

## 2015 Southeastern Regional Conference

Orlando, FL February 12, 2015

### Partnering for Success: Building Effective Relationships Between Athletics Compliance and Risk Management and University Compliance

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## What We Hope to Accomplish Today

Introduce you to University Compliance Services (UCS) & Athletics Risk Management and Compliance Services (ARMCS) at The University of Texas at Austin

- ✓ Who we are
- ✓ What we do
- ✓ How we partner for success

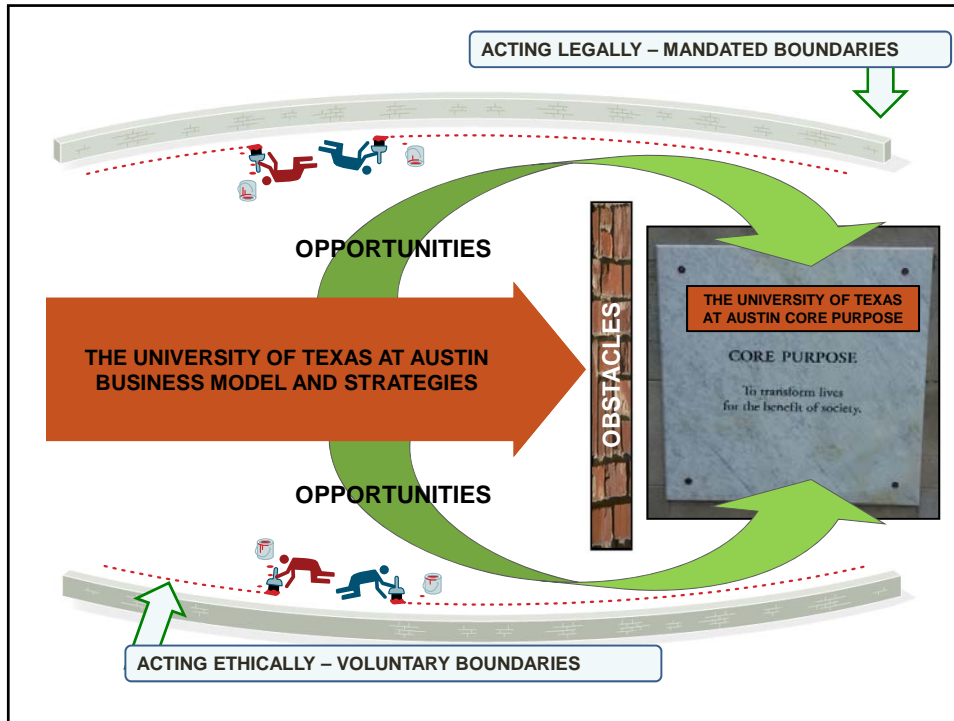


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### Acting illegally and unethically can have serious consequences

- Death or serious injury
- Criminal liability – fines and prison
- Civil and administrative penalties
  - Financial loss
- Interruption or loss of business opportunities
  - Reputation damage
  - Change of law



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**We live in a  
world where  
nothing is  
hidden  
anymore!**



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**And where  
information  
travels  
at the speed  
of light!**

