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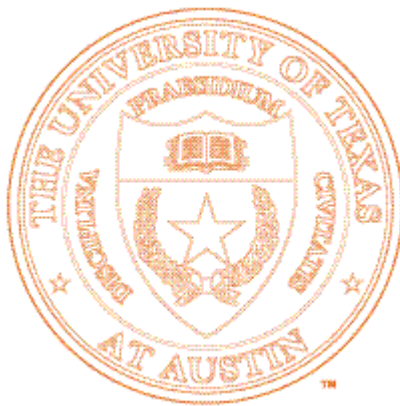
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I. Presidential Report

STATE OF ATHLETICS COMPLIANCE

ANNUAL REPORT TO THE PRESIDENT 2005-2006



THE UNIVERSITY OF TEXAS
OFFICE OF ATHLETICS COMPLIANCE
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THE UNIVERSITY OF TEXAS
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Historical Overview of the Office
2002-2006



The compliance office has made a number of changes over the past four years. The athletics departments continue to devote resources and prioritize effective compliance operations. This overview serves to highlight the changes and trends of the office by taking an annual snapshot of its progress. Trends which require further explanation are as follows:

- The amount of interpretations rendered appears to be increasing annually, with a total count this past year of 747. This tendency demonstrates that the coaches and university community are proactively engaged in assuring they are following the NCAA regulations. The compliance staff devotes a majority of its time to this process, but believes that it makes evident the daily efforts the athletics departments take to comply. This process also has been beneficial to institutions involved in NCAA major infractions cases. It serves to document all staff, student-athlete, and constituency interactions with the compliance staff and can serve as an example of institutional control.
- The violations reported show that the monitoring efforts by the athletics departments are broad and have increased significantly since the first two years. Personnel changes have afforded the compliance staff the opportunity to conduct more comprehensive reviews. This has improved its monitoring and reporting of violations. The challenge now is keeping up with the volume of allegations and working through them in a consistent manner to ensure integrity in the investigative process.
- Waivers processed have decreased significantly over the past four years. This development is a direct result of the enhanced educational initiatives and monitoring systems, which allow the departments to be proactive and out in front of issues, thereby rectifying problems before they require waivers.

The overview is broken down by academic year. Each annual summary contains a personnel chart and is organized in accordance with the NCAA bylaws.



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 2002-2003



INTERNAL STAFF:

Title	Name of Individual	Status in Office
<i>Assistant Athletics Director for Compliance</i>	<i>Amy Folan</i>	<i>Start Date: June 2002</i>
<i>Compliance Coordinator</i>	<i>Leroy Sutherland</i>	<i>Transferred to Academic Services: January 2003</i>
Eligibility Coordinator (Fall)/Monitoring Coordinator (Spring)	Carol Hastings	Continuing; Title Change: February 2003
Financial Aid Certification Administrator	Karen Jenke	Continuing
Administrative Assistant	Mindy Thompson	Continuing
<i>Graduate Assistant</i>	<i>Jennie Kerr</i>	<i>Start Date: May 2003</i>

EXTERNAL STAFF:

Title	Name of Individual	Status in Office
Administrative Associate for Initial Eligibility	Allison Taylor	Continuing from June 1999
<i>Assistant Registrar</i>	<i>Mike Kirkendall</i>	<i>Start Date: May 2003</i>

Note: *Italics* denotes transition of staff member in the year (e.g. arrival, departure, promotion).

ENHANCEMENTS:

Legislative Process – Bylaw 5

- Documented NCAA and Big 12 Conference rules interpretations.
- Provided athletics departments with a review of the NCAA convention and adopted legislation review.
- Submitted Legislative Review Interpretations Subcommittee (LR/IC) requests to the NCAA (Attachment B).



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2002-2003*



Institutional Control – Bylaw 6

- Hired an assistant athletics director for compliance to enhance compliance operations.
- Reviewed and assessed compliance office operations and staffing with the Men's and Women's Athletics Directors.
- Arranged the University President's meeting with the athletics staff to communicate his expectations for NCAA rules compliance.
- Implemented the President's suggestions after he reviewed the athletics compliance operations from an institutional perspective.
- Transitioned certification of student-athlete eligibility to a position in the Office of the Registrar.

Personnel – Bylaw 11

- Implemented of volunteer coach designation and monitoring policy and procedure.

Amateurism – Bylaw 12

- Conducted the first annual seminar on professional athlete advising for student-athletes and parents.
- Conducted a department-wide educational session regarding the NCAA restrictions on the use of student-athlete names and likeness.

Eligibility – Bylaw 14

- Conducted training for assistant registrar in the certification of eligibility for student-athletes.

Financial Aid – Bylaw 15

- Reviewed and revised financial aid squad list procedures in accordance with NCAA regulations.

Enforcement Procedures – Bylaw 19/32

- Completed report to the NCAA Committee on Infractions.
- Detected and reported secondary infractions (Attachment C).

Educational Initiatives and Training

- Provided NCAA education at Longhorn Foundation donor/booster club meetings in Dallas, San Antonio and Austin.
- Implemented coaches' rules education program.
- Created monthly compliance calendars for coaching staffs.
- Conducted student-athlete fall educational presentation for the completion of paperwork by all student-athletes.



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Historical Overview of the Office
2002-2003***



- Implemented weekly compliance staff meetings.
- Developed compliance office webpage through athletics department website (www.texassports.com).

Miscellaneous

- Instrumental in the development of consistent email addresses for athletics department staff.

General Evaluation Activities

- Big 12 Conference conducted in-person compliance office review.
- Presented on Financial Aid Issues at Big 12 Conference Summer Rules Workshop.



THE UNIVERSITY OF TEXAS
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Historical Overview of the Office
 2003-2004



INTERNAL STAFF:

Title	Name of Individual	Status in Office
Associate Athletics Director for Compliance	Amy Folan	Continuing; <i>Promotion Date: October 2003</i>
<i>Compliance Coordinator</i>	<i>Lori Smith</i>	<i>Start Date: June 2003</i>
Monitoring Coordinator	Carol Hastings	Continuing
<i>Financial Aid Certification Administrator</i>	<i>Karen Jenke</i>	<i>Transitioned to External Staff: January 2004</i>
<i>Assistant Compliance Coordinator</i>	<i>Bobby Darnell</i>	<i>January 2004 to May 2004</i>
Administrative Associate	Mindy Thompson	Continuing; <i>Promotion Date: August 2003</i>
Graduate Assistant	Jennie Kerr	Continuing; <i>End Date: May 2004</i>
<i>Graduate Assistant</i>	<i>Aketa Emptage</i>	<i>Start Date: July 2003</i>
<i>Graduate Assistant (Volunteer)</i>	<i>Stratos Apostolou</i>	<i>May 2004 to August 2004</i>
<i>Summer Intern</i>	<i>Greg Mette</i>	<i>June 2004 to August 2004</i>

EXTERNAL STAFF:

Title	Name of Individual	Status in Office
Administrative Associate for Initial Eligibility	Allison Taylor	Continuing
Assistant Registrar	Mike Kirkendall	Continuing
<i>Senior Administrative Associate for Registrar</i>	<i>Michele Ewan</i>	<i>Start Date: February 2004</i>
<i>Financial Aid Certification Administrator</i>	<i>Karen Jenke</i>	<i>Continuing; Start Date in Financial Aid Office: January 2004</i>

Note: *Italics* denotes transition of staff member in the year (e.g. arrival, departure, promotion). **Bold** indicates a new position.



*THE UNIVERSITY OF TEXAS
OFFICE OF ATHLETICS COMPLIANCE
Historical Overview of the Office
2003-2004*



ENHANCEMENTS:

Legislative Process – Bylaw 5

- Formalized and enhanced the interpretations process by documenting and filing all interpretations in accordance with NCAA Bylaws.
- Interpreted issues for the UT community (Attachment B).
- Submitted Legislative Review Interpretations Subcommittee (LR/IC) requests to the NCAA (Attachment B).

Institutional Control – Bylaw 6

- The President met with the athletics department staff to communicate his expectations for NCAA rules compliance.
- Created gift-in-kind form for monitoring gifts to the institution and/or the athletics staff.

Ethical Conduct – Bylaw 10

- Developed an unethical conduct statement template for use in the investigation process.
- Developed and distributed gambling reminders to all athletics staff and student-athletes surrounding March Madness.

Personnel – Bylaw 11

- Developed system to monitor coaching staff limitations.
- Developed and conducted NCAA Coaches Certification Exam review and administered the test in accordance with NCAA and Big 12 regulations.
- Developed outside income policy and procedure and monitoring system.
- Developed a volunteer coach Frequently Asked Questions document.
- Developed a volunteer coach educational session agenda.

Amateurism – Bylaw 12

- Initiated communication with University's trademark and licensing office to discuss enhancements in cease and desist letters.
- Enhanced the student-athlete agent policy and procedure and submitted it to the Intercollegiate Athletics Men's and Women's Councils.
- Enhanced promotional items approval process with the marketing department and Foundation.
- Monitored football fan appreciation activities relating to memorabilia.
- Monitored baseball fan appreciation activities relating to memorabilia.



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Historical Overview of the Office
2003-2004



- Created release statement for student-athletes participating in commercial activities specifically for sport skill instruction purposes.
- Created agent and professional sports draft educational document for student-athletes.
- Developed prospective student-athlete amateurism questionnaire for all incoming student-athletes.

Recruiting – Bylaw 13

- Created off-campus recruiting policy and procedure including the requirement for approval prior to reimbursement.
- Created official visit policy and procedure that included compliance office approval prior to reimbursement.
- Convened Recruiting Subcommittee to review official visit policies and procedures and recommend enhancements as directed through the athletics department benchmark study to address nationally significant recruiting concerns.
- Implemented a consistent monitoring system to track the limitations on the number of official visits in the sports of football, men's basketball, women's basketball, and baseball.
- Developed policy and procedure, form and database for monitoring unofficial visits.
- Established telephone call policy and procedure and monitoring system for recruiting calls.
- Enhanced compliance office camps and clinics policy and procedure through collaboration with the business offices.
- Created student-athlete approval form for summer camps employment.
- Developed form and database for monitoring coaches' appearances.
- Developed and distributed charts outlining summer rules for signed prospects and coaching staffs.
- Implemented a tracking sheet and templates for processing student-athlete requests for permission to speak to other institutions.
- Created and distributed dead period reminders to coaches and affected athletics staff.

Eligibility – Bylaw 14

- Review of eligibility certification regulations and reports with the Office of the Registrar.
- Developed system to monitor and report student-athletes' full-time enrollment required for competition.
- Created spreadsheet for tracking student-athletes' participation in competitions to monitor the use of seasons of competitions.
- Implemented approval form and process for student-athlete outside competition.
- Revised and enhanced annual student-athlete institutional paperwork to be administered in conjunction with required NCAA and Big 12 Conference forms.



