

1 **Governance and Commitment to Rules Compliance**
2 **Operating Principle 1.1 Institutional Control, Presidential Authority, and Shared**
3 **Responsibilities**
4

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

- 16
17 (a) The university had one strategy for improvement imposed by the NCAA Division I
18 Committee on Athletics Certification in its first-cycle certification decision as they
19 relate to Operating Principle 1.1 (Institutional Control, Presidential Authority and
20 Shared Responsibilities). This strategy for improvement required the institution to
21 ensure that future certification self-studies are characterized by broad-based
22 participation of key campus constituent groups, particularly in making self-study
23 reports and materials available to the wider campus community.
24
25 (b) In the second-cycle of its self-study, the university solicited broad-based participation
26 by key campus constituency groups during the recertification process. The
27 institution’s current certification self-study plan is characterized by broad-based
28 participation of key campus constituency groups, including, but not limited to,
29 faculty, president, provost, students, admissions/registrar, financial aid,
30 undergraduate studies, general counsel, and direct-support representatives.

31
32 A website was created for the purpose of keeping the university community apprised
33 of the NCAA Recertification Process and soliciting feedback/participation in the
34 process. The website includes a description of the NCAA recertification process, the
35 committees and their composition, meeting information and minutes, draft committee
36 reports, and opportunities for the university community to provide feedback.
37 Information about the recertification process, including the URL for the website, was
38 sent electronically to students, faculty, staff, alumni, Boosters, and Booster prospects.
39

40 The NCAA Recertification was discussed in several forums and meetings including,
41 but not limited to, the president’s executive cabinet, the Council of Deans, the Faculty
42 Senate, the Athletic Committee, the FSU Board of Trustees, the Student-Athlete
43 Advisory Council, and Student Government Association. A description of the self-
44 study process, including the URL for the university’s NCAA Recertification website,
45 was included in university publications such as the Everything FSU e-newsletter and
46 FSTimes. Feedback received from the university community, including feedback on

1 draft reports, was reviewed by the Steering Committee and where appropriate
2 incorporated in the final self-study.

3
4 The NCAA Self-Study has also been reviewed and approved by the Athletic
5 Committee, the university president, and presented to the FSU Board of Trustees.

6
7 In addition, the Athletics Department continues to provide information and regularly
8 update campus administrative offices on compliance issues. Compliance information
9 is provided to the staffs in the Offices of Admissions/Records, Registrar's Office,
10 Undergraduate Studies, Dean of Students, General Counsel, Faculty Athletics
11 Representative, and University Police. The Seminole Boosters are also provided with
12 regular updates on compliance issues by the Compliance Office. Compliance updates
13 are also included in the *Interpreter*, a newsletter printed on a monthly basis and
14 distributed to all Athletics Department staff, and discussed on *Seminole Sports*
15 *Magazine* TV show which is aired 35 times per year. Detailed compliance
16 information is also provided on the Athletic Department's website. These efforts
17 have ensured that personnel from administrative campus offices are briefed on
18 compliance issues, procedures and rules, and provided with appropriate publications
19 and official forms.

20
21 (c) The dates of the actions described above are the following:

22
23 November 2005 – Developed NCAA Recertification Website

24
25 December 2005 – March 2006 – The university community was notified of the
26 impending NCAA Recertification process and the URL for the website was publicized.
27 The website included committee meeting schedules, locations, and minutes. Steering
28 Committee members briefed key campus constituency groups, including students, staff,
29 faculty, FSU Board of Trustees, and direct-support organization representatives. A
30 description of the recertification process was included in print and electronic materials
31 that are routinely distributed to university community (e.g., FSTimes, e-newsletters).

32
33 December 2005 – March 2006 – Feedback from the university community provided to
34 the Steering Committee for review.

35
36 March 2006 – Draft reports posted on the university's NCAA Recertification webpages
37 for review by the university community. Steering Committee members reviewed
38 input/feedback from the university community.

39
40 April 2006 – Final draft self-study is posted on the NCAA Recertification website for
41 review by the university community. Final self-study report is approved by the Steering
42 Committee after the review of feedback from the university community on the final draft.
43 Steering Committee forwarded final self-study report to Athletic Committee. Self-Study
44 Report reviewed and forwarded by the Athletic Committee to President T.K. Wetherell.
45 President reviewed and approved the report and submitted the report to the FSU Board of
46 Trustees.

1
2 (d) The university has no partial or noncompletions of actions relating to the strategies
3 for improvement imposed by the NCAA Division I Committee on Athletics
4 Certification in its first-cycle certification decision as they relate to Operating
5 Principle 1.1 (Institutional Control, Presidential Authority and Shared
6 Responsibilities). This self-study is characterized by broad-based participation of key
7 campus constituent groups including, but not limited to, faculty, president, provost,
8 FAR, students, admissions/registrar, financial aid, undergraduate studies, general
9 counsel, and direct-support representatives. The entire campus community has been
10 involved in the self-study reports and provided feedback on the process and the self-
11 study materials. This feedback has been incorporated into the university's self-study.
12

13
14 **2. List all actions the institution has completed or progress it has completed or**
15 **progress it has made regarding all plans for improvement/recommendations**
16 **developed by the institution during its first-cycle certification process for**
17 **Operating Principle 1.1 (Institutional Control, Presidential Authority and**
18 **Shared Responsibilities). Specifically include: (a) the original plan; (b) the**
19 **actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not**
20 **taken or not completed; and (e) explanations for partial completion. Please note,**
21 **the institution will not be required to fulfill an element of a first-cycle plan if the**
22 **element does not affect conformity with an operating principle.**
23

24 Within the *NCAA Athletics Certification Self-Study Report* (February, 1999), the
25 institution developed two plans pertaining to Operating Principle 1.1 (Institutional
26 Control, Presidential Authority and Shared Responsibilities). These two plans are in
27 addition to the plan ensuring broad-based participation, discussed in the response to Self-
28 Study Item No. 1, above.
29

30 The first plan concerned Institutional Control:

- 31
- 32 (a) To strengthen control over the Seminole Boosters, Inc. and the entire University
33 community.
 - 34
 - 35 (b) The Athletic Department developed and implemented compliance-related
36 educational programs, including programs addressing topics such as sports
37 agents, sports gambling, and the employment of student-athletes. In addition, the
38 Athletic Department developed and implemented programs that better educate
39 student-athletes on the dangers of alcohol, illicit drugs, sexual abuse, and sports
40 gambling.
 - 41
 - 42 (c) This plan was completed by September 30, 1999, and is continuous to the
43 present.
 - 44
 - 45 (d) All actions described in the plan have been taken and are completed.
 - 46

1 (e) All actions described in the plan have been taken and are completed. No items
2 are partially completed.
3
4

5 The second plan concerned Shared Responsibilities:
6

7 (a) To strengthen current student-athlete related processes.
8

9 (b) Scholarship distribution was moved to the Business Office of the Department of
10 Athletics, improvements were made to the scholarship renewal/nonrenewal
11 process, and improvements were made to the interdepartmental communications
12 between the University Office of Financial Aid and the Business Office of the
13 Department of Athletics.
14

15 (c) This plan was completed by August 31, 2000, and is continuous to the present.
16

17 (d) All actions described in the plan have been taken and are completed.
18

19 (e) All actions described in the plan have been taken and are completed. No items
20 are partially completed.
21
22

23 **3. Describe any additional plans for improvement/recommendations relating to**
24 **Operating Principle 1.1 (Institutional Control, Presidential Authority and**
25 **Shared Responsibilities) developed by the institution since the first-cycle**
26 **certification decision was rendered by the Committee on Athletics Certification.**
27

