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mailed to  
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to the Chancellor  
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To: Faculty Senators  
From: James LeRoy Smith, Chair  
ECU's 2001-2002 NCAA Certification Self-Study

As you recall, Dr. Morrison indicated at the October 9<sup>th</sup> Senate meeting that I will be present at the November 13<sup>th</sup> Senate meeting to seek your reactions to the draft of the 2001-2002 NCAA Certification Self-Study. We will forward to you by November 7<sup>th</sup> the "campus draft" of the entire study, with an executive summary. Given your busy schedules and the additional responsibilities you have as a Senator, I thought it would be helpful to forward now a brief overview of what you can expect in the self-study document.

ECU took part in the NCAA pilot certification project in 1991-92 and the first cycle certification self-study in 1996-97. We were certified in both cases. We agreed to move our second cycle certification study to 2001-2002 to coincide with the SACS self-study process. Normally, the NCAA study is every ten years.

The NCAA is motivated to ensure that all member institutions adhere to 13 separate "operating principles" in the areas of *NCAA rules compliance and governance, academic integrity, fiscal integrity, and equity, welfare, and sportsmanship*. I have attached the 13 operating principles that lay out the standards with which we must comply. The self-study document will convey the conviction of compliance and present supporting data. Persons involved in preparing the document are also listed on an attachment.

The Steering Committee will also present the campus draft to the Administrative Council and to the Board of Trustees before recommending a final version to Chancellor Muse. We want to hear your comments and suggestions, whether by consensus of the Senate or from you as individual Senators. I will have the four subcommittee chairs and others with me on November 13<sup>th</sup> to help me field your questions, provide answers, and take notes on your concerns.

Thanks for whatever time you can invest in this important endeavor, both for our student-athletes and for our institution.

cc: Chancellor Muse  
Mike Hamrick



**NCAA STEERING COMMITTEE, James LeRoy Smith, Chair**

William V. Muse, Chancellor

Michael A. Hamrick, Director of Athletics

David A. Dosser, Chair, Associate Professor, Director, Marriage and Family Therapy Program

Trenton G. Davis, Professor, Department of Environmental Health & Safety, Faculty Athletics Representative

Rosalynn Thompson, Senior Women's Administrator and Director of Compliance for Athletics

Charles R. Franklin, Jr., Chair, Trustees, Former Chair, Trustee's Athletics Committee

Robert J. Thompson, Interim Vice Chancellor for Academic Affairs

Angela R. Anderson, Registrar

Gary R. Lowe, Chair, Associate Vice Chancellor for Academic Affairs

Charles M. Hawkins, Chair, Associate Vice Chancellor for Administration and Finance

Thomas E. Powell, Director of Admissions

Garrie W. Moore, Vice Chancellor for Student Life

Rose Mary Stelma, Director of Financial Aid

Brenda R. Mills, Internal Auditor

Richard Brown, Executive Vice Chancellor and Vice Chancellor for Administration and Finance

Shelby Strother, President, ECU Alumni Association

Sadie J. Cox, President, Student Government Association and student member of the Board of Trustees

Andrea Margurette Terrill, ECU Student member [Home phone: 757-9312]

Scott Respass, ECU Student Member

Nick Floyd, Assoc. Director of Athletics

**Subcommittees:**

**Governance and Commitment to Rules Compliance:**

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William W. (Wes) Hankins, Associate Professor, Department of Planning, School of Industry and Technology

Rosalynn Thompson, Senior Women's Administrator and Director of Compliance for Athletics

James E. Holloway, Associate Professor, Department of Finance, School of Business

Samein Livon Jones, ECU Student member [football student-athlete]

Student Member TBA

**Academic Integrity:**

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Alta W. Andrews, Associate Professor, School of Nursing

Cliff McKinley Godwin, ECU Student member [baseball student-athlete]

Angela R. Anderson, Registrar

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Carlester Crumpler, Student Services Coordinator, Athletics

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**Fiscal Integrity:**

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Frances Elizabeth (Beth) Bridger, ECU Student member [softball student-athlete]

