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SECTION 1: MISSION STATEMENT

1.1 UALBANY’S MISSION AND VISION

Mission

The University at Albany is an engine of opportunity. Fueled by our unique mix of academic excellence, internationally recognized research, and world-class faculty, we relentlessly pursue possibilities, create connections, and open opportunities—locally and globally—with a single-minded purpose: To empower our students, faculty, and campus communities to author their own success. This is the University at Albany.

Vision

To be the nation’s leading diverse public research university—providing the leaders, the knowledge, and the innovations to create a better world.

Read more: https://www.albany.edu/strategicplan/

1.2 UALBANY DIVISION OF ATHLETICS MISSION STATEMENT

The University at Albany Division of Athletics will provide an NCAA Division I intercollegiate athletics program for men and women committed to support the educational mission of the university. The department will strive to achieve excellence within intercollegiate competition at the highest level with deference to a continued commitment to fairness and integrity.

The Division of Athletics will accomplish this mission through its commitment to the following endeavors:

- Provide an equitable, balanced and broad-based athletics program for all student-athlete participants and the University at Albany community.
- Recruit a diverse group of student-athletes who represent the institution, the department and themselves in an outstanding manner as they pursue a high level of academic and athletic achievement.
- Identify, pursue and hire a diverse and qualified staff of coaches and administrators to ensure achievement, individual physical and emotional health as well as lifelong welfare of student-athletes.
- Operate a fiscally sound, equitable and responsible budget.
- Comply with the rules and regulations of the National Collegiate Athletic Association (NCAA), America East Conference (AE), Colonial Athletic Association (CAA), Metro Atlantic Athletic Conference (MAAC) and the University at Albany.
- Pursue the development, construction, and maintenance of facilities that are functional, aesthetically consistent with other university facilities, safe and...
comfortable for student-athlete participants, staff, spectators and community users.

- Create revenue streams through the expansion of philanthropic giving, broadcast properties, corporate sponsorships, merchandising and a competitively priced ticketing structure.
- Provide entertainment options to the Capital Region and the University Community.
- Utilize modes of electronic media and technology to enhance the position of the university and the department to include more local, regional, national and global exposure.
- Support the educational component of the University by providing practicums, internships and graduate assistantships.
- Extend optimum efforts by fostering and rewarding vision, creativity and innovation.
- Understand the value of teamwork and acknowledge our respect of and commitment to each other. We understand the importance of timely, complete and accurate communication.

1.3 DIVISION OF ATHLETICS TITLE IX - GENDER EQUITY ACTION PLAN

The most significant and urgent issue facing intercollegiate athletics programs are Title IX. Title IX is a federal civil rights statute enacted as part of the Education Amendments of 1972. In simple terms, Title IX prohibits sex-based discrimination within educational institutions receiving federal financial assistance.

An institution's failure to comply with Title IX may result in an Office of Civil Rights (OCR) directive to suspend or terminate financial assistance to the entire institution. Or, in the case of a Title IX lawsuit, the court may order the institution to pay compensatory and punitive damages. The University at Albany and its Athletic Department are committed to the principles of Title IX and achieving full compliance.

There are three basic parts to the Title IX regulation as it pertains to intercollegiate athletics: Effective accommodation of interests and abilities (participation opportunities), athletic financial assistance (scholarships), and athletic program components.

I. Effective accommodation of interests and abilities involves an analysis of participation opportunities for the number of male and female student-athletes on each team and/or overall. Additionally, levels of compliance are reviewed to further assess compliance with accommodation of interests and abilities.

A. Compliance with participation opportunities is determined by meeting one of the three tests:
1. Proportionality (i.e., Athletic participation rates of men and women students substantially equal the full-time undergraduate enrollment rates of men and women students).

2. History and continuing practice of program expansion.

3. Accommodation of interests and abilities (i.e., the current sports offerings for women fully meet their interests).

B. A two-part test to review levels of competition is applied to determine whether female athletes are afforded proportionally similar advanced competition opportunities as male athletes.

II. Athletic financial assistance (scholarships) must be awarded in substantial proportion to the participation rates (using a head count) of men and women student-athletes (if 50% of the student-athletes are female, then roughly 50% of the total athletic financial assistance should be awarded to females). A ‘Z’ and a ‘T’ statistical analysis test are used to determine whether any difference is substantial.

III. Equal opportunity and the equivalent standard can be evaluated by looking at various program components. There are currently eleven program components:

1. Provision of Equipment and Supplies
2. Scheduling of Games and Practice Times
3. Travel and Per Diem Allowances
4. The Opportunity to receive Academic Tutoring and the Assignment and Compensation of Tutors.
5. The Opportunity to receive Coaching and the Assignment of Compensation of Coaches.
6. Provision of Locker Rooms, Practice and Competitive Facilities
7. Provision of Medical and Training Facilities and Services
8. Provision of Housing and Dining Facilities and Services
9. Publicity
10. Provision of Support Services
11. Recruitment of Student-Athletes

Comparing the availability, quality and types of benefits, opportunities and treatment of both sexes assesses compliance with respect to the program components. If the components are found to be equivalent, then the institution will be in compliance. Equivalence means equal or equal in effect. Under this equivalence standard, identical benefits, opportunities or treatment are not required, provided the overall effort of any difference does not have a disparate impact on one sex.

UAlbany Division of Athletics is committed to achieving the following goals:

- Provide both men and women student-athletes with participation opportunities in substantial proportion to their representation in the student body.
● Provide athletic financial assistance in substantial proportion to the representation of women student-athletes in the athletic program.
● Provide equivalent benefits, opportunity, and treatment throughout the athletic program for both men and women student-athletes.

To this end the UAlbany Athletic Department will engage in specific actions to bring about full and continuing compliance with Title IX within a period of five academic years. The Gender Equity Compliance Action Plan is intended to serve as a working document for the next five academic years (2015-2020). The action plan will assist the University in its efforts to achieve compliance with the athletic provisions of the regulations implementing Title IX of the Education Amendments of 1972.

SECTION 2: ORDER OF CONTROL

2.1 BOARD OF TRUSTEES

The Board of Trustees is the governing body of the State University of New York. It consists of 18 members, 15 of whom are appointed by the Governor, by and with consent of the New York State Senate. In addition, the president of the Student Assembly serves as student trustee and the presidents of the University Faculty Senate and Faculty Council of Community Colleges serve as ex-officio trustees.

2.2 THE PRESIDENT

The President is responsible to the Board of Trustees and is the chief executive officer directing the operation of the University and all of its programs and services, including intercollegiate athletics. The President is the University's official who is responsible for certifying that the University is in compliance with the National Collegiate Athletic Association (NCAA), the America East Conference (AEC) and the Colonial Athletic Conference (CAA) rules and regulations.

2.3 DIRECTOR OF ATHLETICS

Subject to approval of the UAlbany President, the Director of Athletics is appointed by and responsible to the President and is a member of the President's senior administrative staff. The Director of Athletics is the chief operating officer of the UAlbany’s Athletic Department, having administrative responsibilities and authority for:

A. The organization and designation of duties for departmental administrative staff, including the Senior Woman Administrator.
B. The formulation and proposal of policies and procedures governing the Division of Athletics and its personnel and the University's participation in intercollegiate athletics.
C. Compliance with all applicable rules and regulations of the Division of Athletics, Conference and NCAA.
D. The implementation of the University's intercollegiate athletics policies.
E. The supervision and direction of the Division of Athletics, its personnel, athletic coaches, student-athletes, and such organizations and individuals described in the NCAA Manual.
F. Athletic fundraising and budget information.
G. The Director is an ex-officio member of the Intercollegiate Athletic Advisory Board (IAAB).
H. The Director has overall responsibility for the conduct of the coaches and the conduct of each individual program within the Division of Athletics, including adherence to budget and policy procedures.
I. The Director shall define the roles and responsibilities in the for athletic department employees and for head coaches by contractual arrangement. The Director of Athletics to evaluate on annual basis athletic department employees and all head coaches.

2.4 FACULTY REPRESENTATIVE FOR ATHLETICS (FAR)

A. The Faculty Athletic Representative (hereinafter referred to as FAR) shall be UAlbany’s representative to the councils of the America East Conference (AE), the Colonial Athletic Conference (CAA), the Metro Atlantic Athletic Conference (MAAC) and the University's appointed delegate to conventions and other activities of the National Collegiate Athletic Association (NCAA).
B. The FAR also shall serve as an ex-officio member of the Intercollegiate Athletic Advisory Board.
C. Responsibilities to the University and to the above-named organizations shall include, but not be limited to, the following:
   • Certify all student-athletes that participate in the 18 NCAA sponsored sports meet all NCAA, America East, Colonial Athletic Association (football) and Metro Atlantic Athletic Conference (women’s golf), and University requirements for continuing eligibility for athletic participation. This certification is performed by university personnel in the Office of the Registrar and within athletics both Academic Services and Compliance Services. The FAR will review and sign all eligibility certification forms. In order to complete this duty, the FAR must develop knowledge of current NCAA Division I Bylaws, specifically Article 14 and AE, CAA & MAAC Conference Rules and University rules. The FAR will participate in the various rules education activities carried out internal to UAlbany and by the Conference and the NCAA. In conjunction with the UAlbany Office of Compliance Services, the FAR may be required to review and authorize by signature NCAA and Conference rules waiver applications.
   • Interact directly with student-athletes, be widely known among student-athletes, and interact specifically with the Student-Athlete Advisory Committee (SAAC). The FAR will collaborate with the Academic Services staff for the betterment of student-athletes’ academic experience.
at UAlbany. The FAR will coordinate these duties with and communicate his or her activities to the president. Student-athletes should recognize the FAR as a source of information, support and advice located administratively outside of the Athletic Department.

- Meet regularly with the Office of Compliance Services staff to review outstanding compliance and eligibility issues. The FAR may participate in and will be informed of Department, Conference, or NCAA investigations of alleged violations of regulations and may be called upon to lead such investigations (It is mandatory that the FAR play a direct role in investigations of potential major violations of NCAA rules.). The FAR will receive letter notification of every NCAA violation. The FAR shall review and certify all petitions to the NCAA Administrative Review Subcommittee. The FAR is part of the effort to ensure that the University at Albany is demonstrating a culture of compliance.

- Evaluate the academic progress and performance of the student-athletes on the various intercollegiate sports teams based on periodic reports provided by the Academic Services staff, the Athletic Department and other offices on the campus. The Intercollegiate Athletics Advisory Board (IAAB) will receive periodic reports regarding the academic progress and performance of student-athletes with collaboration of the FAR and Academic Services staff.

- Periodically attend the meetings of the head coaches, the SAAC, Athletic Department awards ceremonies, team banquets, competitions and other athletically-related events. The FAR will represent the university to the NCAA and AE, CAA and MAAC. Together with the athletic director and Office of Compliance Services, the FAR will formulate and recommend institutional positions on NCAA legislation and other matters affecting or related to intercollegiate athletics on campus. The FAR will attend NCAA and conference meetings as required and appropriate and will participate in communications among other Conference FARs and the Conference Office.

- Serve as a liaison between the Athletic Department and UAlbany Faculty, and, in particular, the IAAB. The FAR will promote interaction between UAlbany Faculty and the Athletic Department, its employees and the student-athletes. The FAR will provide an annual report to the university senate.

- Work with the Athletic Department staff to ensure that there is a comprehensive and effective rules education and compliance program on campus.

- Other duties as assigned by the President.

For a complete listing of the UAlbany Division of Athletics staff, refer to the Organizational Charts.
SECTION 3: BYLAWS OF THE INTERCOLLEGIATE ATHLETIC ADVISORY BOARD (IAAB)

Following are the bylaws of the Intercollegiate Athletics Advisory Board (IAAB) of the University at Albany, State University of New York.

Article I. Name

The name of the organization is the Intercollegiate Athletics Advisory Board (IAAB) of the University at Albany, State University of New York.

Article II. Objectives

The objectives of the IAAB are to promote and support intercollegiate athletics in a manner that allows the University at Albany to compete as strongly as possible, within the resources available to the University and the rules and regulations of the National Collegiate Athletic Association (NCAA), the America East Conference (AEC), and any other athletic conference with which the University may affiliate.

The IAAB shall meet with the President of the University and the Director of Athletics as needed to review the IAAB responsibility in achieving these objectives. The IAAB is provided oversight by the Office of the President.

Article III. Responsibilities

The IAAB shall consider all questions of policy relating to intercollegiate athletics and shall submit its recommendations to the Director of Athletics. These areas of concern shall include but not be restricted to budgetary matters, use of facilities, promotional activities, equal opportunity for all student-athletes, academic progress of student-athletes, and the personal conduct of student-athletes and employees of the Division of Athletics.

The IAAB may initiate topics for discussion and may consider any question of policy as referred to it from faculty, alumni, students or friends of the University. In particular, the IAAB shall consider the annual budget as prepared by the Director of Athletics and give its reactions and advice to the Director. The Chair of the IAAB shall submit the Board's recommendations directly to the President of the University.

Administration of policy shall be the responsibility of the Director of Athletics. The IAAB shall serve in an advisory capacity to the Director of Athletics concerning appointment or reappointment of administrative personnel within the Division of Athletics.

The IAAB shall review on an annual basis the academic progress of all student athletes, including team GPAs and graduation rates.
The IAAB shall review all athletic grants-in-aid with special emphasis on assuring gender equity in awarding grants and may hear all appeals relating to cancellation of athletic grants-in-aid.

The IAAB shall monitor the conduct of the intercollegiate athletics program, to ensure consistency and compliance with University at Albany policies and procedures and the policies of the SUNY Board of Trustees, the America East Conference and the appropriate intercollegiate athletics associations and conferences.

The IAAB shall recommend the structure for the mandatory athletics fee to the President on an annual basis.

**Article IV. Membership**

1. The IAAB shall consist of eleven voting members, of whom six shall hold full-time appointments on the faculty or administrative staff of the University during their period of membership on the Board, and four shall be students dually enrolled in the University and registered in full-time attendance during their period of membership on the Board and one alumni/ae member.

2. Members of the IAAB shall be appointed in staggered memberships if possible according to the following manner for the terms indicated:
   A. Four voting members of the IAAB shall be voting members of the University faculty and shall be appointed by the University President after consultation with the Executive committee of the Senate for terms of three years. One of the above shall serve as chair of the IAAB.
   B. Two voting members of the IAAB shall be members of the University administrative staff and shall be appointed by the University President for terms of two years, following the initial organization of the IAAB.
   C. Four voting members of the IAAB shall be students of the University and shall be appointed by the University President, after receiving nominations from the President of the Student Association; two for terms of two years and two for terms of one year. Two of the student members of the IAAB shall be student-athletes participating in one of the University varsity athletic programs (one male and one female); and two shall not be participants in a varsity athletic program.
   D. One voting alumni member shall be appointed by the University President after consultation with the Executive Committee of the Alumni Association for a term of two years.
   E. Nonvoting members of the IAAB may be appointed from time to time by the University President for terms at the discretion of the University President.

3. A vacancy occurring in the membership of the IAAB shall be filled in accordance with the provisions for the regular appointment of that member and the successor shall complete the term remaining of the member being replaced. Members of the board shall serve until their successors are appointed.
4. Removal: The President may remove a member of the IAAB for the failure of or inability to attend meetings regularly or for actions which are inconsistent with University policies related to its intercollegiate athletic program. The President may also temporarily replace a member should the member be unable to attend due to a change in status, such as a sabbatical, etc.

Article V. Structure

1. The Chairperson of the IAAB shall be a voting member of the University faculty and appointed by the University President to serve at the pleasure of the University President. Typically, the University’s NCAA Faculty Athletics Representative is expected to serve in this position. The Chairperson shall:
   • Preside at all meetings of the IAAB.
   • See that notice of all meetings of the IAAB is given.
   • Appoint such committees of the IAAB as shall be needed.
   • Serve as an ex officio member of all IAAB committees.
   • Keep the University President informed of the deliberations and actions of the IAAB.
   • Appoint a Secretary to the IAAB who shall keep records of all meetings and actions of the IAAB.
   • Appoint subcommittees as necessary which may include non IAAB members.

2. Other officers as needed may be elected by and from the IAAB subject to the approval of the University President.

Article VI. Meetings

1. All meetings of the IAAB shall be held on the University campus or such other place as may be designated by the Chairperson. A minimum of two meetings shall be held per semester.

2. Meetings of the IAAB shall be called as needed by the Chairperson, except that a majority of the members of the IAAB may call a meeting of the IAAB upon notice of not less than five days to all members of the IAAB.

3. The quorum for a meeting of the IAAB shall be 50% of the voting membership plus one; in the case of uneven numbers, the quorum figure will be rounded down. For example, with membership of 11, a quorum will be defined as six voting members. A majority of the voting members present and voting shall constitute the number necessary to act on any matter before the IAAB except for changes in the by-laws which will require an assenting vote from a two-thirds majority. Similarly, in the case of uneven numbers, the IAAB will round down. Thus, with IAAB membership of 11, a two-thirds majority is defined as seven voting members.

4. Meetings of the IAAB shall be conducted in accordance with Roberts Rules of Order except wherein these by-laws shall provide otherwise.
5. A voting member of the IAAB who fails to attend two consecutive meetings, without excuse acceptable to the IAAB, shall be considered to have resigned from the IAAB and shall be replaced in accordance with Article IV. (4). Interim IAAB members may be appointed consistent with Article IV. (4).

Article VII. Standing Subcommittees

Two standing subcommittees, which shall report to the IAAB, shall be appointed to be called upon as needed to author, review and implement policies related to student-athlete academic progress and student-athlete well-being. The standing Sub Committees are constituted as follows. A standing Subcommittee on Student-Athlete Academic Progress shall be appointed.

A. The Subcommittee shall perform the following duties:
   I. Review academic indicators of student-athlete accomplishment;
   II. Provide regular review of academic support services provided by the Division of Athletics and their effectiveness;
   III. Review mid-semester reports of academic progress;
   IV. Review course absence data due to athletic competition, and review missed final exams due to athletic competition;
   V. Review other academic issues as needed; and
   VI. Provide data and report to campus evaluative bodies.

B. The composition of the Subcommittee will include the following:
   I. Chair of the IAAB;
   II. All IAAB teaching faculty; and
   III. A University Senate representative selected from among the teaching faculty members of the Undergraduate Academic Council.

C. The Subcommittee should meet once per semester, or as needed.

D. The Subcommittee will report to the IAAB.

E. A standing Subcommittee on Student-Athlete Well-Being shall be appointed.

F. The Subcommittee shall perform the following duties:
   I. Review an annual report from the Division of Athletics on issues that impact student-athlete well-being such as: financial aid disbursements and withdrawals, coach/student-athlete relations; walk-on and other participation policies; data from student-athlete exit interviews, etc. The Subcommittee will seek to determine if there are problematic trends or problems.
   II. Work with Institutional Research to conduct an annual survey of student-athletes to explore issues that impact on their experience (financial aid, experience with coaches and teams, fair treatment, etc.) in order to provide an independent avenue for student-athletes to express concerns. The survey will consist of 15-20 questions, administered electronically and anonymously; data will be collected annually. Senior student-athletes should be notified via this survey that exit interviews may be requested.
   III. Review and evaluate grievance procedures in Student-Athlete Handbook.
IV. Promulgate an institutional policy on exit interviews within the Division of Athletics that will cover issues such as who should conduct them and when they should take place. It should be mandatory that UA conduct exit interviews, but not mandatory for student-athletes to participate.

G. The composition of the Subcommittee will include the following members:
   I. Chair of the IAAB;
   II. Two student members of the IAAB;
   III. A member of Senate’s Undergraduate Life Council; and
   IV. Two other members of the IAAB.

H. The Subcommittee should meet a minimum of 2 times per year, or as needed.

Article VIII. Amendments

Proposed amendments of these by-laws may be adopted at any meeting of the IAAB, called for that specific purpose, by assenting vote from two-thirds membership of the IAAB. However, the University President must approve any amendments of these by-laws before becoming effective. The President may also amend these bylaws at his or her discretion after consultation with the Executive Committee of the University Senate.

Article IX. Laws Of The State Of New York

These bylaws are subordinate to, and intended to be in accord with, the laws of the United States and the laws of the State of New York.

SECTION 4 RESPONSIBILITIES AND EXPECTATIONS OF HEAD COACHES

The head coaches are directly responsible to their Senior Administrative staff member. It is the responsibility of each head coach to work with and seek approval from the Sport Supervisor for all day to day transactions for their sport program.

All coaches must be thoroughly familiar with and comply with all policies and/or regulations of the University, and the NCAA and the Conference. Failure to abide by these policies and/or regulations will result in appropriate disciplinary action, including possible suspension or termination.

The head coaches are responsible for administering all aspects of the program under his/her charge, including coaching, recruiting, promotion, making grant-in-aid recommendations, scheduling, making travel arrangements, requisitioning equipment and supervising assistants. (Note: All assistant coaches are directly responsible to the head coach in their respective sports.)

The head coach is accountable for managing his/her budget and is expected to stay within that budget each year. The Director of Athletics and/or the Sport Supervisor are responsible for approving all expenditures.
The head coach must submit a complete list of assistant coaches (including volunteers) to the Director of Athletics or designee. Also, any personnel changes during the year must first be approved by the Director of Athletics.

Coaches must treat the academic requirements necessary for progress toward a degree as a matter of highest priority for the student-athletes in their charge, and are jointly accountable with the Associate Athletic Director for Academic Services and Athletic Academic Coordinators regarding their academic progress and ultimate graduation. Coaches must be sensitive to final examination schedules for the athletes when scheduling their practice sessions.

Coaches should inform student-athletes of their individual responsibilities to study the University's catalogue so they understand the academic regulations of the University (of their respective colleges and of the departments) from which they take courses in order to be fully aware of the requirements for their particular degrees.

