

**Discussion Draft
Northern Arizona University
NCAA Certification Self-Study**

Operating Principle

**1.1 Institutional Control, Presidential Authority and Shared Responsibilities
Self-Study Items**

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

No corrective actions, conditions for certification, or strategies for improvement were imposed by the NCAA Division I Committee on Athletics Certification for Operating Principle 1.1 from the first-cycle review.

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process for Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or non-completion of such required actions. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Although no actions were required from the first-cycle review, the Steering Committee made two recommendations for strengthening the governance and commitment to rules compliance of the Northern Arizona University’s Athletics Program.

(a) ORIGINAL PLAN

1. The newly revitalized Intercollegiate Athletics Committee (IAC) was to stay on course and accomplish the goals they established. A new IAC charter, approved in March 2006 and revised in August 2007, provided a solid foundation for this committee to fulfill its charge in the future.

2. Duties formally completed by the outgoing faculty athletic representative (FAR) to be assumed and monitored by the incoming FAR, ensured a smooth and complete transition of all duties and responsibilities.

(b) NAU ACTIONS TAKEN

1. The Chair of the IAC, FAR, athletics director, and the associate athletics director met prior to each IAC meeting to ensure that agenda items were in keeping with and in support of the established goals and that they continue on track.
2. The financial aid counselor's position was upgraded to a director of compliance position. The FAR duties were reviewed to help define this new position. During the spring of 1998, the incoming FAR "shadowed" the outgoing FAR to ensure a smooth and complete transition of all duties and responsibilities.

(c) DATES OF ACTIONS

1. Since January 1999, the athletics director has annually reviewed the establishment of any new Athletics Department policies with the IAC to allow for formal scrutiny of Athletics Department policies. The athletics director is currently a non-voting member of the IAC, providing the committee with annual updates to Athletics Department policies.
2. Since fall of 1999, to ensure the proper execution of Bylaw 14, Undergraduate Admissions, the FAR, and the registrar clerk have handled the annual review process, including consultation with the director of compliance and assistant athletics director for academics.

(d) EXPLANATION FOR ANY PARTIAL OR NON-COMPLETION OF SUCH REQUIRED ACTIONS.

Northern Arizona University has completed the two recommendations set forth by the Steering Committee from the first-cycle review.

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

The following are plans for improvement/recommendations relating to Operating Principle 1.1 (Institutional Control, Presidential Authority, and Shared Responsibilities), developed by the institution since the first-cycle certification.

Since 1998, as athletic compliance has become more complex, involving increasingly more units within the institution, the oversight of compliance activities has engaged more individuals across campus. As a result, the FAR has taken a lead role in providing an independent faculty perspective and oversight regarding issues related to NAU Athletics as well as informing university committees that oversee athletic compliance activities.

- **Council of Academic Resource Services (CARS)** oversees academic resource services within the university. Issues specifically related to academic resources for student-athletes are often brought to this committee.
- **Intercollegiate Athletics Committee (IAC)** has primary oversight and policy-making responsibilities for all Athletics Department activities. The IAC membership, by charter, includes representatives from all major constituencies within the university. IAC members also serve on the five subcommittees: Governance and Compliance, Fiscal Integrity, Equity and Student-Athletic Well-Being, Academic Integrity, and Communication. Athletics Department personnel sit on the committee as nonvoting members.
- **Faculty Athletics Representative (FAR)** was defined in a formal job description developed in February 2003, approved by the president in fall 2003, and updated in March 2007.
- **Athletics Eligibility Committee** includes lead advisors from the academic colleges and the Gateway Center, Athletics Department academic coordinators, and the FAR. This committee discusses advising issues related to athletic eligibility, including eligibility rules, and develops procedures for evaluating academic credit related to degree progress for student-athletes.
- **Ad Hoc Committee for reviewing NCAA legislation** has met each summer since 2006 with the associate athletics director for compliance to review NCAA legislation relevant to athletics program responsibilities for university offices, including Residence Life, the Bursar, Dining Services, Admissions, the duBois Center, and the Walkup Skydome.
- **Eligibility Committee** meets twice per week to review eligibility issues for student-athletes. The committee consists of the FAR, the associate athletics director for compliance, and the two Athletics Department academic coordinators. After discussing information provided by other committee members, the FAR makes the final eligibility decision. Any changes in eligibility status are noted on subsequent Eligibility Status Reports, which are distributed to the head coach, director of athletics, associate athletics directors, FAR, sports supervisors, academic coordinators, Media Relations, Equipment Room, Strength and Conditioning, and Training Room.

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

(a) All on-campus units at Northern Arizona University are under the control and jurisdiction of the Arizona Board of Regents (ABOR). (See Section 1, Bylaws from ABOR, listed below.) All actions conducted by the intercollegiate athletics program are governed and overseen by ABOR in the same manner as other campus units, including The W. A. Franke College of Business, Castro College of Social & Behavioral Sciences,

College of Education, College of Arts and Letters, College of Engineering and Natural Sciences, and the College of Health and Human Services.

Article 1: Organization, Authority and Location--Section 1 Arizona's state universities are under the jurisdiction and control of the Arizona Board of Regents ("the Board"). The Board is a body corporate with perpetual succession. The state universities are operationally independent from each other, but together with the Board, they comprise the principal components of the system of coordinated governance established by the Board and known as the Arizona University System.

(b) The Arizona Board of Regents reviews, discusses, and approves issues related to intercollegiate athletics several ways, including the following:

1. Approval of multi-year employment contracts (university president, athletics director, head football coach, head men's basketball coach, and head women's basketball coach).
2. Approval of the annual athletics budget.
3. Evaluation of university presidents' annual performance, which includes a section on intercollegiate athletics.
4. Routine updates from the president to ABOR about issues related to intercollegiate athletics in Executive Sessions. For example, the president informed ABOR of the removal of the tennis courts for student parking. He also informed ABOR of the decision to add the University of Northern Colorado to the Big Sky Conference as this change had budget implications for NAU. If a decision were made to expand or eliminate any athletics program, ABOR would be informed during an Executive Session.
5. ABOR meets at NAU three times a year. Prior to the ABOR meeting, Regents meet with the NAU president and legal council and with the Council of Presidents, which includes the board's executive director, for a "Review of Assignments." The purpose of the Review of Assignments is to discuss progress towards presidential and institutional goals, any new initiatives, major capital projects, etc. Intercollegiate athletics is typically reviewed and discussed during the Review of Assignments visit.
6. ABOR conducts two annual audits of the Athletics Department: the NCAA Agreed-Upon Procedures Audit and the NCAA Compliance Audit.
7. The athletics director is required by ABOR to present and submit an annual report.
8. ABOR has approved the Athletics Department budget for the last three years and also approved the hiring of a new athletics director in 2004.

(c) In December 2007, ABOR approved for planning purposes the university's new Student Wellness & Recreation Center. This new facility will benefit all students, faculty, and staff at the university.

