

2006-2007
DIVISION I
ATHLETICS
CERTIFICATION
SELF-STUDY
INSTRUMENT

Introduction to Self-Study Report

Introduction to Self-Study Report

Institutional Information

1. Type of Institution: Public
2. Year institution was founded: 1831
3. Special Affiliation? No
4. Coeducational? Yes
5. Total student enrollment (undergraduate and graduate combined) [using a full-time-equivalency (FTE) basis]: 20099
6. Number of Faculty [using a full-time-equivalency (FTE) basis]: 1015
7. Highest level of academic degree offered: Doctorate
8. Institution's governing entity: Board of Trustees
9. a. Regional accreditation agency: Southern Association of College and Schools
9. b. Date of most recent regional accreditation self-study: December, 2005
9. c. Current accreditation status: Accredited

Athletics Information

1. Subdivision status of athletics program (Academic Year 2007): I-A
2. Conference affiliation(s) or independent status (Academic Year 2007):

Baseball	Southeastern Conference
Football	Southeastern Conference
Men's Basketball	Southeastern Conference
Men's Cross Country	Southeastern Conference
Men's Golf	Southeastern Conference
Men's Swimming	Southeastern Conference
Men's Tennis	Southeastern Conference
Men's Track, Indoor	Southeastern Conference
Men's Track, Outdoor	Southeastern Conference
Softball	Southeastern Conference
Women's Basketball	Southeastern Conference
Women's Cross Country	Southeastern Conference
Women's Golf	Southeastern Conference
Women's Gymnastics	Southeastern Conference
Women's Rowing	Southeastern Conference

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Women's Soccer	Southeastern Conference
Women's Swimming	Southeastern Conference
Women's Tennis	Southeastern Conference
Women's Track, Indoor	Southeastern Conference
Women's Track, Outdoor	Southeastern Conference
Women's Volleyball	Southeastern Conference

3. Athletics program structure ('X' all that apply):

- one combined athletics department
- separate men's and women's departments
- incorporated unit separate from institution
- department within a physical education division

4. Date of NCAA major infractions case(s) (if any) since previous certification self-study and impact (if any) on the areas of the certification program.

February 9, 1999: This case involved violations by an assistant men's basketball coach of NCAA bylaws governing recruiting and ethical conduct. Specifically, the Committee on Infractions found that the assistant men's basketball coach, on his own accord and without knowledge of any University staff members or coaches, attempted to solicit \$5,000 from two representatives of the University's athletics interests and one other individual for the purpose of paying the high school coach of a prospective student-athlete for his oral commitment to attend the University. The coach's attempt to solicit money from the boosters was reported by the boosters to the Director of Athletics, who immediately reported the information to the NCAA and SEC. After a hearing, the Committee on Infractions found the coach in violation of the principles of unethical conduct. The Committee did not impose any institutional sanctions. There was no impact on any areas of the institution's previous self-study.

February 1, 2002: The NCAA Committee on Infractions found violations in the University's football program in the areas of impermissible recruiting inducements and contacts by boosters, salary controls, recruiting visits and extra benefits. The Committee imposed scholarship reductions and a two-year post-season ban in the sport of football. There was no impact on any areas of the institution's previous self-study; however, the Department of Intercollegiate Athletics would incur an approximate loss of \$5.0 - \$6.0 million over the course of the two year bowl ban inasmuch as the University would not share in the SEC's bowl revenue distribution during 2002-2003 and 2003-2004.

5. Other significant events (with dates) in the history of intercollegiate athletics program:

None.

Previous Certification Self-Study

1. Date of previous orientation visit, evaluation visit and interim self-study report (if applicable):

The evaluation by a peer-review team that visited The University of Alabama occurred on November 30 - December 3, 1998. The University of Alabama submitted an Interim self-study report on September 30, 2003.

2. Initial certification-status decision rendered by the NCAA Committee on Athletics Certification (and date):

The University of Alabama was certified April 11 - April 13, 1999.

3. Subsequent actions or changes in certification status (if any) made by the NCAA Committee on Athletics Certification (and date):

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No subsequent action or changes have taken place.

4. Changes in key senior-level positions, institutional or athletics program, (if any) since the institution's previous certification self-study:

September, 1999: Taze Fulford, Executive Assistant Athletics Director for Business Affairs resigned. Carol Keys named to the position

October, 1999: Bob Bockrath, Director of Athletics, resigned

November, 1999: Mal Moore selected as Director of Athletics

September, 2001: Debbie Warren, Associate Athletics Director/Senior Woman Administrator resigned

November, 2001: Marie Robbins, Associate Athletics Director for Compliance, appointed Interim Senior Woman Administrator

May 7, 2002: Dr. Andrew Sorenson, President, announced his resignation effective June 30, 2002

May 8, 2002: Dr. Barry Mason, Dean of College of Commerce & Business, appointed as Interim President by Board of Trustees effective July 1, 2002

June 1, 2002: Marie Robbins, Associate Athletic Director for Compliance, promoted to Associate Athletic Director/Senior Woman Administrator

June 1, 2002: Chris King hired as Associate Athletic Director for Compliance

January 27, 2003: Dr. Robert E. Witt selected as President by Board of Trustees effective March 1, 2003

February 1, 2003: Jon Gilbert promoted to Associate Athletic Director for Events/Director of Special Campaigns

March 10, 2003: Dr. Nancy Barrett, Provost, resigned position. Dr. Judy Bonner, Dean College of Human Environmental Sciences, named Interim Provost

May 31, 2003: Dr. Sybil Todd, Vice President for Student Affairs, resigned

June, 2003: Dr. Robert Wright, Vice President for Finance, retired. Reba Essary appointed Interim Vice President for Finance

June, 2003: Dr. Lisa Harris, Assistant Vice President for Undergraduate Admissions & Financial Aid, reassigned in the Office of Academic Affairs. Dr. Roger Thompson, University Registrar, appointed Assistant Vice President for Enrollment Management & Registrar, with responsibilities for admissions, financial aid, and academic records

June 1, 2003: Dr. Kathleen Cramer appointed Interim Vice President for Student Affairs

June 2, 2003: Dr. Judy Bonner appointed as Vice President for Academic Affairs and Provost

August, 2003: Kerry Kennedy named Vice President for Financial Affairs & Treasurer effective September 15, 2003

October 1, 2003: Wendell Hudson named Associate Athletic Director for Alumni Affairs

November 3, 2003: Dr. Margaret King appointed as Vice President for Student Affairs

December 1, 2003: Dr. Keith McDowell appointed as Vice President for Research

July 23, 2004: Jon Dever promoted to Assistant Athletic Director for Academic Services

July 31, 2004: Kerry Kennedy resigned as Vice President for Financial Affairs & Treasurer

August 1, 2004: Dr. Samory Pruitt was appointed as Vice President for Community Affairs

August 1, 2004: Dr. Lynda Gilbert was appointed as Interim Vice President for Financial Affairs & Treasurer

November 9, 2004: Johnny Williams appointed Senior Associate Athletic Director for External Relations

January 1, 2005: Karin Lee promoted to Assistant Athletic Director for Community Outreach & Life Skills

June 1, 2005: Dr. Lynda Gilbert appointed as Vice President for Financial Affairs & Treasurer effective June 1, 2005

August 27, 2005: Tom Martz appointed as Vice President for Advancement effective August 27, 2005

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May 16, 2005: Ronny Robertson appointed Associate Athletic Director for Development

April 1, 2006: Dr. Judy Bonner appointed as Executive Vice President and Provost effective April 1, 2006

May 5, 2006: Chris Besanceney appointed Assistant Athletic Director for Tickets and Tide Pride

June 15, 2006: Dr. Roger Thompson resigned as Associate Vice President for Enrollment Management effective June 15, 2006

June 16, 2006: Doug Walker appointed Associate Athletic Director for Media Relations

August 16, 2006: Dr. Hank Lazer promoted to Associate Provost for Academic Affairs

August 16, 2006: Dr. Mark Nelson appointed Assistant Provost for Academic Affairs

March 31, 2007: Tom Martz resigned as Vice President for Advancement

5. Significant changes impacting the institution and/or athletics program, if any (e.g., conference affiliation, sports sponsored, changes in admissions standards, significant changes in graduation rates, changes in mission statement of the athletics program, changes in fiscal stability/condition of the athletics program), since the institution's previous certification self-study:

In February, 2002, the department of intercollegiate athletics launched its first ever capital campaign - the Crimson Tradition Fund. This \$100 million fundraising campaign was geared toward improving existing facilities in support of the academic and athletic endeavors of University student-athletes. Finalized facility improvements include Paul W. Bryant Hall, which has become a state-of-the-art academic center for student-athletes, soccer stadium and team rooms, tennis courts and stadium, football/administration building renovation (now called the Mal M. Moore Athletic Facility), Coleman Coliseum renovation, and an addition to Bryant Denny Stadium. This capital campaign is vital to the continued growth of intercollegiate athletics at the University.

Dr. Robert E. Witt was named President of The University of Alabama on March 1, 2003. His plans for The University of Alabama include enrollment growth from 19,181 in the Fall, 2002 to 28,000 by 2013. The cornerstone of President Witt's vision for The University of Alabama is to become the institution of choice for the best and brightest students. After the first three years of his presidency, the enrollment has increased to 23,878 students.

While the enrollment is at an all time high, the academic strength of the students enrolling at The University of Alabama is also at an all time high owing in part to the establishment of the Honors College in the 2003-2004 academic year. To support academically talented students, The University of Alabama has embarked on a capital campaign with a goal of raising over \$500 million for student scholarships, faculty support, campus facilities and priority needs.

In September, 2003, the University of Alabama Board of Trustees voted to establish a nonprofit corporation known as the Crimson Tide Foundation. Under the direction of a Board of Directors, which includes the President of the University, the Foundation's primary responsibility will be raising money for intercollegiate athletics. The Foundation's stated purposes include: "to promote and encourage a continuing interest in and loyalty to the intercollegiate athletics program at the University; to encourage alumni and friends of the University to generously support the University and its Athletic Department by gifts, devises, and bequests; to organize and promote one or more funds for the use and benefit of the University's Athletics Department and this Foundation; to support, promote, and encourage the education of University students; to provide and contribute to scholarship funding to the University for the University's student-athletes, both men and women, in all of the University's intercollegiate sports; to conduct any and all appropriate activities, in accordance with NCAA and SEC policies on institutional control, in order to accomplish [stated] objectives and purposes." Furthermore, in connection with the stated objectives and purposes, the Foundation will "actively solicit, accept, receive, maintain and disburse contributions and income therefrom, and to apply for, accept and expend grants in accordance with their requirements."

In October, 2005, the department of intercollegiate athletics announced the addition of women's rowing as its 21st varsity sport to begin competition in the 2006-2007 academic year.

Certification Self-Study Information

1. Steering Committee Chair: Dr. Judy Bonner

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2. Chief report writer/editor of self-study report: Dr. Joe Hornsby
3. Describe the extent of broad-based participation of campus constituencies in the self-study. Specifically, report on the opportunities that actually were provided to various individuals or groups in the broad-campus community to: (a) offer input into the self-study report before its findings and plans for improvement were formulated, and (b) review the self-study report after it was drafted.

The University of Alabama began the self-study process in July, 2006, well before the October 6, 2006 NCAA orientation videoconference. The steering committee and the three subcommittee chairs met for the first time in September, 2006. The members of the committees involved in the athletic certification process are listed in the Written Plan for Completion of the Self-Study. The meetings and activities of the subcommittees and steering committee are also described in the Written Plan for Completion of the Self-Study portion of the self-study.

The University of Alabama ensured broad-based participation in the certification self-study process in various ways. Steering committee and subcommittee members were appointed with diverse representation from the University including administrators, faculty, staff, students, Faculty Senate members, and Intercollegiate Athletic Committee members. The Faculty Senate President served on the steering committee and Commitment to Governance and Rules Compliance subcommittee. The construction of the committees selected by the President provided a balance between athletic department staff members and other key groups on campus.

The athletics certification self-study process was reported on in the local and campus newspapers, as well as the faculty/staff weekly Dialog newsletter. Campus involvement was solicited through the creation of a web page where the self-study materials and overview, steering and subcommittee representation, and the final report was posted. Presentations about the NCAA athletics certification process were made to various groups throughout the 2006-2007 academic year by the Provost (Chair of Steering Committee), Faculty Athletics Representative (Chief Report Writer), and the Associate Athletic Director for Compliance (Institutional Liaison). A listing of the various groups and dates are included within the Timeline in the institution's written plan for conducting the self-study on page 10 and 11.

Each subcommittee established its own schedule of meetings and project completion dates. The steering committee reviewed the subcommittee reports and worked with the subcommittee chairs in finalizing the report.

Through the various channels of communication and participation, The University of Alabama has afforded the opportunity for broad-based input into the NCAA athletics certification self-study report.

