Operating Principle

1.1 Mission of the Athletics Program and the Institution

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.1 (Mission of the Athletics Program and the Institution). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

   Not applicable.

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process for Operating Principle 1.1 (Mission of the Athletics Program and the Institution). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

   Not applicable.

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.1 (Mission of the Athletics Program and the Institution) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

   Not applicable.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.1 (Mission of the Athletics Program and the Institution). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

   Not applicable.

5. Please provide the athletics program mission statement and indicate the date of formal approval of the latest versions.

   Not applicable.

6. Please provide text excerpts from the institution's mission statement that correlate to the mission statement of the athletics program.
7. Explain how the mission of the athletics program relates to that of the institution as a whole.
   Not applicable.

8. Describe how and to whom the athletics program's mission statement is circulated.
   Not applicable.

9. Please provide specific examples demonstrating how the athletics program's mission and goals are or are not supported by the actual practices of the athletics program.
   Not applicable.

**Evaluation**

1. Does the institution demonstrate that the mission and goals of the athletics program relate clearly to the mission and goals of the institution? **Currently Yes**

2. Does the institution demonstrate that the mission and goals of the athletics program support the educational objectives, academic progress and general welfare of student-athletes? **Currently Yes**

3. Does the institution demonstrate that the mission and goals of the athletics program support equitable opportunity for all students and staff, including women? **Currently Yes**

4. Does the institution demonstrate that the mission and goals of the athletics program support equitable opportunity for all students and staff who are minorities? **Currently Yes**

5. Does the institution demonstrate that the mission and goals of the athletics program embrace the Association's principles of sportsmanship and ethical conduct? **Currently Yes**

6. Does the institution demonstrate that the mission and goals of the athletics program are widely circulated among the institution's internal and external constituencies? **Currently Yes**

7. Does the institution demonstrate that the actual practices of the institution's athletics program are consistent with the athletics program mission and goals? **Currently Yes**
Operating Principle

1.2 Institutional Control, Presidential Authority and Shared Responsibilities

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

No corrective actions or strategies for improvement were imposed by the NCAA Division I Committee on Athletics Certification.

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process for Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Since no improvements or recommendations were identified by the NCAA Division I Committee on Athletics Certification, UCF currently has no plans to list or review.

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

The University of Central Florida formed the UCFAA in February 2003, and established a Board of Directors chaired by UCF President John C. Hitt. The UCFAA also formed four subcommittees: Audit, Compliance, Finance, and University Athletics.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation (s) for partial completion of such required actions.

Not applicable.

5. 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).

2001-2002
August 3, 2001
The UCF Board of Trustees established a committee structure that included athletics under the Educational Programs Committee.

October 25, 2001
UCF's affiliation with the Mid-American Conference was announced.

2002-2003
January 24, 2002
UCF's Sports Complex was re-named the Wayne Densch Sports Center.

January 24, 2002
Intercollegiate Athletics' financial audit was completed.

June 24, 2002
Mr. Steve Orsini was appointed Director of Athletics.

September 26, 2002
UCF named the UCF Intercollegiate Rowing Complex.

November 21, 2002
Athletics fee increases were approved.

2003-2004
January 23, 2003
The UCFAA was certified as a direct support organization.

January 23, 2003
UCF personnel were instructed on the Educational Programs Committee of the National Collegiate Athletics Association certification process and criteria.

February 2003
The UCFAA was formed.

November 13, 2003
Head Football Coach Mike Kruczek was relieved from his duties.

November 13, 2003
UCF received an all-sports membership in Conference USA.

December 8, 2003
UCF announced George O'Leary as Head Football Coach.

6. 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.

University of Central Florida President John C. Hitt was the key decision-maker in each of the decisions listed above in which the institution's governing board or individual board members have been significantly involved.
7. 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.

The institutional decision-making process involving intercollegiate athletics clearly establishes the UCF President as the ultimate authority. Key direct reporting lines to the UCF President exist with the Director of Athletics and Faculty Athletics Representative. Specific roles and responsibilities of these and other major institutional decision-makers follow.

UCF Board of Trustees
The role of the UCF Board of Trustees is university governance. The board has ultimate decision-making authority over intercollegiate athletics. Athletics decisions are submitted to the board through the UCF Board of Trustees' Educational Programs Committee.

UCF President—John C. Hitt
Consistent with UCF's mission, the UCF President, as chair of the UCFAA Board of Directors, administers UCF's intercollegiate athletics programs.

UCFAA
The UCFAA is a direct support organization that is responsible for the management of intercollegiate athletics. The UCF Board of Trustees has certified the UCFAA to operate the intercollegiate athletics program in a manner consistent with the goals of the university and in the best interests of the state. The UCFAA's oversight of athletes and athletics programs includes all other university personnel that interact with the UCFAA in administering and monitoring compliance with institutional, NCAA, state, and federal rules and regulations.

Director of Athletics—Steve Orsini
Decisions affecting the daily operations of the UCFAA are the responsibility of the Director of Athletics, with input from the director's senior management staff and the various constituents directly impacted by these decisions. Some university-wide athletics decisions require consultation with UCF's General Counsel, Director of Human Resources, UCF Athletics Committee, Faculty Athletics Representative, and UCF President.

Faculty Athletics Representative—William Callarman
The primary responsibilities of the Faculty Athletics Representative are institutional control over intercollegiate athletics programs, academic integrity of intercollegiate athletics programs, and welfare of student-athletes. The Faculty Athletics Representative has a working relationship with the Director of Athletics and his or her staff. The Faculty Athletics Representative has access to the UCF President and is recognized by the UCF President and others involved in the administration of UCF intercollegiate athletics as a key advisor on athletics-related matters.

Notes:
On August 3, 2001, the UCF Board of Trustees established a committee structure that included athletics under the oversight of the Educational Programs Committee.
On January 23, 2003, the UCFAA was designated a direct support organization of the University of Central Florida. The minutes of the UCFAA Board of Directors provide a record of issues reviewed and how their affect UCF's athletics programs.

8. Please provide the composition of the athletics board or committee, if one exists, including titles and positions.

UCFAA Board of Directors
Voting Members:

UCF President and Chairman of the UCFAA Board of Directors, Dr. John C. Hitt
Vice President for Development and Alumni Relations, Mr. Robert Holmes, Jr.
Vice President and Chief of Staff, Dr. Beth Barnes
Interim Vice President for Student Development and Enrollment Services, Dr. Maribeth Ehasz
Vice President for Administration and Finance, and UCFAA Secretary and Treasurer, Mr. William Merck, II
Member of the Faculty, Dr. William Callarman
Chair, Student Athlete Advisory Committee, Mr. Kiley Blake and Mr. Timothy Ford
Chairman, UCF Board of Trustees, Dr. Richard A. Nunis
President, UCF Alumni Association, Ms. Michele Cooper
President, Golden Knights Club, Mr. Rob Wolfe
Student-Athlete, Mr. Kiley Blake
Student-Athlete, Mr. Timothy Ford
Member of the Public, Mr. David Albertson
Member of the Public, Mr. Jerry Roth

Non-Voting Members:

UCF General Counsel, Scott Cole, Esq.
UCF Director of Athletics, and UCFAA Board of Directors Executive Vice President, Mr. Steve Orsini
Associate Director of Athletics and Senior Woman Administrator, Ms. Mary Kaufman
Senior Associate Director of Athletics, Mr. Art Zeleznik
Associate Vice President for Alumni Relations, Mr. Tom Messina
Member of the Public, Mr. Anthony Nicholson
Member of the Public, Mr. Jerry Roth
Member of the Public, Mr. Todd Bowers
Outside Counsel, Michael J. Grindstaff, Esq.

UCFAA Subcommittees

Executive Committee

UCF President and UCFAA Chairman of the Board, Dr. John C. Hitt
UCFAA Board of Directors President, Mr. David Albertson
Chairman, UCF Board of Trustees, Dr. Richard Nunis
UCFAA Board of Directors Chairman Designee, Dr. William Callarman
UCFAA Board of Directors Chairman Designee, TBA

Finance Committee

Vice President for Administration and Finance, Mr. William F. Merck, II
Member of the Public, Mr. Todd Bowers
President, Golden Knights Club, Mr. Rob Wolfe
Vice President for Development and Alumni Relations, Mr. Bob Holmes
Member of the Public, Mr. Anthony Nicholson
Director of Athletics, Mr. Steve Orsini

Audit Committee

Vice President and Chief of Staff, Dr. Beth Barnes
President, UCF Alumni Association, Ms. Michele Cooper
Student-Athlete, Mr. Timothy Ford
Student-Athlete, Mr. Kiley Blake
Outside Counsel, Michael J. Grindstaff, Esq.

Compliance Subcommittee

Chair and University Registrar, Dr. Dennis Dulniak
Secretary and Associate University Registrar, Aaron Aure
Faculty Athletics Representative, Dr. William Callarman
Assistant Vice President for Undergraduate Admissions, Dr. Gordon Chavis, Jr.
Assistant Director of Undergraduate Admissions, Mr. Ruben Delgado
Executive Director of Student Financial Assistance, Ms. Mary McKinney
Assistant Director of Athletics-Compliance, Dr. Robert Mathner
Associate Controller, Mr. Dan Mayo
Director of Academic Services for Student-Athletes, Dr. Karl Mooney
Director of Athletics-Compliance, Ms. Jessica Reo

University Athletics Committee—a Faculty Senate committee that reports directly to the UCF President and was brought under the umbrella of the UCFAA as a subcommittee but that also operates as a Faculty Senate committee.

NCAA Faculty Athletics Representative, Dr. William Callarman
Faculty, Dr. Cynthia Young
Faculty, Dr. Bernard Jensen
Faculty, Dr. Richard Lapchick
Faculty, Dr. Mike Robinson
Faculty, Dr. Bernard McCarthy
Faculty, TBA
Student, Mr. Brian Battles
Student, Ms. Jena Delk
Student, Mr. Jared Schiller
Information to be available for review by the peer-review team, if requested:

- Minutes of athletics board or committee meetings.
- Composition of the institution's governing board (including titles and positions).
- Minutes of the institution's governing board meetings. (Please flag those that relate to the athletics program or athletics interests.)
- Published policies of the institution's governing board. (Please flag those that relate to the athletics program or athletics interests.)
- An institutional organizational chart and an athletics department organizational chart.

