

UNIVERSITY OF MEMPHIS
DEPARTMENT of INTERCOLLEGIATE ATHLETICS



MISSION STATEMENT

The primary mission of the Department of Athletics is to provide a successful athletic program at the highest level of competition. Characterized by academic, athletic and moral excellence in a diverse collegiate environment, the program will abide by the spirit of the rules governing students and intercollegiate athletics and will be known for its good sportsmanship and integrity. The University of Memphis is a comprehensive urban university committed to the scholarly accomplishments of our students and faculty and to the enhancement of our community, state, and the nation through principles of academic integrity, sound management and equal opportunity.

STATEMENT OF PHILOSOPHY

The University of Memphis affirms that intercollegiate athletics are an integral and important part of the University and, as such, must integrate with and be supportive of the University's primary missions of education, research and public service. The University acknowledges that a successful athletic program is not measured solely by won-lost records, but more important, by how the program contributes to the overall development of the student-athlete as a good citizen and supports the primary missions of the University.

The University is committed to providing equal opportunity for men and women to take part in such intercollegiate athletics to the end that the values of competition and good sportsmanship will contribute to their education. UM is an equal opportunity/affirmative action university.

INTRODUCTION

The University of Memphis athletic compliance program is built on an effective rules education effort with an understanding that compliance is primary to employment for coaches and staff. A system of checks and balances exists as a means of maintaining institutional control. The program is designed to keep an appropriate amount of responsibility on coaches to monitor their own day-to-day activities within a sound compliance framework. The Athletic Compliance Office is the primary resource for coaches in carrying out their compliance responsibilities. However, coaches are responsible for submitting information related to rules compliance to the Athletic Compliance Office when requested. The Athletic Compliance Office is also charged with developing systems and tools to assist coaches in their efforts. As required by the NCAA and administered through the CUSA, coaches are tested annually as to their knowledge of recruiting rules. Resources are made available as part of an on-going rules education program to ensure that all coaches are current on the rules and relevant interpretations. It is expected that coaches will ask questions and seek guidance whenever there is any doubt as to how to comply in any given situation. It is also expected that coaches will operate their programs in strict compliance with the spirit and intent of the rules.

The following information provided throughout this manual represents policy guidelines for coaches, administrators, faculty, staff, and enrolled student-athletes in carrying out their compliance responsibilities.

THE UNIVERSITY OF MEMPHIS MISSION IN COMPLIANCE

The University of Memphis (UM) is committed to maintaining compliance with the rules and regulations of the National Collegiate Athletic Association (NCAA) and the Conference USA (CUSA) in all varsity intercollegiate athletic programs and views compliance as a shared responsibility. The Athletic Compliance Office will strive to be proactive in educating, monitoring, and verifying NCAA and CUSA rules compliance with regard to each sport and component within the Athletics Department. There shall be a determined commitment to both the letter and the spirit of all rules and regulations; and the compliance office shall do all things necessary to effectively insure its commitment to the principles of fair play by all of its personnel, student-athletes, alumni, fans, and boosters.

COMMITMENT TO RULES COMPLIANCE

It is the duty of the all employees to be committed to the policies of the Athletics Department, conference, and NCAA rules compliance. Coaches are expected to have knowledge and understanding of NCAA, conference, and university rules, policies and procedures governing intercollegiate athletics. A confirmed major violation of NCAA regulations, repeated secondary violations, failure to document evidence of compliance, or failure to notify appropriate personnel of any known or suspected violation of NCAA, conference, or university regulations may lead to suspension with or without pay or termination of contract. Head coaches are expected to ensure compliance by assistant coaches and other employees for whom he/she is administratively responsible with the aforesaid policies, rules, and regulations. The university reserves the right and option to terminate or suspend a coach with or without salary payment for causes at any time. Failure to comply with any of the terms or conditions of the contract is considered “cause”.

INSTITUTIONAL CONTROL

The Athletic Compliance Office provides support to coaches, student-athletes, the Athletics Department, and university constituents in the areas of NCAA and Conference rules compliance. The Athletic Compliance Office’s mission is based on four fundamentals: (1) Education, (2) Interpretation, (3) Enforcement, and (4) Oversight.

Education

Foster a commitment to compliance by ensuring coaches, student-athletes, Athletics Department staff and university constituents receive a clear understanding of the rules. Ultimately, each person is responsible for adherence to the rules.

Interpretation

Assist all UM faculty and staff members, enrolled and prospective student-athletes, and representatives of athletics interest (when appropriate), in accomplishing their goals within the rules by determining permissible activities, reviewing precedent, and using extensive resources.

Enforcement

Create an environment where allegations and self-reports can be processed in a prompt fashion and comfortably discussed in a confidential manner. Review facts to determine if a violation occurred, the necessary penalties, and to report violations to appropriate constituencies.

Oversight

Demonstrate institutional control through comprehensive systems that protect coaches, student-athletes, the Athletics Department, and institution. In addition, monitoring the systems as well as individuals within each system and evaluating in a timely manner. Procedures may be initiated in a number of areas. All should include checks and balances that ensure accountability of the system.



UNIVERSITY OF MEMPHIS

NCAA Division I Legislation Process

UM Athletic Compliance Office

POLICY STATEMENT

All legislation of the Association that governs the conduct of the intercollegiate athletics programs of its member institutions shall be adopted by the membership in Convention assembled, or by the presidential administrative groups and the division management councils as set forth in Constitution 4, as determined by the constitution and bylaws governing each division, and shall be consistent with the purposes and fundamental policy set forth in Constitution 1, and shall be designed to advance one or more principles such as those set forth in Constitution 2.

PURPOSE

To establish clear and documented procedures for properly voting on NCAA legislative proposals.

PROCEDURES/PROCESS

Process:

The legislative cycle for new NCAA legislation begins in the fall of the academic year, and the details pertaining to the cycle after it begins can be found on the “Legislative Activity Calendar” found in your NCAA manual (*Figure 5-2*).

Procedures:

1. Athletic Compliance Office and FAR receive proposals through conference office.
2. Proposals are reviewed through regularly scheduled conference calls.
3. Athletic Compliance Office and FAR discuss proposals with coaches and staff to obtain input.
4. Athletic Compliance office prepares recommendations.
5. Director of Athletics, FAR, Senior Woman Administrator, and Assistant Athletic Director for Compliance meet to review recommendations and make final decisions.
6. Athletic Compliance Office submits final votes to the conference office.
7. Athletic Director represents institution at NCAA Convention (voting delegate).

* Emergency/non-controversial/out of procedure proposals process may exclude abovementioned steps.



UNIVERSITY OF MEMPHIS

Investigations & Self Reporting

UM Athletic Compliance Office

POLICY STATEMENT

It is the responsibility of the University to establish effective methods to assure its athletics program is in compliance with the Conference and NCAA rules and regulations (see NCAA principle 2.1.1). Accordingly, UM has accepted “primary responsibility for the administration of rules and regulations, for investigating known or alleged violations, and for taking prompt and effective corrective actions where violations have occurred.” In furtherance of its commitment to compliance, the Athletic Compliance Office shall carefully investigate any observation, allegation or report of non-compliance with CUSA or NCAA legislation.

PURPOSE

To establish clear and documented procedures for properly self reporting and investigating NCAA violations.

PROCEDURES/PROCESS

These procedures are applicable to all coaches, staff and administrators. Through these procedures, everyone involved may follow a recognized process to avoid possible NCAA, CUSA, and UM rules violations.

Process:

The University of Memphis affirms that all Athletics Department staff members, student-athletes, students, and university employees are obligated to report any and all alleged, rumored, or suspected NCAA or university policy violations. Violations can be reported verbally or in writing to the Athletic Compliance Office.

Procedures:

1. Conducting an Investigation of an Alleged Violation
 - a. The Athletic Compliance Office is responsible for conducting investigations. On occasions, as defined by the Athletic Director, such investigations should be in conjunction with UM Legal Counsel or the Faculty Athletics Representative.
 - b. The Athletic Compliance Office will maintain a written record of all violations.
 - c. If a violation has occurred, the Athletic Compliance Office will keep on file a copy of the report of the violation and subsequent correspondence with the conference and/or the NCAA staff.
 - d. Copies of the self-report will be sent to the following:
 - Director of Athletics
 - Faculty Athletics Representative
 - Conference office
 - Involved staff member(s)
 - Head Coach of sport affected

PROCEDURES/PROCESS

NOTE: Self-reports of violations involving student-athletes are not copied to the involved student-athlete because of the sensitive nature of the information in the report.

2. Determination of a Violation

Any determination of non-compliance shall be based on information presented or developed that is credible, persuasive and of a kind on which reasonably prudent persons rely in the conduct of serious affairs.

- a. The Athletic Compliance Office, under the direction of the Assistant Athletic Director shall determine whether a violation has occurred whenever the preponderance of the evidence, considered as a whole, establishes the occurrence of the violation.
- b. It shall be the responsibility of the Athletic Compliance Office in assessing the facts to determine the weight and credibility given to any particular data.
- c. The Athletic Compliance Office shall seek the advice and counsel of the NCAA and conference staff in determining violations when appropriate.

3. Enforcement / Sanctions

- a. Penalties for a secondary violation - If a penalty is warranted, the Athletic Compliance Office shall impose a penalty in accordance with NCAA bylaw 19.6.1 and assess appropriate corrective measures.
 - At the end of each academic semester the Athletic Compliance Office shall prepare a memorandum detailing all secondary violations that have occurred that semester. Such memoranda shall be furnished to the President, the AD and FAR.
- b. Penalties for a major violation - The Associate Athletic Director for Compliance, individually, or as chair of the Athletic Compliance Committee, if impeached, shall make a recommendation to the President regarding self-imposed sanctions and corrective measures. NCAA bylaw 19.6.2.1 and decisions of the NCAA Committee on Infractions shall serve as guidance and precedent. The President's decision shall be implemented by the Associate Athletic Director for Compliance.
 - All disciplinary action appropriated will be issued in accordance to the level of severity of the violation. In accordance with NCAA, conference, and university expectations, the Director of Athletics, the President, the Athletics Department, and/or the Athletic Compliance Office will discipline coaches, athletics staff, administrators, student-athletes, and prospects who violate policies.



UNIVERSITY OF MEMPHIS

Rules Education

UM Athletic Compliance Office

POLICY STATEMENT

UM, pursuant to current NCAA and C-USA guidelines on compliance, has chosen a proactive role in the education and monitoring of NCAA rules compliance. Education and monitoring encompass coaches, administrators and staff, faculty, donors, boosters and alumni, enrolled and prospective student-athletes and their relatives.

PURPOSE

To establish clear and documented procedures for properly providing rules education to Athletic Department staff members, student-athletes, coaches, administrators and staff, faculty, donors, boosters and alumni, and prospective student-athletes and their relatives.

PROCEDURES/PROCESS

These procedures are applicable to all coaches, staff and administrators. Through these procedures, everyone involved may follow a recognized process to avoid possible NCAA, CUSA, and UM rules violations. All are expected to understand and abide by those NCAA and CUSA rules affecting them both in relation to the student-athletes and the University's community.

Process

Members are educated to current rules and new legislation through the following:

1. Athletic Department Staff Members

- Weekly meeting with Department of Athletics senior staff.
- Monthly meetings with coaching staffs.
- Monthly compliance newsletter.
- General NCAA rules education orientation session for new staff members
- Periodic department-wide meetings.
- Annual rules review sessions for all coaches prior to administration of the coaches certification exam.
- Ongoing correspondence from the Athletic Compliance Office to all coaches and staff relaying interpretations, news and activities at the NCAA.
- Weekly meeting between Compliance and CAAS.
- Athletic Compliance web page on the Athletic Department web site.
- Athletic Compliance Manual.
- New coaches' orientation.

PROCEDURES/PROCESS cont.

