

# SELF-STUDY INSTRUMENT

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## 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 dates(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.]

**Original Strategy:** Establish means by which to increase the number of institutional personnel that are trained and knowledgeable regarding compliance with NCAA and conference rules, particularly in the area of certification of eligibility.

*Corrective Action:* The following formalized policy regarding NCAA compliance will be included in the Long Beach State Compliance Manual.<sup>1</sup> In order to achieve progress (compliance) with this goal, please note that a part-time compliance assistant has been added to enhance staffing in this area.

In the event the Assistant<sup>2</sup> Athletics Director of Compliance and Student Services is out of the office for any length of time, members of the Athletic Department will direct any compliance matters to the individuals listed below in the following order:

1. Senior Associate Athletic Director/Senior Women’s Administrator (SWA)
2. Faculty Athletic Representative
3. Administrative Assistant for Compliance and Student Services
4. Assistant Commissioner, Big West Conference
5. Athletics Evaluator (eligibility issues only)

These individuals are qualified to address any questions or concerns regarding NCAA, Big West Conference and institutional regulations through attendance at NCAA Conventions, Regional, Conference and institutional compliance seminars.

All information shall be in writing, retained in a file and given to the Assistant Athletics Director for Compliance and Student Services upon return.

Eligibility and admissions evaluations are performed by the Athletics Evaluator in the Department of Enrollment Services. Previously, only one individual performed this function and, in her absence, the supervisor of the evaluator filled in. Currently, in order to improve and enhance our evaluation process, an additional individual in the Department of Enrollment Services has been trained to assist and to be available in this area as needed.

**Current Status:** In progress. At California State University, Long Beach, the Office of Enrollment Services maintains all official records of student academic progress and holds the primary responsibility for reviewing the academic records of student-athletes to determine eligibility for financial aid, practice, and competition. Assistance with rules interpretation may be obtained from the Associate Director of Athletics for Compliance and Student Services. The final approval and certification of eligibility is the responsibility of the Faculty Athletic Representative.

Since 1996, the Office of Enrollment Services has made several attempts to train additional personnel to assist the Athletics Evaluator within the Evaluations Unit. Unfortunately, none of these attempts has been successful, and the evaluation of eligibility remains in the hands of a single individual. Beginning in the 1997–1998 Academic Year (AY), as a direct result of the NCAA certification process during the preceding year, the Office of Enrollment Services assigned an additional evaluator to be trained in the certification of student-athletes under NCAA, Conference and Institutional rules. However, this individual announced that she would be going on maternity leave, and the training process was halted prior to the completion of the academic year. In the 1998–1999 AY, a second individual began the training process, but asked for and received a reassignment of duties in the 1999–2000 AY after receiving a negative evalua-

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<sup>1</sup> Currently referred to as Athletic Department Compliance Manual

<sup>2</sup> Currently referred to as Associate

tion concerning the accuracy and consistency of her work. During the 2000–2001 AY, the employee who had first begun training in 1997 returned and resumed training for athletics certification. She was considered to be making good progress, but within a few months indicated that she would be moving out of the area. Again, her training was halted. During the 2001–2002 AY, a third individual began the training process, but she has now indicated that she will be entering the internship portion of her study for a Master of Social Work (MSW) degree. Accordingly, she has requested a reduction in time base. The Office of Enrollment Services believes she is likely to leave University employment when she completes her MSW degree. As a result, it is probable that the training process will have to be begun anew in the fall of 2002 with yet a fourth individual.

As a result of the NCAA Committee on Athletics Certification review of 1996, the University hired an Administrative Assistant for Compliance and Student Services in the Athletics Department to perform compliance duties, and to serve as a “back-up” to the Associate Athletic Director. As part of the job description for this position, the individual is responsible for specifically defined responsibilities as well as understanding the duties of the Associate Athletic Director in order to fill in on a temporary basis when needed.

**Original Strategy:** Document in writing specific policies to ensure appropriate institutional monitoring of all booster club activities and the clubs’ compliance with NCAA, conference, and institutional rules.

*Corrective Action:* The athletic department has established Booster Club Policies and Procedures. These policies are provided to the booster club presidents each year at their initial meeting. The appropriate athletic department sport’s administrator will be responsible for ensuring adherence to all of these policies and procedures.

*Current Status:* Completed and ongoing. The Department of Sports, Athletics, and Recreation (SAR) has developed written policies in this area, which are provided as Appendix GC.1. Minor revisions are made as needed to keep the policies current with the latest changes in NCAA rules.