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2003-2004*



- Developed walk-on clearance policy and procedure.
- electronic eligibility certification system (EASI).
- Conducted weekly eligibility meetings with the Registrar and Admissions Office compliance contacts.

Awards and Benefits – Bylaw 15

- Developed policy for disbursement of NCAA Student-Athlete Opportunity Funds.
- Developed monitoring system for tracking outside scholarships for student-athletes.

Awards and Benefits – Bylaw 16

- Developed occasional meal policy and procedure and monitoring system.
- Created student-athlete outside award approval form.
- Developed student-athlete awards policy and procedure and approval form.
- Developed holiday meals spreadsheets for men's and women's basketball.
- Created document of Frequently Asked Questions for medical expenses.

Playing Seasons – Bylaw 17

- Created playing and practice season documentation to track countable athletically-related activities, established submission expectations and implemented weekly monitoring system.
- Enhanced declaration of playing and practice season documentation in all sports.

Postseason Events - Bylaw 18

- Enhanced athletics department drug testing policies and procedures.
- Administered NCAA affidavits for student-athletes in the sports of football, men's basketball, women's basketball, and baseball.

Academic Performance Program – Bylaw 23

- Created system for determining the Academic Progress Rate for scholarship student-athletes.
- First-time for submitting APR data to NCAA.

Enforcement Procedures – Bylaw 19/32

- Completed final report to the NCAA Committee on Infractions.
- Created a database to track secondary violations reported to the NCAA and Big 12 Conference Office.
- Detected and reported secondary violations (Attachment C).

Educational Initiatives and Training

- Conducted educational session for athletics department administrative associates.



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Historical Overview of the Office
2003-2004



- Conducted educational session on athletics memorabilia policy at a Texas Exes function.
- Conducted educational session for incoming students at the Torch Light and Pep Rally.
- Conducted educational session for academic counselors.
- Conducted gambling educational session with all athletics department staff prior to March Madness.
- Conducted educational sessions at men's and women's basketball summer camps.
- Conducted educational session for Longhorn Advisory Council.
- Developed compliance office continuing education sessions among the compliance staff.
- Conducted educational session with representatives of the college deans and athletics academic department to discuss student-athlete advising policies and procedures.
- Conducted booster educational sessions conducted at the West Austin Rotary Club and Texas Exes Council.
- Formalized a system to monitor attendance at coaches' meetings.
- Conducted student-athlete end-of-year education meetings for all sports.

Miscellaneous

- Instrumental in the athletics department's implementation of Microsoft Outlook on all staff computers and the embrace of technological enhancements to increase staff efficiency and effectiveness.

General Evaluation Activities

- Created football game day audit program to monitor complimentary admissions process and recruiting regulations.
- Created coaches' quizzes in conjunction with all coaches meetings to evaluate coaches' retention of information presented at meetings.
- Initiated a compliance office internal study at the direction of the athletics director.
- Filed waivers on behalf of athletics departments (Attachment D).



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Historical Overview of the Office
 2004-2005



INTERNAL STAFF:

Title	Name of Individual	Status in Office
Associate Athletics Director for Compliance	Amy Folan	Continuing
Compliance Coordinator	Lori Smith	Continuing
<i>Assistant Compliance Coordinator</i>	<i>Rhonda Place</i>	<i>Start Date: July 2004</i>
<i>Monitoring Coordinator</i>	<i>Carol Hastings</i>	<i>Transferred to Sports Information Office: December 2004</i>
<i>Compliance Assistant</i>	<i>Kaari Zamora</i>	<i>Start Date: January 2005</i>
Administrative Associate	Mindy Thompson	Continuing
Graduate Assistant	Aketa Emptage	Continuing; <i>End Date: August 2005</i>
<i>Graduate Assistant</i>	<i>Matt Burgemeister</i>	<i>Start Date: February 2005</i>

EXTERNAL STAFF:

Title	Name of Individual	Status in Office
Administrative Associate for Initial Eligibility	Allison Taylor	Continuing
Assistant Registrar	Mike Kirkendall	Continuing
Senior Administrative Associate for Registrar	Michele Ewan	Continuing
Financial Aid Certification Administrator	Karen Jenke	Continuing
<i>Director of Career Development/Life Skills</i>	<i>Mike Sanders</i>	<i>Start Date: Summer 2002</i>

Note: *Italics* denotes transition of staff member in the year (e.g. arrival, departure, promotion). **Bold** indicates a new position.



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Historical Overview of the Office
2004-2005*



ENHANCEMENTS:

Legislative Process – Bylaw 5

- Development of a formalized tracking system for all interpretations issued by the compliance staff.
- Submitted Legislative Review Interpretations Subcommittee (LR/IC) requests to the NCAA (Attachment B).

Institutional Control – Bylaw 6

- The President met with the athletics department staff to communicate his expectations for NCAA rules compliance.
- Implemented NCAA chart of duties for staff.

Ethical Conduct – Bylaw 10

- Revised unethical conduct statement template for use in the investigations process.
- Enhanced gambling reminders and education for all athletics staff and student-athletes surrounding March Madness.

Personnel – Bylaw 11

- Revised and enhanced coaching staff limitations spreadsheet for tracking the number, duties and off-campus recruiter regulations.
- Developed new coach and administrative assistant orientation guide for review upon hire.
- Enhanced coaches' appearance approval process to include tracking system for appearance fees to ensure reported on annual athletically related outside income.
- Created volunteer coach educational session agenda.

Amateurism – Bylaw 12

- Enhanced the annual seminar on professional athlete advising for student-athletes and parents.
- Monitored baseball fan appreciation activities relating to memorabilia.
- Revised and enhanced prospective student-athlete amateurism questionnaire for all incoming student-athletes.
- Enhanced the process for assisting student-athletes with disability insurance applications.

Recruiting – Bylaw 13

- Revised and enhanced official visit policy and procedures to incorporate newly adopted NCAA legislation.
- Revised and enhanced unofficial visit form.



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2004-2005*



- Coordinated with the Freshman Admissions Office to use the Students Helping Admissions Recruitment Efforts (SHARE) group to assist in the athletics departments' recruitment of prospective student-athletes.
- Developed policy and prior approval form for use of any institutional facility by an outside entity.
- Created policy and approval form for donation of used athletics items.

Eligibility – Bylaw 14

- Enhanced process for tracking student-athletes participation in competitions to monitor seasons of competitions.
- Revised and enhanced walk-on clearance policy and procedure.
- Developed form for non-recruited, non-participant individuals.

Financial Aid – Bylaw 15

- Revised policy for disbursement of NCAA Student-Athlete Opportunity Funds.
- Enhanced student-athlete employment forms and approval process.
- Conducted weekly meetings with the financial aid office compliance contact.
- Enhanced National Letter of Intent and Athletics Scholarship Agreement tracking spreadsheet and process.

Awards and Benefits – Bylaw 16

- Revised and enhanced occasional meal approval form.
- Revised and enhanced student-athlete awards approval policy and procedure and form to include federal taxation requirements.
- Enhanced vacation meal spreadsheets to include all sports in their declared playing season during a vacation period.

Playing Seasons – Bylaw 17

- Codified policy and procedures.

Postseason Events - Bylaw 18

- Administered NCAA affidavits for student-athletes in the sports of football, men's basketball, women's basketball, and baseball.

Administrative Regulations – Bylaw 30

- Revised online Student-Athlete System (SAS) to enable required annual student-athlete paperwork to be completed electronically and provide more efficient means for review by the compliance staff.



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2004-2005*



Enforcement Procedures – Bylaw 19/32

- Created investigations tracking spreadsheet to monitor the status of all internal investigations.
- Detected and reported secondary violations (Attachment C).

Educational Initiatives and Training

- Enhanced gambling educational session with all athletics department staff prior to March Madness.
- Conducted educational sessions at men's and women's basketball summer camps.
- Enhanced student-athlete fall and spring education meetings for all sports.
- Conducted educational session on basketball certified events.
- Enhanced monthly compliance calendars to include important meetings and deadlines.

General Evaluation Activities

- Participated in athletics department benchmark study by developing a peer-review plan of comparable Division I-A institutions for the 2004-2005 academic year.
- Finalized plan to incorporate the athletics councils in annual audits of the compliance office.
- Visited Ohio State, Michigan, Stanford, Georgia, Notre Dame, and Florida for the benchmark study peer-review plan.
- Invited by NCAA to peer present at NCAA regional rules seminars for Bylaw 11 issues.
- Filed waivers on behalf of athletics departments (Attachment D).



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Historical Overview of the Office
 2005-2006



INTERNAL STAFF:

Title	Name of Individual	Status in Office
Associate Athletics Director for Compliance	Amy Folan	Continuing
Director of Compliance	Lori Smith	Continuing; <i>Promotion Date: September 2005</i>
Assistant Compliance Coordinator	Rhonda Place	Continuing
Compliance Assistant	Kaari Zamora	Continuing
Compliance Assistant	<i>Elizabeth Heinrich</i>	<i>Start Date: May 2006</i>
Administrative Associate	Mindy Thompson	Continuing
Graduate Assistant	Matt Burgemeister	Continuing; <i>End Date: June 2006</i>
<i>Graduate Assistant</i>	<i>Vanessa Allaway</i>	<i>Start Date: July 2005</i>
<i>Summer Intern</i>	<i>Marcus Myers</i>	<i>June 2006 to August 2006</i>
<i>Summer Intern</i>	<i>Rashad Bobino</i>	<i>June 2006 to August 2006</i>

EXTERNAL STAFF:

Title	Name of Individual	Status in Office
Administrative Associate for Initial Eligibility	Allison Taylor	Continuing
Associate Registrar	Mike Kirkendall	Continuing; <i>Promotion: July 2005</i>
Senior Administrative Associate for Registrar	Michele Ewan	Continuing
Financial Aid Certification Administrator	Karen Jenke	Continuing
Director of Career Development/Life Skills	Mike Sanders	Continuing
<i>Athletics Recruitment Volunteer Coordinator</i>	<i>Valerie Oswald</i>	<i>Start Date: January 2006</i>

Note: *Italics* denotes transition of staff member in the year (e.g. arrival, departure, promotion). **Bold** indicates a new position.



*THE UNIVERSITY OF TEXAS
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Historical Overview of the Office
2005-2006*



ENHANCEMENTS:

Legislative Process – Bylaw 5

- Designated Director of Compliance to oversee the interpretations process for the compliance staff.
- Submitted request to review the regulations for providing gift cards as awards for student-athletes to the Legislative Review Interpretations Committee.
- Developed legislative process policy and procedure to coincide with the NCAA legislative calendar.
- Submitted Legislative Review Interpretations Subcommittee (LR/IC) requests to the NCAA (Attachment B).

Institutional Control – Bylaw 6

- The President met with the athletics department staff to communicate his expectations for NCAA rules compliance.