Barry Brickman, Athletics Business Manager

Anne W. Jenkins, Director of University Budget Office

Brenda R. Mills, Internal Auditor

Dennis A. Young, Director of the Pirate Club

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**Equity, Welfare and Sportsmanship:**

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Michael Kelly, ECU Trustees Athletics Committee

Tracey Elizabeth Ormand, ECU Student member [w. Swimming student-athlete]

Affye Benson Clayton, Equal Employment Opportunities Officer

Patricia S. Pollard, Assistant Vice Chancellor for Health Sciences

Mike Hanley, Athletic Trainer

Alta W. Andrews, Associate Professor, School of Nursing

Student Member TBA



## SELF-STUDY INSTRUMENT

### GOVERNANCE AND COMMITMENT TO RULES COMPLIANCE

#### Operating Principle

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

#### Operating Principle

- 1.2 Institutional Control, Presidential Authority and Shared Responsibilities.** The Association's principle of institutional control vests in the institution the responsibility for the conduct of its athletics program, including the actions of its staff members and representatives of its athletics interests. In fulfilling this principle, the institution shall demonstrate that:
- a. The institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution.
  - b. The chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program.
  - c. Appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies.



## **Operating Principle**

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

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



SELF-STUDY INSTRUMENT  
**ACADEMIC INTEGRITY**

**Operating Principle**

**2.1 Academic Standards.** The Association's fundamental principles indicate that an intercollegiate athletics program shall be designed and maintained as a vital component of the institution's educational system, and student-athletes shall be considered an integral part of the student body. Consistent with this philosophy, the institution shall demonstrate that:

- a. The institution admits only student-athletes who have reasonable expectations of obtaining academic degrees.
  - (1) If the academic profile of entering student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athlete or comparable student-body groups, the contrast shall be analyzed and explained by appropriate institutional authorities.
  - (2) If the graduation rate of student-athletes, as a whole or for any student-athlete subgroup, is significantly lower than that of other student-athlete or comparable student-body groups, this disparity shall be analyzed, explained and addressed (through specific plans for improvement) by appropriate institutional authorities.
- b. Academic standards and policies applicable to student-athletes are consistent with those adopted by the institution for the student body in general or the NCAA's standards, whichever are higher.
- c. The responsibility for admission, certification of academic standing and evaluation of academic performance of student-athletes is vested in the same agencies that have authority in these matters for students generally.

**Operating Principle**

**2.2 Academic Support.** Members of the Association have the responsibility to conduct intercollegiate athletics programs in a manner designed to protect and enhance the educational welfare of student-athletes and to assure proper emphasis on educational objectives. Consistent with this responsibility, the institution shall demonstrate that:

- a. Adequate academic support services are available for student-athletes.
- b. Student-athletes are encouraged and assisted in reaching attainable academic goals of their own choosing.
- c. When it is determined that individual student-athletes have special academic needs, these needs are addressed.
- d. The support services are approved and reviewed periodically by academic authorities outside the department of intercollegiate athletics.

**Operating Principle**

**2.3. Scheduling.** It is a principle of the Association to ensure that, in the conduct of intercollegiate athletics, student-athletes have sufficient time for their academic programs. In accordance with this principle, the institution shall demonstrate that written policies are established in all sports to minimize student-athletes' conflicts with class time and/or final examination periods due to participation in intercollegiate athletics, consistent with the provisions of Constitution 3.2.4.12.



## SELF-STUDY INSTRUMENT

### **FISCAL INTEGRITY**

#### **Operating Principle**

- 3.1. Financial Practices.** The Association's principles include the responsibility of the institution's chief executive officer for approval of the athletics budget and audit of all athletics expenditures. In fulfilling this principle, the institution shall demonstrate that:
- a. All funds raised for and expended on athletics are subject to institutionally defined practices of documentation, review and oversight.
  - b. All expenditures from any source for athletics are approved by the institution.
  - c. Budget and audit procedures for athletics are consistent with those followed by the institution generally and with the provisions of NCAA Constitution 6.2:
    1. The institution's annual budget for athletics is approved by the institution's chief executive officer or designee from outside the athletics department.
    2. An annual financial audit is performed by a qualified auditor who is not a staff member of the institution and who is selected by the chief executive officer or designee from outside the athletics department.