Evaluation

1. Does the institution demonstrate that the institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution? **Currently Yes**

2. Does the institution demonstrate that the chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program? **Currently Yes**

3. Does the institution demonstrate that 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? **Currently Yes**
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<thead>
<tr>
<th>Elements</th>
<th>Steps to Achieve Goals</th>
<th>Individuals/Officers Responsible for Implementation</th>
<th>Specific Timetable for Completing the Work</th>
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<td>Edit element to input the step to achieve goal.</td>
<td>Edit step to input step's timetable.</td>
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<td>Measureable Goals</td>
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<td>Edit step to input responsibility.</td>
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Operating Principle

1.3 Rules Compliance

Self-Study Items

1. List all "corrective actions," "conditions for certification" or "strategies for improvement" imposed by the NCAA Division I Committee on Athletics Certification in its first-cycle certification decision (if any) as they relate to Operating Principle 1.3 (Rules Compliance). In each case, provide: (a) the original "corrective action," "condition" or "strategy" imposed; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); and (d) an explanation for any partial or noncompletion of such required actions. Please note, the institution is not required to respond to recommendations for required actions developed by the peer-review team unless those same recommendations were adopted by the Committee on Athletics Certification.

No corrective actions or strategies for improvement were imposed on UCF by the NCAA Division I Committee on Athletics Certification.

2. List all actions the institution has completed or progress it has made regarding all plans for improvement/recommendations developed by the institution during its first-cycle certification process for Operating Principle 1.3 (Rules Compliance). Specifically include: (a) the original plan; (b) the actions(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion. Please note, the institution will not be required to fulfill an element of a first-cycle plan if the element does not affect conformity with an operating principle.

Since no improvements or recommendations were identified by the NCAA Division I Committee on Athletics Certification, UCF currently has no plans to list or review.

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.3 (Rules Compliance) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

No additional plans for improvement or recommendations were rendered by the Committee on Athletics Certification.

4. List all actions the institution has completed or progress it has made regarding required actions identified by the NCAA Committee on Athletics Certification during the institution's interim-report process (if applicable) as they relate to Operating Principle 1.3 (Rules Compliance). Specifically, include for each: (a) the required action, (b) the action(s) taken by the institution, (c) the date(s) of these action(s), (d) action(s) not taken or completed, and (e) explanation(s) for partial completion of such required actions.

Not applicable.

5. 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 University of Central Florida's Athletics Compliance Office uses the NCAA definition of booster.

A booster is an individual who:
is known to have been a member of an organization that promotes UCF athletics programs
has made financial contributions to the UCFAA
has assisted or who has been asked by the UCFAA to assist in the recruitment of prospects
has provided benefits to current student-athletes and their families
has otherwise been involved in promoting UCF

The UCF departments and groups or organizations that meet these criteria are:
Golden Knights Club
UCFAA
UCF Alumni Association
UCF Foundation, Inc.
ISP SPORTS
Global Spectrum

Golden Knights Club
Golden Knights Club activities are defined by its mission to provide support for UCF's athletics program by:
assisting the university in publicizing its programs
seeking community assistance and support for its intercollegiate athletics programs
providing opportunities for members for participation in the mission of the university
fostering national and international sports competitions by teams and individuals representing the university

A Board of Directors comprised of donors and community leaders governs the Golden Knights Club. The Associate Director of the Athletics Annual Fund manages the board. The Associate Director of the Athletics Annual Fund reports to the Vice President for Development and Alumni Relations and CEO of the UCF Foundation, Inc., who in turn reports directly to the UCF President.

All decisions affecting the operations of the Golden Knights Club are first presented for consideration to the Executive Director, then to the Executive Committee for approval, and then to the Board of Directors for final decisions.

UCFAA
UCFAA activities are defined by its mission:
to provide UCF student-athletes with the opportunity to participate in a quality intercollegiate athletics experience that allows them to grow both athletically and academically
to serve as an integral component of their total educational experience at the university. The UCFAA enhances the visibility of the university by serving as a portal that broadens and strengthens the metropolitan community’s interest in and involvement with the university and its athletics programs.

The UCFAA also unites the diverse elements that the university serves, such as the student body, the campus community, the alumni, the metropolitan community, and other external constituencies.

A Board of Directors comprised of university faculty, staff, students, and community leaders governs the UCFAA. The Director of Athletics and other athletics administrators serve as ex officio member and manages the board. The Director of Athletics reports directly to the UCF President, who also serves as UCFAA Chairman of the Board. The UCF President reports directly to the UCF Board Of Trustees Chairman, who also serves on the UCFAA Board of Directors.

All decisions affecting the day-to-day operations of the UCFAA are managed by the Director of Athletics. Matters affecting the business and affairs of the UCFAA are subject to approval by the UCFAA Board of Directors, or the UCFAA Executive Committee when the board is not in session.
UCF Alumni Association

UCF Alumni Association activities are guided by its mission: to assist, advise, and support the university in achieving its mission. The UCF Alumni Association endeavors to develop and enhance the lives of UCF alumni, parents, students, and friends through a mutually beneficial relationship with the university.

A Board of Directors comprised of alumni and community leaders governs the UCF Alumni Association. The Associate Vice President for Alumni Relations and Executive Director of the UCF Alumni Association serves as an ex officio member and manages the board. The Associate Vice President for Alumni Relations and Executive Director of the UCF Alumni Association reports directly to the Vice President for Development and Alumni Relations and CEO of the UCF Foundation, Inc., who also serves as an ex officio member of the board and reports directly to the UCF President.

All decisions affecting the operations of the UCF Alumni Association are first presented for consideration to the Executive Director, then to the Executive Committee for approval, then to the Board of Directors.

UCF Foundation, Inc. (UCF Foundation)

UCF Foundation activities are driven by its mission to advance the current and future development of the University of Central Florida by providing the community with a better understanding of the university's accomplishments in teaching, research, and public service.

The UCF Foundation's primary charge is to secure charitable gifts for UCF through annual giving, planned and estate gifts, major gift commitments to buildings and endowment funds, and other special purposes, from alumni, friends, corporations, and foundations.

The UCF Foundation Board of Directors is comprised of prominent community leaders and governs the UCF Foundation. The Vice President for Development and Alumni Relations and CEO of the UCF Foundation serves as an ex officio member of the board's executive committee and reports directly to the UCF President, who also serves on the Board as an ex officio member. The UCF President reports directly to the UCF Board Of Trustees Chairman, who also serves on the board as an emeritus member.

The UCF Foundation Board of Directors manages all business and affairs of the UCF Foundation. The board may exercise all of the powers granted to the UCF Foundation by law and by its Amended Articles of Incorporation.

International Sports Properties (ISP SPORTS)

ISP SPORTS is a third-party contractor that serves as the multi-media rights holder for the UCFAA. ISP SPORTS is responsible for creating, marketing, and managing revenue enhancement programs for the Golden Knights Club. Types of services include publications, radio/TV production, Internet sites, game event promotions, and stadium and arena signage. As indicated in the ISP SPORTS contract, ISP SPORTS agrees to abide by the NCAA rules as approved by the UCF General Counsel. The Assistant Director of Athletics for Business, who reports directly to the Director of Athletics, oversees operations involving ISP SPORTS.

Global Spectrum

Currently, the UCF Ticket office is housed within the UCF Arena and is operated by a Ticket Manager. The Ticket Manager reports to the Assistant Director of Athletics for Business, who reports directly to the Director of Athletics.

The UCFAA is negotiating an agreement with Global Spectrum to manage the UCF Arena and its day-to-day operations (including box office services).

Global Spectrum is a management, consulting, and event development company for public assembly facilities. In addition, the UCFAA hired a Box Office Manager. The Box Office Manager reports directly to the Assistant Director of Athletics for Business, but is assigned to Global Spectrum. The UCF-Global Spectrum agreement is pending and subject to approval by UCF General Counsel.

Supporting Documents
The following documents illustrate the hierarchy within each booster or support group as well as the reporting lines to UCF personnel. They also serve as documentation that each group is under clear control of the institution. These documents are available in the resource room in a binder labeled “Supportive Documents for Operating Principle 1.3—Rules Compliance”.

5a  Golden Knights Club Board of Directors Organizational Chart
5b  Golden Knights Club By-laws
5c  UCFAA Full-Time Staff Organizational Chart
5d  UCFAA By-laws
5e  UCF Alumni Association Board of Directors Organizational Chart
5f  UCF Alumni Association By-laws
5g  UCF Foundation Board of Directors Roster
5h  UCF Foundation By-laws
5i  Office of the UCF President Organizational Chart

6. Identify 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 athletics representative, director of athletics, compliance coordinator, coaches, and other key individuals inside and outside athletics (e.g., registrar, financial aid officer, admissions director, internal auditor) who are responsible for documenting and monitoring compliance with NCAA rules, including but not limited to eligibility certification, investigation and self-reporting of violations and monitoring of financial aid.

UCF has policies and procedures that assign specific responsibilities for rules compliance that demonstrate the institution's commitment to maintaining institutional control over its athletics programs.

The UCFAA is managed by the Director of Athletics, who consults with his senior management staff. Decisions affecting the daily operations of the association are the responsibility of the Director of Athletics with input from the various constituents directly impacted by these decisions. Some university-wide decisions could require consultation with the UCF General Counsel, the Director of Human Resources, the UCF Athletics Committee, the Faculty Athletics Representative, and the UCF President.

The Athletics Compliance Office, in consultation with the Director of Athletics and the Faculty Athletics Representative (and, as necessary, the UCF President), reviews and resolves NCAA compliance issues.

The Director of Academic Services for Student-Athletes, who reports to the Associate Vice President for Academic Development and Retention, calculates and monitors athletic academic eligibility.

The budget approval process includes a review and recommendation to the UCF President by the UCF Athletics Committee. All major decisions that require the UCFAA Board of Directors' approval are presented to the UCF President for approval and then to the Board of Directors for final approval. Any major decisions that require the UCF Board of Trustees' approval are presented to the UCF President for approval, then to the UCFAA Board of Directors for approval, and then to the UCF Board of Trustees for final approval.
The UCF Board of Trustees has the ultimate authority for institutional control over the UCFAA and has delegated this authority to the UCF President. The UCF President oversees the institutional control process over the UCFAA Board of Directors, the Director of Athletics, and all UCFAA personnel. UCFAA's oversight includes all other university personnel that interact with the UCFAA in administering and monitoring compliance with all institutional, NCAA, state, and federal rules and regulations.

Specifically, the Director of Athletics is charged with making certain that all members of the UCFAA staff have full knowledge of and abide by the rules and regulations of the university, the NCAA, and the conference. In addition, the Director of Athletics is responsible to the UCF President and receives direction and advice on general policy matters from the Faculty Athletics Representative and the Athletics Committee.

UCF is organized to maintain compliance with NCAA rules by maintaining institutional control over the UCFAA. Dr. John C. Hitt, UCF President, has designated Mr. Steve Orsini, Director of Athletics, and Dr. William Callarman, Faculty Athletics Representative, as the individuals responsible for NCAA, conference, and institutional rules.

