

GOVERNANCE & COMMITMENT TO RULES COMPLIANCE

Previous Certification Self-Study

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to governance and commitment to rules compliance issues.

Previous Certification Self-Study Item: The University must give wider circulation both internally and externally of the Athletic Department's Mission Statement. It must also seek specific input from major university constituent groups. During the 1996-1997 school year, the Athletic Director, or his designee(s), will seek input from alumni, donors, Faculty and Staff Senates, ASWSU, and GPSA on the present Mission Statement. Any changes resulting from that input will be incorporated into the document and prior to the end of 1997, the final document will be circulated to major internal and external constituencies. (See page 41 of the previous study.)

The university circulated, vetted and sought input from numerous parties of the university community, from Faculty Senate to Regents to Student-Athlete Advisory Committee to the Athletic Council in development of a new mission statement. Circulation is now much wider, and now the Athletic Council reviews the statement annually. The statement is available through a number of outlets, including the athletic department's web page, which is linked to that of the university.

Previous Certification Self-Study Item: We will strengthen rules compliance educational efforts outside the university beginning in the Fall Semester 1996 by having a special mailing each year to all boosters informing them of current issues regarding rules compliance. This mailing will accompany a regular issue of Butch's Beat. In addition, one meeting of the Cougar Club Presidents each year will include a thorough discussion of current rules compliance issues. Further, once a year the Compliance Office staff will attend various Cougar Club meetings located statewide to provide educational seminars for local volunteers. (See page 43 of the previous study.)

Subsequent to the 1996 report, special mailings, special "booster" brochures, meetings of the Cougar Club presidents and attendance at various Cougar Club meetings by Compliance Office staff were initiated and continue. All of these activities serve, in an ongoing fashion, to achieve this strategy for improvement. This issue is also addressed below in more detail in the current report.

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process in the governance and commitment to rules compliance area. Also, describe any additional plans for improvement / recommendations developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Peer Review Team Report Item: The peer-review team recommends that a formal compliance-commitment assessment be carried out for each relevant member of the athletics staff on an annual basis. These compliance-commitment assessments must be performed routinely, whether or not the institution requires a formal, written performance evaluation of all university personnel in a given year. This procedure should be implemented during the 1996-97 academic year. (See the 1996 peer-review team's report, recommendation No. 3 page 7.)

This procedure is part of each year's personnel evaluation, with findings and documentation kept in personnel files. Salary impacts for low ratings regarding this dimension of performance have occurred.

Peer Review Team Report Item: The peer review team recommends that the university develop a formal protocol for the performance of periodic (e.g. annual) evaluation of its rules-compliance program by an authority outside the athletics department prior to the end of the 1996-97 academic year. (See the 1996 peer-review team's report, recommendation No. 4 page 7.)

Subsequent to the 1996 report, Washington State University became part of the Pac-10 compliance review and evaluation system. Evaluations have been positive.

Peer Review Team Report Item: Given the strong mandate for clear presidential control inherent in the operating principles, the peer-review team suggests that the president craft a statement that describes areas of delegation versus areas of direct presidential responsibility and that such a statement be shared with the board of regents, university counsel, director of athletics and other appropriate individuals at the earliest possible time. (See the 1996 peer-review team's report, suggestion No. 1 page 7.)

In 2000, then new President Rawlins chose to have the athletic director report directly to him. Hence, there is no delegation of authority in this regard. The athletic director is also an attending member of the president's cabinet. Additionally, the faculty athletic representative now also reports directly to the president.

Previous Certification Self-Study Item: Evaluate graduation rates and recommend action to improve. (See the Academic Integrity section of this report.)

Subsequent to the 1996 report graduation rates have been continually monitored. The faculty athletic representative reports these results to the athletic and academic community of the university including annual reports to the Faculty Senate.

Operating Principle: Mission of the Athletics Program and the Institution

Mission of the Athletics Program and the Institution, Item 1: Please provide mission statements of the institution and athletics program and indicate the date of their last revision.

Institution Mission Statement: As a public, land-grant and research institution of distinction, Washington State University enhances the intellectual, creative, and practical abilities of the individuals, institutions and communities that we serve by fostering learning, inquiry, and engagement. (Revised January 2002).

Athletic Department Mission Statement: It is the mission of the Athletic Department to create and foster an environment which provides opportunities for all student-athletes to enrich their collegiate experience through participation on athletic teams which are competitive at the conference and national level. In concert with the mission and values of Washington State University, the department is dedicated to providing opportunities, which will enhance the intellectual, physical, social, moral and cultural development of the whole person. The Athletic Department values gender and ethnic diversity and is committed to providing equitable opportunities for all students and staff. The department will pursue its mission while upholding the values, purposes and policies of Washington State University, the Pacific-10 Conference, and the National Collegiate Athletic Association. (Revised October 2002)

In pursuit of its mission, the WSU athletic department strives to accomplish the following goals:

- Conduct all activities with the health, education, and welfare of all student-athletes as highest priority.
- Conduct all activities with honesty and integrity in accordance with the principles of good sportsmanship and ethical conduct.
- Conduct a program that is an integral part of the educational system, with the student-athlete as an active participant in the student body.

- Conduct a program that maintains a clear line of demarcation between college athletics and professional sports.
- Recruit athletically talented students who are capable, prepared, and motivated to succeed academically.
- Provide staff, resources and facilities to support programs that are competitive in the Pac-10 and the NCAA.
- Maintain financially viable, fiscally responsible programs.
- Foster a sense of community among students, alumni, staff and the larger community
- Provide a viable life skills program which will guide and assist student-athletes in defining and developing their academic potential, career vision and preparation, sense of responsibility toward community service, and personal values and skills.
- Establish and adhere to standards of conduct for staff and students that are consistent with the development of strong moral character, responsible behavior, and mutual respect.

The mission and goals of the athletic department are reviewed and evaluated annually by the Student-Athlete Advisory Committee, staff, Athletic Council, the university executive committee, and the Cougar Athletic Foundation Board.

Mission of the Athletics Program and the Institution, Item 2: Explain how the mission of the athletics programs relates to that of the institution as a whole.

The athletics program strives to create and enhance the educational opportunities of all student-athletes, by providing learning assistance, academic advising, and career planning counseling and services. This, in turn, directly relates to the overall mission of WSU and its commitment to student retention and, by extension, the successful completion of a degree program.

Mission of the Athletics Program and the Institution, Item 3: Describe how and to whom the athletics program's mission statement is circulated.

Circulation of the athletics program's mission statement takes many forms. The statement has been published in the student-athlete handbook that is distributed to each student-athlete, in *Butch's Beat*, and on the athletic department's web site. Intentions are to publish the statement in the media guides for each sport. Framed copies of the mission statement will be posted in key offices and conference rooms throughout the department.

Several suggestions were discussed to broaden the circulation of the department's mission statement and are submitted for consideration, including the annual report from the athletic foundation; the senior professional development portfolio, and the *Washington State* magazine. These publications have wide distribution and would be seen by people inside and out of the WSU campus. Additionally, it was suggested that a hot link to the mission statement web page be placed directly on the front web page of the athletic department.

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

As described above, practices within the athletics department are consistent with the mission and goals statement. Specific services have been implemented to support the goals outlined in the statement. For example, learning assistance (tutoring), academic advising and counseling, compliance with Title IX, and other services are available to all student-athletes. Improving the diversity of the coaching staff is a critical factor whenever vacancies are to be filled. At this time the coaching staff does not mirror the diversity of the student-athlete nor the general student population; however, every effort is made to recruit diverse coaching staff and the athletic department is sensitive to this issue. Adherence to and compliance with all policies and philosophies of Washington State, the Pac-10 Conference, and the NCAA are expected in the conduct of all athletics staff, coaches, and student-athletes.

Operating Principle: Institutional Control, Presidential Authority and Shared Responsibilities

Institutional Control, Presidential Authority and Shared Responsibilities, Item 1: Based upon the institution's experience in the last three years, list the decisions related to Intercollegiate Athletics in which the institution's governing board or individual board members have been significantly involved (if any).

The Board of Regents takes an active role in all major capital, financial, and academic issues affecting the university. A review of the minutes from the Board of Regents meetings over the past three years (July 1998 – June 2001) identifies the following activities related to athletics.

- March 5, 1999, meeting agenda item No. 14: Replacement of east end zone bleachers in Martin Stadium. It was moved and seconded that the Board of

- Regents approve design documents and delegate authority to the president or his designee, the vice president for business affairs, to approve construction documents and award a construction contract for replacement of the east end zone bleachers at Martin Stadium, if a budget can be established within the funds available. The motion carried.
- April 2, 1999, meeting agenda item No. 15: Proposed indoor athletic practice facility: Athletic Director Rick Dickson presented the proposed field house athletic practice facility project. There was a discussion by the regents of the project with questions centered around use of the facility for other activities and the cost. No action was taken.
 - October 15, 1999, meeting agenda item No. 10: Contracts under previous delegation of authority (under \$500,000). Vice President for Business Affairs Greg Royer reported that based upon the authority delegated to the president or his designee, the vice president for business affairs, at the meeting of January 24, 1986, he had entered into the following contracts: Southwest Recreational Industries, Inc., Fresno, California, for the resurfacing of Mooberry track, for a total cost of \$199,848, to be paid from 1997-99 minor capital renewal, departmental, and service and activity fees.
 - February 17, 2000, meeting agenda item No. 10: President's report. President Smith introduced Athletic Director Rick Dickson and made a formal announcement that Mr. Dickson was leaving Washington State University. President Smith and the board noted a number of Mr. Dickson's accomplishments while at Washington State University and thanked him for his work on behalf of the university.
 - February 17, 2000, meeting agenda item No. 17: Turf replacement for Martin Stadium and Rogers Field. It was moved and seconded that the Board of Regents approve the Martin Stadium and Rogers Field turf replacement project and delegate authority to the president or his designee, the vice president for business affairs, to award and sign a contract for this construction project, if costs are within the funds available. Carried.
 - July 12, 2000, meeting agenda item No. 1: Opening remarks. President Rawlins introduced new Athletic Director Jim Sterk and asked him to say a few words.
 - January 26, 2001, meeting agenda item No. 17: Bohler Gymnasium renovation -- budget increase. Vice President for Business Affairs Greg Royer led a discussion of the Bohler renovation, with particular attention to the budget for this project. Discussion centered on the source of funds for the renovation. It was moved and seconded that the Board of Regents approve a project budget increase for the

Bohler Gymnasium renovation in the amount of \$1,423,532 to accommodate final construction costs for a total budget of \$20,663,332. Carried.

Institutional Control, Presidential Authority and Shared Responsibilities, Item 2: Based upon the institution's experience in the last three years, list the decisions related to Intercollegiate Athletics in which the institution's chief executive officer has been significantly involved.

Over the period July 1, 1998 – June 30, 2001, the institution had two chief executive officers, Presidents Sam Smith and Lane Rawlins. President Smith was significantly involved in the following decisions:

- Took an active role in the selection process for current Athletic Director Jim Sterk through contacting Pac-10 officials and officials of three other conferences for names of candidates and appointing the search committee.
- Made decision to proceed with the Bohler gym renovation project.
- Made decision that the new student recreation center would not be administered by athletics.
- Was involved in the initial fundraising for the indoor practice facility (for which half the cost was to be covered by verbal pledges of donor support).
- Was involved in discussions on use of Martin Stadium by the University of Idaho.
- Interviewed candidates for the men's and women's basketball head coach positions. Athletic Director Rick Dickson made the final decision.
- Established that the reporting line for compliance was separated from athletics governance and coaches.

President Rawlins has been significantly involved in the following decisions.

- Made decision that athletics would be directly responsible for its own budget and would be held accountable to spend within the budget.
- Eliminated university counsel position and established policy that day-to-day reporting on athletics issues would be directly to the president.
- Made final decision on hiring of current Athletic Director Jim Sterk.
- Consulted with athletics director on hiring of current baseball coach.
- Involved in decisions regarding financing of indoor practice facility.
- Involved in discussions regarding scheduling of one football game in Seattle.

Institutional Control, Presidential Authority and Shared Responsibilities, Item 3: Describe the process by which the institution makes major decisions regarding intercollegiate athletics. In so doing, describe the role and authority of the institution's

governing board, the chief executive officer, the athletics board or committee (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. Please provide the composition of the athletics board or committee (including titles and positions).

The organizational structure of Washington State University is based on principles of shared governance, which provide for wide participation by faculty, staff, and students in determining matters of academic and administrative policy. Broad consultation among administrative officers is a regular practice, and a wide spectrum of committees provides for appropriate involvement by faculty, staff, and students.

The university is governed by an autonomous Board of Regents, which consists of nine members appointed by the governor. The duties and powers of the board include general management of the university, the care and preservation of all property, the construction of needed buildings and the custody and expenditures of all funds. The board has the power to delegate authority. (See the organizational chart in appendix A)

The president is the chief executive officer of Washington State University. The president administers policies approved by the Board of Regents, serves as adviser to the board on policies and operations, and is the agent through whom representations to the board are regularly made. Other functions of the chief executive officer include:

- Leadership in developing policies and organization for teaching, research and extension programs;
- Public representation of the university, including representation before the Legislature and other state and federal agencies;
- Responsibility for the general welfare of students; the development, operation, and maintenance of buildings, lands and equipment; financial matters pertaining to development, operation and maintenance of the university; and the administration of regulations adopted by the Board of Regents; and
- Responsibility, delegated by the Board of Regents, for all appointments, promotions, salaries, leaves, resignations and dismissals.

Other executive officers that have, or have had, significant responsibilities for athletics include the vice president for business affairs and the vice president for administration. The vice president for business affairs is responsible for all business and fiscal functions of the university, including development and administration of the institution's capital building program. Prior to 2000, the athletic director reported to the vice president for

administration. The reporting relationship changed in 2000 when the athletic director, who is responsible for day-to-day management of the athletics department, began reporting directly to the president. Most issues affecting the operation and management of the athletics program come up through the athletic director to the president, and are subsequently referred to the appropriate institutional office or body for final decision.

In 2000, the athletic director was placed on the president's cabinet, which is composed of the other principal university administrators. Prior to this time, the athletic director did not attend cabinet meetings. The athletic director and faculty athletic representative have direct access to the president regarding athletic department management or compliance issues. The faculty athletic representative is appointed by and reports directly to the president. This individual is an advisor to the athletic director and the eyes and ears of the university for athletics.

The faculty athletic representative chairs the Athletic Council. The council acts in an advisory capacity to the director of athletics and provides input and reaction to athletic department activities. The council makes recommendations and provides information to the president on matters pertaining to intercollegiate athletics. The council is composed of six members of the faculty (three men, three women) each serving three-year terms; one graduate student and three undergraduate students (including two women) each serving one-year terms; and four alumni (two men, two women) each with three-year terms. Also on the council are the university president, athletic director, senior associate athletic director, faculty athletic representative, vice president for business affairs, associate vice provost for educational development, and the director of alumni relations,

The faculty athletic representative chairs the University Compliance Committee. The assistant athletic director for compliance reports jointly to the faculty athletics representative and athletic director. Responsibility for issues pertaining to compliance is through this reporting line, and involves the fifteen-member University Compliance Committee.

The University Compliance Committee comprises the following: Athletic director, senior associate athletic director, faculty athletic representative, assistant athletic director for compliance, director of compliance, compliance coordinator, compliance coordinator for financial aid, athletic eligibility coordinator, associate athletic director for student and staff development, director of admissions, director of enrollment services, registrar,

executive assistant to the president, vice provost for educational development, director of financial aid, and assistant dean of students.

This committee reviews potential rule violations to determine whether a violation has occurred, the reporting of confirmed violations, and corrective actions in response to violations. When appropriate, the Board of Regents is also advised of rule violations and is involved in discussion of institutional response and corrective actions.

In keeping with the diffuse management structure of the institution, the process by which major decisions regarding intercollegiate athletics are made involves a variety of individuals and groups. Described in the following paragraphs is the general framework of the institution's decision-making structure, with specific examples of how decisions affecting athletics fit within the structure. Examples of decisions relating to athletics that would be considered by the cabinet deal with items that might impact the university such as bowl games or this certification process.

The Budget Council created in 2000 consists of the president, vice president of business affairs, vice president of university advancement, provost, vice president of information technology, vice president of student affairs, and executive director of planning and budgeting. The council meets weekly and is concerned with all matters pertaining to the operating and capital budgets of the institution. It is responsible for formulating the university's operating and capital budget requests to the legislature and submitting these to the Board of Regents for approval. The council recommends internal budget allocations to the president. In addition, the council considers significant budgetary issues pertaining to individual areas of the institution.

In 2000, the president required the athletic director to submit a budget for council approval similar to that requested of the academic and staff areas of the university. This is a change from previous administrative procedures. The council now reviews and approves the proposed budget for athletics each year. In addition, the council reviews and approves revisions of the athletic budget throughout the year. The council is also involved in decisions related to the capital needs of the athletic program, including allocations for major capital expenditures, such as the indoor practice facility. The council provided direction during the time funds were collected for the facility, at which time the vice president for Business Affairs became the responsible administrator for the project.

Executive management of the university rests with the president's cabinet comprised of the institutions principal administrators including vice presidents, provost, vice provosts, budget director, athletic director, and deans. This body meets weekly and considers policy issues of broad significance to the institution as a whole as well as significant issues pertaining to specific areas of the university.

Institutional Control, Presidential Authority and Shared Responsibilities, Item 4: Please attach an institutional organizational chart and an athletics department organizational chart.

See appendix A.

Operating Principle: Rules Compliance

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

The fund raising, public relations and general advancement efforts of the athletic department are carried out by two units of the department, the athletic foundation office and Cougar Mania. The operations of each of these units are set forth below:

Athletic Development: Revenue generated from private gifts account for approximately 13 percent of the athletic department's yearly operating budget. Revenue from private gifts is primarily dedicated towards covering scholarship costs for the department's 475 student-athletes. Each year nearly 4,000 donors contribute about \$2,100,000 to the department.

WSU utilizes a constituency-based fundraising model wherein each major academic and programmatic unit of the university engages in fundraising activities. The university has contracted with the WSU foundation, a non-profit charitable foundation organized under Section 501 of the Internal Revenue code, to be the sole non-profit agent of the institution. Under this model, each college, as well as the athletic department, employs a staff of professional fundraisers who plan, initiate and oversee the unit's comprehensive fund raising activities. Through funds allocated to the athletic department, the university pays the salaries and operations of the athletic foundation office. The associate athletic director for development reports directly to the athletic director with an informal reporting line to the associate vice president for development in order to continue

coordination of university fundraising and ensure that athletic fundraising continues to fit within that scope. Importantly, neither the university nor the athletic department maintains separate non-profit organizations that oversee or are involved in athletic fundraising.

The fund raising program of the WSU athletic department primarily emphasizes direct solicitation of donors and potential donors through department-coordinated means. For instance, contributions are solicited via telemarketing (contracted through the university's office of annual giving) direct mail (through football ticket invoices, Gray W letter winners mailings, etc.), or by personal solicitation made by one of the department's four professional fundraisers and/or qualified volunteer fundraising groups. All private gifts received by the department are deposited with the university. Any expenditure from these funds is subject to state and institutional guidelines.

The volunteer involvement in athletic development activities is focused mainly on two issues, to stage events throughout the state or fundraise. The special events are jointly staged by local booster organizations (known as Cougar Clubs) and by the Athletic Foundation office. Some of the events are fundraisers while others are simply "friend raisers". At the friend raisers the objective is to capture the names and interest of the attendees and to prepare them to become donors. The fundraising efforts of the volunteer groups are developed, implemented, executed and evaluated by athletic foundation personnel. Each volunteer fundraising group has a development professional assigned to it that acts as that groups leader. Each volunteer group is instructed and educated on NCAA regulations as they pertain to volunteers and fundraising efforts. No volunteer handles any donation, the solicitation is made by the volunteer and the donation is mailed directly to the athletic foundation or hand delivered to a development professional.