2. Student-Athletes

- Annual fall meetings with each team for NCAA certification and rules education.
- Follow-up meetings are scheduled on an as-need basis with walk-ons and late roster additions.
- Student-Athlete Handbook.
- General Studies ACAD class – 50-minute class covering a range of topics related to NCAA rules.
- Occasional meetings with Student-Athlete Advisory Committee (SAAC).
- Tutor/Mentor training – training sessions are held to educate and reinforce NCAA rules with the tutor and mentor staffs.
- Athletic Compliance web page on the Athletic Department web site.

3. Prospective Student-Athletes

- Coaches and staff serve as educators during phone calls, home visits, official and unofficial visits during the recruiting.
- Prospective student-athletes are encouraged to use the NCAA web site, Athletic Compliance home page on UM Athletic web site, coaches, and the Athletic Compliance Department.

4. Institutional Staff Members

- Formal lines of communication have been established between the Department of Athletics and other institutional staff members including those in Admissions, Financial Aid, Bursars, Student Services, and the Registrars Office.

5. Representatives of Athletics Interest

- “NCAA Rules and Regulations” brochure.
- Media guides.
- Periodic speaking engagements with booster groups.
- Athletic Compliance web page on Athletic Department web site.
- Encouragement of Representatives of Athletics Interest to contact the Athletic Compliance Office with any questions.

6. Compliance Staff

- Annual NCAA Convention.
- Annual NCAA Regional Compliance Seminar.
- Annual conference coordinators meeting.
- Monthly conference calls.
- Weekly compliance staff meetings.



UNIVERSITY OF MEMPHIS

Rules Interpretation

UM Athletic Compliance Office

POLICY STATEMENT

All interpretive questions from coaches, athletics staff, institutional staff and outside constituencies should be directed to the Athletic Compliance Office. Only the Associate and Assistant Athletic Director for Compliance will ask interpretive questions of the NCAA, and all Compliance staff members will ask interpretive questions of the CUSA.

PURPOSE

To establish clear and documented procedures for properly obtaining official interpretations of the NCAA legislation.

PROCEDURES/PROCESS

These procedures are applicable to all coaches, staff and administrators. Through these procedures, everyone involved may follow a recognized process to avoid possible NCAA, CUSA, and UM rules violations.

Process:

Requests for rules interpretations for the Athletic Compliance Office may be made three ways: (1) verbally (in person or via the telephone), (2) in writing, and (3) via email. An Athletic Compliance Office staff member will communicate and answer to the question in-person, in writing, or by telephone.

Procedures:

1. Coach is responsible for reviewing all applicable bylaws associated with his/her question, and gathering all the facts and details pertaining to his/her interpretation request prior to submitting any questions to the Athletic Compliance Office.
 - Interpretation request form is the recommended form if submitted via hardcopy (*attachment*).
 - Interpretation request submitted via e-mail are acceptable. When submitting via e-mail, the following details should be included: (1) applicable bylaws, (2) details, (3) situation, (4) question, (5) your interpretation of the legislation, and (6) date you need a response.
 - Interpretation request via the telephone and/or office visits are welcomed. When using this method, be prepared to provide the following details: (1) applicable bylaws, (2) details, (3) situation, (4) question, (5) your interpretation of the legislation, and (6) date you need a response.
2. Athletic Compliance Office is responsible for providing a rules interpretation in a timely manner.
 - Rules Interpretations will be given via telephone or in-person, followed by a written response.
 - Rules Interpretations will be forwarded to all staff members in the Athletic Compliance Office.
 - When appropriate, rules interpretations will be shared with other coaches.



UNIVERSITY OF MEMPHIS

Coaches Designation

UM Athletic Compliance Office

POLICY STATEMENT

An individual who coaches and either is uncompensated or receives compensation or remuneration of any sort from the institution, even if such compensation or remuneration is not designated for coaching, shall be designated as a head coach, assistant coach, volunteer coach, graduate assistant coach or student-assistant coach by certification of the institution. (11.7.1.1)

PURPOSE

To establish clear and documented procedures for properly designating coaching staff members in a timely manner.

PROCEDURES/PROCESS

Process

Coaches Designation form (**see PC-2**) is to be submitted to the Athletic Compliance Office prior to the start of each academic year.

Procedures

1. At the beginning of each academic year the head coach (or designee) is responsible for completing the Coaches Designation form and submitting it to the Athletic Compliance Office.
2. Athletic Compliance Office reviews the form and regulations to check for compliance and approval is signed.
3. Form is kept on file in the Athletic Compliance Office.

Guidelines

- Only those coaches who have been certified may contact or evaluate any prospect off campus.
- Only those people listed on the Coaches Designation form are permitted to work with members of the team in any manner during the academic year.
- It is the responsibility of the head coach (or designee) to notify the Athletic Compliance Office, in writing, of any additions, deletions, or changes to the staff during the academic year.

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.

All volunteers are required to complete a Volunteer Coach Agreement form (**see PC-3**). The form must be on file in the Athletic Compliance Office. Assignments cannot be more than one year in length. Volunteers must be designated as one of the permissible coaches in order to be involved in coaching activities. Additionally, all volunteer coaches are bound by the guideline in NCAA Bylaw 11.02.5

PROCEDURES/PROCESS (cont.)

The following provisions shall apply:

1. They are prohibited from contacting or evaluating prospects off-campus.
2. They are prohibited from receiving any payment for working camps or clinics conducted by the institution.
3. They may receive income from sources outside the institution's athletics department.
4. They may receive transportation, room and board at away games
5. They may receive a maximum of two complimentary tickets to home athletics contests in the coach's sport.
6. They 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 visit, provided the individual dines with the prospective student-athlete.

NOTE: Volunteer undergraduate coaches must have exhausted their eligibility, must be within the five-year limit of eligibility, receive no compensation, and be enrolled as a full-time student.



UNIVERSITY OF MEMPHIS

Recruiting Records/Documents

UM Athletic Compliance Office

POLICY STATEMENT

UM Athletic Staff members shall conduct recruiting activities only in the manner permitted by the NCAA, CUSA, and UM. Additionally, all activities must adhere to all rules and regulations specified within Bylaw 13.

PURPOSE

The policies and procedures established herein are intended to provide an effective, efficient, and consistent method for properly documenting recruiting activities. Such documentation will enable the Athletic Compliance Office to monitor recruiting activities and ensure that such activities are consistent with applicable NCAA legislation.

PROCEDURES/PROCESS

Each coach is responsible for maintaining a current accounting of all recruiting activities for each PSA that he/she is recruiting. This information can be kept in the Coaches Recruiting Handbook and/or in an individual file for each PSA. In addition to the coaches' individual records, each sport is responsible for having an up to date master recruiting file.

The Master Recruiting File should include:

Individual Files for Each PSA

- Prospective Student Athlete Profile *(R-1)*
- Record of Correspondence (if not recorded on PSA Profile Sheet)
- Recruitment Activation/Roster Management Form *(R-4)*
- Academic Transcripts
- Test Score Report (if applicable)
- International Amateurism Questionnaire (if applicable) *(R-13)*
- Official Visit Itinerary *(R-7)*
- Student Host Form *(R-8)*
- Athletics Recruitment Expense Claim *(R-9)*
- Request for Meal Reimbursement *(R-10)*

Individual Files for Each Coach

- Telephone Log(folder for each coach) *(R-2)*
- Contact/Evaluation Log(folder for each coach) *(R-3)*

Additional Files

- Official visit Roster *(R-5)*
- Unofficial Visit Roster *(R-6)*
- Recruiting Person-Day Log (MBB & WBB Only) *(R-14)*
- Evaluation Day Log (MFB and WVB Only) *(R-15)*

PROCEDURES/PROCESS

Description of Documents

1. **Prospective Student Athlete (PSA) Profile (R-1)**

The PSA Profile includes fields for all vital personal and scholastic information (i.e. recording of permissible telephone calls, contacts and evaluations). This document is intended as a recruiting aide for each coach, and is a *suggested* format. Coaches are free to use their own profiles. However, all vital information contained in the suggested format must be included in the format of the coach's choice. Profiles should be kept in each sport's master recruiting file and made available to the Athletic Compliance Office upon request.

2. **Record of Correspondence**

Complete records of all correspondence (handwritten, typed, or electronic) shall be kept on file for each PSA and made available to the Compliance Office upon request. Coaches are not required to keep a copy of all handwritten and typed correspondence but should keep a log of when the documents were sent. Electronic correspondences should be maintained on each coach's office computer.

3. **Recruitment Activation/Roster Management Form(R-4)**

As soon as a PSA is identified and his/her recruitment process begins, a Recruitment Activation/Roster Management form should be submitted to the Athletic Compliance Office. A prospect cannot make an official visit, receive an academic evaluation, or be issued an athletic scholarship without this form being completed and submitted with a copy of the PSA's Academic Transcripts, Test Scores (ACT, SAT, and/or PLAN), and the International Amateurism Questionnaire (R-13) – if the PSA is an international student. Please note, that an academic evaluation cannot be completed for an International PSA unless a completed International Amateurism Questionnaire has been submitted. A Copy of this form, and all attached documents (transcripts, test score reports, and International Amateurism Questionnaires) shall be kept in each sport's master recruiting file and be made available to the Athletic Compliance Office upon request.

4. **Official Visit Itinerary(R-7)**

An Official Visit Itinerary should be presented for approval to the Athletic Compliance Office prior to any recruit coming onto the UM campus for an official visit. A copy of each Official Visit Itinerary should be kept in each sport's master recruiting file and made available to the Athletic Compliance Office upon request.

5. **Student Athlete Host Form(R-8)**

Prior to hosting a PSA and receiving the host money allotment, the student-athlete host must sign and date a Student Host form. This form should be submitted to the Athletic Compliance Office at the conclusion of the Official Visit attached to the Athletics Recruitment Expense Claim.

6. **Athletics Recruitment Expense Claim(R-9) and Request for Meal Reimbursement(R-10)**

At the conclusion of each official visit, the Recruiting Coordinator (or designee) is responsible for submitting the AREC and RMR forms to the Athletic Compliance Office for review. Upon approval, the forms will be returned to the Recruiting Coordinator (or designee) who will be responsible for obtaining the signature of the Sport Supervisor. Prior to forwarding these forms to the UM

Accounting Office, the Recruiting Coordinator is responsible for copying both forms. These copies should be maintained in the master recruiting file and made available to the Athletic Compliance Office upon request.

PROCEDURES/PROCESS

7. **Telephone Recruiting Logs** *(R-2)*

Each coach is responsible for keeping up-to-date Telephone Recruiting Logs documenting each phone call made to a PSA, his/her parents or legal guardians, and/or anyone else pertaining to the recruitment of the PSA. In the event that no calls are made in any particular month, a Telephone Recruiting Log that states “No calls made” for that month should be filed. Copies of each coach’s Telephone Recruiting Logs should be kept in each sport’s master recruiting file and should be made available to the Athletic Compliance Office upon request.

8. **Contact/Evaluation Logs** *(R-3)*

Each coach is responsible for keeping up-to-date Contact/Evaluation Logs documenting any contact with or evaluation of a PSA, his/her family, coach, guidance counselor, high school administrator, or anyone else pertaining to the recruitment of the PSA. In the event that no contacts or evaluations are made in any particular month, a Contact/Evaluation Log that states “No contacts/evaluations made” for that month should be filed. Copies of each coach’s Contact/Evaluation Logs should be kept in each sport’s master recruiting file and made available to the Athletic Compliance Office upon request.

9. **Official Visit Roster** *(R-5)* and **Unofficial Visit Roster** *(R-6)*

The recruiting coordinator will be responsible for maintaining complete record of all recruiting visits in chronological order and assessing the number of official visits used so as to stay within NCAA limits as outlined in *Bylaw 13.6.2.6* (Football- 56, Basketball- 12, Baseball- 25). The rosters shall be maintained in the master recruiting file and made available to the Athletic Compliance Office upon request.