28 In his first year of office, President T.K. Wetherell contracted with MGT of America for
29 an independent review of the University's athletic department. Based on MGT's
30 recommendations, the President instituted changes himself, and submitted other
31 recommended changes to the University Board of Trustees for matters within their
32 purview, such as rules repeals and amendments. A copy of MGT of America's review
33 and the actions taken by the institution are available to the peer reviewers on site.
34
35

36 **4. Describe how the institution's governing board decisions are consistent with**
37 **those of other on-campus units. Based upon the institution's experience in the last**
38 **three years, list the decisions (if any) related to intercollegiate athletics in which the**
39 **institution's governing board or individual board members have been significantly**
40 **involved. Describe how the institution's governing board decisions are consistent**
41 **with those of other on-campus units.**
42

43 The Florida State University Board of Trustees handles decisions for athletics in the same
44 manner as other University units and programs. For example, funding for athletics
45 programs and bonding for facilities are processed through the responsible University
46 administration officials to the President. Upon approval by the President, the items are

1 placed on the appropriate Board Committee Agenda. In the case of funding and bonding,
2 the items would be presented to the Board's Finance Committee. Once approved by the
3 Finance Committee, the items are presented to the entire Board for its consideration,
4 discussion, and approval.

5
6 Sections 1006.71 and 1000.05, Florida Statutes, require that colleges or universities that
7 operate intercollegiate athletics programs must provide equal athletic opportunity for both
8 genders. A set of specific factors are considered in determinations of equity, including the
9 selection of sports; provision of equipment and supplies; scheduling of games and
10 practice times; travel and per diem allowances; opportunities for coaching and academic
11 tutoring; assignment and compensation of coaches and tutors; provision of locker rooms,
12 facilities, medical services, housing, and dining facilities; and publicity and promotion.
13 To monitor this component of the law, each university is required to develop a gender
14 equity plan that includes consideration of equity in sports offerings, participation,
15 availability of facilities, scholarships, recruitment, coaching, publicity and promotion,
16 and support costs. An example when the University Board of Trustees executed its
17 responsibility in the area of gender equity is provided by its approval of the bonding of a
18 new basketball practice facility for men and women. This state of the art facility ensures
19 that each team is provided a first-rate practice venue. Also, each board of trustees is
20 required to evaluate the president annually on the extent to which the gender equity goals
21 of the institution have been achieved. Further, a portion of all separate athletic fees must
22 be designated for women's intercollegiate athletics, and other funds must be designated
23 for women's athletics. The Board of Trustees has fully executed its responsibilities in
24 these areas.

25
26 Section 1004.28, Florida Statutes, permits the existence of direct-support organizations
27 such as the Seminole Boosters. The Boosters may receive, hold, invest, and administer
28 property as well as make expenditures to or for the benefit of the University. The Board
29 of Trustees promulgated Section 6C2-2.025, FSU Regulations, which prescribes the
30 conditions under which the direct-support organization may use the property, facilities, or
31 personal services of the university. The chair of the University Board of Trustees
32 appoints the FAR to the Boosters Board and their Executive Committee; similarly, the
33 University President or his designee also serves on the board of directors and the
34 Executive Committee of the Seminole Boosters.

35
36 Finally, in 2005 the Board repealed two rules pertaining to athletics. The Board's
37 decision resulted from some of the findings and recommendations in a President-
38 commissioned independent review of the management and organization of the
39 Department of Athletics. The elimination of rules streamlined procedures and added
40 increased Presidential control and Board oversight of the University's athletic programs.

41
42
43 **5. Based upon the institution's experience in the last three years, list the decisions**
44 **related to intercollegiate athletics in which the institution's chief executive officer**
45 **has been significantly involved.**
46

1 Section 1001.75(8), Florida Statutes provides that the President shall “[a]dminister the
2 university’s program of intercollegiate athletics.” An example of the President’s
3 execution of this statutory duty is provided by his decision to contract for an independent
4 review of the University’s athletic department during his first year. Based on MGT’s
5 recommendations, the President instituted changes himself, and submitted other
6 recommended changes to the University Board of Trustees for matter within their
7 purview, such as rule repeals and amendments.

8
9 The President also determined that the Athletic Department should maintain a reserve
10 fund set-aside for women’s athletics.

11
12 The President also initiated a review of student disciplinary procedures to ensure that
13 student athletes were being treated in a consistent manner with other University students
14 being processed under the University Student Conduct Code.

15
16 Finally, he has taken a lead role in naming athletic facilities for men and women’s sports.
17 For example, the softball field was named for the women’s softball coach, and the
18 baseball field was named for the men’s baseball coach.

19
20
21 **6. Describe the process by which the institution makes major decisions regarding**
22 **intercollegiate athletics. In doing so, describe the role and authority of the**
23 **institution’s governing board, the chief executive officer, the athletics board or**
24 **committee (if one exists), the faculty athletics representative(s), the director of**
25 **athletics, and any other appropriate campus constituencies (e.g., faculty, students,**
26 **institutional personnel involved in rules-compliance activities) in this process.**

27
28 As the chief executive officer, the university president has ultimate authority over the
29 Athletics Department and is assisted and supported by the FSU Board of Trustees, as
30 appropriate. The Atlantic Coast Conference requires each institution’s governing board,
31 i.e., the FSU Board of Trustees to certify the following:

- 32
33 • The responsibility for the administration of the athletics program has been
34 delegated to the chief executive officer of the institution.
35 • The chief executive officer has the mandate and support of the board to operate a
36 program of integrity in full compliance with NCAA, ACC, and all other relevant
37 rules and regulations.
38 • The chief executive officer, in consultation with the Faculty Athletics
39 Representative and the Athletics Director, determines how the institutional vote
40 shall be cast on issues of athletics policy presented to the NCAA and ACC.

41
42 The Director of Athletics makes all major athletics-related administrative decisions.
43 Each decision is made in consultation with the appropriate personnel (e.g., Senior
44 Associate, Executive Associate Athletics Director, Associate Athletics Director for
45 Compliance, Senior Woman Administrator, various athletics coaches, etc.).
46

1 The Athletics Committee (chaired by the Faculty Athletics Representative) meets once a
2 month and is responsible for giving advice, support, and executing general advisory
3 powers within the Athletics Department. The Athletic Committee includes faculty,
4 university administrators, student-athlete, the student government president (also a
5 member of the FSU Board of Trustees, faculty senate president (also a member of the
6 FSU Board of Trustees), citizen-at-large, direct-support organization representatives, and
7 director of athletics.

8
9 The Faculty Athletics Representative meets regularly with the Director of Athletics and
10 serves as the Senior Faculty Advisor on athletics to the President of The Florida State
11 University. The FAR serves as a channel of information between the faculty and
12 administration and the athletics program; the FAR provides periodic reports to the
13 Athletics Committee relating to matters of academic integrity, performance of student-
14 athletes, rules compliance or violations, and other matters related to the athletics
15 program. The FAR meets with Student-Athlete Advisory Committee (SAAC) and serves
16 as a member of the FSU Athletics Committee.

17
18 Campus constituencies have the opportunity to participate in major decisions regarding
19 intercollegiate athletics. The Student-Athlete Advisory Council (SAAC) is involved in
20 numerous activities including the development of athletics policies affecting student-
21 athletes. SAAC also serves as the advisory board to the athletics administration,
22 recommends educational programs, and serves as a liaison between student-athletes and
23 the administration.

