

Governance and Commitment to Rules Compliance

OPERATING PRINCIPLE 1.1

Mission of the Athletics Program and the Institution

Maintaining intercollegiate athletics as an integral part of the educational program is a basic purpose of the Association. Consistent with this fundamental policy,

- a. The institution shall demonstrate that the mission and goals of the athletics program:
 - (1) Relate clearly to the mission and goals of the institution;*
 - (2) Support the educational objectives, academic progress and general welfare of student-athletes;*
 - (3) Support equitable opportunity for all students and staff, including women and minorities;*
 - (4) Embrace the Association's principles of sportsmanship and ethical conduct;*
 - (5) Are widely circulated among the institution's internal and external constituencies.**
- b. The institution shall demonstrate that the actual practices of the institution's athletics program are consistent with the athletics program mission and goals.*

SELF-STUDY ITEMS FOR OPERATING PRINCIPLE 1.1

Mission of the Athletics Program and the Institution

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

The mission statement for George Mason University (GMU), found on page 5 of the 2000-2001 GMU Catalog, was last revised in 1991. It serves as the statement of direction and values for the institution. The statement of direction and values for the Department of Intercollegiate Athletics (ICA) is found in the mission statement in the Student-Athlete Handbook (pp. 1-2). The ICA mission statement is comprised of three components: Athletic Philosophy, Objectives, and Commitment to Equity. ICA's mission statement has been reviewed and revised in 1994, 1996, and 2000.

George Mason University Mission Statement

George Mason University will be an institution of international academic reputation providing superior education enabling students to develop critical, analytical, and imaginative thinking and to make well-founded ethical decisions. It will respond to the call for interdisciplinary research and teaching not simply by adding programs but by rethinking the traditional structure of the academy.

The University will prepare students to address the complex issues facing them in society and to discover meaning in their own lives. It will encourage diversity in its student body and will meet the needs of students by providing them with undergraduate, graduate, and professional courses of study that are interdisciplinary and innovative. The University will energetically seek ways to interact with and serve the needs of the student body.

The university will nurture and support a faculty that is diverse, innovative, and excellent in teaching, active in pure and applied research, and responsive to the needs of students and the community. The faculty will embody the University's interactive approach to change both in the academy and in the world.

The University will be a resource of the Commonwealth of Virginia serving private and public sectors and will be an intellectual and cultural nexus between Northern Virginia, and the nation, and the world.

Mission of the Department of Intercollegiate Athletics

Athletic Philosophy

George Mason University provides the student-athlete the opportunity and encouragement to progress toward a degree of his or her choice together with the opportunity to develop athletic abilities in an environment consistent with high standards of academic scholarship, sportsmanship, leadership, and institutional loyalty. The student-athlete at George Mason University is a bona fide student pursuing a degree program.

It is recognized that the George Mason University intercollegiate program:

- is an important part of a well-rounded university dedicated to the service of a broad range of students, faculty, and public interest;
- is important in generating community support for the institution at the state and local levels;
- fosters pride in the University among faculty, students and citizens of Virginia;
- can and should develop character, maturity and a sense of fair play in its student-athletes; and
- is committed to fair and equitable treatment of both men and women, is committed to providing equitable opportunities for minority students and institutional personnel, and is committed to the fair treatment of student-athletes, particularly in their academic role as students.

Athletic Objectives

The objectives of the George Mason University Intercollegiate Athletics program are:

- To have the University represented by men and women whose conduct reflects credit upon the institution and who are bona fide students making normal progress in degree programs with appropriate academic counseling, advisement and support;

- To field disciplined and competitive amateur student-athletes and teams recruited, coached, and supported by highly qualified individuals who are dedicated to the spirit and intent of all George Mason University, Colonial Athletic Association (CAA), and National Collegiate Athletic Association (NCAA) rules; and
- To strive for improvements in the system of intercollegiate athletics by cooperating with individuals and institutions to reduce pressures toward improprieties.

Commitment to Equity

George Mason University is committed to providing equitable opportunities for male and female student-athletes. This commitment is measured by fulfilling the requirements of Title IX as well as by creating and ensuring an atmosphere which promotes a positive academic and athletic environment. George Mason University continues to strive to provide the best athletic experience possible for our student-athletes.

