

# 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 as well as the Assistant Director of Athletics for Compliance.

In addition, the University of Richmond has established an Athletics Council. The Athletics Council is composed of 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 President and Director of Athletics.

The Assistant Director of Athletics for Compliance has the responsibility for executing the University's compliance program. The Assistant Director of Athletics for Compliance reports to the Athletics Director and has a dotted line reporting structure to the University General Counsel.

## **Shared Administrative Responsibility**

Compliance with NCAA, conference 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, conference 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, conference, 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; and

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; and

Self-study and external review of the compliance program.

## **Financial Audit Guidelines**

In accordance with NCAA regulations (NCAA Bylaw 3.2.4.15), the University of Richmond Athletics 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 athletics program.

The financial audit is conducted by a qualified auditor who is not a staff member of the University. The Assistant Athletics Director for Business, in conjunction with the University's Internal Auditor, arranges and oversees this financial audit. The NCAA publishes Financial Audit Guidelines which set 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 Athletics Council, coaches, faculty and staff are involved in the process to ensure a thorough and complete self-study is performed. The University of Richmond will undertake Cycle 3 Certification in 2016.

### **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 18.4.2.1, the President completes the Certification of Compliance for Institutions no later than September 15 each year. In addition, the Certification of Compliance for Staff Members of Athletics Departments 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.



## **Fundraising Efforts**

The Department of Athletics solicits financial support for its intercollegiate athletics program in accordance with University, conference, and NCAA regulations. Annual fundraising efforts are handled by the Spider Club. All fundraising 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 athletics 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 athletics department staff and/or be deposited in the appropriate athletics department account (i.e. annual spider club fund, Spider Athletics Initiative unrestricted account or designated account for your particular sport). All donations (cash or materials) must be recorded properly within the athletics 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 boosters, yet we discourage booster organizations. All support for our intercollegiate athletics programs must funnel through the Spider Club.

## **Booster Education**

Each year, the Athletics Compliance Office will develop communication piece(s) for boosters regarding NCAA athletics compliance. Whether through letters to student-athlete parents, season-ticket and Spider Club mailer inserts, e-mails, game programs advertisements or social media, we will make every effort to educate the Spider Club and our fans.

## **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 and conference.

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

## ETHICAL CONDUCT

The Athletics Compliance Office is responsible for reviewing and evaluating the University's procedures for monitoring compliance with NCAA, conference, 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, conference 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 athletics season.

The department's [Drug/Alcohol Screening and Education Program](#) is available on the athletics 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.

### **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 Fall compliance meeting conducted with every sport prior to the start of their respective athletics season. In addition, all student-athletes have the opportunity to view 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. All student-athletes

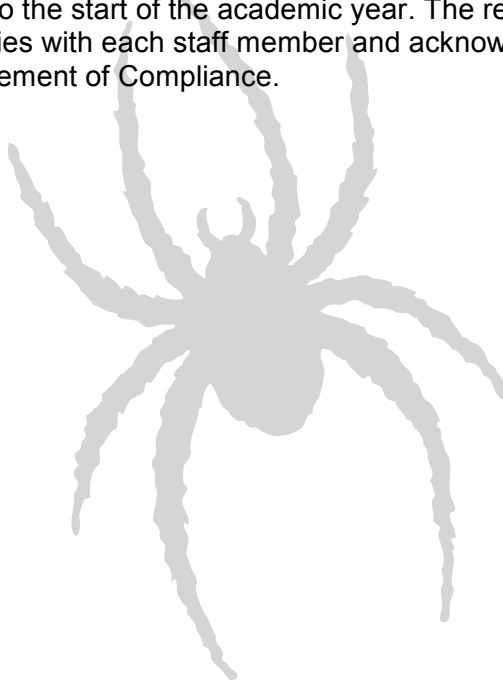
acknowledge the prohibition against gambling when signing the NCAA Student-Athlete Statement and the acknowledgement of the department's Policy and Performance Expectations.

### **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 Athletics Compliance Office is responsible for keeping this form in each student-athlete's personnel file.

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

All athletics 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.



## **PERSONNEL**

The Athletics Compliance Office is responsible for reviewing and evaluating the University's procedures for monitoring compliance with NCAA, conference, and institutional regulations regarding athletics department personnel. NCAA Bylaw 11 is the primary source for NCAA rules with respect to personnel rules.

The University and athletics department's hiring procedures outlined in the [Head Coaches Handbook](#) 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 Athletics Compliance Office a Coaches Designation Form (The Head Coach for FCS Football must fill out a different form found [here](#).) that details the status of every individual affiliated with an athletics team (paid or volunteer, coaching or non-coaching responsibilities).

The Athletics 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 Office of Athletics Compliance proctors the examination online for all coaches to certify their ability to recruit off-campus. Prior to the exam, the Office of Athletics 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 Athletics Compliance Office notifies each Head Coach and Sport Administrator the coaches who have been certified to recruit off-campus and maintains the list on file.

### **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 Athletics

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 is turned over to the Assistant Director of Athletics for Business who approves the income and benefits in accordance with institutional policies.

### **Head Coaches Evaluations**

Each Athletics Department support area has an opportunity to complete an annual written review of each Head Coach. These evaluations are submitted to the appropriate Sport Administrator and/or Director of Athletics. The evaluations are summarily 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.

### **Volunteer Coaches**

Any head coach utilizing the services of a volunteer coach must notify the Athletics 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 a Volunteer Coach Form.

### **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 Athletics Compliance Office. In addition, any individual – other than an undergraduate student, must complete a Noncoaching 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 Athletics Compliance Office is responsible for reviewing and evaluating the University's procedures for monitoring compliance with NCAA, conference, 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. 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 Recruiting 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 Athletics 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 Athletics Compliance Office utilizes the International Student-Athlete Eligibility Checklist to ensure that all necessary items are properly evaluated.

