

**ADELPHI UNIVERSITY**



**COMPLIANCE POLICIES AND PROCEDURES**

## Table of Contents

Overview of Athletic Program .....	3
Certification of Compliance .....	4
Student-Athlete Eligibility .....	6
Recruiting .....	10
Financial Aid .....	15
Waivers .....	18
Gambling and Ethical Conduct .....	20
Playing and Practice Seasons .....	20
Camps and Clinics .....	20
Amateurism .....	21
Complimentary Admissions .....	22
Coaching Staff Limitations and Contracts .....	22
Athletic Restrictions .....	22
Athletics Equipment and Apparel .....	22
Boosters and Extra Benefits .....	23

## **OVERVIEW OF COMPLIANCE PROGRAM**

Strict observance of rules and regulations contributes to the success of our athletic program. Adelphi University is committed to the principles of institutional control in operating its athletics program, and it is the responsibility of the university administration, senior athletic department professionals, all full-time and part-time staff members and student-athletes to adhere to all regulations created for the governance of intercollegiate athletics as set forth by the NCAA, the Northeast 10 Conference and other affiliations.

Each individual involved in intercollegiate athletics, from student-athletes, to coaching staff members, to boosters, are obligated to maintain competency with respect to knowledge of the rules; to act within his or her realm of responsibility in full compliance with the governing legislation; and to report any violation of NCAA, conference and/ or institutional rules of which he or she is aware.

Since the concept of institutional control is central and fundamental to the effectiveness of the institution's compliance effort, this manual was designed to identify the numerous topic areas important to an institution's compliance program and weave the concepts of institutional control within each topic area. Each topic area has three distinct sections: 1.) Policies and procedures, 2.) Educational efforts and forms, and 3.) Monitoring. The policies and procedures section identifies the ways in which staff members, student-athletes and other staff members should conduct themselves within a given topic area. The educational efforts and forms section describes the forms coaching staff members and other employees should use within each topic area as well as the specific educational efforts provided by the compliance officer. The monitoring section is primarily for the internal and external review and evaluation of the institution's compliance effort in order to determine whether it is functioning and effective.

## **CERTIFICATION OF COMPLIANCE**

### **Policies and Procedures**

#### NCAA Principle of Institutional Control:

In accordance with the NCAA constitution, an institution has a responsibility to control its intercollegiate athletics program in compliance with NCAA rules and regulations. The institution is responsible for the actions of all its staff members and for the actions of any other individual or organization engaged in activities promoting the athletics interests of the institution. The institution's chief executive officer is responsible for the administration of all aspects of the athletics program.

#### Compliance Responsibilities:

Rules compliance is a collective institutional responsibility. All institutional staff members and other individuals and groups representing the institution's athletics interests are responsible for compliance with all applicable university, conference and NCAA rules. Each head coach has an inescapable responsibility for ensuring rules compliance.

#### Rules Interpretations:

Student-athletes, coaches, administrators, prospective student-athletes, athletics representatives and any other people affiliated with the university seeking rules interpretations can obtain them from the compliance officer. People not affiliated with the university will be directed to contact the NCAA national office or the Northeast 10 conference office for an official interpretation. A basic theme of the rules interpretation process is, "When in doubt, ask before acting." Interpretative questions will be answered as quickly as possible, and if the compliance officer needs additional guidance, it will contact the conference or the NCAA for assistance. Coaches are not authorized to contact the conference or NCAA office directly regarding interpretative questions. Coaches must read all compliance-related memorandums and e-mails from the compliance officer, as well as articles online in *The NCAA News* for regular rules-education and interpretation information.

#### Rules Education:

All athletics department and institutional personnel with key compliance duties have a responsibility to become knowledgeable of applicable NCAA, Conference and university rules and regulations. This should be done by reading the appropriate information and materials as they are provided (e.g. *The NCAA News*, *NCAA Manual*), attending scheduled rules-education sessions and seeking rules interpretations as necessary.

Each academic year, the compliance officer will conduct rules education sessions for coaches, athletics administrators, athletics support staff and student-athletes. Rules-education sessions will be conducted with other appropriate university personnel (e.g., registrar, admissions and financial aid) and external individuals (e.g., boosters) as necessary. These sessions will be supplemented by pertinent rules-education information and materials circulated to the appropriate constituents (e.g., rules memorandums, rules interpretations).

#### Violations of NCAA Rules:

The NCAA constitution requires an institution, as an obligation of membership, to monitor its athletics program to ensure compliance with NCAA rules and to identify and report to the NCAA instances in which compliance has not been achieved. To operate within the letter and spirit of NCAA rules and fulfill this membership obligation, it is the university's policy that all personnel report any and all situations in which the university is not in compliance with NCAA regulations to the director of athletics or compliance officer immediately upon learning that such a violation may have/had occurred.

### **How the institution has organized itself to maintain compliance with NCAA rules:**

The institution's CEO has assigned primary and ultimate responsibility for maintaining NCAA rules compliance to the Director of Athletics. The Director of Athletics has delegated this day-to-day responsibility to the Athletic Department Compliance Coordinator. The Compliance Coordinator, in collaboration with the institution's Compliance Team which includes, the Office of Admissions, the Office of Student Financial Services, and Office of Academic Services and Retention, are responsible for ensuring adherence with the department's compliance policies and procedures, educating all constituencies about NCAA rules, monitoring adherence to policies, procedures and NCAA rules, administering the eligibility certification process, investigating and reporting NCAA rules violations, and administering and monitoring all athletically related and athletically countable financial aid.

When the institution becomes aware of a possible violation of NCAA rules, the Compliance Coordinator is responsible for an initial investigation of the possible violation by interviewing all individuals who may have knowledge of the violation, gathering relevant documentation, and reporting the details of the violation to the conference and/or NCAA. Violations that negatively affect the eligibility of the involved student-athlete are immediately forwarded to the student-athlete reinstatement staff for processing. The Vice President for Student Services and Director of Athletics are notified by the Compliance Coordinator when a violation has been identified. In addition, they are updated on the progress of the investigation and are copied on the staff's written correspondence to the conference or NCAA. The Compliance Coordinator recommends to the Vice President for Student Services and Director of Athletics any disciplinary or corrective actions the institution should take, and the Vice President for Student Services has the final authority to either confirm the recommendation or impose alternative disciplinary or corrective actions.

The administration and monitoring of athletically related financial aid is the responsibility of the Compliance Coordinator to give proper information to the Athletic Director who will then sign the agreement. This individual works with coaches to create initial and renewal financial aid agreements, and obtains the review and signatures of the Director of Athletics, Director of Financial Aid, Director of Admissions and the Head Coach prior to providing the financial aid agreement to the (prospective) student-athlete. The Compliance Coordinator is responsible for ensuring that specific NCAA rules within Bylaw 15 are met (e.g., the institution shall give the recipient a written statement of the amount, duration, conditions and terms of the award; decreases or cancellations only occur in accordance with NCAA rules; notification of the renewal [or non-renewal] of institutional financial aid based in any degree on athletics ability shall be made on or before **July 1** prior to the academic year in which it is to be effective.) The Director of Financial Aid also ensures that all financial aid (athletically related and institutional) is awarded in accordance with NCAA rules (e.g., student-athletes are eligible for athletically related financial aid; Pell Grants are awarded properly; student-athletes' aid does not exceed grant-in-aid and cost-of-attendance limitations).

