



NCAA DIVISION III
INTRODUCTION TO
COMPLIANCE CONCEPTS
(PART 1)

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Session Objectives


- ▶ Identify tasks and resources required for annual compliance.
- ▶ Learn foundational legislation involving issues commonly encountered.



Compliance Concepts Format

Compliance Concepts Part 1

- ▶ Resources.
- ▶ Certification of Eligibility.
 - Amateurism.
 - Academic.
- ▶ Recruiting.
- ▶ Compliance Tasks.



Compliance Concepts Format

Compliance Concepts Part 2

- ▶ Transfers.
- ▶ Practice and Competition Expenses.
- ▶ Hardship Waivers.
- ▶ Outside Competition.
- ▶ Compliance tasks.



Compliance Concepts Format

Compliance Concepts Part 3

- ▶ Tryouts, Showcases and Camps.
- ▶ Awards and Benefits.
- ▶ Fundraising.
- ▶ Compliance Tasks.





Resources

Division III Homepage Links

<http://www.ncaa.org/compliance?division=d3>

Rules Information and Education

Division III Compliance

Division III Manual
Legislative Services Database (LSDB)

Rules Information and Education

- Address Events Involving Prospective Student-Athletes
- Compliance Assistant
- Contacting the NCAA Academic and Membership Affairs Group
- Getting in the Game Videos
- Regional Rules Seminars

Division III Resources

- Division III Conference Series Seminar
- Division III Consistent Resource
- Division III Financial Aid and Assessment Items (August 2014)
- Division III Practice Start Date Calculation
- Division III Social Media Reference


Waivers and Reinstatement

- Initial Waiver Requests
- Legislative Waiver Requests
- Student-Athlete Academic Waivers (FIS) Year-Over-Year Formality
- Student-Athlete Reinstatement

NCAA Division III Manual

Manual – Printed versus Online

Printed	Online
<ul style="list-style-type: none">• Only includes NCAA Division III Bylaws: 3, 10-17 and 20.	<ul style="list-style-type: none">• Includes entire manual.• Constitution.• Administrative Bylaws (e.g., Committees).



Online Legislative Resources

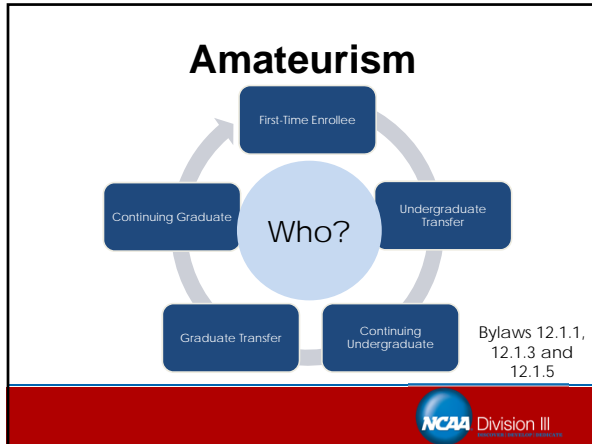
- ▶ Requests/Self-Reports Online (RSRO)
 - Interpretations, waivers, and secondary violation reporting.
 - Use is limited to individuals at the institution who have compliance duties.
- ▶ Legislative Services Database (LSDB)





Amateurism Certification






- ### Amateurism – What?
- Expenses and Prize Money.
 - Professional Involvement.
 - Outside Competition History.
 - Promise of Pay.
 - Preferential Treatment.
 - Agents.
 - Skills for Pay.
- NCAA Division III

Academic Certification


Academic Certification Checklist

- Required Eligibility Forms.
- Academic Requirements.
- Seasons and Semesters/Quarters.

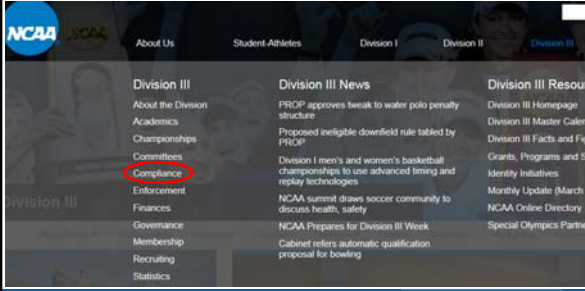



Required Eligibility Forms

Prior to Practice Bylaw 14.1.5.1	Prior to Competition Bylaws 14.1.3.1 & 14.1.4	Voluntary Bylaw 14.1.6.1
<ul style="list-style-type: none"> Mandatory medical examination. International Student-Athlete (SA) form. 	<ul style="list-style-type: none"> Summary of Regulations. Drug-Testing Consent. SA Statement. SA Affirmation of Eligibility. 	<ul style="list-style-type: none"> HIPAA/Buckley Consent Waiver Form.



