Checklist of Office Operations for New Employees

Welcome to the athletic department! You will spend a good portion of your first day filling out insurance and benefits forms, reviewing the athletic department operations handbook and the policy and procedure manual, being introduced to staff, and receiving lessons on operating office equipment and the phone system. The purpose of this checklist is to make sure that you have the necessary background to begin working and feel comfortable getting started. You will be reviewing your progress on this checklist with your supervisor once a week during your first month of employment and will be turning it in at the end of that period. Each item should be initialed as you complete it. All items must be completed in your first month of employment.

Name: _____   **Social Security #:** _____
Title: _____   **Hire date:** _____
Address: _____
City: _____   **State:** _____   **Zip:** _____
Home phone: _____   **Cell phone:** _____

AD's Administrative Assistant to Complete Prior to Meeting With New Employee
____ Confirmation that phone and voice mail have been set up
____ Confirmation that snail mailbox has been set up
____ Confirmation that an e-mail announcing the new employee has been sent to all staff and interns
____ Confirmation that new athletic department directory has been issued with the new employee included
____ Confirmation that an e-mail address and user name and password have been created

1.0   Meet With the AD's Administrative Assistant, First Day of Employment
____ 1.1 Building and facility tour and introduction to all staff and interns
____ 1.2 Explanation of insurance and other benefits
____ 1.3 Receive athletic department handbook and athletic department directory
____ 1.4 Complete your employee agreement (return to administrative assistant to put in personnel file)
____ 1.5 Review organizational staff chart
____ 1.6 Review an explanation of vacation, sick, and personal days
____ 1.7 Review department dress rules
____ 1.8 Review the conflict resolution policy
____ 1.9 Introduction to personal work area
____ 1.10 Discuss learning opportunities offered to all employees
____ 1.11 Fill out required paperwork
       ____ I-9 form
       ____ W-4 form
       ____ Pension form
       ____ TDA form (optional)
       ____ Holiday schedule
       ____ Health insurance forms
       ____ Direct deposit form
____ 1.12 Call receptionist or office manager to schedule time for 2.0 meeting
____ 1.13 Call IT specialist to schedule time for 3.0 meeting
____ 1.14 Call business manager to schedule time for 5.0 meeting

2.0 Meet With the Receptionist or Office Manager, First Day of Employment
       2.1 Get an explanation of building policies
              ____ Safety issues
              ____ Locking doors
              ____ Parking
              ____ Kitchen duty

    ___ Office cleanup
2.2 Get office machines lessons
    ___ Fax machine
    ___ Copiers
    ___ Postage machine
    ___ UPS machine
    ___ Overnight mail
2.3 Other
    ___ Learn where supplies are and how to order if needed
    ___ Get keys to building
2.4 Get a phone system lesson including
    ___ Phone etiquette
    ___ Transferring calls
    ___ Paging policies
    ___ Voice mail
2.5 Mail
    ___ Review mail procedures
    ___ Get a mailbox

3.0 See the Information Technology Specialist for General Computer Orientation, First Day of Employment
___ 3.1 Introduction to Outlook and getting an e-mail address
___ 3.2 Creating a password; signing on
___ 3.3 What attachments look like and when not to open them
___ 3.4 How the computer files are organized
___ 3.5 Introduction to database; create personal record (including personal bio)

4.0 Meet With Your Supervisor, First Week of Employment
___ 4.1 Discuss department assignments and receive timeline of projects
___ 4.2 Review your position description and annual performance evaluation form
___ 4.3 Explanation of how we work with other department areas
___ 4.4 Review budgetary responsibilities and chart of accounts
___ 4.5 Explanation of schedule of staff and department meetings
___ 4.6 Read the "playbook" for your position and review questions
___ 4.7 Receive policy and procedure manual, review applicable sections, and ask questions

5.0 See the Business or Accounting Manager, First Week of Employment
___ 5.1 Explanation of pay procedures (first check, prorated)
___ 5.2 Review financial and office forms
    ___ Request for payment (blue)
    ___ Request for invoice (pink)
    ___ Employee reimbursement (yellow or petty cash)

6.0 See the Sports Information Director, First Month of Employment
___ 6.1 Review of teams and seasons
___ 6.2 Tour website
___ 6.3 Review ticket policies and commonly asked questions

7.0 See the Associate Director for Compliance, End of First Month of Employment
___ 7.1 Receive and review rules manual employee is responsible for knowing
___ 7.2 Complete NCAA rules test if required for position

8.0 See the AD's Administrative Assistant, End of First Month of Employment
___ 8.1 Turn in your completed checklist to the AD's administrative assistant (with a copy to your supervisor)
___ 8.2 Discuss outstanding questions or concerns related to training and orientation for position

TO BE SIGNED ON RECEIPT OF ORIENTATION CHECKLIST

I acknowledge that I have reviewed my orientation requirements and understand that I must schedule and complete all meetings required to complete the orientation and training tasks described above.

Employee's signature   **Date**

Signature of AD's administrative assistant   **Date**

UPON COMPLETION OF ORIENTATION CHECKLIST

I have completed my orientation requirements. Following are my suggestions to improve orientation:

Employee's signature   **Date**

Employee supervisor's signature   **Date**

Signature of HR manager   **Date**

Standards of Professional Coaching Conduct

Note: The nature of this subject reflects a philosophical position about the proper conduct of educational sport that could be different from other equally viable perspectives. Thus, changes in this policy may be required to conform to other perspectives. But care should be taken about changes in policy expectations related to student-athletes' health and safety. Do not use this sample policy without customizing for your institution and, if necessary, having the document reviewed by institutional legal counsel or higher administration to ensure consistency with local, state, and federal laws and institutional policy.

1.0 **Supervisory Responsibilities of the Athletic Director.** The athletic director or designee shall be responsible for administering the following policies and procedures that specify standards of professional coaching behavior.