On at least one occasion or when agreed to, the Compliance Coordinator meets with a member of the institution's internal audit staff. The internal audit staff member poses questions related to all aspects of the institution's compliance efforts including, but not limited to: student-athlete eligibility certification; recruiting; financial aid; camps and clinics; complimentary admissions; coaching staff limitations and contracts; student-athlete employment; and extra benefits. With regard to financial aid, the internal audit staff generally chooses approximately 30 student-athletes at random and reconciles the athletics aid reported in the CAI, Business Services records and financial aid reports.

- Review the most recent "Certification of Compliance for Institutions" form and the "Certification of Compliance for Staff Members of Athletics Departments" form. Verify that the

chief executive officer signed the “Institutions” form and that it is dated prior to the September 15<sup>th</sup> deadline.

- Verify that all applicable athletics department personnel signed the form submitted to the chief executive officer attesting that the individual has reported any knowledge of involvement in any violations of NCAA rules involving the institution. Applicable athletics department personnel would include all full- and part-time athletics department personnel, including coaches and staff, graduate assistants and volunteers.

## **STUDENT-ATHLETE ELIGIBILITY**

### **Policies and Procedures**

#### Student-Athlete Eligibility:

It is the responsibility of the Compliance Coordinator to meet with each team at the beginning of each academic year, prior to the team beginning its playing and practice season, to provide the student-athletes with a review of NCAA rules and to sign required NCAA and Adelphi University compliance forms.

A team’s squad list is created from a list provided to the Compliance Coordinator by each head coach approximately in May of each academic year. The Compliance Coordinator spends the next few months evaluating each student-athlete’s continuing eligibility and each prospect’s Eligibility Center status. The Compliance Coordinator communicates with each head coach about their evaluation of each student-athlete’s eligibility. While the compliance office makes initial determinations about the eligibility status of each student-athlete, these determinations are reviewed and authorized by the institution’s Compliance Team, which is comprised of eight members of the university. These eight members include one staff member and one graduate assistant from the Athletic Department, two staff members from the Office of Admissions, one staff member from the Office of Academic Services and Retention, and two staff members from the Office of Student Financial Services. Prior to each team’s first competition three pieces of information for each team are completed: the NCAA Checklist; a print-out of the team’s Initial-NCAA Eligibility Center information; and a print-out from the Office of Academic Services and Retention indicating each team member’s major, semester credit hours, total credit hours earned, and cumulative grade point average.

Once these individuals are all in agreement of a team’s Eligibility Checklist, the checklist is faxed to the conference office prior to the team’s first competition. The Checklist (or another list indicating which student-athletes are eligible) is provided to the equipment room staff. Only those student-athletes on the Checklist are provided uniforms for competition. This is designed to prevent ineligible student-athletes from participating in intercollegiate competition. The checklist is then filed in the team’s general file located in the Athletic Director’s office. As a student-athlete’s status changes or the composition of the team changes, the coaching staff communicates these changes immediately to the Compliance Coordinator and the Compliance Coordinator relays the changes to all compliance liaisons on campus and a new eligibility list is created and provided to the equipment staff.

After each team’s Eligibility Checklist has been created, in the “notes” section of the checklist, the compliance officer shall note all student-athletes who are not eligible for competition for whatever reason (e.g., not having been cleared through the NCAA Initial-Eligibility Clearinghouse, not having declared a major, not having passed 6 credit hours the previous term). When related to the Eligibility Center, the staff shall also note whether the student-athlete can practice for 45 days, regardless of whether they were recruited or not recruited.

If the Compliance Coordinator has signed the Checklist and last minute changes occur in a student-athlete's status (he/she has obtained a major, he/she is now enrolled in 12 credit hours, he/she is cleared through the NCAA Eligibility Center, etc.), the Vice President for Student Services has provided the Compliance Coordinator with the authority to change a student-athlete's status without going back for approval.

Once the eligibility determinations have been finalized, and a student-athlete is deemed to not be eligible for competition (for example, we're waiting on the NCAA Initial-Eligibility Center to make its determination), **a coach does not have the authority to permit this student-athlete to participate** (if, in this example, the student-athlete is notified after normal business hours by the Eligibility Center that they have been cleared) without first obtaining approval from a member of the compliance office. Even if the coach is convinced beyond a reasonable doubt that the student-athlete is eligible, **coaches do not, under any circumstance, have the authority to make eligibility determinations**. This concept, in the view of the Compliance Team, goes to the heart of institutional control. As a result, for any coach who substitutes his/her own judgment regarding who's eligible and who's not eligible on their team, for the judgment of the current structure and process, it is likely that significant disciplinary actions (forfeiture of the contest, written reprimand, etc.) will be imposed.

#### Review of Squad Lists and Participation:

Periodically throughout the academic year, it is the responsibility of the Compliance Coordinator to review with each head coach his/her team's squad list for accuracy. It is the responsibility of each coaching staff member to fill out a Student-Athlete Status Form for each student-athlete who quits the team, withdraws from the university, is cut from the team, or whose athletics aid is being decreased or cancelled (with the consent of the Athletic Director). At the conclusion of each team's season, it is the responsibility of the Compliance Coordinator to work with each team's coaching staff and the media relations staff to determine whether each student-athlete used a season of competition during that academic year.

#### Tryouts:

To be eligible for tryouts, the names of the students must be provided to the Compliance Coordinator and no more than one tryout per prospective student-athlete per institution per sport shall be permitted. The tryout may be conducted only for high school seniors who are enrolled in a term other than the term in which the prospective student-athlete's high school's traditional season in the sport occurs or who have completed high school eligibility in the sport; for a two-year college student, after the conclusion of the sport season or anytime, provided the student has exhausted his or her two-year college eligibility in the sport; and for a four-year college student, after the conclusion of the sport season, provided written permission to contact the prospective student-athlete. Prior to participation in a tryout, a prospective student-athlete is required to undergo a medical examination or evaluation administered or supervised by a physician (e.g., family physician, team physician). The examination or evaluation must be administered within six months prior to participation in the tryout. The medical examination or evaluation may be conducted by an institution's regular team physician or other designated physician as a part of the tryout. Each head coach shall notify the compliance officer whether any students who tried out made the team. Any student-athlete who makes the team will then be subject to the NCAA eligibility-certification procedures, transfer student-athlete procedures, satisfactory progress procedures, and will add the names to the team's squad list. No student-athlete may practice or compete after having made the team until his or her name has been added to the squad list and filled out all appropriate NCAA and institutional paperwork.

#### Midyear Roster Additions:

If a coaching staff member identifies a student-athlete who should be added to the roster for the second semester of the academic year, the coaching staff member shall submit the names and social security numbers to the Compliance Coordinator so that the certification process can be initiated.