The Office of the Registrar, Student-Athlete Academic Services, the Office of Compliance Services and the Faculty Athletics Representative check the standings of all student-athletes with respect to academic performance at the end of each semester and each summer session. At such times, all students who are deficient in their scholarship, as defined by the rules of their prospective colleges, are placed on probation or suspended— in accordance with the applicable University regulations.

Coaches are to provide to the Office of Compliance Services a list of names of student-athletes being recruited. Document records of campus visitations by recruits including all signatures on receipts, forms, and ticket receipts will be kept on file in the Business Office and Office of Compliance Services.

Coaches must submit to the Office of Compliance Services and Student-Athlete Academic Services the names of student-athletes for a check of academic eligibility at the earliest date. Student-athletes will not be given a physical exam or issued equipment until certified.

Travel itineraries for all away contests must be sent out to the individuals listed below. This allows all necessary support staff to be aware of schedules, travel arrangements, double-checking eligibility for athlete travel, etc. Below is the required list of individuals who should be forwarded a copy of the travel itinerary in advance of departure along with required (and optional) information to be provided:

Provided To:
- Athletic Trainer
- Equipment
- Sport Supervisor
- Coaching Staff
• Strength Coach
• Compliance Team
• Assistant to the Athletic Director
• Business Office Team
• Associate Athletic Director for Facilities, Scheduling and Game Operations
• Athletic Academic Advisor
• Media Relations

Itinerary
1. Sport
2. Hotel Name, Address and Phone Number (Including Area Code)
3. Departure Date, Time and Location
4. Arrival Date, Time and Location
5. Athletic Staff Traveling With Team and Mobile Numbers (Including Area Code)
6. Travel Squad
7. Optional
   a. All Meals, Meetings, Entertainment, Walk-Throughs, Practices, Contests, Award Ceremonies, Check-In and Check-Out Dates and Times (Include Locations)
   b. Dress Attire
   c. “Don’t Forget To Pack” List
   d. Weather Reports

A head coach desiring equipment for his/her program will submit a written requisition--upon verifying current inventory and availability of funds--to the equipment room.

Coaches must be aware that as public figures, they must maintain a dress code that is appropriate to the occasion and sets the standard for their student-athletes to emulate.

Head coaches are responsible for abiding by the University drug policy, and referring student-athletes suspected of having such problems to the Sport Supervisor.

Head coaches are responsible for maintaining a current team roster with all appropriate Offices. Rosters will derive from the Office of Compliance Services.

All coaches are jointly responsible for the security of the UAlbany Department facilities and equipment including doors, keys, copy machines, telephones, computers, typewriters, etc. All doors should be kept locked after normal working hours, and keys should not be given to student-athletes.

Equipment that is damaged by that coach--in a fit of anger--will be replaced personally by the coach.
Each head coach must see that all meet/game equipment will be turned in to the equipment room on the first school day after said event. No clean or replacement clothing or equipment will be issued until above items are turned in or paid for.

Coaches are NOT permitted to use physical or verbal abuse on student-athletes. Those who do will be reprimanded accordingly.

All coaches securing income from outside of the university, including merchandise and goods, are required to report such income by completing the Athletically Related Outside Income Form. Please refer to the Office of Compliance Services section of this manual for details.

4.1 HEAD COACH RESPONSIBILITIES REGARDING COMPLIANCE WITH AND VIOLATIONS OF NCAA RULES

What is a head coach's responsibility for ensuring NCAA violations do not occur within his or her program?

NCAA Division I Bylaw 11.1.1.1 states that an institution's head coach is presumed to be responsible for the actions of all assistant coaches and administrators who report, directly or indirectly, to the head coach. A head coach shall promote an atmosphere of compliance within his or her program and shall monitor the activities of all assistant coaches and administrators involved with the program who report, directly or indirectly, to the coach.

If the NCAA enforcement staff alleges that a head coach violated Bylaw 11.1.1.1 as a result of his/her involvement in a major/Level I or II violation(s), what could happen?

Pursuant to Bylaw 11.1.1.1, a head coach is presumed responsible for major/Level I and Level II violations (e.g., academic fraud, recruiting inducements) occurring within his or her program unless the coach can show that he or she promoted an atmosphere of compliance and monitored his or her staff. After August 1, 2013, if the NCAA Division I Committee on Infractions finds that a head coach violated Bylaw 11.1.1.1, he or she may be suspended, pursuant to a show-cause order, for up to an entire season for Level I violations and up to half of a season for Level II violations. The length of the suspension will depend on the severity of the violation(s) committed by his or her staff and/or the coach himself/herself.

Are there secondary/Level III violations that may result in a suspension of a head coach? Yes.

Division I Sports Other Than Football and Basketball. Effective August 1, 2013, head coaches may be suspended for identified Level III violations committed by assistant coaches or staff members on or after August 1, 2013. The assistant coach or staff member
who commits the violation also would face suspension. The list of identified Level III violations as discussed with the various coaches' associations includes:

- In-person, off-campus contacts during a dead period [particularly during the National Letter of Intent (NLI) signing dead period].
- Exceeding the permissible number of contacts with a prospective student-athlete.
- Intentional or significant game-day simulations and/or impermissible recruiting aids.
- Providing team gear or other inducements to prospective student-athletes.
- Violations that occur as a result of engaging non-scholastic third parties in the recruiting process (e.g., pre scheduled unofficial visits that are impermissibly funded, etc.).
- Collective recruiting violations and/or other intentional recruiting violations (e.g., multiple impermissible early phone calls, multiple impermissible contacts, providing inducements).
- Impermissible benefits to student-athletes or inducements to prospective student-athletes by third parties that the coaching staff knows about or is involved with.
- Providing a written offer of athletically related financial aid to a prospective student-athlete prior to August 1 of the prospective student-athlete's senior year in high school.

Beginning August 1, 2013, for all sports, suspensions of coaches for designated Level III recruiting violations will be posted in a database on the NCAA website by the enforcement staff.

Division I Women's Basketball. Effective August 1, 2013, head coaches may be suspended for identified Level III violations committed by assistant coaches or staff members on or after August 1, 2013. The assistant women's basketball coach or staff member who commits the violation also would face suspension. The list of identified Level III violations as discussed with the Women's Basketball Coaches Association (WBCA) includes:

- In-person, off-campus contacts during a dead period (particularly during the NLI signing dead period).
- Exceeding the permissible number of opportunities with a prospective student-athlete.
- Intentional or significant game-day simulations and/or impermissible recruiting aids.
- Providing team gear or other inducements to prospective student-athletes.
- Violations that occur as a result of engaging non-scholastic third parties in the recruiting process.
- Collective recruiting violations and/or other intentional recruiting violations (e.g., multiple impermissible early phone calls, multiple impermissible contacts, providing inducements).
- Impermissible benefits to student-athletes or inducements to prospective student-athletes by third parties that the coaching staff knows about or is involved with.
• Providing a written offer of athletically related financial aid to a prospective student-athlete prior to August 1 of the prospective student-athlete's senior year in high school. Division I Football. Effective August 1, 2013, head coaches may be suspended for identified Level III violations committed by assistant coaches or staff members on or after August 1, 2013. The assistant football coach or staff member who commits the violation also would face suspension.

The list of identified Level III violations as discussed with the American Football Coaches Association (AFCA) includes:

• In-person, off-campus contacts during a dead period (particularly during the NLI signing dead period).
• Exceeding the permissible number of contacts with a prospective student-athlete.
• Intentional or significant game-day simulations and/or impermissible recruiting aids.
• Providing team gear or other inducements to prospective student-athletes.
• Violations that occur as a result of engaging non-scholastic third parties in the recruiting process (e.g., pre scheduled unofficial visits that are impermissibly funded, etc.).
• Collective recruiting violations and/or other intentional recruiting violations (e.g., multiple impermissible early phone calls, multiple impermissible contacts, providing inducements).
• Holding 7-on-7 events on an institution's campus and/or otherwise attending or being involved in non-scholastic events (NCAA Football Bowl Subdivision only).
• Impermissible benefits to student-athletes or inducements to prospective student-athletes by third parties that the coaching staff knows about or is involved with.
• Providing a written offer of athletically related financial aid to a prospective student-athlete prior to August 1 of the prospective student-athlete's senior year in high school.

Division I Men's Basketball. Effective October 2009, for specific secondary/Level III violations that involve a Division I men's basketball staff member, a head coach may be suspended by the institution at the direction of the enforcement staff. Head coaches will be subject to NCAA tournament or regular season game suspensions for violations in his program involving:

• Camp employment.
• Camp operation.
• Donations to nonprofits.*
• Payment of consulting fees.
• Impermissible entertainment for individuals associated with a prospective student-athlete.*
• Involvement in non-scholastic events on campus.*

* In addition to a term of suspension for the head coach, an involved men's basketball staff member may be subject to a suspension.
Effective August 1, 2013, head men's basketball coaches may be suspended for identified Level III violations committed by assistant coaches or staff members on or after August 1, 2013. The assistant men's basketball coach or staff member who commits the violation also would face suspension. The list of identified Level III violations as discussed with the National Association of Basketball Coaches (NABC) includes:

- In-person, off-campus contacts during a dead period (particularly during the NLI signing dead period).
- Exceeding the permissible number of opportunities with a prospective student-athlete.
- Intentional or significant game-day simulations and/or impermissible recruiting aids.
- Providing team gear or other inducements to prospective student-athletes.
- Violations that occur as a result of engaging non-scholastic third parties in the recruiting process.
- Collective recruiting violations and/or other intentional recruiting violations (e.g., multiple impermissible early phone calls, multiple impermissible contacts, providing inducements). Impermissible benefits to student-athletes or inducements to prospective student-athletes by third parties that the coaching staff knows about or is involved with.
- Providing a written offer of athletically related financial aid to a prospective student-athlete prior to August 1 of the prospective student-athlete's senior year in high school.

What can a head coach do to promote an atmosphere of compliance and monitor the activities of his or her staff?

This document is intended to encourage conversations about the shared responsibilities for NCAA compliance as well as to provide guidance with examples of actions that may be taken in regard to Bylaw 11.1.1.1 legislation. The responsibility for NCAA rules compliance is shared by the various stakeholders on campus (e.g., presidents, directors of athletics, compliance, coaches). The guidance provided within this document is not required nor does it request coaches to write a policy or conduct training – it merely provides suggestions from the enforcement staff in the areas of communication, monitoring and documentation that coaches can use with the various stakeholders on campus.

The action plans described below may assist a head coach in promoting an atmosphere of compliance and monitoring the activities of his or her staff. Action Plan: Communication.

A head coach should demonstrate and document a commitment to compliance through ongoing communication with his or her director of athletics, compliance staff and coaching staff. The outline below was created to assist a head coach with managing this dialogue.
• Meet with the chancellor or president to discuss his/her expectations for NCAA rules compliance.
• Meet with the director of athletics to discuss his/her expectations for NCAA rules compliance.

Suggested talking points:
• Director of athletics' philosophy and expectations on rules compliance.
• Compliance resources for your program.
• Program's shared responsibility with compliance staff.
• Establish a plan in writing for continued dialogue with the director of athletics to discuss the institution's and program's compliance environment and expectations (e.g., regularly scheduled meetings with minutes, etc.).

Meet with the compliance director to discuss his/her expectations for NCAA rules compliance.

Suggested talking points:
• Compliance director's philosophy and expectations on rules compliance.
• Compliance resources for your program.
• Discuss the compliance staff's and program's expectations for submitting rules interpretations and waiver requests, and determine how to best resolve any disagreements over the submission of such requests.
• Program's shared responsibility with compliance staff.
• Expectations for reporting actual and potential NCAA rules issues (e.g., immediate action, reporting lines).
• Establish a written plan for continued dialogue with the compliance director to discuss the institution's and program's compliance environment and expectations (e.g., regularly scheduled meetings, etc.).
• Establish a written plan for ongoing dialogue between the coaching staff and compliance staff to discuss key issues facing the sport and program (e.g., agents, initial eligibility, pre-enrollment amateurism, etc.).
• Meet jointly with the president, director of athletics and compliance director to discuss the institution's and program's compliance environment and expectations.
• Meet with the coaching and support staff to discuss the head coach's expectations for NCAA rules compliance. Include a written document outlining the head coach's commitment to ethical conduct along with suggested talking points:
  • Program's ethical standards.
  • Expectations for reporting actual and potential NCAA rules issues (e.g., immediate action; reporting lines).
  • Review the president’s, director of athletics' and compliance director's philosophy and expectations for rules compliance.

Expectations for regular communication between the coaching staff and compliance staff.
• Establish a plan for continued dialogue with the staff to discuss the institution's and program's compliance environment and expectations (e.g., regularly scheduled meetings, etc.).
• Establish ongoing dialogue with staff to review any issues involving prospective student-athletes and current student-athletes (e.g., agents, initial eligibility, pre-enrollment amateurism, etc.).

Action Plan: Monitoring.

A head coach also should demonstrate a commitment to compliance through monitoring his or her staff's activities in consultation with the compliance staff. This may include staff meetings with agendas that specifically address compliance issues. The outline below was created to assist a head coach with managing his/her monitoring responsibilities.

• Actively look for red flags of potential violations. For example, if a prospective student-athlete takes an unofficial visit to campus, ask how the prospective student-athlete paid for the trip.
• Ask questions. For example, if a coach is suspicious of a third party or handler being involved in a prospective student-athlete's recruitment, ask questions of the coaching staff about the person. Emphasize the program's ethical standards, set the tone for what is and is not acceptable in dealing with third parties and keep a written record of the conversations.

In consultation with the compliance director, create written procedures to ensure your staff is monitoring your program's rules compliance. Suggested procedures:
• Assign a staff liaison(s) to the compliance staff.
• Assign staff members to monitor specific areas of compliance (e.g., recruiting contacts, initial eligibility, amateurism, telephone contacts).
• Regularly evaluate staff members to ensure their areas of compliance are monitored and that all responsibilities are executed in a timely manner.
• Ensure that the entire program has adequate and ongoing compliance training and that there is a plan in place for discussion of important information.
• Ensure that staff members are consistently attending compliance training.
• Determine reporting lines for resolving actual and potential NCAA rules issues.
• Determine reporting lines to alert compliance staff of issues involving prospective student-athletes and current student-athletes (e.g., agents, initial eligibility, pre-enrollment amateurism, etc.).

Regularly solicit feedback from your staff members concerning their areas of compliance and the program's overall compliance environment in order to ensure that the monitoring systems are functioning properly. Ask the staff where the biggest areas for mistakes or ethical traps exist.

Where is the grey area and how will the staff deal with it?

Updated November 2019
Ensure that the program immediately notifies the compliance staff when concerns or red flags occur related to potential NCAA rules violations. A lack of immediate action by the head coach will be a significant factor in determining whether the head coach met the obligations imposed by Bylaw 11.1.1.1.

Additional Considerations: Documentation.

A head coach should document the ways in which he/she has communicated and/or demonstrated a commitment to compliance and be able to produce documentation relating to the procedures in place for monitoring the program's rules compliance. Potential areas for documentation:

- Meetings with the director of athletics, compliance staff and coaching staff.
- Program's procedures for monitoring and submission of documentation of specific areas of compliance (e.g., practice hours, unofficial visits).
- Reports to compliance of actual and potential NCAA rules issues.
- Monitoring efforts undertaken by the program to ensure that the staff and student-athletes are complying in a timely manner with NCAA rules and compliance obligations. Please note that the ultimate determination of whether a head coach has exercised proper control over his or her program rests with the Committee on Infractions, and a failure to promote an atmosphere of compliance and/or failure to monitor determination will consider the unique facts and circumstances of each case. There is no way to set forth a checklist of items that will in all circumstances prevent a finding. Further, it is important that you consult with your athletics administration and compliance staff for additional guidance on how to tailor the best action plan for your institution.

4.2 NCAA DIVISION I COMMITTEE ON INFRACTIONS CASE PRECEDENT - NCAA BYLAW 11.1.1.1

The following information is a summary of some of the Committee on Infractions decisions that included a finding that the head coach failed to promote an atmosphere of compliance and/or monitor compliance within his or her program and underscore how the action plans may be of use.

Key Takeaways.

1. The head coach and staff have an obligation to report potential rules violations and actual rules violations to the administration.
   - Ask your staff about any red flags in a prospective student-athlete's recruitment or a student-athlete's enrollment and immediately alert compliance.
2. The head coach has an obligation to ensure that his/her program's monitoring systems are operating properly.
3. The head coach and staff have an obligation to consult with compliance staff to determine if their actions are consistent with NCAA rules.
   - Ask compliance staff before acting, especially in areas of grey.
4. The head coach and staff have an obligation to identify situations where circumstances could result in NCAA violations, alert compliance and monitor the situation closely.

Fact Scenarios: Bylaw 11.1.1.1 Violations.

The following information summarizes some of the factors that were noted by the Committee on Infractions in public infractions reports when finding that the head coach failed to meet his responsibilities under Bylaw 11.1.1.1 (previously cited as 11.1.2.1).

1. The head coach and staff knew that an agent/booster had a relationship with an elite prospective student-athlete.
   - The head coach failed to alert the compliance staff and administration of possible improprieties between the agent/booster and prospective student-athlete.
   - The head coach and staff knew of the prospective student-athlete's limited financial resources and did not take any steps to determine whether the relationship between the prospective student-athlete and agent/booster involved violations of NCAA legislation.
   - The Committee on Infractions noted that Bylaw 11.1.1.1 does not require a head coach to investigate wrongdoing, but it does require the head coach to recognize potential problems, address them and report them to the athletics administration.

2. The head coach and staff knew that several incoming two-year institution transfer student-athletes were deficient academically and were taking numerous classes in a short period of time to meet eligibility requirements.
   - The head coach asked his staff only general questions about the prospective student-athletes' progress and did not ask how the prospective student-athletes were supporting themselves, how the prospective student-athletes were traveling around town, how their classes were being paid for and how involved his staff was with the prospective student-athletes.
   - The head coach failed to involve the compliance staff in monitoring the prospective student-athletes' situations.

3. The head coach and staff encouraged a booster/high school coach to assist the program in recruiting and believed that the booster's employment as a high school coach superseded his status as a booster.
   - The head coach failed to consult with compliance to determine whether the booster's actions were permissible.
4. The head coach and staff were told that they could not have any involvement with an on campus non-scholastic event, but the head coach provided the event operator with access to the program's boosters in order to solicit funding for the event.
   - The head coach failed to consult with compliance staff to determine if his interactions with the event operator posed any potential NCAA rules issues.
   - The head coach permitted his incoming assistant coaches to attend the event (during a quiet period) and failed to consult with compliance staff to determine if their attendance was permissible.

5. The institution's men's basketball program's telephone contacts were subject to heightened scrutiny due to past violations.
   - The men's basketball program's system for monitoring telephone contacts was not functioning properly because the coaches were submitting inaccurate information and were not submitting the logs in a timely manner.
   - The head coach had no knowledge that the system was not functioning, and when he was made aware that coaches were not submitting their logs in a timely manner, he failed to resolve the issue with his staff.
   - The Committee on Infractions noted that promoting an atmosphere of compliance requires more than general comments about compliance responsibilities.

Fact Scenarios: Monitoring Expectations.

The following information summarizes some of the monitoring considerations that were noted by the Committee on Infractions in public infractions reports that predate the adoption of Bylaw 11.1.1.1 (2005).

1. The institution failed to monitor a prospective student-athlete, who was living in the university's locale, the summer prior to initial enrollment.
   - The head coach failed to provide the institution with information about the prospective student-athlete that would have facilitated the institution's monitoring efforts.
   - Effective rules compliance demands more than providing rules education and requires actually checking to see whether the staff complies with the rules.

2. A prospective student-athlete received impermissible housing from a current student-athlete the summer prior to initial enrollment.
   - The institution should have monitored the prospective student-athlete's circumstances, particularly as it relates to lodging, because of the heightened possibility for rules violations.
   - The head coach should have inquired about the prospective student-athlete's lodging and determined whether it was permissible.

3. A booster engaged in numerous impermissible contacts with a prospective student-athlete and provided the prospective student-athlete with $4,000 of cash
payments while the prospective student-athlete was residing in the locale of the institution during the summer prior to initial enrollment.

- The monitoring efforts should have included rules education for the prospective student-athlete, and the institution should have formally monitored the prospective student-athlete's presence in the locale of the institution.
- The prospective student-athlete's status as an elite prospective student-athlete should have created a heightened sense of awareness and prompted the institution to increase vigilance and closer monitoring.

4. An international student-athlete, who was a non-qualifier, received cash from the director of basketball operations in order to satisfy financial burdens.

- The Committee on Infractions noted that when an international student-athlete is also a non-qualifier, who is ineligible to receive athletically related financial aid, the institution has a greater responsibility to monitor the student-athlete in order to avoid potential rules violations.
- Although the director of basketball operations concealed the payments and left no "paper trail," the institution does not avoid responsibility to monitor the situation since the institution had other information available to prompt an inquiry (e.g., non-qualifier, international student-athlete).

5. A booster assisted the men's basketball staff in its recruiting efforts by having impermissible recruiting contacts with prospective student-athletes.

- The Committee on Infractions noted that a head coach is expected to recognize potential NCAA violations and report them to the athletics administration.
- The head coach failed to recognize that the individual's promotion of the institution to prospective student-athletes caused him to become a booster of the institution.

4.3 TEAM RULES AND REGULATIONS

Each head coach will publish rules and regulations regarding the general conduct of student-athletes his /her charge. These rules and regulations will cover appearances, practice, classroom attendance, and academic reasonability, punctuality, dress code and general standards of behavior. Student-athletes must be informed that the coaches will enforce appropriate disciplinary action when these standards are not observed (Note: a copy of these should be on file in the Director of Athletics or designee office.).

