

University of Texas at Austin Intercollegiate Athletics

Integrating Institutional Risk Management into Athletics at The University of Texas

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Integrating Institutional Risk Management into Athletics

- Evolution of the Idea and Structure
- Implementation of the Concept
- Vision for Future

Evolution of the Idea

How and why we established athletics risk management department:

- UT System Initiative
- UT Austin Presidential Reorganization
- Athletics Department Evolution

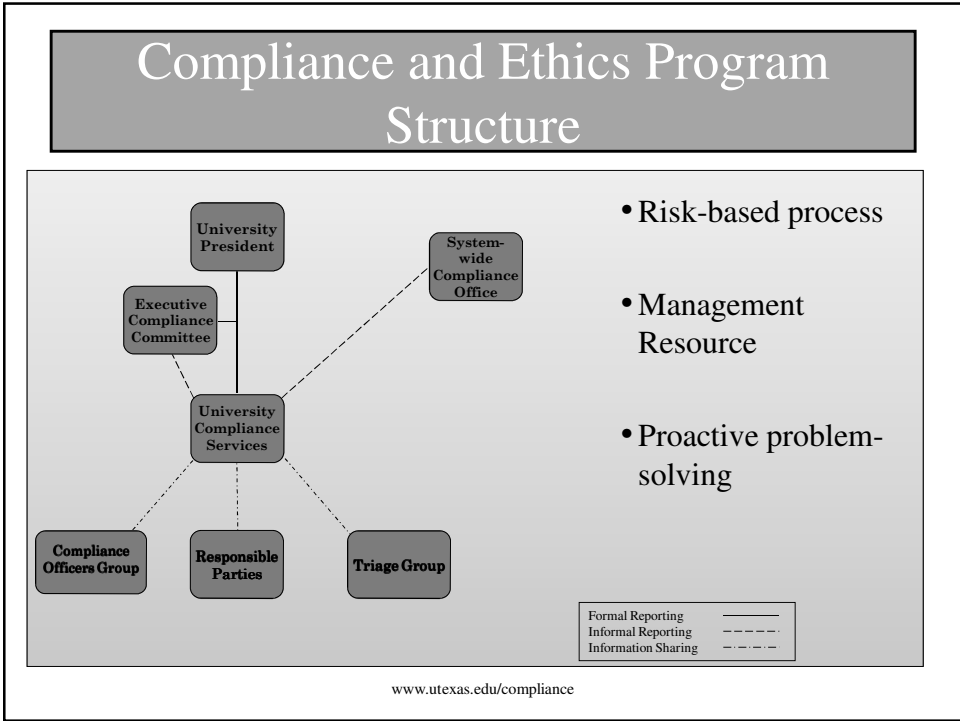
Evolution of the Idea

UT System

- 1998 Plan of Action
- Development of institutional level compliance programs

UT Austin President's Office

- President's Background in Compliance
- Efforts to Heighten Status of Institutional Compliance Office
- Establishment of Executive Compliance Committee



- ## Executive Compliance Committee Membership
- | | |
|---|---|
| <ul style="list-style-type: none"> • President • Deputy to the President (Internal) • Provost • VP – Legal Affairs • VP – Research • Chief Financial Officer • VP – Employee and Campus Services | <ul style="list-style-type: none"> • VP – Information Technology • VP – Student Affairs • Athletics Director • Director of Internal Audits • Presidential Appointees |
|---|---|

Evolution of the Idea

Managing the change in Athletics

- Athletics Director on Executive Compliance Committee
- Departmental Growth
- Financial Growth
- Compliance Grass Roots Observations

Gaps in Athletics Department Operations

Athletics Directors' Perspective

Areas of need:

- Support campus culture of compliance
- Become **proactive** vs. reactive
- Programmatic education and effective communication on compliance and risk expectations
- Have adequate checks and balances
- Assurance that the department is adequately protecting reputation and assets

Implementation of the Concept

- Integration of NCAA Compliance
- Institutional risks
- Departmental legal risks
- Departmental financial and operational risks

Organization and Structure

- Creation of the Executive Risk Management/
Quality Assurance Committee
- Defined objectives
- Hired two risk managers
- Expanded to Athletics Compliance Services