Detailed position descriptions for the following individuals are labeled "6a Job Descriptions" and are available in the resource room in a binder marked "Supportive Attachments for Operating Principle 1.3—Rules Compliance". Below are the sections of each position description that pertain to the position's NCAA-related responsibilities.

**OFFICE OF STUDENT FINANCIAL ASSISTANCE**

The Office of Student Financial Assistance is responsible for:

- evaluating financial eligibility of student-athletes per federal guidelines
- certifying that team equivalencies are within NCAA limits
- certifying (in consultation with the Athletics Compliance Office) that all non-athletic aid awarded to UCF student-athletes falls within NCAA established limits.

6a

**EXECUTIVE DIRECTOR OF STUDENT FINANCIAL ASSISTANCE (paraphrased)**

supervises the coordination and processing of athletics service awards according to NCAA and institutional policies
reviews and signs athletics service awards

**ASSISTANT DIRECTOR OF STUDENT FINANCIAL ASSISTANCE (paraphrased)**

assists in the coordination and processing of athletic and non-athletic awards in accordance with NCAA rules and policies

**ASSISTANT DIRECTOR OF STUDENT FINANCIAL ASSISTANCE (paraphrased)**

coordinates the billing and processing of athletics service awards. Communicates with Finance and Accounting, Student Accounts, and UCFAA in the appropriate payment and processing of all awards

**DIRECTOR OF ATHLETICS (paraphrased)**

ensures that all members of the UCFAA staff have full knowledge of and abide by the rules and regulations of the university, the NCAA, and the affiliated conference
ensures the eligibility of students who continue to receive scholarship aid
reports to the UCF President and receives direction and advice on NCAA rules and regulations from the Faculty Athletics Representative and on general policy matters from the Athletics Committee
FACULTY ATHLETICS REPRESENTATIVE (paraphrased)
certifies the eligibility of all NCAA student-athletes for practice, competition, and financial aid
ensures, along with the Director of Athletics, compliance with all NCAA, conference, and institutional rules
is knowledgeable about NCAA and conference rules
signs all NCAA infractions reports
represents the institution at NCAA and conference meetings
Chairs the NCAA certification process

ASSISTANT DIRECTOR OF ATHLETICS FOR COMPLIANCE (paraphrased)
keeps the Director of Athletics, the Director of Academic Services for Student-Athletes, the Faculty Athletics Representative, and the UCF President aware of progress and issues related to maintaining institutional compliance with NCAA, conference, and university rules
reports to the Director of Athletics, the Director of Academic Services for Student-Athletes, the Faculty Athletics Representative, and the UCF President all violations of those rules
works with the Director of Athletics on establishing and maintaining proper transmission of NCAA, conference, and university rules and interpretations to coaches, UCFAA staff, and student-athletes
develops monitoring and disbursement systems for scholarships to student-athletes
ensures that teams and individuals adhere to NCAA equivalencies and other NCAA financial aid regulations
oversees the dissemination of information on new NCAA or conference interpretations and legislation and assisting in the development of new guidelines and procedures for incorporating changes
serves as a resource to and member of the Athletics Compliance Subcommittee and the Athletics Committee
Serves as a resource on compliance matters to the Director of Athletics and assists with the university’s evaluation of proposed NCAA legislation

DIRECTOR OF ATHLETICS COMPLIANCE (paraphrased)
assists with the maintenance of institutional compliance with NCAA, conference, and university rules and reports to the Assistant Director of Athletics for Compliance any violations of those rules
assists the Assistant Director of Athletics for Compliance in developing, implementing, and maintaining a comprehensive program of administrative policies and procedures that ensures compliance with applicable NCAA, conference, and university rules and regulations
Prepares, organizes, and administers NCAA, conference, and university compliance seminars and rules education meetings for university staff, UCFAA staff, coaches, and student-athletes
ensures proper dissemination of NCAA, conference, and university rules, interpretations, and legislative updates to staff, student-athletes, and representatives of the university’s athletics interests
assists with the investigation and reporting of violations of NCAA regulations
assists with the administration and coordination of compliance duties in the areas of initial and continuing eligibility, financial aid, recruiting, and rules education
assists with the maintenance and monitoring of student-athlete files and the athletics compliance computer database
assists with the maintenance of sport-by-sport student-athlete eligibility rosters and provides athletics staff with regular compliance status reports in the areas of financial aid and eligibility
assists with the administration and maintenance of all required NCAA and conference forms and squad lists
assists with the maintenance of the NCAA financial aid squad list in conjunction with other personnel from the UCFAA, the Office of Undergraduate Admissions, and the Office of Student Financial Assistance
assists with the preparation of financial aid award letters for new and returning student-athletes
assists with the design and distribution to coaches of appropriate NCAA regulations forms (for example, contacts, evaluations, telephone logs, play and practice seasons, and countable athletics-related activities)

(Qualifications)
Experience in applying Division I NCAA rules and regulations and/or familiarity with compliance and policy issues concerning the administration of intercollegiate athletics; ability to interact with diverse groups. Practical, working knowledge of NCAA and conference rules and regulations with practical, hands-on experience in applying Division I regulations preferred

ASSISTANT DIRECTOR-ATHLETICS COMPLIANCE (paraphrased)
reports directly to the Assistant Athletics Director-Compliance and assists with the maintenance of institutional compliance with NCAA, conference, and university rules
assists the Director of Athletics-Compliance with the development, implementation, maintenance, and monitoring of administrative policies and procedures that ensure compliance with applicable NCAA, conference, and university rules and regulations
assists with the administration and maintenance of all required NCAA and conference forms and squad lists
assists with all aspects of NCAA, conference, and university regulations compliance seminars and rules education meetings for university staff, UCFAA staff, coaches, and student-athletes
coordinates completion of all aspects of the annual NCAA coaches certification exam
conducts preliminary and primary research of interpretations of and questions about NCAA legislation
assists UCFAA personnel and the Office of Student Financial Assistance with the maintenance of the NCAA squad list
assists with the preparation of financial aid award letters for new and returning student-athletes

(Qualifications)
Experience in applying Division I NCAA rules and regulations at a Division I institution and/or familiarity with compliance and policy issues concerning the administration of intercollegiate athletics is preferred. Ability to interact with diverse groups is preferred. Practical, working knowledge of NCAA rules and regulations with hands-on experience in applying Division I regulations is preferred
Experience with personal computer systems and software applications (word processing, databases, spreadsheets, etc.), and working knowledge of and experience with the NCAA's Compliance Assistant Internet is required

The information in 6b below is available in the resource room, labeled "6b—UCFAA Reporting Lines and Responsibilities", and is filed in a binder labeled "Supporting Documents for Operating Principle 1.3—Rules Compliance"

6b—UCFAA REPORTING LINES AND RESPONSIBILITIES

FACULTY ATHLETICS REPRESENTATIVE
Institution Self-Study Instrument Report - Central Florida

Governance and Commitment to Rules Compliance

reports directly to the UCF President
certifies student-athlete eligibility
monitors student-athlete academic performance
ensures compliance with NCAA, conference, and institutional rules
participates in investigations of alleged NCAA rules violations
serves as senior advisor to the UCF President on matters related to intercollegiate athletics
represents the institution at NCAA and conference meetings
proctors NCAA coaches certification exams
chairs the Athletics Committee
serves on the UCFAA Board of Directors
serves on the UCFAA Executive Committee

DIRECTOR OF ATHLETICS

reports directly to the UCF President
ensures that the UCFAA adheres to NCAA and conference rules

ASSISTANT DIRECTOR OF ATHLETICS-COMPLIANCE

reports directly to the Director of Athletics, and indirectly to the Director of Academic Services for Student-Athletes
communicates NCAA rules to the UCFAA staff, university staff, student-athletes, and boosters
establishes and maintains comprehensive monitoring program to document compliance with NCAA rules
investigates and reports to the NCAA and the conference all allegations of NCAA rules violations
reviews and signs the student-athletes’ continuing eligibility forms

COACHES

report directly to the Director of Athletics with sport oversight by UCFAA senior staff
communicate regularly to student-athletes, staff, and boosters UCF’s commitment to rules compliance
create, maintain, and monitor an atmosphere conducive to rules compliance
know NCAA and conference rules
report any alleged violations of NCAA and conference rules

UNIVERSITY REGISTRAR

reports directly to the Associate Vice President for Academic Development and Retention
monitors and enforces the institution’s academic standards for student-athletes
provides academic data and transcripts to support eligibility requirements
chairs the Academic Compliance Subcommittee and the Athletics Eligibility and Retention Committee

EXECUTIVE DIRECTOR OF STUDENT FINANCIAL ASSISTANCE

reports directly to the Assistant Vice President for Undergraduate Admissions
evaluates student-athlete financial eligibility for compliance with federal guidelines
certifies team equivalencies per NCAA limits
certifies all non-UCFAA-funded financial aid for student-athletes

ASSISTANT VICE PRESIDENT FOR UNDERGRADUATE ADMISSIONS

reports directly to the Vice President for Marketing, Communications, and Admissions
monitors and enforces the institution’s admissions process for student-athletes
assists in the development of the institution’s policy for regular and special admissions

DIRECTOR OF ACADEMIC SERVICES FOR STUDENT-ATHLETES

reports directly to the Associate Vice President for Academic Development and Retention, and indirectly to the Director of Athletics
oversees academic requirements and eligibility of student-athletes
provides academic advising for student-athletes
coordinates the eligibility certification process
indirectly supervises the Assistant Director of Athletics-Compliance

The following material is available in the resource room and is labeled "6c—External Personnel Rules Compliance Responsibilities" and is filed in a binder labeled "Supporting Documents for Operating Principle 1.3—Rules Compliance."

