

**University of Richmond  
Department of Athletics**



**COMPLIANCE  
MANUAL**

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# INTRODUCTION

## **Administrative Oversight**

The President of the University of Richmond is charged with the responsibility for establishing and supervising Richmond's intercollegiate athletics program. In discharging this responsibility, the President receives input from the Director of Athletics, Faculty Athletics Representative and the Assistant Director of Athletics for Compliance.

In addition, the University of Richmond has established an Athletic Council. The Athletic Council is composed on the Faculty Athletics Representative, members from the Board of Trustees, members from the University faculty, student-athletes and alumni. The purpose of this committee is to provide advice to the Director of Athletics.

The Assistant Director of Athletics for Compliance has the responsibility for monitoring the University's compliance program. The Assistant Director of Athletics for Compliance reports to the Deputy Athletics Director, who in turn, reports to the Director of Athletics. Additionally, the Assistant Director of Athletics for Compliance has a direct reporting line to the President.

## **Shared Administrative Responsibility**

Compliance with NCAA, Atlantic 10 Conference, Colonial Athletic Association and institutional regulations is of the utmost importance to the University of Richmond. It is a responsibility and duty of everyone involved with the intercollegiate athletics program. In order to facilitate a climate of positive participatory compliance, various campus administrators are consulted to govern, oversee, and/or monitor compliance activities. This system is designed to:

- Show a commitment to institutional control and rules compliance;
- Establish clear lines of communication on compliance issues throughout the University;
- Provide an open system of information which is reviewed routinely by individuals from various campus offices; and
- Establish accountability with clearly defined areas of responsibility.

## **The University of Richmond Compliance Manual**

The University of Richmond Compliance Manual serves as a guide to University compliance with NCAA, Atlantic 10 Conference, Colonial Athletic Association and institutional regulations dealing with intercollegiate athletics. Special emphasis is placed on clearly setting forth: (a) systems which have been designed to provide a mechanism for the University staff to comply with NCAA, Atlantic 10 and institutional regulations; and (b) the responsibilities of University staff members as they relate to those systems.

# INSTITUTIONAL CONTROL

## **Principles of Institutional Control**

Institutional control of the Department of Athletics is a fundamental requirement of NCAA legislation. Specifically, the NCAA constitution provides that each institution shall be responsible for:

- Controlling its intercollegiate athletics program in compliance with the rules and regulations of the NCAA;
- Monitoring its programs to assure compliance, identifying and reporting to the NCAA instances in which compliance has not been achieved, and taking appropriate corrective actions;
- Ensuring that members of the staff, student-athletes, and others representing the University of Richmond's athletics interests comply with all applicable NCAA regulations.

Although the NCAA constitution outlines the requirements that each member institution must meet, it does not provide directions for implementing a compliance program which will maintain institutional control. Three principles are fundamental, however, to the creation and maintenance of institutional control:

- Shared compliance responsibilities;
- Administrative accountability;
- Self-study and external review of the compliance program.

## **Financial Audit Guidelines**

In accordance with NCAA regulations (NCAA Bylaw 6.2.3), the University of Richmond athletic department conducts an annual financial audit of all expenditures and revenue for or on behalf of the department. The primary purpose of this financial audit is to: (a) ensure that the President is made aware of all recorded expenditures and revenues for athletics purposes; and (b) assist the University in exercising control over expenditures and revenue made for or on behalf of the athletic program.

The financial audit is conducted by a qualified auditor who is not a staff member of the University. The Assistant Athletic Director-Business, in conjunction with the University's Internal Auditor, arranges and oversees this financial audit. The NCAA publishes a Financial Audit Guidelines booklet which sets forth the minimum agreed upon procedures for the financial audit.

The financial audit report is retained on file in the office of the Director of Athletics, or his/her designee, and is available for inspection by authorized representatives of the NCAA. It must be completed and presented to the President prior to the end of the University's next fiscal year.

## **NCAA Certification / Institutional Self-Study**

Each member institution, at least once every 10 years, shall complete an institutional self-study, verified and evaluated through external peer review. The self-study shall encompass the following operating principles in three basic areas: (1) Governance and Commitment to Rules Compliance; (2) Academic Integrity; and (3) Equity and Student-Athlete Welfare.

The Director of Athletics, Faculty Athletics Representative, and the Assistant Director of Athletics for Compliance are responsible for coordinating the University's participation in the certification process. However, it is important to note that many individuals such as the President, members of the Athletic Council, coaches, faculty and staff are involved in the process to ensure a thorough and complete self-study is performed.

## **Rules Compliance / External Audits**

Membership in the NCAA places the responsibility on each institution to assure that its staff, student-athletes and other individuals and groups representing the institution's athletics interests comply with the applicable NCAA rules and regulations. Consistent with this responsibility, the institution shall demonstrate that:

- It has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program;
- In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department;
- Rules compliance is the subject of an ongoing educational effort;
- A clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program; and
- At least once every four years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department.

## **Certification of Compliance**

In accordance with NCAA Bylaw 30.3, the President completes the Certification of Compliance for Institutions [Exhibit IC-1] no later than September 15 each year. In addition, the Certification of Compliance for Staff Members of Athletics Departments [Exhibit IC-2] must be signed by designated athletics department staff members attesting that he/she has reported any knowledge of involvement in any violations of NCAA regulations involving the University. The Assistant Director of Athletics for Compliance is responsible for ensuring that both the Certification of Compliance for Institutions and the Certification of Compliance for Staff Members of Athletics Departments are properly completed and filed.

## **Fund Raising Efforts**

The Department of Athletics solicits financial support for its intercollegiate athletics program in accordance with University, Atlantic 10 Conference, Colonial Athletic Association, and NCAA regulations. Annual fund raising efforts are generally handled by the Spider Club. All fund raising efforts must be approved by the Director of Athletics. There are no exceptions.

All gifts, including gifts-in-kind, received by Departmental staff members from outside donors should be turned over immediately to the Director of Athletics, or his designee in the athletic business office, or Spider Club. Monetary gifts are deposited directly into the appropriate account. All gifts-in-kind must be appraised and approved before received.

All coaches and staff members should exercise caution when accepting gifts on behalf of the Department to avoid accepting donations that might be construed as personal gifts or which are against guidelines established by the University or NCAA regulations.

*Parent contributions (gifts, meals, commemorative tokens, apparel, etc.):*

Donors/Parents may not pay for (or purchase) or arrange for any items to be given directly to the team or for a student-athlete's use. All donations (cash and material items) made by donors/parents must be provided to the athletic department staff and/or be deposited in the appropriate athletic department account (i.e. annual spider club fund, Spider Athletic Initiative unrestricted account or designated account for your particular sport). All donations (cash or materials) must be recorded properly within the athletic department (i.e. notifying your sport administrator, spider club and business office).

## **Booster Organizations**

The Department of Athletics recognizes the value of the support received from its booster organizations. Booster organizations and other groups who represent the University's athletics interests are expected to adhere to the policies and procedures established by the University for the governance of its intercollegiate athletics program.

Any new Department support group (i.e., booster organization) must be approved by the Director of Athletics and established under the supervision of the Director of Athletics under the following policy:

*The University of Richmond Department of Athletics has the responsibility to operate its intercollegiate athletics program in compliance with NCAA regulations. This includes a responsibility for the actions of staff members and any other individual or organization engaged in activities promoting its athletics interests.*

Student-Athlete Involvement – Any athletic support group or parents support group activity which involves one or more student-athletes must be approved in advance by the Director of Athletics.

Assistant Director of Athletics for Compliance – The Development Office will report to the Assistant Director of Athletics for Compliance with respect to their involvement with, and monitoring of, their respective support group(s). The Assistant Director of Athletics for Compliance shall develop and implement a program to educate the designated administrators

and athletic support group officers regarding NCAA, Atlantic 10, CAA, and institutional regulations concerning athletic and parents support groups.

### **Booster Brochure**

Each year, the Assistant Director of Athletics for Compliance will develop a brochure entitled "A Fan's Guide to the NCAA Rules". This brochure will be included in mailings (e.g., season ticket packets, welcome letters, etc.) sent out by the Spider Club.

### **Faculty Athletics Representative**

The Faculty Athletics Representative (FAR) is a member of the University faculty or administrative staff who is designated by the University President to represent the institution and its faculty in the institution's relationships with the NCAA, Atlantic 10 Conference and Colonial Athletic Association.

Pursuant to NCAA Bylaw 6.1.3, the University has the discretion to determine what the role of the FAR will be.

In January of 2004, the University developed a policy which details the Role of the Faculty Athletics Representative [Exhibit IC-3].

# ETHICAL CONDUCT

The Compliance Office is responsible for reviewing and evaluating the University's procedures for monitoring compliance with NCAA, Atlantic 10, and institutional regulations regarding ethical conduct. NCAA Bylaw 10 is the primary source for NCAA rules dealing with ethical conduct.

## **Unethical Conduct**

All athletics department personnel, student-athletes and boosters shall act with honesty and sportsmanship at all times. As part of our duty to act ethically, all personnel must refrain from knowingly violating NCAA, Atlantic 10 and institutional regulations. Should the need arise, all athletics department personnel, student-athletes and boosters are obligated to cooperate with any investigation of an alleged rules violation.

## **Banned Drugs**

The NCAA maintains a list of banned substances in its manual and on its website. All student-athletes are subject to both NCAA and University drug testing at various times during the year. Penalties for a positive NCAA drug test are outlined in the NCAA drug testing consent form signed by all student-athletes prior to their athletic season.

[\(Link to NCAA's banned substance list\)](#)

The department's Drug/Alcohol Screening and Education Program is available on the athletic department's website on the sports medicine page for student-athletes, listed under "[Drug Education and Screening](#)" and outlines the policies and procedures followed.

Any departmental staff member who has knowledge of a student-athlete's use of a banned substance must follow institutional procedures for reporting such knowledge.

Additionally, the NCAA now requires member institution to provide all incoming prospects and to prospects' parents/guardians the NCAA banned drug list, or the NCAA website address at which the list is located, and information about nutritional supplements. The information shall be provided at the earliest practical opportunity or upon request; however, in no event shall an institution provide the information later than July 1 before the prospect's initial enrollment at the institution.

## **Gambling**

Athletics department personnel and student-athletes may not gamble on intercollegiate or professional athletics in any manner. Gambling includes providing information to individuals involved in organized gambling activities concerning intercollegiate athletics (e.g., injury reports, team morale, preparation, etc.), using means employed by organized gambling (e.g., bookmakers, parlay cards, internet, etc.), soliciting or accepting a bet on any team, and/or participation in informal gambling (e.g., rotisserie leagues, fantasy leagues, tournament pools, etc.).

Student-Athletes found to be in violation of NCAA gambling legislation will be declared ineligible for intercollegiate competition for one calendar year. Those who are discovered to have bet on one of the University's own teams will be declared permanently ineligible.

