Governance & Commitment to Rules Compliance

Operating Principle
1.1 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 chancellor or president is assigned ultimate responsibility and authority for the operation, fiscal integrity and personnel of the athletics program.

c. Appropriate campus constituencies have the opportunity, under the purview of the chancellor or president, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies.

Self-Study Items
1. List all “conditions for certification” imposed by the Committee on Athletics Certification in its second-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 "condition" 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 non-completion of such required actions.

   There were no corrective actions, conditions for certification, or strategies for improvement pertaining to Institutional Control, Presidential Authority and Shared Responsibilities, Operating Principle 1.1 (Governance and Commitment to Rules Compliance) in the second-cycle certification.

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 second-cycle certification process for Operating Principle 1.1 (Institutional Control, Presidential Authority and Shared Responsibilities). In each case, provide:
   a. The original "condition" 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 non-completion of such required actions.

Please note, the institution will not be required to fulfill an element of a second-cycle plan if the element does not affect conformity with a current operating principle.
There were no corrective actions, conditions for certification, or strategies for improvement pertaining to Institutional Control, Presidential Authority and Shared Responsibilities for Operating Principle 1.1 (Governance and Commitment to Rules Compliance) in the second-cycle certification.

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

   No additional plans for improvement/recommendations were developed as there were no corrective actions, conditions for certification, or strategies for improvement required by the second-cycle certification decision.

4. Describe how the institution's chancellor or president maintains clear and direct oversight of the athletics program, including a description of reporting lines from the athletics director to the chancellor or president.

   The President/CEO maintains oversight of the athletics program through regularly scheduled meetings with the Athletic Director (AD) who reports directly to the President and is charged with oversight of compliance issues. In addition, in 2005, the AD was given the title of Vice President of Athletic Programs and as such is part of the institution’s executive team, participating in monthly cabinet meetings dealing with administrative issues concerning the entire institution. Athletic, academic, financial, enrollment, legislative and student affairs issues are considered and discussed regularly by the entire team of Vice Presidents and the President.

   The President receives regular briefings from the Faculty Athletics Representative (FAR) regarding NCAA actions, institutional positions on upcoming issues and matters of compliance and student-athlete well-being on the campus. The Associate AD for Compliance is a direct report to the President and, as such, reviews NCAA required reports with the President for signature before submission to the NCAA or Big 12 Conference.

   The President receives recommendations and annual reports from the Athletic Council regarding issues identified in self-study plans for improvement. The President also receives regular financial and construction/improvement updates on athletic projects by the VP for Administration and Finance. The President personally interviews all finalists for head coaching and key administrative positions. The President participates in both Big 12 Conference and NCAA meetings and briefings for presidents in order to stay current on athletic issues that can be applied to the oversight of the institution’s program.

   In addition, the President speaks to the entire Athletic Department staff annually, attends a significant number of home athletic events and many away games, as well as events celebrating the academic success of student athletes. The President also meets with various donor and booster groups to stress the importance of rules compliance and to maintain relationships with key individuals.

   As illustrated in the Institutional Organizational Chart, the AD is one of ten direct reports to the President. Organizational charts will be available to the review team.

5. Since the institution's previous self-study, list the major decisions made related to intercollegiate athletics. For each decision, explain the role and involvement (if any) of the:

   a. Chancellor or president;
   b. Athletics board or committee;
   c. Faculty senate (or other faculty governing body);
   d. Student-athlete advisory committee;
   e. Director of athletics;
   f. Faculty athletic representative;
   g. Senior woman administrator; and/or
The major decisions made by the Athletic Department between the completion of the second-cycle certification process and the current self-study have been separated into two categories to simplify the response. These are Operational Decisions and Strategic Decisions.

The distinction between the two categories lies with the frequency of the decisions. The decisions designated as operational decisions are made on a recurring basis, usually annual. The decisions designated as strategic decisions occur infrequently.

**Operational Decisions**

**Budget**
The Athletic Department submits a proposed annual budget to the Vice President for Administration and Finance for review and approval. Recommendations related to student fees normally follow discussions with the Vice President for Academic Affairs (VPAA), the Student Government Association, and the Graduate and Professional Student Association. With that feedback, the budget is presented to the President for approval. The President then presents the annual budget to the Board of Regents for the Oklahoma Agricultural and Mechanical Colleges (Board of Regents) as part of the entire University budget to be approved prior to the start of the new fiscal year.

**Personnel Decisions**
Recommendations for hiring personnel in the Athletic Department follow University search procedures and are approved by the AD before being presented to the Board of Regents by the President. Any deviations from usual search procedures with respect to time and place of advertisements, etc., are to be approved by the Office of Affirmative Action. The higher-paying and more visible positions are subject to more scrutiny by the Board of Regents with formal procedures similar to those of deans and vice presidents. A complete curriculum vitae and a recommendation of the President is required by the Board of Regents. For other positions in the Athletic Department, the President reports appointments to the Board of Regents before they become official. Additional information be provided to the Board of Regents if requested.

**Departmental Policies**
Operating policies of the Athletic Department are generally presented to the President for approval by the AD. Broad policy matters are reviewed by the Athletic Council and advice is jointly given to the President and the AD. The FAR serves as a non-voting, ex-officio member of the Athletic Council to provide input relative to NCAA and Big 12 Conference rules and regulations. Athletic schedules are reviewed and monitored by the VPAA. Exceptions to the policies for missed class and pre-finals week activities are approved by the VPAA. The Athletic Department may also commission a committee or group of third party constituents to assist in the development and review of policy. A primary example of this is the team travel policy.

**Strategic Decisions**

**Athletic Village Project**
The Athletic Village project was part of the campus master plan developed by the institution and approved by the Board of Regents in 2007. The AD was involved with the development of the plan as well as securing resources to fund the initiative. The President approved the incorporation of the athletic portion of the plan as a part of the campus master plan initiative. The President presented the campus master plan initiative to the Board of Regents for approval. The General Counsel for the OSU Foundation oversaw the acquisition of real estate on behalf of the Athletic Department for the project. The Associate Vice President for Athletic Facility Construction is responsible for all construction-related activities associated with the Athletic Village Project. The Vice President for Administration and Finance is responsible for tracking the additional legal costs associated with the project.

**Cowboy Athletics**:
In 2006, the Directors of OSU Cowboy Golf, Inc. approved and filed an amended and restated Certificate of Incorporation with the Oklahoma Secretary of State to change the name and purpose of the Corporation. The Corporation is now Cowboy Athletics, Inc. The exclusive purpose of the organization is to hold and administer funds for distribution to the Athletic Department and the educational programs of Oklahoma State University. The AD participated in the planning and decision making process of this initiative. The President approved the initiative and the Directors of OSU Cowboy Golf, Inc. allocated a position on its Board for the President or the
President's designee. The President of the OSU Foundation approved the transfer of funds held by the Foundation for the Athletic Department to Cowboy Athletics, Inc. The Associate AD for Business was appointed as the Secretary of Cowboy Athletics, Inc., and participated in filing the appropriate paperwork of the Corporation with the state. The Office of Legal Counsel for the Board of Regents reviewed the legal implications of the initiative for the University. An outside law firm was retained by the Corporation to review the legal implications for the Corporation.