**Original Strategy:** Implement procedures that ensure increased education from athletic department staff in the area of rules compliance for all institutional booster groups.

*Corrective Action:* Departmental staff meetings are held twice a year, updating personnel on NCAA, Big West and department rules and regulation. In addition, memos regarding changes and/or additions to rules are disseminated at various times as needed.

To enhance our rules education efforts for all booster organizations, the following procedures have or will be implemented:

1. Booster Club Policies and Procedures have been developed;
2. Booster Club “Do’s and Don’t’s” have been issued;
3. The sport supervisor attends the booster club meetings. At that time he/she can distribute and discuss any NCAA rule changes or additions that are pertinent to the organization. Also, their attendance assures that booster club actions are in compliance;
4. The Assistant Athletics Director for Compliance periodically attends meetings of the booster clubs and meetings of the booster club presidents.

*Current Status:* Completed and ongoing. SAR now publishes a pocket guide entitled “What You Should Know: NCAA Rules and Regulations,” which is specifically written and designed for the officers and members of booster groups. This guide defines key terms, summarizes the basic rules for boosters to prevent them from inadvertently giving extra benefits to student-athletes, and answers frequently asked questions. Copies of this publication are distributed each year to all booster groups. Additional written information is available to all SAR personnel and booster groups in the *Black & Gold* newsletter. In this newsletter, a column written by the Associate Athletic Director discusses particular activities and how they must be conducted to comply with NCAA, Conference and Institutional rules.

In addition to the written materials noted above, the Associate Athletic Director for Compliance begins each academic year with a booster-club presidents’ meeting in order to review NCAA rules and any revisions that may have occurred since their last meeting. Finally, the Associate Athletic Director attempts to meet with the entire membership of each booster club once during the year.

**Original Strategy:** Develop a written policy regarding the periodic evaluation of the institution’s rules-compliance program by a constituency external to the department of intercollegiate athletics.

Correction Action: The following policy regarding NCAA compliance review will be included in the Long Beach State Compliance Manual:

Long Beach State and the Department of Sports, Athletics and Recreation have a genuine commitment to the NCAA and Big West Conference rules and regulations. To ensure that our university maintains proper compliance, a periodic (every two years) evaluation of our program will be conducted to the Big West Conference office, Committee on Athletics or an appropriate constituency external to Sports, Athletics and Recreation. Results of that report will be issued to the University President, Faculty Athletics Representative, Director of Athletics and Big West Conference Commissioner.

Current Status: Completed. The NCAA Bylaw 22.2.1.3(e), which mandates an evaluation of the CSULB athletics program at least every three years, serves as the written policy governing the periodic evaluation of the institution's rules-compliance program by an external constituency. Consistent with this rule, an outside consulting firm completed an external review at California State University, Long Beach in 1997. In 2000, the compliance staff of the Big West Conference conducted an external review of CSULB's rules-compliance program. The reports from the consulting firm, Big West Conference, and CSULB's response to the Big West Conference's review are provided as Appendices GC.2, GC.3 and GC.4, respectively.

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 compliance area. Also, describe any additional plans for improvement/recommendations developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification. Specifically include: (a) the original plan; (b) the action(s) taken by the institution; (c) the date(s) of the action(s); (d) actions not taken or not completed; and (e) explanations for partial completion.**

#### **A. Booster Clubs**

Recommendation 1: Guidelines that address the most pertinent regulations should be made available to booster members, athletes, coaches and targeted individuals.

Corrective Action/Current Status: Completed. Sports, Athletics and Recreation now publishes a pocket guide entitled "What You Should Know – NCAA Rules and Regulations", which is specifically written and designed for the officers and members of booster groups. This guide defines key terms, summarizes the basic rules for boosters to prevent them from inadvertently giving extra benefits to student-athletes, and answers frequently asked questions. Copies of this publication are distributed each year to athletes, coaches and other individuals requiring this information. Additional written information is available to all SAR personnel and booster groups in the *Black & Gold* newsletter. In this newsletter, a column written by the Associate Athletic Director for Compliance discusses particular activities and how they must be conducted to comply with NCAA, Conference, and Institutional rules.

In addition to the written materials noted above, the Associate Athletic Director for Compliance begins each academic year with a booster club presidents' meeting in order to review NCAA rules and any revisions that may have occurred since their last meeting. Finally, the Associate Athletic Director attempts to meet with the entire membership of each booster club during the year.