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

In the last three years, the President Haeger made the following decisions related to intercollegiate athletics:

- (a) In summer 2003, President Haeger commissioned a consultant, Jack Lengyel, to look at and make recommendations about a number of broad topics with regard to the Athletics Program. This included such areas as staff organization and qualifications, coach and student-athlete roles as university and community citizens, and the appropriateness of budget resources available to the Athletics Program. The results of this study have been used to guide policy and budgetary change vis-a-vis athletics.
- (b) Spring 2004: A new athletics director was hired upon recommendation of a search committee and, ultimately, the decision of the president. Major factors attributed to the successful candidate were the ability to control budgets, student-athlete well-being, public service, and image. The new athletics director and the president held bi-weekly meetings to address policy, procedure, and budget areas for athletics.
- (c) Spring 2005: The president voted at the league meetings to add the University of Northern Colorado (UNC) to the Big Sky Conference. The addition of any institution requires each member to vote, and only a unanimous vote will allow for expansion of the league.
- (d) Summer 2005: The president, athletics director, and FAR recognized the process for documenting hours student-athletes earn toward their degree as a priority for the Athletics Department and the institution. To address this priority, the president mandated that the academic authorities on campus determine degree progress, in support of NCAA Bylaw, Article 14.4.1, concerning progress-toward-degree requirements and Article 14.4.3.1.1, addressing hours earned during the regular academic year. This also became part of the contract terms for the multi-year head coaches in July 2006.
- (e) July 2006: Financial incentives for improved Academic Progress Report (APR) were included in the multi-year contracts of the head football coach, head women's basketball coach, head men's basketball coach, and the athletics director.
- (f) Spring 2006: The president agreed to allocate additional funds to cover the increased costs incurred from adding UNC to the league, and substantial increases were made in the Athletics Department's travel budgets after UNC was added to the league.

- (g) August 2006: The president was informed that construction on campus would force removal of a parking lot, resulting in a significant loss of parking spaces on the north end of campus. The president agreed with a recommendation to reclaim the tennis courts on North Campus and make them into a student parking lot, which was completed in August of 2006.
- (h) January 2007: An assistant compliance officer was hired due to a recommendation from the NAU/NCAA Compliance Audit Phase I conducted by ABOR. The president recognized the importance of the recommendation and allocated money for the position.
- (i) Spring 2007: A business manager was also hired in response to a recommendation from the same ABOR Compliance Audit noted above. This position requires a significant breadth of knowledge and responsibility because the Athletics Department is complex and governed by multiple agencies. The new business manager brings to Northern Arizona University knowledge of NCAA compliance policy and procedures, along with expertise in athletic administration. The business manager's role is key to ensure continued improvements within the Athletics Department, basing decisions on prior audit issues. The University Budget Office covers 75% of the business manager's reporting line, and the President's Office covers the remaining 25%.
- (j) Summer 2007: The president created a task force on athletic facilities to assess the current facilities on campus and to gauge their current and future use for both the university and community. Working with an outside consultant, this task force examined current facilities, explored state-of-the-art athletic facilities, provided structural strategies, and researched finance options. A final report, "The Athletics Master Plan 2007," was submitted to the president in December 2007, providing directions for the university to address challenges and directions for campus athletic facilities. The final report and executive summary were made available to the university and campus community in the university's weekly publication, *Inside NAU*, in January 2008.
- (k) Fall 2007: The president mandated an Attendance Policy be put in place due to the direct relationship between class attendance and academic performance. This new Attendance Policy will directly link to the Academic Progress Report (APR). The regulations and rules regarding the attendance policy will be adjusted as needed by the IAC.
- (l) December 2007: The president approved the university's new Student Wellness & Recreation Center that will impact athletic facilities and facility sharing. Included is a proposal for upgrading the Field House facilities to eliminate most of the need for intramural play in the Rolle Activity Center. Also in December, to meet Title

IX compliance, the IAC endorsed “prong 3,” requiring full and effective accommodation of the interest and ability of the underrepresented gender.

(m) January 2008: The athletics director presented a proposal to the President’s Cabinet, requesting a student-interest survey be conducted. Title IX requires that schools, which receive federal funding, provide equal opportunities for members of both sexes. To meet this requirement, the athletics director proposed using the third prong, addressing the additional athletics program component by full and effective accommodation of the interest and ability of the underrepresented gender. The President’s Cabinet gave approval for the survey to be conducted. The university’s Social Research Lab will implement the interest and abilities survey in spring 2008.

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

Role of Governing Board in Making Decisions

ABOR Policy 5-209 outlines the oversight and administrative responsibilities for athletics programs in Arizona universities. Sections B and F clearly designate the ultimate authority to the president of the university under the powers vested by law in ABOR. The ultimate authority for university athletics rests with ABOR, as stated in Section 5-209B: *Jurisdiction and control over the universities of the State of Arizona are vested by law in the Arizona Board of Regents. These athletic policies are promulgated by the Board in the exercise of such powers, which the Board cannot surrender.*

ABOR Policy 4-305 summarizes financial aid eligibility and post-eligibility for the three state universities, with Section D designating total numbers for all grants-in-aid authorized for a single academic year for the University of Arizona, Arizona State University, and Northern Arizona University.

Role of President in Making Decisions

ABOR Policy 5-209F clearly assigns the authority and responsibility for each university’s athletics program to the president of the university. At each institution, the enforcement of the Board of Regents’ athletic policies is the responsibility of the president of that institution. In the performance of this responsibility, the presidents shall follow the enforcement procedures prescribed by the institution, the appropriate conference(s), and any other organizations officially recognized by the institution as having jurisdiction.

The president, in conjunction with ABOR, has ultimate authority for all major decisions regarding the Intercollegiate Athletics Program at Northern Arizona University. Major issues are presented to ABOR for review, discussion, and approval consistent with ABOR policies as presented by various campus constituency groups. Depending on the issue, the following constituency groups are involved in reviewing major issues concerning athletics:

- President's Cabinet
- Strategic Planning Council (SPC)
- Council of Deans (COD)
- Associate and Assistant Deans Roundtable (AADR)
- Council of Academic Resource Services (CARS)
- Advising
 - Athletic
 - Departmental
 - Gateway

Role of Intercollegiate Athletics Committee (IAC) in Making Decisions

The Intercollegiate Athletics Committee (IAC) has oversight and advisory responsibilities for the athletics program. As outlined in the IAC Charter, the committee membership includes a broad cross-section of university faculty and staff and reports directly to the president of the university. The full IAC meets monthly throughout the academic year; the subcommittees meet on an as-needed basis.

Role of the Faculty Athletics Representative (FAR) in Making Decisions

The FAR provides an independent faculty perspective and oversees issues related to NAU athletics. The FAR serves as a liaison between the Athletics Department and major constituencies within and outside the institution, including the university president, faculty, student-athletes, and the many university units that work with the Athletics Department. University units include the Registrar's Office and the Gateway Advising Center, while university committees include the Faculty Senate, CARS, and Athletics Eligibility Committee. The FAR has frequent communications with the president and the athletics director, is a permanent member of the Intercollegiate Athletics Committee, and plays a major role in representing the university at the Big Sky Conference and the NCAA.