Student-athletes are educated about the prohibition against gambling at the beginning of the year compliance meeting conducted with every sport prior to the start of their respective athletic season. In addition, all student-athletes have the opportunity to receive a copy of the NCAA Summary of Regulations at their beginning of the year meeting, and are also directed to the version posted online. Gambling is also discussed in the department's Policy and Performance Expectations for Student-Athletes, which they have the option of receiving or viewing the online version. All student-athletes acknowledge the prohibition against gambling through signing the NCAA Student-Athlete Statement and the acknowledgement of the department's Policy and Performance Expectations.

### **General Policies and Performance Expectations for Student-Athletes**

Prior to a student-athlete's participation in intercollegiate athletics, he/she must annually read and sign the department's General Policies and Performance Expectations for Student-Athletes. The Compliance Office is responsible for keeping this form in each student-athlete's personnel file. ([Link to Policies and Performance Expectations for Student-Athletes](#))

### **Acknowledgement of Rules Compliance (Statement of Compliance)**

All athletic department personnel are obligated to familiarize themselves with the department's position on NCAA Rules Compliance. Each year the expectation and position of the department of athletics will be reviewed prior to the start of the academic year. The responsibility to comply with all departmental and NCAA rules lies with each staff member and acknowledgement of this expectation is demonstrated by signing a Statement of Compliance.

***(Link to Statement of Rules Compliance) – attach pdf***

## **PERSONNEL**

The Compliance Office is responsible for reviewing and evaluating the University's procedures for monitoring compliance with NCAA, Atlantic 10, Colonial Athletic Association, and institutional regulations regarding athletics department personnel. NCAA Bylaw 11 is the primary source for NCAA rules dealing with personnel.

The University and athletic department's hiring procedures outlined in the Head Coaches Manual (Section 3 and Exhibit 6) must be followed when securing the employment of all coaching and non-coaching personnel with sports specific responsibilities.

### **Coaching Limitations**

Prior to each academic year, each Head Coach shall submit to the Compliance Office a [Coaches Designation Form](#) that details the status of every individual affiliated with an athletic team (paid or volunteer, coaching or non-coaching responsibilities).

The Compliance Office will review NCAA legislation pertaining to coaching limitations as deemed appropriate. This review should include NCAA rules pertaining to compensation, recruiting, scouting, tobacco use, etc., and how they apply to coaches employed in the various coaching categories named above. Additionally, the Assistant Director of Athletics for Compliance, in coordination with the Director of Athletics and the Director of Human Resources, will ensure that each coach's letter of employment makes reference to that individual's obligation to abide by NCAA rules and regulations.

### **Certification to Recruit Off-Campus**

Only those individuals who have been certified (successfully passed the NCAA Coaches Certification Exam) may contact or evaluate any prospective student-athlete off-campus. Certification must occur on an annual basis.

In May, when the recruiting exam for the subsequent academic year is made available on the NCAA's website, the Assistant Director of Athletics for Compliance proctors the examination online for all coaches to certify their ability to recruit off-campus. Following the test, the Assistant Director of Athletics for Compliance will report all test scores to the Atlantic 10 conference office (including football, women's golf exam results). Prior to the exam, the Assistant Director of Athletics for Compliance will conduct review sessions in order to prepare coaches for the exam, and also provide study materials. If a coach fails the exam, additional review sessions must be conducted during the 30-day period prior to the next exam attempt.

Prior to the beginning of each academic year, the Compliance Office notifies each Head Coach and Sport Administrator the coaches who have been certified to recruit off-campus.

### **Outside Athletically Related Income**

NCAA Bylaw 11.2.2 requires all athletics department personnel to report annually all outside athletically related income to the University President. In September of each year, the

Compliance Office will request a summary of all athletically related income from all personnel. The Assistant Director of Athletics for Compliance will review the information and compile a spreadsheet listing all athletics department personnel and their reported outside income for the previous year. This spreadsheet will be signed by the Director of Athletics and sent to the University President for his review and approval. Once all signatures have been obtained, the list will be returned to and filed in the Compliance Office. A more detailed description of this process, including necessary forms, can be found in the Policies and Procedures for Monitoring Athletically Related Income [\[Exhibit P-2\]](#).

### **Head Coaches Evaluations**

Each athletics department support area has an opportunity to complete an annual written review of each Head Coach [\[Exhibit P-3\]](#). These evaluations are submitted to the appropriate Sport Administrator and/or Director of Athletics. The evaluations are reviewed with each Head Coach.

### **New Coaches' Orientation**

On the first day, or during the initial week of a new coach's employment, the Assistant Director of Athletics for Compliance will conduct a new coaches' orientation meeting. During this meeting, both NCAA rules and departmental policies will be reviewed. New coaches will be informed of all compliance procedures that need to be followed and will be provided with a link to the [New Coaches' Employees' Guide](#).

### **Volunteer Coaches**

Any head coach utilizing the services of a volunteer coach must notify the Compliance Office prior to allowing the volunteer coach to begin his/her duties. The departmental hiring policies must be followed when seeking to employ a volunteer coach. In addition all volunteer coaches will be required to attend a rules education meeting with the Assistant Director of Athletics for Compliance and take the NCAA Coaches Certification Exam, regardless of whether they engage in any recruiting activities. Following the rules education meeting, the volunteer coach will be required to read and sign the [Volunteer Coach Agreement](#).

### **Non-coaching Personnel**

It is the responsibility of the head coach to ensure that all non-coaching personnel, such as managers, director of operations, administrative assistants, etc., are on file with the Compliance Office. In addition, any individual – other than an undergraduate student, must complete a [Non-Coaching Personnel Agreement](#), regardless of whether they will be compensated for their role in the program.

Non-coaching personnel are required to attend a rules education meeting with the Assistant Director of Athletics for Compliance, and in some cases will be required to take the NCAA Coaches Certification Exam.

# AMATEURISM

The Compliance Office is responsible for reviewing and evaluating the University's procedures for monitoring compliance with NCAA, Atlantic 10, Colonial Athletic Association, and institutional regulations pertaining to the amateurism of Richmond student-athletes. NCAA Bylaw 12 is the primary source for NCAA rules dealing with amateurism.

Only student-athletes who are amateurs are eligible for intercollegiate participation in a given sport.

## **International Student-Athletes**

During the recruiting process, all international prospective student-athletes must complete the International Student-Athlete Information Form [Exhibit A-1]. This form must be administered as early in the recruiting process as possible. The completed form is reviewed by the Assistant Director of Athletics for Compliance and the Athletic Admissions Coordinator to determine if there are any amateurism issues that need be resolved prior to the prospect's enrollment. While this form provides relevant information regarding the prospect's status, the form is an "unofficial" representation of the prospective student-athlete's status. Once the student arrives on campus, he/she will be required to complete the General Eligibility Form for International Student-Athletes prior to their participation. This NCAA required form is again reviewed by the Compliance Office and compared to the form that the student had previously submitted.

In addition all prospective student-athletes (domestic and international) will be required to have their amateur status certified by the NCAA Eligibility Center. Coaches are responsible for ensuring their prospects register with the Eligibility Center and complete the Amateurism Survey in a timely manner.

In an effort to streamline the initial eligibility status and certification of international prospective student-athletes, the Compliance Office utilizes the International Student-Athlete Eligibility Checklist [Exhibit A-2] to ensure that all necessary items are properly evaluated.

## **Agents and Involvement with Professional Teams**

Any agent wishing to represent a Richmond student-athlete must adhere to all NCAA rules and regulations regarding agents and amateurism. The Assistant Director of Athletics for Compliance provides educational materials and/or meetings on agents, scouts and professional team tryouts once a year to all student-athletes.

All prospective agents are required to register with the Compliance Office by way of the Agent Registration Form [Exhibit A-3].

Additional information about agents and involvement with professional teams is included for all student-athletes in the Student-Athlete Handbook.

## **Student-Athlete Employment**

Pursuant to NCAA Bylaw 15.2.7, all student-athlete employment arrangements are subject to the following conditions:

- (a) Compensation must be only for work actually performed;
- (b) Compensation must be at a rate commensurate with the going rate in that locality for similar services;
- (c) Compensation may not be based on increased (or potentially increased) business a student-athlete may bring to his/her employer as a result of their reputation, their fame, or personal following.

Prior to accepting employment, a student-athlete must read and sign the [Student-Athlete Employment Agreement](#). This form must also be signed by the Head Coach and Assistant Director of Athletics for Compliance and then kept in the student-athlete's personnel file in the Compliance Office.

## **Summer Employment**

The conditions of NCAA Bylaw 15.2.7 also apply to student-athlete employment that occurs during the summer vacation period. All student-athletes are required to register their summer job with the Compliance Office by completing the [Summer Employment Verification Form](#).

## **Promotional Activities / Student-Athlete Appearances**

All requests for the involvement of student-athletes in promotional/charitable activities should be directed to the Athletic Development Office. Requests received by the Athletic Development Office will be forwarded to the Assistant Director of Athletics for Compliance, who is responsible for determining that the student-athlete's involvement does not violate NCAA, Atlantic 10, Colonial Athletic Association or institutional regulations. Anyone requesting a student-athlete's involvement must complete and return a copy of the [Promotional Activity Form](#). The completed promotional activity form and supporting documentation will be kept on file in the Compliance Office.

## **Fee-For-Lesson Instructions**

A student-athlete may receive compensation for teaching or coaching sport skills or techniques in his or her sport on a fee-for-lesson basis, provided:

- (a) Institutional facilities are not used;
- (b) Playing lessons shall not be permitted;
- (c) The institution obtains and keeps on file documentation of the recipient of the lesson(s) and the fee for the lesson(s) provided during any time of the year;
- (d) The compensation is paid by the lesson recipient (or the recipient's family) and not another individual or entity;

- (e) Instruction to each individual is comparable to the instruction that would be provided during a private lesson when the instruction involves more than one individual at a time;
- (f) The student-athlete does not use his or her name, picture or appearance to promote or advertise the availability of fee-for-lesson sessions.

Any student-athlete who enters into a fee-for-lesson arrangement must complete the [Fee-For-Lesson Form](#).

### **Logos**

The Equipment Manager is responsible for reviewing all apparel and equipment orders to ensure compliance with NCAA regulations. The Compliance Office will conduct annual audits of the equipment room to ensure compliance with logo restrictions.

# RECRUITING

The Compliance Office is responsible for reviewing and evaluating the University's procedures for monitoring compliance with NCAA, Atlantic 10, Colonial Athletic Association and institutional regulations pertaining to the recruitment of prospective student-athletes. NCAA Bylaw 13 is the primary source for NCAA rules dealing with recruiting.

## **Coaches Certification Exam / Off-Campus Recruiting** (See also Personnel)

Only those coaches who have been certified may contact or evaluate prospective student-athletes off-campus. The Assistant Director of Athletics for Compliance administers and monitors the annual certification of coaches.

