GOVERNANCE & COMMITMENT TO RULES COMPLIANCE

2001-2002
I. GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE

Introduction

During the time that has elapsed since MSU-Bozeman's last NCAA certification visit in 1995, the leadership of the Department of Intercollegiate Athletics and the University has gone through significant change. In the Department of Intercollegiate Athletics both the Director of Intercollegiate Athletics and the Senior Woman Administrator have left the University, and since July 2001, these positions have been filled with interim appointments. A new Director of Intercollegiate Athletics was recently named and formally began his duties on May 1, 2002.

At the institutional level, President Mike Malone passed away in December 1999, and for some eleven months Dr. Terry Roark served as the University's Interim President. Dr. Geoff Gamble was named President in December 2000. In addition to these changes of leadership in the President's Office, the Provost and Vice President for Finance and Administration positions have seen similar turnover with Dr. David Dooley being named Provost in the spring of 2001. Mr. Craig Roloff, former Assistant Vice President/Administration, is currently serving as Interim Vice President for Finance and Administration. In each of these positions, several individuals preceded these incumbents since the 1995 NCAA visit. In addition, in 1998, Dr. Allen Yarnell's title was changed from Vice Provost for Student Affairs to Vice President for Student Affairs.

Through these significant changes in leadership, the Department of Intercollegiate Athletics has maintained a full schedule of competition with academically eligible student-athletes. The Faculty Athletics Representative (FAR), members of the Registrar's Office and staff in the Department of Intercollegiate Athletics have monitored student-athletes' academic progress and the Department of Intercollegiate Athletics' compliance with NCAA and Big Sky Conference policies and regulations. With respect to the practice of certifying eligibility of student-athletes and monitoring their academic progress, the Governance Subcommittee found that the individuals involved consistently approached their responsibilities with a high degree of integrity and loyalty to the students and the University.

With new leadership have come changes in philosophies, expectations, and practices in regard to institutional management and leadership. This "new way of doing business" stems from President Gamble's philosophy of leadership and management that is grounded in rational and structured planning, data-based assessment, and accountability. During the past year, along with the rest of the University, the Department of Intercollegiate Athletics has been brought into campus-wide planning and budgeting processes. As such, when the search for a new Director of Intercollegiate Athletics was initiated in the fall of 2001, the requirements for filling the position were characterized by experience in intercollegiate athletic leadership and an operational understanding of (1) the business side of the Department of Intercollegiate Athletics, (2) the management of
its staff and coaches, and (3) the appropriate relationship of the Department and student-athletes to the academic programs of the University.

Within this background of change, the Governance and Commitment to Rules Compliance Subcommittee conducted a review of the governance of MSU-Bozeman’s Department of Intercollegiate Athletics and its commitment to rules compliance. The following reflects the subcommittee’s findings and observations.

**Previous Certification Self-Study**

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 decisions (if any) as they relate to governance and commitment to rules compliance issues. In each case, provide: (a) the original “corrective action,” “condition,” or “strategy” imposed; (b) the action(s) taken by the institution and the dates of those action(s); and (c) an explanation for any partial or non-completion of such required actions. [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.]

   **Strategy for Improvement:** “Within one calendar year, have in place a system for periodic evaluation of the institution’s compliance program, conducted by an authority outside of the athletics department.”


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 in the governance and commitment to rules compliance area. Also, describe any additional plans for improvement/recommendations developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification. Specifically include: (a) the original plan; (b) the actions 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.

**Recommendations of the 1995 Self-Study and Response to Institutional Actions**

Two of the four recommendations from the 1995 self-study do not appear to have been addressed or completely resolved at the time of this self-study.
a. That the Vice Provost for Student Affairs initiates and develops a general long-range planning document for athletics.

Since the 1995 self-study, this recommendation has been partially addressed through the development of an equity plan and a financial plan. At the time of the present self-study, there is not a "general long-range planning document" for the Department of Intercollegiate Athletics. Over the past several years the emphasis was on the development of a sound fiscal plan. The current long-range fiscal plan for the Department of Intercollegiate Athletics is a first step to the goal of a general long-range planning document.

b. That the President grant the FAR funded release time to fulfill his/her existing responsibilities, to increase monitoring for rules compliance, and to supervise the effort of a formal audit of rules compliance annually.

This recommendation was implemented.

c. That information about rules compliance and information on how to report suspected violations be placed on MSUinfo to provide involvement of the campus community in rules compliance.

This recommendation was implemented.

d. That the President and the Vice Provost for Student Affairs work with the Athletics Committee and the Department of the Athletics to improve the avenues for communication among those responsible for policy formulation and implementation and the campus community at large.

