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## CREATING SYNERGY BETWEEN ATHLETICS COMPLIANCE AND ACADEMIC PROGRAMS: STUDENTS IN THE COMPLIANCE OFFICE

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### ABSTRACT

Contemporary NCAA athletics compliance administrators hold the reputation of the institution in their hands. They are charged with a plethora of duties including education, monitoring, and enforcement of all NCAA and conference rules and regulations on their campuses (Max, 2005; NCAA, 2000; Texas AandM, n.d.; University of Iowa, 2007). In addition to the basic job description, they are also responsible for navigating a multitude of policy interpretations, standards of review, case precedent, internal staff memoranda, and NCAA committees' philosophical approaches. Hence, it is understandable that the responsibilities of compliance directors are daunting, and oftentimes practically unfeasible to successfully fulfill without considerable support. Given the current economic climate, this support is unlikely to come in the form of new financial or human resources and thus, compliance officers must use their existing resources more efficiently, which means undergraduate and graduate students can be a valuable asset to the compliance office.

The purpose of this chapter is to educate compliance administrators and sport management educators about the benefits they may see from placing students in intercollegiate athletic department compliance offices, how compliance officers should choose specific tasks based on the educational level of the student (undergraduate or graduate), and the options available for both formal and informal relationships with academic units on campus. It was found that 75% of respondents use student workers in their compliance operations and that that law and sport management students were the best workers. Compliance directors identified six key NCAA Bylaws most commonly monitored by students (Bylaws 13.1, 13.6, 12.4, 17.1, 13.7, and 16.2).

It is through these experiences that students will gain the requisite skills needed to succeed in intercollegiate athletics administration as well as separate themselves from the pack when seeking their first full-time job.

## INTRODUCTION

In July of 2007, an intern working in the compliance office at Indiana University uncovered illegal phone calls by head men's basketball coach Kelvin Sampson (Hutchens, 2007). The illegal calls were uncovered after the compliance office's spot check of men's basketball coaches' phone records had not revealed any violations (Hutchens). In addition to Indiana receiving three years' probation, the investigation that resulted from the intern's discovery also led to Sampson's dismissal and a five-year show-cause order effectively barring him from coaching in the National Collegiate Athletic Association (NCAA) (Katz, 2008). With many demands placed on compliance directors by athletic directors, coaches, student-athletes, and the NCAA, effectively utilizing student workers, as seen in the Sampson case, can be a key element in successfully administering the compliance office.

Within the current landscape of intercollegiate athletics compliance, the responsibilities placed upon compliance directors seem endless. Although there is not one job description in athletic compliance that fits all institutions, compliance personnel are charged with the education, monitoring, and enforcement of all NCAA and conference rules and regulations on their campuses (Max, 2005; NCAA, 2000; Texas AandM, n.d.; University of Iowa, 2007). Considering the *2009-2010 NCAA Division I Manual* exceeds 400 pages, this task is not easy for a single on-campus office, often consisting of only one or two compliance professionals. However, the NCAA Manual is but the tip of the iceberg, and working in compliance also includes navigating a multitude of policy interpretations, standards of review, case precedent, internal staff memoranda, and NCAA and conference committees' philosophical approaches. These perplexing issues and frequently conflicting purposes of the NCAA create challenges for even the most capable NCAA and campus administrators. Contemporary intercollegiate athletics compliance, much like 21st Century public policy, does not lend itself to easy, clear, direct, and irrefutable answers. Hence, it is understandable that the responsibilities of compliance directors are daunting, and oftentimes practically unfeasible to fulfill without considerable support.

When NCAA major rules violations occur, the institution incurs significant financial and human resource costs, including time spent preparing reports for the NCAA, time and cost replacing personnel, lost alumni support, lower student enrollment, and overall a tarnished reputation (Goff, 2000; Grimes and Chressanthis, 1994; Rhoads and Gerking, 2000). Given the importance of NCAA rules compliance, it is imperative that institutions take full advantage of their available financial and human resources to strengthen their compliance program. Given the current economic climate in higher education, financial resources are extremely limited (National Association of College and University Business Officers, n.d.). Consequently, universities must be innovative in how they approach and use the financial and human resources available to them. Moreover, they are now constantly charged with the additional challenge of finding untapped resources and new ways of effectively and efficiently doing business.

College and university academic departments also have a responsibility to contribute to student learning and development by offering opportunities for students to gain experience in their selected discipline. The use of students to assist in higher education operations is not a new concept, (e.g., marketing assistants, student reporters, office workers, campus housing supervisors, recreational sport supervisors, lab technicians, medical residents, etc.), but data

identifying the most common uses of these students in the athletics compliance office has not been available until now. Additionally, in many sport management programs, industry experiences are used to complement and enhance classroom learning. These types of experiential learning opportunities are commonly called field experiences, internships, or practicums, with varying levels of integration into required (or elective) courses and supervision provided by faculty.

Today's sport industry professionals expect that students interested in sport careers develop their professional skills while in college through a combination of volunteer and internship experiences in a broad range of areas where functional area-specific skills are obtained. Working in the compliance office can enhance students' compliance knowledge, improve their leadership skills, and introduce them to their professional work-life.

