



Brigham Young University Athletics Compliance Handbook

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Introduction

The Brigham Young University Athletics Department is committed to abiding by all National Collegiate Athletic Association (NCAA) and conference rules and regulations. The BYU Compliance Office seeks to assist administrators, coaches, faculty, student-athletes, and representatives of the University's athletics interests, in maintaining the standards set by the NCAA and the conference.

Mission Statement

The BYU Compliance Office shall further the Athletics Department's mission of building a distinctive, exceptional athletic program that is fully aligned with the mission and values of BYU and The Church of Jesus Christ of Latter-day Saints by educating athletics department staff members, student-athletes, and others involved with the operation of BYU's athletics program regarding NCAA, the conference and University rules and regulations, and by monitoring to ensure that rules and regulations are followed.

The Compliance Office shall provide further education to those found to be in violation of NCAA, conference and/or University rules and regulations, and report such violations to the proper governing body when appropriate.

Institutional Control

BYU is committed to the principle of Institutional Control as set forth by the NCAA and the conference as espoused in the following provisions:

NCAA Bylaw 2 (Responsibility for Control):

It is the responsibility of each member institution to control its intercollegiate athletics program in compliance with the rules and regulations of the NCAA. The institution's president or chancellor is responsible for the administration of all aspects of the athletics program, including approval of the budget and audit of all expenditures.

NCAA Bylaw 2 (Scope of Responsibility):

The institution's responsibility for the conduct of its intercollegiate athletics program includes responsibility for the actions of its staff members and for the actions of any other individual or organization engaged in activities promoting the athletics interests of the institution.

NCAA Bylaw 6 (Institutional Control):

The control and responsibility for the conduct of intercollegiate athletics shall be exercised by the institution itself and by the conference(s), if any, of which it is a member. Administrative control or faculty control, or a combination of the two, shall constitute institutional control.

Every person associated with the Brigham Young University Athletics program, (including administrative and clerical staff, coaches, student-athletes, faculty, parents of student-athletes, friends, and alumni) have the responsibility to comply with NCAA, conference, and University rules and regulations. Brigham Young University shall maintain control of its athletics program through the coordinated efforts of athletics department staff members, administrators, faculty, other University entities, and other individuals involved with the

operation of the athletics program. Failure by any member of the Department of Athletics to comply with all applicable rules may result in a violation and possible penalties for the individual, the team, and the institution.

Compliance Office Personnel

Director of Athletics Compliance

The Director of Compliance reports directly to the BYU Advancement Vice President and also has a dotted line of reporting to the BYU Athletic Director.

The Director of Compliance protects the interest of the Athletic Department and Brigham Young University by maintaining a culture of compliance and institution control. This is done by actively educating, overseeing, and managing NCAA Compliance for BYU student-athletes and BYU employees, as well as representatives of BYU's athletics interest. The Director is responsible for:

1. Providing and overseeing an NCAA rules education program
2. Providing and overseeing rules interpretations of NCAA and conference legislation.
3. Analyzing athletics compliance enforcement issues
4. Ensuring initial and continuing eligibility status is verified for all BYU student-athletes.
5. Overseeing and submitting required NCAA, conference, and federal reports and waivers.

Compliance Coordinators

The Compliance Coordinators assist the Director of Compliance in protecting the interest of the Athletic Department and Brigham Young University by maintaining a culture of compliance and institution control. This is done by actively educating, overseeing and managing NCAA Compliance for BYU student-athletes and BYU employees, as well as for representatives of BYU's athletics interest. The Compliance Coordinators are responsible for:

1. Assisting in providing an NCAA rules education program.
2. Maintaining a monitoring system of NCAA rules for all sports.
3. Issuing rules interpretations of NCAA and conference legislation.
4. Enforcement as it relates to any athletics compliance issues.
5. Monitoring student-athletes' eligibility.

6. Assisting in required NCAA, conference, and federal reports and waivers.
7. Monitoring recruiting activities for all NCAA sports.
8. Assisting in other projects as assigned by the Compliance Office.

Compliance Interns

The Compliance Interns assist the Compliance Office in protecting the interest of the Athletic Department and Brigham Young University by maintaining a culture of compliance and institution control. This is done through completing, processing, and organizing compliance forms and paperwork and working with and managing compliance software. The compliance interns are responsible for:

1. Assisting the Compliance Office in preparing and providing rules education.
2. Organizing and maintaining necessary student-athlete records, forms, and compliance information.
3. Producing, distributing, and maintaining university compliance forms.
4. Assisting in monitoring of recruitment activities in all NCAA sports.
5. Assisting in other projects as assigned by the Compliance Office.

Faculty Athletic Representative

The Faculty Athletic Representative (FAR) is appointed by the University President as an institutional representative to help oversee the total welfare of the intercollegiate athletics program. The FAR provides oversight and advice in the administration of the intercollegiate athletics program. The FAR is concerned with the athletics program's status within the University and its relationships outside the University. The specific compliance responsibilities of the FAR are as follows:

1. Be involved in the assurance of the academic integrity of the athletics program and in the maintenance of the welfare of the student-athlete.
2. Be aware of the academic credentials of entering student-athletes, the academic attainment of continuing student-athletes, and the graduation rates of student-athletes.
3. Coordinate the nomination process for NCAA postgraduate scholarships, NCAA awards, conference scholarships and awards.
4. Assist in the University's compliance with all policies, rules and regulations pertaining to the intercollegiate athletics program.