10. **Recruiting Person-Day Log** *(R-14)*

In Men’s and Women’s Basketball, the recruiting coordinator will be responsible for maintaining an up to date Recruiting Person-Day Log that documents each recruiting-person day used by members of the coaching staff so as to stay within NCAA limits as outlined in Bylaws 13.02.7 & 13.02.8 (Men’s Basketball-130 recruiting-person days; Women’s Basketball-100 recruiting-person days). The log should include the name of the coach, date of the recruiting activity, and the location (city and state) that the recruiting activities took place. This log should be maintained in the master recruiting file and made available to the Athletic Compliance Office upon request.

11. **Evaluation Day Log** *(R-15)*

In football, softball, and volleyball, the recruiting coordinator will be responsible for maintaining an up to date Evaluation Day Log that documents each evaluation day used by members of the coaching staff so as to stay within the NCAA limits as outlined in Bylaw 13.02.6.2 (Football-42 Evaluation Days; Softball-50 Evaluation Days; Volleyball-80 Evaluation Days). The log should include the name of the coach, date of the evaluation, and the location (city and state) that the evaluation took place. This log should be maintained in the master recruiting file and made available to the Athletic Compliance Office upon request.

12. **Signing Packets** *(R-11)*

Prior to PSA’s signing of the NLI and/or acceptance of a written offer of financial aid agreement the head coach or designee shall provide to the PSA information pertaining to:

- the initial eligibility standards *(13.3.3)*
- compilation of graduation data *(13.3.2.1)*
- the NCAA banned drug list *(13.3.2.2)*

13. **CAAS Admissions Packet** *(R-12)*

Upon receipt of the signed NLI, or an acceptance of a written offer of financial aid agreement, each sport is responsible for forwarding the CAAS Admissions Packet to the PSA. This packet includes

PROCEDURES/PROCESS

documents that need to be completed and returned to UM in a timely manner in order to complete the admissions process.

NOTE: All recruited walk-ons and non-recruited walk-ons should receive a CAAS Admissions Packet at the earliest opportunity to assure admissions in a timely manner.



UNIVERSITY OF MEMPHIS

Academic Evaluations and Official Visits

UM Athletic Compliance Office

POLICY STATEMENT

Official visits may only be provided to those prospective student-athletes that are considered to be “senior prospects” or eligible 2 OR 4 year prospects as defined by NCAA rules. An official visit may be provided only during those times permitted by the NCAA Recruiting Calendar. UM may finance only one official visit to its campus for a prospect, and the official visit may not exceed 48 hours. The hour limitation or time period of the official visit begins at the time the prospect arrives on campus. All official visits must be within the guidelines of the NCAA rules as outlined in the NCAA Division I Manual (i.e. transportation, lodging, complimentary admissions, entertainment, etc.). The UM Athletic Compliance Office and CAAS will provide an Academic Evaluation for each PSA prior to the Official Visit in order to help coaches make the most informed recruiting decisions possible. Any violation associated with an official visit should be reported to the Athletic Compliance Office immediately upon discovery.

PURPOSE

The policies and procedures established herein are intended to provide an effective, efficient, and consistent method for seeking approval for an Official Visit, receiving an Academic Evaluation of the PSA, and for properly documenting activities and events associated with an official visit.

PROCEDURES/PROCESS

Through these procedures, coaches may follow a recognized process to approve and document Official Visits for all High School and College Transfer Prospects. These procedures will also serve as a means for coach to receive an Academic Evaluation for each prospect. These procedures are designed to help avoid possible NCAA, CUSA, and UM rules violation.

1. Coach is responsible for submitting the following documents to the Athletic Compliance Office, at least one week prior to the official visit:

High School Prospect

- Recruitment Activation/Roster Management Form (*R-4*)
- High School Transcript from all schools attended, and
- PSAT, SAT, PLAN or ACT score.
- International Amateurism Questionnaire (International PSAs only)

College Transfer Prospects

- Recruitment Activation/Roster Management Form (*R-4*)
- Collegiate Transcript from all schools attended
- Permission to Contact or Transfer Release (if applicable)
- International Amateurism Questionnaire (International PSAs who are transferring from an International or Domestic Institution)

2. Upon receipt of the documents listed above, the Athletic Compliance Office will:

- _____ confirm if PSA is registered with the EC, and add PSA to UM’s Institutions Request List (IRL).

PROCEDURES/PROCESS

- confirm documentation of all applicable transcripts and test scores.
- submit all applicable documents to the Center for Athletic Academic Services (CAAS) in a timely manner and request a preliminary Academic Evaluation.

NOTE: An Academic Evaluation cannot be provided for an International PSA unless the PSA has completed the International Amateurism Questionnaire.

3. After reviewing the documents listed above and requesting the preliminary Academic Evaluation, the Athletic Compliance Office will inform the coach if the PSA is approved for an Official Visit. If the PSA is not approved for an Official Visit, the coach will be notified what additional steps must be taken to receive approval.
 - **APPROVED** --- Official Visits will be approved only if all of the documents listed in section one are submitted and the PSA meets all applicable requirements for an Official Visit.
 - **NOT APPROVED** --- Official Visits will not be approved if any of the documents listed in section one are not submitted and/or the PSA does not meet NCAA requirements for an Official Visit.
4. Once a visit has been approved the Athletic Compliance Office should be notified of the exact visit date and receive a copy of the Official Visit Itinerary (**R-7**) prior to the start of the Official Visit.
5. CAAS is responsible for conducting a preliminary evaluation in a timely manner based on the academic credentials received. Upon completion of evaluation, CAAS will submit the evaluation results to the appropriate representative of the sport, and the Athletic Compliance Office.
6. At the conclusion of the visit, the coach must submit the following to the Athletic Compliance Office:
 - Athletic Recruitment Expense Claim and Request for Meal Reimbursement (**R- 9 and R-10**)
 - Appropriate documentation (mileage claim/gas receipt, airfare receipt, ect.) of any transportation to and from the UM campus that was provided to the PSA and his/her parents
 - Appropriate documentation (hotel folio or receipt) of any lodging provided for the PSA and his/her parents
NOTE: This documentation is necessary regardless if the room is paid for by the UM or if it was received in a comp. room.
 - Student Host Form (**R-8**)
7. Upon receipt of the documents listed above, the Compliance Office will review to ensure compliance with NCAA, UM, and CUSA rules and regulations.



UNIVERSITY OF MEMPHIS

Complimentary Admissions

UM Athletic Compliance Office

POLICY STATEMENT

UM Athletic Staff members will be responsible for adhering to all NCAA, CUSA, and UM rules and regulations regarding Complimentary Admissions.

PURPOSE

The policies and procedures established herein are intended to provide effective, efficient, and consistent procedures for properly recording activities and events associated with complimentary admissions. Such documentation will enable the Athletic Compliance Office to monitor Complimentary Admissions and ensure that such activities are consistent with applicable NCAA legislation.

PROCEDURES/PROCESS

The following guidelines are applicable to all Complimentary(Comp) Admissions:

- All individuals or groups receiving Comp Admissions shall NOT receive hard copy tickets under any circumstance. All Comp Admission to any home event must be issued only through a pass list on an individual-game basis.
- Such admissions may provide seating only in the general seating area of the facility used for conducting the event.
- Providing seating during the event (including intermission) in the facility's press box, special seating box(es) or bench area is specifically prohibited for anyone receiving Comp Admissions in.

PSA COMP ADMISSIONS REQUEST (CA-1)

1. Head Coach (or designee) is responsible for submitting the PSA Comp Admissions Request (CA-1) to the Athletic Business Office at least 72 hours prior to the day of the athletic event. The request form must include the names of all PSA's interested in receiving tickets for the home athletic event.
 - The form must be filled out in its entirety and signed by the Head Coach or his/her designee.
 - The form must include the names of all PSAs and their guests who are to receive Comp Admissions.
 - The number of tickets provided will be equal to the number of names on the list (NO EXCEPTIONS).

NOTE: The Athletic Business Office will provide the Athletic Compliance Office with a copy of the CA-1 form in order to review to ensure compliance with applicable legislation, and that office will inform all of any NCAA rules violations.

2. Upon receipt of the CA-1 form, the Athletic Business Office will submit the form to the Associate Athletic Director who oversees the Athletic Ticket Office to verify ticket availability and to obtain the appropriate signature(s).
3. PSA is responsible for going to the appropriate gate on game-day to receive admission through a pass list.
 - PSA must present a photo ID in order to receive his/her comp. admissions.
 - Individuals who are accompanying each PSA need only to show a photo ID if they come at a

PROCEDURES/PROCESS

different time than PSA

PLAYERS' FAMILY PASS LIST (CA-2)

1. Student-athletes are responsible for submitting the Player's Family Pass List form (CA-2) to include their family/friends names along with description of their relationship to the individual(s) being added to the form to the Head Coach (or designee) in their sport.
2. Head Coach (or designee) is responsible for submitting the CA-2 forms to the Athletic Ticket Office 72 hours prior to the date of the competition. Prior to submitting the form to the Athletic Ticket Office they are responsible for reviewing the list to make sure no PSAs and/or any family member(s) of a PSA are on the list.
3. Upon receipt of the list from the Head Coach (or designee), the Athletic Ticket Office will review to ensure compliance with applicable institutional policies. If needed, the Athletic Ticket Office will notify the head coach (or designee) for adjustments or changes.

NOTE: Upon request from the Compliance office, the Athletic Ticket office will provide a copy of the CA-2 form for review purposes.

4. The Athletic Ticket Office will be responsible for packaging tickets for each player in envelopes as well as staffing and supervising the players pass list at the appropriate gate at all UM athletic events. On a need to basis, a representative from the Athletic Compliance Office will assist the Athletic Ticket Office and will supervise the players family gate.
 - Individuals who work directly with a sport (i.e. office administrator, recruiting coordinator) are not permitted to work the players pass gate for the sport that he/she works directly with.
 - A representative from the Athletic Compliance Office will be responsible for attending events to monitor the player family gate, on an occasional basis, to ensure compliance with applicable NCAA legislation.

COMPLIMENTARY ADMISSIONS for GROUPS (i.e. AAU teams, local groups, etc.) (CA-3)

1. Any group requesting complimentary admission to attend any UM athletic event is should submit, one week prior to the athletic event, the Complimentary Admissions Group Pass List form (CA-3) to the sport associated with the group. This list is to include the names of all group members requesting Comp Admissions for a home athletic event.
2. Upon receipt of the CA-3 form, it should be forwarded to the Associate Athletic Director who oversees the Athletic Ticket Office to verify ticket availability and to obtain the appropriate signature(s).

HIGH SCHOOL COACH COMP ADMISSIONS REQUEST (CA-4)

Per NCAA Bylaw 13.8.1, each coach can receive a maximum of two complimentary admissions to a home athletics event.

1. Any high school coach requesting complimentary admission to attend any UM athletic event should contact the UM sport associated with that coach. The head coach (or designee) of that sport will be responsible for submitting the High School Coach Complimentary Admissions Request (CA-4), one week prior to the athletic event. This form is to include the names of the coach and his/her guest.

PROCEDURES/PROCESS

2. Upon receipt of the CA-4 form, it should be forwarded to the Associate Athletic Director who oversees the Athletic Ticket Office to verify ticket availability and to obtain the appropriate signature(s).

Once the request has been made and processed, the following actions will be taken to notify the appropriate parties:

If Tickets are available:

- a) The Athletic Ticket Office will notify the Head Coach of the status of the request. The Head Coach is then responsible for notifying the PSA, Group, or Coach of the status of the request.
- b) For PSA Comp Admissions requests, the Athletic Business Office will provide the CA-1 form to the Athletic Ticket Office and a copy of the CA-1 form to the Athletic Compliance Office. For Group Comp Admissions and High School Coach Comp Admissions, the Athletic Ticket Office will provide a copy of the appropriate form (CA-3 or CA-4) to the Athletic Compliance Office.
- c) The Athletic Ticket Office will package the tickets, and make them available through pass list at the appropriate gate on game day.

