentary admissions provided? YES NO If yes, what event? \_\_\_\_\_

Who, other than the prospect, received the complimentary admissions?

Name: \_\_\_\_\_ Relationship: \_\_\_\_\_

Name: \_\_\_\_\_ Relationship: \_\_\_\_\_

Name: \_\_\_\_\_ Relationship: \_\_\_\_\_

### Meals *(All meals must be provided at a previously approved restaurant)*

Day one breakfast: Location: \_\_\_\_\_ Total cost: \_\_\_\_\_

List anyone, other than the prospect, who attended the meal: \_\_\_\_\_

Who paid for their own meal? \_\_\_\_\_

Day one lunch: Location: \_\_\_\_\_ Total cost: \_\_\_\_\_

List anyone, other than the prospect, who attended the meal: \_\_\_\_\_

Who paid for their own meal? \_\_\_\_\_

Day one dinner: Location: \_\_\_\_\_ Total cost: \_\_\_\_\_

List anyone, other than the prospect, who attended the meal: \_\_\_\_\_

Who paid for their own meal? \_\_\_\_\_

Day one snack: Location: \_\_\_\_\_ Total cost: \_\_\_\_\_

List anyone, other than the prospect, who attended the snack: \_\_\_\_\_

Who paid for their own snack? \_\_\_\_\_

Day two breakfast: Location: \_\_\_\_\_ Total cost: \_\_\_\_\_

List anyone, other than the prospect, who attended the meal: \_\_\_\_\_

Who paid for their own meal? \_\_\_\_\_

Day two lunch: Location: \_\_\_\_\_ Total cost: \_\_\_\_\_

List anyone, other than the prospect, who attended the meal: \_\_\_\_\_

Who paid for their own meal? \_\_\_\_\_

Day two dinner: Location: \_\_\_\_\_ Total cost: \_\_\_\_\_

List anyone, other than the prospect, who attended the meal: \_\_\_\_\_

Who paid for their own meal? \_\_\_\_\_

Day two snack: Location: \_\_\_\_\_ Total cost: \_\_\_\_\_

List anyone, other than the prospect, who attended the snack: \_\_\_\_\_

Who paid for their own snack? \_\_\_\_\_

*By signing below, I affirm that the information provided on this form is accurate. I am fully aware that improper recruiting behavior may not only affect the prospect's eligibility at the University of Colorado, but may also result in additional penalties placed on me and/or the rest of my coaching staff. All recruiting documentation will be provided to the Compliance Office upon request.*

\_\_\_\_\_  
Coach Signature

\_\_\_\_\_  
Date



**STUDENT HOST EXPENSES MISSING RECEIPT**

*All entertainment money provided to a student host to for purposes of entertaining a prospect on an official visit must be accounted for at the conclusion of the visit. The student host is required to return all unused money and/or receipts of money spent to their respective coach. In the event that the student-host was unable to get a receipt, or the receipt was lost, this form must be completed and sent to the business office with the remaining money and existing receipts.*

Prospect Name: \_\_\_\_\_

Sport: \_\_\_\_\_

Student Host Name: \_\_\_\_\_

Date of Visit: \_\_\_\_\_

Total amount given to host: \_\_\_\_\_

Total amount returned: \_\_\_\_\_

Total amount in receipts: \_\_\_\_\_  
\_\_\_\_\_

Difference: \_\_\_\_\_

List all expenses that are missing receipts separately. Include an explanation about why the receipt is missing:

1. Expense: \_\_\_\_\_

Total cost: \_\_\_\_\_

Business or location: \_\_\_\_\_

Explain: \_\_\_\_\_

2. Expense: \_\_\_\_\_

Total cost: \_\_\_\_\_

Business or location: \_\_\_\_\_

Explain: \_\_\_\_\_

3. Expense: \_\_\_\_\_

Total cost: \_\_\_\_\_

Business or location: \_\_\_\_\_

Explain: \_\_\_\_\_

4. Expense: \_\_\_\_\_

Total cost: \_\_\_\_\_

Business or location: \_\_\_\_\_

Explain: \_\_\_\_\_

5. Expense: \_\_\_\_\_

Total cost: \_\_\_\_\_

Business or location: \_\_\_\_\_

Explain: \_\_\_\_\_

By signing below, I certify that the information provided is truthful and honest. I understand that if I provide false information I could jeopardize my NCAA eligibility.