## **Off-Campus Recruiting**

1. All off-campus, in-person recruiting contacts and evaluations shall be recorded on the [Travel Log Form](#). Following a recruiting trip, all coaches must submit a Travel Expense Form to their director supervisor first, who then forward it to the compliance office. Once the compliance office has reviewed the documentation, they will submit to the Assistant Business Manager to process the reimbursement. The Compliance Office then (a) reviews the expense statement to monitor compliance with regulations concerning permissible recruiters, evaluations, contacts and recruiting calendars; (b) signs the form; (c) retains the Travel Log Form for file; and (d) forwards the original back to the Assistant Business Manager for reimbursement. When submitting reimbursement requests, the coach must also attach all receipts for expenses to which he/she is seeking reimbursement and a copy of the Travel Log Form listing all prospects he or she contacted or evaluated during the recruiting trip. The request will not be processed without a travel log.
2. Travel Log Forms must be completed with the appropriate number of contacts/evaluation for each prospective student-athlete on the form.
3. *Football Only* – The football staff shall designate 42 days in writing for the fall evaluation period. This information is submitted to the Compliance Office prior to the evaluation period, updated throughout the evaluation period, and is kept on file.
4. The Compliance Office is responsible for monitoring the permissible recruiters, evaluations, contacts, and recruiting calendars of the coaching staffs.

## **On-Campus Recruiting – Unofficial Visits**

A prospective student-athlete may visit the University campus at his or her own expense an unlimited number of times at any time other than a recruiting dead period. Additionally, a prospect may make unofficial visits before his or her senior year in high-school. All prearranged unofficial visits should be documented by way of the [Unofficial Visit Form](#). This form must be completed by a coaching staff member, and submitted prior to, or immediately following the unofficial visit.

## **On-Campus Recruiting – Official Visits**

In the Fall of 2004, the Department of Athletics developed a new **Official Visit Policy**. This policy serves as the foundation for the University's philosophies and policies regarding official visits. All coaches are expected to familiarize themselves and their student-athletes with the policy and are obligated to uphold the standards set forth therein.

### **Official Visit Procedures**

During the 2009-10 academic year, the following procedures should be followed in planning an official visit.

1. Coach obtains the prospect's high school transcripts and ACT/SAT scores and submits to the Athletics Admissions Coordinator for an Admissions Evaluation.
2. Coach arranges the official visit with the prospect.
3. Coach completes the [Official Visit Request Form](#) (no later than **3 working days** prior to the visit), attaches a copy of the Admissions Evaluation and the itinerary, and submits the information to the Compliance Office. Please note, the request will not be accepted without the prospect's Eligibility Center ID. Requests for meal vouchers should be included with the information submitted.
4. The Compliance Office reviews and verifies the prospect's academic credentials within one day of the coach's submission of the Official Visit Request Form.
  - a. The Compliance Office places prospect on the Eligibility Center IRL.
  - b. The Compliance Office provides the ticket office with the complimentary admission request, which should be included on the official visit request form.
5. The Compliance Office prepares an official visit packet for the prospect. The packet includes meal vouchers (if requested), a copy of the department's graduation rates report, APR report, a summary of NCAA Initial Eligibility requirements and the NCAA's Banned Substance list. This packet is returned to the coach.
6. Coach finalizes travel plans for the prospect.
7. Coach has the student-athlete who will be serving as the student host read and sign the [Student Host Form](#).
8. Upon the prospect's arrival to campus, Coach provides the prospect with the official visit packet prepared by the Compliance Office
9. Prior to the prospect's departure from campus, Coach has the prospect read and sign the "Official Visit Prospect's Declaration".
10. After the official visit, the Coach completes the University Travel and Expense Reimbursement Form and submits the form along with all receipts, the Student Host Form, the Official Visit Prospect Declaration form to the Compliance Office for review and approval.

11. After reviewing all submitted material, the Compliance Office will forward the reimbursement request to the Athletics Business Office for processing.

### **Recruiting Materials**

Each Head Coach is responsible for ensuring that the materials sent to prospective student-athletes are in compliance with NCAA Bylaw 13.4. The Compliance Office is available to assist with the application of the recruiting material legislation.

### **Administration of the National Letter of Intent**

1. At the beginning of each academic year, coaches receive a written review of all NCAA rules pertaining to the National Letter of Intent (NLI) program and the procedures to be followed for the upcoming academic year.
2. A coach may not offer a prospect a grant-in-aid (GIA) before the prospect has been deemed recruitable by the Athletics Admissions Coordinator, eligible by the Assistant Director of Athletics for Compliance and admissible by the Office of Admissions.
3. Once a coach decides to issue an NLI/GIA, he or she types a National Letter of Intent / [Coach Supported Admit Request Form](#) and provides the form to the Athletics Admission Coordinator.
4. The Athletics Admission Coordinator reviews the NLI/Coach Supported Admit Form to determine if the prospect is recruitable and admissible. The request is then forwarded to the Assistant Director of Athletics for Compliance for to confirm the prospect is registered with the NCAA Eligibility Center and approval, then to the Sport Administrator for approval and finally to the Associate Director of Athletics for Business for budgetary approval.
5. Once approved by the three individuals, the Assistant Director of Athletics for Compliance prepares the NLI and GIA.
6. The Assistant Director of Athletics for Compliance then returns the forms to the recruiting coach for signature and mailing.

### **Telephone Calls**

All coaches are expected to follow all steps outlined in the department's [Phone Policy](#) when engaging in telephone correspondence with prospective student-athletes.

#### **COACHES REQUIREMENTS**

1. All coaches must submit (via email) a Recruiting Telephone Log Form by the fifth (5<sup>th</sup>) day of the next month, or the following Monday if the fifth falls on a weekend. In place of the form, a previously approved format generated by a web based recruiting system will be accepted by the compliance office.
  - a. If no calls have been made during that month, coaches have the option to submit a statement via email.
2. All coaches must verify on the Recruiting Telephone Log Form that they have abided by the University of Richmond and NCAA phone call and text messaging bylaws and that if

he/she has done anything in violation of said bylaws, that he/she has reported such violations to the compliance office.

- a. The verification can be done electronically by inputting employee ID number on the signature line, or coaches can submit a hard copy with a signature.
3. Each sport will update their prospect list at the end of the month on the required prospect form or in an excel spreadsheet with the necessary headers as approved by the compliance office.
    - a. For sports providing the compliance staff access to online recruiting databases, this will not be necessary, provided those databases are well maintained.

### **Transfers In**

Should an athletics department staff member be contacted by a student-athlete at another four-year institution for the purposes of discussing that student's desire to transfer to Richmond, the athletics department staff member must notify the student-athlete that it is not permissible to discuss transferring with him/her or his/her parents without first obtaining permission from the student-athlete's current Athletics Director.

The Compliance Office should be immediately notified regarding the student-athlete's request in order to obtain permission to contact the student-athlete. When permission to contact the student-athlete has been granted, the Assistant Director of Athletics for Compliance will notify the Head Coach immediately.

Once a student-athlete receives permission to contact Richmond, the student-athlete is considered a prospective student-athlete and is subject to all applicable recruiting rules.

### **Transfers Out**

The University of Richmond's policy is not to (a) grant permission for student-athletes to contact other institutions about transferring or (b) grant a one-time transfer exception, unless there are extenuating circumstances as determined by the Athletic Director. Such circumstances could include an academically based transfer, or a transfer related to a financial burden or hardship a family would experience through continued enrollment at the University of Richmond.

If a coach is approached by a student-athlete seeking permission to contact another institution, it is that coach's responsibility to notify head coach (if needed), and for the head coach to notify their sport administrator or the compliance office.

At no time should a coach communicate verbally or in writing that permission will be granted, this communication will come from either the Director of Athletics, FAR, sport administrator or the compliance office.

### **Facility Usage**

All outside groups wishing to conduct activities using University of Richmond and Athletic Department Facilities must be endorsed by an Athletic Department employee. A paid staff person must be present to supervise during all activities. This staff person will be compensated

\$150 by the outside group. All facilities required must be reserved through the university's online reservation system by the Coordinator of Facilities & Events. All facilities usage expenses are the responsibility of the outside group (i.e. custodial fees) through an account set up through the Assistant Director of Athletics/Business. Rental fees for facility usage will be communicated to any outside group at the time of the inquiry. Additionally, the Head Coach or Coordinator of Facility and Events is required to do the following:

1. Complete Camps, Clinic, Outside Group Sponsorship Approval Form
  - a. Detailed information of the event of group must be included in the space provided (i.e. practice or contest, prospect aged individuals, affiliation or club name, etc...)
2. Obtain signature and approval from the Coordinator of Facilities and Events verifying that all facilities required will be available and discuss any additional facility issues
3. Obtain signature and approval from the Assistant Athletic Director/ Compliance verifying activities meet NCAA rules and guidelines
4. Obtain signature and approval their Sport Administrator
5. Obtain signature and approval from the Assistant Director of Athletics / Business setting up all necessary accounts
6. One copy will be kept on file by the Head Coach and their Sport Administrator

### **Complimentary Admission Procedures for Prospects and High School Coaches**

The Ticket Office administers the complimentary admissions pass list for visiting prospective student-athletes making official and unofficial visits. (See also Complimentary Tickets)

In order to obtain tickets for prospects, coaches must include the ticket request on either an unofficial or official visit request. This request must be submitted to the compliance office at least 48 hours prior to the event. The compliance office will work with the ticket office to provide the names of any visiting prospects and their guests.

Note, prospective student-athletes on official or unofficial visits may receive up to three complimentary admissions for himself/herself and those individuals accompanying him/her; b) an individual responsible for directing an activity in which a prospect is involved may receive up to two complimentary admissions, and c) complimentary admissions for prospective student-athletes and their guests must be in the general seating area. Accommodations for non-traditional families that accompany a prospective student-athlete making an official visit can be made – but must be included in the request.

All complimentary admissions for prospective student-athletes must be provided through a pass list. Each prospective student-athlete shall sign for the complimentary admissions he/she receives. The Director of Ticket Operations is responsible for monitoring compliance with complimentary admissions regulations and shall maintain records of all such admissions, which will be audited periodically by the compliance office. The compliance office will also conduct rules education for the entire ticket staff prior to the start of each academic year, and as needed throughout the year.

### **Charitable Item Requests**

Any request for a donation of goods or services must be approved by the Compliance Office. In order to obtain approval for the donation, the outside agency requesting the donation must complete a [Donation Request Form](#). The Compliance Office will then review the request, consult with the involved sport's head coach, and approve if possible. The requestor will receive a copy of the request form once it has been reviewed; the original will be maintained in the Compliance Office.

The Compliance Office is available for NCAA interpretive questions regarding the donation of charitable items.

