OFFICE OF COMPLIANCE SERVICES POLICIES AND PROCEDURES

SECTION 1  Principle of Institutional Control – Page 6

SECTION 2  ARMS Software – Page 6

SECTION 3  Vision Statement – Page 6

SECTION 4  Mission Statement – Page 6

SECTION 5  Procedures Related to Regulations Governed by Bylaw 10: Ethical Conduct – Page 7
   Honesty and Sportsmanship
   Sports Wagering
      Scope of Application
      Exception
      Sanctions
      Disciplinary Action
   Unethical Conduct

SECTION 6  Procedures Related to Regulations Governed by Bylaw 11: Conduct and Employment Athletics Personnel – Page 9
   New Staff Compliance Orientation
   Designation of Coaching Staff
   Head Coach Responsibility
   Head Coach Responsibility Audit
   Athletic Staff Complimentary Admissions
      Complimentary Admissions Affirmation
   Athletically Related Outside Income
   Certification of Compliance
   Student Assistant Coaches
   Student Managers
   Volunteer Coaches
   Strength and Conditioning Coach Certification
   Individual Associated with a Prospective Student-Athlete – Men’s Basketball Hiring
   Individual Associated with a Recruited Prospective Student-Athlete – Women’s Basketball Hiring

SECTION 7  Procedures Related to Regulations Governed by Bylaw 12: Amateurism and Athletics Eligibility – Page 14
   Amateurism Certification
   Athletic Agents Policy and Procedures
      Overview
      Activities Considered Under Agent Policy
      Registration Policy
Agent Conduct
Contact Regulations
Registered Agents/Representatives Will
Registered Agents/Representatives May Not
Responsibilities of the Department of Athletics
Responsibilities of Student-Athletes
Agent Sessions
Complaints, Consequences and Actions
Student-Athlete Requests for Personal Appearance/Use of Student-Athlete Images
Promotional Activities Waiver
Promotional Activities Requests
Continuation of Modeling and Other Nonathletically Related Promotional Activities After Enrollment
Educational Products Related to Sport-Skill Instruction
Employment - Student-Athletes
Camp/Clinic Employment of Student-Athletes
Fee-for-Lesson Instruction
Male Practice Players
Participation Records

SECTION 8  Procedures Related to Regulations Governed by Bylaw 13: Recruiting
– Page 24
NCAA Coaches Certification Exam
Documentation of Recruiting
Permission to Contact Four-Year College Transfer Student-Athletes
Two-Year College Prospective Student-Athletes
Four-Year College Transfer Student-Athletes
Recruiting Related Cash Advances
Recruiting Related Expense Reports
Official Visits
Unofficial Visits
Student Hosts
Complimentary Admissions
  Prospective Student-Athletes
  High School/Prep/Two-Year College Coaches
Basketball On-Campus Evaluations
Recruiting/Scouting Services
Summer Workouts – Incoming Student-Athletes
Local Sports Club
Camps and Clinics
  Institutional Camps and Clinics
  Noninstitutional Camps and Clinics
Speaking Engagements
Donation Requests
SECTION 9 Procedures Related to Regulations Governed by Bylaw 14: Eligibility

– Page 38

Admissions Review/International Admissions Review Process
University and NCAA codes
Undergraduate Admissions
Graduate Admissions

Initial Eligibility
Incoming Transfer Assessment
Try-Outs, Walk-On Certification and Roster Additions
Roster Drop
Monitoring Full-Time Status
Certification of Continuing Eligibility
Request for Permission to Contact
Notification of Transfer
Academic Misconduct

SECTION 10 Procedures Related to Regulations Governed by Bylaw 15: Financial Aid

– Page 48

Determination and Communication of Scholarship Budgets
Requesting Initial Grant-in-Aid Awards
Renewals and Non-Renewals
Reductions and Cancellations
Changes in Student-Athlete’s Athletic Aid
Countable vs. Non-Countable Aid
Outside Aid Reporting
NCAA Squad Lists
Degree Completion Program
Housing Rates
Book Ordering Overview and Process
Summer School Grant-in-Aid
Winter Session Grant-in-Aid
5th Year Aid
Special Assistance Fund
Student-Athlete Request to Study Abroad
Medical Noncounter
International Student-Athletes

Obtaining a Social Security Number

SECTION 11 Procedures Related to Regulations Governed by Bylaw 16: Awards, Benefits and Expenses for Enrolled Student-Athletes – Page 65

Student-Athlete Participation Awards
Student-Athlete Complimentary Admissions
Home and Away Games
Post-Season
Complimentary Admissions Honoring Current Student-Athlete
Occasional Meals
Housing Requests
Vacation Period, Summer School and Preseason Meals

SECTION 12 Procedures Related to Regulations Governed by Bylaw 17: Playing and
Practice Seasons – Page 68
Declaration of Playing Season
Championship and Nonchampionship Segment Competition Schedules
Request for Scrimmage/Practice or Nontraditional Season Contest
Basketball/Football Summer Activities Declaration
Summer Access Certification – Football and Basketball
Designation of Sports-Safety Certified Coaching Staff Member(s)
Documentation of Countable Athletically Related Activities
Mandatory Two-Week Dead Period
Outside Competition
Summer Basketball Leagues and Outside Competition

SECTION 13 Procedures Related to Regulations Governed by Bylaw 31: Executive
Regulations – Page 71
NCAA Drug Testing Program
NCAA Summer Drug Testing
UAlbany Alcohol and Drug Education Testing Program

SECTION 14 Other Compliance Policies – Page 75
Requesting Rules Interpretations
Rules Education Program
Beginning of Year Student-Athlete Meetings
End of Year Student-Athlete Meetings
Procedures for Investigating and Reporting an Alleged or Potential Violation
Letter of Admonishment/Letter of Reprimand
Alleged Violations Involving Other NCAA Institutions
Waivers
Compliance Reviews
NCAA Certification
Compliance Contact List and Calendar
NCAA Graduation Success Rate (GSR)
NCAA Academic Progress Rate (APR)
NCAA Sport Sponsorship Report

The information outlined in this compliance manual is subject to change as University, Conference,
and NCAA rules may change. The Office of Compliance Services will keep all Department of Athletics
staff members and university constituents up to date on the latest rule changes and effective dates.
Please consult the Office of Compliance Services if you have any questions.
SECTION 1 PRINCIPLE OF INSTITUTIONAL CONTROL

Institutional control refers to the efforts institutions make to comply with NCAA legislation and to detect and investigate violations that do occur. NCAA member institutions are obligated to maintain appropriate levels of institutional control.

It is the responsibility of each member institution to develop and implement procedures and policies that promote institutional control in its intercollegiate athletics program. It is a shared responsibility between all institutional entities, not just the Department of Athletics. The institution is responsible for the actions of its staff members and for the actions of any other individuals or organizations engaged in activities promoting the athletics interests of the institution. Institutional control can be maintained through a recurring and thorough rules education program, the development of adequate compliance measures, effective monitoring of these measures and swift action should a violation occur.

To help promote institutional control, the Department of Athletics works closely with appropriate offices on campus including, but not limited to: Admissions, Financial Aid, Office of the Registrar, Alumni Association, University Development, and the Office of the President to inform them of pertinent NCAA rules and regulations that relate to their respective job function.

SECTION 2 ARMS SOFTWARE

Beginning in October 2015, the University at Albany Department of Athletics began a partnership with ARMS Software, a cloud-based system which unifies the Department of Athletics and other campus offices including admissions. ARMS is used daily for recruiting, managing student-athletes, submission of various Department of Athletics and NCAA forms, enhanced compliance monitoring, among several other recruiting and management features. The campus point of contact for ARMS is the Office of Compliance Services.

SECTION 3 VISION STATEMENT

The University at Albany strives to become the benchmark of comprehensive excellence for athletics compliance within the NCAA.

SECTION 4 MISSION STATEMENT

The University at Albany Office of Compliance Services is committed and compelled to the principle of institutional control in the operation of the athletics department in a way that is constant within the rules and regulations and in the spirit of the National Collegiate Athletic Association (NCAA), the conferences, and the University.

The Office of Compliance Services directs this effort and serves as a resource center concerning NCAA regulations and compliance issues. The primary functions of the Office of Compliance Services are to oversee and verify the accurate and timely completion of NCAA-required processes. In addition, the Office of Compliance Services provides educational programming...
through various mediums and interpretive support to ensure that all individuals involved with the
athletics programs fully understand the University at Albany’s compliance expectations. It is the
responsibility of the Office of Compliance Services to ensure that the demands of the NCAA's
and the University's compliance efforts and expectations are properly supported; by encouraging
professional growth in the area of rules compliance; by incorporating in others the highest regard
for ethical conduct; by fostering an environment that is supportive of the NCAA operating
principle of competitive equity; by seeking out diversity and gender equity; and by fostering
individual empowerment and personal well-being of our student-athletes. Compliance with the
NCAA, America East, Colonial Athletic Association and the Metro Atlantic Athletic Conference
rules is of utmost importance to the University at Albany and its athletics department. As a
member of the NCAA, the University at Albany is responsible for the actions of its coaches,
student-athletes, faculty and staff, alumni, donors, boosters and friends. As such, please take a
moment to familiarize yourself with these important items concerning NCAA rules and always
remember to ASK BEFORE YOU ACT.

SECTION 5 PROCEDURES RELATED TO REGULATIONS GOVERNED BY
BYLAW 10: ETHICAL CONDUCT

HONESTY AND SPORTSMANSHIP

NCAA Bylaw 10.01.1 Honesty and Sportsmanship states that individuals employed by (or
associated with) a member institution to administer, conduct or coach intercollegiate athletics
and all participating student-athletes shall act with honesty and sportsmanship at all times so that
intercollegiate athletics as a whole, their institutions and they, as individuals, shall represent the
honor and dignity of fair play and the generally recognized high standards associated with
wholesome competitive sports.

SPORTS WAGERING

Sports wagering includes placing, accepting or soliciting a wager (on a staff member's or
student-athlete's own behalf or on the behalf of others) of any type with any individual or
organization on any intercollegiate, amateur or professional team or contest. Examples of sports
wagering include, but are not limited to, the use of a bookmaker or parlay card; internet sports
wagering; auctions in which bids are placed on teams, individuals or contests; and pools or
fantasy leagues in which an entry fee is required and there is an opportunity to win a prize.

A wager is any agreement in which an individual or entity agrees to give up an item of value
(e.g., cash, shirt, dinner) in exchange for the possibility of gaining another item of value.

Scope of Application

The prohibition against sports wagering applies to any institutional practice or any competition
(intercollegiate, amateur or professional) in a sport in which the Association conducts
championship competition, in bowl subdivision football and in emerging sports for women.
Exception

The provisions of Bylaw 10.3 are not applicable to traditional wagers between institutions (e.g., traditional rivalry) or in conjunction with particular contests (e.g., bowl games). Items wagered must be representative of the involved institutions or the states in which they are located.

Sanctions

There will be a case by case inquiry into each sports wagering violation of Bylaw 10.3.

Disciplinary Action

Prospective or enrolled student-athletes found in violation of the provisions of this regulation shall be ineligible for further intercollegiate competition, subject to appeal to the Committee on Student-Athlete Reinstatement for restoration of eligibility. Institutional staff members found in violation of the provisions of this regulation shall be subject to disciplinary or corrective action as set forth in Bylaw 19.9, whether such violations occurred at the certifying institution or during the individual's previous employment at another member institution.

UNETHICAL CONDUCT

NCAA Bylaw 10.1 states that unethical conduct by a prospective or enrolled student-athlete or a current or former institutional staff member, which includes any individual who performs work for the institution or the athletics department even if he or she does not receive compensation for such work, may include, but is not limited to, the following:

A. Refusal to furnish information relevant to an investigation of a possible violation of an NCAA regulation when requested to do so by the NCAA or the individual's institution;
B. Knowing involvement in offering or providing a prospective or an enrolled student-athlete an improper inducement or extra benefit or improper financial aid;
C. Knowingly furnishing or knowingly influencing others to furnish the NCAA or the individual's institution false or misleading information concerning an individual's involvement in or knowledge of matters relevant to a possible violation of an NCAA regulation;
D. Receipt of benefits by an institutional staff member for facilitating or arranging a meeting between a student-athlete and an agent, financial advisor or a representative of an agent or advisor (e.g., "runner");
E. Knowing involvement in providing a banned substance or impermissible supplement to student-athletes, or knowingly providing medications to student-athletes contrary to medical licensure, commonly accepted standards of care in sports medicine practice, or state and federal law. This provision shall not apply to banned substances for which the student-athlete has received a medical exception per Bylaw 31.2.3.2; however, the substance must be provided in accordance with medical licensure, commonly accepted standards of care and state or federal law;
F. Engaging in any athletics competition under an assumed name or with intent to otherwise deceive; or
G. Failure to provide complete and accurate information to the NCAA, the NCAA Eligibility Center or the institution's athletics department regarding an individual's amateur status.

SECTION 6  PROCEDURES RELATED TO REGULATIONS GOVERNED BY BYLAW 11: CONDUCT AND EMPLOYMENT OF ATHLETICS PERSONNEL

NEW STAFF COMPLIANCE ORIENTATION

The Office of Compliance Services conducts new staff orientations designed to educate and keep record of new employees and their initial NCAA and institutional rules education.

All new staff members including but not limited to coaches, athletics advisors, administrators, support and clerical staff, interns or student-workers who have athletics related responsibilities, must be advised by their direct supervisor at the time of hire to meet with the Office of Compliance Services to complete a rules education session within the first two (2) weeks subsequent to their first day of employment.

Upon meeting with the Office of Compliance Services, the individual will receive:

1. Copy of the NCAA Manual (hard copy or electronic version);
2. Copy of the UAlbany Office of Compliance Services Manual (hard copy or electronic version); and
3. Introduction to ARMS Software.

DESIGNATION OF COACHING STAFF

During the summer, the Associate Athletic Director for Compliance sends each Head Coach or designee the Designation of Coaching Staff Form through ARMS. The Head Coach or designee must complete the form to include all paid coaches, volunteer coaches (in sports such coaches are permitted), graduate assistant coaches (in sports such coaches are permitted), directors of sport operations, managers, student coaches and any other personnel that will be working with the team in a coaching, administrative or managerial role for the upcoming year. The form must be signed by the respective Sport Supervisor before being reviewed and approved by the Associate Athletic Director for Compliance. The Associate Athletic Director for Compliance will review the form to ensure that the sport is within its NCAA limitations set forth in Bylaw 11 and sign the form to signify this review has taken place.

Once approved, the form is sent through ARMS to the Athletics Human Resource Manager. The Athletics Human Resource Manager will verify each individual has received Human Resources approval.

All staff changes (additions, deletions) must be reported in a timely manner by the Head Coach or designee to the Associate Athletic Director for Compliance, Athletics Human Resource Manager and Sport Supervisor. Changes to the Designation of Coaching Staff may be made by submitting
a new form in ARMS Software. The Associate Athletic Director for Compliance will ensure that any staff changes fall within NCAA regulations.

HE M COACH RESPONSIBILITY

As part of their employment at the University at Albany, each Head Coach will receive a Head Coach Responsibility Addendum as part of their employment contract. The addendum will emphasize the expectations and reasonable steps each Head Coach will perform as part of their employment to promote an atmosphere of compliance.

HEAD COACH RESPONSIBILITY AUDIT

During the summer, the Office of Compliance Services will schedule meetings with each Head Coach (at the conclusion of their season) to review the academic year. Along with scheduling the meeting, the Head Coach Responsibility Audit will be issued to each Head Coach in order to provide the Head Coach an opportunity to make comments and rate themselves and their program on various areas of compliance. The assessment is to be completed and returned to the Office of Compliance Services prior to the scheduled meeting.

During the scheduled meeting, the assessment will be reviewed as well as other occurrences from the academic year. Additionally, positives, concerns, and recommendations will be discussed reflective of the sport program and the Office of Compliance Services. The completed audit will be kept on file in the Office of Compliance Services and a copy provided to the Head Coach and Sport Supervisor.

Each Head Coach is encouraged to meet with his/her direct and indirect reports regarding his/her expectations for promoting an atmosphere of compliance annually.

ATHLETIC STAFF COMPLIMENTARY ADMISSIONS

The Athletic Ticket Office will review all complimentary admissions requests made by staff members through ARMS Software in consultation with the Athletic Ticket Policy and the Office of Compliance Services staff. All requests must be submitted on the Athletic Staff Comp Admissions Form in ARMS within 24 hours of the start of the game/contest.

Complimentary Admissions Affirmation

Annually, coaching staff members in the sports of Men’s Soccer, Football, Men’s Basketball, Women’s Basketball and Men’s Lacrosse will be assigned by the Office of Compliance Services the Complimentary Admissions Affirmation through ARMS to review and sign.

Complimentary admissions represent an outstanding benefit for coaches. At the same time, the monetary value of these items presents a real risk of extra benefit. As a result, all Division I institutions must adhere to strict policy guidelines for administering the complimentary admission process. When effective, all parties benefit and can enjoy watching the accomplishments of those on the field/court.
Coaching staff members agree that they understand they will be receiving complimentary admissions hard tickets for each regular season home game in their respective sport. Further, coaching staff members acknowledge that prospective student-athletes, those accompanying prospective student-athletes, current student-athletes, high school coaches, AAU coaches, preparatory school coaches and two-year college coaches must receive their complimentary admissions through a pass list per NCAA and University at Albany regulations.

ATHLETICALLY RELATED OUTSIDE INCOME

All full-time and part-time employees of the University at Albany are subject to the provisions of New York State and SUNY ethics laws and policies, including, but not limited to, those pertaining to conflicts of interest, gifts, financial disclosure, outside activities and lobbying. In addition, all full-time and part-time employees (paid and volunteer) of the Department of Athletics must, no later than September 1 each year, submit an Athletically Related Outside Income Report to the Director of Athletics, or designee, through ARMS Software. This excludes all secretarial and clerical employees.

Completion of this Athletically Related Outside Income Policy and Report does not release an employee from acquiring any permissions or completing any reporting required for outside employment under New York State or SUNY ethics laws and policies or the New York State Public Officers Law. The Athletically Related Outside Income Report is income related to athletics received between July 1 and June 30 each year. The Associate Athletic Director for Compliance will assign these forms through ARMS during the summer.

CERTIFICATION OF COMPLIANCE

All staff members of the Department of Athletics at the University at Albany (including part-time staff members, volunteers, graduate assistants and clerical staff) during the previous academic year who are returning for the upcoming academic year must sign the Certification of Compliance Report in ARMS no later than September 1 each year. By signing and dating the Certification of Compliance Report, the staff member certifies that they have reported through the appropriate individuals at the University at Albany to the chancellor/president any knowledge of violations of NCAA legislation involving the university.

STUDENT ASSISTANT COACHES

A student assistant coach is any coach who is a student-athlete who has exhausted his or her eligibility in the sport or has become injured to the point that he or she is unable to practice or compete ever again, and who meets the following additional criteria:

A. Is enrolled at the institution at which he or she most recently participated in intercollegiate athletics;
B. Is enrolled as a full-time graduate student within his or her five-year period of eligibility (see Bylaw 12.8) or is enrolled as a full-time undergraduate student in his or her first baccalaureate degree program, except that during his or her final semester or quarter of
the degree program, he or she may be enrolled in less than a full-time degree program of studies, provided he or she is carrying (for credit) the courses necessary to complete the degree requirements;
C. Is receiving no compensation or remuneration for coaching duties from the institution other than the financial aid that could be received as a student-athlete and expenses incurred on road trips that are received by individual team members; and
D. Is not involved in contacting and evaluating prospective student-athletes off campus or scouting opponents off campus and does not perform recruiting coordination functions (see Bylaw 11.7.2).

Each student assistant coach will be issued a Student Assistant Coach Agreement Form through ARMS outlining the parameters of their position by the Associate Athletic Director for Compliance. The agreement requires signatures from the Student Assistant Coach, Head Coach, Sport Supervisor, Associate Athletic Director for Compliance and Athletics Human Resources Manager.