4. Provide a copy of the institution's written plan for conducting the self-study.

The University of Alabama

NCAA Division I Athletics Certification Program

Written Plan for Completion of the Self-Study

Introduction

The University of Alabama, the state's oldest public university, is the senior comprehensive doctoral-level institution in Alabama. Established by constitutional provision, with subsequent statutory mandates and authorizations, the University's purpose is to advance the intellectual and social condition of all the people of the state through quality programs of teaching, research and service.

The mission of The University of Alabama department of intercollegiate athletics is to actively support The University's mission of teaching, research and service by providing an atmosphere in which student-athletes can succeed at championship levels within the spirit of fair play, sportsmanship, and integrity.

Toward the mission, the following athletics-related objectives include:

- * Development of the total person
- * Demonstrated academic achievement
- * Adherence to NCAA and SEC rules of competition

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- * Development of programs and services which ensure equitable treatment, respect and opportunity for men and women
- * Expectation of success in all sponsored programs
- * Recognition and enhancement of the athletic traditions of The University of Alabama
- * Programmed outreach initiatives for student-athletes, coaches and athletics staff to serve the university and local communities.

Athletic Certification

Adopted by the membership at the 1993 NCAA Convention, the certification process is intended to "validate the fundamental integrity of member institutions' athletics program through a verified and evaluated institutional self-study". President Dr. Robert E. Witt appointed the athletics certification steering committee in July, 2006. The steering committee has been charged with oversight of the self-study and athletics certification process. This document serves as an action plan and provides a timetable for completion of the self-study.

Primary Objectives

To complete an institutional self-study in each of the following three areas: Governance and Commitment to Rules Compliance; Academic Integrity; and Commitment to Equity and Student-Athlete Welfare. Each subcommittee collected and reviewed the information needed to describe the status of the University's athletics program in relation to the NCAA operating principles. More specific information regarding the goals of the certification process and the requirements of the self-study instrument in each of the three areas is found in two NCAA publications that have been distributed to all members of the steering committee and subcommittees. Those publications are the 2006-2007 Division I Athletics Certification Handbook and the 2006-2007 Self-Study Instrument.

The institution has submitted evidence of implementation, including all appropriate supplemental materials, of all institutional first-cycle plans for improvement in the areas of Governance and Commitment to Rules Compliance, Academic Integrity, and Commitment to Equity and Student-Athlete Welfare and any additional plans for improvement developed since the first cycle. For those plans for improvement that have not been implemented, the institution will provide an explanation for the partial completion or noncompletion.

Major Components of the Self-Study

A. Appointment of Chair

By letter of July 17, 2006, President Robert E. Witt selected Dr. Judy Bonner to chair the athletics certification steering committee. Dr. Bonner is the Provost and Executive Vice President. In accordance with the directives established in the 2006-2007 Division I Athletics Certification Handbook, Dr. Bonner was granted clear authority from President Witt to conduct this process and has ready access to the President through her position as Provost and Executive Vice President.

Dr. Bonner was the Chair of the Academic Integrity subcommittee during the athletics certification first cycle and has considerable familiarity with intercollegiate athletics.

B. Composition of the Steering Committee and Three Subcommittees

The steering committee and subcommittee members were selected in accordance with the standards established in the 2006-2007 Division I Athletics Certification Handbook. In addition to the four committee members required by the Handbook (Chief Executive Officer, Faculty Athletic Representative, Athletic Director and Senior Woman Administrator), the construction of these committees provides a balance between athletic department staff members and other key groups on campus.

The Steering Committee and subcommittees met on at least one occasion prior to the orientation visit in order to understand the process and identify critical information resources on campus. The chair of the Steering Committee communicated with these groups on a number of occasions prior to the orientation visit.

During the 2006-2007 academic year, Dr. Joe Hornsby, Faculty Athletics Representative, and Chris King, Associate Athletic Director for Compliance, have provided a presentation to members of intercollegiate athletics to discuss the athletics certification process. This presentation included a brief history of the athletics certification process, the three topic areas, the timetable and other matters relating to the athletics certification self-study.

Introduction to Self-Study Report

September, 2006

Self Study Steering Committee for Athletics Certification

Dr. Judy Bonner, Steering Committee Chair and Provost and Executive Vice President

Dr. Hank Lazer, Chair, Governance and Rules Committee and Associate Provost

Dr. Carmen Taylor, Chair, Academic Integrity Committee and Associate Dean and Chief Information Officer, College of Arts and Sciences

Dr. Cheree Causey, Chair, Equity and Student Athlete Welfare Committee, Assistant Vice President for Student Affairs (July 2006 to December 2006)

Dr. Kathleen Cramer, Chair (January 2007 to Present), Equity and Student Athlete Welfare Committee, Senior Associate Vice President for Student Affairs

Dr. Joe Hornsby, Chief Self Study Report Writer and Director of Blount Undergraduate Initiative, Faculty Athletics Representative

Mr. Chris King, Institutional Liaison to Peer-Review Team and NCAA Staff and Associate Athletic Director, Compliance

President Robert E. Witt

Mr. Mal Moore, Director of Athletics

Dr. John Vincent, Professor of Chemistry and President, Faculty Senate

Dr. Samory Pruitt, Vice President for Community Affairs

Mrs. Cathy Andreen, Director of Media Relations

Maggie Lester, Junior, Communications Major

John Moultrie, Junior, Arts and Sciences

Jackie Wilkins, Former Student-Athlete, Graduate Student, Sports Management

Mr. Kevin Almond, Associate Athletic Director, Support Services

Ms. Marie Robbins, Associate Athletic Director, Senior Woman Administrator

Mr. Greg Sankey, Southeastern Conference Ex-Officio

Governance and Rules Compliance Committee

Dr. Hank Lazer, Chair

Dean Loy Singleton, College of Communication and Information Sciences

Dr. Joe Hornsby, Faculty Athletics Representative

Mr. Greg Singleton, Director, Engineering Student Services

Mrs. Mary Spiegel, Executive Director, Undergraduate Admissions

Dr. John Vincent, Professor of Chemistry and President, Faculty Senate

Jackie Wilkins, Former Student-Athlete, Graduate Student, Sports Management

Mr. Chris King, Associate Athletic Director for Compliance, Ex-Officio

Mr. Wendell Hudson, Associate Athletic Director for Alumni Affairs, Ex-Officio

Academic Integrity Committee

Dr. Carmen Taylor, Chair

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Dean Milla Boschung, College of Human Environmental Sciences

Mrs. Elva Bradley, Director, Center for Teaching and Learning

Dr. Michael George, University Registrar

Dr. Larry Kohl, Professor of History

Dr. Lou Marino, Professor of Management

Dr. Catherine Pagani, Professor of Art History

Charles Gray, Sophomore, College of Business Administration

Mr. Jon Dever, Assistant Athletic Director, Student Services, Ex-Officio Member

Ms. Karin Lee, Assistant Athletic Director, Life Skills, Ex-Officio

Equity and Student Athlete Welfare Committee

Dr. Cheree Causey, Chair (July 2006 to December 2006)

Dr. Kathleen Cramer, Chair (January 2007 to Present)

Dr. Samory Pruitt, Vice President for Community Affairs

Dr. Ike Adams, Dean, School of Social Work

Dr. Kim Campbell, Professor of Management and Marketing

Mrs. Gwedolyn Hood, Director and University Compliance Officer

Dr. Ken Wright, Professor of Consumer Sciences

Sarah Yates, Sophomore, Public Relations

Mr. Kevin Almond, Associate Athletic Director, Support Services, Ex-Officio

Ms. Marie Robbins, Associate Athletic Director, Senior Woman Administrator, Ex-Officio

The steering committee has seventeen members; the subcommittees have approximately ten members. All subcommittee chairs are members of the steering committee. No subcommittee chair is a member of the department of intercollegiate athletics. The members of the steering committee and subcommittees represent a broad range of academic disciplines and a good mix of faculty and administrative staff. Faculty members and non-athletic administrative staff compose the bulk of the steering committee and subcommittees. Approximately twenty five percent of the steering and subcommittee members are from the department of intercollegiate athletics. All subcommittees have unfettered access to information pertinent to the self-study. Finally, the subcommittees received their charges so that the subcommittees had seven months to conduct their portion of the self-study.

C. Responsibilities of the Steering Committee and Subcommittees

The responsibilities of the steering committee and subcommittees are detailed in the two NCAA publications noted above. Among the responsibilities of the steering committee are: to collect and organize data; to coordinate activities of the subcommittees and monitor progress of the self-study; to review the reports of subcommittees; to solicit input from campus groups; to comment on report drafts and to review reports of the peer-review team and the Committee on Athletics Certification.

Each subcommittee assumed specific responsibility for gathering information, assessing the information, making recommendations and developing timetables for its particular area of study. Each subcommittee utilized the 2006-2007 Self-Study Instrument for Division I Athletics Certification as a starting point for its analysis. The steering committee chair, institutional liaison, and the chief report writer have coordinated the subcommittees' individual reports.

D. Institutional Liaison

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The institutional liaison is Mr. Chris King. Mr. King is the Associate Athletic Director for Compliance at The University of Alabama.

Mr. Chris King
Associate Athletic Director for Compliance
The University of Alabama
Phone: (205) 348-0544
Fax: (205) 348-4659
E-mail: cking@ia.ua.edu
Box 870323
Tuscaloosa, Alabama 35487

A June 14, 2004 document (Appendix) from the NCAA describes typical duties and additional duties that the liaison may assume. Dr. Bonner and Mr. King worked cooperatively and shared the responsibility for most of the items included on that document. The subcommittee chairs have received a copy of the institutional liaison job description.

E. Conference Assistance

The University welcomed the assistance of the Southeastern Conference in our self-study process. Mr. Greg Sankey, Associate Commissioner at the SEC, serves on the steering committee and has participated in our self-study as his schedule permitted. Mr. Sankey has been involved in the certification process at several SEC institutions. Mr. Sankey is a sitting member of the Committee on Athletics Certification and will assist the peer-review team in the manner determined by the University and the peer-review chair.

F. Outside Consultants

The University did not use outside consultants in this process.

G. Timetable

July, 2006

Presidential selection letter sent to steering committee members and subcommittee members

July, 2006

President selection letter sent to steering committee chair and subcommittee chairs

August, 2006

Pre-orientation conference call with President, steering committee chair, institutional liaison, and chief report writer

August, 2006

Steering committee chair distributed 2006-2007 Division I Athletics Certification Handbook and the 2006-2007 Self-Study Instrument to steering committee and subcommittee chairs

September 19, 2006

Steering committee initial meeting to discuss self-study, formation of subcommittees and NCAA orientation videoconference

September 22, 2006

Commitment to Equity and Student-Athlete Well Being subcommittee initial meeting

September 22, 2006

Draft of the Written Plan for Completion of the Self-Study circulated to steering committee members

September 27, 2006

Provost briefed the President's Executive Staff on athletics certification self-study process and invited comments.

September 29, 2006

Written Plan for Completion of Self-Study submitted to NCAA

October 4, 2006

Provost briefed the Council of Deans on athletics certification self-study process and invited comments. A copy of the Athletics Certification Handbook was distributed to the Deans.

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October 6, 2006

Academic Integrity subcommittee initial meeting

October 6, 2006

NCAA orientation videoconference with steering committees and subcommittees

October 11, 2006

Governance and Commitment to Rules Compliance subcommittee initial meeting

October 19, 2006

NCAA teleconference on NCAA web-based athletics certification process with institutional liaison and chief report writer

October 25, 2006

Faculty Athletics Representative (Intercollegiate Athletic Committee chair) shared update with Intercollegiate Athletic Committee on athletics certification self-study process and invited comments

October, 2006 - March, 2007

Subcommittee meetings and data collection

November 13, 2006

Article on athletic certification process appeared in the student newspaper, The Crimson White, and the faculty/staff newspaper, Dialog

February 5, 2007

Steering committee meets to review Commitment to Equity and Student-Athlete Well Being subcommittee draft report

March 22, 2007

NCAA athletic certification website goes live, including information on athletic certification process, committee representation, and link for news articles

March 26, 2007

Institutional liaison and chief report writer share update with athletic department senior athletics administrators on progress, campus athletic certification website, and invite comments

March 27, 2007

Institutional liaison and chief report writer share update with Faculty Senate on progress, campus athletics certification website, and invite comments

April 11, 2007

Faculty Athletics Representative (Intercollegiate Athletic Committee chair) shared update with Intercollegiate Athletic Committee on athletics certification self-study process and invited comments

April 16, 2007

Steering committee meets to review Governance and Commitment to Rules Compliance draft report

April 23, 2007

Steering committee meets to review Academic Integrity subcommittee draft report

April 23, 2007

Update on athletic certification process appeared in the faculty/staff newspaper, Dialog, inviting comments

April 30, 2007

Steering committee meets to review final self-study report

May 1, 2007

Final self-study report submitted to NCAA; press release on submission of final self-study report sent to University community, media, and public; final self-study report available on athletics certification website

May - June, 2007

Analysis of the University's self-study report by NCAA liaison

May-June, 2007

University responds to "issues" identified by NCAA

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June-July, 2007

Analysis of the University's self-study report by Committee on Athletics Certification

June-July, 2007

University responds to "issues" identified by Committee on Athletics Certification

July, 2007

Steering committee meets to review and offer written comments on potential peer-review team members

October 17-19, 2007

Peer review team evaluation visit to The University of Alabama campus

Date TBD

Peer-review team submits draft report to NCAA and The University of Alabama

Date TBD

Steering committee meets to review draft report

Date TBD

The University of Alabama response to peer-review team report due to NCAA

February, 2008

Final NCAA Division I Committee on Athletics Certification review

February, 2008

Steering committee and President report results of athletics certification process to campus community and general public

H. Development of the Report and Campus Input

Data collection began after the NCAA videoconference orientation. The University examined a three-year window of activity. The academic years of 2003-2004, 2004-2005, and 2005-2006 were used for the Governance and Commitment to Rules Compliance subcommittee and the Commitment to Equity and Student-Athlete Well Being subcommittee. The academic years of 2004-2005, 2005-2006, and 2006-2007 were used for the Academic Integrity Subcommittee. Although the 2005-2006 academic year was the cut-off, developments during the 2006-2007 academic year (the self-study year) have been noted in the report.