Role of the Athletics Director (AD) in Making Decisions

The athletics director oversees all issues related to Intercollegiate Athletics. Decisions are reached by examining issues in relation to their impact in the following areas:

- a. Student-athlete welfare, safety and development
- b. Academic integrity of the university
- c. University and department policies and procedures
- d. NCAA and Big Sky rules and regulations
- e. Budget limitations and long term impact on the financial welfare of the program



f. Staff development and welfare

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

**INTERCOLLEGIATE ATHLETICS COMMITTEE
MEMBERSHIP AND STANDING COMMITTEES
2007-2008 MEMBERSHIP**

Voting member(s)

ASNAU representative/appointed by the Associated Students of NAU (ASNAU) for a two-year term
(OPEN)

Term:

Faculty Athletics Representative (*IAC Chair*)

Wayne Sjoberg

Term: 2008

Faculty representatives: (elected by academic unit)

College of Engineering & Natural Sciences

Linn Montgomery

Term expires 2008

College of Arts & Letters

Jim O'Hara

Term expires 2010

College of Health & Human Services

Anne Hart

Term expires 2009

Gina Long

Term expires 2008

Rich Hofstetter

Term expires 2008

The W. A. Franke College of Business

Kay Pitt

Term expires 2010

Gary Vallen

Term expires 2010

College of Education

Gae Johnson

Term expires 2009



College of Social & Behavioral Sciences

Constance Smith, (*Chair-Elect*)

Term expires 2009

Kenneth Charlie Hicks

Term expires 2008

Representatives Annually Appointed from:

Office of Student Financial Aid

KC Dragoo

Undergraduate Admissions

Janet Heinrichs

Dean of Students

Art Farmer

University at Large

Tom DeStefano

Non-voting members

President's Office Representative

MJ McMahon available for consultation

Athletics Director

Jim Fallis

Academic Program Coordinators

Meghan Shepherd

Pam Lowie

Student-athletes

Will Hensley

Maria Hechanova

Noel Larson

Director of the Skydome

Dave Brown

Coaches

Laura Kelly

JW Hardy

STANDING COMMITTEES (2007-08)

Committee on Governance and Compliance

Voting member representatives: Wayne Sjoberg, Constance Smith, Rich Hofstetter

Liaison: Jared Bruggeman

Committee on Fiscal Integrity

Voting member representatives: Gae Johnson, Art Farmer, KC Drago, Kay Pitt

Liaison: Jim Fallis, Jeff Pritsker

Committee on Equity and Student-Athlete Well-Being

Voting member representatives: Linn Montgomery, Ann Hart, Gina Long, Rich Hofstetter

Liaison: Maria Bruggeman

Committee on Academic Integrity

Voting member representatives: Gae Johnson, Gary Vallen, Janet Heinrichs (Wayne Sjoberg available for consultation)

Liaison: Maria Bruggeman, Meghan Shepherd

Committee on Communication

Voting member representatives: Kenneth Charlie Hicks, Jim O'Hara

Liaison: Steve Shaff

Plan for Improvement (*if one is needed, the following steps are to be completed*)

(See attached Plan for Improvement)

**Discussion Draft
Northern Arizona University
NCAA Certification Self-Study**

**Operating Principle
1.2 Rules Compliance
Self-Study Items**

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

No corrective actions, conditions for certification, or strategies for improvement were imposed by the NCAA Division I Committee on Athletics Certification for Operating Principle 1.2 from the first-cycle review.

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

(a) ORIGINAL PLAN

1. Northern Arizona University’s Department of Athletics continues to maintain a commitment to complete the effort of documenting, systematizing procedures, and finding expeditious and integrated methods to document compliance activities.

2. The Compliance Committee was established to direct and to oversee compliance efforts.

3. A plan for improvement of rules education among the Athletics Department was developed.

(b) NAU ACTIONS TAKEN

1. A sustained effort is underway to complete the documentation of the rules-compliance policies and procedures. The new director of compliance, in conjunction with the

Compliance Committee, will consult with appropriate constituencies for each compliance area.

2. For periodic review of the rules compliance program, the Compliance Committee was formed. The members of this committee include a Faculty Senate representative; the FAR (chair of the committee); the director of compliance; the athletics director; the assistant athletics directors; the associate athletics director; and representatives from the offices of Admissions, Registrar, Financial Aid, and University Audit. This committee assists in the on-going process of development and documentation of compliance policies and procedures. A subcommittee consisting of the FAR, university auditor, Registrar's representative, Financial Aid representative, and Admissions representative will review a selection and sample examination of certain files with the director of compliance to ensure that NAU is in compliance with all NCAA and Big Sky rules.

3. To enhance rules education between formal rules education meetings, periodic topical e-mail reminders on rules compliance were sent to a new LISTSERV containing appropriate constituencies, such as coaches, athletics staff, and other university personnel.

(c) DATES OF ACTIONS

1. The compliance manual was completed during fiscal year 1999 and is updated whenever NCAA, Big Sky Conference, or Northern Arizona University compliance policies or procedures change.

- The policies and procedures manual has replaced the compliance manual. The manual is reviewed annually in its entirety by administrative staff and updated as needed.

2. The Compliance Committee was formed and began operating during fiscal year 1999.

- Responsibilities:
 - Oversight of institution's athletic compliance activities and responsibilities
 - Communication among various university offices that have responsibilities for athletic eligibility responsibilities
- Membership includes representatives from university offices that have responsibilities for various aspects of athletic eligibility, e.g., Admissions, Registrar, Financial Aid, Residence Life, Athletics, and the FAR.
- The committee meets at the beginning of each semester to review and coordinate compliance activities

3. Ongoing updates concerning rules education occurs annually as well as during monthly Athletic Department staff meetings. This was originally implemented by the new director of compliance effective fiscal year 1999.

**(d) EXPLANATION FOR ANY PARTIAL OR NON-COMPLETION OF SUCH
REQUIRED ACTIONS**

Northern Arizona University has completed the recommendations set forth by the Steering Committee.

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

At the invitation of President Haeger, two NCAA membership services staff members conducted a voluntary compliance review at Northern Arizona University, with the intention to assist the university in examining and improving its compliance program. This review consisted of a visit to the campus March 4 – 6, 2003, and a subsequent NCAA Division I Compliance Review Report, indicating action items agreed on for implementation or consideration by Northern Arizona University. Action items were identified during the review, requiring the institution to ensure the compliance program is operating to its fullest potential. Action items and their subsequent responses are noted below.

