

GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE

NCAA ATHLETICS CERTIFICATION SELF-STUDY

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.

1.2.1: List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division 1 Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions 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 1 Committee on Athletics Certification in its first-cycle certification decision.

1.2.2: List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process for Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically include: (a) the original plan; (b) the 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. 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.

The 1997 first-cycle self-study report identified the following areas of improvement that pertain to institutional control, presidential authority and shared responsibilities:

Athletics Board. The 1997 plan states: *The committee is fully aware that the Athletics Board, like all other boards and committees at the university, serves a wholly advisory role to the Office of the President. Nevertheless, given the prominence of Intercollegiate Athletics in the workings of the university, a clearer, more precise role for the Athletics Board should be formulated and published.*

2004-2005 Update: The Board continued to follow its 1997 charge, until fall 2004. There was a period during which it met infrequently. In September 2004, the institution drafted, and circulated for comment, a revised charge for the Athletics Board. The revised charge was issued in November, and the Board met November 11, 2004. The revised charge focuses the Board's work on student welfare matters, including gender and minority equity, as well as on continued discussion of issues of concern to the faculty, administration, or other stakeholders.

1.2.3: Describe any additional plans for improvement/ recommendations relating to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

The most significant improvement implemented by the university since the first-cycle NCAA certification decision in 1997 has been the change in reporting for the Department of Intercollegiate Athletics. This change places the department's operations more directly within the purview and oversight of the president. The Department of Intercollegiate Athletics reported to the vice president for student affairs before fall 2003, and the vice president for student affairs reported to the executive vice president. In fall 2002, the university eliminated the office of executive vice president and created the position of senior vice president. All vice presidents, including the vice president for student affairs, report to the senior vice president. In September 2003, the reporting line for Athletics was changed as well, and the director of intercollegiate athletics now reports to the Office of the Senior Vice President. This change in reporting removes a reporting line between the Department of Intercollegiate Athletics and the president, allowing more direct oversight of the department by the president.

Prior to the reporting change in September 2003, intramural and club sports had also reported to the director of intercollegiate athletics. Intramural and club sports remained with Student Affairs when Intercollegiate Athletics began reporting directly to the Office of the Senior Vice President in fall 2003. With the growth of the intercollegiate athletics program's profile and the pending move to the Big East Conference, separating intramural and club sports out of Intercollegiate Athletics has enabled the director of intercollegiate athletics to refocus on his core responsibilities in intercollegiate athletics.

The department also restructured internal reporting lines and created a senior associate athletics director position. The senior associate athletics director is responsible for many of the external functions of the department, such as ticketing, marketing and fundraising, and media relations. The senior associate athletics director has primary responsibility for the management of those functions under his supervision. The creation of this position has relieved the director of intercollegiate athletics of some direct reporting responsibilities and allows him more time to interact with and supervise coaches and student-athletes. The senior associate athletics director reports to the Office of the Senior Vice President.

The university has designated the provost the final decision maker on matters of student-athlete academic eligibility. The vice president for student affairs is the final decision maker on matters of student-athlete eligibility relative to institutional conduct rules and policies. In both cases, the same decision makers are responsible for both student-athletes and other students. The vice president for student affairs is also the appellate body for other student-athlete NCAA matters, including transfer waiver release requests. These procedures were reviewed and implemented as of fall 2003.

Finally, during 2003-2004 the Office of the Senior Vice President began to summarize major developments (e.g., personnel changes) and activities (e.g., fundraising, competition results, student athlete awards) of the Department of Intercollegiate Athletics in materials provided to the Board of Trustees for its quarterly meetings. Previously, this type of information was regularly distributed to the Trustees Committee on Student Affairs, but only major developments went to the full Board.

1.2.4: List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.1. (Mission of the Athletics Program and the Institution). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution; (c) the date(s) of the action(s); (d) action(s) not taken or not completed; and (e) explanation(s) for partial completion of such required actions.

This question was not answered at the direction of the NCAA.

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

Marquette's bylaws delegate broad executive authority to the president. As a result, the president and the staff whom he designates are authorized to make most decisions necessary for the ongoing operation of the university, whether with respect to athletics or any other university matter, within the broad policy and annual budget parameters adopted by the Board of Trustees. The president consults and briefs the Board regarding major matters at the quarterly trustee meetings. The Executive Committee of the Board,

which includes the president, meets three additional times per year. Further, the president communicates (e.g., via correspondence or telephone) with Board members throughout the year in the normal course of his duties and as events dictate.

The Board of Trustees has been significantly involved in the following decisions related to intercollegiate athletics in the last three years:

1. The Board authorized construction of the Al McGuire Center as part of their approval of the fiscal year 2002 capital budget. (All new building projects require Board approval.)
2. The Board received regular updates on Al McGuire Center fundraising and construction at quarterly full Board meetings.
3. The Board was consulted and briefed regarding the hiring of the head men's basketball coach and his subsequent contract extension.
4. The Board was consulted and briefed regarding Marquette's withdrawal from Conference USA and joining the Big East Conference effective July 1, 2005.
5. The Board was consulted and briefed regarding financial arrangements associated with leaving Conference USA.

Note: At its September 2004 meeting, the university's Board of Trustees began a process to review the nickname, logo, and mascot, "the Golden Eagles." At its December 2004 meeting, the Board decided to continue its discussion of the nickname and will revisit the issue at future board meetings. The Department of Intercollegiate Athletics is not directly involved in this review process, other than as one university stakeholder in the ongoing discussion. The university, including the Department of Intercollegiate Athletics, will implement whatever decision is made by the trustees and the president.

1.2.6: 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.

The president has been significantly involved in the following decisions related to Intercollegiate Athletics in the past three years:

1. The decision to accept the invitation to join the Big East Conference, effective July 1, 2005.
2. Representing the institution on the Conference USA Board of Directors, as well as serving on the Executive Committee of the Conference USA Board of Directors for most of the past three years.
3. The terms of the university's departure from Conference USA, effective June 30, 2005.

