



BOT Presentation

Jerome P. Rodgers, Sr. Associate AD –
Compliance and Administration



Compliance • November 17, 2017

Agenda

- Introduction to Compliance Team
- NCAA Violation Structure
- Head Coaches Responsibility
- Commitment to Institutional Control and Compliance
- Self-Reported Violations (2013-14, 2014-15, 2015-16)
- Rules Education Model



Introduction to Compliance Team

- Kiera Miller, Assistant AD for Compliance
- Scott Foelske, Compliance Coordinator
- Compliance Coordinator (VACANT)
- Michelle Batty, Compliance GA
- Marcus Everett, Compliance GA



NCAA Violation Structure

New Violation Structure

Structure focuses on conduct that threatens integrity of college sports; August 1, 2013 12:00am

- The four-level violation structure ranges from severe breaches of conduct to incidental infractions. The structure, which replaces the current two-tier approach (major and secondary violations), is designed to focus most on conduct breaches that seriously undermine or threaten the integrity of the NCAA Constitution and bylaws.



Level I: Severe Breach of Conduct

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Violations that seriously undermine or threaten the integrity of the NCAA collegiate model as set forth in the Constitution and bylaws, including any violation that provides or is intended to provide a substantial or extensive recruiting, competitive or other advantage, or a substantial or extensive impermissible benefit.



Examples of Violations

Level I: Severe Breach of Conduct

- Lack of institutional control
- Academic fraud
- Failure to cooperate in an NCAA enforcement investigation
- Individual unethical or dishonest conduct
- Head coach responsibility violation by a head coach resulting from an underlying Level I violation by an individual within the sport program



NCAA Violation Structure

Level II: Significant Breach of Conduct

Violations that provide or are intended to provide more than a minimal but less than a substantial or extensive recruiting, competitive or other advantage; includes more than a minimal but less than a substantial or extensive impermissible benefit; or involves conduct that may compromise the integrity of the NCAA collegiate model as set forth in the Constitution and bylaws.



Examples of Violations

Level II: Significant Breach of Conduct

- Violations that do not rise to the level of Level I violations and are more serious than Level III violations
- Failure to monitor
- Systemic violations that do not amount to a lack of institutional control
- Multiple recruiting, financial aid, or eligibility violations that do not amount to a lack of institutional control
- Collective Level III violations



NCAA Violation Structure

Level III: Breach of Conduct

Violations that are isolated or limited in nature; provide no more than a minimal recruiting, competitive or other advantage; and do not include more than a minimal impermissible benefit. Multiple Level IV violations may collectively be considered a breach of conduct.



NCAA Violation Structure

Level IV: Incidental Issues

Incidental infractions that are inadvertent and isolated, technical in nature and result in a negligible, if any, competitive advantage. Level IV infractions generally will not affect eligibility for intercollegiate athletics.



Head Coaches Responsibility

11.1.1.1 Responsibility of Head Coach. An institution's head coach is presumed to be responsible for the actions of all institutional staff members who report, directly or indirectly, to the head coach. An institution's head coach shall promote an atmosphere of compliance within his or her program and shall monitor the activities of all institutional staff members involved with the program who report, directly or indirectly, to the coach. (Adopted: 4/28/05, Revised: 10/30/12, 7/16/14)



Head Coaches Responsibility

A head coach may rebut the presumption by showing that he or she:

1. Promotes an atmosphere of compliance within the program.
2. Monitors the activities of staff members who report, directly or indirectly, to the coach.



Head Coaches Responsibility

- **Demonstrates** that compliance is a shared responsibility by establishing clear expectations for NCAA compliance, including immediately reporting actual and potential issues to the compliance staff and allowing an independent inquiry into those issues.
- **Shows an understanding** that ultimate responsibility for the integrity of the program rests with the head coach, including understanding that staff actions reflect on the head coach and violations will result in clearly articulated discipline.
- **Develops written policies** regarding potential elite athlete issues.
- **Frequently spot-checks** the program to uncover potential or existing compliance problems, including the head coach actively looking for and evaluating red flags, asking pointed questions, and regularly soliciting honest feedback to determine if monitoring systems are functioning properly.