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

The mission of the Department of Intercollegiate Athletics reflects and reinforces the mission statement of the University in several ways. Both mission statements emphasize the development of leadership, character, and maturity of students and specify high standards of scholarship. The University states that “it will encourage diversity in its student body,” whereas ICA declares the intercollegiate athletics program to be “an important part of a well-rounded university dedicated to service of a broad range of students, faculty, and public interest.” Affirmations of the importance of ethical decisions are included in both mission statements. The athletics program is interactive with the student body and helps foster the development of academic learning, leadership, and ethical reasoning.

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

The Senior Associate Athletics Director for Administration and Compliance distributes the Student-Athlete Handbook to each student-athlete at the beginning of each year. The Student-Athlete Handbook (which is enclosed with the Self-Study Report) contains ICA’s mission statement. The mission statement is also found on the GMU Sports Web site (www.gmusports.com), which student-athletes and ICA staff use regularly for obtaining information of interest to them

on all matters pertaining to ICA. In addition, this web site makes the mission statement accessible to prospective student-athletes, high school coaches, and the entire GMU community. The mission statement is also found in sports brochures and in some game programs (in a modified version). Sports brochures are distributed to prospective student-athletes by the coaches, along with other recruiting materials.

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.

Following are selected examples of practices supporting the athletics program's mission and goals:

a. Diversity of Head Coaches and Senior Staff (see Appendix A)

ICA's mission statement states that the department "...is committed to providing equitable opportunities for minority students and institutional personnel..."

In 1994 there were seven head coaches in women's sports, two of whom were female. In 2000 six of the nine head coaches are female.

In 1994 all of the head coaches for men's sports were male. In 2000 there was one female and eight male head coaches for the nine sports.

In 1994 two of the seven head coaches were other-than-white (OTW) in women's sports. All of the eight head coaches for men's sports were white. In 2000 two of the women's sports head coaches were OTW. Two of the nine head coaches of men's sports were OTW as well.

In 1994 the senior staff consisted of two white males and one white female. In 2000 there were four white males, one black male, and two white female senior staff members.

b. Standards of Conduct for Student-Athletes

ICA's mission statement states that the department "...is committed to fair and equitable treatment for both men and women..."

In an effort to ensure fair and equitable treatment of student-athletes both on and off the court/playing field, the Standards of Conduct found in ICA's Student-Athlete Handbook were implemented in the Fall of 1998.

c. *Initiation of Learning Specialist Position for Student-Athletes*

ICA's mission statement states that the department provides "...bona fide students making normal progress with appropriate academic counseling, advisement and support..."

ICA is committed to providing the best possible academic support services to its student-athletes. The most recent ICA staff addition occurred in November 1998 when a Learning Specialist was employed. The Learning Specialist has the expertise and responsibility to design and implement programs for selected student-athletes with identified academic deficiencies and documented learning disabilities.

d. *Implementation of Life Skills Program for Student-Athletes*

ICA's mission statement asserts that "...GMU...can and should develop character, maturity and a sense of fair play in its student-athletes..."

GMU has continued its ongoing commitment to provide educational programs that promote the welfare and development of student-athletes. This educational effort has included both required and voluntary attendance at educational activities designed for both student-athletes and coaches. In the Fall of 1999 ICA implemented the NCAA CHAMPS/Life Skills program that emphasizes five major areas of development: academics, athletics, personal development, service, and career development. With the addition of a full-time CHAMPS/Life Skills Coordinator, the career development program is being developed more fully, and the personal development area is being expanded as well.

e. *Quality of Overall Athletic Performance*

ICA's mission statement states that the department "...provides the student-athletes the opportunity and encouragement to...develop athletics abilities..."

GMU's sports programs were honored in 1999 for the fifth time in six years in the Sears Directors Cup competition recognizing the top NCAA Division I-AAA teams in the country. The ratings of the top twenty institutions for the years 1997-1998 and 1998-1999 show GMU rated 11th in the former and 6th in the latter set of rankings of those institutions without football (*Appendix B*).

f. Title IX rating in Chronicle of Higher Education

ICA's mission statement states "GMU is committed to providing equitable opportunities for male and female student-athletes."