The athletic foundation office coordinates institutional control over booster club activities. A development office representative serves as ex-officio liaison on all volunteer boards and committees. Proposed events and activities must receive the approval of the associate athletics director for development before they are included on the department's calendar and thus promoted by the department. Further, only approved activities secure WSU coaches and administrators as celebrity attendees. Booster club activities are also discussed at periodic meetings of the volunteer summit. This summit (which is made up of the presidents of the local Cougar Clubs, the chairs of the golf tournament committees, the chairs of other special event committees, the chairs of all Cougar Club development cabinets, and the chairs of the Advisory Council, the Gray W

Board of Directors and the Capital Projects Steering Committee) meets on a semi-annual basis with the associate athletics director for development, and frequently the athletic director, to discuss the state of the department and how volunteers can help. The council has no legal standing and the department calls its meetings.

Finally, the institution has implemented an internal accounting system that establishes an account for each local Cougar Club and any significant special event for that local Cougar Club. Any financial activity for the local Cougar Clubs is either deposited into or paid from these accounts. Any deposit or expenditure from these accounts is subject to state and institutional guidelines.

Reporting of local Cougar Club activities: Each month the athletic foundation event coordinator will report to the foundation board the cash activity for the month and that the accounts have been reconciled to the WSU balance. The event chair for local special events reports a summary of income and expenses for the event to the board. This report is prepared in coordination with the athletic foundation special event coordinator.

The athletic foundation special event coordinator shall reconcile the net income/expense of the event with the net change in the cash account. And, with copies distributed to the appropriate volunteers as described above under cash handling, the special event coordinator shall retain all reconciliation records.

Besides maintaining institutional control over booster club activities, WSU also seeks to educate individual boosters regarding the importance of rules compliance. Approximately once per month, a compliance update column is included in *Butch's Beat*. This publication is mailed on a monthly basis to all athletic donors and season ticket holders. Columns in the past year have included such topics as the booster ban in recruiting, the new initial-eligibility requirements for freshmen and limitations on the athletic department's ability to participate in high school fund raising projects

The associate athletics director for development has a strong communication tie with the university development office and is part of the WSU Foundation. At WSU, development is a joint effort between the central WSU Foundation and the various constituencies of the institution. Each constituency employs development professionals and staff, relying on the central foundation staff to provide consistency required to coordinate the cooperative effort, common theme, professional management of endowment and trust assets and integration with volunteer boards. Athletic foundation personnel attend

monthly meetings chaired by the CEO of the WSU Foundation to maintain those lines of communication, as well as continue to be an integrated constituency of the university's fundraising community. Donor strategy meetings, skill seminars and discussions relative to donation processing are other examples of communication between these offices.

Cougar Mania: Cougar Mania is an incorporated non-profit support program consisting of members of the retail and wholesale food and beverage business, as well as a variety of other industries. Cougar Mania generates revenues that are used to fund media advertising cost, as well as support special events and increase ticket sales. Net proceeds after operations and advertising expenses are contributed to the WSU athletic department for their scholarship fund.

Athletic department personnel approve all Cougar Mania programs and expenditures. An outside accounting firm maintains Cougar Mania's financial records, issues all checks for payment and generates monthly statements for the athletic department.

In 1997, Cougar Mania committed \$500,000 to the Cougar Mania strength and conditioning complex and recently they have committed \$1,000,000 to the new indoor practice facility currently being built by WSU Athletics.

Check Processing: In order for disbursement to be made from the Cougar Mania checking account, a check authorization form is initiated within the athletic department. It has three levels of signatures beginning with the signature of the individual requesting the disbursement. The second level requires the department head's approval, while the third and final level requires the signature of either the associate athletic director for Internal Operations or the athletic director. No checks can be authorized without the third signature. The check request form is then sent to the office of Hayden & Ross (a certified public accountant firm) and the check is issued there and signed by a representative of the firm. All money is deposited through Hayden & Ross, where they keep a complete set of books and generate monthly statements for the athletic department.

Cougar Mania Procedures: Hayden, Ross & Company (Cougar Mania accounting firm).

Invoicing:

- Cougar Mania sponsors: Invoiced August 15, 2001 for 2001-2002 sponsorship
- Invoices are assigned a number and recorded in a ledger
- Payment is sent to Cougar Mania

- Payment is recorded in ledger

Deposits:

- Deposits are generated by the Cougar Mania principal assistant
- Deposits are made on a weekly basis to Bank of America
- Checks are copied for Cougar Mania file and for Hayden Ross
- Copies of the deposit slip are made for Cougar Mania file and for Hayden Ross

Check Requests:

- Check requests are generated by principal assistant
- Invoice is attached to each check request
- Check requests are approved and signed by the principal assistant, the director of corporate marketing, and the associate athletic director for internal operations or the athletic director
- Requests are faxed to Hayden Ross in Moscow
- Checks are written by Hayden Ross & Company's office assistant and signed by Brad Lewis, CPA
- Checks are picked up by the principal assistant
- Checks are copied for Cougar Mania files
- Check numbers are recorded on requests and checks are sent for payment
- Copies of check request and invoices are filed

Auditing:

Hayden, Ross & Company provided Cougar Athletics with the following:

- Monthly general ledger detail report
- Monthly balance sheet
- Year-end general ledger detail report
- Year-end balance sheet
- Tax returns as required by law
- Quarterly and annual payroll reports as required by law
- Information requested by Peterson Sullivan, PPL for yearly audit. Peterson Sullivan is an outside accounting firm contracted by WSU.

Rules Compliance, Item 2: Identify, using an organizational or flow chart, how the institution has organized itself to maintain compliance with the 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 (if any), coaches and other key individuals inside and outside athletics (e.g., administrator monitoring permissible recruiting activities, registrar, financial aid officer, admissions director, internal auditor) who are responsible for documenting and monitoring compliance with NCAA rules.

Appendix A, attachment 2 is the athletic department organization chart.

Prior to the hiring of a new athletic director in April 1994, a sequence of organizational changes was initiated by the president's office in order to address compliance issues. The president took an active role in hiring an athletic director with a demonstrated record in the area of compliance and an ability to better integrate athletics into the university community.

In 1994, the reporting line for athletics was assigned to the vice president for business affairs and the athletic director was included as a member of the president's cabinet, a decision making body of central administrators and other university leaders. In 1996, the reporting line for athletics was assigned to the president's office. The athletic director streamlined the reporting lines for coaches so that all sports now report either to the director or to the senior associate athletic director.

The compliance and eligibility office and the academic services office were separated in 1998. The newly named academic/career services office reports directly to the athletic director. The compliance office director reports to the assistant athletic director for compliance and to the faculty athletic representative. A compliance coordinator provides additional support for substantive compliance issues reporting to the director. Two half-time interns provide additional support. The salaries and associated budget for compliance functions are funded and managed by the president's office, with the exception of the assistant athletic director for compliance.

The position description for the faculty athletic representative (see appendix B) delineates the requisite duties, including those dealing with eligibility certification and rules compliance, and provides appropriate release time (1/2 time) for the person in the position. Additionally, the president's office provides additional budget support, including funding for a principal assistant to assist the faculty athletic representative. Separate office space in the athletic department close to the compliance office and the academic/career services office has also been provided.

To better integrate compliance responsibilities within appropriate institutional offices outside the athletic department, the president's office funds an athletic eligibility coordinator position within the registrar's office. This position with the registrar's office, together with the faculty athletic representative, is responsible for athletic certification. A similar position exists in the financial aid office to provide more effective integration of compliance within this office. This organization provides for necessary checks and balances within the appropriate university administrative units. Both of these positions report directly to the registrar and the financial aid director, respectively, and on policy matters, to the faculty athletic representative.

The integration of compliance issues within the university occurs through the University Compliance Committee. This committee is comprised of representatives from the president's office, athletics, admissions office, registrar's office, financial aid office, and student services. A representative of the provost's office has been appointed to the committee as well. The committee meets three times per year to share information and to review policy issues related to compliance, make recommendations to appropriate university offices and review rule violation issues in order to determine the need for changes in the systems or procedures. The meetings are convened and chaired by the faculty athletic representative and staffed by the principal assistant of the faculty athletic representative.

Athletic Eligibility Coordinator: The athletic eligibility coordinator (AEC) reports to the registrar for academic enrollment services and to the faculty athletic representative. The AEC coordinates activities and serves as the source of information for the certification of athletic academic eligibility, working closely with the faculty athletic representative and the academic departments and colleges.

Duties include the evaluation of continuing eligibility; on-going coordination with academic department representatives; liaison with counterparts in the Office of Admissions and the Office of Student Financial Aid; maintenance of student-athlete files and appropriate documentation for eligibility; notification of appropriate officials on a daily basis when student-athletes are eligible to compete, practice or receive financial aid and when such status changes; and assisting in developing new computer applications regarding certification.

Athletics Financial Aid Coordinator: The director of the Office of Student Financial Aid, who reports to the executive director of enrollment services, appoints the athletic

financial aid coordinator, who also reports to the faculty athletic representative. The director is responsible for the administration of all scholarship, federal, state and institutional financial aid. This responsibility includes overseeing the coordination of athletic grants-in-aid in compliance with NCAA regulations. Within the authority of the director are all awards and changes of awards that are processed through the Office of Student Financial Aid. The athletic financial coordinator assists the compliance office with the administration of national letters of intent and administers all renewals, cancellations, and exemptions.

Director of Internal Audit: The director of internal audit is appointed by and reports to the vice president for business affairs. The director conducts audits upon request. The state auditor conducts an annual audit according to NCAA guidelines and presents the audit findings to the vice president who in turn presents the results to the president of the university and the WSU Board of Regents.

Director of Financial Aid: The director of financial aid is appointed by the vice president for student affairs who reports to the provost. The director is responsible for the administration of all scholarship, federal, state and institutional financial aid. This responsibility includes overseeing the coordination of athletic grants-in-aid in compliance with NCAA regulations. Within the authority of the director are all awards and changes of awards that are processed through the Office of Student Financial Aid. The athletic financial aid coordinator, under the supervision of the financial aid director assists the compliance office with the administration of national letters of intent and administers all renewals, cancellations and exemptions.

Faculty Athletic Representative: The faculty athletic representative is appointed by and reports to the university president. The faculty athletic representative participates with the president and athletic director, as well as other key administrators, in establishing policy and direction for athletics. The faculty athletic representative oversees the academic performance and educational experience of student-athletes and certifies student-athlete eligibility under NCAA, conference, and institutional rules. The faculty athletic representative reviews and evaluates current financial aid policies and procedures, evaluates admissions policies and procedures, and participates with the compliance office in developing and instituting on-going rule education programs for all facets of WSU that are impacted by compliance issues.

The faculty athletic representative oversees, in conjunction with the athletic director and assistant athletic director for compliance, any major institutional inquiry into alleged or suspected violations of NCAA or Pac-10 Conference rules. The faculty athletic representative serves as a liaison to the NCAA and Pac-10 Conference, and also serves on the Pac-10 council and faculty athletic representative's committee. The faculty athletic representative assists in the activities of the compliance and academic/career services offices and is responsible for monitoring participation in the institution's self-study and peer certification processes.

The faculty athletic representative administers the NCAA coaches certification exam to coaches to test their knowledge of rules and compliance issues. The test results are discussed in a group setting to facilitate a learning opportunity. Also, the faculty athletic representative meets and consults regularly with compliance personnel.

Compliance Officer Intern: The compliance officer's intern's primary responsibility is to assist the compliance coordinator, the director of compliance, and the assistant athletic director of compliance in monitoring daily activities for NCAA and Pac-10 violations.

Other duties include:

- Ensuring compliance with each sports practice and playing season and sponsorship requirements
- Maintaining compliance's file records
- Researching and issuing answers to requests for interpretations of NCAA and Pac-10 rules
- Assisting the compliance coordinator in evaluating and meeting with incoming prospective student-athletes.
- Helping to draft waivers and self-reports
- Updating compliance sections of athletic department policies and procedures manual.

Compliance Coordinator: The compliance coordinator has primary responsibility for the recruiting process, including, but not limited to, eligibility information via Clearinghouse, official and unofficial visits, recruiting logs and audits and recruiting education with coaches. The compliance coordinator serves as the primary compliance liaison to the academic services unit and the Office of Admissions with respect to recruiting issues. The compliance coordinator monitors and interprets WSU admission and NCAA clearinghouse requirements. The compliance coordinator also monitors the special

assistance program. Finally, the compliance coordinator tracks all transfer releases and verifications to and from Washington State University.

Athletic Director: The athletic director reports to the president. The athletic director acts as chief administrative officer of the athletic department, supervising all personnel in the department. The athletic director has direct working knowledge of the rules and regulations governing operation of the intercollegiate athletic program and is responsible for overseeing compliance by all staff members. The athletic director plans, develops and implements specific policies, procedures, programs and methods to carry out the general athletic philosophy and policies of the university. The sports that report directly to the athletic director are football, men's and women's basketball, volleyball, and soccer.

Senior Associate Athletic Director: The senior associate athletic director conducts biweekly meetings of student services staff, supervises athletic medicine and physical development, and supervises swimming, men's and women's cross country and track and field, rowing, baseball, men's and women's golf and tennis. The senior associate athletic director serves as senior woman administrator and represents WSU on the Pac-10 Senior Women Administrator's Committee and Pac-10 council and the NCAA. The senior associate athletic director issues and confirms competitive contracts as necessary for all sports except men's basketball and football.

The senior associate athletic director serves in an ex-officio capacity on the Athletic Council, and on the joint committee on athletic facilities scheduling. The senior associate athletic director prepares and manages the event operations and facilities management budget. The senior associate athletic director is the designated departmental key coordinator, coordinates the athletic awards program and acts as athletic director in the absence of the athletic director.

Associate Athletic Director for Student-Athlete and Staff Development: The associate athletic director for student-athlete and staff development reports to the athletic director, and develops, implements and monitors the institution's academic services program. Academic services entail oversight of the development and refinement of an academic standards program; the facilitation of counseling process; the monitoring of academic progress toward a degree by student-athletes and working jointly with the athletics financial aid coordinator in making financial aid awards for summer school.

The associate athletic director for student-athlete and staff development develops, recommends and manages the operating budgets for the student-athlete development unit, and also performs other duties as assigned by the athletic director.

Assistant Athletic Director for Compliance: The assistant athletic director for compliance reports to the athletic director and faculty athletic representative and develops, implements, and monitors the institution's compliance program. Compliance services entail oversight of all day-to-day operations of the compliance office; the review of all rule interpretations prepared by the compliance office staff in response to inquiries by coaches or other personnel; the coordination of the processing of all self-reports of suspected rule violations by investigating the issues and preparing documentation; the planning and implementation of the rules education program; the facilitation of drafting and submitting information requested by the NCAA or Pac-10 and oversight of the management of compliance-related student-athlete data.

The assistant athletic director for compliance develops, recommends and manages the operating budgets for all compliance functions and also performs other duties as assigned by the athletic director and/or faculty athletic representative.

Director of Compliance: The director of compliance reports directly to the assistant athletic director for compliance and has primary responsibility for planning, implementing and evaluating the comprehensive compliance program, which will assist in maintaining institutional control. This position also has responsibility for access to official student-athlete academic records from the registrar, and coordinates with the compliance office the maintenance of accurate and comprehensive academic records in order to monitor student progress and compliance with university, Pac-10 and NCAA regulations.

Coaches: The coaches are hired by the athletic director and report directly to the athletic director or the senior associate athletic director. Coaches have administrative duties in the areas of university/department relations and program organization. Coaches are expected to maintain relations with students, the community, parents, and alumni. Coaches are responsible for recruiting, which includes adherence to regulations, establishment of an organized and well-documented recruiting system, demonstration of commitment to NCAA and conference rules, demonstration of a commitment to the recruitment and signing of student-athletes who have a reasonable chance of graduating in a reasonable time-frame and adherence to the recruiting code of ethics of the Pac-10.

Coaching duties for coaches include coach/player relationships, organizational duties, competitive event conduct during pre-game, game and post-game, leadership, intercollegiate relationships and advancement, i.e., professional development. Coaches are also responsible for maintaining competitive performance standards, which includes the demonstration of reasonable and representative standards of performance.

Rules Compliance, Item 3: 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.

Prospective student-athletes: Each time a prospective student-athlete (PSA) officially visits Washington State University, the PSA meets with a representative of the compliance office. In this meeting, the PSA is informed of the academic requirements for both the clearinghouse and the admissions office at WSU. The PSA is also given the phone number and e-mail address of the compliance office if they ever have recruiting issues or questions.

Every summer, the compliance coordinator briefly lectures at all summer camps that have prospective student-athletes in attendance. The compliance coordinator reviews initial eligibility information with the prospective student-athletes and gives a presentation of what to expect while being recruited in high school.

Finally, the compliance website features a section of general information for prospective student-athletes to access.

Student-athletes: The compliance office conducts compliance meetings for each team on an annual basis. Attendance is mandatory for every student-athlete. During these meetings, significant emphasis is placed on rules education. For instance, the associate athletic director for student-athlete and staff development or a staff member from the compliance office reviews each of the continuing-eligibility rules. The athletics financial aid coordinator reviews the pertinent financial aid rules. The compliance coordinator reviews legislation dealing with banned drugs, employment limitations, gambling, and agents.

Additionally, at the beginning of each year all student-athletes receive a copy of the student-athlete handbook. This handbook includes information pertaining to NCAA legislation.

The student-athlete development office presents a comprehensive orientation program for new and continuing student-athletes. The program provides an overview of all of the student support services available to student-athletes through the department. During this program the director of academic and career services and the associate athletic director for student-athlete and staff development dedicates major portions of their respective sessions to stressing the importance of degree progress. They discuss WSU degree certification and graduation requirements and how these requirements relate to the NCAA continuing eligibility rules.

The athletic department employs eight full or part-time academic counselors who meet with student-athletes on a periodic basis. Each semester, prior to pre-registration, the counselors meet with each student-athlete to review their proposed schedule to verify that the courses are degree applicable. The counselors review a GER or degree checklist with the student-athletes and once again cover the basic eligibility rules. On an ad hoc basis, the compliance office will meet with teams and coaches to discuss compliance issues. This is an on-going opportunity that is made available to each team.

Finally, twice a month the Student-Athlete Advisory Committee (SAAC) meets. In these meetings, applicable legislation is presented by the compliance coordinator and discussed by the student-athletes. The student-athletes can then present this information to each of their teams. Starting this year, new or applicable legislation will also be posted both on the SAAC and compliance websites for all student-athletes to access.

Athletics department staff members: There are number of venues where rules education takes place for the athletic department staff members. The NCAA manuals are distributed to all staff members. The recruiting guidebook is also provided to each head coach. Head coaches meet twice per month and the assistant athletic director for compliance has a major portion of the agenda where rule issues are addressed. Assistant coaches meet once a month and a representative from the compliance office presents new legislation or reviews current departmental policies. Additionally, a rules education component is emphasized in the monthly department staff meetings. Changes in NCAA legislation resulting from convention action are communicated to head coaches and department unit directors. The following are other venues that emphasize rules education to athletics department staff members:

- Legislative tracker is sent via e-mail to all coaches and select staff members to update them of changes in NCAA legislation.

- Rule education news is disseminated to staff and boosters through the weekly department newsletter and through the twice-monthly booster publication.
- Mandatory rule education sessions are conducted for all members of the athletic department and for the compliance liaisons in financial aid and the registrar's office.
- Staff training is provided for the athletic academic services and compliance offices staff on initial-eligibility and continuing eligibility.
- Rules education tests are developed and administered to all members of the athletic department.
- Annual rules review presentations that involve an in-service training for coaches regarding recruiting rules, are conducted by the associate commissioner of the Pac-10.
- Web site has been developed by compliance office starting this year, featuring new or existing important pieces of legislation, compliance forms and helpful tips for all staff members. This site also features booster education, which will be discussed in the latter part of this question.