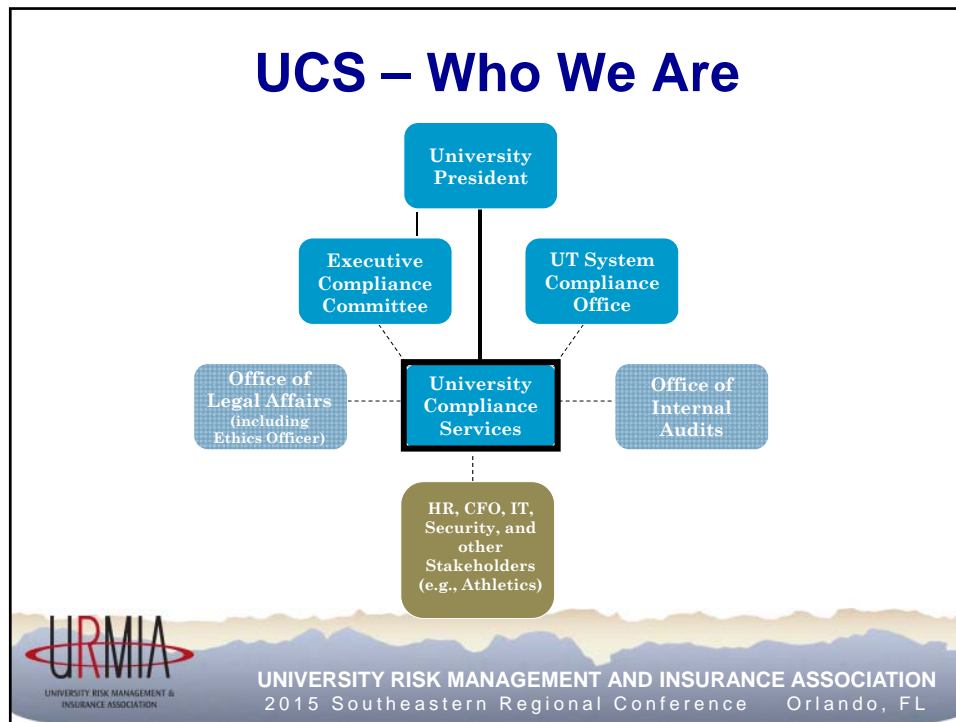


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### UCS - What We Do

Facilitate an ongoing and meaningful conversation between the executive leadership at The University of Texas at Austin and its students, faculty and staff about legal and ethical behavior to ensure that the University has effective programs in place to prevent, detect and mitigate significant compliance and ethics risks.

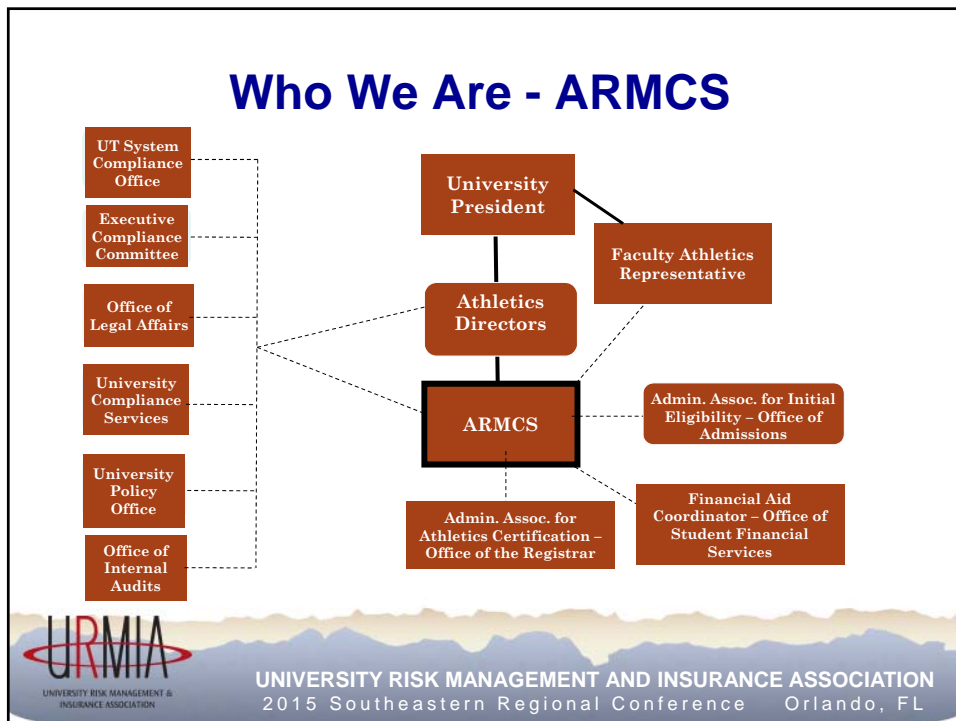
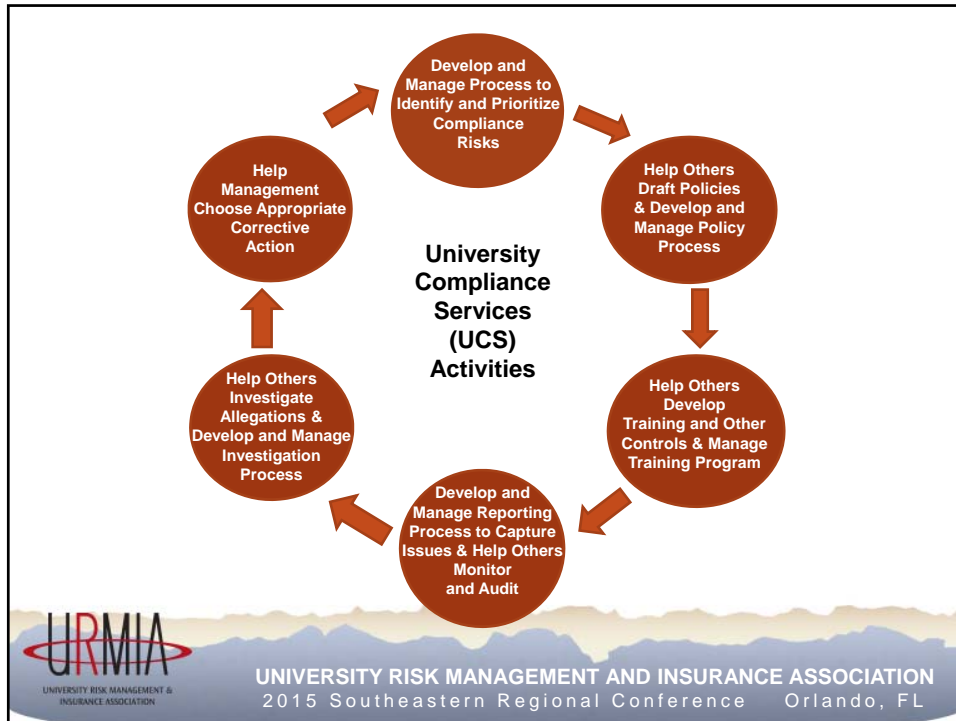
***No gaps. No waste. No surprises.***