STUDENT MANAGERS

In order to perform traditional managerial duties and assist with on-court/on-field activities, student managers must be registered for a full-time course load or enrolled in the remaining credit hours needed for graduation. The Office of Compliance Services requires all student managers to complete the Manager Agreement Form annually. The Associate Athletic Director for Compliance verifies full-time enrollment at that time. Once the Associate Athletic Director for Compliance signs the Manager Agreement Form, the Registrar is notified that the student must be added to the cannot drop below full-time list.

The manager receives a copy of the form which contains NCAA rules pertaining to managers. Coaches are responsible for providing updates to the Associate Athletic Director for Compliance on any changes in managerial staff.

VOLUNTEER COACHES

In sports other than football and basketball, a volunteer coach is any coach who does not receive compensation or remuneration from the institution's athletics department or any organization funded in whole or in part by the athletics department or that is involved primarily in the promotion of the institution's athletics program (e.g., booster club, athletics foundation association). The following provisions shall apply:

A. The individual is prohibited from contacting and evaluating prospective student-athletes off campus or from scouting opponents off campus and may not perform recruiting coordination functions (see Bylaw 11.7.2).
B. The individual may receive a maximum of two complimentary tickets to home athletics contests in the coach's sport.
C. The individual may receive complimentary admission to a home athletics event in conjunction with a prospective student-athlete's official or unofficial visit.
D. The individual may receive complimentary meals incidental to organized team activities (e.g., pre- or postgame meals, occasional meals, but not training table meals) or meals provided during a prospective student-athlete's official or unofficial visit, provided the individual dines with the prospective student-athlete.

E. The individual may receive reasonable entertainment (but may not receive cash for such entertainment) in conjunction with entertainment provided to student-athletes per Bylaw 16.7.

Each volunteer coach will be issued a Volunteer Coach Agreement through ARMS outlining the parameters of their position by the Associate Athletic Director for Compliance. The agreement requires signatures from the Volunteer Coach, Head Coach, Sport Supervisor, Associate Athletic Director for Compliance and Athletics Human Resources Manager.

STRENGTH AND CONDITIONING COACH CERTIFICATION

A strength and conditioning coach shall be certified and maintain current certification through a nationally accredited strength and conditioning certification program in adherence with NCAA Bylaw 11.1.5.

The Associate Athletic Director for Compliance will assign the Strength and Conditioning Staff Declaration and Certification Form through ARMS during the summer and must be submitted by August 1 each year. Names of all staff who will be conducting strength and conditioning workouts with student-athletes at the University at Albany must be provided along with copies of their certification, First Aid and CPR. If there are changes to the staff during the academic year, a new Strength and Conditioning Staff Declaration and Certification Form must be submitted through ARMS.

INDIVIDUAL ASSOCIATED WITH A PROSPECTIVE STUDENT-ATHLETE: MEN’S BASKETBALL

In men's basketball, during a two-year period before a prospective student-athlete's anticipated enrollment and a two-year period after the prospective student-athlete's actual enrollment, an institution shall not employ (either on a salaried or a volunteer basis) or enter into a contract for future employment with an individual associated with the prospective student-athlete in any athletics department noncoaching staff position or in a strength and conditioning staff position.

Hiring

Prior to the official hiring of a noncoaching staff position or in a strength and conditioning staff position in men's basketball, the individual must complete the IAWP Hiring form. This form will be reviewed by the Office of Compliance Services.
INDIVIDUAL ASSOCIATED WITH A RECRUITED PROSPECTIVE STUDENT-ATHLETE: WOMEN’S BASKETBALL

In women’s basketball, during a two-year period before a recruited prospective student-athlete’s anticipated enrollment and a two-year period after the recruited prospective student-athlete’s actual enrollment, an institution shall not employ (either on a salaried or volunteer basis) or enter into a contract for future employment with an individual associated with the recruited prospective student-athlete in any athletics department noncoaching staff position or in a strength and conditioning staff position.

Hiring

Prior to the official hiring of a noncoaching staff position or in a strength and conditioning staff position in women’s basketball, the individual must complete the IAWRP Hiring form. This form will be reviewed by the Office of Compliance Services.

SECTION 7 PROCEDURES RELATED TO REGULATIONS GOVERNED BY BYLAW 12: AMATEURISM AND ATHLETICS ELIGIBILITY

AMATEURISM CERTIFICATION

In accordance with NCAA Bylaw 12.1, as part of the eligibility certification process, prospective student-athletes must receive final amateurism certification before they can travel and participate in athletic competition. Final amateurism certification can be requested by prospects through the NCAA Eligibility Center beginning April 1st of their senior year for fall enrollees and beginning October 1st of their senior year for mid-year enrollees. Prospective student-athletes are required to complete each area of the certification questionnaire. The Office of Compliance Services will provide amateurism status updates for all coaches on their prospective student-athletes on a case-by-case basis.

If a prospective student-athlete reports for athletics participation before the student’s amateur status has been certified, the student may practice, but not compete, for a maximum period of 45 days. After this period, the student shall have his or her amateur status certified to continue to practice or to compete.

Prior to enrollment at UAlbany, each new student-athlete must complete the Amateurism Status After Final Certification Form in ARMS as part of the required athletics participation forms. This form verifies that there has been no change in amateur status between the time of final amateurism certification by the NCAA Eligibility Center and enrollment at UAlbany.

ATHLETIC AGENTS POLICY AND PROCEDURES

The Department of Athletics maintains the following policy on agents (as defined by NCAA Bylaw 12.3) and other representatives involved in the professional sports market. The Agent Policy is designed to monitor outside organizations and individuals who would like to contact UAlbany
student-athletes for the purpose of representation with a professional sports organization and/or in the professional sports market.

The Agent Policy seeks to ensure that communication and interaction by individuals seeking to contact, represent and promote UAlbany student-athletes in the professional sports market is consistent with NCAA regulations, any applicable federal or state laws, and that such individuals are registered with the Office of Compliance Services and have accepted the stipulations of the Agent Policy.

The Department of Athletics has delegated oversight and supervision of the Agent Program to the Associate Athletic Director for Compliance.

Overview

NCAA rules and regulations stipulate that both prospective and current student-athletes are ineligible for intercollegiate competition at the University at Albany if an agent directly or indirectly represents (or attempts to represent) any such prospective or current student-athlete. Both written and oral agreements for representation are applicable. This includes, but is not limited to, representation related to marketing athletic ability or reputation for financial gain, obtaining any type of financial gain or benefit from securing a prospective student-athlete's enrollment at an educational institution or from a student-athlete’s potential earnings as a professional athlete. This includes agreements that are not sport-specific.

Activities Considered Under Agent Policy

- Soliciting or contacting UAlbany student-athletes for the express purpose of representation in the professional sports market. For purposes of this Agent Policy, contact includes both direct and indirect contact, including, but not limited to face-to-face interaction and electronic communication, including social media.
- Negotiating financial compensation or benefits with a professional sports organization or entities related to sports organizations, including commercial sponsors.
- Counseling or advising for the purpose of negotiating with a professional sports organization or entities related to sports organizations.
- Making representations to a professional sports organization or entities related to sports organizations regarding an individual’s worth, or potential worth, as a professional.
- Any other activities that can be interpreted as representation for financial compensation in the professional sports market or related industries.

Registration Policy

All individuals who wish to speak to a UAlbany student-athlete must make their intentions known to the Associate Athletic Director for Compliance. All agents must register with the state of New York. All requirements may be found on the New York State website. [http://www.dos.ny.gov/licensing/athleteagent/athleteagent.html](http://www.dos.ny.gov/licensing/athleteagent/athleteagent.html)
Also, the individual must complete the Athlete Agent Registration form located on the Office of Compliance Services website. Any individual contacted by a student-athlete with respect to the professional sports market or related industry representation must also complete the Athlete Agent Registration Form and be registered with New York State.

By signing the registration form, the individual represents that he or she has read and will be bound by the Agent Policy. By completing and signing the form and upon approval by the Associate Athletic Director for Compliance, the registered agent/representative acknowledges and agrees to the following:

- Any registered agent/representative will be bound by and must conform to the Policy, and shall not willfully evade, violate, or circumvent the policy or process.
- Any registered agent/representative may be removed from the Program if UAlbany, faculty, or staff members acquire knowledge that statements made on the registration form are false or that the registered agent/representative has violated the Agent Policy.

Individuals may be denied registration by UAlbany if they have not registered as an athletics agent with the state of New York or are to be found of fraudulent misrepresentation.

Agent Conduct

In accordance with NCAA and the respective professional sports organization regulations governing agent activity, UAlbany holds its student-athletes and the reputation of them as a high priority. Therefore, it is of paramount importance that the registered agents/representatives conduct themselves in an appropriate manner.

Registered agents/representatives may contact UAlbany student-athletes in accordance with the time periods specified for such contact for the purpose of discussing potential professional careers and possible subsequent representation. No actions or discussions may include any oral or written agreement for representation. Such agreements violate NCAA rules and will jeopardize the eligibility of the student-athlete.

The Office of Compliance Services provides its student-athletes with all information received from registered agents/representatives and encourages student-athletes to interact with registered agents/representatives only.

Contact Regulations

The Agent Policy specifies that in-person interaction between registered agents/representatives and UAlbany student-athletes will be defined by the following guidelines.

Once requested to and approved by the Associate Athletic Director for Compliance, in-person contact between registered agents/representatives and student-athletes may take place, except during the following periods:

- Basketball – October 1 until the end of the season (including postseason)
● Baseball – February 1 until the end of the season (including postseason)
● Football – August 1 until the end of the season (including postseason)
● All other sports – Subject to the Head Coach’s discretion.

The Head Coach for each applicable sport has the ultimate authority to waive the “no contact” policy and allow in-person contact or to implement more strict guidelines.

Registered Agents/Representatives Will:

● Notify the Associate Athletic Director for Compliance prior to initially contacting any student-athlete at UAlbany. The Associate Athletic Director for Compliance will then inform the Head Coach of such interest and distribute any materials to the head coach to present to his or her student-athletes;
● Maintain the highest degree of integrity and competence in discussions with professional organizations regarding UAlbany student-athletes;
● Fully disclose any and all relationships, including but not limited to, financial or employment relationships with professional organizations or financial advisors;
● Fully comply with any applicable local and/or federal laws regarding the agent/representative process;
● Comply with all NCAA bylaws and regulations and shall not take any action to cause any student-athlete or UAlbany to be in violation thereof.

Registered Agents/Representatives May Not:

● Take any action that will result in a declaration of ineligibility of any student-athlete or sanction against UAlbany;
● Engage in any unlawful conduct involving fraud, deceit, misrepresentation, or misrepresent or conceal facts from the student-athlete, the student-athlete’s family/friends, Head Coach, Associate Athletic Director for Compliance, or any other UAlbany employee regarding potential representation;
● Provide or offer to provide any type of benefit or incentives including, but not limited to: money, meals, gifts, or transportation to a student-athlete and/or the student-athlete’s family members and friends at any time prior to the conclusion of the student-athlete’s eligibility to compete for the, or upon which time the student-athlete officially declares eligibility for a professional organization’s draft;
● Provide false or misleading information regarding continuing eligibility to participate in intercollegiate competition under NCAA, America East, Colonial Athletic Association, and Metro Atlantic Athletic Conference rules and regulations, to any individual for the purpose of solicitation as an agent/representative of a UAlbany student-athlete;
● Present false or misleading titles or credentials to a UAlbany student-athlete for the purpose of solicitation as an agent/representative.

Responsibilities of the Department of Athletics

The primary concern of the Department of Athletics is its student-athletes. Student-athletes who have the opportunity to compete as a professional in their respective sport are encouraged to inform
the Office of Compliance Services. The Associate Athletic Director for Compliance will provide
guidance and the appropriate instruments to assist the student-athlete’s pursuit of a professional
sports career. Educational sessions may be conducted throughout the year and all student-athletes,
their family members and friends will receive all information obtained from registered
agents/representatives.

Coaches play a fundamental role in the process and all members of the UAlbany coaching staff
are required to notify the Office of Compliance Services of any communications with individuals
interested in representing and/or marketing the athletic ability of their student-athletes. In addition,
coaches are encouraged to participate in the educational sessions held with the student-athletes.

Responsibilities of Student-Athletes

It is up to the student-athlete and/or his or her family whether he or she participates in the Program.
UAlbany student-athletes must only communicate with registered agents/representatives only.
Once contact has been initiated by a prospective agent/representative or student-athlete, student-
athletes are required to report such contact with their Head Coach and the Office of Compliance
Services. Student-athletes are also encouraged to direct unregistered agents/representatives to the
Office of Compliance Services immediately. This is a necessary step in protecting the well-being
and interests of the student-athlete, athletics program, and the individual will be required to register
with the Office of Compliance Services.
Student-athletes are encouraged to share all information received regarding registered
agents/representatives with family members and friends who will participate in their decision-
making process.

UAlbany student-athletes will be held responsible for the actions of family and friends with regard
to registered agents/representatives. Further, UAlbany student-athletes are responsible for reporting any and all benefits/expenses paid or offered by third party individuals to the student-
athlete, family members, or friends.

UAlbany student-athletes may not enter into a verbal or written agreement with an agent for future
representation until he/she has exhausted their eligibility at UAlbany. Entering into an oral or
written agreement with an individual for future representation will result in intercollegiate
ineligibility. Lastly, a student-athlete may not utilize a lawyer or advisor during proposed contract
negotiations, or allow these individuals to have any direct contact with a professional sports
organization on behalf of the student-athlete or the family.

Student-athletes are not permitted to miss class time or other educational commitments to
participate in the Athlete Agent Program.

Agent Sessions

Periodically, the Office of Compliance Services may conduct events in which registered agents
will have the opportunity to meet UAlbany student-athletes. Registered agents/representatives will
receive invitations to such events as they are scheduled.
Complaints, Consequences and Actions

The Office of Compliance Services will record any complaints received about registered agents/representatives. Complaints will be based on information regarding actions or conduct of an agent/representative with respect to the solicitation of the student-athlete, teammates, family members and friends, or coaches in any manner that violates or contradicts the Agent Policy, the respective professional sports organization, NCAA rules or any applicable state or federal law. Any breach of federal and/or state agent law(s) will be investigated and forwarded to the appropriate officials.

Consequences for any such violation or breach may include, but are not limited to, the following:

- A formal complaint will be filed with NCAA and the applicable players associations with which the agent is registered;
- The State of New York will be notified if the agent is not registered;
- Suspension or revocation of the agent’s/representative’s registration with the Agent Program; and
- Publication of complaint to the UAlbany athletics staff, coaches and UAlbany student-athletes.

STUDENT-ATHLETE REQUESTS FOR PERSONAL APPEARANCE/USE OF STUDENT-ATHLETE IMAGES

PROMOTIONAL ACTIVITIES WAIVER

At the beginning of each academic year, all student-athletes complete a Promotional Activities Waiver Form. By signing this release, the student-athlete agrees to allow the institution to use their name, likeness, image (including photograph(s)) in publications or video productions that are produced by the institution or any of its agents, executors, administrators, employees, and all its persons, firms, corporations, associations or partnerships.

These publications and/or video productions include, but are not limited to:

- Photographs;
- Media guides;
- Posters, brochures, schedule cards, game programs;
- Tickets;
- Internet sites;
- Highlight tapes; and
- Any other permissible promotional activity as defined by NCAA Bylaw 12.5.

Further, by signing the acknowledgment and release, the student-athlete agrees to allow the institution, or any of its agents, executors, administrators, employees, and all its persons, firms, corporations, associations or partnerships to the full extent allowed by NCAA Bylaws, to use their name, image, likeness, and photograph for the purpose of promoting and participating in promotional activities and functions that are sponsored, conducted and/or contributed to by the
institution. These promotional activities include, but are not limited to, booster club functions, media day activities, ticket sales, autograph signings, fundraising events and permissible donations to outside organizations pursuant to NCAA Bylaws.

PROMOTIONAL ACTIVITIES REQUESTS

All requests for student-athletes to appear in the community and for a student-athlete’s name or picture to be used in any capacity (other than by the Department of Athletics) must be reviewed by the Office of Compliance Services. The sponsoring agency and athletics staff member assisting with the coordination of the activity must complete the Promotional Activities Form located on the Office of Compliance Services website. The promotional activity will be reviewed and either approved or denied by the Associate Athletic Director for Compliance, in adherence to NCAA Bylaws.

CONTINUATION OF MODELING AND OTHER NONATHLETICALLY RELATED ACTIVITIES AFTER ENROLLMENT

Per NCAA Bylaw 12.5.1.3, if an individual accepts remuneration for or permits the use of his or her name or picture to advertise or promote the sale or use of a commercial product or service prior to enrollment in a member institution, continued remuneration for the use of the individual's name or picture (under the same or similar circumstances) after enrollment is permitted without jeopardizing his or her eligibility to participate in intercollegiate athletics only if all of the following conditions apply:

A. The individual's involvement in this type of activity was initiated prior to his or her enrollment in a member institution;
B. The individual became involved in such activities for reasons independent of athletics ability;
C. No reference is made in these activities to the individual's name or involvement in intercollegiate athletics;
D. The individual does not endorse the commercial product; and
E. The individual's remuneration under such circumstances is at a rate commensurate with the individual's skills and experience as a model or performer and is not based in any way upon the individual's athletics ability or reputation.

Student-athletes must complete the Continuation of Modeling/Other Nonathletic Promotional Activities Form in ARMS to verify they understand the rules surrounding this legislation.

EDUCATIONAL PRODUCTS RELATED TO SPORT-SKILL INSTRUCTION

Per NCAA Bylaw 12.5.1.5 Educational Products Related to Sport-Skill Instruction, it is permissible for a student-athlete's name or picture to appear in books, articles and other publications, films, videotapes, and other types of electronic reproduction related to sport-skill demonstration, analysis or instruction, provided all of the following conditions are met:

A. Such print and electronic media productions are for educational purposes;
There is no indication that the student-athlete expressly or implicitly endorses a commercial product or service;

C. The student-athlete does not receive, under any circumstances, any remuneration for such participation; however, the student-athlete may receive actual and necessary expenses related to his or her participation; and

D. The student-athlete has signed a release statement ensuring that the student-athlete’s name or image is used in a manner consistent with the requirements of this section and has filed a copy of the statement with the student-athlete’s member institution.

Prior to publication, the student-athlete must seek approval from the Office of Compliance Services. The student-athlete must submit the Student-Athlete Instructional Products Approval Form in ARMS and upload a copy of the statement which will appear in the book/article or other publication. The Associate Athletic Director for Compliance will review the request to ensure adherence with NCAA Bylaw 12.5.1.5.

**EMployment – Student-Athletes**

NCAA regulations allow student-athletes to hold on- or off-campus employment. Earnings from such employment is exempt and is not counted in determining the student-athlete’s cost of attendance or financial aid limitations provided:

1. The student-athlete’s compensation does not include any remuneration for value or utility that the student-athlete may have for the employer because of publicity, reputation, fame, or personal following that he/she has obtained because of athletic ability;
2. The student-athlete is compensated only for work that is actually performed; and
3. The student-athlete is compensated at a rate commensurate with the going rate in that locality for similar services.

**Procedure**

Student-athletes are notified both at the beginning of year compliance meetings and at the end of year compliance meetings that they must complete the appropriate employment form. These include: Student-Athlete Regular Employment Form, Student-Athlete Self Employment Form, Student-Athlete Camp/Clinic and Fee-for-Lesson Form and Academic Year Employment Form.

1. The respective form is submitted to the Office of Compliance Services through ARMS Software.
2. Upon receipt of the form, the Office of Compliance Services will review the form to ensure that all necessary information has been completed.
3. Once all information has been verified, confirmation of the approval is given to the student-athlete through an automated email.
4. Follow up spot checks may be done with the employer to ensure that the correct wage amount has been included on the form and to verify dates and status of employment.
CAMP/CLINIC EMPLOYMENT OF STUDENT-ATHLETES

A student-athlete may be employed in any sports camp or clinic, provided compensation is provided pursuant to the criteria of Bylaw 12.4.1. A student-athlete who only lectures or demonstrates at a camp/clinic may not receive compensation for his or her appearance at the camp/clinic. A student-athlete with remaining eligibility is not permitted to conduct his or her own camp or clinic.