### **Involvement With Local Sports Clubs**

Coaches are permitted to be involved with local sports clubs pursuant to NCAA Bylaw 13.11.2.3. All coaches involved in any capacity with a local sports club must complete the Local [Sports Club Form](#) and receive approval from the Compliance Office prior to their participation.

# CAMPS AND CLINICS

The Compliance Office is responsible for reviewing and evaluating the University's procedures for monitoring compliance with NCAA, Atlantic 10, Colonial Athletic Association and institutional regulations pertaining to camps and clinics. The sports camps and clinics referred to in this section are owned and operated jointly by each Head Coach and the University, but are considered institutional camps per NCAA legislations. NCAA Bylaw 13.12 is the primary source for NCAA regulations pertaining to camps and clinics.

## **Planning Camps and Clinics**

Head Coaches are required to work with their Sport Administrator and the University's Camps and Conferences office in order to conduct all camps and clinics.

The procedure for setting up Camps & Clinics will be as follows:

1. All requests should be directed to Camps & Conferences at the beginning of the Fall & Spring semesters.
2. Camps & Conferences collects the camp/clinic requests and will seek approval from the appropriate Athletic Department Staff (sport administrator and compliance office).
  - For approval from the compliance office a draft of the camp flyer or brochure must be submitted for approval.
3. Camps & Conferences will provide coaches with an agreement (like a contract) and coordinate the facilities & services as needed and available.

Head Coaches' involvement in private camps and clinics must be approved by their respective sport administrator in advance and must adhere to University and NCAA rules and regulations.

## **Monitoring Camps and Clinics**

Each Head Coach is responsible for ensuring that his/her camps or clinic complies with relevant NCAA, Atlantic 10, Colonial Athletic Association and institutional rules. The following procedures are in place to assist in the monitoring of camps and clinics:

1. In November of each academic year, the Compliance Office provides all Head Coaches / Camp Administrators with the Coaches Guide to Sports Camps and Clinics [**Exhibit CC-1**]
2. Head Coaches / Camp Administrators are responsible for reviewing this guide in the planning of their camp or clinic.
3. At least one month prior to the beginning of their camp or clinic, the Head Coach / Camp Administrator must complete the [\*\*Institutional Camp/Clinic Description Form\*\*](#).

4. At least two weeks prior to the beginning of their camp or clinic, the Head Coach / Camp Administrator must complete the [Institutional Camp/Clinic Staff Compensation Form](#) and the [Institutional Camp/Clinic Registration Form](#).
5. Following reconciliation of the camp budget, the Assistant Director of Athletics/Business provides the Compliance Office with financial summary of each camp.

## INITIAL ELIGIBILITY

The Compliance Office, in conjunction with the Athletics Admissions Coordinator and the Registrar, is responsible for reviewing and evaluating the University's procedures for monitoring compliance with NCAA, Atlantic 10, Colonial Athletic Association, and University regulations dealing with the initial eligibility of student-athletes. NCAA Bylaw 14 is the primary source for NCAA regulations concerning initial eligibility.

### **Academic Evaluation of Prospects**

1. Prospects are identified for initial eligibility certification as early as their admission review. The Athletics Admissions Coordinator reviews the prospect for recruitability. Once a prospect is deemed recruitable, the Athletics Admissions Coordinator notifies the Compliance Office so that the Compliance Office can activate the prospect on the NCAA Eligibility Center's Institutional Review List (IRL) to monitor the prospect's initial eligibility status. The Compliance Office notifies the Head Coach of any prospects who are not registered with the Eligibility Center or who are missing more than the senior English requirement.
2. Once prospects have been reviewed for recruitability, the Athletics Admissions Coordinator completes a Transcript Evaluation and Admission Review Form [Exhibit IE-1] and forwards it to the Office of Admission to determine the prospect's admissibility.
3. As soon as a coach has committed either an athletic scholarship and/or a coach-supported admit, the coach must complete an [NLI/GIA/CSA Request Form](#).
4. Using the above request form, the Athletics Admissions Coordinator begins the process of generating an NLI/GIA (see also Recruiting).
5. Once an NLI/GIA/CSA request form is on file, the Athletics Admissions Coordinator accesses Admission records via Banner and Assistant Director of Athletics for Compliance accesses the Clearinghouse records via the internet to determine a prospect's admission and initial-eligibility status. Either the Athletics Admissions Coordinator or the Assistant Director of Athletics for Compliance will notify the Head Coach if any documents are missing in their respective area.
6. Beginning February 15 each year, the Athletics Admissions Coordinator provides each sport with an update every other week of recruited/coach-supported admit prospects' admission and the Assistant Director of Athletics for Compliance provides an update on each prospect's initial-eligibility status. Beginning April 1, this update becomes weekly.

### **Initial Eligibility Certification (Recruited First Year Students)**

1. Head Coaches shall provide the Compliance Office a list of all incoming prospects as soon as available but no later than May 1. Thereafter, Head Coaches should continually update the Compliance Office with names of incoming prospective student-athletes.

2. The Compliance Office is the liaison to the NCAA Eligibility Center and is responsible for monitoring the initial eligibility certification of all prospects. All prospect student-athletes, who participate in a fall sport, shall be certified PRIOR to reporting for preseason camp. Prospective student-athletes that compete in winter and spring sports shall be certified by the Eligibility Center prior to the first day of classes but no later than two weeks after the first day of classes.
3. Prior to final certification for first year students, the Compliance Office must ensure the following: (a) the student-athlete has completed the NCAA's, Student-Athlete Statement [Exhibit CE-1], Drug Testing Consent Form [CE-2] and the Student-Athlete Policy and Performance Expectation acknowledgement; (b) the student-athlete has been properly recorded on the NCAA Squad List and NCAA Affirmation of Eligibility; and (c) the student-athlete has been coded in Banner, the University of Richmond student information system.
4. The Head Coach is notified of all student-athletes (incoming, transfers, and continuing) from his/her sport who have been certified to compete prior to the first competition.

### **Initial Eligibility Certification (Transfers)**

1. The Head Coach must ensure that Permission to Contact the prospective transfer student-athlete is on file with the compliance office.
2. The Head Coach should obtain the prospective incoming transfer student's high school transcript, test scores, and college transcript and provide them to Athletics Admissions Coordinator for an admission review.
3. If the transfer candidate is from a 2-year institution, the Head Coach provides the Compliance Office with the name of the transfer candidate and the institution from which the student-athlete may be transferring.
4. In an effort to streamline the eligibility status and certification of all transfer student-athletes, the Compliance Office utilizes the Transfer Student-Athlete Eligibility Checklist [Exhibit IE-2] to ensure that all necessary items are properly evaluated.
5. The Compliance Office determines the prospect's status as a qualifier and collects the above mentioned information and forwards it to the Registrar's Office. The Registrar's Office reviews the prospect's information in accordance with the transfer regulations in NCAA Bylaw 14.
6. The Athletics Admissions Coordinator shall not approve the further recruitment of a transfer student until the Compliance Office, in conjunction with the Registrar's Office, has thoroughly evaluated the prospect's eligibility (i.e., one-time transfer release, transferable hours, initial eligibility status, etc.)
7. Prior to final certification for transfers, the Compliance Office must ensure the following: (a) the student-athlete has completed the Student-Athlete Statement, Drug Testing Consent form, and Student-Athlete Historical Report; (b) the student-athlete has been properly recorded on the NCAA Squad List and NCAA Affirmation of Eligibility; and (c) the student-athlete has been coded in Banner.

8. The Head Coach is notified of all student-athletes (incoming, transfers, and continuing) from his/her sport who have been certified to compete prior to the first competition.
9. Note: the CAA does not allow intra-conference transferring, so no four-year college prospect from a CAA institution can be certified to compete.

### **Initial Eligibility Certification (Walk-Ons)**

1. Head Coaches must provide the Compliance Office with the name of any student wishing to join their respective team. The student will complete the Student-Athlete Statement, Drug Testing Consent form, and the Student-Athlete Policy and Performance Expectation acknowledgement prior to engaging in any practice activities
2. The Compliance Office shall review the information provided and verify the following: (a) the student-athlete is enrolled as a full-time student; (b) the student-athlete is in good academic standing and making appropriate academic progress; (c) the student-athlete has registered with the NCAA Eligibility Center.
3. Prior to final certification for walk-ons, the Compliance Office must ensure the following: (a) the student-athlete has completed the required NCAA forms listed above; (b) the student-athletes have been properly recorded on the NCAA Squad List and NCAA Affirmation of Eligibility; and (c) the student-athletes have been coded in Banner.
4. The Head Coach is notified of all student-athletes (incoming, transfers, and continuing) from his/her sport who have been certified to compete prior to the first competition.

### **Initial Eligibility Certification (International Student-Athletes)**

1. During the recruiting process, all international prospective student-athletes must complete the International Student-Athlete Information Form [Exhibit A-1]. This form must be administered as early in the recruiting process as possible.
2. Once the student arrives on campus, he/she will be required to complete the General Eligibility Form for International Student-Athletes prior to their participation. This NCAA required form is again reviewed by the Compliance Office and compared to the form that the student had previously submitted.
3. The Compliance Office utilizes the International Student-Athlete Eligibility Checklist [Exhibit A-2] to ensure that all necessary items are properly evaluated.
4. Prior to final certification for first year students, the Compliance Office must ensure the following: (a) the student-athlete has completed the NCAA's Drug Testing Consent form, Student-Athlete Statement, and Student-Athlete Historical Report form; (b) the student-athlete has been properly recorded on the NCAA Squad List and NCAA Affirmation of Eligibility; and (c) the student-athlete has been coded in Banner.
5. The Head Coach is notified of all student-athletes (incoming, transfers, and continuing) from his/her sport who have been certified to compete prior to the first competition.

## **CONTINUING ELIGIBILITY**

The Compliance Office and the Registrar's Office are responsible for reviewing and evaluating the University's procedures for monitoring compliance with NCAA, Atlantic 10, Colonial Athletic Association, and institutional regulations dealing with the continuing eligibility of student-athletes. NCAA Bylaw 14 is the primary source for NCAA regulations concerning continuing eligibility.

The ultimate responsibility for determining the academic eligibility of continuing student-athletes rests with the Office of the University Registrar. The Assistant Director of Athletics for Compliance and Assistant Director of Athletics for Academics provide information regarding the eligibility of these student-athletes.

### **Team Eligibility / Compliance Meetings**

At the beginning of the academic year, the Compliance Office conducts eligibility / compliance meetings with each team prior to the start of practice for each sport. All student-athletes are required to complete the necessary paperwork distributed during these meetings prior to their participation in any countable athletically related activities.