Other institutional staff members: The institution provides staff training opportunities for institutional administrators to attend the Pac-10 conference compliance seminar and the regional NCAA compliance seminar. The NCAA manual and relevant guidebooks are provided to campus offices with compliance responsibility. Also, subscriptions to the NCAA news are provided to admissions, financial aid and the registrar's office. The university has a compliance committee that is appointed by the president with campus-wide representation of areas that have responsibilities for compliance. Associated with the compliance committee is a teaching component that ensures knowledge of applicable rules and compliance issues. Additionally, every three years the Pac-10 conducts a compliance review that involves meeting with the various representatives of university offices responsible for compliance.

Representatives for the institution's athletics interests: On a monthly basis the compliance coordinator writes a column in the athletic department newsletter, *Butch's Beat*, which goes to all athletic boosters. At the end of the column, an e-mail address for the compliance department is given for any questions the boosters may have. The column is intended as a rules education opportunity.

The newly developed compliance website features a downloadable booster guide. The guide contains dos and don'ts for boosters and former student-athletes. The guide also outlines general rules in an easy to understand format.

Rules Compliance, Item 4: Describe the procedures used by the institution to monitor student-athlete employment in compliance with NCAA legislation.

Washington State University realizes that student-athletes take on many demanding responsibilities. However, the university firmly believes that the student-athlete's highest priority is to receive a quality education. Student-athletes are reminded that the demands of the classroom and on the playing field are considerable. Any student-athlete searching for employment must complete the student-athlete guideline forms found in the compliance office. The compliance office does not assist student-athletes in locating or securing employment.

To ensure that all student-athlete employment earnings are allowable under NCAA employment legislation, the compliance office, in conjunction with the Office of Student Financial Aid, will determine the total amount of money a student-athlete may earn without exceeding individual or team limits. Freshmen and first year student-athletes on any type of scholarship are ineligible for outside employment. All forms in the compliance office, located in Intercollegiate Athletics, must be completed and approved prior to the student-athlete starting work.

If employed off campus, it is the student-athlete's responsibility to submit copies of their monthly pay stubs to the athletics financial aid coordinator in the Office of Student Financial Aid. For student-athletes employed on campus, the athletics financial aid coordinator will track employment earnings using the institution's payroll system called HEPPS.

All employment earnings are entered in the NCAA Compliance Assistant by the athletics financial aid coordinator or counselor for monitoring purposes. Once the paperwork has been completed in the compliance office, it is submitted to the Office of Student Financial Aid. The athletics financial aid counselor performs spot checks on a regular basis to monitor compliance with the following NCAA student-athlete employment rules:

- The student-athlete's compensation may not include any remuneration for the value or utility that the student-athlete may have for the employer because of the

- publicity, reputation, fame or personal following that he or she has obtained because of athletics ability.
- The student-athlete is to be compensated only for work actually performed.
 - The student-athlete is to be compensated at a rate commensurate with the going rate in the locality for similar services.

Once the spot check has been completed, the athletics financial aid counselor completes the employment check form and adds this form to the student-athlete's file. The compliance staff presents all new students with the allowable benefits, procedures, and rules of this program during the annual team meetings. This information is also available to the student-athletes in their student-athlete handbook and on the Washington State University Intercollegiate Athletics compliance website.

Finally, the athletics financial aid coordinator provides a yearly report attesting to the fact that individual and team earning limits have not been exceeded. The NCAA Compliance Assistant will provide documentation of employment earnings for all student-athletes.

Rules Compliance, Item 5: Describe, using specific examples, how the institution ensures that rules compliance is a central element in personnel matters. Also, please provide the following items for individuals inside and outside the athletics department who are involved in rules-compliance activities: (a) job descriptions, (b) contracts or letters of appointment, (c) personnel evaluation criteria and, (d) philosophy statements and other applicable sections of policy manuals.

Rules compliance is a central element in personnel matters. Candidates for all athletics program positions are assessed with regard to their willingness and ability to abide by NCAA and conference rules. In searches for candidates for head coaching positions, a university official will contact the Pac-10 and NCAA enforcement departments to determine whether those candidates under serious consideration have been involved in NCAA rules violations. Individuals who have been the subject of NCAA or conference sanctions of cases of willful rules violations may be disqualified and not considered for appointment.

The employment contracts for all coaches address compliance with rules and regulations. If the employee is found to be in violation of NCAA rules and regulations, whether while employed by the university or during prior employment at another NCAA member institution, the employee shall be subject to disciplinary or corrective action as set forth through the NCAA enforcement procedures. Further, the university may suspend the

employee for a period of time, without pay, or may terminate employment if the employee is found to have been involved in or condoned major violations or a pattern of uncorrected secondary violations of NCAA, Pac-10 or university rules and regulations. Annual evaluations of all coaches and athletic staff members have a central compliance element.

Please see appendix B for the relevant job descriptions, etc.

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

See appendix C.

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

See appendix C.

Evaluation and Plan for Improvement

Mission of the Athletics Program and the Institution: Washington State University is in compliance with all parts of this operating principle. The mission and goals of the Athletics Department clearly relate to the mission and goals of the institution, they support the educational objectives, academic progress and general welfare of student-athletes, they support equitable opportunity for all students and staff including women and minorities, they embrace the NCAA's principles of ethical conduct and sportsmanship, and they are widely circulated internally and externally. Furthermore, the institution clearly demonstrates that the actual practices of the athletics program are consistent with the mission and goals.

Institutional Control, Presidential Authority, and Shared Responsibilities: Washington State University conforms to all parts of this operating principle. The institution demonstrates that the Board of Regents provides oversight and broad policy formulation for inter-collegiate athletics in a manner that is consistent with other units of the institution. The president has ultimate authority and responsibility for the operation and

personnel of the athletics program. Appropriate campus constituencies have the opportunity to provide input into policy formulation relating to the conduct of the athletics program and to periodically review the implementation of such policies.

Rules Compliance: Washington State University conforms to all parts of this operating principle. There are appropriate written policies and procedures that assign specific responsibilities in the areas of rules compliance, including the appropriate assignment of direct accountability for rules compliance. The institution demonstrates that in critical and sensitive areas institutional compliance procedures are provided for the regular participation of persons outside of the athletics department. There is an ongoing education effort in the area of rules compliance, and there is a clear and unambiguous commitment to rules compliance being a central element in all personnel matters involving the athletics program. Finally, the rules-compliance program is the subject of appropriate periodic external reviews.

Mission of the Athletics Program and the Institution				
	Currently Yes	Found on Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicate Plan for Improvement Number
a. Does the institution demonstrate that the mission and goals of the athletics program:				
(1) Relate clearly to the mission and goals of the institution?	✓	3-5		
(2) Support the educational objectives, academic progress and general welfare of student-athletes?	✓	3-5		
(3) Support equitable opportunity for all students and staff, including women?	✓	3-5		
(4) Support equitable opportunity for all students and staff who are minorities?	✓	3-5		
(5) Embrace the Association's principles of sportsmanship and ethical conduct?	✓	3-5		
(6) Are widely circulated among the institution's internal and external constituencies?	✓	3-5		
b. Does the institution demonstrate that the actual practices of the institution's athletics program are consistent with the athletics program mission and goals?	✓	3-5		

On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 1.1 (Mission of the Athletics Program and the Institution)? **Yes**

Institutional Control, Presidential Authority and Shared Responsibilities				
	Currently Yes	Found on Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicate Plan for Improvement Number
Does the institution 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?	✓	5-11		
b. The chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program?	✓	5-11		
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?	✓	5-11		

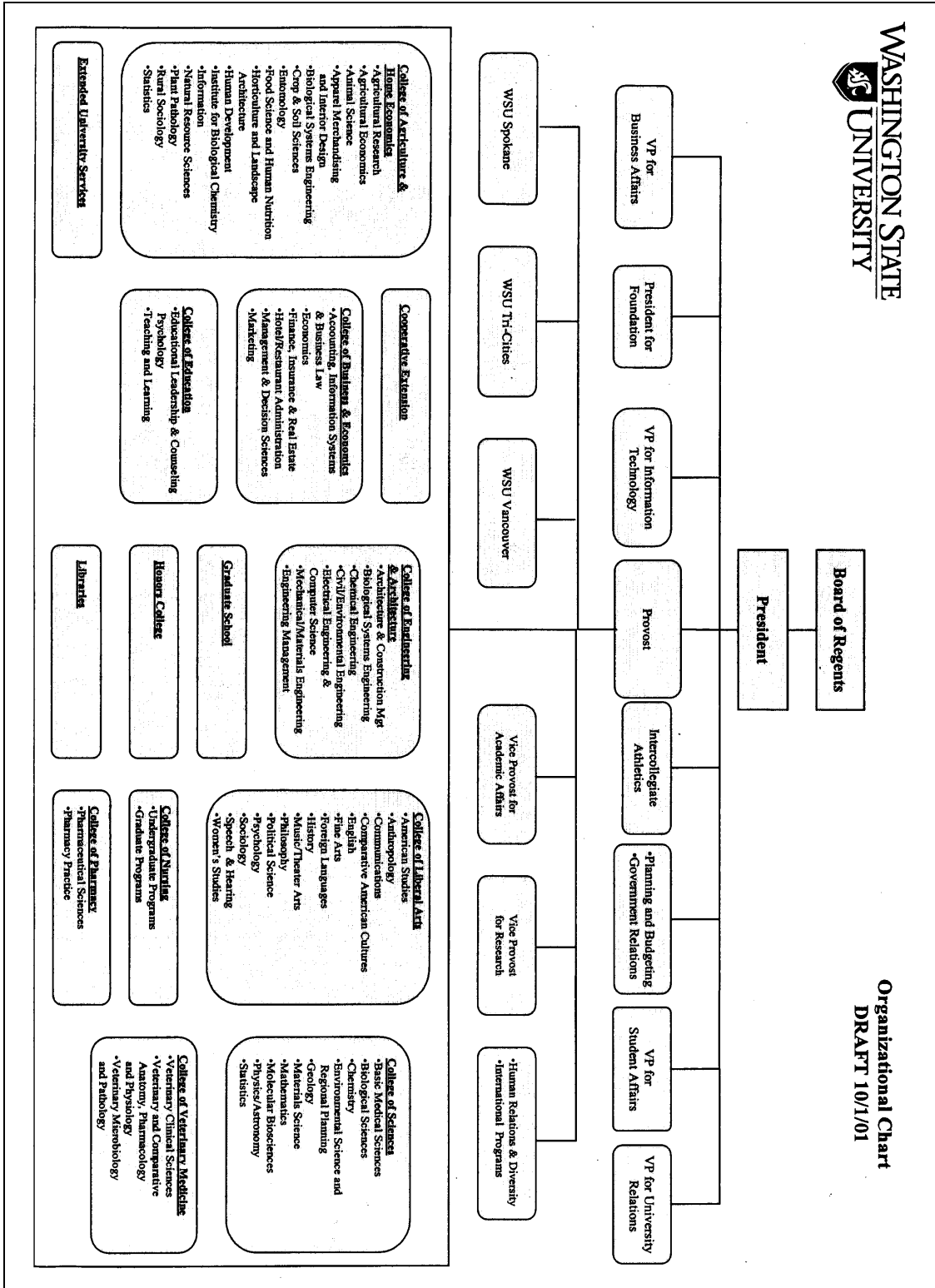
On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities)?

Yes

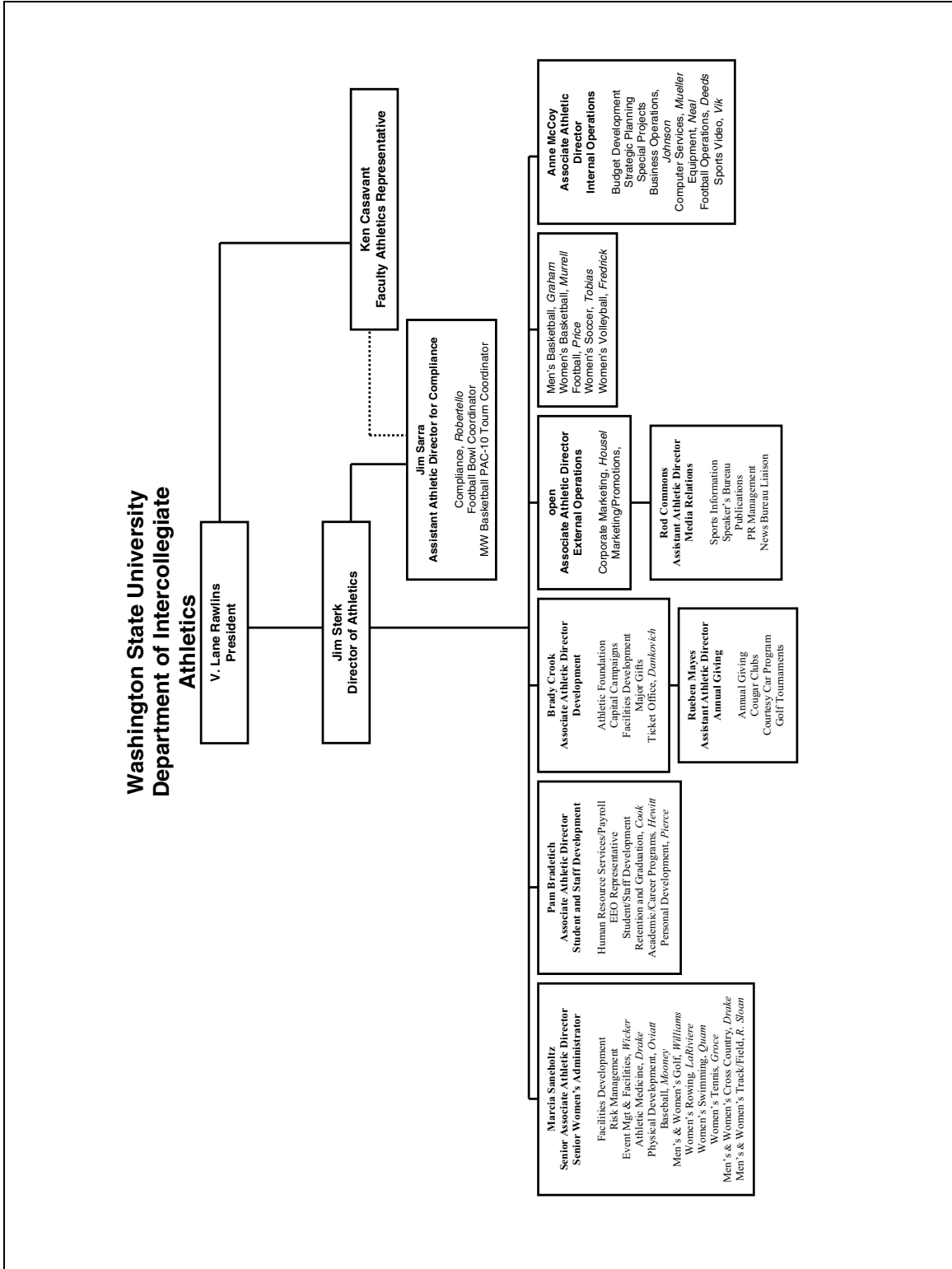
Rules Compliance				
	Currently Yes	Found on Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicate Plan for Improvement Number
Does the institution demonstrate that:				
a. It has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program?	✓	11-27, and Appendix C		
b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department?	✓	11-27, and Appendix C		
c. Rules compliance is the subject of an ongoing educational effort?	✓	11-27, and Appendix C		
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?	✓	11-27, and Appendix C		
e. At least once every three years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department?	✓	11-27, and Appendix C		

On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 1.3 (Rules Compliance)? **Yes**

Appendix A – Washington State University Organizational Chart



Appendix A – Athletic Department Organizational Chart



Appendix B – Job Descriptions: Faculty Athletic Representative

TITLE: FACULTY ATHLETIC REPRESENTATIVE

REPORTS TO: Washington State University President

SUPERVISES: Administrative Assistant to the Faculty Athletic Representative

**PERFORMANCE
RESPONSIBILITIES:**

1. Participate with the President and Athletic Director, as well as other key administrators, in establishing policy and direction for Cougar Athletics.
 - a. Serve as chair of Athletic Council
 - b. Serve as chair of University Compliance Committee
 - c. Participate in discussions regarding proposed NCAA legislation
2. Oversee the academic performance and educational experience of student-athletes:
 - a. Review and monitor student-athletes' academic records with respect to major and course selection as well as NCAA satisfactory progress rules;
 - b. Review and evaluate academic and general support services for student-athletes;
 - c. Help develop questions for student-athlete exit interviews; review results of interviews; make recommendations to President and Athletic Director regarding proposed program or policy changes.
3. Certify the determination of student-athlete eligibility under NCAA, conference and institutional rules:
 - a. Verify NCAA Clearinghouse initial certification and serve as the athletic department's liaison to the WSU Admissions Office for cases of special admittance;
 - b. Monitor and approve the Registrar's Office preliminary determination of eligibility with respect to continuing and transfer student-athletes;
 - c. Periodically review daily eligibility reports compiled by Registrar's Office.

Appendix B – Job Descriptions: Faculty Athletic Representative (cont.)

4. Regularly review and evaluate current financial aid policies and procedures:
 - a. Compare squad lists with participation lists;
 - b. Complete financial aid exemption forms for “non-counters”;
 - c. Represent the athletic department to the WSU Financial Aid Office in “cost of attendance” deliberations.
5. Participate with the Compliance Office in developing and instituting an on-going rules education program for all facets of WSU that are impacted by compliance issues:
 - a. Assist with rules education training for WSU campus units with compliance duties;
 - b. Administer NCAA coaches certification exams;
 - c. Administer NCAA-mandated exams of athletic and university staff members.
6. Oversee, in conjunction with the University Counsel and Associate Athletic Director, Compliance & Academics, any major institutional inquiry into alleged or suspected major violations of NCAA rules:
 - a. Be apprised of secondary violations by the associate athletic director;
 - b. Assist in the preparation or completion of reports or audits that result from NCAA or conference sanctions.
7. Serve as a liaison to the NCAA and Pac-10 Conference. Serve on Pac-10 Council and Faculty Athletic Representatives Committee.
8. Assist in monitoring and participate in the institution’s self-study process and peer certification process.
9. Assist in the activities of the compliance and academic services offices.

Appendix B – Job Descriptions: Principal Assistant for Faculty Athletic Representative (cont.)

POSITION DESCRIPTION	
OFFICIAL TITLE/TITLE CODE: <i>(current 12/02)</i>	Principal Assistant (#1113)
POSITION NUMBER:	080013
APPOINTMENT STATUS:	Administrative/Professional: permanent: 12 month: 100%
ORGANIZATION AND LOCATION:	This position is located in the Faculty Athletic Representative's office which is a departmental unit of President's Office located at the Pullman campus of Washington State University.
WORKING TITLE:	Principal Assistant to the Faculty Athletic Representative
BASIC FUNCTION:	This position provides administrative support to the Faculty Athletic Representative (FAR) by troubleshooting and assisting with day to day office operations. Acts as a liaison while FAR is away from Pullman. Coordinates the production of various reports and surveys, and the conversion of data management into a database. Performs and manages necessary office functions to keep office equipment, inventory, files and records, data, purchasing, and travel in order.
REPORTS TO:	Faculty Athletic Representative
SUPERVISORY RESPONSIBILITIES:	Incumbent is not responsible for supervising any employees.
DUTIES AND RESPONSIBILITIES:	
70% Administrative Support	
	<ol style="list-style-type: none"> 1. Must keep regular work hours as determined by the FAR with flexibility for peak periods. Dependability, credibility and an ability to successfully interact with and communicate with prospective student-athletes, student-athletes, employees and other staff is critical to the position. 2. Provide administrative support to the FAR and act as a liaison for the FAR when he is away from the Pullman campus; oversee travel arrangements; schedule meetings; review mail; research and compose appropriate responses to mail and phone communications for review by the FAR. 3. Develop, plan, coordinate and implement the conversion of data management from multiple spreadsheets to a single NCAA database, including the facilitation of linkages with the registrar, admissions and financial aid, organization, and the coordination of the input of student-athlete records. 4. Maintain accurate data in the Pac-10 report database for student-athletes demographic, sport participation, and academic information. This data is essential for the Pac-10 reports which are required by the NCAA.