Governance and Institutional Control, Finances, and Use of Funds

- Action items involving the development and dissemination of policies and procedures for the Athletics Department.
 - In September 2003, the university completed a “Coaches Compliance Guide” with policies and procedures involving compliance. The *Department of Intercollegiate Athletics Policies & Procedures Manual* was also updated at this time. The president approved all the policies and procedures in the Coaches Compliance Guide. The president or his designee meets with the Intercollegiate Athletics Committee (IAC) twice a year, once each semester.
 - In May 2007, updates to the compliance guide were documented on a spreadsheet to provide a record of ongoing changes to policy and procedures set forth by the NCAA, Big Sky Conference, and Northern Arizona University.
- All coaches’ and athletics administrators’ contracts for 2003 – 2004 would include suggested stipulations regarding cooperation with investigations and rules education.
 - In 2003 – 2004, all coaches’ and athletics administrators’ contracts included compliance clauses regarding cooperation with investigations and rules education.
- Rules education would be enhanced by conducting year-end compliance meetings with each sport to discuss summer school, summer employment, outside competition, and other relevant issues within each sport.
 - The academic coordinator meets annually with each sport to discuss summer school opportunities.
 - Athletes in each sport have an opportunity to meet with their respective coaches to discuss summer employment, outside competition, and other relevant issues.

- A brochure, including compliance updates in the season ticket mailings for athletics boosters, was created.

Eligibility Certification

- Action item included “flagging” prospective student-athletes’ files and applications during the admissions process.
 - The university currently makes available applications stamped with “Athlete” for recruited prospective student-athletes. However, the Athletics Department does not code prospects’ files until they have been admitted to the university. Flagging or coding student files after the admission process is complete eliminates the possibility of a prospect’s being admitted to the university based on athletic participation.
- The senior woman administrator (SWA) is responsible for senior exit interviews and also for conducting entrance interviews with selected freshmen and transfers. These interviews are to be focused on the recruitment process.
 - Responsibility for senior exit interviews is shared among the four senior administrators in the Athletics Department:
 - SWA – volleyball, swimming/diving, soccer, and golf
 - The associate athletics director for compliance – cross country/track and field.
 - The athletics director – men’s and women’s basketball, and football.
 - The associate athletic director for development – men’s and women’s tennis
 - Entrance interviews are to be conducted during freshman orientation with freshmen or transfer student-athletes.

Financial Aid

- Individuals involved with athletic financial aid action items with implement most of them. One area in which NAU opted to retain current practices deals with maintaining and updating NCAA squad lists. NAU determined that the current procedures for maintaining squad lists provide fair checks and balances and that it is not necessary for the Office of Financial Aid to input information in CAi
 - In May of 2007, a decision was made to have the Financial Aid Office input financial aid information in CAi.
- The president agreed to request an annual internal audit of student-athletes’ financial aid files. The university auditor is responsible for conducting this audit.
 - ABOR conducts two audits annually, and the reports are distributed to and reviewed by the members of the Audit Committee:
 - David R. Bousquet, Vice President for Enrollment Management & Student Affairs
 - Dr. Rick L. Brandel, Dean of Students/Chair, NCAA Governance & Compliance Committee
 - Jared M. Bruggeman, Associate Athletics Director/Compliance Officer

- Dr. James E. Casebeer, Associate Director, Enrollment Services
- Michelle L. Castillo, Director of Financial Aid
- Kathleen C. Dragoo, Assistant Director, Financial Aid
- James E. Fallis, Athletics Director
- Jessica L. Fitchett, Budget Administrator, University Budget Office
- Dr. Liz Grobsmith, Provost
- Dr. John D. Haeger, President
- TBA, Office Specialist Senior/Assistant Compliance Officer, Athletics
- Susan J. McKinnon, Assistant Vice President & Executive Director, Enrollment Services
- Dr. M.J. McMahon, Executive Vice President & Senior Associate to the President
- Mark Neumayr, General Counsel
- Robert G. Norton, Associate Vice President for Financial Services/Comptroller
- Jeffrey R. Pritsker, Business Manager, Athletics
- Dr. Kathe M. Shinham, Vice President for Administration & Finance
- Dr. Wayne Sjoberg, Faculty Athletics Representative & Chair, Intercollegiate Athletics Committee
- Wendy A. Swartz, Assistant Comptroller for Financial Controls

Recruitment Monitoring

- NAU used the NCAA Compliance Assistant software to monitor eligibility and financial aid information. With enhancements to the recruiting portion of this database, it was decided to maintain all recruiting records in CAi.
 - The assistant athletics director for compliance will review all expense reports for off-campus recruiting and official visits.

Student-Athlete Issues

- In monitoring the daily and weekly hour limitations, student-athletes are required to initial the weekly time logs submitted by the coach.
 - The Compliance Office will randomly select student-athletes to keep a calendar of their weekly activities and compare students' records to those submitted by the coach. In 2007, to validate weekly time logs submitted by the coaches, four student-athletes per sport were spot-checked.
- Each summer, the head coach is required to submit a Declaration of Playing Season. This document lists the date of first practice, first competition, number of contests, and length of their playing segments.
 - This is done every summer and entered into the CAi.
- Coaches will be required to submit a travel roster prior to departure of all away events. For those students that do not use team transportation, the coach must provide a detailed expense report for all travel expenses provided

- A travel roster is submitted by coaches at least one day prior to travel commencing.

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

When the new athletics director was hired in 2004, Northern Arizona University's booster group, Skyjacks, underwent significant changes. Beginning in mid-2004 through 2005, the new athletic director changed the name from Skyjacks to Lumberjack Athletic Association (LAA) and then consolidated all other booster organizations (QB Club, 3 pt. Club, Court Club, WBB, and Soccer) into the LAA. The new LAA was brought under the University Foundation's oversight to better focus on booster groups for marketing efforts and to increase fiscal accounting efficiency.

The LAA is a non-profit organization and the official booster club of Northern Arizona University Athletics. Its objectives are to raise funds for student-athlete scholarships, promote public awareness and attendance at games, and generate enthusiasm and community support for intercollegiate athletics. The LAA has a constitution and a set of bylaws that call for an elected board of directors. The athletics director and a selected athletic administrator serve as ex-officio voting members of the LAA board.

The LAA conducts an annual fund drive and sponsors a number of special fund-raising events for student-athlete scholarships, including Wine & Dine in the Pines, Axer Auction, golf tournaments, and a casino night. A gift-in-kind car program through corporate sponsors, titled Lumberjacks Wheels Program Partners, allows coaches and four athletics staff members to use cars for recruiting purposes and other athletics sponsored events.

The University Foundation oversees the accounts for all funds generated through these activities. All members of the organization are informed of NCAA rules central to recruiting and any other involvement with athletes in a newsletter from the Athletics Department. The LAA is part of the annual audit of the University Foundation conducted by an independent auditing firm as required by NCAA regulations.

5. Identify how the institution has organized itself to maintain compliance with NCAA rules. Specify the individual (other than the institution's compliance officer/coordinator) whom the president or chancellor designates as being responsible for the institution's rules compliance. Also, include a description of the reporting lines for and responsibilities assigned to the FAR, athletics director 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.

At Northern Arizona University, compliance monitoring and implementation of the athletic compliance program is delegated to the FAR, the athletics director, and the associate athletics director for compliance. The following provides descriptions for the institutions organization for maintaining compliance with NCAA rules.

