



Find your way here

Board of Trustees

CARL Committee Athletics Committee

Intercollegiate Athletics Compliance:

Mission, Obligation, Culture



November 27, 2018





Topics

- Intercollegiate Athletics Compliance
 - From The AD Chair
 - Day to Day Athletics Compliance
- Critical Compliance Components
 - Where Compliance Starts
 - Roles & Responsibilities
 - Standards of Conduct
- AGB Best Practices and the Rice Commission





From the AD Chair

- Athletics Strategic Plan
- NCAA Compliance



The Spartan Way

“We discover and develop champions in life.”

- Guiding Principles (STRIDE)
 - Student-Athlete Well Being
 - Teamwork
 - Responsibility
 - Integrity
 - Development
 - Excellence



The Spartan Way

- Strategic Priorities:
 1. Student-Athlete Well Being
 2. Culture & Community
 3. Athletic Facilities
 4. Basketball
 5. Branding & Engagement
 6. Resources



Envisioned Future

“We will be a nationally recognized athletics program continuously competing for championships.”



Find your way here

From the AD Chair

NCAA Compliance

- Institutional Control
- Rice Commission





Athletics Compliance Everyone's Responsibility

- Board of Trustees
- Chancellor
- Faculty Athletics Representative (FAR)
- AD/Staff/Student-Athletes
- Office of General Counsel
- FCIA
 - Faculty Senate Committee on Intercollegiate Athletics
- Admissions/Registrar/Financial Aid
- Others on Campus





Find your way here

UNCG Athletics Compliance Office

Compliance = SHARED RESPONSIBILITY

- Service-Oriented
- Building Relationships
- Communication
- Protect UNCG & Athletics Department





Role of UNCG Compliance Office

- Serving as a resource for key constituents;
- Developing and implementing compliance systems;
- Conducting on-going rules education;
- Responding to interpretive requests;
- Identifying and reporting rules violations to Conference and NCAA;
- Overseeing hardship, academic and transfer waiver submissions;
and
- Drafting legislative concepts as necessary.





Institutional Control

- Control over Intercollegiate Athletics program exercised administration and faculty
- UNCG responsible for actions of staff members and for those acting on behalf of UNCG Athletics
- Requires proper procedures to deter violations
- Enforcement of those procedures
- Detection and reporting of violations





Four Pillars of Institutional Control

Commitment
to
Compliance

Monitoring
and
Enforcement

Rules
Education

Institutional
Control
Analysis



Monitoring

- Compliance personnel should be visible, proactive, and accessible.
- Regularly check the operation of the compliance systems (financial aid, eligibility certification, camps and clinics, etc.)
- Ensure compliance forms are being properly utilized.
- Communicate with athletics administrators, coaches, student-athletes, and personnel outside athletics.





Comprehensive Rules Education

- Primary Constituents
 - Student-Athletes (SA)
 - Coaches / Athletic Department Staff
 - Campus Partners (e.g. Admissions, Registrar, Financial Aid, Student Affairs, Advisors)
- All mediums
 - In-person (individual/team/group)
 - Emails
 - Texts
 - Social Media



Reporting Obligation

- Each and every staff member must report any violation or potential violation in which they are involved either directly or indirectly.
- Including being aware or hearing a rumor of a possible violation.
- Report immediately to the Athletic Director, Senior Associate AD/SWA or Assistant AD for Compliance.



NCAA Pertinent Bylaws

- Bylaw 10
 - Ethical Conduct
- Bylaw 11
 - Personnel
- Bylaw 12
 - Amateurism
- Bylaw 13
 - Recruiting
- Bylaw 14
 - Eligibility
- Bylaw 15
 - Financial Aid
- Bylaw 16
 - Awards and Benefits
- Bylaw 17
 - Playing and Practice Season





Ethical Conduct – Bylaw 10

Unethical Conduct

- Refusal to participate in an investigation
- Fraudulent academic credit
- Offering improper inducement

Sports Wagering

- Accepting a bet or placing a bet for anything of value
- Providing inside information
- Fantasy Leagues, Super Bowl Pools, NCAA Tournament Pools/Brackets, etc. requiring entry fees

NCAA Drug Testing

- Year round testing occurs in all sports





Personnel – Bylaw 11

- Conduct of Athletics Personnel
- Tobacco Use
 - Banned for use by all student-athletes and personnel (coaches, managers, trainers, game officials)
- Coaching Limitations
- Coaches certification to recruit off-campus





Amateurism – Bylaw 12

- Involvement with Pro Teams
- Agents
 - SA or SAs' Family Members can't accept money, transportation, or benefits from an agent or agree to be represented by an agent
- Promotional Activities
 - SA can't promote or allow name to be used in commercial promotion
 - SA can't allow an agent to market their athletic ability or reputation
- Season of Competition
- Medical Hardships





Recruiting – Bylaw 13

- Recruiting Periods
- Telephone Calls
- Contacts/Evaluations
- Official/Unofficial Visits
- Recruiting Materials
- National Letter of Intent
- Camps/Clinics