## PURPOSE OF THE CHAPTER

The purpose of this chapter is to educate compliance administrators and sport management educators about the benefits they may see from placing students in intercollegiate athletic department compliance offices, how compliance officers should choose specific tasks based on the educational level of the student (undergraduate or graduate), challenges that may be faced by utilizing students in the compliance office, and the options available for both formal and informal relationships with academic units on campus.

## REVIEW OF LITERATURE

It is often said that athletics is the *front porch* of an institution (Nazarian, 2007). One can turn on ESPN any day of the week to see the front porch theory materialize as the media attention given to athletics trumps all other programs on campus. However, sometimes this media attention can be negative, especially when allegations of wrong-doing and violations of NCAA rules surface.

### The Impact of NCAA Rules Violations

NCAA rules violations not only result in negative publicity, but can also have far reaching effects on the institution. Researchers have found that NCAA sanctions may result in lower levels of donations to the institution and lower levels of student enrollment (Goff, 2000; Grimes and Chressanthis, 1994; Rhoads and Gerking, 2000). Specifically, Grimes and Chressanthis found that being on NCAA probation after a major violation resulted in a \$1.6 million negative impact on alumni donations to the institution. Another study found that alumni donations decreased by 13.6% after a university's basketball team was put on NCAA probation (Rhoads and Gerking). Conversely, Goff found no relationship between giving and NCAA violations, but rather student applications decreased 12% after a major violation. In the most recent study in this area, Hughes and Shank (2008) found mixed results when examining the impact of athletic department scandals. In fact, some universities reported increases in giving (alumni and corporate) following a scandal (Hughes and Shank).

However, they did find a negative correlation between enrollment and the scandal confirming the earlier work by Goff (Hughes and Shank).

### The Role of the Compliance Director

The role of the compliance director is complex and requires extensive knowledge of NCAA, conference, and campus rules and regulations. Frequently, the compliance director must think like a lawyer, while at other times he/she must think like a 17-year old recruit. It is a relatively new position that was "unheard of as recently as the mid-1980s, it has evolved from serving as one of several hats worn by a single individual to dedicated full-time appointments, often numbering three or four within a given Division I athletic department" (Steinbach, 2001, p. 48). The compliance director is responsible for the actions of all student-athletes, coaches, athletic department employees, and anyone who is identified as a representative of the institution's athletics interests (e.g., season ticket holders, booster club members in all sports, all alumni) (Max, n.d.; NCAA, 2000; NCAA, n.d. Bylaw 6.4). Additionally, compliance job descriptions include aspects of investigation and reporting of NCAA violations, certifying domestic and international student-athletes, preparing and maintaining squad lists, supervising and monitoring recruiting activities, managing the complimentary admissions process, overseeing countable athletics related activities, monitoring of team travel, approving team schedules, auditing and coordinating camps and clinics, monitoring and coordinating sports agent registrations, and being involved with compliance audits and reviews (Max, n.d.; Texas A and M, n.d.; University of Iowa, 2007).

Along with the official job duties, the compliance director also must create a climate of compliance that permeates the athletic department, institution, and community (Lawrence, 2007). In a single day, the compliance office may interact with parents, student-athletes, coaches, athletic boosters, university administrators, politicians, sports agents, local businesses, the NCAA, and the conference office. In this *culture of compliance* effort, the compliance director needs to balance the position of authority entrusted by the institution with a normative demeanor of collegiality toward relationships with the coaching staff, without the contributions of whom neither party may perform well. Oftentimes, all of this falls to a full-time staff of one or two individuals.

Different from most other positions in the athletic department, compliance directors are involved in all aspects of athletic operations. They must know, and be involved in, what is going on in marketing, media relations, athletic training, ticketing, all of the sport teams, and be in-tune with student-athletes (Copeland, 2008). Coaches can perceive the compliance staff as the "greatest and the worst - all within a 24-hour day" (Toliver, 2007, p. 4). The compliance department has even been called a *necessary evil* by some in the industry (Toliver). But, the compliance office is the first line of defense to protect the image and integrity of the athletic department.

### The Impact of the Economy

Intercollegiate athletics is not immune to the current economic downturn in the United States and its impact on higher education. In addition to broad cutbacks across most facets of

intercollegiate athletic business operations, athletic departments are facing the elimination of teams, coaches, and staff positions as well as reductions in travel budgets and salaries (Billings, 2009; Cleary, 2009; Maher, 2009; Staples, 2008; Watson, 2009). This phenomenon is so widespread that some conferences have even proposed NCAA legislation that would help to cut costs for all institutions such as prohibiting teams from staying in hotels the night before home contests (Carmin, 2009). As such, athletic departments are looking for ways to become more cost efficient in their operations. One way to reduce costs is to utilize students to assist in the compliance operations of the department.