BP Capital Investment:
Upon formation of Cowboy Athletics, Inc., its Board of Directors in accordance with the purpose of the Corporation invested unrestricted funds contributed to the Oklahoma State University Athletic Department in BP Capital, L.C. The President participated indirectly in the decision by appointment of a member to the Corporation's Board of Directors. The Vice President of Administration and Finance, as the President's appointee, approved the investment. The AD as a member of the Cowboy Athletics, Inc., Board of Directors and President of the Corporation participated in the approval of the investment. The remaining members of the Board of Directors, one of which is also a member of the University's Board of Regents participated in the discussion and approval of the transaction. The Associate AD for Business participated in the initiative by performing the functions and duties of his role as Secretary for the Corporation.

Football Stadium Construction:
The AD developed the initiative to renovate the University's intercollegiate football stadium in 2002. The President gave approval for the initiative. The President of the OSU Foundation hired personnel dedicated to raising money for the completion of the construction project.

Naming of Football Stadium:
In 2003, the AD initiated action to name the football stadium Boone Pickens Stadium following Mr. Pickens initial $20 million dollar gift to the campaign to renovate the football stadium. The President approved the initiative for presentation to the University's Board of Regents.

6. Describe the institution's written governance policies regarding the administration and oversight of the athletics program, including the specific role and responsibilities of the institution's governing Board. Describe how the policies are communicated to the governing Board on an annual basis.

30:10-3-4. Oklahoma State University Athletics

WHEREAS, NCAA Article 6.01.1 Institutional Control states, “The control and responsibility for the conduct of intercollegiate athletics shall be exercised by the institution itself and by the conference(s), if any, of which it is a member. Administrative control or faculty control, or a combination of the two, shall constitute institutional control.”

WHEREAS, NCAA Article 6.1.1 states, “A member institution’s chief executive officer has ultimate responsibility and final authority for the conduct of the intercollegiate athletics program and the actions of any board in control of that program.”

and,

WHEREAS, the Board of Regents for the Oklahoma A & M Colleges wishes to re-emphasize its commitment to strict compliance with these obligations of membership and all other NCAA, Big XII Conference, and institutional rules governing intercollegiate athletics;

THEREFORE, the following athletics policies are adopted:
Recognizing the ultimate responsibility assigned to the President and System CEO of Oklahoma State University as the Chief Executive Officer of the institution, the Board of Regents for the Oklahoma A&M Colleges directs the following three specific tasks to be implemented. First, the President will meet annually with the Athletics Department staff and emphasize the absolute necessity for compliance with applicable legislation in spirit, as well as in fact. Second, the President is directed to ensure that Oklahoma State University develops and maintains an athletics compliance program with personnel, budget, and policies and procedures to provide adequate and appropriate institutional control as defined by standards and expectations of the NCAA. And, finally, the President is directed to personally interview all candidates recommended for head coaching positions before employment is offered.

As required by membership in the NCAA, all contractual agreements and offer letters describing terms and conditions of employment with coaches or other Athletics Department staff members will stipulate that the institution may suspend the individual for a period of time, with or without pay, or terminate employment for involvement in deliberate and serious violations of NCAA and Big Twelve Conference rules. Before offers are made, professional references will be obtained and appropriate inquiries will be made to the NCAA and Big Twelve Conference offices regarding previous involvement with rules infractions. Individuals with histories of involvement in major violations will not be hired by the University.

Subject to applicable NCAA procedures, any student-athlete who is knowingly involved in major NCAA or Big Twelve rules violations will be declared ineligible for competition in any sport at Oklahoma State University. A student-athlete whose eligibility is restored by the NCAA subsequent to committing a major violation must also be reinstated by the President before representing Oklahoma State University in athletics competition.

The Athletics Department is hereby directed to develop, periodically review, and widely distribute a mission statement for Oklahoma State University’s Athletics programs to be approved by the President to identify the linkage of athletics programs to the educational mission of the University and to specify adherence to the principles of fair play and amateur athletic competition.

Athletics Department personnel, individual administrators, and academic faculty and staff are directed to be particularly sensitive to issues of academic integrity and to emphasize educational and graduation goals for the individual student-athlete.

Core values of the university—especially those emphasizing an environment of respect for excellence and performance, for diversity, and for respect of every individual relationship—shall be instilled in all phases of intercollegiate athletics. Student-athletes shall be counseled on, and held responsible for, destructive and abusive behaviors including those involving alcohol, drugs, gambling, sexual misconduct and other areas impacting the worth and dignity of the individual. Only prospective student-athletes with the ability to succeed academically and a willingness to subscribe to the core values of the university shall be recruited with a process, and in an atmosphere, exemplifying these same core values.

A comprehensive educational program utilizing NCAA, conference, and OSU materials and personnel will be maintained to provide information and interpretations for compliance with the eligibility, financial aid, and recruiting rules of intercollegiate competition for employees of Oklahoma State University assigned these responsibilities.

In addition, the University is directed to communicate clearly with its alumni, donors, and other friends, as well as on-campus faculty, staff, and fellow students, of their responsibility for proper actions in the recruitment and provision of benefits to individual student-athletes. Individuals involved in violations will be disassociated from the OSU athletics programs.

Finally, each member of the Board of Regents for the Oklahoma A & M Colleges recognizes his/her special position as a representative of the university, and thus the need for his/her conduct to be exemplary with regard to NCAA rules compliance including such specific rules as those which prohibit recruiting contacts on or off campus between a member of an institution’s board of regents and a prospective student-athlete.

(Amended 04-22-05)
Upon appointment to the Board of Regents each member is provided with a packet that contains all of the Board policies, including those related to athletics.

7. Since the institution's previous self-study, list the decisions related to intercollegiate athletics in which the institution's governing board or individual board members have been involved and describe the extent of the governing board's involvement with those decisions.