4. The retention and extension of the employment contract for the head men's basketball coach.
5. The extension and amendment of the employment contract for the head women's basketball coach.
6. The amendment of the employment contract for the director of intercollegiate athletics.
7. The construction and financing of the Al McGuire Center.
8. Bradley Center lease negotiations.
9. Student seating and ticket issues for men's basketball.
10. Approval of the Official Visit Policy.

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

The university makes major decisions in a collaborative fashion, drawing upon the talents and expertise of various persons depending upon the nature of the matter under consideration.

As the chief executive officer of the university, the president generally makes major decisions with primary input from the co-chief operating officers, the senior vice president and provost. As co-chief operating officers, the senior vice president and the provost consult with each other on issues affecting the institution as a whole and typically make a joint recommendation on each issue for the president's consideration.

The president keeps the Board of Trustees informed of all major developments affecting the university. University bylaws require trustee approval for decisions in excess of \$1 million if the matter has not already been included in the university's annual operating or capital budgets. The trustees approved the construction and financing of the recently opened Al McGuire Center, as with all new Marquette building projects.

The faculty athletics representative's involvement in the day-to-day operations of the Department of Intercollegiate Athletics includes:

- * reviewing and signing eligibility documents required by the NCAA;
- * working directly with the assistant athletics director for compliance, should the faculty athletics representative have questions or concerns about issues such as student-athlete welfare, missed class time, initial and continuing eligibility, or NCAA rules;

- * maintaining oversight into any waiver requests made of the NCAA;
- * being copied and/or consulted on any self-reports of NCAA violations;
- * administering the NCAA Coaches Recruiting Test each spring; and
- * participating on the Athletics Board.

Though no major NCAA infraction has been committed in the history of the university, procedure for such an infraction calls for the NCAA faculty athletics representative to be directly involved in matters constituting major NCAA infractions and to be copied on secondary matters.

The Athletics Board was recharged in November 2004 with an enhanced focus on student-welfare matters, in addition to issues of concern to the faculty, administration, or other stakeholders. The charge requires the Board to meet at least twice per year; the Board's membership draws from a broad cross-section of faculty, administrators, and university stakeholders. The Board's responsibilities include advising on policy issues and initiating discussion on issues of concern to the faculty, administration, or other stakeholders. In addition, the Board annually recommends a recipient of the McCahill Award; selects at least one of its faculty members to serve as a member of the Equity Committee; receives an annual report from the Equity Committee chair and the senior woman administrator on the work of the Equity Committee; recommends recipients of other honors from time to time as requested by the senior vice president; and receives an annual report from the Department of Intercollegiate Athletics on graduation rates and other trends affecting student-athletes' academic progress. In recent years, the Athletics Board provided significant input on discontinuing the wrestling program and in other matters of gender equity compliance.

The director of intercollegiate athletics reports to the Office of the Senior Vice President. The director of intercollegiate athletics and senior associate athletics director (described below) are together responsible for all day-to-day administration of the department. The director of intercollegiate athletics also participates in weekly area heads meetings for the Division of Student Affairs. The director communicates the activities of that division, which include the areas of club and intramural sports, to the athletics staff. The director of intercollegiate athletics works directly with the president regarding NCAA and conference matters, as well as any intercollegiate athletics issues that directly affect the university.

The senior associate athletics director reports to the Office of the Senior Vice President. He has primary responsibility for the revenue and business operations of the department including ticketing, marketing and fundraising, and media relations. The senior associate athletics director works closely with the director of intercollegiate athletics. The senior associate athletics director also works closely with other university constituents such as the Offices of Public Affairs and Finance to ensure integration of the department's activities with those of the broader university.

The associate athletics director for internal operations/senior woman administrator reports to the director of intercollegiate athletics. She maintains managerial oversight of

athletic training staff, strength and conditioning staff, and the associate athletics director for facilities. The position supports both the director of intercollegiate athletics and the senior associate athletics director in its varying capacities. This collaboration ensures that a consistent philosophy is applied to all programs in keeping with the mission of the department.

The provost is the final decision maker on matters of student-athlete academic eligibility. The vice president for student affairs is the final decision maker on other matters of student-athlete eligibility relative to institutional conduct rules and policies. The vice president for student affairs is also the appellate body for student-athlete appeals of other NCAA matters, including transfer waiver release requests.

Student representatives to the Athletics Board are selected by Marquette University Student Government and the Student-Athlete Advisory Council. Additional student input, in cooperation with the vice president for student affairs and Marquette University Student Government, is solicited as appropriate. For example, during the 2003-2004 academic year the Department of Intercollegiate Athletics worked with representatives of Marquette University Student Government to review student ticket policies and procedures for men's basketball tickets. The Department of Intercollegiate Athletics intends to continue to work with student representatives on these and other issues.

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

Dr. Larry Pan, Professor, College of Health Sciences (Chair of the Athletics Board)

Dr. Greg Naples, Faculty Athletics Representative, Associate Professor, College of Business Administration

Dr. Darlene Weis, Associate Professor, College of Nursing

Dr. Robert Fitts, Professor, College of Arts and Sciences

Mr. Bill Cords, Director of Intercollegiate Athletics

Ms. Sarah Bobert, Associate Athletics Director for Internal Operations/Senior Woman Administrator

Mr. Kyle Moats, Senior Associate Athletics Director

Mr. Kevin Kraft, 2004-2005 Marquette University Student Government representative

Mr. Tom Packee, M Club President

Mr. Lee Kummer, Alumni Representative

Mr. Russ Shaw, Captain, Department of Public Safety

Mr. Arthur Phillips, Senior Associate General Counsel

Ms. Erica Heisser, Student-Athlete Advisory Council President

Mr. Dan Mullin, Student-Athlete Advisory Council Representative

EVALUATION OF OPERATING PRINCIPLE 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities)

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

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

Yes No

Operating Principle

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

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

1.3.1: List all “corrective actions,” “conditions for certification” or “strategies for improvement” imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.3 (Rules Compliance). In each case, provide: (a) the original “corrective action,” “condition” or “strategy” imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

No action needed.