During this meeting the Assistant Director of Athletics for Compliance reviews pertinent NCAA eligibility rules with the student-athletes and has them complete the following paperwork: (1) Student-Athlete Statement [Exhibit CE-1]; (2) Drug Testing Consent Form [Exhibit CE-2]; (3) HIPPA Consent [Exhibit CE-3]; (4) Student-Athlete Policies and Performance Expectations. First year student-athletes must also complete the Recruited / Nonrecruited Student-Athlete Form [Exhibit CE-7]; and the NCAA Amateurism Gap Time Certification form.

### **Certification of Eligibility**

1. By the end of the 1<sup>st</sup> week of June the Athletics Department Compliance Office updates all returning student athletes in the Banner System.
2. By July 31, based on grades and other materials available at that time and pursuant with NCAA guidelines for continuing academic eligibility, the Registrar's Office submits a preliminary academic eligibility report to Athletics.
3. The Athletics Compliance Office, the Athletics Academic Support Office and the Registrar's Office will meet to resolve problems.
4. The Registrar will send a final academic eligibility list to the Athletics Compliance Office one week prior to the first day of fall classes (sports competing before that date will require earlier academic eligibility certification).
5. The Athletics Compliance Office will then send a working copy of the squad list to the Registrar's Office. The squad list will indicate a "Y" in the "Elig." column for all student-athletes who are academically eligible to compete based on the preliminary report from the Registrar's Office.
6. The Registrar's Office will audit the squad list to ensure that accuracy. If no changes need to be made, the Assistant Registrar will sign and date the squad list to officially certify the academic eligibility of all student-athletes listed therein.
7. The Athletics Compliance Office will provide a signed copy of the Official Squad List to each Head Coach and appropriate Sport Administrator prior to each sport's first competition.

8. The Head Coach is responsible for making sure that all student-athletes have been certified as eligible on the squad list prior to allowing them to participate in a competition. No student-athlete is eligible to compete unless he/she has a “Y” in the “Elig.” column on the official signed squad list.

**Certification Responsibilities**

*Assistant Registrar*

- Runs transcripts and audits all student-athletes identified as returning and new student-athletes (based on the Banner sports table).
- Generates a “problem list” and meets the Compliance Office to resolve.
- Checks list of incoming student-athletes against NCAA Clearinghouse to verify initial eligibility.
- Signs-off on squad lists as the Official Certifying Officer for academic eligibility.

*Assistant Director of Athletics for Compliance*

- Regularly updates student-athletes on Banner sports table and Compliance Assistant (CAi), adding new student-athletes and removing inactive or graduating student-athletes.
- Coordinates the parallel audits of all student-athletes for continuing eligibility.
- Generates a “problem list” and meets with the Registrar’s Office to resolve.
- Clarifies and produces documentation for exceptions (e.g., those cleared through the averaging method, one-time transfer exception, or other NCAA and/or Atlantic 10/CAA Conference interpretations).
- Signs-off on squad lists.

**Certification Calendar**

|                             |   |
|-----------------------------|---|
| MAY - 3 <sup>rd</sup> week  | When Spring term grades are finalized Athletics and Registrar’s Office will review the academic eligibility of at risk student athletes as identified by the Athletics’ Dept and the Registrar’s preliminary audits of GPA and hours earned to identify continuing student-athletes with academic eligibility issues. |
| JUNE - 1 <sup>st</sup> week | Athletics updates the Banner sports table for all student athletes (roll continuing, code entering who have deposited, and remove any non-returning or graduating).   |
| JUNE – 2 <sup>nd</sup> week | Athletics will have new student athletes and identified walk-ons entered into the Banner system.  |
| JULY – 1 <sup>st</sup> week | Athletics produces preliminary squad lists for the upcoming academic year and provides each Head Coach with a copy. The Head Coach will verify that all preliminary information is correct and will sign and return the preliminary squad list to the Athletics Compliance Office.                                    |

|  |   |
|--|---|
| JULY – 1 <sup>st</sup> week  | Athletics updates NCAA Compliance Assistant (CAi) for the upcoming academic year and compares against the Banner sports table.  |
| JULY – 4 <sup>th</sup> week  | Registrar's Office sends a problem report to Athletics for all new and returning student athletes.  |
| AUG – 1 <sup>st</sup> week   | Athletics notifies the Registrar's Office of last term seniors taking less than a full-time course load and student athletes moving to a graduate/professional program. Registrar's Office reviews Clearinghouse info on entering student-athletes. |
| AUG – 2 <sup>nd</sup> week   | Registrar's Office reviews academic eligibility of student athletes who have attended summer school (May and June term) and entering transfer students  |
| AUG – 3 <sup>rd</sup> week   | Athletics will have squad list documents signed and on file in both Athletics and the Registrar's office.   |
| NOV – 4 <sup>th</sup> week   | Athletics updates the Banner sports table for all student athletes (roll continuing, remove any non-returning or graduating, add any new)   |
| JAN – 2 <sup>nd</sup> week<br>(prior to the start of spring classes) | Mid-year certifications complete prior to first day of Spring term classes. Athletics will have the necessary academic eligibility documentation signed and on file in both Athletics and the Registrar's office.                                   |

### **Full-Time Enrollment**

Student-athletes must be enrolled as full-time students at the University of Richmond in order to be eligible for practice and/or competition, which equates to carrying a minimum of 3.5 units. The Assistant Director of Athletics for Compliance and the Assistant Director of Athletics for Academics monitor the full-time status of all student-athletes as follows:

1. All student-athletes who are to engage in any organized practice activities are coded on Banner as active student-athletes by the Compliance Office.
2. Banner runs a daily job listing all coded student-athletes who have dropped below full-time status. This report is e-mailed to the Assistant Director of Athletics for Compliance, the Assistant Director of Athletics for Academics, and the Assistant Registrar each morning.
3. If a student-athlete drops below full-time status, the Assistant Director of Athletics for Compliance contacts the Head Coach and student-athlete immediately to inform them that the student-athlete is ineligible for practice and competition until he/she enrolls as a full-time student.

If a student-athlete is in his/her last semester of enrollment before graduation and is taking the class(es) needed for graduation, he/she may be enrolled as a part-time student. When such is the case, the Compliance Office prepares a part-time certification form for the Registrar to verify and sign. [Exhibit CE-9]

### **Participation Lists**

The Compliance Office is responsible for maintaining participation lists for all sports.

1. At the conclusion of each playing season, the Compliance Office sends a memo requesting the Head Coach complete a participation form, which will be provided with the memo.
2. Within two weeks of the conclusion of his/her season, the Head Coach returns a completed participation form with redshirts noted to the Compliance Office.
3. The Compliance Office reviews the participation form and compares it the official statistics provided to the Compliance Office by the Sports Information Office.
4. The participation form is retained in the Compliance Office. Each student-athlete's participation status is updated on Compliance Assistant (CAi) so that the number of seasons utilized will be properly documented when the squad lists for the next year are prepared.

### **Medical Hardship Requests**

The Compliance Office is responsible for filing medical hardship requests for all sports.

1. At the conclusion of each playing season, the Compliance Office sends a memo requesting the Head Coach complete a participation form and notify the Compliance Office of any potential medical hardship waivers.
2. The Compliance Office confirms the sport's total number of scheduled contests/dates of competition, the total number of dates of competition/contests in which the student-athlete participated and all other appropriate calculations necessary to complete the Atlantic 10 hardship waiver request.
3. The Director of Sports Medicine is responsible for obtaining all contemporaneous medical documentation needed to support the request. The contemporaneous medical documentation must come from the physician(s) who administered care at the time of the injury or illness and must establish the student-athlete's inability to compete for the remainder of the playing season segment that concludes with the NCAA championship as a result of that injury or illness. This should include, but does not have to be limited to, the date of the onset of the injury/illness, the date the student-athlete could return to practice and competition, the dates that the physician saw/treated the student-athlete, and any rehabilitation records.
4. The Director of Sports Medicine may also obtain other optional medical documentation such as a letter from the physician / training room. Please note that a letter from the physician is not considered contemporaneous medical documentation for purpose of this rule. Therefore, no hardship waiver will be granted with only a physician's letter.

5. Once all required documentation has been received, the Assistant Director of Athletics for Compliance prepares the Atlantic 10, or CAA Hardship Waiver Request Form and obtains the signature of the Director of Athletics.
6. The Atlantic 10 Hardship Waiver Request Form and supporting documentation is then forwarded to the Assistant Commissioner for Compliance at the Atlantic 10 Conference Office for approval.
7. Depending on the outcome of the hardship request, each student-athlete's participation status is updated on the NCAA Squad List by the Compliance Office for the following year.

### **Outside Competition**

1. At the start of each academic year, Head Coaches and student-athletes are reminded about the NCAA rules pertaining to outside competition during the academic year.
2. Student-athletes must receive the approval of his/her Head Coach before participating on any outside team during the academic year.
3. The Compliance Office is available to respond to any requests for interpretations of NCAA rules pertaining to outside competition.

### **Summer Basketball Leagues**

1. Each spring, the Compliance Office meets with the basketball teams regarding summer league participation regulations and provides student-athletes with the required pre-approval forms [Exhibit CE-11].
2. At the end of each academic year, Head Coaches in the sport of basketball receive a memo from the Compliance Office requesting the names of student-athletes who will be participating in a summer basketball league.

The Compliance Office receives the information as to which student-athletes will be participating in a summer league and seeks approval from the Director of Athletics. Copies are kept in the Compliance Office.

### **Seasons of Competition**

Each student-athlete's participation history is updated on the Squad List at the end of each season. The Squad List is maintained by the Compliance Office.

## **FINANCIAL AID**

The Compliance Office, in conjunction with the Office of Financial Aid, is responsible for reviewing and evaluating the University's procedures for monitoring compliance with NCAA, Atlantic 10, CAA and institutional regulations regarding the awarding of financial aid to student-athletes. NCAA Bylaw 15 is the primary source for NCAA regulations dealing with financial aid.

### **Determination of Value and Availability of Grants-in Aid**

1. The Director of Financial Aid computes the cost of attendance for each student-athlete.
2. The Director of Financial Aid computes the average cost of a full athletics grant-in-aid.
3. The Director of Athletics, in conjunction with the Deputy Athletics Director and Assistant Director of Athletics for Business, determines the amount of funds to be allocated for grants-in-aid for each sport.

### **Awarding Initial Financial Aid**

1. Each Head Coach makes a recommendation to the Director of Athletics through the Compliance Office for the awarding of initial grants-in-aid (see Recruiting, National Letter of Intent). The Compliance Office appropriate Sport Administrator review the eligibility of each student-athlete to receive financial aid. The grant-in-aid is approved by the Head Coach, Assistant Director of Athletics for Compliance, and Director of Financial Aid.
2. The prospective student-athlete signs two copies of the National Letters of Intent and two copies of the University's Athletic Grant-In-Aid Agreement. The prospective student-athlete retains one copy of each and returns the other copy to the Compliance Office. Upon receipt, the Compliance Office forwards the original to the Atlantic 10, or Colonial Athletic Association office.
3. Each June, the Assistant Director of Athletics for Compliance provides the Office of Financial Aid with a list of all those on athletics grant-in-aid for the subsequent year.
4. If financial aid is awarded after the first day of class, the Compliance Office notifies the Office of Financial Aid. The Office of Financial Aid informs the University Bursar of the prorated scholarship amount.