<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
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<tbody>
<tr>
<td>April 26, 2002</td>
<td>Board Approval of Team Travel Policy for the Athletic Department at Oklahoma State University</td>
</tr>
<tr>
<td>December 6, 2002</td>
<td>Approval of a Construction Management At-Risk Firm for the Lewis Field Stadium Expansion Project</td>
</tr>
<tr>
<td>January 31, 2003</td>
<td>Approval to Solicit Bids for Financial Advisor, Bond Counsel, and Underwriting Services for the Lewis Field Renovation Project, Phase I</td>
</tr>
<tr>
<td>April 21, 2003</td>
<td>Approval of Financial Advisor and Bond Counsel for the Athletic Facilities Revenue Bonds, Series 2003 (Lewis Field Renovation Project, Phase I)</td>
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<td>Approval of Underwriter for the Athletic Facilities Revenue Bonds, Series 2003 (Lewis Field Renovation Project, Phase I)</td>
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<tr>
<td></td>
<td>Approval of Reimbursement Resolution for Athletic Facilities Revenue Bonds, Series 2003 (Lewis Field Renovation Project, Phase I)</td>
</tr>
<tr>
<td></td>
<td>Authorization to Negotiate with the Utilize the Existing Athletic Facilities (Football Stadium Project) Financial Advisor for the Oklahoma Development Finance Authority Portion of Project Financing</td>
</tr>
<tr>
<td>June 20, 2003</td>
<td>Authorization to Enter into a Loan Agreement with Oklahoma Development Finance Authority for the Athletic Facilities (Football Stadium) Project Financing</td>
</tr>
<tr>
<td>July 25, 2003</td>
<td>Approval for a Supplemental Bond Resolution Authorizing the Issuance of the Athletic Facilities Revenue Bonds, Series 2003 (Phase I Football Stadium Renovation Project)</td>
</tr>
<tr>
<td>September 5, 2003</td>
<td>Approval to Name a Facility on the Campus of Oklahoma State University</td>
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<td></td>
<td>Approval to Update the Baseball and Softball Improvements Master Plan</td>
</tr>
<tr>
<td>October 24, 2003</td>
<td>Approval to Begin Architectural Consultant Selection for the Athletic Department</td>
</tr>
<tr>
<td>March 5, 2004</td>
<td>Approval to Implement a One-time Pay Supplement (System-Wide including athletic staff)</td>
</tr>
<tr>
<td>July 30, 2004</td>
<td>Approval of Architectural Consultant for the Athletic Department</td>
</tr>
<tr>
<td>September 10, 2004</td>
<td>Approval to Advance Refund the Athletic Facilities Revenue Bonds, Series 1998 and of the Statement of Essential Facts</td>
</tr>
<tr>
<td>October 29, 2004</td>
<td>Approval to Renovate Locker Room at Allie P. Reynolds Stadium</td>
</tr>
<tr>
<td>December 3, 2004</td>
<td>Approval to Execute Resolution to Acquire Property</td>
</tr>
<tr>
<td>March 4, 2005</td>
<td>Approval of Stadium Phase II Interim Financing</td>
</tr>
</tbody>
</table>
| April 22, 2005   | Note: Full descriptions of Board of Regents items will be available to the review team in the Appendix.
Approval to Remove Designation of Lewis Field
Approval to Allow University to Accept Gifts of Improved Facilities
June 24, 2005
Approval for Rental of University Athletic Facilities
July 29, 2005
Approval to Change the Property Procurement Authorization
September 16, 2005
Approval for Rental of University Athletic Facilities
December 2, 2005
Approval to Accept and Dispose of Real Property
January 27, 2006
Approval to Restructure the Escrow Investments for the Athletics Facilities Revenue Bonds, Series 1998 Escrow
Approval for Renaming the Joe and Connie Mitchell Academic Enhancement Center (AEC)
March 3, 2006
Request Change in Property Procurement Authorization
April 21, 2006
Approval to Allow the University to Accept the Gift of the West End of Boone Pickens Stadium
Approval to Raze Acquired Real Property and Accept the Gift of Related Facilities
July 28, 2006
Approval to Execute Resolution to Acquire Property
April 20, 2007
Approval to Allow Certain Donations Received by the Oklahoma State University Foundation (OSUF) for the Athletic Scholarship Endowment to be Transferred to Cowboy Athletics, Inc. for Investment Purposes
March 7, 2008
Approval to Execute and Accept a Gift of Pre-engineered Building to Serve as an Equine Barn
Approval to Allow the University to Execute and Accept the Gift of the OSU Equine Sports Complex
Approval to Allow the University to Execute and Accept the Gift of the Sherman Smith Indoor Training Facility and Outdoor Practice Fields
April 18, 2008
Approval for Exception to Board Policy to Award a Contract for the Design of Softball Complex Extension
June 20, 2008
Payment to the OSU Foundation for Suite at Boone Pickens Stadium
Approval of Development Agreement for the Athletic Village Area South of McElroy
September 12, 2008
Approval to Lease Parking Lot from Cowboy Athletics, LLC
Institution Self-Study Instrument Report - Oklahoma State
October 8, 2008
Approval of Exemption for Posse Benefit Auction
Approval to Solicit Proposals for Financial Advisor, Bond Counsel, and Underwriting Services

