

## GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE COMMITTEE

### Exhibit List

<u>Number</u>	<u>Description</u>
1	*1997-98 University of Florida Undergraduate Catalog (University Mission Statement - pg. 18)
2	*University Athletic Association Mission Statement
3	University Athletic Association Articles and Bylaws
4	1996-97 University of Florida Athletic Year in Review
5	University of Florida Gator Support Organization Financial Report
6	*University Athletic Association Organizational Chart
7	University of Florida Compliance Flow Chart
8	*1997-98 University of Florida Athletics Compliance Policies & Procedures Manual
9	University of Florida Eligibility Flow Chart
10	1996-97 University of Florida Student-Athlete Handbook
11	September 1997 "Compliance Illustrated" Newsletter
12	1997-98 University of Florida NCAA Rules Compliance Brochure
13	University of Florida Head Coach and Senior Administrative Contracts
14	University of Florida Professional Sports Counseling Panel Brochure
15	*University of Florida Organizational Chart
16	*University Athletic Association Board of Directors Membership List
17	*State of Florida Board of Regents Membership List
18	*Gator Boosters, Inc. Board of Directors Membership List
19	*Gator Boosters, Inc. Constitution and Bylaws
20	*University of Florida Conference Membership and Sports Sponsored

\* Document required by self-study instrument

## **Governance and Commitment to Rules Compliance Committee**

**Self-Study Item #1: Describe any recent major changes in policy and organization that affect the institution's current efforts in matters related to the operating principles listed previously regarding institutional athletics governance and rules compliance, focusing on those implemented during the last three years.**

Although the Athletic Association has been subject to strong governance by the University of Florida for many years, several recent changes have been made to enhance its organizational structure, in part to provide increased control in the area of governance and rules compliance. Organizational changes that improved governance and rules compliance, consistent with OP 1, 3 and 4, include the enhancement of the compliance office and its staff.

Four years ago the compliance office consisted of only one full-time staff member, who was an Associate Athletics Director. In 1993, a second full-time position was added and, with the current restructuring, that person was upgraded to the Assistant Athletics Director level. In 1994, the Office of Student Life's Senior Administrative Assistant position was enhanced and reclassified as the Assistant Coordinator for Compliance and Student Services. The responsibilities of the person in this position include using NCAA software to create squad lists, issuing and processing scholarship offers and national letters of intent, and performing other compliance related tasks.

Additionally, in 1995 a Graduate Assistantship position was created in the compliance office to improve the quality of compliance efforts within the Athletic Association. With the additional staff members, the compliance office became the central office for monitoring and housing recruiting records, rather than relying primarily on coaches to maintain their own records, consistent with OP 2. Also, in April 1997, the Assistant to the Director in charge of athletic equipment began reporting to the Assistant Athletics Director for Compliance. This change serves to improve rules compliance as it relates to student-athletes using and/or receiving equipment and awards.

In response to suggestions resulting from a compliance audit that the Athletic Association requested the NCAA perform in 1994, consistent with OP 6 and 7, the Athletic Association created several new policies related to rules education for its boosters and representatives of its athletics interest. Now, local booster club officers are invited to an annual meeting where athletic department officials explain and discuss NCAA/Southeastern Conference rules and the consequences of breaking the rules, and answer questions that the officers may have. In addition, the officers of those clubs are provided with copies of the University of Florida's NCAA/Southeastern Conference rules compliance brochure for all members of their clubs. The brochure is produced each year specifically for boosters and representatives

of the institution's athletics interests and mailed to the approximately 12,000 members of Gator Boosters, Inc., and is also mailed to members of the Gainesville Chamber of Commerce each fall with a letter from the Director of Athletics asking for their assistance in complying with NCAA/Southeastern Conference rules throughout the coming year.

