

# COMPLIANCE CONCEPTS AND NCAA RULES FOR ADRS

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# Agenda

- Compliance and communication.
- Division III rules.
- Activity.

# Institutional Control

- **Bylaw 6.01.1 Institutional Control.** The control and responsibility for the conduct of intercollegiate athletics shall be exercised by the institution itself and by the conference(s), if any, of which it is a member. Administrative control or faculty control, or a combination of the two, shall constitute institutional control.
- **Bylaw 6.1.1 President or Chancellor.** A member institution's president or chancellor has ultimate responsibility and final authority for the conduct of the intercollegiate athletics program and the actions of any board in control of that program.
- **Bylaw 6.2.1 Normal Budgeting Procedures.** The institution's annual budget for its intercollegiate athletics programs shall be controlled by the institution and subject to its normal budgeting procedures.

# Department of Athletics

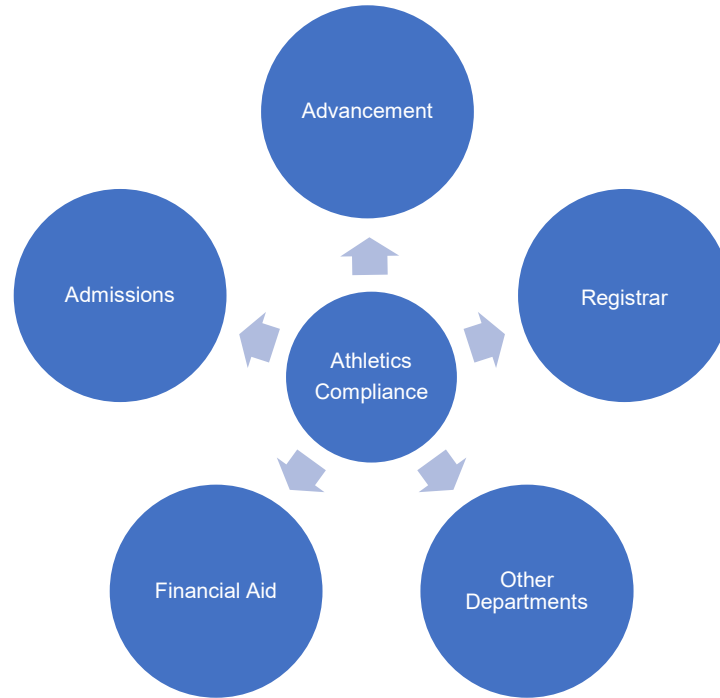
Does everyone across campus know your:

- Director of Athletics?
- Faculty Athletics Representative?
- Senior Woman Administrator?
- Compliance Administrator?

# Who Is Responsible for NCAA Compliance?

- Advancement.
- Admissions.
- Financial Aid.
- Registrar.
- Student Activities.
- Communications.
- Academic Departments.
- Boosters.
- Chancellor/President.
- Board of Trustees.
- Other.

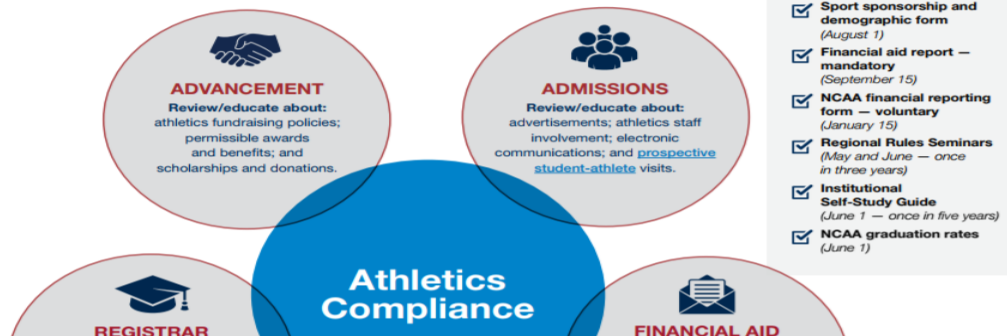
# Communication Across All Campus Constituencies



## Staying Compliant with Division III Rules

This resource is intended to facilitate communication between the intercollegiate athletics department and all campus constituencies (e.g., admissions, advancement, financial aid, registrar, etc.) with a role in the institution's athletics compliance process. Institutions that engage in frequent cross-campus conversations will improve compliance with NCAA Division III legislation.

The graphic below shows the departments that the athletics compliance administrator should meet with throughout the year and suggested educational topics to discuss. Links to most frequently violated rules, the infractions process and resources are also provided. The goal is to educate the campus community and promote NCAA compliance.