And here is a list of athletic related expenditures which required Board approval from Sept 2001 to present:
(date, item and amount)
9/14/2001 Hall of Honor video $50,000.00
10/19/2001 Basement Track $90,000.00
10/19/2001 Window Shutters $35,000.00
1/25/2002 Air transportation - football $300,000.00
1/25/2002 Air transportation- women’s basketball $175,000.00
3/1/2002 Fractional Ownership $461,000.00
3/1/2002 Furniture $180,000.00
3/1/2002 Video Surveillance Equip $47,000.00
3/1/2002 Digital Video Systems $177,000.00
6/21/2002 Karsten Creek Golf Course $645,000.00
6/21/2002 Membership- Karsten Creek $320,000.00
6/21/2002 Contribute $38,461.43
6/21/2002 Student Athletic Insurance $250,000.00
6/21/2002 Software Maintenance $46,000.00
6/21/2002 Maintenance video system $36,000.00
7/26/2002 Travel, lodging $2,500,000.00
7/26/2002 Insurance $100,000.00
7/26/2002 Website development $60,000.00
10/25/2002 Hardware, software $52,000.00
6/20/2003 Cleaning services $200,000.00
6/20/2003 Maintenance- video system$36,000.00
7/25/2003 Trade-out w/Tulsa World $75,000.00
7/25/2003 Trade-out w/Quebecor $70,590.00
7/25/2003 Trade-out w/Clear Channel$50,000.00
7/25/2003 Travel, lodging $2,500,000.00
9/5/2003 Software maintenance $48,000.00
1/30/2004 Scoreboard $115,000.00
3/5/2004 Concessions $-??
3/5/2004 Scoreboard $100,000.00
4/23/2004 Increase- Event management$100,000.00
6/18/2004 revenue from rental of chair backs- GTM$95,000.00
6/18/2004 travel, lodging, & expenses$2,500,000.00
6/18/2004 event management services$450,000.00
6/18/2004 television sets $116,300.00
9/10/2004 sponsorship $-??
9/10/2004 locker room renovation $530,770.00
12/3/2004 purchase talent and personal svcs$-??
4/22/2005 monthly mgmt fees & chgs for aircraft ownership $200,000.00
6/24/2005 equipment, travel, lodging $2,500,000.00
7/29/2005 management fees & expenses for aircraft $250,000.00
9/16/2005 infield and warning track at Allie P Reynolds $400,000.00
9/16/2005 meshing wire/Ticketmaster Ticketing Software $154,308.00
9/16/2005 hand held scanners & printers/Ticketmaster $244,600.00
12/2/2005 food service equipment $1,100,000.00
3/3/2006 extend contract for fractional ownership of aircraft $250,000.00
3/3/2006 catering services $125,000.00
4/21/2006 elevator maintenance $73,000.00
6/23/2006 equipment, travel, lodging, related items $2,500,000.00
6/23/2006 athletic accidental injury insurance $250,000.00
7/28/2006 pay off balance of Jumbotron & extend sale of advertising $1,000,000.00
7/28/2006 cleaning services for Gallagher Iba Arena & Boone Pickens $300,000.00
9/15/2006 catering services $220,000.00
9/15/2006 athletic accidental injury insurance $487,000.00
10/27/2006 bird netting and installation $178,000.00
1/19/2007 catering services $420,000.00
1/19/2007 signage w/installation $277,400.00
3/2/2007 fractional ownership of aircraft $588,569.00
3/2/2007 trade-out agreements $142,820.00
3/2/2007 vibration study $10,262.00
6/22/2007 catering services $500,000.00
6/22/2007 equipment, travel, lodging, related items $3,000,000.00
7/27/2007 athletic insurance $473,200.00
9/14/2007 fractional ownership of two aircraft $750,000.00
3/7/2008 trade-out agreements $165,000.00
4/18/2008 design of softball complex extension $75,000.00
6/20/2008 catering services $612,000.00
6/20/2008 insurance $470,800.00
6/20/2008 elevator and escalator maintenance $200,000.00
6/20/2008 equipment, travel, lodging, etc?. $4,000,000.00
6/20/2008 custodial services $500,000.00
6/20/2008 merchandise marketing services $100,000.00
7/25/2008 photographs for advertising $30,000.00
7/25/2008 broadcast rights and media services $56,500,000.00
9/12/2008 event management services $568,000.00

Athletic related personnel actions which required Board of Regents approval from Sept 2001 to now:
April 24, 1998—Mike Holder, Head Coach, Golf—permission for President to negotiate and execute appropriate contractual documents with the approval of Legal Counsel.

September 18, 1998—Sandra Fischer, Head Coach, Women’s Softball—permission for President to negotiate and execute appropriate contractual documents with the approval of Legal Counsel.

April 16, 1999—Robert Simmons, Head Coach, Football—pay increase.

April 16, 1999—Eddie Sutton, Head Coach, Basketball—pay increase

June 18, 1999—Terry Phillips, Director of Athletics—extend the term of contract to 12/31/07 including approval to negotiate and execute appropriate contractual documents with the approval of Legal Counsel.

September 10, 1999—Robert Simmons, Head Coach, Football—extend the term of contract to 12/31/05 including approval to negotiate and execute appropriate contractual documents with the approval of Legal Counsel.

April 28, 2000—Dick Halterman, Head Coach, Women’s Basketball—extend the term of contract to 3/31/02 including approval to negotiate and execute appropriate contractual documents with the approval of Legal Counsel.


July 28, 2000—Mike Holder, Assistant Athletic Director & Head Coach, Men’s Golf—title change from Head Coach, Men’s Golf.

July 28, 2000—Eddie Sutton, Head Coach, Men’s Basketball—Contract extension through June 30, 2005. This action includes approval for the President to execute appropriate contractual documents with the approval of Legal Counsel.

September 15, 2000—Mike Holder, Asst. Athletic Director Golf Ops, Head Coach Men’s—This action includes approval for the President to negotiate and execute appropriate contractual documents with approval of legal counsel.

October 20, 2000—Phillips, Terry D., Director of Athletics—Extend the term of contract by 3 years to December 31, 2010. This action includes approval for the President to negotiate & execute appropriate contractual documents with the approval of Legal Counsel.

December 8, 2000—Leslie E. Miles, Head Coach, Football.—This action includes approval for the President to negotiate and execute appropriate contractual documents with approval of Legal Counsel.

December 8, 2000—Robert L. Simmons, Approval for the President to negotiate and execute any required documents as approved by Legal Counsel pertaining to separation.

September 14, 2001—Thomas S. Holliday, Coach,—Contract extension through June 30, 2003. This action includes approval for the President to execute appropriate contractual documents with the approval of

April 26, 2002—Dickie W. Halterman, Head Coach, Women’s Basketball—Separation with 176.04 hours of annual leave due.

April 26, 2002—Leslie Edwin Miles, Head Coach, Football—Pay increase.

April 26, 2002—Julie Ann Goodenough, Head Coach, Women’s Basketball—This action includes approval for the President to negotiate and execute appropriate contractual documents with approval of Legal Counsel.


June 21, 2002, Margaret Ann Rebenar,—Head Coach, Women’s Softball—This action includes approval for the President to negotiate and execute appropriate contractual documents with approval of Legal Counsel.

June 21, 2002, Harry Birdwell, Athletic Director—Change in title from Vice President for Business and External Relations. This action includes approval for the President to develop and execute appropriate contractual documents with consultation of Legal Counsel and approval of the Board Chairman.
July 26, 2002, Margaret Ann Rebenar, Head Coach, Women’s Softball—Pay increase. This action includes approval for the President to negotiate and execute appropriate contractual documents with approval of Legal Counsel.

July 26, 2002, Larry Sanchez, Head Coach, Women’s Equestrian—Pay increase. This action includes approval for the President to negotiate and execute appropriate contractual documents with approval of Legal Counsel.

September 13, 2002—Mike Holder—Asst. Athletic Director, Golf Operations/Head Men’s Golf Coach—This action includes approval for the President to negotiate and execute appropriate contractual documents with approval of legal counsel.

December 6, 2002, Leslie Edwin Miles—Head Coach, Football—This action includes approval for the president to negotiate and execute appropriate contractual documents as recommended by the Athletic Director and with advice from Legal Counsel.

December 6, 2002, Eddie E. Sutton, Coach, Head Basketball—This action extends contract to 6/30/2007 and includes approval for the President to negotiate and execute appropriate contractual documents as recommended by the Athletic Director and with approval of Legal Counsel.

March 7, 2003, Margaret Ann Rebenar, Head Coach, Women’s Softball—Pay increase. This action is in accordance with contract.

July 25, 2003, Karen Elaine Hancock, Head Coach/Women’s Soccer—Pay increase. This action includes approval for the President to negotiate and execute appropriate contractual documents with approval of Legal Counsel.