Compliance Forms

Compliance Forms

Getting In the Game Website

Academic Certification Checklist

- Required Eligibility Forms.
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Academic Requirements

Admission Bylaw 14.1.7.1	Academic Standing Bylaw 14.01.2.1	Satisfactory Progress Bylaw 14.4.1	FT Enrollment Bylaw 14.1.8.1
<ul style="list-style-type: none"> • Must be admitted as regularly enrolled, degree-seeking student. • Per regular, published policies. 	<ul style="list-style-type: none"> • Must be in good academic standing per institution. • Meet conference requirements. 	<ul style="list-style-type: none"> • Must maintain satisfactory progress towards degree per institution. • Meet conference requirements. 	<ul style="list-style-type: none"> • Must be enrolled in no less than 12 hours for competition, FT for practice. • Final term exceptions. • Waivers.



Who Are You Certifying?

- ▶ First-time undergraduates.
- ▶ Continuing undergraduates.
- ▶ Undergraduate transfers.
- ▶ Graduate and post-baccalaureate continuing students.
- ▶ Graduate transfers.



Eligibility Between Terms

To be eligible for competition or practice that takes place between terms, the student-athlete (SA) shall:
(Bylaw 14.1.8.1.6.2)

(a) Have been registered for the required minimum full-time load at the conclusion of the term immediately before the date of competition, if the student is continuing enrollment; or

(b) Be accepted for enrollment as a regular full-time student for the regular term immediately after the date of competition if the student is either continuing enrollment or beginning enrollment.



General Undergraduate Transfer Rule

A SA who transfers to a member institution from any collegiate institution is required to complete an academic year in residence at the certifying institution before being eligible to compete or receive travel expenses.

Bylaw 14.5.1



Transfer Exceptions

- ▶ Identify type of transfer.
- ▶ Locate the correct legislation.
 - Two-year and 4-2-4 transfers.
 - Bylaw 14.5.4.1.
 - Four-year college transfers.
 - Bylaw 14.5.5.1.1.
 - Two-year nonparticipants.
 - Bylaw 14.5.5.1.3.



Graduate/Post-Baccalaureate Students

Bylaw 14.1.9: Graduate/Post-baccalaureate Student Participation.

After completing his/her undergraduate degree, a SA may continue to participate in athletics as a graduate student or while completing coursework that would apply toward a second baccalaureate degree, ONLY if he/she is continuing at the same institution where he/she earned the undergraduate degree.

SA may not transfer to another institution and participate in athletics as a graduate or post-baccalaureate student.



Key Questions

- ▶ What type of SA am I certifying?
- ▶ Do they meet an exception to...
 - Full-time enrollment?
 - Transfer year-in-residence?
- ▶ Do they need a waiver?
 - Education-Impacting Disability?
 - Legislative Relief?



Academic Certification Checklist

- Required Eligibility Forms.
- Academic Requirements.
- Seasons and Semesters/Quarters.



Seasons and Semesters

- ▶ Four seasons of participation.
- ▶ 10-semsters/15-quarter rule.
- ▶ Use of a semester or quarter.
- ▶ Use of a season.



Four Seasons of Participation

SA shall not engage in more than four seasons of intercollegiate participation in any one sport.

Bylaw 14.2



10-Semester/15-quarter Rule

SA shall complete his or her seasons of participation during the first 10 semesters or 15 quarters of full-time collegiate enrollment.

Bylaw 14.2.2



Use of a...

Semester/Quarter

Bylaw 14.2.2.1

- SA attends class while enrolled full-time in a regular term during an academic year; or
- SA represents institution in competition.

Season of Participation

Bylaw 14.2.4.1

- SA participates (practices or competes):
- During or after first competition in traditional segment; or
 - SA engages in competition during nontraditional segment.
 - Sport specific.



“Use of a Season” Exceptions

A season is NOT used:

- ▶ If SA competes during nontraditional segment in the following: baseball, field hockey, lacrosse, soccer, softball and volleyball.
- ▶ If SA competes in preseason scrimmages, exhibitions or alumni contests conducted before the first regular-season contest.