Accomplishments with regard to GMU's compliance in gender equity have been recognized in many ways. The NCAA study reported in the May 21, 1999 Chronicle of Higher Education cited GMU as a national leader in a number of key areas of compliance, including gender equity for salaries for coaches of women's sports teams, budgets for women's teams, and athletic scholarships for women. A recent 2000 report (*Appendix C*) published in the Chronicle of Higher Education further attests to the achievements of GMU in honoring its mission and goals in practices pertaining to gender equity.

OPERATING PRINCIPLE 1.2

Institutional Control, Presidential Authority and Shared Responsibilities

The Association's principle of institutional control vests in the institution the responsibility for the conduct of its athletics program, including the actions of its staff members and representatives of its athletics interests. In fulfilling this principle, the institution shall demonstrate that:

- a. The institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution.*
- b. The chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program.*
- c. Appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies.*

Self-Study Items for Operating Principle 1.2

Institutional Control, Presidential Authority and Shared Responsibilities

- 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).**
 - Annually in May, the Board of Visitors ratifies ICA's budget along with those of other units of the university.
 - In January 1997, the Board of Visitors approved the addition of women's rowing and men's and women's swimming and diving.
 - In May 1998, the Board of Visitors denied the addition of NCAA I-AA football.

- 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.**
 - Annually, the President approves ICA's budget. The budget is then submitted by the Senior Vice President to the University's Board of Visitors.
 - In January 1997, the President recommended to the Board the addition of women's rowing and men's and women's swimming and diving. This recommendation was approved. Women's rowing was added in fall 1997 and men's and women's swimming and diving were added in fall 1999.
 - In May 1998, the President recommended to the Board against the addition of NCAA Division I-AA football. The President's recommendation was accepted.
 - During the past three years, the President reviewed ICA's recommendations and made final decisions regarding the hiring of the men's and women's basketball coaches, the dismissal of the women's track coach, and the approval of a renegotiated contract for the men's basketball coach.

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).**

Major decisions regarding the athletics program begin with the President or the Assistant Vice President/Athletics Director.

When the process is initiated by the Assistant Vice President/Athletics Director, he decides the appropriate method for identifying, discussing, and evaluating the issue. It is his decision who will be involved in the discussions and who will be consulted. Normally, a major issue would be discussed within the ICA administration. The issue would then be forwarded to the Athletic Council for discussion and recommendation. The Coaches and Student-Athlete Council would also be asked to discuss the issue and make recommendations to the Assistant Vice President/Athletics Director. He then delivers the results and his recommendations to the Senior Vice President. Following consultation with the Assistant Vice President/Athletics Director, the Senior Vice President forwards his recommendations to the President. The President has the final authority in making major decisions or can defer the final decision to the Board of Visitors.

When the President initiates the process, he also decides the appropriate methods for identifying, discussing, and evaluating the issue. It is his decision as to who will be involved in the discussions, who will be consulted, and to whom the results are reported and recommendations are made. As illustrated in the examples that follow, the President normally engages in extensive consultation with constituencies throughout the University community. The President has the final authority in making major decisions, or he can defer to the Board of Visitors.

Two examples illustrate the process for making major decisions:

1. *The football issue*

In October of 1997, the President appointed a task force to examine the feasibility of adding a NCAA Division I-AA football program at GMU. The task force included members from the GMU faculty, students, and administration as well as individuals from the Northern Virginia community. The task force identified key issues and grouped them into five categories: Policy, Finance, Regulations, Implementation, and Interest Assessment. Carr Sports Associates

was hired in December 1997 to consult with the task force. A final report on feasibility was released by the task force in February 1998 and revised in March 1998. The task force recommended that football not be added. The Athletic Council also recommended against adding a Division I-AA football program. In May 1998, the Board denied the addition of NCAA Division I-AA football.

2. *The unit review of the Department of Intercollegiate Athletics*

In January 1996, President Merten asked each University department to do a comprehensive unit review. ICA began the process for preparing and reviewing drafts for presentation. On January 3, 1997, a draft report was presented to ICA's administrative staff. On January 7, 1997 the report was shared with coaches and with the Athletic Council. The revised plan was presented to the Board of Visitors on January 17, 1997. In February, there was an Open Forum with the campus community on the restructuring plans. The phase-in of "the plan" began in March 1997 with full implementation in the Fall of that year.