While during the past 18 months the President and Vice President for Student Affairs have met several times with the Athletics Committee, communication between the Committee, the Department of Intercollegiate Athletics, and the University as a whole has not been often or substantive. As described above, the Athletics Committee has functioned without purpose for the past two-to-three years. While meetings with the Athletics Committee produced slow progress, the situation has now changed. Recent Athletics Committee meetings have focused on the need to clarify its role between the University and Department of Intercollegiate Athletics and identify specific goals or functions. As a first step, the Athletics Committee conducted student-athlete exit interviews for spring 2002.

**Operating Principle**

1.1 Mission of the Athletics Program and the Institution

Maintaining intercollegiate athletics as an integral part of the educational program is a basic purpose of the Association. Consistent with this fundamental policy,
a. The institution shall demonstrate that the mission and goals of the athletics program:
   (1) Relate clearly to the mission and goals of the institution;
   (2) Support the educational objectives, academic progress and general welfare of student-athletes;
   (3) Support equitable opportunity for all students and staff, including women and minorities;
   (4) Embrace the Association’s principles of sportsmanship and ethical conduct;
   (5) Are widely circulated among the institution’s internal and external constituencies.

b. The institution shall demonstrate that the actual practices of the institution’s athletics program are consistent with the athletics program mission and goals.

Self-Study Items

1. Please provide mission statements of the institution and athletics program and indicate the date of their last revision.

Mission Statement - Montana State University-Bozeman (Revised: Fall 2001)

"To provide a challenging and richly diverse learning environment in which the entire university community is fully engaged in supporting student success.

To provide an environment that promotes the exploration, discovery, and dissemination of new knowledge.

To provide a collegial environment for faculty and students in which discovery and learning are closely integrated and highly valued.

To serve the people and communities of Montana by sharing our expertise and collaborating with others to improve the lives and prosperity of Montanans.

In accomplishing our mission, we remain committed to the wise stewardship of resources through meaningful assessment and public accountability."

Mission Statement - Montana State University-Bozeman Department of Intercollegiate Athletics (Revised: July 2002)

"The mission of the Department of Intercollegiate Athletics at Montana State University-Bozeman is to develop and enhance athletic programs promoting academic integrity, athletic competition and social responsibility consistent with University philosophies. The Department of Athletics will provide:
Opportunities for a richly diverse academic and athletic environment in which the entire University community is fully engaged in supporting student-athletes' success.

A competitive opportunity that strives for athletic excellence within the Big Sky Conference and NCAA while promoting self-discipline, sportsmanship and ethical conduct.

A mutually beneficial relationship which enhances welfare, personal growth and success between student-athletes and all constituencies.

The Department of Intercollegiate Athletics is committed to promoting honesty, integrity, fiscal responsibility, and a sense of Bobcat Pride throughout the University community and the State of Montana. Student-athletes and staff of the department shall be afforded these opportunities regardless of sex, race, creed, or national origin."

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

The mission of the athletics program supplements and expands on that of the University as a whole. For example:

- MSU's mission is to provide a richly diverse learning environment. Athletics helps with this effort through competition and the opportunity to develop and excel in a particular area of achievement.

- MSU's mission states that the entire University is engaged in supporting student success. The athletics mission states that although the student is given the opportunity to develop and excel, the primary goal of the athlete is academic pursuits, which supports student success.

- MSU's mission is to serve the people and communities of Montana. Athletics serves as a liaison between the University and community, promoting pride in the University among the students, alumni, faculty, and citizens of Montana.

(Note: The mission statement of the Department of Intercollegiate Athletics addresses equity issues. These, however, are not mentioned in the MSU-Bozeman mission statement)

3. Describe how and to whom the athletics program's mission statement is circulated.

The mission statement is available in the 2001-2002 Student-Athlete Handbook and in promotional material that is provided to the public. The statement is most widely
circulated, however, by its presence on the website for the Department of Intercollegiate Athletics. (URL: www.msubobcats.com)

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

The Department of Intercollegiate Athletics' mission and goals are supported by the actual practices of the Department, in a large part through the Eisenman-Davison Athletics Academic Center, which opened in August 1998. This facility offers an area conducive to studying and is complete with computer access. The Athletics Academic Coordinator works directly with approximately 300 student-athletes representing all sports. The goals of the center are to:

- Support efforts of every athlete toward intellectual development and graduation;
- Assist student-athletes in utilizing athletics to be successful in meeting the changing needs of young adult development;
- Promote respect for diversity among student-athletes;
- Enhance strong self-worth among student-athletes;
- Encourage student-athletes to make meaningful contributions in their communities; and,
- Promote ownership by student-athletes of their academic, personal and social responsibilities.