Transfer procedures to AU:

When a student-athlete from another university contacts a coaching staff member about transferring to AU, it is the coaching staff member's responsibility (in accordance with NCAA Bylaw 13.1.1.2) to inform the student-athlete that they are not able to communicate further with him or her until the Compliance Coordinator has obtained a "permission to contact" release from their current (or former) institution. Once the coaching staff member provides the Compliance Coordinator with the name of the student-athlete and the name of the institution from which they are transferring, the Compliance Coordinator shall fax the other institution an AU Permission to Contact Form. Once the Compliance Coordinator is in receipt of a signed "permission to contact form," the staff shall copy the form and provide a copy to the head coach. At that point, it is permissible for the coach to contact and recruit the potential transfer. If the student-athlete does decide to transfer, the coaching staff shall inform the compliance office, who will then fax the student's previous institution an AU Transfer Eligibility Questionnaire Form, which requests significant information about the student-athlete's participation and enrollment history, academic and athletic information and obtain a release. If the transfer student-athlete transfers and enrolls without the knowledge of the coaching staff member, once the coaching staff is aware of the transfer, it is their responsibility to inform the Compliance Coordinator. The Compliance Coordinator shall then send an AU Transfer Eligibility Questionnaire Form to the student's previous institution and begin the certification process. In addition, Adelphi University is committed to adhering to all conference regulations regarding any transfer rules within conference.

Transfer procedures from AU:

For student-athletes who decide that they want to transfer from AU to another institution, it is the student's responsibility to first communicate their desire to transfer to the head coach. If the student-athlete requests that the Compliance Coordinator send a release form to another institution, the Compliance Coordinator will inform the student that they must first communicate with the team's head coach about their desire to transfer. Once the head coach communicates with the Compliance Coordinator about whether they will or will not provide another institution permission to contact this student-athlete and release the student-athlete, the Compliance Coordinator will prepare the appropriate permission and release forms to the specific institutions the student identifies or will prepare a blanket release form that applies to all institutions.

Procedures related to initial, continuing and transfer eligibility certification:

The eligibility certification process (for initial, continuing and transfer student-athletes) begins with the Athletic Department Compliance Coordinator and or Compliance Graduate Assistant meeting with each team in August and September of each year to gather data on all student-athletes, have them sign required NCAA forms, and provide education about NCAA rules. The Compliance Team, Director for Academic Services, Deborah Kyriacou, Associate Director for Admissions, Laura Griffin, and the Assistant Director for Admissions, Stacey Davey then, on a team-by-team basis, enters data for each student-athlete into the NCAA Compliance Assistant – Internet software program (CAi). Demographic data for freshman, transfer student-athletes and walk-on student-athletes is entered and primarily includes information on the detail screen of the CAi (social security number, name, birth date, gender, ethnicity, high school graduation date, the date the student-athlete entered any institution, the date the student-athlete entered the Adelphi University, male/female designation, and whether the student was recruited). For each continuing student-athlete, this demographic data is double-checked with data currently in the database and updated when necessary. On this screen, the Compliance Team has added three user-defined boxes that gathers data related to whether a student-athlete signed a National Letter of Intent, the date of this signing, and the name of the college/university with which this agreement was signed. The Compliance Team also uses the notes section of this screen to detail each student-athlete's participation and enrollment history (which is more specific and explanatory information than the data in the sports tab). This information includes each academic year in which the student-athlete was enrolled in a college or university, the name of the

college/university, and whether the student-athlete used a season of competition in one or more sports during that academic year.

The Administrative Systems program transfers all academic and financial aid information directly from these two departments directly into the degree progress and financial aid tabs of the CAi database for each student-athlete (new and continuing). The data transferred currently includes: on campus address, permanent home address, semester hours attempted, semester hours earned, transfer credits, cumulative credit hours, cumulative grade point average, and all financial aid fund codes and amounts detailed by semester. The fund codes from the Office of Student Financial Services are synchronized with fund codes in the CAi so that each award counts as an athletics award, a non-athletics institutional award, exempt academic awards or countable academic awards, in addition to other less frequently used designations. This data transfer process not only eliminates the potential for mistakes related to the hand-entering of data, but also shifts the emphasis of our time and attention to the substantive analysis of the data.

The remaining data for each student-athlete is evaluated and entered by hand. This data includes all initial-eligibility information obtained from the NCAA Initial-Eligibility Center. For each new student-athlete (whether incoming freshman, incoming transfer student-athlete, or walk-on) the Compliance Coordinator obtains the student's initial eligibility determination from the Eligibility Center, enters the data into the initial eligibility tab of the CAi, prints off the 48-C form from the Eligibility Center, and files this documentation in the student-athlete's compliance folder. If the student-athlete never went through the Eligibility Center process, we note on the eligibility checklist (which are notes written in the student-athlete's general tab in the CAi) that either this student-athlete is sitting a year in residence or note the year in which the student-athlete already has sat a year in residence. From data obtained from the NCAA Initial-Eligibility Center, the Compliance Coordinator fills in whether the student was determined to be a qualifier, the date the staff obtained this information, the student's high school core GPA, Sum SAT, Sum ACT, whether an initial eligibility waiver was received, whether the student is an international student-athlete, and whether he/she filled out the NCAA general-eligibility form for international student-athletes.

Data also entered by hand includes information in the degree progress tab of the CAi. This information includes: the student-athlete's major, good academic standing designation and class year. This information is entered by hand because the Director for Academic Services, Deborah Kyriacou checks to ensure each student-athlete (junior year and beyond) has a major (the date on that screen is the date the computer checked whether the student had declared a major, not the date the student-athlete declared a major), all student-athletes are in good academic standing (as defined by the registrar's office) and we double check each student-athlete's class year (which may be different than the registrar's office since their designation of class year is based on credit hours, and the NCAA designation is sometimes different).

All transfer data is entered by hand by the Associate Director for Admissions, Laura Griffin, and the Assistant Director for Admissions, Stacey Davey and includes information obtained from the student-athlete's previous institution. This information is gathered by the Compliance Coordinator through its Transfer Eligibility Questionnaire Form, which is faxed to the student's previous institution in an effort to determine the student's eligibility for practice, competition and financial aid. Once this form is received by the Compliance Coordinator from the student's previous institution, all applicable information is entered into this screen, and the Associate Director for Admissions, Laura Griffin, and the Assistant Director for Admissions, Stacey Davey makes the initial determination as to whether the student meets any of the applicable transfer exceptions. **Please note that all student-athletes official final transcripts need to be on file with the Office of Admissions in order to be considered for eligibility.**

All information in the general tab of the CAi is entered by hand, which notes whether the student-athlete is enrolled full time; whether the student-athlete filled out the student-athlete statement and drug-testing consent form.

The Director for Academic Services, Deborah Kyriacou makes all initial determinations regarding whether each student-athlete is enrolled full time, all juniors (and beyond) have declared majors, and data in the academic degree progress screen of the CAi is accurate, based on a roster obtained from the Compliance Coordinator.

