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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.

Sports Wagering Acknowledgment

Each athletics department staff member and any persons responsible for the oversight of the Department of Athletics at the University at Albany will be assigned the Sports Wagering Acknowledgement through ARMS annually by the Associate Athletic Director for Compliance. By signing the agreement, the individual acknowledges that they have been advised about the NCAA’s prohibition against engaging in any type of sports wagering activities or providing information to others who may be involved in such.

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 rule;

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.

HEAD 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, Sport Supervisor and the Assistant to the Athletic Director to be kept in the Head Coach’s personnel file.

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.

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 an educational tip sheet that 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 and Associate Athletic Director for Compliance.

**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 Procedure

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

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;
B. 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. If a student-athlete is employed at a camp or clinic, they will be assigned a Student-Athlete Camp/Clinic and Fee for Lesson Form through ARMS to complete.

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 crosschecked 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.

**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

An athletics staff member or other representative of the institution's athletics interests shall not make contact with the student-athlete of another NCAA Division I institution, directly or indirectly, without first obtaining authorization through the notification of transfer process. Before making contact, directly or indirectly, with a student-athlete of an NCAA Division II or Division III institution, or an NAIA four-year collegiate institution, an athletics staff member or other representative of the institution's athletics interests shall comply with the rule of the applicable division or the NAIA rule for making contact with a student-athlete.

Coaches contacted by a prospective student-athlete at an NCAA Division I or NCAA Division II institution must verify the prospective student-athlete’s information has been entered into the notification of transfer database and wishes to be contacted or the Office of Compliance Services has received written permission to contact for an NCAA Division III or NAIA prospective student-athlete 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 NCAA Transfer Portal to verify a prospective student-athlete’s information is authorized in the system.
2. Notify the compliance staff concerning transfer assessment. The compliance staff will review the Transfer Tracer.
3. 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. If a four-year college transfer, the Office of Compliance Services must verify the prospect is entered in the notification of transfer database or written permission to contact is on file.
6. 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 five (5) 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 family members 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. 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 applicable to their sport. Please contact the Office of Compliance Services for clarification on any NCAA regulations related to institutional camps and clinics.*

Institutional Camps and Clinics Policy

1. Facility Availability

Camp Directors should submit their camp/clinic requests to the Associate Athletic Director for Facilities, Scheduling and Game Operations or Designee, through the On-Campus Institutional Camp/Clinic 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

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.

The University recognizes all on-campus camps and clinics as external facility rentals. Therefore, a revocable permit must be obtained and the application can be found at the following link: [https://www.albany.edu/risk-management/revocable-permit](https://www.albany.edu/risk-management/revocable-permit). The permit application, certificate of insurance and $50 application fee must be submitted in a single packet...
addressed to the Office of Facilities Management at least 30 days in advance. Please allow two weeks for approval. The Controller's Office will contact the Camp Director (and copy the Associate Athletic Director for Facilities, Scheduling and Game Operations or Designee,) via email when the permit is approved or if additional information is required.

An Estimate of Costs will be emailed to the Camp Director to confirm reservation of athletic facilities. Review, sign and return the Estimate of Costs and Arrangements for Athletic Facility Use to the Associate Athletic Director for Facilities, Scheduling and Game Operations or Designee 30 days prior to the event.

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 camps and clinics. 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 camps and clinics until they have received an approved revocable permit and confirmation from the Associate Athletic Director for Facilities, Scheduling and Game Operations or Designee.

Camps and clinics are classified as one of two categories:

I. Institutional/Program Fundraiser

A camp or clinic is an institutional/program fundraiser in which all monies collected are deposited into the program’s Foundation account.

If the camp or clinic is an institutional fundraiser, University at Albany logos, wordmarks, and materials may be used.

II. Privately Owned

A camp or clinic is privately owned when all monies collected are deposited into the organizer’s personal account.

If the camp or clinic is privately owned, Camp Directors are not permitted to make any statements in advertisements that associate their camp or clinic 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 these camps or clinics. All communication regarding camps and clinics must be via personal phone, fax, email and/or website. Privately owned camps and clinics are not affiliated with the University at Albany, they are simply hosted on University property.

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 privately owned camps and clinics.

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, promotional materials and websites must be reviewed and approved by the Office of Compliance Services and the Facilities Office before they are distributed or launched.

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. Sodexo is the exclusive food-service provider on campus. More information is available at the following link: https://ualbanydining.com/catering/index.html. The appropriate approvals must be obtained prior to using an off-campus food service provider. Camp Directors are not permitted to sell or serve food and drinks without approval from UAS.

7. Facility Set Up

Submit any facility set up requests to the Associate Athletic Director for Facilities, Scheduling and Game Operations 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 45 days 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 7:00am-6:00pm.

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

Privately owned camps and clinics are considered to be private business ventures. University employees who are also employed by the camp or clinic 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 Office of Compliance Services and the Associate Athletic Director for Facilities, Scheduling and Game Operations at the conclusion of the camp or clinic in the Post Camp/Clinic section of either the On-Campus Institutional Camp/Clinic Request Form or the Off-Campus Institutional Camp/Clinic Request Form.