24
25 The Athletics Committee is comprised of a majority of faculty members. Faculty
26 members also chair each of the subcommittees (i.e., budget, equity and student-athlete
27 welfare, and academic). In addition, faculty serve on several university committees,
28 including the Sports Panel Committee and Admissions Committees and are also involved
29 with the enforcement of class attendance policies and through financial aid appeals.

30
31 The Associate Athletics Director for Compliance is the university's primary administrator
32 for handling the identification of possible rules violations and is responsible for directing
33 investigations into allegations of possible rules. Administrative campus offices are
34 routinely briefed on compliance issues, procedures and rules, and provided with
35 appropriate publications and official forms. Compliance information is provided to the
36 staffs in the Offices of Admissions/Records, Registrar's Office, Undergraduate Studies,
37 Director of Financial Aid, Dean of Students, General Counsel, and University Police.

38
39
40 **7. Please provide the composition of the athletics board or committee (including**
41 **titles and positions).**

42
43 The Florida State University Athletic Committee consists of 21 voting members selected
44 by the President, and 9 ex-officio non-voting members. Of the 21 voting members, there
45 are 10 faculty, 2 Alumni representatives, 3 Seminole Boosters representatives, 1 Varsity
46 Club representative, 1 student athlete representative, 2 citizen-at-large representatives, 1

1 senior administration official who serves as Chair, and 1 citizen-at-large representative
2 who serves as Vice-Chair. Ex-Officio members include the Faculty Senate President,
3 Vice President for Student Affairs, Vice President for University Relations and Public
4 Affairs, Director of Athletics, Associate Director of FSU Police, Dean of Undergraduate
5 Studies, Associate Vice President for Finance and Administration, and the University
6 Student Body President (also a member of the University Board of Trustees).

7
8 The Committee has an advisory role in fiscal affairs, recommending allocations of funds
9 as necessary for the support of the various sports. However, no funds may be disbursed
10 without the written approval of the Athletics Director in compliance with the fiscal
11 policies of Florida State University and subject to the President’s approval. The Athletic
12 Committee also advises on gender equity, student welfare, and academic issues.

13
14
15
16
17 **Rules Compliance**
18 **Operating Principle 1.2**
19

20 **1. List all the “corrective actions,” “conditions for certification,” or “strategies for**
21 **improvement” imposed by the NCAA Division I Committee on Athletics**
22 **Certification in its first-cycle certification decision (if any) as they relate to**
23 **Operating Principle 1.2 (Rules Compliance). In each case, provide: (a) the original**
24 **“corrective action,” “condition,” or “strategy” imposed; (b) the action(s) taken by**
25 **the institution; (c) the date(s) of the action(s); and (d) an explanation of any partial**
26 **or non-completion of such required action.**
27

28 In its first-cycle review of Florida State University, The NCAA Division I Committee on
29 Athletics Certification imposed one strategy for improvement pertaining to Operating
30 Principle 1.2 (Rules Compliance).

31
32 (a) The Committee’s strategy for improvement mandated, “Ensure the athletics
33 department’s mission statement is widely circulated once it is finalized and approved by
34 appropriate authorities.”

35
36 (b) The revised mission statement for the Florida State University Department of
37 Athletics was approved in February 2000. Upon approval, the statement was
38 immediately distributed via written memorandum to involved constituencies and all staff.
39 All new staff members receive a copy during new employee orientation. The mission
40 statement is also included in the student-athlete handbook that is distributed to all
41 student-athletes annually.

42
43 (c) The following dates reflect all the actions taken to achieve the requirements of the
44 strategy:

45
46 July 1999: Next-to-final draft completed.

- 1
2 September 1999: Next-to-final draft distributed to administrative staff
3 members for review, comments, and recommended
4 changes.
5
6 September 1999: Next-to-final draft distributed to coaching staff for review,
7 comments, and recommended changes.
8
9 September 1999: Final draft completed.
10
11 September– October 1999: Final draft distributed to and discussed with varsity athletes
12 and orientation and squad meetings.
13
14 October 1999: Final draft distributed to, discussed with, and approved by
15 Athletics Board.
16
17 October 1999: Final draft approved by University President
18
19 October 1999: Final draft made available on Athletics Department web-
20 site and Alumni Association website; published in
21 Compliance Newsletter; and Boosters Newsletter.
22
23 November 1999–
24 August 2000: Final draft published in all printed materials of Athletics
25 Department, including *Student Handbook* and *Academic*
26 *Guide*.

27 (d) The university has no partial or non-completions of actions relating to the strategies
28 for improvement imposed by the NCAA Division I Committee on Athletics Certification
29 in its first-cycle certification decision as they relate to Operating Principle 1.2 (Rules
30 Compliance).
31
32

33 **2. List all actions the institution has completed or progress it has made regarding**
34 **all plans for improvement/recommendations developed by the institution during its**
35 **first-cycle certification process for Operating Principle 1.2 (Rules Compliance).**
36 **Specifically include: (a) the specific plan; (b) the actions taken by the institution; (c)**
37 **the date(s) of the action(s); (d) an explanation for any partial or non-completion of**
38 **such required actions.**
39

40 Within the *NCAA Athletics Certification Self-Study Report* (February 1999), the
41 institution developed three specific plans pertaining to Operating Principle 1.2 (Rules
42 Compliance). These two plans are in addition to the plan regarding the mission
43 statement, discussed in the response to Self-Study Item No. 1, above.
44

45 The first plan concerned the Assignment of Rules Compliance Responsibilities:
46

1 (a) To develop a written policy addressing the creation, publication, distribution, and
2 continuous review of the Athletic Department's *Policy Manual*.

3
4 (b) The written policy included the following major components: 1) Responsibility for
5 specific review and writing/re-writing of policies assigned to specific members of the
6 administrative staff; and 2) electronic, written, and oral notification of policy changes to
7 all staff members, coaches, and student-athletes. This occurs continuously, i.e., student-
8 athletes orientations, regular staff meetings, and the annual publication of the *Policy*
9 *Manual*.

10
11 (c) This plan, originally completed in August 1999, is continuous to the present.

12
13 (d) All actions described in the plan have been taken and are completed. No items are
14 partially completed.

15
16 The second plan concerned the Rule Compliance Accountability:

17
18 (a) Create a written policy addressing the creation, publication, distribution and
19 continuous review of the *Policy Manual* and monitor the Professional Football Workout
20 Day which is attended by professional coaches, scouts, and sports agents.

21
22 (b) The actions taken regarding the *Policy Manual* are discussed in item (b), the first
23 plan concerning the Assignment of Rules Compliance Responsibilities. The actions
24 taken regarding the Professional Workout Day include: Compliance staff planning the
25 Professional Workout Day in conjunction with the Head Strength and Conditioning
26 Coach; and Compliance staff closely monitoring the activities of sports agents at these
27 events, limiting agent/student-athlete contact, and providing crowd control.

28
29 (c) This plan, originally completed in August 1999, is continuous to the present.

30
31 (d) All actions described in the plan have been taken and are completed. No items are
32 partially completed.

33
34 The third plan concerned Rules Compliance Evaluation:

35
36 (a) Develop a written policy outlining the procedures for the annual evaluation of the
37 Athletics Department.

38
39 (b) The policy explicitly establishes who will make the evaluation, what will be
40 evaluated, when the evaluation will occur, and to whom/what the evaluation report(s) will
41 be provided.

42
43 (c) This plan, originally completed in January 2000, is continuous to the present.

44
45 (d) All actions described in the plan have been taken and are completed. No items are
46 partially completed.