\_\_\_\_\_  
Student Host (Sign)

\_\_\_\_\_  
Date

**Acceptable Lodging & Meal Establishments**

<u>Restaurants</u>	<u>Hotels</u>
Boulder Cork Buff Restaurant (The Buff) Café Gondolier Casa Alvarez Chautauqua Dining Hall Cheesecake Factory Dark Horse Dave & Busters Illegal Pete's KT's BBQ La Iguana LePeep Noodles & Co. Old Chicago Olive Garden Outback Steakhouse Pressto Red Robin Sink Tom's Tavern Walnut Brewery Walnut Café	Boulder Outlook Hotel Marriott (on Canyon) Millennium Harvest House Omni
<ul style="list-style-type: none"> <li>• fast food restaurants</li> <li>• coffee and bagel shops</li> <li>• deli and sandwich shops</li> </ul>	

**UNOFFICIAL VISIT RECORD**

*This form must be completed and kept on file by the coach for all unofficial visits.*

Prospect's Name: \_\_\_\_\_

Date(s) of Visit: \_\_\_\_\_

Sport: \_\_\_\_\_

Accompanied By:

Relationship to Prospect:

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Did the prospect receive complimentary admissions?

YES NO

If yes, Number of Admissions Received: \_\_\_\_\_

Event: \_\_\_\_\_

Date: \_\_\_\_\_

Names: \_\_\_\_\_  
 \_\_\_\_\_

\_\_\_\_\_  
 \_\_\_\_\_

Was the prospect's visit unrelated to recruitment?

YES NO

If yes, briefly explain: \_\_\_\_\_

Did the prospect pay the actual cost of all meals?

YES NO N/A

Did the prospect pay the normal rate for lodging?            YES    NO    N/A

Was the prospect provided with transportation to view off-campus practice or competition sites, or other institutional facilities?            YES    NO

If yes:

1. Were the practice/competition sites in the prospect's sport?    YES    NO
2. Were the facilities located within a 30-mile radius of campus?    YES    NO
3. Did an institutional staff member accompany the PSA?            YES    NO

Was the prospect provided transportation to view a home contest?            YES    NO

**PLEASE SEE NCAA BYLAW 13.8 FOR COMPLETE RULES & REGULATIONS  
REGARDING UNOFFICIAL VISITS**

In addition to the recruitment policy, the following areas are part of the step-by-step recruiting procedures:

### Cybersports

All Coaches are required to use the Cybersports software to record contacts, evaluations and telephone calls with prospects. Data can be transferred, stored and updated on a palm pilot, which enable coaches to keep recruiting records up-to-date while out of the office. Due to the fact that information is easily accessible at all times coaches are expected to update records in a timely fashion. The Assistant Director of Compliance is responsible for monitoring all of the recruiting data on a monthly basis.

On the 15<sup>th</sup> of each month the Assistant Director of Compliance will print reports of the contacts, evaluations and telephone calls and review each record. The reports will be discussed at the coach's monthly meeting, which is to be held during the last week of the month. Subsequent to the academic year final reports will be printed, reviewed, signed by each respective coach and filed. After signed reports are received by the compliance office each sport may archive old prospect records through a work order (archived records are not deleted and may be accessed through Cybersports if needed at a later date.

### National Letter of Intent

In order to request for a National Letter of Intent to be prepared for a prospective student-athlete the recruiting coach must send the compliance office the prospect's name, social security number, address, date of birth, and percentage of scholarship in writing. The Monitoring Coordinator is responsible for keeping all records, preparing the National Letter of Intent and forwarding the information to the Office of Financial Aid's representative, who will prepare the Financial Aid Agreement. Three copies of the Letter and two copies of the Financial Aid Agreement are forwarded to the Director of Athletics (the Office of Financial Aid representative must sign the Financial Aid Agreement) for signature. After the Director of Athletics has signed all documents they are sent to the Monitoring Coordinator who will then send them to the respective coaching staff. Each sport is responsible for sending the documents to the respective prospective student-athlete.

Prospects are instructed to sign all copies of each document within fourteen days and return two copies of the National Letter of Intent and one copy of the Financial Aid Agreement to the compliance office. It is requested that each document be faxed to the compliance office after signing, but it is not required.

Upon receiving the National Letter of Intent and the Financial Aid Agreement (faxed copies can be accepted) the Monitoring Coordinator will determine if the documents have been completed appropriately and will notify the respective coach and the Director of Sports Information in writing when the Letter is declared valid. Once notification has been received it is permissible for the announcement of signing to be released. The Monitoring Coordinator will send one copy each of the National Letter of Intent and the Financial Aid Agreement to the Conference Office within one week of receiving the documents.

### Publicity Announcements

Prior to announcement of National Letter of Intent signings or walk-on additions, coaches must verify the validity of the NLI with the Compliance Officer or verify that a walk-on has been "confirmed" (the signed offer of admittance to CU) through the Office of Academic Support Services.

