

**INTERCOLLEGIATE ATHELETICS HIGH-RISK COMPLIANCE GROUP
RECRUITING MONITORING PLAN**

Category / High-risk Area: Student-athlete Management / Recruiting

Responsible Party: Athletic Director

Source: NCAA Bylaw 13

Risk: Non-compliance may render prospective student-athlete permanently ineligible for intercollegiate athletics at the institution. Instances of inappropriate recruiting could also result in a major violation for the institution and coupled with unfavorable publicity, could damage the athletic department's reputation.

Specific Risk	Operating Control	Evidence of Control	Supervisory Control	Evidence of Control	Oversight Controls	Evidence of Control
OFFICIAL VISITS						
<p>Failure to obtain necessary academic prerequisites.</p> <p>Official visit length too long.</p> <p>Official visits are conducted during a prohibited time (includes both official visits and off-campus contacts – see below).</p> <p>Inappropriate lodging and transportation provided to prospect and/or family.</p> <p>Prospect is not notified about the five-visit limitation and about the school's graduation-rate data.</p>	<p>Coach prepares and submits <i>Official Visit Approval Form</i> to Compliance Office for approval. Dates and times of official visit are included on form as well as lodging and travel accommodations.</p> <p>Coaches are notified (by memorandum and posters) of the prohibited dates for recruiting.</p> <p>Compliance Office reviews and approves form upon receipt of transcript and test scores. Transcript and test scores should be date stamped when received.</p> <p>Compliance Office sends student-athlete notification of official visit including the five-visit limitation rule and the graduation-rate data.</p>	<p>Completed and authorized <i>Official Visit Approval Form</i> on file.</p> <p>Copy of the letter sent to the prospective student-athlete.</p> <p>Copies of test scores and transcripts.</p>	<p>From the official visitation roster (per sport), someone reviews every nth official visit to ensure that the:</p> <ul style="list-style-type: none"> -<i>Official Visit Approval Form</i> was completed and properly approved; -Length of the visit was appropriate; -Timing of visit was appropriate; -Lodging and transportation are appropriate; -Compliance Office received the transcript and test scores prior to the official visit; and -Student-athlete was notified of the five-visit limitation rule and of the graduation-rate data for the school. 	<p>The reviewer initials and dates the <i>Official Visit Approval Form</i>.</p>	<p>Someone selects a sample of official visits each semester and determines that the:</p> <ul style="list-style-type: none"> -<i>Official Visit Approval Form</i> was completed and properly approved; -Length of the visit was appropriate; -Timing of visit was appropriate; -Lodging and transportation are appropriate; -Compliance Office received the transcript and test scores prior to the official visit; and -Student-athlete was notified of the five-visit limitation rule and of the graduation-rate data for the school. 	<p>Memorandum is sent to the Athletic Director, Athletic Compliance Office, and the Institutional Compliance Office detailing results of the oversight controls.</p>

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Too many official visits for a specific sport are conducted	Upon completion of the <i>Official Visit Approval Form</i> , the prospect is added to the applicable sport's <i>Official Visit Roster</i> . Updated rosters are routinely provided to the head coach.	The <i>Official Visit Roster</i> is on file	Someone who reviews every nth official visit ensures that the prospect's name appears on the <i>Official Visit Roster</i> .	Highlight (or initial) by the prospect's name on the <i>Official Visit Roster</i> documenting the match.	Someone selects a sample of official visits each semester and ensures that the prospect appears on the <i>Official Visit Roster</i> . Someone selects expenditures that are incurred related to official visits and ensures that the prospect had an executed <i>Official Visit Approval Form</i> and appears on the <i>Official Visit Roster</i> .	Memorandum is sent to the Athletic Director, Athletic Compliance Office, and the Institutional Compliance Office detailing results of the oversight controls.
Inappropriate conduct by the student-athlete host.	The student-athlete host is required to sign a <i>Student Host Form</i> upon receipt of money for the official visit. Receipts are requested and if received, review by the Athletic Business Office for appropriateness. Receipts are attached to the <i>Student Host Form</i> .	Signed <i>Student Host Form</i> with receipts attached.	Someone who reviews every nth official visit ensures that the <i>Student Host Form</i> (if applicable) is properly approved and reviews the receipts for appropriateness.	The <i>Student Host Form</i> is initialed and dated.	Someone selects a sample of official visits that involved a student-athlete host and ensures that the <i>Student Host Form</i> was completed and approved and reviews the receipts for appropriateness.	Memorandum is sent to the Athletic Director, Athletic Compliance Office, and the Institutional Compliance Office detailing results of the oversight controls.
OFF-CAMPUS VISITS						
Inadequate documentation is kept related to off-campus visits and evaluations. Too many off-campus visits and evaluations occur.	Coaches maintain weekly record of their off campus contacts, evaluations, and telephone calls to prospects. Coaches sign the log and submit it each week to the Compliance Office.	Weekly log signed by the coach.	Someone reviews every nth log for violations. Violations could involve too many phone calls per week, too many evaluations, too many contacts in total, recruiting during prohibited periods, etc. Compliance Office tracks each coach to ensure weekly logs are submitted and signs off on each log.	Signs-off on the log to document review.	Someone selects a sample of coach logs and reviews for appropriateness.	Memorandum is sent to the Athletic Director, Athletic Compliance Office, and the Institutional Compliance Office detailing results of the oversight controls.

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Recruiting activities occur by an ineligible coach.	<p>The Faculty Athletic Representative receives an examination from the NCAA and administers to all coaches by July 1st of each year during a training session. Results are documented and sent to the Compliance Office.</p> <p>Participants of the training session are required to sign-in.</p> <p>Compliance Office is present during the training session.</p> <p>If coach is a new hire, request documentation from previous school that the NCAA examination was successfully completed.</p>	Completed examinations and sign-in sheet.	Someone review every nth coach involved in off-campus recruiting and ensure that the coach has passed the NCAA examination.	Initial and date the examination upon review.	Someone selects a sample of coach logs and those logs with off-campus activities ensure that the coach is certified for off-campus recruiting.	Memorandum is sent to the Athletic Director, Athletic Compliance Office, and the Institutional Compliance Office detailing results of the oversight controls.
BOOSTERS						
Inappropriate contact and/or payment by a booster.	<p>Boosters are made aware of the recruiting rules on a regular basis through a variety of methods. These include:</p> <ul style="list-style-type: none"> -Brochure included in the season ticket mailing; -Advertisements in the sport programs; -Attendance by Compliance Office at booster events; -Athletic Department website; and -Compliance related questions shown at athletic events. 	Copy of the brochure; copy of the program; website; etc.	Someone verifies that material was sent and/or made accessible to boosters.	Mailing list for brochures, attendance sheets for training sessions, etc.	Someone selects a sample of boosters and determines that boosters received information related to NCAA rules and regulations through phone calls or surveys.	Memorandum is sent to the Athletic Director, Athletic Compliance Office, and the Institutional Compliance Office detailing results of the oversight controls.