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. On-campus summer camps/clinics must be submitted by February 1 for the upcoming summer. All promotional materials and
websites must be submitted to and approved by the Office of Compliance Services and the Facilities Office.

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. On-Campus Institutional Camp/Clinic Request Form or Off-Campus Institutional Camp/Clinic 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. On-campus 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." 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 On-Campus Institutional Camp/Clinic Request Form or the Off-Campus Institutional Camp/Clinic Request Form, within the Post Camp/Clinic Summary section. The templates are located on the Office of Compliance Services website at:
A. 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.

B. 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.

C. 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 Procedure packet prior to requesting approval to conduct sport camps/clinics.

At Least 60 Days Before Clinic

___Complete and submit the On-Campus Institutional Camp/Clinic Request Form or the Off-Campus Institutional Camp/Clinic Request Form to the Office of Compliance Services and the Facilities Office through ARMS

___Attach brochure/flyer and provide website link, if applicable

___Attach Campus Tour Approval, if applicable (template on 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 Associate Athletic Director for Facilities, Scheduling and Game Operations or Designee
___Secure meals through Sodexo, if applicable

___Purchase necessary apparel and equipment for clinic

___Basketball submit *IAWRP Camp Employment* form via hard copy to the Office of Compliance Services prior to the hiring of those individuals

**After Clinic – Within 1 Week**

___Complete and submit *Post Camp/Clinic Summary* within the *On-Campus Institutional Camp/Clinic Request Form* or the *Off-Campus Institutional Camp/Clinic Request Form* to the Office of Compliance Services through ARMS

___Attach completed *Camp/Clinic Employee List* (template on Office of Compliance Services website)

___Attach completed *Camp/Clinic Participant List* (template on Office of Compliance Services website)

___Attach completed *Camp/Clinic Financial Report* (template on 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 noninstitutional camp/clinic shall conform the rules set forth in NCAA Bylaw 13.12.

*Coaches are responsible for reviewing all regulations in Bylaw 13.12 of the NCAA Division I Manual applicable to their sport. Please contact the Office of Compliance Services for clarification on any NCAA regulations related to noninstitutional camps and clinics.*

**Noninstitutional Camps and Clinics Procedure**

1. **Camp/Clinic Approval**

   Before employment at a noninstitutional 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 Non-Institutional 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.

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 and NCAA Codes

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. If a coach requests, the Office of Compliance Services will perform an analysis of a 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. When able, the Office of Compliance Services will also attempt to perform cursory reviews of incoming prospects without a coach prompting them to do so. However, to insure a prospect is reviewed, a
coach who has any concerns about a specific prospect should alert the Office of Compliance Services and request a review.

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.

**MATRICULATION IN NCAA TRANSFER PORTAL**

On the first day of classes each semester, the Office of Compliance Services must select “Matriculate” for a student-athlete who has transferred to the University at Albany and is attending classes for the regular academic year.

**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.
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.

A student-athlete who has completed all degree requirements but has not graduated must remain enrolled full-time to practice and compete.

A student-athlete with eligibility remaining may participate in organized practice sessions and competition while enrolled in less than a minimum full-time program of studies, provided the student is enrolled in the final semester or quarter of a baccalaureate, graduate degree program, designated minor, or undergraduate certificate program and the institution certifies that the student is carrying (for credit) the courses necessary to complete the degree, minor, or certificate requirements.

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 affect 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 one online class to fulfill their full-time enrollment load whenever they must be enrolled full-time. For undergraduate students, that means one online class if taking 12 credits, 2 online classes if taking 15 credits, etc. For graduate students, that means one online class if taking nine credits and two 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.
NOTIFICATION OF TRANSFER

Policy

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
(Appplies 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.

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.

**Procedure**

1. Prior to a student-athlete initiating the notification of transfer process, it is highly encouraged that the student-athlete meet with their Head Coach to discuss the potential transfer.

2. The student-athlete 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. A former student-athlete who no longer has an active ARMS account and a current or former UAlbany student who was not a student-athlete must contact the Office of Compliance Services to receive a hard copy of the NCAA Transfer Portal Signature Page.

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. Within five (5) business days of the student-athlete being entered in to the NCAA Transfer Portal, the Head Coach must complete their portion of the Notification of Transfer Form. More specifically, if the student-athlete is on athletic aid, what shall happen to their athletic aid and when and whether the Head Coach recommends use of the one-time transfer exception.

5. If the Head Coach denies use of the one-time transfer exception, the Office of Compliance Services must notify the student-athlete within five (5) business days of the denial and instructions on appealing. Please refer to the One-Time Transfer Exception Policy and Procedure.

6. The institution subsequently enters and periodically updates, if necessary, the student-athlete’s typical tracer form information regarding eligibility and participation history.

7. 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.
8. 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 by selecting “Withdraw” in the NCAA Transfer Portal. The student-athlete can be entered in the Transfer Portal again if the student-athlete decides to once again explore transfer opportunities.

9. 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.