FEE-FOR-LESSON INSTRUCTION

A student-athlete who is receiving compensation for teaching or coaching skills in his/her sport is permitted to do so provided the Student-Athlete Camp/Clinic and Fee-for-Lesson Form is completed and approved prior to the student-athlete giving the lessons for which he/she will be paid. The form contains questions addressing lesson requestor, lesson recipient, anticipated number of lessons, location, rate of pay, going rate of pay and relationship to fee payer.

MALE PRACTICE PLAYERS

A male student may engage in practice sessions with women's teams subject to the following conditions:

A. A male student who practices with an institution's women's team must be verified as eligible for practice in accordance with Bylaw 14.2.1 and must have eligibility remaining under the five-year rule (see Bylaw 12.8.1);
B. It is not permissible for an institution to provide a male student financial assistance (room and board, tuition and fees, and books) in return for practicing with a women's team. A male student who is receiving financial aid or any compensation for serving in any position in the athletics department may not practice with a women's team. A male student-athlete who is a counter in a men's sport may not engage in practice sessions with an institution's women's team in any sport;
C. It is not permissible for an institution to provide a male student room and board to remain on campus during a vacation period to participate in practice sessions with a women's team;
D. It is not permissible for a recruited male student-athlete who is serving an academic year of residence as a nonqualifier to participate in practice sessions with a women's team. A nonrecruited male student who is serving an academic year of residence as a nonqualifier may participate in practice sessions with a women's team;
E. It is permissible for an institution to provide practice apparel to a male student for the purpose of practicing with a women's team; and
F. A male student who practices with an institution’s women’s basketball team may participate in required summer athletic activities, provided he was enrolled full time at the conclusion of the regular academic term (e.g., spring semester or quarter) immediately preceding the institution’s summer term.

Male practice players may only participate 2 days per week. Practice hours for male practice players must be logged in ARMS Software.
Procedure

1. Coach must notify the Office of Compliance Services regarding a potential male practice player.
2. The individual will be required to complete the Male Practice Player Certification Form in ARMS, which is approved by the Head Coach or designee, Sports Medicine, Compliance, and Academic Services.
3. The individual must complete the Pre-Participation Medical Questionnaire, Primary Insurance Form and Sickle Cell Trait Testing Information Form in ARMS. In addition, the male practice player must be medically cleared by the sport-specific athletic trainer.

PARTICIPATION RECORDS

Participation records are kept on the Season of Eligibility Confirmation Form by which each Head Coach details the following:

A. Did the student-athlete participate this season;
B. Total years of eligibility used;
C. Is the student-athlete returning/graduating; and
D. Any other relevant comments (e.g.; pending medical hardship waiver).

The form is signed by the Head Coach and Assistant Athletic Director for Compliance.

Procedure

1. The Assistant Athletic Director for Compliance will provide each Head Coach the Season of Eligibility Confirmation Form annually.
2. Upon receipt of the completed form from each Head Coach, the Assistant Athletic Director for Compliance will:
   a. Review the form to ensure all student-athletes who are listed as having participated in a competition were eligible for competition at the time of the competition.
   b. Verify the seasons of eligibility used with statistics provided by Media Relations.
   c. Ensure all student-athletes competed in no more than the maximum number of contests/dates of competition in which they can participate in during a particular academic year.
   d. Ensure each team participated in no more than the maximum number of contests/dates of competition in which the team may participate in a particular playing segment.
   e. Ensure each sport is in compliance with Bylaw 20 regulations.
   f. Input the participation information into Compliance Assistant.
SECTION 8 PROCEDURES RELATED TO REGULATIONS GOVERNED BY BYLAW 13: RECRUITING

All recruiting activities shall conform to NCAA rules and regulations. Each staff member involved in the recruitment of prospective student-athletes shall possess a sound working knowledge of all applicable policies and regulations. Due to the complexity of recruiting legislation set forth by the NCAA, and the varied nature of rules between sports, questions will undoubtedly arise. It is imperative that questions related to recruiting be addressed with the Office of Compliance Services. Failure to comply with recruiting rules will result in violations; but many times can also result in a prospective student-athlete being declared ineligible pending reinstatement by the NCAA.

NCAA COACHES CERTIFICATION EXAM

NCAA regulations require that all coaches who engage in off-campus recruitment activities achieve a passing score on the NCAA Coaches Certification Examination on an annual basis. The exam will be proctored by the Office of Compliance Services and administered during the summer, prior to July 31 annually. The Office of Compliance Services requires both paid and volunteer coaches and directors of operations (even though they are not permitted to recruit off-campus) to successfully pass the exam annually. Dates and times for exams will be provided to athletics staff to sign up on a first-come, first-serve basis and will take place in a controlled environment (e.g., computer lab). The exam will be administered to new hires as soon as possible upon employment. If certification is current from another Division I institution, the Office of Compliance Services will verify certification with the coach’s previous employer.

DOCUMENTATION OF RECRUITING

NCAA regulations place specific limitations on many recruiting activities. Therefore, each coach will be required to complete appropriate documentation provided by the Office of Compliance Services in a detailed, timely manner through ARMS Software. In addition to the forms required by compliance, coaches should maintain any other relevant files and information in the recruit’s ARMS profile.

Documentation of the various recruiting activities (as specified) below, must be submitted by the 15th of the subsequent month (i.e., April activities are to be logged by May 15). In the event a coach is delinquent, the following steps are taken:

1. One week late: email to coaching staff and Sport Supervisor.
2. Two weeks late: email to coaching staff, Sport Supervisor and Director of Athletics.
3. Four weeks late: reductions in recruiting activities (e.g., official visits, recruiting-person days).

For recording recruiting activities (i.e. contacts, evaluations, official visits, unofficial visits, phone calls) coaches must create an ARMS profile for each prospective student-athlete. The minimum information required to create an ARMS profile is the prospective student-athlete’s full name and high school graduation year. Once created, all activities must be recorded on a
monthly basis. Recruiting activity logs are reviewed on the 15th of the subsequent month. If something seems out of the ordinary or on a random basis, the logs may be cross checked with Athletic Business Office records.

Coaches should continue to record all recruiting activities with National Letter of Intent signees, as these individuals are still prospects until they begin practice or start attending classes at UAlbany.

Every telephone call received by an individual (or his or her family members) prior to the first permissible date in a coach’s sport to make an outgoing call to that individual (or his or her family members) must be logged in ARMS. If a coach’s sport has unlimited telephone calls, once the first permissible date to make an outgoing telephone call arises for that individual, the first telephone call must be logged in ARMS. All subsequent calls do not need to be logged.

All assistant and head coaches are required to submit monthly phone logs to the Office of Compliance Services using ARMS. Coaches can document calls either through the ARMS mobile app or through a computer. The ARMS app can be downloaded in the App Store or Google Play Store for free.

Phone logs are reviewed on the 15th of the subsequent month. If something seems out of the ordinary or on a random basis, the logs may be cross checked with the coach’s office phone records or cell phone records.

All coaching staff members are required to sign an Electronic Communications Affirmation Form through ARMS annually. This certifies the coaching staff member understands the NCAA rules related to texting, social media, emails and other forms of electronic correspondence in their sport.

**PERMISSION TO CONTACT FOUR-YEAR COLLEGE TRANSFER STUDENT-ATHLETES – EFFECTIVE UNTIL OCTOBER 14, 2018**

If the prospective student-athlete has attended a 4-year institution (currently enrolled or enrolled within the last year), coaches must receive permission from the student’s current or former institution to speak with him/her. Coaches must contact the Office of Compliance Services to initiate the process or immediately provide any permission to contact documents that have been received to the compliance staff.

Students enrolled at a 2-year institution who were not qualifiers out of high school may not be contacted during their first year at the 2-year institution.

Coaches contacted by a student-athlete at another 4-year institution must indicate to him/her that under NCAA rules it is not permissible to speak with him/her until the Office of Compliance Services receives permission to contact from his/her current/previous school.
When recruiting prospective student-athletes who are interested in transferring to UAlbany, the following procedures will be followed in certifying eligibility for participation:

1. Consult with the compliance staff concerning written permission to contact and transfer assessment.
2. Compliance staff will send a Transfer Tracer and/or Permission to Contact to prospect’s current and former institution(s).
3. If permission is not granted, all UAlbany athletics staff members must discourage the transfer. Should the student-athlete transfer to UAlbany anyway, he/she is subject to the transfer residence requirement.
4. The transfer residence requirement mandates that a student-athlete can receive no athletic aid, cannot travel with the team, nor compete for one full academic year.
5. Coaches must follow the Admissions Review process in addition to the above process.

TWO YEAR COLLEGE PROSPECTIVE STUDENT-ATHLETES

Students enrolled at a 2-year institution who were not qualifiers out of high school may not be contacted during their first year at the 2-year institution.

FOUR-YEAR COLLEGE PROSPECTIVE STUDENT-ATHLETES – EFFECTIVE OCTOBER 15, 2018

An athletics staff member or other representative of the institution's athletics interests shall not make contact with the student-athlete of another NCAA or NAIA four-year collegiate institution, directly or indirectly, without first obtaining authorization through the notification of transfer process.

Coaches contacted by a prospective student-athlete at another 4-year institution must verify the prospective student-athlete’s information has been entered in to the notification of transfer database prior to engaging in any conversations.

A violation as it relates to contact with a four-year college prospective student-athlete may constitute a Level II Violation (Significant Breach of Conduct).

When recruiting prospective student-athletes who are interested in transferring to UAlbany, the following procedures will be followed in certifying eligibility for participation:

1. Consult the notification of transfer database to verify a prospective student-athlete’s information is authorized in the system.
2. Notify the compliance staff concerning written transfer assessment.
3. Compliance staff will send a Transfer Tracer to the prospect’s current and former institution(s).
4. Coaches must follow the Admissions Review process in addition to the above process.
RECRUITING RELATED CASH ADVANCES

All recruiting-related cash advances for student-athlete host money must be reviewed and approved by the Office of Compliance Services within 24 hours of receiving them prior to review and processing by the Business Office. When such an advance request is received, the Assistant Athletic Director for Compliance will contact the Assistant Athletic Director for Business to obtain the cash advance.

All other recruiting related cash advance requests are made to the Business Office and must be reviewed and acted on within 24 hours of receiving them – unless there is a legitimate reason to delay review (e.g., the sport has been “shut down” for not being current with other paperwork, etc.).

RECRUITING RELATED EXPENSE REPORTS

All recruiting related expense reports are reviewed by the Business Office on a monthly basis. All expense reports are to be turned in within 72 hours of the expense or return from the trip and may be reviewed with recruiting activity logged in ARMS Software.

OFFICIAL VISITS

Due to their very nature, official visits command an increased level of scrutiny and expectation from the NCAA and UAlbany’s Office of Compliance Services. Coaches should be reminded that in addition to complying with all NCAA rules, official visits and their related components must adhere to all institutional policies. Please remember that the university may impose more stringent standards and policies than the NCAA with respect to official visits.

Coaches must submit an Official Visit Request Form through ARMS before a prospect can take part in an official visit. The following information must be included:

1. Up-to-date transcript, with senior year if applicable.
2. Test scores from PSAT, SAT, ACT or TOEFL on official testing document or HS transcript.
3. The prospective student-athlete must be registered with the NCAA Eligibility Center and placed on the respective team’s IRL for the corresponding recruiting year before being able to arrive on campus for an official visit.
4. An itinerary for all activities on the visit.
5. The Office of Compliance Services must receive a copy of the permission to contact from the previous institution if the prospect is a four-year college transfer. – EFFECTIVE UNTIL OCTOBER 14, 2018
6. If a four-year college transfer, the Office of Compliance Services must verify the prospect is entered in the notification of transfer database. – EFFECTIVE OCTOBER 15, 2018
7. Transfers need to have an up-to-date transcript(s) from their respective institution(s).
Please note that all student-athletes serving as hosts must register prospects as their guests in their on-campus housing.

Upon the completion of the official visit, coaches are required to complete the Post-Visit Summary. The following documents must be uploaded into the Post-Visit Summary in ARMS:

1. Student Host Instructions and Money Form;
2. Student Host Activity Log; and
3. Copies of all receipts.

UNOFFICIAL VISITS

All unofficial visits, regardless of duration, must be documented on the Unofficial Visit Record Form in ARMS no later than the 15th of the subsequent month in which the unofficial visit occurred.

STUDENT HOSTS

Every student-athlete who hosts a prospective student-athlete during an official visit must sign a Student Host Instructions Form. The form outlines appropriate conduct and applicable University, Conference Affiliate and NCAA rules. The Student Host Instructions Form must be signed in conjunction with each official visit. Thus, a student-athlete who hosts multiple prospects at the same time shall sign one Student Host Instructions Form for all prospects he/she is hosting at that time. And, a student-athlete who hosts prospects on multiple occasions shall sign one Student Host Instructions Form on each occasion of hosting a prospect or prospects.

The Student Host Instructions Form is administered by a coach or other sport specific staff member to the student host. The form must be signed upon receipt of the student host money from the Assistant Athletic Director for Compliance and completed following the visit to indicate how the host money was spent. Upon completion of the form, the form should be submitted within the Post-Visit Summary of the Official Visit Request Form in ARMS.

COMPLIMENTARY ADMISSIONS

Prospective Student-Athletes

Complimentary admission for prospects to any home contest must be requested in ARMS through the submission of the PSA Official Visit Complimentary Admissions Form or the PSA Unofficial Visit Complimentary Admissions Form to the Athletic Ticket Office for approval, in consultation with the Office of Compliance Services. If a sport program has 11 or more prospects attending a single home contest, a spreadsheet can be submitted by email to the Office of Compliance Services and Athletic Ticket Office for review and processing. All requests must be submitted within 24 hours of game time.
• Official Visit
  ○ A maximum of six (6) complimentary admissions for a prospective student-athlete (and those accompanying the prospect).

• Unofficial Visit
  ○ A maximum of three (3) complimentary admissions for a prospective student-athlete (and those accompanying the prospect).
  ○ If a prospective student-athlete is a member of a nontraditional family (e.g., divorce, separation), the institution may provide up to two (2) additional complimentary admissions to the prospective student-athlete in order to accommodate the parents accompanying the prospective student-athlete (e.g., stepparents) to attend a home athletics event.

In all cases, admission will be issued through the use of a pass list and will require presentation of photo identification. No hard tickets will be issued prior to any athletic event for complimentary admissions. At no time will a prospective student-athlete receive complimentary admissions to an away competition, conference or NCAA championship event.

High School/Prep/Two-Year College Coaches

Coaches or anyone else responsible for teaching or directing any activity in which a prospective student-athlete is involved must be requested by UAlbany coaching staff members by submitting the HS/Prep/2-Year College Coach Complimentary Admissions Form through ARMS. All requests must be submitted within 24 hours of game time.

A maximum of two (2) complimentary admissions to a home athletics event will be issued through the use of a pass list and will require presentation of photo identification. No hard tickets will be issued prior to any athletic event for complimentary admissions. At no time will a high school/prep/two-year college coach receive complimentary admissions to an away competition, conference or NCAA championship event.

BASKETBALL ON-CAMPUS EVALUATIONS

Basketball may conduct an on-campus evaluation during an official or unofficial visit. The Basketball On-Campus Evaluation packet must be completed in its entirety 72 hours prior to a prospective student-athlete participating in an on-campus evaluation. The eligibility of the prospect to engage in such an activity must be approved by the Office of Compliance Services, and the receipt of all medical documentation must be confirmed by the sport-specific athletic trainer.

RECRUITING/SCOUTING SERVICES

The Office of Compliance Services requires a Recruiting/Scouting Service Request Form to be completed in ARMS prior to the purchasing of any service in the sports of football and basketball to ensure adherence to Bylaw 13.14.3. This request is approved by the Office of Compliance Services and the Athletic Business Office. A valid invoice must be uploaded to the
request form.

SUMMER WORKOUTS - INCOMING STUDENT-ATHLETES

Any student-athlete who has not begun his or her regular full-time enrollment at UAlbany may work out in the athletics department’s facilities during the summer prior to their enrollment if they have signed a National Letter of Intent, or, for transfers, a financial aid agreement; or are enrolled in and attending summer school (whether financed by the institution, self-financed, or a combination of both). Such workouts are governed by either summer athletic activity or by the voluntary athletic activity NCAA legislation.

LOCAL SPORTS CLUBS

All local sports club employment must be documented with the Office of Compliance Services annually prior to working with any local sports club. The Local Sports Club Employment Form in ARMS must be completed by the club director and UAlbany staff member who will be working with the local sports club, in adherence with Local Sports Clubs legislation in Bylaw 13. This form is approved by the Sport Supervisor and the Office of Compliance Services.

The following information must be uploaded into the Local Sports Club Employment Form in ARMS:

1. Roster Declaration Form;
2. Staff Declaration Form;
3. Training Schedule;
4. Competition Schedule;
5. Articles of Incorporation, Club Policies, Membership Criteria;
6. Uniform Facility Agreement (if using UAlbany facilities); and

CAMPS AND CLINICS

The coaching staff at the University at Albany conducts camps and clinics in a wide variety of sports. These clinics are beneficial to the community at large; allowing coaches and staff the opportunity to share their knowledge and expertise in their respective sport. In all cases, the University at Albany Department of Athletics is committed to ensure that its clinics are open to the public and in compliance with all NCAA and University rules. The University at Albany recommends a 1 to 10 ratio of counselors to participants for all camps and clinics held on campus. Please note that all camps and clinics conducted by University at Albany coaches must be approved per guidelines established by the University at Albany and the Department of Athletics.

Per NCAA Bylaw 13.12.1.1, an institution's sports camp or instructional clinic shall be any camp or clinic that is owned or operated by a member institution or an employee of the member institution's athletics department, either on or off its campus, and in which prospective student-athletes participate.
Coaches are responsible for reviewing all regulations in Bylaw 13.12 of the NCAA Division I Manual.

Institutional Camps and Clinics Policy

1. Facility Availability

Camp Directors should submit their camp/clinic requests to the Assistant Athletic Director for Facilities or Designee, through the Institutional Camps and Clinics Request Form in ARMS.

Conditional approval will be granted based on availability. It is the Camp Director's responsibility to obtain the necessary approvals as outlined in this document.

2. Paperwork

The University recognizes all summer camps as external facility rentals. Therefore, a revocable permit must be obtained and the application can be found at the following link: http://www.albany.edu/controller/revocable_permits.php. The permit application, certificate of insurance and $50 application fee must be submitted in a single packet addressed to the University Controller's office at least 30 days in advance. Please allow two weeks for approval. The Controller's Office will contact the Camp Director (and copy the Assistant Athletic Director for Facilities or Designee,) via email when the permit is approved or if additional information is required.

Complete the camp and clinic reservation request form electronically to the Compliance and Facilities personnel. Camp Directors will be notified via email when their request has been approved. The event(s) will not be considered confirmed until the revocable permit has been approved AND you have received written approval from the Compliance and Facilities offices.

3. Insurance

The insurance requirements are outlined on the permit application. Camp Directors may choose to purchase an individual insurance policy or a group insurance policy with other University at Albany Camp Directors who also plan to host summer camps. Camp Directors are encouraged to obtain a policy that will cover their organization for the entire year (or at least the summer) and not just the specific camp dates. If a camp is hosted on a date not covered by your policy, Camp Directors will be held personally liable for any damages and/or injuries that may occur.

4. University Affiliation and Promotional Items

Camp Directors are not permitted to advertise or promote summer camps until they have received an approved revocable permit and confirmation from the Assistant Athletic Director for Facilities or Designee.
Camps are not affiliated with the University at Albany, they are simply hosted on University property. Camp Directors are not permitted to make any statements in advertisements that associate their camp with the University. For example, it can be John Doe's Luge Camp at the University at Albany, but cannot be the University at Albany Luge Camp. University at Albany logos are not permitted on any promotional materials. Camp Directors are not permitted to use University materials (paper, envelopes, mail services, etc.) in conjunction with camps. All communication regarding camps must be via personal phone, fax, email and/or website.

The University at Albany is not permitted to promote camps on its website, or any affiliated website, however it is permissible to provide a link from the University's website to the camp website, if applicable.

University employees, particularly those in media relations/web development, are prohibited from designing any promotional materials for camps.

A brochure may not exceed 17” x 22” in size when opened in full.