The Compliance Team is the certifying body for the institution with final authority related to eligibility determinations. No student-athlete and no team are permitted to compete unless they are certified by the Compliance Team. If a student-athlete's status changes after the Compliance Team has certified a team's eligibility (e.g., a junior declares a major, or a student-athlete adds a class and becomes enrolled full time) the Vice President for Student Services has provided the Director for Academic Services, Deborah Kyriacou with the authority to make these types of changes in a student-athlete's file and make these individuals eligible without going back to the Vice President for Student Services for approval.

## **RECRUITING**

### Recruiting Philosophy:

All recruiting activities shall be conducted in accordance with NCAA, Conference and AU regulations. Each staff member involved in the recruitment of prospective student-athletes shall possess a sound working knowledge of all applicable regulations. It is the objective of the AU intercollegiate athletics recruiting process to introduce prospective students to the educational, athletics and cultural opportunities available at AU. The process will provide an avenue to determine if the student-athlete is able to meet the academic standards expected by AU, and to ensure that institutional staff and student-athletes act with integrity and make choices within the recruiting process that represent the university's core values. To that end, athletics department staff members shall strive to provide the prospective student-athlete with an accurate depiction of the university's cultural, educational and athletics experience.

Recruiting Funds: NCAA regulations require that all funds utilized in the recruitment of prospects must come under the supervision and oversight of the university and must be used in accordance with university policy. No outside sources of funds may be used for recruiting activities.

### Permissible Recruiters:

NCAA regulations require that all coaches who recruit off-campus must be certified. Certification is obtained by taking the NCAA Coaches Certification Examination and passing with a score of 80% or better. Certification must be done on an annual basis and expires July 31 each year. Coaching staff members may not engage in off-campus recruiting activities unless they have been notified by the Compliance Officer that they have been certified to do so.

### Documentation of Recruiting Activities:

Due to NCAA regulations that specifically limit the following recruiting activities, AU requires coaches to keep a written record in their offices for each prospective student-athlete who is being recruited by the university for:

- Evaluations
- Contacts
- Official visits
- Unofficial visits
- Telephone calls
- Complimentary admissions

The record shall be documented on a form developed by the Department of Athletics, on the institution's compliance form or in the NCAA Compliance Assistant software program. These forms shall be maintained in a prospect's file by the involved coaching staff, and shall be reviewed by the compliance officer periodically. Although recruiting activities may be conducted by more than one staff member within a sport, the head coach is responsible for making sure that the required recruiting activities are accurately documented and are available for review upon request. All recruiting records shall be kept on file for a period of five years.

NCAA Graduation Rates Disclosure Form & NCAA Banned Drug List:

NCAA regulations require that a copy of an institution's graduation rates form as published by the NCAA and the NCAA Banned Drug List be provided to all prospects who matriculate to the institution. This mandated information is included in the "AU PSA Recruiting Packets" document and shall be provided at the earliest opportunity after the institution's first arranged in-person encounter with the prospect or upon request. For those prospects who make an official visit to the university, the coaching staff is responsible for sending an e-mail or letter to the prospect with this document attached. For those prospects who do not make an official visit to the university, the AU PSA Recruiting Packet document shall be included in the mailing of a National Letter of Intent or financial aid agreement. For those prospects who neither make an official visit nor sign a National Letter of Intent or financial aid agreement, the coaching staff will provide the prospect with this document no later than July 1<sup>st</sup>.

**Procedures for Official Visits:**

Adelphi University, in accordance with NCAA rules and the university's policies and procedures, specifically and strictly prohibits inappropriate or illegal behavior in recruiting by prospects, student hosts, coaching staff members or other university employees.

Reservations for airline travel must use commercial air travel at coach-class fares. Private or chartered airplanes are prohibited when transporting prospects.

Standard vehicles must be used to transport prospective student-athletes and those accompanying them on official visits.

While on campus for an official visit, prospects and their parents or legal guardians must be housed in reasonable and necessary lodging and offered reasonable and necessary meals similar to those offered on campus. When someone other than a parent, spouse or legal guardian accompanies a prospect on an official visit, the head coach must submit a detailed explanation for accommodations because these individuals are not eligible for expenses such as meals, entertainment, etc.

Student hosts must be current student-athletes or students who conduct visits or tours as part of the admissions process. Gender-specific groups are allowed if they are organized consistent with the university's overall campus visit program.

The university cannot use personalized recruiting aides (such as jerseys or scoreboard presentations) or game-day simulations during campus visits. Prospects can visit the locker room before or after a game or stand on the sidelines during pre-game activities.

All entertainment must follow NCAA rules, departmental policies and procedures as well as team guidelines. It is permissible for entertainment to take place within 30 miles of campus; however, entertaining the prospect on or near campus is preferable so that the prospect is able to more accurately assess campus life. The following activities are specifically and strictly prohibited:

- Underage use of alcohol.
- Use of drugs or sex as a recruiting device.
- Activity that violates criminal law.

- Gambling/gaming activities.
- Use of strippers/use of gentlemen's club or an equivalent.

Required Forms for Official Visits:

**Prior** to the prospect's visit, the coaching staff member who is coordinating the prospect's visit will be required to submit the following 4 items to the Compliance Office with documentation:

- The prospect has presented a score from a PSAT, an SAT, a PLAN or an ACT test taken on a national testing date under national testing conditions, or an ACT test taken on a state testing date under state testing conditions. The score must be presented in writing through a testing-agency document or on a high school (or college) academic transcript (official or unofficial) or through the use of the applicable testing agency's automated-voice system. A foreign or learning-disabled prospective student-athlete who requires a special administration of the PSAT, SAT, PLAN or ACT may present such a score on the approval of the appropriate academic requirements committee. (NCAA Bylaw 13.6.2)
- The prospect has registered with the NCAA Eligibility Center (NCAA Bylaw 13.6.2a)
- The prospect has been sent written notification (via e-mail or regular mail) the "AU PSA Recruiting Packet," which contains information about: 1.) University Official Guidelines and Acknowledgement form which states policies and procedures about recruiting and official visits, 2.) NCAA Graduation Rate Report, 3.) AU Graduation Rates Information Sheet and 4.) NCAA banned drug list/nutritional supplements
- The prospect is placed on the institution's institutional request list (IRL) with the NCAA Eligibility Center.

Once **Part 1** of the "Official Visit Request Form" is filled out and all of the documentation above has been received, reviewed and approved by the Compliance Office (a signature by a member of the Compliance Coordinator is required).

All required documentation should be provided to the Compliance Office at least several days prior to the departure date of the prospect's travel, so that time exists for appropriate review and approval. **The prospect's visit shall not take place until approval has been obtained.**

Student Host Procedures - Prior to Prospect's Visit.

The university may provide a student host entertaining a prospect:

- maximum of \$30 per day of the visit to cover actual costs of entertaining the prospect (and the prospect's parents, legal guardians or spouse), excluding the cost of meals and admission to campus athletic events. These funds may not be used for the purchase of souvenirs such as T-shirts or other institutional mementos. It is permissible to provide the student host with an additional \$15 per day for each additional prospect the host entertains. [NCAA Bylaw 13.6.6.5-(a)]
- A complimentary meal, provided the student host is accompanying the prospect during the prospect's official visit, and
- A complimentary admission to a campus athletic event provided the ticket is utilized to accompany a prospect to that event during the prospect's official visit.