### Use of Recruiting Funds

Sport programs must use normal University and Foundation accounting procedures for all use of recruiting funds. Donations of services and equipment for use in recruiting (i.e., private plane usage by coaches to make evaluation trips) are coordinated through the Foundation.

### Designation of Recruiting Days

Sport programs with recruiting day limits are required to notify the Compliance office in writing prior to the beginning of the current recruiting year which days the staff will use for evaluations and contacts.

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.

**All institutional camps and clinics, and employment at a non-institutional camp/clinic, must be approved by the Compliance office before the camp/clinic session takes place. In addition, the detailed management of each institutional camp/clinic must be documented with Compliance staff following its completion.**

**Institutional camps are run by the individual coaches in their respective sport. At the start of the spring semester, Compliance staff meet with the Camp Directors to review NCAA and institutional camp rules, the employment of student-athletes at the camp, camp brochure content, and the forms that must be completed prior to, and following the completion of, the camp. Camp Directors notify Compliance staff regarding the date(s) of their respective camps. At this meeting, questions are addressed in regards to the rules and procedures to be followed, and copies of applicable rules and NCAA interpretations are distributed. Camp directors are encouraged to communicate with Compliance staff at any time about questions that might arise.**

**Before the camp begins: Prior to the printing of the camp brochures, a copy must be submitted to Compliance staff for approval. In addition, in accordance with NCAA rule 13.13.2.1.5(b), a list of student-athlete employees and the amount each will be paid is submitted to Compliance office for approval prior to the start of the camp. Compliance staff reviews camp/clinic regulations and required forms with the Camp Directors annually.**

**Following the completion of the camp: Each Camp Director is required to submit fully executed forms detailing the management of the camp, including, but not limited to: who attended, what each participant paid to attend, any discounts and/or refunds given (and the reason), facilities used, merchandise given, who was employed, and the amount each employee was paid.**

**To help ensure that all sports camps and clinics at CU-Boulder comply with applicable NCAA rules, the campus has established the following procedures for the request and approval of camps and coaches' clinics:**

- 1. Sports Camp/Clinic Brochure Approval:** Each coach/camp director must submit to the Compliance Office a copy of the proposed camp/clinic brochure prior to printing the brochure. Remember, the NCAA interpretation has been that anything germane to the camp may be included in the camp brochure. For example, a listing of the accomplishments of the coach who conducts the camp would be permissible. The brochure should not serve as a recruiting brochure (e.g., a schedule of your upcoming season, references to teams' accomplishments, and names of All-Americans not germane to the camp!).
- 2. Pre-approval Form for Employment of CU student-athletes at Institutional Sports Camps/Clinics:** This form should be completed by each coach who will employ a CU student-athlete at a sports camp/clinic and must be submitted to the Compliance Office prior to the start of the camp/clinic.
- 3. Coaching Clinic Approval Form:** This form must be completed by any coach who will be sponsoring a coaching clinic and submitted to the Compliance Office for approval prior to the clinic.
- 4. Institutional Sports Camp/Clinic Report Form:** This form must be completed by each coach sponsoring an institutional sports camp/clinic and submitted to the Compliance Office at the conclusion of the camp/clinic. One form is to be completed for each camp/clinic session.
- 5. Non-CU Sports Camp/Clinic Employment Information:** This form should be completed by any coach who will be employed at a non-institutional sports camp/clinic and submitted to the Compliance Office for approval prior to that employment.

Camp Directors meet annually in January with the Athletics Compliance staff to review all rules and forms. Camp financial records are subject to audit by the University.

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).

Below are listed the step-by-step procedures that include specific responsibilities pertaining to rules compliance in other areas. Details of these responsibilities can be found in the CU Compliance Manual. The Manual can be found on the Athletics Department website: [www.cubuffs.com](http://www.cubuffs.com) The path to the manual is Athletics Department/CU Staff [password BUFFSTAFF].

#### Amateurism/Agents

At the start of each academic year, each student-athlete (SA) is advised regarding the NCAA amateurism requirements and is required to complete a questionnaire designed to determine whether the SA may have jeopardized his/her amateur status. The SA must certify the accuracy of the answers. If any of the responses gives cause to believe that the SA may have compromised his/her amateur standing, the SA is not certified for practice or competition until the Compliance office has fully investigated the issue.

Foreign SAs must complete the NCAA's General Amateurism and Eligibility form prior to certification. Every effort is made to have the international SA complete the form before arriving on campus (either via the coach or Compliance). Upon receipt, Compliance staff reviews the completed form and may ask the coach to obtain additional information from the SA to ensure eligibility. A supplemental questionnaire may be required if additional information is needed to complete the investigation.