### **Renewal, Nonrenewal of Financial Aid (including 5<sup>th</sup> Year)**

1. At the beginning of May each year, each Head Coach meets with the Assistant Director of Athletics / Compliance to review each student-athlete currently on his/her roster. A spreadsheet will be provided detailing the athletic grant-in-aid amount received by each student-athlete. By May 15, the Head Coach must return the spreadsheet to the Compliance Office noting any grant-in-aid changes he/she would like to make for the ensuing academic year.

2. The Assistant Director of Athletics for Compliance reviews the spreadsheet for the eligibility of each student-athlete to receive financial aid (individually and team). He/she approves the requests and forwards the forms to the appropriate Sport Administrator.
3. The Sport Administrator reviews and approves the requests and returns the forms to the Assistant Director of Athletics for Compliance.
4. The Compliance Office then prepares renewal letters for all student-athletes on behalf of the Director of Financial Aid. The Financial Aid Office prepares all non-renewal and gradation letters.
5. The University's policies regarding nonrenewal or gradation of athletically related financial aid shall govern any such action.
6. The Director of Financial Aid sends renewal/non-renewal/gradation letters to each student-athlete by July 1. All cancellation, reduction, and nonrenewal letters--sent to student-athletes by the Director of Financial Aid--contain the following language:

*Your appeal must be made in writing to me, and I must receive it no later than DATE. Your appeal should contain the following information: (a) the reason(s) for the appeal; and (b) the names of any University of Richmond employees with whom you have discussed the nonrenewal of your scholarship. If you make an appeal, a decision will be made (based on the merits of your appeal) as to whether our committee will review your situation. If so, a date will be established for a committee of faculty and staff from outside of the Department of Athletics to review your appeal. You, the coach, and any other relevant parties may present information as to why you should or should not be permitted to keep your scholarship. The committee will then rule on your appeal. The decision of the committee is final.*

Copies of the nonrenewal/gradation letters are provided to the Compliance Office who shall provide copies, if needed, to the appropriate Head Coach.

### **Athletic Award Changes**

Prior to the start of each semester, the Compliance Office receives grant-in-aid requests from the Head Coaches recommending athletically related financial aid to only those student-athletes who a) are not receiving an athletics award during the previous academic year, or b) are to receive an increase in their athletically related financial aid. Grants-in-aid may only be increased during the year for documented non-athletic reasons.

The Compliance Office reviews these requests and, if appropriate, processes the grant-in-aid request form with the appropriate Sport Administrator. The Assistant Director of Athletics for Compliance then submits the change request to the Office of Financial Aid.

A revised grant-in-aid form is issued to the student-athlete for his/her signature and a copy is kept on file in the Compliance Office.

### **Reduction and Cancellation During the Period of the Award**

1. Head Coaches must inform the Assistant Director of Athletics for Compliance Office and their Sport Administrator immediately should a student-athlete meet any of the provisions of NCAA Bylaw 15.3.4.2 for the cancellation/reduction of aid during the period of the award. The Assistant Director of Athletics for Compliance and the Deputy Athletics Director (or appropriate Sport Administrator) shall review any such recommendation.
2. If the circumstances of the Head Coaches request meets one of the provisions in 15.3.4.2, then the Head Coach meets with the involved student-athlete and has him/her read and sign the Relinquishment of Athletically Related Aid Form.
3. The Deputy Athletics Director (or the appropriate Sport Administrator) and the Assistant Director of Athletics for Compliance determine if the reduction/cancellation is warranted. If so, the Assistant Director of Athletics for Compliance sends a written request to the Director of Financial Aid.
4. The University's policies for reductions or cancellations of athletically related financial aid shall govern any such action.
5. The Director of Financial Aid sends a cancellation letter to the student-athlete with information about the appeals process. Copies of the letters are provided to the Compliance Office who shall provide copies, if needed, to the appropriate Head Coach.

### **Student-Athletes and the University's Study Abroad Program**

Student-athletes are not eligible to receive athletically related financial aid during the regular semester of an academic year in which they elect to withdraw from the team to study abroad. Student-athletes are encouraged to participate in the University's study abroad program during summer school at their own expense.

Any exceptions to this policy must be approved by the Director of Athletics or his designee.

### **Summer School Funding**

Student-athletes are eligible to receive athletics aid for summer school funding in the same percentage they receive during the school year. Athletic funding for summer school is done by application. Refer to the Head Coaches Manual for details of the process.

### **Preparation and Maintenance of NCAA Squad Lists**

The Compliance Office, with assistance from the Office of Financial Aid, is responsible for the accurate preparation and maintenance of the Squad Lists for each sport.

The Compliance Office prepares Squad Lists in accordance with NCAA regulations. All student-athletes who have signed an NCAA Drug Testing Consent Form must be listed and all other student-athletes who are receiving athletically related financial aid (fulfilling a transfer residency, exhausted eligibility and receiving financial aid or declared medically ineligible). Squad lists are maintained on Compliance Assistant (CAi).

The following time line and procedures shall be followed for the preparation and maintenance of Squad Lists:

1. The Compliance Office prepares NCAA Squad Lists in July for the upcoming academic year. The lists contain all incoming student-athletes, as known and returning student-athletes. The Squad List is prepared using a print-out of all students receiving University aid. This print-out is provided by the Office of Financial Aid.
2. Any change in status of a student-athlete is to be immediately reported by the Head Coach to the Compliance Office.
3. The Compliance Office sends updated Squad Lists to the Director of Financial Aid periodically throughout the academic year.
4. Hard copies of the Squad Lists are maintained in the Compliance Office.

### **NCAA Team and Individual Financial Aid Limits**

1. When preparing squad lists the Compliance Office reviews the financial aid to determine if it is countable toward individual and team financial aid limits per NCAA Bylaw 15.
2. Institutional financial aid that is not countable toward team limits must have the appropriate certification form completed and on file. This process is initiated in the Compliance Office and copies of the certification are maintained in the Compliance Office. Institutional financial aid that is countable toward team limits is indicated on the respective Squad List and computed in the team limit.
3. If acceptance of the non-athletically related financial aid would put the student-athlete over the individual limit or would put the student-athlete's team over its team limit, the Director of Financial Aid notifies the University Bursar that the non-athletically related institutional financial aid is to be credited to the student-athlete's account and the athletics department's obligation should be reduced accordingly. In some cases, the Compliance Office, in conjunction with the Director of Financial Aid, notifies the student-athlete that he or she may not accept the non-athletically related financial aid.
4. Each summer, all student-athletes receive a letter from the Compliance Office asking, in part, that they notify the office of any outside financial aid being received. If a student-athlete is receiving outside financial aid awards, the compliance office will follow up and require the student-athlete, or their parents/guardians to provide the compliance office with the awarding agency, period of the award, and the criteria for the selection of the award.
5. The Compliance Office follows up with the Financial Aid office to ensure that the award is documented on Banner and in their office. The Compliance Office will input the information related to the award in CAi, and maintain documentation in the student-athlete's file.
6. Following NCAA legislation, the Compliance Office determines whether or not the student-athlete may receive the award and if it is countable toward individual and team limits.

### **Special Assistance Fund**

The Compliance Office, with assistance from the Atlantic 10 office, is responsible for the administration and distribution of the Special Assistance Fund (SAF). The process is as follows:

1. In August/September of each year, the Atlantic 10 notifies the Compliance Office of the amount of money allocated to University from the SAF.
2. The Assistant Director of Athletics for Compliance requests a list of qualified students from the Financial Aid Office.
3. The Assistant Director of Athletics for Compliance and the Assistant Director of Athletics for Business will determine the amount of the allocation distributed per semester based on the availability of funds from the Atlantic-10 office.
4. The Assistant Director of Athletics for Compliance notifies each Head Coach of those student-athletes on his/her team that qualify for the Special Assistance Fund.
5. The Head Coach is responsible for having the student-athlete see the Assistant Director of Athletics for Compliance.
6. The student-athlete will receive instruction on the permissible uses for the assistance fund and will sign a statement acknowledging their understanding of the parameters in using the funds.
7. The Assistant Director of Athletics for Compliance will process a request for the student-athlete to receive a check for the allocated amount for the term.
8. Steps 1-7 are repeated for the spring semester.
9. All acknowledgements and check requests will be kept on file in the Compliance Office.

### **Off-Campus Room and Board Stipends**

Each full scholarship student-athlete is required to live on campus and purchase the full meal plan unless he/she has the approval of his/her Head Coach and Sport Administrator to live off-campus and/or have a reduced/no meal plan. The Sport Administrator oversees the off-campus room stipend and meal allowance as follows:

1. Prior to the start of each semester, Head Coaches provide the Sport Administrator with a list of all returning student-athletes who will be living off-campus or who are not required to purchase the full meal plan.
2. The Sport Administrator confirms with the appropriate housing office or One Card Services that these student-athletes do not reside on-campus or are not using the full meal plan.
3. The Sport Administrator notifies the Assistant Director of Athletics for Business that the student-athlete is living off-campus or not using the full meal plan. The Assistant Director of Athletics for Business confirms with the Director of Financial Aid the appropriate amount of the semester room or board stipend.

4. For students who receive the housing allowance, a credit is placed on his/her student account. The student-athlete requests reimbursement of this credit through the Office of Student Accounts.

### **Book Distribution**

1. The Compliance Office sends a list of all book-eligible student-athletes to the Assistant Director of Athletics/Academics.
2. Student-athletes who are eligible for books meet with the Assistant Director of Athletics/Academics to obtain a book store voucher form [Exhibit FA-6]. This form is completed by the student-athlete to reflect the required books for the courses in which he/she is enrolled. The Assistant Director of Athletics/Academics verifies that the student-athlete is enrolled in the classes for which he/she has requested books.
3. All student-athletes receiving books are informed that they must return books for classes they drop to the Assistant Director of Athletics/Academics. Failure to do so will result in a hold being placed on the student's account and a potential secondary violation.
4. Each term the compliance office will audit the vouchers submitted to the book store with the course enrollment of student-athletes eligible to receive the vouchers.

### **Student-Athlete Employment During the Semester**

The Compliance Office is responsible for monitoring student-athlete employment during the semesters. The process for monitoring such employment is as follows:

At the beginning of each school year, the Compliance Office meets with each team and explains NCAA regulations regarding term-time employment.

Student-athletes are required to receive prior approval for any term-time employment by completing the [Student-Athlete Employment Agreement](#).