Appendix B – Job Descriptions: Principal Assistant for Faculty Athletic Representative (cont.)

5. Maintain accurate data in the NCAA Compliance Assistant program for student-athletes demographic information. This data is essential for the NCAA Squad List reports which are required by the NCAA.
6. Maintain accurate individual student-athlete data for certification of years played, financial aid status, and recruiting status.
7. Actively participate in the generation/review of satisfactory progress for student-athletes.
8. Make recommendations with regard to operational procedures to accomplish goals and objectives to ensure the compliance unit is working at the maximum levels of efficiency.
9. Assist in the production of various documents, including correspondence and various forms for the Pac-10 Conference and Pac-10 Faculty Athletic Representatives, such as Pac-10 eligibility reports and waiver petitions.
10. Coordinate and assist the FAR with research projects and surveys, and the production and distribution of a final reports.
11. Assist with the preparation and monitoring of general/administrative budget expenditures for the FAR.
12. Schedule, prepare agendas, take, prepare and distribute minutes for the Athletic Council, Compliance Committee and Faculty Advisory Committee.
13. Remain current with and uphold the bylaws of the NCAA, Pac-10 Conference, Federal and Washington State University.
14. Performs special projects such as:
 - a. Produce bi-annual Pac-10 reports required in the area of Compliance.
 - b. Produce annual squad lists reports for the NCAA.

25% Office Management

1. Provides office management such as: managing workspace and equipment requirements; overseeing and prepare requisitions, purchase orders and other required University forms relating to purchasing; overseeing inventory of office supplies, stationery, and office machines; and maintaining a comprehensive filing system, including student-athlete files and electronic data, as well as other record keeping functions of the office.
2. Maintain a comprehensive and efficient filing system for the FAR.
3. Establish a system for logging forms of incoming and outgoing communication for the FAR.

5% Other Duties As Required

KNOWLEDGE, SKILLS, AND ABILITIES

- Knowledge of University procedures and mainframe applications.
- Knowledge of systematic filing.
- Knowledge of basic NCAA rules.
- Skill in planning and preparing meeting and workshops.
- Skill in operation and basic maintenance of office equipment.

Appendix B – Job Descriptions: Principal Assistant for Faculty Athletic Representative (cont.)

ESSENTIAL WORK COMPETENCIES

- Ability to reason logically.
- Ability to communicate effectively both orally and in writing.
- Ability to maintain poise under all circumstances and effectively interact with people in a positive manner.
- Ability to apply technical knowledge.
- Ability to apply information in high stress and conflict situations.
- Ability to deal simultaneously with several problems.
- Ability to comprehend complex problems and reach reasonable conclusions.
- Ability to use mental skills and to recall, analyze, organize information and make complex decisions.

WORKING CONDITIONS/PHYSICAL REQUIREMENTS:

Working Conditions

- Most of the work is discharged in an office environment but interactions in employee's work place is periodically necessary. This may be indoors or outside in any weather conditions.
- Intense emotional situations may exist which necessitate incumbent's ability to lend a calming influence and control. These are normally of a short duration but frequently may be moderate to high.

Physical Requirements

- Normal mobility is required to discharge duties and responsibilities throughout the Pullman campus.

MINIMUM QUALIFICATIONS:

- High School Graduate
- Two years minimum experience working within a high-level administrative unit or for an administrative officer
- Knowledge of NCAA, Pacific-10 Conference rules, including those associated with compliance issues
- Strong computer capabilities and familiarity with mainframe systems
- Demonstrated ability to function in a high-stress, fast-paced environment
- Demonstrated communication and interpersonal relationship skills, including the ability to provide information to diverse groups of people

PREFERRED QUALIFICATIONS:

- Bachelor's Degree
- Familiarity with the following: WSU Compliance procedures and processes; WSU policies and procedures; and the WSU mainframe system
- An understanding of basic budgeting and purchasing processes within an institutional setting

Employee _____ Date _____

Appendix B – Job Descriptions: Assistant Athletic Director

POSITION DESCRIPTION	
OFFICIAL TITLE/TITLE CODE: <i>(current 12/02)</i>	Assistant Athletic Director (#0656)
POSITION NUMBER:	38602
APPOINTMENT STATUS:	Faculty Non-tenured, Permanent, 12 month, 100%
ORGANIZATION/LOCATION:	This position is located in Compliance, a unit of Intercollegiate Athletics which is a department located at the Pullman campus of Washington State University.
WORKING TITLE:	Assistant Athletic Director – Compliance and Administrative Services
BASIC FUNCTION:	Oversee, supervise and coordinate all activities related to the compliance, along with other duties as assigned.
REPORTS TO:	Director of Athletics
SUPERVISORY RESPONSIBILITIES:	Responsible for supervising compliance staff and other staff as assigned.
DUTIES AND RESPONSIBILITIES:	
50% Compliance Responsibilities	
<ol style="list-style-type: none">1. Develop, implement and monitor a compliance program that utilizes appropriate institutional offices for assistance with compliance functions and that features adequate and appropriate checks and balances.2. Oversee all operations of the compliance unit including but not limited to issues in the following areas: eligibility, recruiting, team travel, financial aid, outside income, rules interpretations, self-reports and rules education.3. Represent university compliance operations as appropriate at Pac-10 Conference, NCAA or other meetings.4. Oversee Special Assistance Fund administration.	
25% Supervisory Duties	

Appendix B – Job Descriptions: Assistant Athletic Director (cont.)

1. Responsible for supervision, evaluation and organization of Compliance Unit, which currently comprises 2 full-time positions and intern positions, as needed. This responsibility involves the development and implementation of immediate and long-term goals.

25% Other Duties As Assigned By The Athletic Director

1. Including, but not limited to, requests for data or completion of surveys from outside organizations regarding compliance data and serving as point person on special athletic events (e.g. Bowl games, Pac-10 Basketball Tournaments).

KNOWLEDGE, SKILLS AND ABILITIES:

- Knowledge of the mission and goals of the University and how the Department’s goals and objectives fall within that scope
- Knowledge of University policies and procedures
- Knowledge of NCAA and Pac-10 rules and regulations
- Skill in completing tasks with little or no direction

ESSENTIAL WORK COMPETENCIES

- Ability to reason logically, recall, analyze and organize information in order to make substantive and sometimes complex decisions reaching reasonable conclusions within the scope of authority
- Ability to comprehend potential issues and address them before they become problematic
- Ability to communicate effectively both orally and in writing
- Ability to maintain poise under all circumstances and effectively interact with people in a positive manner
- Ability to apply technical knowledge
- Ability to apply information in highly stressful situations
- Ability to deal simultaneously with several problems

MINIMUM QUALIFICATIONS:

- Bachelor’s degree required
- Requires demonstrated experience in rules compliance and program supervision within a major athletic department, or equivalent professional experience.
- Understanding of rules and regulations established by the various governing bodies related to Intercollegiate Athletics is necessary

PREFERRED QUALIFICATIONS:

- Master’s degree preferred

Appendix B – Job Descriptions: Assistant Athletic Director (cont.)

- Demonstrated progressing athletic administration experience
- Demonstrated interpersonal relation skills: Above average ability to effectively communicate orally and written, ability to function professionally in highly stressful situations, ability to provide clear information on an impromptu basis to individuals or groups of people, facilitation and conflict resolution skills.
- Demonstrated problem-solving skills, which consider alternatives and provide flexibility.

WORKING CONDITIONS/PHYSICAL REQUIRMENTS:

Working Conditions

- Most of the work is discharged in an office environment but interactions outside the employee’s workplace are periodically necessary. This may indoors or outside in any weather conditions.
- Intermittent travel is necessary for the duties relative to this position.
- Intense emotional situations may exist which necessitate incumbent’s ability to lend a calming influence and control. These are normally of a short duration but frequently may be moderate to high.

Physical Requirements

- Normal mobility is required to discharge duties and responsibilities throughout the Pullman campus.

Employee _____ **Date** _____

Appendix B – Job Descriptions: Athletic Financial Aid Coordinator

POSITION DESCRIPTION	
OFFICIAL TITLE/TITLE CODE: <i>(current 12/02)</i>	Student Affairs Officer II (#0683)
POSITION NUMBER:	40233
APPOINTMENT STATUS:	Faculty, Non-Teaching Permanent 12 Month, Fulltime
ORGANIZATION AND LOCATION:	Office of Student Financial Aid and Scholarship Services Lighty Student Services Building, Room 380
WORKING TITLE:	Athletics Financial Aid Coordinator
BASIC FUNCTION:	This position is responsible for serving as the liaison to the WSU Compliance Office and Academic and Career Services. The position provides assistance monitoring financial aid to ensure compliance with National Collegiate Athletic Association (NCAA), Pacific-10 Conference, federal, state and Washington State University financial aid bylaws, rules, regulations, and policies that apply to prospective student-athletes, student-athletes, athletic department coaches and employees. This position provides financial aid services for athletic compliance unit and student-athletes. Responsible for providing assistance to Compliance Office with preparing the National Letter of Intent to prospective student-athletes and assistance administering initial, renewal, reduction, cancellation, non-renewal and senior financial aid letters to student-athletes. This position is responsible for inputting, monitoring, analyzing and updating award information into relevant internal computer systems on a daily basis. Participates in the general planning, development and implementation of office policies, procedures, and practices. All coordinators are vested with the overall responsibility to foster a spirit of teamwork, productivity and responsible management practices among the staff.
REPORTS TO:	Director of Financial Aid and Scholarship Services and Faculty Athletics Representative
SUPERVISORY RESPONSIBILITIES:	Incumbent is responsible for supervising a half time Athletics Financial Aid Counselor
DUTIES AND RESPONSIBILITIES:	

Appendix B – Job Descriptions: Athletic Financial Aid Coordinator (cont.)

65% Athletic Financial Aid Coordinator

1. Serve as the liaison to WSU Compliance Office and Academic and Career Services to meet the needs of each department related to athletics financial aid.
2. Counsels student-athletes and prospective student-athletes regarding athletically related financial aid and additional financial aid.
3. Work in conjunction with the Compliance Office with prospective student-athletes and student-athletes athletic financial aid to ensure proper equivalencies and head count numbers (initial and overall) per NCAA bylaws.
4. Work in conjunction with the Compliance Office with the process of reviewing, revising, renewal, nonrenewal, and reduction of all athletically related financial aid.
5. Maintain automated and efficient system for tracking the athletic financial aid process.
6. Work in conjunction with the Compliance Office with monitoring prospective student-athlete's and student-athlete's non-athletic and other countable aid and non-countable aid to ensure proper equivalencies and head count numbers per NCAA bylaws.
7. Maintain an outside scholarship database of all student-athlete recipients.
8. Coordinate prospective student-athletes and continuing student-athletes with their overall financial aid package to ensure compliance with NCAA, Pacific-10 Conference, federal, state and Washington State University limits.
9. Assist Compliance Office with monitoring of employment earnings for student-athletes participating in the NCAA Jobs Program to ensure compliance with NCAA rules.
10. Coordinate the distribution of athletic financial aid for managers, graduate assistants and other Athletic Department Interns.
11. Work in conjunction with Academic and Career Services with distribution of athletic financial aid for Degree Completion Program applicants.
12. Assist the Compliance Office with determining academic year athletic grant-in-aid budgets.
13. Assist Academic and Career Services and Compliance Office with summer athletic grant-in-aid budgets and awarding of summer athletic financial aid for the Athletic Department.
14. Assist the Compliance Office with the administration of the National Letter of Intent program for prospective student-athletes.
15. Work as the liaison with Housing & Dining Services and Student Accounts concerning student-athletes and athletic financial aid.

Appendix B – Job Descriptions: Athletic Financial Aid Coordinator (cont.)

16. Work with the Compliance Office in coordinating the academic year and summer textbook distribution, reconciliation, and textbook reimbursement.
17. Assist the Compliance Office with the NCAA Special Assistance Fund in determining eligibility for student-athletes.
18. Assist Compliance Office with all the relevant Pacific-10 Conference and the NCAA reports and forms regarding athletic financial aid.
19. Remain current with and uphold the relevant bylaws of the NCAA, Pac-10 Conference, Federal and Washington State University.
20. Work with Athletic Compliance Unit to upgrade and maintain financial aid policies and procedures for the Athletic Department and Athletic Compliance Unit.
21. Upgrade and maintain financial aid policies and procedures for the Financial Aid Office.
22. Performs other duties and special projects as assigned by the Faculty Athletics Representative and requested by the Compliance Office.

30% Financial Aid Information

1. Maintain accurate information reflecting the status of prospective student-athletes and student-athlete's financial aid information, athletic grant-in-aid amounts, individual limits and team limits for all sports.
2. Maintain accurate data in the NCAA Compliance Assistant Software for student-athletes individual limits and team limits. This data is essential for the NCAA Squad List reports.
3. Assist Compliance Office in maintaining accurate data in the Jobs Program database of student-athletes receiving employment earnings.
4. Coordinate the Third Party Guarantee Program as related to financial aid regulations.

5% Other Duties As Required

1. Client Service functions: periodic phone duty, window duty, and outreach activities designated to assist the general student body.
2. Serve as a member of the OSFA Management and Planning Committee.
3. Serve on financial aid staff committees as deemed necessary.

PERFORMANCE EVALUATION

- **Job Knowledge:** Possesses sufficient general and specific knowledge in the professional field to perform the job and accomplish stated objectives, understanding of policies procedures and methods.

Appendix B – Job Descriptions: Athletic Financial Aid Coordinator (cont.)

- **Working Relationships:** cooperation and ability to work with peers, co-workers, students and clients served; cooperates and works well as a member of a team.
- **Communication Skills:** uses adequate methods for assuring flow of information to superiors, subordinates and others; ability to listen to others in order to communicate and exchange ideas; ability to participate in group discussions and meetings; grammatical skills- written and verbal.
- **Quality of Work:** competence, accuracy, neatness, and thoroughness, along with ability to prioritize and arrange job assignments.
- **Reliability:** maintains appropriate office hours, available during peak times of the year.

KNOWLEDGE, SKILLS, AND ABILITIES

- Knowledge of NCAA, Pac-10, and institutional rules and regulations
- Knowledge of procedures for monitoring rules and regulations
- Knowledge of complex work processes
- Knowledge of basic principles and practices of supervisory techniques
- Skill in the operation of computers and applications
- Skill in planning and developing single or multiple job tasks
- Ability to demonstrate basic reading and writing skills
- Ability to use common sense approaches and make prudent and sound decisions

ESSENTIAL WORK COMPETENCIES

Position duties and responsibilities will be performed in support of WSU Compliance effort with office vision, mission and values as well as institutional mission and goals.

- Ability to reason logically
- Ability to communicate effectively both orally and in writing.
- Ability to maintain poise under all circumstances and effectively interact with people in a positive manner.
- Ability to apply technical knowledge.
- Ability to apply information in high stress and conflict situations.
- Ability to deal simultaneously with several problems.
- Ability to comprehend complex problems and reach reasonable conclusions.
- Ability to use mental skills to recall, analyze, organize information and make complex decisions.

WORKING CONDITIONS/PHYSICAL REQUIREMENTS:

Working Conditions

- Most of the work is discharged in an office environment but interactions in employee's work place are periodically necessary. Appropriate professional attire is required. Extended sitting and standing is also required. This may be indoors or outside in any weather conditions.
- Intense emotional situations may exist which necessitate incumbent's ability to lend a calming influence and control. These are normally of a short duration but frequently may be moderate to high.
- All Office of Student Financial Aid faculty must demonstrate a dual service and compliance orientation, which is the critical component of effective management. Faculty will give the highest priority to problem solving. It is the professional responsibility of all persons on faculty appointment to devote the necessary hours to complete assignments.

Appendix B – Job Descriptions: Athletic Financial Aid Coordinator (cont.)

Physical Requirements

- Normal mobility is required to discharge duties and responsibilities throughout the Pullman campus.

MINIMUM QUALIFICATIONS:

- Bachelor’s Degree
- Demonstrated knowledge of NCAA, Pacific-10 Conference rules and regulations with a specific background in a compliance environment
- Demonstrated knowledge of Financial Aid programs
- Strong computer background with working knowledge of Microsoft Word, Excel, Access, and mainframe applications
- Demonstrated interpersonal relation skills including the ability to effectively communicate in writing and orally
- Demonstrated ability to function professionally under high stress and confrontational circumstances
- Ability to provide clear information on an impromptu basis to individuals or diverse groups of people
- Demonstrated ability to facilitate conflict resolution

PREFERRED QUALIFICATIONS:

- Masters degree
- Familiarity with WSU Compliance procedures and processes as well as WSU policies and procedures
- Familiarity with WSU mainframe system and NCAA Compliance Assistant software

EMPLOYEE _____ DATE _____

Appendix B – Job Descriptions: Athletic Eligibility Coordinator

POSITION DESCRIPTION

OFFICIAL TITLE/CODE: <i>(current 12/02)</i>	Athletics Eligibility Coordinator/Credentials Evaluator
POSITION NUMBER:	077543
APPOINTMENT STATUS:	Administrative Professional: permanent 12-month 100%
ORGANIZATION AND LOCATION:	This position is located in the Office of the Registrar. This office is located at the Pullman campus of Washington State University.
WORKING TITLE:	Athletic Eligibility Coordinator
BASIC FUNCTION:	This position is responsible for monitoring and certifying athletic academic eligibility to ensure compliance with National Collegiate Athletic Association (NCAA), Pacific-10 Conference and University bylaws, rules, regulations, and policies that apply to prospective student-athletes, entering freshmen student-athletes, transfer student-athletes, and continuing student-athletes. This position provides services as required for athletic compliance unit and student-athletes. This position is responsible for reviewing, evaluating, processing and providing accurate data on prospective student-athlete education credentials.
REPORTS TO:	Registrar and Faculty Athletic Representative
SUPERVISORY RESPONSIBILITIES:	Incumbent is responsible for supervising Registrar intern(s)
DUTIES AND RESPONSIBILITIES:	<p>Serve as the liaison to WSU Compliance Office and Academic & Career Services to meet the needs of department as it relates to athletics eligibility.</p> <p>Must keep regular work hours as determined by the Registrar and Faculty Athletic Representative. Dependability, accessibility, credibility and ability to successfully interact with and communicate with student-athletes, employees and other staff are critical to the position. Availability to the athletic department compliance unit is critical to the function of this position.</p>

Appendix B – Job Descriptions: Athletic Eligibility Coordinator (cont.)

60% Athletic Eligibility Coordinator

1. Evaluate and produce accurate records for continuing eligibility of returning student-athletes:
 - a. Create, evaluate, process and maintain satisfactory progress forms
 - b. Create and evaluate completion of course work and GPA
 - c. Monitor completion of major certification documents
 - d. Create and evaluate eligibility work sheets and update information within the student-athlete database.
2. Assist Compliance Office with monitoring initial NCAA Clearinghouse certification of prospective student-athletes (incoming freshmen).
3. Evaluate eligibility for transfer student-athletes
 - a. Evaluate NCAA transfer eligibility using Admissions transfer credit report
 - b. Monitor initial freshmen eligibility (NCAA Clearinghouse) using final documentation received for admission and clearinghouse certification.
4. Maintain student-athlete file containing appropriate documentation for initial and transfer continuing eligibility
 - a. Develop and maintain essential information in main Student-Athlete database.
5. Monitor Academic Reinstatement process for all deficient student-athletes.
6. Provide and verify accurate information for the PAC-10 reports and NCAA squad lists for all sports to Faculty Athletic Representative.
7. Prepare daily eligibility report for review and distribution by athletic compliance services to appropriate officials.
 - a. Determine eligibility for student-athletes and specify if they are eligible to compete, receive financial aid, and/or practice.
 - b. Provide notification of all eligibility status changes.