During the annual team meeting, all SAs also are required to complete an Agent Disclaimer form and verify the veracity of the answers. Again, if there are questions that would bring a SA's eligibility into question, the SA is not certified until all issues are investigated and resolved.

Compliance staff requests that agents seeking to represent enrolled SAs submit copies of correspondence that they intend to send to the SA. Compliance will answer any questions from either the SA or the agent regarding NCAA rules and/or the propriety of any proposed action. Compliance works with the coaches to educate the SAs on the ramifications of contracting with, or accepting benefits from, an agent. Additionally, SAs with exhausted eligibility are required to complete an Extra Benefit Disclaimer, stating that they have neither signed with an agent nor received any extra benefits from anyone (including agents), before they are allowed to receive their monthly room-and-board check.

#### Awards

Following the conclusion of the sport season, each head coach is responsible for notifying Compliance staff of the team members who will receive participation awards and the appropriate level of award to be issued. Upon receipt of this information, Compliance staff issue to the SA a notecard that indicates the level of participation award. The SA then submits this notecard into the equipment room and receives his/her award.

The coach (or designee) also must submit an award form(s) listing all awards given to members of the team. Specifically, the form must list who received an award, the reason for the award (e.g., participation, senior, MVP, etc.), the award given and the cost of the award. The coach is responsible for ensuring that the total awards given to any one player do not exceed the NCAA maximum limit. Compliance staff reviews the award forms to confirm that all awards are permissible.

#### Benefits: Incidental expenses, Team Travel/Meals

The business office is responsible for reviewing expense reports and submitted credit card bills to ensure that no prohibited (either by the state or by the NCAA) expenses are paid.

SAs receive either three meals per day or a per diem if one (or more) of the meals is missed due to athletic commitment (e.g., competition). Per diems are provided in accordance with the state or NCAA limit, and each SA must sign for the money, verifying receipt and amount thereof. The Athletics department business

office is responsible for compliance on these procedures. If questions arise, Compliance staff are consulted as needed.

Compliance staff process all incidental expense waivers. If the expense fits within the parameters approved by the NCAA, the expense is permissible. Before payment is made, however, the CU business office must receive approval from the appropriate athletics administrator to pay the expense. Once CU has approved payment, Compliance staff complete the appropriate form and forward copies to the Director of Athletics, the Faculty Athletic Representative and the Big 12 Conference office, and retain a copy for office files.

### Complimentary Admissions

The Ticket Office is responsible for monitoring complimentary admissions procedures for enrolled SAs, coaches, and recruits.

**Student-Athletes:** Football, Basketball, and Volleyball players are entitled to complimentary admission for games of their sport for up to four guests of their choice. The player must be eligible for the game for which they are requesting admissions. Football players must personally submit names of their guests through the Ticket Office. The deadline for sign-up is noon on the last business day before the game. After the noon deadline for Football, no alterations or substitutions may be made to the list of players' guests. The Basketball and Volleyball offices are responsible for the player guest sign-up.

Per NCAA Bylaw 16.2.1, guests of players are required to provide photo identification and sign for their admission. Guests must immediately enter the gates upon receipt of their ticket to prevent misuse of complimentary admission.

For enrolled SAs not on the competing team, complimentary admissions are provided for ticketed regular season athletic events. The Compliance Office provides the Ticket Office with a list of eligible athletes. This list is updated by Compliance as changes occur. Student-athletes present their student identification and sign a verification list at the pass gate before being issued their complimentary admissions. Reserved seat tickets are issued for football games. Student-athletes are given general admission for men's basketball. No sign-in is required for volleyball matches or women's basketball games; all CU students get free admission to these events.

**Recruits:** Requests for complimentary admission for high school recruits come to the Ticket Office from the office of the sport that is recruiting the athlete. At the event, the recruit must present photo identification. Each recruit can receive up to three complimentary admissions.

The Compliance staff should be consulted if there are any questions regarding complimentary admissions. In addition to the roster updates, Compliance staff communicate with the ticket office at least once per semester to verify that there are no outstanding issues that need to be addressed.

### Student-Athlete Employment

Compliance staff meet with each SA prior to the SA participating in his/her sport. At the initial meeting (which may be a team meeting or an individual meeting), the SA receives information about the NCAA rules governing SA employment during the academic year and the requirement that all paperwork be completed prior to commencing employment. At this meeting, SAs also are required to complete a form listing where they worked during the summer and whether (and, if so, where) they intend to work during the academic year.