The Treasurer's Office is authorized to provide a coaching staff member with student host money for a prospect's visit. The coaching staff member should first review with the student host the NCAA and university guidelines for hosting a prospect on campus which is contained in the Student Host Instruction Form, and both the student host and the coaching staff member shall sign the form. Once signed, the coaching staff member can disburse the host money for the official visit and provide this form to the Compliance Office. If student host money is not obtained for a prospect's visit, the student host and coaching staff member are still required to read and sign the Student Host Instruction Form before the prospect's visit.

Upon completion of the visit, the coaching staff member shall complete **Part 2** of the Official Visit Form and submit it to the Compliance Office. Staff members shall turn in all receipts (and any unspent cash) from the student host cash advance to the Treasurer's Office within 10 business days after the official visit.

Responsibilities of Student Hosts:

A student-athlete who is carrying out student host duties is responsible for reviewing and signing the Student Host Instruction Form before the visit takes place. This form outlines policies and procedures related to acceptable and unacceptable behavior and/or activities during a prospect's visit. The host is a representative of AU and will be held accountable for making sure all guidelines are followed. The responsibilities of the host are to aid the coaching staff in introducing the prospect to the educational and athletic opportunities at AU and to familiarize the prospect with the campus and community environment.

Pre-communication with prospects and parents (or legal guardians):

It is the responsibility of the coaching staff members to communicate with the prospect and the prospect's parents (or legal guardian) about the details of the prospect's official visit to the university. All communication is conducted either via telephone calls, regular mail, express mail or e-mail, and the prospect's trip is generally finalized several days in advance of the trip.

Educational Component of the Visit:

During all official visits, prospects may meet (if available) with University and Athletic Academic support staff, professors, and/or advisors in the area of academic interest of the prospect. These educational sessions will usually include information on all campus wide academic support services such as the Office of Academic Services and Retention, the Writing Center, the Learning Center, and the Center for Career Development. Finally, when prospects meet with the coaching staff, they are introduced to team academic expectations and standards.

Compliance Forms and Receipt Policies:

Before a prospect is allowed to come to campus for an official visit, Part 1 of the Official Visit Form must be filled out, and after the visit, Part 2 of the Official Visit Form must be filled out. Compliance officer approval is required for Part 1 before the visit and Part 2 after the visit. The Student Host Instruction Form is signed by the student host and coaching staff member both before and after the visit.

Participation of Head Coaches to Communicate Standards and Policies:

It is the responsibility of the head coach to communicate the standards and policies for official visits with their staff and student-athletes. It is in the best interest of the university to make sure that all parties involved understand the guidelines and the importance in following the guidelines.

Curfews and Unstructured Time:

Any curfews set by a coaching staff member during an official visit, as well as all team rules, are to be respected and followed. Unstructured time shall be spent in a way that best serves to introduce the prospect to the university and the community.

#### Tryouts:

A member institution may conduct a tryout of a prospective student-athlete only on its campus or at a site at which it normally conducts practice or competition and only under the following conditions:

- (a) No more than one tryout per prospective student-athlete per institution per sport shall be permitted;
- (b) The tryout may be conducted only for high school seniors who are enrolled in a term other than the term in which the prospective student-athlete's high school's traditional season in the sport occurs or who have completed high school eligibility in the sport; for a two-year college student, after the conclusion of the sport season or anytime, provided the student has exhausted his or her two-year college eligibility in the sport; and for a four-year college student, after the conclusion of the sport season, provided written permission to contact the prospective student-athlete (per Bylaw 13.1.1.2) has been obtained;
- (c) Prior to participation in a tryout, a prospective student-athlete is required to undergo a medical examination or evaluation administered or supervised by a physician (e.g., family physician, team physician). The examination or evaluation must be administered within six months prior to participation in the tryout. The medical examination or evaluation may be conducted by an institution's regular team physician or other designated physician as a part of the tryout;
- (d) The tryout may include tests to evaluate the prospective student-athlete's strength, speed, agility and sport skills. Except in the sports of football, ice hockey, lacrosse and wrestling, the tryout may include competition. In the sport of football, the prospective student-athletes shall not wear helmets or pads;
- (e) Competition against the member institution's team is permissible, provided such competition occurs during the academic year and is considered a countable athletically related activity per Bylaw 17.02.1.1;
- (f) The time of the tryout activities (other than the physical examination) shall be limited to the length of the institution's normal practice period in the sport but in no event shall it be longer than two hours; and
- (g) The institution may provide equipment and clothing on an issuance-and-retrieval basis to a prospective student-athlete during the period of the tryout.

#### High School & Junior College Coaches:

High school and junior college coaches may not be reimbursed or provided any kind of benefit for bringing prospects to campus for an official visit. They may, however, receive two complimentary tickets to a home athletics contest.

#### Procedures for Unofficial Visits:

When a prospect makes an unofficial visit, the head coach shall document the details of the visit on the Unofficial Visit Form and maintain it in the prospect's file. This documentation should also note the location of any meals and lodging of which the coach is aware, and whether the university paid for any of the prospect's expenses.

#### Recruiting Calendars:

Prior to engaging in any recruiting activities, a coaching staff member shall consult the recruiting calendar for their applicable sport. In addition, the coaching staff shall be aware of the appropriate dead, quiet and evaluation periods. The link for the current year recruiting calendars for men's basketball, women's basketball, and all other sports is:

[http://www1.ncaa.org/membership/membership\\_svcs/recruiting\\_calendars/index.html](http://www1.ncaa.org/membership/membership_svcs/recruiting_calendars/index.html)

#### Complimentary Ticket Procedures:

All complimentary tickets shall be obtained through the ticket manager, in accordance with NCAA rules. During an official visit, a maximum of 3 complimentary admissions (issued only through a pass list) to a home athletics event at any facility within a 30-mile radius of the institution's main campus in which the institution's intercollegiate team practices or competes may be provided to a prospect. Such complimentary admissions are for the exclusive use of the prospect and those persons accompanying the prospect on the visit and must be issued only through a pass list on an individual-game basis. Such admissions may provide seating only in the general seating area of the facility utilized for conducting the event. During an unofficial visit, the institution may provide a maximum of 3 complimentary admissions (issued only through a pass list) to a home athletics event at any facility within a 30-mile radius of a member institution's main campus in which the institution's intercollegiate team practices or competes. Ticket requests for official visits, unofficial visits, high school coaches shall be submitted to the Event Management Office and in accordance with established ticket office policies.

#### Procedures to Obtain a Rule Interpretation:

Coaches who have a question about the proper application of an NCAA rule should contact the compliance officer for a rule interpretation prior to engaging in the activity in question. Contact with the compliance officer can be made through e-mail, fax, telephone, or voice mail. Every effort will be made to provide an answer to a question within 24 hours, and if conversation with the conference compliance officer is necessary, an answer should be provided within 48 hours.

#### Violations:

Violations of NCAA rules should be reported to the Director of Athletics or Compliance Office immediately. Please note the: date and location of the violation; a description of the violation; the identity of those involved; the reason(s) the violation occurred; how the staff became aware of the violation; and any corrective actions taken. The Compliance officer will report violations to the NCAA and Conference office, and (when appropriate) seek reinstatement of any student-athletes or prospects involved in the violation.

