

**INTERCOLLEGIATE ATHELETICS HIGH-RISK COMPLIANCE GROUP
RULES EDUCATION MONITORING PLAN**

Category / High-risk Area: Institutional Control / Rules Education

Responsible Party: Athletic Director

Sources: NCAA Bylaw 22 and Conference regulations

Risk: Non-compliance could result in a university employee or student-athlete unknowingly violating NCAA and or conference rules.

| Specific Risk | Operating Control | Evidence of Control | Supervisory Control | Evidence of Control | Oversight Controls | Evidence of Control |
|---|---|---|--|--|--|---|
| Lack of a comprehensive rules education program that includes: Staff members, Coaches, Student-Athletes, Representatives of Athletic Interests, and other relevant institutional personnel (Registrar, Bursar, Financial Aid, etc.). | <p>All athletic staff members are required to attend an annual meeting with the university President that includes zero-tolerance message.</p> <p>Coaches attend meetings with the Compliance Coordinator to discuss rules changes that are relevant to their sport.</p> <p>Coaches are required to take an annual certification test review.</p> <p>Athletic staff members and Coaches receive update memorandums as necessary throughout the year.</p> <p>Student Athletes are educated by:</p> <ul style="list-style-type: none"> -Compliance presentation in their orientation, -Receiving an Information Packet and Student Athlete Manual that includes compliance information, and -Various speakers giving presentations to student-athletes that address compliance issues and stress the consequences of non-compliance. | <p>Signed rosters for meetings and orientations.</p> <p>Copies of Coach's tests.</p> <p>Copies of memos, packets, student-athlete manuals, advertisements, and newsletters.</p> | <p>The Assistant Athletic Director for Compliance Services will ensure that the timing and content of the following are completed as appropriate:</p> <ul style="list-style-type: none"> -Annual message from the President stressing zero-tolerance for rules violations, -Annual Coach's certification test, -Timing of visit was appropriate; -Compliance portion of Student-Athlete orientation, including presentation, information packet and manual, -Presentations to each sport to enforce and update relevant rules and regulations, -Documentation for Representatives of Athletic Interest, including: <i>Guide to NCAA Rules for Alumni, Faculty</i>, Advertisements in sports programs, relevant NCAA information on the Athletics web site, updates through the Longhorn Foundation newsletter. | <p>The Assistant Athletic Director for Compliance Services signs and dates each document or log of activity.</p> | <p>Someone (ideally outside the Intercollegiate Compliance Office) will test the timing and content of:</p> <ul style="list-style-type: none"> -Annual message from the President stressing zero-tolerance for rules violations, -Annual Coach's certification test, -Timing of visit was appropriate; -Compliance portion of Student-Athlete orientation, including presentation, information packet and manual, -Presentations to each sport to enforce and update relevant rules and regulations, -Documentation for Representatives of Athletic Interest, including: <i>Guide to NCAA Rules for Alumni, Faculty</i>, Advertisements in sports programs, relevant NCAA information on the Athletics web site, updates through the Longhorn Foundation newsletter. | <p>A memo is sent to the Athletic Director and copied to the Athletic Compliance Office and the Institutional Compliance Office detailing results of the oversight controls on a quarterly basis.</p> |

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| | <p>The Compliance Office informs Representatives of Athletic Interests of relevant rules and regulations by:</p> <ul style="list-style-type: none"> -Sending them the <i>Guide to NCAA Rules for Alumni, Faculty, and Friends</i> is mailed to donors and season ticket holders, -Placing informational Advertisements in sports programs, -Placing relevant NCAA information on the Athletics web site, and -Providing updates through the Longhorn Foundation newsletter. | | | | | |
| <p>Rules and regulations will not be disseminated to the appropriate individuals.</p> | <p>The Compliance Office sends update memos to keep other relevant University personnel informed of rules and regulations that impact their jobs as needed.</p> | <p>Copies of the memos sent to each individual/sport.</p> | <p>The Assistant Athletic Director for Compliance Services will ensure updates are distributed to the relevant personnel and sign and date each document or log of activity.</p> | <p>Copies of each document or log of activity.</p> | <p>Someone (ideally outside the Intercollegiate Compliance Office) will test the updates and compile a summary.</p> | <p>A summary memo is sent to the Athletic Director and copied to the Athletic Compliance Office and the Institutional Compliance Office detailing the rules changes on a quarterly basis.</p> |
| <p>Failure to monitor rules education.</p> | <p>The Assistant Athletic Director for Compliance Services prepares memos that detail specific findings and recommendations from sections of the monitoring plan. The memo is sent to the Athletic Director with a copy to Institutional Compliance.</p> | <p>Copies of memos detailing findings and recommendations.</p> | | | <p>The Office of Institutional Compliance will review monitoring plans as well as the resulting findings and recommendations for completeness and provide opinion in memo.</p> | <p>The Director of Institutional Compliance will send memo to the Athletic Director and copy the Institutional Compliance Committee.</p> |

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| Information not current. | Members of the Athletic Compliance Office attend the annual NCAA rules seminar which covers new and proposed rules changes. Also, the NCAA and Conference Office inform member institutions of rules changes by written correspondence. | Documentation from rules seminar and NCAA notifications. | The Assistant Athletic Director for Compliance Services signs and dates each document or log of activity and monitors the NCAA website for changes. A summary of updates is produced every quarter. | The summary of updates conducted. | Someone (ideally outside the Intercollegiate Compliance Office) will test the updates and compile a summary and address any monitoring changes. | Copies of the summary update and any changes to monitoring based on rules changes is sent to the Athletic Director copied to the Athletic Compliance Office and the Institutional Compliance Office |
| Lack of effective delivery. | Intercollegiate Athletics Compliance Office conducts a survey for delivery and content. | Results of Survey. | The Assistant Athletic Director for Compliance Services will ensure feedback from survey is used to improve delivery and content (if needed). | The Assistant Athletic Director for Compliance Services signs and dates survey results. | Someone (ideally outside the Intercollegiate Compliance Office) will test the survey results and provide commentary as it relates to changes based on survey. | Copies of survey including any relevant findings and recommendations is sent to the Athletic Director copied to the Athletic Compliance Office and the Institutional Compliance Office |