If Tickets are NOT available:

- a) The Athletic Ticket Office will notify the Head Coach, the Athletic Compliance Office, and the Athletic Business Office of the status of the request.
- b) The Athletic Compliance Office and the Athletic Business Office will make notification on the corresponding forms.



UNIVERSITY OF MEMPHIS

Transfer Release/Permission to Contact

UM Athletic Compliance Office

POLICY STATEMENT

Student-athletes attending the University of Memphis are eligible to request consideration for transfer to another four year institution. Pursuant to NCAA rules and regulations, it is within the discretion of the University of Memphis whether to grant permission for a student-athlete to speak to another institution for the purpose of transferring. This policy includes requests for a one-time transfer exception that allows the student-athlete to avoid the one-year waiting period before competing at the new institution. The responsibility for implementation of this procedure, including the processing of all appeals, rests with the Associate Athletics Director for Compliance

PURPOSE

To establish clear and documented procedures for decisions, including appeals, related to student- athlete transfer requests.

PROCEDURE/PROCESS

These procedures are applicable to all student-athletes requesting permission to transfer to another four year institution. Through these procedures, student-athletes may follow a recognized process to seek remedy for action or treatment they consider unfair or unjust.

Permission to speak with other institutions and a one-time transfer exception are two separate issues and will be addressed as such. However, the process to appeal these two decisions is the same and is outlined herein.

To request permission to contact other Institutions for the purpose of transferring:

1. The student-athlete cannot communicate with other institutions without the explicit written permission from the Compliance Coordinator.
 2. The student-athlete initiates the process by providing the Head Coach with a written request. The student-athlete must meet with the coach or coach designee, if such a meeting is requested.
 3. Within a reasonable timeframe the head coach, or the coach designee, must notify the Athletic Compliance Coordinator of the coach's decision using the roster management form.
 4. The coach is also responsible for informing the student-athlete of the decision.
 5. If the decision is to deny the request in whole or in part, the coach must also inform the student-athlete of the right to appeal any negative decision.
 6. If the decision is to accept the request in whole or in part, the Athletic Compliance Coordinator will process a permission to contact letter (T-1) for the student-athlete.
 7. The student-athlete is responsible for obtaining a copy of the permission to contact letter from the Athletic Compliance Coordinator. The student-athlete must have this letter before actual contact is made with any other institutions.
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8. When the student-athlete decides to appeal this decision, the student-athlete is responsible for contacting the Athletic Compliance Coordinator to obtain a copy of “Right to Appeal” letter, and the student-athlete is responsible for following all required appeal procedures.

Student-Athlete “Rights to Appeal” Process

1. Upon receipt of the written notification of the “Right to Appeal” letter, the student-athlete should seek resolution within the athletics department by submitting a written appeal to Athletic Director.
 2. Should the student-athlete not be satisfied with the resolution at that stage, the student-athlete has the right to submit a written appeal to the Chair of the Faculty Athletic Committee requesting a review of the appeal. .
 3. Within a reasonable time period, the Chair of the Faculty Athletic Committee or his/her designee is responsible for contacting the student-athlete to make arrangements for a hearing.
 4. The FAR will convene an appeals committee, comprised of the members of the Faculty Athletic Committee, to hear the appeal, and inform all of the date, time, and location of the hearing.
 5. The decision rendered by this appeals committee is final.
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UM Athletic Compliance Office

UNIVERSITY OF MEMPHIS

Institutional Camps & Clinics

POLICY STATEMENT

UM Athletic Staff members shall conduct a camp and/or clinic only in the manner permitted by the NCAA, CUSA, and UM. In addition, all activities must adhere to all rules and regulations specified within NCAA Bylaw 13.12.

PURPOSE

The policies and procedures established herein are intended to provide an effective, efficient, and consistent method of providing detailed information about all camps and/or clinics provided by the University of Memphis Athletics, its coaches and/or staff.

PROCEDURES / PROCESS

The 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. The camp or clinic shall be one that places special emphasis on a particular sport or sports and provides specialized instruction or practice. It may include competition and involves activities designed to improve overall skills and general knowledge in the sport. In addition, it may or offer a diversified experience without emphasis on instruction, practice or competition in any particular sport. A member institution's sports camp or instructional clinic shall be open to any and all entrants (limited only by number, age, grade level and/or gender).

1. Prior to conducting a sports camp or instructional clinic the Head Coach (or designee) is responsible for submitting the following forms for approval to the Compliance Office. These forms must be submitted at least 14 working days prior to the start of the camp/clinic.
 - A. Sports Camp/Clinic Application
 - B. Sports Camp/Clinic Brochure
 - C. Student-Athlete Employment Form **SAE-1 Form**
 - D. Institution Camp/Clinic Declaration Form **C-1 Form**

2. Upon receipt of the abovementioned forms, the Compliance Office will review to ensure compliance with NCAA, CUSA, and UM rules and regulations, and will inform the coach if the camp has or has not been approved. The approval will be submitted in writing (i.e. e-mail).

PROCEDURES / PROCESS (CONT.)

3. Once the Director of the camp/clinic receives approval, he/she is responsible for making sure the camp/clinic is conducted in a manner permitted by NCAA, CUSA, and UM rules and regulations. If the camp/clinic paperwork is NOT approved, the Director (or designee) is responsible for meeting with a member from the Compliance Office.
4. At the conclusion of the camp, the Director of the camp/clinic (or designee) is responsible for submitting the following forms to the Compliance Office. The forms must be submitted no later than 14 working days after the camp.
 - A. Institution Camp/ Clinic Staff Compensation Form **C-2 Form**
 - B. Institutional Camp/Clinic Group Discount Log **C-3 Form**
 - C. Institutional Camp/ Clinic Individual Discount Log **C-4 Form**
 - D. Institutional Camp/Clinic Refund Log **C-5 Form**
 - E. Institutional Camp/Clinic Participant Payment Ledger **C-6 Form**
 - F. Institutional Camp/Clinic Expenses/Revenue Report (attach receipts)
5. Upon receipt of the aforementioned documents, the Compliance Office is responsible for reviewing all forms and ensuring all is in compliance with NCAA, CUSA, and UM rules and regulations. No payments should be submitted (i.e. expense claim forms) until approved by the Compliance and/or Business Office.



UNIVERSITY OF MEMPHIS

Freshman Eligibility/Certification

UM Athletic Compliance Office

POLICY STATEMENT

The initial eligibility of high school athletes is an integral part of the recruiting process. A student-athlete who enrolls at UM as an entering freshman with no previous full-time college attendance shall satisfy the applicable academic requirements, as certified by the NCAA Eligibility Center, and any applicable institutional and conference regulations, to be considered a qualifier and thus be eligible for financial aid, practice and competition during the first academic year in residence. UM will not permit a student-athlete to participate in its athletics program unless the student-athlete meets all applicable eligibility requirements, and UM has certified the student-athlete's eligibility.

PURPOSE

The policies and procedures established herein are intended to provide an effective, efficient, and consistent method of certifying freshman eligibility for all student-athletes attending the University of Memphis.

PROCEDURE/PROCESS

What follows is an outline of how the **freshman certification process** should take place. This process to be followed in every circumstance where it is possible, understanding that there will be exceptions and a reordering of this outline when circumstances require.

- A. **Identification of a prospect** The coaching staff in each sport will identify who is being recruited to participate in intercollegiate athletics at University of Memphis. Once that happens, the following occurs:
 - B. **Freshman aided and non-aided recruited student-athletes:**
 1. The recruiting coach will submit a Recruitment Activation/Roster Management form and the appropriate documents (transcripts and test scores) to the Athletic Compliance Office.
 - a. Transcripts should include at least final grades through the junior year and a current schedule for the student's senior year classes.
 - b. The NCAA international questionnaire is required for all prospective international student-athletes.
 - c. The recruiting coach will provide the prospect with information pertaining to the NCAA Eligibility Center and encourage the prospect to register at the earliest possible time.
 2. The Athletic Compliance Office will add the prospect's name to the institution's IRL at the NCAA Eligibility Center. If the prospect is not registered with the NCAA Eligibility Center, the Athletic Compliance Office will inform the coaching staff and it will be their responsibility to encourage the prospect to register.
 3. CAAS will evaluate the transcript as to determine the prospective student-athlete's NCAA initial eligibility status (core GPA and test score) as well as the student-athlete's UM admissions status.
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PROCEDURE/PROCESS

4. CAAS will provide the recruiting coach and Athletic Compliance Office with a copy of the evaluation (E-1) at the earliest opportunity.
 - The evaluation will include the assessment of the transcript, important notes pertaining to NCAA eligibility and UM admissions and if available, the preliminary evaluation by the Eligibility Center. *NOTE: NCAA Eligibility Center will not do preliminary evaluations for international student-athletes.*
 5. If the student-athlete meets all requirements for admissions and is listed as a “qualifier” by the NCAA Eligibility Center, and has been determined to meet all Amateurism Certification Requirements (i.e. NCAA Eligibility form for International Students) the certifying officer (Director of CAAS) will approve by signing the conference (CUSA) Certification of Eligibility report (COE).
 6. The signed reports are then forwarded to the Athletic Compliance Office who secures the signature of the Head Coach, Assistant Athletic Director of Compliance and Faculty Athletics Representative (FAR).

NOTE: The Certification of Eligibility and Squad List must be forwarded to CUSA before the first date of competition.
 7. Within CAAS, the Assistant Director is responsible for tracking and alerting the director of the status of each incoming freshman student-athlete. If an initial eligibility waiver is necessary, the assistant director will process the paperwork, gather necessary signatures and submit via the NCAA waiver process.
 8. The recruited student-athlete has 14 consecutive days of temporary certification beginning with the student’s initial date of participating in athletically related activities to become eligible. After this time (and a waiver is not pending), the student is not permitted to practice until deemed eligible by the certifying officer.
 - CAAS will communicate on a regularly basis with the Athletic Compliance Office and the coaches as to provide each with an update on the eligibility and admissions status for each student-athlete.
- C. **Non-recruited student-athletes never attended UM** The above process is followed for non-recruited student-athletes, in addition to the following:
1. Coach is responsible for submitting the Recruitment Activation/Roster Management form and the appropriate documents (transcripts and test scores) to the Athletic Compliance Office. After review form and documents are forwarded to CAAS.
 2. The non-recruited student-athlete must register and submit all required documents to the NCAA Eligibility Center.
 3. Coach is responsible for sending student-athlete to Athletic Compliance Office for the following reasons:
 - to complete NCAA paperwork
 - to add student-athletes name to the team roster (squad list and COE report)
 - certify the student is enrolled as a full-time, degree-seeking student
 - certify the student is not declared a “nonqualifier” by NCAA Eligibility Center
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PROCEDURE/PROCESS

4. The non-recruited student-athlete will be required to meet with the CAAS Assistant Director to complete the CAAS Student-Athlete Information Form. After review, if the student-athlete will be able to practice and/or compete with the designated sport, the individual's file will be forwarded to the appropriate athletic academic counselor.
5. CAAS will certify walk-on student-athletes.
6. Upon completion of certification, the CAAS office will inform both the Athletic Compliance Office and the designated coach for each sport of the final decision (eligibility status).
7. The non-recruited student-athlete will be able to participate in practice activities for up to 45 consecutive days from the student's initial date of athletically related activities.
 - a. If the student has not been certified or a waiver is not pending approval, he or she must cease participating in any athletic-related activity.
 - b. The Athletic Compliance Office will notify the Head Coach when a student-athlete's eligibility status has changed.

D. Non-recruited student-athlete already attending University

Walk-on student athletes who are already attending the University of Memphis are **NOT** permitted to engage in any athletically related activities, until the first four steps are completed.

