Session Objectives

- Learn compliance responsibilities and tasks.
- Recognize potential compliance issues relative to academic and athletics certification.
- Discover suggested topics for staff rules education.
- Become familiar with compliance resources.
Eligibility Certification

- Four areas to certify:
  - Academics.
  - Amateurism.
  - Semesters/Quarters.
  - Seasons of Participation.

Eligibility Certification (cont.)

- Required for:
  - First-time college enrollees.
  - Transfers.
  - Undergraduates.
  - Graduate and post-baccalaureate students.
  - Continuing students.

Academic Certification Checklist

<table>
<thead>
<tr>
<th>WHO?</th>
<th>Admitted? NCAA Article 14.1.7</th>
<th>Transfer Exception? Bylaw 14.5.4.1 &amp; 14.5.5.1.1</th>
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### Semesters and Seasons of Participation Certification Checklist

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Interdepartmental Collaboration

- Remember other departments and individuals with whom athletics should be communicating:
  - Financial aid office.
  - Registrar’s office.
  - Admissions office.
  - Student affairs. (including disability services)
  - International student services.
  - Athletics direct report.

August

- Compliance tasks and individuals involved:
  - Administer rules test.
  - Administer student-athlete (SA) compliance paperwork/forms.
  - Verify rosters and walk-ons.
  - Confirm SA eligibility.
  - File all SA compliance and affirmation forms.

Eligibility Certification Forms

- Required SA eligibility forms:
  - Summary of Regulations.
  - Form 13-3c: SA Statement. (before competition)
  - Form 13-3f: Drug-Testing Consent Form. (before competition)
  - Form 13-4c: SA Affirmation of Eligibility.
  - Form 13-10c: General Amateurism and Eligibility Form for International and Select SAs.
Eligibility Certification Forms (cont.)

- Additional eligibility forms:
  - HIPAA/Buckley Amendment/Consent Waiver Form.
  - Permission to Contact: Self-Release Form.
  - Form 13-1: Certification of Compliance for Institutions.
    - Due September 15.
  - Form 13-2: Certification of Compliance for Staff. Members of Athletics Departments.
    - Due September 15.
Compliance Forms

• Compliance tasks and involved individuals:
  – Finalize the Sports-Sponsorship and Demographic Form.
  – Check NCAA Directory to ensure institutional designees are correct.
  – Monitor official and unofficial visits.

August

Rules Education: Recruiting Activities
September

- Compliance tasks and involved individuals:
  - Roster changes.
  - Continually confirm SA enrollment status.
  - Monitor official and unofficial visits.
  - Monitor playing and practice season activities.

September (cont.)

- Compliance tasks and involved individuals:
  - Review sports wagering and ethical conduct with SAs.
  - Financial aid report due.
  - Required forms due:
    - Certification of Compliance for Staff Members of Athletics Department.
    - Certification of Compliance for Institutions.

Rules Education: Financial Aid

DIII Trivia!!!
October

- Compliance tasks and involved individuals:
  - Roster changes.
  - Continually confirm SA enrollment status.
  - Monitor official and unofficial visits.
  - Monitor playing and practice season activities.
  - Equity in Athletics Disclosure Act report due.

October (cont.)

- Compliance tasks and involved individuals:
  - Continue/certify winter sport SA eligibility.
  - Track injured fall sport SAs for hardship purposes.
  - Review travel expenses and benefits with those fall sports that qualify for postseason.

Rules Education: Benefits and Expenses

November

- Compliance tasks and involved individuals:
  - Roster changes.
  - Continually confirm SA enrollment status.
  - Monitor official and unofficial visits.
  - Monitor playing and practice season activities.
  - Review proposed legislation.
November (cont.)

- Compliance tasks and involved individuals:
  - Review legislation regarding permissible outside competition during vacation.
  - Grant permission to contact and review incoming transfer releases.

Rules Education: Continuing Eligibility

DIII Trivia!!!

December

- Compliance tasks and involved individuals:
  - Begin certification checks for midyear enrollees.
  - Continuing eligibility checks.
  - Monitoring playing and practice season activities.
  - Roster changes.
January

• Compliance tasks and involved individuals:
  – Roster changes. Be aware of winter and spring sport walk-ons.
  – Orientation and compliance paperwork with midyear enrollees.
  – Review camp/clinic brochures and literature – are SAs featured?

January (cont.)

• Compliance tasks and involved individuals:
  – Confirm full-time enrollment.
  – Monitor, monitor, monitor.

Rules Education: Adopted Legislation

February

• Compliance tasks and involved individuals:
  – Advise SAs to ensure meeting institutional academic requirements of major.
  – Finalize all eligibility certification for spring sport SAs.
  – Review travel expenses and benefits with those winter sports that qualify for postseason.
  – Monitor, monitor, monitor.

Rules Education: Gambling
March

- Compliance tasks and involved individuals:
  - Review travel expenses and benefits with those winter sports that qualify for postseason.
  - Discuss summer camp/clinic legislation with coaches interested in hosting summer camps.
  - Monitor, monitor, monitor.

Rules Education: Transfers

April

- Compliance tasks and involved individuals:
  - Review legislation regarding permissible outside competition during vacation periods.
  - Discuss post-enrollment amateurism legislation in preparation for summer activities.
  - Check schedules for fall practice start dates.
  
  - Preseason practice resources:
    - Practice start date calculator.
    - Fall preseason practice formula.
April (cont.)

- Compliance tasks and involved individuals:
  - Review travel expenses and benefits with those spring sports that qualify for postseason.
  - Monitor, monitor, monitor.

Rules Education: Camps and Clinics

DIII Trivia!!!

May

- Compliance tasks and involved individuals:
  - Conduct end-of-year academic review of SAs in preparation for next academic year.
  - Review all SA participation records, file and store.
  - Review summer competition rules with SAs.
  - Collect official and unofficial visit records.
  - Provide roster list to financial aid.

Rules Education: Playing and Practice Seasons
### June

- Compliance tasks and involved individuals:
  - Touch base with coaches to review list of incoming SAs.
  - Begin review of international SAs.
  - Review semesters and quarters used for returning SAs.

Rules Education: Fundraising

### July

- Compliance tasks and involved individuals:
  - Check schedules for winter and spring practice start dates.
  - Continue inputting information in the Sports-Sponsorship and Demographic Form.
  - Review recruiting legislation with coaches for the upcoming academic year.
  - Work with training room staff to ensure documentation standards account for hardship standards.

Rules Education: Add-Drop and Full-Time Enrollment

### Staff Rules Education Schedule

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<tr>
<th>Month</th>
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<tbody>
<tr>
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<td>September</td>
<td>Financial Aid</td>
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<tr>
<td>October</td>
<td>Benefits and Expenses</td>
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<td>March</td>
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Questions?