The chief report writer was Dr. Joe Hornsby, Director of Blount Undergraduate Initiative and the Faculty Athletics Representative due to his familiarity with the department of intercollegiate athletics and his background as a professor of English.

- 5. Please provide the institution's mission, philosophy and goals statement and the athletics program's mission, philosophy and goals statement. Also, indicate the dates of formal approval for the latest versions.**

The mission of The University of Alabama was reviewed and affirmed by the Board of Trustees of The University of Alabama in 2004 as part of the recent self study process for reaffirmation of accreditation by the Commission on Colleges of the Southern Association of Colleges and Schools. The mission statement is as follows:

Mission of The University of Alabama

The University of Alabama, the State of Alabama's oldest public university, is a senior comprehensive doctoral level institution. The University was established by constitutional provision under statutory mandates and authorizations. Its mission is to advance the intellectual and social condition of the people of the State through quality programs of teaching, research, and service.

Activities to Support the Mission

The University of Alabama's activities emerge from a broad range of research and creative activities, many of which are recognized for their contributions to the economic, technological, and cultural growth of the State. Research and creative activity yields continuing stimulation for the instructional programs offered by the University's colleges and schools, supported by The Amelia Gorgas Library, a member of the Association of Research Libraries. At the undergraduate level, the University offers a broad range of baccalaureate programs in the arts and humanities,

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science and technology, pre-professional, and professional fields. A University-wide core curriculum provides a general education component as the keystone of every undergraduate program. Graduate programs, built on these undergraduate foundations, concentrate on the development of original scholarship, research, and creative activity. Professional programs, including the State's only public law school, prepare students with high levels of competence and for leadership roles. As one of the major residential campuses in the State, the University enhances the academic and personal growth of its students through its on-campus environment. Recognizing that education is a lifelong endeavor, the University offers an array of educational opportunities for non-traditional students.

The University's research, creative activities, and instructional programs form a foundation for extensive service activities, establishing a number of partnerships with business, non-profit organizations, and government through applications of new knowledge. These relationships often extend beyond the bounds of the State as the University assists developmental efforts at regional, national, and international levels.

The mission of The University of Alabama department of intercollegiate athletics is to actively support the University's mission of teaching, research and service by providing an atmosphere in which student-athletes can succeed at championship levels within the spirit of fair play, sportsmanship, and integrity.

Toward the mission, the following athletics-related objectives include:

- * Development of the total person
- * Demonstrated academic achievement
- * Adherence to NCAA and SEC rules of competition
- * Development of programs and services which ensure equitable treatment, respect and opportunity for men and women
- * Expectation of success in all sponsored programs
- * Recognition and enhancement of the athletic traditions of The University of Alabama
- * Programmed outreach initiatives for student-athletes, coaches and athletics staff to serve the university and local communities.

Governance and Commitment to Rules Compliance

Operating Principle

1.1 Institutional Control, Presidential Authority and Shared Responsibilities

Self-Study Items

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

There were no "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 relating to Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities).

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

There were no additional plans for improvement/recommendations relating to Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities).

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

During the most recent probation period, the Associate Athletic Director for Compliance and Faculty Athletics Representative met monthly with the President to discuss current issues and key compliance topics.

The Provost of the University appointed the Associate Provost for Academic Affairs to oversee and conduct monthly meetings to keep the Provost's office abreast of intercollegiate athletics compliance and academic issues. University faculty/staff members that attend the meeting include: Associate Provost for Academic Affairs, Faculty Athletics Representative, the former Associate Vice President for Enrollment Management, Executive Director of Undergraduate Admissions, Associate Athletic Director for Support Services, Associate Athletic Director for Compliance, and the Assistant Athletic Director for Academic Services.

The Provost appointed an Admission's Appeals Committee to consider admissions appeals and other exceptional admissions cases on non-student athletes and student-athletes with academic records that involve test scores and grades that fall below the typical standards for admission. The committee determines the application status decision and informs the student of the decision by phone and by letter. The committee members are the Associate Provost for Academic Affairs, Faculty Athletics Representative, Executive Director of Undergraduate Admissions and the Associate Director of Admissions for Operations. This committee also reviews any student's academic credentials if he/she has attended more than three high schools. In addition, the Appeals Committee often holds an interview with the prospective student to gain a more thorough understanding of the prospective student's academic record.

In February 2006, the Associate Athletic Director for Compliance and Faculty Athletics Representative presented at the annual Board of Trustees meeting on the following areas:

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- * NCAA Manual/Rules and Regulations
- * Basic NCAA Recruiting Rules - Prospective Student-Athletes
- * Basic NCAA Recruiting Rules - Current Student-Athletes
- * Probation Status
- * Rules Compliance Education/Initiatives
- * Principles of Institutional Control
- * Procedures for Investigation and Reporting of Violations
- * Southeastern Conference Report of the Task Force on Compliance and Enforcement
- * Academic Progress Rate Rules

For the past several years, the Assistant Athletic Director for Academic Services has presented information regarding academics and athletics eligibility to new faculty during New Faculty Orientation.

4. Describe how the institution's governing board decisions are consistent with those of other on-campus units. Based upon the institution's experience in the last three years, list the decisions (if any) related to intercollegiate athletics in which the institution's governing board or individual board members have been significantly involved.

The University of Alabama System includes The University of Alabama, Tuscaloosa, The University of Alabama at Birmingham, and The University of Alabama in Huntsville. The System is governed by a self-nominating Board of fifteen elected and two ex-officio members.

The Constitution of the State of Alabama provides that the Board is composed of three members from the Congressional district in which the Tuscaloosa campus is located and two members from each of the other six Congressional districts. The Governor and the State Superintendent of Education are ex-officio members of the Board. Those members who are not ex-officio are elected by the Board, subject to confirmation by the State Senate and may serve up to three consecutive, full six-year terms.

The purpose of the Board of Trustees is to ensure the effective leadership, management and control over the activities of the three doctoral research universities in The University of Alabama System. This structure provides for a definitive, orderly form of governance, and secures and continues responsive, progressive, and superior institutions of higher education.

The primary functions of the Board are to determine the major policies of the System. These include reviewing existing policies; defining the mission, role, and scope of each campus; and assuming ultimate responsibility to the public and political bodies of Alabama. Rules, policies, and procedures are promulgated to ensure that, through The University of Alabama System Office, the necessary flow of information for such accountability takes place.

The President reports to the Board of Trustees on all significant policy matters concerning intercollegiate athletics. In addition, several Trustees serve on athletics oversight committees such as the Intercollegiate Athletics Committee, whose duties include periodic review and revision of the athletic department's mission statement, the student-athlete handbook, the compliance manual(s), the athletic department policies and procedures manual, compliance with National Collegiate Athletic Association and Southeastern Conference rules, academic services and graduation/retention rates, financial affairs, gender equity, and the general reputation of the athletics program. This Committee meets regularly to perform its oversight duties.

During the last three years, the Board has been involved with numerous decisions relating to The University of Alabama department of intercollegiate athletics. The Board makes decisions on the department of intercollegiate athletics issues in a manner consistent with its decision making for other departments of the University. The decisions listed below are provided from a review of the minutes from the Board meetings over the past three years, including the minutes from the Athletics Committee of the Board. The President provided approval on the decisions listed below and the Board of Trustees provided the final resolution.

- * Approved the hiring of a new University President and Provost, who have direct oversight of the department of intercollegiate athletics.
- * Reviewed and approved the annual operating and capital projects budget.

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- * Approved the financing, project budget, construction, and planning for the design services for the expansion of Bryant-Denny Stadium, Coleman Coliseum, Bryant-Denny Stadium North Entrance Plaza, and Coliseum Drive. The Board must approve any renovations to existing athletic facilities.
- * Approved the hiring of new head coaches and salary and compensation arrangements of members of the department of intercollegiate athletics. In the past three years, for example, the Board approved the hiring of a new head football coach, head women's basketball coach, and head men's and women's golf coach.
- * Approved resolutions to establish sport-specific endowed scholarships for the purpose of promoting the education of full-time undergraduate students participating in intercollegiate athletics.
- * Initiated resolutions commending sport-specific achievements and congratulating individual student-athletes for academic and athletic achievements in the past three years.
- * Approved the Bylaws of the Crimson Tide Foundation, a non-profit corporation, and the Foundation's Articles of Incorporation.
- * Approved resolution to rename the Athletic Facility/Football Building to the Mal M. Moore Athletic Facility.

In addition, items relating to intercollegiate athletics are reported to the Board of Trustees at their regular meetings upon request. Board of Trustees meeting minutes will be available to the peer-review team.

5. Based upon the institution's experience in the last three years, list the decisions related to intercollegiate athletics in which the institution's president or chancellor has been significantly involved.

The President has been significantly involved in all major issues related to the athletics program at the University and has final authority over each decision. The Director of Athletics reports directly to the President and consults with him on all major athletically-related decisions. The President also serves as a member of the Board of Directors of the Crimson Tide Foundation and maintains authority over the budget of the Foundation.

Some of the decisions related to the department of intercollegiate athletics in which the President was significantly involved in the past three years include, but are not limited to:

- * Oversight of the completion of renovation, construction, fundraising and re-opening of Bryant-Denny Stadium, Coleman Coliseum, Bryant-Denny Stadium North Plaza Entrance, and Coleman Drive.
- * Approved the creation of an athletics foundation (Crimson Tide Foundation) to hold donor funds and endowments.
- * Reviewed and approved the annual capital and operating budgets and the audit of the annual expenditures.
- * Approved a revised compensation plan for coaches that reward athletic and academic achievement.
- * Approved faculty and academic staff appointments to the Intercollegiate Athletic Committee, Professional Sports Counseling Panel, and University Athletic Compliance Committee.
- * Reviewed the performance of the University's overall athletics program and the Director of Athletics.
- * Approved the restructuring of the Director of Athletics compensation package.
- * Reviewed and approved an all-sport athletics apparel agreement between the University and Nike USA, Inc.
- * Reviewed and approved the key terms of a multi-media agreement between the university, Learfield Communications, Inc. and ISP, Inc.
- * Approved certain organizational changes in the department of intercollegiate athletics.
- * Approved the restructuring of the former head football coach's compensation package.
- * Approved the change in head football coach; final approval of the hiring of a new head football coach and coach's contract.
- * Approved appropriate outside income opportunities and perquisites for coaches and other intercollegiate athletic departmental staff members.
- * Oversaw determination of institutional positions related to proposed NCAA and Southeastern Conference legislation. Met on a regular basis with the Director of Athletics, Faculty Athletics Representative, and Associate Athletic Director for Compliance.

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* Participated in athletics compliance meetings to remind staff, boosters, and others of the importance of compliance and the requirement for institutional control. Regularly met with the Faculty Athletics Representative and the Associate Athletic Director for Compliance during the recent NCAA probation period.

* Oversaw the institutions' self-report of various NCAA infractions, provided follow-up to meet the requirements imposed by the NCAA Committee on Infractions for the recent probation period, and approved the annual probation reports required by NCAA Committee on Infractions.

* Approved, reviewed, and submitted institutional recruiting policies on prospective student-athlete visits to campus to the Southeastern Conference, in accordance with NCAA 13.6.1.

* Represented the institution at football bowl games and other athletic championship and special events.

6. 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 president or chancellor, 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.

