GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE

Previous Certification Self-Study

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 governance and commitment to rules compliance issues. In each case, provide: (a) the original “corrective action,” “condition,” or “strategy” imposed; (b) the actions(s) taken by the institution and the date(s) of those actions(s); and (c) an explanation for any partial or noncompletion of such required actions. [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.]

There were no “corrective actions,” “conditions for certification,” or “strategies for improvement” related to Governance and Compliance imposed by the NCAA Division I Committee on Athletics Certification in the first-cycle certification decision. Concern was expressed about boosters groups during this review, however, and the University has responded by subjecting its athletic booster organizations to much tighter control since the first-cycle certification. The Office of University Development, which handles fund-raising for all Ohio State University departments and other units, and the Department of Athletics monitor booster membership, fundraising, and group activities. The specific activities involved in this monitoring are described in the Operating Principle 1.3: Rules Compliance section below. Since 1995-96 there have been significant improvements in the education of boosters relative to compliance matters. As booster groups are immersed into the “compliance conscience” being established at the University (see the Plan for Improvement below), the relationship between the Compliance Office and booster groups will be strengthened.

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 in the governance and commitment to rules

GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE
No plans for improvement/recommendations related to Governance and Compliance were developed during the first-cycle certification process. Since the first-cycle certification decision was rendered, however, the University has made the following major changes in its governance and compliance activities:

- Director of Athletics Andy Geiger now reports directly to President of the University Karen Holbrook rather than to the Vice President for Student Affairs, as was the case in the first-cycle review. This tightens the authority of the President over athletics and enables Senior Vice President for Business and Finance William Shkurti to oversee the financial affairs of the Department more readily. A September 2000 memorandum of understanding was developed to establish the reporting structure and provide for internal collaboration among key offices to facilitate the reporting structure. (See Fiscal Attachment 10)

- Senior faculty member David Frantz now functions as the Academic Liaison with Athletics, reporting directly to Vice Provost and Dean of Undergraduate Studies Martha Garland. The office of Student Athlete Support Services now reports jointly to the Academic Liaison and the Director of Athletics.

- Compared to 1995-96, the Athletic Council now includes the Academic Liaison with Athletics, the Chair of the Student-Athlete Advisory Board to represent student-athletes, and the Vice President for Student Affairs as *ex officio* members.

- The committee structure of the Athletic Council has been changed to add a committee on Equity and Student-Athlete Welfare and to create a merged Finance and Facilities Committee from separate committees on Finance and Facilities.
• The Compliance Program has been enhanced significantly through new leadership and a complete reorganization of the Athletic Compliance Office. The Director of the Athletics Compliance Office, Heather Lyke-Catalano, who is a lawyer, serves in the elevated position of Associate Director of Athletics. She is joined by two Assistant Directors in the office, who are also attorneys; their legal background is helpful in serving the Compliance Office. There were no attorneys on staff at the time of the first-cycle certification. The Athletics Compliance Office has broader responsibilities and has implemented advanced monitoring systems and computerized databases to handle the numerous tasks for which it is responsible. In general, there is clear evidence that these changes have been instrumental in instilling a strong "compliance conscience" throughout the athletics program.

• In 2002, the Board of Trustees established a Committee on Athletics, comprised of both Board members and faculty.

3. 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 governance and commitment to 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.

NOT APPLICABLE

Operating Principle
1.1: Mission of the Athletics Program and the Institution

Self-Study Items

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

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

3. Describe how and to whom the athletics program’s mission statement is circulated.
The mission and goals of the Department of Athletics, as expressed in its Mission Statement and complementary statement of Values and Commitments (Governance Attachment 1) are clearly in line with the mission of The Ohio State University as described in its Mission Statement (Governance Attachment 2). The Department’s commitment to national leadership, excellence and the highest ethical standards in intercollegiate athletics is closely linked to the University’s mission, as stated in its Academic Plan, to attain international distinction in education, scholarship, and public service. The University’s commitment to high-quality undergraduate and graduate education is matched by the Department’s goals of providing student athletes with exceptional educational and athletic opportunities, making athletic participation part of the students’ educational experiences, and supporting their general welfare. Both the University and the Department are committed to the principle of diversity, with the Department supporting equitable opportunity for all students and staff, including women and racial and ethnic minorities.