5. Play a central role in any major institutional inquiries into alleged or suspected rules violations. Be involved in the preparation of written reports of infractions that are made to the conference or to the NCAA.
6. Assist with communication within the University structure to cause adequate input by faculty, councils, and committees concerning athletic matters.
7. Represent the University as a delegate to the annual NCAA Convention and attend any special meetings of the NCAA. Be involved in discussions in which the institution's voting position on NCAA legislation is established.
8. Represent the University in athletics-affiliate organizations and fulfill assignments from such affiliates.
9. Take part in the mandated exit interviews at the University or review the results of exit interviews with student-athletes as they depart the athletics program. Over time, information provided by student-athletes can provide a useful assessment of student perceptions of the health of the athletics program, especially with regard to their interactions with coaches and the operating policies of the program.
10. Be knowledgeable regarding the athletics compliance program and devote the time and attention required to maintain this familiarity. Have access to information regarding all aspects of the Athletics compliance program.
11. Carry authority from the Chief Executive Officer. This authority should be recognized in all campus venues. Have access to the Chief Executive Officer on a regular basis.

BYU Athletics Compliance Committee

Please see the [BYU Athletics Compliance Committee Charter](#)

Eligibility

The initial and continuing eligibility of every student-athlete is ultimately to be determined by the Registrar's Office. All eligibility determinations shall be verified by the University's NCAA Eligibility Coordinator ("Eligibility Coordinator"). The Eligibility Coordinator shall work with the Compliance Staff and the Student-Athlete Academic Center (SAAC) to monitor and ensure compliance with all applicable NCAA, conference, and institutional eligibility requirements.

The (SAAC) staff shall monitor and verify all applicable academic eligibility requirements. The Compliance staff shall monitor and record seasons of competition and five-year clocks. All remaining aspects of eligibility shall be monitored, and ultimately certified, by the Eligibility Coordinator.

During each certification cycle, the Financial Aid Coordinator shall generate the squad list for each sport. The Eligibility Coordinator shall verify and certify the eligibility status of each student-athlete and sign the squad list. The Eligibility Coordinator shall then send the squad list to the Compliance staff to obtain the proper signatures and submit the squad list to the conference office.

Financial Aid

The BYU Financial Aid Office and BYU NCAA Financial Aid Award Processor are responsible for administering all financial aid to student-athletes. The BYU NCAA Financial Aid Award Processor shall use compliance software to assist in the processing of financial aid for student-athletes.

1. At the beginning of each academic year, the Compliance Office shall ensure that each student-athlete listed on a team's squad list is entered into compliance software. The Athletics Department will provide the BYU NCAA Financial Aid Award Processor with a list of all student-athletes receiving an athletics grant-in-aid and the amount of aid each student-athlete will receive. The BYU NCAA Financial Aid Award Processor will then (1) enter all financial aid information for each student-athlete into their records, (2) ensure the accuracy of each student-athlete's listed marital and religious status, and (3) enter the grant-in-aid amounts into compliance software.
2. The Athletics Department shall inform the BYU NCAA Financial Aid Award Processor which student-athletes are eligible for athletics based aid prior to such aid being disbursed. The BYU NCAA Financial Aid Award Processor shall verify all disbursements with what is listed in compliance software.
3. Student-athletes are permitted to receive financial aid other than institutional financial aid provided it is from one of the following sources: anyone, upon whom the student-athlete is naturally or legally dependent, awarded solely on bases having no relationship to athletics ability, awarded through an established and continuing outside program, or educational expenses awarded by the U.S. Olympic Committee. For outside (non-BYU funded) scholarships, the BYU NCAA Financial Aid Award

Processor shall receive all necessary information from the student- athlete and the donor and fill out the Off-Campus Verification Merge Form. All information shall then be entered into compliance software.

4. For all on-campus (BYU-funded), non-athletic scholarships, the BYU NCAA Financial Aid Award Processor shall keep a record of the information and send the required forms to the departments providing the scholarship. All information shall then be entered into compliance software.
5. For any mid-year increases, the BYU NCAA Financial Aid Award Processor shall receive, and keep on file, a letter from the student-athlete's coach certifying that the increase is not related to the student-athlete's athletic ability. Mid-semester/term increases in tuition and/or room and board financial aid awards shall be prorated.
6. Prior to each team's first competition, the BYU NCAA Financial Aid Award Processor will print off and sign a squad list, which must then be signed by the team's head coach and the Athletics Director before being filed with the Compliance Office.
 - a. Each head coach must review the squad list and verify that all student- athletes are listed, along with the correct amount of aid each student- athlete will receive.
 - b. The Compliance Office must forward each team's squad list to the conference Office prior to the team's first competition.
7. At the end of each academic year, the Compliance Office shall request and receive a final squad list for each team from the BYU NCAA Financial Aid Award Processor. This list shall reflect any changes that have taken place since the initial squad list was prepared by the head coach.
8. Prior to July 1, the Athletic Department shall provide the BYU NCAA Financial Aid Award Processor with a list of all athletics grant-in-aid renewals and non-renewals for the upcoming academic year. The BYU NCAA Financial Aid Award Processor shall mail scholarship student-athletes a letter regarding the status of their athletics based financial aid award. For grant-in- aid renewals, student-athletes are required to accept their scholarship in writing by August 15. For non-renewals see "Financial Aid Cancellation Appeal" below.
9. The BYU NCAA Financial Aid Award Processor is also responsible for recording the amount of special assistance/opportunity fund money that each student-athlete receives.

Financial Aid Cancellation Appeal

An annual decision to renew institutional financial aid based in any degree on athletics ability shall be made prior to July 1 of the academic year in which it is to be effective. The BYU

NCAA Financial Aid Award Processor shall notify in writing each student- athlete who received athletic based financial aid the previous academic year and who has eligibility remaining in the sport in which financial aid was awarded the previous academic year whether or not the financial aid has been renewed for the ensuing academic year by July 1. *See* NCAA Bylaw 15.3.5.1.