15% Admissions Liaison/Evaluator

1. Evaluate a variety of education credentials. Consult with departments and other institutions about academic programs and transfer policies and procedures. (E)
 - a. Receive unofficial transfer evaluation requests and transcripts from the Compliance Office.
 - b. Initiate unofficial evaluation process upon receipt of unofficial transcripts by the office of Admissions.
 - c. Project level of education applicant has achieved and degrees earned, if any.
 - d. Enter course titles into DARS system for evaluation by Admissions evaluators.
 - e. Check admissions credentials for completeness and initiate requests for missing information.
 - f. Procure Admissions transfer credit report form for all prospective transfer student-athletes.

Appendix B – Job Descriptions: Athletic Eligibility Coordinator (cont.)

- Knowledge of procedures for monitoring rules and regulations.
- Knowledge of complex work processes.
- Skill in the operation of computers and applications.
- Skill in planning and developing single or multiple job tasks.
- Ability to demonstrate basic reading and writing skills.
- Ability to prioritize and arrange job assignments.
- Ability to use common sense approaches and make prudent and sound decisions.
- Ability to produce accurate data for athletic compliance unit.

ESSENTIAL WORK COMPETENCIES

- Ability to reason logically.
- Ability to communicate effectively both orally and in writing.
- Ability to maintain poise under all circumstances and effectively interacts with people in a positive manner.
- Ability to apply technical knowledge.
- Ability to apply information in high stress and conflict situations.
- Ability to deal simultaneously with several problems.
- Ability to comprehend complex problems and reach reasonable conclusions.
- Ability to use mental skills and to recall, analyze, organize information and make complex decisions.

WORKING CONDITIONS/PHYSICAL REQUIREMENTS:

Working Conditions

- Most of the work is discharged in an office environment but interactions in employee's work place are periodically necessary. This may be indoors or outside in any weather conditions.
- Must work in an environment of high integrity and accountability.
- Must be available to work consistently with eligibility timelines.

Physical Requirements

- Normal mobility is required to discharge duties and responsibilities throughout the Pullman campus.

MINIMUM QUALIFICATIONS:

- Applicants must have demonstrated computer skills that include desktop applications and database management.
- Applicants must be especially adept in a priority setting and management of details
- Must be able to effectively communicate complicated concepts, both orally and in writing, to a variety of populations
- Must be able to work individually and as a member of a team.

PREFERRED QUALIFICATIONS:

- Bachelor's degree.
- Experience in the use of student information computer systems.

Appendix B – Job Descriptions: Athletic Eligibility Coordinator (cont.)

- Experience working with NCAA, Pac-10, and institutional rules and regulations.
- Experience evaluating education credentials.
- Experience in monitoring and enforcing rules and regulations.

Employee _____ Date _____

Appendix B – Job Descriptions: Athletic Financial Aid Counselor

POSITION DESCRIPTION

OFFICIAL TITLE/TITLE CODE: Student Services Advisor/Counselor (#0680)
(current 12/02)

POSITION NUMBER: 79110

APPOINTMENT STATUS: Administrative & Professional, 50% FTE

ORGANIZATION AND LOCATION: Office of Student Financial Aid and Scholarship Services Lighty Student Services Building Room 380

WORKING TITLE: **Athletic Financial Aid Counselor**

BASIC FUNCTION: Under general direction, perform work using knowledge and experience specific to the program. Exercise independent judgment in interpreting and applying rules and regulations. Independently advise students, staff and Athletic Department Staff regarding athletic compliance, policies, procedures and activities; select/recommend alternative courses of action and either:

Monitor and maintain scholarship and financial aid awards and/or make adjustments to scholarships, financial aid and cost of attendance. Periodic back up support to Athletic Eligibility Coordinator in Registrars Office.

The nature of the position will require poise and the ability to work under time pressures, to assess data quickly, and to resolve problems in an efficient manner documenting contacts and follow-up.

The position has additional responsibilities that serve to broaden the range of services to ensure that special needs of students are met.

REPORTS TO: Athletic Financial Aid Coordinator

DUTIES AND RESPONSIBILITIES:

60% Financial Aid Counselor

Appendix B – Job Descriptions: Athletic Financial Aid Counselor (cont.)

1. Must keep regular work hours as determined by the Athletic Financial Aid Coordinator. Dependability, credibility and ability to successfully interact with and communicate with prospective student-athletes, student-athletes, employees and other staff are critical to the position.
2. Confer regularly with the Athletic Financial Aid Coordinator on NCAA Financial Aid issues and Scholarships questions.
3. Monitor NCAA regulations related to Financial Aid.
4. Remain current with and uphold the bylaws of the NCAA, Pac-10 Conference, Federal and Washington State University.
5. Post Athletic Guarantees on the financial aid system
6. Maintain Guarantee notebook.
7. Review daily reports to verify scholarships and checks printed are correct.
8. Process requests for NCAA Special Assistance Fund.
9. Correspond with departmental and outside scholarship donors.
10. Counsel student athletes when Athletic Financial Aid Coordinator is not available.

30% Financial Aid Information

1. Assist in writing Financial Aid Athletic Policies and Procedures.
2. Act as liaison between the Financial Aid Department and Accounts Receivable.
3. Occasional telephone duty as a financial aid counselor
4. Monitor program activities in relation to established program goals; within established program parameters, and determine variance from program standards.

10% Back Up Support For Athletic Eligibility Coordinator In The Registrars Office

1. Prepare daily eligibility report for distribution to appropriate officials

KNOWLEDGE, SKILLS, AND ABILITIES

- Knowledge of NCAA, Pac-10, and institutional rules and regulations
- Knowledge of procedures for monitoring and enforcing rules and regulations
- Knowledge of complex work processes
- Skill in the operation of computers and applications

Appendix B – Job Descriptions: Athletic Financial Aid Counselor (cont.)

- Skill in planning and developing single or multiple job tasks
- Ability to demonstrate basic reading and writing skills
- Ability to prioritize and arrange job assignments
- Ability to use common sense approaches and make prudent and sound decisions

ESSENTIAL WORK COMPETENCIES

- Ability to reason logically
- Ability to communicate effectively both orally and in writing
- Ability to maintain poise under all circumstances and effectively interact with people in a positive manner
- Ability to apply technical knowledge
- Ability to apply information in high stress and conflict situations
- Ability to deal simultaneously with several problems
- Ability to comprehend complex problems and reach reasonable conclusions
- Ability to use mental skills to recall, analyze, organize information and make complex decisions

WORKING CONDITIONS/PHYSICAL REQUIREMENTS:

Working Conditions

- Most of the work is discharged in an office environment but interactions in employee's work place are periodically necessary. This may be indoors or outside in any weather conditions.
- Intense emotional situations may exist which necessitate incumbent's ability to lend a calming influence and control. These are normally of a short duration but frequently may be moderate to high.
- All Office of Student Financial Aid Staff must demonstrate a dual service and compliance orientation, which is the critical component of effective management.

Physical Requirements

- Normal mobility is required to discharge duties and responsibilities throughout the Pullman campus.

MINIMUM QUALIFICATIONS:

- Bachelor's Degree
- Demonstrated knowledge of NCAA, Pacific-10 Conference rules and regulations with a specific background in a compliance environment
- Demonstrated knowledge of Financial Aid programs
- Strong computer background with working knowledge of Microsoft Word, Excel, Access, and main frame applications
- Demonstrated interpersonal relation skills including the ability to effectively communicate in writing and orally
- Demonstrated ability to function professionally under high stress and confrontational circumstances

Appendix B – Job Descriptions: Athletic Financial Aid Counselor (cont.)

- Ability to provide clear information on an impromptu basis to individuals or diverse groups of people

PREFERRED QUALIFICATIONS:

- Masters degree
- Familiarity with WSU Compliance procedures and processes as well as WSU policies and procedures
- Familiarity with WSU main frame system and NCAA Compliance Assistant software

EMPLOYEE _____ **DATE** _____

Appendix B – Job Descriptions: Director of Compliance

POSITION DESCRIPTION

OFFICIAL TITLE/TITLE CODE: <i>(current 12/02)</i>	Director of Compliance (# 1155)
POSITION NUMBER:	78601
APPOINTMENT STATUS:	Exempt: permanent: 12 month: 100%
ORGANIZATION AND LOCATION:	This position is located in Compliance, which is a departmental unit of Athletics located at the Pullman campus of Washington State University.
WORKING TITLE:	Director of Compliance
BASIC FUNCTION:	This position is responsible for monitoring compliance with National Collegiate Athletic Association (NCAA), Pacific-10 Conference, and, Washington State University bylaws, rules, regulations and, polices that apply to prospective student-athletes, student-athletes, athletic department coaches and employees. This position provides services as required and rules education for athletic department personnel and student-athletes.
REPORTS TO:	Assistant Athletic Director
SUPERVISORY RESPONSIBILITIES:	Incumbent is responsible for supervising Compliance Office Intern(s).
DUTIES AND RESPONSIBILITIES:	
50% Compliance Responsibilities	
	<ol style="list-style-type: none">1. Must keep regular work hours as determined by the Assistant Athletic Director. Confidentiality, dependability, credibility and ability to successfully interact with and communicate with prospective student-athletes, student-athletes, coaches, employees and other staff are critical to the position.2. Assists Assistant Athletic Director with day-to-day operations of the compliance office including but not limited to:
Recruiting	
	<ol style="list-style-type: none">1. Assist all coaching staff and athletics department personnel with all recruiting questions and interpretations.

Appendix B – Job Descriptions: Director of Compliance (cont.)

2. Provide education to all WSU coaching staff regarding WSU recruiting policies and procedures.
3. Monitoring recruiting logs, travel and auditing recruiting files

Financial Aid

1. Monitoring financial aid, awards and benefits that are provided to student-athletes
2. Periodic audits of financial aid distribution to student-athletes and teams
3. Update and distribute, throughout the academic year, squad lists as necessary to WSU coaching and administrative staff.
4. Monitor institutional financial aid limitations for each sport.
5. Liaison to Athletic Financial Aid Coordinator

Eligibility

1. Responsible for monitoring and distribution of daily eligibility report and any issues for review by Registrar's Office and approval by Faculty Athletics Representative.
2. Provide assistance to the Compliance Coordinator with admissions and initial-eligibility of prospective student-athletes.
3. Update and distribute transfer status report on a weekly basis to WSU coaching and administrative staff.
4. Liaison to coaching staff, registrar's office, and administrative staff with admissions and eligibility of transfer prospective student-athletes
5. Liaison to Athletic Eligibility Coordinator in registrar's office

30% Other Duties As Required

1. Assist Assistant Athletic Director with interpretations of NCAA and PAC-10 Conference legislation for athletic department coaches and staff members.
2. Direct monthly Assistant Coaches meetings.
3. Coordinate NCAA team eligibility meetings at the beginning of each academic year and semester.

Appendix B – Job Descriptions: Director of Compliance (cont.)

4. Complete necessary NCAA and PAC-10 Conference waivers and petitions as assigned by Assistant Athletic Director – Compliance.
5. Document outside income received by athletic department personnel.
6. Assist with the processing of all self-reports of suspected rules violations by investigating the issues and preparing documentation for review by university officials and submittal by the Director of Athletics.
7. Review all rules interpretations prepared by Compliance Office staff that are sought by coaches or other personnel; in questionable cases, facilitate communication with compliance staff at Pac-10 Conference offices.
8. Oversee the rules education program conducted for athletic department and appropriate institutional staff.
9. Any other duties as assigned by the Assistant Athletic Director – Compliance.

10% Administrative Responsibilities

1. Assist in the development, implementation, and monitoring of a compliance program that utilizes appropriate institutional offices for support with compliance functions, and that features adequate and appropriate checks and balances.
2. Provide on-going administrative support to the Assistant Athletic Director in such areas as:
 - a. Development of a comprehensive Agent Education program;
 - b. Development and monitoring of a department professional-sports counseling panel;
 - c. Monitoring of the NCAA Student-Athlete Employment program.
 - d. Development of strategies for integrating Compliance Office and Business Office in monitoring of Compliance Issues.
 - e. Assist in developing a comprehensive Compliance Office Systems Manual

10% KNOWLEDGE, SKILLS, AND ABILITIES

ESSENTIAL WORK COMPETENCIES:

- Ability to reason logically.
- Ability to communicate effectively both orally and in writing.
- Ability to maintain poise under all circumstances and effectively interact with people in a positive manner.
- Ability to apply technical knowledge.
- Ability to apply information in high stress and conflict situations.
- Ability to deal simultaneously with several problems.
- Ability to comprehend complex problems and reach reasonable conclusions.
- Ability to use mental skills and to recall, analyze, organize information and make complex decisions.

Appendix B – Job Descriptions: Director of Compliance (cont.)

WORKING CONDITIONS/PHYSICAL REQUIREMENTS:

Working Conditions

- Most of the work is discharged in an office environment but interactions in employee's work place are periodically necessary. This may be indoors or outside in any weather conditions.
- Intense emotional situations may exist which necessitate incumbent's ability to lend a calming influence and control. These situations are normally of a short duration but frequently may be moderate to high.

Physical Requirements

- Normal mobility is required to discharge duties and responsibilities throughout the Pullman campus.

MINIMUM QUALIFICATIONS:

- Bachelor's and Master's degree required.
- A minimum of four years demonstrated compliance experience on-campus within a major intercollegiate athletic program including skills in program analysis, planning, personnel supervision, and budget development and management.
- Working knowledge of NCAA legislation and procedures required.
- Strong written and oral communication skills required.

PREFERRED QUALIFICATIONS

- Demonstrated interpersonal relation skills.
- Ability to work in a joint-reporting environment.
- Ability to function professionally under high stress and confrontational circumstances.
- Ability to provide clear information on an impromptu basis to individuals or groups of people. Demonstrated ability to facilitate conflict resolution.
- Ability to promote diversity.

Employee _____

Date _____

Appendix B – Job Descriptions: Compliance Coordinator

POSITION DESCRIPTION

OFFICIAL TITLE/TITLE CODE: Compliance Coordinator (#1209)
(current 12/02)

POSITION NUMBER: **80098**

APPOINTMENT STATUS: Permanent

ORGANIZATION AND LOCATION: This position is located in Compliance, which is a departmental unit of Athletics located at the Pullman campus of Washington State University.

WORKING TITLE: **Compliance Coordinator**

BASIC FUNCTION: This position is responsible for monitoring compliance with National Collegiate Athletic Association (NCAA), Pacific-10 Conference, and, Washington State University bylaws, rules, and regulations, regarding recruiting, eligibility, and admissions. Must be able to interpret and apply complicated rules to a broad range of situations. Must work easily and effectively with students, coaches, and administrators.

REPORTS TO: Assistant Athletics Director

SUPERVISORY RESPONSIBILITIES: Incumbent has no supervisory responsibilities

DUTIES AND RESPONSIBILITIES:

50% Compliance Responsibilities

1. Must keep regular work hours as determined by the Assistant Athletic Director. Confidentiality, dependability, credibility and ability to successfully interact with and communicate with prospective student-athletes, student-athletes, coaches, employees, and other staff are critical to the position.
2. Assist the Assistant Athletic Director and Director of Compliance with day-to-day operations of the Compliance Office including but not limited to:

Appendix B – Job Descriptions: Compliance Coordinator (cont.)

Recruiting

1. Assist all coaching staff and athletics department personnel with all recruiting questions.
2. Monitor the recruiting process beginning with the initial recruiting contact through the prospect's enrollment at WSU. This includes information related to the NCAA Initial-Eligibility Clearinghouse, official and unofficial visits, recruiting travel logs, and recruiting files audit.
3. Coordinate and maintain Compliance Office prospect database and recruiting files, which contains all prospects recruiting information.
4. Oversee the Compliance Office official visit system, including review of all required paperwork, approval of visit, and informing WSU Business Office, WSU Travel Agency, and recruiting coach of approval of visit.
5. Maintain official visit database to record all official visit information, including number of visits per sport, as well as academic evaluation information for each prospect.
6. Assist with monitoring of recruiting activities through Recruiting Travel Logbook and coaches' recruiting files.
7. Monitor the sports' recruiting calendars during the contact, evaluation, quiet and dead periods.
8. Conduct annual audit of coaches recruiting files and compile a written summary report of information.

Financial Aid

1. Coordinate the NCAA Special Assistance Fund (SAF) program for all eligible student-athletes. This includes determining eligibility of student-athletes for the fund and approving appropriate uses of the fund. In addition, will compile and complete annual Pacific-10 Conference reports as well as maintain SAF database for all information.
2. Assist with the Compliance Office National Letter of Intent (NLI) system. This includes preparing appropriate NLI documents and reviewing for accuracy before distribution to prospective student-athlete.
3. Following the return of a signed NLI, review for accuracy and notify appropriate offices of the signing of the NLI by prospective student-athlete and send to PAC-10 Conference Office

Appendix B – Job Descriptions: Compliance Coordinator (cont.)

4. Assist the Director of Compliance and Athletic Financial Aid Coordinator with the athletics scholarship renewal and non-renewal process.

Eligibility

1. Track Admissions status of prospective student-athletes through the imaging system of the WSU Office of Admissions.
2. Monitor Initial-Eligibility Status of prospective student-athletes through the NCAA Initial-Eligibility Clearinghouse website.
3. Distribute weekly status report for prospective student-athletes for athletic department coaches and selected athletics staff concerning admissions and initial-eligibility information.
4. Evaluate prospective student-athletes transcripts for NCAA initial-eligibility and WSU admissions requirements for official visit evaluation and unofficial evaluation.
5. Meet with prospective student-athletes on official visits to discuss NCAA initial-eligibility and WSU admissions status.
6. Send out and monitor all transfer verification forms and permission to contact for all possible transfers to and from WSU.
7. Prepare and submit NCAA initial eligibility waivers to NCAA Initial-Eligibility Waiver committee.

30% Other Duties As Required

1. Work directly with athletic department coaches and liaisons in the Admissions', Registrar's, Financial Aid, and Academic Services Offices to secure needed information.
2. Assist Assistant Athletic Director with Pacific-10 Conference medical hardship waivers, NCAA expense waivers, and NCAA releases; gather information from coaches, medical personnel, student-athlete, and other agencies as needed to prepare the report.
3. Update Athletic Department and Compliance policy and procedures manuals in the appropriate areas.
4. Assist with development of a comprehensive Compliance Office Systems Manual.

Appendix B – Job Descriptions: Compliance Coordinator (cont.)

5. Assist the Assistant Athletics Director and Director of Compliance with interpretation requests of NCAA and PAC-10 Bylaws for athletics department coaches and staff.
6. Coordinate the Compliance Office Camps and Clinic system, including tracking all required paperwork. In addition, provide NCAA initial-eligibility presentations for prospects attending WSU sports camps and clinics.
7. Assist with Compliance Office with rules education program conducted for athletic department and appropriate institutional staff.
8. Assist with monthly Assistant Coaches Meetings.
9. Other duties as assigned by the Assistant Athletics Director.

15% Liaison Duties

Office of Admissions

1. Update NCAA Clearinghouse and admission status of prospective student-athletes.
2. Identify transfer prospects and submit requests for unofficial transfer credit reports (TCR) to the Admission's office and distribute copies to appropriate athletics department staff.
3. Provide academic background information for student-athletes appearing before the Admissions Subcommittee to the Academic Office and sport coaches.
4. Provide athletics department staff with updates of weekly official visits lists.
5. Distribute and maintain recruiting folders from the Office of Admissions containing campus recruiting information.