During the academic year, Compliance maintains contact with the SAs (SAs must confirm their employment status prior to receiving their monthly room and board check) and the coaches (coaches are required to meet with each SA each semester to verify employment status). In addition, informational letters are sent to local employers detailing the NCAA rule on SA employment. The Compliance office maintains a spreadsheet listing working SAs, their place of employment and their earnings limit.

Similarly, fee-for-lesson activities must receive prior approval from the Compliance Office and income

reported on a monthly basis.

### **Other Eligibility Issues**

The Executive Director for Enrollment Management, who also is the Certifying Officer, supervises the Herbst Academic Center. The Director of Academic Support Services (“Academics Director”) is responsible for monitoring both initial and continuing eligibility. Unique questions and/or issues are brought to the Certifying Officer before the SA is certified as eligible to practice or compete.

**Initial Eligibility.** The Academics Director (or his designee) monitors the Clearinghouse website and notifies coaches of any missing materials required to complete the PSA’s certification. Coaches and Compliance staff are kept informed regarding each PSA’s status. PSAs are added to the institutional request list upon receipt of their recruiting portfolio.

**Continuing Eligibility.** To monitor the SAs’ continuing eligibility, the Academics Director submits a Satisfactory Progress Toward Degree worksheet to the Dean’s office of the college in which each SA is enrolled. These worksheets, which are sent after the final day to add courses, list all classes for which the student is registered. The assistant dean reviews the SA’s classes, indicates which classes are degree-applicable, and the minimum grade required. The Academics Director tracks the sheets for all SAs and compiles the information pertaining to each SA’s progress.

The Herbst Academic Center maintains regular contact with the assistant deans to ensure that the information on file is accurate. Further, when a SA changes majors, the appropriate dean performs a new evaluation. A new worksheet is submitted to the Academics Director, who enters the corrected information into the database.

The Academics Director also is responsible for ensuring that each student-athlete is enrolled in classes as a full-time student. To monitor this, as well as to make sure that an SA does not drop necessary degree-applicable courses without appropriate counsel, the Registrar has implemented a program to block SAs from dropping courses without first obtaining approval from their academic advisor within the Herbst Academic Center.

**Walk-on, Transfer, International, and Returning SAs.** Walk-ons, transfers, foreign students and returning SAs (away from campus one semester or more) are required to complete a Checklist form. The Checklist, administered through the Compliance Office, details the SA’s athletic and academic history, and is used for cross-checking eligibility for roster, participation and eligibility reports, as well as ensuring completion of all required documentation prior to the individual practicing or competing for CU.

### **Financial Disclosure Form--Men’s Basketball**

The Athletics Compliance Office works with the Men’s Basketball staff, Athletics Business/Facilities Office and other campus resources to complete the requirement for financial disclosure.

### **Memorabilia Requests**

The office of the Athletics Director processes all requests for memorabilia. All requests are submitted, in writing to the AD’s office, where they are evaluated to determine whether they are consistent with NCAA rules and established CU guidelines. The AD’s office consults with Compliance staff if there is a question on whether the memorabilia can be provided in accordance with NCAA rules.

All donations are logged into a spreadsheet, with the overall list retained in the AD’s office. Compliance staff are available to answer any questions that come up throughout the year, and meet with the AD’s office personnel annually to review the documentation.

### Outside Competition

At the annual team meetings in the fall, Compliance staff review the outside competition restriction with all SAs. It is the coaches' responsibility to make certain that their athletes do not compete in violation of the NCAA rules during the academic year. Compliance staff periodically check with the coaches to determine whether the SAs are involved in any such outside activities.

Each spring Compliance sends a reminder to the head coaches of volleyball and soccer that their SAs are not permitted to participate on an outside team after May 1 and prior to the completion of final exams, without prior approval by the Athletics Director. Coaches must supply their SAs with a copy of the Bylaw.

In addition, Compliance staff send a detailed memo to the basketball programs explaining permissible outside competition for basketball SAs and the requirement that the SAs obtain prior approval from the Athletic Director before competing on an approved summer league team.

### Outside Income

In accordance with the requirements of NCAA Bylaw 11.2.2, the Athletics Director's office is charged with tracking athletically related income of the department's staff members (excluding secretarial and clerical personnel) and obtaining the necessary approval from the Chancellor.

Compliance staff send the Athletics Director's administrative assistant the proper forms, rule language and applicable interpretations, who in turn forwards this material to the athletics department staff members. Each staff member completes the form and returns it to the AD's office. Once all forms have been received, the administrative assistant sends copies of all forms to the Chancellor, along with a signature page for approval. The signature page is returned to the AD's office, where it is kept on file with the original forms.