Policy Statement on Hazing

Hazing has no place within a community of scholars. Therefore, the members of SUNY SYSTEM OF NEW YORK and the UAlbany Division of Athletics affirm a strong stand against having any form of hazing associated with higher education in the State of New York. For more information regarding Hazing, please refer to http://www.albany.edu/stophazing. In the event that a member of the campus community...
becomes aware of any potential hazing incident, he/she has the responsibility to immediately notify a college/university administrator, as well as the appropriate leadership representative of the organization to include students, alumnus and international/national representative, where applicable.

No member or alumnus of the community, acting as an individual or part of a group, shall conduct or condone hazing activities which are defined as any action taken or situation created, intentionally, on or off the premises of the organization and/or educational institution, that would interfere with scholastic and/or work activities, or produce mental or physical discomfort, embarrassment, harassment or ridicule. Any activity as described in this definition shall be presumed forced activity, the willingness of an individual to participate in such activity notwithstanding. Such activities may include, but are not limited to:

- Any use of force of a physical nature, such as whipping, beating, branding, forced calisthenics, exposure to the elements, forced consumption of food, liquor, drug or other substance.
- Any other activity which adversely affects or endangers the physical, mental, emotional health, or psychological well-being and safety of the individual to extreme stress, such as sleep deprivation, forced exclusion from social contact, required participation in public stunts, forced conduct which would result in personal embarrassment or any other circumstance which could adversely affect the mental health or dignity of the individual.
- Any illegal act and/or willful destruction or removal of public or private property.

An individual committing an offense under this anti-hazing policy is subject to disciplinary sanctions in accordance with respective governing bylaws and college/university standards from probation to expulsion if the individual:

- Engages in hazing
- Solicits, encourages, directs, aids, or attempts to aid someone else in hazing
- Intentionally, knowingly or recklessly permits hazing to occur
- Has firsthand knowledge that a specific event has occurred and fails to report that knowledge.

An organization committing an offense under this anti-hazing policy is subject to disciplinary sanctions in accordance with respective governing by-laws and college/university standards from probation to suspension of all rights and privileges if the organization:

- Commits or assists in the commission of the hazing activity
- Condones or encourages hazing
- Has firsthand knowledge that a specific event associated with organization has occurred and fails to report that knowledge.

Situations involving hazing should be reported to a Student Services officer in accordance with campus procedures. Investigation procedures could involve several
additional college/university departments such as Student Judicial Affairs, Public Safety, and Police. An allegation of a hazing incident, reporting of a suspicion that hazing may have occurred, or a request for an investigation of alleged hazing, may be initiated by anyone:

- A person who was directly or indirectly affected by the activity
- A person who assisted in the implementation of the activity.
- Any individual associated with the college/university, or community-at-large, who was a witness to the activity.
- Anyone who has reason to believe that a hazing activity may have occurred.

4.4 NCAA POLICY ON TRANSGENDER PARTICIPATION

The University at Albany Division of Athletics supports diversity and inclusion and includes sexual orientation and gender identity/expression in all policies. All athletic department staff are responsible for creating and maintaining an inclusive and non-discriminatory environment in the areas in which they oversee. All participants in athletics are committed to fair play, inclusion and respect student-athletes to be free to focus on performing their best both athletically and academically.

The Division of Athletics complies with the NCAA Policy on Transgender participation. The complete NCAA Transgender Handbook can be found at www.ncaa.org.

SECTION 5: HUMAN RESOURCES

Welcome to UAlbany, home of the Great Danes! We’re happy you’re joining us. This Policy and Procedures Manual is an all-inclusive guide to help you manage your transition to UAlbany’s Division of Athletics and New York State employment. The University at Albany is committed to fostering a diverse community of outstanding faculty, staff, and students, as well as ensuring equal educational opportunity, employment, and access to services, programs, and activities, without regard to an individual's race, color, national origin, religion, creed, age, disability, sex, gender identity, gender expression, sexual orientation, familial status, pregnancy, predisposing genetic characteristics, military status, domestic violence victim status, or criminal conviction.

In addition to competitive salaries and benefits, UAlbany offers its employees access to University athletic facilities, Libraries, Performing Arts Center, Art Museum, free computer training, free bus services, and other employee programs, resources, and services.

5.1 HOW TO INITIATE A SEARCH

The following procedures must be followed all Part-time and Full-time job searches:
Position Vacancy

The job position vacancy will be created by the Division of Athletics. It is the responsibility of the Search Committee Chair and the Sport Administrator to review and approve the job position vacancy.

The Associate Athletic Director for Business will be responsible for forwarding the following forms to the Budget Office:
- HRM-1 Position Authorization Request Form
- Advertisement & Vacancy Announcement UP-5
- Affirmative Action: U/A Recruitment Plan (diverse search committee)

The approval process can take approximately 10 business days to complete.

Once approval is obtained through the Budget Office, the Office of Diversity and Inclusion (ODI), and Human Resources, the HR Office will post the position on the university website and inform the Search Chair of approval to advertise position.

The Division of Athletics will be responsible for advertising through sport and/or athletic specific websites/publications, as recommended and indicated on the Affirmative Action Plan.

NYS requires a 30-day external posting period before interviewing is allowed. If the position vacancy is above a SL2 pay grade, the position must be posted internally for an additional 10 business days. Once posted, Human Resources will send the Search Committee Chair and committee members the link to Interview Exchange and directions on how to conduct the search and review potential candidates.
- It will be the responsibility of the Search Committee Chair to review and qualify all candidates for the position.
- Search committee members will review resumes and recommend a final pool of candidates to the Search Committee Chair.
- When a pool of candidates is selected, the selected candidates must be sent to ODI for review and approval.
- Once the candidate pool is approved, the search committee can then schedule interviews, via telephone or Skype.

After the initial interviews, the committee must report results to ODI and get prior approval before inviting candidates to interview on-campus. A minimum of two candidates are required for on-campus interviews. **NOTE: No on-campus interviews can be scheduled without the final approval from ODI.**

In lieu of on-campus interviews, the Search Committee Chair can request approval from Human Resources and ODI to conduct Skype only interviews. Human Resources and ODI are the final authority on approving Skype interviews.
Once all candidates are interviewed and the committee recommends a final candidate, the Search Committee Chair must complete the Applicant Flow Analysis and send the final candidate recommendation to ODI for approval to hire. The final recommendation must indicate the reason(s) why the final candidate was selected over the other candidates.

Once approved, the Search Committee Chair, recommends to the Director of Athletics the selected candidate(s) and the Director of Athletics requests permission to hire.

The candidate will receive an official offer letter from the Director of Athletics. Once signed and returned to the Athletic Director’s office, Human Resources will send the candidate a Packet of Information to be completed.

Once the Packet is returned, it is forwarded to the Budget office and the candidate’s information is entered into the UAlbany system. This process may take up to two (2) weeks to complete.

**IMPORTANT:** When an offer is made to a candidate, the official start date must be a minimum of 14 days after the offer letter for the candidate to be approved in the system and to begin work.

The Division of Athletics Human Resource Representative will send to the Athletic Media Relations office the hire announcement for internal release.

Athletics will schedule a meet and greet with the new employee when they arrive on campus after the first official work day.

**On-Campus Interview Business Procedure**

The Division of Athletics may provide or reimburse round-trip coach airfare, lodging, and meal per diem for each candidate during the interview process. Prior to making any travel arrangements, contact the ICA Human Resources Department to ensure that all appropriate approvals and documentation has been received.

**NOTE:** For your protection do not purchase / make any arrangement for a candidate using personal funds as the expenses may not be reimbursable.

The final candidate will be required to attend a Human Resource Orientation to complete necessary employment documents and schedule a mandatory benefits orientation with UAlbany Human Resources. The orientation will cover such areas as medical insurance, retirement options, parking campus guides, etc.

**Moving Allowances**

Moving allowance is paid at maximum rate of $3,000.00.
In accordance with Internal Revenue Service regulations, all moving allowances are reportable and taxable as income. Taxes will vary according to employee’s tax bracket. Taxes will be deducted from employee’s first or second paycheck.

**Employee Equipment**

Keys – Employee’s supervisor will determine what keys are necessary and authorize their distribution. Keys remain the property of management and must be returned upon request of management or separation of employment.

University Credit Card – provided for employee business-related travel purposes.

Cellular Phones – Will be provided to all Head Coaches and may be provided to other UAlbany Department staff members when necessary for performance of job duties.

**New Employee**

Forward the following forms to Human Resources (UAB 300):

HRM-2 Appointment Request Form along with following Appointment Packet Forms filled out by new employee:
- Affirmation of Initial Service
- Employee Access and Compliance Agreement (EACA)
- Employment Eligibility Verification – Form I-9
- Employee Identification Questionnaire
- Form IT-2104 (NYS) Employee’s Withholding Allowance Certificate
- Form W-4 (Federal) Employee’s Withholding Allowance Certificate
- Professional Background Information & Vita Form (AP-4)
- Oath Card
- Officers Law
- Verification of Employee Credentials
- Volunteer Employee Applications [https://www.albany.edu/hr/assets/VOL-2.pdf](https://www.albany.edu/hr/assets/VOL-2.pdf)

Once this paperwork is submitted a letter of appointment will be generated by HR and signed by the President. Department is not allowed to generate employment letters, this must come from HR. HR will then forward Benefit Package to new employee with all pertinent choices. Please refer to HR website to review benefit options at: [http://www.albany.edu/hr/benefits.php](http://www.albany.edu/hr/benefits.php)

**New Employee Checklist for Getting Settled:**

- Complete employee information paperwork
- Request Computer for workstation
- Request laptop for on the road
- Request business cards
- Request cell phone

*Updated November 2019*
✓ See business office representative regarding travel cards

**Once in PeopleSoft/Outlook**
✓ Establish mainframe logon ID
✓ Employee ID #_________________
✓ Go to SUNY Card (in Campus Center) to get Employee ID card
✓ Go to Parking Management and register car for parking permit
✓ Get office keys

**Ensure Workstation is Fully Functional/Supplied**
✓ Department telephone contact sheet/phone numbers
✓ Office supplies
✓ Policy manual
✓ Phone/computer

**Recording Leave Time (Vacation & Sick)**

Recording leave time (vacation & sick) – At the conclusion of each month every employee must record his/her leave via MyUAlbany web page at: [http://www.albany.edu/myualbany/](http://www.albany.edu/myualbany/)

Other questions refer to Payroll website at: [http://www.albany.edu/hr/payroll.php](http://www.albany.edu/hr/payroll.php)

Please explore the Human Resource website at: [http://www.albany.edu/hr/index.php](http://www.albany.edu/hr/index.php) for everything you wish to know regarding employment at UAlbany.

### 5.2 EMPLOYEE BENEFIT SUMMARY

Both full and part time employees are eligible for a variety of benefit options including health, dental, and vision insurance, flexible spending accounts, and long term-care insurance. Employees may also be eligible for disability benefits and life insurance either through the University or through their union. See the Benefits Summary for a complete listing of benefit options, eligibility, and coverage effective dates.

In addition to these benefits, both full and part time employees are eligible for paid leave, retirement options, tuition programs, and training programs. Use the link below to access information regarding the following:

- Paid Leave
- Retirement Options
- Tuition Programs
- Training Programs

[https://www.albany.edu/hr/index.php](https://www.albany.edu/hr/index.php)
United University Professionals Union

All employees within the Division of Athletics are encouraged to join the United University Professionals (UUP) Union. Bi-weekly dues will be taken from your paycheck to ensure a number of employee benefits, please explore them at: http://uupinfo.org/

5.3 UNIVERSITY AT ALBANY NONDISCRIMINATION NOTICE

Pursuant to University policy, the University is committed to fostering a diverse community of outstanding faculty, staff, and students, as well as ensuring equal educational opportunity, employment, and access to services, programs, and activities, without regard to an individual’s race, color, national origin, religion, creed, age, disability, sex, gender identity, gender expression, sexual orientation, familial status, pregnancy, predisposing genetic characteristics, military status, domestic violence victim status, or criminal conviction. Employees, students, applicants or other members of the University community (including but not limited to vendors, visitors, and guests) may not be subjected to harassment that is prohibited by law, or treated adversely or retaliated against based upon a protected characteristic.

The University’s policy is in accordance with federal and state laws and regulations prohibiting discrimination and harassment. These laws include the Americans with Disabilities Act (ADA), Section 504 of the Rehabilitation Act of 1973, Title IX of the Education Amendments of 1972, Title VII of the Civil Rights Act of 1964 as Amended by the Equal Employment Opportunity Act of 1972, and the New York State Human Rights Law. These laws prohibit discrimination and harassment, including sexual harassment and sexual violence.

Inquiries regarding the application of Title IX and other laws, regulations and policies prohibiting discrimination may be directed to Dr. Tamra Minor, Title IX Coordinator, Chief Diversity Officer & Assistant Vice President, Office of Diversity and Inclusion, University Hall 207, 1400 Washington Avenue, Albany, New York 12222; tminor@albany.edu; PH 518-956-8110; FX: 518-956-8111. Inquiries may also be directed to the United States Department of Education’s Office for Civil Rights, 32 Old Slip 26th Floor, New York, NY 10005-2500; PH 646-428-3800; OCR.NewYork@ed.gov.

5.4 REQUIRED READING AND UNIVERSITY WEBSITES OF INTEREST

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<thead>
<tr>
<th>REQUIRED READING</th>
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<tbody>
<tr>
<td>Clery Report</td>
<td><a href="http://police.albany.edu/asr.htm">http://police.albany.edu/asr.htm</a></td>
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</tbody>
</table>

Updated November 2019
<table>
<thead>
<tr>
<th>(Annual Security Report regarding crimes that have occurred on campus)</th>
<th>or call the Campus Police at 442-3130</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employee Policies and Procedures (alcohol/drugs/smoking in the workplace)</td>
<td><a href="https://www.albany.edu/hr/empl-policies.php">https://www.albany.edu/hr/empl-policies.php</a></td>
</tr>
<tr>
<td>Internal Control Program (a statewide system of productivity and accountability)</td>
<td><a href="http://www.albany.edu/internalcontrol/">www.albany.edu/internalcontrol/</a></td>
</tr>
<tr>
<td>New York State Ethics Law</td>
<td><a href="https://jcope.ny.gov/ethics-laws-and-regulations-0">https://jcope.ny.gov/ethics-laws-and-regulations-0</a></td>
</tr>
</tbody>
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**UNIVERSITY WEBSITES OF INTEREST**

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<thead>
<tr>
<th>Athletics (recreation facilities, sporting events, group exercise programs)</th>
<th><a href="http://www.ualbanysports.com/">www.ualbanysports.com/</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>UKids - Campus Children’s Center (on-site day care)</td>
<td><a href="http://www.albany.edu/ukids/">http://www.albany.edu/ukids/</a></td>
</tr>
<tr>
<td>Employee Assistance Program (health, wellness, and self-enhancement programs; confidential personal assessment and referral service)</td>
<td><a href="http://www.albany.edu/eap/">www.albany.edu/eap/</a></td>
</tr>
<tr>
<td>New York’s 529 College Savings Program</td>
<td><a href="https://www.nysaves.org/">https://www.nysaves.org/</a></td>
</tr>
<tr>
<td>Office of Diversity and Inclusion</td>
<td><a href="http://www.albany.edu/diversityandinclusion/">www.albany.edu/diversityandinclusion/</a></td>
</tr>
<tr>
<td>Office of Environmental Sustainability (UAlbany Green Scene) (implementation and coordination of responsible environmental programs)</td>
<td><a href="http://www.albany.edu/gogreen/">www.albany.edu/gogreen/</a></td>
</tr>
<tr>
<td>Responding to Students in Crisis</td>
<td>On MyUAlbany under Policies and Procedures</td>
</tr>
<tr>
<td>Tuition Waiver Programs</td>
<td><a href="http://www.albany.edu/hr/tuition.php">http://www.albany.edu/hr/tuition.php</a></td>
</tr>
<tr>
<td>University Bookstore</td>
<td><a href="https://albany.bncollege.com/shop/albany/home">https://albany.bncollege.com/shop/albany/home</a></td>
</tr>
<tr>
<td>Work-Life Services</td>
<td><a href="http://www.worklife.ny.gov">http://www.worklife.ny.gov</a></td>
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<tr>
<td>• NYS-Balance</td>
<td><a href="http://www.nysbalance.ny.gov/">http://www.nysbalance.ny.gov/</a></td>
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<tr>
<td>• Flex Spending Account</td>
<td><a href="http://www.flexspend.ny.gov">http://www.flexspend.ny.gov</a></td>
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<td>• NYS-Ride</td>
<td><a href="http://www.nysride.com">http://www.nysride.com</a></td>
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<tr>
<td>• Pre-Retirement Planning</td>
<td><a href="http://www.albany.edu/hr/retire.php">http://www.albany.edu/hr/retire.php</a></td>
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</table>
Employees may also contact the Human Resources Office at 518/437-4700, or review these and more at the OHRM website on MyUAlbany.

5.5 AFFIRMATIVE ACTION POLICY

It is the policy of the University at Albany to provide equal opportunity in education, employment and upward mobility for all qualified persons, to prohibit discrimination in employment because of age, color, handicap, marital status, national origin, race, religion, sex or sexual orientation, and to promote the full realization of equal employment opportunity through a positive, continuing, result-oriented program of affirmative action throughout the University. This policy includes, but is not limited to, requirements of Federal Executive Orders 11246 and 11375 as amended, the Equal Employment Opportunity Act of 1972, the State of New York Executive Law (Human Right Act), the Equal Employment Opportunity Plan, University at Albany Title IX of the Education Amendments of 1972, 503 and 504 Regulations of the Vocational Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990.

In support of this policy, the University affirms its right to take appropriate action if it or other duly constituted authorities should determine that applicable federal and state equal employment opportunity laws and regulations have been violated, or that the effect and intent of their policy have been willfully and/or habitually abrogated.

The Research Foundation for SUNY’s Affirmative Action Policy is the same as this general policy of the University at Albany, SUNY. Questions pertaining to Affirmative Action Policies and Affirmative Action Requirements for the Recruitment of all Research Foundation employees should be directed to:

The Associate Director for Affirmative Action Admin. 301 442-5415
Equal Employment Opportunity:
http://www.albany.edu/hr/assets/Nondiscrimination-Notice.pdf

Links to Federal & NYS Laws regarding employment:
http://www.albany.edu/diversityandinclusion/laws.php

5.6 SEXUAL HARASSMENT POLICY

https://www.albany.edu/diversityandinclusion/sexual_harassment_policy.php

Updated November 2019
5.7  UALBANY ALCOHOL AND DRUG FREE WORKPLACE STATEMENT

Policy on Alcohol and Drug Free Work Environment
http://www.albany.edu/hr/assets/Alcohol.pdf

UAlbany Alcohol Policy
1. Serving Alcohol at University Events
2. Faculty Staff Alcohol and Drug Use in the Workplace
3. Student Alcohol Use
4. Summary of Guidelines
5. Enforcement with Students
6. Alcohol Use Registration Form
7. Local Policy Administrators

Policy to Serve Alcohol at University Events

The University adheres to and enforces all federal, state and local laws concerning alcohol. Alcohol may only be sold and/or served at pre-approved University events where the Alcohol Use Registration Form has been approved by the Alcohol Administrator for that facility.

Any University event at which alcohol is sold or served requires authorization from the NYS Liquor Authority. The sale and serving of alcoholic beverages under the terms of State law and University policy is permitted at the licensed premises of Sodexo in the Campus Center and by extension of that permit, temporary permits may be issued for Sodexo catered events only. Any alcoholic beverages sold or served outside the Campus Center require a special liquor permit from the NYS Liquor Authority. This includes events or performances where tickets are sold and alcohol is provided free of charge or in exchange for a purchased ticket. This permit must be secured through Sodexo for their catered events only and arranged at least four weeks in advance in order to allow time for the State permit to be issued to Sodexo. All outside caterers must provide UAS with their own approved NYS Liquor Authority authorization.

Sponsor(s) of University events where alcohol is served assume full responsibility for the enforcement of all laws and university policies regarding the consumption of alcohol. This includes:
   a. Serving non-alcoholic beverages and food at events;
   b. Double proof of age required and must be presented to the designated “responsible person” as stated on the Alcohol Use Registration form. Acceptable forms of proof include a valid driver’s license, a passport or Visa, and a US military ID. A laminated ID card from another University/College and a Sheriff’s ID ARE NOT acceptable forms of identification.
Employee Alcohol and Drug Use in the Workplace

The Office of Human Resource Management provides information regarding employee use of alcohol and drugs use in the workplace at http://www.albany.edu/hr/assets/Alcohol.pdf.

Student Alcohol Use

- No student under the age of twenty-one may possess or consume alcoholic beverages anywhere on campus.
- Alcoholic beverages are not permitted in any freshman designated housing. These areas are designated as alcohol free. See http://www.albany.edu/housing/license.shtml
- For students twenty-one years or older and their guests in non-freshman areas no individual may possess more than 12, 12 oz bottles/cans of beer (or the equivalent), or one liter of hard liquor or wine at one time.
- The following are prohibited under the University alcohol policy: binge drinking, driving under the influence, kegs and beer balls, whether empty or full, tapped or untapped, spiked punch, Jello shots containing alcohol, drinking games or any behavior that encourages or contributes to excess alcohol consumption, carrying open containers in any public area of campus, possessing, consuming and storage of alcohol are prohibited in all public areas, e.g. lounges, hallways, stairwells, common bathrooms, or outdoor areas.
- Alcohol and Other Drug Education and Prevention Services and Programs are available at: http://www.albany.edu/counseling_center/drugs.shtml
- The Incident Sanction Protocol found in the University alcohol policy identifies a series of prohibited alcohol and other drug behaviors and the sanctions for first offense and any subsequent offense. https://www.albany.edu/studentconduct/assets/Community_Rights_and_Responsibilities_August_30_2019.pdf
- Parents of students under the age of twenty-one are notified in writing of any alcohol/drug violations by their sons or daughters.