The University of Florida has also developed an "Ask Before You Act" campaign that includes the University President, the Director of Athletics and head coaches. These radio and television spots are aired during all broadcasts of University of Florida athletic events, the spots are read prior to every home football game, and the "Ask Before You Act" campaign is printed in all athletic programs, media guides, booster membership publications and the *student-athlete handbook*. The compliance office regularly receives inquiries as a result of the campaign.

Other changes in organization consistent with OP 5 include the addition in 1993 of funding for a Financial Aid Coordinator and an Admissions Representative position. These individuals perform duties related to student-athletes, but are employees of offices external to the Athletic Association and report to supervisors of those departments. The Athletic Association also funds attendance at NCAA and Southeastern Conference conferences throughout the year for these and other admissions and financial aid staff members to ensure that they are familiar with the governing rules and regulations in their areas.

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### **Self-Study Item #2: Explain how the mission of the athletics program relates to that of the institution as a whole.**

The University of Florida, as a major comprehensive public land grant research institution, embraces its teaching, research, and service missions throughout the state and nationally. The University's teaching mission is defined as "the formation of educated people, the transformation of mind through learning, and the launching of a lifetime of intellectual growth." The service mission includes "a commitment to the development and transmission of practical knowledge," and its research mission is carried out "to expand our understanding of the natural world, the world of the mind, and the world of the senses," all to nurture and prepare "generations of educated people to address the problems of our societies" (see exhibit 1).

Consistent with OP 1, the recently created mission statement of the Athletic Association specifies that its mission is to advance directly the University's tri-partite missions. The Athletic Association defines its mission as follows: "Through the education and the promotion of health and physical welfare of students, the University Athletic Association seeks to link experiences of all backgrounds, races, origins, genders and cultures to prepare generations of students to be productive members of society." The Athletic Association further defines its task as "dedicated to the intellectual, physical, and personal development of the student-athlete," which is deemed "at the core of our responsibility to the University, to our students and to the public at large" (see exhibit 2).

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**Self-Study Item #3: Describe the process followed and the role of various participants in the development, formal approval and most recent review of the mission of the athletics program. Also describe how and to whom the completed mission statement is circulated.**

The Athletic Association's mission statement was developed by a committee appointed by the University President in 1995 that included the Director of Athletics, the Chair of the Intercollegiate Athletics Committee, the University's General Counsel, a current member of the Athletic Association Board of Directors, a former member of the Athletic Association Board of Directors, the Faculty Athletics Representative, the Vice-President for Student Affairs, and the President of Gator Boosters, Inc.

The committee met over a period of two years and developed the mission statement after a great deal of thought and discussion with various individuals. The committee developed the mission statement to convey what the Athletic Association tries to achieve, and all athletic practices, policies and decisions must be consistent with the mission. After the development of the mission statement, it was approved by the Athletic Association Board of Directors.

Based on the recommendations of the Governance and Commitment to Rules Compliance Committee during the certification process, the Athletic Association made revisions to its mission statement in order for it to reflect more closely the University's mission.

The approved mission statement was printed in the employee handbook, an employee newsletter, and in all athletic publications (e.g., media guides, game programs and booster publications); it was also posted in all athletic facilities, and was distributed to the Intercollegiate Athletics Committee and the University Senate. The revised mission statement, similarly, will be distributed widely for comment and publication.

## **Governance and Commitment to Rules Compliance Committee**

**Self-Study Item #4: 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 representatives(s), the director of athletics, and any other key individuals or groups (e.g., faculty, students) in this process.**

The University President is involved in the process for all major decisions regarding intercollegiate athletics. The Director of Athletics reports directly to the President and consults with him on all major decisions. The President serves as the Chairman of the Board of the Athletic Association and attends its meetings, as well as serving as Chairman of the Board and attending the meetings of Gator Boosters, Inc. All major decisions regarding athletics are approved by the University Athletic Association Board of Directors, which includes the University President, Provost, the Vice-President for Administration and Finance, the Faculty Athletics Representative, a designee of the State University System's Board of Regents, faculty members, students, and two board members external to the University who possess expertise in specific areas (see exhibit 3). All board members are either ex-officio as University administrators or a Board of Regents designee, or appointed by the University President. Thus, the University's governing Board of Regents, as well as the University President, Faculty Athletics Representative, University administration, faculty and students has direct participation in all major decisions related to athletics at the University of Florida consistent with OP 2.