A picture of a University at Albany student-athlete with remaining eligibility may appear in the brochure only if the student-athlete will be employed at the clinic. Such pictures may appear only in a specifically designated camp counselor section of the brochure. Please keep in mind the previously stated policy regarding University affiliation and use of logos.

All camp brochures and promotional materials must be reviewed and approved by the Office of Compliance Services and the Facilities Office before they are distributed.

5. **Residential Camps**

Contact the Department of Residential Life to inquire about availability and pricing information for overnight camps. Additional insurance may be required by the University Controller's office for overnight camps.

6. **Meal Services**

Contact University Auxiliary Services (UAS) to inquire about food service availability and pricing for campers. Please note that Sodexo has exclusivity on campus and has the first-right of refusal for food services. The appropriate approvals must be obtained prior to using an off-campus food service provider.

7. **Facility Set Up**

Submit any facility set up requests to the Assistant Athletic Director for Facilities or Designee at least two weeks prior to the start of your camp. It is the responsibility of the Camp Director to coordinate field set up (e.g., lines, goals, etc.) with the Grounds
Manager. Portable toilet requests may be made via the Facilities Office but the cost of the units will be at the Camp Director's expense.

8. Rental Fees

ALL camps will be charged rental fees, based on facility usage and hours of operation. Camp Directors will receive an invoice within two weeks of the conclusion of camp. Full payment is required 30 days thereafter.

9. Parking

The Facilities Office will review the designated parking areas with each Camp Director. A parking fee will be applied to all weekday camps hosted between the hours of 7am-6pm.

10. Campus Fountains

The podium fountain and main entry fountains are not water recreation areas. They were not constructed to be safe for use as a pool. Please ensure campers do not enter the water.

11. Athletic Trainers

Camp Directors may employ certified athletic trainers to support summer camp events. For liability purposes, University employed athletic trainers who are not hired by the Camp Director are prohibited from providing any medical assistance during the camp.

12. Time Accruals

Since camps are considered to be private business ventures, University employees who are also employed by the camp must charge the appropriate vacation time through the campus' online leave reporting system. Supervisors are responsible for reviewing online submittals for accuracy. For verification purposes, Camp Directors are responsible for submitting a list of camp employees to the Assistant Athletic Director for Compliance and the Assistant Athletic Director for Facilities at least one week prior to the start of each camp session.

Institutional Camps and Clinics Procedure

1. Camp/Clinic Approval

Before a camp/clinic can be conducted, all required forms must be submitted through ARMS 60 days before the expected start date of the clinic. Summer camps/clinics must be submitted by February 1 for the upcoming summer. All forms, along with a camp brochure, must be submitted first to the Office of Compliance Services and the Facilities Office for review and approval.
A *Camp/Clinic Procedures Checklist* has been developed to assist coaches in following the required steps for gaining approval and to assist coaches in the successful operation of the camp/clinic. In addition to receiving a hard copy of both the policy and procedures and checklist, the following forms are submitted through ARMS:

### 2. Pre Camp/Clinic

**a. Camp/Clinic Information and Facilities Request Form (Form 1)**

This form must be submitted to the Office of Compliance Services and Facilities Office for review at least 60 days before the camp/clinic begins. *Summer camps/clinics must be submitted by February 1 for the upcoming summer.* Multiple camps/clinics shall not be submitted on one request form. If a camp/clinic is multiple days, it can be submitted on one request form. This form provides important information about the camp/clinic that will aid in verifying that the camp/clinic will be conducted in accordance with the applicable NCAA rules and regulations. This will also aid our athletic facilities staff in the review of the request for location, dates and times. Additionally, any brochures and marketing materials will be uploaded to the approval form in ARMS. No promotion or advertising of the camp/clinic can take place until the camp/clinic has been approved by both the Office of Compliance Services and the Facilities Office.

**b. Individual Associated with a Recruited Prospect Form (IAWRP) [Women’s Basketball and Men’s Basketball ONLY] (Form 1a)**

In Women’s Basketball and Men’s Basketball, an institution or staff member shall not employ (either on a volunteer or paid basis) an individual associated with a recruited student-athlete at the institution's camp or clinic. The prohibition on camp employment applies only to an individual associated with a prospect (IAWP) who is tied to a recruited prospect IAWRP). Therefore, it is permissible to hire an IAWP to work camp if that IAWP is not tied to a prospect that UAlbany is or has recruited based on definition of a "Recruited Prospective Student-Athlete." (Bylaw 15.02.9) The coach must provide all completed IAWRP Forms to the Office of Compliance Services prior to the camp/clinic commencing.

### 3. Post Camp/Clinic

All of the forms indicated below are to be uploaded in to the Camp/Clinic Information and Facilities Request Form, within the Post Camp/Clinic Summary section. The templates are located on the Office of Compliance Services website at [http://www.ualbanysports.com/ViewArticle.dbml?DB_OEM_ID=15800&ATCLID=1285685](http://www.ualbanysports.com/ViewArticle.dbml?DB_OEM_ID=15800&ATCLID=1285685).
4. **Camp/Clinic Employee List (Form 2)**

   The coach must provide all of the requested information on the form for every individual (including UAlbany Athletics staff, student-athletes and other individuals) who worked the camp/clinic.

5. **Camp/Clinic Participant List (Form 3)**

   The coach must provide all of the requested information on the form for every individual who participated in the camp/clinic.

6. **Camp/Clinic Financial Report (Form 4)**

   The coach must provide all of the requested information the form as it pertains to expenses and revenues.

**Institutional Camps and Clinics Checklist**

Please make sure that you have reviewed the *Institutional and Noninstitutional Camps and Clinics Policy and Procedures* packet prior to requesting approval to conduct sport camps/clinics.

**At Least 60 Days Before Clinic**

___Complete and submit *Camp/Clinic Information and Facilities Request Form* to the Office of Compliance Services and the Facilities Office through ARMS  
___Attach sample brochure/flyer and provide website link, if applicable  
___Attach *Campus Tour Approval*, if applicable (template on UAlbany Office of Compliance Services website)  
___Attach anticipated schedule of camp/clinic activities  
___Confirm facility availability  
___Confirm sports medicine staffing

**Upon Approval**

___Obtain and provide revocable permit and signed off estimate of costs to the Assistant Athletic Director for Facilities or Designee  
___Secure meals through Sodexo, if applicable  
___Purchase necessary apparel and equipment for clinic  
___Basketball submit *IAWRP Camp Employment* form via hard copy prior to the hiring of those individuals
After Clinic – Within 1 Week

___Complete and submit *Post Camp/Clinic Summary* within the *Camp/Clinic Information and Facilities Request Form* to the Office of Compliance Services through ARMS
___Attach completed *Camp/Clinic Employee List* (template on UAlbany Office of Compliance Services website)
___Attach completed *Camp/Clinic Participant List* (template on UAlbany Office of Compliance Services website)
___Attach completed *Camp/Clinic Financial Report* (template on UAlbany Office of Compliance Services website)
___Maintain accurate record of any income received. This will need to be reported on the annual *Athletically Related Outside Income Report Form*.

Noninstitutional Camps and Clinics Policy

Employment of any University at Albany Department of Athletics personnel at a non-institutional camp/clinic shall conform the rules set forth in NCAA Bylaw 13.12.

Noninstitutional Camps and Clinics Procedure

1. **Camp/Clinic Approval**

   Before employment at a non-institutional camp/clinic may commence, a *Noninstitutional Camps/Clinics Form* must be submitted through ARMS 14 days before the expected start date of the camp/clinic and prior to being hired.

   *A Camp/Clinic Procedures Checklist* has been developed to assist coaches in following the required steps for gaining approval and to assist coaches in the successful operation of the camp/clinic.

Noninstitutional Camps and Clinics Checklist

Please make sure that you have reviewed the *Institutional and Noninstitutional Camps and Clinics Policy and Procedures* packet prior to requesting approval to conduct sport camps/clinics.

At Least 14 Days Before Clinic

___Complete and submit *Noninstitutional Camps/Clinics Form* to the Office of Compliance Services through ARMS

After Clinic

___Maintain accurate record of any income received. This will need to be reported on the annual *Athletically Related Outside Income Report Form*. 
SPEAKING ENGAGEMENTS

To ensure adherence to NCAA Bylaw 13.1.8, all coaching staff members must complete the Speaking Engagement Permission Form in ARMS prior to any involvement. The form requests the following information:

A. Name of coach seeking permission;
B. Name of event;
C. Location of event;
D. Date of event;
E. Contact person name at high school/event;
F. Email address of contact person;
G. Phone number of contact person; and
H. Purpose of event/meeting.

The form is reviewed by the Office of Compliance Services and the Media Relations Contact for the requesting sport.

DONATION REQUESTS

The University at Albany Department of Athletics is pleased to be able to assist charitable events or fundraisers for several worthy causes. Per NCAA rules, it is impermissible for the Department of Athletics to provide donations to a high school or any organization that benefits prospective student-athletes (grades 9-12) through raising money for a high-school's or organization's athletics or other programs. In addition, an institution may not donate to any organization for the purpose of raising funds to provide financial assistance to high-school students to attend the collegiate institutions of their choice. Our standard donation is tickets.

Processing a Request

Considerations for donations include: type of event, non-profit status, past donations and beneficiary. Approved organizations will receive one of their desired choices. Organizations requesting tickets are eligible for up to four (4) home regular season tickets to a mutually agreed upon game. Game selection will be at the discretion of UAlbany Athletics based on availability. Ticket donations need to be redeemed 1 week prior to game time as certificates will not be accepted on game day. All donations must be redeemed within the calendar year they were awarded. This request process may take up to 30 days. Please note that we are unable to assist any fundraisers or events which benefit middle/high schools or middle/high school students or will help set up college scholarships/funds, per NCAA regulations. Flyers/brochures for the event must be emailed to: Ticket Manager, University at Albany Department of Athletics, GreatDaneTickets@albany.edu or mail to ATTN: Ticket Manager, University at Albany Department of Athletics, SEFCU Arena, 1400 Washington Avenue, Albany, NY 12222

Personal Requests

The University at Albany Department of Athletics, its athletic director, coaches and student-
athletes receive numerous autograph requests each year. We regret that we are unable to fill each request. In order to remain compliant with NCAA rules, requests cannot be accepted by UAlbany Boosters, Marketing, Great Dane Athletic Club, Media Relations, Ticket Office, individual sport offices or any other department entity. We cannot accept items for signature, and items will be returned unsigned if sent to departments or individual sport offices. We appreciate your adherence to this policy as it is crucial to the continued success of our coaches and student-athletes.

**Requesting Autographs of Current Student-Athletes**

Autograph sessions may be coordinated by the UAlbany Athletics Ticket Office. We cannot accept items for signature, and items will be returned unsigned if sent to departments or individual sport offices.

If seeking tickets or an item for a silent auction, raffle, or other fundraiser or benefit event, please go to [http://www.ualbanysports.com/quest/Questionaire.dbml?&QID=389221&DB_OEM_ID=15800](http://www.ualbanysports.com/quest/Questionaire.dbml?&QID=389221&DB_OEM_ID=15800).

**SECTION 9 PROCEDURES RELATED TO REGULATIONS GOVERNED BY BYLAW 14: ELIGIBILITY**

**ADMISSIONS REVIEW/INTERNATIONAL ADMISSIONS REVIEW PROCESS**

The Office of Compliance Services in conjunction with undergraduate and graduate admissions collaborate on the admissibility of prospective student-athletes.

University at Albany’s school code for:
- FAFSA: 002835
- SAT: 2532
- ACT: 2926
- TOEFL: 2532

NCAA Eligibility Center’s school code for SAT and ACT:

9999

**Undergraduate Admissions**

1. Coaches must complete and submit the Admissions Review or International Admissions Review Form through ARMS.
   a. This should include all transcripts and test scores.
   b. The Assistant Athletic Director for Compliance will review the form for accuracy and approve once completed.
   c. Once approved by compliance, the review is then sent to the Admissions Office for final review.
d. Once a review is completed and returned then, and only then, can a National Letter of Intent or Financial Aid agreement be generated for a prospective student-athlete.

Graduate Admissions

1. Prospective student-athletes must apply directly to the program they are interested in.
2. The Assistant Athletic Director for Compliance can consult with the Director of Graduate Admissions to discuss an unofficial and informal assessment of the likelihood a prospective student-athlete would be accepted in to a specific graduate program.

INITIAL ELIGIBILITY

1. All incoming freshmen must be registered with the NCAA Eligibility Center and achieve approval for both academic and amateurism status prior to competition. All prospects must have an amateurism decision for all sports for which they intend to participate. Registration can be completed by visiting www.ncaaeligibilitycenter.org.
2. Coaches must encourage prospective student-athletes to register with the Eligibility Center at the beginning of their sophomore year of high school.
3. Coaches must communicate with the Office of Compliance Services regarding adding the prospect to the Institutional Request List (IRL). This allows the Office of Compliance Services to begin tracking their initial eligibility status.
4. Additionally, coaches must remind all prospective student-athletes to send official transcripts from all high schools they have attended and official test scores to the NCAA Eligibility Center.
5. The Office of Compliance Services will perform a complete analysis of the prospect’s compliance with the NCAA’s initial eligibility requirements. Then, the recruiting coach will be advised by compliance of the likelihood of the prospect achieving eligibility and admission to the University at Albany.
6. As the academic year progresses, the Office of Compliance Services will periodically notify each recruiting coach about the eligibility status of those whose names are on the sports’ prospective Institutional Request List (IRL). The coaches are then responsible for informing each prospect who is being actively recruited of his or her Eligibility Center status and of the need for any additional information to make the Eligibility Center process complete. The coaches must also notify the Office of Compliance Services that a prospect’s name should be removed from the IRL if and when the coach decides to no longer pursue recruitment.

INCOMING TRANSFER ASSESSMENT

In addition to submitting an Admissions Review Form in ARMS, the recruiting coach must submit a Transfer Eligibility Certification Form. This form is shared by the Office of Compliance Services and the Office of Academic Services to assist with the preliminary and final transfer eligibility assessment prior to enrollment at UAlbany. The form is located on the Office of Compliance Services website.
TRY-OUTS, WALK-ON CERTIFICATION AND ROSTER ADDITIONS

The University at Albany Department of Athletics extends the opportunity for all sport programs to offer walk-on tryouts at the beginning of the academic year annually. Tryouts for the rest of the year will be approved on a case-by-case basis. Below are the necessary steps for administering walk-on tryouts:

1. Coach must provide the Office of Compliance Services with the dates tryouts will be conducted and both the full names and UAlbany ID numbers of all individuals trying out.
2. All individuals trying out must complete the Walk-On Certification Form prior to participating in any tryout activities. The form can be found on the Office of Compliance Services webpage. The form must be signed by the student-athlete, Head Coach, sport-specific Athletic Trainer and the Office of Compliance Services.
3. A walk-on student-athlete must be registered full-time, unless, they meet an NCAA exception (i.e., final semester legislation).
4. A walk-on student-athlete must have completed a physical within the last 6 months, have proof of insurance, and complete the Sickle Cell Form.
5. All walk-on tryouts must be concluded by the last day to drop a semester length course without receiving a "W"/last day of late registration for the fall semester, which is a 14-day time period.
6. Should a student-athlete be added to the team, they must receive a physical, which is coordinated by the athletic training staff and complete all UAlbany, conference, and NCAA athletic participation forms in ARMS.
7. If necessary, the walk-on will need to register with the NCAA Eligibility Center and complete the eligibility certification process in order to be fully certified by the Office of Compliance Services.
8. The coach will submit a Roster Addition Form through ARMS for any individual added to the team. The form is approved by the sport-specific Athletic Trainer, Sport Supervisor, Senior Woman Administrator, Athletic Academic Advisor and the Associate Athletic Director for Compliance.

ROSTER DROP

If a student-athlete will no longer be on the roster, the Head Coach or Designee must submit a Roster Drop – Scholarship and Nonscholarship SA Form through ARMS. The form is signed off by the student-athlete (if they are on athletic aid), the Senior Woman Administrator, Sport Supervisor, Athletic Academic Advisor and the Compliance staff.

MONITORING FULL-TIME STATUS

Student-athletes are required to maintain full-time academic status during the academic year to be eligible to participate in any athletic related activities.

Minimum full-time status for undergraduate students per NCAA Bylaw is twelve (12) credits.
Effective in the fall of 2017, the University’s policy on the certification of full-time enrollment by graduate students (only) will be amended to require nine (9) credits minimum (rather than 12 credits), except for doctoral dissertation enrollees or graduate students engaged in program required full-time field work. The change does not impact current billing charges that are credit based until a threshold of twelve credits per term is reached. The change does not alter or supersede requirements established for study in full-time cohort programs (e.g., MBA, MSW, other professional degrees). The change will primarily impact graduate students who need to be certified as in full-time status, or need to be certified as at least half-time (4.5+ credits) for aid purposes.

International students’ full-time enrollment status is dictated by government regulations. International students can only take 1 online class to fulfill their full-time enrollment load whenever they must be enrolled full-time. For undergraduate students, that means 1 online class if taking 12 credits, 2 online classes if taking 15 credits, etc. For graduate students, that means 1 online class if taking 9 credits and 2 online classes if taking 12 credits. For the full policy, students should consult with the International Student and Scholar Services Office located in Science Library G-40.

A student-athlete must contact the Office of Academic Services and meet with their faculty advisor to obtain a letter before dropping below full-time. Once the Registrar receives the letter, the below full-time hold will be lifted from their account. The student-athlete must be withheld from participation in all athletic activity until full-time status is restored. The Office of Compliances Services will receive a copy of the letter and notify the Registrar to remove the “cannot drop below full-time hold”.

CERTIFICATION OF CONTINUING ELIGIBILITY

Certification of eligibility is a shared responsibility among the Office of Compliance Services, the Office of Academic Services, the Office of the Registrar and the Faculty Athletics Representative. Each student-athlete’s academic record is reviewed at the conclusion of each academic term to determine eligibility

Procedure

1. The Office of Academic Services will contact the Office of the Registrar and Office of Compliance Services to schedule eligibility certification dates at the conclusion of each semester.
2. Once grades have been posted, the Office of Academic Services will run DARS audits for all student-athletes and save the audits in to the PSREPORTS folder.
3. The Office of Academic Services will run one of the following PeopleSoft reports:
   a. UA_ATHL_ELIG_CERT_FALL; or
   b. UA_ATHL_ELIG_CERT_SPRING.
4. The certification of eligibility is reviewed in the following order:
   a. Office of the Registrar
   b. Office of Compliance Services
   c. Office of Academic Services
d. Faculty Athletics Representative (final signature)

5. The fully signed eligibility certification reports are saved in to the PSREPORTS folder and hard copies are kept in the Office of Compliance Services.

6. Eligibility report summaries are provided to the Head Coach and Sport Supervisor. An action plan is discussed and implemented to rectify the ineligibility of a student-athlete.

7. At the conclusion of summer school, any student-athletes that required eligibility certification in order to be eligible for the upcoming fall semester are reviewed by the Office of Academic Services and Office of Compliance Services. Those changes in eligibility are made as addendums to the spring eligibility report and provided to the Office of the Registrar.

REQUEST FOR PERMISSION TO CONTACT – EFFECTIVE UNTIL OCTOBER 14, 2018

Per NCAA Bylaw 13.1.1.3, an athletics staff member or other representative of the institution's athletics interests shall not make contact with the student-athlete of another NCAA or NAIA four-year collegiate institution, directly or indirectly, without first obtaining the written permission of the first institution's athletics director (or an athletics administrator designated by the athletics director) to do so, regardless of who makes the initial contact.

The University at Albany Department of Athletics handles permission to contact requests on a case-by-case basis. Permission to contact will not be granted to institutions within the following:

- Football: Colonial Athletic Association
- Golf: Metro Atlantic Athletic Conference
- All Other University at Albany Sports: America East Conference

In addition, the following conferences have intraconference transfer policies:

CAA Football Intraconference Transfer Rule
(Applies to Sport of Football Only)

Student-Athletes in the sport of football are permitted to transfer from one CAA institution to another CAA institution and compete in the sport of football, provided that prior to competing for the second Conference institution the student-athlete serves a year in residency at the second Conference institution. During the year in residency [two full semesters (which shall be determined in accordance with NCAA rules associated with transfers)] the student-athlete shall not lose a year of eligibility, and shall be eligible to practice and receive athletically related financial aid. There are no exceptions or waivers to this rule.