Head Coaches Responsibility

- **Avoids potential conflicts** between creating a successful program and overall compliance efforts, and/or explicit oversight by individuals outside the program.
- **Takes quick and personal action** with respect to violations or potential violations, including an ongoing dialogue with staff to review any potential issues involving prospects or current student-athletes.
- **Protects any person** who reports violations or potential violations from any potential retribution.
- **Provides timely, consistent and continuing education** of all coaches, staff and student-athletes as to rules and regulations, including written agendas and evidence of subjects covered and issues discussed.
- **Consults with compliance staff** on a regular basis; asking compliance staff before acting, especially in any potential grey area.



Commitment to Institutional Control and Compliance

20.9.1.5 The Commitment to Institutional Control and Compliance. It is the responsibility of each member institution to monitor and control its athletics programs, staff members, representatives and student-athletes to ensure compliance with the Constitution and bylaws of the Association. Responsibility for maintaining institutional control ultimately rests with the institution's campus president or chancellor. It is also the responsibility of each member institution to report all breaches of conduct established by these bylaws to the Association in a timely manner and cooperate with the Association's infractions process. Upon a conclusion that one or more violations occurred, an institution shall be subject to such disciplinary and corrective actions as may be prescribed by the Association on behalf of the entire membership.
(Adopted: 1/19/13 effective 8/1/13, Revised: 7/31/14)



NIU and Institutional Control

Ways in which NIU Demonstrates Institutional Control:

- Associate VP/Director of Athletics – Reports Directly to the President
- Student-Athlete Academic Support Services (SAASS) – Reports to Provost Office
- Written Compliance Policies and Procedures
- Direct Access to the Office of General Counsel and Internal Audit
- Compliance Reviews Conducted by Mid-American Conference



NIU and Institutional Control Continued

Ways in which NIU Demonstrates Institutional Control:

- NIU Internal Audit Conducts Annual Review of Topic Areas (i.e., eligibility, recruiting, financial aid)
- Active and Engaged Faculty Athletics Representative (Dr. Matt Streb)
- Certification of Eligibility – Records and Registration; NCAA Compliance in Job Description
- Certification of Financial Aid – Office of Student Financial Aid; NCAA Compliance in Job Description



Self-Reported Violations 2013-2014

Capacity	Sport	Type of Violation	Date of Violation	Bylaw(s)	Date sent to Conf/NCAA
Head Wrestling Coach, Assistant Wrestling Coach, Assistant Wrestling Coach, Prospective Student-Athlete	Wrestling	Level III	8/4/2013-8/5/2013	13.15.2.4	9/3/2013
Assistant Track & Field Coach, Prospective Student-Athlete	Track & Field	Level III	8/26/2013	13.1.3.1 & 13.1.3.1.2	10/23/2013
Head Women's Golf Coach, Prospective Student-Athlete	Women's Golf	Level III	1/3/2014	13.1.1.1	2/18/2014
Basketball Assistant Coach, Prospective Student-Athletes	Men's Basketball	Level III	12/26/2013	13.02.5.5	2/19/2014
Wrestling Assistant Coach, Prospective Student-Athlete	Wrestling	Level III	1/26/2013	13.4.1.4	2/19/2014
Assistant Coach, Prospective Student-Athlete	Football	Level III	1/22/2014	13.4.1.4	3/20/2014



Self-Reported Violations 2013-2014

Capacity	Sport	Type of Violation	Date of Violation	Bylaw(s)	Date sent to Conf/NCAA
Men's Soccer Head Coach, Men's Soccer Volunteer Coach	Men's Soccer	Level III	3/18/2014	11.3.2.8	3/24/2014
Assistant Track & Field Coach, Prospective Student-Athletes	Track & Field	Level III	3/15/2014	13.02.5.5	4/1/2014
Head Women's Tennis Coach, Prospective Student-Athlete	Women's Tennis	Level III	4/14/2014	13.02.5.5	5/1/2014
Head Football Coach, Prospective Student-Athlete	Football	Level IV	8/7/2013	13.1.3.1 & 13.1.3.1.2	8/13/2013
Assistant Track & Field Coach, Prospective Student-Athlete	Track & Field	Level IV	10/10/2013	13.4.1.2	10/24/2013