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

The Department of Athletics has adopted the following procedures with respect to agents. Our goal is to comply with all NCAA and conference rules regarding agents, while helping our elite student-athletes realize their professional athletics goals.

Any agent interested in contacting a Richmond student-athlete must first complete the Agent Registration Form and return the form to the Athletics Compliance Office. Please click the following link for a copy of the form: [Agent Registration Form](#). The University allows its Head Coaches to set their own policy on how and when an agent may contact their student-athletes. After submitting the Agent Registration Form, the Athletics Compliance Office will confirm receipt of the form with the agent in an email and provide them with a link to the athletics website for further agent rules and regulations.

All agents are required to comply with the University's policies regarding agents.

### **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 within ARMS. The form is then reviewed by the Compliance Office and stored within each student-athlete's ARMS profile.

### **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 Athletics Compliance Office by completing the Student-Athlete Employment Agreement within ARMS.

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

All requests for the involvement of student-athletes in promotional/charitable activities should be directed to the Athletics Marketing Office. Requests received by the Athletics 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 Request Form. The completed promotional activity form and supporting documentation will be kept on file in the Athletics Compliance Office.

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

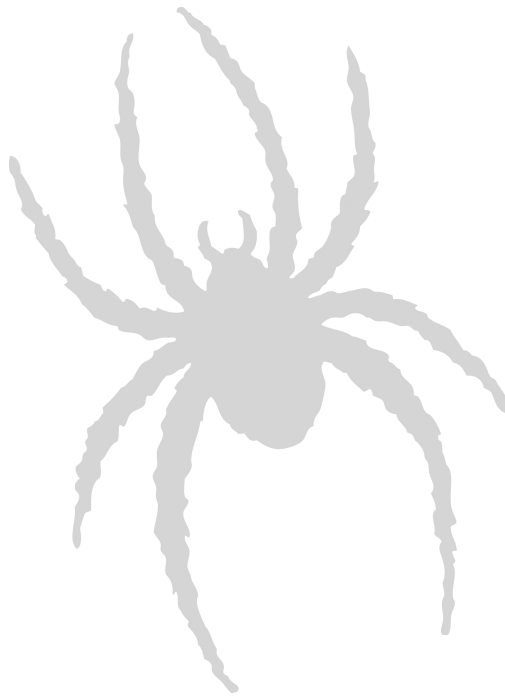
A student-athlete may receive compensation for teaching or coaching sport skills or techniques in his or her sport on a fee-for-lesson basis, provided:

1. Institutional facilities are not used;
2. Playing lessons shall not be permitted;
3. 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;
4. The compensation is paid by the lesson recipient (or the recipients family) and not another individual or entity;
5. 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;
6. 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 Student-Athlete Employment Form located within ARMS.

### **Logos**

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





## **RECRUITING**

The Athletics Compliance Office is responsible for reviewing and evaluating the University's procedures for monitoring compliance with NCAA, conference 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 in the appropriate section in ARMS. Following a recruiting trip, all coaches must submit a Travel Expense Form to the Business Office first, who then forward it to the Athletics Compliance Office. Once the Athletics Compliance Office has reviewed the documentation, they will return it to the Assistant Business Manager to process the reimbursement. The Athletics Compliance Office (a) reviews the expense statement to monitor compliance with regulations concerning permissible recruiters, evaluations, contacts and recruiting calendars; (b) initials the form; (c) checks for entries in ARMS; 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.
2. *Football Only* – The football staff shall designate 42 days in writing for the fall evaluation period. This information is submitted to the Athletics Compliance Office prior to the evaluation period, updated throughout the evaluation period, and is kept on file.
3. The Athletics 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 an **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**

The following procedures must be followed in planning an official visit:

1. Coach obtains the prospect's high school transcripts and ACT/SAT scores and submits to the Recruiting 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 itinerary, and submits the information to the Athletics Compliance Office. Requests for meal vouchers should be included with the information submitted.
4. The Athletics Compliance Office reviews and verifies the prospect's academic credentials within one day of the coach's submission of the Official Visit Request Form and places prospect on the Eligibility Center IRL.  
\*Coaches must provide the ticket office with the complimentary admission request directly.
5. The Athletics Compliance Office prepares meal vouchers (if requested).
6. Coach has the student-athlete who will be serving as the student host read and sign the Student Host Form
7. Prior to the prospect's departure from campus, Coach has the prospect read and sign the Prospect's Declaration.
8. 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 Athletics Compliance Office for review and approval.
9. After reviewing and initialing all submitted material, the Athletics 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 Athletics 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 and eligible by the Recruiting Coordinator 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 Admission form in ARMS.
4. The Recruiting Coordinator reviews the NLI/Coach Supported Admit Form to determine if the prospect is recruitable, admissible, registered with the NCAA Eligibility Center with a completed sports participation (amateurism) questionnaire. Then the Sport Administrator and Assistant Athletics Director for Compliance then approves the request.
5. Once approved by the other two individuals, the Recruiting Coordinator prepares the NLI and GIA and 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.

### **Coach Requirements:**

1. Coaches must use their UR-issued cell phone when making any recruiting calls. The phone cell phone and office phone bills are then submitted to ARMS to cross-check with recruiting rules.
2. Coaches have access to and should be making any outgoing recruiting calls through the ARMS mobile app. By calling through the mobile app, the call will be automatically logged and stored within the ARMS system. The ARMS system is programmed with all current recruiting rules and will flag any call that is made impermissibly.
3. Coaches are also required to sign an ARMS acknowledgement form at the end of every month to confirm they have not made any impermissible phone calls for the previous month.