1
2
3 **3. Describe any additional plans for improvement/recommendations relating to**
4 **Operating Principle 1.2 (Rules Compliance) developed by the institution since the**
5 **first-cycle certification decision was rendered by the Committee on Athletics**
6 **Certification.**
7

8 In order to ensure the strengthening of the Athletic Department's Rules Compliance
9 program, five additional plans were implemented since the first-cycle certification
10 decision was rendered.

11
12 Plan No. 1: Prominently display the Athletic Department's mission statement within
13 various facilities. Therefore, during 2003-04, the mission statement was prominently
14 displayed in the Great Hall of Moore Athletic Center, offices within Moore Athletic
15 Center, and the Basketball Training Center. In addition, the mission statement will
16 further be prominently displayed as new facilities are constructed.

17
18 Plan No. 2: Strengthen Booster education regarding Rules Compliance. The Compliance
19 Officer has continued and will continue to provide educational materials for the Booster
20 membership, including: adding a Compliance Section to the Seminole Boosters Website;
21 speaking to Booster groups; and bringing in outside speakers to further educate Boosters
22 about compliance issues.

23
24 Plan No. 3: Initiate an educational program for high schools regarding the topics of
25 amateurism and initial eligibility. In coordination with local high schools and state high
26 school governing bodies, the Compliance Office will institute a program for initial
27 eligibility education. This program educates high school student-athletes, coaches,
28 parents, guidance counselors, and administrators on issues pertaining to the NCAA initial
29 eligibility guidelines and amateurism.

30
31 Plan No. 4: Expand proactive efforts to educate the local business community regarding
32 NCAA rules governing extra benefits. The Compliance Office will more widely
33 distribute the monthly newsletter to include local area businesses. In addition, further
34 educational programs will be developed, to include: videos; unannounced spot checks of
35 local businesses; and personal contact with business owners.

36
37 Plan No. 5: Further develop the monitoring program of student-athlete employment.
38 New policies have been written regarding student-athlete employment monitoring
39 procedures. The employment forms will be updated and strengthened; moreover, spot
40 checks of local businesses will be conducted.

41
42
43 **Item 4: Describe how the activities of the institution's athletics booster groups,**
44 **support groups and other representatives of the institution's athletics interests are**
45 **maintained under the clear control of the institution, including whether institutional**
46 **personnel serve on booster-club, support group or foundation boards.**

1
2 **ACTIVITIES**

3
4 The Seminole Boosters, Inc. is the primary fundraising group for FSU Athletics. The
5 Seminole Boosters is an incorporated entity that operates as a tax-exempt, non-profit
6 organization within the meaning of Section 501(c)(3) of the Internal Revenue Code. The
7 Seminole Boosters make monetary distributions to FSU for the purpose of enhancing the
8 education, health, and physical welfare of its students and student-athletes. **(Refer to**
9 **Appendix X, Amended By-Laws of The Seminole Boosters, Inc.)**

10
11 The Florida State University Alumni Association is a service organization focusing on
12 services, programs, and activities that foster goodwill towards Florida State University,
13 identifying key volunteers, and providing information to alumni and friends. The
14 Association's purpose is to promote and serve the general welfare of the University as an
15 institution for education, research, and public service; and to involve, encourage, inform
16 and stimulate interests among the University community and its friends in its programs
17 and progress. **(Refer to Appendix X, Mission of The Florida State University Alumni**
18 **Association)**

19
20 **INSTITUTIONAL CONTROL**

21
22 **University Oversight:** The Seminole Boosters, Inc. is a "Direct Support Organization"
23 (DSO) to Florida State University. According to the State University System of Florida's
24 1998 Master Plan, "Direct Support Organizations must be open and responsible to the
25 university president." **(Refer to Appendix X).** DSO's must also follow the institutional
26 control-related policies outlined in the "Chancellor's Memorandum," No.: CM-F-
27 01.0008/96, Dated: August 20, 1996, Subject: Direct Support Organization (DSO). The
28 "Chancellor's Memorandum" takes its authority from Section 1004.28 of the Florida
29 Statutes. **(Refer to Appendix X, Chancellor's Memorandum CM-F-01. 00-08196).** The
30 President of Florida State University has designated Lee Hinkle, Vice President of
31 University Relations and Public Affairs, as a liaison between the University and the
32 Seminole Boosters. The books and records of the Seminole Boosters remain open to Ms.
33 Hinkle at all times. Additionally, the Seminole Boosters' corporate offices are located in
34 the University Center and the University President monitors all transactions relating to
35 FSU, its resources, and its name (Section 3.4). **(Refer to Appendix X).** Violations are
36 reported directly to the Athletic Director and to the University President. Further, the
37 Atlantic Coast Conference mandates that each member institution's "athletics director
38 shall serve as a board member of the institution's athletics booster (fundraising)
39 organization where one exists, and the employees of that organization shall be directly
40 responsible to the athletics director or the person to whom the athletics director reports."
41 **(Refer to Appendix X)**

42
43 The Alumni Association is also a "Direct Support Organization" to Florida State
44 University under the administrative control of the Vice President for University Relations
45 and Public Affairs. The Alumni Association is "open and responsible to the university
46 president." The financial information of the Association is made public through the Vice

1 President of University Relations and Public Affairs. The Alumni Association's
2 corporate offices are located in the University Center, and the University President
3 monitors all transactions relating to FSU, its resources, and its name. **(Refer to Appendix**
4 **X)**

5
6 **FSU Employees as Booster Group Board Members:**

7 A. The following FSU employees are members of the Seminole Boosters Board of
8 Directors **(Refer to Appendix X):**

- 9
10 (a) University President
11
12 (b) University Director of Athletics
13
14 (c) Chairman of the University Athletics Committee
15
16 (d) Faculty Athletics Representative
17
18 (e) Member active in the support of women's athletics
19

20 B. The following FSU employees are members of the Executive Committee of the
21 Board of Directors:

- 22
23 (a) University President
24
25 (b) University Director of Athletics
26

27 **FSU Employees as Alumni Association Board Members:** The following FSU
28 employees are members of the Executive Committee of the Board of Directors **(Refer to**
29 **Appendix X):**

- 30
31 (a) Vice President of University Relations and Public Affairs
32
33 (b) President/Executive Director of the FSU Alumni Association
34
35

36 **EXECUTION OF DOCUMENTS:** All contracts, agreements, documents, etc. must be
37 approved by the Board of Directors or the Executive Committee. **(Refer to Appendix X)**
38

39 **FINANCES:**

40
41 The University exercises institutional control over the Seminole Boosters private bank
42 account through the following policies **(Refer to Appendix X):**

- 43
44 (a) Copies of the annual financial statements of the Seminole Boosters are filed with the
45 University President, the State Board of Education, and FSU Board of Trustees.
46 **(Section 7.2 d)**

- 1
2 (b) Copies of the annual post audits of the Seminole Boosters' financial accounts are
3 submitted to the President of the University, the State Board of Education, and the
4 Auditor General of the State of Florida. **(Section 7.2 e)**
5
6 (c) The University President must approve, in writing, any action of the Seminole
7 Boosters which involves the name or resources of the University. The President may
8 also delegate this responsibility. **(Section 7.2 f)**
9

10
11 **Item 5: Identify how the institution has organized itself to maintain compliance with**
12 **NCAA rules. Specify the individual (other than the institution's compliance**
13 **officer/coordinator) who the CEO designates as being responsible for the**
14 **institution's rules compliance. Also, include a description of the reporting lines for**
15 **and responsibilities assigned to the faculty athletics representative, director of**
16 **athletics, compliance coordinator, coaches, and other key individuals inside and**
17 **outside athletics (e.g., registrar, financial aid officer, admissions director, internal**
18 **auditor) who are responsible for documenting and monitoring compliance with**
19 **NCAA rules, including but not limited to eligibility certification, investigation and**
20 **self reporting of violations and monitoring of financial aid.**
21