Summary of Guidelines

Alcohol may only be consumed in University facilities in compliance with this policy. An alcohol approved University events one where the Alcohol Use Registration Form is filled out and approved by the Alcohol Administrator for that building. Events at which alcoholic beverages are served and which are not under the jurisdiction of a specific local alcohol policy administrator require an "Alcohol Use Registration Form" to be filed with the Assistant Vice President for Student Success, University Hall 206. The form can be found in the MYUAlbany portal under “Policies and Procedures”.

Updated November 2019
Under New York law, only persons twenty-one (21) years of age or older are legally entitled to purchase, be sold, given, or served alcohol. A person under 21 years of age may not possess or consume alcoholic beverages at any time on the University campus.

Under New York law, persons under the age of 21 are prohibited from possessing any alcoholic beverages with intent to consume the beverage. Violators are subject to a fine up to $50.00 per offense. Authorized law enforcement personnel may seize alcoholic beverages involved in alleged violations of this law.

New York law further provides that any person, other than a parent or guardian, who purchases alcohol for, procures for, or gives alcohol to anyone under 21 years of age is guilty of a misdemeanor.

Under New York law, anyone under 21 years of age who uses fraudulent proof of age to obtain alcohol is guilty of a misdemeanor. This violation is punishable by a fine of up to $100.00 and a community service requirement of up to thirty (30) hours.

Under New York law, anyone who is apparently intoxicated or who is behaving in an intoxicated manner may not be served alcohol.

A substantial part of the University at Albany is in the City of Albany and is subject to its open container law. Thus no open container of an alcoholic beverage is permitted on the campus, except at approved University events as described in #1 above.

Any event on the UAlbany campus at which alcoholic beverages are sold and/or served requires a permit from the New York State Liquor Authority and approval from Sodexo, the UAlbany food service provider contracted with UAS, unless Sodexo is providing and serving the alcohol itself. The sale and serving of alcoholic beverages under the terms of State law and University policy is permitted at the licensed premises of Sodexo in the Campus Center and by extension of that permit, temporary permits may be issued for Sodexo catered events only. Any alcoholic beverages sold and/or served outside the Campus Center require a special liquor permit from the NYS Liquor Authority. This includes events or performances where tickets are sold and alcohol is provided free of charge or in exchange for a purchased ticket. If Sodexo is not providing and serving the alcohol, the permit must be secured through the NYS Liquor Authority and provided to Sodexo as part of the documentation to obtain approval for the event. At least three weeks is required to obtain an approved NYS Liquor Authority permit.

Under New York law, a person under the age of 21 who presents an altered New York State driver's license for the purpose of illegally purchasing an alcoholic beverage may be subject to a suspension of that driver's license for up to ninety (90) days and may also be required to apply to the Department of Motor Vehicles for a restricted use of driver's license following the suspension.
Sponsor(s) of University events at which alcohol is served assume full responsibility for the enforcement of all federal, state and local laws and University policies with respect to the consumption of alcohol. This responsibility includes:

Serving appropriate amounts of non-alcoholic beverages and food at events where alcohol is served.

Double proof of age is required and must be presented to the appropriate “responsible person” as designated on the Alcohol Use Registration Form at all functions where alcoholic beverages are served and students are present. The following are acceptable forms of proof: valid driver's license; a U.S. military ID; a passport/Visa.

Note: a laminated ID card from a University/College and a Sheriff’s ID are NOT valid forms of identification.

Camp Dippikill consists of 850 acres in Warrensburg, NY owned and operated by the Student Association. Alcohol use at Camp Dippikill is subject to all federal, state and local laws and University policies with respect to the consumption of alcohol. Administration of this policy is the responsibility of the Student Association and the Director of Camp Dippikill. No alcohol may be sold by any organization on this property.

The University at Albany Foundation (UAF) East Campus is insured by private carriers which includes host liquor liability for events and requires any outside vendor who provides catering to issue the UAF a certificate of liability insurance. Events require approval by the UAF East Campus Operations Manager including submission of a NYS Liquor Authority Permit which must be submitted to the Operations Manager five business days prior to the scheduled date of the event.

Driving under the influence of alcohol on University property is prohibited and violators will be subject to arrest.

The Vice President for Student Affairs is responsible for implementing and interpreting the alcohol use policy. Inquiries should be directed to: Assistant Vice President for Student Affairs.

Alcohol Policy Enforcement with Students: How to Implement

Issue

Within University policies and regulations, the University at Albany permits students of legal drinking age to possess and consume alcoholic beverages. However, individuals under 21 years of age may do neither.

Expectation

Updated November 2019
University faculty, administrators and paraprofessional staff (herein referred to as University officials) are expected to clearly explain to students what action will be taken in dealing with alcohol policy violations.

When encountering instances of alcohol policy violations, University officials are expected to confront the violators. Information should be provided as to what behavior is inappropriate and what the individual is expected to do to be in compliance with the campus alcohol policy. If the individual is cooperative and complies with the request, the incident may be considered resolved. If the individual is uncooperative or refuses to comply, the local alcohol policy administrator responsible for the building or should be contacted. If the policy administrator is unavailable or the individual continues to be uncooperative, the University Police should be summoned. The University Police will formally identify the violator and state the campus expectation for compliance with the University alcohol policy. In such cases the individual will be referred to the Office of Community Standards. The University Police reserve the right to arrest, or issue a summons to appear in court on appropriate charges if such action is deemed necessary.

Violations

In order to provide a common base of understanding, it is important to define the prohibitive behaviors which the campus considers violations of the alcohol policy. Consistent with New York law and the campus alcohol policy, the following instances would be in violation:

- Individuals Under 21 years of age possessing or consuming alcoholic beverages.
- Individuals 21 years or older providing, directly or indirectly, alcohol to persons under 21 years of age.
- Anyone having alcohol in public areas without an open container permit and proper campus authorization.
- Possession and/or use of bulk containers except as allowed by provisions in the campus alcohol policy.

Staff Directives to Violators

Violators are to be instructed to dispose of the alcohol by means other than consuming it. Students may either pour the alcohol out on their own or give it to a staff member to pour out. When students pour alcohol out themselves, a University official should accompany the student to ensure proper disposal. Students are not to dispose of alcohol by consuming it, throwing it in a trash can or giving it to another person who may be 21 years of age. The University officials should ask the students if they intend to comply with the request. If the students are cooperative, they can proceed to dispose of the alcohol. Internal departmental procedures for communicating and documenting such incidents should take place. Use your professional judgment as to when to refer incidents to the campus judicial system for appropriate sanctioning. If the students are uncooperative or refuse the official’s request, the local alcohol policy administrator or
University police should be summoned for assistance. In such instances, it is expected the student(s) will be referred to the Office of Community Standards for alleged violation of the alcohol policy as well as non-compliance with the University Official.

**Note:** If University officials encounter an unauthorized bulk container (e.g. beer ball, box of wine, kegs) it should be removed to an area where it can be drained. Once it is drained the container and tapping equipment, as appropriate, should be returned to the students.

**If the students refuse to drain the bulk container, the University Police should be summoned immediately.**

The University at Albany State of New York Alcohol Registration Form should be faxed to Clarence L. McNeill at (518) 956-8141.

Local Alcohol Policy Administrators

**Building/Area Administrator**

Arts and Sciences Dean's Office, College of Arts & (Social Science, Humanities, Biology, Science Chemistry, Earth Science, Physics, Elizabeth Gaffney academic areas in Fine Arts, & CAS functions in Bus. Admin. Bldg.); Life Science Bldg. Education Dean’s Office, School of Education: Mary Murphy
Management Services Center: Merissa Mabee
School of Business Dean's Office, School of Business: Donald Siegel
University Hall Vice President's Office, Student Success: Clarence L. McNeill
Physical Plant Physical Plant Office: (all facilities and grounds under John Giarrusso Physical Plant)
Library, Science Library, Dewey Lib. University Libraries Office (include all basement areas): Mary Casserly
Performing Arts and Page Hall Performing Arts Center Office: Patrick Ferlo
Art Museum Art Gallery Office: Janet Riker
Campus Center Campus Center Management: R. Scott Birge
Podium, LC’s, Grounds Student Involvement & Leadership: Michael Jaromin
SEFCU Arena & PE Building Athletics: Mark Benson AD
Downtown Campus: Jennifer Watson
East Campus School of Public Health: Deborah Oriola
Alumni House Alumni: Lee Serravillo
Boor Sculpture Studio Professor: Edward Mayer
All Others Clarence L. McNeill

5.8 **CONSENSUAL RELATIONSHIP POLICY**

The Division of Athletics prohibits romantic or sexual relationships between members of the university community when one of the individuals involved has direct professional
influence or direct authority over the other. In that circumstance, both the university and the person in the position of influence are vulnerable to charges of sexual harassment from the person in the position of lesser power and/or by third parties. Consensual relationships existing between individuals -- neither of whom has direct professional influence or authority over the other -- are not prohibited by this policy. A member of the university community is considered to have direct professional power or direct authority over another individual when he or she is in the position to do any of the following:

- Supervise a student in any capacity, including evaluating any academic work, assigning grades, academic advising, formal psychological counseling, or serving on thesis, dissertation, of scholarship committees;
- Influence a student's employment, graduate assistantship, housing, participation in athletics or any other university activity;
- Supervise and/or evaluate the work performance of a member of the faculty or professional or classified staff;
- Recommend or award merit or promotions to a member of the faculty or professional or classified staff;
- Serve on promotion or tenure committees.

When a romantic or sexual relationship exists, both parties involved may be subject to disciplinary action. Both parties are equally responsible for reporting the existence of the relationship to the appropriate supervisor at the beginning of the relationship. A self-report will be kept confidential by the supervisor unless university policy requires him/her to divulge it. Once the university administration learns of a romantic or sexual relationship, whether through self-reporting or otherwise, it will take immediate steps to eliminate the power and authority of the one individual over the other.

This may be accomplished by reassigning duties or responsibilities or requiring withdrawal from a committee. If the individuals involved fail to comply with this policy, or if the relationship is not self-reported, the university may impose additional disciplinary procedures. Persons bringing groundless or malicious charges under this policy are subject to disciplinary action for personal misconduct under the appropriate faculty/staff personnel policies or the Student Conduct Code.

5.9 SMOKING POLICY

It shall be University policy that smoking is prohibited in all areas of University buildings except in residence halls which are governed by residence licenses and New York State law. In addition, smoking is prohibited within 30 feet of exterior ventilation intakes and is prohibited within 10 feet of building entrances, open windows, and in all exterior stairwells.
This prohibition against smoking covers all academic, administrative, recreational, and all other buildings, and includes lobbies, stairwells, hallways, the tunnels, the walkway between Husted and Richardson, employee lounges and restrooms, all food service areas, all restricted work areas, and all other interior areas not specifically referred to in this policy.

The University administration, after consultation with relevant governance bodies, may establish additional limitations on smoking on University grounds in order to assure that interior areas remain smoke-free.

Provisions shall be made for the enforcement of this policy.

The University Senate shall establish an advisory committee on smoking as a subcommittee of the University Life Council. The Advisory Committee shall consist of members of the University Senate, the University administration, and student and union leaders. The Advisory Committee shall be charged with providing guidance to the Administration on implementation of the policy, making recommendations concerning educational materials and programming, and making recommendations concerning enforcement of the policy including the imposition of penalties. The Advisory Committee shall further be charged with regularly reviewing the policy and recommending changes as needed.

5.10 **AMERICAN DISABILITY ACT (ADA) POLICY**

Please refer to [http://www.albany.edu/hr/assets/ADA-Policy-and-Procedure.pdf](http://www.albany.edu/hr/assets/ADA-Policy-and-Procedure.pdf) for the Policy and Procedure to Request a Reasonable Accommodation for University Employees and Applicants.

Or for further information or questions regarding this policy, please call the Office of Human Resource Management at 518-437-4700.

5.11 **UNIVERSITY AT ALBANY HIV POLICY STATEMENT**

Case by Case Decision Making” Regarding Employee/Student with HIV Infection

1. If an employee or student discloses to another employee, supervisor, fellow student or faculty member that he/she has tested positive for HIV antibody or has been diagnosed with AIDS that information must be kept confidential unless the individual has given written permission for further disclosure.

2. If an employee/student with HIV infection requests changes in job responsibilities or student activities due to HIV infection or a person to whom the infected employee/student has disclosed that fact feels changes are necessary an Evaluation Committee will be convened to review the situation and make recommendations. The identity of the employee/student with HIV infection

*Updated November 2019*
should not be disclosed to the Evaluation Committee. However, the individual with HIV infection may choose to appear before the Committee and may have any individual or materials he/she wished present to represent his/her position.

Within the limitations imposed by confidentiality the Evaluation Committee may request any information that would facilitate its review.

**The Evaluation Committee Will Be Composed Of**

1. In the case of an employee the person requesting reassignment of employee or in the case of a student the faculty member, chairperson, director or dean requesting changes in the student’s activity.
2. Employee’s/student’s personal physician
3. Consulting physician with expertise in the care and treatment of HIV infection
4. UAlbany representative with expertise in issues of HIV infection. This person will be the HIV/AIDS CAMPUS COORDINATOR.
5. Director of Personnel in the case of professional and classified staff. Vice-President for Student Services in the case of a student.

**Process of How Evaluation Committee May Be Convened**

1. The faculty member, staff member or student with HIV infection, or his/her designated representative may request a meeting. The designated representative should not disclose the identity of the infected person.
2. The infected employee’s supervisor who is requesting a reassignment may request a meeting if the employee has given written permission to do so. The identity of the employee should not be disclosed.
3. The faculty member or University administrator who is requesting a change in a student’s activities may request a meeting if the student has given written permission to do so. The identity of the student should not be disclosed.
4. All requests for meetings will be forwarded to the UAlbany Campus Coordinator who will serve as UAlbany’s representative on the Committee and will:
   a. Notify committee members of a meeting.
   b. Identify the consulting physician with expertise in the care and treatment of individuals with HIV infection.
   c. Convene and chair the meeting.
   d. Acquire additional information as necessary for the committee to deliberate and make recommendations.
   e. Prepare and forward the committee’s recommendations to the President in the case of a professional staff member or student; or to the Director of Personnel in the case of a classified staff member.

After reviewing the employee’s/student’s situation the Evaluation Committee will make recommendations regarding the reasonable accommodation to be made:

a. In the case of a professional staff member or student the recommendation will be forwarded to the President.

b. In the case of a classified staff member the recommendation will be forwarded to
the Director of Personnel.

**Appeal Process**

a. Professional staff and students shall appeal directly to the President.
b. Classified staff and student shall appeal according to procedures specified by Human Resources.

5.12 **NEPOTISM POLICY**

**Athletics Guideline for Hiring and Supervision of Employees and Volunteers**

New York State Public Officers Law specifies that New York State agencies, under which state funds are made available to the agency, contain specific requirements for the administration of these funds in order to preclude "conflict of interest" practices, that is, practices where there seems to be evidence that responsible officials have afforded their relatives preferential treatment in hiring and promotion. The University at Albany’s policy does not preclude the employment of two or more members of the same family. However, an employee of the University may not officially approve nor recommend the appointment, reappointment, promotion, or salary adjustment of a relative.

Applicable NY State Public Officers Law (laws and regulations regarding the application of Public Employees Ethics Laws for NY State Employees); section 74:

No officer or employee of a state agency, member of the legislature or legislative employee should use or attempt to use his official position to secure unwarranted privileges or exemptions for himself or others.

No officer or employee of a state agency, member of the legislature or legislative employee should engage in any transaction as representative or agent of the state with any business entity in which he has a direct or indirect financial interest that might reasonably tend to conflict with the proper discharge of his official duties.

An officer or employee of a state agency, member of the legislature or legislative employee should not by his conduct give reasonable basis for the impression that any person can improperly influence him or unduly enjoy his favor in the performance of his official duties, or that he is affected by the kinship, rank, position or influence of any party or person.

An officer or employee of a state agency, member of the legislature or legislative employee should endeavor to pursue a course of conduct which will not raise suspicion among the public that he is likely to be engaged in acts that are in violation of his trust.
To ensure full disclosure, the hiring process for all Division of Athletics positions including paid employees, volunteers, graduate assistants and interns, requires that prior to employment, the appointment of a family member must be disclosed in writing to the Director of the Athletics and the Associate Athletic Director for Business. Additionally, if there is any familial relationship or potential conflict of interest, the employee shall recuse themselves from the hiring process. The term “family member” shall mean such individual’s spouse, child, stepchild, stepparent, or any person who is a direct descendant of that individual’s grandparents or the spouse of such descendant. In the event that a family member is hired within the same department, the new employee shall be supervised by another individual within the Division of Athletics as determined by the Director of Athletics.

Community Standards
https://www.albany.edu/communitystandards/

Clery Compliance:
http://police.albany.edu/Clery.shtml

5.13 EMPLOYEE ASSISTANCE PROGRAM

To help meet its commitment of promoting a community-oriented work environment, the University at Albany believes in the great benefits of the Employee Assistance Program (EAP). The overarching goals of EAP are to offer support to employees and to promote a healthy state of mind and well-being - both in and out of the workplace.

Through its efforts, EAP provides quality health, wellness, and self-enhancement programs. University and Research Foundation employees, their family members, retirees and GSEU members can take advantage of EAP's free, confidential Personal Assessment and Referral Service. Wellness Programs offered throughout the year provide employees with numerous experiences, ideas, and resources to support health and well-being. EAP strives to enhance the maintenance of a healthy and productive workforce.

Our mission is to be utilized and recognized as a resource for developing strengths and resiliency within the University community.

5.14 SEPARATION OF EMPLOYMENT

- During separation of employment the following steps are required to ensure that the maximum contractual benefits are received:
- If an employee chooses to separate prior to his/her contract expiration date, the employee must notify the department as soon as possible. Department will notify the UAlbany Human Resources Office to start clearance process.
- If the department is initiating employment separation, they will notify the UAlbany Human Resources Office to start clearance process. Notice and details
of the separation will be provided in writing in accordance with the employment contract terms.

- Accrued annual leave days must be used in accordance with the notice and details of employment contract separation.
- Cars, keys, cellular phones, credit cards and all other UAlbany property and equipment must be returned as requested by supervisor or during the clearance process.
- Clearance Process must be completed before a final paycheck will be issued. UAlbany Human Resources will schedule employee for separation appointment with UAlbany Human Resources Department. Final pay will be issued on the regular payroll date.

5.15 EVALUATION PROCESS FOR DIVISION OF ATHLETICS EMPLOYEES

Employees of the Division of Athletics shall be evaluated at least once annually by department chairs, supervisors, or heads of administrative units. Procedures for evaluation shall be established in institutional bylaws.

5.16 UNIVERSITY AT ALBANY MERIT AWARD POLICY

General Statement

An award of merit is expected to recognize the person who has (1) performed at least “satisfactorily” in the areas for which the person is evaluated and (2) is considered meritorious in at least one of those areas. Merit awards are specifically not to be confused with inequity adjustments.

Merit award recommendations will be made by the employee’s department head/manager, received and approved by the appropriate vice president or cabinet officer, and submitted for final approval to the president.

Merit awards are not an entitlement and will be based on the meritorious performance and contributions of the employee.

Eligibility

Eligible employees may be granted merit awards, if funds are allocated by the legislature. All employees are eligible for merit except:

- New employees, the first twelve (12) consecutive months of University employment in the same position
- Employees designated as temporary
- Employees who are part-time employees appointed at less than 50% FTE
The supervisor and/or department head is responsible for informing the employee that he or she will not be eligible for a merit award during the first year of University employment.

A proposed merit award which will place an employee either initially above or additionally above the top of a current salary range must have prior written authorization for the president.

**Division of Athletics Merit Award Criteria**

To qualify for a merit award, the employee must qualify under the terms and conditions outlined in the Merit Policy.

Coaches and Administrative Staff with bonuses in their contracts will not be considered for merit.

Once a list of eligible merit award recipients is created, the Division of Athletics Senior Administrators will review the list of eligible employees based on department criteria. The department criteria include consideration for:

**Coaching Staff**
- Sports Program Advancement
- Academic Achievement
- Fiscal Responsibility
- Competitive Success

**Coaching and Non-Coaching Staff**
- Contribution to UAlbany Department Advancement
- Compliance with NCAA, Conference, and UAlbany Division of Athletics rules, policies and procedures
- Academic and/or fiscal contributions
- Contribution to UAlbany Division of Athletics community representation
- Contribution to UAlbany sport program(s) competitive success.

**SECTION 6: ATHLETIC BUSINESS OFFICE POLICIES AND PROCEDURES**

**6.1 MISSION STATEMENT**

The Division of Athletics Business Office primary function is to support the business operations associated with running a Division I athletics program. At all times, the Business Office is committed to supporting and upholding the University at Albany’s institutional mission. The Business Office will ensure that all New York State laws and regulations are adhered to with respect to procurement, accounting, and internal controls.
Additionally, the Business Office will operate in accordance with NCAA, conference, and departmental policies and bylaws.