ONE-TIME TRANSFER EXCEPTION

Policy

The University at Albany and the Department of Athletics are committed to the equitable treatment of student-athletes who decide to transfer to other institutions or who are interested in a possible transfer to another institution, as well as evaluating the overall impact to the University and its athletic programs. The following policy and procedure shall be followed in all cases.

In accordance with NCAA Bylaw 14.5.5.2.10 and 14.5.5.2.10.1, if the University at Albany denies a student-athlete’s written request for the release or enters a denial of the release in the NCAA Transfer Portal, the University at Albany shall inform the student-athlete in writing that he or she, upon written request, shall be provided a hearing conducted by an institutional entity or committee outside the athletics department. The University at Albany shall conduct the hearing and provide written results of the hearing to the student-athlete within 15 business days (see Bylaw 14.02.4) of receipt of the student-athlete's written request for a hearing. If the University at Albany fails to conduct the hearing or provide the written results to the student-athlete within 15 business days, the release shall be granted by default and the University at Albany shall provide a written release to the student-athlete.

Procedure

1. Requesting Permission to Use the One-Time Transfer Exception.

If a student-athlete wishes to utilize the one-time transfer exception, it is highly encouraged the student-athlete speak with his or her Head Coach first. Then, the student-athlete may make the request for in writing to the Office of Compliance Services (hereinafter referred to as “Compliance Officer”). If a student-athlete submits a Notification of Transfer Form through ARMS, it shall be assumed they are requesting to utilize the one-time transfer exception.


After conferring with the Head Coach, the Compliance Officer and the administrator who oversees the student-athlete's sport (hereinafter referred to as “Sport Supervisor”) shall decide whether use of the one-time transfer exception should be granted. If appropriate in particular
cases, the Head Coach, Compliance Officer and/or the Sport Supervisor shall consult with the Director of Athletics regarding the request. The student-athlete shall also have the right to discuss the request with the Director of Athletics.

If use of the one-time transfer exception is granted, the Compliance Officer shall inform the student-athlete and/or institution the student-athlete is interested in transferring to in writing.

If permission is refused, the Compliance Officer shall inform the student-athlete of the decision in writing within five (5) business days of the decision. Additionally, the student-athlete will be informed in writing of their right to appeal the decision in accordance with NCAA rules. If permission to use the one-time transfer exception was requested by another NCAA institution, the Compliance Officer shall ensure that the decision to deny permission is provided to the other institution as promptly as possible.

3. Request for Hearing.

If a student-athlete wishes to request a hearing to contest the decision to deny use of the one-time transfer, the student-athlete must submit a written request to the Compliance Officer. Beginning with the day after the student-athlete receives the denial to 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.]

The student-athlete’s request for a hearing must describe the reasons the student-athlete believes that the decision to deny should be overturned or modified. All supportive documentation relevant to the student-athlete’s appeal must be submitted within two (2) business days of the scheduled hearing to the Compliance Officer.

4. Hearing Committee.

All hearings under this policy shall be conducted by the Student-Athlete Appeals Committee (hereinafter referred to as the “Committee”). NCAA rules require that the Committee consist exclusively of individuals who are employed outside of the Department of Athletics. The Committee shall be comprised of three (3) members appointed by the University President, or designee who shall also designate a Committee Chair.

It shall be the duty of the Chair to rule on procedural matters and the admissibility of evidence during such hearings. University Senior Managing Counsel or his/her designee may be present.

5. Scheduling the Hearing.

After the student-athlete submits the written request for a hearing, the Compliance Officer will contact the University President’s Office and the Chair of the Committee to schedule a hearing date. The hearing date shall occur no later than fifteen (15) business days following the student-athlete’s request. The University President’s Office shall inform the student-athlete, the Head Coach, the Committee, the Compliance Officer, the Sport Supervisor, and the Director of Athletics of the date, time and place of the hearing.
Within two (2) business days prior to the scheduled hearing, the Compliance Officer shall provide the Committee:

A. The notification of refusal and right to hearing letter from the Compliance Officer;
B. The request for hearing letter from the student-athlete; and
C. All supporting documentation submitted by the student-athlete, the Head Coach, the Compliance Officer, the Sport Supervisor, and/or the Director of Athletics.

6. **Conduct of the Hearing.**

All parties to the hearing are expected to provide truthful information to the Committee and treat the Committee and other parties with dignity and respect throughout the process.

The hearing is an informal administrative proceeding and not a court of law. It is not subject to and does not operate in accordance with formal rules of process, procedure or technical rules of evidence. The hearing will not be taped.

The Committee proceedings and all information submitted by the parties shall remain confidential except as otherwise required by law.

The student-athlete has the right to be an active participant either by appearing in-person or by telephone conference call.

The Head Coach and Sport Supervisor are required to appear in-person at the hearing, unless this requirement is waived by the Chair of the Committee based upon justifiable cause.

The Committee may request that other individuals attend and testify at the hearing, as the Committee deems relevant and appropriate.