International Programs Office

1. Work with International Credential Evaluators to acquire transcript evaluation for WSU for all international prospective student-athletes.
2. Communicate to all coaches' new international information vital in the recruiting and admissions process.

NCAA Initial Eligibility Clearinghouse

1. Monitor NCAA Clearinghouse Web Status Report by adding and deleting prospective student-athletes.

Appendix B – Job Descriptions: Compliance Coordinator (cont.)

2. Correspond and work with NCAA Clearinghouse on prospective student-athlete issues.
3. Provide regular updates to athletic department coaches and staff on NCAA Clearinghouse issues.

5% Other Duties As Required

KNOWLEDGE, SKILLS, AND ABILITIES

- Knowledge of NCAA, Pacific-10 Conference, and institutional rules and regulations.
- Knowledge of procedures for monitoring and enforcing rules and regulations.
- Knowledge of complex work processes.
- Skill in the operation of computers and applications.
- Skill in planning and developing single or multiple job tasks.
- Ability to demonstrate advanced reading and writing skills.
- Ability to prioritize and arrange job assignments.
- Ability to use common sense approaches and make prudent and sound decisions.
-

ESSENTIAL WORK COMPETENCIES

- Ability to reason logically.
- Ability to communicate effectively both orally and in writing.
- Ability to maintain poise under all circumstances and effectively interacts with people in a positive manner.
- Ability to apply technical knowledge.
- Ability to apply information in high stress and conflict situations.
- Ability to deal simultaneously with several problems.
- Ability to comprehend complex problems and reach reasonable conclusions.
- Ability to use mental skills and to recall, analyze, organize information and make complex decisions.

WORKING CONDITIONS/PHYSICAL REQUIREMENTS:

Working Conditions

- Most of the work is discharged in an office environment but interactions in employee's work place are periodically necessary. This may be indoors or outside in any weather conditions.
- Intense emotional situations may exist which necessitate incumbent's ability to lend a calming influence and control. These are normally of a short duration but frequently may be moderate to high.

Physical Requirements

- Normal mobility is required to discharge duties and responsibilities throughout the Pullman campus.

Appendix B – Job Descriptions: Compliance Coordinator (cont.)

MINIMUM QUALIFICATIONS:

- Bachelor’s degree required
- Minimum one year employment experience with NCAA compliance.
- Demonstrated ability to work with diverse groups and to interpret and apply complicated rules to a broad range of situations.
- Demonstrated ability to work independently under pressure and the ability to meet deadlines.
- Demonstrated ability to communicate effectively, both orally and in writing.
- Demonstrated work-related experiences that require strong interpersonal, organizational, and time management skills.

PREFERRED QUALIFICATIONS:

- Advanced degree in a related field preferred.
- More than one year of experience with NCAA compliance preferred.
- Strong computer background with working knowledge of Microsoft Word, Excel, and Access.
- Demonstrated knowledge of NCAA Division I and Pac-10 rules preferred.
- Willingness to work occasional evenings and weekends.

EMPLOYEE _____ DATE _____

Appendix B – Job Descriptions: Compliance Officer

POSITION DESCRIPTION	
OFFICIAL TITLE/TITLE CODE: <i>(current 12/02)</i>	Compliance Intern (#)
POSITION NUMBER:	
APPOINTMENT STATUS:	Administrative/Professional: Permanent: 12-month 100%
ORGANIZATION AND LOCATION:	This position is located in the Compliance Office, which is a departmental unit of Athletics located at the Pullman campus of Washington State University.
WORKING TITLE:	Compliance Officer
BASIC FUNCTION:	This position is responsible for assisting the Compliance Office staff in monitoring compliance with National Collegiate Athletic Association (NCAA), PACIFIC-10 Conference, and Washington State University bylaws, rules, regulations and policies that apply to prospective student-athletes, student-athletes, athletic department coaches and employees. This position provides services as required and assists with rules education for athletic department personnel and student-athletes.
REPORTS TO:	Director of Compliance
SUPERVISORY RESPONSIBILITIES:	This position does not have supervisory responsibilities
DUTIES AND RESPONSIBILITIES:	
70% Compliance Responsibilities	
	<ol style="list-style-type: none"> 1. Must keep regular work hours as determined by the Director. Confidentiality, dependability, credibility and an ability to successfully interact with and communicate with employees, student-athletes and management, is critical to the position. 2. Coordinate the WSU Athletics scholarship book program. This includes the distribution of textbooks for eligible student-athletes as well as reconciliation of student-athletes book accounts. 3. Monitor all countable athletically related activities for all sports on a weekly basis and verify that all sports are practicing with the NCAA regulations. 4. Organize the student-athlete countable hour report for each semester.

Appendix B – Job Descriptions: Compliance Officer (cont.)

5. Assist Compliance Office staff with rules interpretations for WSU administrators and coaches, including providing preliminary research on questions and issues using NCAA manual, Pac-10 manual and NCAA legislative services database.
6. Compile weekly WSU Athletics Scoop Sheet detailing information concerning compliance as well as WSU Athletics department news and distribute to all staff.

Recruiting

1. Assist Compliance Office staff with reviewing and monitoring WSU recruiting travel logs for telephone calls and contacts and evaluations.
2. Assist Compliance Office staff with yearly coaches recruiting files audit.
3. Assist with maintaining Official Visit prospect database.
4. Update compliance office prospect database and recruiting files, which contains all prospects recruiting information.

Eligibility

1. Assist Compliance Office staff with organization of NCAA Team Compliance Eligibility meetings including preparation of NCAA & WSU paperwork.
2. Review and disseminate information received from NCAA Team Compliance Eligibility meetings to appropriate personnel.
3. Establish and maintain a database of all current student-athletes with information received at annual compliance meetings for each sport. (E)
4. Assist with initial academic evaluations of transcripts for all incoming prospective student-athletes for NCAA initial-eligibility and WSU Admissions.
5. Enter all academic evaluations into prospect database and submit appropriate information to the NCAA Clearinghouse.
6. Meet with prospective student-athletes on campus for official visits to discuss academic evaluation for NCAA initial-eligibility and WSU Admissions.

30% Other Duties As Required

1. Assist Compliance Office staff with monthly Assistant Coaches Meeting, including drafting minutes of meeting for distribution to athletics staff.
2. Develop and maintain current Compliance Intern Manual for all duties associated with intern position.
3. Assist Compliance Office staff with development of Compliance Systems Manual.

Appendix B – Job Descriptions: Compliance Officer (cont.)

4. Assist with monitoring off all institutional camps and clinics for compliance with NCAA and institutional rules and regulations.
5. Distribute NCAA and Pacific Ten Conference manuals to athletics department staff members.
6. Maintain interpretations database for all WSU Compliance rules interpretations.
7. Maintain comprehensive recruiting library of all WSU admissions, colleges, and NCAA recruiting materials.
8. Maintain current Compliance Office student-athlete files.
9. Assist Compliance Office staff with the day-to-day operations of the WSU Athletic Compliance Office.
10. Assist Compliance Coordinator with day-to-day operation of NCAA Special Assistance Fund.

KNOWLEDGE, SKILLS, AND ABILITIES

ESSENTIAL WORK COMPETENCIES

- Ability to reason logically.
- Ability to communicate effectively both orally and in writing.
- Ability to maintain poise under all circumstances and effectively interact with people in a positive manner.
- Ability to apply technical knowledge.
- Ability to apply information in high stress and conflict situations.
- Ability to deal simultaneously with several problems and tasks.
- Ability to comprehend complex problems and reach reasonable conclusions.
- Ability to use mental skills to recall, analyze, organize information and make complex decisions.

MINIMUM QUALIFICATIONS:

- Bachelor's degree required.
- Strong computer background with working knowledge of Microsoft Word, Excel, Access and Adobe Acrobat required.

PREFERRED QUALIFICATIONS:

- Demonstrated interpersonal relation skills.
- Above average ability to effectively communicate in writing and orally, ability to function professionally under high stress, confrontational circumstances, ability to provide clear information on an impromptu basis to individuals or groups of people, facilitation and conflict resolution skills which consider alternatives and provide flexibility.

WORKING CONDITIONS/PHYSICAL REQUIREMENTS:

Appendix B – Job Descriptions: Compliance Officer (cont.)

Working Conditions

- Most of the work is discharged in an office environment but interactions in employee’s work place are periodically necessary. This may indoors or outdoors in varying weather conditions.

Physical Requirements

- Normal mobility is required to discharge duties and responsibilities throughout the Pullman campus.

Employee _____ Date _____

Appendix B – Head Coach Employment Contract

EMPLOYMENT AGREEMENT

This Employment Agreement (“Agreement”) is made this «DayMade» day of «MonthMade» 2002 between Washington State University (the “University”) and «FirstName» «LastName» (the “Employee”) and it cancels and replaces any and all prior employment agreements between these two parties.

1. Employment Position

1.1 Employment as Employee of University. The Employee shall serve initially as the Head Coach of the University’s intercollegiate «Sport» programs and shall perform the duties outlined in section 1.2 herein during the term of this Agreement.

1.2 Description of Employee’s Responsibilities.

1.2.1. Recognition of Duties. The Employee agrees to devote his best efforts to the performance of his duties for the University, and to comply with and support all rules, regulations, policies, and decisions established or issued by the University. The Employee agrees to abide by all provisions of law, including the Washington State Ethics Law, RCW 42.52. The Employee agrees during the term of this Agreement that he will not engage, directly or indirectly, in any business that would detract from his ability to apply his best efforts to the performance of his duties hereunder, where such business activity constitutes a violation of the Washington Ethics in Public Service law. The Employee also agrees not to usurp any economic opportunities of the University, where such business activity constitutes a violation of the Washington Ethics in Public Service law. The determination as to whether an activity constitutes a violation of the Ethics law shall be made by either the Executive Ethics Board, it’s Executive Director, or WSU’s internal auditor.

1.2.2. General Duties and Responsibilities. The Employee agrees to undertake and perform properly, efficiently, to the best of his ability and consistent with the standards of the University all duties and responsibilities attendant to the position of Head Coach of the University’s «Sport» programs as set forth in Section 1.2.3 herein. The Employee further agrees that he is responsible for the supervision, evaluation, performance and day-to-day operations of the University «Sport» programs and agrees to abide by and comply with the constitution, bylaws and interpretations of the National Collegiate Athletic Association (“NCAA”) and Pacific-10 Conference (“Pac-10”), and all NCAA, Pac-10 and University rules and regulations relating to the conduct and administration of the «Sport» programs as now constituted or as may be amended during the term hereof. In the event that the Employee becomes aware, or has reasonable cause to believe, that violations of any of the aforementioned rules or regulations may have taken place, he shall promptly report the same to the Athletic Director, Director of Compliance or Faculty Athletic Representative of the University. The Employee agrees to adhere to, to respect, and to follow the academic standards and requirements of the University in regard to the recruitment and eligibility of prospective and current student-athletes for the «Sport» programs. All academic standards, requirements and policies of the University shall also be observed by the Employee and members of his staff, including assistant coaches, at all times.

1.2.3. Specific Duties and Responsibilities. This list of specific duties and responsibilities of the Employee supplements and is not exclusive of the other general duties and responsibilities provided for elsewhere in this Agreement. Employee is responsible:

- a. To work to integrate sports, and particularly the University’s «Sport» programs, into the whole spectrum of academic life to complement the University and its mission in the state and community;
- b. To evaluate, recruit, train and develop student-athletes to compete successfully against major college competition in a quality Division I-A «Sport» programs;

Appendix B – Head Coach Employment Contract (cont.)

- c. To maintain a level of performance in the «Sport» programs which is consistent with the goals established by the Athletic Director, acting on behalf of the University, upon consultation with the Employee;
- d. To make every effort, working in cooperation with and support of the University's faculty and administrative officials, to ensure that all academic requirements for «Sport» student-athletes are met;
- e. To conduct the «Sport» programs with integrity and in a financially responsible manner consistent with the standards and expectations of the athletic department as well as the University;
- f. To recommend to the Athletic Director the appointment and retention of assistant «Sport» coaches, the Athletic Director making all final decisions as to the employment and discharge of such assistant coaches;
- g. For the general management of the «Sport» programs including but not limited to budget preparation and administration, and supervision and evaluation of the Men's and «Sport» staff.
- h. To participate, as requested by the Athletic Director, in events, activities, and/or efforts designed to foster increased external participation in, and support for, the University's athletic department and/or the University's «Sport» programs;
- i. To serve as director of an instructional summer youth «Sport» camp to be held at the University's Pullman campus if deemed applicable; and,
- j. For other duties, as may be reasonably assigned by the Athletic Director from time to time, provided that such duties are customary duties of a Head «Sport» at a Division I «Sport» programs.

1.3 Employee Subject to Discipline for Violations of NCAA Rules and Regulations

If the Employee is found to be in violation of NCAA rules and regulations, whether while employed by the University or during prior employment at another NCAA member institution, the Employee shall be subject to disciplinary or corrective action as set forth through the NCAA enforcement procedures. Further, the University may suspend the Employee for a period of time, without pay, or may terminate employment as provided in Section 4.1 hereof if the Employee is found to have been involved in or condoned major violations or a pattern of uncorrected secondary violations of NCAA, Pac-10 or University rules and regulations.

1.4 Reporting Relationship

The Employee shall report to the Athletic Director or, to such other person as the Athletic Director may designate.

2. Term of Employment

The University hereby employs and the Employee hereby accepts employment hereunder for the period beginning on «BeginDate» and ending on «EndDate», subject, however, to prior termination in accordance with the provisions set forth in Section 4 hereof. On or before «NotifyDate», Employee will receive written notification from the University of its intent to renew or not renew the Agreement.

Appendix B – Head Coach Employment Contract (cont.)

3. Compensation

In consideration for the promises he has made in entering into this Agreement, the Employee shall be entitled to the forms of compensation set forth herein. All payments from the University are subject to normal deductions and withholding for state, local and federal taxes and for any retirement or other benefits to which the Employee is entitled or in which he participates, and are subject to the terms and conditions of Section 4 hereof concerning termination of this agreement.

3.1 Base Salary

The base salary paid by the University to the Employee for services and satisfactory performance of the terms and conditions of this Agreement shall be at the annual salary rate of \$«Salary» payable by the University in accord with payroll dates and procedures applicable to University employees generally. In addition, University may provide additional compensation, in the form of one-time monies, for extra services required of Employee in preparation for and participation in post-season competition. Payment of said compensation is at the sole discretion of the Athletic Director. The decision whether to pay said compensation will be made before the additional services are rendered. The Employee shall be eligible for consideration for salary increases to the base salary that are authorized and funded by the State of Washington, subject to a determination by the Athletic Director.

3.2 Fringe Benefits

During the term of this Agreement, the University will provide the Employee with the fringe benefits described in this Section 3.2 and no others.

3.2.1 Standard University Fringe Benefits. The Employee shall be entitled to the standard University fringe benefits, including group life insurance, family medical coverage and retirement plan contributions. If any benefit/consideration is based in whole or in part upon the salary paid to the Employee, such benefit/consideration shall be made without including any collateral income or supplemental compensation. Notwithstanding the above, the Employee shall not accrue nor be entitled to use annual leave.

3.2.2 Expenses. The University will reimburse the Employee at the maximum rate authorized by state law and University regulations for all travel and out-of-pocket expenses reasonably incurred by his for the purpose of and in connection with the performance of his duties under this Agreement.

3.2.3 Vehicle. The University, at its sole discretion, may make arrangements for and provide to the Employee on a loan basis a donated vehicle for his use for official business purposes during the term of this Agreement. Such use shall be subject to the University policies regarding athletic department courtesy cars. Employees acknowledges that the use of such vehicle must be within Athletic Department guidelines, including but not limited to the provision that Employee shall be held accountable for any personal use of the vehicle in accordance with established University policies and procedures. The Employee is entitled to reimbursement for gasoline on business trips, but not mileage.

3.2.4 Tickets. If ever applicable, the University will provide the Employee with ten (10) tickets for each of the home «Sport» contests and ten (10) tickets to each post-season «Sport» contest in which the University's «Sport» team competes during the term of this Agreement. Tickets to each home game of each of the University's other varsity

Appendix B – Head Coach Employment Contract (cont.)

intercollegiate athletic teams will be provided in non-priority seating sections according to the provisions of the athletic department's ticket policy for staff members. Employee understands and acknowledges that the value of tickets and passes may be considered as income to the Employee and will be so reported by the University. Employee also understands that the use of tickets and passes will be subject to normal compliance review for complimentary tickets.

- 3.2.5 Guest Travel during Regular Season. The Employee may bring one guest on one regular season road trip, which may include one or more contests as part of that trip. The University will pay as compensation to Employee all travel and lodging costs associated with bringing guest on the road trip and related activities in accordance with University travel regulations and, where relevant, NCAA and/or Pacific-10 Conference regulations. Compensation paid by the University shall not exceed costs associated with bringing Employee's guest to the contests, including airfare, ground transportation, lodging, and cost of admission to the games and related events. Employee understands and acknowledges that the value of such travel may be considered income to the employee and will be so reported by the University.

Travel expenses shall be paid in accordance with applicable IRS regulations.

- 3.2.6 Guest Travel for NCAA Post-Season. Whenever Employee attends post-season athletic competition because his team is participating in the event, he may elect to bring two guests to the event and related activities. The University will pay as compensation to Employee all costs associated with bringing his guests to the event and its related activities in accordance with University travel regulations and, where relevant, NCAA and/or PAC-10 Conference regulations. Compensation paid by the University shall not exceed costs associated with bringing Employee's guests to the event, including but not limited to airfare, other travel costs such as rental car or bus fare, lodging, subsistence, and cost of admission to the game and related events. Employee understands and acknowledges that the value of such travel may be considered income to the employee and will be so reported by the University.

Travel expenses shall be paid in accordance with applicable IRS regulations.

- 3.3 On-Campus Summer Camp. The University has the exclusive right to operate summer youth «Sport» camps on its campus using University facilities. Pursuant to Section 1.2.3 (i) hereof and subject to Section 3.3 hereof, the Employee shall direct and participate in the University's summer «Sport» camps. Notwithstanding the provisions of Section 4.3.2 hereof, the assistant coaches of the University's «Sport» programs will be compensated for their performance of duties in said on-campus summer camps consistent with athletic department policies.

4. Termination

4.1 Termination By University for Just Cause

The University shall have the right to terminate this Agreement for just cause prior to its normal expiration on «EndDate». The term "just cause" shall include, in addition to and as examples of its normally understood meaning in employment contracts, any of the following:

- a. deliberate and serious violations of the duties outlined in Section 1.2 of this Agreement or refusal or unwillingness to perform such duties in good faith and to the best of the Employee's abilities;

Appendix B – Head Coach Employment Contract (cont.)

- b. deliberate and serious violations by the Employee of any of the other terms and conditions of this Agreement not remedied after fourteen (14) days written notice thereof to the Employee;
- c. any conduct of the Employee in violation of any criminal statute of moral turpitude;
- d. an intentional violation, major violation or repeated instances of secondary violations by the Employee, or by any person under the Employee’s supervision where the Employee had knowledge of the intended violation and failed to intervene, or by student-athletes in the «Sport» programs where the Employee had knowledge of the intended violation and failed to intervene, of any law, rule, regulation, constitutional provision, bylaw or interpretation of the University, the NCAA, or the Pac-10 Conference, which may in the reasonable judgment of the University reflect adversely upon the University or its athletic programs, including but not limited to any such violation which may result in the University being placed on probation by the Pac-10 Conference or the NCAA and including any such violation which may have occurred during prior employment of the Employee at another NCAA member institution;
- e. conduct of the Employee seriously prejudicial to the best interests of the University or its athletic programs;
- f. prolonged absence from duty without the consent of the Employee’s supervisor; or,
- g. any cause adequate to sustain the termination of an administrative professional employee of the University.