Ethical Conduct – Bylaw 10

- Developed strategic plan for Bylaw 10.3.

Personnel – Bylaw 11

- Revised coaching staff limitations spreadsheet to incorporate tracking system for coaches' completion of the 2006-07 Big 12 Exam.
- Revised and enhanced outside income policy and procedure to incorporate institutional regulations.

Amateurism – Bylaw 12

- Enhanced football student-athlete and parent professional career educational session and forum.
- Revised autograph memorabilia policy to require all requests be distributed for a fee through Longhorn Limited.
- Revised student-athlete appearance approval process to be coordinated through student-services.

Recruiting – Bylaw 13

- Revised telephone call policy and procedure requiring coaches to use phone bills to document all recruiting calls.
- Revised and enhanced charts outlining summer rules for signed prospects and distributed to coaching staffs.



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2005-2006



- Developed Athletics Recruitment Volunteer Coordinator position in cooperation with the Freshman Admissions Office.
- Created a handout comparing the old versus new NCAA regulations for recruiting materials.
- Developed policy and prior approval form for monitoring meals for prospects at the Longhorn Dining Hall.

Eligibility – Bylaw 14

- Developed policies and procedures for the eligibility certification process.
- Revised report of travel squad and missed classes form to meet the needs of both compliance and the academic services offices.
- Revised and enhanced roster verification process and forms.
- Enhanced business process with registrar's office through documentation of weekly meeting minutes and distribution to athletics directors, faculty athletics representative, vice president for legal affairs, and associate athletics director for compliance.
- Enhanced business process with admissions office through documentation of weekly meeting minutes and distribution to athletics directors, faculty athletics representative, vice president for legal affairs, and associate athletics director for compliance.

Financial Aid – Bylaw 15

- Revised and enhanced student-athlete employment approval and monitoring process.
- Developed Bylaw 15 working timeline.
- Created quick guide of financial aid documents to assist in the processing of National Letters of Intent and Athletics Scholarship Agreements.
- Enhanced business process with the financial aid office through documentation of weekly meeting minutes and distribution to athletics directors, faculty athletics representative, vice president for legal affairs, and associate athletics director for compliance.

Awards and Benefits – Bylaw 16

- Revised and enhanced vacation meal spreadsheets and distributed them to all sports remaining in their declared playing season during vacation periods.
- Developed preseason and vacation meal expense chart as a guide to developing meals charts.
- Revised and enhanced institutional liability release form and process.

Postseason Events - Bylaw 18

- Enhanced athletics department drug testing policies and procedures.



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- Administered NCAA affidavits for student-athletes in the sports of football, men's basketball, women's basketball, and baseball.

Academic Performance Program – Bylaw 23

- Enhanced the system for determining the Academic Progress Rate for scholarship student-athletes.

Administrative Regulations – Bylaw 30

- Enhanced online Student-Athlete System (SAS) to enable required annual student-athlete paperwork to be completed electronically and provide more efficient means for review by the compliance staff.

Enforcement Procedures – Bylaw 19/32

- Enhanced investigations tracking spreadsheet.
- Enhanced database to track secondary violations reported to the NCAA and Big 12 Conference Office.
- Enhanced investigations tracking spreadsheet and process.
- Designated Assistant Compliance Coordinator to oversee enforcement process for the compliance office.
- Detected and reported secondary violations (Attachment C).

Educational Initiatives and Training

- Revised and enhanced all staff educational compliance meetings.
- Conducted educational sessions at men's and women's basketball summer camps.
- Created Compliance Round-Up challenge for coaches meetings.
- Documented minutes for all compliance-related meetings.
- Recorded all coaches meetings and developed process for ensuring coaches' absent from meetings review the recorded meeting and corresponding materials.
- The compliance staff attended and presented best practices in athletics compliance at the University of Texas systems meetings.
- Presented University of Texas best practices in volunteer coach, telephone call monitoring, off-campus recruiting, interpretations tracking and National Letter of Intent administration at the Big 12 Conference fall meeting.
- The compliance office staff participated in the Covey: Seven Habits of a Highly Effective Person seminar.
- Created football schedule card for 2006 season with "Rules of the Game" for inclusion in the season ticket mailing and distribution at booster functions.
- Reviewed and revised compliance sections in the student-athlete handbook for the 2006-07 academic year.



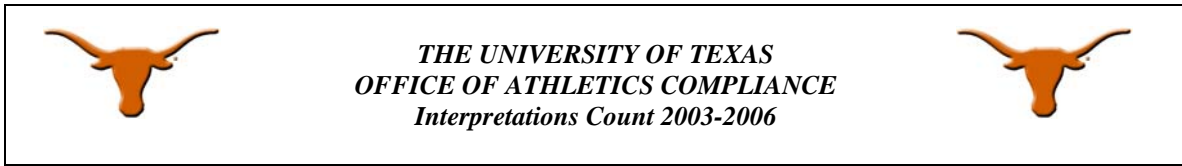
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Historical Overview of the Office
2005-2006



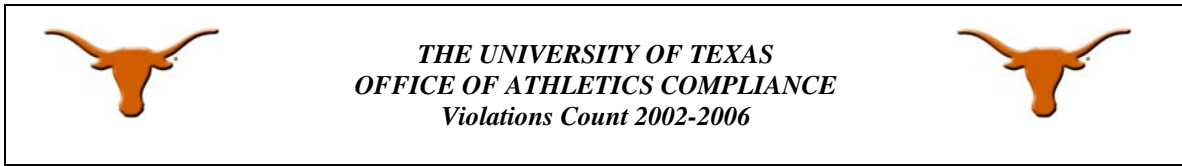
- Participated in SHARE orientation, providing education on NCAA and institutional regulations that pertain to their involvement in recruiting visits.
- Developed compliance office liaisons to various athletics department staffs.
- Invited by the Big 12 Conference to present on the University of Texas' best practices in athletics eligibility certification.

General Evaluation Activities

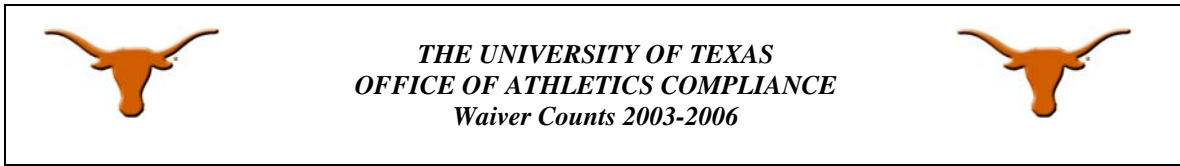
- Athletics councils conducted audits of the compliance office in all NCAA operating bylaws.
- Internal audit conducted review of NCAA Bylaw 13.
- Filed waivers on behalf of athletics departments (Attachment D).



	2003-2004	2004-2005	2005-2006
Bylaw 10 - Ethical Conduct	0	0	1
Bylaw 11 - Personnel	17	29	54
Bylaw 12 -Amateurism	16	64	71
Bylaw 13 - Recruiting	102	308	327
Bylaw 14 - Eligibility	18	69	64
Bylaw 15 - Financial Aid	9	33	18
Bylaw 16 - Extra Benefits	57	139	146
Bylaw 17 - Playing & Practice Seasons	11	34	36
Bylaw 23 – Academic Performance Program	0	0	1
Bylaw 30 - Administrative Regulations	3	2	30
NCAA Legislative Review Interpretation Committee	1	0	0
NCAA Sport Rules	0	1	1
Institutional Policy	0	1	20
Big 12 Conference Rules	0	1	6
National Letter of Intent Policy	0	0	1
Totals	234	683	746

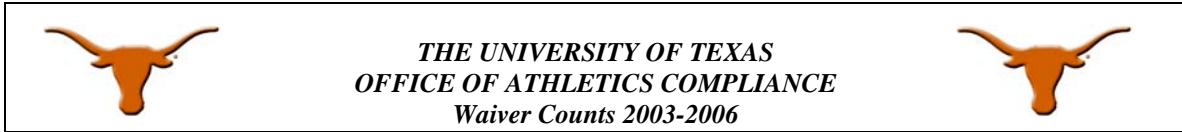


Bylaw	2002-2003	2003-2004	2004-2005	2005-2006
Article 3.2.4.5.2	0	0	1	0
Bylaw 11 – Personnel	0	0	0	5
Bylaw 12 - Amateurism	7	6	10	12
Bylaw 13 - Recruiting	7	4	20	27
Bylaw 14 - Eligibility	1	2	6	2
Bylaw 15 – Financial Aid	2	4	4	2
Bylaw 16 – Extra Benefits	0	8	7	3
Bylaw 30	0	0	1	0
Totals	17	24	50	45



Waiver Type	Total Number Filed	Approved	Denied	Pending at conclusion of 2003-2004	Withdrawn
6 th Year	1	0	1	0	0
ARS	19	10	2	0	7
Conference Rules	1	1	0	0	0
Full time Enrollment	4	4	0	0	0
Incidental Expense	22	22	0	0	0
Initial Eligibility	5	4	1	0	0
Learning Disability Waiver	0	0	0	0	0
Medical Absence	5	4	1	0	0
Medical Hardship	11	7	2	0	2
Progress Towards Degree	2	0	1	0	1
Totals	70	52	8	0	10

Waiver Type	Total Number Filed	Approved	Denied	Pending at conclusion of 2004-2005	Withdrawn
6 th Year	0	0	0	0	0
ARS	15	10	1	0	4
Conference Rule 6.5	0	0	0	0	0
Full time Enrollment	4	4	0	0	0
Incidental Expense	19	18	1	0	0
Initial Eligibility	2	2	0	0	0
Learning Disability Waiver	4	4	0	0	0
Medical Absence	3	2	0	0	1
Medical Hardship	5	1	0	2	2
Progress Towards Degree	13	6	2	0	5
Totals	65	47	4	2	12



Waiver Type	Total Number Filed	Approved	Denied	Pending at conclusion of 2005-2006	Withdrawn
6 th Year	2	1	0	1	0
ARS	8	3	2	0	3
Conference Rule 6.5	1	0	0	1	0
Full Time Enrollment	0	0	0	0	0
Incidental Expense	15	15	0	0	0
Initial Eligibility	1	1	0	0	0
Learning Disability	0	0	0	0	0
Medical Absence	2	1	0	1	0
Medical Hardship	5	2	0	3	0
Progress Towards Degree	3	1	0	0	2
Totals	37	24	2	6	5

C. Daily Oversight of Office Operations



Athletics Compliance Office Areas of Oversight for Daily Operations 2006-2007



Bylaw	5 Legislative Authority and Process	6 Institutional Control	10 Ethical Conduct	11 Conduct/Employ- ment of Athletics Personnel	12 Amateurism	13 Recruiting	14 Eligibility: Academic and General Requirements	15 Financial Aid	16 Awards, Benefits and Expenses	17 Playing and Practice Seasons	19/32 Enforcement	22 Athletics Certification	23 Academic Performance Program	30 Administrative Regulations
Auditing Oversight	Amy Folan	Amy Folan	Amy Folan	Amy Folan	Amy Folan/Rhonda Place	Amy Folan/Lori Smith	Amy Folan	Amy Folan	Amy Folan	Amy Folan	Amy Folan	Amy Folan	Amy Folan	Amy Folan
Primary Daily Operations Administrator	Lori Smith	Lori Smith	Elizabeth Heinrich	Lori Smith	Elizabeth Heinrich	Rhonda Place	Lori Smith	Rhonda Place	Elizabeth Heinrich	Elizabeth Heinrich	Rhonda Place	Lori Smith	Lori Smith	Elizabeth Heinrich
Secondary Daily Operations Administrator	Cara Singel	Rhonda Place/ Elizabeth Heinrich/ Cara Singel	Cara Singel	Rhonda Place	Cara Singel	Elizabeth Heinrich	Rhonda Place	Lori Smith	Cara Singel	Cara Singel	Elizabeth Heinrich	Rhonda Place/ Elizabeth Heinrich/ Cara Singel	Cara Singel	Cara Singel

Overview of Job Responsibilities	Lori	Rhonda	Elizabeth	Cara
Primary	6	3	5	0
Secondary	1	2 (*)	2 (*)	7 (*)
Overview for Educational Initiatives	Athletics Staff	Coaches	Student Athletes	UT Community External Outreach

The Auditing Oversight is responsible for audit operations of each bylaw on a quarterly basis to ensure established systems and policy and procedures are engaged and functioning.