If the student-athlete wishes to have other individuals (e.g., parents) attend the hearing, the student-athlete must provide a list of names and relationship of those individuals in a written request to the University President’s Office within two (2) business days prior to the hearing.

If the request is approved, the other individuals may be present at the hearing to observe but may not participate unless asked to do so by the Committee. The Compliance Officer, or designee, shall be present for purposes of clarification of the application of NCAA rules and the Senior Managing Counsel, or designee, may be present to counsel the Committee.

The Chair of the Committee will open the hearing by introducing the parties and Committee members. The Chair then will summarize the format of the hearing and any rules of procedure.

Thereafter, the Chair shall invite the student-athlete to present his or her position and describe the reasons why the student-athlete believes the decision to deny permission should be modified or overturned.
The Head Coach and/or Sport Supervisor then shall have the opportunity to present the rationale for denying permission.

The Committee may ask questions of any individual present at the hearing.

The student-athlete, Head Coach and Sport Supervisor all shall have the right to make a concluding remark or closing argument before the hearing is completed. The hearing should not be closed until the Chair has determined that all parties have had a fair and equal opportunity to present their positions.

7. Committee Deliberations and Notice of Decision.

Immediately following the hearing, the Committee shall meet privately to deliberate. The Committee's decision shall be based on a majority vote of the three members of the Committee. The decision shall be rendered no later than fifteen (15) business days following the student-athlete’s request for a hearing. The time limit within which to make a decision may be extended by the Committee Chair upon reasonable cause confirmed in writing to the student-athlete and the Director of Athletics.

The decision of the Department of Athletics will be upheld unless the Committee finds, more probably than not, that the original decision of the Athletics Department was clearly unreasonable, had no basis in the information provided or was contrary to applicable NCAA rules or University policies or procedures.

If the Committee determines that the decision of the Department was unreasonable or without basis in the facts presented or contrary to applicable NCAA rules or University policies and procedures, it may modify or overturn the decision to use the one-time transfer exception.

The Committee’s decision shall be final, and there are no further avenues of appeal at the University.

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

Procedure

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; or
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 Associate 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 Associate 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 Associate 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. Senior Associate Director – Financial Aid shall sign each copy of the financial aid agreement; and  
   C. Sport Supervisor shall sign the cover letter.
5. Once all signatures have been obtained, the Associate 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 Associate Athletic Director for Compliance will validate the documents and upload to the NLI Portal.

RENEWALS AND NONRENEWALS

Policy and Procedure

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 nonrenewal 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 Associate Athletic Director for Compliance will provide each coach with a renewal spreadsheet.
2. The coach completes the renewal spreadsheet and submits it to the Associate 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 Associate Athletic Director for Compliance.
4. Completed letters are forwarded to the Senior Associate Director – Financial Aid for approval and signature.
5. Renewal letters are emailed to student-athletes prior to July 1st.
6. Student-athletes who have had their aid renewed should log onto their MyUAlbany account to view their award. If a student-athlete has any concerns regarding their aid, they should contact their head coach immediately. Head Coaches should in turn contact the Associate 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 Associate Athletic Director for Compliance of any appeal.

Nonrenewals:

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 Associate Athletic Director for Compliance.
3. Non-renewal of athletics scholarships cannot be based on athletic ability.
4. If the head coach initiates the nonrenewal:
   A. The coach submits written documentation regarding the nonrenewal to the Associate Athletic Director for Compliance.
   B. The coach meets with the Associate Athletic Director for Compliance to review the case and discuss the nonrenewal process.
   C. The coach meets with the student-athlete to discuss the reasons for nonrenewal.
   D. The Sport Supervisor is informed of the pending nonrenewal by the coach.
5. If the Sport Supervisor supports the nonrenewal:
   A. The Associate Athletic Director will initiate a nonrenewal letter for Compliance.
   B. Completed letters are forwarded to the Senior Associate Director – Financial Aid for approval and signature.
   C. Nonrenewal letters are emailed to student-athletes prior to July 1st.
      I. NOTE: Any student-athlete may appeal a decision of nonrenewal 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 Associate Athletics Director for Compliance that he/she would like to appeal the nonrenewal 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 nonrenewal:
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

Policy and Procedure

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.

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.

- 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 Associate 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 Associate Athletic Director for Compliance.
2. The coach meets with the Associate 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 Associate Athletic Director for Compliance.
5. Completed letters are forwarded to the Senior Associate Director – Financial Aid for approval and signature.

ATHLETIC AID CANCELLATION, NONRENEWAL, AND REDUCTION APPEAL

Policy

The University at Albany and the Department of Athletics are committed to the equitable treatment of student-athletes who have had their athletics aid cancelled, reduced or non-renewed for the following academic year. The following policies and procedures shall be followed in all cases.

Under NCAA rules, prior to July 1st, each student-athlete who received an athletics award the previous academic year and who has eligibility remaining in the sport which financial aid was awarded the previous academic year (under NCAA Bylaw 15.3.7.1) shall be notified in writing whether the grant has been renewed or not renewed for the ensuing academic year.

The athletics scholarship award is not guaranteed for a four-year period. Instead, the athletics scholarships at the University at Albany are 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 at the coach’s discretion. 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.

