

SUPPLEMENT TO SELF-STUDY REPORT
FROM THE SUBCOMMITTEE ON
COMMITTEE ON GOVERNANCE AND RULES COMPLIANCE

Operating Principal 1.1

ICA Mission: Miami University Intercollegiate Athletics:

The Mission

The Miami University Athletic Family Develops Champions with Love and Honor

Approved April 27, 2007

The Vision (Philosophy)

Miami University Athletics will be a Culture of Champions

Approved April 27, 2007

Goals of the Culture of Champions Strategic Plan

1. Build Quality Relationships
2. Enhance and Develop Athletic Facilities
3. Enhance and Embrace Diversity
4. Enhance the Student-Athlete Experience
5. Establish a Comprehensive Leadership Development Program
6. Establish a Comprehensive Recruiting Support Structure
7. Expand Media Coverage
8. Hire, Train, and Retain Quality Staff
9. Incorporate and Efficiently Use Technology
10. Increase Ticket Revenue and Attendance
11. Strengthen Resource Development
12. Winning Championships

Approved April 27, 2007

- Item No. 4: As noted in the report, the President and the Director of ICA have a regularly scheduled bi-weekly meeting, and the Director of ICA is also a member of the President's Executive Council (<http://www.miami.muohio.edu/president/pec.cfm>). The President and the Director of ICA work closely together on many issues affecting Miami and ICA such as all significant hiring and termination decisions. For example, with regard to the hiring of the current football coach, the President interviewed the candidates who were invited for on-campus interviews. Thereafter, the Director of ICA and the President discussed the candidates along with reviewing the other

interviewers' comments. Moreover, the President is involved with, and must approve, all significant employment contract issues pertaining to the coaching staff, including financial and other key terms (as noted in Response No. 5 to Operating Principal 1.1, multi-year employment coaching contracts are drafted by the General Counsel's office and signed by the Director of Intercollegiate Athletics, the President and the Vice President for Finance and Business Services).

With regard to budget issues, ICA prepares a fiscal year budget based on forecasted revenue and expenses. The budget is prepared by the Deputy Director of Athletics and approved by the Director of ICA and the President of the University. The ICA budget is incorporated into the overall University budget. The University budget is reviewed and approved by the Finance and Audit Committee of the Board of Trustees as well as the full Board of Trustees in its April meeting.

The President is also involved whenever there are substantial construction/renovation projects to ICA facilities, or significant campus-wide implications to an ICA decision (e.g., moving the date of a planned football game), or if there are serious conduct violations involving ICA staff or student-athletes. When these situations arise, the President is involved with the decision making and determining the course of resolution.

- Item No. 8: As noted in the report, ICA's improvements to its physical facilities has been consistent with the overall improvement of Miami's facilities in the past 10 years. Around 2005, the Department of Intercollegiate Athletics was incorporated into the Miami University Long Range Master Plan Steering Committee. This committee is responsible for long term construction planning and coordination on campus. The committee convenes two times a year and is headed by the Assistant Vice President for Facilities. In this meeting, Miami University's vice presidents and directors are briefed about the current status of progress on the Master Plan, and the Master Plan is updated to accommodate future needs. This committee is used to coordinate growth and construction campus-wide.

If ICA wishes to pursue a significant construction/renovation project, the President is preliminarily made aware of a request by the Director of ICA. The President makes an initial decision whether to proceed or not. If the President wishes to proceed with the construction project, then the Director of ICA works with the Vice President of Finance and Business Services to establish the details of the proposal including creating the appropriate financial plans. If the proposal proceeds through to the construction phase, then the President must receive the approval of the Board of Trustees for the construction contracts. The approval requirement of the Board of Trustees is the same as with all construction projects on campus. Moreover, any project that exceeds \$50,000 must follow the Ohio state-mandated construction law process for public projects.

- Item No. 9:

Sub-Item c. for the FAR and Student Athlete Advisory Committee:

FAR: The Faculty Athletics Representative serves as an ex-officio member of the Athletic Policy Committee (refer to previous section on Athletic Policy Committee). This committee meets regularly throughout the year and discusses numerous policies related to student-athletes, particularly student-athlete welfare. An example of an issue that comes before this Committee is the policy relative to student-athlete absences. The Committee has adopted a policy and subsequently implements that policy the semester prior to the scheduled competitions to be

sure that teams are in compliance and, if they are not, why they are not and what the implications are for the student-athlete. Recently, the FAR was asked to chair an ad hoc committee looking at the dance team, where it was housed on campus, expectations of participants and resource allocation. This committee was comprised of individuals from across campus (i.e. Student Affairs, Recreational Sports, and ICA) and developed for the Director of ICA a process for reviewing this entity and policies relevant to this entity.