For all decisions made to enhance The University of Alabama's mission and purpose, the ultimate authority regarding those decisions is The University of Alabama System Board of Trustees. Through delegation of authority, primarily to the President, not all decisions reach the Board for final approval. But because the Board has ultimate authority and does periodically observe and review decisions made regarding athletics at the University, it is positioned at the top of the University of Alabama Intercollegiate Athletics Management flow chart.

The Athletics Committee of the Board of Trustees exists to assist the Board in its oversight of the intercollegiate athletics programs. The committee serves as liaison between the Board, the President, and the department of intercollegiate athletics. The Committee advises and consults with the Chancellor of The University of Alabama System and the President on all matters that, in the judgment of the Chancellor and President, have long-term impact on the operations, reputation and standing of The University of Alabama system and the athletic programs. The Committees responsibilities include monitoring and reviewing institutional compliance with the laws, rules, regulations, and policies of the Board, the NCAA, the Southeastern Conference, and any other applicable governmental or regulatory agency or body; reviewing athletic budgets, facilities plans and student athletic fees; making recommendations to the Board as part of the annual budget, facilities, tuition and fee approvals; overseeing academic and other support services provided to student-athletes and monitoring their retention and graduation rates; requesting and reviewing reports on major legal, political, and public matters affecting the athletic department or their personnel; and keeping the Board informed of relevant changes in NCAA and conference affiliations, structures, rules and regulations.

The Crimson Tide Foundation began in September 2003. As described in its Articles of Incorporation and Bylaws, the Crimson Tide Foundation's primary purpose is to promote and support the University's intercollegiate athletics program. These documents also contain the details of the foundations purpose and the composition of the board of directors and will be available to the Peer-Review Team. The President is the chief executive officer at The University of Alabama and, as shown in The University of Alabama organizational chart, has ultimate authority over all areas of the institution, including fund-raising activities. The President serves as a member of the Board of Directors of the Crimson Tide Foundation and maintains authority over the budget of the Foundation. The University's agreement with the Crimson Tide Foundation ensures that its relationship is consistent with the University's mission.

Primary responsibility and control of the department of intercollegiate athletics rests with the President, although, as indicated above, the President reports to the Board of Trustees on significant matters involving the intercollegiate athletics program. The President is charged with the official responsibility for certifying that the department of intercollegiate athletics policies, programs and activities are in compliance with NCAA and Southeastern Conference rules and regulations, as well as the applicable laws of the state of Alabama.

The President is made aware immediately of any problem with compliance or institutional control. The President receives regular briefings from the Director of Athletics and from the Faculty Athletics Representative about all aspects of the University's intercollegiate athletics programs. In addition, the Associate Athletic Director for Compliance reports to the Director of Athletics. In this way, the President is assured that all persons involved are fully apprised of compliance issues. The President appoints the Intercollegiate Athletics Committee for general oversight of intercollegiate athletics. The Intercollegiate Athletic Committee's chair is the Faculty Athletics Representative. Additionally, the President appoints the University Athletics Compliance Committee to provide

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general advice regarding rules compliance. The President appoints the Faculty Athletics Representative, in consultation with the Faculty Senate, to ensure independence and direct contact between that position and the President.

The Director of Athletics is directly responsible for the day-to-day operations of the intercollegiate athletics program. The Director regularly - almost daily by telephone or in person - reports to the President on pertinent department of intercollegiate athletics issues and is a member of the Executive Committee, which meets weekly with the President. In administering the intercollegiate athletics program, the Director is responsible for all aspects of the department's operations, including, but not limited to, supervising the activities of administrators, coaches and support staff.

In addition to the Director of Athletics, those reporting directly to and advising the President on matters related to the intercollegiate athletics program are the Faculty Athletics Representative, the Intercollegiate Athletics Committee, and the University Athletics Compliance Committee. The general job requirements of the Faculty Athletics Representative are to work closely with the President, the faculty, students, the Director of Athletics, the Associate Athletic Director for Compliance, and the other department of intercollegiate athletics personnel to support a campus environment in which the athletics program is a vital component of the educational program and in which student-athletes constitute an integral part of the student body. The Faculty Athletics Representative also represents the University and the faculty in the institution's relationship with the NCAA and the Southeastern Conference.

The Intercollegiate Athletic Committee assists the President in the formulation of policy for intercollegiate athletics. In carrying out its duties, the committee provides oversight for all aspects of the intercollegiate athletics program. Oversight includes but is not limited to: the athletic department's mission statement; periodic review of student-athlete handbook, compliance manual(s); compliance with NCAA and Southeastern Conference rules and regulations; academic services, admissions profiles and graduation rates; financial affairs; gender equity and equal opportunity policies and practices; coach/student-athlete relationships and discipline; competitive event scheduling; student-athlete exit interviews; and general reputation of the athletics program.

This committee consists of fifteen (15) members: a total of five (5) faculty, including the Faculty Senate representative and the Faculty Athletics Representative (who serves as chair); two (2) student-athlete representatives (one male and one female), and eight (8) ex-officio members: Director of Alumni Affairs, a Member of the Board of Trustees, President of the Faculty Senate, President of the Student Government Association, Vice President for Student Affairs, Associate Provost for Academic Affairs, member of the Tuscaloosa community, and Vice President of Financial Affairs. The three (3) non-designated faculty positions will be nominated by the Committee on Committees and serve three-year terms.

The University's Athletic Compliance Committee consists of individuals who are key players in the shared responsibility of compliance and student-athlete eligibility certification and meet on a monthly basis. The Committee members include the University Registrar (chair), Associate Provost for Academic Affairs, Executive Director of Undergraduate Admissions, Director of Student Financial Aid, Faculty Athletic Representative, Director of Athletics, Associate Athletic Director for Compliance, and the Assistant Athletic Director for Student Services. The Assistant Director of Compliance, in charge of athletic eligibility and financial aid, serves as an ex officio member of the Committee. The Committee's charge is as follows:

- * To review annually all matters related to compliance with NCAA and Southeastern Conference rules and procedures;
- * To review annually specific incidents in which NCAA and Southeastern Conference policies and procedures may have been violated;
- * To recommend appropriate remedial or preventive actions to ensure compliance with NCAA and SEC policies;
- * To make an annual report to the President and the Intercollegiate Athletics Committee; and
- * To fulfill other duties and responsibilities as may be assigned by the President.

In short, major decisions regarding intercollegiate athletics are made with the input of administrators, faculty, staff, and committees throughout the University.

7. Please provide the composition of the athletics board or committee (including titles and positions).

Athletics Committee of the Board of Trustees

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Finus E. St. John, IV, Chair
Paul W. Bryant, Jr.
Angus R. Cooper II
Judge John H. England, Jr.
Peter L. Lowe
John J. McMahon, Jr.
James W. Wilson, III

Crimson Tide Foundation

Membership/Title

Mal. M. Moore, President, Director of Athletics
Paul Bryant, Jr., Director, Board of Trustees member
James W. Wilson, III, Director, Vice Chairman, Board of Trustees member
John J. McMahon, Jr., Director, Secretary, Board of Trustees member
Angus R. Cooper, II, Director, Board of Trustee member
Dr. Robert E. Witt, Director, President of University
Reba Essary, Treasurer, Associate Vice President for Finance

Intercollegiate Athletics Committee

Membership/Title/Department

Dr. Joe Hornsby, Chairperson, Director, Blount Undergraduate Initiative; Faculty Athletics Representative
Dr. David Cordes, Department Head, Computer Science
Dr. Robin Rogers, Professor of Chemistry
Dr. Lawrence Kohl, Associate Professor, History; Faculty Senate Representative
Dr. Karen Steckol, Professor, Communicative Disorders

Student-Athlete Representatives

Emeel Salem, Baseball
Megan Hudson, Volleyball

Ex officio Members

Pat Whetstone, Director of Alumni Affairs
Judge John H. England, Jr., Member, Board of Trustees
Dr. John Vincent, President, Faculty Senate
Dr. Margaret King, Vice President for Student Affairs
Dr. Lynda Gilbert, Vice Chancellor for Financial Affairs
Dr. Hank Lazer, Associate Provost for Academic Affairs
Tommy Moore, Community Member
Justice Smyth, President, Student Government Association

Liaison Members

Mal Moore, Director of Athletics
Marie Robbins, Associate Athletic Director, Senior Woman Administrator

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

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

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Evaluation

1. Does the institution demonstrate that the institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution? **Currently Yes**
2. Does the institution demonstrate that the president or chancellor is assigned ultimate responsibility and authority for the operation and personnel of the athletics program? **Currently Yes**
3. Does the institution demonstrate that appropriate campus constituencies have the opportunity, under the purview of the president or chancellor, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies? **Currently Yes**

Governance and Commitment to Rules Compliance

Operating Principle

1.2 Rules Compliance

Self-Study Items

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

There were no "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 relating to Operating Principle 1.2 (Rules Compliance).

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

There were no additional plans for improvement/recommendations relating to Operating Principle 1.2 (Rules Compliance).

3. Describe any additional plans for improvement/recommendations relating to Operating Principle 1.2 (Rules Compliance) developed by the institution since the first-cycle certification decision was rendered by the Committee on Athletics Certification.

Recruiting:

- * Instituted a recruiting policies and procedures manual.
- * Instituted policy requiring itemized receipts during the recruiting process. All coaches must obtain itemized receipts that show all charges incurred for recruiting trips and all official paid visits.
- * Updated the official visit and unofficial visit policy prior to and following the visit to campus.
- * Updated the monitoring of off-campus recruiting activities and the departmental off-campus recruiting policy.
- * Updated telephone calls and contact/evaluations forms with additional data. Data to be collected includes the location that a phone call is made from (e.g., home, office, cell phone) and person approving visit to a high school.
- * Updated the complimentary admissions procedures for prospects, groups, and high school, prep school & junior college coaches and form(s). Streamlined the complimentary admissions process for student-athletes by utilizing a new computer software system for more accurate monitoring purposes.
- * Instituted a local sports club policy and procedures for those coaches that are employed or own a local sports club.

Camps and Clinics:

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- * Instituted a camps and clinics policies and procedures manual.

- * Instituted a policy requiring that all camp funds must be kept in a separate bank account from the coach's private funds if those camp funds are to be used to compensate student-athlete employees. This policy has been included in sports camps and clinics administrative guidelines.

- * Instituted a provision that appropriate follow up must occur with checks returned for insufficient funds to prevent the inadvertent result of providing free or reduced admission to an athletics award winner; it has been included in the sports camps and clinics administrative guidelines.

Eligibility:

- * Instituted an official roster change policy.

- * Updated the tryout policy for walk-on student-athletes, including the sports medicine, strength and conditioning, and equipment room areas.

- * Created an international student-athlete amateurism, eligibility, and recruiting policy and procedures manual.

- * Updated the outside competition policy and procedures for student-athletes.

- * Updated and included the specific responsibilities of the academic counselors in the written description of procedures for the certification of eligibility for continuing and transfer student-athletes.

- * Instituted an "open events" policy for student-athletes.

- * Updated the policy for prospects on campus during the summer.

- * Updated the policy regarding contact with university faculty and staff.

Extra Benefits:

- * Instituted a policy and process regarding an occasional meal and reasonable refreshments.

- * Updated the institutional memorabilia and autographed/donated items policy.

- * Instituted an athletic awards policy for student-athletes.

Financial Aid:

- * Instituted a financial aid policies and procedures manual.

- * Instituted a student-athlete fee-for-lesson policy and procedures for current student-athletes.

- * Instituted a voluntary relinquishment of athletics aid process for student-athletes.

- * Updated off-campus room and board check policy.

- * Updated procedure for issuance of textbooks to student-athletes.

Miscellaneous Compliance Items:

- * Instituted coaches' limitations and volunteer coach policy and procedures.

- * Monitoring compliance with NCAA legislation governing limits and responsibilities on the numbers, duties, and compensation of coaches including volunteer, graduate assistant and undergraduate student-athlete coaches has been clearly assigned. Specifically, the current University of Alabama Coach Limitations forms have been expanded to provide for non-coaching (e.g., Director of Basketball Operations) personnel to be listed. The terminology used in athletics department media guides for coaching titles will be reviewed and approved by the Associate Athletic Director for Compliance so these terminologies and titles are consistent with NCAA legislation governing coaching categories and limits and will be reviewed annually by the athletics compliance office.

- * Updated the vehicle registration policy and form. Updated the system for monitoring student-athlete motor vehicles that identifies situations for follow-up based on selected "risk factors" that might indicate potential problems should

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be developed and include a requirement to document all follow-up including questions asked, answers and any related information.