### Playing & Practice Seasons

Each July, the head coaches are sent a form requesting their team's practice and competition schedule for the year. The coach must supply all dates for the season, including practices, competition, off-season dates, and vacation breaks. Compliance staff review the dates to ensure that the proposed schedule complies with all aspects of Bylaw 17 and Bylaw 20. Coaches are required to submit schedule changes to the Compliance office. However, at the end of the first semester, Compliance meets with each head coach (or designee) to review the schedule to determine whether any changes have been, or need to be, made.

During the academic year, whether during or outside of the declared playing season, each team is required to keep detailed practice logs. These logs, which must be signed by both the head coach and a team captain (or other team member), list the weekly activities for each SA (e.g., conditioning, skill work, competition, etc.). Compliance staff review the logs each month to ensure that they have been properly completed and signed.

### Promotional Activities

All SAs are required to review and sign the CU Promotional Activity Release and the Promotional and Charitable Activities Log during a team orientation in the fall of each year.

SAs are notified via e-mail or written correspondence of service opportunities and speaking engagements. A department representative accompanies student-athletes to a promotional or charitable activity, thus ensuring compliance with NCAA Bylaw 12.5.1.1.

Charitable requests usually are made via telephone. It is the policy of the department to have all such requests reduced to written form and submitted no less than two weeks prior to the scheduled appearance. Upon acceptance of appearance for a promotional/charitable activity, the appropriate form accompanies the representative and SA(s) to said appearance. Generally, because a department representative accompanies student athletes on all activities, forms are not sent in advance as the representative monitors the SAs' participation and adheres to NCAA and Conference rules. The department representative brings a copy of Bylaw 12.5 for the organization and, upon arrival, requires the organization to sign off that they will comply

with the provisions of the bylaw. If a representative is unable to accompany the SA(s), the bylaw and signature page are forwarded to the organization in advance.

### Rosters

The Compliance office is responsible for the official roster for each team. In May, the Compliance staff meets with the head coaches to review their team's roster and to confirm who will be returning the following year. A second meeting takes place in August, in which the entire roster, including incoming SAs, is reviewed. Walk-ons are added through the Checklist process (in which the head coach indicates whether the walk-on should be added to the roster).

Prior to the team's first competition, Compliance staff and the Director of Athletics Academics Support Services meet with the head coach to review the accuracy of the roster and the eligibility status of each SA. At this time, the NCAA-required Certificate of Eligibility and Affirmation of Eligibility are reviewed and executed by the coach. The Certificate of Eligibility, initially signed by the Certifying Officer, then is sent to the AD and FAR, who sign the document to verify the appropriateness of the process.

Coaches are required to notify the Compliance office of any additions or deletions during the academic year. Additions (i.e., late walk-ons) must complete the checklist process before they are added to the roster and allowed to practice or compete with the team.

### Special Assistance Fund

During the team orientation meetings at the start of the academic year, student-athletes are informed about the Special Assistance Fund (SAF). Application forms and general information sheets (for domestic and foreign students) are distributed at this time. Also provided for the student-athlete's review is a chart detailing whether or not a student is eligible to apply for such assistance after he/she has submitted a Federal Financial Aid application.

The application process varies for Pell/non-Pell students and international students. The Pell and non-Pell athletes complete their portion of the application, and the Compliance/Financial Aid Office sends the form to the University Financial Aid office for approval. Upon approval from the Financial Aid Office, the students are contacted by the Compliance/Financial Aid Office and notified of their approval/denial. The non-Pell international students submit their application to the Office of International Affairs. Students who are eligible are called and asked to apply if funds are available. Upon approval, the students return their applications to the Compliance Office. Students then submit original receipts to the Compliance Office for essential clothing items bought during the current academic year, for a maximum of \$250 per semester. Expenditures for school supplies, medical/dental expenses, or emergency family/travel needs must be pre-approved by the Compliance Office before the application process is initiated.

Compliance monitors (via an Excel spreadsheet) expenditures for each student to ensure that a student has not reached or exceeded his/her allotted amount. The totals per sport also are calculated to ensure that the total Special Assistance Fund monies provided to the University have not been exceeded.

### Training Table

The coach or director of operations submits the names of SAs who will be eating at training table, along with a schedule of when the team will be eating at training table, to the Assistant Athletic Director for Student Services ("AADSS"). The AADSS submits names to Financial Aid/Compliance for verification of which SAs are eligible (for example, full scholarship--Compliance staff deducts the cost of the meals from the full scholarship SAs' room and board checks) to eat at training table and the amount owed by non-scholarship, off-campus SAs. The AADSS (or his designee) is responsible for monitoring entry to training table and collecting the costs of the meal(s) from those who are required to pay. Once payment is collected, the AADSS adds the payee's name to the training table roster. If the SA's name is not on the training table roster, s/he is not admitted to the dining room. The Financial Aid/Compliance office spot-checks the training table roster for irregularities.