Original Recommendation 2: Compliance with regulations is essential and requires that the Director of Compliance plan and present training programs designed for booster clubs and selected individuals.

Corrective Action/Current Status: Completed and ongoing. Booster Club Presidents are provided with compliance information as ex-officio members of the 49er Athletic Association. In addition, the members of the booster clubs meet on a quarterly basis with the Director of Compliance along with key athletics staff. Finally, the Director of Compliance meets with SAR staff twice a year and with coaching staff monthly to ensure individuals comply with NCAA rules and regulations.

Original Recommendation 3: Booster clubs should be guided by a charter that clearly specifies the relationship between SAR and the booster clubs.

Corrective Action/Current Status: In lieu of a charter, booster clubs are governed by a set of bylaws (refer to Appendix GC.5). Further guidance is provided by the 49er Athletic Association, as each Booster Club President is an ex-officio member of the Association's Board of Directors.

## B. Staffing

Original Recommendation 1: *Because it is imperative that the process of monitoring the academic compliance of athletes proceed without interruption, the NCAA Steering Committee recommends that a program of cross-training be developed.*

Corrective Action/Current Status: Completed. As a result of the NCAA Committee on Athletics Certification review of 1996, the University hired an Administrative Assistant for Compliance and Student Services in the Athletics Department to perform compliance duties and to serve as a "back-up" to the Associate Athletic Director for Compliance. As such, this assistant is responsible for understanding the duties of the Associate Athletic Director in order to fill in on a temporary basis when needed.

Original Recommendation 2: *Considering the workload involved in monitoring the athletes, it is important that a designated person in Enrollment Services have this as a sole assignment.*

Corrective Action/Current Status: Ongoing. Due to priorities within Enrollment Services, a designated employee could not devote full-time status to Athletics. However, during times of greatest need, Athletics is given priority. Consequently, the University did not fully comply with this recommendation.

Original Recommendation 3: *The regularly published material included in Beach News should be supplemented with a pocket guide as a vehicle to disseminate information to all boosters.*

Corrective Action/Current Status: Ongoing. SAR now publishes a pocket guide entitled "*What You Should Know: NCAA Rules and Regulations*," which is specifically written and designed for the officers and members of booster groups. This guide defines key terms, summarizes the basic rules for boosters to prevent them from inadvertently giving extra benefits to student-athletes, and answers frequently asked questions. Copies of this publication are distributed each year to all booster groups. Additional written information is available to all SAR personnel and booster groups in the *Black & Gold* newsletter. In this newsletter, a column written by the Associate Athletic Director for Compliance discusses particular activities and how they must be conducted to comply with NCAA, Conference, and Institutional rules.

Original Recommendation 4: *A charter should be developed for the booster groups.*

Corrective Action/Current Status: Completed. In lieu of a charter, booster clubs are governed by a set of bylaws. Further guidance is provided by the 49er Athletic Association, as each Booster Club President is an ex-officio member of the Association's Board of Directors.

Original Recommendation 5: *CSULB should draft guidelines that address compliance issues and provide this information to booster groups.*

Corrective Action/Current Status: Completed. Booster Club Policies and Procedures are distributed to the booster groups (refer to Appendix GC.1).

Original Recommendation 6: *A more formal relationship should be established between the Associate Athletic Director and the boosters.*

Corrective Action/Current Status: Completed. The Associate Athletic Director for Compliance and the Director of 49er Athletic Association meet regularly with booster clubs and have established direct relationships with booster groups, which have increased two-fold since 1996. Additionally, each booster club president serves as an ex-officio member of the 49er Athletic Association Board of Directors.

**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.**

No interim reports or actions required.

## Operating Principle

- 1.1 Mission of the Athletics Program and the Institution. Maintaining intercollegiate athletics as an integral part of educational program is a basic purpose of the Association. Consistent with this fundamental policy,**
- a. The institution shall demonstrate that the mission and goals of the athletics program:**
- (1) Relate clearly to the mission and goals of the institution;**
  - (2) Support the educational objectives, academic progress and general welfare of student-athletes;**
  - (3) Support equitable opportunity for all students and staff, including women and minorities;**
  - (4) Embrace the Association's principles of sportsmanship and ethical conduct;**
  - (5) Are widely circulated among the institution's internal and external constituencies.**
- b. The institution shall demonstrate that the actual practices of the institution's athletics program are consistent with the athletics program mission and goals.**

## Self-Study Items

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

### Mission Statement of California State University, Long Beach (revised 1990)

California State University, Long Beach is a large urban comprehensive university in the California State University system. Its mission is high quality education leading toward a broad range of baccalaureate and graduate degrees spanning the liberal arts and sciences and many applied and professional fields, with emphasis on instruction at the upper division (junior and senior) and graduate levels, in accordance with the California Master Plan for Higher Education.