- * Updated the housing policy and procedure for incoming student-athletes.
- * Updated student-athlete off-campus housing information policy.
- * Updated the student-athlete promotional activities request policy and procedures.
- * A date and identifying code has been incorporated into each athletics department compliance form and written policy or procedure so that it can readily be determined when and by whom the document was last revised.
- * The department of athletics travel coordinator in the business office has been included in the distribution list for rules reminders (e.g., dead period notifications) and education sessions in general.
- * Established an athletics compliance office Who to Call Guide and Role and Responsibility Flowchart. The guide and flowchart is broken out into topic areas (i.e., financial aid, eligibility, recruiting, miscellaneous issues) and compliance staff member oversight.
- * Established a Professional Sports Counseling Panel to begin the sport agent educational process for our coaches, student-athletes and parents.
 - o Updated the University of Alabama Agent & Financial Advisor Policy.
 - o Established a University of Alabama Agent Registration Form and a University of Alabama Financial Advisor Registration Form.
 - o Established calendar of events for football, basketball, and baseball
- * Established a month-by-month highlight compliance responsibility checklist for all coaches.
- * Created a compliance coordinator position to oversee monitoring, recruiting activities and assist the Associate Athletic Director for Compliance in rules-education efforts.

4. 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.

Various organizations exist to support the department of intercollegiate athletics and specific sport programs. The activities of these groups vary from group to group. Some booster clubs are very active, while others exist in name only and are relatively inactive.

Some booster clubs (e.g., Red Elephant Clubs) exist primarily as groups that share a common interest in University of Alabama football. These clubs invite the assistant football coaches to speak with their club on an annual basis. Other clubs (e.g., Grand Slammers, Medalist Club, Tip-Off Club(s), etc.) help provide funding for various projects needed by their sport, such as locker room improvements, billboard advertising, endowment of scholarships, and banquets and equipment purchases. These funds help the individual sports accomplish various objectives that otherwise would be unattainable due to budget constraints.

The University of Alabama department of intercollegiate athletics makes every effort to ensure that all booster clubs adhere to the rules and regulations established by the NCAA, the Southeastern Conference and the institution. Before any booster club is established, its existence must be approved by the Director of Athletics and each group must sign The University of Alabama Support Group Agreement. All clubs are expected to adhere to the rules of the NCAA and Southeastern Conference.

The department of intercollegiate athletics established a policy whereby a senior athletics department administrator serves as a liaison to each booster club. The staff liaison is responsible for keeping informed of club activities, attending as many meetings as possible, and maintaining copies of minutes and club meetings (if applicable). The Associate Athletic Director for Compliance and the senior athletics department administrator help ensure that club activities are conducted in concert with the rules established by the NCAA. Questions regarding the permissibility of club activities are directed to the Associate Athletic Director for Compliance.

Financial control and oversight of club expenditures is maintained in two ways. First, the Director of Athletics and the senior athletics department administrator who serves as the liaison to the club is responsible for reviewing any proposed club expenditures and subsequently approving or disapproving the expenditure prior to funds being

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expended. Secondly, each club is required to submit an annual expenditure report at the end of the fiscal year. Each report is audited by an external auditor on an annual basis through the athletics business office.

In addition to the rules-education efforts described in Self-Study Item #9, the Associate Athletic Director for Compliance makes every effort to speak with each booster club to review pertinent information regarding NCAA rules. The Associate Athletic Director for Compliance disseminates a letter at the beginning of each July reminding each club about the procedures for approval of athletics booster club expenditures, receipt of the year-end reports for auditing purposes, and requests a copy of updated club bylaws and a list of club members.

All information regarding booster clubs and liaisons, procedures for approval of expenditures, expenditure form, and year-end reports is available at www.rolltide.com, under the link, Information for Boosters, UA Faculty, Alumni, and Local Merchants.

Procedures for Approval of Athletics Booster Club Expenditures

1. An athletic department administrator will serve as a liaison to the Board of Directors of each University of Alabama athletic support group.
2. Any expenditure proposed by an athletic support group on behalf of intercollegiate athletics (i.e., billboard advertising, facility enhancements, banquets, etc.) must be submitted in writing to the staff liaison prior to expending any funds for such proposal. Expenditures for the club itself (i.e., club gatherings, receptions, postage, etc.) do not have to be submitted to the staff liaison for pre-approval.
3. Once the proposed expenditure is submitted in writing to the staff liaison, the staff liaison shall review the proposal, consult with other department of intercollegiate athletics staff members, if necessary, consult with the Associate Athletic Director for Compliance if necessary and then approve or disapprove the proposed expenditure. Every attempt shall be made to approve or disapprove the proposed expenditure within seven days of submission of the proposal.
4. The staff liaison will render his/her decision by signing and dating the support group's written request.
5. Each staff member serving as a liaison to an athletics support group shall maintain a permanent file on such club's activities. Minutes of club meetings, expenditure requests, etc. shall be maintained in each file. Each support group is responsible for ensuring that its staff liaison receives any minutes and other information regarding club activities.

ADMINISTRATIVE LIAISON FOR EXPENDITURE REQUESTS

Kevin Almond: Baseball, Golf and Tennis

Wendell Hudson: Men's Basketball, Swimming & Diving, Men's Track & Field

Carol Keys: Women's Soccer

Marie Robbins: Women's Basketball, Gymnastics, Softball, Women's Track & Field, Volleyball

Joe Kines: Football

A composite list of booster groups, constitutions, bylaws, and a copy of The University of Alabama Support Group Agreement will be available to the Peer Review Team.

5. Identify how the institution has organized itself to maintain compliance with NCAA rules. Specify the individual (other than the institution's compliance officer/coordinator) who the president or chancellor designates as being responsible for the institution's rules compliance. Also, include a description of the reporting lines for and responsibilities assigned to the faculty athletics representative, director of athletics, compliance coordinator, coaches, and other key individuals inside and outside athletics (e.g., registrar, financial aid officer, admissions director, internal auditor) who are responsible for documenting and monitoring compliance with NCAA rules, including but not limited to eligibility certification, investigation and self reporting of violations and monitoring of financial aid.

The University of Alabama's President has designated the Director of Athletics as the individual responsible for the institution's NCAA and Southeastern Conference rules compliance. The Director of Athletics has assigned the oversight of the compliance office to the Associate Athletic Director for Compliance.

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The athletics compliance office staff monitors the recruitment, admission, eligibility, and financial aid for all student-athletes. The staff also conducts a comprehensive rules education program for coaches, staff, student-athletes, prospective student-athletes, and boosters and fans. Every full-time employee of the department of intercollegiate athletics signs the NCAA Certification of Compliance on an annual basis and receives the message that compliance is everyone's responsibility.

Compliance duties have been assigned to the following individual/offices, both within the department of intercollegiate athletics and throughout the University as a whole.

Faculty Athletics Representative

The Faculty Athletics Representative shall be named by the President in consultation with the Faculty Senate. The Faculty Athletics Representative shall be a member of the faculty and attend to all duties of that office as specified in manuals of the NCAA, Southeastern Conference, and the Faculty Athletics Representatives Association. The term of office shall be three years and may be renewed once with approval of the Faculty Senate Steering Committee. Additional years of service may be added if service on national committees result in a significant benefit to the University. To facilitate transitions, a Faculty Athletics Representative designate shall be named in the last year of an incumbent's term.

The Faculty Athletics Representative will work closely with the President, the faculty, students, the Director of Athletics, the Associate Athletic Director for Compliance, and the other department of intercollegiate athletics personnel to support a campus environment in which the athletics program is a vital component of the educational program and in which student-athletes constitute an integral part of the student body. The Faculty Athletics Representative also represents the University and the faculty in the institution's relationship with the NCAA and the Southeastern Conference.

The major responsibilities of the Faculty Athletics Representative at The University of Alabama are in the areas of compliance and academic integrity, although success in those areas requires teamwork and cooperation among a number of individuals on campus. The Faculty Athletics Representative shall have the following responsibilities and others as shall be assigned by the President:

Academic Support

- * To review proposed competition schedules in order to monitor student-athlete time demands.
- * To work closely with the Director of Athletics, the Assistant Athletic Director for Student Services, and the Center for Athletic Student Services to review and evaluate academic and general support services for student-athletes.
- * To receive regular reports and to monitor the academic performance of individual student-athletes and teams, to report these results to the President and to work constructively and cooperatively with coaches and students in order to assist student-athletes in their academic pursuits.
- * Working with the Assistant Athletic Director for Student Services, faculty and coaches, to participate in and further the nomination process for all academic awards and scholarships available through Southeastern Conference, the NCAA and other organizations.
- * To participate in exit interviews with student-athletes.
- * To address faculty concerns regarding the practice and competition schedules for athletes and to maintain the communication between the faculty and the department of intercollegiate athletics.

Compliance

- * To keep the President informed of all matters and incidents involving compliance.
- * To serve on the University Athletic Compliance Committee and fulfill the responsibilities as outlined by the President in the charge of the Committee.
- * To participate in the investigation and reporting of possible violation of NCAA, Southeastern Conference and institutional policies and procedures, as outlined in the institutional document on such procedures.
- * To work as part of a team and meet those responsibilities as outlined in the document University of Alabama Procedures for Certifying Student-Athlete Eligibility.
- * To attend all compliance education meetings conducted by the Associate Athletic Director for Compliance.
- * To work cooperatively with and support the work of the Associate Athletic Director for Compliance. To work as a part of the team in the development of appeals, reports, and other correspondence to the NCAA and the Southeastern Conference, as outlined the NCAA Manual and the Southeastern Conference Manual and Commissioner's Regulations.

Other Responsibilities

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- * To serve as a member of the Intercollegiate Athletics Committee in the role designated by the President.
- * To represent the institution as a delegate to NCAA conventions and Southeastern Conference meetings. To work cooperatively with the President, Director of Athletics, the Associate Athletic Director for Compliance, the faculty and others in developing the institution's position on proposals at the NCAA Convention and the annual meeting of the Southeastern Conference.
- * At the request of the Faculty Senate, to report on matters relating to student-athletes and to solicit the advice of colleagues on matters relating to student-athletes and the role of the athletic programs on campus.

Director of Athletics

Reports to the President and maintains an open line of communication with the Faculty Athletics Representative and the Associate Athletic Director for Compliance.

- * Initiates policy, provides supervision and guidance in all areas related to the intercollegiate athletics program.
- * Maintains working knowledge of NCAA, Southeastern Conference, and university regulations.
- * Coordinates with the Faculty Athletics Representative, Associate Athletic Director/Senior Woman Administrator, and the Associate Athletic Director for Compliance to formulate the university's position on NCAA legislative proposals.
- * Reviews all self-reports of secondary NCAA rule violations and keeps reports on file in the office of the Director.
- * Informs the President of compliance-related issues.
- * Serves as liaison to the Southeastern Conference, NCAA, University and other athletically-related entities.
- * Supervises the Head Football Coach, Head Men's Basketball Coach, Head Women's Basketball Coach, Head Baseball Coach, and Head Women's Gymnastics Coach.
- * Supervises and directs all Senior Associate and Associate Athletic Directors.
- * Evaluates head coaches and senior administrative staff regarding commitment to compliance and communicates any concerns to the President and Faculty Athletics Representative.
- * Ensures that integrity and commitment to rules compliance remains an integral part of all hiring decisions.
- * Represents intercollegiate athletics at Board of Trustee, Crimson Tide Foundation, Inc., Intercollegiate Athletic Committee (ex-officio), University Athletic Compliance Committee (ex-officio), booster group functions, and University of Alabama events and meetings.
- * Hires all head coaches, with final approval by the President.

Associate Athletic Director for Compliance

This position is responsible for controlling, monitoring, and ensuring compliance with the rules and regulations of the NCAA by all intercollegiate athletics sports programs. Reports to the Director of Athletics, who reports directly to the President.

- * Monitors department of intercollegiate athletics sports programs to ensure compliance with the rules and regulations of the NCAA. If a rules violation is discovered or suspected, conduct a preliminary inquiry to determine the basic facts and report in written form to the NCAA a review of what occurred and prevention for such activities in the future.
- * Assumes overall responsibility for those aspects of the athletics operation most directly regulated by Southeastern Conference and NCAA rules, including, but not limited to, certification of initial and continuing eligibility, administration of financial aid to student-athletes, and recruitment.
- * Conducts a comprehensive and continuing rules education program to ensure that staff, coaches, and student-athletes are knowledgeable and continually updated on NCAA rules.
- * Studies and interprets NCAA rules and regulations and pass those on to appropriate individuals.
- * Evaluates compliance systems to determine whether the appropriate checks and balances are in place to monitor all aspects of the compliance program.
- * Directs a rules education program for alumni and booster support groups to ensure strict adherence to NCAA rules as they apply to such groups. Speak to various support groups about NCAA rules and regulations and a general overview of the NCAA structure.
- * Responds to NCAA letters of inquiry concerning possible alleged NCAA rules violations after gathering basic facts as they pertain to the case.
- * Oversees the NCAA Special Assistance Fund and Student Athlete Opportunity Fund for enrolled student-athletes who qualify.
- * Supervises admission process of an incoming student-athlete.
- * Attends NCAA and Southeastern Conference meetings and seminars necessary to learn of changes in rules and procedures.
- * Oversees complimentary ticket lists for department of intercollegiate athletics sport programs. Supervise player

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admission gate at all events.