Faculty athletics representative (FAR) reports directly to the president and is responsible for monitoring the academic integrity of the Athletic Department and compliance with NCAA, Big Sky Conference, and university regulations. Bylaw 5-209D of the Arizona Board of Regents charges the FAR with determining the eligibility of all student-athletes for participation in athletic events. The FAR reviews and signs all violations reported to the NCAA and Big Sky Conference.

Athletics director reports directly to the president and is responsible for insuring that the Athletics Department is operating in compliance with all NCAA rules. The athletics director is a member of the President's Cabinet and informs the cabinet about matters related to athletics department activities.

Associate athletics director for compliance reports to the director of athletics and is responsible for the daily operations of the Compliance Office of the Department of Athletics. This position has authorization to report directly to the president and/or the FAR for compliance-related issues.

Associate athletics director/senior woman administrator (SWA) reports to the athletics director and supervises the Athletics Department's academic services. She serves on various academic services committees within the university, including Council for Academic Resources and Services (CARS), Associates/Assistants Deans Roundtable (AADR), Intercollegiate Athletics Committee (IAC), and Academic Standards Committee (ASC).

Athletics academic coordinators (two) report to the associate athletics director/SWA and provide academic services to student-athletes, including mentoring, study hall supervision, attendance checks, full-time enrollment checks, and academic schedule monitoring. The athletics academic coordinators evaluate the academic records of prospective student-athletes prior to official visits and serve as liaison between student-athletes and various student-service units within the university.

Assistant director of compliance reports to the associate athletics director for compliance, and is responsible for monitoring playing and practice seasons, countable hours, official visits, and updating the *Department of Intercollegiate Athletics Policy & Procedures Manual*.

Intercollegiate Athletics Committee (IAC) has the important function of oversight of rules compliance. The IAC committee structure, as defined by its charter, includes the Committee on Governance and Compliance and assigns it the responsibility for “oversight of compliance with Big Sky Conference, NCAA, and the ABOR rules and policies that relate to student-athletes,” and “oversight of relationships between the Department of Athletics and any and all booster organizations.” The Committee on Governance and Compliance reviews self-report violations and an annual summary of all violations is presented to the full IAC by the FAR and the associate athletics director for compliance.

University Registrar reports to the assistant vice president and executive director of Enrollment Services. Enrollment Services provides athletic transfer evaluations used by the FAR to certify the eligibility of transfer student-athletes. The evaluations are done by the assistant director of Enrollment Services.

Director of Financial Aid reports to the assistant vice president and executive director of Enrollment Services. The Financial Aid Office is responsible for all financial aid packaging of student-athletes as well as adherence to NCAA financial aid rules.

Director of Admissions reports to the assistant vice president and executive director of Enrollment Services. The Admissions Office makes all admissions decisions concerning domestic student-athletes, applying the same rules of admission as used for any other student.

Center for International Education reports to the vice provost for International Initiatives. The center is responsible for admission of all international students, including international student-athletes, and evaluation of international transfer credits. The center makes all admissions decisions concerning international student-athletes applying the same rules of admission as used for any other international student.

Office of Internal Audit reports to the vice president for administration and finance. The internal auditor does an annual financial aid audit for athletics and various other audits as needed. However, the president has the final authority for determining financial aid audits and, when applicable, for the Athletics Department.

Arizona Board of Regents (ABOR) Auditor reports to ABOR. The ABOR auditor does an annual NCAA Agreed-Upon Procedures Audit, NCAA Compliance Audit, as well as other audits as needed or requested.

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

All coaches sign contracts containing language that inform them that all NCAA rules, state and federal law, and university policy shall be followed:

All coaches and athletics administrators have a duty to cooperate with and furnish the NCAA, Big Sky Conference, and NAU with truthful and complete information concerning involvement in or knowledge of rules violations as mandated by NCAA Bylaw 10.0. Satisfactory rules knowledge and rules compliance are conditions of employment and coaches and athletics administrators will be evaluated and may be disciplined or dismissed on this aspect of their performance. Coaches and athletics administrators will fully participate and cooperate in compliance-related activities, procedures and evaluation.

NCAA Violations: In addition to other grounds and procedures that may exist for discipline or dismissal of the employee, if the employee violates NCAA regulations, the employee shall be subject to disciplinary or corrective action as set forth in the provisions of the NCAA enforcement procedures, including but not limited to suspension without pay or termination of employment for significant or repetitive violations.

Each year, coaches are evaluated using the appraisal process of the university’s Human Resource Department, exit interviews with student-athletes whose eligibility has expired, and other key areas as assigned by the supervisor.

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

A statement is included in each job description and contract for persons outside the Athletics Department who are involved in rules-compliance activities, explaining their responsibilities for ensuring NCAA and Big Sky rules are followed and that they are responsible for participating in the Athletics Compliance Committee activities. Rules compliance is part of these employees’ annual appraisals.

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

	Yes	No
Initial-eligibility certification.	X	
Continuing-eligibility certification.	X	

Transfer-eligibility certification.	X	
Financial aid administration, including individual and team limits.	X	
Recruiting (e.g., official visit, etc.).	X	
Camps and clinics.	X	
Investigations and self-reporting of rules violations.	X	
Rules education.	X	
Extra benefits.	X	
Playing and practice seasons.	X	
Student-athlete employment.	X	

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

(a) Student-athletes

Annually, prior to the first practice, all student-athletes meet, on a sport-by-sport basis, with the associate athletic director for compliance at the beginning of the academic year. They are provided with the *Student-Athlete Handbook*, a summary of NCAA Regulations for Division I, and all required NCAA and Big Sky Conference forms. These forms include an NCAA rules summary of financial aid, eligibility information for practice and competition, seasons of competition, drug policies, extra benefits, outside competition policies, and employment legislation. The *Student-Athlete Handbook* incorporates the NAU Athletics Calendar and covers Athletics Department policies and procedures, including the NAU Athletics Code of Conduct. The associate athletics director for compliance reviews the documents with the student-athletes, and during the meeting, student-athletes complete the Big Sky Historical Questionnaire and sign all appropriate forms.

In addition, the associate AD/SWA and other senior administrative staff meet with the Student Athlete Advisory Committee (SAAC) twice per month to exchange information and respond to student-athlete issues. The SAAC membership provides leadership opportunities for student-athletes and includes student-athletes who are elected by members of their respective teams. SAAC also provides feedback to various campus entities concerning new and on-going processes and procedures within the campus community. Throughout the year, SAAC representatives, along with additional members from their respective sports, engage in community and educational projects, such as “Blizzard Games,” “Student-Athlete Talent Show,” “Bowling Night,” and “Student-Athlete for a Day,” etc.

(b) Intercollegiate Athletics Staff and Coaches

The AD, associate AD/SWA, associate athletic director for compliance, and other selected staff members regularly attend NCAA meetings and seminars and Big Sky Conference (BSC) meetings. Participation includes monthly conference calls between BSC staff and various senior staff members throughout the conference.