CSULB is committed to serving the people of California. To assure access and equity consistent with educational priorities, the University endeavors to serve students who can attend only in the evening as well as those who can attend during traditional daytime hours, those who must attend part-time as well as those who attend full-time, and those from population groups whose rates of enrollment historically have been lower than average as well as those from groups that have had historically higher rates of education. The University serves students who have graduated in the top third of the State's high school graduating class, students who have completed a community college program, and adults reentering education.

The University's educational mission is to promote intellectual and personal development and to prepare students for life-long learning as well as preparing them to succeed in a variety of professional endeavors and to function as informed, contributing members of the community. To these ends, the mission of the undergraduate curriculum is grounded in a strong general education program, emphasizing the acquisition of writing, critical thinking, and analytical skills and knowledge of cultural and artistic traditions, the analysis of human behavior and society in the past and present, and scientific modes of inquiry. The mission of all degree programs is to provide each student with the skills necessary to pursue knowledge and to integrate information from various sources, and also to provide depth in at least one area of specialization. The mission of the graduate programs is to prepare students to enter careers requiring training beyond the baccalaureate, to advance in their jobs, or to pursue advanced study. Doctoral programs are intended to provide both advanced knowledge and the skills needed to pursue independent research. Educational support programs and services for students emphasize the importance of personal, interpersonal, and societal development.

A fundamental goal of all of the University's programs is to prepare students to function effectively in a culturally diverse society, by developing an understanding of our diverse heritage, including the essential contributions of women and ethnic minorities. Instruction emphasizes the ethical and social dimensions of all disciplines, as well as their applications to contemporary world issues. Building upon the culturally diverse region it serves and the international character of its faculty, the University emphasizes international education in its curriculum.

The University seeks to involve students in learning by offering most of the curriculum in small sections taught by fully qualified, professionally active faculty members, and by providing opportunities for undergraduate as well as graduate students to work with faculty members in independent study and research. CSULB serves the surrounding community through applied research, training and community service programs, and consulting for government agencies, non-profit organizations, and private industry.

## Mission Statement of California State University, Long Beach Athletics Program (revised 2002)

The Department of Sports, Athletics and Recreation enhances and complements the Academic mission of the University, by providing students with the opportunity to compete athletically in a balanced, competitive athletic program for both men and women.

The Department shall provide an athletic program that will enable the pursuit of excellence through true sportsmanship and personal integrity. The Department will place the highest priority on developing student-athletes ethically, mentally, intellectually, and physically and impress upon them the highest ideals of academics, teamwork and pride of self and University. These ideals will provide graduates the greatest chance for success and give them the potential for development of mind and character in their future career and life endeavors.

From a competitive standpoint, the Department will field teams capable of competing at the highest level our resources allow, giving them the opportunity to compete equitably with peer institutions for conference championships.

This framework will maintain an environment for fair and equitable intercollegiate competition; encourage the pursuit of academic excellence and character development; and the achievement of individual and team championship performance. With these accomplishments, the Department will be a source of pride for the University's students, alumni and supporters.

The Department will operate the athletic program within the policies and regulations of the NCAA, The Big West Conference, The Mountain Pacific Sports Federation, and The University. The mission of the Department is and will continue to be compatible with the mission of the University.

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

The mission of the athletics program directly serves the overall mission of the University through its emphasis on academic success, by providing recreational opportunities for interested students, by helping build pride in the institution through competitive success achieved in compliance with the rules and with a public demonstration of good sportsmanship, and by providing opportunities for members of the community to visit the campus.

### **3. Describe how and to whom the athletics program's mission statement is circulated.**

The athletics program's mission statement was widely disseminated when first developed, but has not been distributed outside the department since that time.

### **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.**

The actual practices of the Athletics Department have been consistent with the letter and spirit of the mission statement. As noted elsewhere in this self-study, student-athletes continue to graduate at a rate significantly higher than non-athletes, even as the graduation rate for the latter group has risen. In May 2002, both the Outstanding Graduate of the College of Engineering and the first runner-up for this honor were student-athletes.