Two measures of academic success of student-athletes at MSU-Bozeman reflect, in part, the success of the Department of Intercollegiate Athletics and the University in supporting the students’ academic goals. Graduation rates of student-athletes are higher than the University as a whole (See Academic Integrity Table II-7) and the GPA of student-athletes is higher on average than the University as a whole. (See Academic Integrity Figures II-5 and II-6)

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

The Montana University System Board of Regents (BOR) is the governing board of Montana State University-Bozeman. This Board considers intercollegiate athletics an integral part of the Montana University System. The BOR provides broad policy formulation, but leaves the management of those programs to each unit and its president or chancellor. Issues related to athletic concerns are discussed at their bi-monthly meetings. A review of the minutes of the BOR meetings for the past three years indicated that the following athletic-related issues were the focus of discussions and decisions:

   a. Brick Breeden Fieldhouse renovation;
   b. Sales Football Stadium renovation;
   c. Discussion of authority to add sports to campus;
   d. Athletics fee waivers;
   e. Method of representing athletic expenditures;
   f. Construction of tennis support facility;
   g. Student athletics fee increases (as part of other fee increases);
   h. Athletic data reporting system for BOR; and,
   i. Intercollegiate athletics funds deficits.

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

As indicated in the introduction to this section of the self-study report, during the past three years the University has had three different chief executive officers (President). During this time period, each of the presidents, working at the executive level with the Vice President for Student Affairs and the Director of Intercollegiate Athletics has been active in planning, management, and decision-making concerning issues associated with the Department of Intercollegiate Athletics.

The President maintains ultimate responsibility for the operation of the Department of Intercollegiate Athletics and makes major decisions regarding the athletics programs. Both President Gamble and his predecessors, Michael Malone and Terry Roark, maintained ultimate authority for the Montana State University-Bozeman Department of Intercollegiate Athletics. President Gamble has delegated day-to-day
management of the Department of Intercollegiate Athletics to the Director of Intercollegiate Athletics who reports to the President through the Vice President for Student Affairs. The Faculty Athletics Representative (FAR), reporting directly to the President, is responsible for certifying student-athlete eligibility and participating in the monitoring of rules compliance. The following reflect decisions in which the President has played a significant role:

a. Director of Intercollegiate Athletics resignation/retirement and interim selection;
b. Hiring of a new Director of Intercollegiate Athletics;
c. Football coach non-renewal and new hire;
d. Women’s basketball coach firing and new hire;
e. Bringing the Department of Intercollegiate Athletics’ budgeting and fiscal deficit planning into University-wide planning and budgeting processes;
f. Track improvements;
g. Settlement of the women’s basketball coaches’ dispute;
h. Sales Football Stadium renovation;
i. Brick Breeden Fieldhouse renovation;
j. Discussion of authority to add sports to campus;
k. Athletics fee waivers;
l. Defining a method of representing Department of Intercollegiate Athletics revenues and expenditures;
m. Construction of a tennis support facility;
n. Student athletics fee increase (as part of other University fee increases);
o. Athletics data reporting system for BOR; and,
p. Department of Intercollegiate Athletics’ funds deficits.

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

The Montana University System Board of Regents (BOR) makes major policy decisions that govern the role and scope of intercollegiate athletics system-wide and acts on such other matters at the institutional level, as it deems appropriate. The BOR makes selected budget decisions, acts on all personnel matters, and gives final approval for the construction of facilities. (Please refer to Appendix I-A for composition of the Board of Regents.)

The MSU President is the person of ultimate responsibility for intercollegiate athletics at Montana State University-Bozeman. He carries out directives and policies of the BOR, makes recommendations to the BOR about personnel and
major facilities construction and renovations, makes decisions on major issues concerning the Department of Intercollegiate Athletics in consultation with the Vice President for Student Affairs, the Director of Intercollegiate Athletics, and other relevant stakeholders.

The Vice President for Student Affairs is the executive manager of Montana State University-Bozeman's intercollegiate athletics program and direct supervisor of the Director of Intercollegiate Athletics. The Vice President operates at the level of policy formulation typically with more direct involvement in sensitive issues such as major compliance questions and management personnel.

The Director of Intercollegiate Athletics is the chief administrative officer of the Department of Intercollegiate Athletics, having control and responsibility for the University's intercollegiate programs as delegated by the President and Vice President for Student Affairs. He manages the Department on a daily basis, plans, implements, and evaluates the Department's programs and staff, and discusses and confers with the Vice President and President on major policies, coaching and senior departmental staff decisions.