The Primary Administrator is responsible for conferring with the Associate Athletics Director on the operation of the bylaws and ensuring the chart of duties and the policy and procedures for the assigned Bylaw are accurate, up-to-date and engaged as outlined.

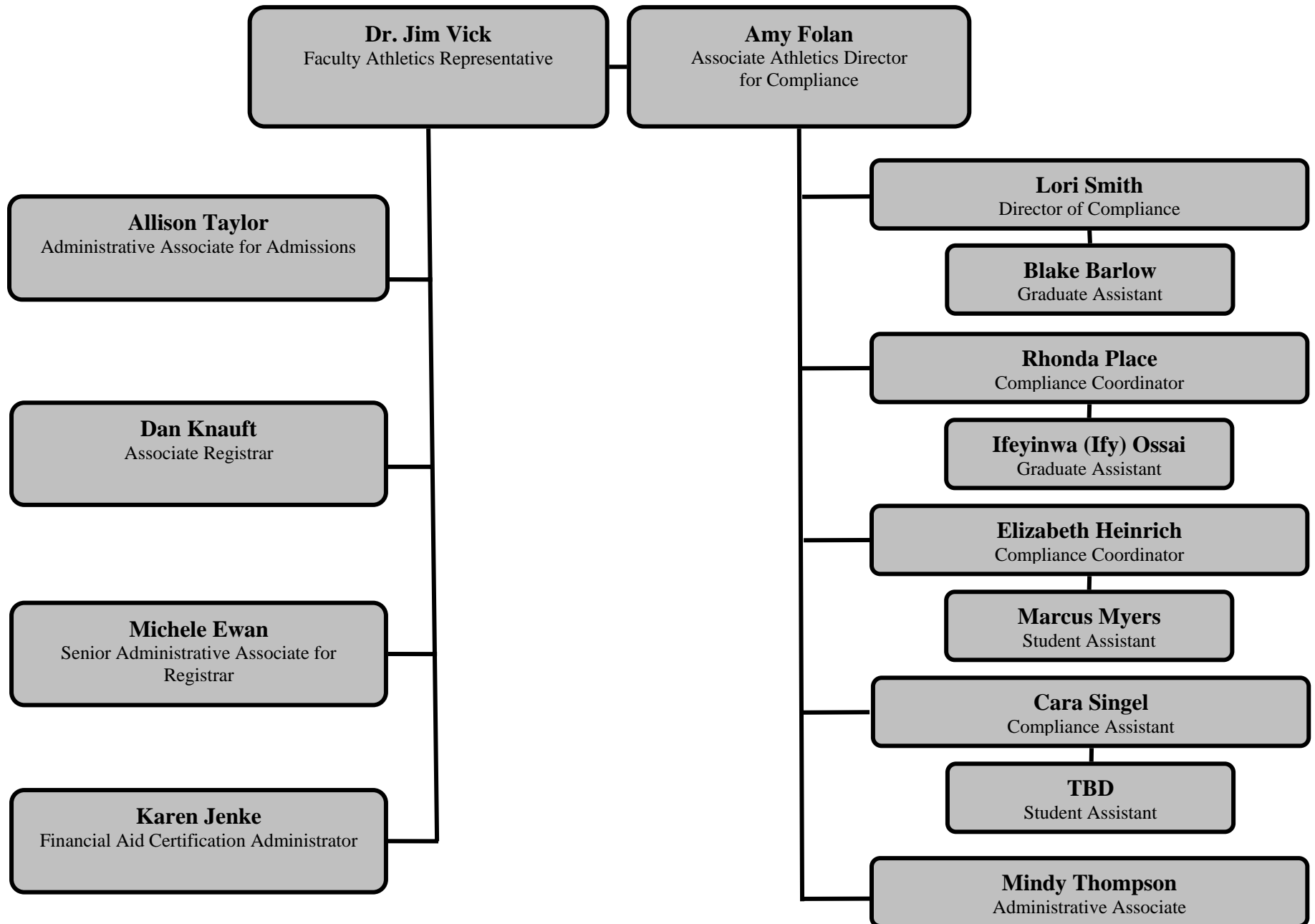
The Secondary Administrator is responsible for completing the duties assigned by the Primary and acting as support to the Primary in this area.

(*) Denotes duties shared w/other office staff member(s).

D. Organizational Chart



THE UNIVERSITY OF TEXAS
OFFICE OF ATHLETICS COMPLIANCE
Organizational Chart



E. NCAA Chart of Duties



THE UNIVERSITY OF TEXAS
OFFICE OF ATHLETICS COMPLIANCE
NCAA CHART OF DUTIES
Daily Oversight Designation



Bylaw	Person Responsible
Constitution 1 – Name, Purposes and Fundamental Policy	Amy Folan
Principle 2.1 – The Principle of Institutional Control and Responsibility	Amy Folan
Principle 2.2 – The Principle of Student-Athlete Welfare	Amy Folan
Principle 2.3 – The Principle of Gender Equity	Amy Folan
Principle 2.4 – The Principle of Sportsmanship and Ethical Conduct	Amy Folan
Principle 2.5 – The Principle of Sound Academic Standards	Amy Folan
Principle 2.6 – The Principle of Nondiscrimination	Amy Folan
Principle 2.7 – The Principle of Diversity within Governance Structures	Amy Folan
Principle 2.8 – The Principle of Nondiscrimination	Amy Folan
Principle 2.9 – The Principle of Amateurism	Amy Folan
Principle 2.10 – The Principle of Competitive Equity	Amy Folan
Principle 2.11 – The Principle Governing Recruiting	Amy Folan
Principle 2.12 – The Principle Governing Eligibility	Amy Folan
Principle 2.13 – The Principle Financial Aid	Amy Folan
Principle 2.14 – The Principle Governing Playing and Practice Seasons	Amy Folan
Principle 2.15 – The Principle governing Postseason Competition and Contests Sponsored by Noncollegiate Organizations	Amy Folan
Principle 2.16 – The Principle Governing the Economy of Athletics Program Operation	Amy Folan
Constitution 3 – NCAA Membership	N/A
Constitution 4 – Organization	N/A
Constitution 5 – Legislative Authority and Process	Amy Folan

<u>Bylaw</u>	<u>Person Responsible</u>
Bylaw 5.4.1.4 – Administrative Review Subcommittee of the Management Council	Elizabeth Heinrich
Bylaw 6.01 – General Principles	Amy Folan
Bylaw 6.1 – Institutional Governance	Amy Folan
Bylaw 6.2 – Budgetary Control	Amy Folan
Bylaw 6.3 – Self-Study and Evaluation	Amy Folan
Bylaw 6.4 – Responsibility for Actions of Outside Entities	Amy Folan
Bylaw 6.5 – Financial Disclosure	Rhonda Place
Bylaw 10.01 – General Principle	Elizabeth Heinrich
Bylaw 10.1 – Unethical Conduct	Elizabeth Heinrich
Bylaw 10.2 – Knowledge of Use of Banned Drugs	Elizabeth Heinrich
Bylaw 10.3 – Gambling Activities	Elizabeth Heinrich
Bylaw 10.4 – Disciplinary Action	Elizabeth Heinrich
Bylaw 11.01 – Definitions and Applications	Lori Smith
Bylaw 11.1 – Conduct of Athletics Personnel	Lori Smith
Bylaw 11.2 – Contractual Agreements	Lori Smith
Bylaw 11.2.2 – Athletically Related Income	Lori Smith
Bylaw 11.3 – Limitations on Compensation and Remuneration	Lori Smith
Bylaw 11.4 – Employment of High-School or Two-Year College Coaches	Lori Smith
Bylaw 11.5 – Certification to Recruit Off Campus	Lori Smith
Bylaw 11.6 – Limitations on Scouting of Opponents	Lori Smith
Bylaw 11.7 – Limitations on the Number and Duties of Coaches	Lori Smith
Bylaw 11.7.4.2.3 – Volunteer Coach	Lori Smith
Bylaw 12.01 – General Principles	Elizabeth Heinrich
Bylaw 12.02 – Definitions and Applications	Elizabeth Heinrich
Bylaw 12.1 – General Regulations	Elizabeth Heinrich

<u>Bylaw</u>	<u>Person Responsible</u>
Bylaw 12.2 – Involvement with Professional Teams	Elizabeth Heinrich
Bylaw 12.3 – Use of Agents	Elizabeth Heinrich
Bylaw 12.4 – Employment	Elizabeth Heinrich
Bylaw 12.4.2 – Specific Athletically Related Employment Activities	Elizabeth Heinrich
Bylaw 12.5 – Promotional Activities	Elizabeth Heinrich
Bylaw 12.5.1.1 – Institutional, Charitable, Educational or Nonprofit Promotions	Elizabeth Heinrich
Bylaw 12.6 – Financial Donations from Outside Organizations	Elizabeth Heinrich
Bylaw 13.01 – General Principles	Rhonda Place
Bylaw 13.02 – Definitions and Applications	Rhonda Place
Bylaw 13.1 – Contacts and Evaluations	Rhonda Place
Bylaw 13.1.1.3 – Four-Year College Prospects	Lori Smith
Bylaw 13.1.1.3.1 – Hearing Opportunity	Lori Smith
Bylaw 13.1.1.3.2 – Student-Athlete Withdrawn form Four-Year College	Lori Smith
Bylaw 13.1.1.3.3 – Transfer from Institution on Probation	Lori Smith
Bylaw 13.1.1.3.4 – Transfer While Ineligible Due to Positive Drug Test	Lori Smith
Bylaw 13.1.1 – Contactable Prospects	Rhonda Place
Bylaw 13.1.2 – Permissible Recruiters	Rhonda Place
Bylaw 13.1.2.1.1 – Off-Campus Recruiters	Rhonda Place
Bylaw 13.1.3 – Telephone Calls to Prospects	Rhonda Place
Bylaw 13.1.5 – Visit to Prospects Educational Institution	Rhonda Place
Bylaw 13.1.6 – Contacts	Rhonda Place
Bylaw 13.1.7 – Contact Restrictions at Specified Sites	Rhonda Place
Bylaw 13.1.8 – Limitations on Number of Evaluations –All Sports	Rhonda Place
Bylaw 13.1.9 – Banquets and Meetings	Rhonda Place
Bylaw 13.2 – Offers and Inducements	Rhonda Place
Bylaw 13.2.4 – Employment of Prospects	Rhonda Place