Composition of the Athletic Council

The Athletic Council is chaired by the NCAA Faculty Athletic Representative, who is a senior faculty member appointed by the President. Other Athletic Council members include: the University President (ex officio); the Senior Vice President; and representatives from each of the following offices: Provost; Registrar; Undergraduate Admissions; Student Financial Aid; University Life; Minority Student Affairs; GMU Foundation; the Department of Health, Fitness, and Recreation Resources; two members from the Department of Intercollegiate Athletics; four members from the Faculty Senate; two members from the Student-Athlete Council; and a representative of the Student Government.

ATHLETIC COUNCIL MEMBERSHIP 2000-2001

NAME	REPRESENTATION	TITLE
Alan Merten	President (ex officio)	President
Maurice Scherrens	Executive Vice President, Finance and Planning	Senior Vice President
Marcelle Heerschap	Office of Admissions	Dean of Admissions
Susan Jones	Office of Registrar	University Registrar
David Rossell	Office of Provost	Associate Provost for Personnel and Budget
Lory Stimson	GMU Foundation	Associate Athletics Director for External Affairs/Executive Director, Patriot Club
Javita DeFreitas	Student Financial Aid	Director of Student Financial Aid
Ken Guerrant	University Life/Career Services	Career Consultant
Art King	Minority Student Affairs	Director of Minority Student Affairs
Thomas O'Connor	Intercollegiate Athletics	Assistant Vice President/Athletics Director
Susan Collins	Intercollegiate Athletics	Senior Associate Athletics Director for Administration and Compliance
Brett Wright	Health, Fitness and Recreation Resources Department	Department Chair and Associate Professor, HFRR
Matthew Karush	Faculty Senate	Assistant Professor, History and Art History
Jennifer Sherwin	Faculty Senate	Assistant Professor, Public Policy/Policy Analysis Center
Deborah Kaplan	Faculty Senate	Associate Professor, English
Larry Rockwood	Faculty Senate	Associate Professor, Biology
TBN	Student Government	Student Representative
Kathy Lagenbach	Student Athletic Council	Student Representative
Chris Stokes	Student Athletic Council	Student Representative
Gerald Cook	Faculty Athletic Representative	Professor and Eminent Scholar, Electrical and Computer Engineering

OPERATING PRINCIPLE 1.3

Rules Compliance

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

- a. It has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program.*
- b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department.*
- c. Rules compliance is the subject of an ongoing educational effort.*
- d. A clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program.*
- e. At least once every three years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department.*

SELF-STUDY ITEMS FOR OPERATING PRINCIPLE 1.3

Rules Compliance

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

The GMU Patriot Club is a subsidiary of the George Mason University Foundation, Incorporated (GMUF), which is the primary fund-raising organization for the receipt and management of all private funds related to the University's activities and programs. The Patriot Club is subject to all rules, regulations, procedures, and policies under which the Foundation functions. The

Executive Director of the Patriot Club reports directly to the Assistant Vice President/Athletics Director. To ensure that policies regarding fundraising are applied consistently and in keeping with the GMUF mission and procedures, the Executive Director of the Patriot Club works collaboratively with the GMUF and regularly confers with the President of the Foundation regarding Patriot Club activities. The Executive Director of the Patriot Club also serves as Associate Athletics Director for External Affairs, and is thus an employee of the University.

The operating budget of the Patriot Club is part of ICA's budget. The ICA budget is approved by the Assistant Vice President/Athletics Director and the Senior Vice President in accordance with the policies and procedures of the University.

The management of Patriot Club funds is consistent with the policies and procedures of the University. Endowment funds, although segregated as specified by each donor, are maintained as part of the investment portfolio of the GMUF. The current funds—i.e. the funds in the current year operating budget (restricted or unrestricted)—are under the control of the Assistant Vice President/Athletics Director and Senior Vice President.