Eligibility – Bylaw 14

- Initial Eligibility
 - Must be initially certified by NCAA Eligibility Center as academic and amateur
- Continuing Eligibility
 - Enrolled full-time (12 semester hours at UNCG)
 - GPA requirements
 - Progress toward degree



Find your way here

Financial Aid – Bylaw 15

- Institutional Aid
- Outside Aid
- Athletics Aid
- Tuition & Fees, Room & Board, and Books
- NCAA Equivalencies – Sport Specific
- Employment





Awards and Benefits – Bylaw 16

- Institutional awards
 - SAs and/or family can't receive any items not available to general public (includes transportation, complimentary admissions, loans)
- Participation
- Special Achievement (team and individual)
- Other permissible services (medical and academic)





Playing and Practice – Bylaw 17

- Declaration of Playing and Practice Season (sport specific)
- Countable Contests (sport specific)
- Countable Athletic Related Activities (CARA)
 - In-season
 - Out of Season
- Coaches are required to report CARA activities weekly to the compliance office
- SAs, athletic trainers and strength & conditioning staff review/approve submitted CARA online



Possible Sanctions

Both Individual and Institutional

- Penalties depend on the severity of the infraction

Examples of sanctions:

- letters of caution
- admonishment or reprimand to staff
- withholding coaches from recruiting activities;
- prospects or student-athletes deemed ineligible until reinstated;
- Head Coaches being suspended from competitions;
- reductions of sport scholarships;
- forfeiture of contests;
- postseason ban;
- termination of staff;
- show-cause to staff member;
- failure to monitor;
- lack of institutional control.





Athletics Compliance Everyone's Responsibility

- Board of Trustees
- Chancellor
- Faculty Athletics Representative (FAR)
- AD/Staff/Student-Athletes
- Office of General Counsel
- FCIA
 - Faculty Senate Committee on Intercollegiate Athletics
- Admissions/Registrar/Financial Aid
- Others on Campus



Compliance Starts With You!

The measure of success of an intercollegiate athletics program should be the degree to which the program contributes to the institution's mission and academic reputation.

“As an employee or Student-Athlete at UNCG and the Intercollegiate Athletics Department, he/she must adhere to all UNCG, SoCon, and NCAA rules, policies and procedures.”



- UNCG Compliance Manual



NCAA Requirements

- NCAA Bylaw 2.8.1 - Each institution shall comply with all applicable rules and regulations of the Association in the conduct of its intercollegiate athletics programs.
 1. Monitor its programs to assure compliance and to identify and report to the Association instances in which compliance has not been achieved.
 2. Cooperate fully with the NCAA and shall take appropriate corrective actions.
 3. Comply with the applicable Association rules, and the member institution shall be responsible for such compliance.





Association of Governing Boards Principles for Intercollegiate Athletics

1. While delegating administrative responsibility to the institution's chief executive officer, the governing board is ultimately accountable for athletics policy in keeping with its fiduciary responsibilities.
2. The governing board must accept accountability for upholding the integrity of the athletics program and ensuring it advances the institution's educational mission.
3. Governing boards must develop systematic approaches for upholding their responsibilities regarding athletics and apply themselves diligently to that work.





Key Points from AGB Statement on Governing Boards' Responsibilities

- Board has fiduciary responsibility to all programs: athletics is not distinct.
- Board's accountability ensures the Chancellor is attentive to the strategy and operations of athletics programs.
- Board must ensure the same academic and behavioral standards apply to all students.
- Board must ensure that student-athletes have the same opportunities for a well-balanced academic, social, and athletics experience.



Board of Trustees

- Fiduciary Responsibility for institution including athletics department
- Oversight and Tone for Compliance Program





Chancellor

- Responsible for the administration of all aspects of the athletics program, including approval of the budget and audit of all expenditures.
- Responsible for assuring that the athletics program is aligned with Mission and University priorities.
- “Culture of Compliance” begins with the Chancellor, who must set the tone that compliance with NCAA rules is of paramount importance.
- Dedicate appropriate resources to ensure that UNCG meets Division I membership requirements.



Find your way here

Athletics Director & Staff

Each individual involved in UNCG's athletics program is obligated to:

- Know the Rules
- Follow the Rules
- Report Violations

Not Limited to Athletics Staff





Head Coaches

- Supervise and Monitor Assistants
- Head Coaches are presumed to be responsible for the actions of their staff
- Prioritize compliance as part of their daily work
- Post Rice Commission revisions require contracts to include provisions requiring affirmative cooperation with NCAA

The NCAA Standard of Conduct

- Individuals employed by or associated with member institutions have an affirmative responsibility.
- Must do more than avoid improper conduct or questionable acts.
- Moral values must be so certain and positive that those younger and more pliable will be influenced by a fine example.
- Much more is expected of them than of the less critically placed citizen.





Conclusion

- The Board has Fiduciary Responsibilities which includes Athletics
- Responsible for Oversight





Find your way here

Questions?



Office of General Counsel

Jerry Blakemore, j_blakem@uncg.edu

Kristen Bonatz, ksbonatz@uncg.edu

Athletics

Kim Record, ksrecord@uncg.edu

Jody Smith, jlsmi29@uncg.edu