    1.1 **Coaches Code of Conduct.** All coaches shall be required to sign a Coaches Code of Conduct Agreement (see 7.4) each year, attesting to their receipt and understanding of this policy and understanding that violations of this policy may result in sanction or termination of employment.

    1.2 **Obligation to Report Observed Violations.** These policies shall be annually reviewed at a meeting attended by all coaches, trainers, strength and conditioning staff, event managers, facility supervisors, and other administrators responsible for the supervision of coaches. Employees shall be informed of their obligation to report any situation that endangers the health and safety of student-athletes.

    1.3 **Team Meetings.** An athletic administrator assigned to supervise a sport program shall attend a meeting with the coaches and student-athlete members of each sport team to review important departmental policies applicable to coaches and student-athletes, which shall include a discussion of these policy issues.

        1.3.1 **Captains' Council.** The athletic director shall ensure that the athletic department administrator assigned as advisor to the captains' council [*or other name of student-athlete advisory group*] annually reviews the proper role of team captains, the ways in which team captains can contribute to a positive team atmosphere, and the proper procedure for dealing with complaints related to coach behavior.

    1.4 **Meeting of Contest Site Supervisors.** The athletic director shall annually conduct a meeting of all athletic event site supervisors and security personnel to discuss this policy as it applies to fan behavior and coach conduct. Such personnel shall discuss the types of situations that should be reported to the athletic director.

    1.5 **Supervision of Coaches and Instructors.** The athletic director or his or her designee shall have evaluation procedures in place that include the regular observation of practices and competitions of each coach to evaluate instructional performance.

        1.5.1 **Complaints.** The athletic director shall be responsible for establishing a fair process for handling student-athlete or parent complaints related to the instructional ability or behavior of a coach that is consistent with standard procedures for handling employee conflicts or performance issues but also includes

- the opportunity for a student-athlete to report cases of abuse (whether verbal, physical, or otherwise) to a neutral third party outside the athletic department;
- procedures that protect the privacy of the athletes and coaches and limitations on confidentiality;
- procedures for determining whether abuse has occurred that protect the legal rights of coaches and players until an investigation has been completed;
- an internal institutional appeals procedure in the event that the accused or the alleged victim is dissatisfied with the outcome of the investigation or hearing;
- a requirement to inform those involved about their opportunity for redress in a court of law;
- procedures that protect coaches and athletes from retaliation before, during, and after a hearing or appeals process; view retaliatory behavior as seriously as abuse itself; and acknowledge that retaliation can occur independently of whether a charge of abuse is substantiated;
- a requirement for immediate action to ensure that the environment is free of abuse and that an investigation proceeds in a timely manner; and
- investigatory guidelines to ensure that institutional investigators follow proper procedures for an immediate, fair, and unbiased investigation.

       1.5.2   **Annual Performance Appraisal.** The coach's annual performance appraisal shall include an assessment of each of the areas covered by this policy: safety, professional development, instructional ability, program success, student-athlete performance improvement, practice learning atmosphere, professional relationships and conduct, and interaction with other constituents.

       1.5.3   **Student-Athlete Coach Evaluations.** Student-athlete annual evaluations of coaches are required. The athletic director or his or her designee shall administer such evaluations without coaches being present.

2.0   **Instructional Safety.** The institution shall employ coaches who have the necessary credentials and experience to teach the skills and strategies included in their sport safely and efficiently and establish practice environments that minimize the potential for physical harm. Coaches are responsible for conforming to the highest levels of student-athlete care.

    2.1   **Safety Alerts.** Coaches are required to stay up-to-date on all safety alerts that are publicly announced by equipment manufacturers, sport governing bodies, or any other organization associated with their respective sports. Safety alerts must be brought to the attention of the athletic director.

    2.2   **Physical Abuse.** Physical abuse of student-athletes is expressly prohibited. Coaches should be aware that physical abuse can take many forms. Some of the more common forms of physical abuse by coaches include (1) touching an athlete in a noninstructional, nonconsoling, or noncongratulatory way; (2) requiring or suggesting that an athlete perform a physical act that has no relevance to the sport and is intended to cause embarrassment, be degrading, or serve as punishment; (3) requiring or suggesting that an athlete continue to perform a physical act, whether it is relevant to the sport or not, that compromises established conditioning and safety guidelines; (4) failing to stop an activity in which an athlete is clearly being subjected to physical harm.

    2.3   **Adherence to Emergency Medical Plan**. Each coach is responsible for adhering to the athletic department emergency medical plan whenever dealing with serious injuries occurring in athletic facilities.

    2.4   **Collaboration With Support Staff.** All coaches will collaborate with the strength coach and the athletic trainer to create practice workouts that are efficient and adhere to sound principles related to safety, hygiene, conditioning, hydration, and environmental conditions such as weather and facility anomalies. In any case in which the strength coach or the athletic trainer disagrees with a coach on an issue related to health or safety, the coach must defer to the expertise of the strength coach or the athletic trainer or engage the athletic director in a meeting with this group to determine the appropriate course of action.

    2.5   **Acceptable Physical Activities.** Coaches may require that athletes take part in instructional, competitive, or conditioning physical activities during practices or contests that are relevant to the sport and, through collaboration with the strength coach and the athletic trainer, meet conditioning and safety guidelines. Such activities should be based on the coach's training, educational background, and experience. Any new techniques for which training or certification does not exist must be prefaced by reasonable external consultation or review by experts and must not impose danger, risk, or harm to participants that would normally not be encountered by participation in that sport.

    2.6   **Excessive Physical Activities.** Coaches may not require or suggest that athletes continue to take part in physical activities beyond reasonable limits that could compromise student-athletes' health or conditioning and safety guidelines.

    2.7   **Responsibility to Act.** Whenever a coach observes a situation in which an athlete is mismatched physically with an opposing athlete and is in danger of being harmed or the athlete is clearly unable to perform a physical activity safely or effectively, the coach must immediately discontinue the activity for that athlete.