1. Coach is responsible for submitting the Recruitment Activation/Roster Management form and the appropriate documents (transcripts and test scores) to the Athletic Compliance Office. After review form and documents are forwarded to CAAS.
 2. Coach is responsible for sending student-athlete to Athletic Compliance Office for the following reasons:
 - to complete NCAA paperwork
 - to add student-athletes name to the team roster (squad list and COE report)
 - certify the student is enrolled as a full-time, degree-seeking student
 - certify the student is not declared a "nonqualifier" by NCAA Eligibility Center
 3. The Athletic Compliance Office submits the student-athletes name to CAAS, and informs coach of the 45 day rule.
 4. The non-recruited student-athlete will be required to meet with the CAAS Assistant Director to complete the CAAS Student-Athlete Information Form. After review, if the student-athlete will be able to practice and/or compete with the designated sport, the individual's file will be forwarded to the appropriate athletic academic counselor.
 5. CAAS will certify walk-on student-athletes.
 6. Upon completion of certification, the CAAS office will inform both the Athletic Compliance Office and the designated coach for each sport of the final decision (eligibility status).
 7. The non-recruited student-athlete will be able to participate in practice activities for up to 45 consecutive days from the student's initial date of athletically related activities.
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PROCEDURE/PROCESS

- a. If the student has not been certified or a waiver is not pending approval, he or she must cease participating in any athletic-related activity.
 - b. The Athletic Compliance Office will notify the Head Coach when a student-athlete's eligibility status has changed.
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UNIVERSITY OF MEMPHIS

Transfer Eligibility/Certification

UM Athletic Compliance Office

POLICY STATEMENT

A student who transfers to UM from any collegiate institution is required to complete one full academic year of residence before being eligible to compete for or to receive travel expenses at UM, unless the student satisfies the applicable transfer requirements or receives an exception or waiver. It shall be the policy of UM that no transfer student will be eligible for competition unless he or she is eligible under the rules of the NCAA and Conference USA (CUSA). Adherence to those rules by the UM administrative and coaching staff is mandatory.

PURPOSE

The policies and procedures established herein are intended to provide an effective, efficient, and consistent method of certifying eligibility for all *transfer student-athletes* attending the University of Memphis.

PROCEDURE/PROCESS

What follows is an outline of how the transfer certification process should take place. This process shall be followed in every circumstance where it is possible, understanding that there will be exceptions and a reordering of this outline when circumstances require.

A. Identification of a prospect The coaching staff in each sport will identify who is being recruited to participate in intercollegiate athletics at the University of Memphis (UM). Once that happens, the following occurs:

B. **Transfer aided and non-aided recruited student-athletes:**

1. The recruiting coach will submit a Recruitment Activation/Roster Management form and the appropriate documents (transcripts, international questionnaire, permission to contact letter) to the Athletic Compliance Office.
 - a. Transcripts should include copies from all colleges attended (not as listed on the most recent college attended only).
 - b. The NCAA international questionnaire (E-2) is required for all prospective international student-athletes.
 - c. Athletic Compliance Office will also obtain and submit the permission to contact letter to CAAS.
 - d. If applicable, the recruiting coach will provide the prospective student-athlete with information pertaining to the NCAA Eligibility Center (EC) and encourage the prospect to register at the earliest possible time.
 2. Athletic Compliance Office will add the prospective student-athlete's name to the institution's IRL at the NCAA Eligibility Center.
 3. CAAS will evaluate the transcript as to determine his/her NCAA eligibility and UM Admissions status.
 4. CAAS will provide the recruiting coach and Athletic Compliance Office with a copy of the evaluation (E-3) at the earliest opportunity.
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PROCEDURE/PROCESS

- The evaluation will include the assessment of the transcript, important notes pertaining to NCAA eligibility and UM admissions.
5. If the prospective student-athlete satisfies the UM Admissions requirements, NCAA transfer requirements, and all Amateurism Certifications Requirements the certifying officer (Director of CAAS) will approve by signing the conference (CUSA) Certification of Eligibility report.
 6. The signed reports are then forwarded to the Athletic Compliance Office who secures the signature of the Head Coach, Assistant Athletic Director of Compliance and Faculty Athletics Representative (FAR).

NOTE: The Certification of Eligibility and Squad List must be forwarded to CUSA before the first date of competition.
 7. Within CAAS, the Assistant Director is responsible for tracking and alerting the Certifying Officer-CAAS Director of the status of each incoming transfer student-athlete.
 - a. Transfer certification forms will be obtained for every college attended by every new transfer.
 - b. Students who completed four semesters or more will have a form sent to the appropriate college advisor to determine how many hours they are transferring that will be degree applicable.
 8. The recruited student-athlete has 14 consecutive days temporary certification beginning with the student's initial date of participation in athletically related activities to become eligible. After this time, the student is not permitted to practice until deemed eligible by the certifying officer.
 - CAAS will communicate on a regularly basis with the Athletic Compliance Office and the designated coach from each sport as to provide each with an update on the eligibility and admissions status for each student-athlete.
- C. Non-recruited student-athletes never attended UM** The above process is followed for non-recruited student-athletes, in addition to the following:
1. Coach is responsible for submitting the Recruitment Activation/Roster Management form and the appropriate documents (transcripts and test scores) to the Athletic Compliance Office. After review form and documents are forwarded to CAAS.
 2. The non-recruited student-athlete must register and submit all required documents to the EC.
 3. Coach is responsible for sending student-athlete to Athletic Compliance Office for the following reasons:
 - to complete NCAA paperwork
 - to add student-athletes name to the team roster (squad list and COE report)
 - certify the student is enrolled as a full-time, degree-seeking student
 - certify the student is not declared a "nonqualifier" by NCAA Eligibility Center
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 4. The non-recruited student-athlete will be required to meet with the CAAS Assistant Director.
 - a. Student-athlete will complete the CAAS Student-Athlete Information Form.
 - b. After review, the student-athlete will be able to practice and/or compete with the designated
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PROCEDURE/PROCESS

sport.

c. The student-athlete's file will be forwarded to the appropriate athletic academic counselor.

5. CAAS will certify walk-on student-athletes.
6. Upon completion of certification, the CAAS office will inform both the Athletic Compliance Office and the designated coach from each sport of the final decision (eligibility status).
7. The non-recruited student-athlete will be able to participate in practice activities for up to 45 consecutive days from the student's initial date of athletically related activities. If the student has not been certified or a waiver is not pending approval, he or she must cease participating in any athletic-related activity. The Athletic Compliance Office will notify the designated coach from each sport when a student-athlete's eligibility status has changed.

D. **Non-recruited student-athlete currently attending UM**

Walk-on student athletes who are already attending the University of Memphis are **NOT** permitted to engage in any athletically related activities, until the first eight steps are completed.

1. Coach is responsible for submitting the Recruitment Activation/Roster Management form and the appropriate documents (transcripts and test scores) to the Athletic Compliance Office. After review form and documents are forwarded to CAAS.
 2. Coach is responsible for sending student-athlete to Athletic Compliance Office immediately after the student-athlete completes the Recruitment Activation/Roster Management form.
 3. Athletic Compliance office is responsible for the following:
 - confirming the student is enrolled as a full-time, degree-seeking student, and is not declared a "nonqualifier" by the EC,
 - providing student-athlete with the appropriate NCAA, CUSA, and UM paperwork,
 - adding the student-athlete's name to the team roster (squad list and COE report), and
 - submitting the student-athletes name to CAAS, and informing coach of the 45-day rule.
 4. The non-recruited student-athlete will be required to meet with the CAAS Assistant Director.
 - a. Student-athlete will complete the CAAS Student-Athlete Information Form.
 - b. After review, the student-athlete will be able to practice and/or compete with the designated sport.
 - c. The student-athlete's file will be forwarded to the appropriate athletic academic counselor.
 5. CAAS will certify walk-on student-athletes.
 6. Upon completion of certification, the CAAS office will inform both the Athletic Compliance Office and the designated coach for each sport of the final decision (eligibility status).
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PROCEDURE/PROCESS

7. The non-recruited student-athlete will be able to participate in practice activities for up to 45 consecutive days from the student's initial date of athletically related activities. If the student has not been certified or a waiver is not pending approval, he or she must cease participating in any athletic-related activity. The Athletic Compliance Office will notify the designated coach for each sport when a student-athlete's eligibility status has changed.
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UNIVERSITY OF MEMPHIS

Continuing Eligibility/Certification

UM Athletic Compliance Office

POLICY STATEMENT

To be eligible to represent an institution in intercollegiate athletics competition, a student-athlete shall maintain progress toward a baccalaureate or equivalent degree UM as determined by the regulations set forth in this policy. UM will not permit a student-athlete to participate in competition unless the student-athlete meets all applicable eligibility requirements, and UM has certified the student-athlete's eligibility.

PURPOSE

The policies and procedures established herein are intended to provide an effective, efficient, and consistent method of certifying eligibility for all student-athletes returning to the University of Memphis.

PROCEDURE/PROCESS

What follows is an outline of how the continuing eligibility certification process should take place. This process is to be followed in every circumstance where it is possible, understanding that there will be exceptions and a reordering of this outline when circumstances require.

- A. Identification of continuing student-athletes The coaching staff in each sport will identify who is being retained to participate in intercollegiate athletics at UM. Once that happens, the following occurs:
 - B. Preliminary Certification Process for all continuing student-athletes:
 1. Towards the end of the spring semesters, CAAS submits NCAA Satisfactory Progress Forms and NCAA Degree Completion Forms for all student-athletes who are on the spring semester squad list to the College Academic Advisors.
 - Fifth-year students on athletic aid who have exhausted their athletic eligibility are included in the paperwork as they are monitored for APR purposes.
 - The degree completion forms are submitted only for students who are completing their 4th full-time semester or more of enrollment.
 - NCAA Satisfactory Progress Forms are sent to the college academic advisor based on the designated degree program listed in Banner for the semester enrolled. NCAA Degree Completion Forms are sent to the college academic advisor based on the same information or the degree program in which the student-athlete intends to declare at the appropriate time.
 - All designated degree information is also retained in the CAAS Database.
 2. The College Academic Advisors are responsible for returning the NCAA paperwork to CAAS one week after the last day of final exams.
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PROCEDURE/PROCESS

3. By Memorial day weekend, CAAS reviews the paperwork to verify compliance with NCAA, CUSA, and UM continuing eligibility legislation, then forwards a spreadsheet to each Head Coach that summarizes the status of each student-athlete to include the following four options as it relates to Fall eligibility:
 - certified eligible,
 - certified eligible but needs to watch the cumulative GPA,
 - certified ineligible and needs the following to meet eligibility by the end of the summer or
 - certified ineligible.
4. After the fall semester is completed, the process listed above is repeated as it relates to NCAA Satisfactory Progress Forms. However, the NCAA Degree Completion Forms are sent only for student-athletes who are completing their 4th, 6th and/or 8th full-time semesters during the fall semester.
5. Upon completion of both summer school/spring and the fall semester, the following steps are taken:
 - Certification of Eligibility Reports Policy is followed; Athletic Compliance Office places all squad list members onto COE reports. (see certification Eligibility Process Policy)
 - If the student-athlete meets all requirements for NCAA satisfactory progress bylaws, the certifying officer (Director of CAAS) approves by signing the conference (CUSA) Certification of Eligibility report.
 - The signed reports are then forwarded to the Athletic Compliance Office who secures the signature of the head coach, and Faculty Athletics Representative (FAR) before forwarding the certification eligibility form to the conference office.
 - If the student-athlete does not meet all requirements, CAAS will list all info on COE sheet including a special note in “comments” column. CAAS will notify the designated coach of the final decision.
6. For any post-season eligibility, the NCAA Satisfactory Progress form will be used to document student-athletes’ progress per the six-hour rule. A separate conference Certification of Eligibility report will be used for spring sports to document this rule. The CUSA COE regular report will be used for football bowl game certification since the form already has a column for fall hours earned.

C. Non-recruited student-athlete currently attending University

Walk-on student athletes who are already attending the University of Memphis are **NOT** permitted to engage in any athletically related activities, until the first eight steps are completed.