6c—EXTERNAL PERSONNEL RULES COMPLIANCE RESPONSIBILITIES

TITLE: UCF PRESIDENT
DEPARTMENT: UCF President’s Office
RESPONSIBILITY:
communicates to UCFAA and university staff the expectation of strict adherence to NCAA rules and regulations
accepts institutional responsibility for the maintenance of NCAA rules and institutional control over the UCFAA
IMPLEMENTATION/ROLE:
develops a close working relationship with the Director of Athletics and the UCFAA Board of Directors to effectively oversee athletics programs

TITLE: UCF BOARD OF TRUSTEES
DEPARTMENT: UCF Board of Trustees (UCF President's Office)
RESPONSIBILITY:
university governance
IMPLEMENTATION/ROLE:
governs major actions pertaining to the UCFAA

TITLE: ASSISTANT VICE PRESIDENT FOR UNDERGRADUATE ADMISSIONS
DEPARTMENT: Marketing, Communications, and Admissions
RESPONSIBILITY:
oversees admissions for student-athletes and ensures compliance with NCAA guidelines
oversees the Office of Undergraduate Admissions and enforces policies developed by UCF
assists with the development of UCF admissions policies for regular and special admissions
IMPLEMENTATION/ROLE:
monitors admissions process to ensure consistency with UCF and NCAA regulations
enforces admissions policies and procedures

TITLE: FACULTY ATHLETICS REPRESENTATIVE
DEPARTMENT: UCF College of Business Administration
RESPONSIBILITY:
oversees UCFAA academic issues related to NCAA regulations
assists the Director of Athletics with special projects deemed necessary by the UCF President and the UCFAA Board of Directors
IMPLEMENTATION/ROLE:
oversees the UCFAA's adherence to NCAA regulations
advocates for student-athletes with the conference and NCAA

TITLE: ATHLETICS COMMITTEE
DEPARTMENT: VARIOUS (UCF faculty and staff)
RESPONSIBILITY:
recommends athletics policy and budget to the UCF President
IMPLEMENTATION/ROLE:
nurtures and fosters academic and fiscal integrity of UCF's athletics programs

TITLE: ATHLETICS COMPLIANCE COMMITTEE
DEPARTMENT: VARIOUS (UCF staff)
RESPONSIBILITY:
advises the UCFAA
reviews policies and procedures to ensure institutional control, accountability, and integrity
IMPLEMENTATION/ROLE:
ensures institutional control, accountability, and integrity concerning NCAA regulations

TITLE: DIRECTOR OF INSTITUTIONAL RESEARCH
DEPARTMENT: Institutional Research
RESPONSIBILITY:
coordinates research and preparation of NCAA graduation rates
IMPLEMENTATION/ROLE:
provides data on student-athletes
analyzes data for trends

TITLE: UNIVERSITY REGISTRAR
DEPARTMENT: Registrar’s Office
RESPONSIBILITY:
provides data on student-athlete academic standing
prepares official transcripts as requested
IMPLEMENTATION/ROLE:
prepares all official and unofficial transcripts for student-athletes

TITLE: EXECUTIVE DIRECTOR OF STUDENT FINANCIAL ASSISTANCE
DEPARTMENT: Office of Student Financial Assistance
RESPONSIBILITY:
evaluates financial eligibility of student-athletes per federal guidelines
certifies that team equivalencies are in accordance with NCAA limits
IMPLEMENTATION/ROLE:
packages student-athlete financial aid
certifies all non-athletics aid according to NCAA limits

TITLE: UCF GENERAL COUNSEL
DEPARTMENT: General Counsel’s Office
RESPONSIBILITY:
assists UCFAA with conducting investigations of potential NCAA violations and other issues
IMPLEMENTATION/ROLE:
assists the UCFAA with conducting investigations

7. Describe the institution's rules-education efforts for all individuals associated with the athletics department, including student-athletes, coaches, other athletics department staff members, other institutional staff members and representatives of the institution's athletics interests.
The compliance and rules education program includes seminars and testing components on NCAA legislation to instruct coaches, UCFAA personnel, and representatives of the university’s athletic interests.

The rules education programs are required for all student-athletes, coaches, and UCFAA personnel in all sports.

For example, in 2004-2005, the seminars for the following offices were conducted, and additional meetings are scheduled through the remainder of the academic year:

Office of Student Financial Assistance (1)
Police Department (2)
Academic Services for Student-Athletes (1)
Equipment Room/Football Managers (1)
Registrar’s Office (1)
Parking Services (3)
Development (GKC/Alumni) (1)
Women’s Basketball Managers (1)
Arena/Ticket Staff (1)
Sports Information (1)
Men’s Basketball Managers (1)
Athletic Department Administrative Assistants (1)
Dining Services (1)
Marketing & Promotions (1)
All Sports Education (1)
Coaches (1)
January Rules Education (1)
Student Financial Assistance (1)
Academic Services for Student-Athletes (1)
Development (1)

Olympic sport coaches (5)—August, September, October, November, and January
Women’s basketball (4)—August, September, October, November
Men’s basketball (4)—September, October, November, December
Football (2)—September, November

More detailed explanations of the rules education process at UCF are available in the resource room in a binder labeled “Supportive Documents for Operating Principle 1.3—Rules Compliance” and are labeled 7a. Additionally, sample rules education materials are available in the binder and are marked 7b. Examples of the content included in rules education seminars follow:

Example—Agenda for Fall Team Rules Education Meeting for Student-Athletes:

Academic Requirements
Financial aid requirements during the academic year
Outside sources of financial aid
Extra benefits
Complimentary admissions and ticket benefits
Employment during the academic year
Promotions
Recruiting
Outside competition during the academic year
Playing and practice seasons
Agents
Gambling
NCAA/UCFAA Drug Testing

Example—Agenda for Spring End of Year Meeting with Student-Athletes:
Governance and Commitment to Rules Compliance

Summer school academic regulations
Summer participation on non-university athletics teams
Fee-for-lesson employment
Summer permissible activities
Scholarship renewal and appeal procedures
Out of season responsibilities
Summer camp employment restrictions
Extra benefit regulations
Promotional outreach
Agent issues
Gambling issues

Example—Coaching Staff Monthly Meetings (also include graduate and administrative assistants and volunteer coaches):

Provide staff with updated information affecting the methods with which they conduct their programs
Recent rulings and interpretations that could affect coaches’ activities
Quizzes on compliance matters
Ongoing compliance education

Example—Sports Medicine Staff and Equipment Room Staff Meeting in July or August:

Eligibility listings as pertinent to medical treatment
Employment opportunities for student-athletes
Activity surrounding eligibility changes to student-athletes
Transportation of student-athletes
Required eligibility forms for student-athletes
Walk-on eligibility needs
Treatment restrictions for student-athletes
Extra benefit regulations
Outside compensation activities for student-athletes
Summer camp permissible activities
Supplemental pay to student-athletes
Recruiting activities and permissible contacts with prospects
Coaches allowable involvement with UCF sports camps
Permissible telephone usage by student-athletes
Distribution of equipment & apparel during the summer
Donations to local civic groups
Sale of equipment or apparel to outside groups

Example—Yearly Athletics Communications Staff Meeting:

Eligibility listings as pertinent to media coverage
Employment opportunities for student-athletes
Activity surrounding eligibility changes to student-athletes
Transportation of student-athletes
Required media activity for student-athletes
Press conference permissible activity
Press releases surrounding National Letter of Intent
Permissible coverage for prospective student-athletes
Extra benefit regulations
Outside compensation activities for student-athletes
Summer camp permissible activities
Recruiting activities and permissible contacts with prospects
Coaches allowable involvement with UCF Sports Camps
Permissible telephone usage by student-athletes
Press coverage of prospects attending UCF sports camps

Example—Twice-Yearly Academic Advising Support Staff Meetings:

Fall Meeting:
New legislation regarding initial eligibility and continuing eligibility
Temporary or contract employment restrictions for student-athletes
Academic activity limitations
Limits of telephonic activity by student-athletes
Transportation restrictions for student-athletes
Allowable tutoring activities
Copier and typing activity for student-athletes
Permissible study table activities
Tutor education concerns
Academic year contact with UCF professors and prospects
Extra benefit regulations

Spring meeting:
Summer school aid to student-athletes
Changes in academic requirements and proposed new legislation
Outside compensation activities for student-athletes
Summer camp permissible activities
Supplemental pay to student-athletes
Recruiting activities and permissible contacts with prospects

Example—Department-specific meetings with Admissions, Financial Aid, Dining Services, Housing, Parking, Facilities, and Police:

Extra benefits to student-athletes
Financial aid concerns for student-athletes
Permissible activities by institutional staff members
Ongoing education

Example—Student Accounts Yearly Meeting

Employment opportunities for student-athletes
Outside compensation activities for student-athletes
Financial aid restrictions for scholarship student-athletes
Financial aid regulations regarding earnings of student-athletes

Example—Twice-Yearly Secretarial Support Staff Meetings:

Fall meeting:
Temporary or contract employment restrictions for student-athletes
Complimentary admissions restrictions
Media contact etiquette during the school year
Academic activity limitations
Limits of telephonic activity by student-athletes
Transportation restrictions for student-athletes
Allowable entertainment activities
Allowable ticket allotments for student-athletes
Copier and typing activity by student-athletes
Recruiting legislation
Spring meeting:
Outside compensation activities for student-athletes
Academic activity for student-athletes
Summer camp permissible activities
Supplemental pay to student-athletes
Recruiting activities and permissible contacts with prospects

Example—Ticket Office Staff Yearly Meeting:
Outside earning restrictions for student-athletes and walk-ons
Allowable ticket allotments
Recruiting activities for prospects on official visits
Permissible non-official visit ticket requests
Seating access for prospects and family
Permissible field access for prospects and families
Allowable promotional activity
Professional team scouting activities
Media access during event with UCF student-athletes
Complimentary ticket needs—permissible ID
UCF student-athlete access to all games for which admission is charged
High school coaching access to events
Booster activities that could reflect on student-athlete’s eligibility
Outside events and their effect on student-athlete eligibility
Extra benefits

Example—Golden Knights Club and Booster Groups Meetings:
Temporary/contract employment restrictions for student-athletes
Complimentary admissions restrictions
Medical contact etiquette
Academic activity limitations
Limits of telephonic activity to prospective student-athletes
Transportation restrictions for student-athletes
Allowable entertainment activities
Fund-raising activity permitted
Allowable recruiting activities
Outside compensation activities for student-athletes
Supplemental pay to student-athletes
Recruiting activities and permissible contacts with prospects

Example—Marketing Department and ISP Meeting:
Marketing of student-athletes
Marketing of coaching staff members
Promotional ideas
Permissible speaking engagements for student-athletes and coaches
Memorabilia requests
Transportation restrictions for student-athletes
Allowable entertainment activities
Fund-raising activities permitted
Allowable recruiting activities
Extra benefit issues
Occasional meal issues

8. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals inside the athletics department.
All UCFAA staff members sign a contract upon being hired that explains the standards of behavior and causes for termination. Failure to abide by NCAA, conference, and institutional rules is cause for termination.

Provided in the resource room for on-site review is a sample UCFAA Head Coach Contract labeled "8a Head Coach Contract" in a binder labeled "Supportive Documents for Operating Principle 1.3—Rules Compliance."

In addition, every year, the university mandates that all UCFAA staff members sign an acknowledgement that they are to abide by NCAA, conference, and institutional rules. A violation of these rules may result in disciplinary action up to and including termination of employment.