The Mission and the Values and Commitments statements of the Department of Athletics were adopted in 1996, and they remain as relevant today as they were when adopted. These statements are circulated to both its internal and external constituencies – from student-athletes and staff to boosters and the general University community. At the request of the Governance and Compliance Self-Study Subcommittee, the statements are now are prominently displayed on the Department’s web site [http://ohiostatebuckeyes.ocsn.com/genrel/mission.html], which is widely accessed by those who follow Ohio State athletics.

4. Describe briefly, using specific examples, how the athletics program’s mission and goals are or are not supported by the actual practices of the athletics program.

We have found the actual practices of the athletics program, from the highest levels of the Department of Athletics throughout the program, to be consistent with the program’s mission and goals. The program fosters the educational objectives, academic progress and general
welfare of student-athletes as well as equitable opportunities for all students and staff and the NCAA’s principles of sportsmanship and ethical conduct. Among other things, the Department maintains a well-staffed Student Athlete Support Services Office (SASSO) to support the academic work of student-athletes. It actively pursues the development of additional sports opportunities for women and makes student-athlete academic performance and progress an important criterion in hiring and evaluating coaches. Furthermore, the Department of Athletics is strongly committed to promoting its mission and values, particularly to improving the academic progress and degree attainment by student-athletes.

Operating Principle
1.2: Institutional Control, Presidential Authority and Shared Responsibilities

Self-Study Items

1. Based upon the institution’s experience in the last three years, list the decisions related to intercollegiate athletics in which the institution’s governing board or individual board members have been significantly involved (if any).

2. Based upon the institution’s experience in the last three years, list the decisions related to intercollegiate athletics in which the institution’s chief executive officer has been significantly involved.

Both the President and the Board of Trustees have been involved in the following major athletics program decisions during the past three years:

- Annual approval of the Department of Athletics budget.

- Termination of head coaches and hiring of new head coaches for men’s football and women’s basketball.

- Renovation and enlargement of Larkins Hall, which includes major intercollegiate and intramural sports facilities as well as some of the offices of the School of Physical Activity and Educational Services. Renovations are to be paid for through state capital budget appropriations and University revenue bonds. The bonds will be paid off through...
increases in the Student Activities Fee when the facility comes on line, by the Department of Athletics through its fund-raising, and by the University, with shares of cost apportioned in accordance with the building uses.

- The renovation of Ohio Stadium and the building of the Jesse Owens Memorial Stadium for men’s and women’s track and field, soccer, and lacrosse. Construction was paid for through University revenue bonds, with the bonds to be paid off by the Department of Athletics.

- Declaring a moratorium on further construction of athletics facilities, after which they must be self-financed by the Department of Athletics.

- Addition of women’s ice hockey as a new varsity sport to the athletic program and increasing the number of scholarships for women’s ice hockey, men’s lacrosse, men and women’s fencing, and men’s volleyball.

- Opening of Younkin Success Center to provide advising and other students services to student-athletes and other students.

- Acquisition of the Steelwood facility near campus to house some Olympic sports.

Most of these decisions were arrived at after wide consultation with various representatives of the campus community, including the established faculty, staff, and student governance bodies following the process described below.

3. Describe the process by which the institution makes major decisions regarding intercollegiate athletics. In doing so, describe the role and authority of the institution’s governing board, the chief executive officer, the athletics board or committee (if one exists), the faculty athletics representative(s), the director of athletics, and any other appropriate campus constituencies (e.g., faculty, students, institutional personnel involved in rules-compliance activities) in this process. Please provide the composition of the athletics board or committee (including titles and positions).

4. Please attach an institutional organizational chart and an athletics department organizational chart.
Institutional control of The Ohio State University’s athletics program is exerted through the President, the Athletic Council, the Faculty Athletics Representative (Susan Hartmann), the Academic Liaison with Athletics (David Frantz), and the Board of Trustees. It is evident to the Subcommittee for Governance and Compliance that these individuals and groups work well together, with full support and cooperation from the Department of Athletics, to provide exemplary oversight of athletics at Ohio State.