## **AWARDS & BENEFITS**

The Compliance Office is responsible for reviewing and evaluating the University's procedures for monitoring compliance with NCAA, Atlantic 10, CAA and institutional regulations regarding the awards and benefits available for Richmond student-athletes. NCAA Bylaw 16 is the primary source for NCAA regulations dealing with awards and benefits.

### **Awards**

NCAA Bylaw 16.1 covers regulations concerning awards to student-athletes. Preapproval by the Sport Administrator and the Compliance Office is required to ensure that any awards banquets and/or awards given to student-athletes conform to NCAA and University regulations. Completion of the [Team Banquet/Award Approval Form](#) is required prior to making any purchases, orders, or reservations. The Compliance Office is available to assist with interpretations of these regulations.

### **Complimentary Admissions for Student-Athletes**

The Director of Ticket Operations is responsible for administering the athletics department's complimentary admission policy for student-athletes. NCAA Bylaw 16.2 covers regulations regarding complimentary admissions. University of Richmond policies and procedures are set forth in this manual under the separate heading "Complimentary Admissions".

### **Medical Expenses**

NCAA Bylaw 16.4 regulates payment of student-athletes' medical expenses. The Director of Sports Medicine is responsible for determining whether a student-athlete's medical expense is incidental to participation in intercollegiate athletics and, therefore, able to be financed by the University. The Compliance Office is available to assist with interpretations of these regulations.

### **Extra Benefits**

Pertinent regulations regarding extra-benefits are distributed to coaches and staff at the beginning of each academic year [Exhibit AB-1] and are included in various rules education sessions with coaches, administrators, and representatives of our athletics interests. Extra benefits are discussed with student-athletes at the beginning of the year compliance meetings that are conducted with every team prior to any countable athletic activity occurring.

### **Incidental Expense Waivers**

The Atlantic 10 may approve an Incidental Expense Waiver for a student-athlete based on the circumstances presented by the Compliance Office. This waiver would provide additional expenses to the student-athlete which may include air travel, etc. in the event of a situation that requires the student-athlete to travel for an emergency (i.e., funeral, casualty or losses,

accidents, etc.). All waivers would be filed individually with the understanding that the NCAA or Atlantic 10 must approve the waiver prior to receiving such expenses. [Exhibit AB-2]

## **Equipment / Apparel**

The Equipment Manager is responsible for coordinating Equipment Room operations and ensuring compliance with applicable NCAA, Atlantic 10, CAA and institutional rules and regulations.

Primary responsibility for purchase, storage, maintenance, security, and inventory of athletic equipment for the Department of Athletics is vested in the Equipment Manager. It will be the responsibility of each head coach to assist the Equipment Manager in carrying out the policies and procedures applicable to athletic equipment. The Equipment Manager will report directly to the Assistant Director of Athletics for Business and Finance.

All athletic equipment purchase requests must be initiated through and by the Equipment Manager. Under no circumstances are coaches to initiate purchases directly with vendors regardless of quantity. Unauthorized purchases become the financial responsibility of the individual placing the order. A coach desiring equipment for his or her program will submit a written request to the Equipment Manager, who has the responsibility to ascertain need, based upon availability of funds, current inventory, and upon utilization of equipment. Approval by the Sport Administrator along with the Assistant Director of Athletics for Business will be the final determining factor as to purchases being made. Upon approval, purchase of the equipment will be made by the Equipment Manager through contact with desired vendor for purchase of requested product.

### *Issuance of Equipment*

The Equipment Manager is responsible for the issuance and retrieval of all athletic apparel / equipment. In certain situations, head coaches are allowed to issue and retrieve their own sports' equipment. Head coaches issuing/retrieving their own equipment must receive prior approval of the Equipment Manager and must use the process detailed herein.

Issuance. To properly document the issuance and retrieval process, the Equipment Manager utilizes the [Equipment Inventory Form](#). A copy of the Equipment Inventory Form should be filed with the Compliance Office no later than 10 working days following issuance of equipment or apparel. The form is set up to identify the following:

- Student/Athlete – Name of individual receiving the apparel/equipment and contact information to communicate with athlete for retrieval at end of season.
- Date – Tells what academic year the equipment was issued for.
- Sport – Indicates the responsible athletic coaching staff
- Item – Description of the issued athletic item. Aids in the dissemination between apparel and equipment for permanent release purposes.
- Quantity – Number of items issued
- Date Received – Date when the student/athlete physically takes possession of the apparel/equipment.
- Date Returned – To be filled annually when the apparel/equipment is returned or is marked for permanent release. When items are marked for permanent release, authorization from the Athletic Director or the Sport Administrator is mandatory before the equipment is finalized for permanent release.

Required Signatures. The Equipment Inventory Form must be signed by the student-athlete, the Head Coach, the Equipment Manager and the Assistant Director of Athletics/Compliance.

*Donation of Equipment* – The donation of new or used athletic equipment to any individual or organization is strictly prohibited without the prior approval of the Compliance Office or Director of Athletics.

Please read the Athletic Department's Equipment Room Policy in its entirety.

## **COMPLIMENTARY ADMISSIONS**

The Compliance Office, in conjunction with the Ticket Office, monitors the complimentary admissions process. The Compliance Office is responsible for reviewing and evaluating the University's procedures for monitoring compliance with NCAA, Atlantic 10, and institutional regulations regarding complimentary admissions. NCAA Bylaws 13 and 16 are the primary sources for NCAA regulations dealing with complimentary admissions.

### **Education**

Each year, the Compliance Office meets with Ticket Office personnel to review NCAA rules regarding complimentary admissions. Jointly, the Ticket Office and Compliance Office provide all coaches with information regarding complimentary admission policies at the beginning of each school year.

### **Complimentary Admissions (Coaches/Staff)**

The limitation of complimentary tickets available to the head coaches in the sports of football, men and women's basketball are included each coach's contractual agreement. For coaches, and departmental staff, the complimentary admission policy is included in the head coaches manual (exhibit 12).

Volunteer coaches are permitted to receive two complimentary tickets to home contests in their sport only per NCAA bylaw 11.01.5 (b).

### **Complimentary Admissions for Student-Athletes**

The Director of Ticket Operations is responsible for administering the athletics department's complimentary admissions policy for student-athletes.

1. At the beginning of each year, each sport with ticketed events (football, men's and women's basketball) will be educated on the procedure that will be used during the current academic year.
2. Prior to each home game, the Head Coach has each student-athlete list the recipients of their complimentary admissions (up to four) on the Complimentary Ticket Pass List. This list must be returned to the Ticket Office no later than 24 hours prior to the scheduled contest.
3. The Ticket Office prepares tickets for each request and they are left at the Player Will-Call for that contest. The Ticket Office is responsible for verifying that each student-athlete is receiving the correct number of passes.
4. Those picking up student-athlete complimentary tickets must sign for their tickets and are given ticket stubs; no hard tickets are given.

5. The Compliance Office conducts random audits to verify that the persons named to receive a complimentary admission did, in fact, receive the complimentary admission and that the student-athlete did not receive anything of value.

### **Complimentary Admissions for Prospective Student-Athletes/Coaches**

The Ticket Office administers the complimentary admissions pass list for visiting prospective student-athletes making official and unofficial visits. (See also Complimentary Tickets)

In order to obtain tickets for prospects, coaches must include the ticket request on either an unofficial or official visit request. This request must be submitted to the compliance office at least 48 hours prior to the event. The compliance office will work with the ticket office to provide the names of any visiting prospects and their guests.

Note, prospective student-athletes on official or unofficial visits may receive up to three complimentary admissions for himself/herself and those individuals accompanying him/her; b) an individual responsible for directing an activity in which a prospect is involved may receive up to two complimentary admissions, and c) complimentary admissions for prospective student-athletes and their guests must be in the general seating area. Accommodations for non-traditional families that accompany a prospective student-athlete making an official visit can be made – but must be included in the request.

All complimentary admissions for prospective student-athletes must be provided through a pass list. Each prospective student-athlete shall sign for the complimentary admissions he/she receives. The Director of Ticket Operations is responsible for monitoring compliance with complimentary admissions regulations and shall maintain records of all such admissions, which will be audited periodically by the compliance office. The compliance office will also conduct rules education for the entire ticket staff prior to the start of each academic year, and as needed throughout the year.

### **Ticket Discounts and Promotions**

The Director of Ticket Operations is the only entity that may grant discounts on ticket prices. All requests for ticket donations must be submitted in writing to the Assistant Director of Athletics for Compliance, for approval. Approved requests will be forwarded to the Director of Ticket Operations for possible fulfillment. Requests will be filled based on availability by the Ticket Office. Season tickets will not be given for donation requests. Sideline, press, photography, and parking passes are not available as a part of the donation package. Coaches may not offer their own ticket discounts or otherwise engage in unapproved marketing activities. Any discount granted by the Ticket Office must be one that is advertised and available to all members of the public meeting the stated criteria.

## **PLAYING & PRACTICE SEASONS**

The Compliance Office is responsible for reviewing and evaluating the University's procedures for monitoring compliance with NCAA, Atlantic 10, CAA and University regulations regarding the playing and practice seasons of University of Richmond teams and student-athletes. NCAA Bylaw 17 is the primary source for NCAA regulations dealing with playing and practice seasons.

### **Declaration of Playing & Practice Seasons**

By August 1 of each academic year, the Compliance Office will provide each Head Coach with a Playing Season Declaration Form [Exhibit PP-1]. The Head Coach is responsible for completing the form and returning it to the Compliance Office prior to the beginning of the academic year or playing season (whichever occurs first). Coaches are allowed to modify their declared playing season at any time, as long as all such modifications are declared in writing to the Assistant Director of Athletics for Compliance for approval.

### **Countable Athletically Related Activities**

At the start of each academic year, the Compliance Office sends a written summary of NCAA rules and procedures pertaining to countable athletically related activities. [Exhibit PP-2]

At the beginning of each month, the Assistant Director Compliance will email the head coach a copy of their Practice Log Form [Exhibit PP-3] for that month. The coach will save the form to their desktop and enter the appropriate hours in to each category for every day that countable hours occur. At the end of the month, the coach will print the form and return it to the Compliance Office.

## **RULES EDUCATION**

The Compliance Office is responsible for coordinating the University's program of education with regard to NCAA, Atlantic 10, and University regulations that pertain to athletics. In that capacity, the Compliance Office elicits the assistance of other University staff members with specific areas of expertise (i.e., Faculty Athletics Representative, Director of Financial Aid, Director of Admissions). Individuals in supervisory positions are responsible for the rules education of those individuals under their authority.