### Experiential Learning in Sport Management

National standards created by the North American Society for Sport Management endorse the inclusion of a field experience at the undergraduate and graduate levels of professional preparation (Schneider and Stier, 2006). Internships have become a common component of the sport management curriculum (Stier and Schneider, 2000), and sport management education researchers have found that field experiences (such as working in a compliance office) are rated by sport practitioners as the most important content area for sport management curricula (Petersen and Pierce, 2009). There is a natural synergy between athletic department offices and sport management programs on college and university campuses. Often sport management programs are seeking field experience or internship opportunities for students, and athletic offices are in need of additional help to manage their large volume of work. With approximately 24,000 undergraduates majoring in sports administration in 2009-10 (King, 2009) and compliance personnel besieged with a daunting amount of procedural paperwork, the effective utilization of sport management students in the compliance office warrants investigation.

## METHODOLOGY

The National Association of Collegiate Directors of Athletics (NACDA) national office distributed a thirteen-item online survey created by the researchers in Survey Monkey to 423 compliance officers with a membership in the National Association for Athletics Compliance (NAAC). The NACDA office was utilized because it oversees the operation of the NAAC, an organization that fosters professional standards and professional development opportunities for compliance personnel in intercollegiate athletics (NAAC, n.d.). Researchers received 122 usable responses, representing a 28.8% response rate. Eighty six percent of the respondents were from Division I, thirteen percent from Division II, and only one percent from Division III. All three divisions were included in data analysis to ensure the broadest possible sample was available for analysis. The mean number of years respondents had worked in compliance was 8.1 years (SD = 5.4). Respondents reported a mean compliance staff size of 2.9 full-time employees (SD = 1.8) and 2.1 part-time employees (SD = 1.3).

The NACDA office sent NAAC members a letter of invitation in February requesting their members complete the study. After one week, a reminder email was sent, and after two weeks an announcement was included in a monthly newsletter distributed by NAAC. Data

collection closed one month after the initial email. The survey took respondents approximately ten minutes to complete.

The first section of the survey addressed the number of full and part time staff working in compliance, and the second section addressed student workers with respect to the number of students working in compliance, average hours worked per week, length of experience, and method of acquiring student workers. The third section addressed issues related to the administration of the compliance office internships, including the presence of formal relationships with academic units, home department of the best workers, requirement of academic credit, and existence of formal evaluation processes.

Finally, the fourth section asked compliance officers to identify NCAA bylaws for which student workers had monitoring responsibilities and the most important bylaws monitored by student workers. Once these bylaws were identified, five compliance officers from Division I institutions were asked to submit key tasks completed by their undergraduate and graduate students in each bylaw.

### DEFINITIONS

For this chapter, four types of student workers were identified. Graduate assistants (GA) were defined as graduate students receiving tuition remission and/or a stipend. Graduate Interns-Externs-Practicums (GIEP) were defined as graduate students receiving academic credit and/or some type of compensation. Undergraduate Interns-Externs-Practicums (UIEP) were defined as undergraduate students receiving academic credit and/or some type of compensation. Finally, student volunteers (SV) were defined as any type of student working in compliance that was receiving neither academic credit nor compensation.

### RESULTS

Overall, the results indicated that most compliance directors use student workers to assist them in the compliance office. Three-fourths of the respondents reported using student workers in compliance, while one-third of the respondents reported using each of the four types of student workers. Each type of student worker was essentially used equally by compliance offices. GIEPs accounted for 28% of all student workers in compliance, SVs accounted for 26%, UIEPs accounted for 25%, and GAs were 21%.

#### Method of Identifying Student Workers

With respect to how compliance officers secure student workers, by far the most common approach was to be approached by students, followed by the use of formal relationships with academic departments on campus, and the least frequently used method was to use a national search. Formal relationships were defined as "written or verbal agreements to consistently utilize students from a specific academic unit." Figure 1 identifies the number of institutions that reported being approached by students, using formal relationships, and performing a national search for all four types of student workers.