    2.8   **Responding to Athlete Questions.** Coaches are expected to be responsive to respectful athlete questions regarding the purpose and intended effect of training and instructional activities. Student-athletes should be fully educated about the nature of their sport education experience.

3.0   **Professional Development.** All coaches shall continue to advance their knowledge related to teaching excellence and safety considerations by attending at least one coaches' workshop, clinic, or other professional development experience per year at his or her expense or using institutional professional development funds as a condition of employment.

4.0   **Physical Bodily Contact With Athletes.** Coaches may not have any physical bodily contact with athletes outside the practice or contest environment. Within the practice or contest environment, coaches may not have any physical bodily contact with athletes except (1) when correcting physical form for skill or strategy execution, (2) when comforting or consoling an athlete who is visibly upset or injured, and (3) when congratulating an athlete for a good performance.

5.0 **Emotional Verbal Abuse.** Coaches and athletes engage in verbal interactions constantly. The coach must use such interactions for instructional and motivational purposes. Emotional verbal abuse of student-athletes is expressly prohibited. Emotional abuse of athletes by coaches can take many forms (1) excessively, in comparison with treatment of other athletes, singling out an athlete through negative interactions; (2) routinely using profanity or degrading language; (3) personalizing error correction; (4) devaluing a player's role on the team, potential for success, or value as a person; (5) constantly blaming the team or groups of players for failures; and (6) isolating a player by ignoring him or her. Coaches must make every effort to avoid such conduct. Coaches should immediately stop any bullying or emotional verbal abuse undertaken by any student-athletes while in the coach's presence. Coaches should refrain from and not allow their student-athletes to engage in verbal discourse that denigrates others.

6.0 **Proper Error Correction.** Coaches are expected to correct inefficient performance of skills and strategies by athletes. Error correction should always be targeted at the actual physical performance or effectiveness of the decisions made. Coaches shall not use error correction in ways that target personal attributes or characteristics of the athletes such as alleging that the athlete is being weak or lazy. Error correction must be free from profanity or personally degrading language.

7.0 **Equal Treatment.** Coaches are expected to treat all players equally. Coaches are prohibited from singling out a player through excessive negative interactions or from ignoring individual players for any reason. Coaches should encourage participation and must never devalue any player's role on the team, potential for success, or personal worth. Coaches are prohibited from discriminating against any student-athlete or group of student-athletes based on race, religion, age, disability, gender, or sexual orientation.

8.0 **Team Success and Failure.** Coaches need to recognize that the successes and failures of teams are a result of skill, collaborative effort, and effective training by coaches. Coaches are prohibited from placing the blame for failures on any one player or group of players. Coaches should never deflect the responsibility for failure completely away from the coaching staff. Analysis of success and failure should be confined to critiques of skill execution, strategy, consistency of effort, and other objective elements of performance.

9.0 **Coach–Athlete Relationships.** Coach–athlete relationships can be extremely powerful. Coaches and athletes spend an inordinate amount of time together in an activity that can be intense and emotional. There is always the danger that the relationship between a coach and an athlete may cross the line from mentor–mentee to one based on total control, dependence, or romance. Coaches are fully responsible for maintaining an appropriate professional teacher–student relationship with every student-athlete, even if the student-athlete is an adult who can legally consent to entering into a dating, romantic, or sexual relationship with the coach. The coach must maintain an unbiased position, demonstrating no appearance or actuality of favoritism toward any one or several student-athletes.

    9.1 **Control and Dependence.** The nature of participating on a sport team demands a certain amount of team dependence and discipline. Coaches are responsible for establishing a team environment and ethos that maximizes cooperative effort and performance without compromising basic individual rights. At times, athletes should be free to ask questions and discuss issues, and the coach should respond with explanations. A coach's system of discipline should always be reasonable and professional. Care must be taken to avoid creating an atmosphere based on fear, intimidation, and total compliance. Such systems of control are antithetical to the learning environment. Team environments should be a balance between positive, nurturing, and supportive and highly organized, disciplined, and efficient.

    9.2 **Romantic, Dating, or Sexual Relationships.** A coach may never enter into any romantic, dating, or sexual relationship with a student-athlete while that student-athlete is attending that institution, while that student-athlete has any athletic eligibility remaining, and for two years after the coach ceases coaching that athlete in any program within or outside the institution, even if the student-athlete is not currently engaged in participating in that athletic event. The two-year prohibition is based on the belief that public confidence in the athletic program will be undermined by the appearance or actuality of intimate relationships with former athletes. A coach who engages in such activity even following this two-year period still bears the burden of demonstrating that he or she has not exploited the coach–athlete relationship if faced with allegations of impropriety. This prohibition and obligation to demonstrate no exploitation is consistent with the United States Olympic Committee Coaching Ethics Code.

    9.3 **Social Prohibitions and Sexual Abuse.** Coaches are teachers first and have a significant responsibility to maintain a mentor–mentee relationship with student-athletes. Therefore, coaches are prohibited from (1) engaging in a dependent friendship with any student-athlete; (2) spending social time with an individual student-athlete or a group of student-athletes outside the team environment; (3) having a romantic, dating, or sexual relationship with a student-athlete; (4) engaging in any unwelcomed quid pro quo sexual activities with any student-athlete or potential student-athlete, including requiring that student-athletes or potential student-athletes engage in sexual activities with their coaches to receive an athletic

scholarship, playing time, participation on the team at a specific position (such as basketball guard or softball pitcher), or a place on the team; and (5) creating a hostile environment by engaging in sexual harassment activities.

10.0   Peer Pressure. Captains and team leaders are often given the responsibility to set the bar for other student-athletes by demonstrating intensity in practice and games, positive energy, and an unwavering level of commitment to team principles. The positive purpose of such captain leadership is to create an athlete-driven system of motivation and support that becomes contagious throughout the team. At times, however, delegation of high levels of control to captains can create unreasonable peer pressure that could become a conduit of abuse characterized by student-athlete control through intimidation of teammates. Coaches are responsible for educating captains and other student-athlete leaders about their appropriate roles and monitoring the level of peer pressure that is being imposed. Coaches are prohibited from encouraging or allowing team leaders to require activities outside practice or from levying sanctions or punishments in any way.