Per NCAA Bylaw 15.3.4.2, any athletics scholarship may be reduced or canceled during the period of the award if the recipient:

A. Renders him or herself ineligible for intercollegiate competition;
B. Fraudulently misrepresents any information on an application, letter of intent or financial aid agreement;
C. Engages in serious misconduct warranting substantial disciplinary penalty;
D. Voluntarily (on his or her own initiative) withdraws from a sport at any time for personal reasons; or
E. Provides written notification of transfer to another 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 another institution between regular academic terms (winter break, summer break) the institution may reduce or cancel the financial aid immediately.

**Procedure**

1. **Requesting an Appeal.**

Per NCAA legislation, all student-athletes wishing to appeal a non-renewal, reduction or cancellation of financial aid have the right to do so. The appeal is initiated by submitting a written letter to the Director of Athletics or the Associate Athletic Director for Compliance within fourteen (14) calendar days of receiving the non-renewal, reduction or cancellation letter. Otherwise, no further action will be taken and the matter will be considered closed.

The written appeal should include the following:

   A. The student-athlete’s name, school year, sport and scholarship amount;
   B. Reasons for believing that the decision is not justified, including the names of staff member with whom the student-athlete has discussed the issue of aid cancellation, reduction or non-renewal; and
   C. Copies of and relevant documents.

2. **Hearing Committee.**

The Committee is composed primarily of members outside of the Department of Athletics. Per NCAA Bylaw 15.3.2.3.2, an athletics department staff member can serve on the Committee as long as he/she is a standing member of the Committee. The standing committee member from the Department of Athletics is the Associate Athletic Director for Compliance, who will serve in an advisory role but will not be a voting member. The other five (5) committee members will include the Faculty Athletics Representative, the Director of Financial Aid, and the Director of Admissions, and one member appointed by the University President, or designee, who shall designate a Committee Chair.

3. **Scheduling the Hearing.**

After the student-athlete submits the written request for a hearing, the Associate Athletic Director for Compliance will contact the Chair of the Committee to schedule a hearing date. The hearing date shall occur no later than fifteen (15) business days following the student-athlete’s request. The Associate Athletic Director for Compliance shall inform the student-athlete, the Head Coach, Sport Administrator, and the Director of Athletics of the date, time and place of the
hearing. Failure to appear, in person or via teleconference, will result in a decision in favor of the nonrenewal, reduction or cancellation.

No later than five (5) business days prior to the scheduled hearing, the Assistant Athletic Director for Compliance shall provide the Committee with:

A. The cancellation, reduction or nonrenewal letter;
B. The request for hearing letter from the student-athlete; and
C. All supporting documentation submitted by the student-athlete, the Head Coach, the Associate Athletic Director for Compliance, the Sport Administrator, and/or the Director of Athletics.


All parties to the hearing are expected to provide truthful information to the Committee and treat the Committee and other parties with dignity and respect throughout the process.

The hearing is an informal administrative proceeding and not a court of law. It is not subject to and does not operate in accordance with formal rules of process, procedure or technical rules of evidence. The hearing will not be taped.

The Committee proceedings and all information submitted by the parties shall remain confidential except as otherwise required by law.

The student-athlete has the right to be an active participant either by appearing in-person or by teleconference.

The Committee may request that other individuals attend and testify at the hearing as the Committee deems relevant and appropriate.

The student-athlete may be accompanied by his/her parents or legal guardians and one advisor at the hearing. The student-athlete must provide the name and relationship of this individual in a written request to the chair within three (3) business days prior to the hearing.

If the request is approved, this individual will not be permitted to address the Committee directly, but may advise the student-athlete.

The Chair of the Committee will open the hearing by introducing the parties and Committee members. The Chair then will summarize the format of the hearing and any rules of procedure.

Thereafter, the Chair shall invite the student-athlete to present his or her position and describe the reasons why the student-athlete believes the decision to cancel, reduce, or non-renew her or his athletics aid should be modified or overturned.

The Head Coach or designee then shall have the opportunity to present the rationale for cancelling, reducing or non-renewing the student-athlete’s athletics aid.
The Committee may ask questions of any individual present at the hearing.

Both the student-athlete and Head Coach shall have the right to make a concluding remark or closing argument before the hearing is completed. The hearing should not be closed until the Chair has determined that all parties have had a fair and equal opportunity to present their positions.

5. Committee Deliberations and Notice of Decision.

Immediately following the hearing, the Committee shall meet privately to deliberate. The Committee's decision shall be based on a majority vote of the five members of the Committee. The decision shall be rendered no later than 5pm on the second business day following the student-athlete’s hearing. The time limit within which to make a decision may be extended by the Committee Chair upon reasonable cause confirmed in writing to the student-athlete and the Director of Athletics.

If the Committee determines that the decision of the Department was unreasonable or without basis in the facts presented or contrary to applicable NCAA rules or University policies and procedures, it may modify or overturn the decision to cancel, reduce or non-renew the student-athlete’s athletics aid.