As a direct result of the comprehensive review and recommendations issued in 1991 by the *Quest for Balance* task force appointed by the President to review the University's intercollegiate athletics program, the President established as separate bodies the University's Intercollegiate Athletics Committee and the Athletic Association Board of Directors. Previously, these bodies had virtually identical membership and met as a single body. The University's Intercollegiate Athletics Committee, appointed by the University President and comprised of faculty, students, and others primarily external to the Athletic Association, assists the University President in setting policy for matters relating to intercollegiate athletics. The Chair of the Intercollegiate Athletics Committee is a member of the Athletic Association Board of Directors. Finally, the Chair of the Intercollegiate Athletics Committee and the Faculty Athletics Representative both have direct reporting lines to the University President consistent with OP 4 and 5.

## **Governance and Commitment to Rules Compliance Committee**

**Self-Study Item #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).**

The University of Florida is governed by a central State Board of Regents which, like similar boards, oversees the operations of ten state universities in the State of Florida. The Board of Regents does not involve itself in operational decision-making within the universities but, rather, generally expects the institutions to make such decisions. The University remains accountable to the Board of Regents for its actions. The Board of Regents is ultimately responsible to the Governor and Legislature, which periodically sets policies governing intercollegiate athletics at Florida universities.

The Board of Regents has a more direct role in decisions relating to intercollegiate athletics, consistent with OP 3. As a direct support organization of the University of Florida, the Athletic Association is required to include a member of the State Board of Regents or its designee to serve on the Athletic Association Board of Directors. Because of this requirement and the active role the Athletic Association Board of Directors plays in decisions of the Athletic Association, virtually every major decision of the Athletic Association over the past three years involved the State Board of Regents through its designee.

For example, the Board of Regents became concerned with the issue of student-athletes regularly attending classes as a result of an abuse at one of the other state institutions. The University of Florida already had in place an appropriate class attendance policy applicable to all students, and a stricter policy for student-athletes. Thus, when the issue arose, no new policy or procedures were needed. The University of Florida's Director of Athletics has reported in the past to the Board of Regents on policy and operational aspects of NCAA and Southeastern Conference rules compliance, and the Board of Regents has been satisfied with the University of Florida's continued efforts to ensure integrity in this area. Other areas of decision-making related to athletics where the State Board of Regents' designee and other members of the Athletic Association Board of Directors have been involved include enhancing and funding the compliance office, funding of salaries of staff members employed by the financial aid and registrar's offices, building and renovating athletic facilities, setting coaches salaries, setting the athletics program budget, and reviewing external audits.

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**Self-Study Item #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 University President is significantly involved in every major decision that involves athletics and has final authority over all such decisions consistent with OP 3. The President's role is asserted not only in his direct supervisory relationship with the Director of Athletics, but also as chairman and an active member of the Athletic Association Board of Directors and its key committees. Some of the decisions related to intercollegiate athletics in which the University President has been significantly involved over the past three years include requiring that student conduct code violations by student-athletes be administered by the Vice-President for Student Affairs, ensuring through an enforced class-attendance policy that student-athletes have integrity in academic pursuits, determining whether to fund construction and renovation of athletic facilities, adding two women's sports and funding women's sports to assure compliance with Title IX, revising the policy for football ticket distribution to ticket holders, determining the appropriate University sanction for a student-athlete who had involvement with a sports agent, approving the Athletic Association yearly budget and any budget adjustments made during the year, and personally participating in a televised public service message promoting the "Ask Before You Act" campaign of NCAA/Southeastern Conference rules compliance.