Key Questions

- ▶ Does the SA have a semester remaining?
- ▶ Does the SA have a season remaining?
 - Is there an exception?
- ▶ Did the SA “delay enrollment”?

Bylaw 14.2.4.3.



Academic Certification Checklist

- Required Eligibility Forms.
- Academic Requirements.
- Seasons and Semesters/Quarters.





Best Practices

- ▶ Broad-based participation.
- ▶ Open communication with "certification team".
- ▶ University systems and technology.
- ▶ Develop certification calendar.
- ▶ Share certification forms/checklists with conference.





Recruiting



Prospective Student-Athlete

Prospective student-athlete (PSA):

Any individual who has started classes for the ninth grade.



Contacts

- ▶ Face-to-face encounters with a PSA/family member/guardian beyond an exchange of a greeting.
- ▶ Prearranged encounters or any encounter that takes place at the PSA's school or at the site of PSA's competition.
- ▶ First permitted off campus: after end of sophomore year.




Who May You Contact?

High School PSAs	Two-Year College PSAs	Four-Year College PSAs
<ul style="list-style-type: none"> • In-person, off-campus recruiting contacts shall not be made with a PSA until the PSA has completed his or her sophomore year of high school. • May have contact on your campus. • Bylaw 13.1.1.1 	<ul style="list-style-type: none"> • No contact restrictions. • No permission to contact requirement. • Bylaw 13.1.1.1 	<ul style="list-style-type: none"> • No contact with SA of another NCAA/NAIA four-year institution without first obtaining written permission, regardless of who makes contact first. • Bylaw 13.1.1.2



Two Release Methods


- ▶ Written permission to contact – handled via athletics administration.
- ▶ Self-release - SA releases himself or herself and is entitled initial privacy.
 - Only applicable for Division III to Division III.
 - 30-day period; no privacy after renewal.



Contacts

Unofficial Visit: On-campus contact where PSAs must cover their own expenses.


- ▶ Can occur at any time. No restrictions on when or how long.
- ▶ School can provide PSA with one meal. Meals must be held on campus unless all on-campus facilities are closed.
- ▶ PSA can receive benefits from admissions without triggering an official visit if it is normal practice for all prospective students generally.
- ▶ Complimentary admissions.



Telephone Calls

- ▶ All electronically transmitted human voice exchange (includes videoconferencing and videophones) are telephone calls.
- ▶ No restrictions on the timing.

Bylaws 13.02.10 and 13.1.3



Electronic Transmissions



- ▶ Includes social media, text messages, instant messaging, email, etc.
- ▶ Must be private and direct between the sender and the recipient.
- ▶ "Magic" May 1 – Senior year. If PSA has made deposit, can talk to PSA "in public" on social media.
- ▶ Chart: When and What?








Compliance Tasks


August Compliance Tasks

- Administer rules test. 
- Administer SA compliance paperwork/forms. 
- Verify rosters and walk-ons.
- Confirm SA eligibility.
- File all SA compliance and affirmation forms.






August Compliance Tasks

- Finalize the sports-sponsorship and demographic form. 
- Check NCAA Directory to ensure institutional designees are correct. 
- Administer certification of compliance forms. 
- Develop rules education.





September Compliance Tasks

- Roster changes.
- Continually confirm SA enrollment status.
- Monitor official and unofficial visits. 
- Monitor playing and practice season activities. 






September Compliance Tasks

- Review gambling and ethical conduct with active SAs.
- Financial Aid report due first or second week.
- Required forms:
 - ▷ Compliance for staff members of athletics department.
 - ▷ Certification of compliance for institutions. 
- Rules education.




**October
Compliance Tasks**

- Roster changes.
- Continually confirm SA enrollment status.
- Monitor official and unofficial visits. 
- Monitor playing and practice season activities. 
- EADA report due October 15.






**October
Compliance Tasks**

- Season declaration for winter sports.
- Continue/certify winter sport SA eligibility.
- Review pre-championship manual for any teams in contention for championships.
- Track on injured fall SAs for hardship purposes.




**November
Compliance Tasks**

- Roster changes
- Continually confirm SA enrollment status.
- Monitor official and unofficial visits. 
- Monitor playing and practice season activities. 
- Review proposed legislation.




**November
Compliance Tasks**

Review legislation regarding permissible outside competition during vacation.
Bylaw 14.7.2


Grant permission to contact and review incoming transfer releases. 

Rules education.



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QUESTIONS?