Student-athlete Advisory Committee (i.e., RedHawk Council): RedHawk Council Members have the opportunity to discuss policies related to student-athletes, and this body serves as a forum for the team representatives to bring items to the table. These discussions often evolve into policy changes. A very recent example of this is that up until 2-3 years ago, student athletes who were receiving full grants-in-aid (including room and board) were required to live in on-campus housing. Members of the RedHawk Council brought this issue to the group, discussed their perceptions of the unfairness of the policy, collected data about their peer institutions, and made a presentation to the administration. Members of the Miami's administration were invited in to listen to their position. The administration presented their perspective and agreed to take it under advisement. Student athletes now have the option of living off-campus as do their non-student-athlete counterparts.

Sub-Items a., b., and c., for other individuals or campus groups.

Other Individuals or Campus Groups: ICA interacts with a number of groups external to its department. Many of those entities that provide input on policies and procedures related to intercollegiate athletics are described elsewhere in this report (i.e. Office of Admissions, Office of the Registrar). In addition to those groups, other groups are sometimes involved in formulating policy. For example, the Associated Student Government was involved in discussions surrounding "excused absences" because the issue of missed classes to participate in university-sanctioned events (i.e. band, mock trial) is not limited to ICA. Members of Miami's Academic Advising Community were invited to participate in an ad hoc committee looking at advising issues as they relate to student athletes. Representatives from each of the academic units (i.e. College of Arts and Science, School of Education, Health and Society) have been invited to a presentation about ICA and what its mission is with invitations for discussion of who ICA is and how they fit within Miami, including the policies relating to student-athletes.

- Item 10: As indicated in the Report, booster club finances are all managed through Miami University's regular account mechanisms and are reviewed by the Deputy Athletic Director, Jason Lener. Here is the specific information pertaining to ICA participation and the booster club boards:

Red & White Club: This group is the largest booster club. There is an advisory board and Jude Killy (or his position - Asst Athletic Director, Director of Development) is on the board.

Blue Line Club: This club supports ice hockey and does have a board. ICA's administrator for ice hockey, Josh Fenton, is on the board.

Fast Break Club: This club supports women's basketball and does not have a board. Cristal Randolph (Director of Women's Basketball Operations) is the facilitator/communicator of the group in order to assist in organizing reunion opportunities or attendance at games. There are not significant fundraising activities involved.

6th Man Club: This club supports men's basketball and does not have a board. Jimmy Lallathin (Assistant Basketball Coach) organizes and communicates events, home game attendance, alumni outings, etc. There are not significant fundraising activities involved.

Red Alert: This is a student spirit group which is a recognized student organization by Associated Student Government. As a student organization, it is controlled by students. ICA's Director of Marketing and Promotion is the advisor and contact for all involvement with athletic events or coaches.

- Item No. 14: In the spring, the President receives an email from the NCAA with the appropriate link and password. The President shares this information for review and analysis with the Executive Assistant to the President, the Vice President for Finance and Business Services and the Director of Intercollegiate Athletics.

Operating Principal 1.2

- Item No. 8: The rules compliance obligations of the specified people are set forth below. For the departments outside of ICA, the information is drawn from Response No. 5 to Operating Principal 1.2:

Director of Intercollegiate Athletics: The Director of ICA is responsible for ensuring NCAA rules compliance. Although the Director of NCAA Compliance reports to the Deputy Athletic Director, the Director of ICA commonly works directly with the Director of NCAA Compliance (in fact, their offices are physically right next to each other). The Director of ICA is informed if there are any problematic compliance issues, including all infractions, and is responsible for ensuring that the compliance issues are resolved. The Director also attends nearly all monthly compliance meetings and monitors the overall compliance issues of ICA.

Director of Admissions: The Office of Admission is responsible for admitting students for enrollment at Miami. The Office of Admission advises ICA regarding Miami's admissions requirements. Admission to Miami is blind as to a student's athletic capabilities. However, each Coach is permitted to submit a certain number of "Special Admission" forms pertaining to students that they wish to have admitted. These "Special Admission" procedures are utilized in other departments within Miami for students that have special talents, including, for example, fine arts. Each "Special Admission" form must be signed by both the coach and the Director of Athletics. The "Special Admission" form does not mean that the prospective student-athlete is automatically admitted to Miami. Instead, it means that the file should be reviewed to see if the prospective student-athlete should be admitted, and if so, whether special plans for retention should be implemented. These plans are developed with the coach, the Director of Athletics, the Office of Admissions and the Associate Dean of Students for Retention & Learning Center Services.