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**Self-Study Item #7: Describe the activities that the institution has established for its athletic booster groups and other representatives of the institution's athletics interests, as well as those organized or initiated by booster groups. Also, describe how the activities of these groups and individuals are maintained under the clear control of the institution, including whether institutional personnel serve on booster club or foundation boards.**

The mission of Gator Boosters, Inc., is "to strengthen the University of Florida's athletics program by encouraging private giving and volunteer leadership from Gators everywhere." Gator Boosters, Inc. provides financial and other support to the Athletic Association for endowments and facilities. Gator Boosters is a direct support organization of the University with a board of directors as specified by Board of Regents' and University policies consistent with OP 2 and 3. The President of the University serves as chairman and as an active member of the Gator Boosters, Inc. Board of Directors, participating on its executive committee and providing budget approval. The Director of Athletics serves on the Board of Directors as well. The Executive Director of Gator Boosters, Inc. reports jointly to the University's Vice-President for Development and Alumni Affairs and to the University's Director of Athletics, both of whom report to the University President. In addition, a designee of the State Board of Regents serves on the Gator Boosters Board of Directors (see exhibit 4).

Florida's Alumni Association organizes nationwide Gator clubs. These clubs exist in most major cities and across the world. These clubs report to the Alumni Association and focus on educational enhancement with some emphasis on athletics. The Director of the Alumni Association, who holds the title of Assistant Vice-President and Executive Director for the Alumni Association, reports directly to the University's Vice-President for Development and Alumni Affairs. Members of the Gator Boosters professional staff are also involved in Gator club functions to increase the element of institutional control pursuant to OP 2.

There are local sport-specific booster clubs that organize fan support for Gator sports. An athletics department staff member is assigned to each of these groups as liaison and attends their meetings, providing guidance as well as information on NCAA/Southeastern Conference rules compliance.

All booster groups are continuously educated about NCAA/Southeastern Conference rules in a variety of ways, including the distribution by the Athletic Association of specially-tailored publications targeted at booster groups. The Associate Athletics Director for Compliance attends meetings with many of the groups to discuss rules and the importance of adhering to them. The Associate Athletics Director for Compliance also meets with the Gator Boosters Board of Directors on a quarterly basis and is very involved in its activities. In addition, he meets with the Gator clubs at a yearly

leadership seminar to address compliance issues and each year, officers of the local clubs are invited to a meeting at the Athletic Association where the newly elected officers are introduced to the Director of Athletics and the compliance staff and informed of the importance of adhering to the rules.

The Athletic Association requires these clubs on all levels to submit an annual financial report (see exhibit 5) and, in the case of the Gator clubs, the University of Florida Foundation administers their funds.

To ensure the education of other representatives of the University's athletics interests, the University provides information about NCAA/Southeastern Conference rules compliance to local businesses through the local Chamber of Commerce, to ticket holders through policies included in various publications received by ticket holders, and to various booster groups as described previously. Finally, the Athletic Association communicates directly with individual representatives of the University's athletic interests as the need arises when identified by booster groups, the compliance office, other University units or by external sources.

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**Self-Study Item #8: Describe how the institution has organized itself to maintain compliance with NCAA rules. 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., recruiting coordinator, financial aid officer, admissions director, internal auditor) who are responsible for documenting and monitoring compliance with NCAA rules.**

At the Athletic Association, assistant coaches report to the head coach of the relevant sport. Head coaches report to the administrator who oversees that sport (see exhibit 6). In the area of rules compliance, the Associate Athletics Director for Compliance is given authority to supervise all rules compliance issues arising from coaches. The compliance office reports to the Director of Athletics who reports to the University President (see exhibit 7). The Associate Athletics Director for Compliance supervises a staff of three.