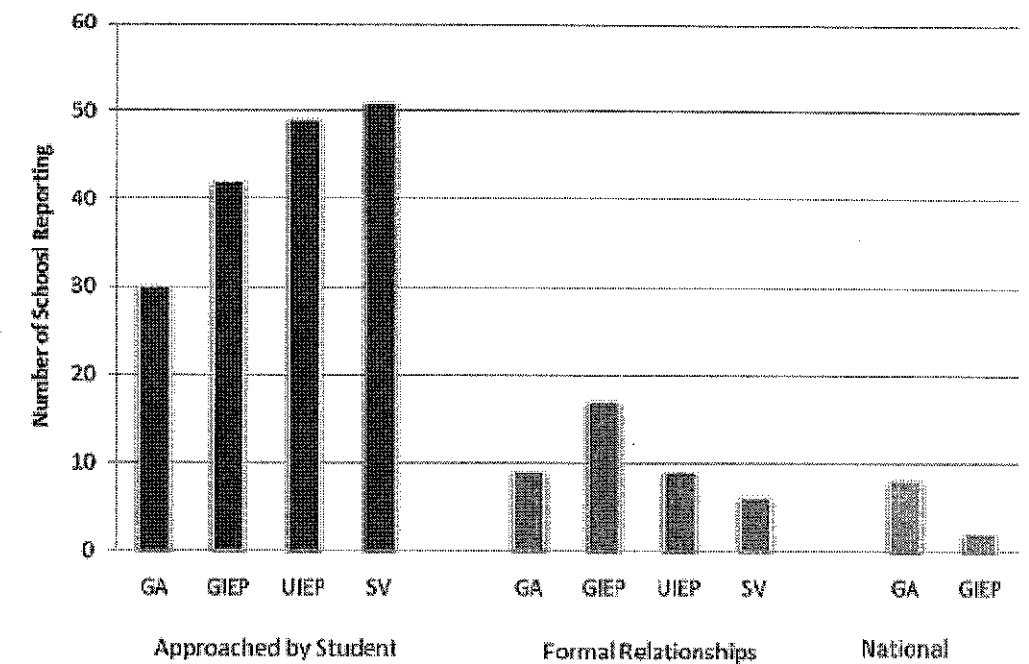


Figure 1. Acquisition of Student Workers.

Formal relationships were utilized by 36.9% of the respondents in the survey. Of those institutions reporting the use of formal relationships, 55.5% reported establishing a formal relationship with the law school and 37.8% established a formal relationship with the sport management department. Similar results were found when respondents were asked to identify the programmatic areas from which they receive the best workers, with sport management students accounting for 43.2% and law students accounting for 37.2%. Business students accounted for 15.1% of the best student workers, while journalism and communication accounted for the remaining 4.5%. Additionally, only 12.8% of compliance officers required the receipt of academic credit as a requirement for working in the compliance office.

#### Performance Appraisal and Evaluation

With respect to how compliance officers administered the student worker's experience, only 37.8% of compliance officers formally evaluated the performance of their student workers, and 21.8% allowed the student to formally evaluate their own experience as a student worker. Additionally, only 12.8% of compliance offices required the receipt of academic credit as a requirement for working in the compliance office. However, a relationship was found between the number of years a compliance officer had been working in compliance and the likelihood that a formal evaluation process was in place. Compliance officers with more than ten years of experience were more likely to formally evaluate student performance [ $\chi^2 (2, N = 95) = 6.2, p = .046$ ] and offer an opportunity for students to evaluate their own experience [ $\chi^2 (2, N = 95) = 7.3, p = .027$ ] than compliance officers with less than five years of experience.

A significant relationship was also found between the use of formal relationships with academic units and the structure of the experience. Compliance offices that utilized formal relationships with academic units were more likely to require students to receive academic credit for their internship experience [ $\chi^2 (1, N = 95) = 4.9, p = .027$ ], engage in a process to formally evaluate the student's performance [ $\chi^2 (1, N = 95) = 11.3, p = .001$ ], and offer the students an opportunity to formally evaluate their experience [ $\chi^2 (1, N = 95) = 7.8, p = .005$ ].

A significant relationship was also found between staff size and the use of student workers. Compliance offices with a full-time staff of one person were less likely than a compliance office that had a full-time staff of four or more to utilize student workers [ $\chi^2 (2, N = 122) = 22.7, p = .001$ ] and less likely to establish formal relationships with academic departments [ $\chi^2 (2, N = 122) = 8.1, p = .018$ ].

### Hours Worked

The amount of time invested by each of the four types of student workers was also examined. The median number of hours worked per week for GAs was 20, followed by GIEPs and UIEPs with 15 hours per week, and SVs at 10 hours. GAs tended to have the greatest length of experience, as GAs accounted for 57.5% of all student workers spending two years working in compliance. GIEPs, UIEPs, and SVs tended to stay in the compliance office for either one semester or one year, as 81.3% of these types of student workers spent either one semester or one year working in the compliance office.

### Student Worker Responsibilities

Finally, from a comprehensive list of NCAA bylaws, compliance officers were asked to "identify bylaws for which students have some responsibility" and to "identify the five most important bylaws for which students have some responsibilities." The same six bylaws were marked the greatest number of times for each question. Bylaw 13.1 contacts and evaluations, 13.6 official visits, 12.4 employment, 17.1 general playing season regulations, 13.7 unofficial visits, and 16.2 complimentary admissions and ticket benefits were identified by compliance officers for both questions. Table 1 displays the percentage of compliance officers that utilized student workers for a particular bylaw, and Table 2 displays the percentage that indicated the bylaw was the most important area of student responsibility.

**Table 1. Percentage of Compliance Officers Indicating Student Workers have Responsibility in Bylaw**

Bylaw	Percentage
13.1	53.8
13.6	50.5
12.4	47.3
17.1	47.3
13.7	35.5
16.2	34.4

**Table 2. Percentage of Compliance Officers Indicating Bylaw is Most Important Area of Student Responsibility**

Bylaw	Percentage
13.1	49.5
13.6	47.3
12.4	23.7
17.1	30.1
13.7	22.6
16.2	20.4

## DISCUSSION AND IMPLICATIONS

Twenty five percent of the compliance directors in this chapter indicated they do not use any type of student workers, and compliance directors working as the only staff member in compliance were less likely to use student workers than compliance offices with four or more staff members. Perhaps one reason why some compliance directors, particularly those who operate the compliance office by themselves, may choose to not use student workers is the commitment of time, energy, and possibly funding as in the case of a GA. Another possible reason for not using student workers maybe be that the institution does not offer academic majors related to sport management and therefore the compliance director is unsure where to obtain help. Finally, there are issues of confidentiality that are especially relevant when dealing with undergraduate students possibly having access to sensitive and confidential information housed in the compliance office. Tricia Turley, Associate Athletic Director, Compliance and Student Services at Ohio University chooses not to use undergraduates in the compliance office because she is concerned that sensitive information will be shared by the students (e.g., Facebook, Twitter, blogs, gossip, etc.) resulting in damage to particular student-athletes or the institution (personal communication, January 20, 2009). With substantially fewer graduate programs than undergraduate programs in the United States, this might be another factor contributing to the lack of student workers in some compliance offices.