The Director of Athletics reports to the President of the University, who in turn reports to the Board of Trustees. (See Governance Attachment 3 for the Department of Athletics organizational chart and Governance Attachment 4 for the organizational chart for the University.) Former President Kirwan changed this reporting line after he took office in 1998. President Holbrook, who took office on October 1, 2002, has continued this arrangement. The President has ultimate responsibility and authority for the operation and personnel of the Ohio State athletics program and involves the Senior Vice President for Business and Finance in all major financial issues regarding athletics. In addition, the University’s Office of Legal Affairs assigns an Associate Legal Counsel (Julie Vannatta) to the Department of Athletics. More than 90 percent of her time involves athletics issues.

The Athletic Council is a standing committee of the University Senate, to which it reports (Governance Appendix 1 has the University Senate rule on the Athletic Council). It is responsible for developing policies governing intercollegiate athletics at Ohio State. Input into the formulation and implementation of these policies is made through the Athletic Council, which represents the various campus constituencies, as well as through the Athletic Director and the President, who bring these policies to the Council. This is a widely consultative process through which important issues are deliberated and, as appropriate, resolved.

The Athletic Council, which meets monthly during the academic year, is comprised of 15 voting and 5 ex officio members. Its voting members are: 4 faculty appointed by the Faculty
Council (the faculty members of the University Senate), 4 faculty appointed by the President of the University, 1 graduate student selected by the Council of Graduate Studies, 1 professional student selected by the Inter-Professional Council, 2 undergraduate students selected by Undergraduate Student Government, 2 alumni designated by the Alumni Association, and 1 University staff member selected by the Staff Advisory Committee. Its *ex officio* members are: the Director of Athletics, the Faculty Athletics Representative, the Academic Liaison with Athletics, a student-athlete who is the Chair of the Student Athlete Advisory Board, and the Vice President for Student Affairs. (The current members of the Athletic Council are listed in **Governance Attachment 5.**)

Much of the work of the Athletic Council is performed through its standing committees: Academic Progress and Eligibility; Equity and Student-Athlete Welfare; Finance and Facilities; and Tickets, Fees, and Access. Equity and Student-Athlete Welfare is a new committee, explicitly structured to address the commitments of the athletics program to promote diversity, including gender equity, and the general welfare of student athletes. The Finance and Facilities Committee merges the previously-separate Facilities and Finance committees in recognition of the substantial impact of new athletic facilities upon the finances of the Department of Athletics. These committees meet regularly to conduct their business.

The Faculty Athletics Representative represents the University to the Big Ten Conference and the NCAA and performs general oversight of academic integrity, compliance, and student-athlete welfare. This person participates in the Athletic Council and its Academic Progress and Eligibility Committee as an *ex officio* member. The President of the University appoints the Faculty Athletics Representative to a four-year term from a list of faculty nominations forwarded by the Athletic Council. Current Faculty Athletics Representative Susan Hartmann is completing her eighth year in this capacity.
The University Board of Trustees provides oversight and broad policy formulation for intercollegiate athletics at Ohio State through the President, who reports directly to the Board. To better fulfill its responsibilities, particularly in strategic planning and financing for athletics, in 2002 the Board created a Committee on Athletics, which meets monthly. It includes four trustees, the Faculty Athletics Representative, the Academic Liaison, and the Chair of Athletic Council, and is chaired by Trustee Tamala Longaberger. The Director of Athletics provides staff support to the Committee. This committee parallels new committees on research and planning, which meet periodically. The Board also has long had standing committees on Academics and Finance, which meet publicly the day of the Board of Trustees meeting.

Major decisions regarding intercollegiate athletics are made in accordance with the principles of shared governance that characterize the decision-making processes of all University units, with the precise nature of the decision process varying according to the subject and importance of the decision. Final decisions on major issues are made by the President of the University, subject to approval by the Board of Trustees, usually upon the recommendation of the Director of Athletics, the Faculty Athletics Representative (where relevant), and the Athletic Council. For most issues, the decision-making process typically involves the discussion of initiatives of the Department of Athletics with the appropriate Athletic Council committee. If further consideration is warranted, the full Athletic Council is consulted. Where the University’s authority to issue revenue bonds is involved, early consultation with the President and Senior Vice President for Business and Finance also is required.