4.1.1 Determination of Cause and Hearing Provision. “Just cause” sufficient to satisfy the provisions of Section 4.1 hereof shall initially be determined by the Athletic Director of the University. The Athletic Director shall give the Employee written notice of the provisions of the Agreement alleged to have been violated, together with a statement of the factual basis for those allegations. The Employee will have ten (15) calendar days within which to respond to the Athletic Director, in writing, with reasons he should not be terminated. The Athletic Director, after considering any response provided by the Employee, will issue a decision regarding termination for cause. If a summary suspension has been issued in accordance with paragraph 4.1.3, the Athletic Director must issue a decision regarding termination within five (5) calendar days of receipt of the Employee’s response. If a summary suspension has not been ordered, the Athletic Director shall issue a decision regarding termination within ten (10) calendar days of receipt of the Employee’s response.

Employee’s right to receive any payment under this Agreement, including salary, shall cease the day following the issuance of the decision to terminate for cause .

4.1.2 Appeal of Termination for Cause. The Employee may appeal the Athletic Director’s decision to terminate for cause to the University President or his designee. Such appeal must be made in writing within fifteen (15) calendar days notice of the Athletic Director’s determination, and must contain a statement of the reasons that the Employee requests the President to set aside the decision to terminate for cause. The Employee must provide a copy of the appeal to the Athletic Director at the time it is delivered to the Office of the President. The Athletic Director may, within seven (7) calendar days of receipt of the notice of appeal, provide an additional written statement supporting his decision to the President, and shall provide the President with 1) the written notice of termination sent to the Employee; 2) the Employee’s written response, if any, and 3) the written decision of

Appendix B – Head Coach Employment Contract (cont.)

termination. The President, within a reasonable time of receiving the notice of appeal and the documents from the Athletic Director, shall enter a decision regarding termination for cause. This shall be the final decision of the University.

The Employee shall not be entitled to receive any compensation under this Agreement pending the appeal.

- 4.1.3 Summary Suspension: Once the preliminary determination of intent to terminate for cause is made, the Athletic Director shall have the administrative authority to order suspension of the Employee from his duties and salary pending termination of this Agreement, provided that notice of any such suspension shall be delivered to the Employee in writing, detailing the reasons for such suspension. This notice may be contained in the same document as the written notice of termination. Summary suspension shall ordinarily be imposed only if the Athletic Director finds that the Employee has committed gross misconduct or poses an immediate threat to the safety of persons or property. The Employee may respond to the notice of summary suspension together with his response, if any, to the notice of termination.

The Employee shall not be entitled to receive any compensation under this Agreement during the summary suspension period.

- 4.1.4 University's Obligations Upon Termination for Cause: In the event this Agreement is terminated for just cause in accordance with the provisions of Section 4.1 hereof, all obligations of the University to make further payments pursuant to Sections 3.1 hereunder and/or to provide any other consideration hereunder shall cease. In no case shall the University be liable to the Employee for the loss of any collateral business opportunities or any other benefits, perquisites or athletically related income from any other source, nor shall the Employee be liable to the University for the loss of any such collateral business opportunities.

4.2 Termination by University Without Cause

The University reserves the right to terminate this Agreement prior to its normal expiration on «EndDate», without cause. Termination by the University without cause shall be effectuated by delivering to the Employee written notice of the University's intent to terminate this Agreement without cause.

- 4.2.1 Liquidated Damages Upon Termination By University Without Cause. If the University terminates this Agreement without cause at any time prior to «EndDate», the University shall pay the Employee the remainder of the base salary due under the terms of this Agreement. The University's obligation shall be paid on a schedule mutually agreed to by both parties, provided, however, that if the parties cannot agree upon a schedule, payment will be made in a lump sum. The University shall not be liable for the loss of any fringe benefit described in section 3.2, or any intangible benefit associated with being a NCAA coach, or any athletically related income from any other source if the Employee is terminated without cause.

4.3 Termination By Employee

- 4.3.1 Written Notice By Employee. The Employee may terminate this Agreement during its term by giving the University fourteen (14) days advance written notice of the termination.

Appendix B – Head Coach Employment Contract (cont.)

5. Restriction on Competition

The Employee agrees and specifically promises that either directly or indirectly through an agent he will not actively seek, negotiate for or accept employment, under any circumstances, as a coach or in any other capacity related to intercollegiate athletics with any member institution of the NCAA or with any «Sport» team participating in any professional league or conference in the United States or elsewhere requiring performance of duties prior to the expiration date of the term of this Agreement or any extension thereof, without first notifying the Athletic Director and obtaining permission from the Athletic Director to seek such described employment opportunities, such permission to not be unreasonably withheld.

6. Choice of Law

This Agreement has been entered into under and shall be governed by the laws of the State of Washington. In the event that either party for the enforcement or construction of any of the provisions of this agreement commences litigation, the actions shall be brought in the Superior Court of the State of Washington and venue shall be in Whitman County, Washington.

7. Alternate Dispute Resolution

Except as otherwise provided in this contract, when a dispute arises between the parties and it cannot be resolved by direct negotiation, the parties agree to participate in a mediation in good faith. The mediator shall be chosen by agreement of the parties. If the parties cannot agree on a mediator, the parties shall use a mediation service that selects the mediator for the parties. The cost of the mediation, if any, shall be shared equally by the parties unless otherwise agreed. The parties agree that mediation shall precede any action in a judicial tribunal.

Nothing in this contract shall be construed to limit the parties choice of a mutually acceptable alternative resolution method such as a disputes hearing, a Disputes Resolution Panel, or arbitration.

8. Merger Clause

This Agreement supersedes all prior understandings and agreements, oral or written, regarding the Employee's employment by the University.

9. Amendments to Agreement

This Agreement may be amended at any time only by a written instrument duly approved by the University through its designated representative and accepted by the Employee, such approval and acceptance to be acknowledged in writing.

10. Acknowledgment

The Employee acknowledges that he has read and understands the foregoing provisions of this Agreement and that such provisions are reasonable and enforceable and that he agrees to abide by this Agreement and the terms and conditions set forth herein. Employee further acknowledges that he has been provided an opportunity to seek the advice of legal counsel before entering into this agreement.

Dated this _____ day of _____, 19__.

WASHINGTON STATE UNIVERSITY

EMPLOYEE

Appendix B – Head Coach Employment Contract (cont.)

By: _____
James M. Sterk
Director of Athletics

By: _____
«FirstName» «LastName»

By: _____
V. Lane Rawlins
President

Approved as to form:

Signature and Date

Appendix B – Assistant Coach Employment Contract

EMPLOYMENT AGREEMENT

This Employment Agreement (“Agreement”) is made this «DayMade» day of «MonthMade» 2002 between Washington State University (the “University”) and «FirstName» «LastName» (the “Employee”) and it cancels and replaces any and all prior employment agreements between these two parties.

1. Employment Position

1.1. Employment as Employee of University. The Employee shall serve as the Assistant Coach of the University’s intercollegiate «Sport» program and shall perform the duties outlined in section 1.2 herein during the term of this Agreement. The Employee is subject to and governed by the terms and conditions of the Agreement.

1.2 Description of Employee’s Responsibilities.

1.2.1. Recognition of Duties. The Employee agrees to devote her best efforts to the performance of her duties for the University, and to comply with and support all rules, regulations, policies, and decisions established or issued by the University. The Employee also agrees during the term of this Agreement that she will not engage, directly or indirectly, in any business that would detract from her ability to apply her best efforts to the performance of her duties hereunder. The Employee also agrees not to usurp any economic opportunities of the University.

a. General Duties and Responsibilities. The Employee agrees to undertake and perform properly, efficiently, to the best of her ability and consistent with the standards of the University all duties and responsibilities attendant to the position of Assistant Coach of the University’s «Sport» program. The Employee further agrees to abide by and comply with the constitution, bylaws and interpretations of the National Collegiate Athletic Association (“NCAA”) and Pacific-10 Conference (“Pac-10”), and all NCAA, Pac-10 and University rules and regulations relating to the conduct and administration of the «Sport» program as now constituted or as may be amended during the term hereof. In the event that the Employee becomes aware, or has reasonable cause to believe, that violations of any of the aforementioned rules or regulations may have taken place, she shall promptly report the same to the Athletic Director, Director of Compliance or Faculty Athletic Representative of the University. The Employee agrees to adhere to, respect, and to follow the academic standards and requirements of the University in regard to the recruitment and eligibility of prospective and current student-athletes for the «Sport» program. All academic standards, requirements and policies of the University shall also be observed by the Employee at all times.

b. Other Duties. The Athletic Director in his sole discretion may reasonably assign the Employee, as needed, to other related duties from time to time, and may also reassign the Employee to unrelated duties, if the Head Coach’s Employment Agreement is terminated for any reason.

1.3 Employee Subject to Discipline for Violations of NCAA Rules and Regulations

If the Employee is found to be in violation of NCAA rules and regulations, whether while employed by the University or during prior employment at another NCAA member institution, the Employee shall be subject to disciplinary or corrective action as set forth through the NCAA enforcement procedures. Further, the University may suspend the Employee for a period of time, without pay, or may terminate employment as provided in Section 4.1 hereof if the Employee is found to have been involved in or condoned major violations or a pattern of uncorrected secondary violations of NCAA, Pac-10 or University rules and regulations.

1.4 Reporting Relationship

Appendix B – Assistant Coach Employment Contract (cont.)

The Employee shall report to the Head Coach of the University's «Sport» program and through the Head Coach to the Athletic Director, or to such other person as the Athletic Director may designate.

2. Term of Employment

The University hereby employs and the Employee hereby accepts employment hereunder for the period beginning on «BeginDate» and ending on «EndDate», subject, however, to prior termination in accordance with the provisions set forth in Section 4 hereof. On or before «NotifyDate», Employee will receive written notification from the University of its intent to renew or not renew the Agreement.

3. Compensation

In consideration for the promises she has made in entering into this Agreement, the Employee shall be entitled to the compensation set forth herein. All payments from the University are subject to normal deductions and withholding for state, local and federal taxes and for any retirement or other benefits to which the Employee is entitled or in which she participates, and are subject to the terms and conditions of Section 4 hereof concerning termination of this Agreement.

3.1 Base Salary

The base salary paid by the University to the Employee for services and satisfactory performance of the terms and conditions of this Agreement shall be at the annual salary rate of \$«Salary» payable by the University in accord with payroll dates and procedures applicable to University employees generally. In addition, University may provide additional base salary compensation, in the form of one-time monies, for extra services required of Employee in preparation for and participation in post-season competition. Payment of said compensation is at the sole discretion of the Athletic Director. The decision whether to pay said compensation will be made before the Employee renders the additional services. Employee shall be eligible for consideration for salary increases to the base salary that are authorized and funded by the State of Washington, subject to a determination by the Athletic Director.

3.2 Fringe Benefits

During the term of this Agreement, the University will provide the Employee with the fringe benefits described in this Section 3.2 and no others.

3.2.1 Standard University Fringe Benefits. The Employee shall be entitled to the standard University fringe benefits, including group life insurance, family medical coverage and retirement plan contributions. If any benefit/consideration is based in whole or in part upon the salary paid to the Employee, such benefit/consideration shall be made without including any collateral income or supplemental compensation. Notwithstanding the above, the Employee shall not accrue nor be entitled to use annual leave.

3.2.2 Expenses. The University will reimburse the Employee at the maximum rate authorized by state law and University regulations for all travel and out-of-pocket expenses reasonably incurred by her for the purpose of and in connection with the performance of her duties under this Agreement.

3.2.3 Vehicle. The University, at its sole discretion, may make arrangements for and provide to the Employee on a loan basis a donated vehicle for her use for official business purposes during the term of this Agreement. Such use shall be subject to the University policies regarding athletic department courtesy cars. Employees acknowledges that the use of such vehicle must be within Athletic Department guidelines, including but not limited to the provision that Employee shall be held accountable for any personal use of the vehicle

Appendix B – Assistant Coach Employment Contract (cont.)

in accordance with established University policies and procedures. The Employee is entitled to reimbursement for gasoline on business trips, but not mileage.

- 3.2.4 Tickets. The University will provide the Employee with two (2) tickets, plus one ticket for each child living at home under the age of 18 years of age, to each of the University's «Sport» home contests. In addition, the University will provide the Employee with two (2) tickets to each away «Sport» contest. Two (2) tickets will also be provided for post-season «Sport» games in which the University's «Sport» team competes during the term of this Agreement. Tickets to each home game of each of the University's other varsity intercollegiate athletic teams will be provided in non-priority seating sections according to the provisions of the athletic department's ticket policy for staff members. Employee understands and acknowledges that the value of tickets and passes may be considered as income to the Employee and will be so reported by the University. Employee also understands that the use of tickets and passes will be subject to normal compliance review for complimentary tickets.
- 3.2.5 Supplemental Compensation Camps and Clinics. The Employee may be permitted to receive supplemental income from institutional camps and/or clinics when authorized by the Athletic Director. The decision to allow the performance of such additional work and whether to pay said compensation will be made before the Employee renders the additional services.
- 3.2.6 Outside Income. The Employee may be entitled to engage in compensated outside activities appropriate to the promotion of athletic programs, provided that such activities do not conflict or interfere with the discharge of duties under this contract. Employee must receive prior written approval from the University President for all such outside compensation and must report such compensation to the University as required by NCAA Bylaw 11.2.2 (Athletically Related Income). Such activities must comply with the state ethics law and University policy.

4. Termination

4.1 Termination By University for Just Cause

The University shall have the right to terminate this Agreement for just cause prior to its normal expiration on «EndDate». The term "just cause" shall include, in addition to and as examples of its normally understood meaning in employment contracts, any of the following:

- a. deliberate and serious violations of the duties outlined in Section 1.2 of this Agreement or refusal or unwillingness to perform such duties in good faith and to the best of the Employee's abilities;
- b. deliberate and serious violations by the Employee of any of the other terms and conditions of this Agreement not remedied after fourteen (14) days written notice thereof to the Employee;
- c. any conduct of the Employee in violation of any criminal statute of moral turpitude;
- d. an intentional violation, major violation or repeated instances of secondary violations by the Employee, or by any person under the Employee's supervision where the Employee had knowledge of the intended violation and failed to intervene, or by student-athletes in the «Sport» program where the Employee had knowledge of the intended violation and failed to intervene, of any law, rule, regulation, constitutional provision, bylaw or interpretation of the University, the NCAA, or the Pac-10 Conference, which may in the reasonable judgment of the University reflect adversely upon the University or its athletic program, including but not limited to any such violation which may result in the University being placed on probation by the Pac-10 Conference

Appendix B – Assistant Coach Employment Contract (cont.)

or the NCAA and including any such violation which may have occurred during prior employment of the Employee at another NCAA member institution;

- e. conduct of the Employee prejudicial to the best interests of the University or its athletic program;
- f. prolonged absence from duty without the consent of the Employee's supervisor; or,
- g. any cause adequate to sustain the termination of an administrative professional employee of the University.

4.1.1 Determination of Cause and Hearing Provision. "Just cause" sufficient to satisfy the provisions of Section 4.1 hereof shall initially be determined by the Athletic Director of the University. The Athletic Director shall give the Employee written notice of the provisions of the Agreement alleged to have been violated, together with a statement of the factual basis for those allegations. The Employee will have ten (10) calendar days within which to respond to the Athletic Director, in writing, with reasons she should not be terminated. The Athletic Director, after considering any response provided by the Employee, will issue a decision regarding termination for cause. If a summary suspension has been issued in accordance with paragraph 4.1.3, the Athletic Director must issue a decision regarding termination within five (5) calendar days of receipt of the Employee's response. If a summary suspension has not been ordered, the Athletic Director shall issue a decision regarding termination within ten (10) calendar days of receipt of the Employee's response.

Employee's right to receive any payment under this Agreement, including salary, shall cease the day following the issuance of the decision to terminate for cause.

4.1.2 Appeal of Termination for Cause. The Employee may appeal the Athletic Director's decision to terminate for cause to the University President or his designee. Such appeal must be made in writing within seven (7) calendar days notice of the Athletic Director's determination, and must contain a statement of the reasons that the Employee requests the President to set aside the decision to terminate for cause. The Employee must provide a copy of the appeal to the Athletic Director at the time it is delivered to the Office of the President. The Athletic Director may, within seven (7) calendar days of receipt of the notice of appeal, provide an additional written statement supporting his decision to the President, and shall provide the President with 1) the written notice of termination sent to the Employee; 2) the Employee's written response, if any, and 3) the written decision of termination. The President, within a reasonable time of receiving the notice of appeal and the documents from the Athletic Director, shall enter a decision regarding termination for cause. This shall be the final decision of the University.

The Employee shall not be entitled to receive any compensation under this Agreement pending the appeal.

4.1.3 Summary Suspension: Once the preliminary determination of intent to terminate for cause is made, the Athletic Director shall have the administrative authority to order suspension of the Employee from her duties and salary pending termination of this Agreement, provided that notice of any such suspension shall be delivered to the Employee in writing, detailing the reasons for such suspension. This notice may be contained in the same document as the written notice of termination. Summary suspension shall ordinarily be imposed only if the Athletic Director finds that the Employee has committed gross misconduct or poses an immediate threat to the safety of persons or property. The Employee may respond to the notice of summary suspension together with her response, if any, to the notice of termination.

Appendix B – Assistant Coach Employment Contract (cont.)

The Employee shall not be entitled to receive any compensation under this Agreement during the summary suspension period.

The Athletic Director has the discretion to reassign or remove the employee from the performance of her duties at any time. Such a reassignment of or removal from duties does not constitute a “summary suspension” so long as the employee continues to be paid her base salary,

- 4.1.4 University’s Obligations Upon Termination for Cause: In the event this Agreement is terminated for just cause in accordance with the provisions of Section 4.1 hereof, all obligations of the University to make further payments pursuant to Sections 3.1 hereunder and/or to provide any other consideration hereunder shall cease. In no case shall the University be liable to the Employee for the loss of any collateral business opportunities or any other benefits, perquisites or athletically related income from any other source, nor shall the Employee be liable to the University for the loss of any such collateral business opportunities.

4.2 Termination by University Without Cause

The University reserves the right to terminate this Agreement prior to its normal expiration on «EndDate», without cause. Termination by the University without cause shall be effectuated by delivering to the Employee fourteen (14) calendar day’s written notice of the University’s intent to terminate this Agreement without cause.

- 4.2.1 Liquidated Damages Upon Termination By University Without Cause. If the University terminates this Agreement without cause at any time prior to «EndDate», the University shall pay the Employee the remainder of the base salary due under the terms of this Agreement. The University’s obligation shall be paid on a schedule mutually agreed to by both parties, provided, however, that if the parties cannot agree upon a schedule, payment will be made in a lump sum. The University shall not be liable for the loss of any fringe benefit described in section 3.2, or any intangible benefit associated with being a NCAA coach, or any athletically related income from any other source if the Employee is terminated without cause.

4.3 Termination By Employee

- 4.3.1 Written Notice By Employee. The Employee may terminate this Agreement during its term by giving the University fourteen (14) calendar day’s advance written notice of the termination.

5. Restriction on Competition

The Employee agrees and specifically promises that either directly or indirectly through an agent she will not actively seek, negotiate for or accept employment, under any circumstances, as a coach or in any other capacity related to intercollegiate athletics with any member institution of the NCAA or with any «Sport» team participating in any professional league or conference in the United States or elsewhere requiring performance of duties prior to the expiration date of the term of this Agreement or any extension thereof, without first notifying the Athletic Director and obtaining permission from the Athletic Director to seek such described employment opportunities, such permission to not be unreasonably withheld.

Appendix B – Assistant Coach Employment Contract (cont.)

6. Choice of Law

This Agreement has been entered into under and shall be governed by the laws of the State of Washington. In the event that either party for the enforcement or construction of any of the provisions of this agreement commences litigation, the actions shall be brought in the Superior Court of the State of Washington and venue shall be in Whitman County, Washington.