The compliance office has the responsibility to coordinate the rules compliance efforts. Consistent with OP 5, the office works very closely with the University President, the Director of Athletics, the Faculty Athletics Representative and the General Counsel. Coaches are responsible for completing the necessary paperwork for recruiting purposes (e.g., telephone logs, contact forms, evaluation forms, official visit forms, see exhibit 8 - pg. 1-17) and submitting them to the compliance office prior to the trip or visit. The compliance office monitors weekly telephone calls, daily, weekly and monthly hour limitations, playing and practice sessions, contact and evaluation restrictions, quiet and dead period restrictions, and other recruiting issues on a daily basis. The compliance office keeps a binder for each sport that contains copies of all recruiting records for that sport. The coach and the business office also keep copies of such records for their files.

The Office of Student Life works with the Office of the University Registrar, which includes the Office of Admissions, to ensure that all student-athletes have completed the necessary requirements to be considered qualifiers for initial eligibility purposes and have satisfied continuing eligibility requirements (see exhibit 9). The financial aid office monitors awards to ensure that athletes do not receive aid in excess of the cost of attendance. Administrators within the Office of Student Life, the Registrar's office, and the financial aid office, with the Director of Athletics and the Faculty Athletics Representative, share the responsibility of certifying student-athletes on the squad lists.

In 1994, the Athletic Association requested that the NCAA conduct a rules compliance review of its activities. In addition, the Athletic Association requested that the Southeastern Conference conduct a follow-up compliance review in 1996. Subsequent to each of these reviews, the Athletic

Association implemented the few recommendations identified by the reviewers.

In response to the recommendation of the Governance and Rules Compliance Committee during the certification process that additional audits be implemented pursuant to OP 7, the Athletic Association has asked the Office of the Inspector General to conduct an audit of the financial aid office. This process will be repeated on a regular basis with the focus on different areas.

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### **Self-Study Item #9: Describe the procedures by which the institution processes alleged or self-discovered violations of NCAA rules.**

Any report of a possible rule violation, including an anonymous allegation, is investigated by the institution. The Director of Athletics instructs the Associate Athletics Director for Compliance and members of the compliance staff to look into the allegations and determine if there is any possible merit to them. For secondary violations, the Director of Athletics, through the compliance staff, reports the violation to the Southeastern Conference and informs the Faculty Athletics Representative and the General Counsel. If action is deemed necessary by any of these individuals, such action is taken and reported to the NCAA and conference office. For secondary violations that are determined to be a coach's, student's, staff member's, or representative's disregard of a rule of which such person should know, or where there is a pattern of violations, the Director of Athletics in conjunction with the General Counsel, and possibly the President, will determine appropriate disciplinary action, which may include termination from employment. The Athletic Association emphasizes the need to self-report any NCAA/Southeastern Conference rules violation and regularly reports secondary violations to the NCAA/Southeastern Conference (see exhibit 8 - pg. 111-114).

For allegations of major violations, the University's General Counsel is immediately notified by the Director of Athletics. The General Counsel, who reports to the University President, assumes responsibility for the investigation and reports to the President on the status of the investigation. The Director of Athletics and Faculty Athletics Representative are also notified and kept apprised by the General Counsel. The General Counsel will recommend the use of an outside investigator when deemed appropriate. The institution will select outside counsel who has knowledge of rules compliance and who will ensure integrity in the investigation.

At the conclusion of the investigation, the institution will report to the NCAA/Southeastern Conference the institution's findings and disciplinary action or other sanctions taken by the institution if violations are determined to have occurred. All these steps are taken consistent with OP 2, 3, 5 and 6.

The General Counsel, the Associate Athletics Director for Compliance and the Faculty Athletics Representative meet on a monthly basis to discuss compliance issues and any violations that may have occurred. The Associate Athletics Director updates the Director of Athletics on a continual basis. In this way, if inadvertent violations seem to occur on a repeated basis, efforts can be made to improve education in that area. The President has final authority on all matters regarding investigating and reporting NCAA/Southeastern Conference rules violations.