11.0   Social Isolation. When compared with many other student activities, participating on a sport team requires an inordinate time commitment. Daily practices, contests, and the time spent traveling to and from contest sites can often prohibit student-athletes from taking part in other social activities with peers and family. When these regular time commitments are added to the common practice of extending sport seasons through championship play, student-athletes playing together on nonschool teams, and the encouragement of year-around training programs, the result may be an environment of social isolation in which most of a student-athlete's interactions are with teammates and coaches. Despite the fact that student-athletes elect to participate in sport, coaches should not exacerbate this potential for social isolation. Therefore, coaches are prohibited from (1) requiring or suggesting that athletes spend even more time outside of team activities practicing skills, watching film, lifting weights, and so on; (2) requiring or suggesting that student-athletes eat together, live together, or socialize outside of team-planned activities other than the use of athletic residence halls; and (3) stating or suggesting that an athlete's status on the team or playing time is in jeopardy if the athlete participates in a nonsport activity or different sport activity or if the athlete does not participate in the off-season.

12.0   Interactions With Other Constituents. Coaches interact with many constituents such as faculty members, parents, booster groups, fans, alumni, contest officials, and the media. At times these interactions may be contentious. Coaches are expected to maintain a teaching presence and a professional demeanor at all times. Any situation that cannot be comfortably handled by the coach or that may have department-wide ramifications (fan behavior, inappropriate parental interference, and so on) should be brought to the attention of the athletic director. If a situation occurs at the site of a contest, the site supervisor or public safety officer should be engaged for assistance.

Coaches Code of Conduct Agreement

Administer the following code of conduct agreement to all head and assistant coaches (including volunteers) at the beginning of every school year. A coach who fails to participate in a professional development experience each year must remedy the deficiency within the first three months of the following year. Failure to sign the code of conduct agreement may result in termination of coaching employment. This is a sample agreement only. Do not use it verbatim. Seek review of institutional legal counsel for review of final instrument.

Coach name: _____Title or sport: _____ Date: _____

As a condition of employment, the athletic department requires all coaches to attend at least one coaching workshop, clinic, or other professional development experience each year to enhance their knowledge of skills, strategies, or teaching techniques relevant to their sport. Identify the coaching programs that you attended in the past 12 months including title, place, and date (not applicable to a new employee):

_____
_____
_____
_____

By signing this form, you are attesting that

- you have read the athletic department policy regarding standards of professional coaching behavior in the [*name of institution*] athletic department policy manual;
- you have asked for and received clarification about any policies that you did not understand;
- you agree to comply with these policies;
- you understand that failure to comply with any of these policies may result in sanctions or in termination of employment as a coach;
- you understand that these policies are in addition to other [*name of institution*] employment policies;
- you understand that these policies cannot address every possible situation that presents itself and they do not eliminate the expectation of good judgment and professional behavior at all times; and
- you understand that you are required to report any violation of these policies to the athletic director whether committed by yourself or by any other member of the athletic department staff.

_____   _____
Signature of coach   Date

Job Description: Head Coach

Title: Head coach

Reports to: Athletic director [*or designated associate or assistant director*]

Position purpose: Conduct of the [*name of sport*] program that, as a demonstration of quality and success, (1) consistently places in the top __ percent of its conference, qualifies for conference championship play, and ranks among the top __ nationally; (2) maintains an exemplary student-athlete academic success rate (95 percent graduation rate, less than 5 percent academic failure rate, 75 percent retention rate, 985 academic progress rate, average GPA 3.0 or better); and (3) demonstrates positive personal development of student-athletes whose behavior and speaking skills reflect the expected competencies of a college-educated public figure [*Insert key performance indicator measures appropriate to the institution in each of these three areas.*]

Directly supervises: Assistant coach [e*s?*], graduate assistant [*s?*], [*others?*]

Primary Responsibilities:
1. Design and implement a training program that advances individual and team performance skills, to support the achievement of the program's purpose
2. Advance each student-athlete's level of knowledge with regard to sport nutrition, biomechanics, exercise science, and sport psychology as it relates to improvement of sport performance
3. Design a competitive schedule that maximizes athlete development and performance
4. Recruit high-quality athletes capable of performing at desired levels
5. Recruit athletes capable of completing the baccalaureate degree and performing academically at levels reflecting program objectives
6. Conform to the highest standards of professional conduct regarding compliance with department and institutional policies and procedures and adherence to the rules and regulations of athletic governance organizations of which the institution is a member
7. Demonstrate master teaching competencies with regard to (*a*) sport skill instruction, (*b*) motivation, and (*c*) coaching skills during competitive events
8. Relate well to officials, high school coaches, parents, the media, alumni, donors, and the public
9. Provide strong leadership in the personal development of student-athletes as demonstrated by high standards of behavior and good public speaking skills of all team members
10. Demonstrate a high level of involvement in the personal and academic development of student-athletes through the support of the department's academic and personal development programs serving those student-athletes
11. Manage a cost-effective and administratively efficient sport program
12. Exhibit good writing and speaking abilities
13. Train and supervise assistant coaches toward the end of developing head coach capabilities and supporting all program objectives
14. Adhere to department policy regarding coaches code of ethics
15. Complete other duties as assigned by the athletic director
16. Contribute to the maintenance of good working relationships with all staff, student-athletes, and external constituents through (*a*) a positive and constructive approach to all tasks, (*b*) respect for the competencies of others, and (*c*) appropriate conflict resolution behavior

Education and Certification Requirements:
Required: Master's degree in physical education or related area; coaching certification from recognized sport governing body
Preferred: Highest level of international sport federation coaching certification

Experience and Competency Requirements:
Required:
- Five years of coaching experience
- Demonstrated ability to develop nationally or internationally competitive athletes
- Demonstrated academic success of previously coached student-athletes
- Exemplary ethical conduct and conformance to NCAA rules and regulations