Institutional financial aid based in any degree on athletics ability may not be reduced or canceled during the period of the reward unless the recipient student-athlete:

1. Renders him- or herself ineligible for intercollegiate competition;
2. Fraudulently misrepresents any information on an application, letter of intent or financial aid agreement;
3. Engages in serious misconduct warranting substantial disciplinary penalty; or
4. Voluntarily withdraws from a sport at any time for personal reasons.

If a student-athlete's institutional financial aid based in any degree on athletics ability is reduced or cancelled during the period of the award, it may not be awarded to another student-athlete in the academic term in which the aid was reduced or cancelled. A student-athlete's request for permission to contact another four-year institution regarding a possible transfer does not constitute a voluntary withdrawal. NCAA Bylaw 15.3.4.1.

If a student-athlete wishes to appeal BYU's decision to cancel, not renew, or decrease his or her athletics based financial aid, the following procedure must be followed:

1. The student-athlete must issue a written request for a scholarship renewal hearing to the University Scholarship Committee within three weeks of the BYU NCAA Financial Aid Award Processor providing written notification to the student-athlete that the athletics based financial aid will not be renewed.
 1. If requested, the hearing shall take place in front of a panel of university administrators and scholarship personnel. The hearing shall take place within fourteen (14) days of the Financial Aid Office's receipt of the student-athlete's request for the hearing. The student-athlete may present any relevant documentation and/or witnesses to the panel. The student-athlete may also be accompanied by legal representation if he or she so desires.
3. Should a hearing be requested, the Financial Aid Office shall contact the student-athlete's coach to schedule a separate meeting between the coach and the panel. If the coach elects to appear before the panel, the meeting should be scheduled for no later than seven (7) days after the student-athlete's hearing.

4. The student-athlete shall be allowed to prepare a written summary of the circumstances and reasons for the appeal, which he or she may present at the hearing. The student-athlete's coach shall also be allowed to prepare and present a written summary of the basis for the decision to not renew the student-athlete's financial aid at his or her separate meeting with the panel.

5. The University Scholarship Committee shall issue the student-athlete, coach, Athletics Director and Compliance Office written notification of its final decision within seven (7) days of student-athlete's hearing or the coach's meeting with the panel, whichever concludes later.

National Letter of Intent Procedures

The following procedure should be followed when preparing a *National Letter of Intent (NLI)* to be sent to a prospective student-athlete:

1. The coach shall fill out the *Letter of Intent Profile* and give it to Compliance
 - a. The coach must provide the PSA's most recent transcript and test score(s), and the student-athlete must be registered with the NCAA Eligibility Center and placed on BYU's Institutional Request List (IRL).
2. Compliance will complete the academic portion of the *Letter of Intent Profile*, and provide the form to the NCAA Financial Aid Coordinator.
3. The Financial Aid Coordinator will complete the *NLI and Grant-in-Aid Scholarship Recommendation Form* for the PSA and obtain the necessary signatures on the NLI and the scholarship form.
4. The Financial Aid Coordinator will send all necessary documents to the PSA.
 - a. Teams may request to send the documents to the prospective student-athletes themselves by notifying the Compliance Office.

National Letter of Intent – Signing

In order for a *NLI* to be valid, it must be signed by the prospective student-athlete within fourteen (14) days of the date of issue. The prospective student-athlete shall return one signed copy of the *NLI* to the Compliance Office as soon as possible and retain one signed copy for his or her personal records.

National Letter of Intent – Conference Validation

Upon receipt of a prospective student-athlete's signed *NLI*, the Compliance Office shall send the completed *NLI* to the conference for validation. For a *NLI* to be valid, the conference must validate the *NLI* within twenty-one (21) days of the date of the *NLI*'s final signature (generally the prospective student-athlete's signature).

Recruiting

All coaches, athletic department staff members, and student-athletes are required to follow the NCAA Bylaws that govern recruiting activities (See applicable NCAA Bylaws 11 and 13). Due to the ever changing rules surrounding recruiting, coaches are expected to stay up-to-date on rules changes.

Recruiting Documentation Procedures

Each coach who engages in recruiting shall keep record of their recruiting activities. Specifically they should record and submit to the Compliance Office their records of telephone calls, contacts, evaluations, official visits and unofficial visits. The following documentation should be available upon request at any time for review and submitted to the BYU Compliance Office as described:

1. Coaches shall submit record of their telephone calls (telephone logs) and record of their contacts and evaluations (contact & evaluation logs) to the Compliance Office. The Compliance Office at its discretion may choose to audit personal telephone records to ensure compliance and verify the accuracy of the telephone logs. Coaches should review recruiting calendars to be sure of recruiting dead periods.
2. The sports of women's basketball, men's basketball, women's volleyball, softball and football shall keep track of their number of evaluation days. These sports shall submit an *Evaluation Day Log*.
3. Coaches shall submit an *Official Visit Profile/Declaration of Interest* prior to bringing a prospective student-athlete on an official visit. The Compliance Office will review the paperwork for each official visit to ensure compliance and verify accuracy of the information.
4. After a bona fide unofficial visit, the coach shall submit to the Compliance Office the *Unofficial Visit Form*. The Compliance Office will routinely review the form to ensure compliance and accuracy of the record.

Official Visits

Special attention should be given to the specific rules and regulations governing official visits. (See Bylaw 13 in addition to this document).

Prior to approval of visit:

1. Each coach shall complete the top portion of the *Official Visit Profile/Declaration of Interest* form and turn it in to the Compliance Office before an official visit is granted. The coach shall also submit a copy of the prospect's transcripts, test scores, and NCAA Eligibility Center ID number.