1.3.2: 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 1.3 (Rules Compliance). Specifically include: (a) the original plan; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

The 1997 first-cycle self-study report identified the following areas of improvement that pertain to rules compliance:

Communication with Boosters. The 1997 plan states: *The brochure that the Department of Intercollegiate Athletics has prepared to summarize NCAA rules for boosters and others should be reprinted with any necessary revisions that pertain to the NCAA and Conference USA, and that the revised pamphlet should be made widely available on campus and to all season ticket holders, interested alumni, and others with an interest in the university’s intercollegiate athletics program.*

2004-2005 Update: The Department of Intercollegiate Athletics brochure summarizing NCAA rules for boosters and others is updated annually, most recently in March 2004. The updated version is sent to season ticket holders, Blue & Gold Fund members, and interested alumni. The brochure is also available to the public in the Department of Intercollegiate Athletics and on the departmental Web site’s Compliance Corner.

Communication with Academic Areas. The 1997 plan states: *The policies and procedures for reporting Conference USA and NCAA rules violations should be circulated throughout the various academic units of the university in order to publicly inform, educate, and more fully familiarize those units with the existence and application of those reporting policies and procedures.*

2004-2005 Update: All faculty with student-athletes in their classes receive a letter each semester from the associate athletics director for academic support and student programs.

This letter details student-athletes' upcoming absences due to competition. Beginning in fall 2004, this letter also includes information about NCAA rules concerning extra benefits.

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

The Department of Intercollegiate Athletics continues its on-going efforts in rules-compliance education. The assistant athletics director for compliance conducts mandatory monthly compliance meetings for all head and assistant coaches to discuss NCAA rules and interpretations, give legislative updates, and distribute educational materials. The department has updated the booster brochure and distributed it to appropriate individuals. The assistant athletics director for compliance attends booster and alumni meetings to educate these groups on the importance of complying with NCAA legislation.

All Department of Intercollegiate Athletics staff members sign the Certification of Compliance form. Administrators outside the Department of Intercollegiate Athletics with significant involvement in student-athlete matters (e.g., Offices of Admissions, Student Retention Services, Financial Aid, the Provost, and the Senior Vice President) have received training regarding NCAA Compliance. All Department of Intercollegiate Athletics employee appointment letters and year-end evaluations emphasize the importance of compliance with NCAA legislation. The Department of Intercollegiate Athletics staff manual includes this information as well. The department distributed the manual to all athletics department staff in fall 2004, when all information relevant to staff was combined in one publication for the first time. Updates to the manual will be made when necessary and distributed to each staff member.

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

The Blue & Gold Athletic Scholarship Fund is an internal unit of the university that raises funds for student-athlete scholarships. The director and staff of the Blue & Gold Fund are full-time employees of the university within the Department of Intercollegiate Athletics and report to the senior associate athletics director.

The M Club is a membership organization comprised of all former Marquette letter winners; the M Club is independently operated and is incorporated separately from the university. The primary mission of the M Club is to provide support for Marquette student-athletes and to encourage camaraderie among alumni letter winners by hosting several fundraising and social events each year. The M Club also oversees the Marquette

University Athletics Hall of Fame induction and dinner, and each year honors an individual with the Hy Popuch Award for dedicated service to the M Club and Marquette Athletics. The Department of Intercollegiate Athletics staffs and plans M Club events to make certain that the activities are conducted under the control of the university and in compliance with all applicable NCAA regulations. The primary departmental contact is the associate athletics director.

The True Blue (formerly named the Eagles Edge) is an informal association of Marquette women's basketball supporters and volunteers with no formal board of directors. The women's head basketball coach is the primary departmental contact with the group. The Department of Intercollegiate Athletics staffs and plans True Blue events to ensure that the activities are conducted under the control of the university and in compliance with all applicable NCAA regulations.

The Marquette Golf Club is a group of Marquette men's golf team supporters. The head golf coach is the primary departmental contact with the club. Its primary activity each year is an annual golf outing fundraiser for the golf team. The Department of Intercollegiate Athletics staffs and plans the event to make certain that the activities are conducted under the control of the university and in compliance with all applicable NCAA regulations.

The Marquette Track Club is a group of Marquette men's and women's track team supporters. The Track Club is separately incorporated from the university. Its primary activity each year is an annual golf outing fundraiser. The head track coach is the primary departmental contact with the club. The Department of Intercollegiate Athletics staffs and plans the event to make certain the activities are conducted under the control of the university and in compliance with all applicable NCAA regulations.

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

The university upholds its unwavering commitment to compliance with NCAA rules. The president has designated the senior vice president as his representative for matters of NCAA rules compliance. The senior vice president serves jointly with the provost as the co-chief operating officers of the university.

The faculty athletics representative's involvement in the day-to-day operations of the Department of Intercollegiate Athletics include:

- * reviewing and signing eligibility documents required by the NCAA;
- * working directly with the assistant athletics director for compliance, should the faculty athletics representative have questions or concerns about issues such as student-athlete welfare, missed class time, initial and continuing eligibility, or NCAA rules;
- * maintaining oversight into any waiver requests made of the NCAA;
- * being copied and/or consulted on any self-reports of NCAA violations;
- * administering the NCAA Coaches Recruiting Test each spring; and
- * participating on the Athletics Board.

Though no major NCAA infraction has been committed in the history of the university, procedure for such an infraction calls for the NCAA faculty athletics representative to be directly involved in matters constituting major NCAA infractions and to be copied on secondary matters.

The director of intercollegiate athletics reports to the Office of the Senior Vice President. The director of intercollegiate athletics and senior associate athletics director (described below) are together responsible for all day-to-day administration of the department. The director of intercollegiate athletics also participates in weekly area heads meetings for the Division of Student Affairs. The director communicates the activities of that division, which include the areas of club and intramural sports, to the athletics staff. The director of intercollegiate athletics works directly with the president regarding NCAA and conference matters, as well as any intercollegiate athletics issues that directly affect the university.