The results and recommendations emanating from this research can be utilized by compliance directors yet to see the benefits of student workers in order to affect the efficiency of a compliance office. In addition to learning how to teach students and delegate tasks, compliance personnel must identify appropriate tasks to be completed by undergraduate and graduate students, manage student expectations and understand their knowledge base, consider the development of formal relationships with academic units on campus, develop a system of evaluation, mediate the risk of sensitive information being shared, and understand the inherent challenges that exist when working with students.

### Student Responsibilities

Determining how students can best contribute to the compliance office can be a challenge. One of the goals of this research was to identify those NCAA Bylaws which are

appropriate for students to monitor. Results indicated that six bylaws were common for students to be involved with as well as the most important bylaws for which students have some responsibility, and four of the six were in the areas of recruiting and benefits. In a 1999 study (Mahony, et al.) it was found that the most common NCAA violations were in the areas of recruiting and impermissible benefits. These two areas emerged as common areas in which students are used to monitor compliance. By using students to help monitor bylaws 13.1, 13.6, 12.4, 17.1, 13.7, and 16.2, the compliance office can become stronger in these areas while at the same time providing vital education to students about complex legislation. Table 3 offers tasks that can be completed by undergraduate and graduate students as recommended by five Division I compliance officers.

**Table 3. Suggestions for Student Responsibilities in Compliance**

Bylaw	Undergraduate	Graduate
13.1	<ul style="list-style-type: none"> <li>Track active recruits for each sport</li> <li>Collect and monitor monthly phone declaration form</li> <li>Monitor telephone call logs</li> <li>Track permissible off-campus recruiters</li> </ul>	<ul style="list-style-type: none"> <li>Monitor business office records of coaches' recruiting travel</li> <li>Monitor permissible contacts and evaluations</li> </ul>
13.6	<ul style="list-style-type: none"> <li>Conduct initial review of post-visit paperwork to ensure thoroughness</li> </ul>	<ul style="list-style-type: none"> <li>Review pre-visit paperwork</li> <li>Perform transcript evaluation</li> <li>After visit, monitor travel, transportation, visit length, meals, lodging, entertainment, 30-mile radius, student host information, and recruiting aids</li> </ul>
12.4	<ul style="list-style-type: none"> <li>Assist in employment form collection</li> <li>Send form letters to employers</li> </ul>	<ul style="list-style-type: none"> <li>Create database of employers</li> <li>Update checklist when employer submits gross earnings forms</li> <li>Prepare non-compliance letters to be sent to employers</li> </ul>
17.1	<ul style="list-style-type: none"> <li>Confirm all medical exams current</li> <li>Send reminders about important dates</li> <li>In-person spot check of practices</li> <li>Data entry of playing season info in CAi</li> </ul>	<ul style="list-style-type: none"> <li>Monitor practice plans for excess practice time, mandatory days off, missed class time</li> <li>Cross-check SA verification of practice time coach's practice report</li> </ul>
13.7	<ul style="list-style-type: none"> <li>Track complimentary admissions' records on recruiting logs</li> </ul>	<ul style="list-style-type: none"> <li>Review unofficial visit forms to ensure proper lodging, meals, transportation, and recruiting aids</li> </ul>
16.2	<ul style="list-style-type: none"> <li>Verify no more than 4 tickets per SA</li> <li>Verify that guests have been approved</li> <li>Verify tickets have been transferred properly among SAs</li> </ul>	<ul style="list-style-type: none"> <li>Call individuals on guest list</li> <li>Verify ticket office is checking photo ID, guests are signing for ticket, and that prospective student-athlete recipients are eligible to receive tickets</li> </ul>

*Contacts and evaluations.* Undergraduate students can assist compliance directors in the area of contacts and evaluations by collecting and processing documentation provided by coaches. For example, students can track the recruits for each sport by obtaining an updated list of recruits from each coach twice per semester, and they can collect and monitor monthly phone declaration forms submitted by coaches. Undergraduate students can also track permissible off-campus recruiters for each sport. Graduate students, on the other hand, can handle more complex tasks such as monitoring business office records of coaches' travel while recruiting to ensure that recruiting occurs only during permissible recruiting periods and not during quiet or dead periods. Graduate students can also monitor permissible contacts and evaluations by examining reports submitted by coaches summarizing their off-campus recruiting interactions with prospective athletes.