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**Self-Study Item #10: Describe the institution's rules-education efforts for student-athletes, athletics department staff members, other institutional staff members and representatives of the institution's athletics interests.**

The University of Florida has a wide-reaching rules education program for students, coaches, administrators, staff, boosters, representatives of its athletics interest, and others consistent with OP 2, 5 and 6.

Prior to the first day of classes in the fall every year, student-athletes attend a welcome back reception at which the Director of Athletics and the Associate Athletics Director for Compliance address them regarding the seriousness of complying with NCAA/Southeastern Conference rules. Student-athletes are given a bullet page of NCAA/Southeastern Conference rules during the first week of classes in the fall when they meet with members of the compliance staff to sign the NCAA student-athlete statement and other required compliance forms (see exhibit 8 - pg. 62-81). In addition to the distribution of the bullet page, rules are discussed at the meeting. The Athletic Association sponsors presentations by sports figures or other guest speakers to talk to student-athletes about various topics, including the achievement of success by doing things the right way. Athletic Association staff members also speak with student-athletes on occasions throughout the year as needed.

Student-athletes receive a copy of the *Student-Athlete Handbook*, either after they sign a national letter of intent or when they arrive at the University. It informs them of the need for compliance with NCAA/Southeastern Conference rules and the expectation at the University that they will comply (see exhibit 10). Monthly newsletters, which include a compliance section, are distributed through the Office of Student Life. All student-athletes are required to attend an orientation program conducted by the Office of Student Life; compliance staff members attend as well.

Athletics department staff members receive a compliance newsletter every month (see exhibit 11) featuring a quiz on NCAA/Southeastern Conference rules as well as brief rule clarifications relative to the upcoming month's events (*e.g.*, national letter of intent signing, summer camps). Every year, the University President and the Director of Athletics meet with the athletics department staff to discuss NCAA/Southeastern Conference rules and the consequences if rules are broken. In addition, the Director of Athletics addresses rules compliance issues at a monthly coffee held for Athletic Association staff members. The Athletic Association produces and distributes annually a brochure on NCAA/Southeastern Conference rules compliance tailored to boosters and representatives of the institution's athletics interests (see exhibit 12, as previously referenced in SS #1); it is

also given to every Athletic Association employee. Adherence to NCAA/Southeastern Conference rules is a condition of employment as stipulated in specific provisions in the employment contract (see exhibit 13).

As part of the orientation program for new coaches and/or staff, the compliance staff and members of all other Athletic Association departments (e.g., travel, business, purchasing) meet with the new employee(s) to explain proper procedures in each of those areas that have been established to comply with NCAA/Southeastern Conference rules (e.g., host money forms, expense report forms, official visit forms). Head coaches and staff members of both the Athletic Association and the University also receive copies of the annual University of Florida Guide to NCAA Rules, University of Florida Athletics Compliance Policies and Procedures Manual (see exhibit 8), and the NCAA Manual.

The “Ask Before You Act” campaign mentioned in SS Item #1 is a major way that the University of Florida educates its boosters and athletics representatives, as well as all other University constituencies. The radio and television spots are broadcast during every University of Florida sporting event and are played prior to all home football games. The “Ask Before You Act” campaign is printed on all compliance brochures, media guides and in game programs. This program has been received very well by the public. The compliance office receives numerous calls every week with individuals calling to ask questions about NCAA/Southeastern Conference rules. The brochure entitled “NCAA Rules Compliance” is given to all members of booster clubs, all athletics department staff, all local Chamber of Commerce members, and is made available to the general public.

In addition, the University has an active Professional Sports Counseling Panel (see exhibit 14) which educates student-athletes on issues relating to professional sports careers. The panel, comprised of the University’s General Counsel, a professor of law, a professor of business and finance, and the Associate Athletics Director for Academic Affairs, participates in class lectures, works with student-athletes one-on-one and with coaches directly. Information about the panel is distributed to freshmen, and refresher information is provided to student-athletes throughout their collegiate tenure. Intensive efforts are made with student-athletes in their junior and senior years. Such education includes information about compliance with NCAA/Southeastern Conference rules and with laws/rules concerning contacts with sports agents, draft and salary issues, national and international professional opportunities, financial management, contract issues, disability insurance, and the selection of and negotiations with sports agents.