- * Maintains petty cash fund used for recruiting purposes.
- * Checks all expense vouchers for all coaches' recruiting travel.
- * Completes questionnaires as mandated by NCAA.
- * Supervises NCAA Clearinghouse procedures for the compliance office.

Assistant Director for Compliance

This position has primary operational and leadership responsibility for the daily operations of the athletics compliance office as they relate to eligibility and financial aid for all student-athletes. This position is the direct liaison between the department of intercollegiate athletics and other university offices (e.g., undergraduate/international admissions, registrars' office, student financial aid, etc.). This position serves as an ambassador for the University since he/she has initial contact with all prospective student-athletes and manage the daily operations of the athletics compliance office as it relates to eligibility and financial aid for all student-athletes. This involves planning, implementing, and administering all compliance programs related to eligibility. Reports to the Associate Athletic Director for Compliance.

- * Monitors and verifies the eligibility of approximately 400 student-athletes.
- * Provides information regarding policies and procedures to coaches.
- * Acts as an athletic department liaison with the undergraduate/international admissions, registrars' office and student financial aid offices.
- * Supervises and delegates daily work assignments for two program assistants and one graduate assistant.
- * Monitors financial aid status of all student-athletes to ensure compliance with NCAA and Southeastern Conference regulations regarding countable aid; monitor issuance and acceptance of athletic scholarships.
- * Performs initial evaluation of prospective student-athletes' transcripts (e.g., high school students, two-year and four-year college transfers, foreign students).
- * Works with the undergraduate/international admissions office in identification of student-athletes.
- * Monitors receipt of all materials necessary for certification of athletics eligibility and admission; stay abreast of current admissions policies.
- * Monitors continuing academic eligibility of all student-athletes to ensure compliance with NCAA and Southeastern Conference regulations.
- * Interacts with the NCAA Initial-Eligibility Clearinghouse via modem/fax to monitor initial eligibility status, institutional request lists and access 48-H information on all incoming student-athletes.
- * Evaluates initial and transfer academic eligibility of international student-athletes to ensure and approve amateur status and rules compliance with NCAA and Southeastern Conference regulations.
- * Distributes NCAA Special Assistance Fund and NCAA Special Opportunity Fund; oversees budgets to verify up-to-date balance of funds distributed, pending and remaining.
- * Assists student-athletes in processing their financial aid.
- * Initiates and implements Pell Grant application meetings each year.
- * Provides leadership and direction for maintaining records on all conference squad list forms and certificate of participation forms for all sports.
- * Guarantees that all student-athletes have completed required NCAA, Southeastern Conference, and university forms.
- * Supervises a comprehensive database on all financial aid, eligibility and certification information for all student-athletes participating in intercollegiate athletics. The database is compiled from information in the offices of student financial aid, registrar, and undergraduate/international admissions. This position reviews that information to ensure accuracy of all student-athletes' information.
- * Assists the Associate Athletic Director for Compliance in other administrative duties as assigned.

Compliance Coordinator for Monitoring, Education, and Recruiting

Responsible for ensuring that University and departmental staff, coaches, student-athletes, and representatives of athletics interest abide by NCAA and Southeastern Conference rules and regulations by coordinating rules education programs, monitoring compliance related issues and recruiting activities, and monitoring other compliance activities pertaining to student-athletes. Reports to the Associate Athletic Director for Compliance.

Manage the daily operations as they relate to monitoring efforts in the following areas to ensure compliance with NCAA and Southeastern Conference regulations:

- * Distributes and monitors proper completion of NCAA, Southeastern Conference, and institutional paperwork for student-athletes (historical information, drug testing consent form, Buckley Amendment form, etc).

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- * Monitors recruiting information such as phone logs, records, contacts, and evaluations.
- * Monitors official and unofficial visits, complimentary admission requests; spot-check hotel, entertainment, and off-campus dining bills; review University plane manifests.
- * Monitors student-athlete employment.
- * Assists the athletic business office with athletic dining hall assignments and meal plans.
- * Monitors student-athlete vehicle use.
- * Monitors complimentary admissions.
- * Monitors camps and clinics.
- * Monitors student-athlete off-campus housing.
- * Monitors practice and playing seasons.
- * Coordinates the professional sports and agent/advisor registration and education program and monitor disability insurance for student-athletes.
- * Monitors summer leagues.
- * Monitors student-athlete awards.
- * Monitors memorabilia and promotional activity requests by general public.
- * Maintains list of appropriate coaching staff numerical limitations and the individuals filling the coaching staff positions.
- * Assists with monitoring departmental student-athlete scholarship lists and NCAA and Southeastern Conference eligibility and financial aid squad lists.
- * Coordinates the preparation of various NCAA, Southeastern Conference or institutional reports regarding monitoring information for the Associate Athletic Director for Compliance.
- * Manages a rules education program along with the Associate Athletic Director for Compliance for coaches, university and athletic administration and staff, representative of athletics interest, student-athletes, student-athletes' parents, prospective student-athletes, and prospective student-athletes' parents.
- * Responds to questions and interpret regulations regarding NCAA and Southeastern Conference rules for coaches, department staff, student-athletes, representative of athletics interest and the general public.
- * Assists the Associate Athletic Director for Compliance with gambling education for student-athletes and departmental staff.
- * Refines and updates compliance manuals and handbooks.
- * Assists the Associate Athletic Director for Compliance in legislative and administrative duties.

Program Assistant for Compliance (Position Description #1)

Reports to the Assistant Director of Compliance, who reports to the Associate Athletic Director for Compliance.

- * Provides administrative support for athletics compliance office.
- * Processes scholarship requests and cancellations. Monitors each new scholarship for all scholarship student-athletes for distribution to the athletics business office and student financial aid office.
- * Oversees National Letter of Intent program.
- * Acts as a resource for department of intercollegiate athletics staff members and student-athletes in regard to financial aid rules of the NCAA, Southeastern Conference, and federal laws and assist Assistant Director of Compliance to ensure compliance with the same.
- * Acts as a liaison between the student receivables office and all coaches and student-athletes.
- * Provides NCAA and Southeastern Conference rules interpretations within realm of expertise.

Program Assistant for Compliance (Position Description #2)

Reports to the Assistant Director of Compliance, who reports to the Associate Athletic Director for Compliance.

- * Provides administrative support for athletics compliance office.
- * Coordinates applications for Southeastern Conference Special Assistance funds and NCAA Special Opportunity fund for all student-athletes including distribution of checks.
- * Prepares personnel action forms and coordinate bi-weekly payroll for all post-eligibility student-athletes, athletic managers, trainers, and graduate assistants.
- * Prepares room and board scholarship checks for all student-athletes on a monthly basis.
- * Prepares player pass lists for each event football, men's basketball, women's basketball, gymnastics, baseball and softball.
- * Assists the Compliance Coordinator with the departmental promotional activities and memorabilia approval policies and procedures.
- * Maintains list of student-athlete housing and dining assignments.
- * Provides NCAA and Southeastern Conference rules interpretations within realm of expertise.

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Associate Athletic Director and Senior Woman Administrator

The Senior Woman Administrator is the highest ranking female administrator involved with the conduct, administration, and governance of the intercollegiate athletics programs participating in the decision making process regarding key issues affecting the athletic department. Responsible for the management and administration of the women's basketball, gymnastics, rowing, softball, volleyball, and women's track & field and cross country programs. In conjunction with the Director of Athletics and university administration, responsible for preparing and maintaining equity plans and monitoring equity issues for intercollegiate athletics. Reports to the Director of Athletics.

- * Represents women's programs in governance and equity issues.
- * Oversees team housing for all sports, except football.
- * Ensures program adherence to NCAA and Southeastern Conference rules and regulations and all applicable university and athletic department policies.
- * Maintains the intercollegiate athletics policies and procedures manual.
- * Monitors the university's compliance with its NCAA certification, including equity and minority plans.
- * Represents the athletic department both within the university and at national and conference conventions and meetings, as requested by the Director of Athletics.

Associate Athletic Director for Support Services

This position is responsible for providing administrative services for the department of intercollegiate athletics in the following areas: sports oversight for baseball, men's and women's tennis and men's and women's golf, systems management, equipment services, sports medicine, strength and conditioning, academic services, and the A-club. Reports to the Director of Athletics.

- * Provides sports oversight for baseball, men's and women's tennis and men's and women's golf. This includes budget management; coordination of special events such as championships; approval of competition schedules; assistance with recruiting; and oversight of team housing, scholarships and meal plans.
- * Supervises departmental systems management to ensure continuous, accurate, and efficient technical support for staff.
- * Oversees departmental equipment services including management of department inventory, determination of equipment needs by departmental staff, and purchase of new equipment.
- * Oversees sports medicine area, including budget management.
- * Oversees strength and conditioning area, including budget management.
- * Oversees academic services to ensure compliance with Southeastern Conference and NCAA regulations regarding student-athlete eligibility. Oversees budget management.
- * Oversees A-club administration.
- * Assists the Director of Athletics with various projects on a daily basis. This could include securing competition for various sports; attending meetings on his behalf; handling various administrative matters in his absence.
- * Represents the department of intercollegiate athletics on various university committees.

Assistant Athletic Director for Student Services

Oversee administrative operations of the Center for Athletic Student Services. Reports to the Associate Athletic Director for Support Services, which reports to the Director of Athletics.

- * Supervises academic records to ensure that student-athletes are in compliance with NCAA and Southeastern Conference rules.
- * Oversees administrative operations of the Center for Athletic Student Services; including budget management.
- * Administers a monitorial program of student-athletes' class attendance.
- * Pre-advises student-athletes, including assisting student athletes with course selection, times, and days; provides information on majors and college requirements.
- * Conducts academic orientation of freshmen and transfer students. Guides student-athletes through the complicated orientation process, makes sure they schedule classes that meet their major requirements as well as meet Southeastern Conference and NCAA requirements. These classes must also fit into their practice schedule.
- * Prepares student-athlete progress reports. Gathers academic progress information on student-athletes and distribute the information to the athlete, their coaches, parents, and the athletic administration.
- * Administers athletic study hall to ensure that student-athletes have every opportunity to succeed in the classroom. Each staff member of Center for Athletic Student Services is assigned a time to monitor the study hall.
- * Assists with recruitment of prospective student-athletes. Meets with prospective student-athletes and their parents

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to discuss the major of choice, Southeastern Conference and NCAA requirements, and the programs offered for student-athletes.

- * Prepares reports for various oversight committees on campus.

Coaches

Each head coach reports to the Director of Athletics and/or senior athletic department administrator. Assistant coaches and sport-specific administrative staff report to the head coaches. The coaches also maintain an open line of communication for compliance-related concerns with the athletics compliance staff and with the Faculty Athletics Representative.

- * Understands and adheres to all policies and procedures of the University, Southeastern Conference and the NCAA. Must assume complete responsibility to ensure that the student-athletes conduct themselves in an appropriate manner in accordance with NCAA policies.

- * Understands that violation(s) of NCAA rules could result in sanctions being placed against the department of intercollegiate athletics and the University.

- * Attends regularly scheduled compliance meetings to maintain knowledge of current and recently established policies.

- * Familiarity and knowledge of NCAA Division I rules required as part of job duties.

University Registrar

Reports to the Provost and Executive Vice President for Academic Affairs.

- * Certifies academic eligibility of student-athletes according to NCAA and SEC regulations.

- * Serves as chair of University Athletic Compliance Committee.

Associate University Registrar

Reports to the University Registrar.

- * Supervises and organizes the certification of academic eligibility for men's and women's athletics according to NCAA and Southeastern Conference requirements.

- * Prepares NCAA graduation rate report and academic progress rate report.

Athletic Certification and Registration Specialist

Reports to the Associate University Registrar, who reports to the University Registrar.

- * Plans, organizes and directs the operational activities associated with NCAA certification of academic eligibility.

- * Serves as liaison with the department of intercollegiate athletics compliance office.

- * Serves as member of University Student Athlete Services Team.

Executive Director of Undergraduate Admissions

Reports to the Provost and Executive Vice President for Academic Affairs.

- * Makes admissions decisions for prospective student-athletes by applying University, NCAA, and Southeastern Conference regulations.

- * Serves as member of the University Admissions Appeals Committee.

- * Serves as member of University Athletic Compliance Committee.

Associate Director of Undergraduate Admissions

Reports to the Executive Director of Undergraduate Admissions.

- * Coordinates athletic application reviews and informs the department of intercollegiate athletic compliance office of the admission status of incoming student-athletes.

- * Serves as student undergraduate admissions liaison with the department of intercollegiate athletics compliance office.