*Recruiting visits.* Undergraduate students can assist compliance directors in the area of official visits by conducting the initial review of post-visit paperwork to ensure that all appropriate paperwork is completely filled out, signed, dated, and that all receipts are attached. For unofficial visits, undergraduate students can track complimentary admissions' records on recruiting logs to make sure all unofficial visits are accounted for on each prospect and that none occurred during a dead period. Graduate students can offer more analytical assistance by comparing submitted paperwork to the rules. For example, before official visits a graduate student can examine test scores and transcripts, submit pre-approval forms to the coach, and enter all pertinent information about the prospect into the institution's prospect database. After unofficial and official visits are complete, graduate students can examine the completed paperwork to ensure compliance with rules regarding travel, transportation, length of visit, meals, lodging, entertainment, the 30-mile radius rule, student hosts, and impermissible recruiting aids.

*Employment.* Undergraduate students can assist compliance directors in the area of employment by organizing and collecting paperwork such as employment forms from student-athletes, mass mailings to local businesses regarding NCAA employment regulations, and tracking spot checks completed on employers. Graduate students can complete more advanced tasks such as creating a database of employers used by athletes during each academic year, conducting spot checks at local businesses, preparing letters of non-compliance to be sent to area employers, and tracking gross earnings forms submitted to the compliance office by area employers.

*Playing and practice seasons.* Suggestions for undergraduate tasks to be completed in the area of playing and practice seasons are focused on placing the student in situations where they can be visible and get to know players and coaches. For example, undergraduate students can perform spot-checks of practices and conditioning sessions for compliance with practice length and permissible coaches. They can also create and/or distribute educational materials (e.g., tobacco use, nutrition, hazing, etc.) to student-athletes, perform data entry of playing season information into the Compliance Assistant (CAi), maintain a log of all electronic and in-person practice monitoring efforts employed by the compliance office, and distribute reminders to coaches concerning certain practice benchmarks such as finals weeks. Graduate students can prepare the academic year practice and playing season synopsis that is delivered to athletes and coaches detailing dates of in-season, out-of-season, and vacation period rules specific to their playing season.

Additionally, graduate students can obtain monthly practice plans from coaches to review for possible excess practice time, mandatory days off, and potential class time conflicts;

collect and analyze end-of-month practice logs in accordance with practice time limits, and coordinate the verification of practice time from student-athletes (comparing student-athlete practice log to coach's practice report).

*Complimentary admission.* Students can execute the tedious task of monitoring complimentary admission to athletic events. Before the game, students can verify that each student-athlete received no more than four tickets, that guests have been approved by the institution, and that tickets have been transferred properly amongst student-athletes. On game day, students can verify that the ticket office is checking photo identification of complimentary ticket holders and having them sign for the ticket, verify that all coaches on the list are actually high school coaches, and that all prospective student-athlete ticket recipients are eligible to receive tickets.

### Student Expectations, Motivations, and Knowledge Base

According to Stratta (2004), students are looking for opportunities that facilitate future employment through developing professional relationships, in the form of establishing their professional reputation and network. They are also seeking to develop their professional abilities through selecting an internship site that allows them to meet their professional goals and exposes them to professional challenges. Students are eager to succeed in their chosen professional path, but their understanding of the prerequisites of success can be somewhat limited. This is especially true in the field of compliance because it is not a topic commonly taught in depth in the classroom. All four types of student workers can be an asset to the compliance office, but an understanding of the knowledge base and academic competencies of students is important so that appropriate education, training, and task assignment takes place. Additionally, all students will bring with them a set of expectations as to their anticipated personal and professional benefits from working in the compliance office. For the purposes of this discussion, the level of education (i.e., graduate vs. undergraduate) will be used to discuss their expectations, motivations, and knowledge base.

As early as 1993, it was predicted that lawyers would become more commonplace in athletic compliance offices (Lea and Loughman, 1993). Ten years later, it was found that approximately 10% of compliance directors (defined as the highest ranking compliance official at the institution) had a law degree (Lawrence, 2003). Today, this trend continues with law students seeking experience in compliance and pursuing a career path in athletics compliance. Law students and graduate sport management students will bring a similar set of expectations to their experience. They will likely already be focused on a future career path within intercollegiate athletics and will seek out a specific compliance experience as a way to further their knowledge in the field and make themselves more marketable upon graduation. As such, graduate students will have an expectation of being treated as an additional member of the staff and desire to have autonomy and control over some projects.

The compliance knowledge will vary significantly from student to student, so even with graduate students basic compliance education is important. For those individuals with a pre-established time commitment (e.g., one semester, one year, or two years), the full-time compliance personnel should delegate a set of responsibilities for the graduate student to take ownership of during their time. This not only provides the student with valuable work

experience, but also provides the full-time staff with a measure of consistency and reliability. These duties can carry over from year to year and graduate student to graduate student.

Graduate students will also expect that the experience will prepare them to step immediately into a full-time compliance job. Exposure to all compliance issues, office operations, and job responsibilities is essential for graduate students to get a full experience of working in compliance. This includes exposure to a variety of tasks, invitations to staff meetings, sharing as much as possible about specific student-athlete cases, and daily interaction with the full-time staff. As shown in Table 3, graduate students can interpret business office records, analyze recruiting logs, assess official visit paperwork and determine if NCAA rules were followed, prepare calendars, and verify practice time. Graduate students can also provide rules education to student-athletes and staff, create and distribute compliance notices and newsletters, manage complex databases, and research the Legislative Services Database (LSDBi) for interpretation and case precedent relevant to waivers and reinstatement cases.