### Mentors Program (“UCamp”)

The University of Colorado Athletic Mentor Program {UCAMP} was created in 1999 as a positive approach to offering interactive opportunities between older adults (business professionals, community leaders, CU faculty, etc.) who provide a one-on-one “role model” relationship for student-athletes, in the interest of fostering meaningful developmental and educational experiences, preparing them for life beyond college athletics. Mentors serve as a sounding board for thoughts/ideas, academic and career goals, and just life issues in general, as well as being a source of support and encouragement for student-athletes.

The Director of Student-Athlete Development/Life Skills Program coordinates UCamp. Prior to contact between the mentor and mentee, the Compliance Office conducts training on applicable rules.

### Degree Completion Program

Coordinated and monitored by the Office of Academic Support Services. The Athletics Department sponsors a Degree Completion Program for student-athletes who left the university to pursue a professional sports career without obtaining their undergraduate degree. In order to participate, the former student-athlete must complete an application for funding, which needs to be approved by their respective head coach, the compliance office and the Director of Athletics and/or his/her designee. If approved, the participant must sign a contract that requires her/him to work unpaid within the Athletics department (for example, supervise study halls or serve as a guest speaker) based on the number of credits in which they are enrolled. In return, the returning student-athlete can receive academic support services and obtain their undergraduate degree.

### Exit Interviews

The NCAA-mandated exit interviews with SA's are intended to encourage the development of an athletics program responsive to the needs and interests of the participating SA's. In addition, CU attempts to gather insights garnered from these interviews for discussion with other appropriate individuals and groups.

Responsibility for conducting exit interviews is shared by Chris May, Associate AD, Brian Winkelbauer, Assistant AD for Student Services, and Karen Morrison, Associate AD/SWA. Interviews are structured to include questions regarding:

- The value of the SA's experiences
- The extent of the athletics time demands on the S/A
- Concerns related to the administration of the S/A's specific sport
- Diversity and equity issues

Exit interviews are conducted with student-athletes requesting transfer release prior to the granting of the release; other exit interviews are scheduled at the conclusion of each sport's season. This group will evaluate the survey and interview responses and share ideas for department improvements recommended by student-athletes.

### Athletically Related Activity During the Summer

Athletically-related activities during the summer are coordinated and monitored by the Compliance staff. Student-athletes must receive prior approval to work at camps or participate in basketball leagues.

### Occasional Meals

The policies related to occasional meals are monitored by the Compliance office and the Business office staff to ensure that any opportunities are infrequent and comply with NCAA regulations.

### SA Opportunity Fund, Book and Course Supplies reimbursements

Student-athletes must receive approval on forms circulated through the SWA or Academic Support Office. They must present receipts to the Financial Aid Liaison before they can receive permissible expenses.

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 most recent evaluation of the University's rule-compliance program by an authority outside of athletics was in November 2003. The Big XII Conference conducted previous reviews in 1997 and 2000.**

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

**Lori Ebihara, the Assistant Commissioner of the Big XII Conference and Mary Ellen Enigk, the Director of Compliance, conducted the 2004 compliance evaluation. The Boulder campus selected the Big XII given its association with the NCAA and the number of evaluations conducted on campuses in the last ten years. While they were on campus, Ms. Ebihara and Ms. Enigk reviewed the following areas:**

- 1. Organization and Structure**
- 2. Finances and Use of Funds**
- 3. Recruitment Monitoring**
- 4. Financial Aid Administration**
- 5. Initial-Eligibility and Clearinghouse Coordination**
- 6. Continuing and Transfer Eligibility Certification**
- 7. Investigatory and Self-Reporting Processes**
- 8. Rules Education Program**
- 9. Admissions and Academic Standards**
- 10. Academic and General Support Services**
- 11. Sports Camps and Clinics**
- 12. Student-Athlete Employment (Term Time and Summer)**
- 13. Complimentary Admissions**