- * Serves as member of University Student-Athlete Services Team.

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Assistant Director, International Admissions and Recruitment

Reports to the Executive Director of Undergraduate Admissions.

- * Makes admissions decisions for international prospective student-athletes by applying University, NCAA, and Southeastern Conference regulations.
- * Serves as student international admissions liaison to the department of intercollegiate athletics compliance office.
- * Serves as member of University Student-Athlete Services Team.

Director of Student Financial Aid

Reports to Provost and Executive Vice President for Academic Affairs.

- * Maintains responsibility for the overall monitoring of student-athlete financial aid.
- * Serves as member of University Athletic Compliance Committee.

Associate Director of Student Financial Aid

Reports to the Director of Student Financial Aid.

- * Maintains the financial aid component of Southeastern Conference and NCAA compliance for athletic programs including delivery of grant-in-aid notifications.
- * Serves as member of University Athletic Compliance Committee.

Assistant Director of Financial Aid

Reports to the Associate Director of Student Financial Aid.

- * Plans, organizes and directs the operational activities associated with NCAA certification of student-athlete financial aid limits.
- * Assists student-athletes with the Free Application for Federal Student Aid and financial aid application process.
- * Serves as student financial aid liaison with the department of intercollegiate athletics compliance office.
- * Serves as member of University Student-Athlete Services Team.

6. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals inside the athletics department. Specifically, the institution must provide evidence that all individuals inside the athletics department who are involved or associated with athletics have statements regarding the importance of rules compliance in all of the following documents: contracts or letters of appointment, performance evaluations and job descriptions.

The University of Alabama department of intercollegiate athletics ensures that rules compliance is a central element in personnel matters in each of the following manners:

- * Coaches and administrators with contracts have compliance responsibilities and expectations written into the contracts. All other athletic department staff members without contracts receive communication from their supervisor that details both institutional and individual compliance with NCAA, Southeastern Conference and institutional rules and regulations, as well as applicable policies and procedures, which is communicated in July each year after the annual performance evaluation.

- * Annual performance evaluations are conducted for athletics administrators and coaches and an assessment of each individual's rules compliance activities is included. For example, in preparing each coach's annual performance evaluation, the Director of Athletics or the sport administrator checks with the Associate Athletic Director for Compliance regarding any infractions that may have surfaced in that sport during the past year, performance with regard to required paperwork within the compliance monitoring program, as well as their commitment to maintaining rules compliance within their staff. This compliance assessment is included in the performance evaluation. Coaches are also evaluated each year based upon student-athlete exit interviews, budget management and other key areas assigned by the Director of Athletics or the sport administrator.

The University of Alabama department of intercollegiate athletics initial employee staff performance evaluations occur at the end of a six-month probationary period and then annually thereafter prior to the start of the next budget year. Evaluations are conducted by the immediate supervisor and then signed off by the next level supervisor.

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The athletics compliance office conducts a compliance orientation for departmental staff members and all coaches upon employment. The orientation includes compliance philosophy and responsibilities, policies and procedures, and expectations as a departmental staff member.

* Job descriptions of staff members include statement(s) regarding compliance with NCAA, Southeastern Conference and institutional regulations.

* The emphasis on compliance begins with job searches for head and assistant coaches. The Associate Athletic Director for Compliance contacts the NCAA Committee on Infractions and/or Enforcement Staff to perform a background check prior to hiring a head or assistant coach to verify that the coach has never committed a major violation or other compliance-related issues.

* The department of intercollegiate athletics reiterates the importance of rules compliance through the Certification of Compliance process. Staff members are encouraged to speak with the athletics compliance staff if they have any questions or if they suspect a rules violation has occurred.

* Departmental administrators and coaching staff members receive a copy of the NCAA Manual and Southeastern Conference Manual on an annual basis.

* The Director of Athletics and the Associate Athletic Director for Compliance assures that the Associate Athletic Directors with sport supervisory responsibilities treat rules compliance seriously in all interactions with their coaches.

* Each year, the athletics compliance staff offers review sessions for the Coaches' Certification Exam to ensure coaches' understanding of recruiting regulations.

An example of a head coaches' and assistant coaches' contract and job description will be available for the Peer Review Team. Additional contracts and job descriptions are available upon request.

7. Describe how the institution ensures that rules compliance is a central element in personnel matters for individuals outside the athletics department who are involved in rules-compliance activities. Specifically, the institution must provide evidence that all individuals outside the athletics department who are involved or associated with athletics have statements regarding the importance of rules compliance in all of the following documents: contracts or letters of appointment, performance evaluations and job descriptions.

The University of Alabama department of intercollegiate athletics ensures that rules compliance is a central element in personnel matters for each of the following individuals/offices on campus in each of the following manners:

* The University's Provost has incorporated statements regarding the importance of rules compliance in job descriptions of those individuals external to athletics with rules compliance responsibilities. Each job description has at least the following three statements: (1) Maintains a working knowledge of NCAA and Southeastern Conference regulations, (2) Assists in requiring all intercollegiate athletic programs to comply with NCAA and Southeastern Conference regulations and University policies and procedures, (3) Communicates any possible NCAA infractions to the department of intercollegiate athletics compliance office. All such individuals outside the athletics department who are involved in rules compliance activities have rules compliance as an explicit part of their job responsibilities which are included in each individual's job description. These individuals report to supervisors outside of the department of intercollegiate athletics and their salaries come from non-athletic sources. None of these individuals have employment contracts or letters of appointment.

* All University personnel receive annual written performance evaluations. Those evaluations do not make specific reference to NCAA regulations, but they do assess job knowledge and quality of work specific to the position. The evaluation of job knowledge and quality of work also encompasses successful completion of tasks related to NCAA and Southeastern Conference compliance issues.

* The athletics compliance office maintains up-to-date compliance manuals and communicates new or revised policies or procedures to the appropriate individuals with compliance-related duties. Individuals outside the department of intercollegiate athletics are regularly involved with determining a need for and establishing any policy or procedural changes. These written policies and procedures are subjected to an annual review and approval by applicable University of Alabama administrative units and the University Athletic Compliance Committee. These written policies and procedures include, but are not limited to, the certification of eligibility, awarding of financial aid, rules education, monitoring and reporting of violations.

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* Individuals outside the department of intercollegiate athletics with compliance-related duties receive a copy of the NCAA Manual and the Southeastern Conference Manual on an annual basis.

* Individuals outside the department of intercollegiate athletics with compliance-related duties, such as the University Registrar, Associate Registrar, Athletic Certification and Registration Specialist, Director of Student Financial Aid, Associate Director of Student Financial Aid, Assistant Director of Student Financial Aid, Executive Director of Undergraduate Admissions, Associate Director of Undergraduate Admissions, and the Assistant Director for International Admissions and Recruitment, attend the Southeastern Conference rules seminar on an annual basis. The Associate Registrar, Athletic Certification and Registration Specialist, Assistant Director of Financial Aid, and the Associate Director of Undergraduate Admissions attend the annual NCAA regional compliance seminar.

* The university has a compliance committee, chaired by the University Registrar, and a student-athlete services team, of which these individuals are members. The two (2) groups discuss University athletics compliance policies and procedures and ensure that the policies and procedures are effective in complying with appropriate Southeastern Conference and NCAA rules.

* The athletics compliance staff meet with the personnel in the Registrars Office to discuss the process by which the student-athletes' initial and continuing eligibility is certified each academic year. The Assistant Director of Compliance is in regular contact with the Registrars Office throughout the certification process to assure rules compliance.

Written policies and procedures and job descriptions will be available to the Peer-Review Team.

8. Please indicate by clicking "yes" or "no" by the areas below, whether the institution has written policies and step-by-step procedures that include assignment of specific responsibilities pertaining to rules compliance.

	Yes	No
Initial-eligibility certification.	X	
Continuing-eligibility certification.	X	
Transfer-eligibility certification.	X	
Financial aid administration.	X	
Recruiting.	X	
Camps and clinics.	X	
Investigations and self-reporting of rules violations.	X	
Rules education.	X	
Extra benefits.	X	
Playing and practice seasons.	X	
Student-athlete employment.	X	

9. Describe the institution's rules-education efforts for all individuals associated with the athletics department, including student-athletes, coaches, other athletics department staff members, other institutional staff members and representatives of the institution's athletics interests.

Rules education is an integral part of The University of Alabama's athletics compliance program. Every attempt is made to educate coaches/department of intercollegiate athletics staff, student-athletes, University staff members, and representative of The University of Alabama's athletics interests (boosters) about relevant NCAA and Southeastern Conference rules. The President, Director of Athletics and the athletics compliance staff share the responsibility of overseeing rules-education efforts for the University. A variety of methods are used to educate coaches, staff, faculty, student-athletes, representative of athletics interest and fans.

Coaches/ Department of Intercollegiate Athletics Staff / University Faculty & Staff / Student-Athletes:

The University of Alabama produces and/or distributes various publications as a part of its rules-education efforts:

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- * Department of intercollegiate athletics staff members and institutional staff members with compliance-related responsibilities receive a copy of the NCAA Division I Manual, the Southeastern Conference Manual, and The University of Alabama's Compliance Policies and Procedures Manual(s).
 - * The Associate Athletic Director for Compliance produces and distributes a monthly compliance newsletter, entitled Capstone Compliance, to department of intercollegiate athletics staff members and institutional staff members with compliance-related responsibilities. Each newsletter is archived under the Compliance link at www.rolltide.com under the What's New in Compliance link.
 - * The Associate Athletic Director for Compliance distributes a monthly compliance newsletter disseminated by the Southeastern Conference, entitled Southeastern Conference Compliance Corner, to athletics department staff members and institutional staff members with compliance-related responsibilities. Each newsletter is archived under the Compliance link at www.rolltide.com under the What's New in Compliance link.
 - * The Associate Athletic Director for Compliance distributes a monthly compliance student-athlete newsletter, entitled Crimson Chronicle, via email to all student-athletes, and provides copies to be placed in Bryant Hall Academic Center computer lab and main lobby.
 - * Department of intercollegiate athletics staff members, head coaches, and assistant coaches receive a copy of the UA Guide to NCAA Rules for Alumni, Faculty & Friends and are encouraged to distribute these guides at speaking engagements. The publication is distributed to all season ticket holders via the athletic ticket office e-mail blast at the beginning of each ticketed sport season.
 - * Each student-athlete receives a Student-Athlete Handbook, a publication that is produced and distributed annually. Relevant rules and interpretations are included in the handbook and in various student-athlete newsletters.
 - * Compliance information is included in football and basketball game programs and media guides.
 - * Compliance information is sent to prospective student-athletes once the prospect has signed a National Letter of Intent and/or financial aid agreement to attend The University of Alabama.
- The University of Alabama provides access to NCAA and Southeastern Conference rules interpretations and proposed legislation and encourages shared responsibility with regard to rules-education efforts.
- * NCAA and Southeastern Conference rules interpretations are circulated to all coaches and relevant staff members. The Associate Athletic Director for Compliance maintains interpretations and rules education materials sent to coaches and relevant staff members in a computer and paper file system.
 - * Prior to any NCAA or Southeastern Conference legislative session, applicable legislative proposals are forwarded to head coaches to solicit their input on such proposals. These opinions are shared with the Director of Athletics, Associate Athletic Director for Compliance, Associate Athletic Director/Senior Woman Administrator, Faculty Athletics Representative, and the President.
 - * The University Athletic Compliance Committee, comprised of key individuals who are involved with compliance and the certification process, is charged with reviewing all matters related to compliance with NCAA and Southeastern Conference regulations. The committee schedules meetings on a monthly basis to discuss compliance issues that arise throughout the year.
 - * The Student-Athlete Services Team, which includes representatives from academic services, compliance and the offices of the registrar, student financial aid, undergraduate/international admissions, and student receivables, meet at regular intervals (e.g., quarterly) on pertinent issues and handle more "grass roots" field work than the University's Athletic Compliance Committee. The Assistant Director of Compliance and an academic program advisor, appointed by the Assistant Athletic Director for Student Services, serve as co-chairs for this committee.
 - * The Associate Athletic Director for Compliance meets regularly with the campus Student-Athlete Advisory Committee to review issues related to compliance.
 - * The Associate Athletic Director for Compliance implemented a Governance Subcommittee of the Student-Athlete Advisory Committee to educate student-athletes on current NCAA legislative proposals and obtain student-athlete input. The subcommittee is responsible for educating and updating the student-athlete body on rules and rules changes.
 - * The Associate Athletic Director for Compliance attends weekly department of intercollegiate athletics development/fundraising meetings during which rules and compliance issues are discussed.

Governance and Commitment to Rules Compliance

The University of Alabama conducts meetings regarding compliance policies/issues and participates in NCAA and Southeastern Conference seminars and workshops as part of its rules-education efforts.

