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
   E. Other Compliance Notes/Initiatives

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.
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
ICAI 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?