- a. The Compliance Office will complete the academic portion of the *Official Visit Profile* and ensure that a transcript and test score have been received for the prospect before submitting it to the respective Sport Administrator for that sport. In addition, the prospect must be registered with the NCAA Eligibility Center prior to visit approval.
- b. Upon approval from the Sport Administrator for an official visit, the Compliance Office will notify the coach, financial secretary, and travel agent.

Conclusion of and Post-visit:

1. Before concluding the official visit, the coach will have the prospect fill out the *Prospect's Declaration Form*.
2. After the official visit has concluded the coach will submit BYU a reimbursement expense report. A copy of the *Prospect's Declaration Form* and *Student Host Instructions and Receipt* should be included as attachments to the expense report. In addition to the Student Host Instructions and Receipt Form, the coach must include:
 - a. All receipts and/or an accounting of how the money was spent;
 - b. A declaration of any money returned by the host; and
 - c. A list of any complimentary admissions (through a pass list) that were used by the prospect or those accompanying him/her on the official visit.

A typical official visit itinerary should include:

1. A specific plan for meeting with academic authorities on campus and advisors from the Student-athlete Academic Center. This includes meeting professors and/or attending a class with a student-athlete;
2. A specific time when the honor code video will be shown to the prospect. If the honor code video has already been shown to the prospect during an in-home visit, it should be noted on the hosting plan; and
3. A specific time when the prospects will visit the Compliance Office to discuss the NCAA Eligibility Center and/or transfer requirements.

Unofficial Visits

All unofficial visits should be conducted in compliance with applicable NCAA rules. (See NCAA Bylaw 13). Following an unofficial visit the coaching staff should complete an *Unofficial Visit Record* form, and submit the document to the Compliance Office.

Off Campus Recruiters

See "Coaching Staff and Off-Campus Recruiter Designation", *infra*.

Recruiting Foreign Students

Foreign students must register with and be certified by the NCAA Eligibility Center in the same manner as domestic students. In addition, the coaching staff should work closely with the Compliance Office to review and evaluate any amateurism eligibility questions. Foreign prospects are not encouraged to move to the locale of the university until immediately prior to the semester in which they enroll.

Policy on Prospect Moving to Locale of the University

As an institution, unless a prospective student-athlete (PSA) will be receiving summer athletics financial aid, we do not recommend or encourage PSA's to move to the BYU/Provo community prior to his/her first full time enrollment at BYU. However, if a PSA chooses to move to the locale and arrives in the community prior to his/her initial enrollment it is imperative that coaches and student-athletes do not provide any extra benefits or make any impermissible arrangements for prospective student-athletes. Any interaction with a prospect that moves to the locale should be done with exactness to NCAA Bylaw 13.

If a prospect informs a staff member of his/her intention of moving to the BYU/Provo community at a time prior to their initial enrollment in school the staff member is required to work with and obtain the following information from the prospect (the prospect and coach must fill out the *Prospect in Locale of the University Form*):

1. Where will the PSA live upon arriving at BYU/Provo?
2. Who arranged the living arrangements?
3. Who will pick the PSA up from the airport, bus or train station?
4. Who arranged the transportation?
5. How will the PSA get around town?
6. Will the PSA be working?
 - a. If yes, where and for whom?
7. Does the PSA intend to engage in any activities organized by BYU, such as voluntary summer conditioning?
8. Has the PSA signed a National Letter of Intent (NLI)?

In addition, if the PSA has any academic deficiencies remaining, the athletic department will actively discourage the PSA from moving to the BYU/Provo area until such deficiencies are resolved. Examples of this would be enrolling at the English Language Center in order to study for the TOEFL or moving prior to having the necessary ACT or SAT test score for the NCAA Eligibility Center.

Employment of Prospects

Per NCAA Bylaw 13 it is permissible for an institution to arrange for the employment of a prospective student-athlete (PSA) as long as it does not begin prior to the prospects graduation from high school. The Compliance Office must be apprised of all details regarding employment of a PSA prior to a BYU athletics staff member making any arrangements and/or the PSA actually beginning employment for a representative of BYU

athletics interest (booster). The PSA and any potential employer will be required to complete the appropriate paperwork (*Prospect Employment Form*) with the Compliance Office.

If a booster wishes to employ a PSA at a site that is not in the vicinity of BYU campus the prospective student-athlete will not be permitted to work for the booster, except in unique circumstances approved by the BYU Director of Athletics. Unique circumstances will be limited to situations when the prospect either lives or has family members that live in the immediate vicinity of the booster's employment site. In addition to completing the *Prospect Employment Form*, approval will only be granted after the Director of Athletics (or designee) has spoken with the booster and prospect to ensure that NCAA rules are understood and followed.

In addition, any compensation received by a prospect must be for work actually performed and commensurate with the going rate in the community. A prospect cannot be provided free transportation to and from a summer job unless the employer has an established policy to transport all employees to and from the job site. If it is on-campus employment all the proper procedures must be followed as outlined by the universities policy for employment. If a staff member is involved with the arrangement of employment for a PSA, or is aware of any PSAs working for a booster, the staff member is required to immediately inform Compliance.

Transfers

Release to be Contacted by the Coach of Another Institution

A student-athlete desiring to contact or be contacted by a coach of another institution must first obtain approval to do so from his or her head coach. The coach shall notify the student-athlete and the Compliance Office whether or not permission is granted.

If permission to be contacted by a coach of another institution is granted, the Compliance Office shall send written notification of the permission to that school (If the head coach grants permission for the student-athlete to be contacted by more than one school, the Compliance Office shall send written notification to all schools to which permission has been granted.). The coach of another institution may not contact the student-athlete until that institution has received written permission to do so from BYU's Compliance Office. *See* NCAA Bylaw 13.