## **Governance and Commitment to Rules Compliance Committee Evaluation and Plan for Improvement**

### 1. Operating Principles

- (1) Institutional Mission. Maintaining intercollegiate athletics as an integral part of the educational program is a basic purpose of the Association. Consistent with this fundamental policy, the mission and goals of the athletics program shall:**

The Governance and Commitment to Rules Compliance Committee found that the University of Florida is in substantial conformity with operating principle 1 as evidenced by the committee's responses to self-study items 1, 2 and 3.

- a) Appear in published form and be given wide circulation within the institution and among its external constituencies;**

The Athletic Association's mission statement is in substantial conformity with this element as the mission statement appears in published form and is provided to numerous groups both within the University and among its external constituencies.

- b) Relate closely to the mission and goals of the institution;**

Although the Athletic Association's mission statement in existence at the time the certification process began generally conformed to OP 1, the committee found that it could be more closely related to the University's mission statement. The Athletic Association's revised mission statement relates much more closely to the mission and goals of the University.

- c) Support the educational objectives and academic progress of student-athletes;**

The Athletic Association's revised mission statement is in substantial conformity with this element of supporting the educational objectives and academic progress of student-athletes. The mission statement clearly states that the Athletic Association is dedicated to the intellectual, physical, and personal development of the student-athlete and notes that through education, the Athletic Association seeks to prepare all students to be productive members of society.



**d) Support equitable opportunity for all students and staff, including women and minorities;**

The Athletic Association's revised mission statement is in substantial conformity with this element of supporting equitable opportunities for all students and staff. It states that the Athletic Association seeks to link the experiences of persons from all backgrounds, races, religions, genders, and cultures to prepare students to be productive members of society. In addition, it states that the Athletic Association will act in an ethical and honest manner and will promote an environment fostering the professional and personal achievement of coaches, administrators and staff.

**e) Result from a process of development and periodic review involving substantive participation by the major constituent groups of the institution, and**

The Athletic Association's revised mission statement is in substantial conformity with this element in that the process to develop the mission statement spanned two years and included members from numerous major constituent groups including the Athletic Association, the Intercollegiate Athletics Committee, University administration, the booster organization and faculty.

**f) Be reflected in the actual practices of the institution's athletics program.**

The Athletic Association's revised mission statement is in substantial conformity with this element of being reflected in the actual practices of the institution's athletic program. The committee found that all decisions made by the Athletic Association are made based on the mission statement. The education and welfare of student-athletes is the top priority of the Athletic Association.

**(2) Institutional Control. 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.**

The Governance and Commitment to Rules Compliance Committee found that the University of Florida is in substantial conformity with this operating principle as evidenced by its responses to self-study items 1, 4, 7, 9, and 10.

- (3) Presidential Authority, Governing Board.** The institution's governing board shall provide oversight and broad policy formulation. The chief executive officer shall be assigned ultimate responsibility and authority for the actual operation of the athletics program, with clear and direct support of the board.

The Governance and Commitment to Rules Compliance Committee found that the University of Florida is in substantial conformity with this operating principle as evidenced by the committee's responses to self-study items 1, 5, 6, 7, and 9.

- (4) Shared Responsibilities.** The athletics program shall be an integral part of the educational enterprise of the institution. As such, appropriate campus constituencies shall have the opportunity to provide input into the formation of policies relating to the conduct of the athletics program and to scrutinize the implementation of such policies.

The Governance and Commitment to Rules Compliance Committee found that the University of Florida is in substantial conformity with this operating principle as evidenced by the committee's responses to self-study items 1 and 4.