Also provided in the resource room is a blank acknowledgment form labeled "8b UCF Department of Athletics Responsibility to Comply with NCAA Rules" in a binder labeled "Supportive Documents for Operating Principle 1.3—Rules Compliance."

The UCFAA conducts a yearly mandatory meeting with all UCFAA staff members. In that meeting, the Assistant Director of Athletics-Compliance conducts an athletics compliance overview in which the expectations of the UCFAA staff are reviewed.

Provided in the resource room are several sample agendas from Athletics Compliance Office orientation meetings. They are labeled "8c: UCF Athletics Compliance Office Orientation Meeting Agenda 8/27/2003 and 8/4 & 8/18/2004" in a binder labeled "Supportive Documents for Operating Principle 1.3—Rules Compliance."

9. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals outside the athletics department who are involved in rules-compliance activities.

Three administrative offices outside of the UCFAA have key roles in compliance activities: the Office of Undergraduate Admissions, the Office of Student Financial Assistance, and the Registrar's Office.

Specifically, the Assistant Vice President for Undergraduate Admissions, the Executive Director of Student Financial Assistance, the University Registrar, the Associate University Registrar, the Faculty Athletics Representative, and the Director of Academic Services for Student-Athletes each hold responsibility and authority for aspects of eligibility certification.

Additionally, the Athletics Compliance Subcommittee, whose members include those listed above, reports to the UCFAA. The mission of the Athletics Compliance Subcommittee is to ensure institutional control, accountability, and integrity through a system of checks and balances established by and involving the university entities represented in its membership.

Athletics Compliance Subcommittee members include:

Assistant Vice President for Undergraduate Admissions
Executive Director of Student Financial Assistance
University Registrar
Director of Athletics
Director of Academic Services for Student-Athletes
Assistant Director of Athletics-Compliance
Director of Athletics-Compliance
Associate Controller
Associate University Registrar
Assistant Director of Undergraduate Admissions
Faculty Athletics Representative

Athletics Compliance Subcommittee Mission Statement:

As an advisory body to the UCFAA, the Athletics Compliance Subcommittee reviews policies and procedures for the purpose of ensuring institutional control, accountability, and integrity through a system of checks and balances established by and involving the university entities represented by its membership. In support of the university and the UCFAA missions, the subcommittee:

assists in ensuring student-athlete NCAA compliance for participation in intercollegiate athletics
assists with upholding academic standards of excellence in NCAA, conference, university, and UCFAA rules and regulations

promotes support services that assist student-athletes in reaching their academic potential

facilitates the application of shared responsibility among university entities to ensure effective communication, organization, documentation, and evaluation of its rules compliance program

promotes a continuing review of selected issues for student-athlete admission, eligibility, financial aid, student records, and advising of student-athletes through graduation and completion of their full academic career

supports undergraduate education through the student-athlete’s continuing satisfactory progress towards meeting degree requirements

promotes integrity and accuracy of the student-athlete eligibility and certification process

strengthens working relationships and communication between the UCFAA and the university community

ASSISTANT VICE PRESIDENT FOR UNDERGRADUATE ADMISSIONS:

Determines student-athlete eligibility for university admission

Refers student-athletes who do not meet admissions requirements to the Admissions and Standards Committee

(Qualifications)

Understanding and working knowledge of athletics eligibility and compliance matters

EXECUTIVE DIRECTOR OF STUDENT FINANCIAL ASSISTANCE (paraphrased)

supervises the coordination and processing of athletics service awards according to NCAA and institutional policies

reviews and signs athletics service awards

ASSISTANT DIRECTOR OF STUDENT FINANCIAL ASSISTANCE (paraphrased)

assists in the coordination and processing of athletic and non-athletic awards in accordance with NCAA rules and policies

ASSISTANT DIRECTOR OF STUDENT FINANCIAL ASSISTANCE (paraphrased)

coordinates the billing and processing of athletics service awards. Communicates with Finance and Accounting, Student Accounts, and UCFAA in the appropriate payment and processing of all awards

UNIVERSITY REGISTRAR: (paraphrased)

Certifies academic eligibility and certification for student-athletes in the Faculty Athletics Representative’s absence

Remains cognizant of the rules and regulations of the Florida Board of Education, UCF Board of Trustees, and student-athlete eligibility and compliance regulations and procedures

(Qualifications)

Extensive experience in management with several years experience in records, registration, readmission, NCAA eligibility, veteran educational benefits, room scheduling, and technological innovation at a major college or university

ASSOCIATE UNIVERSITY REGISTRAR:
10. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of initial-eligibility certification. [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

The initial eligibility certification steps include:

1. The student-athlete is certified as an initial-eligibility qualifier by the NCAA Initial-Eligibility Clearinghouse.

2. The Director of Academic Services for Student-Athletes reviews all documents pertaining to initial eligibility and generates an Athletics Academic Evaluation Form that certifies the student's eligibility.

3. The Athletics Academic Evaluation Form, the supporting NCAA Initial Eligibility Clearinghouse documentation, and UCF transcripts containing all institutions attended are reviewed and signed by the Director of Academic Services for Student-Athletes, the Assistant Director of Athletics-Compliance, and the Faculty Athletics Representative.

4. After obtaining these signatures, the Athletics Compliance Office certifies the student-athlete on the NCAA Compliance Assistant Internet Squad List and NCAA Affirmation of Eligibility Form.

5. The Head Coach signs the NCAA Squad List and any subsequent NCAA Affirmation of Eligibility forms prior to the first outside competition. The Squad List documents those student-athletes who have been cleared to represent UCF in intercollegiate competition.

Provided in the resource room are the complete Athletics Compliance Office Policy and Procedures Manual and the complete set of instructions for determining eligibility. They are labeled "10-12 University of Central Florida Athletics Association Athletics Compliance Office Policy and Procedures Manual" and "10a-12a Eligibility" and are filed in the binder labeled "Supporting Documents for Operating Principle 1.3—Rules Compliance."

11. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of continuing-eligibility certification. [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

1. Certifying continuing eligibility at the beginning of each academic semester.

2. The Director of Academic Services for Student-Athletes' and Assistant Director of Athletics-Compliance's continual review of student-athletes' academic records to ensure compliance. The student-athlete must be in good academic standing as defined in the UCF Undergraduate Catalog.

In addition, the student-athlete must satisfy the NCAA academic eligibility standards as follows:

Sophomores entering their third semester must have earned at least 24 hours during the previous year with at least 18 earned during the regular academic year; and earned at least a cumulative GPA of 1.8.

Juniors entering their fifth semester must have earned at least 24 credit hours during the previous year with at least 18 earned during the regular academic year; or banked hours; or an average of 12 credit hours earned per term of
full-time enrollment (48 hrs.); declared a major; have a cumulative GPA of at least 1.8; and completed at least 25% of the degree.

Seniors entering their seventh semester must have earned at least 24 credit hours during the previous year with at least 18 earned during the regular academic year; or banked hours; or an average of 12 credit hours earned per term of full-time enrollment (72 hrs.); declared a major; have a cumulative GPA of at least 1.9; and completed 50% of the degree.

5th year seniors entering their 9th semester must have earned at least 24 credit hours during the previous year with at least 18 earned during the regular academic year; or banked hours; or an average of 12 credit hours earned per term of full-time enrollment (96 hrs.); declared a major; have a cumulative GPA of at least 1.9; and completed 75% of the degree.

For each academic class, the student-athlete must:

- pass at least 6 degree-applicable semester hours of the current semester to compete the subsequent semester
- once a major is declared, ensure that all hours used toward meeting the satisfactory progress requirements are applicable toward the declared degree program.
- maintain a 2.0 GPA to be eligible for competition.

If the student-athlete has officially declared a major, all hours used toward meeting the satisfactory progress requirements must be applicable toward the student's designated degree program. Transfer student-athletes are immediately responsible for any applicable percentage of degree requirements, declaration of a major, and full-time registration status in addition to the basic transfer requirements.

3. The Director of Academic Services for Student-Athletes' reviews of all documents pertaining to a returning student-athlete's eligibility and generates an Athletics Academic Evaluation Form that certifies the student-athlete's eligibility.

4. The review of and signature by the Director of Academic Services for Student-Athletes, the Assistant Director of Athletics-Compliance, and the Faculty Athletics Representative on the Athletics Academic Evaluation Form and the supporting documentation (UCF Transfer Certification Form, UCF transcripts containing all institutions attended, 48-C Report-if needed, and UCF Degree Audit Form).

5. The Athletics Compliance Office's certification of the student-athlete on the NCAA Compliance Assistant Internet Squad List and NCAA Affirmation of Eligibility Forms.

6. The Head Coach's signature on the NCAA Squad List and any subsequent NCAA Affirmation of Eligibility forms prior to the first outside competition. The Squad List documents those athletes who have been cleared to represent UCF in intercollegiate competition.

Provided in the resource room is the complete set of instructions for determining initial and continuing eligibility. It is labeled "10a-12a Eligibility" and is filed in the binder labeled "Supportive Documents for Operating Principle 1.3—Rules Compliance."

12. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of transfer-eligibility certification. [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]

1. Transfer student-athletes must meet one of the conditions set forth in the NCAA Division I Manual.
2. When a student at a two- or four-year institution contacts a member of the UCFAA staff to express interest in transferring to the university, the coaching staff must notify the Athletics Compliance Office about the contact.

3. The Athletics Compliance Office contacts in writing the student-athlete's current Director of Athletics to seek eligibility confirmation and permission to contact the student-athlete.

4. The Athletics Compliance Office must receive a release letter prior to UCF staff members contacting the transfer prospect.

5. The Athletics Compliance Office reports in writing to the appropriate head coach the transfer prospective student-athlete's initial and continuing NCAA eligibility at the current school, and informs the head coach of any concerns that should be taken into consideration if the prospective transfer student-athlete is to be offered admittance to UCF.

6. The Athletics Compliance Office determines the prospective transfer student-athlete's eligibility status by reviewing the transfer student-athlete's record at his or her current university and all previously attended institutions and by applying the appropriate 2-4, 4-4, or 4-2-4 regulations.

7. Prior to any grant-in-aid being awarded to a transfer student-athlete, a Preliminary Assessment/Satisfactory Progress Worksheet is prepared by the respective coach, then completed and signed by the Athletics Compliance Office and the Director of Academic Services for Student-Athletes to ensure that the necessary academic requirements have been thoroughly reviewed.

8. The Director of Academic Services for Student-Athletes reviews all documents pertaining to transfer eligibility and generates an Athletics Academic Evaluation Form that certifies the student's eligibility.