<u>Bylaw</u>	<u>Person Responsible</u>
Bylaw 13.3 – Admissions and Graduation Data and Banned Drug List	Rhonda Place
Bylaw 13.4 – Recruiting Materials	Rhonda Place
Bylaw 13.5 – Entertainment	Rhonda Place
Bylaw 13.6 – Transportation	Rhonda Place
Bylaw 13.7 – Official (Paid) Visit	Rhonda Place
Bylaw 13.7.5.2 – Complimentary Admissions	Rhonda Place
Bylaw 13.8 – Unofficial (Nonpaid) Visit	Rhonda Place
Bylaw 13.9 – Entertainment, Reimbursement and employment of High-School/College-Preparatory School/Two-Year College Coaches	Rhonda Place
Bylaw 13.10 – Letter-of-Intent Programs, Financial Aid Agreements	Lori Smith
Bylaw 13.11 – Publicity	Rhonda Place/Lori Smith
Bylaw 13.11.2 – Comments Before Signing	Rhonda Place/Lori Smith
Bylaw 13.11.8 – Announcement of Signing	Rhonda Place/Lori Smith
Bylaw 13.12 – Tryouts	Rhonda Place
Bylaw 13.13 – Sports Camps and Clinics	Rhonda Place
Bylaw 13.13.2.3 – Athletics Staff Members	Rhonda Place
Bylaw 13.14 – High-School All-Star Games	Rhonda Place
Bylaw 13.15 – Use of Recruiting Funds	Rhonda Place
Bylaw 13.16 – Precollege Expenses	Rhonda Place
Bylaw 13.17 – U.S. Service Academy Exceptions	N/A
Bylaw 14.01 – General Principles	Lori Smith/Michele Ewan/Allison Taylor
Bylaw 14.02 – Definitions and Applications	Lori Smith/Michele Ewan/Allison Taylor
Bylaw 14.1 – General Eligibility Requirements	Lori Smith/Michele Ewan
Bylaw 14.1.1 – Postseason and Regular-Season Competition	Lori Smith/Michele Ewan
Bylaw 14.1.2/14.1.2.1 – Validity of Academic Credentials	Lori Smith/Michele Ewan

<u>Bylaw</u>	<u>Person Responsible</u>
Bylaw 14.1.3 – Student-Athlete Statement	Lori Smith
Bylaw 14.1.4 – Drug-Testing Consent Form	Elizabeth Heinrich
Bylaw 14.1.6 – HIPAA	Elizabeth Heinrich
Bylaw 14.1.7 – Admission and Enrollment	Lori Smith/Michele Ewan
Bylaw 14.1.8 – Full-Time Enrollment	Lori Smith/Michele Ewan
Bylaw 14.1.9 – Graduate Student/Postbaccalaureate Participation	Lori Smith/Michele Ewan
Bylaw 14.2 – Season's of Competition: Five-Year/Rule	Lori Smith
Bylaw 14.2.4 – Hardship Waiver	Elizabeth Heinrich
Bylaw 14.3 – Freshman Academic Requirements	Rhonda Place/Allison Taylor
Bylaw 14.3.5 – Determination of Freshman Eligibility	Rhonda Place/Allison Taylor
Bylaw 14.4 – Progress Toward Degree Requirements	Lori Smith/Michele Ewan
Bylaw 14.4.1 – Progress Toward Degree Requirements	Lori Smith/Michele Ewan
Bylaw 14.4.3.1 – Fulfillment of Credit-Hour Requirements	Lori Smith/Michele Ewan
Bylaw 14.4.3.1.3 – Hours Earned during Regular Academic Year	Lori Smith/Michele Ewan
Bylaw 14.4.3.1.4 – Designation of Degree Program	Lori Smith/Michele Ewan
Bylaw 14.4.3.1.5 – Hours Earned of Accepted for Degree Credit	Lori Smith/Michele Ewan
Bylaw 14.4.3.2 – Fulfillment of Percentage of Degree Requirements	Lori Smith/Michele Ewan
Bylaw 14.4.3.2.3 – Timing of Certification	Lori Smith/Michele Ewan
Bylaw 14.4.3.3 – Fulfillment of Minimum Grade-Point Average Requirements	Lori Smith/Michele Ewan
Bylaw 14.4.3.6 – Waivers of Progress Toward Degree Rule	Elizabeth Heinrich
Bylaw 14.5 – Transfer Regulations	Lori Smith
Bylaw 14.6 – High-school All-Star Games, Effects on Eligibility	Lori Smith
Bylaw 14.7 – Outside Competition, Effects on Eligibility	Lori Smith
Bylaw 14.7.1.1 – Exception	Lori Smith
Bylaw 14.7.3.2 – Additional Exceptions for Basketball Only	Lori Smith
Bylaw 14.8 – Additional Waivers for Eligibility Requirements	Lori Smith

<u>Bylaw</u>	<u>Person Responsible</u>
Bylaw 14.9 – U.S. Service Academies, Special Eligibility Provisions	N/A
Bylaw 14.10 – Certification of Eligibility	Lori Smith/Michele Ewan
Bylaw 14.10.2 – Squad List Form	Karen Jenke/Lori Smith
Bylaw 14.11 – Ineligibility	Lori Smith/Michele Ewan
Bylaw 14.12 – Restoration of Eligibility	Lori Smith/Michele Ewan
Bylaw 15.01 – General Principles	Rhonda Place
Bylaw 15.01.5 – Eligibility of Student-Athletes for Institutional Financial Aid	Rhonda Place
Bylaw 15.01.6 – Maximum Institutional Financial Aid to Individual	Rhonda Place
Bylaw 15.01.6.1 – Special Assistance Fund	Rhonda Place
Bylaw 15.01.6.2 – Student-Athlete Opportunity Fund	Elizabeth Heinrich
Bylaw 15.01.7 – Sport-by-Sport Financial Aid Limitations	Rhonda Place
Bylaw 15.01.8 – Additional Financial Aid Limitations	Rhonda Place
Bylaw 15.02 – Definitions and Applications	Rhonda Place
Bylaw 15.02.2 – Cost of Attendance	Rhonda Place
Bylaw 15.02.2.1 – Calculation of Cost of Attendance	Rhonda Place
Bylaw 15.02.3 – Counter	Rhonda Place
Bylaw 15.02.4 – Financial Aid	Rhonda Place
Bylaw 15.02.5 – Full Grant-in-Aid	Rhonda Place
Bylaw 15.1 – Maximum Limit on Financial Aid-Individual	Rhonda Place
Bylaw 15.1.1 – Exception for Pell Grant	Rhonda Place
Bylaw 15.2 – Elements of Financial Aid	Rhonda Place
Bylaw 15.2.5 – Government Grants	Rhonda Place
Bylaw 15.2.6 – Financial Aid from Outside Sources	Rhonda Place
Bylaw 15.2.7 – Employment	Rhonda Place
Bylaw 15.3 – Terms and Conditions of Awarding Institutional Financial Aid	Rhonda Place

<u>Bylaw</u>	<u>Person Responsible</u>
Bylaw 15.3.1 – Eligibility of Student-Athletes for Financial Aid	Rhonda Place
Bylaw 15.3.1.4 – Institutional Financial Aid to Professional Athlete	Rhonda Place
Bylaw 15.3.2 – Terms of Institutional Financial Aid	Rhonda Place
Bylaw 15.3.3 – Period of Institutional Financial Aid Award	Rhonda Place
Bylaw 15.3.3.2 – Regular Term vs. Summer Term	Rhonda Place
Bylaw 15.3.4 – Reduction and Cancellation during Period of Award	Rhonda Place
Bylaw 15.3.5 – Renewals and Non-renewals	Rhonda Place
Bylaw 15.5 – Maximum Institutional Grant-in-Aid Limitations by Sport	Rhonda Place
Bylaw 15.5.1.3.1 – Incapacitating Injury or Illness	Rhonda Place
Bylaw 15.5.1.3.2 – Change in Circumstance	Rhonda Place
Bylaw 15.5.1.4 – Aid Not Renewed, Successful Appeal	Rhonda Place
Bylaw 15.5.3 – Equivalency Sports	Rhonda Place
Bylaw 15.5.4 – Basketball Limitations	Rhonda Place
Bylaw 15.5.9 – Changes in Participation	Rhonda Place
Bylaw 16.01 – General Principles	Elizabeth Heinrich
Bylaw 16.02 – Definitions and Applications	Elizabeth Heinrich
Bylaw 16.1 – Awards	Elizabeth Heinrich
Bylaw 16.1.4 – Types of Awards, Awarding Agencies, Maximum Value and Numbers of Awards	Elizabeth Heinrich
Bylaw 16.2 – Complimentary Admissions and Ticket Benefits	Elizabeth Heinrich
Bylaw 16.3 – Academic and Other Support Services	Elizabeth Heinrich
Bylaw 16.4 – Medical Expenses	Elizabeth Heinrich
Bylaw 16.5 – Housing and Meals	Elizabeth Heinrich
Bylaw 16.6 – Expenses for Student-Athlete’s Friends and Relatives	Elizabeth Heinrich
Bylaw 16.7 – Team Entertainment	Elizabeth Heinrich
Bylaw 16.8 – Expenses Provided by the Institution for Practice and Competition	Elizabeth Heinrich