7. Alternate Dispute Resolution

Except as otherwise provided in this contract, when a dispute arises between the parties and it cannot be resolved by direct negotiation, the parties agree to participate in a mediation in good faith. The mediator shall be chosen by agreement of the parties. If the parties cannot agree on a mediator, the parties shall use a mediation service that selects the mediator for the parties. The cost of the mediation, if any, shall be shared equally by the parties unless otherwise agreed. The parties agree that mediation shall precede any action in a judicial tribunal.

Nothing in this contract shall be construed to limit the party's choice of a mutually acceptable alternative resolution method such as a disputes hearing, a Disputes Resolution Panel, or arbitration.

8. Merger Clause

This Agreement supersedes all prior understandings and agreements, oral or written, regarding the Employee's employment by the University, including University handbooks or manuals.

9. Amendments to Agreement

This Agreement may be amended at any time only by a written instrument duly approved by the University through its designated representative and accepted by the Employee, such approval and acceptance to be acknowledged in writing.

10. Acknowledgment

The Employee acknowledges that she has read and understands the foregoing provisions of this Agreement and that such provisions are reasonable and enforceable and that she agrees to abide by this Agreement and the terms and conditions set forth herein. Employee further acknowledges that she has been provided an opportunity to seek the advice of legal counsel before entering into this agreement.

Dated this _____ day of _____, 20__.

WASHINGTON STATE UNIVERSITY

EMPLOYEE

By: _____
James M. Sterk
Director of Athletics

By: _____
«FirstName» «LastName»

By: _____
V. Lane Rawlins
President

Approved as to form:

Signature and Date

Appendix C – Documentation for Rules Compliance

Washington State compliance review report December 18-20, 2000

Background

NCAA 23.2.1.3 requires an institution's rules-compliance program to be evaluated by an authority outside the athletics department at least once every three years. I performed this review at the request of the department of athletics from December 18-20, 2000.

Scope

This type of review is not meant to be as in-depth as a typical compliance review. It should not be viewed as a comprehensive audit or seal of approval of an institution's compliance efforts.

The review is designed to assess whether:

- An institution's compliance program possesses certain key components
- Those components are functioning properly
- The processes associated with those components are subject to periodic review

The following areas were reviewed:

Recruiting	Rules education
Financial aid	Academic support services
Eligibility certification	Investigatory and self-reporting processes
Organization and structure	Complimentary admissions

The institution specifically requested a closer examination of the recruiting area.

Resources

The following individuals were interviewed:

Gretchen Bouton, Compliance Assistant
Pam Bradetich, Associate Director of Athletics, Academics and Career Services
Ken Casavant, Faculty Athletics Representative
Paul Graham, Head Men's Basketball Coach
Al Jamison, Vice Provost for Educational Development
Janet Johnson, Director of Tickets
Tim Mooney, Head Baseball Coach
Donna Poire, Assistant to the Faculty Athletics Representative
Jenny Przekwas, Head Women's Basketball Coach
Lane Rawlins, President
Marcia Saneholtz, Senior Woman Administrator
Joy Scourey, Athletic Financial Aid Coordinator

Appendix C – Documentation for Rules Compliance (cont.)

Washington State compliance review report

March 29, 2001

April Seehafer, Financial Aid Counselor
Wayne Sparks, Director of Financial Aid
Jim Sterk, Director of Athletics
Dan Tobias, Head Women's Soccer Coach
Ryan Topper, Interim Athletic Eligibility Coordinator
Leeland Zeller, Director of Compliance

A number of documents were reviewed including:

- Excerpts from the policies and procedures and compliance manuals of the athletics department
The institution's 1996 NCAA Certification Self-Study report
An organizational chart
- Institutional academic regulations
- The institution's student -athlete handbook
- Rules education materials for athletics department staff
- Various forms used to ensure compliance with NCAA rules (e.g., complimentary tickets, squad lists, official visits, employment, contracts, eligibility)

Recruiting

The director of compliance has the primary responsibility for overseeing the recruiting process. The compliance assistant assists with monitoring the recruiting process and reviewing paperwork. The athletic financial aid coordinator in the financial aid office and the athletic eligibility coordinator in the registrar's office assist in monitoring the recruiting process.

The compliance assistant performs the initial evaluation of prospects' transcripts, serves as a liaison to the NCAA Initial-Eligibility Clearinghouse, reviews itineraries, receipts, and academic requirements for unofficial and official visits, cross-checks coaches' recruiting travel with recruiting calendars and the limits on the number of coaches in a particular sport who may recruit off-campus at anyone time, prepares copies of the National Letter of Intent, and initiates the process for the submission of initial-eligibility waiver petitions, among other duties.

The institution permits each coaching staff to create a recruiting model that best suits its needs. For example, the baseball coaching staff assigned coaches to geographical areas for recruiting. The head women's basketball coach delegates most of the recruiting responsibilities to her assistant coaches. One of the women's soccer assistant coaches serves as the recruiting coordinator for that staff.

The key components are covered: each sport maintains a master list of its recruited

Appendix C – Documentation for Rules Compliance (cont.)

Washington State compliance review report

March 29, 2001

prospects: recruiting logs (e.g., telephone calls, contact, evaluations) are required of coaches: numbers of official visits are recorded by the compliance office: checklists pertaining to recruiting materials and other key steps in the recruiting process are maintained: the business office monitors the use of recruiting funds, particularly those spent during official visits; the athletic compliance coordinator in the financial aid office tracks team financial aid limits, clarifying how many scholarships may be offered to recruits in a given year: the academic credentials of all prospects are evaluated early in the recruiting process; and recruiting files are audited by the compliance office, usually at the completion of the recruiting period for a particular sport.

Policies and procedures for all those involved-prospects, coaches, athletics department staff, the registrar's office, the admissions office, and the financial aid office-are meticulously detailed in the athletics department's manual.

Recommendation

1. *More frequent audits of coaches' phone logs and contact/evaluation logs may be needed.*

Two of the coaches indicated that contact and evaluation logs are turned in to the compliance office annually. Checking logs more often can help prevent repeat violations which often lead to more significant corrective action.

More frequent review of logs can work to an institution's benefit because if the rules are applied properly then an institution's resources can be more efficiently spent. For example, if a coach contacts a prospect and evaluates a transcript while visiting a high school it counts only as a contact. A coach who erroneously lists this activity as both a contact and an evaluation cheats herself out of an evaluation she might wish was available as National Letter of Intent signing day closes in. If the log contains details of the evaluation (that is, what the coach did) and the log is reviewed on a timely basis, the error can be caught in time to work to the institution's (and perhaps the prospect's) benefit.

In addition, a thorough effort to record as much information as possible (for example, the site of a contact, the fact that a prospect was not home when a coach called) can help avert potential violations and make review of the logs less time consuming since additional details would not have to be tracked down.

Auditing is a time-intensive activity, but one of the goals of a compliance review is to see if key systems are in place and if they are functioning

Appendix C – Documentation for Rules Compliance (cont.)

Washington State compliance review report

March 29, 2001

properly. If a system exists to record information, but the information is not thoroughly and frequently reviewed, then the potential for violations increases. This is a key area for institutional control.

Financial aid

The athletic financial aid coordinator in the financial aid office has been assigned primary responsibility for coordinating the financial aid office's involvement in awarding financial aid to prospects and student-athletes. She works closely with the director of compliance in financial aid compliance matters.

Key responsibilities and procedures are extensively documented (in both text and flow-chart form) and have been assigned to various staff members including sports supervisors, coaches, sports secretaries, compliance office personnel, and the athletic financial aid coordinator in the financial aid office. Those responsibilities include:

- Determining the value of the components of a grant-in-aid
- Determining the amount of athletics aid available for returning and prospective student-athletes
- Identifying student -athletes eligible for financial aid
- Monitoring term-time employment earnings by student-athletes
- Generating National Letters of Intent and financial aid agreements Producing letters for cases of renewal, reduction, and non-renewal of financial aid
- Notification of hearing procedures when aid is reduced, canceled, or not renewed
- Determining "recruited" or "nonrecruited" status
- Verifying and documenting noncountable aid before it is credited to student accounts
- Monitoring individual and team financial aid limits
- Determining eligibility for summer school aid
- Monitoring the student -athlete book program
- Approving use of the Special Assistance Fund for Student-Athletes

It is the practice of the athletic financial aid coordinator and financial aid counselor to check and double-check all financial aid figures.

Recommendation

2. *Involve the compliance office more regularly in cross-checking financial aid figures on squad lists*

Currently, there is only occasional review of financial figures on squad lists by the compliance office. A more regular review of these figures provides an additional check on their accuracy.

Appendix C – Documentation for Rules Compliance (cont.)

Washington State compliance review report

March 29, 2001

Eligibility certification

The faculty athletics representative certifies the eligibility of all student-athletes. And as is the case at all campuses, gathering the data to make this certification is a team effort. The registrar's office, the admissions office, the various academic departments, the financial aid office, and the compliance office all play a role in covering all of the key tasks and responsibilities. Some examples follow.

Prospective student-athletes are admitted to the institution via the same process used for prospective students generally, including students who are admitted under special admissions authority. In the special admission category, the percentage of student -athletes has been higher than the percentage of students over the past six years, but the gap between the two figures has been slight the past two academic years.

The compliance assistant and the director of compliance are responsible for issues related to the NCAA Initial-Eligibility Clearinghouse. The compliance assistant performs the initial review of transcripts for high school prospective student-athletes. The registrar's office conducts the initial assessment of a transfer's transcript; the associate director of athletics for academics and career services conducts the second assessment.

The faculty athletics representative's office reviews all petitions for grade changes and the faculty athletics representative personally double-checks data for student-athletes who are close to becoming academically ineligible.

Squad lists and Conference-required eligibility reports are constructed by the faculty representative's office using information from a central campus database. Information on these forms is then often cross-checked or verified by another entity. For example, the compliance assistant cross-checks season of competition figures which are generated through data gathered from coaches' reports and verified by the sports information office.

Members of the compliance office staff work closely with a liaison in the registrar's office, the athletic eligibility coordinator. At the time of the compliance review, the position was vacant and was being filled by another institutional staff member on an interim basis. The athletic eligibility coordinator plays a key role in monitoring continuing eligibility of student-athletes, evaluating transcripts of transfers, and ensuring that student-athletes are enrolled fulltime.

The institution has implemented a system which allows the full-time enrollment status of student-athletes to be monitored on a daily basis, helping ensure that

Appendix C – Documentation for Rules Compliance (cont.)

Washington State compliance review report

March 29, 2001

student-athletes do not practice or compete while ineligible. The athletic eligibility coordinator has the primary responsibility for reviewing the data this system produces and other individuals (including the compliance assistant) serve as a backup if he is unable to do so.

As with all other areas of this review, policies and procedures are thoroughly documented. The responsibilities of all those who participate in the processes are well-detailed.

Recommendations

3. *Consider providing assistance to the new athletic eligibility coordinator.*

The athletic eligibility coordinator plays a key role in monitoring continuing eligibility of student-athletes, evaluating transcripts of transfers, and ensuring that student-athletes are enrolled fulltime. These are weighty responsibilities.

Depending on the experience of the individual hired to assume this role, s/he may need some additional support within the admissions and registrar's offices and from the compliance office. In any event, this individual should be trained to use the NCAA Legislative Services Database, a valuable resource for interpreting NCAA rules pertaining to eligibility.

Organization and structure

Washington State has appointed both a new president and a new director of athletics since June 2000. Both have several years of experience in those roles at other institutions.

The president considers the director of athletics to be at the same organizational level as a vice-president. The director of athletics reports to the president and is included in the president's cabinet meetings in order to provide him with a full sense of the activities that are occurring throughout the campus.

The president's office, through the faculty athletics representative, has responsibility for direct oversight of the institution's compliance program. The director of compliance is responsible for most compliance-related duties in the athletics department.

Washington State has an institutional compliance statement as well as a compliance office mission statement. The president has made it very clear that coaches who do not observe NCAA rules will be subject to termination, and this policy is reinforced in staff contracts and performance evaluations. In addition, the department publishes extensive policies and procedures and compliance manuals for the athletics department.

Appendix C – Documentation for Rules Compliance (cont.)

Washington State compliance review report

March 29, 2001

The Athletic Council serves as an advisory body to the director of athletics and makes recommendations to the president. It also annually reviews the mission and goals of the department of athletics.

The institution also has a compliance committee in place; its membership includes the faculty athletics representative, the registrar, the director of admissions, the director of student services, the vice provost for educational development, and other high-level campus personnel. It meets three to four times per year and continually reviews processes, policies, and violations and their ensuing corrective actions. The director of compliance also holds regular meetings with representatives of the financial aid office, the registrar's office, and others for a similar purpose. Compliance procedures also are subject to periodic review through required NCAA programs (such as NCAA certification or this once-every-three-years review).

The athletics department has several staff members with extensive compliance related experience in their positions and several others who are relative newcomers. The director of athletics is in the process of evaluating the current structure of the athletics department.

Annual audits of the budgets of the athletics department are conducted in compliance with NCAA rules. One significant recent change instituted by the president was to require the department of athletics to undergo the same budget process as other departments on campus.

Recommendations

4. Augment the size of the compliance staff

The institution was involved in significant violations of NCAA rules in both 1992 and 1994. As a result, a number of new compliance systems were put into place in an effort to limit the potential for future violations and additional staff members were hired to manage those systems. Since that time, the number of NCAA rules (and their associated level of required monitoring) has continued to increase while staff positions with compliance responsibilities have either decreased or are vacant. While compliance remains a shared responsibility among all members of an athletics department staff and other key constituencies on campus, the compliance staff currently appears to be stretched too thin. More hands are needed on deck to make sure that all systems function properly.

5. Make more extensive use of the Compliance Committee.

The faculty athletics representative expressed concern that the compliance committee was not as actively engaged as he would like. Assigning this committee the responsibility for setting policy and reviewing procedures

Appendix C – Documentation for Rules Compliance (cont.)

Washington State compliance review report

March 29, 2001

suggested by the director of compliance and his counterparts in the admissions, financial aid, and student services offices can enhance its role and involve the committee members more deeply in compliance responsibilities.

6. *The athletics department's policies and procedures manual-last revised in September 1999-may require more frequent updates.*

This is a common problem with any policies and procedures manual.

Policies and procedures manuals often repeat NCAA and conference rules, and when those rules change, the manuals must change with them. This makes it difficult to keep the information in a manual timely and accurate. And an inaccurate or incomplete manual can lead to confusion, frustration, and violations of rules. Summarizing rules in various publications in an effort to provide as complete a picture as possible may even decrease the likelihood that any or all of it will be read. It's difficult to strike the right balance between too much information and too little. There's no easy answer for this, but a web-based manual is one possible solution.

Rules education

The director of compliance has been assigned the primary responsibility for overseeing the rules-education process.

In addition to the department's policies and procedures manual, the institution provides an NCAA Manual, a subscription to the NCAA News, coaches recruiting booklets, and various rules updates via weekly newsletters (Scoop Sheet) to coaches and staff members. Coaches take the NCAA Recruiting Certification Exam as required by NCAA rules. A Conference office staff member conducts an annual rules review with the coaching staff. Compliance office staff members attend coaches' meetings to review current compliance issues. The Compliance Office also provides periodic updates on the progress of proposed NCAA legislation.

Coaches and athletics department staff members are well aware of the department's emphasis on operating within NCAA and Conference rules. They know that they are to ask questions of the compliance office staff when they are unclear about the application of NCAA or Pac-IO rules. The compliance staff maintains a database of interpretations it has issued to ensure consistency in its responses. New staff members are required to attend a department orientation session and to meet individually with the director of compliance to discuss and review rules and regulations. The coaches who were interviewed appreciated the efforts of the compliance staff and believed they were receiving sufficient education about NCAA rules.

Appendix C – Documentation for Rules Compliance (cont.)

Washington State compliance review report

March 29,2001

The institution's student-athlete handbook is an excellent educational resource.

Recommendations

7. *Use the athletics department web site to provide rules education, particularly to boosters.*

A web page is an effective and inexpensive way to communicate information about NCAA rules to staff, student-athletes, and boosters. A page devoted to recruiting rules and pointed specifically at boosters would extend the institution's ongoing efforts to educate boosters about NCAA rules.

8. *Consider more frequent testing of coaches regarding their knowledge of the rules.*

Administering surprise exams helps ensure that coaches remain knowledgeable about the rules-thus limiting the potential for violations-as opposed to merely gearing up to pass the NCAA's annual open-book exam. Such tests also could include rules that are unique to the Pac-10, such as the Conference's initial-eligibility rules and regulations pertaining to contacting prospects who have been student -athletes at another Pac-10 institution.

Academic support services

Student-athletes have access to a full range of academic support services (as well as career counseling) through both the Student Advising and Learning Center (which serves all of the institution's students) and the athletics department's academic and career services staff and its Academic Resource Center. The associate director of athletics for academics and career services is responsible for coordinating the services provided by the athletics department.

Among these services are orientation, individual tutoring and group tutorials, academic assessment and skill building, proactive and reactive monitoring of academic progress in each class, career counseling, academic advising, peer academic counseling, time management, goal-setting, nutrition counseling, sports psychology services, and substance abuse education. Policies and procedures for all of these services are well-documented.

Tutors, hired and trained by the campus's Student Advising and Learning Center, are closely monitored while working with student-athletes to help reduce the potential for academic fraud. Tutors are trained regarding their proper role when assisting student-athletes-to guide and facilitate learning, not to do the student's work-and sign contracts acknowledging their understanding of that role.

Appendix C – Documentation for Rules Compliance (cont.)

Washington State compliance review report

March 29, 2001

Services provided by the Student Advising and Learning Center are subject to ongoing review by a subcommittee of the faculty senate. The athletics department monitors the number of student-athletes who access available support services as a means of determining their effectiveness.

Recommendation

9. *Develop a written policy regarding scheduling athletics contests so as to minimize missed class time.*

The 1996 NCAA Certification Self-Study Report indicated that a "written statement regarding scheduling policy will be forthcoming in the next academic year. The Athletic Director will take overall responsibility for establishing this policy in writing. There will be no future athletic events scheduled during exam weeks, except those mandated by Pacific-10 Conference and NCAA events." At the time of this review a written policy had not been produced.

Investigatory and self-reporting processes

Athletics department policy requires all staff members to report possible rules violations to the director of compliance, and staff members are aware of this responsibility. The director of compliance has been assigned the primary responsibility for overseeing the investigatory and self-reporting process. He is responsible for informing appropriate athletics department and institutional representatives, including in all cases the faculty athletics representative, of alleged rules violations. Investigation reports are submitted to the director of athletics, senior associate athletics director, and faculty athletics representative who make findings as to fault and assess corrective and disciplinary action. The Pac-10 is notified of violations that occur so that the Conference's process may be engaged, and if a student-athlete's eligibility requires restoration the NCAA Director Student-Athlete Reinstatement is notified as well.

Complimentary admissions

The institution has extensive, documented procedures for the issuance of complimentary admissions to student-athletes and prospects and reviews its procedures periodically. Lists of football student-athletes who are eligible to receive complimentary admissions are provided to the ticket office by the compliance office.

In all other sports, the compliance office reviews lists generated by the sport's secretary before submitting it to the ticket office. The ticket office processes the requests and ensures that no student-athlete receives excess complimentary admissions. It also is responsible for ensuring that coaches' complimentary tickets are not provided to prospects or their coaches. The compliance office reviews complimentary admissions lists for prospects who make official and unofficial visits

Appendix C – Documentation for Rules Compliance (cont.)

Washington State compliance review report

March 29, 2001

to campus before forwarding those lists to the ticket office for fulfillment.

Conclusion

In virtually every area, the key components of an effective compliance program are in place. An increase in staffing is recommended, however, to ensure that the compliance program functions properly.

Mike Matthews Assistant
Commissioner

3/29/2001

1