AE Intraconference Transfer Waiver

All Sports Other Than Men’s and Women’s Basketball. For all sports other than men’s and women’s basketball, a student-athlete who receives athletically related financial aid and who transfers from one conference institution to another must serve one year of
residence at the certifying institution before being eligible to compete. The student-athlete would be eligible to receive athletically related financial aid (provided the provisions of NCAA Bylaw 13.1.1.3 have been satisfied) and practice at the second during the year in residence, but would not be eligible for competition.

Men’s and Women’s Basketball. A student-athlete who transfers from one conference institution to another must serve one year in residence before being eligible to compete at the second institution. That student-athlete shall be charged two years of their five-year clock and one year of eligibility.

Waiver. If the directors of athletics from the two involved institutions mutually agree to a waiver of the above policy, the student-athlete shall not be subject to the conference intraconference transfer policy and all applicable NCAA regulations would still apply.

It is highly encouraged that the student-athlete speak with the head coach regarding the possibility of transferring. A student-athlete requesting written permission to contact should contact the Office of Compliance Services within the Department of Athletics. The student-athlete will then complete the Request for Permission to Contact Form. The request will be reviewed by the compliance officer and the appropriate head coach in consultation with the sport administrator and within seven (7) business days (see NCAA Bylaw 13.02.1), the request will be either granted or denied. If the compliance officer fails to respond to the student-athlete’s written request within seven (7) business days, permission to contact is automatically granted and a written letter shall be provided to the student-athlete. A permission to contact letter will be provided in PDF format to the student-athlete from the Office of Compliance Services.

If permission is granted to contact the student-athlete, all applicable NCAA recruiting rules apply (see NCAA Bylaw 13.1.1.3).

If permission is not granted, the second institution shall not encourage the transfer and the second institution shall not provide athletically related financial assistance to the student-athlete until the student-athlete has attended the second institution for one academic year. If the University at Albany Department of Athletics decides to deny a student-athlete’s request to permit any other institution to contact the student-athlete about transferring, the institution shall inform the student-athlete in writing that he or she, upon request, shall be provided a hearing conducted by a committee outside the athletics department. At that time, the Department of Athletics shall provide the student-athlete a copy of the Transfer Appeal Policy and Procedures. Beginning with the day after the student-athlete receives the denial of permission to contact or use of the one-time transfer, the written request for a hearing must be submitted within five (5) business days. [Note: A business day concludes at 5:00pm EST.]

Only the University at Albany student-athlete may request permission to contact. A permission to contact request from a student-athlete’s parent, sibling, relative, guardian, or any other person associated with the student-athlete will not be considered.

The University at Albany shall conduct the hearing and provide written results of the hearing to the student-athlete within fifteen (15) business days (see Bylaw 13.02.1) of receipt of the
student-athlete's written request for a hearing. If the institution fails to conduct the hearing or provide the written results to the student-athlete within fifteen (15) business days, permission to contact the student-athlete shall be granted by default and the institution shall provide written permission to the student-athlete. The letter will be provided in PDF format to the student-athlete from the Office of Compliance Services.

Per NCAA Bylaw 13.1.1.3.1, the Department of Athletics will review and determine, on a case-by-case basis, the services that will continue to be extended to a student-athlete once the transfer release process is complete. This includes, but is not limited to: athletic academic services, use of athletic facilities, and access to sports medicine/strength and conditioning staff. The student-athlete will be notified, in writing, on this form.

NOTIFICATION OF TRANSFER – EFFECTIVE OCTOBER 15, 2018

Per NCAA Bylaw 13.1.1.3, an athletics staff member or other representative of the institution's athletics interests shall not make contact with the student-athlete of another NCAA or NAIA four-year collegiate institution, directly or indirectly, without first obtaining authorization through the notification of transfer process.

The following affiliate conferences have intraconference transfer policies:

CAA Football Intraconference Transfer Rule
(Applies to Sport of Football Only)

Student-Athletes in the sport of football are permitted to transfer from one CAA institution to another CAA institution and compete in the sport of football, provided that prior to competing for the second Conference institution the student-athlete serves a year in residency at the second Conference institution. During the year in residency [two full semesters (which shall be determined in accordance with NCAA rules associated with transfers)] the student-athlete shall not lose a year of eligibility, and shall be eligible to practice and receive athletically related financial aid. There are no exceptions or waivers to this rule.

AE Intraconference Transfer Waiver

All Sports Other Than Men’s and Women’s Basketball. For all sports other than men’s and women’s basketball, a student-athlete who receives athletically related financial aid and who transfers from one conference institution to another must serve one year of residence at the certifying institution before being eligible to compete. The student-athlete would be eligible to receive athletically related financial aid (provided the provisions of NCAA Bylaw 13.1.1.3 have been satisfied) and practice at the second during the year in residence, but would not be eligible for competition.

Men’s and Women’s Basketball. A student-athlete who transfers from one conference institution to another must serve one year in residence before being eligible to compete at the second institution. That student-athlete shall be charged two years of their five-year
clock and one year of eligibility.

Waiver. If the directors of athletics from the two involved institutions mutually agree to a waiver of the above policy, the student-athlete shall not be subject to the conference intraconference transfer policy and all applicable NCAA regulations would still apply. [http://www.americaeast.com/documents/2006/11/9/2500.pdf](http://www.americaeast.com/documents/2006/11/9/2500.pdf)

Per NCAA Bylaw 15.3.5, if a student-athlete provides written notification of transfer to the institution, the student-athlete’s financial aid may be reduced or canceled at the end of the regular academic term in which written notification of transfer is received. If a student-athlete provides written notification of transfer to the institution between regular academic terms (winter break, summer break) the institution may reduce or cancel the financial aid immediately.

1. Prior to a student-athlete initiating the notification of transfer process, the student-athlete must meet with their Head Coach to discuss the potential transfer.
2. Once the student-athlete has met with their Head Coach, they may initiate the notification of transfer process by providing written notification of transfer at any time to the institution. More specifically, to the Office of Compliance Services. This is done by completing the Notification of Transfer Form in ARMS.
3. The Office of Compliance Services shall enter the student-athlete’s general information into the notification of transfer database within two (2) business days. Immediately following submission, automatic alerts are sent to the student-athlete and selected institutional staff. The student-athlete’s notification of transfer information is posted with a date stamp record, after which permissible recruiting conversations may begin. The student-athlete’s notification of transfer information becomes searchable by other institutions, to confirm that permissible recruiting contacts may occur.
4. The institution subsequently enters and periodically updates, if necessary, the student-athlete’s typical tracer form information regarding eligibility and participation history.
5. Per NCAA Bylaw 13.1.1.3.1, the Department of Athletics will review and determine, on a case-by-case basis, the services that will continue to be extended to the student-athlete. This includes, but is not limited to: athletic academic services, use of athletic facilities, and access to sports medicine/strength and conditioning staff. The student-athlete will be notified, in writing, on the Notification of Transfer Form.
6. If the student-athlete transfers or remains enrolled at the original institution during the subsequent academic year, the student-athlete’s notification of transfer information will be archived.
7. Once the student-athlete has made a decision regarding where he or she will transfer, he or she may contact the Office of Compliance Services to request that the database information be updated to indicate that he or she does not or no longer wants to be contacted by other institutions.

**ACADEMIC MISCONDUCT**

Policy

The University at Albany and the Department of Athletics are committed to a core set of values
and principles: integrity, honesty, hard work, and determination. Maintaining high standards of academic integrity ensures the value of the University’s degrees and the roles of both the students and the University faculty and staff members. It is the responsibility of students and University faculty and staff members to familiarize themselves with the University at Albany’s policy on Academic Integrity and the Department of Athletics policy on Academic Misconduct.

In the case of potential post-enrollment or pre-enrollment misconduct activities the following procedures will be adhered to in accordance with NCAA and University at Albany regulations.

The Athletics Academic Investigative Committee (hereinafter referred to as the “Committee”) has been created collectively to navigate cases of potential academic impropriety. The Committee consists of the following individuals:

1. Deputy Athletic Director
2. Senior Women’s Administrator
3. Associate Athletic Director for Academic Services
4. Associate Athletic Director for Compliance

Procedures

1. Notification of Potential Academic Impropriety

In the event of any potential academic impropriety involving a prospective student-athlete, student-athlete, student employee, institutional staff member, or representative of athletics interest, the Associate Athletic Director for Compliance is immediately notified. In the event the Office of Community Standards receives a Violation of Academic Integrity Report (VAIR), the Associate Athletic Director for Compliance is immediately notified. Subsequently, the Sport Supervisor, Director of Athletics and Faculty Athletics Representative will be notified and continually updated on the investigation. The Director of Athletics will be responsible for notifying and updating the President. The appropriate Conference Office Compliance Director will be consulted if necessary.

2. Assembly of Athletics Academic Investigative Committee

At the earliest available opportunity, the Associate Athletic Director for Compliance will summon the Committee to meet to discuss the initial evidence presented to the Department of Athletics and/or Faculty Athletics Representative.

3. Investigation

Once informed of the alleged impropriety, the Associate Athletic Director for Compliance will steer the fact finding in collaboration with the Faculty Athletics Representative. If the potential academic impropriety involves an employee of the University at Albany, the Office of Human Resources and University Senior Managing Counsel must be notified. If necessary, Outside Counsel may be requested.
A written record will be collected with the following facts documented:

a. Date when the alleged impropriety was reported, to whom, by whom;
b. Detailed account of the alleged impropriety (i.e. date(s) that it occurred, who was involved, the circumstances surrounding, and bylaw(s) violated); and
c. Chronology for all actions taken during the investigation.

Simultaneously, the Faculty Athletics Representative will communicate with the faculty member and Division of Student Affairs to verify appropriate course of action is being followed pursuant to the University at Albany Standards of Academic Integrity.

4. Determination of NCAA Violation

The Associate Athletic Director for Compliance will determine if the facts surrounding the matter result in any of the following:

1. Academic misconduct violation;
2. Impermissible academic assistance violation;
3. Unethical conduct violation;
4. Extra benefits violation;
5. No NCAA violation.

In the case of a Level III violation, the Director of Athletics and Associate Athletic Director for Compliance will recommend action. When the violation involves an eligibility issue, the student-athlete(s) in question will be immediately declared ineligible until further notice from the NCAA. In all other cases, meaningful corrective and disciplinary measures will be taken against the individual(s) involved. A report of the violation including all relevant information will be sent to the NCAA through the NCAA Requests/Self-Reports Online system.

In the case of a Level I or Level II violation, Legal Counsel may be retained. If necessary, Outside Counsel may be requested. The investigation’s findings will be reported to the Director of Athletics through the President’s Office. The Director of Athletics or Designee will utilize sources at the America East, Colonial Athletic Association or Metro Atlantic Athletic Conference office to determine the appropriate corrective and disciplinary actions for those individuals involved.

The Associate Athletic Director for Compliance will be responsible for notifying the Faculty Athletics Representative, the President of the University, University Counsel, the Commissioner of the AE, CAA, or MAAC, and the NCAA Enforcement staff of violations of NCAA rules when appropriate.
SECTION 10 PROCEDURES RELATED TO REGULATIONS GOVERNED BY BYLAW 15: FINANCIAL AID

DETERMINATION AND COMMUNICATION OF SCHOLARSHIP BUDGETS

The Assistant Athletic Director of Compliance in the Office of Compliance Services will calculate the grant-in-aid value each academic year consistent with NCAA regulations and with the actual charges determined by the Financial Aid Office. Scholarship budgets for each sport are approved by the Associate Athletic Director for Business, Deputy Athletic Director and Director of Athletics.

REQUESTING INITIAL GRANT-IN-AID AWARDS

Coaches wishing to request preparation of a National Letter of Intent (NLI) and/or Financial Aid Agreement for a prospective student-athlete must complete the Initial Grant-in-Aid for First Year SA (Freshman/Transfer) Form in ARMS. Coaches wishing to offer athletic aid for the first time to a continuing student-athlete must complete the Initial Grant-in-Aid for Continuing SA Form in ARMS.

For prospective student-athletes, upon receipt of the request form, the Assistant Athletic Director for Compliance will:

1. Verify the admissibility of the prospective student-athlete. A prospective student-athlete must be deemed admissible or have already been admitted to UAlbany before an NLI and/or financial aid agreement can be issued.
2. Verify the prospective student-athlete is eligible to sign an NLI
   a. Signing period;
   b. Eligibility Center amateurism questions; and
   c. Added to UAlbany’s Institutional Request List (IRL).
3. The names are kept on a financial aid tracking spreadsheet and an incoming prospective student-athlete tracking spreadsheet.
4. Prepare one copy of the NLI (if applicable), one copy of the financial aid agreement based on the request made by the coach, and a cover letter to accompany the documents. The Assistant Athletic Director for Compliance shall obtain all necessary signatures:
   a. Director of Athletics (or designee) shall sign each copy of the National Letter of Intent;
   b. Director of Financial Aid (or designee) shall sign each copy of the financial aid agreement; and
   c. Assistant Athletic Director for Compliance shall sign the cover letter.
5. Once all signatures have been obtained, the Assistant Athletic Director for Compliance shall email the prospective student-athlete and copy the head coach along with instructions on signing the NLI and/or financial aid agreement.
6. Upon return of the signed documents, the Assistant Athletic Director for Compliance will validate the documents and upload to the NLI Portal.
RENEWALS AND NON-RENEWALS

Policies and Procedures

The NCAA requires that by July 1, each student-athlete who received an athletics grant-in-aid and has eligibility remaining for the upcoming academic year must receive a renewal or non-renewal letter. This letter serves as the compliance update of the student-athlete’s financial aid agreement. The letter itself, however, must come from the Financial Aid Office and not the University at Albany Department of Athletics.

The athletics scholarship award at the University at Albany is not guaranteed for a four-year period. Instead, the athletics scholarship at UAlbany is awarded on a yearly basis for a one-year period. The scholarship may be renewed at the end of the academic calendar for another one-year period. The total number of years for which the scholarship is awarded in this manner may not exceed five years, barring an official waiver from the NCAA.

Renewals:

1. At the end of the spring semester the Assistant Athletic Director for Compliance will provide each coach with a renewal spreadsheet.
2. The coach completes the renewal spreadsheet and submits it to the Assistant Athletic Director for Compliance by the 3rd Monday of May. Coaches should inform their athletes if their aid has been renewed or canceled during individual year-end meetings.
3. Renewal letters will be initiated and prepared by the Assistant Athletic Director for Compliance.
4. Completed letters are forwarded to the Scholarship and Athletics Coordinator for approval and signature.
5. Renewal letters are mailed to student-athletes prior to July 1st.
6. Student-athletes who have had their aid renewed should log onto their MyUAlbany account to view and accept their award. If a student-athlete has any concerns regarding their aid they should not accept the award and should contact their head coach immediately. Head Coaches should in turn contact the Assistant Athletic Director for Compliance.
7. In the event a student-athlete's aid is not renewed or decreased they will have 14 days to notify the Assistant Athletic Director for Compliance of any appeal.

Non-Renewals:

1. It is the responsibility of the head coach to maintain meticulous records documenting the reasons for non-renewal.
2. Copies of correspondence and notes of conversations with the student-athlete must be kept on file and copied to the Assistant Athletic Director for Compliance.
3. Non-renewal of athletics scholarships cannot be based on athletic ability.
4. If the head coach initiates the non-renewal:
   a. The coach submits written documentation regarding the non-renewal to the Assistant Athletic Director for Compliance.
b. The coach meets with the Assistant Athletic Director for Compliance to review the case and discuss the non-renewal process.
c. The coach meets with the student-athlete to discuss the reasons for nonrenewal.
d. The Sport Supervisor is informed of the pending non-renewal by the coach.

5. If the Sport Supervisor supports the non-renewal:
   a. A non-renewal letter will be initiated by the Assistant Athletic Director for Compliance.
   b. Completed letters are forwarded to the Scholarship and Athletics Coordinator for approval and signature.
   c. Non-renewal letters are mailed to student-athletes prior to July 1st.
      i. NOTE: Any student-athlete may appeal a decision of non-renewal and can request a hearing before the Financial Aid Review Committee on the issue. The appeal process is initiated by the student-athlete notifying, in writing, the Assistant Athletics Director for Compliance that he/she would like to appeal the non-renewal decision. The process for requesting an appeal can be found in the non-renewal letter and on the Office of Compliance Services website.

6. If a student-athlete initiates the non-renewal:
   a. The student-athlete submits written verification of intent to voluntarily relinquish an athletics grant-in-aid (including a statement indicating that the student-athlete voluntarily relinquishes the grant-in-aid immediately and that the athletics department has no future obligation or commitments to said individual).
   b. The student-athlete meets with a senior administrator to participate in an exit interview.

REDUCTIONS AND CANCELLATIONS

Policies and Procedures

By signing his/her grant-in-aid agreement, a student-athlete agrees that reduction or cancellation of an athletics grant-in-aid during the period of award may occur only if the student-athlete:

- Renders himself or herself ineligible for intercollegiate competition;
- Fraudulently misrepresents any information on an application, letter of intent, or financial aid agreement;
- Engages in serious misconduct of institutional or team policy warranting substantial disciplinary penalty, violates the Student-Athlete Code of Conduct;
- Voluntarily withdraws from a sport for personal reasons; or
- Provides written notification of transfer to the institution; however, the student-athlete’s financial aid may not be reduced or canceled until the end of the regular academic term in which written notification of transfer is received. If a student-athlete provides written notification of transfer to the institution between regular academic terms (winter break, summer break) the institution may reduce or cancel the financial aid immediately.

– EFFECTIVE OCTOBER 15, 2018
If the withdrawal occurs before the first contest in that sport or the first day of classes, reduction or cancellation may occur immediately, but the aid may not be awarded to another student-athlete during the term of the award.

If the recipient withdraws from the institution, his/her financial aid may not be awarded to another student-athlete in the academic term in which the aid was reduced or canceled. It may be awarded to another student-athlete in a subsequent term.

- NOTE: A student-athlete’s request for written permission to contact another four-year collegiate institution regarding a possible transfer does not constitute a voluntary withdrawal. – EFFECTIVE UNTIL OCTOBER 14, 2018
- It is the responsibility of the head coach to maintain meticulous records documenting the reasons for reduction, augmentation, or cancellation of an athletics grant-in-aid. Copies of correspondence and notes of conversations with the student-athlete must be kept on file and copied to the Assistant Athletic Director for Compliance.

**Impermissible Reasons for Reduction**

Financial aid may not be reduced or cancelled for any of the following reasons:

A. On the basis of a student-athlete’s athletics ability, performance, or contribution to a team's success;
B. Because of an injury, illness, or physical or mental medical condition (except as permitted pursuant to Bylaw 15.3.4.2);
C. For any other athletics reason.

Reduction or cancellation of an athletics grant-in-aid must follow the procedures listed below:

1. The coach submits written documentation regarding the reduction or cancellation to the Assistant Athletic Director for Compliance.
2. The coach meets with the Assistant Athletic Director for Compliance to review the case and determine the reduction or cancellation process.
3. The coach meets with the student-athlete to discuss the reasons for reduction or cancellation.
4. A reduction or cancellation letter will be initiated by the Assistant Athletic Director for Compliance.
5. Completed letters are forwarded to the Scholarship & Athletics Coordinator for approval and signature.

**Hearing Opportunity**

If the university decides to reduce, not renew or cancel a student-athlete’s athletics aid, the student-athlete is entitled to a hearing before a non-athletics institutional agency as per NCAA Bylaw 15.3.2.3. The student-athlete will be notified in writing by the Assistant Athletic Director
for Compliance about the reduction in aid and the student’s right to a hearing. The hearing will be conducted by a committee made up of individuals outside of UAlbany Athletics.

**Signature on Roster Drop Form**

If a student-athlete is on athletic aid and will no longer be with the athletic program, they must review and sign the Roster Drop - Scholarship and Nonscholarship SA Form assigned to them in ARMS by a member of their coaching staff. The coach answers the following questions before the form is sent to the student-athlete:

1. Is the student-athlete receiving athletically-related financial aid?
2. When will his/her athletically-related financial aid be cancelled (immediately, end of current semester, end of academic year)?
3. When should the non-renewal/cancellation notification be sent (immediately, end of current semester, end of academic year)?
4. Has the student-athlete already left UAlbany?