#### Corrective Actions:

Failure to abide by any of these procedures will result in appropriate corrective actions including, but not limited to: oral reprimand, written reprimand, suspension from recruiting duties, required educational sessions, suspension from employment with or without pay, or termination.

### **FINANCIAL AID**

#### Maximum Amount of Financial Aid:

A student-athlete is permitted to receive financial aid that at a maximum is equal to the value of a full scholarship (i.e., tuition, mandatory fees, room and board). In the event that a student-athlete's athletically related financial aid exceeds a full grant-in-aid, the institution must reduce athletically related financial aid by the appropriate amount so as not to exceed a full athletic scholarship. All student-athletes are limited in their total financial aid received from the institution by its Title IV cost of attendance. The amount of financial aid and the elements that make up that aid is fed into the NCAA Compliance Assistant software (Cai) at which point the compliance officer can monitor each student-athletes' financial aid package for NCAA imposed individual and team limits.

Terms and Conditions of Financial Aid Agreements:

It is the responsibility of the compliance officer to prepare financial aid agreements for student-athletes, and these financial aid agreements shall contain the amount of the award, the length of time the award is valid, and the terms and conditions. Athletics financial aid may be awarded for a maximum period of one year. It is permissible for a coach to verbally inform an individual that he or she has the intention of renewing the financial aid for a four-year period; however an individual must be informed that the renewal is not automatic.

Procedures For Awarding Athletically Related Financial Aid – Initial Awards:

For all new initial awards, coaches shall provide the admissions office with a copy of the PSA's official or unofficial transcript, which will then, determine the prospect's admissibility. Coaches will then fill out a Combo Award Sheet, which should include athletic and academic award information. This information will then be submitted and reviewed by the AU Scholarship Committee. The coaches shall provide this completed document to the compliance office.

If the head coach wants a National Letter of Intent prepared in conjunction with the initial award, the box on the "Financial Aid Worksheet-NLI" form should be checked to indicate an NLI should be created by the compliance officer. The compliance officer will fill out the National Letter of Intent for each prospect and accompanying Financial Aid Agreement, and obtain all necessary institutional signatures. When this is completed, these forms are all provided to the head coach of each sport, and it becomes his/her responsibility to sign the forms and send them to the prospect. The prospect will be instructed, via a cover letter, to mail or fax the forms back to the compliance officer, who will then forward copies to the Director of Financial Aid or her designee and the head coach. The compliance officer shall keep copies of these agreements in its files.

Procedures For Awarding Athletically Related Financial Aid – Renewals:

Each academic year, the compliance officer will send a reminder to coaches reminding them of the timeline for all financial aid renewals, increases, cancellations or decreases for the next academic year (timeline example):

- Feb/March..... Compliance officer sends timeline and updated spreadsheet to each head coach
- April 25..... Deadline to submit financial aid team spreadsheet to compliance officer
- May 1..... Deadline for compliance officer getting financial aid agreements back to coaches
- May 1 to May 18 ..... (Final Exams End) Coaches obtain signatures from current student-athletes prior to their departure from campus
- May 27..... Deadline for coaches to provide compliance officer final signed financial aid agreements
- June 1..... Deadline for compliance officer to get signed financial aid agreements to Director of Financial Aid
- On or before July 1..... All Renewal, Non Renewal, reductions, and cancelation letters a signed

Procedures for Non-Renewals (or decrease) of Aid From Year To Year:

When athletics financial aid is awarded to a student-athlete, it is awarded for a period of one academic year and is renewed on a yearly basis for the following academic years. However, if a student-athlete receives athletics financial aid during an academic year and the decision is made to not award financial aid for the upcoming academic year (or the aid is going to be decreased), this would be considered a nonrenewal (or decrease) of athletics aid. NCAA bylaws do not regulate the reasons for nonrenewal (or decrease) of athletics aid for the upcoming year. Instead, it is left up to the institution to determine the acceptable reasons for nonrenewal (or decrease) after the period of award has expired. These types of circumstances are serious and care should be taken to follow all university policies and NCAA rules. The involved head coach is required to communicate directly with the Director of Athletics and the Athletic Department

Compliance Coordinator to ensure the process is handled appropriately to legally protect the institution and ensure due process for the involved student-athlete.

Adelphi University normally will not permit a coach to not renew financial aid for the upcoming year unless the coach has a legitimate reason for doing so (e.g., documentation of missed classes, missed practices, inappropriate conduct). The head coach should meet with the student-athlete in person and explain that his/her aid is going to be canceled and the reasons for the decision. The meeting shall be documented by the coach, and the documentation shall be included in the student-athlete's file in the coach's office. If a student-athlete's financial aid is not going to be renewed for the upcoming year, it is the university's position that ample time be provided to the student-athlete to make alternate arrangements or secure alternate financial aid. Student Financial Services is informed of the action and a letter of nonrenewal (or decrease) is issued for any student-athlete who has remaining eligibility but who will not be receiving athletics aid for the upcoming year. This letter, which is required to be sent prior to July 1<sup>st</sup> or sooner depending on a student-athletes requests, shall include information about an appeal opportunity with the financial aid office, and the procedures for taking advantage of this opportunity. The Office of Student Financial Services will forward this letter to the student-athlete's permanent address and to his/her campus e-mail address.

Procedures for cancellation or decrease of athletically related financial aid *during period of award*: Coaches shall fill out the Change of Status Form to cancel financial aid during the period of the award, keeping in mind that the provisions of NCAA Bylaw 15.3.4 apply to this type of decision. Coaches shall provide this completed document to the Director of Athletics and the Compliance Office, along with any other documentation supporting this decision. Please note that on occasion the Athletic Director may not sign off on a renewal. The Office of Student Financial Services will then prepare the appropriate documents (letter addressed to the student-athlete that describes the decrease or cancellation and provides information about an appeal opportunity). The Office of Student Financial Services will then forward this letter to the student-athlete's permanent address and to his/her campus e-mail address. A copy shall reside in the student-athlete's file in the compliance office.

If the student-athlete requests an appeal hearing, the hearing must be conducted in a timely manner, as required by NCAA legislation. The members of the panel who will consider the appeal include: the Director of Financial Aid, the Senior Assistant Director of Financial Aid, the Director Academic Services, the Associate Provost Academic Affairs, the Associate Director of Admissions, the Assistant Director of Admissions, and the Faculty Athletic Representative.

The following procedures shall govern the appeal hearing:

A student who wishes to appeal any decisions related to his or her financial aid must submit a written letter or email request that includes:

- The student's name, student number, year in school, sport;
- Type and amount of previous financial aid;
- Reasons for believing that the decision was unfair, including names of institutional staff members (e.g., coach, financial aid officer) with whom the student has discussed the aid; and
- Copies of any relevant documents (e.g., letter regarding initial award of athletics grant).

The student should submit these materials to the Office of Student Financial Services as soon as possible within 14 calendar days (when school is in session) after the student receives notification that the grant is being canceled. The student may request an in-person hearing before the financial aid appeals committee. The student receives a written response as soon as possible (e.g., within three weeks after the appeal has been submitted). The hearing must be held within 30 calendar days of the student's request for a hearing.