Personnel decisions in the Department of Athletics are made by the Director of Athletics, or the appropriate supervisor, following standard University procedures. When hiring and firing coaches, the Director of Athletics may consult widely in reaching a recommendation. In recruiting new coaches, the Director may appoint an advisory committee, which might include the Athletic Director himself and members of the Athletic Council, the Faculty Athletics

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Representative, other faculty or students, student-athletes, and constituents of the athletic program. (The advisory committees for the two most recent coaching appointments are provided in Governance Appendix 2.) After the advisory committee has reported its recommendations to him, the Director of Athletics makes his recommendation to the President of the University. Because of the sensitive nature of the hiring and firing of coaches in high profile sports, early consultation with the President and General Counsel of the University and by the President with the Board of Trustees also may be involved.

Operating Principle
1.3: Rules Compliance

The Ohio State University works to assure that its staff, student-athletes and other individuals and groups representing the institution’s athletics interests comply with NCAA rules and regulations. The Department of Athletics Compliance Office -- composed of an Associate Athletic Director and two Assistant Compliance Directors, an office assistant, two graduate assistants and (often) a Big Ten Intern -- leads the efforts to ensure compliance with the rules and regulations governing intercollegiate athletics at Ohio State. The goal of this office is to create, maintain and foster a “compliance conscience” among everyone associated with athletics. Interviews with students, staff and coaches demonstrated decisively that compliance is an important and valued aspect of the institution. All constituencies report that the Athletic Compliance Office staff are readily available for help and that they foster the “compliance conscience.” While there is some good-natured grumbling that compliance activities consume much time and energy, almost everyone who was interviewed agreed that the Compliance Office plays an important role in maintaining the integrity of the institution’s athletics program.
Self Study Items

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

The Ohio State University maintains control of athletic booster groups, support groups and other representatives of the institution’s athletics interests in the following ways:

- Publishes “A Quick Reference Guide to NCAA Rules and Regulations.” This pamphlet is available for distribution to all booster groups, support groups and representatives.
- Distributes to each group the “Guidelines for Athletic Support Groups” (Governance Appendix 3). This set of guidelines also contains an “Athletic Support Group Officer Certification of Compliance” signature form and “Athletic Support Group Member Certification of Compliance” signature form. Groups are required to submit new membership rosters each year, and every member must sign the certification form once every five years.
- Assigns a staff member of the Development Office (Michele Newman) to work with booster groups, attending at least one meeting of each group during the year.
- Conducts an annual audit of each booster group to assure that required documentation is up-to-date and available. (See Governance Appendix 4 for a copy of the “Booster Club Required Document” checklist).
- Sanctions booster groups or group members who violate policy of the University. Sanctions may include not allowing violators to be a part of any booster organization and denying them the opportunity to purchase athletic event tickets.

An annual audit of the booster groups has been conducted by independent accounting firm Deloitte and Touche since 1997.

2. Identify, using an organizational or flow chart, how the institution has organized itself to maintain compliance with NCAA rules. Specify the
individual (other than the institution’s compliance officer/coordi- nator) 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 (if any), coaches, and other key individuals inside and outside athletics (e.g., administrator monitoring permissible recruiting activities, registrar, financial aid officer, admissions director, internal auditor) who are responsible for document- ing and monitoring compliance with NCAA rules.

The Director of Athletics (Andy Geiger) is the President’s designee for responsibility for rules compliance. The Associate Athletic Director who heads the Athletic Compliance (Heather Lyke-Catalano) office reports directly to the Director of Athletics (see Athletics organization chart in Governance Attachment 3). The Comprehensive Compliance Committee structure of the Athletic Department Compliance Office assures full participation by key individuals who are responsible for documenting and monitoring compliance with NCAA rules, and the Associate Legal Counsel for Athletics regularly advises the Compliance Office. (See Governance Appendix 5 for a list of committees and their members.) Compliance Committee and Legal Affairs involvement clearly meet the criterion of “regular participation of persons outside of the athletics department” and ensures that key individuals inside and outside of athletics have assigned responsibilities for monitoring and document- ing compliance with NCAA rules. They include staff from administration and coaching who monitor recruiting activities and from the University offices of the Registrar, Financial Aid, and Admissions, and the Faculty Athletics Representative.