2. **Identify, using an organizational or flow chart, how the institution has organized itself to maintain compliance with NCAA rules. Specify the individual (other than the institution's compliance officer/coordinator) who the CEO designates as being responsible for the institution's rules compliance. Also, include a description of the reporting lines for and responsibilities assigned to the faculty athletic 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.**

Although all University staff share responsibility for NCAA rules compliance, some University officials, because of their assigned job responsibilities, are actively involved in ensuring compliance in specific areas. University officials having specific responsibilities with regard to NCAA compliance are listed below by job title and duties. The Compliance Officer has a unique role because she shares the responsibility for the accuracy of NCAA compliance decisions made by each of these university officials.

The compliance flow chart (*Appendix D*) shows how GMU is organized to maintain compliance with NCAA rules. The following individuals have significant roles:

President: As CEO he is responsible for GMU's compliance with NCAA rules.

Assistant Vice President/Athletics Director: He is designated by the President as the individual responsible for the University's rules compliance program. He provides supervision for the Compliance Officer.

Compliance Officer: The Senior Associate Athletics Director for Compliance and Administration (aka Compliance Officer) provides education for and consultation with University officials who have specific compliance-related responsibilities. She verifies that the information reported by university officials is accurate and that the procedures they follow are appropriate in matters relating to compliance with NCAA rules. She is GMU's liaison with the NCAA. She designs and maintains compliance systems that assist the ICA staff in rules compliance (e.g., telephone and practice logs). She completes and keeps records as necessary. She reports to the Assistant Vice President/Athletics Director.

ICA Staff: They are responsible for knowing and complying with NCAA rules as they apply to their job responsibilities. They work cooperatively with the Compliance Officer and other university officials who have compliance related responsibilities.

Dean of Admissions: The Dean is responsible for maintaining admissions standards and for admissions decisions for all GMU students, including student-athletes.

Registrar: The Registrar is responsible for the certification of NCAA eligibility for each student-athlete. The Registrar maintains all data and supporting documentation related to student-athlete eligibility.

Director of Student Financial Aid: The Director is responsible for authorizing all athletic scholarships. The Director maintains all data and supporting documentation related to athletic scholarships.

Faculty Athletics Representative: This faculty member is responsible for general oversight of the athletics program and acts as an advisor to the President.

Internal Auditor: The Internal Auditor reports directly to the University's governing board (Board of Visitors), but also responds to requests for audits from the Compliance Officer.

3. Describe the procedures by which the institution processes alleged or self-discovered violations of NCAA rules.

Alleged or self-discovered NCAA rules violations are reported to the Compliance Officer. Under the direction of the Compliance Officer, allegations are investigated to determine if a violation has occurred. The Compliance Officer routinely consults with NCAA and/or CAA staff. If a violation has occurred, the Compliance Officer interviews the involved parties to determine the nature and extent of their participation in the violation. In non-routine matters, the Faculty Athletics Representative assists the Compliance Officer in conducting an investigation.

Upon confirmation that a violation has occurred, the Compliance Officer, in consultation with the Assistant Vice President /Athletics Director, prepares a “self-report” letter designating the violation and any institutional corrective action taken. The letter is submitted to the NCAA, or to the CAA if *de minimus*. Copies of the letter are distributed to the President, the Senior Vice President, the Assistant Vice President/Athletics Director, the Senior Associate Athletics Director for Intercollegiate Sports, the Assistant CAA Commissioner, the Faculty Athletics Representative, the offender, and the offender’s supervisor. Appropriate action is taken upon receipt of the NCAA’s or CAA’s written response. A copy of the written response is distributed to the same parties who received the “self-report” letter.

4. 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.

ICA considers rules education to be the foundation of compliance. Educational programs on rules compliance are under the direction of the Compliance Officer and are administered as follows:

Student-Athletes: The Compliance Officer meets a minimum of two times annually with all student-athletes to review NCAA rules.

ICA Staff: The Assistant Vice President/Athletics Director and the Compliance Officer conduct periodic meetings with ICA staff to review existing NCAA rules and discuss rule changes. The Compliance Officer meets with the coaching staff monthly.

Boosters: Patriot Club members are notified of NCAA rules by informational pamphlets and by articles in newsletters from the Executive Director of the Patriot Club.