The assistant athletics director for compliance reports to the president's designee, the senior vice president, with regard to matters of NCAA rules compliance. The assistant athletics director for compliance also monitors NCAA regulatory changes to ensure the university's readiness to comply with those evolving rules. The assistant athletics director for compliance has access to the senior vice president on an as-needed basis, and meetings between them take place several times per year. The assistant athletics director for compliance and the president meet privately at least once each semester to allow the president the opportunity for direct feedback in the compliance function. In the absence of the assistant athletics director for compliance, compliance questions are addressed to the associate athletics director for internal operations/senior woman administrator, as staff members are notified in their staff manuals and by the assistant athletics director for compliance.

The assistant athletics director for compliance has clear authority in investigating and self-reporting instances of NCAA violations. She works directly with the senior vice president and his office, independently of the director of intercollegiate athletics if necessary, to ensure the integrity of the program. In the absence of the senior vice president, or as necessary, the assistant athletics director for compliance reports directly to the president on serious NCAA matters. The assistant athletics director for compliance has access to the university president on an as-needed basis and copies him on all NCAA self-reported violations. The assistant athletics director for compliance has final authority

within the Department of Intercollegiate Athletics on rules compliance questions and issues, which bolsters the practical enforcement of NCAA rules.

All head coaches report to the director of intercollegiate athletics. Head coaches oversee their staffs. The Department of Intercollegiate Athletics Office of Academic Support and Student Programs issues annual reminders to coaches that they are not to contact instructors or deans' offices regarding the academic performance or standing of student-athletes. All academic inquiries regarding student-athletes are to be handled by the associate athletics director for academic support and student programs. The associate athletics director for academic support and student programs and the coordinator of academic programs for men's basketball report to the director of intercollegiate athletics.

The Offices of Undergraduate Admissions and Campus International Programs maintain primary contact with the assistant athletics director for compliance, who works to assure integrity in the processes of admissions and academic scholarship awards. The Office of Admissions or the Office of Campus International Programs monitors all admissions decisions by initiating relevant discussions to ensure that the decisions follow institutional policy. The Offices of Admissions and Campus International Programs are alerted as soon as the Department of Intercollegiate Athletics begins to recruit a prospective student-athlete. Admissions then is then able to accurately gauge the admissibility of the individual prospect and assist in advising accordingly, if needed. The assistant athletics director for compliance is notified when a prospective student-athlete is deemed inadmissible. The assistant athletics director for compliance then alerts the respective coach. The Offices of Admissions and/or Campus International Programs are notified when an admissible prospective student-athlete commits to the program by signing a National Letter of Intent or Offer of Athletics Aid.

The Office of Financial Aid provides assistance and oversight critical to the day-to-day Department of Intercollegiate Athletics operations. The director of student financial aid or his designee has final signatory oversight over squad list reports of financial aid totals, in accordance with NCAA reporting requirements.

The assistant athletics director for compliance serves as the main liaison to the Office of the Registrar in the student-athlete eligibility certification process. The assistant athletics director for compliance and the Office of the Registrar independently verify of academic eligibility, as required by institutional policy.

The university's outside audit firm conducts the NCAA-required annual audit in conjunction with the annual audit of the university. The university's Office of Finance coordinates each year's audit, and the results are reported to the president and the Board of Trustees Audit and Finance Committee.

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

The Department of Intercollegiate Athletics periodically e-mails rules compliance memos to Department of Intercollegiate Athletics staff. All staff members receive the *Guide to NCAA Rules for Alumni, Faculty, and Friends* and the *Blue & Gold Fund Sports Journal*, which also contains compliance information. As new NCAA legislation develops, the department conducts informational meetings with groups or individuals with involvement relevant to the rule change.

During the fall, the assistant athletics director for compliance meets with each team to explain NCAA rules to student-athletes and to collect signatures on pertinent forms. During the first week of school, the associate athletics director for academic support and student programs holds orientation meetings with all student-athletes. At this orientation, he distributes the Student-Athlete Handbook. The handbook is updated annually and contains NCAA guidelines to student-athletes and staff. The Student-Athlete Advisory Council also discusses NCAA rules and legislative changes at their regular monthly meetings and shares pertinent compliance information in the Student-Athlete Advisory Council (SAAC) newsletter, *In The SAAC*. The department also regularly posts rules-education information in athletics common areas.

On August 16, 2004, a representative group of student-athletes met with several members of Marquette University's NCAA Recertification Steering Committee. The students unanimously agreed that the assistant athletic director for compliance keeps them well informed of rules compliance.

The assistant athletics director for compliance conducts mandatory monthly compliance meetings for all head and assistant coaches to discuss NCAA rules and interpretations, give legislative updates, and distribute educational materials. The department frequently e-mails educational memos to coaches and offers interpretations of rules and legislation from Conference USA and the NCAA, as needed. Coaching staff members receive the *NCAA News* on a bi-weekly basis. The assistant athletics director for compliance holds additional meetings with the basketball teams if they qualify for the NCAA post-season tournament. The student-athletes sign a continuing eligibility affidavit.

Relevant university administrators outside of the Department of Intercollegiate Athletics receive pertinent memos and educational materials, including the *Guide to NCAA Rules for Alumni, Faculty, and Friends*, also available in the Compliance Corner section of the Department of Intercollegiate Athletics Web site. A compliance training session was also held in fall 2004 for selected administrators outside of Athletics who have frequent contact involving student-athlete matters (e.g., representatives from the Offices of Financial Aid, the Registrar, Campus International Programs, Admissions, the Provost, and the Senior Vice President).

The Department of Intercollegiate Athletics distributes the *Guide to NCAA Rules for Alumni, Faculty, and Friends* to members of the university community with athletics interests, such as season ticket holders, Blue & Gold Fund members, and booster club members. As compliance rules change between updated publications of this guide, the

assistant athletics director for compliance notifies constituents for whom the rules changes most directly apply. Notifying only the constituents most directly affected emphasizes the rules change to these parties. This practice also prevents potential inundation with compliance information that does not pertain directly to all parties. The *Blue & Gold Sports Journal* that is sent to boosters includes a “Compliance Corner” section featuring relevant NCAA rules and regulations. The assistant athletics director for compliance occasionally attends booster meetings to inform boosters of regulations governing their activities.