## **Transfers In**

If an athletics department staff member is 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 Athletics 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 Compliance Coordinator 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 non-athletics reasons for such a transfer as approved by the Athletics 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.

The transfer process involves two separate stages: permission to contact (Bylaw 13.1.1.3) and the granting of a release (Bylaw 14.5.5.2.10(d)). Before another institution may contact a current Richmond student-athlete to discuss transferring, they must request permission from the University. The University has seven business days from the date of receipt to deny the request. If the University fails to respond within seven business days, permission to speak is granted by default. If the University denies the request, the University must notify the student-athlete of his/her right to request a hearing on the matter. It is the student-athlete's responsibility to request a hearing. If the student-athlete requests a hearing, it must be held within fifteen days of the receipt of the request. If a hearing is not held within fifteen business days, permission to contact is granted by default. The student-athlete is permitted to actively participate in this hearing. Be advised that permission to speak is not the same as a release.

The second stage of the transfer process is the granting of a release. The granting of a release may allow a student-athlete to bypass the transfer-residence requirement, which may allow the student-athlete to compete immediately at another institution. If the University receives a written request for a release, it shall either grant or deny the release within seven business days. If the University fails to respond within seven days, the release is granted by default. If the University denies the request for release, the student-athlete must be notified of his/her right to a hearing on the matter. It is the student-athlete's responsibility to request a hearing. If the student-athlete requests a hearing, it must be held within fifteen business days of the date of receipt of the request. If the hearing is not held within fifteen business days, the release is granted by default. The student-athlete may actively participate in this hearing.

At no time should a coach communicate verbally or in writing that permission will be granted. The decision to grant or deny permission will come from either the Director of Athletics, FAR, sport administrator or the Athletics Compliance Office.

## **Facility Usage**

All outside groups wishing to conduct activities using University of Richmond and Athletics Department Facilities must be endorsed by an Athletics Department employee. A paid staff person must be present to supervise during all activities. This staff person will be compensated at an appropriate rate 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 Athletics Director for 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 for 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 submit a complimentary admission form to the Ticket Office.

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 nontraditional families that accompany a prospective student-athlete making an official visit can be made – but must be included in the request.

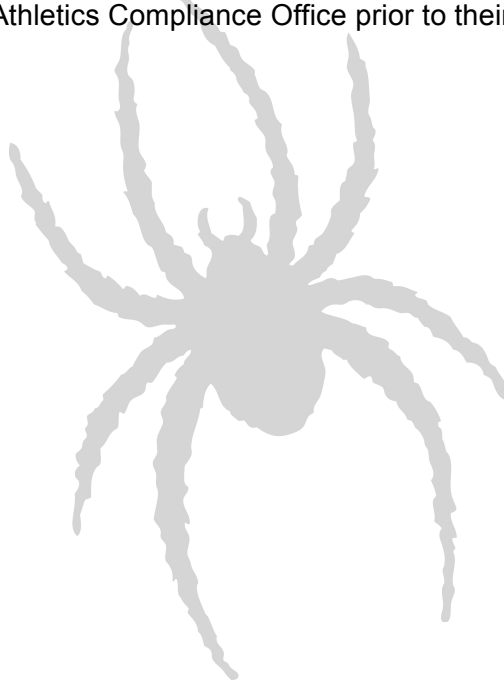
All complimentary admissions for prospective student-athletes must be provided through a pass list. Each prospective student-athlete shall sign for the complimentary admissions he/she receives. The Director of Ticket Operations and Recruiting Coordinator are responsible for monitoring compliance with complimentary admissions regulations and shall maintain records of all such admissions, which will be audited periodically by the Athletics Compliance Office. The Athletics 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 Athletics Marketing Office. In order to obtain approval for the donation, the outside agency requesting the donation must complete a submit a request to the Marketing Office on letterhead.. The Marketing 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 Marketing Office. The Athletics 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 Athletics Compliance Office prior to their participation.



## **CAMPS AND CLINICS**

The Athletics Compliance Office is responsible for reviewing and evaluating the University's procedures for monitoring compliance with NCAA, Atlantic 10, Colonial Athletic Association, Southern, Patriot League 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 the University's Camps and Conferences office and athletics representatives charged with overseeing camp to conduct all camps and clinics.

A timeline of information is made available to coaches and staff as a guide through the camps and clinics process. The timeline includes everything from the initial requests to post-camp items and can be found at this link: <http://events.richmond.edu/conferences/summer-camps/timeline.html>.

Head Coaches involvement in private camps and clinics must be approved by the Compliance Coordinator 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, conference and institutional rules and regulations. The following procedures are in place to assist in the monitoring of camps and clinics:

1. Once initial camp/clinic requests are submitted, the Compliance Coordinator reviews all information provided on the request.
2. Once advertising material for the camp or clinic has been created, it is then submitted to the Compliance Coordinator for review. The Compliance Coordinator will then facilitate approvals among other athletics staff members (Facilities, Business, IMG) to ensure that the advertising material is approved from their areas. Once cleared from athletics, the advertising material is then passed over to the Camps and Conferences office for final approval.
3. After the camp or clinic is complete, the Compliance Coordinator then receives the registration report from the registration manager for review. Any discrepancies on the registration report are then brought to the coach for review.
4. When the Business Manager receives the staff and student-athlete pay chart from the coach, a copy is then provided to the Compliance Coordinator for review to ensure compliance.