The athletic program has become a major factor in raising the level of student identification with their campus. The proof of this assertion is the passage in 2000 of the student fee referendum (called "Beach Pride"), the explicit purpose of which was to supplement the funds available for providing scholarships and operating expenses for the so-called "minor sports." The Associated Students, Inc., in the same spirit, raised a huge banner in the Pyramid proclaiming "BEACH."

Student-athletes have also played a key role in providing service to the surrounding community. The Governor of California has made community service learning a priority for all public campuses in the state. The athletics program already had a tradition in this area, and has continued to generate favorable publicity for the University.

## **Operating Principle**

- 1.2 Institutional control, Presidential Authority and Shared Responsibilities. The Association's principle of institutional control vests in the institution the responsibility for the conduct of its athletics program, including the actions of its staff members and representatives of its athletics interests. In fulfilling this principle, the institution shall 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.**

### **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).**

There were none. The Board of Trustees of the California State University is the governing board for the entire 23-campus system and does not involve itself in the intercollegiate athletic programs of the member institutions.

- 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.**

The President of California State University, Long Beach exercises the ultimate authority over all operations and personnel of the athletics program. The President appoints the Director of Athletics, approves the budget for the program, and approves all policies governing the program. The Director of Athletics reports directly to the President, and the President has delegated the authority for operational management of the program to the Director, subject to his regular review and consultation. Aside from his annual approval of the budget, the specific decisions with which the President has been involved are best described under question 3 below.

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

The President's style of academic leadership emphasizes open consultation with all University constituencies on all matters of importance to the life of the University. Therefore, our decision-making processes are characterized by broad participation through the faculty governance system as well as the procedures used by administrative units.

The Academic Senate is the primary body charged with advising the President on matters relating to the University. The Senate exercises most of this responsibility in the area of intercollegiate athletics through its Executive Committee and the Committee on Athletics.

The President and the Director of Athletics consult with the Senate's Executive Committee (composed of the Senate's three elected officers and two members elected at large, along with several ex-officio members, such as the Chair of the Staff Council, the Provost, the Associate Vice President for Instructional Programs, and the campus's three representatives to the Statewide Academic Senate). Most recently this group was consulted, and provided advice, on some revisions in the formal process for selecting head coaches. On matters of broader concern (e.g., Title IX compliance), the President has also spoken directly with the Senate as a whole. The Director of Athletics also appears before the Senate at least once a year to report on the activities of the athletics program and the academic standing of the athletes.

Most consultation on athletics policies is handled by the Committee on Athletics, a standing committee of the Academic Senate. Membership consists of nine faculty selected by the Academic Senate and representatives from the Divisions of Student Services, Administration and Finance, and Academic Affairs, the CSULB Alumni Association, and the Associated Students, Inc. The Faculty Athletic Representative, the Chair of Kinesiology and Physical Education, and the Director of Athletics are also member of the Committee. The Committee serves as the primary advisory body to the Director of Athletics.

The activities of the Committee in the past three years include the review of policies for student athlete admission, financial aid, retention, educational equity, and concurrent SAR enrollment. Additionally, the Committee reviews stu-

dents' academic progress, the effectiveness of support programs for athletes, and the program's annual budget before presentation to the President for final approval.

This year the Committee on Athletics reviewed proposed changes to the selection process for coaches and formed a subcommittee to meet with the Director of Equity and Diversity. The Committee also invited guest speakers to report on budget, student graduation rates and support services, gender equity and diversity, intramural and club sports, external relations, and facilities management. Also, the head coaches for the men's and women's basketball teams shared their philosophies and programs with the Committee.

Issues regarding intercollegiate athletics policies or the operation of our athletics programs may originate in any area of the institution. Once we are aware of them, they are referred to the Director of Athletics and the Committee on Athletics. If the Committee Chair or the Director feel that the issue requires broader discussion or action at a higher level, the matter is taken to the Executive Committee of the Senate and then, if necessary, to the Senate itself for a recommendation for action by the President. The President monitors this process throughout and may participate in the discussions which lead to a solution. The President may also ask that consultation on the issue be broadened to include constituencies not previously involved.

Although this process has worked well for us in recent years, the Director of Athletics has expressed some concern that student-athletes may not always feel able to freely express their views on issues relating to their welfare. The Student Athlete Advisory Council does not function consistently from year to year because it is dependent upon the level of participation by athletes.

**4. Please attach an institutional organizational chart and an athletics department organizational chart.**

Organizational charts are attached. Refer to Appendix GC.6 for an institutional organizational chart and GC.7 for the Athletics Department chart.