Preferred:
- Playing or coaching experience at the amateur national championship level
- Ten years of coaching experience at a high competitive level
- Leadership of a Division I program demonstrating sport success, student-athlete academic success, and behavioral conduct commensurate with the stated purpose of the program

Job Description: Associate Athletic Director for Compliance

Title: Associate athletic director for compliance

Reports to: Athletic director [*or other position title*]

Position purpose: Design and implement an ongoing NCAA rules education program for staff and student-athletes, monitor and produce reports on student-athlete eligibility and receipt of financial aid, respond to questions related to the interpretation of NCAA and conference rules, and conduct investigations at the request of the athletic director

Directly supervises: Administrative secretary

Primary Responsibilities:
1. Conduct ongoing NCAA rules education programs for staff and student-athletes
2. Respond to all requests for interpretations of NCAA rules and university and athletic department policies, and maintain compilations of all such interpretations
3. Maintain all records related to student-athlete eligibility and coach rules education
4. Produce all required NCAA, conference, and institutional reports related to athletic eligibility
5. Inform staff of NCAA and conference legislative changes
6. Monitor pending NCAA and conference legislative proposals, analyze their effects on the athletic program, and recommend the voting position of the institution
7. Conduct investigations and prepare reports related to NCAA or conference allegations of rules violations
8. Prepare and submit annual Equity in Athletics Disclosure Act data report
9. Monitor Title IX compliance and produce an annual Title IX compliance report
10. Serve on campus committees related to compliance or institutional policy and procedures
11. Complete reports, special projects, and other duties at the request of the athletic director
12. Conform to the highest standards of professional conduct regarding compliance with department and institutional policies and procedures and adherence to the rules and regulations of athletic governance organizations of which the institution is a member
13. Contribute to the maintenance of good working relationships with all staff, student-athletes, and external constituents through (*a*) a positive and constructive approach to all tasks, (*b*) respect for the competencies of others, and (*c*) appropriate conflict resolution behavior

Education and Certification Requirements:
Required: Bachelor's degree in sport management or related field
Preferred: Master's degree in sport management, business administration, law, or related field

Experience and Competency Requirements:
Required: Three years in a Division I senior staff position in compliance; knowledge of NCAA rules and regulations
Preferred: Five to 10 years as a Division I assistant or associate director of compliance; service on NCAA committees related to compliance

Annual Performance Review

Name of employee: _____
Title: _____
Supervisor conducting the evaluation: _____
Appraisal period from: _____ **to:** _____

Rating Scale to Be Used for Part I and II

5	**Excellent**	Achievement is 90 to 100% of defined objective or expectation.
4	**Good**	Achievement is 80 to 89% of defined objective or expectation.
3	**Satisfactory**	Achievement is 70 to 79% of defined objective or expectation.
2	**Unsatisfactory**	Achievement is 60 to 69% of defined objective or expectation.
1	**Poor**	Achievement is less than 60% of defined objective or expectation.

I. ACHIEVEMENT OF ASSIGNED MEASURABLE OBJECTIVES (per department strategic plan)

Assigned Objectives List and evaluate employee's achievement of measurable objectives directly related to the department's strategic plan for which the employee was directly responsible. 1. 2. 3. 4. 5. 6.	**Results Achieved and Comments**	**Rating**

II. PERFORMANCE OF PRIMARY JOB RESPONSIBILITIES

Job Responsibilities List and evaluate employee's performance on each primary responsibility as listed on the employee's official department job description.	Results Achieved and Comments	Rating
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		
11.		
12.		
13.		
14.		

III. GENERAL PERFORMANCE QUALITIES—Place an X in the box that best describes this employee's demonstrated abilities.

1. Knowledge and Skill: Understanding and knowledge of policies, procedures, and facts relevant to job. Demonstration of technical expertise and skill required (e.g., typing skills, number skills) required for job.

5	4	3	2	1
☐	☐	☐	☐	☐
Far exceeds knowledge required for job and is always thoroughly informed. Demonstrates excellent technical skills. Expertise is widely acknowledged and sought after. Instructs peers in areas of expertise.	Exceeds required knowledge in many instances. Demonstrates skill that is often above what is expected in job.	Has a fully satisfactory understanding of the job and the knowledge needed. Fully demonstrates skill required.	Full knowledge of job duties and procedures. Requires some improvement in skill. Regularly requires assistance and instruction. (possibly new to job and in learning stage).	Lacks knowledge of job. Does not meet skill requirements.

Additional comments:

2. Problem Solving and Decision Making: Ability to resolve work problems and make appropriate decisions. Application of experience to new situations.

5	4	3	2	1
☐	☐	☐	☐	☐
Exceptional ability to anticipate and solve problems. Often helps others in resolving problems. Makes innovative, highly effective decisions.	Often anticipates problems and is able to resolve them independently. Makes highly effective, often innovative decisions or suggestions.	Successfully identifies and resolves problems independently. Decisions are based on a thorough analysis of the problem. Makes good, effective decisions.	Usually able to resolve problems. Needs some assistance in analyzing situations to make effective decisions.	Unable to resolve problems. Makes ineffective decisions.

Additional comments:

3. Communication: Degree to which employee communicates all matters of importance. Skill in transmitting and receiving information orally and in writing with individuals or groups.

5	4	3	2	1
☐	☐	☐	☐	☐
Exceptional skill in communicating with others. Far exceeds requirements of job in every aspect of communication. Always communicates appropriate information in a timely manner to the right people. Always checks for comprehension.	Exceeds communication requirements of job in many instances. Presents thoughts that are well prepared, precise, and thorough in both oral and written form.	Shares information and knowledge appropriately. Is fully effective in communicating with others and meeting communication requirements. Seeks additional information or explanation for clarification.	Usually shares appropriate information and knowledge. Requires some improvement in ability to give and receive information effectively.	Ineffective in communicating with others. Does not meet communication requirements of job. Does not share information in a timely way or to appropriate people.

