

Division III Compliance Foundations

1. Compliance 101.

- a. Establish a master checklist (see sample compliance planner).
 - (1) Student-athlete compliance paperwork.
 - (2) Eligibility checks.
 - (3) Coaches test administration.
 - (4) Annual forms.
 - (5) Staff education and training.
- b. NCAA interpretative questions.
 - (1) Process.
 - (a) Gather facts.
 - (b) Consult the Manual, primarily the issues below will have to be addressed.
 - i. NCAA Bylaw 11 - Personnel Issues;
 - ii. Bylaw 12 - Amateurism Issues;
 - iii. Bylaw 13 - Recruiting;
 - iv. Bylaw 14 - Eligibility;
 - v. Bylaw 15 - Financial Aid;
 - vi. Bylaw 16 - Awards and Benefits; and
 - vii. Bylaw 17 - Playing and Practice Seasons.
 - (c) Search LSDBi to see if any interpretations on point.
 - (d) Know your conference's preferred interpretative process.

- (2) Conference contact program. This program was established for conference commissioners to work with a set NCAA staff member on more complex interpretative questions.
- (3) Interpretation hotline member institutions number is 317/917-6003.
 - (a) Available to “top six” – not available to coaches.
 - (b) Hours of access 9 a.m. to 5 p.m. Eastern time Monday through Friday.
- (4) Interpretation hotline public number is 317/917-6222.
 - (a) Available to parents, high schools, students and others.
 - (b) Not available to coaches.
- (5) Coaches.
 - (a) Need to consult campus personnel with compliance responsibility.
 - (b) Rationale, “Institutional Control.”

2. Eligibility.

- a. General rule requirement to be eligible to represent an institution in intercollegiate athletics competition, a student-athlete shall be enrolled in at least a minimum **full-time program of studies**, be in **good academic standing** and **maintain satisfactory progress toward a baccalaureate or equivalent degree** (Bylaw 14.01.2 – academic status).
 - Required forms go to <http://www.ncaa.org/wps/ncaa?ContentID=1612>.
- b. Seasons of participation. A student-athlete shall not engage in more than four seasons of intercollegiate participation in any one sport.
 - (1) A season of intercollegiate participation shall be counted in the student-athlete’s sport when a student-athlete participates (practices or competes) during or after the first contest in the traditional segment following the student-athlete’s initial participation of that academic year at that institution or when the student-athlete engages in intercollegiate competition during the nontraditional segment in that sport. This provision is applicable to intercollegiate athletics participation (practice or competition) conducted by a Division III collegiate institution at the

varsity, junior varsity or freshman team level (Bylaw 14.2.4.1 - minimum amount of participation).

(2) NCAA Division III Proposal No.2009-6 (effective 8/1/09).

- A season of participation shall not be counted:
 - i. During the traditional segment when a student-athlete participates in a preseason scrimmage or preseason exhibition conducted prior to the first contest following the student-athlete's initial participation of that academic year at that institution; and
 - ii. In baseball, field hockey, lacrosse, soccer, softball, and women's volleyball, when a student-athlete participates in the one date of competition during the nontraditional segment.

(3) Student-Managers - Official Interpretations dated August 13, 2008, Web link for audio commentary:

<http://www.ncaa.org/wps/ncaa?ContentID=39676>.

(4) Seasons of participation guide:

<http://www.ncaa.org/wps/ncaa?ContentID=39650>.

c. Transfers.

- 2008 NCAA Transfer Guide:

<http://www.ncaapublications.com/ProductsDetailView.aspx?sku=TGONLINE2008>.

3. Recruiting Fundamentals.

a. Overview.

b. Contacts.

(1) Bylaw 13.02.2 - Definition.

(2) Bylaw 13.1.1.1 - High School PSA Restrictions.

(3) Bylaw 13.1.1.2 - Permission to Contact and Exceptions.

- (4) Bylaw 13.1.2 - Recruiter Restriction.
- (5) Bylaw 13.1.4 - Competition Contact Restrictions.
- c. Bylaw 13.02.8 - Telephone Calls.
 - (1) Definition.
 - (2) Time period and number.
- d. Bylaw 13.02.9 - Electronic Transmissions.
 - (1) Approved Types.
 - (2) Restrictions.
- e. Bylaw 13.4 - Recruiting Materials.
- f. Case studies.

4. Financial Aid.

- a. Athletics department involvement with financial aid.
 - (1) Athletics department staff shall not influence a student-athlete's financial aid package, directly or indirectly.
 - (2) Members of the athletics staff of a member institution shall not be permitted to arrange or modify the financial aid package (as assembled by the financial aid officer or financial aid committee) and are prohibited from serving as members of member institutions' financial aid committees and from being involved in any manner in the review of the institutional financial assistance to be awarded to a student-athlete (Bylaw 15.4.5 – athletics staff involvement).
 - (3) Official Interpretation, September 19, 2005, Athletics Department Staff Involvement with Admissions Office and/or Financial Aid Office and Role of Admissions Office in Financial Aid Packaging (Division III). *[Refer to LSDBi for the entire contents of the interpretation]*

Athletics department staff members' involvement or interaction with its institution's financial aid office should be directed by the following:

- (a) The athletics department may communicate with the clerical/support staff in the financial aid office in order to determine whether a particular prospective student-athlete's financial aid forms have been submitted.

- (b) The athletics department may not send a list of names of student-athletes to the financial aid office except to facilitate the annual NCAA Division III financial aid reporting process.
 - (c) The athletics department may not communicate with the financial aid office to arrange, modify or otherwise influence the amount of a student-athlete's financial aid package. The initial communication of a student-athlete's financial aid package amount should occur between the student-athlete or his or her parents or guardian and the institution's financial aid office.
 - (d) A faculty member (e.g., chemistry professor) would not be precluded from serving on both an institutional faculty athletics committee (e.g., faculty athletics representative) and institutional financial aid committee as long as they are not a coach or athletics department staff member.
- b. Financial aid reporting process.
- Financial Aid Reporting Process Policies and User Manual:
<http://www.ncaa.org/wps/ncaa?ContentID=1205>.

5. Playing and Practice Seasons.

- a. Seasons lengths, starts and stops.
 - (1) Figure 17-1 on Page No. 128 of the Manual for each sport:
 - (a) Preseason practice start date;
 - (b) First contest date;
 - (c) End of season;
 - (d) Contest limits; and
 - (e) Contest exemptions.
 - (2) Fall preseason counting formula examples and references:
<http://www.ncaa.org/wps/ncaa?ContentID=39650>.

b. Out of season.

- (1) New Legislation, Proposal No. 2009-2 “Specific Workout Programs” an institutional staff member may design a voluntary individual workout program for a student-athlete, but cannot conduct the individual’s workout outside the declared playing season.
- (2) New interpretation, definition of “Monitor.” The NCAA Division III Interpretations and Legislation Committee determined that for purposes of the exception to athletically related activities for strength and conditioning personnel, the term “monitor” includes observing and watching closely to ensure that student-athletes are provided a safe and controlled environment. Such personnel may demonstrate proper technique and give advice to ensure that the workout is taking place in a safe fashion. Official Interpretation March 26, 2009.
- (3) Out of Season Guidance, March 9, 2007, Educational Column - Bylaw 17.02.1.1 (athletically related activities) (III).