### **Athletics Administrators & Coaches (add new staff orientation, beginning of the year coaches meetings, coaches orientation)**

1. Athletics Administrators and coaches should be familiar with at least the following:
  - procedures for reporting violations
  - procedures for obtaining rules interpretations
  - recruiting regulations
  - playing and practice seasons regulations
  - general eligibility regulations
  - extra benefits regulations
  - student-athlete promotional activity regulations
  - principles of financial aid
  - initial & continuing eligibility requirements
  - ethical conduct (gambling) and principles of amateurism (agents)
  - coaching staff limitations
  - coaches' outside compensation
2. NCAA legislation is reviewed with the Coaches through regular monthly meetings conducted by the Assistant Director of Athletics for Compliance.
3. Written information regarding NCAA, Atlantic 10, CAA and University regulations is distributed on a monthly basis in the Spider Compliance Newsletter.
4. Written updates (i.e., memorandums, emails) regarding NCAA, Atlantic 10, CAA and University regulations are distributed as deemed necessary to appropriate athletics department and University staff members by the Compliance Office.
5. Coaches and appropriate athletics department staff members are expected to attend all rules meeting conducted in preparation for the Coaches Certification Exam.
6. All new coaches and athletics department staff members shall attend a rules orientation program conducted by the Compliance Office.

### **Student-Athletes and Parents**

Student-Athletes and parents should be familiar with at least the following:

- academic and general eligibility requirements
  - complimentary ticket regulations
  - financial aid regulations
  - agents and amateurism legislation
  - extra benefit regulations
  - regulations regarding representatives of athletics' interests
  - employment regulations
  - procedures regarding rules information and interpretations
  - playing and practice season regulations
  - ethical conduct (gambling)
1. Annual NCAA eligibility/rules team meetings are conducted each fall by the Compliance Office to review relevant NCAA, Atlantic 10, CAA and University regulations with student-athletes.
  2. A student-athlete handbook containing pertinent NCAA regulations is prepared by the Assistant Director of Athletics for Academics and distributed to each student-athlete via the internet.
  3. As timely issues arise, student-athletes may receive educational e-mails from the Compliance Office.
  4. Beginning in 2006-07, student-athletes will receive a compliance newsletter via email on one occasion during both the fall and spring semesters.

### **Support Groups & Representatives of Athletics' Interests**

Representatives of Athletics' Interests should be familiar with at least the following:

- regulations governing their conduct
  - principles of institutional control
  - recruiting regulations
  - extra benefit regulations
  - employment guidelines
  - complimentary ticket regulations
  - procedures for reporting violations
  - procedures regarding rules information and interpretations
  - student-athlete promotional activity regulations
1. The Compliance Office, in conjunction with the Director of Athletics, shall periodically provide the *Spider Club News* magazine with articles regarding pertinent NCAA regulations.
  2. The Compliance Office shall distribute rules information to, and meet at least annually with, the staff members of the Spider Club to review pertinent NCAA, Atlantic 10, CAA and University regulations.
  3. The Compliance Office shall attend selected Spider Club meetings to emphasize the importance of compliance with NCAA, Atlantic 10, CAA and University regulations with Spider Club members.

4. The Compliance Office shall prepare and distribute a publication specifically intended for this constituency which sets forth relevant NCAA, Atlantic 10, CAA and University regulations. This publication will, at a minimum, be distributed to football and basketball season ticket holders and all Spider Club members.

### **Prospective Student-Athletes**

Prospective student-athletes should be made aware of at least the following:

- requirement for initial eligibility
  - recruiting regulations
  - amateurism legislation
1. The Compliance Office shall make the NCAA's Guide for the College Bound Student-Athlete available for coaches to send to prospects.
  2. The Assistant Director of Athletics for Compliance provides graduation rates, APR reports, banned drug information and a summary of initial eligibility requirements to each prospect through the coaching staff during all official campus visits.

### **Faculty Athletics Representative and Athletic Council**

The Faculty Athletics Representative and Athletic Council should be familiar with at least the following:

- procedures for reporting violations
  - procedures for obtaining rules information and interpretations
  - academic and general eligibility information
  - recruiting regulations
  - principles of institutional control
  - financial aid legislation
  - extra benefits regulations
  - ethical conduct and amateurism legislation
  - regulations concerning representatives of athletics interests
  - NCAA governance and legislative structure
1. The Compliance Office shall meet periodically with the Faculty Athletics Representative to review pertinent NCAA, Atlantic 10, CAA and University regulations and interpretations.
  2. The Faculty Athletics Representative and/or the Assistant Director of Athletics for Compliance review all pertinent NCAA compliance legislation with the Athletic Council.

### **University Administrators**

University Administrators should be familiar with at least the following:

- procedures for reporting violations
- procedures for obtaining rules information and interpretations
- academic eligibility (initial and continuing) requirements (i.e. Admission, Registrar)
- financial aid legislation (Financial Aid)

The Compliance Office shall direct pertinent compliance information to, and meet with as needed, appropriate University Administrators.

### **Director of Admission, Registrar and the Director of Financial Aid**

The Directors of these offices should be familiar with at least the following:

- procedures for reporting violations
- procedures for obtaining rules information and interpretations
- principles of institutional control
- NCAA governance and legislative structure

The Compliance Office assists the Director of Admissions, the Registrar, and the Director of Financial Aid with the education of their respective staffs. The Compliance Office discusses pertinent NCAA rules information on an ongoing basis with the Directors of Admission, the Registrar, and the Director of Financial Aid.

### **Academic Support Services**

The Office of Academic Support Services should be familiar with at least the following:

- procedures for reporting violations
- procedures for obtaining rules information and interpretations
- academic eligibility (initial and continuing) requirements
- extra benefits regulations

The Compliance Office assists the Assistant Director of Athletics for Academics with the rules education program for the academic advising staff (i.e., Academic Coordinators and Tutor Coordinators).

# INTERPRETATIONS

## **Responsibility for Interpretations**

The interpretations process is designed to provide a timely and efficient manner of responding to questions regarding NCAA regulations. The responsibility for obtaining, making, and documenting interpretations of NCAA regulations rests with the Compliance Office.

## **Obtaining & Documenting Interpretations**

The process is as follows:

1. University staff members should first seek guidance from their supervisors (i.e., staff members in the Marketing Office should first raise any rules questions with the Director of Marketing). If the supervisor is unable to respond to a staff member's question, the issue should be presented to the Compliance Office.
2. Notwithstanding the provisions of Item #1, athletics department staff members may direct rules questions and requests for interpretations at any time directly to the Compliance Office. Questions and requests for interpretations may be presented orally or by written request.
3. The Compliance Office documents responses to requests for interpretations. The Compliance Office circulates pertinent interpretations to appropriate University staff members.
4. If necessary, the Compliance Office consults the NCAA Legislative Services Database (the LSDB offers on-line information on all past NCAA Legislative Assistance Columns, Staff and Official Interpretations) or contacts the Atlantic 10 Assistant Commissioner for Compliance or NCAA Legislative Services Representative for assistance.
5. If the interpretation is considered significant, the Compliance Office confirms the interpretation with the Atlantic 10 and/or NCAA in writing.

# VIOLATIONS

The Compliance Office is responsible for reviewing and evaluating the University's procedures for investigating and reporting violations of NCAA and/or Atlantic 10 regulations. The Compliance Office is responsible for coordinating the investigations and reporting of any such violations.

## **Departmental Responsibilities**

All University staff members are required to report any potential violations of NCAA, Atlantic 10, or University regulations concerning intercollegiate athletics to a member of the Compliance Office. In addition, all individuals associated with the University of Richmond are expected to fully cooperate with any review, whether conducted by a member of the Compliance Office, outside counsel, an Atlantic 10 official, or the NCAA.

Any athletics department staff member found to have knowingly violated an NCAA regulation is subject to the termination of his/her employment. Any student-athlete found to have been knowingly involved in a major NCAA rules infraction is immediately declared ineligible and no appeal is made by the University for restoration of his/her eligibility.

If an individual defined by NCAA regulations as a representative of the University's athletics interests knowingly violates any NCAA regulation, that individual may be officially disassociated from the University for a period of time determined by the Director of Athletics after consulting with the President and the Assistant Director of Athletics for Compliance.

## **Investigating Potential Major Violations**

When information is received by a member of the Compliance Office that could reasonably cause concern as to whether a violation of NCAA, Atlantic 10, or University regulations has occurred, the following process shall take place:

1. The Director of Athletics, Deputy Athletics Director, and the appropriate supervising athletics department staff member are informed as soon as possible.
2. The Assistant Director of Athletics for Compliance, Deputy Athletics Director and Director of Athletics determine whether additional University staff members should be included in the deliberations (i.e., the President, Faculty Athletics Representative and/or University Counsel) and then determines how best to investigate the situation.
3. An investigation is conducted or coordinated by the Compliance Office and findings are reported to the Director of Athletics and appropriate University staff members.
4. If the investigation reveals no violation of NCAA, Atlantic 10, or University regulations, such finding is documented by the Assistant Director of Athletics for Compliance.

## **Reporting Violations**

1. If the investigation reveals that a secondary violation of NCAA regulations occurred, the athletics department may, with input from appropriate athletics department and/or University staff members, impose penalties and the Assistant Director of Athletics for Compliance reports the violation to the NCAA Enforcement Staff and/or the Atlantic 10.
2. Any student-athlete or prospective student-athlete involved in a secondary violation of NCAA regulations is immediately declared ineligible and, after consulting with the Atlantic 10 office, and assessing its own penalty on the ineligible student-athlete or prospective student-athlete, the University may appeal to the NCAA Student-Athlete Reinstatement Staff for restoration of the student-athlete's or prospective student-athlete's eligibility.
3. If a violation could be classified as a major violation, the President, Faculty Athletics Representative, and the University Counsel is immediately informed. The University Counsel meets with the Director of Athletics, Deputy Athletics Director and Assistant Director of Athletics for Compliance and assists in the investigation and reporting process. When the investigation has been completed, the University submits to the NCAA and Atlantic 10 a detailed report which sets forth specific reasons that justify the NCAA Enforcement Staff accepting the University-imposed penalties and foregoing the required penalties set forth in the NCAA enforcement procedures.
4. If the investigation reveals that a violation of Atlantic 10 regulations occurred (no NCAA violation), the violation is reported to the Atlantic 10 and, in consultation with Conference officials, appropriate remedial actions are taken.
5. If the investigation reveals that a violation of University (no NCAA or Atlantic 10 violation) policy occurred, the violation is handled in accordance with University of Richmond policies and procedures.
6. Should the athletics department, the University, or the NCAA impose sanctions on any athletics department or University staff member, representative of the University's athletics interests, or student-athlete, the Assistant Director of Athletics for Compliance oversees the implementation of those sanctions and files the appropriate documentation with the NCAA.
7. Any staff member involved in a secondary violation is required to have a meeting with the Assistant Director of Athletics for Compliance and appropriate athletics department staff members to discuss the nature of the violation and to seek advice as to future preventative measures.

The Assistant Director of Athletics for Compliance maintains a log of all NCAA violations (major and secondary) that is made available to the President upon request.