1. Coach is responsible for having student-athlete complete the Recruitment Activation/Roster Management form.
 2. Coach is responsible for submitting the Recruitment Activation/Roster Management form to the Athletic Compliance Office in a timely manner.
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PROCEDURE/PROCESS

3. Coach is responsible for sending student-athlete to Athletic Compliance Office for the following reasons:
 - to complete NCAA paperwork
 - to add student-athletes name to the team roster (squad list and COE report)
 - certify the student is enrolled as a full-time, degree-seeking student
 - certify the student is not declared a “nonqualifier” by NCAA Eligibility Center
 4. The non-recruited student-athlete will be required to meet with the CAAS Assistant Director to complete the CAAS Student-Athlete Information Form. After review, if the student-athlete will be able to practice and/or compete with the designated sport, the individual’s file will be forwarded to the appropriate athletic academic counselor.
 5. CAAS will certify walk-on student-athletes.
 6. Upon completion of certification, the CAAS office will inform both the Athletic Compliance Office and the designated coach for each sport of the final decision (eligibility status).
 7. The non-recruited student-athlete will be able to participate in practice activities for up to 45 consecutive days from the student’s initial date of athletically related activities. If the student has not been certified or a waiver is not pending approval, he or she must cease participating in any athletic-related activity. The Athletic Compliance Office will notify the designated coach for each sport when a student-athlete’s eligibility status has changed.
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UNIVERSITY OF MEMPHIS

Certification of Eligibility Reports (COE)

UM Athletic Compliance Office

POLICY STATEMENT

UM student-athletes shall meet all eligibility requirements of UM, the CUSA, and the NCAA. The Certifying Officer shall certify the eligibility of all student-athletes under those rules. UM will not permit a student-athlete participate in intercollegiate athletics competition unless the student-athlete meets all applicable eligibility requirements, and the Certifying Officer has certified the student-athlete's eligibility.

PURPOSE

The policies and procedures established herein are intended to provide an effective, efficient, and consistent method of certifying eligibility for all student-athletes attending the University of Memphis.

PROCEDURE/PROCESS

COE REPORTS PROCESS

1. Prior to June 1st of each year, it is the coach's responsibility to submit the names of student-athletes who will be on the roster for the upcoming year to the Athletic Compliance Office.
2. Prior to July 15th, the Athletic Compliance Office will initiate the COE reports.
 - a. Athletic Compliance Office will complete columns 1, 8, and 9.
 - b. Columns 15-19 will be copied from the previous year for all returning students.
 - c. Athletic Compliance Office will also note in comments any students who have received waivers processed by their office.
 - d. Upon completion, the Athletic Compliance Office will notify the Center for Athletic Academic Services (CAAS) that initial preparation of COE is complete.

NOTE: Coaches of fall sports are responsible for submitting the first date of competition/practice to the Athletic Compliance Office by July 15th. All other sports are responsible for submitting the first date of competition/practice as soon as the schedules have been set. The Athletic Compliance Office will compile a master list of these dates and forward to the CAAS.

3. Athletic Compliance Office will be responsible for column 7. Compliance will complete column 7 as it meets with each team to complete NCAA Paperwork. All international students will complete additional paperwork which will be reviewed by the compliance office and the certifying officer (CAAS Director). If any waivers or special notes are necessary, compliance will note those in column 19, "Comments".
 4. For football, men's soccer, women's soccer and volleyball, CAAS will post data from the previous academic year onto the COE reports. Once summer grades are finalized, additional data will be posted for those sports. The remaining sports will have data including summer semesters and the previous academic
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PROCEDURE/PROCESS

year posted onto the COE sheets based on the first date of practice/competition as provided by the Athletic Compliance Office. CAAS will finalize the COE reports by completing columns 2-6, and 10-19 and will also double-check columns 8-9.

5. Upon completion of COE sheets, prior to sport's first date of competition, Director of CAAS will approve and sign.
 - a. COE will be forwarded to Athletic Compliance Office for review and to obtain signatures of Head Coach and Faculty Athletic Representative.
 - b. The Assistant Athletic Director for Compliance will have final signature and will be responsible for proofing to ensure that the necessary columns are completed on each student-athlete.
 - c. COE and Squad List will be forwarded to CUSA prior to the first date of competition.

 6. The Athletic Compliance Office will meet with each sport before its first day of practice to review the COE sheet for any practice or competition issues.
 - a. The Athletic Compliance Office will communicate regularly with the coaches as to providing them with an update on the status of the reports.
 - b. CAAS will note in red and create an issues page of student-athletes who have not been finalized for certification and provide information as to why they are not finalized.

 7. The Athletic Compliance Office will add any new names submitted by the coaches via the Recruit Activation/Roster Management form.
 - a. Compliance will also email CAAS that the names have been added to the COE Sheets.
 - b. Compliance will also note by date and with the word, "delete", student-athletes who were turned into the office via the "Roster Deletion Form".
 - c. Compliance will review squad lists with Head Coach at appropriate times through out the semester.

 8. After the completion of the fall semester, CAAS will update the columns dealing with Competition, Fall earned hours and the cumulative GPA.
 - a. Athletic Compliance Office will meet with each sport to review the updated COE sheets for mid-year practice and competition.
 - b. The Head Coach and FAR will sign the updated forms.
 - c. The Assistant Athletic Director for Compliance will be the final signature and will be responsible again for all information before it is sent to CUSA.
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UNIVERSITY OF MEMPHIS

Admission Process of all new Student-Athletes

Domestic and International

UM Athletic Compliance Office

POLICY STATEMENT

CAAS and UM Admission Office have an established relationship in coordinating all new prospective student – athletes.

PURPOSE

The policies and procedures established herein are intended to provide an effective, efficient, and consistent method of assisting in the application process at the University of Memphis.

PROCEDURE/PROCESS

Before a student-athlete will be admitted, a student visa issued (international), and certification for athletic eligibility determined the following would be needed:

1. Admissions Application

- A. Completed online undergraduate student application and the appropriate application fee by the designated admissions deadline. International students have a separate online application form and a different application fee. No requests for admission will be processed until the fee has been received in the Admissions Office.

2. Academic Records

- A. Complete and final official transcripts of all secondary and post-secondary academic work completed. For students completing work outside the U.S., we will need a copy of the original degree, diploma, certificate, or other awards received. We also need copies of transcripts, grades, mark sheets, etc., as well as a certified English translation of each of these documents.
 - B. Even if high school students are admitted based on transcripts submitted after the sixth or seventh semesters, a final document must still be presented.
 - C. Official transcripts must be sent directly from the institution attended to the University of Memphis. CAAS encourages all transcripts to be sent directly to the Assistant Director who will have responsibility to deliver the unopened transcript directly to the admissions liaison.
 - D. Any document opened by a university official other than the Admissions Office will be considered unofficial. Any transcript stamped “Issued to Student” by the issuing institution will be considered unofficial.
 - E. Results of the American College Test (ACT) or Scholastic Aptitude Test (SAT) must be sent to the Admission Office and NCAA Eligibility Center.
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PROCEDURE/PROCESS

- F. Immunization documentation, a Hepatitis/Meningitis release form and CAAS Information form must be provided to assist in the initial admissions/registration process.

3. Additional Requirements for International Students

- A. World Education Services (WES) International Academic Credential Evaluation. In order to be admitted, the Admissions Office requires an evaluation completed through World Education Services. The student must submit an application, application fee, and all transcripts/documentation for all schools attended, secondary and post-secondary.
- B. The student will provide a completed Affidavit of Financial Support with the application for admission. The student's sponsor must show that they have available for the student the sum necessary per calendar year of study. The Affidavit also requires that the sponsor's bank counter-sign the form thus indicating the sponsor has adequate funds to meet the obligation.
- C. The student will provide a completed Educational Background form with the application for admission.
- D. If English is not the student's primary language, then all TOEFL scores must also be forwarded to the Admissions Office. A minimum score is required for admissions.
- E. If the student is on an athletic scholarship, the Athletic Compliance Office will provide the International Office with a copy of the scholarship.
- F. No student will be issued an I-20 until all of the above information is received and it is determined that the student meets the admissions requirements for international students at Memphis.

4. Admissions Process

- A. Assistant Director of CAAS will serve as the official liaison between the coaches and the Admissions Office. Coaches will never directly contact the admissions staff.
 - B. Assistant Director of CAAS will provide the admissions office with the names of all prospective student-athletes. The assistant director will also communicate with each sport and the Athletic Compliance Office per the list of new students.
 - C. Assistant Director of CAAS will meet and discuss incoming students with the admissions representative. The Admissions Office will notify CAAS of any students who do not meet regular admission standards. CAAS will then work with the Admissions Office and designated university personnel per admissions policies outlined in the university bulletin.
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UNIVERSITY OF MEMPHIS

Athletic Scholarships

UM Athletic Compliance Office

POLICY STATEMENT

Student-athletes will be awarded athletic aid in a manner that is consistent with all NCAA guidelines for individual and team limitations. All prospective and returning student-athletes will be evaluated and determinations will be made regarding athletic scholarships to be awarded each year. There will be assurance that individual and team totals are within NCAA, Conference, and institutional limitations.

PURPOSE

The policies and procedures established herein are intended to provide an effective, efficient, and consistent method of assuring that team and individual athletic aid limits are not exceeded and to establish a process to submit Financial Aid Agreements/National Letters of Intent (FAA/NLI) and Renewals/Non-renewals to the appropriate offices in a timely manner to ensure validity.

PROCEDURE/PROCESS

These procedures apply to all prospective and returning student-athletes that will be awarded an athletic scholarship for the first time. The Athletic Compliance Office, coaches, and sports administrators are responsible for monitoring financial aid limits offered.

Initial Awards

1. The Head Coach is responsible for completing an Athletic Scholarship/NLI Request form (FA-1) and submitting it to the Athletic Compliance Office in a timely manner.
2. Upon receipt of the Athletic Scholarship/NLI Request form, the Athletic Compliance Office will:
 - a. Review the award to ensure that individual and team maximum award limitations will not be exceeded during the period the award has been granted. If needed the coach will be notified and adjustments made to the initial scholarship.
 - b. Process the Initial Financial Aid Agreement form (FA-2) and National Letter of Intent form (FA-3), and obtain signatures from the Athletic Director, Financial Aid Director, Faculty Athletics Representative (FAR), and the Head Coach.
 - c. Attach the Graduation Rates, Graduation Success Rate, Academic Progress Rate, NCAA Freshmen Eligibility Standards and Banned Drug List.
 - d. Return the FAA/NLI to the Head Coach (or designee).
3. Head Coach (or designee) is responsible for mailing FAA/NLI packet to the PSA and making sure the PSA returns them in a timely manner.
4. PSA and his/her parents are responsible for reviewing the agreement for accuracy.

PROCEDURE/PROCESS

- a. If a change is warranted, they are to inform the Head Coach (or designee). Head Coach is responsible for notifying the Athletic Compliance Office, and the Athletic Compliance Office will process a new FAA/NLI to provide to the coach to be re-sent to the PSA.
 - b. If no changes are warranted, the student and one or both of the parents must sign the agreement (unless the prospect is 21 years of age).
 - c. If the prospect is signing a National Letter of Intent, the Financial Aid Agreement (FAA) must be returned with the NLI or the NLI will be nullified.
5. Upon receipt of the returned FAA/NLI the Athletic Compliance Office will:
- a. Review the agreement to ensure the proper signatures are affixed.
 - b. Proper documentation will be forwarded to CUSA, Financial Aid Office, and Head Coach (or designee).
 - c. CAAS signing packets will be distributed to sports for mailing to the signed prospect.
6. The Financial Aid Office will add the award into the student's overall financial package.
- a. The director (or designee) will adjust the student-athlete's non-athletic aid package to ensure that an over award does not occur.
 - b. The director (or designee) will provide the Athletic Compliance Office with a report detailing all student-athletes' aid package prior to the start of each semester so that adjustments can be made in light of NCAA legislation.
 - c. If adjustments are necessary, Athletic Compliance will notify Financial Aid that the award package should be revised. A determination is made of permissible aid and allowable limits with adjustments being made to stay within the NCAA guidelines for individual limits.