The Athletics Committee is currently charged with advising the President and the Vice President for Student Affairs regarding the conduct of the intercollegiate athletic programs at Montana State University-Bozeman. The charge to the Committee (See Appendix I-B) focuses on the following areas:

- Governance and Commitment to Rules Compliance
- Academic Integrity
- Fiscal Integrity
- Commitment to Equity
- Student-Athlete Welfare

Included in Appendices I-C, I-D, and I-E are the roles and responsibilities of the Athletics Committee, the committee membership, and the committee's constitution.

The Faculty Athletics Representative (FAR) makes decisions and implements academic policy related to student-athlete participation. The FAR certifies and monitors the progress and eligibility of student-athletes and is the voting member for Montana State University-Bozeman in the Big Sky Conference. Additionally, the FAR serves on the Athletics Committee and advises the President on issues relevant to the health and integrity of the University's student-athletes and intercollegiate programs.

The Associate Athletic Director/SWA (Director of Compliance) has the direct responsibility of overseeing the intercollegiate athletics compliance program. She chairs the Compliance Committee, serves as liaison to the Big Sky Conference Office and is the direct contact for interpretations and potential rules violations inquiries. She works directly with the academic coordinator, financial aid
administrative assistant, and FAR on eligibility and monitoring issues, and serves on the Athletics Committee.

In Table I-1, the generic types of decisions that are typically made regarding intercollegiate athletics programs at Montana State University-Bozeman are illustrated and the corresponding people or entities that are typically involved in those decisions are identified.

In Figure I-1, the structural relationships of intercollegiate athletics at MSU-Bozeman as identified by the subcommittee are presented.

While the above reflects the organizations that govern intercollegiate athletics at Montana State University-Bozeman, over the past three years there has been no input or periodic review of the Montana State University-Bozeman athletics program by University faculty, professional, or student representatives from outside the Department of Intercollegiate Athletics. During this time, the Athletics Committee has not participated in the development of policy in the Department of Intercollegiate Athletics, implementation of policies, or review of their effectiveness. There is no evidence of any organized effort nor designated individual or committee from outside the Department of Intercollegiate Athletics to conduct regular "spot checks" of program compliance or the activities of the FAR. While there are no indications that the current athletics program is not in compliance, Montana State University-Bozeman's record of compliance arises from the personal integrity and dedication of several classified employees and the FAR, rather than periodic formal review conducted through institutional executive charge

4. Please attach an institutional organizational chart and a Department of Intercollegiate Athletics organizational chart.

Please refer to Figure I-2 for the MSU Organizational Chart and Figure I-3 for the Department of Intercollegiate Athletics Organizational Chart.
### Table I-1

**MSU Intercollegiate Athletics Major Decisions Participants Summary**

<table>
<thead>
<tr>
<th>Types of Issues</th>
<th>BOR</th>
<th>President</th>
<th>VP Student Affairs</th>
<th>President’s Executive Council</th>
<th>Division of Finance and Admin.</th>
<th>UPBAC*</th>
<th>Athletics Committee</th>
<th>Faculty Athletics Rep</th>
<th>Compliance Officer</th>
<th>Faculty Council</th>
<th>Student Senate</th>
<th>Coaches</th>
<th>Athletics Development Officer</th>
<th>Legal Counsel</th>
<th>Senior Woman Administrator</th>
<th>Comments</th>
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**Notes:**

1. The number 1 in a cell represents that person or entity responsible for the final decision on the subject item.
2. The letter A in a cell represents an active participant in the decision making process for the subject item.
3. The letter C in a cell represents an individual or entity that would be consulted in the decision making process for the subject item.
4. Chart represents the generic participants in the subject processes, actual cases may involve additional participants depending on the specific nature of the case.

*(UPBAC) University Planning, Budgeting, and Analysis Committee*
Figure 1-1
Existing Governance Structural Relationships

President
Athletics Committee
Faculty Athletics Representative
Registrar
Financial Aid
Faculty Council
Vice President for Student Affairs
Compliance Officer
Dir. of Inter. Athletics
Athletics Administrators, Staff, and Coaches

Line of Communication
Direct Report
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 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 three 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 January 1998.]

Self-Study Items

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

The Montana State University-Bozeman's Director of Intercollegiate Athletics' Office has developed a brochure (See Appendix I-F) on the activities that the Booster Club can engage in without jeopardizing Big Sky Conference and NCAA compliance. This brochure is distributed to new Booster Club members and taken on road trips by coaches and the Director of Intercollegiate Athletics when visiting supporters throughout the state and nation. Additional information for operation procedures between the Athletic Department and the Booster groups can be found in Operating Principle 3.1 Financial Practices.