3. Describe the institution’s rules-education efforts for student-athletes, athletics department staff members, other institutional staff members and representatives of the institution’s athletics interests.

The Compliance Office’s staff conducts a host of compliance education programs. Before the fall quarter begins, they make a compliance presentation to the Athletic Council. In the fall, they conduct orientation meetings with each team of student-athletes prior to the first
day of practice to educate students on rules. Late in the fall quarter, the Compliance staff conducts similar education meetings with Department of Athletics staff, including strength coaches, athletic trainers; and staff from medical services, the Student Athlete Support Services Office (SASSO), the business office, the Schottenstein Center, Development/Marketing, the Ticket Office, the Equipment Office, and the Athletic Communications office. All staff must sign a certification of compliance form each year. Each spring, Compliance staff conduct “check-out” meetings with each team of student-athletes. The Compliance staff also is a part of the program at the monthly coaches’ meetings conducted by the Associate Directors of Athletics. Coaches who cannot attend the meeting must view a videotape of it. Since January 2001, every new coach has received a copy of the publication “Coaches’ Guide to Compliance.” The Compliance Office staff also offers compliance education programs for boosters and supporters. The Associate Athletic Director for Compliance participates in the annual orientation for the University Athletics Council.

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

Assistant Compliance Director Kris Richardson is charged with monitoring employment among student-athletes. A policies and procedures document developed by the Athletic Compliance Office describes these activities:

- Students are informed of NCAA by-law 15.2.6.1 regarding employment.
- Students must inform the Athletic Compliance Office before starting a job and must sign the Employment Agreement form and Allowable Earnings Calculation Sheet, which is countersigned by the Compliance Office.
- The Compliance Office provides documentation to the employer to assure compliance, and it monitors the receipt of this documentation from the employers. This documentation is reviewed at least quarterly.
• The Compliance Office may conduct periodic, random spot checks of the place of employment of student-athletes to verify that the student-athlete is doing the work being reported.

5. Describe, using specific examples, how the institution ensures that rules compliance is a central element in personnel matters. Also, please provide the following items for individuals inside and outside the athletics department who are involved in rules-compliance activities: (a) job descriptions, (b) contracts or letters of appointment, (c) personnel evaluation criteria and, (d) philosophy statements and other applicable sections of policy manuals.

The Ohio State University ensures that rules compliance is a central element in personnel matters when coaches are hired. Section 4.1.e of the “generic” coaching contract specifies that compliance with rules is a key responsibility of all coaches and that head coaches are responsible for rules compliance by their staffs. Section 5.1.e of this contract also specifies that a coach can be terminated for fraud or dishonesty specifically related to any aspect of rules compliance. The Ohio State University Department of Athletics Compliance Manual, which is currently in draft form, contains a “compliance philosophy” statement on pp. 1-2. Copies of the generic contracts, job descriptions, personnel evaluation criteria, and the Compliance Manual are provided in Governance Appendix 6.

6. Please attach written policies and step-by-step procedures that include assignment of specific responsibilities pertaining to the area of rules compliance in critical and sensitive areas, including, but not limited to, eligibility certification, investigation and self-reporting of rules violations, monitoring financial aid and monitoring recruiting (if not included elsewhere in the report).

The Athletic Compliance Office Staff are assigned specific responsibilities for areas of rules compliance. In addition, Compliance Office staff are assigned to committees dealing with critical and sensitive information as described above. Written policies and procedures pertaining to the area of rules compliance and documentation of periodic evaluation of the rules compliance program also are contained in Governance Appendix 6.
7. Please attach documentation related to periodic evaluation of the institution’s rules-compliance program by an authority outside of athletics.