Appeals from Denial of a Student-Athlete's Request to Contact or be Contacted

If permission to contact or be contacted by a coach of another institution is denied, the following procedures shall be followed:

1. The Compliance Office shall notify the student-athlete, in writing, that the student-athlete, "upon request, shall be provided a hearing conducted by an institutional entity or committee outside of the athletics department." NCAA Bylaw 13.1.1.3.1.

2. The student-athlete shall have seven (7) days from the date of his or her receipt of the Athletics Department's notification of denial to request such a hearing. The student-athlete's request must be made in writing.
3. If a hearing is requested, it shall be conducted by the Permission to Contact/Transfer Hearing Committee, which shall consist of the BYU Athletics Compliance Committee, exclusive of Athletics Department employees; and one (1) student-athlete. The Committee's student-athlete will be selected from the Cougar Council, and may not be participants in the same sport as the student-athlete. The chairperson of the Athletics Compliance Committee shall serve as the chairperson of the Permission to Contact/Transfer Hearing Committee.
4. The hearing will take place within fourteen (14) days of the Athletics Department's receipt of the student-athlete's written request for a hearing.
5. The Permission to Contact/Transfer Hearing Committee shall render a decision of whether or not to overturn the previous denial of permission within seven (7) days of the date on which the hearing took place.

Requests to Transfer

A student-athlete who received permission to contact or be contacted by a coach of another institution and wants to transfer to that institution and participate in athletics must obtain permission to do so from his or her head coach. The coach shall notify the Compliance Office whether or not permission will be granted.

If the request to transfer is granted, the Compliance Office shall complete the necessary forms to facilitate the transfer. These forms shall be provided by the institution to which the student-athlete is transferring.

Appeals from Denial of a Student-Athlete's Request for Release

If BYU chooses to deny a student-athlete's request for an exception to the NCAA's transfer-resident requirement, the following procedures shall be followed:

1. The Athletics Department shall have seven (7) days from the date of the decision to deny a student-athlete's request for permission to contact another four-year collegiate institution or for release from the NCAA's transfer-residence requirement to notify the student-athlete, in writing, that the student-athlete's request has been denied and that the student-athlete, "upon request, shall be provided a hearing conducted by an institutional entity or committee outside of the athletics department." NCAA Bylaw 14.5.5.2.10(d).
2. The student-athlete shall have seven (7) days from the date of his or her receipt of the Athletics Department's notification of denial to request such a hearing. The student-athlete's request must be made in writing.

3. If a hearing is requested, it shall be conducted by the Permission to Contact/Transfer Hearing Committee, which shall consist of the BYU Athletics Compliance Committee, exclusive of Athletics Department employees; and one (1) student-athlete. The Committee's student-athlete will be selected from the Cougar Council, and may not be participants in the same sport as the student-athlete. The chairperson of the Athletics Compliance Committee shall serve as the chairperson of the Permission to Contact/Transfer Hearing Committee.
4. The hearing will take place within fourteen (14) days of the Athletics Department's receipt of the student-athlete's written request for a hearing.
5. The Permission to Contact/Transfer Hearing Committee shall render a decision of whether or not to overturn the previous denial of permission within seven (7) days of the date on which the hearing took place.

Contacting a Potential Incoming Transfer Student-Athlete at Another Institution

An athletics department staff member shall not make contact with a student-athlete at another NCAA or NAIA four-year institution, either directly or indirectly, without first obtaining written permission to do so from that institution's athletics department, regardless of who makes the initial contact. If a coach is contacted by a student-athlete at another four-year institution who is interested in transferring to BYU, the coach must inform the Compliance Office. The Compliance Office shall contact the compliance office of the student-athlete's current institution to obtain written permission to contact that student-athlete.

If BYU obtains permission to contact a student-athlete at another four-year institution and that student-athlete elects to transfer to BYU, the Compliance Office shall send the prior institution *Student-Athlete Transfer form*.

If permission is not granted, BYU shall not encourage the student-athlete to transfer. If, despite not receiving permission and without the encouragement of BYU, the student-athlete decides to transfer to BYU, BYU shall provide no athletics related financial aid to the student-athlete until he or she has attended BYU for one academic year. NCAA Bylaw 13.1.1.3.

Rules Interpretations

The Compliance Office is the Athletics Department's rules interpretation center. All questions concerning compliance, the NCAA manual, or rules interpretations should be directed to the Compliance Office. Any individual may request a rules interpretation.

Coaches and athletics department staff members should not contact the conference or NCAA Membership Services; however, they should not hesitate to contact the Compliance Office at any time. If a question involves a complicated fact pattern or situation, it should be submitted to the Compliance Office in writing to minimize the potential for misunderstanding. The Director of Compliance and the Compliance Coordinator(s) serve as the primary contacts for rules interpretations and are ultimately responsible for answering the rules interpretation inquiries submitted to the Compliance Office.

If the Compliance Office cannot satisfactorily answer an inquiry, or if an inquiry necessitates further explanation or supportive material, the conference and NCAA Membership Services can provide interpretations. Only the following individuals are authorized to contact the Conference Office or NCAA Membership Services regarding interpretation questions:

University President
Director of Athletics
Associate Athletic Director/SWA
Compliance Staff Members
Faculty Athletic Representative

Rules Education

The Compliance Office, under the direction of the Director of Compliance, shall provide rules education for coaches, student-athletes and boosters. This education program may be attained through various means, including, but not limited to;

1. Compliance Item in the Athletics Department's weekly update.
2. Compliance web site.
3. "Compliance Minute" at coaches/departamental/office professionals meetings, as well as at the regularly-held senior staff meetings.
4. Regular rules education meetings with student-athletes.
5. Educational meetings for newly hired coaches and staff.
6. Other means as the Compliance staff sees fit.