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

All Department of Intercollegiate Athletics staff members sign NCAA Form 03-2 certifying compliance for each academic year. This form holds each staff member accountable for maintaining compliance within the scope of their own actions and duties and for reporting any known violations to the assistant athletics director for compliance. Department employees are informed that violating NCAA regulations could affect their employment at Marquette.

1.3.9: Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals outside the athletics department who are involved in rules-compliance activities.

The university has instituted training on rules compliance for administrators outside the Department of Intercollegiate Athletics with significant involvement in student-athlete matters related to rules compliance (e.g., Offices of Admissions, Financial Aid, Student Retention Services, the Provost, and the Senior Vice President). Administrators are informed of how NCAA rules compliance directly pertains to the performance of their job responsibilities for the university as part of this NCAA rules compliance training. They are also informed that the university expects every employee to comply with all applicable rules governing university operations. Administrators are then asked to sign a Statement of NCAA Compliance form as part of their annual performance review and are directed to contact the assistant athletics director for compliance with any additional rules compliance questions.

1.3.10: Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of initial-eligibility certification. [Note: The institution may use elements of its response to self-study item No. 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

Initial-eligibility certification entails the following:

Step 1: A head or assistant coach makes initial contact with a prospective student-athlete. During this contact, the coach advises the prospective student-athlete:

a) of the NCAA Clearinghouse registration process, and

b) of the necessity of the Clearinghouse process to further recruitment efforts.

Step 2: After the initial contact, the coach must notify the assistant athletics director for compliance of the contact and provide her with general biographical information about the prospective student-athlete.

Step 3: The assistant athletics director for compliance compiles this information into a report form that is forwarded to the NCAA Clearinghouse. Once the prospective student-athlete has properly registered with the Clearinghouse and has designated Marquette as an institution that may receive further academic information, the assistant athletics director for compliance periodically monitors the Clearinghouse certification process online and compiles forthcoming information. The assistant athletics director for compliance checks codes that indicate which documents the Clearinghouse has received and ensures that the prospective student is eligible to compete during her or his freshman year.

Step 4: For prospective student-athletes under consideration for an offer of an official paid visit: If the prospective student-athlete's academic compliance with NCAA requirements is uncertain or if there is any indication that the prospective student-athlete might encounter problems attaining eligibility, the assistant athletics director for compliance requests that the prospective student-athlete provide a high school transcript that is then forwarded to both the associate athletics director for academic support and student programs and the Office of Admissions.

Step 5: Only in cases where Step 4 was required: Either the assistant athletics director for academic support or the designated liaison in the Office of Admissions will perform a complete analysis of the prospective student-athlete's compliance with the NCAA's initial eligibility requirements and will then advise the interested coach of the likelihood of the prospective student-athlete's achieving eligibility and admission to the university. Admissions has designated several liaisons whom coaches may contact directly to check the status of prospective student-athletes' application materials and to meet with prospective student-athletes when they make campus visits.

Step 6: As the academic year progresses, the assistant athletics director for compliance periodically notifies each head coach about the eligibility status of prospective student-athletes on the sport's prospective Clearinghouse list. Coaches are then responsible for informing each actively recruited prospective student-athlete of his or her Clearinghouse status and for requesting any additional information needed to complete the Clearinghouse process. Coaches are also responsible for notifying the assistant athletics director for compliance that a prospective student-athlete's name should be removed from the Clearinghouse list when the coach has decided to no longer pursue recruitment of the prospective student-athlete.

1.3.11: Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of

continuing-eligibility certification. [Note: the institution may use elements of its response to self-study item No. 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

Continuing eligibility for first- and second-year students is determined by the associate athletics director for academic support and student programs, based on the Academic Principles Agreement transcribed below. Third-, fourth-, and fifth-year students must complete 12 credits per term and maintain a cumulative QPA of 2.0 while meeting NCAA satisfactory progress guidelines. (Marquette determines a student's academic average and his/her eligibility to graduate using a QPA [quality point average] system, rather than a GPA [grade point average] system.)

Marquette University Department of Intercollegiate Athletics
Office of the Academic Support and Student Programs

Academic Principles Agreement

All students participating in intercollegiate athletics at Marquette University are expected to make "Satisfactory Progress" towards a degree. While Marquette University, Conference USA, and the NCAA each have specific definitions of minimum progress requirements that must be met in order for student-athletes to compete, student-athletes should understand that the Department of Intercollegiate Athletics intends for all student-athletes to graduate in four years.

To ensure that minimum standards are met and that graduation is pursued, the student-athlete is expected to subscribe to the following academic principles:

- * Student-athletes are expected to complete a minimum of 12 credits in both the fall and spring semesters and to earn a QPA of 2.0.
- * Other than absences due to competition, student-athletes are expected to attend all classes.
- * Student-athletes are expected to maintain contact with instructors outside of the classroom to ensure that competition-related absences cause minimal disruption to classroom routine.
- * Student-athletes are expected to consult with the associate athletics director for academic support and student programs regarding academic decisions (i.e., registration, add/drop, emergency absences from class, need for tutoring, declaration of major, etc.).
- * Student-athletes are expected to meet with the adviser assigned by their college.
- * All freshmen, and any other student identified by the associate athletics director for academic support and student programs, are required to attend Athletics Study Hall (**Eagle's Nest**).

* All student-athletes are expected to attend workshops and seminars provided by the department as part of its Eagle Flight Plan.

By signing this document the student-athlete agrees that he or she understands that meeting minimum eligibility standards does not guarantee the privilege of participation in intercollegiate athletics at Marquette University. Student-athletes who fail to adhere to the principles outlined in this agreement will have their eligibility put on a probationary status. Serious infractions relative to these standards can result in suspension of the student-athlete's eligibility to practice or to compete.