## **INITIAL ELIGIBILITY**

The Athletics Compliance Office, in conjunction with the Recruiting 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 Recruiting Coordinator reviews the prospect for recruitability. Once a prospect is deemed recruitable, the Recruiting Coordinator activates the prospect on the NCAA Eligibility Center's Institutional Review List (IRL) to monitor the prospect's initial eligibility status. The Athletics 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 Recruiting Coordinator completes a Transcript Evaluation and Admission Review Form and forwards it to the Office of Admission to determine the prospect's admissibility.
3. As soon as a coach has committed either an athletics scholarship and/or a coach-supported admit, the coach must complete a National Letter of Intent/Coach-Supported Admit Form.
4. Using the above request form, the Recruiting Coordinator begins the process of generating an NLI/GIA (see also Recruiting).
5. Once an NLI/GIA/CSA request form is on file, the Recruiting Coordinator accesses Admission records via Banner and the NCAA Eligibility Center records via the internet to determine a prospect's admission and initial-eligibility status. The Recruiting Coordinator will notify the Head Coach if any documents are missing in their respective area.
6. The Recruiting Coordinator provides each sport with an Admission update every week throughout the year. The Recruiting Coordinator also updated coaches monthly as to recruit's NCAA Eligibility Center status. Beginning April 1, this IRL update becomes weekly.

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

1. Head Coaches shall provide the Athletics 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 Athletics Compliance Office with names of incoming prospective student-athletes.
2. The Athletics Compliance Office, through the Recruiting Coordinator, is the liaison to the NCAA Eligibility Center and is responsible for monitoring the initial eligibility certification of all prospects. All prospective 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 45 days after the first day of classes.
3. Prior to final certification for first year students, the Athletics Compliance Office must ensure the



following: (a) the student-athlete has completed the NCAA's, Student-Athlete Statement, Drug Testing Consent Form and the Student-Athlete Policy and Performance Expectation Acknowledgement, along with other student-athlete in-processing paperwork in the ARMS system; (b) the student-athlete has been properly recorded on the NCAA Squad List and in ARMS; 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 Athletics 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 Recruiting Coordinator for an admission review.
3. If the transfer candidate is from a 2-year institution, the Head Coach provides the Athletics 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 Athletics Compliance Office utilizes the Transfer Student-Athlete Eligibility Checklist to ensure that all necessary items are properly evaluated.
5. The Athletics 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 Recruiting Coordinator shall not approve the further recruitment of a transfer student until the Athletics 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 Athletics Compliance Office must ensure the following: (a) the student-athlete has completed the NCAA's, Student-Athlete Statement, Drug Testing Consent Form and the Student-Athlete Policy and Performance Expectation Acknowledgement, along with other student-athlete in-processing paperwork in the ARMS system; (b) the student-athlete has been properly recorded on the NCAA Squad List and in ARMS; and (c) the student-athlete has been coded in Banner, the University of Richmond student information system.
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.

Note: the CAA and the Southern Conference prohibit intra-conference transferring, so no four-year college football prospect from a CAA institution or four-year men's lacrosse prospects from a Southern Conference institution can be certified to compete.

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

1. Head Coaches must provide the Athletics 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, along with other student-athlete in-processing forms in ARMS prior to engaging in any practice activities.

2. The Athletics 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 Athletics 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. 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 Athletics Compliance Office and compared to the form that the student had previously submitted.
3. Prior to final certification for first year students, the Athletics Compliance Office must ensure the following: (a) the student-athlete has completed the NCAA's Drug Testing Consent form, Student-Athlete Statement; (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.
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.

## CONTINUING ELIGIBILITY

The Athletics 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, Southern, Patriot League 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 Athletics 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; (2) Drug Testing Consent Form; (3) HIPPA Consent; and (4) Student-Athlete Policies and Performance Expectations. First year student-athletes must also complete the Recruited/Nonrecruited Student-Athlete Form; and the NCAA Amateurism Gap Time Certification form.

### **Certification of Eligibility**

By the end of the 1<sup>st</sup> week of June the Athletics Department Athletics Compliance Office updates all returning student athletes in the Banner System.

1. 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.
2. The Athletics Compliance Office, the Athletics Academic Support Office and the Registrar's Office will meet to resolve problems.
3. 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).
4. 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.
5. 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.

6. 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.
7. 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**

#### *Associate 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 Athletics 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.

#### *Athletics Compliance Office*

- Regularly updates student-athletes on Banner sports table and Compliance Assistant (CA), 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 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 Office of Athletics 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 Athletics 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, Compliance Coordinator, and the Assistant Registrar each morning.
3. If a student-athlete drops below full-time status, whoever sees the information first 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 prior to graduation and is enrolled in classes required for graduation, he/she may be enrolled part-time. The Athletics Compliance Office must file a part-time certification form and present it to the Registrar for signature.

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 <sup>®</sup> 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 (CA) 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 (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.

### **Participation Lists**

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

1. Prior to the start of each playing season, the Athletics Compliance Office sends a participation list template to each sport to allow them the option to keep track of participation as the season goes on.
2. Upon completion of the playing season, the Athletics Compliance Office will follow-up with each sport to collect the participation list from the season.
3. The participation form is retained in the Athletics Compliance Office. Each student-athlete's participation status is updated on Compliance Assistant (CA) 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 Athletics Compliance Office is responsible for filing medical hardship requests for all sports.

1. At the conclusion of each playing season, the Athletics Compliance Office sends a memo requesting the Head Coach complete a participation form and notify the Athletics Compliance Office of any potential medical hardship waivers.
2. The Athletics 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 Office 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 Hardship Waiver Request Forms and supporting documentation are then forwarded to the appropriate 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 Athletics Compliance Office for the following year.