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

While President Gamble holds ultimate responsibility for decisions regarding Montana State University-Bozeman's athletics programs, he works closely with the Vice President for Student Affairs and the Director of Intercollegiate Athletics (AD). In tandem with this arrangement the AD and staff carry out the primary responsibilities for policy development and implementation through consultation with the President and Vice President for Student Affairs. (See Figure I-2, Montana State University-Bozeman's Organizational Chart.) During the past three-to-four years the Athletics Committee has seldom been consulted or asked to participate in policy development, evaluation of the effectiveness of existing policies and standards, or issues of student-athlete eligibility.

Determination of student-athlete eligibility, rules violation investigations, student-athlete reinstatement and regular reporting requirements are the primary responsibility of five individuals: the Director of Compliance/Senior Woman Administrator; the Assistant Director of Compliance; the Faculty Athletics Representative (FAR); the Athletics Academic Coordinator, who is a representative of the Registrar’s Office with the specific responsibility for monitoring student-athlete academic standing; and the Financial Aid Administrative Assistant, who is a representative of the Financial Aid Office with specific responsibility of monitoring grants-in-aid. The FAR has regular meetings with the President to keep him up-to-date on the University’s intercollegiate athletic programs’ compliance. The Assistant Director of Compliance files the requisite reports on time to both the NCAA and the Big Sky Conference and submits copies to the Director of Intercollegiate Athletics and FAR but has done so on her own initiative. The Athletics Academic Coordinator maintains current records of student-athletes’ grade-point averages and progress towards degree, reporting this information to the FAR. (See Academic Integrity Figure II-2)

Additionally, the coaching staff is also responsible for playing a role in monitoring, and staying compliant with NCAA guidelines. Their activities are guided by an awareness of NCAA guidelines and the University's academic standards. Coaches also frequently seek advice from the FAR and the Compliance Officer about specific situations if there are questions before taking any action. In addition, the coaches monitor the academic progress of their student-athletes. Section 4 of the "Compliance/Operations Manual" draft further defines the specific roles of those involved in the compliance process.
Until recently, neither the Athletics Academic Coordinator (the Registrar’s representative) nor the Assistant Director of Compliance had documented procedures for the reporting of potential rules violations. The Department of Intercollegiate Athletics has recently developed a “Compliance/Operations Manual” in which the reporting responsibilities of any suspected violation of NCAA or Big Sky Conference rules are defined. (Appendix I-G, page 9.4 of “Compliance/Operations Manual”)

3. Describe the institution’s rules-education efforts for student-athletes, Department of Intercollegiate Athletics staff members, other institutional staff members and representatives of the institution’s athletics interests.

All student-athletes are required to go through the annual certification process before practice or participation in their sport. Students attend a meeting where they complete and sign the NCAA S-A Statement and NCAA drug testing consent form. Following, were the dates for the 2001-2002 season:

1. August 8, 2001 – Football
2. August 9, 2001 – Volleyball
3. August 29, 2001 – Men’s and Women’s Cross Country
4. August 30, 2001 – Women’s Golf
5. September 4, 2001 – Men’s Basketball and Men’s Tennis
6. September 5, 2001 – Men’s and Women’s Track
7. September 6, 2001 – Women’s Skiing
8. September 10, 2001 – Men’s and Women’s Track
9. January 22, 2002 – All new spring semester athletes in all sports

Students who are unable to attend the meetings at the designated time meet with the Assistant Director of Compliance individually. All students must be cleared to participate, and coaches receive a roster (Appendix I-H) to confirm the eligibility status of their student-athletes.

Students are also introduced to the NCAA rules that directly affect their eligibility. (Appendix IV-J, 2001-2002 Student-Athlete Handbook, page ii). Pages 7-9 define for student-athletes NCAA standards of ethical conduct, gambling, and bribery. Pages 16-17 outlines rules for students about complimentary tickets including permissible ticket procedures (NCAA Bylaw 16.2.2.1 and NCAA Bylaw 16.2.2.2) and non-permissible ticket procedures (NCAA Bylaw 16.2.2.1, 16.2.2.2, 16.2.2.3, 16.2.2.4, and 16.2.2.5).

Pages 42-45 of the Student-Athlete Handbook include:
1. Booster assistance prohibitions
2. Athletic eligibility
3. Maintaining your amateur status
4. Hosting a prospective student-athlete
5. Transferring
6. Use of Department of Intercollegiate Athletics’ office equipment

Appendix C (The Big Sky Fact Sheet) in the Student-Athlete Handbook states that all students are required to sign the conference historical questionnaire and required NCAA documents.

Appendix A in the Student-Athlete Handbook summarizes the NCAA regulations for Division I.