Tom Ford - Associate Athletics Director _____/_____
Student signature (Date)

end of transcribed form

Continuing eligibility is initially determined by the associate athletics director for academic support and student programs and forwarded to the assistant athletics director for compliance for inclusion on Conference USA squad lists. Eligibility information is verified by the associate registrar for records, who consults with individual colleges regarding progress toward degree. The faculty athletics representative and the registrar review eligibility lists and forward them to the conference office.

In cases where a student-athlete is declared ineligible, notification of that status is forwarded to the student-athlete, his or her coach, the intercollegiate director of athletics, the faculty athletics representative, and the senior vice president. Appeals of eligibility status are reviewed by the associate athletics director for academic support and student programs, the director of intercollegiate athletics, the faculty athletics representative, and the vice provost for undergraduate programs and teaching.

It should be noted that this appeals process applies only to those student-athletes who do not meet Marquette's standards for eligibility, which are more stringent than those of the NCAA. If a student-athlete does not meet the NCAA's criteria for eligibility, he or she is declared ineligible and may not appeal that decision to Marquette, but may appeal only to the NCAA.

1.3.12: Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of transfer-eligibility certification. [Note: The institution may use elements of its response to self-study item No. 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

Certification for transfer student-athletes begins with an analysis of a student's transcript by the applicant's college to determine transferable credit. Upon completion of the analysis, the associate athletics director for academic support and student programs and the assistant athletics director for compliance review the credits accepted to determine if satisfactory progress (in terms of eligibility) has been met. The students are listed on Conference USA squad lists as eligible/ineligible. All squad lists are reviewed by the registrar and the faculty athletics representative before submission to the conference office. Signed squad lists are submitted to the conference office prior to competition each semester. If student-athletes join the team late or their eligibility status changes, an updated squad list is sent to the conference office. Final authority for initial eligibility rests with the vice provost for undergraduate programs and teaching.

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

The Department of Intercollegiate Athletics has established the following guidelines for self-reporting violations of NCAA legislation. The guidelines have been adopted in conjunction with the Office of the President. All staff members are responsible for complying with NCAA rules and for reporting all potential violations to the assistant athletics director for compliance.

The assistant athletics director for compliance bears responsibility for investigating any allegation of a potential violation on campus and for self-reporting violations of NCAA legislation, when found.

A. Secondary Violations

1. Definition: A secondary violation is isolated or inadvertent in nature. It provides, or is intended to provide, only a minimal recruiting, competitive, or other advantage and does not include any significant recruiting inducement or extra benefit. Multiple secondary violations by a member institution may be considered collectively as a major violation.

2. Responsibility: Should the assistant athletics director for compliance determine that an inadvertent violation has occurred, the following procedures will be followed:

3. Procedures:

- a. The assistant athletics director for compliance gathers information regarding the violation and prepares a report of the violation.
- b. The assistant athletics director for compliance determines what corrective action should be taken in response to the violation, based on the circumstances of the case and on applicable precedent.
- c. After sharing the decision regarding corrective action with the director of intercollegiate athletics, the assistant athletics director for compliance sends the self-report to the NCAA national office with copies to the conference office, the director of

intercollegiate athletics, the faculty athletics representative, the president and his designee, and the involved coach(es).

B. Major Violations

1. Definition:

- a. A major violation is a purposeful violation committed with prior knowledge of the applicable rule and/or intent to violate it. Often, major violations are those that are not self-reported to the compliance officer by the coach, staff member, representative of the university's athletics interests, or student-athlete.
- b. All violations other than secondary violations are major violations, specifically including those that provide an extensive recruiting or competitive advantage. A series of similar secondary violations could also equal a major violation.

2. Responsibility: The assistant athletics director for compliance bears reporting responsibility for a major violation.

3. Procedures: If a potential rules violation occurs, the assistant athletics director for compliance conducts an immediate internal investigation and sends her report to the NCAA. The faculty athletics representative, the director of intercollegiate athletics and the general counsel may also be involved in this investigation, as necessary. The NCAA Committee on Infractions determines the consequences of any major violation, which may involve institutional penalties. These procedures are the same whether the investigation is institutionally initiated or if the NCAA sends the assistant athletics director for compliance a letter of inquiry.

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

NEW STUDENTS

1. As a potential recruit moves toward signing to come to Marquette, the assistant athletics director for compliance sends the NCAA Clearinghouse the prospective student-athlete's social security number to ensure he or she qualifies. If the student does not qualify, he or she is not signed; if Marquette finds the student is unqualified after he or she has signed, the student is unable to receive scholarships, practice, or compete.

2. When a prospective student-athlete is prepared to commit to come to Marquette, the assistant athletics director for compliance sends a packet containing: a National Letter of Intent for the prospective student-athlete's signature, a letter detailing the amount of their scholarship and the conditions required to keep it, and a Marquette Athletic Scholarship Application form which the prospective student-athlete must complete.

3. Completed, returned Marquette Athletic Scholarship Applications are sent to the registrar's office to verify each prospective student-athlete has been accepted; the

application is then sent to the director of financial aid. Copies of the application are kept in students' files in Office of Financial Aid and by the assistant athletics director for compliance.

4. The assistant athletics director for compliance also sends students another letter by July 1, per NCAA regulations, describing the amount of their scholarship; the letter is printed on Office of Financial Aid stationery and signed by the director of financial aid. The assistant athletics director for compliance sends incoming student-athletes a letter explaining that, per NCAA rules, all scholarship checks from outside sources must be reported prior to being cashed. They are also informed in the letter that under federal financial aid rules, all scholarships must be revealed to, or deposited with, the Office of Financial Aid.

SQUAD LIST PROCEDURE

1. The head or assistant coach submits team information for the squad list form to the assistant athletics director for compliance.
2. The assistant athletics director for compliance submits the form to the scholarship assistant for financial aid, who enters in the scholarship information, checks that the squad remains under the total units allowed, and returns the form to the assistant athletics director for compliance.
3. If the squad exceeds allowable units, the assistant athletics director for compliance works with the coach to adjust the list.
4. The head coach and the director of intercollegiate athletics must sign completed squad lists prior to that team's first competition.
5. The assistant athletics director for compliance faxes completed, signed squad list forms to the conference office. She also maintains her own file of the forms.