<u>Bylaw</u>	<u>Person Responsible</u>
Bylaw 16.10 – Provision of Expenses by Individuals or Organizations Other Than the Institution	Elizabeth Heinrich
Bylaw 16.11 – Benefits, Gifts and Services	Elizabeth Heinrich
Bylaw 16.11.1.4 – Disabling-Injury Insurance	Elizabeth Heinrich
Bylaw 16.11.1.5 – Occasional Meals	Elizabeth Heinrich
Bylaw 16.11.1.12 – Student-Athlete Opportunity Fund	Elizabeth Heinrich
Bylaw 16.12 – Expense Waivers	Elizabeth Heinrich
Bylaw 17.01 – General Principles	Elizabeth Heinrich
Bylaw 17.02 – Definitions and Applications	Elizabeth Heinrich
Bylaw 17.1 – General Playing-Season Regulations	Elizabeth Heinrich
Bylaw 17.4 – Baseball	Elizabeth Heinrich
Bylaw 17.5 – Basketball	Elizabeth Heinrich
Bylaw 17.7 – Cross Country	Elizabeth Heinrich
Bylaw 17.11 – Football	Elizabeth Heinrich
Bylaw 17.12 – Golf	Elizabeth Heinrich
Bylaw 17.17 – Rowing, Women's	Elizabeth Heinrich
Bylaw 17.20 – Soccer	Elizabeth Heinrich
Bylaw 17.21 – Softball	Elizabeth Heinrich
Bylaw 17.23 – Swimming and Diving	Elizabeth Heinrich
Bylaw 17.26 – Tennis	Elizabeth Heinrich
Bylaw 17.27 – Track and Field, Indoor/Outdoor	Elizabeth Heinrich
Bylaw 17.28 – Volleyball	Elizabeth Heinrich
Bylaw 17.32 – Foreign Tours	Elizabeth Heinrich
Bylaw 17.33 – Playing Rules	Elizabeth Heinrich
Bylaw 18 – Championships and Postseason Football	Elizabeth Heinrich
Bylaw 19 – Enforcement	Rhonda Place
Bylaw 20 – Division Membership	Lori Smith

<u>Bylaw</u>	<u>Person Responsible</u>
Bylaw 20.9 – Division I Membership Requirements	Lori Smith
Bylaw 21 – Committees	Amy Folan
Bylaw 22 – Athletics Certification	Lori Smith
Bylaw 23 – Academic Performance Program	Lori Smith
Bylaw 30 – Administrative Regulations	Elizabeth Heinrich
Bylaw 30.1 – Admissions and Graduation-Rate Disclosure	Elizabeth Heinrich
Bylaw 30.2.1.1 – High-School All-Star Contest Defined	Elizabeth Heinrich
Bylaw 30.3 – Certification of Compliance	Elizabeth Heinrich
Bylaw 30.6 – Five-Year/10-Semester Rule Waiver	Elizabeth Heinrich
Bylaw 31 – Executive Regulations	Amy Folan
Bylaw 32 – Enforcement Policies and Procedures	Rhonda Place
Bylaw 32.4 – Processing Information for Secondary Violations	Rhonda Place
Bylaw 33 – Athletics Certification Policies and Procedures	Lori Smith

F. Bylaw 13



NCAA Bylaw 13 - Recruiting
Plan for Implementation of Athletics
Councils Audit 2005-2006

Purpose: To ensure that the compliance office implements the suggested modifications from the 2005-2006 Athletics Council s Audit in a timely manner.

Modification:	Implementation Plan:	Assigned To:	Start Date:	Due Date:	Completion Date:
Develop a policy statement for NCAA Bylaw 13.5.4 (Transportation to Enroll or to Attend Required Orientation) and cross reference through NCAA Bylaw 16 educational efforts.	<ul style="list-style-type: none"> Develop policy statement. 	Lori Smith	June 26, 2006	June 30, 2006	
	<ul style="list-style-type: none"> Review policy statement with Associate Athletics Director for Compliance. 	Lori Smith Amy Folan	July 3, 2006	July 7, 2006	
	<ul style="list-style-type: none"> Finalize policy statement and present to coaching staffs at August meeting. 	Lori Smith Amy Folan	July 19, 2006	June 21, 2006	
Collaborate with the ticket office to enhance the complimentary admissions policies and requirements of NCAA Bylaws 13.6.6.2 (Official Visit - Complimentary Admissions, 13.7.2	<ul style="list-style-type: none"> Coordinate a meeting with the ticket office to review the current complimentary admission policies and incorporate enhancements. 	Lori Smith Rhonda Place	May 22, 2006	June 1, 2006	May 31, 2006
	<ul style="list-style-type: none"> Develop and/or revise policies and forms according to the discussions in the meeting. 	Lori Smith	July 3, 2006	July 19, 2006	
	<ul style="list-style-type: none"> Review enhanced policies and forms with the ticket office. 	Lori Smith	July 21, 2006	July 26, 2006	
	<ul style="list-style-type: none"> Finalize policies and forms and review with the Associate Athletics Director for Compliance. 	Lori Smith	July 28, 2006	July 31, 2006	



NCAA Bylaw 13 - Recruiting
Plan for Implementation of Athletics
Councils Audit 2005-2006

Purpose: To ensure that the compliance office implements the suggested modifications from the 2005-2006 Athletics Council s Audit in a timely manner.

Modification:	Implementation Plan:	Assigned To:	Start Date:	Due Date:	Completion Date:
(Unofficial Visit – Entertainment/ Tickets), and 13.8.1 (High-School/College-Prep School/Two-Year College Coaches - Entertainment Restrictions).	<ul style="list-style-type: none"> Communicate policies to coaching staffs and administrative support staffs. 	Lori Smith	August 1, 2006	August 4, 2006	
Ensure that the distribution of the admissions/ graduation data and banned drug list is tied into the National Letter of Intent/Financial Aid Agreement approval process (NCAA Bylaw 13.3).	<ul style="list-style-type: none"> Review and/or revise policies. 	Lori Smith	June 26, 2006	June 30, 2006	
	<ul style="list-style-type: none"> Review policy statement with involved staff members. 	Lori Smith Elizabeth Heinrich	July 3, 2006	July 19, 2006	
	<ul style="list-style-type: none"> Review policy statement with Associate Athletics Director for Compliance. 	Lori Smith Amy Folan	July 21, 2006	July 26, 2006	
	<ul style="list-style-type: none"> Finalize policy statement and communicate to affected individuals. 	Lori Smith Elizabeth Heinrich	July 28, 2006	August 4, 2006	



NCAA Bylaw 13 - Recruiting
Plan for Implementation of Athletics
Councils Audit 2005-2006

Purpose: To ensure that the compliance office implements the suggested modifications from the 2005-2006 Athletics Council s Audit in a timely manner.

Modification:	Implementation Plan:	Assigned To:	Start Date:	Due Date:	Completion Date:
Enhance the education of boosters on the NCAA regulations pertaining to boosters' involvement in the recruiting processes and prohibitions outlined in NCAA Bylaws 13.2 (Offers and Inducements), 13.14.4 (Slush Funds),13.14.5 (Alumni Organizations), and 13.15 (Pre-college Expenses). Develop a form that outlines do's and don'ts for boosters and	<ul style="list-style-type: none"> • Develop FAQ to include on schedule cards distributed to season ticket holders in the following sports: <ul style="list-style-type: none"> ◦ Football ◦ Men's Basketball/Women's Basketball 	Lori Smith Amy Folan	March 27, 2006 (FB)	June 15, 2006 (FB)	May 26, 2006 (FB)
			August 1, 2006	September 1, 2006	October 15, 2006 (MBB/WB B)
	<ul style="list-style-type: none"> • Develop compliance statement directed to boosters to be announced and/or displayed at athletics events and provide to appropriate individual to implement. 	Lori Smith Amy Folan	August 1, 2006	August 18, 2006	
	<ul style="list-style-type: none"> • Develop a booster task force. 	Lori Smith Amy Folan	July 1, 2006	August 31, 2006	
	<ul style="list-style-type: none"> ◦ Collect a list of boosters to serve on a booster task force. 	Lori Smith Amy Folan	August 1, 2006	August 31, 2006	
	<ul style="list-style-type: none"> ◦ Schedule a meeting with members of the booster task force to discuss educational initiatives for boosters. 	Lori Smith Amy Folan	September 1, 2006	September 30, 2006	



NCAA Bylaw 13 - Recruiting
Plan for Implementation of Athletics
Councils Audit 2005-2006

Purpose: To ensure that the compliance office implements the suggested modifications from the 2005-2006 Athletics Council s Audit in a timely manner.

Modification:	Implementation Plan:	Assigned To:	Start Date:	Due Date:	Completion Date:
recruiting and/or develop a task force to look into effective means to educate boosters.	<ul style="list-style-type: none"> ◦ Develop plan for implementation of proposed educational initiatives. 	Lori Smith Amy Folan	October 1, 2006	October 15, 2006	
	<ul style="list-style-type: none"> • Conduct an annual meeting with the staff of the Longhorn Foundation and Texas Exes to discuss the NCAA provisions applicable to these alumni organizations. 	Lori Smith Amy Folan	August 1, 2006	December 29, 2006	
	<ul style="list-style-type: none"> • Develop and implement a policy for the monitoring of the provisions outlined in NCAA Bylaw 13.14.5. 	Lori Smith	July 17, 2006	August 1, 2006	
	<ul style="list-style-type: none"> • Incorporate into the athletics councils and/or internal audit reviews, a requirement to audit the alumni organizations financial records in accordance with NCAA Bylaw 13.14.5. 	Lori Smith Amy Folan	August 1, 2006	July 31, 2007	
Develop a policy for monitoring recruiting materials being sent to prospects pursuant to NCAA Bylaw 13.4. The policy shall include an audit schedule for a	<ul style="list-style-type: none"> • Develop policy statement. 	Lori Smith	July 3, 2006	July 14, 2006	
	<ul style="list-style-type: none"> • Review policy statement with Associate Athletics Director for Compliance. 	Lori Smith Amy Folan	July 17, 2006	July 21, 2006	
	<ul style="list-style-type: none"> • Finalize and implement a policy statement. 	Lori Smith	July 24, 2006	August 1, 2006	



NCAA Bylaw 13 - Recruiting
Plan for Implementation of Athletics
Councils Audit 2005-2006

Purpose: To ensure that the compliance office implements the suggested modifications from the 2005-2006 Athletics Council s Audit in a timely manner.

Modification:	Implementation Plan:	Assigned To:	Start Date:	Due Date:	Completion Date:
review of each sport's recruiting materials documentation.					
Educate the business offices and human resources office in regard to the employment conditions of high-school/prep-school/two-year college coaches pursuant to NCAA Bylaw 13.8.3.	<ul style="list-style-type: none"> • Include education on the provisions of NCAA Bylaw 13.8.3 in at least two annual business office meetings and ensure the human resources contact is in the meeting. 	Lori Smith Rhonda Place	June 1, 2006	June 14, 2006	June 14, 2006
			November 1, 2006	November 30, 2006	
Develop a policy that requires the business offices to obtain compliance office approval before permitting the purchase of a published	<ul style="list-style-type: none"> • Coordinate a meeting with the Athletics Business unit to discuss best method for incorporation into business office practices. 	Lori Smith Rhonda Place	June 1, 2006	June 14, 2006	June 14, 2006
	<ul style="list-style-type: none"> • Develop policy and procedure. 	Lori Smith	June 26, 2006	June 30, 2006	
	<ul style="list-style-type: none"> • Review policy with business offices and Associate Athletics Director for Compliance. 	Lori Smith	July 3, 2006	July 7, 2006	



NCAA Bylaw 13 - Recruiting
Plan for Implementation of Athletics
Councils Audit 2005-2006

Purpose: To ensure that the compliance office implements the suggested modifications from the 2005-2006 Athletics Council s Audit in a timely manner.