Since 1999-00 the University’s Internal Audit office has conducted formal audits of the Athletic Compliance Office, with major audits having taken place in 1999-00 and 2002-03. An October 30, 2002 memorandum from Heather Lyke-Catalano describes the areas audited in each year. This memorandum and the applicable documentation from each audit are provided in Governance Appendix 7.

Evaluation and Plan for Improvement

In our judgment, the Athletics Program of The Ohio State University athletics is in substantial conformity to the operating principles of the NCAA with respect to mission, institutional control, and compliance with rules. The program met NCAA standards in the first-cycle certification review, and the program is even stronger now in mission/values, institutional control, and compliance with rules. The program not only conforms to the operating principles of the NCAA in governance and compliance in every respect, but it also is dedicated to being a national exemplar in each of these areas. In this spirit of commitment to doing even better, we offer the following recommendations for improvement.

Recommendation 1 – Reporting to the President: The Director of Athletics currently reports to the President. This practice serves the University very well and should be continued. At the time of the first-cycle certification in 1996, the Director reported to the Vice President for Student Affairs. While particular vice-presidents may be effective in overseeing an athletics
program, in the long run, especially as key personnel change, it is optimal that athletics reports to a university chief executive officer. The relationship between the President and the Director of Athletics at Ohio State should be direct rather than mediated, especially now that university presidents are playing the leading roles in the NCAA and the Big Ten. At Ohio State, reporting directly to the President also makes it easier for the University’s chief financial officer, the Senior Vice-President for Business and Finance, to oversee the finances of the Department of Athletics. Institutional control of athletics depends crucially upon presidential leadership, so it is necessary to vest responsibility directly in the President.

**Recommendation 2 – Board of Trustees Committee on Athletics:** Recently the Ohio State University Board of Trustees created a new committee on athletics with Board and faculty members. Few other Big Ten universities have such formal trustees’ involvement in the oversight of the athletics program. On the one hand, it is valuable for the Board to be well informed about major activities in the athletics program, beyond issues that necessarily come before it. In principle, it may be preferable to formalize this information-gathering rather than having it result from informal relationships between particular Board members and Department of Athletics leaders. On the other hand, under NCAA rule 6.1.1, it is the responsibility of the President to represent the athletics program to the Board, and any dilution of presidential authority could undermine this responsibility. Therefore, we urge the Board to be sensitive to the possibility that having its own Committee on Athletics may complicate this balance.

**Recommendation 3 – Athletic Council Membership and Voting:** We suggest that the issues of membership and voting rights on the Athletic Council be reviewed by Council and, as appropriate, the University Senate. With the recent inclusion of the Chair of the Student-Athlete Advisory Board, the Vice-President for Student Affairs, and the Academic Liaison with Athletics as *ex officio* members, the Council represents the athletic program’s constituent groups better than it did in the past. The subcommittee discussed whether it might be useful to add a coach as
a member of the Council, and this issue could be addressed in this review as well. The NCAA requires that a majority of the Athletic Council be faculty or administrators with academic appointments, and we support the present University rule that faculty comprise a voting majority. Any consideration of changing voting rights on the Council should bear in mind this principle and the reality that an enlargement of the size of the present Council may impair its efficiency.

**Recommendation 4 – Athletic Council Involvement in Decisions:** Active involvement of the Athletic Council in the major decisions regarding athletics is essential for institutional control and shared responsibility and for integrating athletics into the broader University community. The President should be especially committed to involving the Council in all key decisions. It is critical that this involvement come early in the decision process for all major issues, so that the Council can fulfill its advisory responsibilities rather than merely ratify decisions made elsewhere. Given the level of investment that the University has made in facilities in recent years and the increased demand for athletic program fund-raising to cover its greater obligations, the Athletic Council must be involved early in any plans to build new facilities and take on new debt. The Council also should review and approve the annual budget before commitments are made for the coming year and continue to be deeply involved in deliberating on positions taken by the University in the Big Ten and NCAA. Because it represents the broad interests of the University as an agent of the University Senate, the Athletic Council (working in concert with the Faculty Representative and Academic Liaison) has a unique responsibility to oversee issues of student-athlete academic performance, progress towards degrees, and welfare. More generally, broad policy questions about what the athletic program **should** be (e.g., its Sears’ Cup aspirations) rather than simply what it can **afford to be** should be on the Athletic Council’s agenda.