22 The organizational structure for the Florida State University's Department of Athletics is
23 depicted in the attached chart. **(Refer to Appendix X, *Florida State University Athletics***
24 ***Administration and Coaches*)**
25

26 The Faculty Athletics Representative (FAR) acts as a liaison between the university and
27 its athletics department. The FAR also serves as Chairperson of the Athletics Committee
28 and as a compliance liaison to the Atlantic Coast Conference (ACC). The Athletics
29 Committee is responsible for giving advice, support, and having general advisory powers
30 in the field of athletics. These powers are used to insure that the athletics program
31 maintains compliance with NCAA rules.
32

33 The Director of Athletics is currently responsible for compliance education for all
34 student-athletes and staff members of the athletics department. The Associate Athletics
35 Director for Compliance, has a direct reporting line to the Director of Athletics, and an
36 indirect reporting line to the University General Counsel, and is the university's primary
37 administrator for all compliance matters.
38

39 Coaches are responsible for completing all necessary compliance-related paperwork (e.g.,
40 telephone logs, contact forms, evaluation forms and official visit forms). **(Refer to**
41 **Appendix X, *Official Visit Checklist*).** The Compliance Office monitors this paperwork
42 and oversees the activities of all coaches, athletes and other personnel to ensure
43 compliance with NCAA rules. Each head coach reports directly to their Sport Oversight.
44 Associate and Senior Associate Athletic Directors are assigned as Sport Oversight to one
45 or multiple sport teams. Each sport's recruiting coordinator reports to her/his respective

1 head coach. Each recruiting coordinator also acts as a liaison to the Associate Athletics
2 Director for Compliance.

3
4 The Office of Financial Aid administers financial aid awarded to student-athletes. The
5 Director of Financial Aid reports to the Provost and Executive Vice President for
6 Academic Affairs. In March of 2004 a new position was created to solely deal with
7 athletic financial aid and scholarship distribution. The position, Coordinator of Financial
8 Aid for Student-Athletes, reports to the Director of Financial Aid.

9
10 The Admissions Office is responsible for admitting student-athletes into the University.
11 The Director of Admissions reports to the Assistant to the Provost, who reports to the
12 Provost.

13
14 Internal audits of the Athletics Department are conducted by the Office of Audit Services
15 and periodically by the Atlantic Coast Conference compliance and governance staff. The
16 Chief of Audit Services reports directly to the University President.

17
18 The Office of the Registrar ensures that all student-athletes have completed the necessary
19 requirements to be considered qualifiers for initial eligibility purposes. The Registrar's
20 Office also ensures that all student-athletes have satisfied continuing eligibility, and are
21 the official signatory to the certification status of the student-athletes. The office of the
22 Registrar has a permanent full-time position titled Athletic Liaison to the Registrar, who
23 serves as the primary contact in the Registrar's office for the Department of Athletics.

24
25 The Office of Athletic Academic Support is a Division of Undergraduate Studies and
26 serves as an advising unit to student athletes. The Director reports to the Dean of
27 Undergraduate Studies. As a lower-division advising unit, the Athletic Academic
28 Support Office is responsible for advising student-athletes in course and major selection
29 and monitoring their academic progress and athletic eligibility as it pertains to university,
30 ACC, and NCAA regulations.

31
32
33 **Item 6: Describe how the institution ensures that rules compliance is a central**
34 **element in personnel matters for individuals inside the athletics department.**

35
36 Florida State University ensures that NCAA rules compliance is a central element for
37 athletics department staff through a comprehensive rules education program, as well as
38 specific personnel matters. All staff members receive a NCAA manual on a yearly basis
39 and position descriptions delineate rules compliance responsibilities. A member of the
40 Compliance Office staff traditionally speaks at new-hire orientation days to familiarize
41 new employees on NCAA rules and the principle of institutional control. All staff
42 members are required to take a compliance test designed specifically for each
43 department. The departments are subsequently given a review in general and in
44 particular of missed questions.

1 All newly hired coaches who are new to collegiate athletics must undergo a
2 comprehensive compliance review with one of the Compliance Office staff members.
3 Coaches are required to take the yearly NCAA certification exam, and are given a
4 comprehensive review if necessary.

5
6 The Associate Athletic Director for Compliance speaks annually at the entire athletic
7 department new-academic-year gathering to discuss important compliance matters and
8 principles of institutional control. Employees sign a written acknowledgment stating they
9 are not aware of any NCAA violations that took place the previous year that were not
10 reported.

11
12
13 **Item 7: Describe how the institution ensures that rules compliance is a central**
14 **element in personnel matters for individuals outside the athletics department who**
15 **are involved in rules-compliance activities.**

16
17 Florida State University ensures that rules compliance is a central element in personnel
18 matters for individuals outside the athletics department who are involved in rules
19 compliance activities. On a biannual basis a retreat is held for those offices outside the
20 athletic department to meet with the Compliance Office to discuss NCAA legislation,
21 issues and review current policies and procedures. The retreat is conducted by the
22 compliance office, but all parties are invited to include items for the agenda; invitees
23 include Academic Support, the Registrar, Financial Aid, and Admissions.

24
25 The staff from Academic Support and Financial Aid were administered the department
26 specific compliance test in the summer of 2005. A detailed review was conducted at the
27 winter 2005 retreat as to the missed questions and correct answers on the test.

28
29 The Associate Athletic Director for Compliance speaks annually at the new-academic-
30 year entire athletic department gathering to discuss important compliance matters and
31 principles of institutional control. Academic Support and the liaisons from financial aid
32 and the registrar are invited.

33
34 Athletic Liaisons from the Office of Financial Aid, Admissions, Registrar, and the FAR
35 attend the NCAA rules Seminar held on an annual basis. Academic Support staff
36 members are encouraged to attend the seminar as well. In addition, all position
37 descriptions for Athletic Liaisons delineate rules compliance responsibilities.

38
39
40
41 **Item 8: Please indicate by clicking “yes” or “no” by the areas below, whether the**
42 **institution has written policies and step-by-step procedures that include assignment**
43 **of specific responsibilities pertaining to rules compliance.**
44

Written Policy and Procedure Area	Yes	No
Initial-eligibility certification	x	

Continuing-eligibility certification	X	
Transfer-eligibility certification	X	
Financial aid administration, including individual and team limits	X	
Recruiting	X	
Camps and Clinics	X	
Investigations and self-reporting of rules violations	X	
Rules education	X	
Extra benefits	X	
Playing and practice seasons	X	
Student-athlete employment	X	

1
2
3 **Item 9: Describe the institution’s rules-education efforts for all individuals**
4 **associated with the athletics department, including student-athletes, coaches, other**
5 **athletics department staff members, and other institutional staff members and**
6 **representatives of the institution’s athletics interests.**
7

8 Florida State University has been proactive in its efforts to educate student-athletes,
9 athletics department staff members, other institutional staff members and representatives
10 of athletics interests in matters concerning NCAA rules and regulations. These efforts
11 are illustrated by the following examples:
12

13 **I. Rules-Education Efforts for Student-Athletes:**
14

- 15 A. Student Athlete Handbook (instituted 1995) – The *Student Athlete Handbook*
16 outlines the *Student-Athlete Code Of Conduct* and various support services
17 available to student-athletes (e.g., academic support services and life-skills
18 programs). **(Refer to Appendix X)**
19
- 20 B. Professional Sports Counseling Panel (instituted 1993) – The Professional Sports
21 Counseling Panel educates student-athletes on issues relating to professional sport
22 careers (e.g., draft and salary issues, contract issues, disability insurance, financial
23 management and the selection of sport agents). The Panel is comprised of Dr.
24 Joseph Camps, Dr. Robert Hillison, Dr. Caesar Douglas, and Dr. Michael
25 Mondello, with Bob Minnix, Associate Athletic Director for Compliance serving
26 as the liaison to the athletic department. **(Refer to Appendix X, *Professional***
27 ***Sports Counseling Panel*)**
28
- 29 C. Agent Day and Parent/Agent Day (instituted fall 1996) – Agent Day is a
30 workshop that provides student-athletes the opportunity to meet with agents in an
31 educational and supervised setting. Parent/Agent Day is a workshop held on
32 Parents Weekend that educates student-athletes and their parents about the
33 process of selecting an agent and the rules set forth by the NCAA regarding
34 agents. Both workshops are held once a year and feature question and answer

1 sessions and guest speakers (e.g., current professional athletes, agents, and
2 financial planners).