Additional comments:

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4. Internal Relations: Degree to which employee works effectively and cooperatively with other employees, divisions, and departments in achieving organizational goals. Degree of responsiveness to organizational needs. Demonstration of teamwork in the facilitation of work flow.

5	4	3	2	1
☐	☐	☐	☐	☐
Shows exceptional cooperation in working with others. Takes initiative in responding to organization needs and providing teamwork.	Often takes initiative in responding to organization needs and offering cooperation. Shows high level of teamwork. Anticipates and controls obstacles.	Cooperates fully with others and is responsive to organization needs. Provides appropriate teamwork.	Needs some improvement in cooperation and responsiveness. Takes little initiative in providing teamwork. Is late in responding to requests.	Shows little cooperation or teamwork. Not responsive to organization needs.

Additional comments:

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5. Customer Relations: Degree to which employee represents the department with courtesy, tact, and efficiency in dealing with student-athletes, institutional faculty and staff, alumni, consumers, and stakeholders. Effectively communicates department's purposes and services.

5	4	3	2	1
☐	☐	☐	☐	☐
Exceptional tact, courtesy, and efficiency. Skill in communicating with customers and stakeholders. Is widely acknowledged and admired.	Often shows exceptional tact and courtesy. Is excellent in representing the department to customers and stakeholders.	Fully represents the department's services and shows appropriate courtesy and efficiency.	Needs some improvement in representing the department with customers and stakeholders. Requires assistance to communicate effectively.	Lacks courtesy and tact and fails to provide effective counsel to customers and stakeholders about department programs and services.

Additional comments:

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6. Leadership: Ability to guide others to the successful accomplishment of a task and to counsel, train, and develop others.

5	4	3	2	1
☐	☐	☐	☐	☐
Skill in delegating and guiding	Often obtains exceptional results	Fully effective in delegating work	Inconsistent results obtained	Ineffective in overseeing

others is widely acknowledged and sought after. Is exceptional in helping others improve and develop and in establishing a highly motivating climate.	in guiding others and helping them to improve and develop. Able to establish a highly motivating climate.	and overseeing its successful completion. Demonstrates skill in establishing a highly motivating climate and helping others improve and develop.	when delegating work to others. Needs some improvement in helping employees learn and develop and in establishing a spirit of cooperation.	workflow. Does little to assist employees in improving and developing.
Additional comments:				

7. Self-Management: Degree to which employee plans and organizes own work, uses time effectively, and sets appropriate priorities. Amount of supervision required.

5 ☐	4 ☐	3 ☐	2 ☐	1 ☐
Highly skilled in independently planning and organizing work to meet job requirements. Requires little supervision.	Usually able to independently plan and organize work. Makes good use of time. Requires minimal supervision.	Requires minimal assistance in planning and organizing work and setting appropriate priorities. Needs reasonable amount of supervision. Reliable.	Requires assistance in establishing priorities, organizing work, and making best use of time. Needs some improvement.	Unable to organize own work or use time effectively. Requires excessive supervision.
Additional comments:				

8. Quality of Work: Degree of accuracy, neatness, thoroughness, and cost effectiveness in work produced.

5 ☐	4 ☐	3 ☐	2 ☐	1 ☐
Does work of highest level. Work is complete and almost errorless.	Work exceeds division or department standards and has few errors. Shows complete attention to details.	Work fully meets division's or department's quality standards and has a reasonable number of errors.	Work occasionally does not meet standards. Some rework is required. Error rate needs some improvement.	Work does not meet division or department standards. Error rate is unacceptable.
Additional comments:				

9. Productivity: Degree to which employee produces the required amount of work within the required timeframe.

5 ☐	4 ☐	3 ☐	2 ☐	1 ☐
A top producer. Far exceeds required output. Finishes far	Exceeds required output and finishes ahead of deadlines.	Fully meets required output within deadlines.	Usually produces required amount of work. Meets most	Insufficient output. Usually does not meet deadlines.

ahead of deadlines.	Often does more than own share.		deadlines. Some improvement is needed.	
Additional comments:				

10. Attendance and Punctuality: Punctuality with regard to absence or tardiness.

5	**4**	**3**	**2**	**1**
☐	☐	☐	☐	☐
Never late or absent.	Rarely late or absent.	Good attendance and punctuality record.	Has received a written warning within the last 12 months.	Has been placed on formal probation for attendance punctuality within the last 12 months.
Additional comments:				

III. GENERAL PERFORMANCE QUALITIES AND OVERALL RATING

☐ **Excellent (46–50)**	☐ **Good (36–45)**	☐ **Satisfactory (26–35)**	☐ **Unsatisfactory(16–25)**	☐ **Poor (10–15)**

IV. PROFESSIONAL GROWTH AND DEVELOPMENT PLANS

Areas where development is required (to improve present performance or prepare for future assignments; list in priority order)	Actions to be taken by employee (certification, advanced training, and so on)	Timeframe (prioritize the need for action and set up a date by which it will be completed)

V. IMPROVING THE ATHLETIC DEPARTMENT—Employee Recommendations

Suggestions for improving employee performance or efficiency	Suggestions to eliminate wasteful practices	Safety concerns and mitigation of risk

VI. SUCCESSION PLANNING DISCUSSION

Identify current staff capable of being groomed for position:

Identify local or retired people who could do the job on a temporary short-term basis in an emergency:

Recommend top prospects who are capable of stepping in the position if employee leaves (be sure to include females and underrepresented racial, ethnic, or other minorities):

VII.SUPERVISOR ADDITIONAL COMMENTS (Optional)

VIII. EMPLOYEE ADDITIONAL COMMENTS (Optional)

IX. SIGNATURES ACKNOWLEDGING COMPLETION OF ANNUAL ASSESSMENT

Employee: _____ Date: _____

Direct manager: _____ Date: _____

Distribution: one copy to employee, one copy to supervisor file, one copy to athletic director