**Recommendation 5 – Fiscal Decision-Making:** After years of under-investment, athletic facilities on the campus have been improved dramatically in recent years. It is laudable, and
remarkable, that these improvements are being paid for by the Athletic Department and are not expected to draw upon other parts of the University budget. Also notable is the fact that the Athletic Department pays the full cost of all student-athlete scholarships. The Department of Athletics deserves praise for its revenue generating and fund-raising achievements -- and for returning a total of $14.2M to the University in FY02 in overhead on revenue, its share of the state budget cut, facilities and other charges, and the full cost of student-athletic grants-in-aid payments ($7.9M). Nonetheless, the University must be prudent in allowing Athletics to take on even more debt and vigilant about preserving the Department’s capacity to handle the current debt load. Early involvement of the Athletic Council in future fiscal decision-making will provide one important check. Early consultation between the Council and both the President and Senior Vice-President for Business and Finance and the University Senate Fiscal Committee, which advises the VP and the President on fiscal matters, will provide another important check. To this end, it may be advisable for a member of the Athletic Council to serve as a liaison to or even a member of the University Senate Fiscal Committee.

**Recommendation 6** – Publicizing the Mission and Values/Commitments of Athletics: The Department of Athletics has developed mission and values/commitments statements that cogently articulate its operating philosophy within the mission of The Ohio State University. It is important that these statements be circulated as widely as possible to the various constituencies for athletics at Ohio State and to the broader University community. To this end, we recommend that the statements be included in the printed programs for athletics events at every opportunity.

**Recommendation 7** – Coordination of Data Bases: Currently, the Athletic Compliance Office maintains comprehensive data bases on student-athletes with regard to rules, but these data are not easily accessible to other units who are involved in evaluating student-athletes’ progress and eligibility. Their data base should be integrated with the data bases of other
University units that track student admissions, performance, and eligibility, especially when the new Student Information System (SIS) comes on line.

**Recommendation 8 – Continued Monitoring of Booster Activity:** The Ohio State University has made important strides in monitoring the activities of registered booster groups to prevent them from engaging in, usually inadvertently, NCAA and Big Ten rules violations that damage the athletics program. In fostering the “compliance conscience” that is the goal of the Compliance Office, additional education on compliance issues should be provided to booster groups and even to individuals and groups who do not operate within the official booster structure. A wider dissemination of compliance information to the University community would be beneficial -- through, e.g., programs for athletic events, announcements at large public University events, and the Department of Athletics web site.

**Sub-Committee for Governance and Compliance Procedures**

The sub-committee met three times in plenary session between March and October, 2002. Most of its work was done through two working groups, Governance and Compliance. The Governance Working Group met four times in Spring 2002; several members of the Compliance Working Group attended some of these meetings as well. The Compliance Working Group met once as a full group in Spring 2002, and then its members engaged in information-gathering activities individually. The sub-committee and its working groups reviewed a wide array of documents pertaining to athletics at The Ohio State University. After the Governance and Compliance Self-Study Report was drafted, the sub-committee members unanimously approved both the report and the affirmative answers to all self-study questions contained within it.

Information also was collected from numerous important “players” in athletics’ governance and compliance activities. The Governance Working Group met directly with then-
President William E. Kirwan, Director of Athletics Andy Geiger, Senior Vice President for Business and Finance William J. Shkurti, Vice President for Student Affairs William H. Hall, Associate Athletic Director for Development and Marketing Tom Hof, and Director of Development Services for the Department of Athletics Larry Romanoff. James F. Patterson, Chair of the Board of Trustees, was interviewed by telephone by the sub-committee chair Paul Beck. Former Chairs of Athletic Council Leslie Fine, David Frantz, Jack A. Rall, and Stephen Reed, and Undergraduate Student Government President Eddie Pauline provided the sub-committee with thoughtful responses to its request for their perspectives on governance and compliance matters. In each case, the person was provided with a standard list of governance/compliance questions and asked to respond to them, as well as to add whatever other thoughts they had concerning athletics at The Ohio State University. Department of Athletics’ Administrative Associate for Development and Marketing Michele Newman also provided the sub-committee with valuable information about the governance of booster organizations. The Compliance Working Group heard directly from Heather Lyke-Catalano and Kris Richardson from the Compliance Office. Its individual members then conducted interviews with student-athletes; coaches; Associate Directors of Athletics Archie Griffin, Bill Myles, and Miechelle Willis; academic counselors, and SASSO personnel.