Renewals, Reductions and Non-Renewals

1. All Head Coaches (or designee) will meet with a representative from the Athletic Compliance Office prior to May 15th to review renewals, reductions and non-renewals for student athletes currently on athletic aid.
 - a. Prior to the meeting Head Coach (or designee) will determine amount of aid to be renewed for each returning student-athlete. Or in some cases a non-renewal if needed.
 - b. Prior to the meeting, Head Coach (or designee) should calculate individual and team awards to ensure team will be within NCAA guidelines. This calculation should include returning student-athletes and incoming signed prospects.
 - c. All returning student-athletes and the amount of aid to be renewed will be reviewed individually by the Head Coach (or designee) and Athletic Compliance. The renewal amount will be recorded by Athletic Compliance Office.
2. The Athletic Compliance Office will be responsible for processing the Renewals (FA-4), Reductions (FA-5)

PROCEDURE/PROCESS

and Non-renewals (FA-6) and will complete the following:

- a. A review to double check that individual and team maximum award limitations will not be exceeded during the period the award has been granted. If needed the coach will be notified and adjustments made to the renewals.
- b. Obtain signatures from Head Coach and Financial Aid Director.
- c. Submit award letters to student-athletes by first class mail no later than June 25 to ensure delivery by July 1st. Letter from Associate Athletic Director to be included with all non-renewals and reductions.

NOTE: Upon receipt of the renewal/non-renewal letter, the student-athlete has 15 days in which to review and contest a renewal, reduction or non-renewal of his or her athletic aid. (*see Student Appeal for Non-Renewal of Financial Aid for the appeals process*).

- d. Forward copies of the renewals/non-renewals to the Financial Aid Office.
3. Upon receipt of the letters, the Financial Aid Office is responsible for adding the award into the student's overall financial package.
- a. The director (or designee) is responsible for adjusting the student-athlete's non-athletic aid package to ensure that an over award does not occur.
 - b. The director (or designee) is responsible for providing the Athletic Compliance Office with a report detailing all student-athletes' aid package prior to the start of each semester so that adjustments can be made in light of NCAA legislation.
 - If adjustments are necessary the Athletic Compliance Office will notify Financial Aid that the award package should be revised. A determination is made of permissible aid and allowable limits with adjustments being made to stay within the NCAA guidelines for individual limits.

Student-Athlete Appeal for Non-Renewal of Financial Aid (FA-7)

When a student-athlete disagrees with the decision that his or her athletic scholarship has been cancelled, resolution should be sought initially through the Athletic Department.

The matter should be discussed with the Head Coach or a member of the administration.

- a. If this does not resolve the problem, Coach is responsible for informing student-athlete of their right to appeal the decision and he/she is responsible for submitting a written appeal to the Athletic Director.
- b. Upon receipt of the written appeal, the Athletic Director (or designee) is responsible for contacting the student-athlete. The Athletic Director (or designee) will then make a decision concerning the written appeal.
 - If the matter is resolved by the Athletic Director (or designee) the Head Coach and Athletic Compliance Office will be informed to make necessary adjustments and to process a new award.
 - If the matter is not resolved by the Athletic Director (or designee), the Athletic Director (or designee) is responsible of informing the SA of his/her right to appeal the decision before the Financial Aid Offices appeals committee.

PROCEDURE/PROCESS

- Student-athlete is responsible for submitting a written letter to the Financial Aid Director.
- The Director will then convene the Standards Of Academic Progress (SOAP) appeals Committee to review the student-athlete's complaint. The decision of the SOAP Committee will be final.

Summer School Scholarships

Enrolled Student-Athletes may not receive athletically related aid to attend summer school unless he or she received such athletics aid during the previous academic year. The award of summer school aid can only be in proportion to the athletics aid received during the previous academic year. For example, if a student-athlete received 50% of a full grant-in-aid during the regular academic year, that student can receive a maximum of 50% of the costs of summer school. If the student-athlete receives tuition and fees during the regular academic year, they may only receive summer aid on the same basis.

1. During the spring semester any student-athlete on athletic aid desiring to attend summer school should complete and submit a Summer School Request form (FA-8) to appropriate academic counselor.
 - a. Request for summer school are forwarded to the Director of CAAS for approval. Requests will be discussed with Head Coach and appropriate Sport Supervisor for final approval.
 - b. Once approved CAAS will add student-athlete to Summer School Recommendation list with appropriate information.
2. The Athletic Compliance Office will prepare the Summer School Financial Aid Agreement (FA-9) from the information on the Summer School Recommendation list.
 - a. Where applicable equivalencies are calculated for the summer award.
 - b. Once complete the agreement will be forwarded to the Director of Financial Aid for signature, the Head Coach for signature and then to the Athletic Director or designee for signature.
 - c. A final review of award is made by Athletic Compliance Office checking registered hours to hours shown on agreement for accuracy. If necessary corrections are made with the assistance of CAAS.
 - d. Copies of agreements are then forwarded to the Financial Aid Office.

Incoming Student-Athletes attending summer school prior to the student's initial, full-time enrollment at UM may receive summer aid. The following conditions apply if such aid is awarded the incoming student-athlete:

- A. the student-athlete must be admitted to UM in accordance with regular published entrance requirements;
- B. the student-athlete will be considered a transfer and subject to the one-year residence requirement for transfer students;
- C. the student may not engage in any organized athletic practice; and

PROCEDURE/PROCESS

- D. the awarding of the aid must be completely without regard to athletic ability (e.g., need-based financial aid)
- E. the coach should notify the Athletic Compliance Office that the student will be attending and aid should be awarded. Athletic Compliance Office is responsible for notifying CAAS and the Financial Aid Office
- F. Assistant Director of CAAS is responsible for verifying six hours of academic credit hour enrollment with no physical education courses in the six hours.
 - Incoming student-athlete approved for summer school the procedures outlined above for enrolled student-athletes beginning with #2 will be followed.

Squad Lists

The Athletic Compliance Office is responsible for preparing and updating the squad list (FA-10) for each sport, and ensuring the list to be completed before the first competition in each sport.

1. Prior to July 31st of each year, a squad list to contain the most accurate information should be forwarded to the Head Coach of each sport, CAAS, and the Financial Aid Office for review purposes.
2. After July 31st, the lists are to be revised to reflect additions and deletions to the squad, and whenever there is a change in financial aid status.
 - a. Head Coaches (or designee) must submit any updates/changes to the Athletic Compliance Office in writing.
 - b. Upon receipt of the updates/changes, the Athletic Compliance Office will forward the information to CAAS and the Financial Aid Office in writing (e.g., e-mail).
3. The official squad list will be reviewed by the Head Coach.
 - a. Appropriate signatures will be obtained from the Head Coach, Athletic Compliance Office and the Athletic Director.
 - b. The Squad list and Certification of Eligibility must be forwarded to CUSA before the date of first competition.
4. A final report of the squad list will be forwarded to CAAS and the Financial Aid Office at the conclusion of the semester (or upon request).
5. The lists are retained for a period of six years and are to be available for examination by the CUSA and NCAA.

PROCEDURE/PROCESS

Release of Aid

Before a student-athlete's athletic aid is awarded by the Financial Aid Office, the following procedure has been established to ensure all NCAA and CUSA regulations are met before the aid can be released to the student-athlete's account.

1. The release of athletic aid involves the Athletic Compliance Office, CAAS and the Financial Aid Office. The process also occurs in three main calendar segments—Fall, Spring and Summer.
2. For the Fall semester, the following process takes place:
 - a. By July 15, the Athletic Compliance Office notifies CAAS of the student-athletes for the Fall semester.
 - b. The Assistant Director of CAAS will submit a report to the Financial Aid Office and the Athletic Compliance Office with the following: 1) Releases the aid for all returning student-athletes with a double-check that nonqualifiers met residency requirements, 2) Releases aid for all new student-athletes who met NCAA eligibility standards for athletic aid, and 3) Notes new student-athletes whose aid cannot be released with any necessary comments.
 - c. As CAAS is able to release the aid on any new student-athletes (as noted in group 3 above), an email update is sent to Financial Aid Office and the Athletic Compliance Office.
3. For the Spring semester, the process as listed in step two is only necessary for any new student-athletes entering for the first time in the spring. The steps are repeated as listed above.
4. For any student-athletes who are added to a squad list or if a coach requests that athletic aid be given to a student-athlete, the Athletic Compliance Office notifies CAAS and CAAS follows all procedures as listed in step two.
5. For the Summer School, new student-athletes entering the university are identified by the coaches first.
 - a. The coaches should notify the Athletic Compliance Office that the student will be attending and needs to be on athletic aid. Athletic Compliance Office is responsible for notifying CAAS and the Financial Aid Office.
 - b. Assistant Director of CAAS is responsible for verifying six hours of academic credit hour enrollment with no physical education courses in the six hours.
 - If a student attends the first summer session and only enrolls in three hours, the Assistant Director of CAAS notifies the designated coach of the sport that the student-athlete will have to enroll in at least three hours for the second session or the student-athlete will not meet the NCAA bylaw for this provision.

PROCEDURE/PROCESS

Cost of Attendance – Financial Aid Amounts

The cost of attendance (COA) is an amount calculated by the Financial Aid Office that includes the total cost of tuition and fees, room and board, books and supplies, transportation, and other expenses related to attendance at the institution.

1. The COA is determined by the Financial Aid Office in July. Amounts are requested by the Athletic Compliance Office
2. Using the COA figures the Athletic Compliance Office determines the financial aid amounts used to determine a full scholarship. (Tuition, room, board and books) Equivalences are calculated using these figures.
 - a. A student athlete may receive an athletic scholarship up to the determined amount for a full scholarship.
 - b. A student athlete may receive other financial aid unrelated to athletics ability up to the cost of attendance.
3. Scholarships are updated by August 1 to reflect the amounts for the upcoming school year.



UNIVERSITY OF MEMPHIS

Special Assistance Fund/ Student Athlete Opportunity Fund

UM Athletic Compliance Office

POLICY STATEMENT

The NCAA provides the Special Assistance Funds (SAF) to all participating institutions. The purpose of the Special Assistance Fund is to help student-athletes who are eligible for the Pell Grant or student-athletes receiving countable aid who have been identified as having financial needs. The fund is to be used to assist student-athletes who have monetary needs that are based on circumstances that are related to family emergency, course related academic supplies, and medical/dental necessities. In addition, based on availability, funding up to \$500 per year can be used for clothing, provided prior approval is given from the Athletic Compliance Office.

The Student-Athlete Opportunity Fund (SAOF) is intended to provide direct benefits to student-athletes or their families as determined by the NCAA and CUSA. As a guiding principle, the fund shall be used to assist student-athletes in meeting financial needs that arise in conjunction with participation in intercollegiate athletics, enrollment in an academic curriculum or that recognize academic achievement. All student-athletes, including international, are eligible to receive SAOF benefits, regardless of whether they are grant-in-aid recipients, have demonstrated need or have either exhausted eligibility or no longer participate due to medical reasons.

PURPOSE

The policies and procedures established herein are intended to provide an effective, efficient, and consistent method of providing available funds to those student-athletes who have been identified as having financial needs.

PROCEDURES/PROCESS

Special Assistance Fund

1. SAF clothing/essentials fund will be available from the Athletic Compliance Office once a report of all student-athletes' aid package has been received. (Approximately 6 to 8 weeks after the start of each semester) Other fund needs will be available one week after the start of each semester.
2. The Athletic Compliance Office will determine those student-athletes who are eligible for the clothing/essentials fund.
 - a. The SAF form (FA-11) will be completed by the Athletic Compliance Office for each student- athlete.
 - b. A request will be made to the Accounting Department for the clothing/essentials fund checks for each eligible student-athlete.
3. Once checks are available student-athletes will pick up the checks from the Athletic Business Office.
 - a. The student-athlete will sign the SAF Form and check receipt.
 - b. Student-athletes will be given guidelines for the use of the money.
 - c. Student-athletes will be given a deadline as to when receipts must be returned.