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

- **Minutes of athletics board or committee meetings.**
- **Composition of the institution's governing board (including titles and positions).**
- **Minutes of the institution's governing board meetings. (Please flag those that relate to the athletic program or athletics interests.)**
- **Published policies of the institution's governing board. (Please flag those that relate to the athletics program or athletics interests.)**

**Operating Principle**

**1.3 Rules Compliance. Membership in the Association places the responsibility on each institution to assure that its staff, student-athletes, and other individuals and groups representing the institution's athletics interests comply with the applicable Association rules and regulations. Consistent with this responsibility, the institution shall demonstrate that:**

- a. It has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program.**
- b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department.**
- c. Rules compliance is the subject of an ongoing educational effort.**
- 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.**
- e. At least once every three years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department. [Note: The effective date of this requirement is January 1998.]**

## 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.**

At CSULB every sport has an Assistant or Associate Athletic Director as its designated sport supervisor. The appropriate sport supervisor attends every meeting of each CSULB booster clubs. In addition, fiscal control of the booster clubs is maintained in the business office of SAR. No booster club expenditure can be made unless it has the approval of the appropriate sports supervisor. The SAR business office will not issue a check unless there is documentation of this approval. These procedures are spelled out in the by-laws of each booster club.

- 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/coordinator) who the CEO designates as being responsible for the institution's rules compliance. Also, include a description of the reporting lines for and responsibilities assigned to the faculty athletics representative, director of athletics, compliance coordinator (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 documenting and monitoring compliance with NCAA rules.**

The Athletics Department organizational chart is attached as Appendix GC.7.

- 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 Department of Sports, Athletics, and Recreation (SAR) conducts two all-department meetings every year. In a meeting at the beginning of each semester, the Associate Athletic Director for Compliance provides updates concerning changes or new interpretations of NCAA and conference rules, and reviews rules that are known to have caused problems either at CSULB or elsewhere. In alternate years, the compliance staff of the Big West Conference conducts a seminar for all staff of SAR and appropriate staff from other University offices, such as the individuals responsible for certification of eligibility or management of financial aid for student-athletes. Also, the Associate Athletic Director for Compliance attends the first team meeting of the year in each sport to review the NCAA rules concerning amateurism and similar topics. Finally, all e-mail messages concerning rules interpretations sent by the Big West Conference compliance staff are distributed to all SAR staff.

Marketing and promotional activities are governed by a particularly complex set of rules, so the Associate Athletic Director for Compliance periodically attends meetings on this topic.

The *Black & Gold* newsletter, which is sent to all SAR staff, all boosters, the Committee on Athletics, and many other individuals on campus, always contains a column designed to explain NCAA, conference, and institutional rules on a particular topic that has proved troublesome in collegiate sports across the country. Similarly, the *Champs Life-Skills* newsletter, which is distributed to student-athletes as an advising tool, contains information about important NCAA rules.

In addition, the Department also maintains a Student-Athlete Advisory Board, which serves in part as a channel for communication about NCAA and conference rules. The board plays an important role in arranging for speakers on topics, such as alcohol and drug abuse.

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

Information about NCAA rules governing employment and CSULB procedures that ensure that student-athletes do not violate these rules are distributed at a team meeting in each sport. In addition, a checklist of important employment procedures, prepared by the Associate Athletic Director for Compliance, is provided to both coaches and athletes.

To begin the employment process, a student-athlete must register with the Administrative Assistant for Compliance, who is assigned the task of monitoring employment. When the student-athlete obtains employment, he or she must carry a letter to the employer explaining the NCAA limitations on employment and compensation. A form that indicates the amount of money a student-athlete is allowed to earn, which is dependent upon the amount of financial aid received, accompanies the letter. The form must be signed by both the employer and the student-athlete and then returned to the

Administrative Assistant for Compliance. Each pay stub must also be shown to and accounted for by the Administrative Assistant for Compliance. These regulations govern the regular Fall and Spring semesters; they are not in effect during vacation periods.

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.**

In the California State University system, neither administrators nor staff employees have detailed letters of appointment. The letters they receive simply provides information about the standard conditions of employment, such as salaries, hours of work, and benefits. The responsibilities and criteria for evaluation, which must be related to each other, are instead detailed their specific job descriptions.