July 25, 2003, John Smith, Head Coach, Wrestling—Pay increase. This action includes approval for the President to negotiate and execute appropriate contractual documents with approval of Legal Counsel.


July 25, 2003, Frank D. Anderson, Head Coach/Baseball—This action includes approval for the President to negotiate and execute appropriate contractual documents with approval of Legal Counsel.

September 5, 2003, Rene Lee Sepulveda, Head Coach, Women’s Track—Change in title from Assistant Coach/Women’s Track

October 24, 2003, Mike Holder, Assistant Athletic Director—This action extends contract to 06/30/2008 and includes approval for the President to negotiate and execute appropriate contractual documents with approval of Legal Counsel.

June 18, 2004, Leslie Miles, Head Coach/Football—Extending term of contract to 12/31/2010 with two optional one-year extensions. This action also includes approval for the President to execute appropriate contractual documents with review and approval of Legal Counsel.

June 18, 2004, Sean P. Sutton, Associate Head Coach & Head Coach Designate—change title from Associate Head Coach.

September 10, 2004, Franklin D. Anderson, Head Coach, Baseball—Approval to renegotiate and extend contract, subject to legal approval.

September 10, 2004, John W. Smith, Head Coach, Wrestling—Approval to increase annual salary rate to FY 06 rate based on services and satisfactory performance.

January 28, 2005, Michael R. Gundy, Head Football Coach—Change in title from Offensive Coordinator. This action also includes approval for the President to execute appropriate contractual documents with review and approval of Legal Counsel.

April 2005, Julie A Goodenough, Head Coach, Women’s Basketball—Separation with 176.00 hours of annual leave due.

April 22, 2005, Kurt J. Budke, Head Coach, Women’s Basketball—This action also includes approval for the President to execute appropriate contractual documents with review and approval of Legal Council.
June 24, 2005, Colin M. Carmichael, Co-Head Coach, Soccer—Change in title from Associate Head Coach.

June 24, 2005, James E. Wadley, Head Coach, Men’s Tennis—Pay increase.

July 29, 2005, Karen E. Hancock, Head Coach, Soccer—This action includes approval for the President to execute appropriate contractual documents with review and approval of Legal Counsel.

July 29, 2005, Margaret A. Rebenar, Head Coach, Softball—This action includes approval for the President to execute appropriate contractual documents with review and approval of Legal Counsel.

July 29, 2005, Larry L. Sanchez, Head Coach, Equestrian—This action includes approval for the President to execute appropriate contractual documents with review and approval of Legal Counsel.

July 29, 2005, John W. Smith, Head Coach, Wrestling—This action includes approval for the President to execute appropriate contractual documents with review and approval of Legal Counsel.

July 29, 2005, Sean P. Sutton, Associate Head Coach & Head Coach Designate—This action includes approval for the President to execute appropriate contractual documents with review and approval of Legal Counsel.

July 29, 2005, James E. Wadley, Head Coach, Men’s Tennis—This action includes approval for the President to execute appropriate contractual documents with review and approval of Legal Counsel.

June 23, 2006, Eddie E. Sutton, Head Coach/Basketball—Retirement with 176 hours of annual leave.

June 23, 2006, Richard Wieligman, Head Coach/Softball—

June 23, 2006, Joseph C. Muller, Associate Athletic Director—Separation with 352 hours of annual leave due.

June 23, 2006, Margaret A. Rebenar, Head Coach/Softball—Separation with 352 hours of annual leave due.

July 28, 2006, David A. Martin, Senior Associate Athletic Director—Merit increase

July 28, 2006, John K. Klintworth, Associate Athletic Director, Media Relations

September 15, 2006, David M. Smith, Head Coach, Cross Country—Change in title from Associate Head Coach, Men’s track & Cross Country.

December 1, 2006, Michael D. Braughton, Development Director—Resignation with 176.00 Hours of annual leave due.

January 19, 2007, Jimmy Gonzales, Jr., Director of Football Operations—Equity adjustment

January 19, 2007, Michael R. Gundy, Head Coach—Adjustment per employment contract


March 2, 2007, Michael R. Gundy, Head Coach, Football—This action includes authority for the President/AD to approve & execute any necessary contractual documents with approval of Legal Counsel, pending March 2, 2007.

March 2, 2007, Karen E. Hancock, Assistant Coach, Soccer—Change in title from Co-Head Coach to assistant Coach of Women’s Soccer with no rate change.

April, 20, 2007, Kurt J. Budke, Head Coach, Women’s Basketball—Contract extension including authority for the President/AD to approve and execute any contractual documents with approval of Legal Counsel.

October 26, 2007, Laura H. Matthews, Head Coach, Women’s Golf—This action includes authority for the President/AD to execute a Talent and Personal Services Contract in the amount of $20,000 starting 1/1/08.

October 26, 2007, Michael J. McGraw, Head Coach Men’s Golf—This action includes authority for the President/AD to execute a Talent and Personal Services Contract in the amount of $25,000 starting 1/1/08
December 07, 2007, Michael R. Gundy, Head Coach, Football—Contract extension including authority for the President/AD to approve and execute any contractual documents with approval of Legal Counsel.

January 18, 2008, Franklin D. Anderson, Head Coach Baseball—Contract extension including authority for the President/AD to approve and execute any contractual documents with approval of Legal Counsel.

April 18, 2008, Sean P. Sutton, Head Coach, Men’s Basketball—Separation with no annual leave due.

June 20, 2008, Kurt J. Budke, Head Coach, Women’s Basketball—Board approval for University President and Athletic Director to execute any contractual adjustments to talent and personal services contract.

July 25, 2008, Franklin D. Anderson, Head Coach, Baseball—Pending Board approval for University President and Athletic Director to execute any contractual adjustments to talent and personal services contract.

July 25, 2008, Laura H. Matthews, Head Coach, Women’s Golf—Pending Board approval for University President and Athletic Director to execute any contractual adjustments to talent and personal services contract.

July 25, 2008, Michael J. McGraw, Head Coach, Men’s Golf—Pending Board approval for University President and Athletic Director to execute any contractual adjustments to talent and personal services contract.

July 25, 2008, James E. Wadley, Head Coach, Men’s Tennis—Pending Board approval for University President and Athletic Director to execute any contractual adjustments to talent and personal services contract.

October 24, 2008, David M. Smith, Head Coach, Men’s Track & Cross County—Promotion from Head Coach, Men’s Cross Country.