### **Committee**

The appeals committee consists of at least one staff members from the financial aid office, with the director as chair. Members include at least one representative from admissions, academic services and the Faculty Athletic Representative (FAR). Each member serves at least a one-semester term the chair serves one-year term though the members can serve longer than these minimums.

### **Procedures**

The student submits a request to the Director of Student Financial Services for a hearing before the financial aid appeals committee. A hearing is scheduled within 30 calendar days with the committee. The student may bring 1-3 witnesses to support the case. The committee will meet with the student, the coach and/or director of athletics. Within 10 days, the financial aid appeals committee reaches a decision and sends it in writing to each party. The committee's decision is final.

#### **One of two actions is taken:**

- If the financial aid appeals committee finds that the decision to reduce, cancel or not renew aid is **not** a violation of the rules, regulations or institutional policies and no extenuating circumstances are present, the appeal is immediately denied.
- If the financial aid appeals committee finds that the decision to reduce, cancel or not renew aid is a violation of the rules, regulations and institutional policies, the appeal is approved. The financial aid is then made available to the student as soon as possible.

In any case, the chair of the financial aid appeals committee notifies the student in writing as soon as possible (e.g., not later than 30 calendar days after the appeal is submitted).

Unused Financial Aid at Mid-Year. If a team does not use its full complement of athletically related financial aid, or if a student-athlete leaves the team at mid year, that student's athletically related financial aid shall not be promised to another student-athlete for the spring semester without consultation with the Compliance Office and the Director of Athletics. The department may choose to allocate that scholarship money to other teams to assist in achieving Title IX or other departmental goals.

### **WAIVERS**

NCAA Bylaw 13.1.1.2 Permission To Contact Form/Letter. When a student-athlete desires to transfer from AU to another institution, the first requirement is for the other interested institution to obtain permission to contact the student-athlete. The student-athlete should first talk with his/her head coach about his/her desire to transfer, and then talk with the compliance officer about obtaining a permission to contact form/letter. Student-athletes shall be advised that the institution will consider providing this permission to a student-athlete who wishes to transfer to another institution. This permission may be provided without restrictions (conference regulations), it may be provided with restrictions, or permission may be denied. If permission to contact is denied, or if permission is not granted to one or more institutions, the interested institution shall not encourage the transfer and the student-athlete will not be able to receive athletically related financial aid during his/her first year at the other institution.

One-Time Transfer Exception and Release. After a student-athlete receives a "permission to contact form" from the AU compliance office, the interested institution is required to obtain a release from AU within NCAA Bylaw 14.5.5.3.10-(c) in order to use the one-time transfer exception (for those sports able to use the one-time transfer exception).

If AU denies his or her request for the release per NCAA Bylaw 14.5.5.3.10-(c), the institution shall inform the student-athlete in writing that he or she, upon request, shall be provided a hearing conducted by the NCAA Compliance Committee. The NCAA Compliance Committee is

comprised of faculty, students and ex officio members of the athletics department. The ex-officio members of the athletics department shall remove themselves from these appeal hearings.

If a student-athlete believes that he or she has extraordinary circumstances that warrant an appeal, the following procedures shall govern the appeal hearing:

- The Office of Student Financial Services shall notify the student-athlete in writing of the student-athlete's opportunity for an appeal hearing. A copy of the appeal procedures shall be enclosed with this correspondence.
- The student-athlete will be provided with instructions in this letter as to how to notify the Director of Student Financial Services that he/she wishes to take advantage of the appeal opportunity.
- Subsequent to receiving notice from the involved student-athlete that he/she wishes to pursue an appeal, the Director of Student Financial Services shall set up a date and time of the appeal hearing and shall communicate this date and time with both the student-athlete and the Director of Athletics. The Director of Student Financial Services has the option of conducting the appeal hearing by telephone or in-person. While any party can request either a telephone or in-person hearing, this decision rests solely with the Director of Student Financial Services.
- The athletics department, as well as the student-athlete shall prepare a written response to the appeal and forward it to the Director of Student Financial Services at least 3 days prior to the appeal hearing. All information that both parties want the appeal body to consider shall be included in these written submissions. No new information may be provided at the in-person hearing.
- The Director of Student Financial Services shall then provide a copy of all written materials to each member of the NCAA Compliance Committee who will consider the appeal, the involved head coaching staff member, the compliance office and the student-athlete.
- The compliance office shall advise the Director of Student Financial Services of those individuals who will be present at the hearing as representatives of the athletics department.
- During the hearing, the student-athlete and athletics department representative shall make separate verbal presentation at different times, indicating his or her position regarding the appeal. Members of the committee considering the appeal may ask questions of all parties.
- At the conclusion of the hearing, the student-athlete and the athletics department representatives will be dismissed from the hearing, and the committee will conduct its deliberations in private.
- After the hearing, the Director of Student Financial Services shall notify the student-athlete and the athletics department of its decision in writing.

National Letter of Intent. If a student-athlete who signed a National Letter of Intent to attend AU desires to transfer prior to fulfilling the requirements of the National Letter of Intent, the final decision regarding a release will be made by the head coach, in consultation with the Director of Athletics. If an appeal of the institution's decision is necessary, the institution and student-athlete shall follow the National Letter of Intent appeal procedures.

Medical Hardship Waiver. To obtain a medical hardship waiver, the head coach shall contact the compliance officer to request the processing of this waiver. The compliance officer will work with the head coach and athletics training staff to obtain the necessary documentation required for the

waiver to be processed. In order to qualify for a medical hardship waiver, the student-athlete shall not have competed in more than two contests or 20 percent of the contests (whichever is greater) in the first half of the team's schedule. The injury also must be certified as incapacitating and season ending by a physician, and contemporaneous medical documentation shall exist to substantiate the injury or illness.

### **GAMBLING AND ETHICAL CONDUCT**

Annually, prior to the Super Bowl and prior to the NCAA men's basketball tournament, the compliance officer shall send a reminder to the entire athletics department (administrative staff, support staff, coaches and student-athletes) of NCAA Bylaw 10.2, which prohibits gambling on professional or college sports.

During the compliance officer's meetings with all teams at the beginning of the academic year, the staff shall discuss the issue of sports wagering and the significant negative ramifications of engaging in such behavior. Prior to each men's and women's Final Four tournament, the coaches and players are required to review an anti-gambling video produced by the NCAA staff.

### **PLAYING & PRACTICE SEASONS**

In-Season Forms: During the team's declared playing and practice season, student-athletes are limited to 4 hours per day and 20 hours per week (one day off per week) of countable athletically related activities.

Prior to the beginning of each team's playing season, each coaching staff is required to submit a Playing and Practice Season Worksheet or the Declaration of Playing Season Form, which defines the team's playing and practice season. Each team's forms are evaluated at the beginning of the academic year for compliance with NCAA rules. In addition, during each team's playing and practice season, each team is required to fill out and submit **each month** documentation (Countable Athletic Activities Calendar) of what activities the team engaged in and the number of hours they were involved in countable activities, travel, competition or days off.