6.2 OVERVIEW OF OPERATIONS

The primary functions of the Athletics Business Office are as follows:
- Budget Management
- Transactions/Purchases
- Accounts Payable
- Accounts Receivable
- Contract Maintenance
- Travel Coordination
- Coordination of IT purchasing and service tickets

6.3 BUDGET

Overview

The Division of Athletics Business Office reviews and processes the daily transactional and business matters that support all functions and activities of the Division of Athletics. A primary function of the Business Office is to administer the annual Athletics budget in collaboration with coaches, sports administrators, program directors, department heads, the Director of Athletics and the campus Intercollegiate Athletics Advisory Board (IAAB). In addition, the Business Office has oversight and provides direct assistance on the regular administrative activity involved in the areas of employee payroll, the purchase of goods and services, the receipt and deposit of University funds and the disbursement of University Foundation funds.

Formulation and Categorization

All divisions of the University at Albany submit annual budget requests which, once approved, are incorporated into the University’s annual operating budget. This budget becomes the basis of authority for the financial operations of each division within the University during the fiscal year, which begins July 1st. Budget priorities for the Division of Athletics are established each year by the Director of Athletics, who sets overall Divisional goals.

The annual budget formulation process commences in January of each year and is coordinated by the Athletics Business Office. Staff members with budgetary responsibilities (head coaches, sports advisors, program directors and department heads) receive a budget request package in January which includes budget worksheet(s) and historical financial data for each operational area. Staff with budgetary responsibilities are asked to project the annual cost of the operations necessary to perform the required functions in their sport or administrative area, as well as projected revenues. Budgeting
priority is given to staff salaries and benefits, necessary supplies, equipment and services, travel expenses (team and recruiting) and grants-in-aid. Revenue projections are developed annually and used as the basis for overall budget preparation. The projections are prepared based on actual revenue data and historical trends.

**Revenues Sources:**
- Mandatory Athletic Fee
- State appropriations
- Dormitory Income Fund Revenue
- Game Guarantees
- Facility Rentals
- Ticket Sales
- Gate receipts
- Presale/Group Sales
- Season Ticket Sales
- Program and Merchandise sales
- Conference and NCAA distributions
- Advertising sales and Corporate sponsorships
- Parking Sales
- Entry Fees
- Miscellaneous
- Fundraising

**Expense Categories**
- Personnel expenses include:
  - Full time salaries (PSR)
  - Temp service appointees and hourly professional employees (TS)
  - Hourly student workers
  - Graduate assistants
  - Contractually expensed vouchered game workers.
- Operational expenses can be broken down into administrative and sport categories.
  - Administrative operational expenses primarily include:
    - Human Resource related
    - Professional travel
    - Office Supplies
    - Equipment
    - Service Contracts
    - Student-Athlete excess insurance
    - Contest Personnel
    - Phones
    - Postage
    - Memberships
Department Management
- Departmental Contracts (Website, Compliance software, etc.)

- Sport operational expenses primarily include:
  - Supplies
  - Equipment
  - Transportation
  - Lodging
  - Meals
  - Recruiting
  - Memberships
  - Entry Fees
  - Post-Season
  - Other

Budget planning will occur for both expenses and revenues with appropriate projections in the aforementioned categories.

Note: Capital improvements are budgeted separately through the University’s annual capital improvement plan. Needs may also be addressed through the University’s Critical Maintenance Fund.

In January and February, the Athletics Business Office combines the individual budget requests into a total Division of Athletics proposed balanced budget. By early March, the Director of Athletics and Deputy Director of Athletics review the proposed budget and make necessary adjustments as dictated by Divisional needs while ensuring compliance with University budgeting guidelines. In the event that actual income falls short of budget projections, budget revisions may be required to establish a balanced budget.

Those budget proposals are in turn rolled into the university’s budget planning, otherwise known as Compact Planning. During the Compact Planning and request process, the Division of Athletics submits all requests for future budgets with criteria including cost, desired impact, and the ways in which the proposal will forward executive initiatives within the overall paradigm of the university mission.

The proposed budget as submitted through Compact Planning is reviewed with the VP for Finance and Administration and the Associate VP for Financial Management and Budget and the President’s office in April and May. By the end of the spring semester, the proposed summarized budget is also presented to the campus Intercollegiate Athletics Board (IAAB) for their review. State University Board of Trustees policy stipulates that the IAAB is responsible for formulating the annual Athletics budget and recommending it to the campus president for approval.
Budget Accountability and Control

The State University Board of Trustees provide for the formation of campus boards of athletic control (IAAB) to monitor, review and recommend policy for the intercollegiate athletics program in compliance with NCAA guidelines. The IAAB is responsible for formulating and recommending the Division of Athletics annual budget to the campus president for approval. In the event that actual budget revenues fall short of or exceed budgeted amounts, the IAAB is responsible for revising the budget accordingly. Therefore, it is critical that Division staff with budgetary responsibility operate within their budget allocations. Coaches, sport administrators, and department heads are accountable for operating within their approved budget.

In an effort to remain accountable for intercollegiate athletics resources, the Athletics Business Office will distribute a monthly summary budget report, to each head coach, sports administrator and department head that reflects a comparison of actual expenditures (as of a specific date) by category to the amount budgeted. The monthly budget summary report is intended to assist athletics staff who have budgetary responsibilities with closely monitoring and evaluating budget allocations to current and anticipated expenses.

The Athletics Business Office will also prepare a quarterly, Athletics Division summary budget report to the Athletics Director, Deputy Athletics Director, VP for Finance and Administration, and Associate VP for Financial Management and Budget. This report will include current balances for all revenue sources and expenditures, by cost center, in the categories of salaries (personal service regular and temporary service), operations (OTPS - purchases for supplies, equipment and services) and grant-in-aid disbursements.

All transactions and protocols must be conducted in accordance with New York State legislation and accepted state practices. At all times, the Athletics Business Office works in conjunction with the University at Albany State Accounting Office, the Office of Procurement and State Contracts, and the University Controller’s Office.

Allocation of Funds

Upon final approval, employees with budgetary responsibilities will receive a copy of their individual approved budget. Allocations will then be entered into the university’s all funds reporting system via the university’s budget office. Internally, allocations will be entered into the Athletic department’s access database, the warehouse of all departmental budgeting and transactions. This file is password protected and is stored on the Athletics shared folder.

Maintenance/Regular Updates to Pertinent Parties

The Athletics Business Office shifted in the 2014-15 year from an Excel based internal reconciling budget application to an Access Database system. The application allows for
all financial transactions to be recorded into one file which lends itself toward greater variability in reporting structure and capacities. All budget reports are generated through Microsoft Access and distributed as needed to pertinent parties depending on account oversight. Account updates are sent out to coaching staff and administrative managers on a monthly basis. All accounts are reviewed in relation to their allocations and budget projections that were provided by each sport prior to the start of the fiscal year. All transactions are also reconciled back to the university’s all funds reporting system to ensure variances do not develop within sub-accounts, and also to tie back differentiation that occurs within the categorizing of expenses between the Athletics model and that of the State’s. Adjustments to spending will occurred as needed to ensure that a balanced budget is achieved at the end of the fiscal year.

Reconciling

The university’s fiscal year runs from July 1 through June 30th. At the conclusion of each fiscal year, the Athletic Business Office works with the Division of Financial Management and Budget as well as the State Accounting Office, to close the books on the previous year and reconcile all internal files to those of the university’s all funds reporting system. The entirety of Athletics’ budget will be compared to the overall allocation, and adjustments will be made as needed within individual sub-accounts to address variances.

NCAA, Federal, and Agreed Upon Procedures Reporting Requirements

The Athletic Business Office is responsible for preparing, facilitating, and completing all required reports, including the Federal EADA annual report, the annual Financial Report, and the NCAA required independent Agreed Upon Procedures report. All reports are warehoused in the Athletics Business Office files and are available upon request.

6.4 BUSINESS OPERATIONS

Transactions/Purchases

The Division of Athletics operates under the University’s purchasing and payables policies and procedures. All purchases using University / NY State approved funding (Athletics IFR funds) must be made in accordance with regulations, rules, policies and procedures established by the University at Albany, the NYS Office of State Comptroller’s (OSC), the NYS Division of Budget (DOB), other state or federal agencies and in some situations adherence to NCAA regulations. OSC has ultimate approval authority for any payment request using NY State or IFR appropriated funds; including purchases made with NYS issued Travel, Net and Procurement cards. The most up-to-date purchasing policies can be found on the University’s website at https://www.albany.edu/procurement/. The most up-to-date accounting payable policies can be found at http://www.albany.edu/accounting/receiving_payment.html
The University Foundation also has specific policies, procedures and guidelines with regards to permissible purchasing of goods and services and disbursement of UAF funds. The most up to date policies can be found at https://www.albany.edu/accounting/.

The ABO is responsible for working with the University’s Purchasing, Accounting and UAF Offices to ensure compliance with all Division of Athletics purchasing and payment requests. The ABO works with these office to authorize that goods / services were procured at the best price, received in good condition and authorizes prompt payment. NY State prompt payment legislation requires prompt verification the good and services were purchased according to applicable regulations and that the vendor is paid promptly and accurately (within 30 business days).

The ABO verifies each Division of Athletics financial transaction (procurement and payable) in a timely manner; include items purchased with Travel, Net and Procurement cards, via the Purchase Requisition process, NYS contract purchases (e.g. Staples, Sodexo Catering, Coach Bus Services, etc.), Invoices submitted for items not requiring a Purchase Requisition (e.g. memberships), Voucher payments for services rendered (e.g. game day officials), Travel Advances, and Reimbursement for business expenses incurred. Each of these procurement and payment processes requires actions processed through the ABO to verify compliance with and timely submitting of purchases and payment, as well as verifying receipt of items and services.

6.5 STATE PURCHASING METHODS

NYS Citibank Visa Procurement Card (P-Card)

The ABO and other administrative areas retain purchasing cards (p-cards) for the majority of Division of Athletics purchases that NYS authorizes use of as a method of purchasing and payment for purchases less than $4,999. The card allows quick payment to the vendor and easier processing of advance payment items (e.g. subscriptions, association memberships).

The card cannot be used for: personal use, items purchased separately that when purchased together would exceed the $4,999 limit, gasoline, maintenance agreements, cash advances, leases, insurance, flowers / recognition gifts / gift cards / personal or business celebrations, alcohol, entertainment, food and beverages, travel, car rental, parking passes / tickets / fines, championship rings, advertising, and payment of items or services that are provided through a University at Albany or NYS contract (Staples office supply ordering, on campus Sodexo catering).

P-Card Processing

To process a p-card payment, the head coach or department director must first approve the purchase by completing and signing a Visa Procurement Card form and attaching to it supporting documentation such as a valid quote or invoice. Note- quotes / invoices must
include the full business name and address, unique quote / invoice number, itemized listing of services or items with associated costs and a total quote / invoice amount.

- Upon receipt of the Visa Procurement Card form, the ABO will verify that the form and documentation is complete and that funding are available within the appropriate budget. If any information is missing, the form will be returned to the originator.
- P-card (and any other) purchases for items delivered to Athletics require that the packing slip be delivered to the ABO to attach to the original Visa Procurement Card form. Additionally, equipment purchases exceeding $500 require that the item be inventoried by the University at Albany Office of Equipment Management (OEM). When the item(s) are received, the department is responsible for retaining the packing slip and delivering it to the ABO as quickly as possible so that the ABO can complete and submit the paperwork to OEM to inventory the item(s). The packing slip should be matched to the items received and dated and signed by the employee who received the item(s).
- Note - the University at Albany and OSC monitors all p-card transactions on a monthly basis and routinely performs spot audits on purchases. Complete and accurate documentation for all p-card transactions is required to be retained in the ABO to facilitate any immediate request from OSC to audit the documentation.

Purchase Card Procedural Use

The issuance of a procurement card will be determined by the Athletics Business Office as needed. The process of issuing a p-card will be facilitated by the Business Office, the cardholder will then be responsible for undergoing the mandatory training sessions provided by the State accounting office.

- Failure to complete mandatory training sessions in the timetable given by the State accounting office will result in an immediate revocation of a procurement card.
- Any departmental staff member issued a procurement card is responsible for all transactions and turning in corresponding documentation to Business Office when billing period ends (6th day of every month).
- Procurement cards cannot be used to pay for invoices associated with a purchase order negotiated by the university’s purchasing office. This is considered misuse of the procurement card program.
- At the conclusion of a billing cycle, monthly transactions should be turned in accompanied with the Citibank statement which identifies each transaction and vendor.
- Business Office will review all purchases and certify each transaction through the NYS financial system.
- Each p-card statement will need to be signed by the cardholder’s immediate supervisor at the conclusion of each billing cycle.
- Cardholders retain the responsibility of ensuring all transactions are made with tax-exempt status and an original receipt is obtained.
• Cardholders must routinely monitor credit card statement for fraudulent activity. If fraud is detected, Athletics Business Office should be notified immediately to begin resolving the situation.
• Any misuse of a procurement card for purchases not associated with University business will lead to personal liability of purchase, and could result in additional disciplinary action.
• Any theft of state property will be referred to the University’s Controller Office.

6.6 PURCHASE REQUISITIONS/PURCHASE ORDERS

All purchases in excess of $4999 must be made through the University’s Office of Purchasing and Contracts. This must be done on a Purchase Order made prior to the purchase of goods or service.

Purchases of this order can be legitimately made only with Business Office approval or that of the Athletic Director. Under no circumstance should a coach enter into a purchasing agreement of this nature. Non-adherence of this policy is a direct violation of NYS Finance Law and will result in disciplinary action and could include personal liability of the purchase(s) in question. Matters of this nature will be referred to the University’s Controller for review.

Under State Finance Law and SUNY Policy, the University is required to follow certain steps when making a purchase. The requisition begins the procurement process. The Office of Purchasing and Contracts has created a web based requisition allowing end users to complete the document on their desktop, print and submit via fax or interoffice mail to Purchasing. Once the requisition is received, the Office reviews it to ascertain if a number of factors including the availability of funds and if the person signing the requisition is an authorized signatory of the account.

At certain dollar thresholds, all state agencies are required to place procurement advertisements in the New York State Contract Reporter. Every quarter the University is required to place an advertisement outlining potential procurements of more than $10,000 for the upcoming quarter. All procurements of $50,000 require an individual advertisement with 15 business days advance notice. An individual advertisement will have a brief description of the item(s) sought, the proposal/bid due date and time and the campus contact information. Procurement that have an anticipated value of over $200,000 are to be advertised on a semi-annual basis. In addition, the University is required to post the results of all procurements that have had an individual advertisement in the New York State Contract Reporter.

6.7 CONTRACTS

The University Office of Purchasing and Contracts reviews the terms of all contracts and agreements before they are signed by the University Controller whether or not there is a
financial component involved. Before a contract can be executed it may require depending on the circumstances that a procurement process be followed or that the State Comptroller issue an exemption from advertising in the New York State Contract Reporter. All requirements of contracts: https://www.albany.edu/procurement/contracts.php.

All university contracts must be executed through the Office of Purchasing and State Contracts without exception. Under no circumstance should a member of the Division of Athletics sign off on a contract without the express consent of the University’s Controller.

Athletics Business Office will work in conjunction with the University Office of Purchasing and Contracts to conduct all contract renewals and terminations.

6.8 RECEIPT OF GOODS/SERVICES

Upon receipt of goods/services, no matter what the payment process is, a member of the Athletic Business Office will identify where goods are shipped to within the Division of Athletics, gather all shipping verification materials and attach that documentation to the originating purchase request/purchasing card receipt.

The purchase order directs vendors to send invoices to the Accounting Office. When an invoice is received from a vendor, it is matched to the purchase order and to the AP-102. Assuming that all information agrees, payment will be issued to the vendor. It is essential that the payment process be initiated by departments as soon as possible after acceptable goods or services are received to ensure vendors are paid on time. Freight will only be paid when it is specifically identified on the purchase order. When departments obtain quotes and recommend a vendor and price to the Purchasing Office the requisition should specify that freight is or is not included in the price so it can be noted on the purchase order.

Per University Equipment Management directive (OEM), all newly acquired asset(s) must be identified with an identification tag affixed by the OEM staff at the time of acquisition. Purchases of equipment and furniture as well as components to enhance an existing piece of equipment or furniture with a unit cost of $500 or greater must be reported, however the OEM reserves the right to tag equipment and furniture at any cost. This will be determined by discussion with the Property Control Officer. After receipt and inspection of the new asset(s), complete and send a "New Asset Receipt Form" to the OEM. The OEM staff will then affix a property or barcode tag to the new asset(s). Assets purchased with State dollars are identified with a gold property tag or a barcoded tag number ending in "00".

A physical inventory of all asset(s) is conducted annually by the staff of OEM. Account Managers are provided with notice of the inventory at least two weeks in advance. Please notify OEM of any sensitive areas where departmental staff should accompany the OEM.
staff for inventory. Account Managers must verify that all assets that are used at off-campus sites are correctly recorded on the departmental inventory report. The Account Manager will also be asked to account for any assets that are not located as a result of the physical inventory. The OEM must be notified when a staff member leaves employment, especially when that person has been given approval for off campus use of asset(s).

6.9 TRAVEL EXPENSES

General Travel Policies

The entire NY State Travel Manual is available at http://www.osc.state.ny.us/agencies/. The University also has information available on the University’s Accounting Office website at https://www.albany.edu/accounting/ (click on the various travel information links located on the left side of this web page).

All NY State employees are required to follow NY State travel policies and procedures as established by the NYS OSC and DOB. NY State monies expended for NY State employees and on behalf of our student-athletes for travel purposes is monitored closely by OSC and is highly regulated. Therefore, when a new employee joins Athletics and will be responsible for making any travel arrangements, he / she should arrange to meet with the ABO to be oriented on travel policies and procedures. The information below highlights important information regarding travel requirements; but is not all-inclusive. The most up-to-date and detailed travel policies and procedures information is available at the University’s Accounting Office website: http://www.albany.edu/accounting/

Each month the Athletics Business Office (ABO) reviews all Travel Advance, Travel Reimbursement, Travel Card & Net Card transactions to fully reconcile all travel related expenses. Once the monthly reconciliation is finalized, it is submitted to the University’s Accounting Office for their review.

Any Athletics employee who travels for work related purposes, as least once a year, will be issued a NY State Travel card. The Travel card is to be used to pay for travel expenses in accordance with NY State employee travel policies and procedures as specified at the above website. An exception to this policy is when traveling with a team; team travel expenses are to be paid with a NY State issued NET (non-employee travel) card. The NET card facilitates combining team-related travel expenses for student athletes, coaches and support staff. The NET card is only to be used for team-related travel.

Employees are in travel status when they are more than 35 miles from their work location; travel between the employees home and official work location is considered commuting and is not reimbursable.
Employee Travel Status

Employees are considered to be in travel status when they are on official business and more than 35 miles from their official work station or place of residence. With pre-approval from their supervisor, an employee can be reimbursed for mileage, tolls or parking expenses when performing work related duties within 35 miles. For employees who maintain more than one residence, the location closest to their official work station will be considered their place of residence. Reimbursement for travel by personal vehicle will be based on the most direct route possible as documented via MapQuest or Google Maps; reimbursement for tolls or parking fees requires proper receipts documenting the location, date and time of the payment.

Employee Travel Requirements

Whenever an employee travels and spends NY State funds to pay for travel expenses and/or seeks reimbursement for personal expenses associated with travel, the employee is required to complete the appropriate travel reconciliation forms as mandated by the Accounting office (available on their website) https://www.albany.edu/accounting/travel.php. When the employee completes the form(s), the original form(s) with the employees dated signature and supporting documentation specified below is to be submitted to the ABO within three business days upon return to campus:

A. A detailed itinerary and explanation as to the business purpose for travel, (e.g. if travel was to attend a conference, the conference agenda should be attached);
B. If using personal or rental car, a printed copy of the most direct driving route and directions with mileage as determined by MapQuest;
C. Dates of travel (to verify that the employee traveled the most expeditious route and within the a reasonable amount of time);
D. Itemized, original receipts for every expense associated with the trip;
E. The on line verification that maximum per diem rates for meals and lodging were not exceeded; and
F. Verification that NY sales tax and other applicable State taxes were not paid and that all expenses/financial transactions were reasonable and essential.

Additional Important Information

If Athletics staff is making travel arrangements ahead of time for the rare situations that may change, then request a refundable airfare ticket. The expectation is all NY State employees, including Athletics employees, will coordinate all of their travel arrangements proficiently, but if there is any doubt or need for flexibility request a ticket that is transferable. These tickets are more expensive and impact the team's budget; but if a trip is non-refundable and canceled NY State will not pay for the ticket.

When traveling, employees are required to travel between the work related destinations via the most direct route and in a reasonable timely manner. When multiple employees

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are traveling to the same location, the most cost effective means of travel should be coordinated (e.g. travel together in one rental vehicle).

6.10 TRAVEL POLICIES

Transportation Policies

Part of the planning process with all 19 sports includes a forecast of the following season’s travel schedule. Once each sport’s schedule is approved by the appropriate administrative areas (Sport Supervisor, Compliance, Facilities, and Academic Support), team travel planning occurs.

Depending on the size of each team, they will identify their needs relating to air and ground transportation.

Rental Vehicles/State Vehicles

- Use of state vehicles is requested through the Athletics Facilities Office.  
- Rental vehicles must be purchased through state contracted vendors. The preferred vendor for rental vehicles is Enterprise. National and Hertz are secondary options for all athletics staff.
  - When purchasing a rental vehicle, employees should use their state issued travel cards. This ensures that all applicable insurance coverage is applied to your rental.
  - All additional insurance offered by vendor should therefore be declined.
  - The state code for Enterprise is JN0172
- For a listing of all of the state employee benefits of using state contracted rental agencies can be found at: http://www.albany.edu/accounting/travel_reimbursement.html
- For those employees seeking mileage reimbursement: Only travel up to 200 miles round trip will be reimbursed. All travel over that threshold requires a rental vehicle.
  - The current rate of reimbursement is 57.5 cents per mile.