PROCEDURES/PROCESS

4. Upon receiving the clothing/essentials receipts a review is made to verify that all purchases are valid and meet the guidelines.
5. Additional requests for the SAF can be made at any time through the Athletic Compliance Office.

Student-Athlete Opportunity Fund

1. Any request for use of the SAOF must be made through the Athletic Compliance Office. The SAOF form (FA-12) shall be completed stating the reason for the request and the amount requested.
2. Funds requested must be an acceptable use of the money. Approval will be determined by the Athletic Compliance Office.
3. Once approved, appropriate payment will be made or reimbursed to the individual depending upon the circumstance.

Some of the acceptable uses for the Student-Athlete Opportunity Fund the NCAA has approved:

- Educational supplies (laptops, cameras, drafting equipment, etc.)
- International student fees and insurance
- Graduation or academic achievement awards
- Supplemental insurance premiums for student-athletes
- Medical, vision or dental expenses not covered by another insurance program
- Clothing allowances
- Additional trips home

Prohibited uses of the fund are limited to salaries, grants-in-aid (except for summer school), capital improvements and stipends for student-athletes.



UNIVERSITY OF MEMPHIS

Declaration of Playing Season

UM Athletic Compliance Office

POLICY STATEMENT

Declaration of the institution's playing season in each sport shall be on file in writing in the department of athletics prior to the beginning of the institution's playing season for that sport. Changes in the declaration for a particular sport are permissible. However, any change shall be filed in writing in the department of athletics.

PURPOSE

The policies and procedures established herein are intended to provide effective, efficient, and consistent method for documenting the length of each sport's playing/practice season.

PROCEDURES/PROCESS

1. The Head Coach (or designee) is responsible for filling out the Season Declaration form (*PP-1*) and submitting a draft, in person, to the Athletic Compliance Office prior to the deadline dates listed below.
 - MFB, WVB, MCC, WCC, MSO, and WSO--- July 15th , if July 15th falls on Saturday or Sunday, the following Monday
 - All other sports---August 1st , if August 1st falls on Saturday or Sunday, the following Monday
2. Upon receipt of the form, the Athletic Compliance Office will review the form with the Head Coach (or designee) to ensure that the length of the playing season is in compliance with applicable NCAA, CUSA, and UM rules and regulations

NOTE: The second segment (where applicable) can be estimated. In such cases, the Head Coach (or designee) will be required to meet with the Athletic Compliance Office no later than one month after the completion of the first segment to review any changes or adjustments that were made during the first segment and to make the appropriate adjustments to the second segment.

3. Any other adjustments made to the form must be submitted to the Athletic Compliance office in writing for approval.
4. The Season Declaration form is to be kept on file in the department of athletics for six years.



UNIVERSITY OF MEMPHIS

Countable Athletically Related Activities(CARA)

UM Athletic Compliance Office

POLICY STATEMENT

UM Athletic Staff members shall conduct all Countable Athletic Related Activities (CARA) within the limits prescribed by NCAA legislation.

PURPOSE

The policies and procedures established herein are intended to provide an effective, efficient, and consistent method for properly documenting all Countable Athletic Related Activities. Such documentation will enable the Athletic Compliance Office to monitor Countable Athletic Related Activities and ensure that such activities are consistent with applicable NCAA legislation.

PROCEDURES/PROCESS

The following guidelines are applicable to all Student Athletes:

Preseason Practice

- Daily and weekly hour limitations do not apply to countable athletically related activities occurring during preseason practice prior to the first day of classes or the first scheduled contest, whichever is earlier.

In Season Practice

- A student's participation in countable athletically related activities shall be limited to 4 hours per day and 20 hours per week.
- Daily and weekly hour limitations do not apply to countable athletically related activities occurring during an institution's term-time official vacation period, as listed in the institution's official calendar, and during the academic year between terms when classes are not in session.
- Daily and weekly hour limitations apply to countable athletically related activities during final-examination periods and to all official preparatory periods leading to final-examination periods.
- During the playing season, all countable athletically related activities shall be prohibited during one calendar day per week, except during participation in postseason competition.

Out of Season Practice

- Countable athletically related activities cannot begin until the institutions first day of class, or Sept. 15, whichever occurs earlier.
- A student's participation in countable athletically related activities shall be limited to 8 hours a week with no more than two hours of skill instruction per week
- Outside of the playing season, all countable athletically related activities shall be prohibited during two calendar days per week.
- All countable athletically related activities must stop one week prior to the beginning of the institutions final exam period.

PROCEDURES/PROCESS

Vacation Periods and Summer

- In sports other than football, a student athlete may not participate in countable athletically related activities outside of the playing season during an institutional vacation period or holiday.
- Voluntary workouts designed and conducted by strength and conditioning coaches who perform such duties department wide are permissible.

Countable Athletically Related Activities(CARA) Log

1. The Head Coach (or designee) is responsible for completing the monthly CARA Log (*PP-2*) which should record all countable activities (practice, competition, conditioning, meeting, and film) on a monthly basis.
2. At the end of each calendar month, the Head Coach (or designee) should have the team captain(s) sign the CARA log to verify its accuracy.
3. The CARA log should be submitted to the Athletic Compliance Office no later than the 15th of the following month.



UNIVERSITY OF MEMPHIS

Sports Wagering/Gambling

UM Athletic Compliance Office

POLICY STATEMENT

The NCAA and the University of Memphis Athletics Department opposes all forms of legal and illegal sports wagering. Sports wagering has the potential to undermine the integrity of sports contests and jeopardizes the welfare of student-athletes and the intercollegiate athletics community. Sports competitions should be appreciated for the inherent benefits related to participation of student-athletes, coaches, and institutions.

PURPOSE

The policies and procedures established herein are intended to provide an effective, efficient, and consistent means for understanding NCAA and University of Memphis regulations on sports wagering.

PROCEDURES/PROCESS

NCAA BYLAW 10.3 SPORTS WAGERING ACTIVITIES

The following individuals shall not knowingly participate in sports wagering activities or provide information to individuals involved in or associated with any type of sports wagering activities concerning intercollegiate, amateur or professional athletics competition:

- Staff members of an institution's athletics department;
- Nonathletics department staff members who have responsibilities within or over the athletics department (e.g., Chancellor or president, faculty athletics representative, individual to whom athletics reports);
- Staff members of a conference office; and
- Student-athletes.

All Athletics Department personnel are strictly prohibited from participation in gambling activities, as per NCAA Bylaw 10.3, including pools on all collegiate sports, professional sports that have an NCAA championship and fantasy leagues.

If a staff member or student-athlete is aware of individual(s) involved in gambling, or alleged or rumored to be involved in gambling, the Director of Athletics or a representative from the Athletic Compliance Office should be immediately notified.



UNIVERSITY OF MEMPHIS

CHAMPS/Life Skills

UM Athletic Compliance Office

POLICY STATEMENT

The mission of the NCAA is to maintain intercollegiate athletics as an integral part of the campus educational program and the student-athlete as an integral part of the student body. With this in mind, the CHAMPS/Life Skills Program was created to support the student-athlete development initiatives of NCAA member institutions and to enhance the quality of the student-athlete experience within the context of higher education.

PURPOSE

The purpose of the CHAMPS/Life Skills program is to develop and foster the total growth and development of our student-athletes. This goal will be accomplished through a commitment to academic excellence, athletic excellence, personal development, career development, and service.

PROCEDURES/PROCESS

The following outlines the five components of the CHAMPS/Life Skills program and how each is implemented within the University of Memphis Athletics Department.

Academic Excellence

To support the academic progress of the student-athlete toward intellectual development and graduation.

- Work closely with the Center for Athletic Academic Services (CAAS) while assisting in various areas of its operations (i.e. assessments, recognition or awards, ACAD 1100, orientation).

Athletic Excellence

To build philosophical foundations for the development of athletic programs that are broad-based, equitable and dedicated to the well-being of the student-athlete.

- Honor one male and one female student-athlete and/or team monthly for athletic accomplishments including but not limited to the following:
 - Outstanding statistics during a single competition
 - Conference or NCAA championship
 - Victory over a highly ranked opponent
 - Impressive come from behind win
 - CUSA player of the week
- Hold one TAG (Tigers Achieving Greatness) Team Rally for each sport throughout the school year. Encourage all other student-athletes to attend the chosen competition and support their peers.
- Conduct exit interviews for graduating seniors or those student-athletes leaving the institution.
- Conduct satisfaction surveys each year for all returning student-athletes.
- Individual teams host annual awards banquets for their respective sports.

Personal Development

To support the development of a well-balanced lifestyle for student-athletes, encouraging emotional well-being,

PROCEDURES/PROCESS

leadership, personal growth and decision-making skills.

- Teams conduct individual personal development or team building activities that address the specific needs of their respective sport.
- Sponsor at least one personal development activity per semester. Topics may be addressed to the student athletic body as a whole, to individual teams, or to individual student-athletes. These activities may include a speaker or seminar that addresses various personal development topics including but not limited to the following:
 - Self-esteem
 - Stress management
 - Alcohol and drug abuse
 - Dealing with depression and grief
 - Eating disorder prevention
 - Manners and etiquette
 - Media relations
 - Fiscal responsibility
 - Violence prevention
 - Interpersonal relationships

Career Development

To encourage the student-athlete to develop and pursue career and life goals.

- Prepare student-athletes for life after college.
- Connect student-athletes to various resources on campus by establishing strong relationships with other offices including Career Services, the Center for Counseling, Learning, and Testing, and the M Club.
- Assist student-athletes with their career goals by providing career programming which may include the following:
 - Career fairs
 - Career panels
 - Etiquette banquets
 - Networking opportunities
 - Job shadowing opportunities
 - Resume and cover letter preparation
 - Interview skills
- Prepare student-athletes to meet their career and employment goals upon graduation by providing the necessary skills through the career development course (UNIV 4380). Students will have the opportunity to improve written and oral communication skills through class assignments. They will also have the opportunity to interact with professionals from campus and the community. The desired outcome of this course is for students to enhance personal life skills and leave prepared to successfully embark on their professional lives. This course explores various topics surrounding the development of personal and professional life skills. Topics include but are not limited to the following:
 - Effective communication skills
 - Interview skills
 - Resume and cover letter preparation
 - Proper business etiquette
 - Financial planning
 - Professional working environment

Service

PROCEDURES/PROCESS

To engage the student-athlete in service to his or her campus and surrounding communities.

- Provide opportunities for and encourage all teams to participate in at least one service project a year on their own.
- Organize at least one service project a month (excluding the months of May-August and December) for the student-athletes. These projects may be ongoing (i.e. monthly “Read to Succeed” program) or they may be one-time events (i.e. participating in a canned food drive for the Thanksgiving/Christmas Holidays).
- Handle any requests for student-athlete visits or participation in events outside of regularly scheduled service projects (i.e. requests for student-athletes to speak at a school, requests to visit a retirement center).

The Life Skills Coordinator is responsible for developing the programming that encompasses all five components previously listed. Prior to each semester, he/she will develop a calendar outlining all events associated with the CHAMPS/Life Skills program and distribute to all coaches and student-athletes. All information pertaining to Life Skills events will be disseminated to coaches through monthly meetings and to student-athletes through monthly Student-Athlete Advisory Committee (SAAC) meetings. Additionally, the Life Skills Coordinator is responsible for the updating the CHAMPS/Life Skills website; handling all public relations and media coverage of planned events; and keeping accurate records and descriptions of all planned events.

Miscellaneous Areas of Responsibility for Life Skills Coordinator

- Serve as advisor to the Student-Athlete Advisory Committee (SAAC).
- Serve as a liaison to the Center for Athletic Academic Services (CAAS) and the M Club.
- Assist in disbursement of the Student-Athlete Opportunity Fund/Special Assistance Fund.
- Assist in the nomination of student-athletes for any type of university, conference, or NCAA award.
- Serve as coordinator of the CHAMPS/Life Skills Committee.