- 3
- 4 D. A Career in Professional Sports Course (Fall 1996-Spring 2005) – This class
5 educates graduate and undergraduate students on careers in professional sports
6 (e.g., athlete, personnel positions, agents, etc.). A Career in Professional Sports is
7 available to all students and student-athletes and includes prominent speakers
8 from amateur and professional sports organizations. A Career in Professional
9 Sports is offered once a year. **(Refer to Appendix X, Course Syllabus, PET 4930,
10 A Career in Professional Sports)**
- 11
- 12 E. NCAA Compliance and Institutional Control Course (Spring 1996 to present) –
13 This class educates graduate and law school students in the area of NCAA Rules
14 and Regulations. The class is available to all students and student-athletes and
15 includes prominent speakers from amateur and professional sports organizations.
16 NCAA Compliance and Institutional Control is offered once a year. **(Refer to
17 Appendix X, Course Syllabus, PET 5467, NCAA Compliance and Institutional
18 Control)**
- 19
- 20 F. Squad Meetings – Each fall every athletic team meets with the Athletics Director,
21 the Compliance Staff, and the Coordinator of Financial Aid to review
22 departmental policies, as well as compliance issues such as gambling, agents and
23 promotional activities.
- 24
- 25 G. NCAA Posters – the Compliance office purchased educational posters from the
26 NCAA regarding the dangers of gambling for display in student-athlete
27 frequented locations, such as academics, student-services, and the compliance
28 offices.

29

30

31 **II. Rules-Education Efforts for Athletics Department Staff Members:**

32

- 33 A. Compliance Policy Manual (instituted 1995) – The *Compliance Policy Manual*
34 outlines NCAA rules and regulations and provides an overview of the
35 Compliance Program's operations and requirements. The Manual is kept on file
36 in the Compliance Office. **(Refer to Appendix X)**
- 37
- 38 B. Compliance Staff and Policy Overview (instituted 1995) – This provides a
39 detailed overview of the Compliance Program's hiring procedures, operations, and
40 requirements. The *Compliance Staff and Policy Overview* is kept on file in the
41 Compliance Office. **(Refer to Appendix X)**
- 42
- 43 C. Coaches Meetings are held on a monthly basis with each sport. The Director of
44 Compliance reviews interpretations, new legislation, or any other current NCAA
45 issues regarding rules and regulations. Additionally, the meetings are used for the
46 collection of recruiting information and updates to squad lists.

- 1
2 D. New NCAA Legislation Memo (instituted 1993) – A copy of any new NCAA
3 Legislation (and when it becomes effective) is circulated throughout the Athletics
4 Department. (**Refer to Appendix X, Florida State University Department of**
5 *Athletics Memorandum, Re: New NCAA Legislation*)
6
7 E. NCAA Compliance Regional Seminar (began in 1991)– The NCAA Compliance
8 Regional Seminar is an annual meeting for all Division I compliance coordinators.
9 The Seminar provides a three-day educational workshop on NCAA rules and
10 regulations, and is attended by members of the Compliance Office, Athletics
11 Academic Advising, Registrar, FAR, Admissions, and Financial Aid.
12
13 F. State of Florida Compliance Summit (began in 1997) – Founded by Bob Minnix,
14 Associate Athletics Director for Compliance at Florida State University, this
15 Summit is an annual meeting inviting all compliance staffs in the state of Florida.
16 The purpose of the Compliance Summit is to facilitate the sharing of best
17 practices as well as problem areas. The Summit was founded in an effort to make
18 Florida schools more proficient in the area of compliance.
19
20 G. Interpreter (1994-present) – The *Interpreter* is a monthly educational newsletter
21 discussing compliance related issues. The *Interpreter* is distributed to alumni,
22 boosters, athletics administration, staff, coaches and other university personnel.
23 (**Appendix X**)
24
25 H. Compliance Tests – The Compliance Office developed tests focusing on each
26 department within athletics and Seminole Boosters. All staff members of the
27 athletic department and Seminole Boosters are required to take the test. Scores
28 were reported to the Athletics Director. Review sessions were held with each
29 department to go through the test in detail, paying close attention to questions that
30 were missed. As required in the NCAA regulations, the FAR administers all
31 coaches recruiting tests.
32
33 I. NCAA Manuals – Each full-time athletic department staff member receives a
34 NCAA Division I Manual each academic year.
35
36

37 **III. Rules-Education Efforts for Representatives of the University's Athletics**
38 **Interests:**
39

- 40 A. Florida State University Guidebook to NCAA Regulations 2005-2006 (Instituted
41 1994) This brochure provides educational information on NCAA rules and
42 regulations, and lists prohibited booster activities. The brochure is updated
43 annually and is sent out with all season football, baseball and basketball tickets.
44 It is also sent to the corporate offices of the Seminole Boosters and is intended to
45 be made available to all boosters, Athletics Department staff, and the general

1 public. (Refer to Appendix X, Florida State University Guidebook to NCAA
2 Regulations 2005-2006)

- 3
- 4 B. Booster Tip of the Week – This flier incorporates NCAA bylaws and current
5 events and is distributed to all booster groups. (Refer to Appendix X, *Booster*
6 *Tip of the Week*)
- 7
- 8 C. "Compliance Issues Column" in *Osceola*– This column informs readers of current
9 "compliance issues" (e.g., interpretations of NCAA bylaws). The "Compliance
10 Issues Column" appears once a month in the *Osceola*, an independent weekly
11 newspaper covering FSU sports. The *Osceola* is received by boosters throughout
12 the country. (Refer to Appendix X)
- 13
- 14 D. FSU Compliance Website – The FSU Compliance Website incorporates all of the
15 aforementioned compliance information. The Website can be accessed through
16 the university and the athletics Websites (*www.fsu.edu* and *www.seminoles.com*,
17 respectively).
- 18
- 19 E. Speaking Engagements – The Associate Athletics Director for Compliance speaks
20 to university boosters and alumni throughout the state of Florida, including stops
21 on the Bobby Bowden Tour, as well as the sport booster clubs for specific sports.
22 Additionally, the Associate Athletics Director for Compliance speaks at the
23 Leadership Conference, an event including all booster club directors and
24 executives from around the country.
- 25
- 26 F. Compliance Exam – All members of the executive staff and all full time
27 employees with the Seminole Boosters, Inc. were required to take a compliance
28 exam in the summer of 2005. The Compliance Office developed the tests specific
29 to the NCAA rules applicable to boosters. During the fall of 2005 the compliance
30 office held a review session with the departments to analyze and evaluate their
31 exams.
- 32
- 33 G. Game Program Articles – Articles are written for all football home game
34 programs. The articles highlight a compliance topic relevant to alumni and
35 boosters.
- 36
- 37 H. Compliance Video – A video was produced in the summer of 2004 as an
38 educational tool for Representatives of Athletics Interests. The video is available
39 on the Compliance Website and is shown to various booster groups, staff and
40 student-athletes throughout the year.
- 41
- 42 I. Interpreter – A monthly newsletter written and published by the Compliance
43 Office which focuses on rules education for student-athletes, coaches, boosters,
44 and athletic department staff.
- 45