The Committee’s decision shall be final, and there are no further avenues of appeal at the University.

**Per NCA Bylaw 15.3.7.2 the institution may decide to subsequently award athletics aid after a nonrenewal letter has been issued. If this is done, the Department of Athletics will promptly notify the appeal committee, in writing, and the pending review will be dismissed**

**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?
STUDENT-ATHLETE INTERN SCHOLARSHIP PROGRAM

Policy

A student-athlete who is no longer a part of their team, but remains on athletic aid, will be required to fulfill the obligations of their athletic aid. In order to fulfill these obligations, the student-athlete will be required to work within the Department of Athletics through the remainder of their athletic aid agreement (as outlined in the terms of the agreement). It will be indicated to the student-athlete by the Department of Athletics the number of hours worked per week, the date range of the work, their duties in the Department of Athletics, and who they will be reporting to. It will be at the discretion of the Department of Athletics on a case-by-case basis what athletic facilities and services will be available to the student-athlete for use during terms outlined in the agreement. The Department of Athletics Supervisor and student-athlete will complete the Student-Athlete Intern Scholarship Program form. A copy of the signed form will be provided to the Head Coach, student-athlete, and Office of Compliance Services.

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. If the increase is approved by the Department of Athletics, the requesting coach must submit a Grant-in-Aid Increase for Continuing SA form in ARMS. The form is approved by the Associate Athletic Director for Compliance.

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.

Noncountable 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.

ACADEMIC HONOR AWARDS

Based on High School Record

Academic honor awards that are part of an institution’s normal arrangements for academic scholarships, based solely on the recipient’s high school record and awarded independently of athletics interests and in amounts consistent with the pattern of all such awards made by the institution, are exempt from an institution’s equivalency computations, provided the recipient:

A. Was ranked in the upper 10 percent of the high school graduating class;
B. Achieved a cumulative grade-point average of at least 3.500 (based on a maximum of 4.000); or
C. A minimum ACT sum score of 105 or a minimum SAT score of 1200 (critical reading and math) for SAT tests taken before March 1, 2016; or a minimum SAT score of 1270 (critical reading and math) for tests taken on or after March 1, 2016, based on the concordance determined by the College Board.
Renewal of Academic Honor Award

The renewal of an academic honor award may be exempted from an institution’s equivalency computation regardless of whether the recipient qualified for exemption in his or her initial academic year enrollment, provided:

A. The recipient achieves a cumulative grade-point average of at least 3.000 (based on a maximum of 4.000) at the certifying institution; and
B. The recipient meets all NCAA, conference and institutional progress-toward-degree requirements.

Transfer Students

Academic honor awards that are part of an institution’s normal arrangements for academic scholarships, either based solely on the recipient’s cumulative academic record from all collegiate institutions previously attended or based on the recipient’s high school record and cumulative academic record from all collegiate institutions previously attended, awarded independently of athletics interests and in amounts consistent with the pattern of all such awards made by the institution, may be exempted from a team’s equivalency computation, provided the recipient achieved a cumulative transferable grade-point average of at least 3.000

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 and approval of the Outside Scholarship Reporting Form in ARMS by the Associate Athletic Director of Compliance, the student-athlete will receive an automated email outlining instructions and completion of the Outside Financial Aid Reporting Form. The Outside Financial Aid Reporting Form is to be completed by the student-athlete and a member of the awarding agency’s selection committee.
3. Once completed and returned, the Associate Athletic Director for Compliance will determine if it is acceptable per NCAA rules.
4. The Associate 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 Associate Athletic Director for Compliance who prepares the squad list, each squad list is signed off on by the Head Coach and the Sport Supervisor.

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 Department of 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.

MEN’S AND WOMEN’S BASKETBALL DEGREE COMPLETION ASSISTANCE

Policy

In August 2018, the NCAA Board adopted legislation to require schools to provide degree completion funding to former men’s and women’s basketball players. Funding will begin in fall 2019.

Criteria:
- Participated in the sports of men’s or women’s basketball;
- Received athletics aid;
- Previously enrolled for at least two years;
- Met NCAA progress toward degree requirements when student departed campus;
- Has not attended another institution full-time since departure;
- Meet institution’s re-admission and financial aid requirements;
- Departed institution within 10 years;
- Exhausted other degree completion funding options (e.g. NBA Tuition Reimbursement)

**Procedure**

Any former men’s and women’s basketball student-athlete who is interested in the degree completion program should contact either the Athletic Academic Coordinator for Men’s Basketball or Women’s Basketball to initiate the process and explore eligibility to receive funding.

**AMERICA EAST STAFFING AND SCHOLARSHIP REQUIREMENTS – SOCCER, LACROSSE, BASKETBALL**

It is the responsibility of the Associate Athletic Director for Compliance in consultation with the respective Sport Supervisors to report on an annual basis and consistent with the America East’s policy, the number of staff members and grant-in-aids awarded in Men’s and Women’s Basketball, Lacrosse and Soccer.

**Men’s Soccer**

A. Institutions must annually award 7.5 grants-in-aid; and  
B. Institutions must maintain one full-time head coach and one full-time assistant coach.