Air Travel

- Must be booked through the University at Albany’s contracted travel agent, Direct Travel, formerly known as Albany Travel.
- First time users should login to the online travel portal at: https://www.concursolutions.com/
  - Initial Login in is as follows
  - USER NAME: (Beginning of your email address) @ALBANY.EDU (i.e. twilson@albany.edu)
  - PASSWORD: Same as USER NAME
- Travel can be booked online through this portal.
Over the phone reservations can also be made by calling (518) 292-9020. Appropriate state issued travel card shall be placed at the time of purchase.

The state travel card should not be used for personal travel.

- NOTE: For those wishing to combine a personal trip with business trip, or depart or arrive to a different trip than where business would dictate – written approval must be granted by the Athletic Business Office before an employee should ever consider pursuing this option.

Along with prior approval, any expense above and beyond what would have been incurred over the course of normal business travel must be reimbursed to the state prior to booking and payment with a state issued visa travel card. Payment must be delivered to the Business Office prior to any booking taking place.

**Bus Transportation**

Bus transportation is handled through the Athletic Business Office. Scheduling templates are sent out to each team prior to the beginning of each season. The following information has been requested in the past:

- **Flights**
  - Include all trips in which you will be flying and will need shuttles to & from the airport (if other than Albany International, be sure to specify). You will be responsible for your own transportation accommodations while at your destination; we only schedule the pick-ups and drop offs to & from the airport. Also include the Flight # of your return trip so that Brown Coach can track flight status.

- **Overnight Trips**
  - Include hotel information - name, address, phone number, & a contact name if available. For overnight trips, be sure to book a room for your driver; the bus company is responsible for payment, however.

- **Specific Accommodations**
  - If your team has specifications for the buses that they travel on due to size of team or amount of equipment, indicate so.

- **Driver Requests**
  - If there are any driver(s) you wish to request, include. Be sure that when you list midnight as a return time for a given trip, remember that 12:00AM is the start of a new calendar day.

- **Times**
  - Departure time & arrival times are the times you are leaving from, and arriving back to, the SEFCU Arena. Each block starts a new trip.

- **WiFi and DirecTV options** are available and come at an expense of $25 each per trip. These requests will only be accepted for trips over 3 hours in length.

- Include the floor number of each hotel that you are staying at. This is a requirement, as relayed to the Athletics staff by UPD Assistant Chief Aran Mull.
per the Federal Clery Act. This requirement only relates to hotels that teams stay at for consecutive years.

- Every trip that returns to campus after normal business hours (after 5:00pm) will be highlighted and sent to UPD for notification. Police escorts will be requested for all late night arrivals (post 9:00pm), and will be available as needed.
- NOTE: All teams required to practice and/or play competitions off campus must provide transportation for its student-athletes to and from the playing site.

The Division of Athletics’ current transportation provider is Brown Coach. All local ground bus transportation is required through Brown Coach, with the exception of local travel coordinated with the university’s Parking and Mass Transit Office. Any requests to use Parking and Mass Transit for team transportation must have prior approval from the ABO.

For review on the use of either the NET Card or Travel card and the circumstances under which each card should be used, please refer to appendix A: Travel and NET Card Quick Reference Guide.

Travel Expense Processes and Reconciliation

All travel receipts are to be submitted to the Athletics Business Office (ABO) within 5 business days of the last day of a trip. If a receipt is unavailable due to extenuating circumstance, it is the responsibility of the employee to notify the ABO in writing within the timeframe and make every effort on a daily basis to rectify missing documentation.

If a receipt remains outstanding for over 30 days, the ABO will invoice the employee the amount charged to their NET/Travel Card. Invoices will be generated through the University’s IFR system. If extenuating circumstance exists and difficulties arise with the submission of travel receipts, written approval must be received from the ABO as exception to this policy and extension of the aforementioned deadline.

Receipts are to be submitted as follows:

- Tape the top and bottom portion of the receipt only onto letter-size paper. Do not tape the sides of the receipt since this will cause the print on the receipt to fade quickly and become illegible.
- Attach the receipt(s) to a fully and accurately completed Travel / Net card form / include travel advance, travel voucher, and reimbursement check box and clarify).
- Receipts for food purchases & meals (grocery stores, restaurants, take out, etc.) are to be *itemized*; detailing exactly what was ordered/purchased.
- Receipts that only specify the total amount charged are not acceptable.
- Receipts for meals/food purchased with the Net (Team) card need to be submitted with a roster of each person for whom a meal / food was purchased.
- If an itemized receipt cannot be provided, then the employee is personally liable and is required to personally reimburse the University for the total amount purchased.
- If an employee loses a receipt, then the employee is required to personally reimburse the University for the total amount purchased.
- When an employee is informed (by ABO) that a receipt has not been submitted, the employee is required to submit the receipt and required documentation to ABO within three business days. If the employee cannot provide the receipt, then the employee is required to provide a personal check, payable to the University at Albany, within three business days of notification that the receipt has not been submitted.
- Employees are personally liable for any receipt charges associated with purchasing alcohol.

If an individual requests a Travel Advance for meals, then the Travel or Net card cannot also be used to pay for meals (or any other travel expense) for which the Travel Advance was requested. For example, if a travel advance is received to pay for meals for a trip, then the Travel or Net card cannot also be used to pay for the same meals associated with the Travel Advance request. If this should occur, then the employee who requested the Travel Advance is obligated to personally reimburse the University accordingly.

Only actual, reasonable and necessary business-related expenses will be accepted. Valet services, entertainment (such as in-room movies, room service, meals charged to a hotel room), social activities (such as sightseeing or golf), fines for not paying toll fees, will not be accepted and must be reimbursed by the employee.

**NYS tax:** If NYS tax appears on any travel related expense which occurred within the state, then the employee is required to personally reimburse the University promptly.

When meals and/or lodging are provided and included as a part of attending a conference or event, additional reimbursement and / or use of the travel or net card to pay for the meal provided in the cost of the conference is not permitted. For example, if attending a conference that includes dinner, the employee is

When traveling to attend an away game, professional development conference or recruiting related expositions a copy of the game event, the conference agenda or recruiting expo agenda should be provided as supporting documentation (print outs from web sites are permissible).

When traveling to an event, travel should be arranged such that unnecessary additional expenses are avoided. For example, if you travel to a professional development conference, the expectation is that travel arrangements will be made to travel no more than one day prior to the event and return soon after the event concludes.
The ABO is obligated to provide to the University’s Accounting Office a complete reconciliation of our Travel and Net card transactions within 15 business days after the credit card bill is received. In order to meet this deadline, employees need to submit all Travel and Net card documentation as soon as they return to their work location.

Note: Tipping is a customary expense and is therefore allowed by the state. The following guidelines pertain to appropriate tipping amounts:

A. Meal Pickup: No Tip
B. Meal Delivery: Not to exceed 10% of total bill
C. Meal at Restaurant: Not to exceed 20% of total bill

Lodging

Lodging rates for business related travel for athletic department staff must comply with the Federal Government Rate. It is the employee’s responsibility to confirm government rates prior to reserving a room.

Student-athletes must be housed two (2) to a room, unless there is an uneven number in which three to a room can be acceptable if the hotel provides a rollaway bed.

Per Diem

Maximum Per Diem Rates

When traveling, we are required to stay within the allowable per diem rate for meals and lodging; our NY State Athletics accounts cannot be used to pay more than the allowable per diem rate. The only exception is for special conference considerations (see page 5 of the OSC Travel Manual- the link is below). Therefore, when making travel arrangements it is the traveler’s responsibility to research the best rates for lodging in order to stay within per diem; this may require using a hotel that is not in close proximity to the final trip destination. If per diem is exceeded, then funds available in the team's’ specific Foundation account can be used to pay the additional per diem. However, funds oftentimes are not available in the Foundation account to pay the additional charges. As a result, you may be personally liable to pay over per diem charges. Per-diem rates for lodging and meals are available on the University’s Accounting Office website (link is below). When traveling, for each individual traveler, if the lodging rate is greater than the allowable per diem rate, the meal per diem can be used to offset the lodging rate and vice-versa. Oftentimes, sharing a hotel room helps tremendously towards staying within per-diem.

Per Diem Waiver

The SUNY Intercollegiate Athletics Advisory Board (IAAB) Fiscal and Accounting Procedures empowers the IAAB to promote policies that provide greater flexibility in the operation of intercollegiate athletics programs in recognition of upgraded campus

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athletics programs and associated National Collegiate Athletic Association (NCAA) policies. SUNY Policy Section II.C.3.a., entitled Process/Fiscal and Accounting Procedure/Expenses/Travel Expenses, states: “Team travel expenses will be in accordance with per diem rates and procedures developed by the IA Board and approved by the campus president (or administrative designee).” The IAAB and University at Albany’s President’s Office have approved a policy whereby state per diem restrictions can be waived, effective May 8, 2015.

When traveling, Athletics employees and teams are required to follow NY State and University at Albany Travel policies with the exception of the above situations for coaching staff and student athletes only, which requires pre-approval from the Athletics Business Office (ABO). The pre-approval process requires the Head Coach or the team's’ Director of Operations to submit to the ABO a completed Over per Diem Justification Request Form 10 days prior to travel. The ABO will seek guidance from the Director of State Accounting when appropriate and inform the Head Coach or Director of Operations if the justification is approved or denied. If approved, over per diem charges for lodging and/or meals will be expensed to the team's’ State account and not their Foundation account.

Per Diem Requirements for Student-Athletes

The current Athletics per diem requirements are as followed, as it relates to team travel:
- $6 per traveler for breakfast
- $9 per traveler for lunch
- $15 per travel for dinner

When in travel status, student-athletes must minimally receive the per diem allowance due to them based on these considerations. This can be achieved with money distributed to student-athletes via travel advance or by cash equivalent meals purchased on state issued team NET cards.

In accordance with the de-regulation, teams should make every effort to feed their student-athletes to achieve maximum performance and protect student-athlete welfare. Any needs to surpass the federal GSA per diem rates on a given trip should be funneled through the ABO via the aforementioned Over Per Diem Justification Form.

NCAA Championship Travel

NCAA championship travel is coordinated in conjunction with NCAA requirements. Short’s Travel is the NCAA’s air travel agent; GoGround is the NCAA’s ground transportation provider. As of 2014-15, Brown Coach is the NCAA’s contracted vendor for team transportation originating out of Albany via bus as well as air shuttle.
Upon qualifying for NCAA Championship post-season competition, all sports should seek advisement from their sport supervisor as to support staff travel above and beyond normal travel party requirements. Support staff travel to NCAA post-season is limited to staff members who are to perform a specific duty while traveling in support of the team at competition.

All administrators/support staff seeking approval for NCAA post-season championships should inform that ABO and should coordinate travel with others to reduce travel expenses to a minimum.

**Non-University Employee Travel to NCAA Post-Season Championships**

The chartered flight and hotel accommodations for the official travel party are coordinated by the ABO. If space is available, the Athletic Director may approve the following non-university employees in the official travel party as specified below. NYS and Foundation policies specify that, in most cases, non-employees are responsible for all expenses associated with their travel.

**Athletic Director and Head Coach Family Members**

1. Athletic Director and Head Coach Spouses

   If the spouse travels to arrange or coordinate and attend business functions related to university development hospitality, then the Athletics Foundation account will pay for the spouse’s flight and hotel. If the spouse travels without providing the above business functions, then all travel related expenses are to be reimbursed by the employee. The ABO will arrange the spouse’s flight and hotel accommodations and coordinate reimbursement where appropriate.

2. Associate Head Coach, Assistant Coach and Director of Basketball Operations Spouses

   All travel related expenses for the spouse is to be reimbursed by the employee (i.e. Associate Head Coach is responsible for paying for his/her spouses travel costs). The ABO will arrange the spouse’s flight and hotel accommodations and coordinate reimbursement.

3. Athletic Director and Head Coaches Children

   All travel related expenses are the responsibility of the employee. The ABO will arrange the spouse’s flight and hotel accommodations and coordinate reimbursement.
4. Per Diem and Entertainment for Spouses and Children

Spouses and Children are welcome to join the travel party for entertainment related activities (i.e. sight-seeing), however, it is the responsibility of the employee or spouse to personally incur such expense at the time of purchase. Similarly, all per diem meal and other miscellaneous expenses are the responsibility of the employee or spouse to pay at the time of purchase.

5. Additional Requirements
   a. *Signed Release Form*: All non-employee travelers are required to sign a release form prior to boarding the charter flight; parent must sign for children.
   b. *Payment Process*: Once ABO reconciles the chartered flight and hotel invoices, ABO will inform each employee and external media, via email, of the amount due and the payment process. Full payment is required within 5 business days of email notification. Payments received will not constitute a charitable donation but simply a reimbursement of expenses.
   c. *Travel and Net Cards*: University issued travel and/or net cards cannot be used to pay for non-employee meals or miscellaneous expenses. These expenses are to be personally at the time of purchase and are not reimbursable.
   d. *Student Athlete Family Members/Guests*: may not travel with the team and are required to personally make their own travel arrangements and pay all related expenses.

**Other Travel**

All other travel is the responsibility of each team. This includes coordination for recruiting, conventions and clinics, as well as professional development and scouting.
- All travel out of the United States must be reported to sport supervisor and ABO for approval.
- All air travel over $600 must be reported to sport supervisor and ABO for approval.

Note: Registration for conventions that an employee is to travel to can be paid on a travel card. However, memberships to professional organizations should be purchased via p-card. If the fees are combined as part of a convention registration, it is permissible to use state issued travel card.

**Personnel Expenses**

**Categories**

Personnel expenses are divided into the following categories:
- Personal Service Regular (Full-Time Staff)
- Temporary Service (Part-Time Staff)
  - By Appointment
  - Hourly Paid
  - Vouchered payees
  - Graduate Assistants

For a full explanation of the processes surrounding PSR expenses, TS by appointment, and Graduate Assistants, please refer to the Athletic Policy Manual section on Human Resources.

**Temporary Service**

**Hourly Paid**

All hourly paid employees’ time sheets must be submitted to the ABO by all applicable parties. Hourly time sheets are regularly filled out in various areas of the Division of Athletics, including Facilities/Game Operations, Academic Support, and Sports Media. Upon the completion of each bi-weekly batch of completed time sheets, all materials should be copied and submitted to the ABO for verification of payments made through the university’s All Funds Reporting System.

**Vouchered Payees**

All vouchered employee payments are prepared by the functional unit hiring the employee for a particular event (i.e. Facilities Operations hire of a shot clock operator). The first time an employee works for the State of New York, they are required to fill out a Substitute W9 form. It is required that the employee include a valid email address. The email address is the method whereby the state informs that new employee that they have a State Financial System (SFS) vendor ID. The vendor ID is to be used by that employee on all future payment forms. Instead of completing their payee ID field with social security number, after their first day of employment, employees are dictated to begin using their SFS. It is the responsibility of the hiring unit to inform all employees of this procedural requirement and its necessity for the individual should they want to continue further work with the State of New York.

After filling out a Substitute W9 one time, an employee should not be given a Substitute W9 to fill out again. Doing so will result in delays to payment.

Hiring units can request the State Accounting Office should the need arise to look up a current employee who may not know their SFS Vendor ID.
Scholarships

Budgeting

For budgeting purposes, the ABO will project future year’s scholarship expenses each February based upon the coming year’s rates, and the general makeup of in-state, out-of-state, and international students on each roster, as well as the number of equivalencies granted to that sport per NCAA legislation.

When the Office of Compliance Services has completed their formal process of granting scholarships to student-athletes, projections will be replaced with actuals and submitted to the ABO for budget adjustments and approval. This process will be conducted in the springtime each year.

Any scholarship adjustments need to move through the process as defined in the Athletic Policy Manual’s Compliance section. The ABO will be notified of any substantive scholarship adjustments throughout the academic years.

Summer School/Intersession

All applications for the Division of Athletics to pay for summer school and/or intersession expenses for student-athletes must be requested through the Office of Academic Services and Office of Compliance Services per the Division of Athletics Summer School Grant-in-Aid policy. Academic Services will communicate all accepted applications to the ABO in April of the prior fiscal year for summer school acceptance.

Budgeting for summer school will be conducted through the combined use of Athletics revenue sources and the NCAA administered Special Assistance Fund (SAF). The use of SAF will be determined with the Office of Compliance Services, Athletic Business Office, and the Athletic Director.

Foundation Purchases

All purchases made through the Foundation by either sports or administrative areas, with the exception of the Athletic Director’s Office, will require prior approval from the ABO. All purchases must be made in conjunction with the University at Albany’s Foundation Policy Manual. A complete overview of said policies can be found at:
http://www.albany.edu/uafoundation/uaf_policies.shtml

6.11 ATHLETIC REVENUE GENERATION

Overview

Athletic revenues are generated to help financially support the Division of Athletics, specifically varsity programs. The ABO is responsible for the receipt, internal controls,
deposit and accounting of all cash, checks and negotiable instruments (checks or money orders) received to support the Athletics program. Sources of revenue include:

The Income Fund Reimbursable (IFR) account is a self-supporting NY State account that operates on revenue generated from its operations. The majority of the Division of Athletics accounts are IFR accounts. At the beginning of each fiscal year, money is allocated to these accounts for expenditures, in anticipation that revenues will be generated by the Athletics program and deposited into the IFR accounts to offset the expenditures made out of them. IFR accounts are considered a NY State account and like State Purpose Funds, IFR funds are appropriated annually by the State Legislature and all payments are approved by the State Comptroller’s Office.

Revenues generated by the Athletics program and deposited into an Athletics IFR account include:

- **Game Guarantees** - agreement between schools to play at one school and for the host school to reciprocate in future years. The Athletic Director has the ability to approve a guarantee agreement which can then only be signed by the University Controller; employees are not authorized to establish formal agreements.
- **Conference and NCAA Distributions** - Check is mailed directly to the Athletic Business Office for deposit. The Athletics Business Office is required to complete the NCAA Distribution requests each spring in conjunction with the Office of Compliance Services.
- **Tournament & Entry Fees** - fees paid by other schools in order to participate in a tournament or competition hosted by a University at Albany varsity team. When the fee is submitted to the hosting team, it is critical that the team deliver the fee collected to the Athletic Business Office immediately for deposit into the appropriate IFR account.
- **Ticket Office Sales (Game day tickets, program sales & parking fees)** - The Ticket Manager is responsible for providing to the Athletic Business Office with a copy of the game day report specifying final cash counts by category within 48 hours following the game.
  - After the report is received, the final cash count by category will be verified by the Athletics Business Office. The Athletics Business Office will then deposit these revenues into the appropriate IFR account. See Game Day procedures for more information.
- **Rental / Facility Usage Fees** - Fees charged for the use of Athletic facilities.
- **Grant-in-Aid Funds** - revenue received directly from the University based on the amount of grants-in-aid distributed by Athletics.
- **Merchandise sales** - Commission received from UAS for merchandise sold in the SEFCU and Stadium stores. Check is mailed to the Athletic Business Office for deposit.
- **Parking sales** – sales derived from competitions whereby the Division of Athletics charges parking fees. These include football, basketball, and men’s lacrosse games.
• **Corporate Sponsorships/Advertising Sales** - The Associate AD for External Affairs coordinates these agreements with business partners and once finalized, provides a copy of the agreement and invoicing information required for the Athletic Business Office to generate an invoice and deposit the revenue into the appropriate IFR account.

• **Mandatory Athletic Fee** - The mandatory athletic fee is authorized by an agreement between the University and the Student Association. The agreement creates an intercollegiate Athletic Board consisting of faculty, students, and staff. Increases in the MAF are recommended by the Division of Athletics in consultation with the IAAB (Intercollegiate Athletics Advisory Board) and the University administration. The recommendation is submitted to SUNY for approval. For 2019-20, the MAF is $317.50 per semester per full time undergraduate student.
  - The MAF appears on the student’s University bill which is generated by the Student Accounts Office. When payment is received in the Bursar’s Office, the entire payment is processed through the “payment hierarchy.” The amount credited to the athletic IFR account 901210-26 is viewed by both the Deputy Director of Athletics and the Associate Athletic Director for Business on the University’s All Funds reporting system.

**UAF Foundation Accounts**

The UAF is a not-for-profit corporation created and operated to receive and administer gifts and donations exclusively for the purpose of serving the mission of the University at Albany and the campus. Monies collected are held as restricted (e.g., Endowments, Special Purpose Usage) or unrestricted in a fund account and are made available for expenditures in accordance with gift or donation specifications as well as UAF policies and procedures. A UAF account has been established for each Division of Athletics sport to enhance their budgetary needs through fund raising initiatives.

**Team Fundraising**

All team fund raising projects are to be approved by the Athletics Director prior to publicizing or initiating the fund raiser. Team fundraising procedures are as follows:

1. The Head Coach submits, at least two weeks prior to the proposed fund raising implementation date, a Fund Raising Proposal to the Associate AD for External Affairs. The Associate AD for External Affairs reviews the proposal with the Sports Administrator, Associate AD for Compliance and Director of the Business Office to ensure the proposal is in compliance with NCAA rules, NY State Laws and University at Albany/UAF policies and procedures.

2. The Associate AD for external affairs submits the proposal to the Director of Athletics for final approval. Upon approval, the proposal is signed by the Director of Athletics and returned to the Head Coach for implementation.
3. Items (e.g. apparel) and services (e.g. shipping / mailing) procured with NY State funds, or via a NY State contract, cannot be incorporated into a team fund raising activity. Items purchased for a fund raiser are to be purchased via the teams UAF account.

4. The Head Coach is responsible for ensuring that all monies collected for team fund raising projects adhere to policies for receipt, custody and deposit of cash and/or negotiable instruments. Checks or money orders received for fund raising projects, must be made out the University at Albany Foundation.