### **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 Athletics Compliance Office.

### **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 Athletics 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 Athletics Compliance Office meets with the basketball teams regarding summer league participation regulations and provides student-athletes with the required pre-approval forms.
2. At the end of each academic year, Head Coaches in the sport of basketball receive a memo from the Athletics Compliance Office requesting the names of student-athletes who will be participating in a summer basketball league.
3. The Athletics 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 Athletics Compliance Office.

## **FINANCIAL AID**

The Athletics 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, conference 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 Athletics Compliance Office for the awarding of initial grants-in-aid (see Recruiting, National Letter of Intent). The Athletics Compliance Office appropriate Program 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 Athletics Grant-In-Aid Agreement. The prospective student-athlete retains one copy of each and returns the other copy to the Athletics Compliance Office. Upon receipt, the Athletics 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 Athletics 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 for Compliance to review each student-athlete currently on his/her roster. A spreadsheet will be provided detailing the athletics grant-in-aid amount received by each student-athlete. By May 15, the Head Coach must return the spreadsheet to the Athletics 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 Athletics Compliance Office then prepares renewal letters or e-mails 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 cancelation, reduction, and nonrenewal letters--sent to student-athletes by the Director of Financial Aid--contain the following language:

*If you wish to appeal the cancelation/nonrenewal/reduction of your scholarship, you have the right to a hearing about the decision per NCAA rules. **Your appeal must be made in writing to me, and I must receive it no later than X (14 days).** Your appeal should contain the following information:*

*The reason(s) for the appeal*

*The names of any University of Richmond employees with whom you have discussed the cancelation of your scholarship*

*If you choose to have a hearing, a date will be established for a committee of faculty and staff from outside the Department of Athletics to review the cancelation. The committee will then rule on your appeal. The decision of the committee is final. Further details about the hearing procedure follow this letter.*

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

### **Athletics Award Changes**

Prior to the start of each semester, the Athletics 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-athletics reasons.

The Athletics 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 Athletics Compliance Office.

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

1. Head Coaches must inform the Assistant Director of Athletics for Athletics 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 cancelation/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 meet 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 appropriate Sport Administrator and the Assistant Director of Athletics for Compliance determine if the reduction/cancelation 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 cancelations of athletically related financial aid shall govern any such action.
5. The Director of Financial Aid sends a cancelation letter to the student-athlete with information about the appeals process. Copies of the letters are provided to the Athletics 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. Athletics 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 Athletics 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 Athletics 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 (CA).

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

1. The Athletics Compliance Office prepares NCAA Squad Lists in August 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 Athletics Compliance Office.
3. Hard copies of the Squad Lists are maintained in the Athletics Compliance Office.

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

1. When preparing squad lists, the Athletics 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 Athletics Compliance Office and copies of the certification are maintained in the Athletics 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 Athletics 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 Athletics 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 Athletics Compliance Office will follow up and require the student-athlete, or their parents/guardians to provide the Athletics Compliance Office with the awarding agency, period of the award, and the criteria for the selection of the award.
5. The Athletics Compliance Office follows up with the Financial Aid office to ensure that the award is documented on Banner and in their office. The Athletics Compliance Office will input the information related to the award in CA, and maintain documentation in the student-athlete's file.
6. Following NCAA legislation, the Athletics 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 Athletics Compliance Office, is responsible for the administration and distribution of the Special Assistance Fund (SAF). The process is as follows:

1. At the beginning of each semester, the Atlantic 10 notifies the Athletics Compliance Office of the amount of money allocated to University from the SAF.
2. The Compliance Office 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 student-athlete directly.
5. 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.
6. 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.
7. Steps 1-6 are repeated for the spring semester.
8. All acknowledgements and check requests will be kept on file in the Athletics 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 Program 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 Program 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 Program 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. Prior to each semester, the Athletics Compliance Office sends a list of all book-eligible, full scholarship student-athletes to the Assistant Director of Athletics/Academics who then distributes the list to appropriate staff.
2. Student-athletes who are eligible for books meet with their assigned athletic academic advisor to obtain a triplicate Scholarship Textbook Authorization form. This form is completed by the student-athlete to reflect the required books for the courses in which he/she is enrolled.
3. The academic advisor for the sport cross checks the student-athlete's schedule in order to verify that the student-athlete is enrolled in the classes for which he/she has requested books. The advisor crosses out all remaining rows on the form so that no additional books can be added to the form, and tears off and keeps the first sheet of the form.

4. The student-athlete submits the signed voucher form to the bookstore after gathering the appropriate books. The bookstore official uses the second page of the triplicate form to document charges to the appropriate budget. The third page is returned to the Athletic Academic Support Office for filing.
5. Each term, the Athletics Compliance Office will audit a sample of the vouchers submitted to the book store by cross checking the course enrollment of student-athletes' eligible to receive the vouchers with the original form and the bookstore's charges.
6. Vouchers should be kept on file for six years.

### **Books from Dropped Courses**

All student-athletes receiving books are informed by way of a book policy form in ARMS that they must return books for classes they drop within the first two weeks to their assigned athletic academic advisor in the Academic Support Suite in the Robins Center. In addition, each sport's athletic academic advisor is responsible for monitoring course enrollment changes among those student-athletes who are eligible for books.

**A student-athlete's failure to return books from courses dropped during the Drop/Add period will result in a hold being placed on the student's account and a potential NCAA violation.**

The Assistant Director of Athletics for Academics will return the books to the bookstore for a refund to the appropriate sport budget. For auditing purposes, receipts documenting returns should be kept on file with the student-athlete's original book store voucher.