RENEWALS

1. The assistant athletics director for compliance sends a renewal letter, printed on Office of Financial Aid stationery and signed by the director of financial aid.
2. This letter must be sent to student-athletes by July 1, per NCAA regulations.

NON-RENEWALS

Introductory Note: While scholarships are offered on a year-to-year basis, the university's policy is to renew scholarships; non-renewals occur only if a student-athlete chooses to

leave or if a student-athlete does not adhere to the Student-Athlete Code of Conduct or violates team or university rules. The Code of Conduct is in the student-athlete handbook that all student-athletes receive annually at student-athlete orientation. It is also discussed at the pre-season meeting with the assistant athletics director of compliance.

1. When a student voluntarily withdraws from the university or their sport, for whatever reason, the assistant athletics director for compliance provides him or her a Voluntary Relinquishment of Financial Aid form to sign and return. If the student is under the age of 18, his or her parents also sign this form.

2. If a student is asked to leave:

a. The student-athlete's coach alerts the assistant athletics director for compliance that he or she does not want to renew the student. The coach must have documented the problem, have given the student a verbal warning of the problem, and have discussed an evaluation of the student-athlete's performance with him or her.

b. The assistant athletics director for compliance informs the director of intercollegiate athletics of the non-renewal.

c. The assistant athletics director for compliance sends a letter notifying the student of the cancellation of his or her scholarship and offering the student the option to appeal.

d. If the student chooses not to appeal, the assistant athletics director for compliance provides him or her a Voluntary Relinquishment of Financial Aid form to sign and return. If the student is under the age of 18, his or her parents also sign this form.

e. If the student-athlete chooses to appeal, the Financial Aid Committee hears the appeal. The voting members of the FAC include six faculty appointed by the provost and two students appointed by the Marquette University Student Government. Non-voting members of the committee include the director of financial aid, the senior assistant director of financial aid, the scholarship assistant for financial aid, and a designated member of the Office of Admissions.

APPEAL PROCEDURES:

Prior to the hearing:

* The student writes an appeal letter, explaining why he or she should keep the scholarship.

* The student's coach submits materials documenting and explaining his or her rationale for not renewing the student's scholarship.

Following the hearing:

* The committee reviews this material and issues a ruling. Criteria for evaluation vary slightly with each case, but generally include whether the student has left the team, has broken team rules, or has broken university rules or policies.

STIPENDS, TUITION, FEES

For all student-athletes receiving athletic scholarships, the following procedures apply:

1. The Office of Financial Aid pays all tuition, room and board, and fees for the first two years, if covered by the athletic scholarship.
2. Student-athlete stipends are disbursed as monthly checks and are distributed directly by the compliance staff in the Department of Intercollegiate Athletics.
3. After the first two years, if the student continues to live in university housing, the Office of Financial Aid continues to directly pay all tuition, room and board, and fees. However, if the student lives outside university housing, room and board becomes included in their monthly stipend checks from the Department of Intercollegiate Athletics.
4. If a student has changes in fees (e.g., change in meal plan), the associate athletics director for internal operations alerts the senior assistant director of financial aid to make adjustments for the difference.
5. Special financial aid issues for foreign students (such as income tax) are handled by the associate athletics director for internal operations.

SPECIAL ASSISTANCE FUND

1. In case of emergency or special need, students can apply to the assistant athletics director for compliance, who has access to special assistance funds. The assistant athletics director for compliance will verify their financial need with the senior assistant director of financial aid and then notify the students of whether they are eligible to receive the funds.
2. Upon disbursing the funds, the assistant athletics director for compliance notifies the senior assistant director of financial aid, who ensures that the student does not surpass the federally authorized level of financial aid he or she is eligible to receive.

SUMMER SCHOLARSHIPS

1. Student-athletes who wish to attend summer school apply to the associate director of athletics for academic support and student programs.

2. The associate director of athletics for academic support and student programs leads a review committee to consider applications and issue decisions. This committee is composed of himself, the associate director of athletics for internal operations, and the director of intercollegiate athletics.
3. The committee evaluates summer school scholarship applications on the basis of two criteria: academic need and funds available.
4. The associate director of athletics for academic support and student programs notifies the senior assistant director of financial aid of which student-athletes have been approved to take extra classes.
5. The senior assistant director of financial aid then authorizes payment of the accompanying tuition and fees.
6. These student-athletes collect summer stipends through the compliance office in the Department of Intercollegiate Athletics.

FIFTH YEAR SCHOLARSHIPS/ELIGIBILITY EXHAUSTED

1. Student-athletes who wish to receive a fifth year of financial aid apply to the associate director of athletics for academic support and student programs.
2. The associate director of athletics for academic support and student programs evaluates these applications on the basis of eligibility** and academic need, and issues his recommendation to others on the review committee. The review committee is composed of the associate director of athletics for academic support and student programs, the associate athletics director for internal operations, and the director of intercollegiate athletics. The committee approves or denies each application. (**NOTE: "Eligibility" here refers to professional athletic status. Students who have signed contracts with professional athletic teams are no longer eligible for financial aid.)
3. The associate director of athletics for academic support and student programs notifies the senior assistant director of financial aid of which student-athletes have been approved for a fifth year of aid.
4. The senior assistant director of financial aid then authorizes payment of the tuition and fees for these student-athletes' classes.
5. The compliance office in the Department of Intercollegiate Athletics continues to handle student-athlete stipends for the fifth year.

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

CONTACTS AND EVALUATIONS

Coaches must submit weekly contact and evaluation forms to the Athletics compliance office. Expense reports submitted to the Intercollegiate Athletics business office are approved by the assistant athletics director for compliance prior to reimbursement.