5. Team fund raising monies cannot be deposited into a non-university bank account or collected through a third party account (e.g. pay pal).

6. Within five (5) business days upon completion of a team fund raising project, the Head Coach is to submit to the Athletic Business Office a final report of all income and expenses associated with the fund raiser. The ABO will then reconcile the report to Business Office records and the UAF financial system.

**Receipt and Deposit of Cash or Negotiable Instruments**

Any funds collected or received by an Athletics employee have to be received specifically for the purpose of supporting the Division of Athletics program and immediately and immediately deposited into an Athletics IFR or UAF account. Checks and money orders for deposit into the Division of Athletics operating accounts are to be made out to “University at Albany”, checks for deposit into a Foundation account are to be made out to “University at Albany Foundation”.

Team specific fund raising activities are required to follow University at Albany policies, NY State Laws, Public Employees Laws and UAF policies and procedures with regards to the required collection, receipt, internal controls, accounting and deposit of funds. Therefore, all fund raising activities are first to be approved by the Director of Athletics to ensure compliance with fund raising requirements prior to initiating a fund raising activity.

When funds are collected in the form of cash or negotiable instrument by any employee, the funds are to be validated by the issuance of an official receipt (with the exception of athletic event tickets). Each area that receives funds is responsible for preparing a deposit report and delivering the report and funds to the Athletics Business Office for verification and deposit immediately into the appropriate account.

No monies in the form of cash, checks, or credit card payments may be received and deposited directly into an external (non-University / non-UAF) bank accounts or stored in an off campus location. Similarly, any funds received should be held in a secured location in the event that they cannot be immediately delivered to the Athletics Business Office. All financial activity, including the receipt of cash or negotiable instruments is subject to NY State Public Officers Law, NYS Finance Law, University at Albany and/or University at Albany Foundation policies and procedures.
Cash Collections

Collection Control Objectives

The objective of these procedures is to provide reasonable assurance that the collections are under the control of the institution. In designing these controls, management within the Division of Athletics also considered the cost benefit of the control both adapted and not adapted.

Objective: Provide adequate internal controls for reasonable assurances that moneys are properly safeguarded, recorded, and deposited in a timely fashion.

Principle 1: Separation of duties. Accounting functions should be divided among several employees so that the work of one employee compliments and acts as a check on the work of another. By providing separation of duties all employees will be protected from wrongful allegations of misappropriation of cash. The opportunity of misappropriation of cash will be minimized.

Principle 2: Misappropriation of cash will be detected. Procedures for reconciling revenue to cash will provide detective controls and positive evidence that controls are working as intended.

Principle 3: Safeguarding of assets and security of funds and people handling those funds. Moneys received at the collection stations should be deposited with the Bursar’s Office weekly.

Accountability for funds must be maintained at all times. This includes both the collection and deposit of funds and the accountability of the authorized change fund.

Internal Control

Internal control is broadly defined as a process designed to provide reasonable assurance regarding the achievement of objectives in the following categories:
1. Effectiveness and efficiency of operations.
2. Reliability of financial reporting.
3. Compliance with applicable laws and regulations.
4. Assets are safeguarded.

This definition reflects certain fundamental concepts:
• Internal control is a process. It is a means to an end, not an end in itself.
• Internal control is affected by people. It is not merely policy manuals and forms, but people at every level in the department.
• Internal control can be expected to provide only reasonable assurance, not absolute assurance, to an entity’s management.

Reasonable Assurance: Internal control, no matter how well designed and operated, can provide only reasonable assurance to management. The likelihood of achievement is affected by limitation inherent in all internal control systems. These include realities that human judgment in decision-making can be faulty, and that breakdowns can occur because of such human failures as simple as an error or mistake. Additionally, controls can be circumvented by the collusion of two or more persons, and management has the ability to override the internal control system.

**Departmentally Managed State Accounts:**

Accounts managed by the Division of Athletics are described as follows:

**State Account 860100 series, 860642, 870952**

New York State allocated funds are used for PSR and Temporary Service (TS) only. There are no cash collections for these accounts.

**Intercollegiate Athletic IFR account 901210-00**

This account is maintained to manage all revenues and expenses associated with the athletic program. The account is sub divided by sport and for administrative expenses. See attachment #1.

All revenues are deposited into appropriate accounts based on their type. Revenue are derived from the following sources:

1. Student Mandatory Athletic Fee collections – 901210-26
2. Gate Receipts – 901210-34
3. Season Ticket Sales – 901210-34
4. Program sales – 901210-20
5. Entry Fees – Directly Into Sport IFR
6. Parking – 901210-20
7. Merchandise Sales – 901210-25
8. Corporate sponsorships with advertising components -901210-20
9. Contest guarantees – 901210-36
10. NCAA & Conference Distributions
   I. NCAA Distributions: 901210-99
   II. NCAA Reimbursements: Directly to Sport Accounts
   III. Conference Distribution (SAF): 901211
11. Equipment and supply replacement – Directly into account used for purchase
12. Transfers – Into account where expense/revenue occurred.
Note: IFR accounts are waived from overheads for maintenance and administration.

**Facilities IFR Account #901170**

This account is maintained to manage all revenues and expenses associated with the management of athletic facilities. Revenue is derived from fees charged for the following purposes:

1. Facility rentals
2. Additional staffing
3. Scoreboard use fee

Note: 901170 funds are assessed maintenance and administrative fees of 14% at this time.

**Revenue to Facility Account IFR #901170**

**Facility Rentals:**

The Facilities Office is responsible for scheduling the athletic facilities and all reservations for the athletic facilities must be communicated through this office. Potential customers interested in reserving such space should contact the athletic facilities office to discuss the facility availability, event specifics, estimated costs, etc. Provided that the preliminary information meets the University’s criteria to host an event on-campus, the client will be sent the following information: revocable permit application, an athletic facilities reservation request form and an athletics usage policy agreement. The University Controller’s office is responsible for the approval of the revocable permit applications and all external clients must obtain approval prior to hosting their event on-campus. Permit applications typically take two weeks for approval and more information about the permit application can be found at the following website: [http://www.albany.edu/controller/revocable_permits.html](http://www.albany.edu/controller/revocable_permits.html).

The completed athletic facilities reservation request form and acceptance of the athletics usage policy agreement should be returned to the Director’s office. The Controller’s office will notify the client (via email) when the permit is approved. The Director will then follow-up with written confirmation to the client. Written confirmation from both the Controller and Director constitutes confirmation for an external event.

Prior to the event, the client is sent an Estimate of Costs for their acceptance and signature. Internally, a work order is generated by the Director to request support personnel for the event (i.e. custodial, electrical, plumbing, etc.) and notifications are sent to various other departments on campus (i.e. University Police, Parking Management, etc.) to request their support, if necessary.

Upon conclusion of the event, the Director will compile a list of expenses (rental fees, support personnel costs, etc.) and creates an explanation of costs. The explanation of costs is used to create an IFR invoice that is then sent to the customer for payment.
Director is issued a copy of the invoice for bookkeeping purposes. The athletic business office also maintains a spreadsheet of all billings and payments. Payment should be made directly to the University Lockbox. Occasionally, payment is submitted to the Director before the IFR invoice is generated. In this case, the athletic business office will still issue the IFR invoice for the client, but indicate on the invoice that the check has been received.

**Reimbursements for Damage**

In the event that a group using our facilities damages any property, they are billed for the repair or replacement. The Director of Event Management and Operations, with the assistance of the Plant Department, determines the cost of the repair or replacement and bills the group directly. The payment is sent directly to the Lockbox.

**University at Albany Foundation Account**

This account is maintained by the Foundation for the Division of Athletics. Revenue is derived from solicited and unsolicited donations made by check, payable to the “University at Albany Foundation.” See attachment #2 – for a list of Foundation sub-accounts.

**Deposits to the Bursar’s Office**

On a weekly basis, monies (cash and checks), are removed from the safe by the Athletic Ticket Manager who prepares the money collected for deposit. This consists of confirming the money that was collected and organizing the money by denomination, and confirming that the back of all checks are marked “For Deposit Only: The University at Albany/ SUNY Athletics”. All cash and checks are placed inside a sealed bag with a completed deposit slip. The official IFR confirming deposit invoices are then generated by a member of the ABO. These invoices are reviewed by the Associate Athletic Director for Business. When this process is complete, the deposit bag is transported to the Bursar’s office by the Athletic Ticket Manager. The Ticket Manager will coordinate University Police escort to the Bursar’s Office for any transport of cash. Cash deposits are couriered to the Lockbox, and are shown in the IFR Reconciliation when they have cleared. When deposits have cleared the bank, a receipt is sent back to the Division of Athletics for confirmation. This receipt is then compared to the total amount deposited to ensure accuracy by the Assistant Director of Internal Operations and reviewed by the Assistant Athletic Director for Business.

For all deposits made, a hard copy of every confirming deposit invoice is printed off for record keeping. These records are held in the business office. Where applicable, check stubs or other pertinent information are attached to the back of the appropriate confirming deposit invoice.
Cancellation/Crediting of Invoices

Any crediting of an invoice is processed by the ABO. Crediting occur when invoices have been created incorrectly and need to be replaced with an updated version, when a redundant invoice is created, or, as is most often the case, when a bill has been sent out for a facility rental and subsequently the rental is canceled or the dates/times are modified by our customer. When facility rental invoices need to be credited, the ABO is notified by the Facilities Director. When an invoice is canceled, a copy of that invoice is given to the Business Manager. As a form of internal control, the Facilities Director and Business Manager have access to IFR reports, which indicate credit invoices.

Past Due Invoices

For overdue invoices, the Division of Athletics will follow the university guidelines as they pertain to past due collections. Additionally, for corporate sponsor and facility rental invoices, the Division of Athletics will contact delinquent customers every 30 days to inquire about overdue invoices and to prompt payment. Customers with overdue invoices will not be eligible to book future facility rentals without first clearing out any outstanding invoices first.

Deposits to Foundation

Any donations or contributions received for the Division of Athletics are directed to the UAlbany Foundation for recording and depositing. All checks are to be made out to the UAlbany Foundation and given immediately to a UAlbany Development officer or a member of the ABO. The Division of Athletics does not participate in the deposit process with the Foundation; the ABO will prepare Foundation Deposit Transmittal Form and submit that along with funds to the University at Albany Foundation or directly to the Division of Athletics’ designee from University Development. The ABO will review the university’s All Funds listing of donations and contributions to compile periodic revenue statements.

Cash Receipts Journal

All cash deposited into the safe is recorded into a cash receipts journal, maintained by the Athletic Ticket Manager in an excel file. This file is stored on the Athletics Lincoln Drive. Monies are counted by at least two persons: a member of the ABO and the Athletic Ticket Manager.

Checks to be deposited in the State IFR accounts are made payable to “The University at Albany,” and are restrictively endorsed when received. They are recorded in the cash receipts journal by the Athletic Ticket Manager and deposited into the departmental safe.
Change Fund

The Division of Athletics’ change fund ($3,000) is an Official University Change fund approved by the University Accounting Office, following University change fund procedures. The Assistant Athletic Director for Business reconciles the change fund to University Accounting records semi-annually.

The fund is used for starting cash as needed. It is maintained in the departmental safe. The cash denominations are: 1’s, 5’s, 10’s, and 20’s. The combination of the safe is known only by the Ticket Manager, the Assistant Director for Internal Operations, and the Assistant Athletic Director for Business.

Petty Cash for Student Hosts

The Division of Athletics received in the spring of 2015 a petty cash disbursement from the University at Albany Foundation in the amount of $800 to be managed and distributed by Athletics for the express purpose of student host money relating to the official visits of prospective student-athletes. The Office of Compliance Services will maintain and execute approval and reconciling of this fund in conjunction with the ABO on a semester basis.

Sales Tax

For every source requiring the collection of sales tax, the Division of Athletics divides the total deposit into the “DAR Income” and “Tax Collected” on each invoice. The Athletic Ticket Manager produces a report of sales tax collected by the 10th of the month and forwards the report to the Accounting Office.

Bad Checks

Any “bad checks” are returned by the bank to the Accounting Office. The appropriate athletic account is adjusted. In addition a $20 returned check charge is posted against the account. A new IFR invoice is generated by the department.

Other Items

Departmental Cell Phones

The Division of Athletics will provide a cell phone to any employee, full-time or part-time (graduate assistants included), if the immediate supervisor deems it necessary for the employee to have university cell phone. It is the responsibility of the supervisor to budget appropriate resources for an employees’ cell phones. If an area does not have appropriate resources remaining in the fiscal budget, then the Business Office holds the right to not approve an additional cell phone line until the beginning of the next fiscal year. Additional policies include:
- All new employees will be provided with a new device if requested.
- Current lines of service can be moved onto the Athletics’ Verizon plan or a new line of service can be started.
- If a device is lost or stolen, employees are responsible for the cost of replacing the device. The account manager should be notified immediately of a lost or stolen device.
- Each line is allotted 5 gigabytes of data usage per month, employees are responsible for overage charges associated with their line of service.
- Prior to leaving the country, the employee MUST notify the account manager to evaluate whether it is feasible to use the cell phone while traveling for business purposes. If roaming charges are determined to be extreme, cellular devices must be turned off prior to leaving the country or the employee will be responsible for the roaming costs.

**Entry Fees**

For any sport, team, or individual requiring entry fees into an event, proper documentation of the event must be given to the business office at least 2 weeks prior to the start date of the event. Documentation turned in to the business office must include a W-9 from the vendor, the date of the event, and the cost of the entry fee(s).

- When scheduling to participate in an event, coaching staff’s should first ask the event coordinator if credit card payments are allowed. Paying by credit card is the simplest and most efficient way to coordinate a payment.
- Upon completion of the event, the business office will facilitate the process of getting an invoice to get proper payment to the vendor that hosted the event.
- If the exact number of participants is not known, or will not be known until immediately before the event, please turn in information with the maximum number of expected participants.
- Entry fee payments cannot be processed through state IFR accounts if proper documentation is not turned in prior to the event. If a purchase authorization is not processed by the university’s purchasing office then a check cannot be processed by the state accounting office.
- Any invoice turned in after the event without a purchase authorization will need to be paid through the team’s foundation account. If sufficient funds are not in the team’s foundation account, the invoice will not be paid.

**Championship Rings and Annual Student-Athlete Participation Awards**

**Championship Rings**

The following paragraph is the NCAA official interpretation regarding championship awards as defined by the NCAA Manual:
• Awards may be presented by a member institution and by a member conference, (or an organization approved by either) in recognition of conference or national championships.
• The total value of any single award received for a conference championship may not exceed $325.00 as defined by NCAA manual.
• The total value of any single award received for the national championship may not exceed $415.00. The awarding institution, conference, or other organization may provide only one award for each championship to each student-athlete as defined by NCAA manual.
  o Championship awards are to be received by the athletes, coaches and support personnel who play an integral part of the success of the team. The following restrictions will be placed on those who are considered recipients of such awards and those who may be eligible to purchase such an award.
  o Only student-athletes who were a member of the championship squad during the entire season will receive the designated award.
  o Only full-time support staff whose work was dedicated to the team for the entire season

Individuals that are named National Champions in the sport of Track, Cross Country Swimming and Diving and Golf may receive an individual award if their team sport did not win the National Championship and may be awarded one per UAlbany career. Ring design will be decided by the Senior Staff.

Annual Student-Athlete Participation Awards

Annually, at the end of the year student-athlete awards banquet, the Division of Athletics will fund participation awards for each student-athlete. The purpose of the participation awards serves as an incentive for both retention and graduation of student-athletes, and to recognize the total student-athlete commitment for each student-athlete completing their respective academic year.

The student-athlete participation awards for UAlbany are as follows:

First Year Student-Athlete
• Chenille blanket, including UAlbany letter
Second Year Student-Athlete:
• Framed chenille letter, including student-athlete name
Third Year Student-Athlete
• Watch (Man or Woman) with UAlbany in-set
Fourth Year Student-Athlete
• Ring or pendant, customized design
Post Season Championship
• Customized ring and/or pendant

Updated November 2019
Procedure

During the spring semester, each head coach will be presented a final squad list with the number of years that each student-athlete competed to verify accuracy. It is the responsibility of the each head coach to determine their final roster of awards.

To qualify, student-athletes must have completed both fall and spring semester as an active participant on the roster and have remained in good academic standing. Mid-semester transfers or enrollees can qualify for a first year award if they competed their first semester during the competition season.

Medical redshirts are eligible and student-athlete who are medically disqualified are eligible if they have remain an active member of the team and have remained in good academic standing.

Fourth year student-athletes will receive their fourth year award, even if they will be participating in their fifth season of competition due to a redshirt.

6.12  SODEXO FOOD SERVICE PROVIDER: POLICY AND PROCEDURES

Sodexo Exclusivity

Sodexo is the University’s food service provider and has exclusive food service rights on campus. Sodexo must provide all of the food and beverages for any event hosted on University property which includes any team-sponsored or department-sponsored event conducted within the athletic facilities. Please note that outdoor events that involve tent rentals are considered an extension of University property and therefore, the catering policy must be followed. For a detailed review of this policy, please visit https://ualbanydining.com/catering.

Timeliness of Requests

Catering requests must be submitted to catering@albany.edu at least 72 hours in advance of the event. Additional fees may be incurred if requests are submitted less than 72 hours in advance.

Waivers

There are very limited circumstances in which Sodexo will grant a food service waiver to allow another provider to serve food on-campus. If you would like to request a waiver, prior approval from your immediate supervisor is required. If approved, such requests must be made to Sodexo 3-4 weeks in advance of the event. Please note: approval from your supervisor has no bearing on Sodexo’s decision to approve/deny the request.
Alcoholic Beverages

The University Alcohol Policy regulates the serving and sale of alcoholic beverages on campus and Sodexo holds the license to serve alcohol. Under no circumstance should an individual purchase, distribute and/or consume alcohol on-campus without prior approval from Sodexo (see tailgating exemption). Coaches, administrators and athletic department staff members shall not knowingly allow the consumption of alcohol by a student-athlete, student worker or recruit under their supervision, irrespective of the age of the student.

Non-University Attendees

If you plan to host an event in the athletic facilities and provide food and beverages to non-University personnel (i.e. parents attending a team banquet), the following protocol must be followed:

1. Obtain a per-person cost estimate from Sodexo.
2. Collect payment from all non-University personnel in advance of the event. Payments should be made payable to the University at Albany.
3. Submit payments and a complete list of attendees (student-athletes, staff and non-University personnel) to the Athletic Business Office within 5 days of the event.

Tailgating

The University supports the tradition of tailgating at athletic events so long as it is done in a safe, responsible and controlled environment. Such activities must be approved by appropriate campus authorities in advance and the rules of tailgating must be followed. The authorized tailgating locations are the SEFCU parking lot and the Dutch Gold parking lot; tailgating in any other area on campus is prohibited. Sodexo is NOT required to provide the food and beverages for tailgating activities. Coaches, administrators and athletic department staff members shall not knowingly allow the consumption of alcohol by a student-athlete, student worker or recruit under their supervision, irrespective of the age of the student.

Please contact your immediate supervisor if you have any questions or concerns.

SECTION 7: OFFICE OF COMPLIANCE SERVICES

The information outlined in this compliance manual is subject to change as University, Conference, and NCAA rules may change. The Office of Compliance Services will keep all Division of Athletics staff members and university constituents up to date on the latest rule changes and effective dates. Please consult the Office of Compliance Services if you have any questions.
7.1 PRINCIPLE OF INSTITUTIONAL CONTROL

Institutional control refers to the efforts institutions make to comply with NCAA legislation and to detect and investigate violations that do occur. NCAA member institutions are obligated to maintain appropriate levels of institutional control.

It is the responsibility of each member institution to develop and implement procedures and policies that promote institutional control in its intercollegiate athletics program. It is a shared responsibility between all institutional entities, not just the Division of Athletics.

The institution is responsible for the actions of its staff members and for the actions of any other individuals or organizations engaged in activities promoting the athletics interests of the institution. Institutional control can be maintained through a recurring and thorough rules education program, the development of adequate compliance measures, effective monitoring of these measures and swift action should a violation occur.

To help promote institutional control, the Division of Athletics works closely with appropriate offices on campus including, but not limited to: Admissions, Financial Aid, Office of the Registrar, Alumni Association, University Development, and the Office of the President to inform them of pertinent NCAA rules and regulations that relate to their respective job function.

7.2 ARMS SOFTWARE

Beginning in October 2015, the University at Albany Division of Athletics began a partnership with ARMS Software, a cloud-based system which unifies the Division of Athletics and other campus offices including admissions. ARMS is used daily for recruiting, managing student-athletes, submission of various Division of Athletics and NCAA forms, enhanced compliance monitoring, among several other recruiting and management features. The campus point of contact for ARMS is the Office of Compliance Services.

7.3 VISION STATEMENT

The University at Albany strives to become the benchmark of comprehensive excellence for athletics compliance within the NCAA.

7.4 MISSION STATEMENT

The University at Albany Office of Compliance Services is committed and compelled to the principle of institutional control in the operation of the athletics department in a way that is constant within the rules and regulations and in the spirit of the National Collegiate Athletic Association (NCAA), the conferences, and the University.
The Office of Compliance Services directs this effort and serves as a resource center concerning NCAA regulations and compliance issues. The primary functions of the Office of Compliance Services are to oversee and verify the accurate and timely completion of NCAA-required processes. In addition, the Office of Compliance Services provides educational programming through various mediums and interpretive support to ensure that all individuals involved with the athletics programs fully understand the University at Albany’s compliance expectations. It is the responsibility of the Office of Compliance Services to ensure that the demands of the NCAA’s and the University's compliance efforts and expectations are properly supported; by encouraging professional growth in the area of rules compliance; by incorporating in others the highest regard for ethical conduct; by fostering an environment that is supportive of the NCAA operating principle of competitive equity; by seeking out diversity and gender equity; and by fostering individual empowerment and personal well-being of our student-athletes.