One source of education is through the NCAA recruiting test. Recruiting tests were taken on June 12, 2001; June 15, 2001; July 24, 2001; and November 1, 2001. In addition, the Director of Compliance is in frequent contact with the Assistant Commissioner of Compliance for the Big Sky Conference to answer questions, provide interpretations, and learn about new legislation. Recent education procedures that have been implemented are monthly presentations by the Director of Compliance at all staff and coaches meetings concerning new NCAA legislation. In addition, all legislative updates are routinely distributed to staff members by the Assistant Director of Compliance.

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

On pages 13-14 in the Student-Athlete Handbook, the NCAA legislation on earning legitimate on- or off-campus income is described. On page 14 it is stated that all student-athletes must check with coaches and the compliance office if the student is receiving any financial assistance in addition to partial or full grant-in-aid.

5. Describe, using specific examples, how the institution ensures that rules compliance is a central element in personnel matters. Also, please provide the following items for individuals inside and outside the Department of Intercollegiate Athletics who are involved in rules-compliance activities:

(a) Job Descriptions

Job descriptions are available on file in the office of the Director of Compliance. Two examples of position descriptions are provided (Appendix I-I). In the men’s assistant basketball coaches’ sample there are three examples that refer to rules compliance: 1) Number 2A states that the coach must comply to NCAA clearinghouse regulations; 2) Number 2H states that the coach must monitor for NCAA compliance; and 3) Number 8 states that “All duties must be completed within the confines of NCAA, Big Sky Conference, state of Montana, MSU and departmental rules and regulations.”
(b) Contracts or Letters of Appointment

Contracts and letters of appointment are also available on file in the office of the Director of Compliance, and one example of each is provided. (Appendices I-J and I-K) The contract very specifically refers to and is subject to a job description and an attached “Special Terms and Conditions.” The “Special Terms and Conditions” specifically require staff (coaches) to comply with NCAA, and Big Sky “laws, regulations, rules and guidelines.” The letter of appointment includes the above “Special Terms and Conditions” as well.

(c) Personnel Evaluation Criteria

There is no evidence that the Department of Intercollegiate Athletics personnel have been periodically reviewed. In addition, no criteria for such reviews were found.

(d) Philosophy statements and other applicable section of policy manuals.

The Athletics Department Compliance/Operations Manual (draft) includes several statements illustrating Montana State University-Bozeman’s commitment to rules compliance. Evidence is found in Objective 10 of "MSU Department of Intercollegiate Athletics Objectives" stating that "all student-athletes and department staff complies with NCAA rules and regulations." (page 2.2). In addition, an entire section of the manual is devoted to the organization, structure, enforcement, and commitment to rules compliance (pages 4.1-4.16). Additional documents that indicate the University’s commitment to rules compliance are found in the following documents:

1. Student-Athlete Handbook
2. Big Sky Conference Manual

This commitment is not reflected in the Department’s web page and the Committee suggests that the University’s commitment to NCAA rules compliance be added.

6. Please attach written policies and step-by-step procedures that include assignment of specific responsibilities pertaining to the area of rules compliance in critical and sensitive areas, including, but not limited to, eligibility certification, investigation and self-reporting of rules violations, monitoring financial aid and monitoring recruiting.

In MSU’s Department of Intercollegiate Athletics’ Compliance Organizational Chart (Figure I-3), the individuals with responsibilities pertaining to the area of rules compliance are identified.
Figure I-3
Montana State University
Department of Intercollegiate Athletics
Compliance Organization

Direct Report

Line of Communication

Revised July 2002
Formal documentation on continuing eligibility processes and procedures are currently being developed. The flowchart in the Academics Integrity section, Figure II-2 reflects the actual process. While not formally documented, a process does exist and is reflected in the following: 1) Eligibility certification is done using a roster checklist (Appendix I-H); 2) An example of monitoring financial aid is provided in Appendix I-L; and, 3) Monitoring recruiting includes auditing phone logs, official visit forms, and recruiting travel documentation. An example of a phone log is provided in Appendix I-M.

Procedures for the Student-Athlete Grievance Hearing are located in Appendix G in the Student-Athlete Handbook and describe the process used in sensitive areas regarding student-athletes. The procedure is documented and set in place, but has not been necessary to use.

A sample letter (Appendix I-N) is provided to demonstrate how student-athletes are notified of financial aid cancellation. Coaches must provide student-athletes with this document and have it signed to inform students if their financial aid is being cutback or withdrawn.

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

Please refer to Appendices I-O and I-P for the 1997 and 2001 NCAA review.

Evaluation and Plan for Improvement

Given the responses to the self-study items on the previous pages, complete the responses below to: (1) indicate (with yes or no) whether each part of the operating principle exists in the athletics program, and (2) evaluate whether the activities of the athletics program are in substantial conformity with the entire operating principle as a whole. [Note: In completing this assessment, make sure that all relevant information from the other three certification areas is considered, given that some overlap does exist.]