December 5, 2008, Annie T. Young, Head Coach, Women’s Golf

In general, the Board of Regents process involves:
- Presidential approval to add an item to the Board Agenda at the request of the AD (or any VP of the University).
- Submission of written materials to Board members in advance of a meeting.
- Optional assignment of critical issues to a Board committee for in-depth review and recommendation in advance of the actual Board meeting.
- Briefing and Q&A session with administrators including the AD at the committee meeting.
- A vote by the committee to recommend the action, ask for more information or remove the item from the Board agenda.
- A report/recommendation by the committee chair at the Board meeting.
- Potential questions to administrators by the full Board.
- A final vote by the Board.

In the case of major construction projects, Board members may tour sites in advance of the Board meetings. In the case of major projects or major hires, Board members may sit in on presentations by finalists or may actually serve as members of search, selection or screening committees. In the case of major hires, in athletics and institution-wide, the Board must approve position descriptions in advance of search and screening.

8. Describe how the institution’s governing board decisions regarding the athletics program are consistent with those of other on-campus units.

The Board of Regents for the Oklahoma Agricultural and Mechanical Colleges which is the governing board for Oklahoma State University has written policies and rules regarding purchasing, expenditures and personnel matters that apply to every division of the institution including the Athletic Department.

In the Board’s Policy Handbook, Section 1: Governance, Organization and Administration, Item 1.07 covers items that require board approval and will be available to the review team as will: Section 2 of the Handbook: Item 2.05 covering naming of facilities at Oklahoma State University.
Section 3 of the Handbook, Item 3.08 covering Board review of personnel actions for Oklahoma State University and constituent budget agencies Will these be linked or in a supplement on site?

Generally, Board approval is required for the following types of items which apply to the Athletic Department in exactly the same manner as they apply to other departments/auxiliaries across the institution:

- all expenditures over $250,000,
- purchases over $35,000
- all personnel actions at the level of director or above (which includes administrators and head coaches)
- all name changes of university facilities,
- any changes to the institution’s master plan,
- acceptance of gifts to the institution
- changes in special fees
- annual operating budgets and significant budget revisions
- purchase, sale or acceptance of gifts of real property
- actions related to the sale of or defeasance of revenue bonds
- contracts with outside agencies including revisions or extensions
- construction projects by steps including beginning, selection of architect and contractor,
- expansion of scope, extension of time or rejection of bids

9. For each of the following individuals or groups:
   a. Explain the role and authority of the individual or group as it relates to intercollegiate athletics;
   b. Describe how the individual or group has the opportunity (if any) to provide meaningful input into the formulation of athletics department policies (e.g., review admissions data, review academic performance data, receive periodic reports from athletics department); and
   c. Describe how the individual or group has the opportunity (if any) to periodically review policy implementation related to athletics.

1. Athletics board or committee;
2. Faculty senate (or other faculty governing body);
3. Faculty athletic representative;
4. Student-athlete advisory committee; and/or
5. Other individual(s) or campus group(s).

1. **Athletic Council:** (By-laws revised Jan 2009 are available to the review team) The Council is advisory to the President and the Director of Intercollegiate Athletics. It is charged by the President with monitoring the activities of the Athletics Department and providing an annual report which includes an assessment of compliance services, academic services, financial integrity, equity and student-athlete welfare assessment of these things as well as recommendations for improvement.

   a. Through committees which parallel the divisions of the NCAA Certification process, the Athletic Council monitors conformity with the Operating Principles from the current self-study cycle as well as progress toward goals in the plans for improvement for the most recent self-study by reviewing relevant data. The required annual report from each committee and the Athletic Council includes a review of measurable standards, the status of plans for improvement and recommendations adopted by the Athletic Council.

   b. The Council is charged with reviewing exceptions to athletic schedules approved by VPAA. The Council provides monitoring reports and reviews to the President, AD and Faculty Council.

2. **Faculty Council/ Faculty Senate:**
a. The Faculty Council, in a charge approved by the Faculty Council, President, and Board of Regents serves in an advisory capacity on all issues regarding the life of faculty in the institution including: Academic matters including curricula, admissions, standards, degree programs, the library and schedules
Faculty concerns including budgets, faculty and administrative appointments, salaries, fringe benefits, promotion, tenure and retirement
Student affairs such as regulation, discipline, intercollegiate athletics, counseling advisement, extracurricular activities, safety health and welfare.
Long-range planning relevant to the goals, development and growth of the university, building programs and allocation of resources.
Faculty Council appoints one member to the Athletic Council

The Faculty Council’s standing committee named the Athletic Committee (AC) formulates and recommends policies regarding the role of both in intercollegiate and intramural athletics in the life of the university.

The Athletic Committee is comprised of two or more Faculty Council members, three members of the General Faculty, one Emeritus Faculty, and two scholarship student-athletes. The AD or the AD’s designee serves as a liaison to the AC.

The Athletic Committee’s agenda is set by the chair of the Faculty Council and generally addresses issues involving interaction between the faculty and Athletic Department. In addition, the Budget Committee of the Faculty Council reviews both the budget and fundraising initiatives of the Athletic Department and the Student Affairs and Learning Resources Committee of the Faculty Council monitors the health of academic programs undertaken by student athletes.

b. As the committees of the Faculty Council operate within the agendas set by the Faculty Council Chair, the groups have full autonomy to request and review data and make recommendations both to the AD and the President.

c. Institutional policy changes—including those involving the Athletics Department—are by policy referred to the Faculty Council for review and recommendation before being sent to the University Cabinet and Board of Regents for approval and implementation.

3. Faculty Athletics Representative (FAR):

a. The Faculty Athletics Representative is charged:
On behalf of the President and the faculty with assisting the institution in operating its athletic programs in compliance with University, Conference, and NCAA regulations in two key areas:
academic requirements, eligibility and progress toward degree and student welfare
Within the Athletic Department—with helping to investigate allegations of infractions or possible problems indicated through monitoring systems including:
attending interviews with coaches and student-athletes
reporting violations of rules and regulations to the NCAA, Big 12 Conference, and the University
participating in the development of corrective actions
In addition, the Faculty Athletics Representative is available to answer questions for personnel associated with the Registrar's Office, scholarship and financial aid, admissions, and Academic Services for Student Athletes.

b. In the capacities outlined above, the Faculty Athletics Representative has significant involvement in the development and review of data and results of investigations and participates in developing policies and corrective actions to address relevant findings.

c. The Faculty Athletics Representative serves as the University's representative to the NCAA and the Big 12 Conference and has the responsibility of working closely with the AD on issues of athletic policy. As an ex-officio member of the Athletic Council, the Faculty Athletics Representative provides input relative to NCAA and Big 12 Conference rules and regulations as well as University policies related to athletics. The Faculty Athletics Representative works with the AD, compliance
personnel, the Director of Academic Services for Student Athletes, and coaches to formulate institutional positions on significant legislative matters from the NCAA and Big 12 Conference.