Other Institutional Staff Members: The Compliance Officer discusses rules and provides updates on rules changes as needed with the Dean of Admissions, the Registrar, the Director of Student Financial Aid, and the Faculty Athletics Representative.

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

Student-athletes choosing to work during Fall or Spring semesters must first receive written approval from the Compliance Officer for each job. At the beginning of each school year each student-athlete is verbally informed of this requirement. The “Student-Athlete Employment Agreement” is found in the Student-Athlete Handbook.

In granting or denying approval for employment, each student-athlete’s individual financial situation is considered. Approval includes an earnings limitation for that individual that takes into account all jobs during the current school year. In early April, each student-athlete who has been approved for employment earnings must submit a final pay stub from the Fall semester and the most current pay stub for the Spring semester from each employer. For those student-athletes who work on campus, the Compliance Officer generates a wage statement report that details earnings information from GMU. These procedures enable the Compliance Officer to verify whether or not the student-athlete is in compliance with NCAA rules.

6. 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.

The University ensures that rules compliance is a central element of personnel matters in several ways. At the beginning of each academic year, NCAA-designated ICA staff sign the NCAA Annual Certification of Compliance form. Staff involved in recruiting must pass the annual NCAA Coaches Recruiting Test. The ICA staff is required to attend compliance meetings throughout the year. Adherence to rules compliance is a part of the year-end performance evaluation for each coach. Selected University staff, including the Dean of Admissions, Registrar, Director of Student Financial Aid, and Faculty Athletic Representative

have NCAA compliance responsibilities specified in their job descriptions (see *Appendix E*).

Job descriptions, contracts, and the Annual Performance Evaluation form are included in a binder titled “ICA Certification 2000 – Book One” (available for on-site review). The ICA Commitment to Compliance policy and all other ICA policies and procedures can be found on the ICA web site (www.gmusports.com).

7. Please provide step-by-step written policies and procedures that assign 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).

a. Eligibility certification: The President has designated the GMU Registrar as the certifying official for student-athlete eligibility. Each NCAA team is certified using the GMU Certification of Eligibility form that shows the name and social security number for each squad member. Each student-athlete is classified as either “Eligible” or “Not Eligible” and the form is certified by the University Registrar or her designee. The form is then reviewed by the appropriate head coach. The coach’s signature acknowledges the status of each squad member. It is the coach’s responsibility to obtain the certification in advance of the first competition, practice and/or scrimmage with any outside group.

b. Investigation and self-reporting of rules violations: See section 1.3.3 for a detailed description of policies and procedures in the area of rules compliance.

c. Monitoring financial aid: ICA is responsible for determining athletics scholarship award amounts and appropriate recipients. The Director of Student Financial Aid authorizes all athletics scholarships. The Compliance Officer monitors the status and amount of each student-athlete’s athletics scholarship award. She acts as the rules liaison between the NCAA and the Office of Student Financial Aid. The Compliance Officer and the Director of Student Financial Aid maintain all data and supporting documents related to NCAA financial aid issues. GMU has computerized the NCAA squad list, thus allowing for a high degree of accuracy in reporting the required data for each student-athlete and team. The “June 1999 Internal Audit Report on Student-Athlete Financial Aid” (*Appendix F*) concluded that the university’s overall control procedures regarding compliance with NCAA rules are adequate and functioning as designed, “except for some minor areas for improvement.” The report described three areas needing improvement. The Compliance Officer immediately took action to resolve each area of concern. A follow-up review concluded that all procedures were satisfactory (see *Appendix G*).

d. Monitoring recruiting: Coaches are responsible for being knowledgeable regarding NCAA recruiting rules and regulations. They must pass the annual NCAA Coaches Recruiting Test to be certified to recruit off-campus. They are responsible for keeping up-to-date records on each prospective student-athlete using the ICA recruiting forms found in the Coaches Compliance Handbook. Each head coach receives a handbook containing all necessary recruiting forms.

e. Telephone Log: All telephone calls made by coaches to prospective student-athletes, their parents, or legal guardians must be logged immediately to ensure accuracy. Coaches are responsible for making NCAA telephone call rules clear to prospective student-athletes, their parents, and legal guardians early in the recruiting process. Every Monday morning coaches must submit their signed telephone logs for review.