

ICA Compliance Update

UW Board of Regents
Finance, Audit & Facilities Committee

February 15, 2007

Presentation Overview

- I. NCAA Infractions History & Background
- II. Compliance Actions/Initiatives
 - A. Creation of Compliance Mission Statement
 - B. Recruiting Initiatives
 - C. Gambling Initiatives
 - D. Rules Education Initiatives
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- III. Successes and Challenges

NCAA Infractions History & Background

- July 17, 2003
 - NCAA Infractions Committee cites UW for major violations related to men's basketball recruiting.
 - Penalties included:
 - NCAA probation until Feb. 9, 2005.
 - Public reprimand.
 - Reduction of men's basketball scholarships.
 - Various recruiting restrictions.
 - Comprehensive rules education program.
 - Annual reports to the NCAA.

NCAA Infractions History & Background

- October 20, 2004
 - NCAA Infractions Committee cites UW for major violations related to gambling and recruiting.
 - Penalties included:
 - Extension of NCAA probation until Feb. 9, 2007.
 - Additional public reprimand.
 - Development of gambling education program.
 - Various recruiting restrictions (reduction of official visits in football; no use of watercraft for recruiting).
 - Annual reports to the NCAA.

NCAA Infractions History & Background

- June 2005
 - Annual infractions report submitted to and approved by the NCAA.
- June 2006
 - Annual infraction report submitted to and approved by the NCAA.
- February 9, 2007
 - End of NCAA probation

Compliance Mission Statement

- The University of Washington and the Department of Intercollegiate Athletics is committed to the principle of institutional control in the operation of its athletics program. It is the mission and goal of the UW athletics compliance office to protect the University by ensuring that the athletics program operates in a manner that is consistent with the letter and spirit of NCAA, Pac-10 Conference and University rules, regulations and policies.
- Athletics compliance is the responsibility of everyone associated with UW's athletics program, including coaches, student-athletes, athletics department personnel, faculty, staff, alumni, boosters and other supporters of UW. The compliance office is charged with leading and coordinating UW's compliance efforts and shall act as a resource for internal and external constituencies regarding NCAA and Pac-10 Conference compliance issues.

Compliance Mission Statement (cont.)

- **The primary functions of the compliance office are:**
 1. To **educate** coaches, student-athletes, staff and supporters regarding NCAA and Pac-10 Conference rules and the compliance expectations of the University.
 2. To **serve** coaches, student-athletes, staff and supporters by providing accurate and timely interpretations of the rules and assisting them in their compliance efforts.
 3. To **monitor** the activities of the athletics department and the University in a variety of critical areas (e.g., recruiting, eligibility certification, financial aid, amateurism, benefits, playing and practice season limitations) and **verify compliance** with all applicable rules.
 4. To **investigate and report** violations of NCAA and Pac-10 Conference rules.
- The compliance office seeks to carry out these essential functions in a manner that promotes a **positive compliance atmosphere** and demonstrates an unwavering commitment to highest standards of ethical behavior.

Recruiting Initiatives

- New Recruiting & Official Visit Policy
- Creation of new forms to monitor recruiting
- Improved booster education brochure sent to 18,000 households and posted on website
- Comprehensive audit of men's basketball recruiting phone call records
- Regular meetings with Head Football Coach and assistant men's basketball coach.
- Rules presentations to external booster groups.
- Regular communication w/ coaches re: recruiting issues (dead periods, new rules, etc.)

Gambling Initiatives

- FBI gambling presentation (2004)
- Gambling presentation by former mobster Michael Francese (Spring 2007)
- Quarterly gambling newsletters prepared by outside consultant
- New NCAA gambling newsletters
- Regular e-mail reminders about NCAA gambling rules sent to student-athletes and staff before major athletics events
- Annual gambling education for staff and student-athletes
- “The Truth About Gambling” brochures
- Meetings w/ local private investigator and NFL security representative re: gambling issues
- Meeting w/ UW police chief re: gambling issues

Rules Education Initiatives

- Mandatory monthly compliance meetings for all coaches
- Two mandatory compliance/rules education meetings for all student-athletes each year
- Mandatory annual rules education meetings for all ICA staff
- New Booster Brochure
- Enhancement of UW compliance website
- Meetings w/ external booster groups
- Rules education presentations for key campus offices (Financial, Admissions, Housing)
- Rules education presentations to medical staff treating UW student-athletes
- Distribution of Pac-10 violation summaries

Other Compliance Notes/Initiatives

- Elevated compliance director to senior management position
- “Compliance Cup” competition
 - Impacts each coach’s annual performance review and bonus compensation
- Monthly “Compliance Team” meetings
- NCAA certification completed successfully in 2006
- UW Department of Internal Audits – 2006 audit
 - Eligibility
 - Financial Aid
 - Playing & Practice Seasons
 - Rules Education
 - Investigating & Reporting Rules Violations
- Internal audits (e.g., awards, football GA compensation)

Other Compliance Notes/Initiatives

- Overhaul of many ICA compliance forms
- Re-writing/creation of major ICA compliance policies, including:
 - Camp and Clinics
 - Continuing Eligibility Certification
 - Extra Benefits
 - Freshman and Transfer Eligibility
 - Medical Hardships/Medical Disqualification
 - Playing and Practice Seasons
 - Reporting and Investigating Violations
 - Rules Education
 - Student-Athlete Employment
 - Transfer Appeal Policy
 - Football Summer Conditioning Policy

ICA Compliance Summary

- Major infractions: None since 2004
- Secondary infractions: 44 cases since 2004
 - Most in areas of recruiting & eligibility
- Most significant successes:
 - Positive compliance culture & atmosphere
 - Renewed feeling of integrity
- Most significant challenges:
 - Warding off complacency
 - Improvement needed in monitoring recruiting activities
 - Current initiatives underway to enhance auditing/monitoring of recruiting phone calls, contacts and evaluations.
 - Eliminate inadvertent mistakes in eligibility certification

Questions?