### **Supplies**

1. Full scholarship student-athletes enrolled in classes with required supplies or tickets to events (i.e. anything other than books from the bookstore) are asked to first purchase the supplies or tickets.
2. The student-athlete must submit a copy of the syllabus or an email from the professor documenting the required supplies along with the receipt or proof of purchase to their assigned athletic academic advisor.
3. The athletic academic advisor works with the Athletics Business Office to submit a reimbursement request that includes a copy of the syllabus or email and the receipt.
  - If \$50 or under, the student takes the reimbursement request to the Cashier's Office.
  - If over \$50, the reimbursement is run through Accounts Payable for check or direct deposit processing.

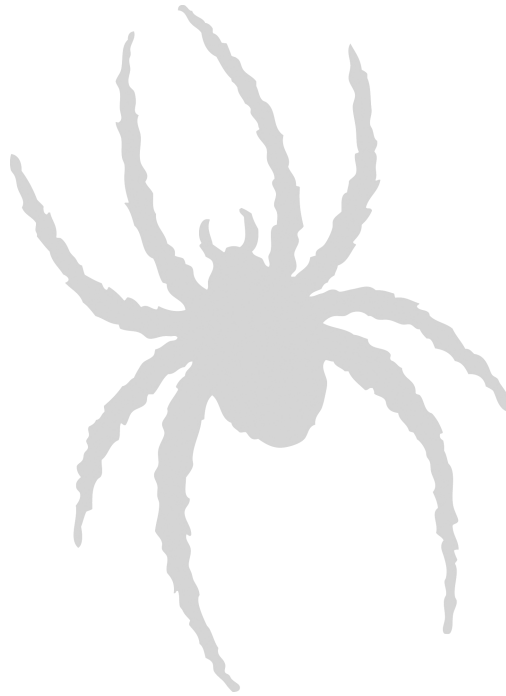
**Regardless of the reimbursement method, an copy of the syllabus and receipt is saved in Noli Web by way of Accounts Payable or the Cashier.**

4. On rare occasions, some student-athletes may not have the means to purchase the required supplies themselves. For these Pell-eligible, full scholarship student-athletes, the supplies may be purchases with the Athletics Business Office's credit card, but a copy of both the syllabus and receipt must be submitted after use of the credit card and are then saved to Noli Web.

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

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

1. At the beginning of each school year, the Athletics Compliance Office meets with each team and explains NCAA regulations regarding term-time employment.
2. Student-athletes are required to receive prior approval for any term-time employment by completing the Student-Athlete Employment Agreement.



## **AWARDS & BENEFITS**

The Athletics 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 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 Athletics 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 Athletics 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 Athletics 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 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 athletics activity occurring.

### **Incidental Expense Waivers**

The Atlantic 10 or CAA may approve an Incidental Expense Waiver for a student-athlete based on the circumstances presented by the Athletics 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/CAA

must approve the waiver prior to receiving such expenses.

### **Equipment /Apparel**

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

Primary responsibility for purchase, storage, maintenance, security, and inventory of athletics 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 athletics equipment. The Equipment Manager will report directly to the Assistant Director of Athletics for Business and Finance.

All athletics 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 athletics 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.

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 Athletics Compliance Office no later than 10 working days following issuance of equipment or apparel. The form is set up to identify the following:

1. Student/Athlete – Name of individual receiving the apparel/equipment and contact information to communicate with athlete for retrieval at end of season.
2. Date – Tells what academic year the equipment was issued for.
3. Sport – Indicates the responsible athletics coaching staff
4. Item – Description of the issued athletics item. Aids in the dissemination between apparel and equipment for permanent release purposes.
5. Quantity – Number of items issued
6. Date Received – Date when the student/athlete physically takes possession of the apparel/equipment.
7. 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 Athletics Director or the Sport Administrator is mandatory before the equipment is finalized for permanent release.

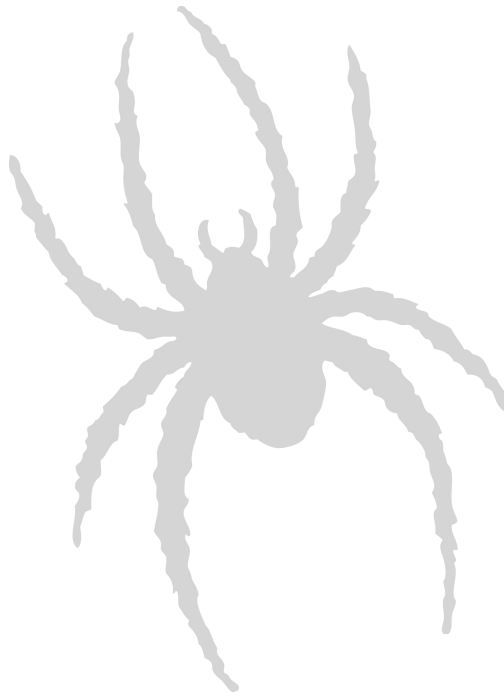


The Equipment Inventory Form must be signed by the student-athlete, the Head Coach, the Equipment Manager and the Assistant Director of Athletics/Compliance.

### **Donation of Equipment**

The donation of new or used athletics equipment to any individual or organization is strictly prohibited without the prior approval of the Athletics Compliance Office or Director of Athletics.

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



## COMPLIMENTARY ADMISSIONS

The Athletics Compliance Office, in conjunction with the Ticket Office, monitors the complimentary admissions process. The Athletics 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 Athletics Compliance Office meets with Ticket Office personnel to review NCAA rules regarding complimentary admissions. Jointly, the Ticket Office and Athletics 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. Each year, coaches sign a form which documents their agreement that all tickets are to be used in accordance with NCAA regulations. Their allotment is not meant for coaches, prospective student-athletes, student-athletes, or student-athletes' parents. IAWP rules are also reviewed with Men's Basketball staff members as to ensure compliance with those rules.

For coaches, and departmental staff, the complimentary admission policy is included in the Head Coaches Manual.