The following language is included in all position announcements for openings and job descriptions for SAR administrative staff as described in "Knowledge of NCAA rules and regulations." An example of a position announcement is provided in Appendix GC.8. Also provided are position descriptions for Assistant Athletics Director for Compliance and Student Services, including the revised position description developed from the Big West Conference NCAA Compliance Review, and Administrative Assistant for Compliance in Appendix GC.9.

Finally, the following clause is included in all coaches' contracts: "All coaching personnel are required to comply with the standards established for Division I schools by the Big West Conference and the National Collegiate Athletic Association. Failure to report violations and abide by the rules and regulations established by these organizations may result in dismissal. This includes the reporting of the names of all camp and clinic employees, and their compensation, to the compliance office."

6. **Please attach written policies and step-by-step procedures that include assignments 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). [Note: The institution may use elements of its response to self-study items Nos. 4 and 5 under Operating Principle 2.1 (Academic Standards) when preparing the response to this self-study item.]**

#### Compliance Policy

Long Beach State University is committed to a competitive athletic program designed to be an integral and vital part of the educational process. Thus, it has the ultimate responsibility for the conduct of its athletics program, including that of all individuals and organizations that promote the athletic interests of the University.

Compliance is the responsibility of the entire Athletics Department. The Compliance Officer shall administer all NCAA, Big West and Long Beach State University rules and regulations. This individual, along with the University President, Director of Athletics, Faculty Athletic Representative and Senior Woman Administrator is authorized to make telephone call to the NCAA and Big West Conference for interpretations or clarifications of these regulations. Coaches or other administrators may not make such calls. In the event the Compliance officer is out of the office for any length of time, members of the Athletic Department direct compliance matters to the individuals listed below in the following order:

1. Associate Athletics Director/SWA
2. Faculty Athletics Representative
3. Compliance Assistant
4. Big West Conference Office
5. Athletics Evaluator (Eligibility issues only)

These individuals are qualified to address any questions or concerns regarding NCAA, Big West Conference and institutional regulations through attendance at NCAA Conventions, Regional, Conference, and institutional compliance seminars. All information is submitted in writing, retained in a file, and given to the Compliance Officer upon return.

## Compliance Procedures

NCAA rules manuals are issued to administrative personnel and coaches. When questions arise, the individual initially consults the manual. When an answer cannot be found, the Compliance Officer is then contacted. When uncertainties occur, the individual is instructed to ask the Compliance Officer before acting.

If an alleged violation at our institution should occur, it is reported to the Compliance Officer for appropriate action by the Compliance Committee, which is composed of the Compliance Officer, the Faculty Athletics Representative, the Associate and Assistant Athletics Directors, a member of the Committee on Athletics and three other institutional staff members (outside the athletics department). The role of the Compliance Committee is to investigate and report any allegation of rules violation, and to suggest appropriate action to the Director of Athletics. In these instances, the Compliance Officer will send a self-report and notice of the appropriate action taken to the Big West Conference and/or NCAA. Also, copies of the self-report are sent to the following: President, Faculty Athletic Representative, Director of Athletics, Conference Commissioner, involved staff members, and Associate/Assistant Director of Athletics.

Alleged violations by other NCAA institutions are reported to and discussed with the Compliance Officer. The Compliance Officer may contact his/her counterpart at the institution accused of committing the alleged violation and/or the Commissioner or Assistant Commissioner of the Big West Conference to inform them of the alleged violation.

In the instance of potential violations, the Compliance Director will e-mail the members of the Committee with the background information of the incident. Then, the Committee forwards their comments to the Compliance Director. If a violation has been determined minor, the Compliance Director reports the incident to the NCAA and/or Big West Conference utilizing the NCAA Secondary Violation Penalty Schedule (if appropriate) or determination of the Committee.

An investigative committee for possible major violations is composed of three or more members of the Committee (non-athletic) with the Compliance Director as a consultant. That sub-committee conducts an investigation and reports back to the Committee with their results and position. If it is determined that a violation has occurred, the Compliance Director will report the violation with a list of corrective and/or punitive action to the Big West Conference and the NCAA.

### **7. Please attach documentation related to periodic evaluation of the institution's rules-compliance program by an authority outside of athletics.**

See Appendices GC.3 and GC.4 for copies of the periodic evaluation of CSULB's rules-compliance program conducted in the year 2000 by the compliance staff of the Big West Conference and the University's response.