- (5) Assignment of Rules Compliance Responsibilities.** The institution shall have in place a set of written policies and procedures that assign specific responsibilities in the area of rules compliance. In critical and sensitive areas, institutional compliance procedures shall provide for the regular participation of persons outside of the athletics department.

The Governance and Commitment to Rules Compliance Committee found that the University of Florida is in substantial conformity with this operating principle as evidenced by the committee's responses to self-study items 1, 4, 8, 9, and 10.

- (6) Rules Compliance Accountability.** Rules compliance shall be the subject of an ongoing educational effort, and the commitment to rules compliance shall be a central element in personnel decisions within the department of intercollegiate athletics.

The Governance and Commitment to Rules Compliance Committee found that the University of Florida is in substantial conformity with this operating principle as evidenced by the committee's responses to self-study items 1, 9, and 10.

**(7) Rules Compliance Evaluation. The institution shall provide evidence that its rules compliance program is the subject of periodic (e.g., annual) evaluation by an authority outside of the athletics department.**

The Governance and Commitment to Rules Compliance Committee found that the University of Florida is in compliance with this operating principle as evidenced by the committee's responses to self-study items 1 and 8. The committee noted, however, that continued external reviews are recommended to maintain the high quality of the compliance program.

2. Mission and Purpose of the Institution

The Governance and Commitment to Rules Compliance Committee found that the activities of the Athletic Association are consistent with the mission and purpose of the institution.

3. Plan for Improvement

The Governance and Commitment to Rules Compliance Committee offered three recommendations for improvement. All three recommendations have since been implemented to some degree.

(1) At the beginning of the certification process, the committee expressed concerns about whether the Athletic Association's mission statement at that time reflected closely enough the fundamental goals of the University of Florida. During the certification process, the Athletic Association revised the mission statement in response to the committee's concerns. This revised mission statement reflects the fundamental mission of the University of Florida. The revised mission statement was provided to members of the faculty for their review and comments and will be reviewed and voted upon by the Athletic Association Board of Directors. Once the mission statement receives the Board of Directors' approval, it too will be circulated as was the original mission statement and printed in all of the publications mentioned in the self-study item responses.

(2) Although the Athletic Association is perceived as having one of the strongest compliance programs in the country, the committee questioned whether even more could be done to enhance a "lifestyle" of rules compliance among student-athletes. Accordingly, during the certification process, the committee recommended to the Athletic Association staff that innovative ways to educate student-athletes about the need to

comply with NCAA rules, and about the rules themselves, should be undertaken. In response, the Athletic Association has established a committee, comprised of student-athletes, coaches and staff to review the current rules education program for student-athletes and to make recommendations to the Athletic Association about how to enhance this part of the compliance program. This committee met in the fall and will meet again in the spring. The committee will meet twice annually and will include a different group of student-athletes each academic year.

In addition, the "Student Development in the University Setting" class, which is mandatory for student-athletes, has added one week's worth of NCAA rules discussion to its syllabus beginning in the fall of 1997. Members of the compliance staff served as guest lecturers during this time and discussed NCAA rules and the importance of adhering to the rules. Also in response to this committee's recommendation, the agenda for the team meetings in the fall was revised to decrease the total amount of information provided to student-athletes at that time and instead emphasized more the importance and scope of NCAA rules. The compliance staff also hosted three NCAA rules review sessions this fall which were open to Athletic Association staff members and students.

- (3) The committee recommended that either the University's Office of Inspector General or an outside firm specializing in NCAA rules compliance conduct appropriate sport-specific or issue-specific audits. The committee recommended that this process be carried out on a regular basis to ensure the continuing integrity of rules compliance at the Athletic Association. In order to implement the new audit process that grew out of the NCAA and Southeastern Conference audit experiences over the last three years, the Athletic Association requested that the University's Inspector General perform a financial aid audit, and is currently entertaining a proposal for comprehensive audit services from an external auditing firm. It is the Athletic Association's expectation that such external audits will continue periodically.