9. The Athletics Academic Evaluation Form and the supporting documentation (Preliminary Assessment Form, transcripts from previously attended schools, UCF Transfer Certification form, UCF transcripts containing all institutions attended, 48-C Report-if needed, UCF Degree Audit Form, and the UCF Permission to Contact Form) are reviewed and signed by the Director of Academic Services for Student-Athletes, the Assistant Director of Athletics-Compliance, and the Faculty Athletics Representative.

10. Upon obtaining all three signatures, the Athletics Compliance Office certifies the student-athlete on the NCAA Compliance Assistant Internet Squad List and NCAA Affirmation of Eligibility forms.

11. The Head Coach is required to sign the NCAA Squad List and any subsequent NCAA Affirmation of Eligibility forms prior to the first outside competition. The Squad List documents those athletes who have been cleared to represent UCF in NCAA competition.

Provided in the resource room is the complete set of instructions for determining initial, continuing, and transfer eligibility. It is labeled "10a-12a Eligibility" and is filed in the binder labeled "Supportive Documents for Operating Principle 1.3—Rules Compliance."

13. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of investigation and self-reporting of rules violations.

The Athletics Compliance Office investigates all suspected or alleged violations of NCAA rules and self-reports any violation to the NCAA and/or appropriate conference officials as follows:

1. Any individual (UCFAA staff member, student-athlete, university employee, representative of the university's athletics interests, member of the community) may report an alleged, rumored, or suspected violation. The
individual may report the alleged, rumored, or suspected violation orally or in writing, and the report may be made anonymously.

2. When any UCFAA staff member receives an allegation or rumor of a violation, he or she is obligated to notify the Athletics Compliance Office in a timely manner.

3. Individuals other than UCFAA staff members may report an alleged violation to any or all of the following persons: the Assistant Director of Athletics-Compliance, the Director of Athletics-Compliance, the Director of Athletics, the Faculty Athletics Representative, and an Associate Director of Athletics or an Assistant Director of Athletics.

4. UCFAA investigates all suspected or alleged violations of NCAA rules.

5. The Assistant Director of Athletics-Compliance conducts investigations. The Director of Athletics oversees institutional investigations. The Director of Athletics and the Assistant Director of Athletics-Compliance may request the assistance of the Faculty Athletics Representative, the Director of Academic Services for Student-Athletes, or the UCF General Counsel in conducting a violation investigation.

6. The Athletics Compliance Office maintains a written record of all alleged violations. The record consists of:
   - the date on which the alleged violation was reported to the Assistant Director of Athletics-Compliance
   - by whom the violation was reported
   - details of the alleged violation, including the names of all persons involved in it
   - a chronology of actions taken by the university in the investigation of the alleged violation
   - the rationale for concluding whether the allegation was or was not an NCAA regulations violation

7. The institution records whether and which NCAA regulations were violated.

8. If a violation occurred, the Assistant Director of Athletics-Compliance keeps on file a copy of the report of the violation and subsequent correspondence with the conference and the NCAA staff. The report includes the institution's position on the violation, its circumstances, and a list of corrective and/or punitive actions imposed by the institution. The following individuals receive copies of the self-report: UCF President, Director of Athletics, Faculty Athletics Representative, Director of Academic Services for Student-Athletes, conference office, and involved staff member(s).

9. The Director of Athletics-Compliance or the Assistant Director of Athletics-Compliance report the violation to the NCAA national office and/or appropriate conference officials.

10. The Athletics Compliance Office retains the reports of alleged violations for six years and it maintains permanent records of confirmed violations.

11. If an individual has knowledge of an alleged violation that involves another NCAA member institution and that impacts the university, he or she should report the alleged violation(s) to the Assistant Director of Athletics-Compliance and/or the Director of Athletics. The Assistant Director of Athletics-Compliance discusses the violation and desired plan of action with the Director of Athletics and the appropriate coaching staff members. The Athletics Compliance Office may then contact the Director of Athletics at the accused member institution to request that the alleged violation be investigated. The Assistant Director of Athletics-Compliance and the Director of Athletics may contact the conference or the NCAA staff to request that the conference or the NCAA contact the accused institution or the institution's conference.
14. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of financial aid.

1. The Athletics Compliance Office reviews all financial aid placed on a student-athlete’s account every two weeks during the first two months of a semester and each month thereafter.

2. By March 1, coaches submit a Renewal/Initial Financial Aid Request for all returning student-athletes for whom they request aid for the subsequent academic year.

3. Coaches submit a Renewal/Initial Financial Aid Request for all prospective student-athletes at least two weeks prior to the National Letter of Intent signing date or at least two weeks prior to the offer being extended.

4. The Athletics Compliance Office produces the renewal grant-in-aid letters and secures signatures from the Director of Athletics and the Office of Student Financial Assistance. The student-athlete signs this grant-in-aid letter and returns it to the Athletics Compliance Office.

5. Coaches submit to the Director of Athletics, the Athletics Compliance Office, and the sport supervisor a non-renewal/reduction request that includes justification for the cancelled aid.

6. The Athletics Compliance Office generates non-renewal and reduction letters, and the Executive Director of Student Financial Assistance signs and mails them to the student-athlete prior to July 1.

15. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of recruiting.

The Athletics Compliance Office regularly provides recruiting regulation information, updates, and new legislation to all coaching staff and selected support personnel. The head coach of each sport ensures that all recruiting practices are in full compliance with university, conference, and NCAA regulations as follows:

1. The Athletics Compliance Office regularly provides recruiting regulation information to all coaching staff members and selected support staff such as secretaries and administrative assistants. The rules education program includes regular review of and discussion about recruiting policies and procedures throughout its programming.

2. The Head Coach of each sport ensures that all recruiting practices are in full compliance with university, NCAA, and conference regulations.

3. The Athletics Compliance Office provides coaches with applicable rules changes as new NCAA legislation is
adopted. In addition, the Athletics Compliance Office provides coaches with recruiting literature and guidelines produced by the NCAA for parents, high school coaches, and friends of the university’s athletics interests.

4. Coaches are not permitted to send prospects or prospects’ coaches recruiting materials (including general correspondence related to athletics) prior to September 1 of the prospect's junior year in high school. In the sport of men’s basketball, an institution may not provide recruiting materials to a prospect (including general correspondence related to athletics) until the conclusion of the prospect’s sophomore year in high school. In addition, an institution is not permitted to use any express mail delivery services to provide permissible recruiting materials to prospects residing within the 50 United States, other than the National Letter of Intent or other written admissions/financial aid commitment to attend the institution. Permissible recruiting materials are limited to those items listed in NCAA Bylaw 13.4.1.

5. The Athletics Compliance Office consistently and continually informs its coaching staff throughout their employment of the permissible on- and off-campus NCAA-defined recruiting activities. Coaching staff members are required to submit recruiting documentation on a monthly basis. The Athletics Compliance Office staff audit this information on a monthly basis to ensure compliance with all NCAA Bylaw 13.4.1. regulations.

6. Prospects and prospects’ parents or guardians receive the graduation rates data specified in Bylaw 30.1 at the earliest opportunity after the institution’s first arranged in-person encounter with the prospect or the prospect's parents, the day prior to the prospect’s signed acceptance of the National Letter of Intent, or the day prior to the prospect's signed acceptance of the institution's written offer of admission and/or financial aid, whichever is earlier.

All National Letters of Intent generated from the Athletics Compliance Office will be accompanied by a UCF Graduation Rates Report.

7. For a prospective student-athlete to receive an official paid visit, his or her academic and athletic information must be entered into the CAI software and provided in hard copy to Academic Services for Student-Athletes along with the Pre-Approval for Official Visit form no later than two weeks prior to the official visit. Coaches who request mileage or student host funds reimbursement checks must submit the requests on official Mileage Reimbursement and Recruit Entertainment Funds Forms.

8. The Director of Athletics, the Director of Academic Services for Student-Athletes, and the Athletics Compliance Office must approve all requests for official visits. If the prospective student-athlete has academic issues, the Faculty Athletics Representative reviews his or her academic information before the official visit is approved.

Prospective student-athletes’ official visits are approved without conditions, approved with conditions, or denied. If a prospect’s official visit is approved without conditions, the prospect can be offered a grant-in-aid and National Letter of Intent. If a prospect's official visit is approved with conditions, a grant-in-aid and National Letter of Intent will not be issued until the specified conditions are met and approved by the Director of Athletics.

9. Coaches who have invited prospects to UCF on an official paid visit must send the prospects a visit notification letter and provide a copy of the letter to the Athletics Compliance Office before the visit is approved. The letter must state that the visit to UCF will not exceed 48 hours and is one of the maximum five paid visits the prospect is permitted. The letter can be faxed or e-mailed.

10. Coaches who have invited prospects to UCF on official paid visits must complete and submit the request form to the Athletics Compliance Office no later than 48 hours prior to the visit. The Athletics Compliance Office reviews and approves the request and distributes official or unofficial visit complimentary tickets for football, baseball, and men's and women's basketball. The Athletics Ticket Office distributes complimentary tickets for men's and women’s soccer.

11. Within two weeks from the end of the official visit, coaches must submit to the Athletics Compliance Office the Official Visit Itinerary Form and the Travel Reimbursement Form.
12. Coaches must request approval for unofficial visits from the Athletics Compliance Office as early as possible. A maximum of three game admissions may be used for prospects on unofficial visits and their guests. Prospects on unofficial visits may not purchase additional game tickets.

Provided in the resource room is the entire section on recruitment policies as excerpted from the Athletics Compliance Office Policy and Procedures Manual. It is labeled “15 Recruiting” and is filed in the binder labeled “Supportive Documents for Operating Principle 1.3—Rules Compliance.”

16. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in the area of camps and clinics.

1. Department of Athletics staff members who own a camp or clinic must submit a camp or clinic Approval Notebook/Manual to the Athletics Compliance Office at least two weeks prior to camp. The Camp Director, the Facilities Department, the sport oversight supervisor, and the Athletics Compliance Office must sign the Camp or Clinic Approval Form. The Manual requires that the following information be submitted prior to the start of camp: Facility Reservation Form, Employee List, Discount Forms, and Background Checks.

2. The Athletics Compliance Office uses the Facility Reservation Form to determine the needs of a camp or clinic. The form specifies the type of facility, staffing needs, times of usage, and other items required for a camp or clinic.

3. Prior to the start of a university-owned camp or clinic, the Director of Athletics or his designee must approve all current student-athletes who are to be employed by it.

4. The Athletics Compliance Office must approve individual discounts prior to the extension of a discount offer.

5. A Group Discount Form must be submitted for consideration to the Athletics Compliance Office. The Athletics Compliance Office will not approve group discounts unless they are included in the camp or clinic brochure. The Athletics Compliance Office must approve group discounts prior to their being offered.