Rebranding of Athletics Compliance

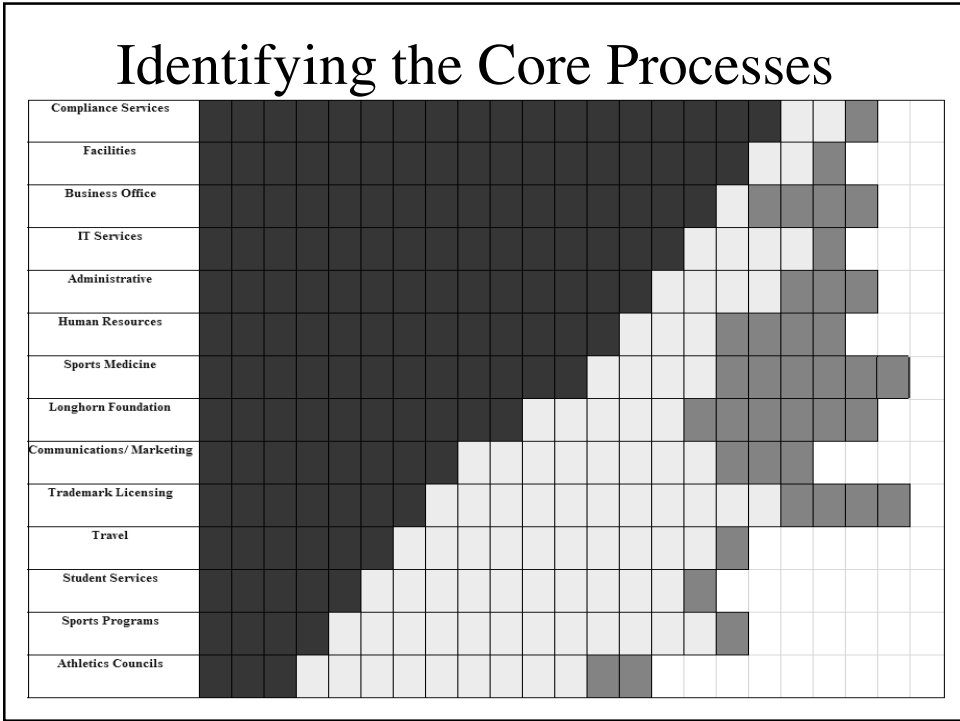
- From Athletics Compliance Office to Athletics Compliance Services
- Obtained Society of Corporate Compliance and Ethics designations
- Initial introduction to Coaches and Athletics Staff

Implementation of the Concept

Created Institutional Checks and Balances

By Consulting with:

- President's Office, Deputy to the President
- University Compliance Services, Director
- Office of Internal Audits, Director



Travel Risks and Controls

Example of risks

- Failure to ensure that employees are appropriately prepared for travel before leaving
- Failure to ensure all supplier contracts are best value for Athletics
- Failure to ensure database of traveler’s critical information is maintained and up to date

Example of controls

- All trips include an itinerary which is generated automatically and delivered to traveler/ admin when booked
- The Travel Manager negotiates best rates/ services with all suppliers
- All personal information required by the Transportation Security Administration is maintained and updated in all airline reservation systems

Trademark Licensing Risks and Controls

Example of Risks

- Failure to protect and maintain brand integrity
- Failure to manage external contractual relationships
- Failure to conduct accurate cost/benefit analysis when deciding to initiate lawsuits over trademark

Example of Controls

- All samples of finished products are reviewed and approved prior to production and distribution
- TL staff attends ICLA and CLC seminars
- Legal counsel is obtained when warranted (both outside counsel and CLC legal)

Development of an Athletics Education Plan

- Identify staff education needs
- Identify training currently available
- Identify appropriate trainers
- Work with trainers to develop additional needed training
- Identify best delivery methods

Development of an Athletics Education Plan						
Description	Class	Trainer	Who is required	Length	Frequency	Description
Use of UT Austin Property	CW 102	University Compliance Module	All employees	4 minutes	Once	This module covers the proper use of U.T. Austin property.
Gifts and Gratuities	CW 106	University Compliance Module	All employees	4 minutes	Once	This Compliance Program training module on Gifts and Gratuities will provide you with some guidelines on what you may and may not accept in exchange for conducting your official job duties. These guidelines will help protect you and the University from perceptions that you are mishandling your responsibility.
Safety and Security	UTPD	UTPD	All Athletics Staff	1 hour	Every 2 years	UTPD has offered to speak to all Athletics employees regarding things to help protect both employee safety and University equipment.

Merging Two Worlds into One

Optimizing Institutional Control by merging

- NCAA risks
- Legal, financial and operational risks

Contact Information

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