Out-of-Season Forms: Outside of the team's declared playing and practice season, but during the academic year, student-athletes are limited to 8 hours per week (2 days off per week) of countable athletically related activities. Two (2) hours of those 8 hours can be individual skill instruction.

Each team is required to fill out and submit **each month** documentation (Countable Athletic Activities Calendar) of what activities the team engaged in and the number of hours they were involved in countable activities, travel, or days off.

For those teams that engage in individual skill instruction, they are required to fill out and submit **each month** the Out-of-Season Skill Instruction Worksheet.

No class time missed for practice. Per NCAA legislation, no class time shall be missed for practice activities except when a team is traveling to an away contest and the practice is in conjunction with the contest. Student-athletes shall not be permitted to leave class to make practice on time and shall not be penalized for such.

### **CAMPS AND CLINICS**

Prior to any coaching staff member administering his/her institutional or private camp, he/she is required to fill out the appropriate forms. All camps must receive prior approval from the compliance office.

Definition of Camp or Clinic. An institutional sports camp or instructional clinic is any camp or clinic that is owned or operated (at least 50%) by a member institution or an employee of the member institution's athletics department, either on or off its campus. Camps and clinics in which prospect-age students participate shall be subject to additional guidelines. A sports camp or clinic in which prospect-age students participate shall place special emphasis on a particular sport; provide specialized instruction, practice or competition; involve activities designed to improve overall skills and general knowledge in the sport; or offer a diversified experience without emphasis on instruction practice or competition in any particular sport. A sports camp or clinic shall be open to any and all entrants (limited only by age).

Employment. All individuals employed at a camp or clinic shall be required to complete an employment form, which shall be for the purposes of ensuring compliance with NCAA, conference and university regulations. All forms shall be submitted to the compliance officer for approval at least one week prior to the camp.

- Prospects. A sports camp or clinic may not employ a high school, preparatory school or two-year college athletics award winner, or any prospect the institution is recruiting. Such an award winner includes any prospect who has begun the ninth grade, even if his or her school considers the ninth grade as part of junior high or middle school.
- Student-Athletes. A student-athlete may be employed in a sport camp or clinic provided he or she meets the following criteria:
  - The student-athlete must perform duties that are of a general supervisory character in addition to any coaching or officiating assignments.
  - Compensation shall be commensurate with the going rate for camp or clinic counselors of like teaching ability and experience, and may not be with regard to athletics reputation or level of athletics skill.
  - Compensation shall not be provided if the student-athlete only lectures or demonstrates at the camp or clinic.
  - Participation in any activity that constitutes practice shall not occur during the camp or clinic.
  - Employment in the camp or clinic shall be approved by the Director of Athletics, or his/her designee.

High School, Preparatory or Two-Year College Coaches and Four-year college coaches may be employed provided they are employed in accordance with appropriate NCAA rules and they fill out the appropriate form prior to the camp or clinic.

Camp Expenditures and Accounting. Coaching staff members shall keep a written account of all expenditures and revenue related to his or her camp, including, but not limited to, camp fees, payroll, concessions and merchandise. The Assistant Director of Athletics for Camps (Paige Smith) shall provide a written accounting of all such expenditures and revenue for each camp. The accounting shall be subject to review for compliance with NCAA regulations, as well as a financial audit to ensure appropriate monitoring for adherence to NCAA and university regulations.

## **AMATEURISM**

A student-athlete becomes a part of a team's squad list after they fill out the Student-Athlete Information Sheet, the NCAA Drug Testing Consent Form, the NCAA Student-Athlete Statement, and the AU Code of Conduct. On the Student-Athlete Information Sheet, the student-athlete

identifies him or herself as a domestic or international student-athlete. All freshman student-athletes who are identified as international are required to fill out the NCAA International Student-Athlete Questionnaire.

### **COMPLIMENTARY ADMISSION**

For official visits, coaches are required to fill out the AU Official Visit Form and when that form has been approved by the compliance officer, a copy of the approval sheet is provided to the Event Manager. When coaches request complimentary tickets for an official visit, the Event Manager processes these requests only if a copy of the approval sheet exists for the prospects involved in the request.

Sale of Tickets. Under no circumstances are complimentary tickets to be sold by student-athletes, prospective student-athletes, staff or coaches at any price. Doing so would result in revocation of the individual's ticket privileges and may result in a violation of NCAA rules. A student-athlete's and prospect's eligibility would be affected by involvement in action contrary to the applicable NCAA rules (e.g., receipt of more than the permissible number of complimentary admissions or the sale or exchange of a complimentary admission for cash or any item of value).

### **COACHING STAFF LIMITATIONS & CONTRACTS**

Prior to September 1<sup>st</sup> of each academic year, the Faculty Athletic Representative shall organize the NCAA Coaches Certification exam.

On-Line Exam. Each year, coaches are required to take the coaches certification exam on-line, unless compelling reasons exist for the coach to take the hard copy exam, and an exception is agreed to by the Faculty Athletic Representative. Scoring of the exam is completed automatically and results are sent to the Faculty Athletic Representative electronically.

For all coaches who pass the exam, they are able to recruit off campus immediately. For those coaches who do not pass the exam, they are not permitted to take the exam again for at least 30 days.

### **ATHLETIC RESTRICTIONS**

Use of the Institution's Logo. Athletics department staff members shall not use, directly or by implication, the University name or logo in the endorsement of commercial products or services for personal gain without prior written approval from the Assistant Athletic Director for Media Relations and the Director of Athletics.

Compensation From Manufacturers. Athletics department staff members shall not accept compensation or gratuities from an athletics shoe, apparel or equipment manufacturer in exchange for the use of such merchandise during practice or competition prior to receiving written approval from the Associate Athletic Director for Media Relations and the Director of Athletics.

### **ATHLETICS EQUIPMENT AND APPAREL**

Provision of Equipment. Prior to each team's first competition, the compliance officer shall provide the equipment room with a copy of the team's Eligibility Checklist, which indicates only those student-athletes eligible for practice and competition. If a student-athlete does not appear on this list, the equipment room is not authorized to provide the student-athlete with a competition uniform or equipment. Inquiries from student-athletes who believe they should be on the list should be directed to the compliance officer. These procedures are designed to prevent an

ineligible student-athlete from participating in competition and, as such, should not be circumvented for any reason.

### **BOOSTERS & EXTRA BENEFITS**

NCAA legislation states that in Division II, representatives of an institution's interest are prohibited for making in-person, on or off-campus recruiting contacts, or written or telephonic communications with a prospect or prospect's relatives or legal guardians. Other restrictions include evaluating a prospect and visiting a prospect's institution.

A representative may not provide any extra benefit to an enrolled student-athlete or their family or friends, unless explicitly authorized by NCAA rules (e.g., occasional family meal at booster's house). An "extra benefit" would include provisions of any impermissible transportation, meals, clothes, entertainment, preferential loan terms or benefits unavailable to the general student population.

Coaches and boosters are permitted to have one or more student-athletes over to their home for an occasional meal, and the appropriate form should be filled out prior to the event.

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