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### Why We're Here - ARMCS

The potential consequences for violating mandatory and voluntary boundaries can be severe:

- Same as [UCS consequences](#)

+

- Big 12 Conference Penalties & NCAA Infractions = loss of reputation, revenue, and opportunities for student-athletes



### Why We're Here- ARMCS

- Help promote an ethical culture and operate our athletics programs with integrity.
- Ensure adherence to laws and regulations, including those of the NCAA, Big 12 Conference and University through maintaining an effective risk and compliance program.



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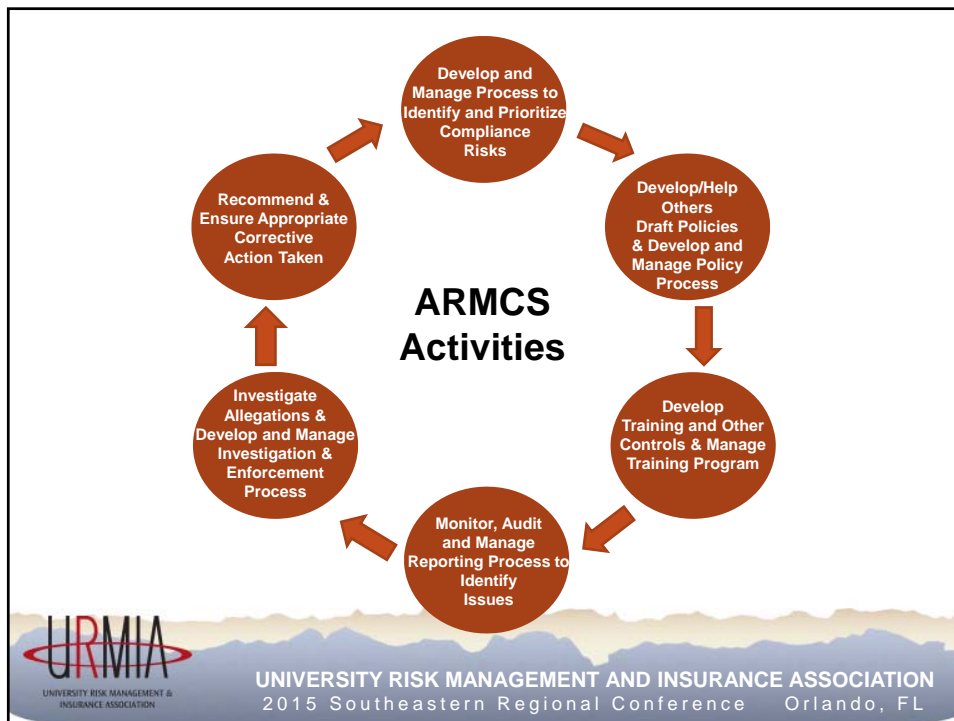
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### What We Do - ARMCS