Where the institution concludes in its evaluation that it does not conform to the operating principle as a whole or to any particular element(s) or that problems or deficiencies exist in this area, outline the institution's specific plan for improvement, which include/meet the following required elements: (a) in writing, (b) developed through broad-based campus participation, (c) issues/problems identified in the self-study, (d) measurable goals the institution intends to attain to address the issues/problems, (e) steps to achieve the goals, (f) the specific timetable for completing the work, (g) individuals/offices responsible for carrying out the actions, and (h) institutional approval.
1.1 Mission of the Athletics Program and the Institution

<table>
<thead>
<tr>
<th>Currently Yes</th>
<th>Found On Page(s)</th>
<th>Currently No</th>
<th>If Currently No or If Deficiencies Exist, Indicate Improvement Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Does the institution demonstrate that the mission and goals of the athletics program:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(1) Relate clearly to the mission and goals of the institution?</td>
<td>X</td>
<td>17</td>
<td></td>
</tr>
<tr>
<td>(2) Support the educational objectives, academic progress and general welfare of the student-athletes?</td>
<td>X</td>
<td>18</td>
<td></td>
</tr>
<tr>
<td>(3) Support equitable opportunity for all students and staff, including women?</td>
<td>X</td>
<td>17</td>
<td></td>
</tr>
<tr>
<td>(4) Support equitable opportunity for all students and staff who are minorities</td>
<td>X</td>
<td>17</td>
<td></td>
</tr>
<tr>
<td>(5) Embrace the Association’s principles of sportsmanship and ethical conduct?</td>
<td>X</td>
<td>17</td>
<td></td>
</tr>
<tr>
<td>(6) Are widely circulated among the institution’s internal and external constituencies?</td>
<td>X</td>
<td>17-18</td>
<td></td>
</tr>
<tr>
<td>b. Does the institution demonstrate that the actual practices of the institution’s athletics program are consistent with the athletics program mission and goals?</td>
<td>X</td>
<td>18</td>
<td></td>
</tr>
<tr>
<td>YES</td>
<td>NO</td>
<td></td>
<td></td>
</tr>
<tr>
<td>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 1.1(Mission of the Athletics Program and the Institution)?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

[Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has below a plan to address any “Currently No” response to any element(s) of the operating principle.]
### 1.2 Institutional Control, Presidential Authority and Shared Responsibilities

<table>
<thead>
<tr>
<th>Does the institution demonstrate that:</th>
<th>Currently Yes</th>
<th>Found On Page(s)</th>
<th>Currently No</th>
<th>If Currently No or If Deficiencies Exist, Indicate Improvement Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>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?</td>
<td>X</td>
<td>19</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. The chief executive officer is assigned ultimate authority for the operation and personnel of the athletics program?</td>
<td>X</td>
<td>19-20</td>
<td></td>
<td></td>
</tr>
<tr>
<td>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?</td>
<td>X</td>
<td></td>
<td>#4, pg. 37</td>
<td></td>
</tr>
</tbody>
</table>

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)?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has below a plan to address any “Currently No” response to any element(s) of the operating principle.]
### 1.3 Rules Compliance

<table>
<thead>
<tr>
<th>Does the institution demonstrate that:</th>
<th>Currently Yes</th>
<th>Found On Page(s)</th>
<th>Currently No</th>
<th>If Currently No or If Deficiencies Exist, Indicate Improvement Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>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 for the athletics program?</td>
<td>X</td>
<td></td>
<td></td>
<td>#1-3, pp. 36-37</td>
</tr>
<tr>
<td>b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics program?</td>
<td>X</td>
<td></td>
<td></td>
<td>#4, pg. 37</td>
</tr>
<tr>
<td>c. Rules compliance is then subject to an ongoing educational effort?</td>
<td>X</td>
<td>27-28</td>
<td></td>
<td></td>
</tr>
<tr>
<td>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?</td>
<td>X*</td>
<td>28-29</td>
<td></td>
<td>*See Improvement Plan #5 for one aspect of Operating Principle 1.3d.</td>
</tr>
<tr>
<td>e. At least once every three years, its rules compliance program is the subject of evaluation by an authority outside of the athletics department?</td>
<td>X</td>
<td>32</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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)?

| 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)? | X      |

Yes No
Improvement Plans: Governance and Commitment to Rules Compliance

The subcommittee makes the following recommendations based on its review of the Governance and Rules Compliance policies and practices at Montana State University-Bozeman. Implementation of these recommendations will result in the structural relationships as diagramed in Figure I-4 found at the end of this section.