Most undergraduate students will enter a compliance office with different expectations than graduate students. Undergraduate students may not even understand what compliance is or whether or not they are seeking a career in intercollegiate athletics. Because of this, many undergraduates have an extremely limited understanding of the field and will be looking to gain general knowledge and experience.

In some instances, undergraduates may not be in sport focused majors, especially at institutions that do not offer sport management programs. Therefore, they may view the experience as an opportunity to see what it is like to work in an athletic department. Given their lack of exposure to sport management and specifically compliance prior to entering the office, it is likely that some fundamental information on how an athletic department functions and rudimentary compliance training is needed before they take on any tasks.

A compliance office that offers opportunities for undergraduates should seek to offer a broad-based look into the world of compliance to maximize the students' understanding of the field. Meaningful, yet low-risk, tasks are ideal for these students. As shown in Table 3, undergraduate students can collect, track, and verify various documents such as phone logs, complimentary admissions, and post-official visit paperwork. Undergraduate students can benefit from any exposure to the NCAA Manual, the LSDBi, the general responsibilities of a compliance director, and a professional work environment.

What graduate and undergraduate students do have in common is the desire to be seen as valuable members of the compliance team. According to Cuneen and Sidwell (1994), sport organizations utilizing interns should accept the intern as a functional member of the staff and integrate the intern into all appropriate activities, programs, and projects. Both graduate and undergraduate student workers should understand there will be menial tasks along the way, but the compliance office staff should integrate quality learning opportunities into the experience as well. The ability for both undergraduate and graduate students to do meaningful work that will translate well onto their resume is also a common expectation. Internships and practical experience is much of what will differentiate these students from one another when they graduate and pursue positions in intercollegiate athletics.

### Relationships with Academic Units

For compliance directors not already working with academic units, a formal relationship might be beneficial in that access to students is increased, and when students receive academic credit for their experience there is usually some structure inherent in the work experience (e.g., evaluation forms, required hours). Results indicated that 36.8% of respondents did have a formal relationship with an academic unit. The best workers were reported to come from sport management and the law school so, if available, these units should be explored first.

Compliance officers have an extremely busy schedule, so reaching out to an academic unit to begin conversations on working together is a daunting task, which may explain why athletic departments with only one compliance officer were less likely to utilize formal relationships than compliance offices with a larger staff size. Historically, academic units have been considered slow to act and do not understand the sense of urgency that is common within athletic departments. However, the competitiveness of the sport industry has made many academicians eager to develop relationships with sport organizations and on-campus athletic departments as a way for students to get experience in a variety of areas. Many academic units now have an internship coordinator, which streamlines the entire process of establishing student work opportunities and provides credibility and integrity for the internship program (Young and Baker, 2004).

Compliance directors will find themselves receiving inquiries from students in a variety of majors including business, journalism, and education administration. Due to time constraints, many times the squeaky wheel gets the grease. In other words, the students who are persistent in following up regarding their resume, interview, etc., are the ones who succeed in getting a work opportunity. A formal or informal relationship with an academic unit can help to avoid this type of situation. The types of relationships a compliance director can establish with an academic unit are endless, but there are a few that are common.

To establish an informal relationship with academics, the compliance director can simply make academic units aware of opportunities in compliance. This can be done by sending copies of internship announcements to academic units or by calling the internship coordinator or department head. Many academic units have list serves, blogs, websites, databases, bulletin boards, or notebooks listing all of the available opportunities for students. To be more involved, the compliance director might volunteer to speak to classes about the opportunities or even guest lecture on a compliance related topic. Beyond the initial contact, the compliance director can retain complete control over the hiring process.

To establish a more formal relationship, and transfer more workload to the academic unit, an internship or practicum experience can be established for a student from a specific major. The internship coordinator or department head can screen the applicants and only forward the top five or 10 to the compliance director for review. This will eliminate much of the initial time in seeking out qualified candidates. This format can be taken a step further where the compliance office is "sent" an intern that is selected by the academic unit. Criteria can still be pre-established by the compliance office, but the academic unit takes on the work of interviewing and screening. Of course, there must be an element of trust between compliance and academics to make this work. This type of relationship benefits both athletics and academics since a student is provided a great experience and athletics receives a student worker without much upfront time and effort.

The results of this chapter are counterintuitive since it was found that compliance offices with a full-time staff of one person were significantly less likely than a compliance office that had a full-time staff of four or more to utilize student workers and less likely to establish formal relationships with academic departments. These offices with small staff could see a great benefit in establishing a formal relationship with an academic unit so the compliance officer can shift some of the daily monitoring tasks to students and focus on other important duties of the job.