- **Compliance**
  - NCAA
  - Big 12 Conference
  - Other laws and regulations/policies
  - Maintain Institutional Control/Head Coach Control
  - Monitor/Educate/Enforce Rules
- **Risk Management**
  - Assess Risks and Ensure Operational Controls Exist
  - Align with University Policy
  - Protect Assets
  - Safety and Well-Being



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### How We Partner for Success

Compliance and ethics expectations of all students, faculty and staff:

- Act legally and ethically at all times
- Encourage others to act legally and ethically at all times
- Manage conscientiously
- Prevent and report retaliation
- Complete compliance training
- Report illegal or unethical behavior in a timely manner



### How We Partner for Success

**Resource for questions & Reporting of illegal and unethical behavior:**

- Resource to contact *before* someone does something that may be unethical or illegal
- Entity to report something that may be unethical or illegal



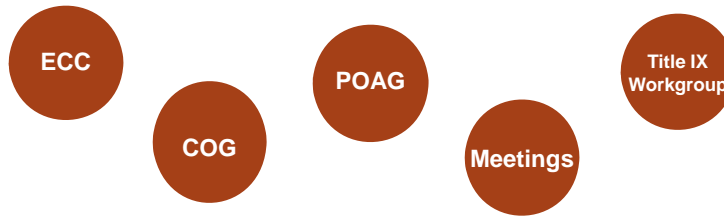


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### How We Partner for Success

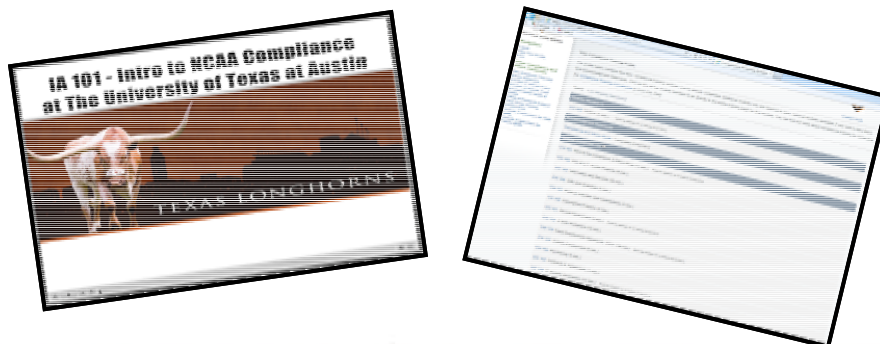
- **Regular Communication & Collaboration**



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### How We Partner for Success

- **Training and Education**



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### How We Partner for Success