[ncaa.org/sites/default/files/DIIIComp\\_Staying\\_Compliant\\_with\\_DivisionIII\\_Rules\\_20170919.pdf?division=d3](https://ncaa.org/sites/default/files/DIIIComp_Staying_Compliant_with_DivisionIII_Rules_20170919.pdf?division=d3)



## **MOST FREQUENTLY VIOLATED RULES**

### **DIVISION III INFRACTIONS PROCESS**

Across Divisions I, II and III, there are more than 5,800 rules. Obviously, the enforcement staff encounters violations of certain rules more than others. To aid compliance efforts at Division III member colleges and universities, frequently violated rules are noted below. This information highlights areas in which schools have been most likely to encounter violations in recent years. The information may also be used as a resource for schools looking to audit areas of potential noncompliance.

#### **TOP 5 SECONDARY VIOLATIONS IN DIVISION III**

**17.1.5** – Out-of-season athletically related activities

**14.1.8.1** – Full-time enrollment

**16.8.1.2** – Expenses provided during competition while representing the institution

**13.02.11** – Electronic transmissions to prospective student-athletes

**14.1.3.1** – Failure to complete the Student-Athlete Statement

[ncaa.org/sites/default/files/enforcementhandouts\\_DIII\\_RulesViolated.pdf](http://ncaa.org/sites/default/files/enforcementhandouts_DIII_RulesViolated.pdf)





# Question?

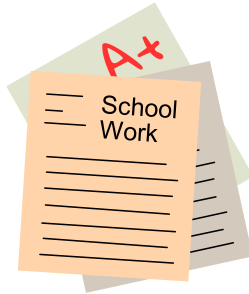
Is a violation of NCAA legislation a good or a bad thing?

# OVERVIEW OF SELECT NCAA LEGISLATION

# Preferential Treatment



# Offers and Inducements



# Extra Benefits



# PSA or SA (Relatives or Friends)



- Benefit?
- Who?

# Recruiting and Publicity

- Prospective student-athlete visits.
- Publicity & electronic communications.
- Advertisements.
- Use of institutional facilities.

# Recruiting - Visits

**Unofficial visit = Unlimited.**

**Official Visit = One.**

- One financed visit per institution.
- First opportunity to visit – January 1 of the junior year in high school.
- Visit shall not exceed 48 hours.
- Meals, lodging, transportation, entertainment and complimentary admissions.

Division III Bylaws 13.6 and 13.7



# Recruiting – Electronic Communication

- Recruiting legislation applies to athletics-based recruiting and does not limit an institution's admissions office from the recruitment of prospective students generally.
- Admissions office (and other departments outside athletics) may publicize a prospective student-athlete's visit to the institution's campus in the same manner done for prospective students generally.
- Staff member outside athletics may publicly initiate or respond to social media correspondence as long as the staff member acts in the same manner for prospective students generally and does not act at the direction of or on behalf of athletics.

Division III Bylaw 13.01.1 and Official Interpretation [Reference: 4/23/15, Item No. a]

# Admissions - Advertisements

Recruiting advertisements.

- Location.
- Event with prospective student-athletes?
- Location specific to prospective student-athletes?

Nonathletic institutional advertisements.

- Who do the funds benefit?
- Is athletics involved?
- Does advertisement contain athletics information?

# Recruiting - Transfers

- Four-year college prospective student-athletes – athletics needs permission to contact.
- Eligibility.
  - Academic year of residence.
  - Transfer exceptions.

Division III Bylaws 13.1.1.2 and 14.5

# Financial Aid

- Institutional scholarships and grants.
- Financial aid from outside sources.
- Athletics staff involvement policies.

# Financial Aid (cont.)

When was the last time your institution performed a scholarship and grant audit?

# Financial Aid (cont.)

- Are your student-athletes receiving financial aid based on their athletics participation?
- Are your financial aid procedures the same for all students?
- Is financial aid from outside sources reported to your institution's financial aid office?

# Financial Aid – Outside Sources

Student-athletes are permitted to receive financial aid from outside sources that consider athletics, provided:

- The award is made on only one occasion (but may be disbursed over multiple years);
- The donor of the aid shall not limit the recipient's choice of institutions to a specific institution; and
- The donor of the award is not connected to the recipient's institution.

# Financial Aid - Athletics Staff Involvement

- Athletics staff shall not arrange or modify the financial aid package.
- Prohibited from serving on member institution's financial aid committee.
- Prohibited from being involved in any manner in the review of the institutional financial assistance to be awarded to a student-athlete.