Office of Student Financial Assistance: The Office of Student Financial Assistance is responsible for allocating aid to Miami's students, including student-athletes. Generally speaking, the Office of Student Financial Assistance becomes involved with student-athletes from late spring through the summer when a Grant-In-Aid recommendation is received from ICA. Each recommendation needs to be signed by the coach and the ICA compliance officer. The Office of Student Financial

Assistance will review the recommendation for erroneous items and amounts. Thereafter, the student-athlete's internal account is established and is monitored on a weekly basis by The Office of Student Financial Assistance. The Office of Student Financial Assistance also ensures compliance that the student-athlete's grant is compliant with any other financial aid received by the student-athlete. The Director of Student Financial Assistance previously sent a letter to ICA indicating that all non-athletic aid is granted without consideration to the student's athletic status.

The job description for the Senior Assistant Director for Scholarships lists under the "Essential Duties and Responsibilities" the following item: "Responsible for all activities necessary to comply with NCAA and MAC guidelines and regulations concerning student athletes."

The job description for the Scholarship Coordinator lists under the "Essential Duties and Responsibilities" the following item: "Processes athletic grants-in-aid in compliance with NCAA and MAC guidelines concerning student athletes and financial aid."

Office of the Registrar: The Office of the Registrar is the office responsible for compiling and submitting the certification of academic standing. It gathers information from the Office of Admission, ICA, and Miami's internal NCAA DARS. Within 30 days of the start of fall semester, the Registrar sends the required data to the NCAA in order to ensure compliance with the NCAA's academic requirements. Each student's report is reviewed by ICA, the faculty athletics' representative and the Office of the Registrar. Although this report is only required to be run annually, Miami runs it at least twice a year in order to ensure continued compliance.

The job description for the Registrar contains the following language: "The University Registrar . . . is responsible for NCAA eligibility certification and reporting to the NCAA . . ." The Associate Registrar's performance evaluation in 2007 references NCAA student certification and Statistical Data Reporting to the NCAA.

Office of the Bursar: The Office of the Bursar maintains the students' financial account with Miami. The Bursar becomes involved with a student-athlete once the student athlete's account is funded. The Bursar's office main NCAA compliance activity is to ensure that a student-athlete does not automatically receive a refund from his/her Bursar account unless it is appropriate. Typically, the Bursar's accounts for all other students will automatically issue a refund check if a student's account becomes over-funded. However, student-athlete accounts are not eligible for auto-refunds. If a student-athlete's account has a positive balance, then the Bursar's office actually reviews the account to see if a refund is appropriate (e.g., from a federal Pell grant). The Bursar also enforces the student-athletes' payment deadlines which are the same for all students (i.e., for those student athletes who receiving less than a full-scholarship).

- Item No. 10:

Each year, representatives from the Office of Student Financial Assistance, the Office of the Registrar and the ICA Compliance personnel attend the NCAA regional rules seminar. After the seminar, the groups meet internally to coordinate on compliance issues.

In addition to the annual seminar, the following compliance education methods are also utilized: (1) representatives from the Office of the Registrar attend ICA's monthly compliance meetings; (2)

NCAA interpretations are forwarded on an as-needed basis, (3) there is routine day-to-day communication between ICA's Compliance personnel and offices outside of ICA including the Office of the Registrar, the Office of Student Financial Assistance and the Faculty Athletics Representative.

Education matters with Office of the Bursar are provided on an as-needed basis.

- Item No. 11:

With regard to the frequency of rules education, please see the answer to Item No. 10 above.

With regard to the topics and methods of communication in rules education session, below is the group specific information:

ICA Staff, Coaches, Institutional Staff Outside of ICA: Compliance education is largely provided via the monthly compliance meetings which mirror the NCAA calendar for recruiting, reports-due, national letters of intent signing, new legislation, etc. In addition, at the end of every meeting there is time for "hot topics" which deals with current compliance issues.

Student Athletes: Every team receives a direct conversation with ICA's compliance office at the start of the school year. After that, rules education is provided largely by the team's coach unless the coach requests the compliance office provide additional training. At the initial team meeting with the compliance office, the following topics are covered: academic eligibility, amateurism, drug testing policy/consent, student employment, NCAA rules on gambling, transfer request policy, financial aid and NCAA regulations on additional benefits/awards.

Booster Clubs: Education of booster clubs is based upon the initial brochure provided to the member. The guidance provided by the pamphlet generally relates to recruiting restrictions and provides a telephone number to ICA's compliance office for questions. See Exhibit 17. Further compliance information is provided on as-needed basis which varies depending the circumstances.

Faculty: There is not a formal process established for faculty compliance education but is available on an as-needed basis and primarily relates to matters of academic eligibility and official visits. This type of education would typically be provided by the coaches and the Faculty Athletics Representative.

- Item No.15:

Dates of Implementation:

Recruiting: Approximately 2004-2005.

Complimentary Admission: Procedures put into place at the time that new ticket manager was hired in August, 2008. Education of pass gate staff in August, 2009.

Booster Organizations: ICA began redesign in December, 2009, and the new brochure was completed and ready for distribution in June, 2010.

Extra Benefits: Started August, 2009.