Playing and Practice Seasons

Countable Athletically-Related Activities

Coaches are required to turn in regular practice logs to the Compliance Office beginning the first day of fall classes (or preseason practice) until the conclusion of the academic year (or end of the playing and practice season). The coach must sign and verify the accuracy of the hours listed on these reports, with a student-athlete confirming the information. All applicable NCAA and conference legislation applies to countable athletically related activity limits.

Summer Athletics Activities (Basketball and Football Only)

The NCAA permits student-athletes in the sports of basketball and football to participate in countable athletically related activities during the summer vacation period. In general, student-athletes (both continuing and incoming) must be enrolled in summer courses and are only able to participate in activities while attending summer school courses. Continuing student-athletes that meet the exception to summer school enrollment are able to participate in summer countable athletically related activities outside of summer school sessions or without being enrolled in summer school courses.

Student-athletes are permitted to participate in up to eight (8) weeks (does not need to be consecutive) of summer athletics activities, starting as early as the day after spring commencement and concluding no later than the first day of classes for the ensuing fall semester. In basketball, during those eight (8) weeks, student-athletes are able to participate in up to (8) hours of countable athletically related activities per week, with a maximum of two (2) hours spent on skill instruction (there is no limitation on the number of student-athletes who can be involved with skill instruction at any one time). In football, student-athletes are permitted to participate in up to eight (8) hours of countable athletically related activities per week, with a maximum of two (2) hours spent of film. Further, the NCAA does not require an off-day to occur during summer athletics activities and activities can occur during the week prior to and during finals.

Foreign Tours

All foreign tours must comply with NCAA Bylaw 17:

1. Coaches should obtain approval for and plan the tour with their sport administrators.
2. Prior to setting dates or making reservations for the tour, coaches should fill out the *Foreign Tour and Competition* form and submit it to the Compliance Office.
3. Once approval is given for the tour from the sport administrator and the Compliance Office the coach may work with the travel office to secure all travel arrangements.
4. Prior to departing the team may conduct up to 10 practices in preparation for the tour.

5. During the tour the team may not compete against other American teams (colleges or U.S. teams) and may not schedule more than 10 competitions.

See NCAA Bylaw 17 for additional foreign tour rules and regulations.

Occasional Meal Procedure

As per NCAA Bylaw 16, a student-athlete or a sports team may receive an occasional meal in the locale of an institution on infrequent and special occasions from:

1. An institutional staff member at any location, including a restaurant. The institutional staff member may provide reasonable local transportation to the student-athletes to attend such meals.
 - a. If a meal provided by an institutional staff member takes place at a restaurant owned by a representative of the institution's athletics interests (booster), the institutional staff member must pay the full cost of the meal (i.e., the booster can't "comp" the meal for the staff member).
2. A representative of athletics interest, so long as the meal is provided in an individual's home, though the meal may be catered. The representative of athletics interest may provide reasonable local transportation to student-athletes to attend the meal ONLY if the meal is held at the home of that representative.

Occasional meals should be approved by the Compliance Office. To obtain approval, an institutional staff member or representative of athletics interest should complete the *Occasional Meal Form* and submit the completed form to the Compliance Office. The Compliance Office shall notify the institutional staff member or representative of athletics interest once approval has been granted.

Athletic Information Forms

Student-Athlete Forms

Prior to a student-athlete's first practice, he or she must complete the Student-Athlete Compliance Forms Packet (Student-Athlete Packet). This packet consists of forms required by the NCAA, the conference and BYU. The Compliance Office will coordinate with head coaches to set a meeting with each team before the first practice and no later than the fourth (4th) week of the fall semester (the Mandatory Compliance Paperwork Meeting) to facilitate the gathering of this information. It is the coach's responsibility to ensure that any student-athlete who was not able to attend the Mandatory Compliance Paperwork Meeting comes to the Compliance Office to fill out the required forms. The Compliance Office will review all Student-Athlete Packets to ensure the eligibility of all student-athletes.

Coaches Forms

Prior to the playing and practice season coaches must fill out the beginning of the year Coaches Packet. The Compliance Office will provide coaches with the coaches packet prior to

their team's Mandatory Compliance Paperwork Meeting. It is the responsibility of the coach to ensure that all information is fully completed and accurate. The Compliance Office will then review the forms to ensure compliance with NCAA, the conference, and BYU rules.

The Coaches Packet is comprised of the following forms:

1. Playing and Practice Season Declaration
2. Coaching Staff / Off-Campus Recruiters Designation
3. Athletically Related Income
4. Volunteer Coach Agreement (sports other than football and basketball)

Playing and Practice Season Declaration

Prior to the start of a team's playing season each team shall fill out a *Playing and Practice Season Declaration Form*, which shall be turned in to the Compliance Office. The Compliance Office shall examine the forms to ensure compliance with NCAA rules and regulations and enter the information into compliance software. Changes to the *Playing and Practice Season Declaration Form* must be submitted to the Compliance Office in writing.

Coaching Staff and Off-Campus Recruiter Designation

All head coaches must fill out the *Coaching Staff/Off-Campus Recruiters Designation Form* annually. Any changes should be submitted in writing to the Compliance Office. All coaches designated as off-campus recruiters must pass the NCAA Certification Test each year.

Athletically Related Income

All contractual agreements between BYU and full-time or part-time athletics department staff members (excluding secretarial or clerical personnel) shall include the requirement that the staff member provide an annual written detailed account to the University President regarding all athletically related income and benefits from sources outside of BYU.