OFFICIAL VISITS

1. Prior to an official visit, the prospective student-athlete must provide the assistant athletics director for compliance with a PSAT, SAT, PLAN (or PACT Plus) or an ACT score from a test taken on a national testing date under national testing conditions. The score must be provided in writing from an official high school or testing agency. The prospective student-athlete must also provide the university with a high school (or college) academic transcript.
2. The assistant athletics director for compliance provides the prospective student-athlete written notification of the five-visit limitation at the time of the invitation, but prior to the visit.
3. Prior to the visit, the student-host must read and sign the Student Host Instructions form and submit it to the assistant athletics director for compliance within three days of the conclusion of the visit.
4. The prospective student-athlete must sign the Prospect Official Visit Paid Summary form, prior to departing from campus. Once the official visit packet is completely filled out, it must be submitted to the assistant athletics director for compliance within three days of the conclusion of the visit.
5. Upon the conclusion of the official visit, the student host must complete the Student Host Expense Report and submit it to the assistant athletics director for compliance within three days of the conclusion of the visit.

NATIONAL LETTERS OF INTENT

1. Coaches must provide to the assistant athletics director for compliance the name, address, and athletic scholarship offer amount for each prospective student-athlete. The National Letter of Intent and an athletic scholarship agreement are then mailed to the prospective-student athlete in accordance with the designated signing dates.
2. Upon receiving the signed National Letter of Intent and Athletic Scholarship Agreement, the assistant athletics director for compliance examines the letters to confirm all required signatures and dates are recorded prior to submitting them.

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

PROCESS

1. The coach (or designee) of the sport hosting the camp or clinic selects dates and locations and checks availability of facilities with associate athletics director for facilities and event management.
2. The coach (or designee) clears all brochures and advertising for the sport camp or clinic with the assistant athletics director for compliance.
3. The director of intercollegiate athletics must give prior approval of all student-athletes employed at the camp or clinic.
4. The coach (or designee) submits to the intercollegiate athletics business office a list of all individuals to be employed by the camp or clinic, including the individual's current status (high school coach, student-athlete, volunteer, etc.), pay scale, and duties to be performed at the camp or clinic; a copy is also given to the assistant athletic director for compliance. All fees to attend camp are processed through the Department of Intercollegiate Athletics business office.
5. Once the camp or clinic is completed, the Athletics business office provides the assistant athletics director for compliance a report of the wages paid to all student-athletes employed through Marquette sport camps. All wages are paid by Marquette University.

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

PLAYING AND PRACTICE SEASON

1. Coaches must submit the Designation of Playing and Practice Season Form to the assistant athletics director for compliance prior to start of the season. The assistant athletics director for compliance reviews and approves these forms.
2. Changes in the declaration are permissible and must be filed in writing with the assistant athletics director for compliance.
3. Coaches must submit weekly practice logs to the assistant athletics director for compliance for her regular review.

TRAVEL

1. Coaches must submit an itinerary for any team travel to an away-from-home competition prior to leaving campus.
2. The assistant athletics director for compliance approves all expense reports prior to reimbursement.

EMPLOYMENT

1. Student-athletes are permitted to have jobs with prior permission of their head coach.
2. Once the coach gives the approval, the student-athlete must meet with the assistant athletics director for compliance to fill out the proper paperwork and discuss the guidelines for employment.
3. The student-athlete's employer must sign the forms and return them to the assistant athletics director for compliance for approval prior to the student-athlete's employment.

TICKETS

1. Student-athletes are permitted four complimentary admissions per regular-season home event in their sport. Student-athletes provide a list of their guests' names to their head coach prior to the event. The coach provides a pass list to the ticket office. The ticket office personnel who work the gates/ticket windows at all home events are responsible for following NCAA guidelines regarding complimentary admissions.
2. Student-athletes are permitted six complimentary admissions per post-season (Conference and NCAA) tournament game in their sport.
3. Complimentary passes are distributed through a "pass list" only; no hard tickets are issued as complimentary passes.
4. The recipient of the complimentary admission must present valid identification at the gate in order to utilize her or his pass. Upon presenting a valid ID, the person will be presented with a hard ticket to a specific reserved seat, or will be treated as a general admission ticket holder.
5. Student-athletes are reminded at the beginning of the year that they may not sell or exchange complimentary admissions, nor assign them for any item of value.

6. The assistant athletics director for compliance has assisted with ticket distribution at NCAA basketball tournaments the past few years.

1.3.18: Indicate the dates of the institution’s rules-compliance program evaluation conducted by an authority outside of athletics at least once every four years.

The dates of the most recent review were June 17 and 18, 2002. The review team included Noreen Morris, Assistant Commissioner for Legislative Services, Conference USA; and Myra Fishback, Assistant Director of Compliance and Championships, Conference USA. The individuals were selected by Conference USA.

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

Conference USA selected Noreen Morris, Assistant Commissioner for Legislative Services, Conference USA; and Myra Fishback, Assistant Director of Compliance and Championships, Conference USA, to conduct the institution’s rules-compliance evaluation.

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

Question	Currently Yes	Currently No
Does the institution demonstrate that it has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program?	<input type="checkbox"/>	<input type="checkbox"/>
Does the institution demonstrate that In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department?	<input type="checkbox"/>	<input type="checkbox"/>
Does the institution demonstrate that rules compliance is the subject of an ongoing educational effort?	<input type="checkbox"/>	<input type="checkbox"/>
Does the institution demonstrate that a clear and unambiguous	<input type="checkbox"/>	<input type="checkbox"/>

commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program?		
Does the institution demonstrate that at least once every three years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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

Yes No

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

The 2002 Conference USA evaluation identified no corrective actions. The evaluation contained several major and a number of minor recommendations, which the assistant athletics director for compliance has begun implementing. The assistant athletics director for compliance has addressed two major areas of concern identified by Conference USA in its 2002 evaluation: more formal documentation of compliance policies and procedures, and more frequent compliance training. In September 2004, the assistant athletics director for compliance published and distributed a staff manual for compliance policies and procedures. The assistant athletics director for compliance conducts mandatory monthly compliance meetings for all head and assistant coaches to discuss NCAA rules and interpretations, give legislative updates, and distribute educational materials.