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

- **List of athletics booster organizations and their officers.**
- **Description of athletics booster group policies and procedures (e.g., constitution and bylaws).**
- **Documentation required by the institution to maintain compliance with NCAA rules (e.g., compliance manual, recruiting logs, eligibility files).**
- **Documentation generated as a result of conference involvement with the institution in reviewing compliance efforts.**
- **Documentation related to secondary rules violations for the last three years and the institutional response to those violations.**
- **Conference manual.**
- **Planning documents related to athletics (if any).**

## Evaluation and Plan for Improvement

Given the responses to the self-study items on the previous page, complete the responses below to: (1) indicate (with a yes or no) whether each part of the operating principle exists in the athletics program, and (2) evaluate whether the activities of the athletics program are in substantial conformity with the operating principle as a whole. [Note: In completing this assessment, make sure that all relevant information from the other three certification areas is considered, given that some overlap does exist].

Where the institution concludes in its evaluation that it does not conform to the operating principles as a whole or to any particular element(s) of the operating principle [as indicated by a “Currently No” response to the element(s)] or that problems or deficiencies exist in this area, outline the institution’s specific plans for improvement, which should include/meet the following required elements: (a) in writing, (b) developed through broad-based participation, (c) issues/problems identified in the self-study, (d) measurable goals the institution intends to attain to address the issues/problems, (e) step(s) to achieve the goals, (f) the specific timetable for completing the work, (g) individuals/offices responsible for carrying out the actions, (h) institutional approval, and (i) means for funding. [Note: Please see Appendix A, Page 51 for an example format outlining all required elements of plans.]

### 1.1 Mission of the Athletic Program and the Institution.

	Currently Yes	Found On Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicate Plan for Improvement Number
a. Does the institution demonstrate that the mission and goals of the athletics program:				
(1) Relate clearly to the mission and goals of the institution?	X	7 _____	_____	_____
(2) Support the educational objective, academic progress and general welfare of student-athletes?	X	7 _____	_____	_____
(3) Support equitable opportunity for all students and staff, including women?	X	7 _____	_____	_____
(4) Support equitable opportunity for all students and staff who are minorities?	X	7 _____	_____	_____
(5) Embrace the Association’s principles of sportsmanship and ethical conduct?	X	7 _____	_____	_____
(6) Are widely circulated among the institution’s internal and external constituencies?	X	7 _____	_____	_____
b. Does the institution demonstrate that the actual practices of the institution’s athletics program are consistent with the athletics program mission and goals?	X	7-8 _____	_____	_____

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  
 X \_\_\_\_\_

*[Note: The institution should not indicate "yes" regarding conformity with the operating principle as a whole unless it has indicated "Currently Yes" for each element of the operating principle or has below a plan to address any "Currently No" response to any element(s) of the operating principle.]*

**1.2 Institutional Control, Presidential Authority and Shared Responsibilities.**

	Currently Yes	Found On Page(s)	If Currently No or if Deficiencies Exist, Indicate Plan for Improvement	Currently No	Improvement Number
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?	_____	_____	No		Institution does not have a separate governing board
b. The chief executive office is assigned ultimate responsibility and authority for the operation and personnel of the athletics program?	X	8	_____	_____	
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?	X	9	_____	_____	

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)?

Yes No  
 X \_\_\_\_\_

**[Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has below a plan to address any “Currently No” response to any element(s) of the operating principle.]**

**1.3 Rules Compliance.**

	<b>Currently Yes</b>	<b>Found On Page(s)</b>	<b>Currently No</b>	<b>If Currently No or If Deficiencies Exist, Indicate Plan For Improvement Number</b>
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	_____	_____
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	11	_____	_____
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	12	_____	_____
e. At least once every three years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department?	X	2	_____	_____
	<b>Yes</b>	<b>No</b>		

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

X \_\_\_\_\_

*[Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has below a plan to address any “Currently No” response to any element(s) of the operating principle.]*

GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE RECOMMENDATIONS FOR IMPROVEMENT			
OBJECTIVE	ACTION	RESPONSIBLE PARTY	TIMETABLE
One additional staff member in Enrollment Services must be trained in monitor academic eligibility of student-athletes	Enrollment Services must train an additional staff member to assist during summer and early fall for academic eligibility with staff assigned to other tasks the rest of the year, but acting as back-up; both academic eligibility staff to attend NCAA and Big West regional compliance workshops	Assistant Vice President for Enrollment Services	Training to begin Spring 2003
Improve functioning and perceived value of Student-Athlete Advisory Council	Athletic Director should meet with current council and strengthen orientation for leadership	Assistant Athletic Director for Compliance and Student Services and Athletic Director	Beginning of Academic Year