Modification:	Implementation Plan:	Assigned To:	Start Date:	Due Date:	Completion Date:
recruiting/video service.	<ul style="list-style-type: none"> Finalize and implement a policy statement. 	Lori Smith	July 14, 2006	July 21, 2006	
Revise the current telephone log and contact/evaluation tracking sheets to require coaches to document the classification of the prospect listed.	<ul style="list-style-type: none"> Revise contact/evaluation sheet to include column for classification of prospect. 	Lori Smith	July 1, 2006	August 1, 2006	August 1, 2005
	<ul style="list-style-type: none"> Incorporate into off-campus recruiting policy and procedures the review of each contact/evaluation sheet to ensure each contact was made only with senior prospects. 	Lori Smith	July 1, 2006	July 28, 2006	
	<ul style="list-style-type: none"> Incorporate the following statement into the memorandum to coaching staffs for monthly telephone bills submission “all phone calls initiated were to prospects of permissible age. If a coach initiated contact with a prospect not of permissible age, the information was reported to the compliance office.” 	Lori Smith	July 1, 2006	July 28, 2006	
	<ul style="list-style-type: none"> Incorporate into telephone call policy the requirement for coaches to note the classification of prospects called. 	Lori Smith	July 1, 2006	July 28, 2006	



ATHLETICS COUNCIL REPORT
NCAA BYLAW 13 - RECRUITING
Conducted by Archie Holmes and Sylvie Crum



2.11 The Principle Governing Recruiting

The recruiting process involves a balancing of the interests of prospective student-athletes, their educational institutions and the Association's member institutions. Recruiting regulations shall be designed to promote equity among member institutions in their recruiting of prospects and to shield them from undue pressures that may interfere with the scholastic or athletics interests of the prospects or their educational institutions.

Current Practices

The NCAA recruiting regulations are extensive and the institution has developed thorough policies and procedures over the last three years to monitor NCAA Bylaw 13 Recruiting Regulations. The policies and procedures include:

- Monitoring of off-campus recruiting [References: Division I NCAA Bylaws 13.01 (General Principles), 13.02 (Definitions and Applications), 13.1 (Contacts and Evaluations), 13.2 (Offers and Inducements), and 13.14 (Use of Recruiting Funds)]
- Monitoring of recruiting telephone calls [References: Division I NCAA Bylaws 13.02 (Definitions and Applications) and 13.1.3 (Telephone Calls to Prospects)];
- Monitoring and approval of official visits [References: Division I NCAA Bylaws 13.02.15.2 (Visits by Prospects – Unofficial Visit), 13.1.2 (Permissible Recruiters), 13.5 (Transportation) and 13.7 (Unofficial Non-paid Visit)];
- Monitoring and approval of unofficial visits [References: Division I NCAA Bylaws 13.02.15.1 (Visits by Prospects – Official Visit), 13.1.2 (Permissible Recruiters), 13.5 (Transportation) and 13.6 (Official Paid Visit)];
- Distribution of admissions and graduation rate/banned drug reports [Reference: Division I NCAA Bylaw 13.3 (Admissions and Graduation Data and Banned Drug List)];
- Monitoring of complimentary tickets to prospects [References: Division I NCAA Bylaws 13.6.6.2 (Entertainment/Tickets on Official Visit – Complimentary Admissions), 13.7.2 (Entertainment/Tickets) and 13.8 (Entertainment, Reimbursement and Employment of High School/College-Preparatory School/Two-Year College Coaches)];
- Approval of coach appearance requests [References: Division I NCAA Bylaws 13.1.9 (Banquets, Meetings and NCAA Promotional Activities), 13.12.2.3 (Employment at Camp or Clinic – Athletics Staff Members), 13.12.3 (Coaches' Attendance at Basketball Events) and 13.13 (High-School All-Star Games)];

- Approval of facility usage requests [References: Division I NCAA Bylaws 13.2 (Offers and Inducements), 13.11 (Tryouts), 13.13 (High-School All-Star Games)];
- Monitoring and approval of donations of athletics items/equipment [References: Division I NCAA Bylaws 13.2 (Offers and Inducements) and 13.15 (Pre-college Expenses)];
- Monitoring of camps and clinics [References: Division I NCAA Bylaw 13.12 (Sports Camps and Clinics)]. *****NCAA Bylaw 13.12 was not included in this year's audit and will be addressed in depth next year.*****

Each policy is reviewed on an annual basis and enhanced or revised as required throughout the year.

Recommended Modifications

While noting the University's demonstrated compliance in this area, the following enhancements are suggested to assist the institution in deterring any future occurrences of infractions in this area:

Modification #1- Develop a policy statement for NCAA Bylaw 13.5.4 (Transportation to Enroll or to Attend Required Orientation) and cross reference with NCAA Bylaw 16 educational efforts.

Purpose- Document the institution's efforts to educate and monitor the provisions of NCAA Bylaw 13.5.4 as it is not currently addressed in any Bylaw 13 policies or procedures.

Modification #2- Collaborate with the ticket office to enhance the complimentary admissions policies and ensure those policies meet the requirements of NCAA Bylaws 13.6.6.2 (Official Visit - Complimentary Admissions), 13.7.2 (Unofficial Visit – Entertainment/Tickets), and 13.8.1 (High-School/College-Prep School/Two-Year College Coaches - Entertainment Restrictions).

Purpose- Ensure that the NCAA regulations pertaining to the distribution of complimentary admissions to prospects and prospects' coaches are followed at all times.

Modification #3- Ensure that the distribution of the admissions/graduation data and banned drug list is tied into the National Letter of Intent/Financial Aid Agreement approval process (NCAA Bylaw 13.3).

Purpose- Ensure that the required documents are distributed to any prospect that does not come on an official visit but signs with the institution.

Modification #4- Enhance the education of boosters regarding NCAA regulations related to boosters' involvement in the recruiting process and the prohibitions outlined in NCAA Bylaws 13.2 (Offers and Inducements), 13.14.4 (Slush Funds), 13.14.5 (Alumni Organizations), and 13.15 (Pre-college Expenses). Develop a form that outlines do's and don'ts for boosters in the area of recruiting.

Examine feasibility of developing a task force to research effective means to educate boosters.

Purpose- Strengthen the institution's efforts in educating the donor/booster population regarding NCAA recruiting regulations. These are frequently cited in NCAA major infraction cases.

Modification #5- Develop a policy for monitoring recruiting materials being sent to prospects pursuant to NCAA Bylaw 13.4. The policy shall include an audit schedule for a review of each sport's recruiting materials.

Purpose- Formalize and enhance efforts to monitor recruiting materials sent to prospects.

Modification #6- Educate the business office and human resources office regarding the employment conditions applicable to high-school, prep-school, and two-year college coaches pursuant to NCAA Bylaw 13.8.3.

Purpose- Prevent violations of NCAA regulations pertaining to the employment of prospects' coaches by implementing business controls in the hiring process.

Modification #7- Develop a policy that requires the business office to obtain prior approval from the compliance office before permitting the purchase of a published recruiting or video service.

Purpose- Prevent violations due to lack of knowledge of NCAA regulations pertaining to the use of recruiting and scouting services through established business controls.

Modification #8- Revise the current telephone log and contact/evaluation tracking sheets to require coaches to document the classification of the prospect listed.

Purpose- Monitor the provisions of NCAA Bylaw 13.1.1 (Contactable Prospects) to ensure such recruiting activity is permissible for the documented prospect.

Institutional Control Assessment

A. Adequate Compliance Systems

The institution has adequate systems in place to address NCAA recruiting regulations. The outlined modifications will ensure they are documented and enhanced where appropriate.

B. Adequate Monitoring

An annual review of this area by the athletics councils ensures the assurance that the athletics compliance office meets the expectations of the institution.

C. Commitment to Compliance

The institution has demonstrated its commitment to this process through its established procedures. Such commitment is demonstrated through the athletics departments' hiring of a Compliance Coordinator in June 2003 to develop recruiting monitoring systems and the hiring of an Athletics

Recruitment Volunteer Coordinator in January 2006 to assist in recruiting monitoring.

D. Effective Rules Education

The institution has documented rules education initiatives with coaches, administration, student-athletes, and the booster community. The modifications in this report, when carried out, will strengthen the institution's current practices.



THE UNIVERSITY OF TEXAS
OFFICE OF ATHLETICS COMPLIANCE
STRENGTHS, WEAKNESSES, OPPORTUNITIES, AND THREATS ANALYSIS
NCAA Bylaw 13 - Recruiting



Strengths	What do you do well? What unique resources can you draw on? What do others see as your strengths?
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1. The institution's Office of Internal Audits a completed of review of this bylaw in August 2006.

2. Extensive monitoring systems that have effectively detected violations.

3. This area has the office's most most developed and exhaustive monitoring systems and educational efforts.

Weaknesses	What could you improve? Where do you have fewer resources than others? What are others likely to see as weaknesses?
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1. Volume of work requiring thorough review in a timely manner.

2. Excessive paperwork required from coaches strains office relations with coaches.

Opportunities	What good opportunities are open to you? What trends could you take advantage of? How can you turn your strengths into opportunities?
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1. Assess technological needs to reduce potential errors in monitoring.

2. Create a booster education task force to increase efforts and methods.

3. Need to enhance booster education initiatives.

Threats	What trends could harm you? What is your competition doing? What threats do you weaknesses expose you to?
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1. This bylaw accounts for the majority of NCAA major infractions cases.

2. The involvement in the recruitment process by any individual that is not a designated permissible recruiter will result in a major infractions investigation.

3. Recruiting is the lifeblood to any program and the expectations to succeed at the highest level make this area one of high risk.



NCAA Bylaw 13 – Recruiting Strategic Plan

Purpose: To ensure that the compliance office conducts a comprehensive educational program and effectively monitors and audits activities as they relate to recruiting efforts of prospective student-athletes. This strategic plan outlines planned enhancements to existing education, monitoring and auditing activities for the 2006-2007 academic year.