To provide rules information and updates to all staff, the associate AD/SWA, the associate AD for compliance, and the director of athletics meet monthly with all athletics staff members to discuss a variety of relevant topics. Following each “All Staff Meeting” is a half-hour to one-hour compliance education presentation for all coaching staff and necessary support staff, i.e., personnel from the equipment room, budget office, etc. The associate athletic director for compliance conducts the sessions, which may include “hot topics” or issues stemming from recent violations occurring at various institutions across the country. Some recent examples include “Countable Hours,” “Understanding the Eligibility Center,” and “Reporting Secondary Infractions.”

In addition, each month the senior administrative staff meets with the head coaches to discuss current topics, such as legislative issues and violations that may have occurred that month. Each summer or early fall, the associate athletic director for compliance meets with the head coaches to discuss new legislation. Later in the fall, a second meeting with the head coaches addresses proposed legislation, which the head coaches discuss and vote on. Results are then presented to the athletic director for discussion with the president. Additionally, staff members frequently consult the associate athletic director for compliance, and the assistant director of compliance for rules interpretations, which are kept in the Interpretations Log as requested by ABOR. The administrative staff routinely distributes additional information, and the BSC staff distributes “hot topics” when relevant. These are forwarded to the appropriate coaching staff via e-mail or paper copies.

The athletics director or respective sport supervisor evaluates each coach annually. NCAA Compliance, as well as ABOR, BSC, and NAU compliance policies and procedures, are all considered in this evaluation.

All coaches are required to pass the annual NCAA Coaches Test prior to conducting any off-campus recruiting activities. The associate athletic director for compliance provides coaches with a number of materials to help them prepare for the test, including the practice test and rules updates.

(c) Other Institutional Staff members

The FAR regularly attends NCAA meetings and seminars as well as Big Sky Conference meetings. The FAR also participates in BSC conference calls as needed during the academic year. Each spring, the FAR, the associate athletic director for compliance, the assistant compliance director, and various other staff on campus (such as representatives from Financial Aid and Institutional Research) attend one of the NCAA Regional

Compliance Seminars. Additionally, the FAR meets monthly with all Athletics Department staff members to talk about a variety of relevant topics, and the FAR also takes part in the rules interpretation discussions.

The Athletics Department works with many offices throughout campus, such as the offices of Admissions, Registrar, Budget, and Financial Aid, as well as Academic Advising units, to provide input on policy and procedures and to assist in monitoring compliance issues as well as other athletics issues.

The director of athletics; associate athletic director for compliance; athletics academic coordinators; the FAR; and representatives from Financial Aid, Residence Life, Dining Services, the du Bois Conference Center (camps), Walkup Skydome, Registrar's Office, Admissions, and Gateway Advising Center all meet each summer to discuss changes in legislation and other issues important to maintaining institutional control and athletics compliance.

The associate athletic director for compliance and the athletics academic coordinators provide training to academic advisors on campus, educating them about the NCAA Progress toward Degree Rules. Training sessions have been held each semester at the Academic Advisors Council (AAC), and starting in the spring of 2007, concentrated training sessions are scheduled in each meeting of the Council of Academic Resource Services (CARS). Additionally, Athletics Department academic coordinators have provided individual training sessions for college advisors per departmental request.

The Intercollegiate Athletics Committee (IAC), comprised of faculty, the FAR, NAU administrators, Athletics Department senior administrators, head coaches, classified staff, student-athletes, and NAU students, serves as an advisory group for the president and the Athletics Department. Agenda items are wide-ranging, but generally involve topics relevant to the operation and integrity of the athletics program.

(d) Representatives of the Institution's Athletics Interests

Members of the Lumberjack Athletic Association (LAA), the booster club, are informed of NCAA rules regarding permissible booster activities that involve student-athletes. Members of the LAA Board of Directors receive letters addressing rule changes as needed and a brochure on NCAA rules. Additionally, the associate athletic director for compliance meets with the LAA board to provide updates on an ongoing basis. The rules are also made available on the NAU Athletics Department website. In addition, board members can ask questions at regular meetings as part of the overall process.

(e) Corporate Sponsors

Corporate sponsors are informed of NCAA rules formally during contract negotiations. Most issues with corporate sponsors involve the use of student-athletes in a promotional activity. Questions relative to these issues are answered on an as-needed basis by the

associate athletic director for compliance and the AD. Often a corporate sponsor will address a compliance question to the director of corporate relations/marketing, who will subsequently consult with the associate athletic director for compliance for an interpretation.

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

Northern Arizona University compliance reviews are conducted by Arizona Board of Regents (ABOR) audit services and Northern Arizona University Internal Audit. This selection ensures that an authority outside of the Athletics Department who has knowledge of NCAA legislation and rules compliance practices conducts the evaluation. The audit takes place in three phases within the four-year window. All three phases were completed in 2007. Phase I and Phase II were completed by ABOR audit services while Phase III, known as NCAA Financial Aid Rules Compliance, was completed by Northern Arizona University Internal Audit.

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

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

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

There were no corrective actions from the rules-compliance program evaluations; however, several recommendations were. Recommendations from Northern Arizona University's compliance reviews conducted by ABOR audit services for Phase I (2004 – 2005) and Phase II (2005 – 2006) were submitted in a final report in January 2007. Also included in the January 2007 report were recommendations from the Financial Aid Rules Compliance Audit for the 2007 – 2008 academic year (Phase III) conducted by Northern Arizona University Internal Audit. Responses to the recommendations for Phase I, Phase II, and Phase III are listed below.

Findings from Phase I NCAA Compliance Audit for Academic Year 2004 – 2005:

Results from the Phase I NCAA Compliance Audit found the internal control structures and procedures did not provide reasonable assurance that the activities of the Athletics Department were adequately monitored for compliance with relevant NCAA rules and regulations. The suggested six recommendations for improving internal control structures and procedures from Northern Arizona University Compliance Audit Phase I (2004 – 2005) are as follows:

1. Recommendation: Strengthen governance of the compliance program

Responses:

- a. The Athletics Department requested one additional full-time staff responsible for monitoring of the NCAA/BSC Compliance. This request occurred by January 15, 2007, through the institution's Work Force Planning program. This was requested, coordinated, and followed up on by the associate AD/SWA. The president approved this additional position in December 2006 and recruitment began in January 2007.
- b. The Office of the Registrar, Office of Admissions, Office of Residence Life, Financial Aid Department, International Center, Academic Advising (including the Gateway Center), Dining Services, and the Athletics Department developed comprehensive and up-to-date policies and procedures in March 2007. This was coordinated by the associate athletic director for compliance.
- c. By August 1 of each year, areas including the offices of the Registrar, Admissions, Residence Life, and Financial Aid; Center for International Education; Academic Advising (including the Gateway Center), Dining Services; and the Athletics Department review current legislation (including new legislation presented at regional compliance seminars that may not go into effect until a later predetermined date). The review process concludes with updates and modifications of the policy and procedures manuals for each department. Any changes and modifications to the policies and procedures occur by August 15 of each year. This review has been coordinated by the associate athletics director for compliance.