**Women’s Soccer**

A. Institutions must annually award 10.5 grants-in-aid; and  
B. Institutions must maintain one full-time head coach and one full-time assistant coach.

**Women’s Lacrosse**

A. Institutions must annually award 9.00 grants-in-aid; and  
B. Institutions must maintain one full-time head coach and one full-time assistant coach.

**Men’s Lacrosse**

A. Institutions must annually award 9.45 grants-in-aid; and  
B. Institutions must maintain one full-time head coach and one full-time assistant coach.

**Men’s Basketball**

A. Institutions must annually award 13 grants-in-aid;  
B. Institutions must award cost of attendance (Effective August 1, 2020 for the 2020-21 academic year); and
C. Institutions must maintain one full-time head coach and three full-time assistant coaches, not including a director of basketball operations.

Women’s Basketball

A. Institutions must annually award 13 grants-in-aid; and
B. Institutions must maintain one full-time head coach and three full-time assistant coaches, not including a director of basketball operations.

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 do 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 athletic 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. University at Albany regulations stipulate summer aid for a student-athlete may not be awarded above the percentage of aid received during the academic year. Student-athletes are responsible for all charges that exceed their awarded scholarship amount.
Guidelines for Distribution

Any student-athlete requesting summer athletic 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.

- 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.
- Athletic aid may be provided for a maximum of 1 course, 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 the Department of 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.
- Student-athletes who drop a course after the posted deadline will be obligated to repay the Department of Athletics the amount of their summer athletic aid.
- Repayment of summer athletics 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 up to the full amount of athletics aid received.

Failure to continually meet these guidelines may result in the student-athlete being required to reimburse the Department of Athletics for up to the full amount of athletic aid received.

Application Procedure

- All requests for summer athletic aid must be submitted to and approved by the Summer School Review Committee.
- The deadline for applying for summer athletic aid is indicated at the top of the Summer School Grant-in-Aid Application in ARMS. Any requests for summer athletic 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 athletic aid on an individual basis. All summer athletic 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 athletic aid approval.

5TH YEAR AID

UAAlbany 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 Associate 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, five 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
   I. 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
   I. Fees and other expenses associated with a student-athlete's participation in a sports camp or clinic
   II. Fees and other expenses associated with private sports-related instruction provided to a student-athlete
   III. Fees for other athletic development experiences (e.g., greens fees, batting cage rental); and
   IV. 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.

V. 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

Procedure

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 Associate 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 Associate 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 Associate 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 Associate 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 and/or Sport Supervisor are 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.
   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/. 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.
Procedure

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/#/.
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. If a student-athlete wishes to obtain an International Tax Identification Number (ITIN), they should consult the ISSS Office.

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
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.

**Procedure**

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.

DECLARATION OF PLAYING SEASON MODIFICATION

Changes to a declaration of playing season can be made at any time in writing by submitting the Declaration of Playing Season – Modification Form in ARMS.

PRACTICE AND COMPETITION SCHEDULING

Policy

Practice

1. The Associate Athletic Director for Facilities, Scheduling and Game Operations, Sport Supervisor, Associate Athletic Director for Academic Services and the Head Coach will meet each semester to determine practice schedules.

2. Practice schedules will be based on academic schedules (course schedules for subsequent semesters are available early March (Summer & Fall) and early October (Spring)) and shared facilities. Teams that are in their competitive season will be given priority. Every effort will be made to provide equitable practice times to teams sharing a facility.

3. Any changes or revisions to practice schedules must first be approved by the Associate Athletic Director for Facilities, Scheduling and Game Operations.

4. Changes in practice schedules will not be considered final until all of the appropriate support staff have confirmed their availability.

5. Head Coaches, or their designee, are responsible for communicating the practice schedule change to all of the appropriate personnel.

6. Practices cannot take place without the presence of an athletic trainer.

Competition

1. Games are not to be scheduled and confirmed without first getting approval from the Associate Athletic Director for Facilities, Scheduling and Game Operations and the Sport Supervisor.

2. Coaches are not authorized to confirm home game times with opponents. Game times will be determined by the appropriate staff personnel with consideration for student-athlete welfare, minimizing class time, other home athletic events, etc.

3. For teams that share competition facilities, the Head Coaches for the respective sports are encouraged to communicate and coordinate their home non-conference schedules in an effort to avoid scheduling conflicts.
4. Teams that are in their championship season will be given priority for scheduling of games and use of facilities.

5. For any change to a competition (adding a new competition once the schedule has been approved or making a change to an existing competition (date, time, location)), the Head Coach or designee is required to submit the Competition Schedule Change Request Form through ARMS. This form is to be submitted a minimum of 14 days before the competition.

6. IMPORTANT: Nontraditional season games may not be schedule on a Saturday of a home football game. No exceptions.

7. Coaches are responsible for communicating any schedule changes (postponement or cancellation) to the Associate Athletic Director for Facilities, Scheduling and Game Operations and the Sport Supervisor. Changes in game schedules will not be considered final until all of the appropriate support staff have confirmed their availability.