Division III Bylaw 15.4.5 and Official Interpretation [Reference: 1/7/13, Item No. 2-a]





## Staying Compliant with NCAA Division III Financial Aid Requirements

This resource is intended to facilitate communication across all campus constituencies (e.g., director of athletics, director of financial aid, development office, admissions office and athletics compliance) with a role in the institution's financial aid awarding process. The NCAA Division III Financial Aid Committee recommends that Division III institutions engage in these conversations regularly to help ensure compliance with Bylaw 15.

### **Please have the following resources on hand for all discussions:**

- ☐ NCAA Division III Manual – Bylaw 15: Financial Aid
- ☐ Annual Financial Aid School Profile Report
- ☐ Institutional Financial Aid Policies and Procedures
- ☐ Institutional Awards Applications and Descriptions
- ☐ NCAA Division III Financial Aid Reporting Program Policies and Procedures Worksheet

### **Guidelines to a Consistent Financial Aid Package:**

*1. Financial aid cannot be granted based on a student-athlete's athletics participation. This means institutions should not consider athletics leadership, ability or performance when formulating a financial aid package. [Bylaw 15.4.1-(a)]*

#### **Discussion Questions:**

- ☐ Is the financial award based on the student-athlete's financial need?
- ☐ What criteria are used for awarding non-need based aid?
- ☐ Do we have a non-need based award policy?
- ☐ Is there an application process for non-need based awards?

*3. The financial aid packages for student-athletes should resemble similar packages offered to non-athletes. [Bylaw 15.4.1-(c)]*

#### **Discussion Questions:**

- ☐ Do student-athletes appear to receive preferential financial aid packaging?
- ☐ Do specific athletics teams appear to benefit from preferential, specific institutional awards or grants?

*4. The total award amount given to student-athletes compared to the total award amount given to the overall student population should be proportionate to the number of student-athletes compared to the overall student population. [Bylaw 15.4.1-(d)]*

[ncaa.org/sites/default/files/Consistent%20FA%20Package%20Resource.pdf](https://ncaa.org/sites/default/files/Consistent%20FA%20Package%20Resource.pdf)

# Cross The Line Activity

Permissible

OR

Not Permissible



# Situation 1

- A current student-athlete received an institutional special interest scholarship for community engagement.
- The scholarship is for \$5,000.
- The criteria for the scholarship requires above a 3.0 GPA and a demonstration of a commitment to community service.
- Athletics is not considered in this scholarship.

# Situation 2

- A PSA made two unofficial visits to your campus during their junior year of high school.
- Your athletics department staff would now like to pay for an official visit during the fall of the PSA's senior year.

# Situation 3

- An institution hosted a speaker series.
- One of the speakers happened to be a professional basketball player.
- The speaker series was open to the student body for free.
- Multiple basketball student-athletes attended and listened to the professional basketball player.

# Situation 4

- An incoming PSA received an outside scholarship for exceptional leadership in sport.
- The scholarship is for \$2,000 per year for a total of \$8,000 over four years.
- The criteria for the scholarship includes a 3.0 GPA and a demonstration of exceptional leadership in the sports of basketball, lacrosse or track and field.

# Situation 5

The assistant athletic director/head baseball coach is a member of the institution's financial aid committee, which is involved in the review of the institutional financial assistance to be awarded to a student-athletes.

# Situation 6

A student-athlete received a discounted lunch at a local restaurant because they are a student-athlete.





# Name, Image and Likeness

NIL is TBD.

- NCAA Board of Governors gave the three divisions a set of principles and guidelines.
- DIII has formed an oversight group that will help manage the process. Recommendations will be developed through the governance structure.
- Additional information available at [www.ncaa.org/NIL](http://www.ncaa.org/NIL)
- NIL will also be discussed at Friday's Division III Issues Forum.
- Stay tuned!

# Reminders

- Communicate with athletics department.
- Review/audit institutional policies and procedures.
- Support athletics by helping the athletics compliance culture and atmosphere of athletics compliance.
- Recognize you have a role and encourage others to ask questions.

# Resources

- Division III manual ([ncaapublications.com](http://ncaapublications.com)).
- Division III resources ([ncaa.org/compliance?division=d3](http://ncaa.org/compliance?division=d3)).
- Legislative services database (LSDBi).
- Requests/Self-Reports Online (RSRO).
- Athletics and conference staff.

# QUESTIONS?