

## Report of the Faculty Athletics Representative

October, 2021

The Committee on Academic Performance (CAP) met on Tuesday, September 7, 2021 via MicroSoft Teams and in person for the first hybrid meeting. We will continue to meet via this hybrid model on the second Tuesday of each month.

In September, Lauren Rust the annual CAP Rules Education from the Louisville Office of Athletic Compliance. We also received updates on the current status of Name-Image-Likeness (NIL) initiatives.

In response to the NCAA one time transfer rule, a workgroup, composed of the FAR, SWA and members from Compliance and Academic Services, is currently drafting a set of “not frequently asked questions” to encourage student-athletes to ask question such as academic impact of transferring prior to entering the transfer portal. Please do not hesitate to reach out to me if you have additional questions regarding the NCAA one time transfer rule, effective Fall 2021.

Stay safe, stay well and Go Cards!

Dr. Krista Wallace-Boaz

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Faculty Athletics Representative



# **LOUISVILLE OFFICE OF ATHLETIC COMPLIANCE**

**SEPTEMBER 14, 2021**

**COMMITTEE ON ACADEMIC PERFORMANCE  
(CAP)**

**RULES EDUCATION**

# Athletic Compliance Staff

**Vince Tyra**  
VP/Director of Athletics

**Sandra Russell Interim**  
VP/Risk Management,  
Compliance and Audit

**Matt Banker**  
Associate AD/Sport  
Admin.

**John Carns**  
Senior Associate  
AD/Sport Admin.

**Lauren Rust**  
Assistant AD

**Dan Morrissey**  
Director

**Emily Garr**  
Director

**Daniel Gossom**  
Associate Director

**Lana Stilger**  
Associate Director

**TBD**  
Associate Director

# Institutional Control/ Atmosphere of Compliance

- Expectations of NCAA Membership
  - Every individual working at the University of Louisville must promote an atmosphere of compliance (Anonymous Tip Line –[gocards.com](http://gocards.com))
  - Institutional Control
  - Unethical Conduct
  - Extra Benefits
  - Academic Misconduct
- If unsure, #askbeforeyouact

\*\*Although we have passed the date of the probation period for the previous major violation, we do have a case pending that may extend it.



# Institutional Control Definition

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- Responsibility for Control
  - It is the responsibility of each member institution to control its intercollegiate athletics program in compliance with the rules and regulations of the NCAA. (2.1.1)
- Scope of Responsibility
  - The institution's responsibility for the conduct of its intercollegiate athletics program includes responsibility for the actions of its staff members and for the actions of any other individual or organization engaged in activities promoting the athletics interests of the institution. (2.1.2)



# Institutional Control

## What it Means to Lack Institutional Control

- Inquiries into institutional control focus on two factors:
  - What policies and procedures are in place, and
  - How well they are being monitored and enforced.
- Athletics personnel play a vital role in institutional control by ensuring that they follow the policies and procedures.
- If athletics personnel do not comply with institutional policies, it is more difficult to demonstrate control and more likely to result in NCAA violations.



# LOUISVILLE CARDINALS

## ATHLETIC COMPLIANCE

### NCAA Academic Misconduct Procedures

When an Academic Services staff member is made aware of any academic misconduct, the following steps should be taken:

- I. The Academic Services staff member addresses the misconduct with the professor/faculty member who provided notification of the incident, gathers information about the situation and understands what steps are being taken by the professor/faculty member to handle the situation institutionally. The staff member will then report the information to the Senior Associate AD for Student Services/Diversity (Marvin Mitchell), and/or the Assistant AD – Student Services (Scott Sallade).
- II. The Academic Services staff member and/or the Senior Associate AD for Student Services/Diversity (Marvin Mitchell), or the Assistant AD – Student Services (Scott Sallade) meets with the student-athlete about the misconduct incident, gathers information and educates the student-athlete with regard to the situation and why the behavior is being considered misconduct by the professor/faculty member. Any information provided at any point in the review that indicates assistance or involvement by an institutional staff member in the alleged misconduct must be immediately reported to the Senior Associate AD for Compliance (John Carns) or the Assistant AD for Compliance (Lauren Rust).
- III. The Academic Services staff will discuss any further course of action necessary to assist with the University's handling of the situation until resolution is achieved. At this time, if it had not been reported previously, a member of the Academic Services staff will report the occurrence to the Assistant AD for Compliance (Lauren Rust) for review and application of NCAA Academic Misconduct Rules.
- IV. If it is determined that a potential NCAA violation has occurred, or the result of the academic misconduct has resulted in making the student-athlete(s) ineligible, the Assistant AD for Compliance (Lauren Rust) will gather all necessary information and documentation following the established investigative procedures and submit the information to the NCAA. The Office of Athletic Compliance will also notify Professor Elaine Wise (Faculty Athletics Representative) of the violation.