8. Head Coaches, or their designee, are responsible for communicating the schedule change to all of the appropriate personnel.

9. Coaches are encouraged to reference the Athletics Master Schedule (via Outlook) and/or Virtual EMS when developing schedules in an effort to avoid conflicts with other events.

10. Once finalized, all team schedules (traditional and nontraditional) must be submitted to the Media Relations Department to be publicized.

11. EFFECTIVE FALL 2020: The Welcome Back for all student-athletes and staff takes place on the Sunday prior to the first day of classes in the fall. It is mandatory that everyone attend this event. Therefore, no practices and/or competitions can be scheduled.

Procedure

Championship Segment Competition Schedule

A. Submitted by Head Coach or Designee in ARMS

B. Approved by
   I. Compliance
   II. Sport Supervisor
   III. Facilities
   IV. Grounds Manager
   V. Business Office
   VI. Athletic Trainer
   VII. Equipment Manager
   VIII. Media Relations Contact
   IX. Ticket Office
   X. Marketing

C. All coaches within the sport and approvers will receive an automated email with details of the approval

Nonchampionship Segment Competition Schedule

A. Submitted by Head Coach or Designee in ARMS

B. Approved by
   I. Compliance
   II. Sport Supervisor
   III. Facilities
IV. Grounds Manager
V. Business Office
VI. Athletic Trainer
VII. Equipment Manager
VIII. Media Relations Contact
IX. Ticket Office
X. Marketing

C. All coaches within the sport and approvers will receive an automated email with details of the approval

**Competition Schedule Change Request Form**

A. Submitted by Head Coach or Designee in ARMS
B. Approved by
   I. Compliance
   II. Sport Supervisor
   III. Facilities
   IV. Academic Advisor
   V. Grounds Manager
   VI. Business Office
   VII. Athletic Trainer
   VIII. Equipment Manager
   IX. Media Relations Contact
   X. Ticket Office
   XI. Marketing

C. All coaches within the sport and approvers will receive an automated email with details of the approval.

**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 eight (8) weeks that may be used for summer athletic activities and is approved by the Office of Compliance Services.

**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 (please refer to the Summer School Grant-in-Aid Policy and Procedure for more information).
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 Athletic Business Office. Copies of up-to-date certifications must be uploaded in to 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.

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 18: CHAMPIONSHIPS AND POSTSEASON FOOTBALL

ATTESTATION OF COMPLIANCE OBLIGATIONS

Policy

No later than October 15, annually, presidents/chancellors and directors of athletics will be required to attest that they understand the institutional obligations and personal responsibilities imposed by NCAA Constitution 2.1 (principle of institutional control and responsibility) and Constitution 2.8 (principle of rules compliance). Additionally, athletics directors will attest that the policies, procedures and practices of the institution, its staff members and representatives of athletics interests are in compliance with the Association’s legislation.

Failure to complete the attestation will subject the University at Albany, for the current academic year, to removal from and/or ineligibility of individuals to serve on an NCAA board, council or committee. The University at Albany also will be ineligible to compete in individual and team NCAA championships.

Procedure

1. To complete this requirement, the Associate Athletic Director for Compliance will schedule a meeting with the President, Chief of Staff and Director of Athletics.
2. The Associate Athletic Director for Compliance will assign the Attestation Course through the NCAA Learning Portal to the President and Director of Athletics.
3. At the scheduled meeting, the Associate Athletic Director for Compliance will present a memorandum to assist in demonstrating how the University at Albany demonstrates adherence to NCAA rules.
4. Upon completion of the review, both the President and Director of Athletics will complete the Attestation Course, sign and date.
SECTION 14 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.

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

NCAA 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.

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.

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

SECTION 15 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 
media, 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 will be 
emailed to the student-athletes and is available on the ualbanysports.com website. The following 
is a non-exhaustive list of topics that are discussed:

- UAlbany Athletic Administration
- Sport Supervisor
- Athletic Trainer
- Counseling and Psychological Services
- The Great Dane Code
- Sportsmanship, Honesty and Integrity
- Community Rights and Responsibilities Student Code of Conduct
- NCAA and UAlbany Drug and Alcohol Policies
- Hazing
- Student-Athlete Handbook
- Initial Eligibility
- Continuing Eligibility
- Playing and Practice Seasons
- Summer Activities
- Financial Aid
- Awards and Benefits
- Housing
- Gambling
- Agents
- Academic Services
- SAAC
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
- America East Student-Athlete Release Form
- 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 Biography Information
- New Student-Athlete Questionnaire
- NCAA Consent for Disclosure of Protected Health Information
- NCAA Drug Testing Consent - DI
- NCAA Student-Athlete Statement – DI
- NCAA Summary of Regulations – DI
- Outside Scholarship Reporting Form
- Primary Insurance Form
- Promotional Activities
- Returnee Pre-Participation Medical Questionnaire
- Sickle Cell Trait Testing Information
- Sports Medicine Letter
- 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 Education**

A letter of education 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/educational measures.
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.

**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.