6. At the conclusion of the camp, the notebook will be returned to the coach, who will complete the documentation required. The completed notebook is returned. The additional forms include: Participant List, Outside Consulting Forms, and Financial Report Forms. The NCAA requires that camp directors complete the Participant List upon conclusion of the camp. This list includes the names of all camp attendees, the method of payment, the participants’ ages, discounts applied, and whether participants are high school letter recipients.

7. Coaches who would like to work for camps or clinics outside of the institution must complete the Outside Consulting Form and submit it to the Athletics Compliance Office to determine whether the camps are working within NCAA guidelines.

8. When a camp or clinic has ended for the summer and/or year, the camp director must complete the Financial Report Form that is used for tracking the camp or clinic’s expenses.

9. The UCF Sports Medicine Staff have specific forms in their camp or clinic packet that are used to request employment for graduate assistant trainers and to track all injuries that occur during the camp or clinic. While these forms are not required, training staff and coaches are encouraged to complete and file them as documentation.

10. According to State of Florida law, all employees of children’s camps or clinics must submit to state and local background checks and have on file an Affidavit of Good Moral Character.

Provided in the resource room is the entire section on Camps and Clinics excerpted from the Athletics Compliance Office Policy and Procedures Manual. It is labeled “16 Camps/Clinics” and is filed in the binder labeled “Supportive Documents for Operating Principle 1.3—Rules Compliance.”
17. Please describe the policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance in other areas (if applicable).

The Director of Athletics and the Athletics Compliance Office have established procedures and directions for rules compliance for complimentary admissions tickets, exit interviews, memorabilia requests, promotional activities, and student-athlete employment.

COMPLIMENTARY ADMISSIONS TICKETS

1. ATHLETE AND NON-ATHLETE ADMISSIONS TO ATHLETICS CONTESTS—Student-Athlete Participants

a. Each member of a sports team may receive four complimentary game admissions for friends, parents, family members, etc.

b. Complimentary guests’ names must be registered on a gate list. No "hard tickets" are issued for complimentary guests, but stubs may be provided to identify reserved seats.

c. Student-athletes may allow their teammates to use their guest admissions.

d. Complimentary admissions may not be sold or exchanged for any item of value by the student-athlete or any person on the gate list; the student-athlete's eligibility will be affected if he or she sells or exchanges complimentary admissions.

e. Student-athletes cannot make special arrangements to buy athletics event tickets. They may purchase tickets, but they must do so for themselves or others in the same manner as does the public.

f. Neither student-athletes nor their guests are allowed to make changes to the gate list at the gate.

2. HOME FOOTBALL CONTESTS—Team Members

a. The Athletics Ticket Office forwards ticket cards to a designated football staff member one week prior to the first home game.

b. On the Wednesday prior to the game, each student-athlete completes his ticket cards by listing on them the names of his designees.

c. The designated administrator reviews and signs the complimentary admission form and verifies that the admissions designations are consistent with NCAA regulations.

d. The football staff member drops off the ticket cards to the Athletics Ticket Office by 8:00 a.m. on the Thursday prior to the game.

e. The Athletics Ticket Office designee either takes the ticket cards to the Athletics Compliance Office by Friday afternoon or brings them to the football game.

f. On game day, ticket stubs are available for pickup at designated gates 2 1/2 hours prior to kick off. Each guest must show identification and sign the appropriate card before being admitted.
g. Half of the ticket remains attached to the ticket card for audit purposes.

h. Ticket cards with appropriate stubs or unused tickets are returned to the Athletics Ticket Office no later than noon on the Tuesday following the game. All related documents are filed in the Athletics Compliance Office and kept for seven years.

3. AWAY FOOTBALL CONTESTS—Team Members

a. The Athletics Ticket Office forwards a set of ticket cards to a designated football staff member one week prior to the first away game.

b. On the Wednesday prior to the game, each student-athlete completes the ticket cards by listing the names of his designees.

c. The designated administrator reviews and signs the complimentary admission form and verifies that the designations are consistent with NCAA regulations.

d. The ticket cards are dropped off to the Athletics Ticket Office by 8:00 a.m. on the Thursday prior to the away game.

e. The Athletics Ticket Office staff take the ticket cards to the Athletics Compliance Office by Friday morning (or prior to the departure of the team plane).

f. On game day, ticket cards are available at the indicated gates beginning 1 1/2 hours prior to kick off. Each designated person must show identification and sign the appropriate card before being admitted.

g. Half of the ticket remains attached to the ticket card for audit purposes.

h. Ticket cards with appropriate stubs or unused tickets are returned to the Athletics Ticket Office no later than noon on the Tuesday following the game. The Athletics Compliance Office files all related documents and keeps them for seven years.

4. HOME CONTESTS FOR ALL OTHER SPORTS—Team Members

a. A designated coaching staff member prepares a student-athlete complimentary admission form for each home game.

b. After practice one working day prior to the game, student-athletes complete the form by listing the names of their designees.

c. Student-athletes submit their complimentary admissions forms to the Athletics Compliance Office no later than 10:00 a.m. on game day or by Friday at 10:00 a.m. for a weekend contest.

d. The Athletics Compliance Office reviews the complimentary admissions form and verifies that the designations are consistent with NCAA regulations. Then the Athletics Compliance Office staff member takes the ticket form to the game.
e. On game day, the pass gate opens 1 hour prior to the start of the game. Each designee must show identification and sign for the ticket stub and admission to the game.

f. Neither student-athletes nor their guests are allowed to make changes to the pass list at the gate.

g. Tickets with appropriate stubs or unused tickets are returned to the Athletics Ticket Office no later than one working day following the game. The Athletics Compliance Office files and keeps related documents for seven years.

5. AWAY CONTESTS FOR ALL OTHER SPORTS—Team Members

a. The designated coaching staff member prepares a student-athlete complimentary admission form for each away game.

b. At the site of the competition, each student-athlete completes the form by listing the names of the designees in their appropriate categories.

c. The student-athlete submits his or her complimentary admission form to the designated administrator at least two hours prior to the game.

d. The designated administrator reviews the complimentary admission form and verifies that the designations are consistent with NCAA regulations.

e. The designee takes the form to the opposing institution’s ticket office at least 1 1/2 hours prior to the start of the game.

f. Either the away ticket office or the designated administrator handles the distribution of complimentary admissions ticket stubs.

g. All pass lists must be returned by mail or hand-delivered to the UCFAA following the game. The Athletics Compliance Office files and keeps all related documents for seven years.

6. COMPLIMENTARY ADMISSIONS TO HOME ATHLETIC EVENTS FOR STUDENT-ATHLETES ON OFFICIAL AND UNOFFICIAL VISITS

a. Coaches may request complimentary admissions for visiting prospects to home fee-for-admission athletics events by emailing their Request for Official Visit prospects to the Assistant Director of Athletics-Compliance. For those on unofficial visits, the hard copy form must be submitted to the Athletics Compliance Office. The coach must indicate whether this is an official or unofficial visit, the prospect's name, the student-host's name, and the names and relationships of the guests.

b. The Athletics Compliance Office verifies the official visit credentials and grants permission for the complimentary admissions.

c. The Athletics Compliance Office either administers the forms/pass list at the games or gives the Athletics Ticket...
Office staff the forms for individuals approved for complimentary admission. The original request forms are sent back to the Athletics Compliance Office and are filed in the sport's official visit file.

7. COMPLIMENTARY ADMISSIONS FOR HIGH SCHOOL TEAMS

Boys and girls high school varsity and/or junior varsity teams may be admitted free of charge to a UCF contest under the following conditions:

a. All team attendance requests must be channeled through the sport's coaching staff or the Athletics Marketing Department.

b. At least 24 hours prior to the start time of the game, the high school team requesting admission must present a written list of team member names to the sport's coach (faxed copy acceptable).

c. The coaching staff member who is designated to handle all ticket requests completes the Complimentary Group Ticket Pass List found on the Athletics Compliance Office website and attaches the roster to the form. The completed form must be submitted for Athletics Compliance Office approval at least two hours before the start of the contest.

d. Changes to the team roster are not allowed at the gate, but a prospect who can produce a valid high school ID or who is in the company of a high school coach may be admitted on a case-by-case basis.

8. COMPLIMENTARY ADMISSIONS FOR HIGH SCHOOL, AAU, AND JUNIOR COLLEGE COACHES

a. High school, AAU, and junior college coaches may request a maximum of two complimentary admissions to a UCF home contest.

b. UCF coaching staff can submit a list of high school, AAU, and junior college coaches who may want a maximum of two complimentary admissions to a UCF home contest.

c. At the gate, the guest coaches produce identification, sign the prepared list, and are admitted to the game. Ticket stubs are filed and saved as they are for student-athlete complimentary admissions.

d. A high school, AAU, or junior college coach who presents for a game and is not on the coaching staff's prepared list can produce identification that shows his or her status as a current high school, AAU, or junior college coach, can be added to the list at the gate, and can enter the game.

e. The Athletics Compliance Office files all related documents and keeps them for seven years.

EXIT INTERVIEWS

1. The Athletics Compliance Office facilitates the completion of this process by ensuring that those student-athletes who have exhausted eligibility complete the survey.

2. 
The Athletics Compliance Office conducts random interviews of graduating or senior class members who have exhausted their eligibility to determine the value of their experiences at UCF.

3. The UCFAA requires the Athletics Compliance Office to facilitate the completion of exit interviews with all graduating seniors, regardless of their scholarship status.

4. In the spring, the Athletics Compliance Office asks returning student-athletes to complete a similar instrument so that their responses can be used to provide a better experience for student-athletes.

5. The Athletics Compliance Office forwards these questionnaires and a summary of the data collected to the appropriate sport oversight administrator for further oral interviews.

6. The interviews are designed to solicit a broad range of critiques that judge the full impact of the program on student-athletes. The interview responses are confidential to protect the athlete and allow for free dialogue.

7. UCFAA senior management staff and the Faculty Athletics Representative review a summary of the results of the written and oral interviews.

8. The UCFAA staff balance coach and staff evaluations with the reviews of the student-athletes and consider improvements and/or corrective actions as a result of student-athlete responses.

MEMORABILIA REQUESTS AND PROMOTIONAL ACTIVITIES

1. The Athletics Compliance Office determines whether memorabilia or promotional items requests are permissible under NCAA regulations, but does not determine the availability of the requested items. The program or departmental unit from which the items are requested, in consultation with the Athletics Marketing Department, determines their availability.