- d. The NCAA Compliance review concluded in May 2003 and was reviewed by the Athletics Department in January 2007. Actions are in place and are progressing under the direction of the associate athletic director for compliance.
- e. As part of institutional job performance, each position with NCAA compliance responsibilities for any particular department/role shall have compliance as a factor in the annual job performance review. This would go into effect starting immediately after the January 2007 performance review. The associate AD/SWA helped coordinate these efforts.
- f. Each department/area ensures the role and responsibilities of staff related to the compliance program are included in job descriptions, including the assistant director of enrollment services. This was put in effect starting immediately after the following annual performance review in January 2007. The associate AD/SWA coordinated these efforts.
- g. The Student-Athlete Advisory Committee (SAAC) developed a written charter in spring 2006 to ensure the vision, purpose, and responsibilities of the committee are communicated with staff and student-athletes. The SAAC charter is reviewed annually, and any revisions are completed by the end of each academic year. This is coordinated and directed by the associate AD/SWA and the academic coordinator/SAAC advisor.

2. Recommendation: Strengthen the processes for certifying student-athlete eligibility and associated written policies and procedures.

Responses:

- a. The final agreed-upon processes and procedures were approved by the university president and coordinated by the vice president for administration and finance and the director of athletics in March 2007. Currently, the *Policy and Procedures Manual* for the Athletics Department reflects changes and updates with responsibility for ongoing efforts to the associate athletic director for compliance.
- b. An ad hoc committee examined written policies and procedures for processes concerning certifying student-athlete eligibility such as freshman, transfer, and continuing student eligibility; the roles and responsibilities of the department for each category of eligibility; and the applicable form to document the certification determinations. Under the responsibility of the FAR, the final product was completed in May 2007.
- c. As of November 2006, student-athletes are not involved in the delivery process of any eligibility information. The information is delivered by Athletics Department personnel or through electronic means. This process and efforts were coordinated by the Athletics Department academic services and the responsibility of the associate AD/SWA.
- d. The Big Sky Conference confirmed that the eligibility checklists (Conference Eligibility Report) are required to be filed in the BSC office within three weeks of the first scheduled competition in each sport. Where the sport season covers more than one term, an approved report must also be made after the closure of any term ending during the sport. A final report to the league was turned in at the end of the

academic year although it is not required by legislation. Updates throughout the academic year are not required, nor expected, by the BSC other than the situations as stated above. The FAR will file the necessary reports with the BSC.

- e. The FAR, in conjunction with the previously described ad hoc committee (in “b” above), ensures the final eligibility determinations are documented on the recently revised Satisfactory Progress Verification Worksheet completed in May 2007.

3. Recommendation: Formalize rules education and develop written policies and procedures for implementing rules education.

Responses:

- a. Rules education for liaisons of departments responsible for compliance takes place each summer (prior to August 1). This includes changes in legislation and the effect of those changes on the current rules/bylaws as understood by the university constituencies. In addition, the supporters of athletics interests, such as the Lumberjack Athletics Association members, receive updates containing reminders of the most commonly violated rules, the Athletics Department’s expectations of the boosters, and contact information for any additional questions regarding NCAA bylaws. Updates are communicated to the LAA through letters sent to all members, through meetings with the associate athletic director for compliance, and through an annual brochure mailed to all LAA members. The Sports Information Department maintains the compliance component of the website through the recommendations of the associate athletic director for compliance. All of the education components are the responsibility of the associate athletic director for compliance
- b. Beginning in spring 2006, the associate athletic director for compliance meets with the SAAC members at least twice per year. One of the sessions is dedicated to understanding the upcoming legislation. The associate athletic director for compliance currently schedules compliance education sessions with all staff at the conclusion of all staff meetings which occur on average about every month and a half.
- c. The associate athletic director for compliance encourages other university departments, such as the Registrar, Admissions, and Financial Aid, to attend either of the NCAA regional compliance seminars that occur twice per year during late spring and early summer. The dates and registration information are presented to the university departments by the associate athletic director for compliance.
- d. Since spring 2006, a log of interpretations has been maintained as a result of recommendations of the ABOR audit. The interpretations not logged are routine responses to verbal requests received by the associate athletic director for compliance when he is off site.

4. Recommendation: Strengthen the policies and procedures for tracking playing and practice seasons of all sports to ensure accurate and consistent reporting.

Responses:

- a. Implemented in fall 2006, all declaration of season forms are filed with the Compliance Office.
- b. Implemented in November 2006, the season declaration forms are reviewed by the Compliance Office, and any issues are brought forward to compliance and the coaching staff for resolution. The associate athletic director for compliance insures that the season declaration is placed in CAi, and any outstanding issues are resolved.
- c. Implemented in December 2007, the head coach is responsible for turning in participation logs on time and accurately for the time frame indicated. The head coach of each program is required to review and sign each Participation Time Log for accuracy. The time logs are periodically “spot-checked” either at the initiative of the Compliance Office or at the request of any student-athlete.
- d. Implemented in November 2006, when any discrepancy is noted on the Season Declaration Sheets and Participation Time Logs, the head coach is brought in to the Compliance Office for discussion of the discrepancy, and any corrective guidance is given. Periodically, an education session is given for the head coaches to ensure that compliance with NCAA season declaration is enforced. The associate athletic director for compliance is responsible for this action.

5. Recommendation: Improve oversight of institutional sports camps and clinics

Responses:

- a. Emphasize the NCAA documentation requirements to coaches and provide additional instruction as required.
- b. Ensure the forms required by the Athletics Department for sports camps and clinics are completed for each camp and provided to the associate athletic director for compliance for review. The associate athletic director for compliance should sign the forms to document approval. If the post is vacant, the director makes arrangements with the assistant director for compliance or the athletics business manger to ensure reviews are performed.
- c. Perform a review of the attendance, employment, and accounting records at the end of each camp.
- d. Review the accounting for the concessions stand to ensure proper disposal/retention of goods.
- e. Ensure no goods that could violate rules governing extra benefits are provided to student-athletes.

The director of athletics, executive vice president, and vice president for administration and finance are currently reviewing the structure of sports camps and whether they should be managed internally or externally. They submitted their recommendation to the president by May 15, 2007, and his response to the recommendation(s) was that the sports campus would be managed internally by the respective coaches.

In the meantime, the athletics director and the associate athletic director for compliance completed the following in May 2007:

- a. Emphasize NCAA documentation requirements to coaches and provide additional instruction as required;
- b. Ensure the forms required for sports camps and clinics are provided to the associate athletic director for compliance for review and approval.

The associate athletic director for compliance will review the attendance, employment, and accounting records at the end of summer 2007 camps.

The assistant comptroller for internal controls will work with the Athletics Department to ensure procedures regarding the management of concessions are in place prior to the start of 2007 camps.

The associate athletic director for compliance will ensure that no goods that would violate rules regarding extra benefits are provided to student-athletes in conjunction with the 2007 and future camps.