Self-Reported Violations 2014-2015

Capacity	Sport	Type of Violation	Date of Violation	Bylaw(s)	Date sent to Conf/NCAA
Compliance Coordinator; PSA	Compliance; MFB	Level IV	6/3/2014	13.9.1	7/17/2014
Head Coach; SA	WTE	Level IV	10/31/2014	13.6.7.5.1	11/17/2014
Gymnastics Assistant Coach, PSA	WGY	Level III	7/16/2014	13.4.1	8/19/2014
Compliance Coordinator; SA	Compliance; MBA	Level III	2/16-5/15/14	12.1.1.1.3	7/28/2014
Men's Basketball Assistant Coach; PSA	MBB	Level III	9/9/2012	13.5.2.2.2	8/19/2014
Student-Athlete	MSO	Level III	8/19/2014	16.8.1	8/27/2014
Assistant Coach; Assistant Coach; Assistant Coach; Graduate Assistant/Manager	WBB	Level III	9/12/2014	17.1.7.2.2	10/13/2014



Self-Reported Violations 2014-2015

Capacity	Sport	Type of Violation	Date of Violation	Bylaw(s)	Date sent to Conf/NCAA
Student-Athlete	MWR	Level III	9/2/14-9/4/14	14.2.1	11/6/2014
PSA; PSA; Former High School Coach; Former High School Coach	MFB	Level III	10/11/2014	13.7.2.1	6/30/2015
Assistant Director of Football Operations; PSA; PSA	MFB	Level III	10/17/2014	13.4.1	1/13/2015
Head Coach; Assistant Coach; SA; SA; SA; SA; SA; SA; SA; SA; SA	MGO	Level III	10/27/2014	17.1.7.2(a)	6/26/2015
Operations; Head Coach	MFB	Level III	11/29/2014	17.1.7.4	9/30/2015
SA	MBA	Level III	2012-2014	15.5.4.1	2/23/2015
Compliance; SA	MTE	Level III	1/16/15; 1/25/15;	16.8.1	2/28/2015
Head Coach; Volunteer Coach	WTR	Level III	6/23/2015	11.01.6	11/9/2015
Head Coach; PSA	WTE	Level III	3/26/15; 3/17-15	13.6.7.7.1	7/21/2015



Self-Reported Violations 2015-2016

Capacity	Sport	Type of Violation	Date of Violation	Bylaw(s)	Date sent to Conf/NCAA
Student-athlete; HACO	WCC	Level IV	9/4/2015	12.10.2/15.5.11.1, 12.7.2.1, 12.7.3	9/22/2015
Student-athlete; Coach	MTE	Level III	9/5/2015	16.1.4.2	11/6/2015
Head Coach; Assistant Coach; Assistant Coach	MWR	Level III	10/30/2015	11.7.1.1	1/21/2016
Student-athlete; HACO	MGO	Level III	1/20/2016	14.2.1, 14.2.2.1.3	4/6/2016
Student-athlete; Financial Aid Office	WTE	Level III	8/24/2015	15.1	5/13/2016
HACO	WCC	Level III	4/21/2016	13.6.3	5/17/2016
Assistant Coach	WBB	Level III	5/8/2016	12.5.1.6	7/11/2016
Strength and Conditioning Coach	WVB	Level III	6/10/16; 6/25/16	17.02.18	7/27/2016
Head Coach; Prospective Student-Athlete	WCC	Level III	6/16/2016	13.6.7.1	8/24/16



Rules Education Model

- Who are we educating:
 - Constituent groups (e.g., student-athletes, coaches, boosters)
- What type of education:
 - In person, email, social media, newsletters, website
- How often are you providing education:
 - Daily, weekly, bi-weekly, monthly, seasonally