<table>
<thead>
<tr>
<th>Issues in the Self-Study</th>
<th>Measurable Goals</th>
<th>Steps to Achieve Goals</th>
<th>Individuals/Officers Responsible for Implementation</th>
<th>Specific Timetable for Completing the Work</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Until recently, there were no documented procedures or policies that guided the Athletics Academic Coordinator (the Registrar’s representative) and the Assistant Director of Compliance in communicating violations or potential violations.</td>
<td>Implementation of procedures for reporting violations or potential violations.</td>
<td>A. Review, and if necessary, revise existing policies and procedures that define specific reporting procedures of violations or potential violations. B. To implement policies &amp; procedures.</td>
<td>Vice President for Student Affairs, the Director of Intercollegiate Athletics</td>
<td>October 2002</td>
</tr>
<tr>
<td>2. While the FAR currently meets periodically with the President and AD, there is no evidence of periodic or other communication between the FAR and Vice President for Student Affairs as related to student eligibility or compliance questions or reviews. In addition, the FAR has not reported on the academic status of student-athletes during the past five years to the Faculty Council.</td>
<td>A. Calendar for regular meetings between the VP for Student Affairs and the FAR is created. B. The FAR is scheduled to report to the Faculty Council periodically.</td>
<td>A. Periodic reports concerning the academic status of student-athletes are reported periodically to all executive management associated with the Dept of Intercollegiate Athletics. B. In addition, the Chair of the Faculty Council should schedule the FAR to report to the Council annually.</td>
<td>The FAR and the Vice President for Student Affairs and the Chair of the Faculty Council.</td>
<td>2002-2003</td>
</tr>
</tbody>
</table>
### 3. Periodic evaluation of the FAR has not occurred. This was a shortcoming identified in the 1995 Self-Study Report. The FAR does not have a formal job description on file at MSU nor are the procedures used to evaluate student-athlete eligibility documented. The FAR provided the Committee with a list of activities, but this does not constitute a formal job description or document the policies and procedures that govern his work at MSU.  

<table>
<thead>
<tr>
<th>A. A complete job description for the FAR is created.</th>
<th>Define the processes and procedures that govern the activities of the Faculty Athletics Representative. The processes and procedures should include guidelines for the periodic review and evaluation of the FAR's activities.</th>
<th>The President.</th>
<th>2002-2003</th>
</tr>
</thead>
<tbody>
<tr>
<td>B. The job description is on file in the Dept of Intercollegiate Athletics and the President's Office.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>C. An evaluation process is implemented.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 4. While the Athletics Committee has existed for a number of years as a body of faculty, students, and members of the Department of Intercollegiate Athletics with a published constitution, for the past two-to-three years, it has functioned without real purpose or direction. As such, during this time, there has been no substantive interaction between the Committee and the Department of Intercollegiate Athletics, the President, the Vice President for Student Affairs, or the Faculty Council.  

<table>
<thead>
<tr>
<th>A. Specific responsibilities are identified and documented.</th>
<th>Review the role of the Athletics Committee and specific responsibilities identified and documented. Include the Committee's reporting relationships and the periodic reports that should be developed for the Department of Intercollegiate Athletics, the President, and the Vice President for Student Affairs. The Faculty Council should schedule annually the Chair of the Athletics Comm. to report on their activities and findings.</th>
<th>The President.</th>
<th>2002-2003</th>
</tr>
</thead>
<tbody>
<tr>
<td>B. Reporting relationships are documented and periodic reports identified.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>C. Periodic reports to the Faculty Council are scheduled.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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1This situation puts the University at risk, as a single individual is responsible for specific tasks associated with student-athlete certification. The FAR's role at Montana State University-Bozeman has evolved over time with a single individual. Should this individual suddenly leave the University, the replacement would literally be starting from scratch with no documentation to guide him or her.
5. There is no evidence of periodic or other evaluation of coaches and staff.

<table>
<thead>
<tr>
<th></th>
<th>A. A process for evaluation is developed.</th>
<th>B. Goals and objectives for each coach are defined.</th>
<th>C. The evaluation process is implemented for all coaches and staff.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>A. Goals and objectives for each coach should be developed.</td>
<td>B. These goals and objectives should then be the basis for annual review of performance and the continuing relevance of the goals and objectives.</td>
<td>The Director of Intercollegiate Athletics</td>
</tr>
</tbody>
</table>
Figure I-4
Recommended Governance Structural Relationships

- President
  - Athletics Committee
  - Faculty Athletics Representative
  - Registrar
  - Financial Aid
  - Vice President for Student Affairs
    - Compliance Officer
    - Dir. of Inter. Athletics
  - Athletics Administrators, Staff, and Coaches

Direct Report
Line of Communication