



TEXAS TECH UNIVERSITY
Department of Intercollegiate Athletics
Operating Policy and Procedure

PREFACE

The information on policies and procedures is intended for the use of Texas Tech University Department of Intercollegiate Athletics. The manual supplements the Texas Tech University Operating Policies and is intended to provide information that will assist athletic department employees with their duties. All employees should benefit from referring to this manual when policy questions arise. It is not intended to list every policy detail of the Department of Intercollegiate Athletics (often referred to as simply as Athletics).

ADDITIONAL SOURCES OF INFORMATION ARE:

- Texas Tech University Operating Policies and Procedures (www.depts.ttu.edu/opmanual)
<http://www.depts.ttu.edu/opmanual>)
- Texas Tech Athletics Compliance Manual
- Texas Tech Student-Athlete Handbook
- Texas Tech Student Affairs Handbook/Code of Student Conduct
<http://www.depts.ttu.edu/studentjudicialprograms/conductcode.php>
- Big 12 Conference Handbook
- NCAA Division I Manual <http://www.ncaa.org/wps/portal/>

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11.1 Institutional Control

It is the responsibility of each NCAA member institution to control its intercollegiate athletics program in compliance with the rules and regulations of the NCAA. The institution's responsibility for the conduct of its intercollegiate athletics program includes responsibility for the actions of its staff members and for the actions of any other individual or organization engaged in activities promoting the athletics interests of the institution. An institution shall monitor its programs to assure compliance and to identify and report any instances in which compliance has not been achieved. In any such instances, the institution shall cooperate fully with the NCAA and shall take appropriate corrective actions. Texas Tech's compliance program includes the following components: education, monitoring, administrative procedures and enforcement. Texas Tech University is committed to following institutional policy. Being in compliance with NCAA, Big 12 and institutional rules is a shared responsibility, all institutional employees, student-athletes and boosters have an important role in protecting our university. (*Adapted from Bylaw 2.1.1, 2.8.1 and The Compliance Group*)

11.2 Education

The education plan covers the following groups: Board of Regents, Athletic Council, university employees whose job functions are impacted by NCAA rules, athletic department staff, coaches, student-athletes, boosters and student-athlete employers. This division includes requested coach and staff interpretations. Various communication methods are utilized for distribution of education (e.g., in-person, electronic, written, social media). The master education plan is maintained by the Compliance Office and is reviewed annually.

11.3 Monitoring

Monitoring systems are necessary to demonstrate compliance with NCAA, Big 12 and institutional rules. Monitoring systems are used to prevent and detect rules violations. These systems verify information reported by coaches and student-athletes. The Athletic Director assigns the Compliance Office with the responsibility of monitoring and the monitoring systems are reviewed annually. Members of the Compliance Office Staff are charged with specific responsibilities for monitoring systems in Bylaw 11 Conduct of Employment of Athletics Personnel, Bylaw 12 Amateurism, Bylaw 13 Recruiting, Bylaw 14 Eligibility, Bylaw 15 Financial Aid, Bylaw 16 Awards, Benefits and Expenses for Enrolled Student-Athletes and Bylaw 17 Playing and Practice Seasons.

11.4 Enforcement

Texas Tech University is committed to the principle of institutional control and responsibility which obligates the institution to be in compliance with the rules and regulations of the NCAA and Big 12 Conference. Texas Tech University's president is responsible for the administration of all aspects of the athletics program. Texas Tech will monitor its programs to assure compliance and to identify and report to the NCAA instances in which compliance has not been achieved (NCAA Bylaws 2.1.1 and 2.8.1). Texas Tech shall conduct all investigations under the guidelines of this institutional policy, NCAA Bylaw 19 and Big 12 Conference Section 7.