* The athletics compliance office conducts the coaches' compliance meetings. The coaches' compliance meetings have been implemented to provide all coaches and athletic staff with a comprehensive working knowledge of NCAA, Southeastern Conference and institutional rules and regulations. Education is the foundation of the athletics compliance program and all staff must make a regular and concerted effort to remain updated on the changes in governing regulations. The NCAA views a strong, ongoing rules education program as essential to maintaining rules compliance as an institutional priority as well as a necessary element of institutional control. The coaches' compliance meetings are held once a month for all coaches, excluding the football program. The football program meets separately from other sports on a weekly or regular, on-going basis, outside recruiting periods. The first scheduled meeting each year begins in August and runs through May. All senior athletics department staff members and the Faculty Athletics Representative attend these meetings. Other departmental staff members are invited to attend when issues relevant to their area of operation are discussed.

* Created a compliance link on www.rolltide.com.

* The Associate Athletic Director for Compliance implemented a comprehensive rules orientation for all new coaches and sport specific staff members covering institutional and departmental policies and procedures, forms, responsibilities of coaching/support staff members, duties of athletics compliance office personnel, and the www.rolltide.com compliance website.

* The Associate Athletic Director for Compliance, Assistant Director of Compliance, Compliance Coordinator, Faculty Athletics Representative, and the Assistant Athletic Director for Student Services attend the NCAA Regional Compliance Seminar and the Southeastern Conference Compliance Summer Workshop. Staff members from the registrars' office, undergraduate admissions, and student financial aid also attend these and other professional meetings that cover NCAA rules.

* The Faculty Athletic Representative attends three (3) Faculty Athletic Representative annual meetings reviewing rules annually.

* The Associate Athletic Director for Compliance, Assistant Director of Compliance, and the Compliance Coordinator meets with each team at the start of the preseason practice to review relevant NCAA, Southeastern Conference, and departmental rules and regulations. Prior to engaging in any practice-related activities, student-athletes complete required eligibility paperwork. Student-athletes review and update relevant forms throughout the year as needed.

* Meetings are held with certain teams (e.g., those whose sport charges admission to events) to review complimentary admissions policies and procedures with student-athletes. Such meetings are held just prior to the sport's first contest of each year.

* Student-athletes also attend additional meetings throughout the year to address specific topics (i.e., sports agents, gambling issues, etc.)

* The Associate Athletic Director for Compliance meets each year with tutors employed by the department of intercollegiate athletics to address compliance issues related to their involvement with student-athletes.

* The Assistant Director of Compliance sends out bi-annual letters with attached NCAA initial eligibility information (i.e., standards, core course review, etc.) to all state of Alabama private and public high schools for training purposes and remains available to speak at the discretion of county or state high school events.

* The Assistant Director of Compliance, in conjunction with the Assistant Athletic Director for Student Services, conducts monthly compliance educational meetings with Center for Academic Student Services staff.

* The Associate Athletic Director for Compliance established a Professional Sports Counseling Panel to begin the sport agent educational process for our coaches, student-athletes and parents. The President selected four (4) faculty and a member from the department of intercollegiate athletics, while the Associate Athletic Director for Compliance and the Director of Football Operations serve as liaisons to the panel. This faculty panel was established in accordance with the NCAA Constitution and will be composed of faculty in sports law, financial and career counseling. These individuals advise and counsel our student-athletes and the student-athletes parents, relatives, or legal guardians on a continuing basis in order to assist them with the proper selection of an agent.

* The Associate Athletic Director for Compliance provides a weekly article or educational document on sport agents/professional sports education in the football junior and senior student-athletes locker room. Documents are provided starting with the beginning of preseason practice through the bowl game.

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* The Associate Athletic Director for Compliance established a Staying in School panel. The President selected three (3) faculty members, while the Associate Athletic Director for Compliance and the Assistant Director of Football Operations (no longer employed) served as liaisons to the panel. This faculty panel was formed to provide information, resources, and materials that would help assist student-athletes in the decision making process whether to turn professional early or to stay in school and receive their college degree. The panel has been included as part of the Professional Sports Counseling Panel.

* The Associate Athletic Director for Compliance established a University Gambling Action Team to begin the gambling educational process for our coaches, student-athletes, student body, and the University Faculty and Staff.

The University of Alabama actively promotes rules-education through other activities or practices:

* All full-time coaches, graduate assistant coaches, and sport-specific operations staff are required to attend a rules review administered by the Southeastern Conference during the month of May and are required to take and pass the NCAA rules certification test.

* At least one senior athletics department administrator serves as an athletics department liaison to each sport booster club. The Associate Athletic Director for Compliance and the athletics business office oversee activities of all booster clubs for compliance and fiscal integrity.

* The Associate Athletic Director for Compliance speaks at various alumni gatherings and other groups/organizations about compliance-related issues.

* The Associate Athletic Director for Compliance conducts annual/bi-annual workshops and provides NCAA legislative specific packets to the following athletic department support staff:

- o Administrative assistant for football and basketball workshop
- o Tutor education workshop - co-directed by the Assistant Athletic Director for Student Services.
- o Ticket office staff workshop
- o Support staff workshop [i.e., clerical staff]
- o Business office staff workshop
- o Media relations staff workshop
- o Sports marketing staff workshop
- o Fund-raising staff workshop [i.e., Development Office]
- o Multi-media rights holder workshop [i.e., Crimson Tide Sports Marketing]
- o Strength and conditioning staff workshop
- o Athletic training staff and student trainer workshop(s)
- o Equipment room staff and team manager workshop(s)
- o Registrars' office, undergraduate/international admissions, and student financial aid workshops
- o External media and non institutional publications/websites workshop

Representative of Athletics Interests and Fans

* The University of Alabama Guide to NCAA Rules (booster brochure) is sent to season ticket holders and members of the Tuscaloosa Chamber of Commerce (on a case-by-case basis).

* The University of Alabama Guide to NCAA Rules (booster brochure) distributed to faculty and staff at new faculty orientation.

* The University of Alabama Guide to NCAA Rules (booster brochure) distributed to employers of student-athletes and those individuals who are solicited by the department of intercollegiate athletics to employ student-athletes.

* The department of intercollegiate athletics recipients of complimentary admissions (e.g., car dealers, vendors) is sent a letter annually reminding them of NCAA legislation regarding proper use of such admissions.

* Car dealers that provide vehicles for departmental staff and coaches are sent a letter annually reminding them of NCAA legislation regarding extra benefits and NCAA rules.

* Rental property managers for current student-athletes are sent a letter annually reminding them of legislation regarding extra benefits and NCAA rules.

* Compliance information for representative of athletics interest is included within the football and men's basketball media guides and game programs.

Governance and Commitment to Rules Compliance

* The Associate Athletic Director for Compliance speaks to various alumni groups and outside organizations regarding compliance related topics on an annual basis.

* The Associate Athletic Director for Compliance addresses The University of Alabama national alumni association during the annual convention in July. Topics include: alumni events involving prospective student-athletes, NCAA and Southeastern Conference recruitment rules, and scholarships.

* Quarterly newsletter produced for representative of athletics interest at www.rolltide.com and www.crimsontradition.com. The booster/alumni newsletter is released with the Director of Athletics Monthly Message on www.crimsontradition.com.

* Booster/alumni/local merchants/faculty link at www.rolltide.com, includes the following links:

- o Procedures for Approval of Athletic Booster Club Expenditures
- o Booster Club Expenditure Request Form
- o Fan and Booster Newsletters
- o Information for Media and Private Internet Sites
- o Information for Alumni Organizations
- o Information for Board of Trustees Members
- o Information for Local Merchants
- o Employment of Student-Athletes
- o Information for Rental Property Managers
- o Information for University of Alabama Faculty
- o Institutional Memorabilia Requests/Form
- o Know the Rules Booster Guide
- o Pre-Existing Relationships with Current and Prospective Student-Athletes
- o Promotional Activities Involving Student-Athletes/Legislation/Form

* Established "Question of Week" rules education for representative of athletics interest (boosters) located at www.rolltide.com under the Compliance link.

* Established "Ask the Compliance Staff" link located at www.rolltide.com under the Compliance link. Questions concerning initial eligibility, undergraduate admissions to The University of Alabama, transfer eligibility or financial aid are directed to the Assistant Director of Compliance. All other questions concerning NCAA or Southeastern Conference rules compliance are directed to the Associate Athletic Director for Compliance.

* Review NCAA legislation on representative of athletics interest with student-athletes at beginning and end of year team meetings.

* Provide reminders/brochures/articles on representative of athletics interest (booster) issues at various times of the year within student-athlete lockers.

* Prohibited representatives of athletics interest (former student-athletes) from traveling with teams during team travel in the sport of football during the recent probation period.

* Prohibited representatives of athletics interest (former student-athletes) from attending closed practice sessions in the sport of football during the recent probation period.

* Prohibited representatives of athletics (former student-athletes during home or away football contests from being located on the playing field or within the tunnel area/locker room during the recent probation period. The Associate Athletic Director for Compliance monitored these areas prior to, during, and after contests.

Copies of forms, newsletters, brochures, publications and meeting materials will be available to the Peer-Review Team.

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

The Southeastern Conference conducts regular comprehensive compliance reviews of all its member institutions. The auditors are selected and remunerated by the Southeastern Conference. The most recent reviews were

Governance and Commitment to Rules Compliance

completed in October 2004 and February 2007 by Bond, Schoenick, and King, LLP. Both reviews will be available for the Peer-Review Team.

During the last three years, independent audits have been conducted of the receipts and disbursements of booster club cash disbursements and contributions, accuracy of revenues and random testing on scholarship amounts as compared to award letters. These audits have been conducted by independent auditors who do not have day to day athletic compliance and business office responsibilities. Specific auditors and dates of audit are listed below:

October, 2002, Price Waterhouse Coopers
 April, 2004, KPMG LLP
 April, 2005, KPMG LLP
 October, 2006, Price Waterhouse Coopers

Copies of the review letters and the domains covered in each audit will be available for the Peer-Review Team.

The Intercollegiate Athletics Committee, which is comprised of University faculty and administrators, and student-athlete representatives appointed by the President, engages in an on-going review of the University's intercollegiate athletics program. The President appoints the Faculty Athletics Representative as the Chair of the Intercollegiate Athletics Committee, who is a member of the faculty and not an athletic representative.

11. The rules-compliance evaluation must consist of a review to determine that the compliance practices are engaged and functioning and must include, at minimum, specific areas. Please indicate by clicking "yes" or "no" which areas were included in the rules-compliance evaluation.

	Yes	No
Initial-eligibility certification.	X	
Continuing-eligibility certification.	X	
Transfer-eligibility certification.	X	
Financial aid administration, including individual and team limits.	X	
Recruiting (e.g., official visit, etc.).	X	
Camps and clinics.	X	
Investigations and self-reporting of rules violations.	X	
Rules education.	X	
Extra benefits.	X	
Playing and practice seasons.	X	
Student-athlete employment.	X	

12. Describe relevant corrective actions planned or implemented from the rules-compliance program evaluation(s).

On February 28 2007, the Southeastern Conference completed the Phase II compliance review visit to The University of Alabama. The visit was done in accordance with Southeastern Conference bylaws. The purpose of the athletics compliance review visit was to:

- * Evaluate the implementation of recommendations made to the University in the May 17, 2005 Athletics Compliance Review Report;
- * Participate in the University's rules education program by presenting at the department of intercollegiate athletics coaches compliance monthly team meeting; and
- * Review with the department of intercollegiate athletics compliance staff issues that have been identified in recent NCAA infraction cases and strategize on prevention of similar violations at The University of Alabama.

Based on the interviews conducted and the documentation the University presented, the March 23, 2007 report from Bond, Schoeneck & King, LLP, the firm the Southeastern Conference utilizes for the compliance review for member institutions, indicated that The University of Alabama has nearly completed the implementation of all the recommendations made from the 2005 report. The recommendations focused primarily on areas that would strengthen its existing systems and procedures.

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A copy of the 2005 Athletics Compliance Review Report, The University of Alabama Athletics Compliance Review Recommendations, and the March 23, 2007 Athletics Compliance Phase II Compliance Review letter will be available for the Peer-Review Team.

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

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

Evaluation

1. Does the institution demonstrate that it has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the president or chancellor assigns overall responsibility for the athletics program? **Currently Yes**
2. Does the institution demonstrate that in critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department? **Currently Yes**
3. Does the institution demonstrate that rules compliance is the subject of an ongoing educational effort? **Currently Yes**
4. Does the institution demonstrate that a clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program? **Currently Yes**
5. Does the institution demonstrate that at least once every four years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department? **Currently Yes**

Governance and Commitment to Rules Compliance

Elements	Goals	Steps		
Issues in the Self-Study	Measureable Goals	Steps to Achieve Goals	Individuals/Officers Responsible for Implementation	Specific Timetable for Completing the Work
Edit element to input the issue.				