### Formal Evaluation Process

Student internships in compliance could be strengthened by wide-spread implementation of a formal evaluation process. A majority of compliance internships did not include a formal appraisal of student performance. Results indicated that only 37.8% of compliance officers formally evaluated the performance of their student workers, and 21.8% allowed the student to formally evaluate their own experience as a student worker. However, seasoned compliance directors and those obtaining students through formal relationships were more likely to engage in a formal evaluation process. Compliance directors with more than ten years of experience were more likely to engage in a formal evaluation process than those with less than five years of experience, and compliance directors obtaining student talent through a formal relationship with an academic unit on campus were more likely to engage in a formal evaluation process than compliance office's not engaged in a formal relationship.

It is important for the number of institutions engaging in a formal evaluation process to increase because compliance directors themselves value assessment in their own job satisfaction. According to Lawrence (2007), 41.8% of overall job satisfaction for compliance directors was predicted by the presence of supportive evaluation procedures. In terms of procedure, Sutton (1989) noted that the evaluation procedure should be utilized at the end of the internship experience and should include the level and quality of work performed, reliability and dependability, creativity, and judgment. Cuneen and Sidwell (1994) recommended that sport organizations engage in ongoing evaluation of an intern's performance and listen to suggestions the intern might offer for improving the experience. Young and Baker (2004) recommended formal midterm and final performance appraisals be submitted by the site supervisor, while Kelley (2004) noted, "the intern should evaluate the experience in relation to whether his or her needs and expectations were met" (p. 29).

### Confidentiality

Confidential and sensitive information is abundant in the compliance office and compliance directors should be cautious about allowing access to sensitive documents and conversations to students. Graduate students can be expected to maintain a high level of professional maturity with respect to confidentiality, but undergraduates should be involved in the office for a period of time before being given access to sensitive information. In the age of social media, a student who leaks sensitive information can rapidly cause a great deal of harm to particular student-athletes or the institution. This is considered one of the barriers in using student workers in the compliance office, but with strict protocols and careful selection



of student workers, the risk can be mediated effectively. Students rely on positive recommendations of all those they work for and with while in college to help them secure a job. Thus, compliance directors should be clear in that proper handling of all information shared during the experience is a critical factor related to whether or not a recommendation will be provided for future employment. Any breach of protocol should also be reported to the student's academic unit so it can be addressed in that setting as well. All student workers should also sign confidentiality agreements as well as be educated on the nature of the information they will be exposed to while performing their duties.

### Challenges Inherent When Using Student Workers

Some of the challenges faced by compliance personnel when utilizing student workers are the same challenges faced by all internship site supervisors. For example, identifying and recruiting quality students, determining appropriate objectives, resolving problems with students, and meeting student expectations are faced by most personnel supervising interns (Williams, 2004). However, there are also challenges that are unique to compliance. First, as a result of placing students in a role of monitoring and tracking items such as phone calls and expense logs, there is a possibility that the student might overlook potential NCAA rules violations. NCAA rules violations have a far-reaching impact on the institution, so trusting that student workers have enough knowledge to accurately monitor the bylaws assigned to them is a risk. This risk can be mediated by educational efforts and encouraging students to ask their supervisor when they have a question. Second, much of the work in compliance is exceptionally time sensitive, making it difficult to create meaningful work opportunities for individual students that may only be in the office once or twice a week.

### CONCLUSION

The overarching purpose of this chapter was to explore the most effective use of students within the compliance office and how to best structure the compliance office to create synergy between athletic and academic units. As such, the authors presented information with the intent of educating compliance administrators about the benefits they may see from integrating student workers into their operations, how to choose specific tasks based on the level of student (undergraduate vs. graduate), and options as to both informal and formal relationships with academic units.

The exposure to the industry, the real-life skills, and research tools provided by compliance internships may be a differentiating factor for intercollegiate athletics administration candidates. Be it from law, sport management, or other units, these interns can make a difference in an athletic compliance environment, and perhaps instrumentally contribute to maintaining that elusive balance between policing coaches and student-athletes, and working together with them for the benefit of everyone and the institution as a whole.

### Limitations

As with most academic research, there were some recognized limitations within this chapter. First, it was assumed that the NAAC membership list was the appropriate population from which to recruit participants. It is possible that members of NAAC share some characteristics that could skew the collected data. Second, an assumption was made that February was the appropriate time of year to collect data on this topic. February was selected after consulting with practicing compliance administrators and was identified as an appropriate time to collect data. Third, the experience of the students in the compliance office was not evaluated so many of the conclusions drawn in this chapter are based off of the authors personal interactions with law and sport management students who have been student workers in a compliance office, the authors own experiences as student workers in a compliance office, and information gathered from compliance administrators and NAAC.

### Future Research

As a result of this work, it has become clear that there are many valuable opportunities for future academic contributions and interdisciplinary collaborative projects between practitioners and researchers. Specifically, the experience of the compliance intern was not assessed in the current chapter and obtaining information from the students working in the compliance office will provide for a more comprehensive understanding of their experiences. There are also opportunities to conduct research in policy and management matters, especially those areas that are of relevance to compliance administrators (i.e., NCAA policy formation, NCAA policy life-cycle, differences in policy amongst NCAA divisions). Furthermore, it is important to note that this research opens future research directions in which interns' experiences can be measured against compliance directors' expectations and perceptions.

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