Evaluation of Supervisor

- To be used by interns, part-time, and full-time employees to evaluate full-time staff members who are their immediate supervisors.
- The purpose of this or any employee evaluation tool is to identify strengths and weaknesses and make suggestions for improvement.
- **Evaluations must be signed and turned into the associate director for business affairs. The identity of evaluators will be kept confidential. Only an aggregated summary will be shared with the supervisor during his or her annual performance evaluation.**
- If a 4 or 5 is used to identify the need for improvement, a specific example of supervisory behavior that causes the grade **must** be included.
- NA = not applicable should be used only if the supervisor has not engaged in such activity (e.g., conflict resolution) and cannot be assessed.
- 1 = superior   2 = very good   3 = good or average   4 = unsatisfactory   5 = very unsatisfactory

DESIRED SUPERVISORY BEHAVIOR if evaluation other comments	EVALUATION (circle one)	Specific example required is 4 or 5, or any
1. Orients new employee to the duties and responsibilities of his or her position.	1 2 3 4 5 NA	
2. Responds to questions or requests for assistance in a positive and helpful manner.	1 2 3 4 5 NA	
3. Clearly explains new assignments.	1 2 3 4 5 NA	
4. Provides deadlines for all new assignments.	1 2 3 4 5 NA	
5. Clearly explains and adjusts priorities when workload creates priority conflicts and prioritization is requested by an employee.	1 2 3 4 5 NA	
6. Creates a clear expectation for and accepts only quality work product.	1 2 3 4 5 NA	
7. Follows department policies and procedures with regard to conflict resolution.	1 2 3 4 5 NA	

DESIRED SUPERVISORY BEHAVIOR if evaluation is 4 or 5	EVALUATION (circle one)	Specific example
8. Actively promotes the professional development of his or her staff members.	1 2 3 4 5 NA	
9. Demonstrates excellent communications skills.	1 2 3 4 5 NA	
10. Treats employees fairly.	1 2 3 4 5 NA	

11. Creates a collaborative team atmosphere by explaining the purpose of and roles of all employees working on a specific project.

1   2   3   4   5   NA

12. Compliments employees on production of good work.

1   2   3   4   5   NA

13. Motivates the employee to exceed expectations in the performance of duties and responsibilities.

1   2   3   4   5   NA

14. Speaks kindly of others and creates a positive work environment.

1   2   3   4   5   NA

15. Your overall assessment of the quality of this supervisor.

1   2   3   4   5   NA

Other specific comments to assist the supervisor in improving his or her performance:

Supervisor being evaluated: _____ Position: _____ Date: _____

Employee: _____ Position: _____ Signature: _____

6.21 Form

Performance Improvement Plan

Name: _____ Position: _____

Date of employment: _____ Years, months employed: _____

Supervisor's name: _____ Position: _____

Review period starts on _____ and ends on _____

Purpose of this performance improvement plan:

__Coaching   __Oral warning   __Written warning
__Corrective action __Documentation of suspension

Section I: To Be Completed by Supervisor
List the staff member's essential functions, job duties, or responsibilities. Then specify what changes need to be made. Collaborate with the staff member to determine goals in achieving those changes.

Essential functions, job duties, and responsibilities:
Job performance requiring improvement (clearly define the problem):
Specify what improvements are needed (clearly identify what needs to be done differently):
Identify steps to achieve this improvement (instruction, skill training, behavior change, and so on):

Section II: To Be Completed by Staff Member

Describe any questions or problems you have with your current job functions. Carefully consider ways that you can work to improve your performance.

Have you encountered any obstacles to completing your job during this evaluation period? If so, list them here.
Do you have questions about the functions expected of you to complete your job? If so, please write them here.
How do you envision working with your supervisor to be successful in the preceding areas?
What additional training would facilitate your success in your current position?
What additional information would you like to include in this performance improvement plan?

After completing a performance improvement plan, sign and date the plan. Give one copy to the staff member, give one copy to the supervisor, and maintain one copy in the staff member's personnel file.

Supervisor signature: _____ **Date:** _____

Staff member signature: _____ **Date:** _____

Section III: Follow-Up
Supervisors and staff members must meet as a follow-up to the performance improvement plans. This meeting should occur within 90 days of the creation of a performance improvement plan. The follow-up may indicate need for an additional review, a modified performance improvement plan, or further corrective action. Alternatively, the follow-up may provide closure for the performance improvement plan.

Date of follow-up:_____

Status: _____Resolved   _____Other (please explain below)

Briefly summarize the content of follow-up meeting:

Follow-Up Review Signatures:

Supervisor signature: _____ **Date:** _____

Staff member signature: _____ **Date:** _____

Corrective Action Record

Date: _____ Supervisor completing this report: _____
Employee or employees involved: _____

Reason for corrective action meeting:
___ Second performance improvement plan in the current year
___ Grievous or excessive deficiencies in job performance
___ Violation of rule, policy, or procedure
___ Unacceptable professional behavior
___ Other: _____

Names and positions of others attending the meeting:
_____
_____

Description of Occurrence
1. Provide a factual description of what happened, including specific dates, description of behaviors, and any circumstances relevant to the occurrence that created the need for a corrective action meeting.

2. Provide the employee's viewpoint if the preceding description is questioned with regard to accuracy (or allow the employee to attach such written description or explanation).

3. Describe the effect that the behavior, performance deficiency, or problem had on the employee's performance.

4. Describe the effect that the behavior, performance deficiency, or problem had on the organization's performance.

5. What specifically needs to be changed or corrected?

6. Is this the first occurrence of the behavior, performance deficiency, or problem? ___Yes   ___No
   If the answer is no, indicate on the following progressive list what previous actions were taken in response:

   ___ Written performance improvement plan
   ___ Informal verbal warning or discussion
   ___ Written warning
   ___ Final written warning
   ___ Suspension with pay
   ___ Suspension without pay

7. Was the employee aware or should the employee have been aware of the rule, policy, unacceptable level of performance, or unacceptable behavior?