**During the on-campus visit, interviews were conducted with key institutional personnel both within and outside of athletics, including: Karon Johnson, Director of Financial Aid; Rosann Romano, Financial Aid Liaison to Athletics; Barbara Schneider, Executive Director of Enrollment Management and Certifying Officer; Ed Gow, Assistant Athletics Director, Ticket Office; Jon Buriemek, Senior Associate Athletics Director, Facilities/Business; Joey White, Executive Assistant to the Chancellor; Lynn Faudree, Financial Aid Compliance Coordinator; Phil DiStefano, Provost/Faculty Athletic Representative; Mark Nelson, Assistant Athletics Director, Director of Academic Center; Scott Swain, Assistant Director of Academics; Gary Barnett, Head Football Coach; Ricardo Patton, Head Men's Basketball Coach; John Meadows, Senior Associate Athletics Director, External Affairs; Scott Scheifele, Assistant Athletics Director, Development (donors); Justina Boyd, Director of life Skills (Mentors Program); Bill Harris, C-Club Director (alumni); Rosalie Lynn, Business Office Staff; Jennifer Green, Travel Coordinator; Ann Thiele, Purchasing; Leanne Hamlin, Accountant; and Ted Allen, Parking/Security/Events. Below is a copy of the schedule for the visit.**

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

List of athletics booster organizations and their officers.

Description of athletics booster group policies and procedures (e.g., constitution and bylaws).

Documentation required by the institution to maintain compliance with NCM rules (e.g., I compliance manual, recruiting logs, eligibility files).

Documentation generated as a result of conference involvement with the institution in reviewing compliance efforts.

Documentation related to secondary rules violations for the last three years and the institutional response to those violations.

Conference manual.

Planning documents related to athletics (if any).

Job descriptions for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.

Contracts or letters of appointment for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.

Personnel evaluation criteria for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.

Philosophy statements and other applicable sections of policy manuals for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.

Documentation related to the evaluation of the institution's rules-compliance program by an authority outside of athletics at least once every four years.

### 1.3 Rules Compliance - Evaluation

Question	Currently Yes	Currently No
Does the institution demonstrate that it has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Does the institution demonstrate that In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Does the institution demonstrate that rules compliance is the subject of an ongoing educational effort?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Does the institution demonstrate that a clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Does the institution demonstrate that at least once every three years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department?	<input checked="" type="checkbox"/>	<input type="checkbox"/>

**On the basis of the yes/no answers above and the plans for correcting deficiencies below, is the institution in substantial conformity with Operating Principle 1.3 (Rules Compliance)?**

Yes    No

**Governance and Rules Compliance Self-Study Instrument - Plan For Improvement**

Element			Steps to Achieve Element			
Element Operations	Issues	Measurable Goals	Step Operations	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
1.2 (3) Governance	Reorganization of the athletics department	1. Better integration of athletics to the rest of the campus.	Structural Reorganization of athletics	Meeting on a regular basis with key personnel involved in the reorganization.	Provost, Director of Athletics, Vice Chancellor for Student Affairs. Associate Athletics Director for Compliance, Senior Vice Chancellor for Budget and Planning, and Vice Chancellor of Administration	12 months
		2. Better communication between the athletics department and the campus (faculty, staff, and students)				
1.2 (3) Governance	Formation of the Academic Policy Board for Athletics	1. Better understanding of policies in athletics pertaining to admissions, initial eligibility, progress toward degree, graduation rates.	Appointment of Academic Policy Board members.	Meeting on a regular basis with the chair and members of the APB.	Provost	12 months
		2. Development of new policies for the athletics department based upon recommendations from the Policy Board.				
1.3 (6) Compliance	Rules Education for External Groups	1. Better understanding of NCAA policies, rules, and regulations.		Compliance staff in more meetings with each group to help members understand where to get questions answered	Compliance Staff	12-24 months
		2. Better communication to external groups.		Include the athletics department liaison to each group on the mailing list for the compliance newsletter.	Compliance Staff & CU Foundation	

Element			Steps to Achieve Element			
Element Operations	Issues	Measurable Goals	Step Operations	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
1.3 (16) Compliance	Camps & Clinics	Better understanding and monitoring of camps and clinics		Incorporate camp forms into the Cybersports Software.	Compliance Staff	12-24 months
1.3 (17) Compliance	Agents	Better understanding and monitoring of policies and regulations concerning agents.	Agent Procedures and Monitoring	Maintain an extensive database of agents that have contacted student athletes or the athletic department. Provide regular rules education to these agents.	Compliance Staff	24 months
				Explore the establishment of a Professional Sports Counseling Panel	Provost and Athletics Director with Compliance	
1.3 (17) Compliance	Promotional Activities	Better communication and monitoring activities for promotional activities.	Promotional Activities coordination.	Improve monitoring procedures in relation to promotional activities and community service activities.	Compliance Staff	24 months
				Maintain contact with community service organizations to provide rules education.	Director of Student-athlete Development	