2. The Athletics Compliance Office determines whether a student-athlete's involvement in promotional activities is permissible under NCAA rules, but does not determine the student-athlete's availability. Promotional activities, when they are approved, are limited to institutional, charitable, and/or educational activities.

a. A student-athlete cannot allow his or her name, picture, or personal likeness to be used on advertisements or promotions for commercial products, services, jobs, or employers.

b. A student-athlete cannot allow a commercial business to use his or her name or picture in a "name-the-player" contest.

c. Student-athletes are eligible for any contest that is open to the general public, as long as they are selected at random.

d. Student-athletes may not miss class for an approved charitable appearance.

e. Student-athletes seeking permission to participate in promotional activities should contact the Athletics Compliance Office ahead of time so they do not jeopardize their eligibility.
3. Student-Athlete Speaking Engagements

   a. A student-athlete may accept a speaking invitation from a high school coach or local organization program planner, but the following restrictions apply:

      i. The student-athlete may not recruit for UCF.

      ii. The student-athlete may not speak one-on-one with any student who is in grades 9-12 except for casual civil conversation that does not include recruitment.

      iii. The student-athlete may not comment publicly about any prospective student-athlete whom UCF is recruiting.

4. Autographed Items and Give-aways

   a. The Athletics Marketing Department handles UCF memorabilia requests.

   b. The Athletics Compliance Office, upon request, will advise whether it is permissible under NCAA regulations to autograph such items and give them to the general public.

STUDENT-ATHLETE EMPLOYMENT

1. The Athletics Compliance Office must approve student-athletes for work during the academic year so that the employer can be given an NCAA rules education packet.

2. The employer provides confirmation of the hourly or weekly pay rate and signs a form indicating receipt of the rules education packet.

   The rules education packet includes:

   a. The employer's agreement to hire the student-athlete as a regular employee, to maintain accurate time records, and to provide supervision.

   b. The employer's agreement that it will not provide or arrange for transportation to or from the place of employment unless it is provided to all other employees.

   c. The employer's agreement to pay the student-athlete by check only for actual hours worked and at the same hourly rate as other employees performing similar work.

   d. The employer's agreement to treat student-athletes as they treat other employees.
3. Per NCAA Bylaw 12.4.2.1, under certain conditions, a student-athlete may receive compensation for teaching or coaching sport skills or techniques on a fee-for-lesson basis.

   a. Student-athletes who wish to be employed in this way must show evidence to the Athletics Compliance Office that doing so does not violate NCAA rules by filling out the Fee-For-Lesson/Student-Athlete Approval Form.

   b. After receiving the Fee-For-Lesson/Student-Athlete Approval Form, the Athletics Compliance office clears the student-athlete to begin employment.

   c. After the lesson, the student-athlete must submit additional documentation to the Athletics Compliance Office that verifies the name of the individual who received the lesson(s), the amount paid to the student-athlete, and the person who paid the student-athlete.

The actual sections excerpted from Athletics Compliance Office Policy and Procedures Manual on complimentary admissions ticket policies, exit interviews, memorabilia requests/promotional activities, and student-athlete employment are available for review in the resource room. They are labeled "17a, 17b, 17c, and 17d" and are filed in the binder labeled "Supportive Documents for Operating Principle 1.3—Rules Compliance."

18. Indicate the dates of the institution's rules-compliance program evaluation conducted by an authority outside of athletics at least once every four years.

   The University of Central Florida conducted a rules-compliance program evaluation April 21-23, 2004.

   The Associate Commissioner for Compliance and Legal Affairs of the Atlantic Sun Conference, Mr. Steve Sturek, conducted annual rules-compliance program evaluations in 2001, 2002 with the most recent evaluation conducted on April 21-23, 2004.

Future rules-compliance program evaluations will be routinely conducted by Conference USA.

Additionally, provided in the resource room is the entire report from James Moore & Co., P.L. Certified Public Accountants (Gainesville, FL), and Consultant's Independent Auditor's Report of October 21, 2003; James Moore & Co. audited the special-purpose funds statements of assets, liabilities, and fund balance of the University of Central Florida Department of Intercollegiate Athletics as of June 30, 2003 and June 30, 2002; and the related special-purpose current funds statements of revenues, expenditures, and changes in fund balance and cash flows for the years then ended. They are labeled "18b" and are filed in the binder labeled "Supportive Documents for Operating Principle 1.3—Rules Compliance."

Some of the specific recommendations included in the aforementioned report are:

Compliance

"We recommend that [UCF] compliance office employees and coaches establish procedures to closely monitor the number of scholarships awarded to ensure that scholarships are not awarded above NCAA guidelines. The Department should offer additional training to employees regarding scholarship limitations in order to eliminate potential compliance problems and issues relating to the awarding of scholarships in excess of NCAA guidelines."

In the past, UCF Athletics violated NCAA regulations by over-awarding scholarships. The violations resulted from former Athletics Compliance staff improperly interpreting NCAA policy on financial aid equivalencies and from poor communication between the Athletics Compliance Office and the Office of Student Financial Assistance that included the Athletics Compliance Office's failure to inform the Office of Student Financial Assistance when student-athletes received outside scholarships or other financial aid that would have counted against their personal and team equivalency limits.

Currently, the Office of Student Financial Assistance does not award any financial aid to student-athletes without first checking the Athletics Compliance Office's Master List update or inquiring by email.

Additionally, the Athletics Compliance Staff properly codes all financial aid on the Compliance Assistance Internet,
reviews all posted financial aid for accuracy, and conducts scholarship meetings throughout the year with coaches. Moreover, coaches can now access the Compliance Assistant Internet themselves.

In response to the recommendation for training, the Office of Student Financial Assistance sent two staff members to the NCAA Regional Rules Seminar in May, 2004, and will send additional staff members to the NCAA Seminar in 2005.

Scholarship Monitoring

"We recommend that the [UCF Athletics] department develop a process for reconciling scholarship expenditures as reported in the spreadsheet to scholarship expenditures recorded in the departmental ledgers."

In July 2003, UCF Athletics incorporated to become a non-profit direct support organization to UCF—UCFAA. As part of this change, the UCFAA now processes and distributes its own checks, and the UCFAA business office processes all transactions related to scholarships. Prior to July 2003, scholarship distribution was not handled by the departmental business office, so records for reconciling scholarships were not available. The new procedure allows the UCFAA business office to reconcile its records with reports submitted by the Athletics Compliance Office.

19. Indicate the individual or individuals responsible for conducting the institution's rules-compliance evaluation. Further, describe the process used in selecting this authority outside of athletics to ensure the individual or individuals do not have day-to-day compliance responsibilities for the institution’s athletics department and are knowledgeable in NCAA legislation and rules-compliance practices.

Dr. Robert Mathner, Assistant Director of Athletics-Compliance, coordinated the rules-compliance evaluation conducted by Mr. Steve Sturek, Senior Associate Commissioner of the Atlantic Sun Conference. As the Atlantic Sun Conference Senior Associate Commissioner, Mr. Sturek provides this service to all Atlantic Sun Conference member institutions. Mr. Sturek is neither a current nor a past employee, and he is not a graduate of the University of Central Florida. In addition, Mr. Sturek has been overseeing compliance for the Atlantic Sun Conference for more than 13 years, so he is well-versed in NCAA legislation and rules-compliance practices.

Moreover, the UCFAA business office conducts an outside audit of the UCFAA's business practices. This annual audit includes review of compliance-related functions in the areas of camps and financial aid. James Moore &amp; Co., P.L., Certified Public Accountants, currently conducts the audit for UCF. The UCFAA Audit Subcommittee recommends to the UCFAA Board of Directors which accounting firm it determines to be most qualified to conduct the audit. James Moore &amp; Co., P.L., Certified Public Accountants, conducts similar financial audits for other State of Florida colleges and universities.

20. The rules-compliance evaluation must consist of a review to determine that the compliance practices are engaged and functioning and must include, at minimum, specific areas. Please indicate by clicking "yes" or "no" which areas were included in the rules-compliance evaluation.
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<tr>
<th>Activities</th>
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<td>Initial-eligibility certification.</td>
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<td>Continuing-eligibility certification.</td>
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<td>Transfer-eligibility certification.</td>
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<td>Financial aid administration, including individual and team limits.</td>
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<td>Recruiting (e.g., official visit, etc.).</td>
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<td>Camps and clinics.</td>
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<td>Investigations and self-reporting of rules violations.</td>
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<td>Rules education.</td>
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<td>Extra benefits.</td>
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<td>Playing and practice seasons.</td>
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<td>Student-athlete employment.</td>
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21. Describe relevant corrective actions planned or implemented from the rules-compliance program evaluation(s).

1. UCF Student Financial Assistance Office personnel need to gain greater knowledge of NCAA financial aid legislation.

   Student Financial Assistance office personnel who have monitoring responsibilities will attend NCAA and conference rules compliance seminars.

   Update:

   Additional staff from the Office of Student Financial Assistance will attend the NCAA Compliance Seminar in Orlando in June 2005.

2. The UCFAA supports the recommendation of hiring two positions—a Coordinator of Athletics Eligibility and a Coordinator of Financial Aid due to the heavy burden of impending term-to-term certification of student-athletes first enrolled after August 1, 2003.

   The Coordinator of Athletics Eligibility will report to the Assistant Vice President of Admissions and the Coordinator of Financial Aid will report to the Executive Director of Student Financial Assistance. Both of the positions hired will be a liaison among the UCFAA, Academic Support for Student-Athletes, and their respective offices.

   Both positions will be hired by the beginning of the fall semester 2005.

**Information to be available** for review by the peer-review team, if requested:

- List of athletics booster organizations and their officers.
- Description of athletics booster group policies and procedures (e.g., constitution and bylaws).
- Documentation required by the institution to maintain compliance with NCAA rules (e.g., compliance manual, recruiting logs, eligibility files).
- Documentation generated as a result of conference involvement with the institution in reviewing compliance efforts.
- Documentation related to secondary rules violations for the last three years and the institutional response to those violations.
- Conference manual.
• Planning documents related to athletics (if any).
• Job descriptions for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
• Contracts or letters of appointment for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
• Personnel evaluation criteria for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
• Philosophy statements and other applicable sections of policy manuals for individuals inside the athletics department and individuals outside the athletics department who are involved in rules-compliance activities.
• Documentation related to the evaluation of the institution's rules-compliance program by an authority outside of athletics at least once every four years.

Evaluation

1. Does the institution demonstrate that 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? **Currently Yes**

2. Does the institution demonstrate that in critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department? **Currently Yes**

3. Does the institution demonstrate that rules compliance is the subject of an ongoing educational effort? **Currently Yes**

4. Does the institution demonstrate that a clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program? **Currently Yes**

5. Does the institution demonstrate that at least once every three years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department? **Currently Yes**