- 1 J. Executive Staff and Booster Executive staff joint meetings – The Associate
2 Athletic Director for Compliance attends the monthly meetings with the athletic
3 department executive staff members and the Seminole Boosters executive staff
4 members.
5
6

7 **IV. All-Encompassing Rules-Education Efforts:**
8

- 9 A. Sports Gambling Symposium (instituted September 1998) – The Sports Gambling
10 Symposium is an educational seminar addressing sports gambling in the college
11 environment. The Symposium is held at Florida State University and is attended
12 by student-athletes, coaches, athletics department administrators, university
13 administrators, law enforcement officials, and other members of the university
14 and local community. The Sports Gambling Symposium includes guest-speakers
15 from the NCAA and law enforcement, as well as a clinical gambling specialist.
16
17 B. FSU Compliance Website (instituted spring 1997) – This Website provides
18 current information on compliance issues and procedures such as NCAA rules
19 interpretations. The Website may be accessed via the World Wide Web for
20 general public viewing. Special sections of the Website are maintained for
21 coaches, student-athletes, agents, and boosters. The Website can be accessed
22 through the Athletics Department and University Websites (*www.fsu.edu* and
23 *www.seminoles.com*, respectively).
24
25 C. Booster Tip of the Week and Tip of the Week (instituted 1996) - *The Booster Tip*
26 *of the Week* is distributed during home football games and incorporates the
27 NCAA Bylaws relevant to Representatives of Athletics Interests. The *Tip of the*
28 *Week* is a weekly handout featuring NCAA bylaws and current events. It is
29 distributed throughout the Athletics Department to both student-athletes and staff.
30 **(Refer to Appendix X & Appendix X, Compliance Tip of the Week)**
31
32 D. Speaking Engagements – All members of the Compliance office speak to various
33 constituencies around campus including the sport psychology group, sport
34 management classes, and booster and alumni groups.
35
36 E. Internet Surveillance – The Compliance office staff regularly monitors the
37 Internet for items being sold that may jeopardize student-athlete eligibility and, if
38 found, sends a “cease and desist” letter to the owner consistent with NCAA
39 regulations.
40
41

42 **Item 10: Indicate the individual(s) responsible for conducting the institution’s rules-**
43 **compliance evaluation. Further, describe the process used in selecting the authority**
44 **outside of athletics to ensure the individual (s) do not have day-to-day compliance**
45 **responsibilities for the institution’s athletics department and are knowledgeable in**
46 **NCAA legislation and rules-compliance evaluation.**

1
 2 Three separate entities have conducted evaluations of the institution’s rules compliance
 3 program since the 1999 NCAA Certification. First, the FSU Compliance office was
 4 audited February 4-6, 2003 by the Atlantic Coast Conference (ACC) Compliance and
 5 Governance staff. Second, a one-time audit was conducted in June 2003 by MGT of
 6 America for the entire athletics department of which the compliance program was a small
 7 part. Lastly, the compliance program has been audited in part by the FSU Office of the
 8 Audit Services.

9
 10 The evaluation conducted by the ACC in February 2003 specifically targeted the rules-
 11 compliance program and systems. The Athletics Director and Associate Athletics
 12 Director for Compliance invited the compliance and governance staff from the ACC to
 13 audit the NCAA compliance program and systems. The ACC staff is outside of the
 14 university, and therefore does not have day-to-day compliance responsibilities, and
 15 additionally, is knowledgeable in NCAA and ACC legislation and rules compliance
 16 evaluation.

17
 18
 19 **Item 11: The rules-compliance evaluation must consist of a review to determine that**
 20 **the compliance practices are engaged and functioning and must include, at**
 21 **minimum, specific areas. Please indicate by clicking “yes” or “no” to which areas**
 22 **were included in the rules-compliance evaluation.**

23

Area of Evaluation	Yes	No
Initial-eligibility certification	x	
Continuing-eligibility certification	x	
Transfer-eligibility certification	x	
Financial aid administration, including individual and team limits	x	
Recruiting	x	
Camps and Clinics	x	
Investigations and self-reporting of rules violations	x	
Rules education	x	
Extra benefits	x	
Playing and practice seasons	x	
Student-athlete employment	x	

24
 25
 26 **Item12: Describe relevant corrective actions planned or implemented from the**
 27 **rules-compliance program evaluation(s).**

28
 29 A number of changes have been implemented based on recommendations submitted by
 30 the ACC in the audit conducted February 4-6, 2003. Recommendations were in the areas
 31 of compliance organization and structure, rules education, recruiting, eligibility, financial
 32 aid, self-reporting, playing and practice seasons, camps and clinics, student-athlete
 33 employment, and academic support.

1
2 **Compliance Organization and Structure:**

3
4 **Recommendation:** Streamline and distribute compliance manual.

5
6 **Action:** Stemming from a recommendation of the ACC evaluation, the compliance
7 manual was streamlined and made more user-friendly. In collaboration with the
8 Registrar and Academic Support offices the eligibility section was reconfigured.
9 Currently, the policies and procedures for financial aid have been updated. New manuals
10 were widely distributed to all coaching staffs, and as sections of the manual get updated,
11 the relevant sections will be sent out to replace the old sections.

12
13 **Recommendation:** Add compliance section to staff manual

14
15 **Action Taken:** Added compliance section to staff manual.

16
17 **Recommendation:** Include the Faculty Athletics Representative on the athletics
18 department organizational chart.

19
20 **Action Taken:** Implemented for the 2003-2004 academic year, the new organizational
21 chart includes the Faculty Athletics Representative and a job description added in the
22 Athletics Policy Manual.

23
24 **Rules Education:**

25
26 **Recommendation:** Institute a program in which letters are sent to local businesses
27 containing information regarding extra benefits.

28
29 **Action Taken:** In August 2003 the Associate Athletics Director and Compliance
30 Coordinator sent a form letter to businesses that regularly come in contact with the
31 student population in Tallahassee regarding relevant NCAA rules and regulations, in
32 particular extra benefits. The letter is now sent annually to local establishments including
33 bars, sporting good stores, restaurants, clothing stores, jewelry stores, car dealerships,
34 electronic stores, as well as business that are known to have employed student-athletes in
35 previous years.

36
37 **Recommendation:** The student-athlete handbook and planner be better organized and
38 contain more information regarding compliance related issues such as student host
39 information, reporting of violations and playing and practice seasons.

40
41 **Action Taken:** During the summer of 2003 the Associate Athletic Director for Student
42 Services revamped the Seminole Handbook and Planner to include the areas of financial
43 aid, reporting violations, competing in outside competition, playing and practice seasons
44 and student host information. Additionally, the Office of Student Services developed a
45 student-athlete manual that is distributed to all student-athletes. The manual contains
46 more comprehensive set of policies and procedures than the handbook.

1
2 **Recommendation:** Continue to implement rules education programs with university
3 departments external to athletics (Registrar, Financial Aid, Admissions, and Academic
4 Support).