**CHANGES IN STUDENT-ATHLETE’S ATHLETIC AID**

**Increasing Athletic Aid Prior to or During Term of Award**

It is the responsibility of each head coach to submit to the compliance office, no later than July 1st of each academic year, a list of renewals for all student-athletes. The renewal letter is a binding agreement between the athletic department and the student-athlete for the upcoming academic year. Head Coaches should properly forecast their athletics scholarship awards for each year.

It is the responsibility of each head coach to submit to the compliance office any “pending” financial aid that may be offered to a prospect/incoming student-athlete from July 1 to the first day of the academic year.

In the event that financial aid is being planned for mid-year offers, it is the responsibility of each head coach to provide the equivalency or head count to the compliance office in order for those funds to be held in abeyance for mid-term enrollees.

After July 1, increases to financial award for any student-athlete who has signed a renewal letter will not be approved unless there is some significant extenuating circumstance.

**One-Time Athletic Aid Increase**

In situations where a head coach would like to increase an athletic award for one-time over the course of an academic year only, he/she may do so provided a One-Time Athletic Aid Increase Agreement is completed in ARMS. The form will memorialize the agreement between the Head Coach, the student-athlete, and the family. At the conclusion of the term of the award, the student-athlete will receive a reduction notification.
COUNTABLE VS NON-COUNTABLE AID

Any student athlete who is deemed a counter by NCAA bylaw 15.02.3 will have all institutional financial aid counted towards each athletics team’s aid limitations.

Aid that is considered countable toward sport limitations are defined under NCAA bylaw 15.02.4.1. Typically all funds administered by the institution are countable and include, but are not limited to:

- Scholarships
- Grants
- Tuition waivers
- Employee dependent tuition benefits in which the parent or legal guardian has not been a full time faculty/staff member for at least five years
- Aid from government or private sources for which the institution is responsible for selecting the recipient or determining the amount of aid.

Non-countable aid is defined under NCAA bylaw 15.02.4.4. These consist of merit based grants and scholarships, along with state and federal government grants based on a student-athlete’s financial need.

Countable and non-countable aid cannot exceed the value of the cost of attendance as defined in Bylaw 15.02.2. Only student-athletes who receive the Pell Grant and specific government grants will be allowed to exceed aid above the cost of attendance.

OUTSIDE AID REPORTING

Policy

It is the responsibility of each student-athlete to notify the Office of Compliance Services if they may be receiving any financial support, scholarships, grants, honorary awards, financial aid and/or loans assistance from an outside source other than that contained in their institutionally approved financial aid package, their athletic scholarship or that is provided by parent(s) or legal guardian(s).

Procedure

1. Student-athletes must complete the Outside Scholarship Reporting Form in ARMS annually.
2. Upon receipt of a form indicating outside aid, the Assistant Athletic Director for Compliance will provide the student-athlete an Outside Financial Aid Reporting Form to be completed by the student-athlete and a member of the awarding agency’s selection committee.
3. Once completed and returned, the Assistant Athletic Director for Compliance will determine if it is acceptable per NCAA rules.
4. The Assistant Athletic Director for Compliance will update the Financial Aid Office via a spreadsheet with permissible outside aid received by all student-athletes.

NCAA SQUAD LISTS

All financial aid awarded to student-athletes is tracked on the NCAA database Compliance Assistant. Based on the types of aid received by each student-athlete and parameters configured in the application, the program is able to determine individual and team limits, counting aid and exempting aid as per NCAA rules.

In August each year, all pieces of financial aid for each student-athlete are imported from the University’s financial aid database maintained in PeopleSoft. A NCAA squad list is generated for each sport prior to the start of competition each year. In addition to the Assistant Athletic Director for Compliance who prepares the squad list, each squad list is signed off on by the Head Coach and the Director of Athletics or Designee and the Financial Aid Office.

A final copy will be sent to each head coach and their sport supervisor.

DEGREE COMPLETION PROGRAM

Former student-athletes who received athletics aid from UAlbany during their final academic year/term of enrollment and who separated, for bona fide reasons, from UAlbany prior to completing the necessary requirements for an undergraduate degree may, after submitting a written request and meeting the general admissions criteria of the university only then will they be afforded the privilege of re-enrolling at UAlbany and completing their baccalaureate degree with financial assistance from the Division of Intercollegiate Athletics.

Written requests will be reviewed based on the following factors, in no particular order:

1. Reasons for departure;
2. Academic standing prior to departure;
3. Credit-hours remaining until graduation;
4. Prior misconduct issues; and
5. Funding availability.

As a reminder, returning student-athletes must resolve any outstanding balances or holds on their student account from the time of their initial departure from UAlbany.

HOUSING RATES

UAlbany has several different housing rates as well as an off-campus housing rate. It is the policy of UAlbany Athletics that only payment for housing in either Quad Standard or Freedom Standard double dormitories or off-campus housing will be provided. If a student-athlete signs up for housing beyond what their scholarship provides they are subject to paying the difference of the two housing rates.
BOOK ORDERING OVERVIEW AND PROCESS

UAlbany Athletics is undertaking a new book ordering process that began the Fall 2016 semester. For those student-athletes who have a book scholarship as part of their overall athletic aid package, the following process and criteria for obtaining and returning your books applies to you.

- All student-athletes who are placed on book scholarship by their head coach will receive notification from Athletics’ Academic Services office as to when their designated time will be to pick up required textbooks for the courses they are enrolled in – and only the courses they are enrolled in.
- A special date(s) and time(s) will be coordinated with the Barnes & Noble bookstore on campus for each/all teams to come in and pick up their books. Student-athletes must bring a current copy of their upcoming schedule with them to the bookstore on that specific day/time.
- Barnes and Noble will inform each student-athlete and the Athletics department which books are available for rental and which are required to be purchased.
  - Whenever possible, student-athletes will be required to rent their books
  - Books available only for purchase – i.e. books with online access codes – will be purchased and return dates will be identified
  - Some purchased books may be utilized for more than semester, in which case, student-athletes will retain those books for the duration of necessity.

The following rules apply to books for purchase:

- Student-athletes will purchase only those books which are unavailable for rental
- These types of books are generally the ones that have online access codes
- Many books made available for purchase will be used by a student-athlete for more than one semester
  - These books will be identified by the Barnes and Noble staff
  - Upon purchase, Athletics will notify the student-athlete the number of semesters that they will be keeping each particular book and when they will be required to return their books directly to Athletics.

The following rules apply to books available for rental:

- Student-athletes will rent any books that are available through Barnes & Noble
- All books that are rented carry with it a requirement for return at semester’s end
  - All books that are rented will be returned directly to Barnes & Noble by the student-athlete.
- Athletics will work with Barnes & Noble to identify which books have been returned and which have not been by student-athletes on book scholarship
- Books that are not returned will be charged to Athletics accounts in the amount of full retail and a replacement fee will also be applied
○ All charges for books that have gone unreturned will be applied to the student-athletes’ student account and holds will be placed on the student-athletes’ account until restitution is made for the unreturned rental(s)
○ Student-athletes are responsible for the loss or theft of all rented materials. Rented materials not returned by the rental return date or returned on or before that date not in salable condition will be subject to non-return fees equal to 75% of the new book price (at the time of rental) plus a 7.5% processing fee.

Other Items:

● Clickers will be now purchased by the Department of Athletics and will be distributed to student-athletes on a yearly basis
  ○ Student-athletes will be required to return their clickers to Athletics at the end of each academic year
  ○ Unreturned clickers will be charged, and appropriately holds will be placed, upon each student-athletes’ account.

SUMMER SCHOOL GRANT-IN-AID

Objective

The objective of summer school is to provide student-athletes with opportunities to take courses that will conflict with practice during the academic year, and/or catch up on progress towards degree if needed for eligibility and/or graduation purposes.

Availability

Funds for summer school aid are limited. Each request will be reviewed on a case-by-case basis. Student-athletes who receive athletic aid during the academic year may be eligible for athletic aid if enrolled in summer school. NCAA regulations stipulate summer aid for a student-athlete may not be awarded above the percentage of aid received during the academic year. UAlbany Athletics does not guarantee summer athletic aid. In this case, student-athletes must accept full financial responsibility if he/she chooses to enroll in summer school.

Guidelines for Distribution

Any student-athlete requesting summer aid must meet the following guidelines. Priority will be given to the following: conflicts with class and practice schedule, courses not offered during academic year, and progress towards degree requirements for eligibility purposes; and

● Specific courses/terms should be indicated on the application, unless otherwise unavailable (such information should be provided by the student-athlete as soon as it is obtained).
● The Athletic Academic Advisor must approve any changes to a student-athlete’s summer schedule. Failure to obtain approval will result in the student-athlete accepting full financial responsibility for any additional costs associated with such changes.
● Student-athletes may only enroll in summer courses that are degree applicable in order to receive summer aid.
● Funding may be provided for a maximum of 2 courses, unless otherwise approved.
● A student-athlete must be enrolled in at least 3 credits in order to be eligible for any portion of room and board payment from UAlbany Athletics, unless other NCAA exemptions apply.
   ○ Student-athletes can receive room and board payment while enrolled less than half-time for a maximum of 3 summer terms, per Federal regulations.
● When taking more than one summer course, the courses should be taken during the same session unless approved in advance by the student-athlete’s Athletic Academic Advisor.

Failure to continually meet these guidelines may result in the student-athlete being required to reimburse UAlbany Athletics for up to the full value of monies received.

● Any student-athletes who change their summer schedule without the approval of their Athletic Academic Advisor may be held responsible for additional costs or eligibility consequences.
● Student-athletes who drop a course after the posted deadline will be obligated to repay UAlbany Athletics the amount of their summer aid.
● Repayment of summer aid for any course where a D or E is earned will be addressed on a case-by-case basis. For example, a student-athlete who fails to attend class and subsequently does poorly in the course will have to reimburse the Department of Athletics for the full cost of attendance for that course.

Application Procedure

All requests for summer aid must be submitted to and approved by the Summer School Review Committee. The deadline for applying for summer aid is indicated at the top of the Summer School Grant-in-Aid Application in ARMS. Any requests for summer aid received after the application deadline will be denied and any expenses associated with summer courses will be the responsibility of the student-athlete. The Summer School Review Committee will review each student-athlete who applies for summer aid on an individual basis. All summer aid recommendations will then be forwarded to the Director of Athletics (or Designee) for final approval. Student-athletes should be notified of the Department’s decision no later than one week prior to the start of the first summer term. Student-athletes will receive email notifications as the Summer School Grant-in-Aid Application is being reviewed step-by-step electronically through ARMS. A final email notification will be sent to each student-athlete with a summary detailing summer aid approval.

WINTER SESSION GRANT-IN-AID

Objective

The objective of Winter Session is to provide student-athletes with opportunities to take courses that will conflict with practice during the academic year, and/or catch up on progress towards
degree if needed for eligibility and/or graduation purposes.

Availability

Funds for Winter Session aid are extremely limited. Each request will be reviewed on a case-by-case basis. Student-athletes who receive athletic aid during the academic year may be eligible for athletic aid if enrolled during the Winter Session. A student-athlete may not be awarded above the percentage of aid received during the academic year. UAlbany Athletics does not guarantee Winter Session athletic aid. In this case, student-athletes must accept full financial responsibility if he/she chooses to enroll in Winter Session courses.

Guidelines for Distribution

Any student-athlete requesting Winter Session aid must meet the following guidelines. Priority will be given to the following: conflicts with class and practice schedule, courses not offered during academic year, progress towards degree requirements for eligibility purposes and students wishing to graduate at the end of the spring semester.

A. The student-athlete must have completed two academic years of coursework (freshmen may not apply unless necessary for eligibility requirements).
B. Specific courses should be indicated on the application, unless otherwise unavailable (such information should be provided by the student-athlete as soon as it is obtained).
C. The Associate Athletic Director for Academic Services must approve any changes to a student-athlete’s Winter Session schedule. Failure to obtain approval will result in the student-athlete accepting full financial responsibility for any additional costs associated with such changes.
D. Student-athletes may only enroll in Winter Session courses that are degree applicable in order to receive Winter Session aid.

Failure to continually meet these guidelines may result in the student-athlete being required to reimburse UAlbany Athletics for up to the full value of monies received.

- Student-athletes who drop a course after the posted deadline will be obligated to repay UAlbany Athletics the amount of their winter aid scholarship.
- Repayment of winter aid for any course where a D or E is earned will be addressed on a case-by-case basis. For example, a student-athlete who fails to attend class and subsequently does poorly in the course will have to reimburse UAlbany Athletics for the full cost of attendance for that course.

Application Procedure

All requests for Winter Session aid must be submitted to and approved by the Winter Session Review Committee.
5TH YEAR AID

UAlbany is committed to the graduation of its student-athletes. Every effort is made to assist student-athletes in doing so in four years. When this does not occur, arrangements for additional athletics aid are made on a case-by-case basis, with factors including overall academic progress (as determined by the Office of Academic Services), academic major/program (i.e. those with built-in requirements in excess of four years) all being taken into account.

Granting of financial aid to a student-athlete beyond his/her athletics eligibility is acceptable under the following conditions:

1. Good team and academic standing.
2. Student-athlete should not have changed degree objectives during the fourth year of school.
   a. NOTE: A student-athlete who changed degree objectives the third academic year will be considered on an individual basis.
3. Financial aid beyond athletics eligibility will not be awarded for graduate or second majors.
   a. NOTE: Certificate programs will be considered if it was part of a student-athlete's degree objective and criterion #2 above has been met.
4. Demonstrated that the necessary steps were taken (i.e.: summer school attendance) to earn a degree within the period of his/her athletics eligibility.
   a. NOTE: Students who have a history of withdrawing from classes will not be granted aid.
5. Does not enter into any contract with a professional sports organization.
6. Financial aid beyond athletics eligibility will include tuition, fees and books. Housing on campus may be provided on a space available basis. Board will not be provided.
7. Recommendation for fifth year aid from head coach.
8. After consultation with the Office of Academic Services and the sport supervisor, the Office of Compliance Services will make a final recommendation to the Office of Financial Aid.
9. Student-athlete reads the conditions above and signs the 5th Year Aid Form in ARMS, verifying that he/she understands the guidelines, the request for aid will be processed.

The 5th Year Aid Form is reviewed and signed by the student-athlete, Head Coach, Associate Athletic Director for Academic Services, Sport Supervisor, and the Assistant Athletic Director for Compliance.

SPECIAL ASSISTANCE FUND

Intent and Principles

The Special Assistance Fund (SAF) is intended to provide direct benefits to student-athletes or their families as determined by conference offices. As a guiding principle, the fund shall be used to assist student-athletes in meeting financial needs that arise in conjunction with participation in intercollegiate athletics, enrollment in an academic curriculum, to recognize academic
achievement, and meet student-athletes’ needs of an emergency or essential nature for which financial assistance otherwise is not available. Accordingly, receipt of SAF monies shall not be included in determining the permissible amount of financial aid that UAlbany may award to a student-athlete. Further, inasmuch as the fund is designed to provide direct benefits to student-athletes, the fund is not intended to be used to replace existing budget items.

**Eligibility for the Fund**

The following student-athletes are eligible for fund:

1. Any current UAlbany student-athlete; and
2. Any UAlbany student-athlete with exhausted eligibility or inactive due to medical reason.

Except for prospective student-athletes receiving summer financial aid prior to full-time enrollment pursuant to NCAA Bylaws 15.2.8.1.2, 15.2.8.1.3 and 15.2.8.1.4, no prospective student-athlete shall be eligible to receive SAF money.

**Prohibited Use of the Fund**

Pursuant to NCAA Bylaw 15.01.6.1, the University at Albany shall not use monies received from the fund for the following:

A. Salaries and benefits
B. Grants-in-aid (other than summer school) for student-athletes with remaining eligibility
C. Capital improvements
D. Expenses that only indirectly benefit student-athletes or that replace existing budget items that already provide direct benefits to student-athletes
   a. An expense that could be a budget item, but is not, may be covered by the fund.
E. Stipends
F. Outside athletics development opportunities for student-athletes with remaining eligibility including
   a. Fees and other expenses associated with a student-athlete's participation in a sports camp or clinic
   b. Fees and other expenses associated with private sports-related instruction provided to a student-athlete
   c. Fees for other athletic development experiences (e.g., greens fees, batting cage rental); and
   d. Expenses associated with a student-athlete's participation in a foreign tour
      i. Note: The prohibition on using SAF for athletics development activities is only applicable to student-athletes with remaining eligibility.
   e. Competition-related travel expenses for student-athletes who are not eligible to receive such expenses under NCAA legislation (e.g., transfer serving a year in residence)
      i. For example, a basketball student-athlete who transfers and is ineligible during the year in residence cannot use SAF monies to travel to an away competition
Procedures

1. The student-athlete must first speak with their Head Coach regarding the particular situation/circumstances that may warrant receipt of SAF monies.

2. The Head Coach will consult with the Assistant Athletic Director for Compliance and the Associate Athletic Director for Business.

3. The student-athlete must complete the Special Assistance Fund Form in ARMS. The student-athlete can launch the form or it can be assigned to the student-athlete by the Assistant Athletic Director for Compliance.
   a. In the event there is an emergency need for the funds, approval can be provided in writing through email communications between the Assistant Athletic Director for Compliance and the Associate Athletic Director for Business. Copies of all receipts must be kept on file with the Athletic Business Office.

4. The Assistant Athletic Director for Compliance will review the SAF application and forward the application to the Associate Athletic Director for Business. If necessary, the Director of Athletics is consulted.

5. The student-athlete, Head Coach, and Business Assistant will be notified in writing via an automated email from ARMS if the SAF application is approved.

6. Once approved, the Athletics Business Office will collaborate with the student-athlete regarding the distribution/reimbursement of funds and/or the purchasing of approved items. ALL receipts must be provided to the Assistant Athletic Director for Compliance, who will provide the receipts to the Business Assistant.
   a. For student-athletes approved for personal/clothing items, the Athletic Business Office will assist with the purchase in-person or the student-athlete can be reimbursed.

STUDENT-ATHLETE REQUEST TO STUDY ABROAD

Education abroad allows students to experience other cultures to develop new academic perspectives, and develop expertise in working in cross-cultural teams. The State University of New York offers opportunities to study in more than 100 countries on 7 continents.

A complete listing of programs and detailed information about them is available in the Office of Education Abroad, SL G40, and online at [www.albany.edu/studyabroad/](http://www.albany.edu/studyabroad/). More information can be found by emailing studyabroad@albany.edu or phone (518) 591-8172.

UAlbany organizes more than 130 different education abroad options each year, including full year, semester, summer, and winter session courses. Program types include direct enrollment, intensive language courses, service learning, research, internships, and faculty-led courses. Credits earned overseas count toward overall graduation requirements and may satisfy requirements in the major, minor, or General Education Program.

Other four-year State University of New York campuses offer additional programs for which Albany students are eligible. Students participating on any SUNY program register on the Albany campus, which permits them to maintain eligibility for financial aid. Students participating in two-year community college, contract college, or non-SUNY programs during
the academic year request a leave for approved study from the Albany campus for the duration of the program.

**Policy**

All requests by student-athletes to study abroad must be submitted using the Student-Athlete Request to Study Abroad form in ARMS. The request will go directly to the student-athlete’s Athletic Academic Advisor for review. The purpose of the Student-Athlete Request to Study Abroad form is to obtain approval by the student-athlete’s Head Coach. Additionally, the request permits UAlbany Athletics verify the amount of a student-athlete’s aid that will be applied to the study abroad program.