Key members of the governance and compliance process for athletics at the University also served on the sub-committee, and their insights and expertise were particularly valuable. They included Susan Hartmann, Faculty Athletics Representative; Leslie Fine, 2001-02 Chair of Academic Council; Kathryn Virtue, Chair of the Student-Athlete Advisory Council and an ex officio member of the Academic Council; Heather Lyke-Catalano, Associate Director of Athletics for Compliance; and Kristopher Richardson, Assistant Director of Athletics for Compliance; and varsity coaches Miles Avery and Anne Wilkinson.
1.1 Mission of Athletics Program and the Institution.

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<td>(2) Support the educational objectives, academic progress and general welfare of student-athletes?</td>
<td>X</td>
<td>3-4</td>
<td></td>
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<tr>
<td>(3) Support equitable opportunity for all students and staff, including women?</td>
<td>X</td>
<td>4</td>
<td></td>
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<tr>
<td>(4) Support equitable opportunity for all students and staff who are minorities?</td>
<td>X</td>
<td>4</td>
<td></td>
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<tr>
<td>(5) Embrace the Association’s principles of sportsmanship and ethical conduct?</td>
<td>X</td>
<td>4</td>
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<tr>
<td>(6) Are widely circulated among the institution’s internal and external constituencies?</td>
<td>X</td>
<td>4</td>
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<tr>
<td>b. Does the institution demonstrate that the actual practices of the institution’s athletics program are consistent with the athletics program and mission?</td>
<td>X</td>
<td>4</td>
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</tr>
</tbody>
</table>
On the basis of the yes/no answers above and the plans for correcting deficiencies below, is the institution in substantial conformity with Operating Principle 1.1 (Mission of the Athletics Program and the Institution)?

Yes No

1.2 Institutional Control, Presidential Authority and Shared Responsibilities.

<table>
<thead>
<tr>
<th>Currently Yes</th>
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<th>Currently No</th>
<th>Improvement Number</th>
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Does the institution demonstrate that:

a. The institution’s governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution?

b. The chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program?

c. Appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies?

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X 7-8

X 5-6

X 6-8
On the basis of the yes/no answers above is the institution in substantial conformity with Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities)?

1.3 Rules Compliance.

<table>
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<tr>
<th>Currently Yes</th>
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<th>Currently No</th>
<th>Improvement Number</th>
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</thead>
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<tr>
<td>X</td>
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</table>

Does the institution demonstrate that:

a. It has in place a set of written policies and procedures that assign specific responsibilities in 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?

X 12-14

b. In critical and sensitive areas institutional compliance procedures provide for the regular participation of persons outside of the athletics department?

X 12

c. Rules compliance is the subject of an ongoing educational effort?

X 12-14

d. A clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program?

X 14

e. At least once every three years, the rules-compliance program is the subject of an evaluation by an authority outside of the athletics program?

X 15
On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 1.3 (Rules Compliance)?

Yes  No

X
Governance Attachments Included in Report

1. Mission and Values/Commitments statements of the Department of Athletics.
2. Mission Statement of The Ohio State University.
3. Organization chart for the Department of Athletics.
4. Organization chart for The Ohio State University.
6. Membership of the Governance and Commitment to Rules Compliance Subcommittee

Governance Appendix Available for Review

2. Advisory committees for recent head coach searches.
4. Booster organization guidelines and material.
5. Department of Athletics Comprehensive Compliance Committees.
7. Internal Audit areas and documentation for 1999-00, 2000-01, 2001-02, and 2002-03.