Coaches and staff members shall complete the *Athletically Related Outside Income* form and submit to the Compliance Office by September 15. The Compliance Office shall annually provide a detailed report of the information to the University President by November 15.

Coaches and staff members should work with their sport administrator or supervisor to receive prior approval for all athletically related outside income. Approval of all such income and benefits shall be consistent with BYU's policy related to outside income and benefits applicable to all full-time or part-time employees. Sources of athletically related income and benefits from sources outside of BYU include, but are not limited to:

1. Income from annuities;
2. Sports camps;

3. Housing benefits, including preferential housing arrangements;
4. Country club memberships;
5. Complementary ticket sales;
6. Television and radio programs; and
7. Endorsement or consultation contracts with athletics shoe, apparel or equipment manufacturers.

Coaches and staff members should report any income which may be construed as “athletically related.”

Volunteer Coach Agreement

All volunteer coaches must fill out the *Volunteer Coach Agreement Form*. Head coaches must sign the form and both parties must verify that they understand and will abide by the NCAA rules regarding volunteer coaches (NCAA Bylaw 11).

Additionally, coaches must notify the Compliance Office of Student-Assistants as soon as hired.

Student-Athlete Employment

Each student-athlete will be required to fill out a form regarding their employment during the academic year. If a student-athlete indicates that he or she will be employed during the academic year, the student-athlete will then be given a supplemental form to fill out regarding their employment. The supplemental form must be signed and verified by the employer. The student-athlete must then turn in the form to the Compliance Office for approval.

If at any time a student-athlete seeks a job or changes jobs they shall be required to fill out the employment form. The Compliance Office will remind student-athletes periodically (either through email or a newsletter) that all employment needs to be approved by the Compliance Office prior to employment or as soon as possible after employment has started.

Promotional Activities

According to NCAA Bylaw 12, student-athletes can participate in charitable, nonprofit, and/or educational activities only under the following conditions:

1. The student-athlete does not miss class;
2. The student-athlete receives written approval from the Director of Athletics (or designee);

3. All monies derived from the activity will go directly to the charitable/non-profit agency;
4. The activity in which the student-athlete participates does not involve co- sponsorship, advertisement, or promotion by a commercial agency;
5. The student-athlete may only accept actual and necessary expenses from the institution or charitable/non-profit agency; and
6. The student-athlete's name, picture, or appearance is not used to promote commercial ventures.

To ensure that NCAA requirements are met and that student-athlete eligibility is not jeopardized, Compliance Office approval is required before any student-athlete may participate in a promotional activity. This approval is obtained by completing the online *Promotional Activities Form*, which should be completed by a representative from the group requesting student-athlete participation in the promotional activity.

In addition, all student-athletes shall sign a blanket promotional activities release as part of the Mandatory Compliance Paperwork Meeting.

Unauthorized Promotional Activities

If, without the student-athlete's knowledge or permission, a student-athlete's name or picture either appears on commercial items (e.g., T-shirts, posters, etc.) or is used to promote a commercial product, the student-athlete or BYU (on behalf of the student-athlete) must take steps to stop such an activity in order to retain the student-athlete's eligibility.

Camps and Clinics

Compliance will coordinate with Sports Camps personnel to ensure that all camps and clinics are conducted in compliance with all applicable NCAA, conference, and institutional requirements.

Sports Camps personnel shall be responsible for verifying that all rules and regulations are being followed and must monitor the following:

1. Camp or Clinic staff and payment to each employee;
2. Dates of camp or clinic;
3. Discount structure.

4. Camp or clinic is open to any and all entrants (limited only by number, age, grade level and/or gender);
5. Educational session is conducted (for basketball);
6. Location of camp or clinic is permissible (for basketball and football)

Extra Benefits

An “extra benefit” is any special arrangement, whether by a BYU employee or a representative of BYU’s athletics interest (booster), to provide a student-athlete or his or her relatives or friends with a benefit not expressly authorized by the NCAA.

High profile student-athletes must submit a statement of vehicle information to the Compliance Office. This statement should include the following information:

1. Year, Make, Model, Color, Customization
2. License plate number and State
3. Name of Title Holder(s)
4. Student-athlete’s relationship to Title Holder(s)
5. Date of purchase (Month/Year)
6. Is vehicle paid in full?
7. If not, person(s) responsible for loan
8. Dealership or individual from which vehicle was purchased
9. Who (if anyone) helped the student-athlete select and purchase the vehicle?

If it is determined that a student-athlete has received an extra benefit, the Compliance Office will meet with that student-athlete and take the appropriate steps, as set forth by the NCAA (*see* Investigations and Self-Reporting, *infra*) to reinstate eligibility.

Investigations and Self-Reporting

Philosophy of Self-Reporting

BYU’s policy is to conduct its athletics program in full compliance with all NCAA and conference rules and regulations. Employees are expected to be committed to this policy and are to report any situations or activities that may represent violations of NCAA, conference, or University rules.

An immediate awareness of secondary violations provides the Athletics Department with the opportunity to make the necessary corrections before a situation develops into a major infraction. Self-reporting of secondary violations also helps the Athletic Department

formulate policies and procedures that can prevent similar violations in the future. Unidentified problems cannot be corrected.

Self-reporting of major violations permits the Athletic Department to take prompt remedial steps, which may lessen the detrimental effects the violation may have on the student-athletes, teams, and Athletic Department as a whole.

Investigations and Self-Reporting of Rules Violations

Any member of the BYU community who suspects that (or questions whether) a violation of NCAA or conference rules has taken place should immediately contact the Compliance Office, the Director of Athletics, or the Faculty Athletic Representative.