        ____Yes   ____No

8. Has this or similar behaviors or concerns ever been noted in past performance appraisals? If yes, describe:

        ____Yes   ____No

9. List previous other corrective actions taken with this employee, briefly indicating when and for what:

10. With regard to the supervisor's response to the occurrence,
    a. could a claim of discrimination possibly could be made?   ___Yes ___No
    b. is the employee in a protected class (involving disabilities, sex,
        pregnancy, race, age, national origin, religion, and so on)?   ___Yes ___No
    c. Could supervisor actions be construed as any form of retaliation?   ___Yes ___No

    If the answer to any of the preceding is yes, explain those concerns:

11. Which of the follow actions is appropriate, consistent, and justifiable in response to this occurrence?

    ___ Written performance improvement plan
    ___ Informal verbal warning or discussion
    ___ Written warning
    ___ Final written warning
    ___ Suspension with pay
    ___ Suspension without pay
    ___ Termination

___ Other: _____

Justification for the preceding recommendation:

12. In the opinion of the supervisor conducting this corrective action meeting, indicate the most probable result of the proposed corrective action:

    ___ Solve the problem permanently
    ___ Prevent a recurrence
    ___ Improve business operations
___ Other: _____

13. If appropriate, describe the timetable for follow-up or monitoring of progress:

14. Indicate the specific consequences—progressive next steps—if the employee fails to improve, checking all that may apply:

___ Written performance improvement plan
___ Informal verbal warning or discussion
___ Written warning
___ Final written warning
___ Suspension with pay
___ Suspension without pay
___ Termination
___ Other: _____

15. Does the employee understand what needs to be done?   ___Yes ___No
    Does he or she understand the reasons behind the actions? ___Yes ___No
    Does the staff member request a meeting with the athletic
    department human resources director to discuss the
    corrective action?   ___Yes ___No

Conflict Resolution

Note: Do not use this sample policy without customizing it for your institution and, if necessary, having the document reviewed by institutional legal counsel or higher administration to ensure consistency with local, state, and federal laws and institutional policy. Institutional and school district human resources rules regarding employment and disciplinary actions vary significantly.

1.0   **General.** Staff members are expected to adhere to the following steps to resolve conflicts or disagreements with individual colleagues.

2.0   **Appropriate Atmosphere.** Staff members should not attempt to solve a problem when either party is emotionally upset (e.g., yelling, standing and talking loudly, not listening, not giving the other person a chance to speak). Logical and rational behavior is almost impossible in the face of such emotion. In this situation, either part may say, "We can't solve this in an emotional atmosphere or when we're not listening to each other. I'll talk to you tomorrow about a time when we can get together alone and discuss this."

3.0   **One-on-One Meeting.** No employee should complain to another employee's supervisor before attempting to resolve the situation one-on-one by talking directly to the person with whom he or she has a difficulty.

4.0   **Timing and Privacy.** An employee who has a problem with a colleague should ask that person to agree to a time to talk in private, away from other employees. This meeting should take place as soon as possible after the occurrence.

5.0   **Demeanor and Conversation Tone.** During the one-on-one meeting, both parties should be sitting and voices should remain at a normal speaking level. There should be no yelling or use of inappropriate language. Both parties should be as committed to listening as to talking. Each party should try to look at the problem from the other person's perspective in addition to the perspective of his or her self-interest.

6.0   **Sharing Perceptions and Possible Solutions.** The following guidelines should be adhered to with regard to beginning a conversation about the conflict:
     a.   The person wishing to express a concern or complaint should be forthright: "This is what I perceive happened . . ." The person should be specific and not talk in generalities.
     b.   The second person should be permitted to verify the accuracy of the description of the problem.
     c.   The person expressing the concern should continue by explaining, "I do not think that what happened is appropriate because . . . (give reasons)." The situation may already be covered by department policy. If the situation is addressed by policy, the policy should be on hand at the meeting for review.
     d.   The second person should be permitted to give his or her view on the validity of the first person's perceptions.
     e.   The person expressing the concern should continue by explaining, "This is how I think this situation should be resolved . . . (present solutions for discussion)."
     f.   The second person should be invited to give his or her view on any additional possibilities regarding solutions.
     g.   The parties should attempt to come to an agreement on how the situation should be resolved.

7.0   **Mediation.** If resolution of the problem was not possible during the one-on-one meeting between the two employees, both employees should go to their respective supervisor(s) and ask that they mediate the resolution of the problem.
     a.   The supervisor (or both supervisors in the case of two employees with different supervisors) should sit down in a private meeting with both employees at the same time.
     b.   Steps 6a through 6f should be repeated by the employees, and both parties should be given an opportunity to explain why no resolution was possible.
     c.   If the matter is clearly covered by department policy, the supervisor should point out that department policy prevails and that both employees must adhere to that policy.

d. If the matter is not covered by department policy, the supervisor or supervisors should suggest additional options for resolution or express a preference for already discussed options, each giving his or her reasons for this preference. Both employees should be given the opportunity to come to an agreement on how the situation should be resolved, given the suggestions of the supervisor or supervisors.

e. If the issue remains unresolved, the supervisor or supervisors may (1) make a decision and inform both employees that they must abide by that decision or (2) take the matter to the athletic department human resources director for resolution.

8.0 **Human Resources Director Resolution Option.** If the employees do not agree with the supervisor's decision or the supervisor is undecided with regard to appropriate resolution, the matter may be taken to the athletic department human resources director for resolution. The human resources director will convene the employees and their supervisor or supervisors. Steps 6a through 6f will be repeated by the human resources director, and both parties should be given an opportunity to explain why no resolution was possible. The decision of the human resources director is final.

9.0 **Conflict Resolution Training.** Annually, the human resources director shall review the conflict resolution policy and conduct a training session as part of a regular staff meeting.

Extended Table of Contents

* The web resource is available online at www.HumanKinetics.com/AthleticDirectorsDeskReference.

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