6. Recommendation: Develop written policies and procedures for administering and reviewing the Certification of Compliance forms required by the NCAA

Responses:

- a. Implemented in September 2006, each year the Athletics Department holds a staff retreat where the Certification of Compliance for staff members is signed by all departmental staff attending the event. This is the responsibility of the associate AD/SWA. Staff members not present are contacted and directed to sign the form. All this takes place before the month of September. The president then signs the document, which is properly filed by the NCAA designated date (at this time, September 15 of each year).
- b. Implemented in September 2006, the Certification of Compliance form is generated by the administrative assistant under the guidance of the associate athletic director for compliance. This form incorporates all staff, including any volunteers for the designated programs.
- c. Implemented in September 2006, the Certification of Compliance form is reviewed by the associate athletic director for compliance and other staff for completeness and accuracy before being presented to the president.

Findings from Phase II NCAA Compliance Audit for Academic Year 2005-2006:

Results from the Phase II NCAA Compliance Audit found the internal control structures and procedures provided reasonable assurance the activities of the Athletics Department were adequately monitored for compliance with relevant NCAA rules and regulations. Also reported were improvements made to Northern Arizona University's rules compliance program since the Phase I compliance audit. The improvements were

attributed to the increased emphasis on rules compliance within the Athletics Department and decreased turnover among those with compliance responsibilities, allowing information to be more readily obtained in this audit than in the prior one. Strong controls were identified in the area of Athletic Equipment and Apparel, where the athletic equipment coordinator has adopted strong controls compensating for minimal staffing in his area. Because of the significant improvements made to Northern Arizona University's rules compliance program, only two recommendations were suggested from the NCAA Compliance Audit Phase II for academic year 2005-2006:

1. Recommendation: Provide banned drug and nutritional supplement information annually prior to July 1.

Response:

- a. Since August 1, 2004, NCAA Bylaw 13.3.2.2 requires that the NCAA banned drug list or the NCAA website address where the list is located be provided to incoming prospective student-athletes and their parents no later than July 1 before the prospective student-athletes' initial enrollment at NAU. Information about nutritional supplements is also to be provided to student-athletes no later than July 1. NAU was not in compliance with the stated NCAA bylaw, and on June 5, 2007, all departmental staff members (including coaching staff) at NAU were informed of the bylaw and that a violation had occurred. The drug testing/banned drug list information was sent out to all incoming recruited student-athletes on or before July 1, 2007, by the coaching staff, with confirmation of the action being sent to the associate athletic director for compliance. In the future, the drug testing/banned substance list will be included in the orientation packet with other required information for student-athlete prospects (such as graduation rates). The coaching staff for each sport is required to send this information out during the recruiting process and prior to any National Letter of Intent signing. This recruiting process will be periodically spot-checked by the compliance office under the responsibility of the associate athletic director for compliance.

2. Recommendation: Create detailed job descriptions for positions with significant NCAA compliance responsibilities.

Response:

- a. By September 30, 2007, the Athletics Department updated all job descriptions for Athletics Department staff. The compliance descriptions were jointly determined by the associate athletic director for compliance, the compliance assistant, and the associate AD/SWA. The actual human resources updating is the responsibility of the associate AD/SWA.
- b. The Athletics Department provided appropriate responsibilities to be included in position descriptions for the director of financial aid regarding the awarding of financial aid, student employment, and for the controller of accounts payable and accounting.

Findings from NCAA Financial Aid Rules Compliance Audit Phase III for Academic Year 2007-2008:

Results from the NCAA Financial Aid Rules Compliance Audit found financial aid is being awarded to Northern Arizona University's student-athletes in accordance with Article 15 of the NCAA's Operating Bylaws and noted the following six improvements since the 2005 audit:

- The Financial Aid Department is entering the student-athlete financial aid award data in both the CAi and PeopleSoft systems.
- Student-athlete scholarship awards are now controlled in the Financial Aid Department.
- Student-athletes who receive a scholarship for room and/or board and live off campus now receive their monthly payments (in lieu of checks) from Financial Aid, mostly through direct deposit.
- The athletics business manager tracks each textbook issued to student-athletes on book scholarship to ensure all textbooks are either turned in at the end of the semester (for buyback) or charged to the student-athlete's account.
- Financial Aid reorganized the awards in CAi, adding comments to the Financial Aid award screen.
- A Financial Aid Timeline Committee was formed to certify all aspects of athletic eligibility for each student-athlete receiving aid before the financial aid is allowed to be disbursed.

Recommendations from the Financial Aid Rules Compliance Audit Phase III (2007-2008) were categorized into three areas and reported as follows:

1. Recommendation for the Attention of Senior Administration: Student-athletes whose aid was reduced or non-renewed for the ensuing academic year.

Response:

- a. A reportable secondary violation occurred whereby a student-athlete's aid was reduced, but the institution did not send the required notification to the student-athlete. This violation was reported on January 3, 2008, and by April 30, 2008, the Athletic Department developed a process whereby it adds "SA non-renewal/reduction review & send letters" to the Financial Aid Committee's calendar annually in mid June.

2. Other Recommendations:

- a. Room and board not properly calculated: the Athletics Department is to correct this.
- b. Student-Athlete PeopleSoft Report



This report has been created and is available to Financial Aid and/or Athletics at their request; however, Financial Aid information is confidential, and therefore, the report is not available to the NAU general public.

3. Minor Exceptions & Corrective Action Taken

- a. Financial Aid offered in the award letter does not match the amount the student-athlete received.
Award letters are now reported using dollar amount and percentage for the award.
- b. Financial Aid award letter not signed by the student-athlete indicating acceptance: Enforcement of student-signature will be required before any aid is disbursed. The Financial Aid Office does not distribute checks to student-athletes until they have signed the award letter.
- c. Institutional financial aid increases not made in the NCAA-Specified Time Period. This was reported to the NCAA as a secondary infraction. The Financial Aid Timeline Committee was established to provide oversight, making sure award amounts are not exceeded.

Plan for Improvement (*if one is needed, the following steps are to be completed*)
(*See attached Plan for Improvement*)

Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals Responsible for Implementation	Specific Timeline for Completing Work
Elements	Goals	Steps		
1. Need for improved availability and documentation for ongoing efforts by the IAC and Athletics Department	<p>Documentation from monthly IAC Meetings</p> <p>Documentation from monthly Athletics Departmental meetings</p>	<p>Minutes from monthly IAC meetings, updated charters, bylaws, and plans to be posted on the Athletics Website to keep the Athletics Department informed of the ongoing efforts of the IAC</p> <p>Minutes from monthly Athletics Departmental meetings to be posted on the Athletics Website</p>	<p>IAC Chair or assigned</p> <p>Clerical staff or assigned</p>	<p>September, 2008</p> <p>September, 2008</p>

Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals Responsible for Implementation	Specific Timeline for Completing Work
Elements	Goals	Steps		
1. Need for a formal annual review mechanism of ongoing compliance updates for documentation purposes and a means of reporting to the President	Rules compliance updates are documented on an ongoing basis.	Using the spreadsheet created in May, 2007, document all compliance updates for an annual review and to report to the President	Associate AD/Compliance or assigned	September, 2008