Texas Tech University is committed to establishing the most effective procedures and qualified personnel to ensure that compliance is achieved. The Office of Compliance is headed by the Associate Athletic Director for Compliance. Day-to-day operations including but not limited to education of coaches, student-athletes and outside entities concerning standards of rules for compliance and monitoring activities occurs within this framework and direct reporting is to the Athletic Director. This initiative is responsible for the initial response to evidence or allegations of NCAA, Big 12 or Texas Tech rules

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violations under the leadership of the Associate Athletic Director for Compliance.

In accordance with NCAA, Big 12 Conference and Texas Tech rules and regulations, all suspected or alleged issues with the potential to result in an institutional, secondary or major violation will be communicated to the Faculty Athletic Representative (FAR). The FAR will determine the best course of action to investigate or audit the issue. The Associate Athletic Director for Compliance will brief the Athletic Director regarding potential institutional or secondary violation issues. If evidence indicates that the allegation, information or observation has a potential major violation consequence then the supporting information is reported to the Office of the President through the FAR as it may be appropriate to be investigated differently. At this time, a formal investigation may be initiated and conducted through a committee established by the President. As judged appropriate the FAR can call a meeting of the General Counsel for the President, and the Athletic Director to discuss the evidence and appropriate action.

This initial investigation committee will consist of the FAR as chair, the President's Chief of Staff, Office of General Counsel, and any other members as assigned by the President. The committee will review on a case by case basis the merits of the investigation being internal, external or a combination of both. The President is ultimately responsible to assign all or part of the investigation internally or as appropriate to an entity outside the university. *Since the President is ultimately responsible for ensuring the integrity of the investigative process he may remove members from the committee if there appears to be a conflict of interest. Further, if the President is named in the allegation, the investigation may be moved to the Chair of the Board. If any member of the Board is named in the allegation, the investigation will be moved outside of the institution.* This committee will meet annually or more often if appropriate to discuss its responsibilities and actions required if called into action. The university will provide training opportunities as needed for members of this committee. The FAR will notify the Big 12 Conference of the impending investigation. The Associate Athletic Director for Compliance may serve as a support member for this committee. It is important to protect the relationship of the Associate Athletic Director for Compliance with the coaches, student-athletes and athletic administration, therefore, the role of the Associate Athletic Director for Compliance will be to provide rules interpretations and insight during this process but not be a voting member. The reporting lines for the compliance office relative to an investigation of a possible major violation will be directly to the President's Office through the FAR. If the investigation documents a secondary or institutional policy violation, then the procedures (violation report prepared by compliance and signed by the AD& FAR) are followed for reporting such a violation. The FAR will report to the NCAA Vice President for Enforcement and/or the Big 12 Conference Commissioner as appropriate concerning allegations of major violations. Communication with the applicable head coach will be handled by the Athletic Director in consultation with the FAR taking into account student-athlete welfare issues and the integrity of the investigation. Committee members have no obligation to provide information to anyone on campus or persons who may be interviewed as part of the investigation until the matter is fully processed as divulgence of information can compromise the integrity of the investigation. It is the responsibility of the FAR to brief the President as needed during the investigation. Texas Tech University will not permit retaliatory actions be taken against athletics staff or student-athletes who submit or are involved in a complaint or allegation concerning NCAA rules violations.

During an investigation release of information to the press or outside sources will be highly regulated. Initially the FAR will be responsible for responding to the press. However, as appropriate the President will decide how information is disseminated. The university recognizes that information provided to the media must document the procedures in place to investigate any rules allegation with institutional control and compliance being enforced. Further, the institution understands that dissemination of information can compromise the investigation. During the time of the investigation there will be minimal release of information. At the end of the investigation a written report will be submitted to the NCAA by the FAR and if appropriate may include a press briefing.

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Reporting a Violation

- Any individual may report an alleged, rumored, or suspected violation to the Athletics Compliance Office, Ethics point (online) or the Faculty Athletics Representative. *Information* may be submitted verbally or in writing and may be anonymous.
- If an alleged violation is communicated *to or observed by* an athletics department staff member, the staff member is obligated to notify the Compliance Office in a timely manner.