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**

1. The Director of Ticket Operations is responsible for administering the athletics department's complimentary admissions policy for student-athletes.
2. 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.
3. 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 in TicketTaker. This list must be completed no later than 24 hours prior to the scheduled contest.
4. 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.
5. Those picking up student-athlete complimentary tickets must sign for their tickets and are given

ticket stubs; no hard tickets are given.

6. The Athletics 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 fill out the [Complimentary Ticket Request Form](#) on either an unofficial or official visit request. This request must be submitted to the Athletics Compliance Office at least 48 hours prior to the event. The Athletics 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 nontraditional 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 Athletics Compliance Office. The Athletics 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 Athletics Compliance Office is responsible for reviewing and evaluating the University's procedures for monitoring compliance with NCAA, conference 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 Athletics Compliance Office will provide each Head Coach with a Playing Season Declaration Form. The Head Coach is responsible for completing the form and returning it to the Athletics Compliance Office with their proposed competition schedule 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. Updates to competition schedules, including the creation of nonchampionship schedules, should be provided to Compliance as soon as the coaches become aware of them.

### **Countable Athletically Related Activity Logs**

At the start of each academic year, the Athletics Compliance Office reviews a written summary of NCAA rules and procedures pertaining to countable athletically related activities (CARA) found in this [chart](#) with student-athletes and coaches. In addition, the procedure for logging and reviewing CARA logs are reviewed with student-athletes and coaches.

#### **Submission of CARA Logs**

CARA logs are due to the Compliance Office on a month-to-month basis and no later than the **5<sup>th</sup> of the following month** in ARMS (unless otherwise stated). During the week prior to and on the due date, the Compliance Coordinator will send an email to remind each sport of the due date for CARA logs. The coach or staff member in charge of submitting practice logs for their team must ensure that all CARA events for the previous month have been logged correctly, marked as complete, and officially submitted.

Upon coach/staff member submission, the practice log is automatically sent to Compliance and a randomly selected (by ARMS) student-athlete on the current roster for review.

#### **Student-Athlete Review of CARA Logs**

The following procedure should be followed for student-athlete review of a practice log:

1. The practice log is initially assigned to one student-athlete upon a coach/staff member submission into ARMS.
  - If the student-athlete remains unresponsive to the initial practice log review notification sent from ARMS, the 2<sup>nd</sup> step is followed.
2. An email and text reminder is then sent to the assigned student-athlete.

- If the student-athlete remains un-responsive to the email and text reminder, the 3<sup>rd</sup> step is followed.
- 3. A phone call is then made to the assigned student-athlete from the Compliance Coordinator.
  - If the student-athlete remains un-responsive to the phone call from the Compliance Coordinator, the 4<sup>th</sup> step is followed.
- 4. A phone call is then made to the assigned student-athlete from the Assistant AD/Compliance
  - If the student-athlete remains un-responsive to the phone call from the Assistant AD/Compliance, the 5<sup>th</sup> step is followed.
- 5. The coach/staff member from that team is then notified so they may assist in reminding the student-athlete to review the assigned practice log.

While the exact timeline may vary, steps 1 through 5 will be completed within 15 business days of submission of the applicable CARA log.

### **Disputed CARA Logs**

The following procedure will be followed **if a student-athlete disputes the number of hours** documented in a CARA log:

1. The student-athlete has an option to reject the CARA log in ARMS or they can take no action and email or meet in-person with a member of the Athletics Compliance Office.
2. After discussion through email or in-person with the student-athletes, a member of the Athletics Compliance Office may need meet with the Head Coach to review any potential inaccuracies in the practice log.
3. If required, the Athletics Compliance Office will interview other student-athletes to determine the accuracy of the CARA log or further educate a team about CARA hour calculations.
4. The Athletics Compliance Office will compile all relevant information from coaches and student-athletes, as well as any support staff who may be knowledgeable of CARA, in order to determine if a violation has occurred.
5. The Athletics Compliance Office will promptly notify the Head Coach of the outcome of the investigation.

### **Additional Playing & Practice Season Areas**

There are a number of other areas within Playing & Practice Seasons monitored by the Athletics Compliance Office:

#### **No Missed Class in Nonchampionship Segment**

Coaches are reminded of the NCAA rules prohibiting missed class during the nonchampionship segment. As coaches submit itineraries for any competition during weekdays, or including weekday travel, the Athletics Compliance Office confirms with the Athletic Academic Support staff that the student-athletes attending the competition will not miss class.

#### **Men's Basketball Missed Class Time**

Per NCAA Bylaw 3.2.4.14, "[i]n men's basketball, an institution's athletics participation schedule, which shall include the anticipated amount of missed class time due to athletics participation, shall be approved by the institution's faculty athletics representative . . . prior to the beginning of each regular academic term." This document is kept on file in the Athletics Compliance Office.

### **Vacation Periods & Preseason**

NCAA rules allow for unlimited CARA when a team is in a 20-hour season during official vacation periods, including summer (official preseason). In the reverse, those teams who are only in their 8-hour season cannot participate in any CARA during official vacation periods. This is monitored by the Athletics Compliance Office through the CARA system in ARMS.

### **One Week Out from Finals**

When a team is in their 8-hour season, NCAA rules prohibit CARA from one week out from the institution's first final exam through the completion of that student-athlete's final exams. In the reverse, those teams who are in a 20-hour season can participate in CARA during this time, with much deference given to finals, study sessions, and course schedules. This is monitored by the Athletics Compliance Office through the CARA system in ARMS.

### **Summer (Individual Sports)**

During the summer vacation period, NCAA rules allow individual sport student-athletes to request CARA with their coaches. In order to document that this request was initiated by the student-athlete, the Athletics Compliance Office documents the requests through email exchanges with the student-athletes after notification by the coaching staff.