#### **Operating Principle**

- 3.2. Fiscal Management and Stability.** The Association's principles require each institution to administer its intercollegiate athletics program in keeping with prudent management and fiscal practices. To demonstrate fulfillment of this requirement, the institution shall provide evidence that the management and fiscal practices of the institution assure the financial stability necessary for providing all student-athletes with relatively full and stable opportunities for athletics participation.

#### **Operating Principle**

- 3.3. Established Fiscal Policies and Procedures.** Membership in the Association places responsibility on each institution to monitor its programs to assure compliance with all applicable rules and regulations of the Association. Consistent with this responsibility, the institution shall demonstrate that it has in place fiscal policies and standard operating procedures to ensure that:
- a. Prospective student-athletes are not provided with impermissible recruiting inducements.
  - b. Enrolled student-athletes are not provided with benefits that are expressly prohibited by NCAA legislation.
  - c. All expenditures for athletics are handled consistently in accordance with NCAA, conference and institutional rules.



## SELF-STUDY INSTRUMENT

### **EQUITY, WELFARE AND SPORTSMANSHIP**

#### **Operating Principle**

- 4.1 Gender Issues.** Consistent with NCAA Constitution 2.3, it is the responsibility of each institution to implement the Association's principle of gender equity. In accordance with this fundamental principle, the institution shall:
- Have implemented its approved gender-equity plan from the previous self-study. If modified or not carried out fully, the institution shall provide an explanation from appropriate institutional authorities.
  - Demonstrate that it is committed to, and has progressed toward, fair and equitable treatment of both male and female student-athletes and athletics department personnel.
  - Formally adopt a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which is equitable for both genders. The plan shall include measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables.

#### **Operating Principle**

- 4.2. Minority Issues.** It is a principle of the Association to promote respect for and sensitivity to the dignity of every person and to refrain from discrimination prohibited by federal and state law. Consistent with this fundamental philosophy, the institution shall:
- Have implemented its approved minority-opportunities plan from the previous self-study. If modified or if not carried out fully, the institution shall provide an explanation from appropriate institutional authorities.
  - Demonstrate that it is committed to, and has progressed toward, fair and equitable treatment of all minority student-athletes and athletics department personnel.
  - Formally adopt a written plan for the future for the intercollegiate athletics program that ensures the institution maintains a program, or continues progress toward a program, which expands opportunities and support for minority student-athletes and athletics personnel. The plan shall include measurable goals the institution intends to achieve, steps the institution will take to achieve those goals, persons responsible and timetables.



### **Operating Principle**

**4.3. Student-Athlete Welfare.** Conducting the intercollegiate athletics program in a manner designed to protect and enhance the physical and educational welfare of student-athletes is a basic principle of the Association. Consistent with this fundamental principle, the institution shall:

- a. Demonstrate a commitment to the fair treatment of student-athletes, particularly in their academic role as students.
- b. Provide evidence that the welfare of student-athletes and the fairness of their treatment is monitored, evaluated and addressed on a continuing basis.
- c. Have established grievance or appeal procedures available to student-athletes in appropriate areas.
- d. Provide evidence that the institution has in place programs that protect the health of and provide a safe environment for each of its student-athletes.

### **Operating Principle**

**4.4. Sportsmanship and Ethical Conduct.** It is a principle of the Association that student-athletes, coaches and all others associated with intercollegiate athletics adhere to such fundamental values as respect, fairness, civility, honesty and responsibility. Consistent with this principle, the institution shall:

- a. Demonstrate that in the area of intercollegiate athletics, it is committed to these fundamental values of sportsmanship and ethical conduct.
- b. Have established a set of written policies and procedures for this area.
- c. Demonstrate that educational activities related to sportsmanship and ethical conduct exist for individuals and groups associated with the intercollegiate athletics experience.
- d. Provide evidence that the effectiveness of activities in this area are monitored, evaluated and addressed on a continuing basis.