In order to be considered to study abroad, a student-athlete must meet all of the following criteria:

A. The study abroad experience must be a demonstrated integral component of the student’s major field of study. All credits must be preapproved through the appropriate school office.
B. A student-athlete must meet all applicable progress toward degree and eligibility requirements as per NCAA regulations.
C. The semester abroad must be taken during the non-traditional sport season of the student-athlete’s junior or senior year – unless dictated by the academic program.
D. If study abroad is taken during the fall or spring semester, a student-athlete must be enrolled in at least 12 credits (full-time).
E. If approved by UAlbany Athletics, a student-athlete will receive the same amount of athletic aid as during the academic year.
F. If athletic aid does not cover the entire cost of the program, the student-athlete may visit the Financial Aid Office to inquire about scholarship opportunities and loans.
G. Athletic aid is not provided for Winter Session study abroad.
H. Athletic aid for Summer Session study abroad may be provided. A student-athlete must complete the Summer School Grant-in-Aid Form in addition to the Student-Athlete Request to Study Abroad form. Both forms are located in ARMS. These are reviewed on a case-by-case basis by the Summer School Review Committee.

**Procedures**

1. Student-athlete must first speak with their Head Coach if considering a study abroad program.
2. Student-athlete must then complete the Student-Athlete Request to Study Abroad form in ARMS.
3. Student-athlete is responsible for researching and applying to a study abroad program of interest by visiting [http://www.albany.edu/studyabroad/#/](http://www.albany.edu/studyabroad/#/).
4. Once a student-athlete applies to a program, they will be assigned a Study Abroad Program Coordinator from the UAlbany Office of International Education, Study Abroad & Exchanges. The student-athlete will be contacted within 2-3 weeks by a Study Abroad Program Coordinator with the decision.
5. Deadlines for Winter/Spring study abroad typically are late October/early November. Deadlines for Summer/Fall study abroad typically are early April.

6. Student-athlete must meet with their Department Advisor to confer their Transfer Credit Equivalency Sheet. This will be provided by the Study Abroad Program Coordinator.

7. Student-athlete must also meet with their Athletics Academic Advisor to ensure NCAA progress toward degree will be met.
   a. Note: Student-athlete must bring a description of the study abroad program and a copy of the completed study abroad class schedule.

8. Student-athlete will collaborate with the Study Abroad Program Coordinator on living and travel arrangements.

9. Student-athlete does not need to request a transcript to be sent to the Registrar’s Office. International universities send transcripts to the UAlbany Office of International Education, Study Abroad & Exchanges office automatically. This is standard procedure for all programs.

**MEDICAL NONCOUNTERS**

A counter who becomes injured or ill to the point that he or she apparently never again will be able to participate in intercollegiate athletics shall not be considered a counter beginning with the academic year following the incapacitating injury or illness.

If an incapacitating injury or illness occurs prior to a prospective student-athlete's or a student-athlete's participation in athletically related activities and results in the student-athlete's inability to compete ever again, the student-athlete shall not be counted within the institution's maximum financial aid award limitations for the current, as well as later, academic years. However, if the incapacitating injury or illness occurs on or after the student-athlete's participation in countable athletically related activities in the sport, the student-athlete shall be counted in the institution's maximum financial aid limitations for the current academic year but need not be counted in later academic years.

If circumstances change and the student-athlete subsequently practices or competes at the institution at which the incapacitating injury or illness occurred, the student-athlete again shall become a counter, and the institution shall be required to count that financial aid under the limitations of this bylaw in the sport in question during each academic year in which the financial aid was received.

For the student-athlete’s scholarship to be excluded from the team’s NCAA limit on scholarships, the following must happen:

1. The head coach of the sport, or his/her designee, must submit a Medical Non-Counter Form in ARMS.
2. The student-athlete will review and sign the form.
3. The Sports Medicine staff will upload the physician’s letter and any relevant medical documentation. The documentation must indicate an incapacitating injury/illness and the date of that incapacitating injury/illness.
4. The Sport Supervisor will review and sign the form.
5. The Assistant Athletic Director for Compliance will review, sign and check off the following:
   a. Signed letter from treating physician;
   b. Adjust Compliance Assistant to medical noncounter; and
   c. Notify the Financial Aid Office.

INTERNATIONAL STUDENT-ATHLETES

This information is intended to guide international student-athletes on athletic aid in obtaining a social security card which will enable them to receive outstanding amounts of athletics aid from the University at Albany. It is the student-athlete’s responsibility to follow each of the steps listed below thoroughly to ensure that a social security number and card are obtained in a timely manner. This process will be initiated during the New International Student Orientation. Failure to complete this process will potentially withhold a portion of the student-athlete’s athletic scholarship from being applied to their student account. This would in turn result in holds on their account, overdue bills, late fees, etc.

Obtaining a Social Security Number

1. The Assistant Director of Event Management and Game Operations will assist international student-athletes in finding a job limited in scope (e.g., a few times per semester), as opposed to a consistent source of income. If the student-athlete desires to find a longer term employment commitment, they must further consult with the Assistant Director of Event Management and Game Operations.
2. One of the student-athlete’s coaches will arrange a meeting between the student-athlete and the Assistant Director of Event Management and Game Operations. If hired as a student worker, the student-athlete will receive a letter from the Assistant Director of Event Management and Game Operations indicating they will be employed by UAlbany Athletics as a game worker. Please note that a student will be required to work at least one day during the year to fulfill the requirement to obtain a social security number.
3. With that letter, the student-athlete needs to proceed to the International Student and Scholar Services Office (ISSS), located in Science Library G-40, and talk with an advisor about their eligibility for a social security number. If the student is eligible, the ISSS advisor will provide the student with a letter certifying that they have the necessary immigration status and work authorization to be eligible for a social security number. The Social Security Administration requires this letter when the student applies for their social security number.
4. Once the student has the two letters in hand, they need to put together their visa documents, passport and completed social security number application and make arrangements with their coach or the Business Assistant in the Athletic Business Office to make arrangements to be transported to the Social Security Administration in Downtown Albany to complete the application process. There is no processing fee. It takes roughly two weeks to receive the social security card after filling.
5. The student will need to bring all of the aforementioned documentation to complete this application. This includes:
   a. Employment letter;
b. ISSS status letter;
c. Social security number application;
d. Visa documents;
e. Passport; and
f. Complete and current (local) mailing address.

6. When the student-athlete receives their social security card in the mail, they immediately take it to the Associate Athletic Director for Compliance. A copy will be made and sent in interoffice mail to the Human Resources Office.

7. Subsequently, the Human Resources Office will follow up with the Associate Athletic Director for Compliance to schedule a meeting with international student-athletes that need to complete additional forms:
   a. Students who have a tax treaty are the only ones who need to fill out the W8BEN Form.
   b. Every student will need to complete the Presence Test.
   c. Every student will need to bring a copy of the following documents:
      i. I-20;
      ii. I-94;
      iii. A copy of their passport ID page (the page with their photo); and
      iv. A copy of the visa page which has a stamp that has the dates in which the student entered the United States.
   d. Human Resources will walk the student through filling out the two forms during this meeting (W8BEN and the Presence Test). They will also provide the student information on what to expect at the end of the year and the 1042-S tax form.

Albany Social Security Office
Room 430 Federal Building
11A Clinton Avenue
Albany, NY 12207

Social Security Phone (Local): 1-866-253-9183
Social Security Phone (National): 1-800-772-1213
TTY: 1-518-431-4050

Social Security Office Hours:
MON: 9:00 AM - 4:00 PM
TUES: 9:00 AM - 4:00 PM
WED: 9:00 AM - 12:00 PM
THUR: 9:00 AM - 4:00 PM
FRI: 9:00 AM - 4:00 PM
SAT & SUN: CLOSED

**Local or Campus Mailing Address**

It is imperative for student-athletes to maintain a current local or campus mailing address in their MyUAlbany account. UAlbany Human Resources is required by law to mail out the Foreign Person’s U.S. Source Income Subject to Withholding 1042-S Form annually. Student-athletes must not indicate their mailing address as the UAlbany generic mailing address of 1400
Washington Avenue, Albany, NY 12222. Below are two examples of an appropriate local or campus mailing address:

EMPIRE EF1 Room 100-1, Box #1234, Albany, NY 12222  
123 Western Avenue Apartment A, Albany, NY 12222

SECTION 11 PROCEDURES RELATED TO REGULATIONS GOVERNED BY BYLAW 16: AWARD, BENEFITS AND EXPENSES FOR ENROLLED STUDENT-ATHLETES

STUDENT-ATHLETE PARTICIPATION AWARDS

Implemented in the spring of 2017, the Student-Athlete Participation awards are departmental athletic achievement awards for each qualified student-athlete. The student-athlete advisory committee (SAAC) voted on the type of award that will be presented to each student-athlete.

First-year student-athletes will receive a UAlbany winter blanket. To qualify for this award level, the student-athlete must have been a member of the team for one-year (fall/spring) semester as an eligible member of the team.

Second-year student-athletes will receive a chenille framed UAlbany logo. To qualify for this award level, the student-athlete must have completed two consecutive (fall/spring) semesters as an eligible member of the team.

Third-year student-athletes will receive a watch. To qualify for this award level, the student-athlete must have completed three (fall/spring) semesters as an eligible member of the team.

Fourth-year student-athlete will receive a UAlbany ring. To qualify for this award level, the student-athlete must have completed four (spring/fall) semesters as an eligible member of the team.

Mid-year transfers do not qualify for awards until completing two consecutive (fall/spring) semesters as an eligible student-athlete.

Initial enrollment triggers award cycle. For example, a junior college transfer, after completing two full semesters as an eligible student-athlete would qualify for the first year award.

STUDENT-ATHLETE COMPLIMENTARY ADMISSIONS

Home and Away Games

In accordance with NCAA, Conference Affiliate and UAlbany regulations, each student-athlete is entitled to four (4) complimentary admissions for home contests. Each student-athlete is entitled to two (2) complimentary admissions for away contests. The Athletic Ticket Office and the Office of Compliance Services collaborate to ensure that all regulations are followed for assigning and distributing player complimentary admissions.
Post-Season

In accordance with NCAA, Conference Affiliate and UAlbany regulations, each student-athlete is entitled to four (4) complimentary admissions for all home post-season events. Each student-athlete is entitled to two (2) complimentary admissions for all away or neutral sited contests. The Athletic Ticket Office and the Office of Compliance Services collaborate to ensure that all regulations are followed for assigning and distributing player complimentary admissions.

Procedures

The procedure outlined below must be followed for the sports of Men’s Soccer, Football, Men’s Basketball, Women’s Basketball and Men’s Lacrosse:

1. Student-athletes must log in to their ARMS account and navigate to the Complimentary Tickets tab.
2. Student-athletes have the ability to request complimentary admissions by indicating the full name and relationship of the individual(s) whom they would like to leave complimentary admissions for. Student-athletes also have the ability to transfer their complimentary admissions through ARMS to another student-athlete on their team.
3. The Athletic Ticket Office will review all complimentary admissions requests made by student-athletes through ARMS in consultation with the Athletic Ticket Policy and the Office of Compliance Services.
4. All requests must be submitted in ARMS within 24 hours of the start of the game/contest.
5. Once the deadline has passed, the Athletic Ticket Office prints the complimentary admissions list for game day use.

Complimentary Admissions Honoring Current Student-Athlete

According to NCAA Bylaw 16.2.1.3.2, an institution may provide a maximum of four (4) complimentary admissions to a student-athlete for an institution's game or event during which a student-athlete is being honored but not participating, provided such complimentary admissions are used by the student-athlete's family members.

Procedure

1. Student-athletes must complete the Complimentary Admissions Honoring Current Student-Athletes Form in ARMS.
2. Student-athletes have the ability to request complimentary admissions by indicating the full name and relationship of the individual(s) whom they would like to leave complimentary admissions for.
3. The Office of Compliance Services and the Athletic Ticket Office will review all complimentary admissions requests made by student-athletes through ARMS in consultation with the Athletic Ticket Policy and NCAA rules.
4. All requests must be submitted in ARMS within 24 hours of the start of the game/contest.
5. Once the deadline has passed, the Athletic Ticket Office creates a complimentary admissions list for game day use.

OCCASIONAL MEALS

Coaches are required to submit an Occasional Meal Form through ARMS for any meal a student-athlete or the entire team in a sport receives from a representative of athletics interest or for any meal received in the locale of the institution on infrequent and special occasions from an institutional staff member. These meals must be documented in detail as to who attended and location. The Occasional Meal Form must be submitted through ARMS at least 24 hours prior to when the occasional meal is expected to occur and must be approved by the Office of Compliance Services and the Athletic Business Office.

HOUSING REQUESTS

The Associate Athletic Director for Compliance is the main point of contact between Residential Life and Athletics. Coaching staff will work with the Associate Athletic Director for Compliance at various times during the year regarding housing assignments. Coaching staff will be provided instructions, templates and due dates regarding the following information:

A. Fall incoming student-athlete housing requests;
B. Recess housing requests;
C. Summer school housing requests; and
D. Preseason housing requests.

VACATION PERIOD, SUMMER SCHOOL AND PRESEASON MEALS

The Associate Athletic Director for Compliance is the main point of contact between University Auxiliary Services, SUNY Card and Athletics. Coaching staff will work with the Associate Athletic Director for Compliance at various times during the year regarding meals and dining. Coaching staff will be provided instructions, templates and due dates regarding the following information:

A. Recess meals/per diem/catering.
B. Summer school meal plan requests; and
C. Preseason meals/per diem/catering.

SECTION 12 PROCEDURES RELATED TO REGULATIONS GOVERNED BY BYLAW 17: PLAYING AND PRACTICE SEASONS

DECLARATION OF PLAYING SEASON

Head Coaches will be asked by the Office of Compliance Services to submit their Declaration of Playing Season in ARMS prior to the start of their respective playing season. If a coach elects to divide their playing season into two segments in accordance with NCAA rules, the Assistant Athletic Director for Compliance shall revisit this form with the coach prior to the start of the
second segment in order to declare the segment dates and ensure these dates conform to the number of days per NCAA rules.

**CHAMPIONSHIP AND NONCHAMPIONSHIP SEGMENT COMPETITION SCHEDULES**

Coaching staff are required to submit both the Championship Segment Competition Schedule and the Nonchampionship Segment Competition Schedule Forms through ARMS. These forms are approved by the Associate Athletic Director for Compliance, Assistant Athletic Director for Facilities, sport-specific Athletic Academic Advisor and Sport Supervisor. The Competition Schedule Template that is uploaded to the ARMS form can be found on the Office of Compliance Services webpage.

**REQUEST FOR SCRIMMAGE/PRACTICE OR NON-TRADITIONAL SEASON CONTEST**

Coaching staff are required to submit the Request for Scrimmage/Practice or Nontraditional Season Contest Form through ARMS. This form is to be submitted a minimum of 14 days before the proposed event. The form is approved by the Associate Athletic Director for Compliance, Assistant Athletic Director for Facilities, sport-specific Athletic Trainer and sport-specific Media Relations contact. It should not be assumed that the event is approved until notification has been provided.

**BASKETBALL/FOOTBALL SUMMER ACTIVITIES DECLARATION**

Prior to engaging in any summer activities, football and basketball must submit the Basketball/Football Summer Activities Declaration in ARMS. This form outlines the following:

A. The eight (8) weeks that may be used for summer athletic activities;
B. Summer athletics activity schedule; and
C. The names of student-athletes, sport and which summer session(s) they are attending if applicable.

**SUMMER ACCESS CERTIFICATION - FOOTBALL AND BASKETBALL**

Prior to the start of Summer Session I, the head coach or designee will designate the eight (8) weeks of required athletic activities on the Basketball/Football Summer Activities Declaration Form. Once determined, the Office of Compliance Services and the Office of Academic Services will communicate to confirm summer school enrollment and which student-athletes meet any exceptions to summer school enrollment. Enrollment along with summer athletic aid information will be kept on a spreadsheet and shared between the Financial Aid Office, Office of Compliance Services, Office of Academic Services and Athletic Business Office. Subsequent changes to summer scheduling shall require additional review.
DESIGNATION OF SPORTS- SAFETY CERTIFIED COACHING STAFF MEMBER(S)

NCAA Bylaw 17.1.6 states that an institutional staff member with current certification in first aid, cardiopulmonary resuscitation (CPR) and automatic external defibrillator (AED) use must be present any time a student-athlete participates in a physical, countable athletically related activity. In the event an athletic trainer or strength and conditioning coach is not immediately on site, another individual must be present during physical, countable athletically related activity who is certified in First Aid, CPR and AED.

At least one (1) and up to three (3) coaching staff members hold up-to-date First Aid, CPR and AED certification at all times. This protects the health and safety of our student-athletes, reduces liability and also ensures NCAA compliance. The athletic department will offer a certification course each winter.

Annually, each team will be assigned a Designation of Sports-Safety Certified Coaching Staff Member(s) form through ARMS. The form is approved by the Sport Supervisor, Associate Athletic Director for Compliance and the Assistant Athletic Director for Business. Copies of up-to-date certifications must be uploaded into the form.

DOCUMENTATION OF COUNTABLE ATHLETICALLY-RELATED ACTIVITIES

All countable athletically related activities are documented using ARMS Software on a weekly basis when both in-season and out-of-season during the academic year. Coaches are not required to log CARA hours during institutional vacation periods. Once a log has been submitted, 1-2 randomly selected student-athletes who participated in CARA during that week are emailed to log in to their ARMS account and review the CARA Log. Once approved by a student-athlete, the CARA Log goes to the Assistant Athletic Director for Compliance for review/approval. Any issues or concerns are addressed with the student-athlete and/or coaching staff. CARA Logs may be confirmed randomly by the Assistant Athletic Director for Compliance with sports medicine staff and strength and conditioning coaches.

MANDATORY TWO-WEEK DEAD PERIOD

In an increased effort to address time demands, UAlbany Athletics implemented a policy effective with the 2016-17 academic year. Beginning with the day after a team’s NCAA championship playing season has concluded, the entire team is in a 14-day dead period. During that time, no countable athletically related activities may take place. Any activities a student-athlete takes place in must strictly meet the definition of a voluntary activity. This 14-day window permits student-athletes to have additional focus on academics, career development, and further integrating with the general student body. On the 15th calendar day, teams may commence out-of-season countable athletically related activities, in conjunction with NCAA rules. Brief end-of-season wrap up meetings are permitted.

OUTSIDE COMPETITION

Student-athletes are permitted to participate in outside competition during the academic year.
when they are not in their playing season and during institutional vacation periods/summer. In order to participate in any outside competition student-athletes must have permission from their respective coaches, along with approval from the Office of Compliance Services. In accordance with NCAA rules and regulations, student-athletes are only allowed to receive actual and necessary expenses from any team or organization in which outside competition takes place. Student-athletes must submit the Outside Competition Form through ARMS at least 1 week prior to any participation commencing.

SUMMER BASKETBALL LEAGUES AND OUTSIDE COMPETITION

Men’s and women’s basketball student-athletes are permitted to participate in NCAA Certified Summer Leagues. At least 1 week prior to any participation, men’s and women’s basketball student-athletes must complete the Basketball Summer League Statement & Permission Form in ARMS.

In accordance with NCAA Bylaw 17.31 an outside team cannot include more than a designated number of student-athletes from the same institution. The number of athletes permitted is as follows:

- Baseball - 4
- Basketball - 2
- Lacrosse - 5
- Soccer - 5
- Softball - 4
- Volleyball – 2

SECTION 13 PROCEDURES RELATED TO REGULATIONS GOVERNED BY BYLAW 31: EXECUTIVE REGULATIONS

NCAA DRUG TESTING PROGRAM

The NCAA will conduct random urine testing at all NCAA post-season championships. The NCAA has also implemented a Year-Round Testing Program, which will randomly tests individual sports throughout the year.

In the event a student-athlete tests positive on a NCAA championship drug test or on a year-round drug test, the student-athlete must adhere to the NCAA Drug Testing legislation.

NCAA Drug-Testing Consent Form

Each academic year, a student-athlete shall sign a form maintained by the Committee on Competitive Safeguards and Medical Aspects of Sports and approved by the Council in which the student consents to be tested for the use of drugs prohibited by NCAA legislation. Failure to complete and sign the consent form prior to practice or competition, or before the Monday of the fourth week of classes (whichever occurs first) shall result in the student-athlete's ineligibility for participation (practice and competition) in all intercollegiate athletics.
Exception -- 14-Day Grace Period

A student-athlete who is trying out for a team is not required to complete the form until 14 days from the first date the student-athlete engages in countable athletically related activities or before the student-athlete participates in a competition, whichever occurs earlier.