### **Summer (Team Sports)**

NCAA rules prohibit most all team sport student-athletes from engaging in CARA with their coaches except in the sports of Basketball and Football.

For Basketball and Football, the coaches can choose to engage in Summer Access which allows for a maximum of 8 weeks of a maximum of 8 hours of required activity, including no more than two hours of skill (basketball) or film (football). Student-athletes must either be enrolled in summer school or meet certain academic requirements in order to be eligible for Summer Access.

Coaches from Basketball and/or Football must indicate to the Athletics Compliance Office that they plan to engage in Summer Access. If so, CARA logs in ARMS are required. In addition, the Athletics Compliance Office works with the Registrar to produce a list of student-athletes who are eligible to participate in Summer Access.

### **Sport-Specific Rules**

In addition to a playing season declaration, some sports must designate more specifics about their nonchampionship seasons or preseason. The following is a comprehensive list of additional forms the Athletics Compliance Office maintains on file and uses to monitor these areas:

- Football – preseason checklist
- Football – spring season
- Baseball – fall season
- Men's Basketball – preseason
- Women's Basketball - preseason

## **RULES EDUCATION**

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

### **Athletics Administrators & Coaches**

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

1. NCAA legislation is reviewed with the Coaches through regular monthly meetings conducted by the Assistant Director of Athletics for Compliance.
2. Written updates (i.e., weekly Sticky Situation emails or monthly compliance handouts) regarding NCAA, conference and University regulations are distributed as deemed necessary to appropriate athletics department and University staff members by the Athletics Compliance Office.
3. Coaches and appropriate athletics department staff members are expected to attend all rules meeting conducted in preparation for the Coaches Certification Exam.
4. All new coaches and athletics department staff members shall attend a rules orientation program conducted by the Athletics 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 Athletics Compliance Office to review relevant NCAA, conference and University regulations with student-athletes.
  2. Student-athletes receive monthly educational e-mails from the Athletics Compliance Office.
  3. Parents receive a hard copy letter regarding NCAA rules each summer.

## **Representatives of Athletics' Interests**

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

- regulations governing their conduct, especially in the area of recruiting
  - principles of institutional control
  - extra benefit regulations
  - complimentary ticket regulations
  - procedures for reporting violations
  - procedures regarding rules information and interpretations
  - student-athlete promotional activity regulations
1. The Athletics Compliance Office shall distribute rules information to, and meet at least annually with, the staff members of the Spider Club to review pertinent NCAA, conference and University regulations.
  2. The Athletics Compliance Office may attend selected Spider Club events to emphasize the importance of compliance with NCAA, conference and University regulations with Spider Club members.
  3. The Athletics Compliance Office shall prepare and distribute publications (i.e. emails, brochures) specifically intended for this constituency which sets forth relevant NCAA, conference 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 Athletics Compliance Office shall make the NCAA's Guide for the College Bound Student-Athlete, as well as multitude of other resources, available on [www.RichmondSpiders.com](http://www.RichmondSpiders.com).
  2. Although no longer an NCAA requirement, the Athletics Compliance Office can provides graduation rates, APR reports, banned drug information and a summary of initial eligibility requirements to each prospect through the coaching staff if requested.

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

The Faculty Athletics Representative and Athletics 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 Athletics Compliance Office shall meet periodically with the Faculty Athletics Representative to review pertinent NCAA, conference 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 Athletics 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 Athletics 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 Athletics Compliance Office assists the Director of Admissions, the Registrar, and the Director of Financial Aid with the education of their respective staffs. The Athletics 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 Athletics 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 Athletics 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 Athletics 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 Athletics Compliance Office. Questions and requests for interpretations may be presented orally or by written request.
3. The Athletics Compliance Office documents responses to requests for interpretations. The Athletics Compliance Office circulates pertinent interpretations to appropriate University staff members.
3. If necessary, the Athletics Compliance Office consults a number of resources including the NCAA Legislative Services Database (LSDBi offers on-line information on all past NCAA Legislative Assistance Columns, Staff and Official Interpretations), RSRO, and/or conference or NCAA personnel.
5. If the interpretation is considered significant, the Athletics Compliance Office confirms the interpretation with the Atlantic 10/CAA and/or NCAA in writing.

## VIOLATIONS

The Athletics Compliance Office is responsible for reviewing and evaluating the University's procedures for investigating and reporting violations of NCAA , conference, and University regulations. The Athletics 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, conference, or University regulations concerning intercollegiate athletics to a member of the Athletics Compliance Office. It is very important that staff members not investigate the matters themselves prior to disclosing information to the Athletics Compliance Office as it can affect the integrity of the process. **\*Again, staff should report any potential issues directly to a member of the Athletics 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 Athletics Compliance Office, outside counsel, a conference 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 may be 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 Violations**

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

1. The Director of Athletics, Program Administrator, and the appropriate supervising athletics department staff member are informed as soon as possible.
2. The Assistant Director of Athletics for Compliance, Program Administrator 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 determine how best to investigate the situation.
3. An investigation is conducted or coordinated by the Athletics 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, conference, or University regulations, such finding is documented by the Assistant Director of Athletics for Compliance.

## **Reporting Violations**

1. If the investigation reveals that a 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 appropriate conference.
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 appropriate conference 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 Level I or II 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 or conference office 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 conference regulations occurred (no NCAA violation), the violation is reported to the conference and, in consultation with Conference officials, appropriate remedial actions are taken.
5. If the investigation reveals that a violation of University (no NCAA or conference 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 Level III or Level IV 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 (Levels I through IV, if applicable) that is made available to the President upon request.