4. Student-Athlete Advisory Council (SAAC):
   a. The Student-Athlete Advisory Council (SAAC) serves in an advisory capacity to the Athletic Department on concerns related to student-athletes. Composed of two representatives from each sport, the council meets bi-weekly during the fall and spring semesters.

   b. The SAAC reviews issues referred by the Athletic Department and university administration as well as issues brought forward by student athletes or other student organizations and makes recommendations accordingly. The SAAC may be asked to appoint representatives to search committees for departmental searches or other committees constituted to address athletic or university related issues.

   c. Through presentations by Athletic Department administrators, the SAAC has opportunities to review and raise questions concerning departmental policies and their implementation.

5. Student Government Association (SGA) which includes representatives of the Graduate and Professional Student Association:
   a. The Student Government Association (SGA) is elected by the student body to represent issues of concerns to students in an advisory capacity to the administration of the institution. The SGA reviews and recommends or rejects student fee proposals including those related to athletics and advises the President and/or AD regarding student views on issues such as student seating and ticket prices.

   b. The SGA receives periodic updates from the AD, may appoint members of search committees for high level searches or members of athletic related committees such as athletic mark development, etc. Generally, the Board of Regents requires review and recommendation by the SGA before taking action on student activity fee requests such as those involving athletics.

   c. The SGA may be called upon to review implementation of policies related to student seating at athletic events or availability of student tickets to post season events.

10. 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.

To ensure institutional control over the external elements that support the mission of the Oklahoma State University ("University") Athletic Department the institution has centralized the administration and operation of the activities under two key entities:
   • POSSE, and
   • Cowboy Athletics, INC. ("Cowboy Athletics")

POSSE
The primary purpose of the POSSE is to develop initiatives and programs to generate operating revenue to support the operations of the University Athletic Department. This includes but is not limited to the following:
   • Receive and Process Donations
   • Develop Donor Giving Program
   • Maintain Donor Database and Giving History
   • Develop and Coordinate Fundraising Initiatives and Activities

Institutional control for the POSSE is maintained by centralizing the responsibility for all activities under the operation of the University Administration, the University Board of Regents and the University Foundation. The Vice President of Intercollegiate Athletics/Athletic Director (“Athletic Director”) is charged by the University President with oversight of
the POSSE program. As indicated in Operating Principle 1.2, Self-Study Item 7 the University President has charged
the Athletic Director with the primary responsibility of ensuring NCAA rules compliance for the University.
The day-to-day operations and activities of the POSSE organization are delegated to a staff of Athletic Department
employees who have reporting lines that run to the Athletic Director. The members of the POSSE staff like other
Athletic Department employees are charged with performing their designated responsibilities within the rules and
regulations adopted by the NCAA and the Big 12 Conference.
The financial operations of the POSSE organization are subject to the restrictions adopted by the University Board of
Regents and the University Foundation. This includes but is not limited to the following checks and balances:

- All transactions are processed by the Athletic Department Business Office. The direct oversight for this
  office is the University Vice President for Administration and Finance.
- All transactions are run through University or Foundation Accounting policies and procedures.
- All transactions must be approved by the Athletic Director or his/her designee.
- All transactions are subject to the University Auditing process.

The University has developed a proactive initiative available through the POSSE organization to improve
communication with the individuals identified as Representatives of the University’s Athletic Interests through their
contributions to this organization. The University develops and distributes educational material through several
communication methods used by the POSSE organization to communicate with their membership of over 8,200
donors. Examples and explanations of these materials are included in Operating Principle 1.2, Self Study Item 11.

COWBOY ATHLETICS
Cowboy Athletics is a registered entity operating and incorporated in the State of Oklahoma. The establishment and
purpose of Cowboy Athletics was subject to approval by the University Board of Regents. The purpose of Cowboy
Athletics is to hold and administer funds for the support of the Department of Intercollegiate Athletics of the
University. The composition of the Board of Directors for Cowboy Athletics includes seven individuals. The list of
these individuals is included as a supplement to this report.
The Athletic Director serves as the President of Cowboy Athletics and is a member of the Board of Directors. In this
capacity, the Athletic Director has direct oversight of all activities of the organization. As discussed earlier the
University President has charged the Athletic Director with the primary responsibility to ensure NCAA rules
compliance. This provides one element of institutional control over the operations of Cowboy Athletics.
A second area of institutional oversight is provided in the financial operations of the organization. The financial
operations for Cowboy Athletics are monitored by the Athletic Business Office under the direction of the Associate
Athletic Director of Business Operations who serves as Secretary/Treasurer of Cowboy Athletics. Although the
financial transactions are not subject to University regulation, the Associate Athletic Director of Business provides an
additional check and balance to the activities of Cowboy Athletics.
The activities of Cowboy Athletics are subject to an annual audit by an outside firm. An annual report is prepared by
the auditing entity and provided to the Board of Directors for Cowboy Athletics. The external audit report provides
one mechanism for the Board to exercise oversight of the activities of Cowboy Athletics. A second more timely
mechanism of oversight is the inclusion of one member of the University Board of Regents on the Board of Directors
for Cowboy Athletics. This individual has the ability to monitor the daily, weekly and monthly activities of the
organization.
Another element of institutional control exists in the inclusion of the University President’s designee on the Board of
Directors. Currently, the Vice President of Administration and Finance serves as the President’s designee to the
Board of Directors. This serves as additional support to the Associate Athletic Director of Business and his
responsibilities to the organization. This individual and the Athletic Director also serve as a communication vehicle of
organization activity for the University President.

11. Provide the composition of the athletics board or committee (including titles and positions).

Athletic Council Membership 2008-2009
Faculty Members
Dr. Brad Morgan, Chair (College of Agricultural Sciences & Natural Resources)
Dr. Bruce Russell (College of Engineering, Architecture & Technology)
Dr. Allen Finchum (College of Arts & Sciences)
Dr. Lionel Dawson (College of Veterinary Health Sciences)
Dr. Thomas Wetzel (Spears School of Business)
Dr. Donna Lindenmeier (College of Education)
12. Describe how the institution’s chancellor or president and his/her designees maintain control with respect to the budget, accounting, purchasing and debt management of the athletics program. In addition, identify key individuals, other than the chancellor or president, with responsibilities in these areas.

**Budget:**
The Athletic Department budget is prepared with dual review by the AD, the President’s designee with respect to athletic oversight and the VP for Administration and Finance to which the Office of Athletic Business Operations reports. The VP for Administration and Finance is the President’s designee for financial oversight of the institution. Following review by both entities, the President is briefed on the athletic budget before it is submitted to the University Budget process where it undergoes the same series of reviews as other divisional budgets including presentation to and approval by the OSU/A&M Board of Regents.

**Accounting and Purchasing:**
The Athletic Department is required to follow all University accounting policies and Board purchasing rules.