An Athletics Department staff member who realizes that a violation has been committed should inform his or her direct supervisor or the Compliance Office immediately. Although initial notification of a potential violation may be given verbally, the staff member may be asked to file a written description of the circumstances and details of the violation.

Violations and Infractions

Level III and IV Violations

It is the responsibility of all University employees, especially those involved in athletics, to report any actions that appear to be violations.

A secondary violation is a violation which is inadvertent and provides little or no competitive advantage to the sport or institution. Secondary violations should be treated as follows:

1. Violations shall be reported to the Director of Athletics, the Faculty Athletic Representative, or the Compliance Office.
2. The Compliance Office will investigate the facts and determine if a violation did occur. If it is established that a secondary violation has occurred, the Compliance Office will determine the appropriate corrective action to be taken.
 - a. If a student-athlete (or prospective student-athlete) has committed a violation that would render them ineligible, the Compliance Office will declare them ineligible pending reinstatement by the NCAA or comply with the required reinstatement guidelines as outlined in the NCAA manual.
3. The findings and corrective action taken will be shared with the person(s) involved and reported in writing to the Director of Athletics, the Faculty Athletic Representative, and the Advancement Vice-President in the form of a self-report. The self-report will also be forwarded to the conference and the NCAA. The report will follow the outline suggested by the NCAA or conference for reporting rules violations (as well as requesting reinstatement).

4. If, after an initial investigation, it appears that a major violation has occurred, the Compliance Office will inform the Director of Athletics, the Faculty Athletic Representative, the Advancement Vice-President, and the University President of the findings of their investigation. At this point they will follow the procedures for investigating major violations as outlined below.

Major Violations

Major violations are actions which meet any one of the following conditions:

1. Any persistent or repetitive pattern of secondary violations;
2. Providing false or misleading information to either institutional personnel or to the NCAA;
3. Any rules violations that provide a recruiting or competitive advantage; or
4. Any intentional rules violation or encouragement of others to violate NCAA, conference, or institutional policies or procedures.

Major violations should be handled in the following manner:

1. After the initial investigation performed by the Compliance Office is completed and the findings have been reported to the Director of Athletics, the Faculty Athletic Representative, the Advancement Vice-President, and the University President, a more in-depth and complete investigation shall be completed by the Compliance Office, Director of Athletics, and the Faculty Athletic Representative to determine if a major violation has occurred. The results of this investigation shall be reported in writing to the University President.
2. If there is evidence of a major violation(s), the matter will be referred to a committee consisting of the Director of Athletics, the Senior Women's Administrator, the Faculty Athletic Representative, the Advancement Vice-President, and the sport administrator for the sport in which the violation occurred. They will conduct a complete investigation of the case. The University General Counsel will serve as an advisor to the committee, along with other resource persons, as appropriate. In addition, the committee will consult with the conference Compliance Office and the NCAA enforcement staff in developing its investigation and report.
3. The committee will report its findings in writing to the University President. A summary of all findings and follow-up corrective actions shall be reported to the NCAA and the Conference.

Team Travel Policies

Preparation of Dress List and Travel Itinerary

Each coaching staff shall submit a dress list and travel itinerary to the Compliance Office prior to departure for a competition held away from BYU. Each coaching staff shall submit a dress list to the Compliance Office prior to all home contests.

Complimentary Admissions

BYU follows the NCAA guidelines with regards to complimentary admissions.

Complimentary Admissions for Student-Athletes

It is allowable to provide four complimentary admissions per home and away contests to a student-athlete in the sport in which the student-athlete is a participant, regardless of whether the student-athlete competes in the particular game. In addition, complimentary admissions may be provided to members of the institution's team for all contests on the same date in a tournament in which the team is participating (at the same site), rather than only for those games in which the institution's team actually participates.

Complimentary admissions shall be provided only through a pass list for individuals designated by the student-athlete. The individual utilizing the complimentary admission must present identification to the person supervising the pass list at the admission gate. The individual will then be provided a ticket stub or other identification of a specified reserved seat, directed to a specific reserved-seating section. Individual tickets, or "hard tickets," may not be purchased by the athletic department or provided as complimentary tickets.

Student-athletes may receive complimentary admission for themselves to all BYU regular-season home competitions in sports other than their own, via a student-athlete pass/gate list.

Complimentary Admissions for Prospective Student-Athletes

Prospects visiting campus on an official or unofficial visit may receive three complimentary admissions for home athletic events at any facility within a 30-mile radius of BYU campus. The complimentary admissions must be administered through a pass list and seating may only be provided in the general seating area of the facility.

Complimentary Admissions for High School/Junior College Coaches

The department must utilize a pass-list system to distribute complimentary admission to high school or two-year college coaches. Such coaches are limited to two complimentary admissions issued on an individual game basis for home athletic events at any facility within a

30-mile radius of BYU campus. The coach may purchase additional tickets in the same manner as the general public.

Complimentary Admissions for Coaching Staff

These are the maximum number of complimentary admissions allowable per NCAA rules (see NCAA Manual, Figure 11-1).

1. Head Coach: Unlimited
2. Assistant Coach: Unlimited
3. Volunteer Coach: Two tickets to home contests in coach's sport
4. Undergraduate Assistant Coach: Four admissions (not "hard tickets")
5. Graduate Assistant Coach: Four admissions

List of Resources

The following list of resources may be helpful in providing additional information:

- NCAA Division I Manual
- West Coast Conference Handbook
- BYU Athletics Department Policies and Procedures Manual
- NCAA.org
- BYUCougars.com/Compliance
- Legislative Services Database for the Internet