Compliance personnel: Amy Folan, Lori Smith, Rhonda Place and Elizabeth Heinrich

Target groups: All Athletics Staff, Institutional Staff, Representatives of Athletics Interests/Boosters and Student-Athletes

Item	Educational, Monitoring or Audit (E, M or A)	Target Date	Date of Completion
Incorporate prospects' classifications into the current recruiting Access databases and telephone call reports to demonstrate permissible recruiting activities for prospects.	M/A	July 1, 2006	
Implement telephone call monitoring system that imports all recruiting calls from coaching staffs' telephone bills and develops a report applying all applicable NCAA regulations.	M/A	September 1, 2006	
Develop a task force to review and recommend effective educational initiatives for the representative of athletics interests/booster population.	E	October 15, 2006	
Educate season ticket holders in football, men's basketball and women's basketball through distribution of "rules of the game" schedule cards in conjunction with season ticket distribution (<i>see Bylaw 6 strategic plan</i>).	E	October 15, 2006	
	Football	June 15, 2006	August 15, 2006
	Men's Basketball	October 15, 2006	August 15, 2006
	Women's Basketball	October 15, 2006	August 15, 2006
Educate the business office and human resources office in regard to the employment conditions of high-school/prep-school/two-year college coaches pursuant to NCAA Bylaw 13.8.3.	E	November 30, 2006	

Item	Educational, Monitoring or Audit (E, M or A)	Target Date	Date of Completion
Conduct a meeting with the staff of the Longhorn Foundation to discuss NCAA Bylaws 13.2 (Offers and Inducements), 13.14.4 (Slush Funds), 13.14.5 (Alumni Organizations), and 13.15 (Pre-college Expenses) applicable to such alumni organization (<i>see Bylaw 6 strategic plan</i>).	E	March 1, 2007	
Conduct a meeting with the staff of the Texas Exes to discuss NCAA Bylaws 13.2 (Offers and Inducements), 13.14.4 (Slush Funds), 13.14.5 (Alumni Organizations), and 13.15 (Pre-college Expenses) applicable to these alumni organization (<i>see Bylaw 6 strategic plan</i>).	E	April 1, 2007	
Conduct an audit of Longhorn Foundation financial records in accordance with NCAA Bylaw 13.14.5.	M/A	May 1, 2007	
Announce and/or display athletics compliance statement directed to representative of athletics interests/booster organizations at home athletics events.	E	August 25, 2006 through July 1, 2007	
Enhance monitoring of all off-campus recruiting activities through the development of a web-based tracking system with The University of Texas internal.	M/A	July 1, 2007	
Enhance monitoring of all off-campus recruiting activities through the development of a web-based approval system with the University of Texas internal programmers.	M/A	July 1, 2007	
Enhance monitoring of complimentary admissions distribution to prospects' high-school, two-year college and prep school coaches through the development of an electronic approval and tracking system.	M/A	July 1, 2007	
Create 2007-2008 strategic plan for Bylaw 13.	M	July 15, 2007	

Control Footprint - 11 Personnel												Monitoring Plan				
Level	Current Controls	Lack of accountability	Failure to monitor and/or communicate full-time enrollment status	Failure to monitor coaching limits	Failure to monitor outside income	Inaccurate reporting (human error)	Inadequate training	Ineligible coach recruits off campus	Lack of fiscal integrity	Failure to monitor scouting of opponents	Lack of awareness of new legislation/procedures	Responsible Person (title)	Evidence of Control	Monitor	Date	Status
	Written departmental policies and procedures defining responsibilities of compliance personnel are reviewed and updated annually	X	X	X	X	X	X	X	X	X	X	Director of Compliance	Updated Bylaw 11 policies			
	Written departmental policies and procedures defining responsibilities of compliance personnel are reviewed and approved by Associate AD	X					X		X	X	X	Associate AD for Compliance	Approved Bylaw 11 policies			
	Written departmental policies and procedures defining responsibilities of athletics staffs are reviewed and updated annually	X					X		X	X	X	Director of Compliance	Updated Bylaw 11 policies			
1,2	All athletics staffs are required to obtain prior approval for outside appearances	X		X	X	X			X			Compliance Coordinator	Approved Appearance form			
1,2	All athletics staffs are required to obtain prior approval for outside employment by Compliance, Immediate Supervisor, AD and Vice President	X			X	X			X			Director of Compliance	Approved Outside Employment form			
1	All full time athletics staffs are required to report actual outside income annually on the Actual Outside Income Form for that academic year	X			X	X			X			Director of Compliance	Completed Actual Outside Income form			
2	All full time athletics staffs actual outside income is approved by AD and Vice President annually	X			X	X			X			Director of Compliance	Approved Outside Income spreadsheet			
1	Prior written approval is required for designation of Student Assistant Coach	X	X	X								Director of Compliance	Approved Student Assistant Coach form			
1	Prior written approval is required for designation of Graduate Assistant Coach	X	X	X								Director of Compliance	Approved Graduate Assistant Approval form			
1	Full-time enrollment status for student-assistant and graduate-assistant coaches is monitored daily and individuals below full-time w/o an allowable exception are reported to respective coaches	X	X	X								Senior Administrative Associate for Athletics Certification	Daily full-time status report; Below full-time memo/ e-mail to coach			
1,2	Volunteer coaches are required to obtain prior approval from compliance and sport administrator before beginning coaching duties	X		X								Director of Compliance	Approved Volunteer Coach Designation form; Volunteer Coach Contract; Volunteer Coach Background Form; Volunteer Coach Appointment Letter			
1	All full-time coaches, volunteer coaches, and graduate assistant coaches are provided an orientation/educational session by the compliance office upon appointment	X		X			X				X	Director of Compliance	Approved Volunteer Coach Designation form; Educational Session Agenda			
1	Volunteer coaches and graduate-assistant coaches are provided a Frequently Asked Questions document upon designation in the position	X		X			X				X	Director of Compliance	E-mail to Volunteer Coach w/ Appointment Letter and FAQ document			

Control Footprint -11 Personnel											Monitoring Plan					
Level	Current Controls	11 Personnel Risks									Responsible Person (title)	Evidence of Control	Monitor	Date	Status	
		Lack of accountability	Failure to monitor and/or communicate full-time enrollment status	Failure to monitor coaching limits	Failure to monitor outside income	Inaccurate reporting (human error)	Inadequate training	Ineligible coach recruits off campus	Lack of fiscal integrity	Failure to monitor scouting of opponents						Lack of awareness of new legislation/procedures
1	Volunteer coach limitations are tracked on the volunteer coaches spreadsheet	X		X								Director of Compliance	Volunteer Coach Tracking spreadsheet			
1	Volunteer coaches are required to complete and submit quarterly employment forms	X		X								Director of Compliance	Completed and Approved Volunteer Coach Quarterly Report form			
2	Volunteer coaches' quarterly employment forms are reviewed and approved by compliance, the head coach, and the sport administrator	X		X		X						Director of Compliance	Completed and Approved Volunteer Coach Quarterly Report form			
1	All full-time coaches, volunteer coaches, and graduate assistant coaches in sports other than FB and BB are required to participate in coaches compliance meetings every other month, which address hot topics and legislative matters in compliance	X						X				Compliance Coordinator	Coaches Meeting Agenda; Meeting Sign-up sheet; Signed Agenda Absence form			
1	All full-time coaches in basketball and football and/or graduate assistant coaches (football only) are required to participate in sport specific coaches compliance meetings at least three times a year	X						X				Compliance Coordinator	Coaches Meeting Agenda; Meeting Sign-up sheet; Signed Agenda Absence form			
1	All coaches are provided monthly compliance newsletters reviewing legislation, interps, hot topics, upcoming deadlines, etc.	X		X				X				Compliance Assistant	Saved monthly Coaches' Newsletter, Game Notes, and e-mails			
1	All athletics staffs are provided monthly compliance newsletters reviewing legislation, interps, hot topics, upcoming deadlines, etc.	X		X				X				Compliance Assistant	Saved monthly All Staff Newsletters, Game Notes, and e-mails			
1	The business office staff participates in monthly compliance/business office meetings to review business processes that involve compliance and any compliance related matters	X						X		X	X	Assistant Compliance Coordinator	Meeting Agenda and Minutes			
1	All coaches are provided an optional NCAA coaches exam review annually	X						X				Compliance Coordinator	Presentation Materials and sign-in sheet			
1	All full-time coaches are required to successfully complete the NCAA Coaches Certification exam annually prior to August 1 or prior to engaging in off-campus recruiting after August 1	X		X				X				Compliance Coordinator	Saved Certifying Administrator form; NCAA online database; Coaching Staff Limits spreadsheet			
1	All volunteer coaches, graduate-assistant coaches, and directors of operations coaches are required to complete the NCAA Coaches Certification exam annually	X						X				Compliance Coordinator	Saved electronic Certifying Administrator form; NCAA online database; Coaching Staff Limits spreadsheet			

Control Footprint -11 Personnel											Monitoring Plan						
Level	Current Controls	11 Personnel Risks											Responsible Person (title)	Evidence of Control	Monitor	Date	Status
		Lack of accountability	Failure to monitor and/or communicate full-time enrollment status	Failure to monitor coaching limits	Failure to monitor outside income	Inaccurate reporting (human error)	Inadequate training	Ineligible coach recruits off campus	Lack of fiscal integrity	Failure to monitor scouting of opponents	Lack of awareness of new legislation/procedures						
1	All countable coaches, support staff, and outside consultants are documented annually on the Coaching Staff Limits and support staff spreadsheet	X		X				X					Director of Compliance	Completed Coaching Staff Limits spreadsheet			
1	The Coaching Staff Limits spreadsheet documents off-campus recruiter limitations and the status of each countable coaches' certification to recruit off-campus	X		X				X					Compliance Coordinator	Saved Certifying Administrator forms; NCAA online database; Coaching Staff Limits spreadsheet			
1	The AD's, Associate AD for Compliance, and Big 12 Conference are provided the Coaching Staff Limits spreadsheet annually and as updated	X		X		X		X					Director of Compliance	Saved e-mails documenting Coaching Staff Limits Spreadsheet sent			
1	All permissible off-campus recruiters are required to submit expense reports and contact/evaluation sheets within 10-days of their return from all off-campus recruiting activities	X		X				X					Compliance Coordinator	Saved and approved expense reports and contact/eval sheets			
1	The business office does not reimburse for recruiting expenses until approved by compliance	X		X				X					Compliance Coordinator	Completed Off-Campus Recruiting Approvals spreadsheet available in shared electronic folder			
1	All off-campus recruiting activities are monitored on the Off-campus Recruiting Approvals spreadsheet and in individual sport recruiting databases	X		X				X	X				Compliance Coordinator	Completed Off-Campus Recruiting Approvals spreadsheet; Sport databases			
1, 2	Temporary replacement coaches are required to obtain prior approval from the AD and compliance office prior to engaging in any coaching duties	X		X									Director of Compliance	Approved Temporary Replacement Employment form			
1, 2	Temporary replacement coaches' duties and hours of employment are documented on the Temporary Coach Employment form and approved by the head coach, compliance office, sport administrator, and business office	X		X									Director of Compliance	Approved Temporary Coach Replacement Form			