Therefore, dollar amounts trigger review and signature requirements by administrators in the VP for Administration and Finance outside the Athletic Department or approval by the President for submission as an agenda item for action by the OSU/A&M Board of Regents. Accounting and purchasing actions are also subject to internal and external audits which are reported to the President and governing board.

**Debt Management:**
Debt service is included in the budget process which includes a review that sufficient funds are budgeted to pay all athletic principle and interest payments as a first claim on revenues received.

Decisions to acquire new debt require a recommendation from the AD backed by pro-forma information from the VP for Administration and Finance to seek Presidential approval for governing board action. Board approval is required to participate in the Oklahoma State Regents for Higher Education’s (OSRHE) Master Real Property Lease Program or solicit legislative authorization to issue bonds. The OSRHE and the State’s Bond Oversight Commission require adherence to their procedures for bond issuance.

Key individuals include:
**Mike Holder**, Athletic Director Responsible for directing Associate AD, Jason Lewis, in the Athletic Department budget and all facets of the budget execution to include accounting, purchasing and debt management.
David Bosserman, Vice President for Administration and Finance
Responsible for oversight of all institutional (including athletics) administration and finance including, but not limited to, budgets and all facets of the budget execution to include accounting, purchasing, and debt management.
The Business Office for the Athletic Department reports to the Associate Controller/Director of Accounting, Steve Whitworth, who reports to the Associate Vice President and Controller, Kathy Elliott, who reports to the VP for Administration and Finance.

Kathy Elliott, Associate Vice President & Controller
Responsible for reviewing and approving transaction requests as presented by Associate Athletic Director, as reviewed/approved by AD, as reviewed/approved by Associate Controller.

Joe Weaver, Associate Vice President for Administration and Finance, Budget Director
Responsible for coordinating all budget submissions and reports and for submitting the Athletic Department’s final budget to the Board of Regents as part of the budget for entire the University and the University System.

Steve Whitworth, Associate Controller and Director of Accounting
Responsible for reviewing and approving transaction requests as presented by Associate Athletic Director, as reviewed/approved by AD Holder.

Jason Lewis, Associate Athletic Director for Business Operations
Responsible for the day-to-day operations of the Athletic Department Business Office, including all budget submissions, budget reports, pro-forma accounting reports, and transactions originating from the department to be paid using University or Foundation funds. Coordinates with the AD to develop the Department's operating budget and submits it thru the same process used by all University departments for review and final approval by the Board of Regents.

13. Describe how the institution’s chancellor or president and his/her designated authority review the budget of the athletics program to at least the same extent that they do for other on-campus programs and departments. In addition, identify the authority (e.g., president’s cabinet, finance committee) designated with this responsibility.

The Athletic Department budget receives greater scrutiny than other auxiliary enterprises on campus in several ways:

The financial staff of the Athletic Department is a direct report to the University VP for Administration and Finance in addition to reporting lines within the athletic department. (as described in Questions 11 and 12 above.) Therefore the athletic budget is subject to review and oversight outside the Athletic Department in the developmental stages. Other large auxiliary enterprises on campus such as Residential Life develop budgets that are reviewed and approved only by the VP of that division before submission to the university-wide budget process.
The Faculty Council which serves in an advisory capacity to the President has a particular interest in the Athletic Department budget and charges the Budget Committee of the Faculty Council to monitor and report its status. The Faculty Council officers have regular meetings with the President to discuss concerns.
The athletic budget represents the largest auxiliary enterprise on campus and as such, many of its expenditures are at the level requiring approval by the Board of Regents which also involves scrutiny by the VP for Administration and Finance and the President to be included on a board agenda.

The process for development, approval and implementation of the athletic department budget involves scrutiny by the President or his designees in each phase:

Budget Development
As is the case in every campus unit, the athletic department budget is drafted by the department’s financial staff – in this case, the Associate AD for Business Operations-- based on past trends and new projects and
including capital and equipment plans. The Associate AD for Business Operations reviews the initial draft with the AD, the President’s designee for insuring compliance and fiscal integrity on athletic issues. Revisions are made if needed.

**External Review**

Next, the updated draft athletic budget goes to the Associate Controller, Associate VP and Controller, and the VP for Administration and Finance for review and possible revision. The President is briefed by the VP following that review and the modified athletic budget is submitted to the Budget Office for inclusion in the General University's and University System's budget for presentation to the Board of Regents.

**Board Approval**

A detailed budget presentation is delivered to the Fiscal Affairs Committee of the Board of Regents at a session attended by the President (and often the entire membership of the Board of Regents). Specific questions by Board of Regents members are addressed regarding any division budget including athletics. The recommendation of the committee is reported at the Board of Regents meeting and, again, any specific questions by board members are addressed before approval by the Board of Regents.

**Implementation**

Once the Board of Regents approves the budget, the budget is executed by the Athletic Business Office with oversight by the AD and VP of Administration and Finance plus additional levels of scrutiny as required by University and Board of Regents policy as discussed in Section 1.1 Questions 6 and 8.

14. Describe the process by which the institution’s chancellor or president and his/her designee(s) conduct an administrative review of the NCAA comparative data (i.e., dashboard indicators) on an annual basis. In addition, specify the individual(s), other than the chancellor or president, involved in this administrative review.

The data required by the NCAA for inclusion in the dashboard indicators are prepared by the Associate AD for Business Operations in conjunction with the Associate AD for Compliance and the Office of Institutional Research. The draft data are reviewed by the Associate Controller, Associate Vice President and Controller and the VP for Administration and Finance. The report is then reviewed by the President for the President’s required signature before submission to the NCAA.

The dashboard indicators, once published by the NCAA, are reviewed for the AD by the Associate AD for Business Operations. The indicators are reviewed by the President and AD as part of the AD’s annual performance evaluation and prior to the President’s annual presentation to the Athletic Department and written report to the governing board.

The dashboard indicator tool was released to institutions during the summer of 2008. Because the tool is new, the institution’s Administration and Finance office is working closely with the Associate AD for Business Operations to determine the manner of usage for the tool. It should be noted that OSU’s Associate Controller worked on the NCAA/NACUBO Joint Task Force. The primary goal was to develop a more consistent means of accounting and reporting athletics' financial information in regard to the NCAA Agreed Upon Procedures report. The comparative data included in the dashboard indicators are derived from the information contained in this annual report. The Associate for Business Operations develops the information included in the NCAA Agreed upon Procedures report, which is reviewed by the Associate Controller, Associate Vice President and Controller, VP for Administration and Finance, the University’s external auditors during the annual audit process, and ultimately by the University’s Board of Regents.

15. If the institution has developed a plan for improvement(s) for Operating Principle 1.1, describe the institution’s efforts to ensure the plan for improvement was developed through a process involving broad-based participation and has received formal institutional approval.

There are no plans for improvement for Operating Principle 1.1.