- Risk Assessment

**The University of Texas at Austin – Compliance & Ethics High Risk Areas FY2013**

|                   |   |   |
|-------------------|---|---|
| Lower             | <ol style="list-style-type: none"> <li>1. Failure to assure compliance with COO policies consistent with applicable law (Ethics/Coefficients of Interest)</li> <li>2. Failure to adhere to applicable rules, regulations &amp; laws associated with the commencement of employment of students (Human Resources/Provost)</li> <li>3. Failure to comply with laws and regulations applicable outside Texas (Legal Affairs)</li> <li>4. Failure to conduct research in accordance with approved protocols (Research)</li> <li>5. Failure to monitor terms of commercialization agreements (Technology Commercialization)</li> <li>6. Failure to develop and update policies to implement and maintain compliance with laws, regulations, and DOE Rules (URCA)</li> <li>7. Failure to ensure all student, faculty, and staff traveling internationally are registered with SOS (International Office)</li> </ol>   | <ol style="list-style-type: none"> <li>1. Failure to protect/preserve donor and alumni data maintained in non-Development areas (Development)</li> <li>2. Failure to protect mission-critical IT systems confidentiality, integrity and availability in areas other than ITS (ISOC)</li> <li>3. Failure of IT resources to comply with information security regulations in areas other than ITS (ISOC)</li> <li>4. Failure of IT resources to appropriately manage applications in areas other than ITS (ISOC)</li> <li>5. Failure to protect research data privacy/integrity in areas other than ITS (Research)</li> <li>6. Failure to follow export control guidelines and regulations in areas other than sponsored research (Research)</li> <li>7. Failure to control existing and former faculty/researcher access to sensitive research (Research)</li> <li>8. Failure to comply with conflict of interest policies in non-sponsored research (Research)</li> <li>9. Failure to adequately manage conflict of interest disclosures (Ethics/Coefficients of Interest)</li> </ol>   |
| Perceived Control | <ol style="list-style-type: none"> <li>1. Failure to adhere to the terms of endorsement agreements (Development)</li> <li>2. Failure to protect against improper supplier/contractor activity (Fiscal Management)</li> <li>3. Failure to protect against improper billings and other fraudulent financial activity (Fiscal Management)</li> <li>4. Failure to safeguard physical assets (Fiscal Management)</li> <li>5. Failure to properly record and report time &amp; effort (Research)</li> <li>6. Failure to adhere to applicable rules, regulations and laws pertaining to equal opportunity (DOE)</li> <li>7. Failure to adhere to applicable rules, regulations and laws pertaining to recruitment for the disabled (DOE)</li> <li>8. Failure to adhere to applicable rules, regulations &amp; laws pertaining to accommodations for the disabled (DOE)</li> <li>9. Failure to effectively interact with good faith whistleblowers (DOE)</li> <li>10. Failure to comply with immigration laws (Academic Affairs/Provost)</li> <li>11. Failure to secure applicable accreditation (Academic Affairs/Provost)</li> <li>12. Failure to adhere to applicable rules, regulations &amp; laws associated with the commencement of employment of non-students (Human Resources/Provost)</li> <li>13. Failure to manage 3<sup>rd</sup> Party relationships consistent with applicable laws and policies (Ethics/Coefficients of Interest)</li> </ol> | <ol style="list-style-type: none"> <li>1. Failure to adhere to tenure/promotion procedures (Academic Affairs/Provost)</li> <li>2. Failure to maintain effective fire safety program (Campus Security &amp; Safety)</li> <li>3. Failure to maintain effective emergency response program (Campus Security &amp; Safety)</li> <li>4. Failure to maintain effective environmental protection program (Campus Security &amp; Safety)</li> <li>5. Failure to comply with applicable food safety laws (Campus Security &amp; Safety)</li> <li>6. Failure to protect physical well-being of students/faculty/staff/attendees at large events (Campus Security &amp; Safety)</li> <li>7. Failure to adhere to effective laboratory safety program regulations and policies (Campus Security &amp; Safety)</li> <li>8. Failure to protect against improper use, disposal, handling, and transportation of hazardous materials and waste (Campus Security &amp; Safety)</li> <li>9. Failure to maintain effective campus notification system (Campus Security &amp; Safety)</li> <li>10. Failure to safeguard financial assets (Fiscal Management)</li> <li>11. Failure to maintain effective pre-award and post-award controls (Fiscal Management)</li> <li>12. Failure to comply with conflict of interest policies in sponsored research (Research)</li> <li>13. Failure to comply with Federal contract and grant requirements (Research)</li> <li>14. Failure to follow export control guidelines and regulations in sponsored research (Research)</li> <li>15. Failure to develop, adhere to, and monitor appropriate internal and external Athletics-related procedures (Athletics)</li> <li>16. Failure to sustain and communicate effective educational programs to all Athletics competitors (Athletics)</li> <li>17. Failure to review and monitor Athletics program risks and controls (Athletics)</li> <li>18. Failure to detect, investigate and promptly rectify Athletics-related violations (Athletics)</li> <li>19. Failure to protect ITS managed mission-critical IT systems confidentiality, integrity, and</li> </ol> |



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### The Evolving Relationship

- How we see the partnership evolving



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# QUESTIONS



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# RESOURCES

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|--|--|
| <p><b>Lori Hammond</b><br/>Associate Athletics Director<br/>The University of Texas at Austin<br/><a href="mailto:hammond@utexas.edu">hammond@utexas.edu</a></p>                     | <p><b>Lori Williams</b><br/>Partner and Vice President<br/>Buckner Law Firm<br/><a href="mailto:williams@bucknersportslaw.com">williams@bucknersportslaw.com</a></p> |
| <p><b>Paul Liebman</b><br/>Chief Compliance Officer<br/>The University of Texas at Austin<br/><a href="mailto:paul.liebman@austin.utexas.edu">paul.liebman@austin.utexas.edu</a></p> |  |

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