# ACC – UofL Compliance Review

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## **Initial, Continuing, and Transfer Eligibility Certification Areas:**

1. Ensure that a second set of eyes exist on all eligibility determinations.
2. Develop certain criteria by which the Director of Admissions would conduct a review of standard entrance (ACT/SAT) tests.





# ACC – UofL Compliance Review

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## **Recommendations for the Academics Area:**

1. Require the Registrar's Office to daily identify student-athletes that have grade changes that affect eligibility and forward such changes to the FAR for review.
2. Develop a plan for the compliance staff to be involved in monitoring the academic compliance activities surrounding matters such as academic misconduct and academic extra benefits.
3. Develop a protocol for the Academic Services staff to follow concerning the reporting of potential academic misconduct and insert this protocol into the Academic Services procedures.



# ACC – UofL Compliance Review

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## Recommendations for the Academics Area (Cont.):

1. Require John Carns and Marvin Mitchell meet at least each semester.
2. Develop a written procedure that specifically identifies the analyses that will be undertaken concerning student-athletes in certain courses, comparison of grades to non-student-athletes, non-traditional courses, etc., a time period for these analyses, and the individual/entities who will receive this information.
3. Review whether it is appropriate to continue having student-athletes performing hours for an internship under the supervision of an athletics department staff member.



# ACC – UofL Compliance Review

## Recommendations for the Academics Area (Cont.):

Specific to #2...institution, specifically CAP, should be reviewing this information following the conclusion of each semester:

- Courses in which a significant number of student-athletes are enrolled in proportion to the number of non-student-athletes in the class (the current query identifies courses in which at least 20 percent of the courses involve student-athletes, which seems appropriate);
- An analysis of student-athlete grades versus non-student-athlete grades in these courses and the number of student-athletes and non-student-athletes in each course;
- The identification of all internships, the instructor of record, and the location of the internship. (The location of the internship may require additional discovery other than that being downloaded from the institution's information system); and
- The number of student-athletes in each independent study course.



# REPORTING A VIOLATION

- If you know of a violation, you are required to report it
- There are multiple ways to submit violations
  - Call, email, or stop by the Office of Athletic Compliance
  - Submit an anonymous violation at <https://gocards.com/sports/2018/8/8/submit-a-violation.aspx>



The screenshot shows the University of Louisville website's Compliance page. The navigation menu includes: SPORTS, SCHEDULES, TICKETS, FACILITIES, ATHLETICS, MULTIMEDIA, FAN CENTER, VIDEO, DONATE, and SHOP. Below the navigation, the word "COMPLIANCE" is displayed. A red arrow points to the "REPORT A VIOLATION" link in the navigation menu. The main content area features a large image of the Louisville mascot, a red cardinal wearing a red hoodie with "LOUISVILLE" on it. Below the mascot image is the text "Did You Know...?". To the right of the mascot image is a dental advertisement for Mortenson Family Dental, featuring a woman and child smiling, with the text "Smiles from our family to yours." and "EXAM AND X-RAYS JUST \$19.95". Below the advertisement is a "QUICK LINKS" section with a list of links: Agents, Boosters, Alumni & Fans, Coaches, University Faculty & Staff, and Recruits. At the bottom of the page, there is a red banner with the text "UNIVERSITY OF LOUISVILLE, 100% ONLINE" and a "LEARN MORE" button.



# CONTACT US

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**Compliance is a group effort &  
Institutional Obligation  
“Ask Before You Act”**

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FOR STAFF CONTACT INFORMATION AND  
COMPLIANCE FORMS.**



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**Have a great summer!**