5
6 **Action Taken:** The compliance office continues to host on a biannual basis, a retreat for
7 the compliance, financial aid, academic support, admissions, and registrar's office. The
8 program includes education as well as policy development and procedure evaluation.

9
10 **Recruiting:**

11
12 **Recommendation:** Coaches should turn in Contact and Evaluation forms in a timelier
13 manner to ensure accuracy in reporting.

14
15 **Action Taken:** Coaches must now turn in their contact and evaluation forms within one
16 week of their travel, or no additional travel will be authorized.

17
18 **Recommendation:** Add compliance office to list of departments reviewing official visit
19 expense reports.

20
21 **Action Taken:** Beginning in August 2003, all expense reports related to team travel,
22 official visits, recruiting and other expenses related to student-athletes is reviewed and
23 approved by the Assistant Athletic Director for Compliance or his designee before they
24 are processed through the business office.

25
26 **Eligibility (Initial, Continuing, Transfer):**

27
28 **Recommendation:** Improve monitoring system for full-time enrollment

29
30 **Action Taken:** Beginning in August of 2003, a new program was implemented to track
31 full-time enrollment. During the first two weeks of each semester the Registrar's Office
32 will request a daily full-time status report for all student-athletes, to be distributed to the
33 Compliance Office and the Office of Academic Support. The Compliance Coordinator
34 will contact each counselor to ensure the information is correct and the advisor is
35 apprised of the situation. If a student falls below full-time, she/he will be immediately
36 pulled from practice and/or competition until the situation is resolved.

37
38 **Recommendation:** Require the signature of the Registrar's Office on add/drop forms.

39
40 **Action Taken:** Beginning with the academic year 2003-2004, a signature from the
41 Registrar's Office is required on all add/drop forms after add/drop week. As an
42 additional measure, a new computer program was implemented so that the Registrar (or
43 designee) has sole access to remove the hold for dropping a class after all appropriate
44 signatures have been obtained.

1 **Recommendation:** Student-athletes should be flagged within the Office of the Registrar
2 for change-of-major status.

3
4 **Action Taken:** A system was established for the 2003-2004 academic year requiring the
5 signatures of the advisor, Director of Athletic Academic Support and the Registrar before
6 a major change becomes official. Once a change of major has been requested there is an
7 academic evaluation of the student-athletes record to ensure all NCAA progress toward
8 degree requirements has been met.

9
10 **Recommendation:** There should be documented procedures for certification of initial,
11 continuing and transfer eligibility.

12
13 **Action Taken:** In January 2004, the Compliance, Registrar and Athletic Academic
14 Support Offices completed written policies and flow charts for NCAA Bylaw 14 –
15 Eligibility. The policy has been incorporated into the compliance manual that is widely
16 distributed.

17
18 **Financial Aid:**

19
20 **Recommendation:** Review and implement policies and procedures for Financial Aid
21 and the principle of institutional control.

22
23 **Action Taken:** Jointly the Financial Aid Office and the Athletic Department agreed to
24 hire an individual to be responsible for the monitoring and disbursing of financial aid to
25 student-athletes. This position was filled in March of 2004, subsequent to which policies
26 began to be developed for the financial aid process pursuant to Bylaw 15.

27
28 **Self Reporting and Investigatory Process:**

29
30 **Recommendation:** Include the procedures and policies for self-reporting and the
31 investigatory process in the staff manual.

32
33 **Action Taken:** In August 2003, the procedures for self-reporting and the investigatory
34 process were included in the staff manual, compliance manual and the student handbook
35 and planner.

36
37 **Playing and Practice Seasons:**

38
39 **Recommendation:** Include a student-athlete signature on team countable athletically
40 related activity sheets to further ensure accuracy of the information reported.

41
42 **Action Taken:** Starting in the fall of 2003 monthly practice logs must be signed by a
43 student-athlete. The student-athlete signature is obtained through the SAAC committee
44 meetings in conjunction with the Director of Student Services. Any concerns are then
45 brought to the Assistant Athletic Director for Compliance for further investigation.

46

1 **Camps and Clinics**

2
3 **Recommendation:** Include payment method of camp and clinic attendees on reporting
4 forms.

5
6 **Action Taken:** Beginning with the summer camps of 2003, a column was added to the
7 compliance form for method of payment by attendees.

8
9 **Recommendation:** Camp expenses should be reported at the close of each camp session
10 rather than at the end of the summer.

11
12 **Action Taken:** Financial reports for each session are due one week after the camp is
13 held.

14
15 **Student-Athlete Employment:**

16
17 **Recommendation:** Include more information in the student handbook regarding
18 employment and who to contact.

19
20 **Action Taken:** During the summer of 2003 the student handbook was reworked to
21 include this information.

22
23 **Academic Support:**

24
25 **Recommendation:** Conduct exit interviews with departing tutors to assess program.
26 Additionally, obtain signed statements from departing tutors signifying they have no
27 knowledge of academic fraud, gambling activities or other activities that contradict
28 NCAA, ACC or institutional rules.

29
30 **Action Taken:** Starting in August 2003, all tutors sign an affidavit at the beginning of
31 the year after going through an orientation session with the Assistant Athletic Director for
32 Compliance. At the close of each year (or term of employment) each tutor must re-sign
33 the affidavit before their last paycheck becomes available.

34
35 **Recommendation:** Services provided to learning disability diagnosed student-athletes
36 must be consistent with those services provided to the general student body.

37
38 **Action Taken:** The academic support staff inventoried the various services providers on
39 campus including the reading/writing lab, math lab, adult learning center, and the student
40 disability resource center to establish a clear understanding of the services provided to the
41 general student body. The Office of Academic Support found their services were aligned
42 with those from around campus. This process will be ongoing as the office implements
43 new services or a new service become available on campus.

44
45 An audit suggested changes to strengthen the organizational structure of the athletic
46 department as a whole, but also suggested a few changes within the rules-compliance

1 program. The recommendations that pertain to the rules-compliance program are as
2 follows:

3
4 **Recommendation:** Develop a manual or policies regarding financial aid and the
5 distribution of scholarship money, with annual reviews of the policies.

6
7 **Action Taken:** Written policies and procedures for the entire financial aid process as per
8 Bylaw 15 were developed and distributed to the parties involved in handling scholarship
9 distribution and financial aid matters.

10
11 **Recommendation:** Rework the compliance manual to ensure there is no duplication of
12 forms or processes.

13
14 **Action Taken:** Per the request of the ACC, the compliance manual was streamlined to
15 ensure more accurate policies and procedures and no duplication of forms.

16
17 **Recommendation:** Involve University Police and University General Counsel in
18 investigations that may result in criminal or civil charges.

19
20 **Action Taken:** The Associate Athletic Director for Compliance has an indirect reporting
21 line to the University General Counsel, and has an established relationship with the
22 University Police. Both parties are notified in the event an investigation involves the
23 violation of civil or criminal law.

24
25 The June 2003 audit conducted by the Office of the Audit Services focusing on the
26 communication systems of the athletic department, produced a couple of
27 recommendations. The particular recommendations applicable to Principle 1.2 Rules
28 compliance are as follows:

29
30 **Recommendation:** The Associate Athletic Director for Compliance report either directly
31 or indirectly to a University Vice President.

32
33 **Action Taken:** An indirect reporting line was created from the Associate Athletic
34 Director for Compliance to the University General Counsel.

35
36 **Recommendation:** Detail written operation procedures for investigating allegation of
37 wrongdoing by student-athletes (or others), which should include guidance on how to
38 conduct and document the investigation.

39
40 **Action Taken:** A subsection related to investigating and reporting major and secondary
41 violations was added to the FSU Compliance Manual.