Procedures

1. The consent form is administered individually to each student-athlete by the Associate Athletic Director for Compliance each academic year through ARMS.
2. The Associate Athletic Director for Compliance shall disseminate the list of banned drug classes to all student-athletes and educate them about products that might contain banned drugs. All student-athletes are to be notified that the list may change during the academic year, that updates may be found on the NCAA website (www.ncaa.org) and informed of the appropriate athletics department procedures for disseminating updates to the list.
3. The consent form is kept on file in each student-athletes’ ARMS profile and shall be available for examination upon request by an authorized representative of the NCAA.
4. It will be the responsibility of the Site Coordinator (Head Athletic Trainer) to notify the Associate Athletic Director for Compliance and any other appropriate staff members that their sport has been selected for testing by Drug Free Sport.
5. The Associate Athletic Director for Compliance will provide the Site Coordinator the roster(s) for the selected sport(s) to be tested.

Please refer to the Department Policies and Procedures for the complete Drug Testing Policy and Procedure.

SUMMER DRUG TESTING

The NCAA Committee on Competitive Safeguards and Medical Aspects of Sports has authorized summer drug testing at Division 1 institutions, effective to begin in the summer of 2006. Therefore, all student-athletes with remaining eligibility and who signed a drug testing consent form at the beginning of the previous academic year will be eligible to be tested during the summer, regardless of whether the student-athlete resides on or off campus, is within the Albany vicinity or has traveled out of state. All incoming student-athletes will not be subjected to testing.

All athletic department staff members and coaches will be responsible for assisting in the summer drug testing program as deemed necessary by the Summer Site Coordinator.

Procedure

1. It will be the responsibility of the Summer Site Coordinator (Head Athletic Trainer) to notify the appropriate Head Coach, Designee and any other appropriate staff members that their sport has been selected for testing. Drug Free Sport, the testing agency for the NCAA, will work through the site coordinators to select and notify student-athletes and conduct the testing within 48 hours of notification.
2. The Summer Site Coordinator will be responsible for providing to Drug Free Sport on an annual basis a summer institutional academic calendar for planning and coordinating testing days and times.

3. Once notified by the NCAA, the Summer Site Coordinator will be responsible for contacting the student-athletes that are chosen to be tested and notify them of the date and time of the test. Regardless of their location in the summer, the Summer Site Coordinator must be able to contact the student-athlete to set up a test time for the date specified.

4. Failure to provide accurate information or to assist with locating student-athletes who are chosen to be drug tested will result in a loss of eligibility for the student-athlete. Student-athletes who test positive for summer drug testing program test are subject to the same NCAA drug testing sanctions.

*Please refer to the Department Policies and Procedures for the complete Drug Testing Policy and Procedure.*

**UALBANY ALCOHOL AND DRUG EDUCATION TESTING PROGRAM**

The University at Albany Department of Athletics advocates the development of healthy and responsible lifestyles for all student-athletes as a long-time enrichment and enhancement of their lives. The abuse and misuse of drugs and alcohol is a major problem for all segments of contemporary society. The University at Albany has developed a program of drug and alcohol education and testing to aid the understanding of these problems and provide potential solutions. UAlbany student-athletes occupy a special position in the University community; they must maintain a high degree of physical fitness and alertness to perform to the best of their capacity in their athletic endeavors; they must adhere to the highest of ethical standards in their sports; and they must be prepared to be viewed as role models by their peers and young children. This policy remains in force until modified or revoked in writing by the University at Albany Department of Athletics.

Please note that the University at Albany's Program for Drug and Alcohol Education Testing is a separate and distinct from the NCAA Testing Program.

In accordance with the philosophy of the NCAA, all student-athletes engaged in intercollegiate athletics at the University at Albany are mandated to comply with all provisions of this Program. The UAlbany Drug Testing and Consent Form must be signed by the student-athletes to be eligible for participation on any intercollegiate athletic team. If a student-athlete chooses not sign the consent form, the student-athlete will not be permitted to participate in intercollegiate athletics at the University at Albany.

University Testing shall include the following:

1. **Random Testing**

   Random periodic testing of the total roster of all teams will occur at random intervals throughout the academic year. This list will be randomly generated from each active team roster.
2. Follow-Up Testing
   Student-athletes who have previous violations of the Drug and Alcohol Policy will be
   tested individually, or as part of a regularly scheduled test.

3. Reasonable Cause Testing
   Student-athletes or a team may be tested individually or as part of a regularly scheduled
   test. This test will be used for student-athletes who demonstrate symptoms or behaviors,
   which are indicative of substance abuse. These cases will be anonymously reviewed by
   the Testing Committee to determine if testing is warranted. No notice of testing is
   required. It should be noted that no reasonable cause testing can be recommended from
   the Safe Haven Program.

4. Testing Prior to Participation in NCAA Championship
   All student-athletes who have qualified for an NCAA Championship may be tested prior
   to the participation in the event.

5. No-Notice Testing
   All student-athletes who have signed the UAlbany Drug Testing and Consent Form and
   are listed on the squad list are subject to unannounced random drug testing. Students
   listed on the NCAA or institutional squad list who have exhausted their eligibility who
   have career-ending injuries, who have elected not to participate in intercollegiate
   athletics, or have graduated will not be selected. Student-athletes will be selected for
   testing from the official institutional squad list by using a computerized random number
   program. Student-athletes will be responsible for reporting to the designated testing site
   within thirty minutes of notification.

Procedures

1. The consent form is administered individually to each student-athlete by the Associate
   Athletic Director for Compliance each academic year through ARMS.
2. The consent form is kept on file in each student-athletes’ ARMS profile and shall be
   available for examination upon request by an authorized representative of the NCAA.
3. It will be the responsibility of the Site Coordinator (Head Athletic Trainer) to notify the
   Associate Athletic Director for Compliance and any other appropriate staff members that
   their sport has been selected for testing by Drug Free Sport.
4. The Associate Athletic Director for Compliance will provide the Site Coordinator the
   roster(s) for the selected sport(s) to be tested.

Please refer to the Department Policies and Procedures for the complete Drug Testing Policy
and Procedure.
SECTION 14 OTHER COMPLIANCE POLICIES

REQUESTING RULES INTERPRETATIONS

When faced with a question or concern regarding NCAA rules and regulations, the following process should be followed:

1. Utilize the current NCAA Manual. Each coach and athletic staff member has been provided with a NCAA Manual for this purpose. If the information in the manual does not clearly answer the question, move on to;

2. Contact the Associate Athletic Director for Compliance or the Assistant Athletic Director for Compliance. When needed, additional clarification or interpretation will be obtained from the Conference or NCAA Office. To avoid confusion or misinterpretation, all questions should be submitted in writing.

RULES EDUCATION PROGRAM

All athletics department staff members are responsible for current knowledge of university, conference and NCAA rules and regulations. Knowledge and familiarity with the rules best comes from regular review of the NCAA Manual, compliance meetings and educational information disseminated from the Office of Compliance Services.

Monthly all-staff meetings are held and provide an opportunity for rules compliance education and open dialogue among attendees. Special reviews of new NCAA legislation will be held each year prior to the NCAA Coaches’ Certification Exam. Attendance at all staff meetings is mandatory. Additional rules education sessions may be held at the discretion of the Office of Compliance Services with athletics department staff members, student-athletes and university personnel outside of UAlbany Athletics.

Additionally, the Office of Compliance Services provides rules education through a variety of mediums, such as monthly newsletters, beginning and end of the year student-athlete meetings, social media (Twitter: @UAlbanyBylaws, Instagram: @UAlbanyByalws), educational flyers and updates as they arise.

BEGINNING OF THE YEAR STUDENT-ATHLETE MEETINGS

All student-athletes must participate in a meeting conducted by a member of the Office of Compliance Services prior to their participation in intercollegiate athletics each year. There are two main components to this meeting: student-athletes receive a prepared presentation that educates them on the NCAA rules as well as pertinent UAlbany policies. Every student-athlete will be provided the opportunity to ask questions. The Student-Athlete Handbook and Planner will be provided to all student-athletes at the beginning of the year meeting. The following is a non-exhaustive list of topics that are discussed:

- UAlbany Athletic Administration
- Sport Supervisor
As part of the mandatory university, conference and NCAA paperwork, all student-athletes will read and sign through ARMS the following forms prior to any athletics participation:

- Academic Year Employment
- Amateurism Status after Final Certification
- Assignment of Benefits, Designation of Authorized Representative and Appeal Rights
- Authorization/Consent for Disclosure
- Certification of Recruited Status
- Complimentary Admissions Education
- General Information
- MAAC Student-Athlete Sportsmanship Statement
- New Student-Athlete Pre-Participation Medical Questionnaire
- New Student-Athlete Questionnaire
- NCAA Consent for Disclosure of Protected Health Information
- NCAA Drug Testing Consent - DI
- NCAA Student-Athlete Statement – DI
- Outside Scholarship Reporting Form
- Primary Insurance Form
- Promotional Activities
- Returnee Pre-Participation Medical Questionnaire
- Sickle Cell Trait Testing Information
- Sports Wagering Education
- Student-Athlete Automobile Information
- Student-Athlete Social Media Policy
- UAlbany Drug Testing and Consent Form
END OF THE YEAR STUDENT-ATHLETE MEETINGS

All returning student-athletes must annually participate in a checkout meeting conducted by the Office of Compliance Services during/immediately following the spring semester. The purpose of the meeting is to cover the following topics:

- Outside Competition
- Summer Employment
- Required and Voluntary Summer Workouts
- Summer Drug Testing

PROCEDURES FOR INVESTIGATING AND REPORTING AN ALLEGED OR POTENTIAL VIOLATION

1. It is the duty of every institutional staff member and student-athlete to immediately report any violation or suspected violation of AE, CAA, MAAC or NCAA rules. Details pertaining to any violation should be submitted, preferably in writing, to the Associate Athletic Director for Compliance.

2. Once informed of an alleged violation, the compliance office will gather preliminary information surrounding the incident. Based on the information gathered during the preliminary investigation, the compliance office will determine whether a rules violation has occurred.

3. To determine if a Level I, Level II or a Level III violation has occurred, the compliance office will initiate a comprehensive investigation into the matter; the faculty athletic representative (FAR) and Legal Counsel may be assigned to assist in the investigation if deemed necessary. The Office of Human Resources may be notified. A written record will be maintained with the following facts documented:
   a. Date when the alleged violation was reported, to whom, by whom;
   b. Detailed account of the alleged violation (i.e. date(s) that it occurred, who was involved, the circumstances surrounding, and bylaw(s) violated); and
   c. Chronology for all actions taken during the investigation.

4. In the case of a Level III violation, the Director of Athletics and Associate Athletic Director for Compliance will recommend action. When the violation involves an eligibility issue, the student-athlete(s) in question will be immediately declared ineligible until further notice from the NCAA. In all other cases, meaningful corrective and disciplinary measures will be taken against the individual(s) involved. A report of the violation including all relevant information will be sent to the NCAA through the NCAA Requests/Self-Reports Online (RSRO) system.

5. In the case of a Level I or Level II violation, Legal Counsel may be retained. If necessary, Outside Counsel may be requested. The investigations findings will be reported to the Director of Athletics through the President’s Office. The Director of Athletics or Designee will utilize sources at the conference level to determine the appropriate corrective and disciplinary actions for those individuals involved.

6. The Associate Athletic Director for Compliance will be responsible for notifying the Faculty Athletics Representative, the President of the University, University Counsel, the
Commissioner of the AE, CAA, or MAAC, and the NCAA Enforcement staff of violations of NCAA rules when appropriate.

**Letter of Admonishment/Letter of Reprimand**

Letters of admonishment and letters of reprimand shall be drafted on institutional stationary. The following information should be included in each violation report:

A. The date and location of the violation;
B. A description of the violation including rule citation;
C. Identification of anyone involved in the violation (e.g., student-athletes, coaches, boosters, staff members);
D. The reason(s) the violation occurred;
E. A list of corrective/disciplinary actions;
F. A declaration of ineligibility and possible request for reinstatement for any prospective or current student-athlete who was involved in the violation; and
G. The institution’s position regarding the violation.

The involved individual(s) (e.g., coach, staff member) will be sent a hard copy of the letter. The Faculty Athletics Representative, Director of Athletics, Athletics Human Resources Manager, Sport Supervisor and Head Coach (when relevant) will receive a copy of the letter.

Annually, the Office of Compliance Services may be asked to submit a summary of NCAA violations to the respective conference affiliate office.

**ALLEGED VIOLATIONS INVOLVING OTHER NCAA INSTITUTIONS**

If any individual has knowledge of an alleged or suspected violation that involves another NCAA member institution, the information may be reported to the Associate Athletic Director for Compliance. The Associate Athletic Director for Compliance, in conjunction with the Director of Athletics, will determine the best course of action for addressing the allegation based on information provided. Course of action may include direct contact with the compliance office of the reported institution requesting an investigation of the reported violation. Other responses may include contacting the appropriate conference compliance office and the NCAA enforcement staff requesting the reported institution or that institution’s conference office be contacted.

**WAIVERS**

The NCAA and conference affiliate provide opportunities to request waivers of most NCAA rules. The Office of Compliance Services is responsible for preparation and submission of most available waivers. If a waiver has specific criteria (e.g., a medical hardship waiver), the waiver request will be submitted only if those specific criteria are satisfied. Exceptions may be made if a denial of a waiver is necessary to move forward with another process or for other reasons which will be evaluated on a case-by-case basis. If a waiver does not have specific criteria, it is at the institution’s discretion to submit a waiver. Such decisions will be made by the Office of
Compliance Services in concert with the Head Coach (if applicable), Sport Supervisor (if applicable), the Director of Athletics, the Faculty Athletics Representative and any other appropriate administrative or coaching personnel. Some common waivers are referenced below:

- Athletics Activity Waiver
- Two Year-College Transfer Waiver
- Extension of Eligibility Waiver
- Initial Eligibility Waiver
- Legislative Relief Waiver
- Medical Absence Waiver
- Medical Hardship Waiver
- Medical Hardship Waiver Appeal
- Membership Requirements Waiver
- Progress Toward Degree Waiver
- Season of Competition/Participation Waiver

**COMPLIANCE REVIEWS**

NCAA rules specify that every four years institutions must have their rules compliance program reviewed by an entity outside of athletics. The Office of Compliance Services is responsible to schedule such reviews with an entity outside of athletics as agreed upon by the Director of Athletics and any other office (i.e., Legal Counsel), as necessary.

Upon the conclusion of any compliance review, the reviewer(s) will issue a report to include any recommendations for the Department of Athletics to enhance or improve its operations as it relates to compliance with NCAA legislation. Such recommendations shall be taken into consideration by the Associate Athletic Director for Compliance, Director of Athletics, University Counsel and the Chief of Staff, with collaboration from the Athletics Senior Staff. Factors for implementation of suggestions include: whether the suggestion makes sense for UAlbany, cost of implementation, whether staffing is adequate to fully implement the suggestion, whether the suggestion addresses a real need at UAlbany specifically.

The meeting to review the recommendations shall occur within two months of the final compliance review report being issued. After this meeting, the Associate Athletic Director for Compliance shall complete a written plan to implement each suggestion – or to explain why such a recommendation is not being implemented. The written plan shall be reviewed annually by the Associate Athletic Director for Compliance and a written update completed in relation to the progress of implementation of recommendations.

**NCAA CERTIFICATION**

The NCAA requires institutions to complete the NCAA Athletics Certification process once every 10 years. This is a function of the university as a whole – not the Department of Athletics only. The President will be expected to appoint a Steering Committee and various subcommittees to address the required areas of certification. Throughout the certification process,
recommendations will be made to the Department of Athletics. The recommendations should be realistic and should address real needs within athletics and the university.

**COMPLIANCE CONTACT LIST AND CALENDAR**

The Office of Compliance Services shall maintain a calendar detailing tasks and due dates of NCAA reports (e.g., GSR, APR, Sport Sponsorship) it handles on a monthly basis.

The Office of Compliance Services shall maintain a contact list detailing NCAA/university topics along with which compliance staff member is the primary contact for that topic and the compliance staff member who is the secondary contact for that topic.

**NCAA GRADUATION SUCCESS RATE (GSR)**

Each year, NCAA Division I institutions are required to report information for students and student-athletes who entered college during the cohort year for which the most recent six years of information is available. The NCAA Graduation Success Rate (GSR) report is also broken down by sport, using a four-year average. Unlike the Federal Graduation Rate (FGR), the GSR credits institutions with student-athletes who leave the college in good academic standing and those who transfer into the college and graduate.

The Office of Compliance Services and the Office of Academic Services collaborate along with the Office of Institutional Research, Planning, and Effectiveness. The Associate Athletic Director for Academic Services and the Associate Athletic Director for Compliance Services are the primary contacts for GSR reporting. However, Institutional Research submits the report annually.

**NCAA ACADEMIC PROGRESS RATE (APR)**

The APR, or Academic Progress Rate, holds institutions accountable for the academic progress of their student-athletes through a team-based metric that accounts for the eligibility and retention of each student-athlete for each academic term.

The APR is calculated as follows:

- Each student-athlete receiving athletically related financial aid earns one point for staying in school and one point for being academically eligible.
- A team’s total points are divided by points possible and then multiplied by 1,000 to equal the team’s Academic Progress Rate.
- In addition to a team’s current-year APR, its rolling four-year APR is also used to determine accountability.

Currently, teams must earn a 930 four-year average APR or a 940 average over the most recent two years to participate in NCAA championships. In 2015-16 and beyond, teams must earn a four-year APR of 930 to compete in championships.

While the APR is intended as an incentive-based approach, it does come with a progression of
penalties for teams that under-perform academically over time.

The first penalty level limits teams to 16 hours of practice per week over five days (as opposed to 20 over six days), with the lost four hours to be replaced with academic activities.

A second level adds additional practice and competition reductions, either in the traditional or non-championship season, to the first-level penalties. The third level, where teams could remain until their rate improves, includes a menu of possible penalties, including coaching suspensions, financial aid reductions and restricted NCAA membership. The Division I Committee on Academics, which oversees Division I’s academic infrastructure, has the discretion to apply appropriate penalties once teams have fallen below the benchmark for three consecutive years.

While postseason bans are commonly applied as a penalty in the NCAA enforcement process, they are not considered as a penalty for poor academic performance. Instead, the requirement that teams achieve a minimum APR is simply a benchmark for participation in championships. Just as teams must win in competition to be eligible for championships, they must also achieve in the classroom.

As part of the APR, the NCAA established a public recognition program for the top-performing teams in each sport based on their most recent multiyear APR. These awards are given each year to teams with APRs in the top 10 percent, plus ties, in each sport.

The Office of Compliance Services and Office of Academic Services are responsible for completing the APR report each year. The Associate Athletic Director for Academic Services and the Associate Athletic Director for Compliance Services are the primary contacts for APR reporting. The report must be submitted no later than six weeks after the first day of classes for the fall semester. The Office of Institutional Research, Planning, and Effectiveness may be asked to assist with the report.

Data is gathered from certification of eligibility reports each term, transfer enrollment verification records from other institutions, and additional information such as transcripts, credit evaluations, and NCAA degree audit reports.

In addition to an annual and multi-year APR score for each sport, each head coach also has an APR associated with his/her tenure at the institution. Each institution with a team(s) multiyear APR below 930 must develop and submit an APR Improvement Plan to the NCAA. The improvement plan is developed by the Department's Office of Academic Services, the Office of Compliance Services, the Registrar and Head Coach. Stronger sanctions such as loss of scholarships, practice and playing opportunities or conference and NCAA championship opportunities may also be applied.

**NCAA SPORT SPONSORSHIP REPORT**

Annually, the athletics department must report to the NCAA various information regarding the status of the sports it sponsors within the NCAA Sport Sponsorship Report. This report is coordinated and submitted by the Associate Athletic Director for Compliance. Upon receipt of
the request for information from the NCAA, the Associate Athletic Director for Compliance reviews the request, ascertains what other staff members will be required to provide information for the report, delegates responsibility and then gathers all information to be reported. Upon compiling all necessary information, the Associate Athletic Director for Compliance submits the NCAA Sport Sponsorship Report.