Compliance with the NCAA, America East, Colonial Athletic Association and the Metro Atlantic Athletic Conference rules is of utmost importance to the University at Albany and its athletics department. As a member of the NCAA, the University at Albany is responsible for the actions of its coaches, student-athletes, faculty and staff, alumni, donors, boosters and friends. As such, please take a moment to familiarize yourself with these important items concerning NCAA rules and always remember to ASK BEFORE YOU ACT.

7.5 PROCEDURES RELATED TO REGULATIONS GOVERNED BY BYLAW 10: ETHICAL CONDUCT

HONESTY AND SPORTSMANSHIP

NCAA Bylaw 10.01.1 Honesty and Sportsmanship states that individuals employed by (or associated with) a member institution to administer, conduct or coach intercollegiate athletics and all participating student-athletes shall act with honesty and sportsmanship at all times so that intercollegiate athletics as a whole, their institutions and they, as individuals, shall represent the honor and dignity of fair play and the generally recognized high standards associated with wholesome competitive sports.

SPORTS WAGERING

Sports wagering includes placing, accepting or soliciting a wager (on a staff member's or student-athlete's own behalf or on the behalf of others) of any type with any individual or organization on any intercollegiate, amateur or professional team or contest. Examples of sports wagering include, but are not limited to, the use of a bookmaker or parlay card; internet sports wagering; auctions in which bids are placed on teams, individuals or contests; and pools or fantasy leagues in which an entry fee is required and there is an opportunity to win a prize.
A wager is any agreement in which an individual or entity agrees to give up an item of value (e.g., cash, shirt, dinner) in exchange for the possibility of gaining another item of value.

**Scope of Application**

The prohibition against sports wagering applies to any institutional practice or any competition (intercollegiate, amateur or professional) in a sport in which the Association conducts championship competition, in bowl subdivision football and in emerging sports for women.

**Exception**

The provisions of Bylaw 10.3 are not applicable to traditional wagers between institutions (e.g., traditional rivalry) or in conjunction with particular contests (e.g., bowl games). Items wagered must be representative of the involved institutions or the states in which they are located.

**Sanctions**

There will be a case by case inquiry into each sports wagering violation of Bylaw 10.3.

**Disciplinary Action**

Prospective or enrolled student-athletes found in violation of the provisions of this regulation shall be ineligible for further intercollegiate competition, subject to appeal to the Committee on Student-Athlete Reinstatement for restoration of eligibility. Institutional staff members found in violation of the provisions of this regulation shall be subject to disciplinary or corrective action as set forth in Bylaw 19.9, whether such violations occurred at the certifying institution or during the individual's previous employment at another member institution.

**Sports Wagering Acknowledgment**

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

NCAA Bylaw 10.1 states that unethical conduct by a prospective or enrolled student-athlete or a current or former institutional staff member, which includes any individual who performs work for the institution or the athletics department even if he or she does not receive compensation for such work, may include, but is not limited to, the following:

A. Refusal to furnish information relevant to an investigation of a possible violation of an NCAA regulation when requested to do so by the NCAA or the individual's institution;
B. Knowing involvement in offering or providing a prospective or an enrolled student-athlete an improper inducement or extra benefit or improper financial aid;
C. Knowingly furnishing or knowingly influencing others to furnish the NCAA or the individual's institution false or misleading information concerning an individual's involvement in or knowledge of matters relevant to a possible violation of an NCAA regulation;
D. Receipt of benefits by an institutional staff member for facilitating or arranging a meeting between a student-athlete and an agent, financial advisor or a representative of an agent or advisor (e.g., "runner");
E. Knowing involvement in providing a banned substance or impermissible supplement to student-athletes, or knowingly providing medications to student-athletes contrary to medical licensure, commonly accepted standards of care in sports medicine practice, or state and federal law. This provision shall not apply to banned substances for which the student-athlete has received a medical exception per Bylaw 31.2.3.2; however, the substance must be provided in accordance with medical licensure, commonly accepted standards of care and state or federal law;
F. Engaging in any athletics competition under an assumed name or with intent to otherwise deceive; or
G. Failure to provide complete and accurate information to the NCAA, the NCAA Eligibility Center or the institution's athletics department regarding an individual's amateur status.

7.6 PROCEDURES RELATED TO REGULATIONS GOVERNED BY BYLAW 11: CONDUCT AND EMPLOYMENT OF ATHLETICS PERSONNEL

NEW STAFF COMPLIANCE ORIENTATION

The Office of Compliance Services conducts new staff orientations designed to educate

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and keep record of new employees and their initial NCAA and institutional rules education.

All new staff members including but not limited to coaches, athletics advisors, administrators, support and clerical staff, interns or student-workers who have athletics related responsibilities, must be advised by their direct supervisor at the time of hire to meet with the Office of Compliance Services to complete a rules education session within the first two (2) weeks subsequent to their first day of employment.

Upon meeting with the Office of Compliance Services, the individual will receive:
1. Copy of the NCAA Manual (hard copy or electronic version);
2. Copy of the UAlbany Office of Compliance Services Manual (hard copy or electronic version); and
3. Introduction to ARMS Software.

DESIGNATION OF COACHING STAFF

During the summer, the Associate Athletic Director for Compliance sends each Head Coach or designee the Designation of Coaching Staff Form through ARMS. The Head Coach or designee must complete the form to include all paid coaches, volunteer coaches (in sports such coaches are permitted), graduate assistant coaches (in sports such coaches are permitted), directors of sport operations, managers, student coaches and any other personnel that will be working with the team in a coaching, administrative or managerial role for the upcoming year. The form must be signed by the respective Sport Supervisor before being reviewed and approved by the Associate Athletic Director for Compliance. The Associate Athletic Director for Compliance will review the form to ensure that the sport is within its NCAA limitations set forth in Bylaw 11 and sign the form to signify this review has taken place.

Once approved, the form is sent through ARMS to the Athletics Human Resource Manager. The Athletics Human Resource Manager will verify each individual has received Human Resources approval.

All staff changes (additions, deletions) must be reported in a timely manner by the Head Coach or designee to the Associate Athletic Director for Compliance, Athletics Human Resource Manager and Sport Supervisor. Changes to the Designation of Coaching Staff may be made by submitting a new form in ARMS Software. The Associate Athletic Director for Compliance will ensure that any staff changes fall within NCAA regulations.

HEAD COACH RESPONSIBILITY

As part of their employment at the University at Albany, each Head Coach will receive a Head Coach Responsibility Addendum as part of their employment contract. The
addendum will emphasize the expectations and reasonable steps each Head Coach will perform as part of their employment to promote an atmosphere of compliance.

**HEAD COACH RESPONSIBILITY AUDIT**

During the summer, the Office of Compliance Services will schedule meetings with each Head Coach (at the conclusion of their season) to review the academic year. Along with scheduling the meeting, the Head Coach Responsibility Audit will be issued to each Head Coach in order to provide the Head Coach an opportunity to make comments and rate themselves and their program on various areas of compliance. The assessment is to be completed and returned to the Office of Compliance Services prior to the scheduled meeting.

During the scheduled meeting, the assessment will be reviewed as well as other occurrences from the academic year. Additionally, positives, concerns, and recommendations will be discussed reflective of the sport program and the Office of Compliance Services. The completed audit will be kept on file in the Office of Compliance Services and a copy provided to the Head Coach, Sport Supervisor and the Assistant to the Athletic Director to be kept in the Head Coach’s personnel file.

Each Head Coach is encouraged to meet with his/her direct and indirect reports regarding his/her expectations for promoting an atmosphere of compliance annually.

**ATHLETIC STAFF COMPLIMENTARY ADMISSIONS**

The Athletic Ticket Office will review all complimentary admissions requests made by staff members through ARMS Software in consultation with the Athletic Ticket Policy and the Office of Compliance Services staff. All requests must be submitted on the Athletic Staff Comp Admissions Form in ARMS within 24 hours of the start of the game/contest.

**Complimentary Admissions Affirmation**

Annually, coaching staff members in the sports of Men’s Soccer, Football, Men’s Basketball, Women’s Basketball and Men’s Lacrosse will be assigned by the Office of Compliance Services the Complimentary Admissions Affirmation through ARMS to review and sign.

Complimentary admissions represent an outstanding benefit for coaches. At the same time, the monetary value of these items presents a real risk of extra benefit. As a result, all Division I institutions must adhere to strict policy guidelines for administering the complimentary admission process. When effective, all parties benefit and can enjoy watching the accomplishments of those on the field/court.
Coaching staff members agree that they understand they will be receiving complimentary admissions hard tickets for each regular season home game in their respective sport. Further, coaching staff members acknowledge that prospective student-athletes, those accompanying prospective student-athletes, current student-athletes, high school coaches, AAU coaches, preparatory school coaches and two-year college coaches must receive their complimentary admissions through a pass list per NCAA and University at Albany regulations.

**ATHLETICALLY RELATED OUTSIDE INCOME**

All full-time and part-time employees of the University at Albany are subject to the provisions of New York State and SUNY ethics laws and policies, including, but not limited to, those pertaining to conflicts of interest, gifts, financial disclosure, outside activities and lobbying. In addition, all full-time and part-time employees (paid and volunteer) of the Division of Athletics must, no later than September 1 each year, submit an Athletically Related Outside Income Report to the Director of Athletics, or designee, through ARMS Software. This excludes all secretarial and clerical employees.

Completion of this Athletically Related Outside Income Policy and Report does not release an employee from acquiring any permissions or completing any reporting required for outside employment under New York State or SUNY ethics laws and policies or the New York State Public Officers Law. The Athletically Related Outside Income Report is income related to athletics received between July 1 and June 30 each year. The Associate Athletic Director for Compliance will assign these forms through ARMS during the summer.

**STUDENT ASSISTANT COACHES**

A student assistant coach is any coach who is a student-athlete who has exhausted his or her eligibility in the sport or has become injured to the point that he or she is unable to practice or compete ever again, and who meets the following additional criteria:

A. Is enrolled at the institution at which he or she most recently participated in intercollegiate athletics;

B. Is enrolled as a full-time graduate student within his or her five-year period of eligibility (see Bylaw 12.8) or is enrolled as a full-time undergraduate student in his or her first baccalaureate degree program, except that during his or her final semester or quarter of the degree program, he or she may be enrolled in less than a full-time degree program of studies, provided he or she is carrying (for credit) the courses necessary to complete the degree requirements;

C. Is receiving no compensation or remuneration for coaching duties from the institution other than the financial aid that could be received as a student-athlete.
and expenses incurred on road trips that are received by individual team members; and

D. Is not involved in contacting and evaluating prospective student-athletes off campus or scouting opponents off campus and does not perform recruiting coordination functions (see Bylaw 11.7.2).

Each student assistant coach will be issued a Student Assistant Coach Agreement Form through ARMS outlining the parameters of their position by the Associate Athletic Director for Compliance. The agreement requires signatures from the Student Assistant Coach, Head Coach, Sport Supervisor, Associate Athletic Director for Compliance and Athletics Human Resources Manager.

STUDENT MANAGERS

In order to perform traditional managerial duties and assist with on-court/on-field activities, student managers must be registered for a full-time course load or enrolled in the remaining credit hours needed for graduation. The Office of Compliance Services requires all student managers to complete the Manager Agreement Form annually. The Associate Athletic Director for Compliance verifies full-time enrollment at that time. Once the Associate Athletic Director for Compliance signs the Manager Agreement Form, the Registrar is notified that the student must be added to the cannot drop below full-time list.

The manager receives a copy an educational tip sheet that contains NCAA rules pertaining to managers. Coaches are responsible for providing updates to the Associate Athletic Director for Compliance on any changes in managerial staff.

VOLUNTEER COACHES

In sports other than football and basketball, a volunteer coach is any coach who does not receive compensation or remuneration from the institution's athletics department or any organization funded in whole or in part by the athletics department or that is involved primarily in the promotion of the institution's athletics program (e.g., booster club, athletics foundation association). The following provisions shall apply:

A. The individual is prohibited from contacting and evaluating prospective student-athletes off campus or from scouting opponents off campus and may not perform recruiting coordination functions (see Bylaw 11.7.2).
B. The individual may receive a maximum of two complimentary tickets to home athletics contests in the coach's sport.
C. The individual may receive complimentary admission to a home athletics event in conjunction with a prospective student-athlete's official or unofficial visit.
D. The individual may receive complimentary meals incidental to organized team activities (e.g., pre- or postgame meals, occasional meals, but not training table meals) or meals provided during a prospective student-athlete's official or unofficial visit, provided the individual dines with the prospective student-athlete.

E. The individual may receive reasonable entertainment (but may not receive cash for such entertainment) in conjunction with entertainment provided to student-athletes per Bylaw 16.7.

Each volunteer coach will be issued a Volunteer Coach Agreement through ARMS outlining the parameters of their position by the Associate Athletic Director for Compliance. The agreement requires signatures from the Volunteer Coach, Head Coach, Sport Supervisor and Associate Athletic Director for Compliance.

STRENGTH AND CONDITIONING COACH CERTIFICATION

A strength and conditioning coach shall be certified and maintain current certification through a nationally accredited strength and conditioning certification program in adherence with NCAA Bylaw 11.1.5.

The Associate Athletic Director for Compliance will assign the Strength and Conditioning Staff Declaration and Certification Form through ARMS during the summer and must be submitted by August 1 each year. Names of all staff who will be conducting strength and conditioning workouts with student-athletes at the University at Albany must be provided along with copies of their certification, First Aid and CPR. If there are changes to the staff during the academic year, a new Strength and Conditioning Staff Declaration and Certification Form must be submitted through ARMS.

INDIVIDUAL ASSOCIATED WITH A PROSPECTIVE STUDENT-ATHLETE: MEN'S BASKETBALL

In men's basketball, during a two-year period before a prospective student-athlete's anticipated enrollment and a two-year period after the prospective student-athlete's actual enrollment, an institution shall not employ (either on a salaried or a volunteer basis) or enter into a contract for future employment with an individual associated with the prospective student-athlete in any athletics department noncoaching staff position or in a strength and conditioning staff position.

Hiring

Prior to the official hiring of a noncoaching staff position or in a strength and conditioning staff position in men’s basketball, the individual must complete the IAWP Hiring form. This form will be reviewed by the Office of Compliance Services.
INDIVIDUAL ASSOCIATED WITH A RECRUITED PROSPECTIVE STUDENT-ATHLETE: WOMEN’S BASKETBALL

In women’s basketball, during a two-year period before a recruited prospective student-athlete’s anticipated enrollment and a two-year period after the recruited prospective student-athlete's actual enrollment, an institution shall not employ (either on a salaried or volunteer basis) or enter into a contract for future employment with an individual associated with the recruited prospective student-athlete in any athletics department noncoaching staff position or in a strength and conditioning staff position.

Hiring

Prior to the official hiring of a noncoaching staff position or in a strength and conditioning staff position in women’s basketball, the individual must complete the IAWRP Hiring form. This form will be reviewed by the Office of Compliance Services.

7.7 PROCEDURES RELATED TO REGULATIONS GOVERNED BY BYLAW 12: AMATEURISM AND ATHLETICS ELIGIBILITY

AMATEURISM CERTIFICATION

In accordance with NCAA Bylaw 12.1, as part of the eligibility certification process, prospective student-athletes must receive final amateurism certification before they can travel and participate in athletic competition. Final amateurism certification can be requested by prospects through the NCAA Eligibility Center beginning April 1st of their senior year for fall enrollees and beginning October 1st of their senior year for mid-year enrollees. Prospective student-athletes are required to complete each area of the certification questionnaire. The Office of Compliance Services will provide amateurism status updates for all coaches on their prospective student-athletes on a case-by-case basis.

If a prospective student-athlete reports for athletics participation before the student’s amateur status has been certified, the student may practice, but not compete, for a maximum period of 45 days. After this period, the student shall have his or her amateur status certified to continue to practice or to compete.

Prior to enrollment at UAlbany, each new student-athlete must complete the Amateurism Status After Final Certification Form in ARMS as part of the required athletics participation forms. This form verifies that there has been no change in amateur status between the time of final amateurism certification by the NCAA Eligibility Center and enrollment at UAlbany.
ATHLETIC AGENTS

Policy and Procedure

The Division of Athletics maintains the following policy on agents (as defined by NCAA Bylaw 12.3) and other representatives involved in the professional sports market. The Agent Policy is designed to monitor outside organizations and individuals who would like to contact UAlbany student-athletes for the purpose of representation with a professional sports organization and/or in the professional sports market.

The Agent Policy seeks to ensure that communication and interaction by individuals seeking to contact, represent and promote UAlbany student-athletes in the professional sports market is consistent with NCAA regulations, any applicable federal or state laws, and that such individuals are registered with the Office of Compliance Services and have accepted the stipulations of the Agent Policy.

The Division of Athletics has delegated oversight and supervision of the Agent Program to the Associate Athletic Director for Compliance.

Overview

NCAA rules and regulations stipulate that both prospective and current student-athletes are ineligible for intercollegiate competition at the University at Albany if an agent directly or indirectly represents (or attempts to represent) any such prospective or current student-athlete. Both written and oral agreements for representation are applicable. This includes, but is not limited to, representation related to marketing athletic ability or reputation for financial gain, obtaining any type of financial gain or benefit from securing a prospective student-athlete's enrollment at an educational institution or from a student-athlete's potential earnings as a professional athlete. This includes agreements that are not sport-specific.

Activities Considered Under Agent Policy

- Soliciting or contacting UAlbany student-athletes for the express purpose of representation in the professional sports market. For purposes of this Agent Policy, contact includes both direct and indirect contact, including, but not limited to face-to-face interaction and electronic communication, including social media.
- Negotiating financial compensation or benefits with a professional sports organization or entities related to sports organizations, including commercial sponsors.
- Counseling or advising for the purpose of negotiating with a professional sports organization or entities related to sports organizations.
● Making representations to a professional sports organization or entities related to sports organizations regarding an individual’s worth, or potential worth, as a professional.
● Any other activities that can be interpreted as representation for financial compensation in the professional sports market or related industries.

Registration Policy

All individuals who wish to speak to a UAlbany student-athlete must make their intentions known to the Associate Athletic Director for Compliance. All agents must register with the state of New York. All requirements may be found on the New York State website. http://www.dos.ny.gov/licensing/athleteagent/athleteagent.html

Also, the individual must complete the Athlete Agent Registration form located on the Office of Compliance Services website. Any individual contacted by a student-athlete with respect to the professional sports market or related industry representation must also complete the Athlete Agent Registration Form and be registered with New York State.

By signing the registration form, the individual represents that he or she has read and will be bound by the Agent Policy. By completing and signing the form and upon approval by the Associate Athletic Director for Compliance, the registered agent/representative acknowledges and agrees to the following:
● Any registered agent/representative will be bound by and must conform to the Policy, and shall not willfully evade, violate, or circumvent the policy or process.
● Any registered agent/representative may be removed from the Program if UAlbany, faculty, or staff members acquire knowledge that statements made on the registration form are false or that the registered agent/representative has violated the Agent Policy.

Individuals may be denied registration by UAlbany if they have not registered as an athletics agent with the state of New York or are to be found of fraudulent misrepresentation.

Agent Conduct

In accordance with NCAA and the respective professional sports organization regulations governing agent activity, UAlbany holds its student-athletes and the reputation of them as a high priority. Therefore, it is of paramount importance that the registered agents/representatives conduct themselves in an appropriate manner.

Registered agents/representatives may contact UAlbany student-athletes in accordance with the time periods specified for such contact for the purpose of discussing potential
professional careers and possible subsequent representation. No actions or discussions may include any oral or written agreement for representation. Such agreements violate NCAA rules and will jeopardize the eligibility of the student-athlete.

The Office of Compliance Services provides its student-athletes with all information received from registered agents/representatives and encourages student-athletes to interact with registered agents/representatives only.

**Contact Regulations**

The Agent Policy specifies that in-person interaction between registered agents/representatives and UAlbany student-athletes will be defined by the following guidelines.

Once requested to and approved by the Associate Athletic Director for Compliance, in-person contact between registered agents/representatives and student-athletes may take place, except during the following periods.

- Basketball – October 1 until the end of the season (including postseason)
- Baseball – February 1 until the end of the season (including postseason)
- Football – August 1 until the end of the season (including postseason)
- All other sports – Subject to the Head Coach’s discretion.

The Head Coach for each applicable sport has the ultimate authority to waive the “no contact” policy and allow in-person contact or to implement more strict guidelines.

**Registered Agents/Representatives Will**

- Notify the Associate Athletic Director for Compliance prior to initially contacting any student-athlete at UAlbany. The Associate Athletic Director for Compliance will then inform the Head Coach of such interest and distribute any materials to the head coach to present to his or her student-athletes;
- Maintain the highest degree of integrity and competence in discussions with professional organizations regarding UAlbany student-athletes;
- Fully disclose any and all relationships, including but not limited to, financial or employment relationships with professional organizations or financial advisors;
- Fully comply with any applicable local and/or federal laws regarding the agent/representative process;
- Comply with all NCAA bylaws and regulations and shall not take any action to cause any student-athlete or UAlbany to be in violation thereof.
Registered Agents/Representatives May Not

- Take any action that will result in a declaration of ineligibility of any student-athlete or sanction against UAlbany;
- Engage in any unlawful conduct involving fraud, deceit, misrepresentation, or misrepresent or conceal facts from the student-athlete, the student-athlete’s family/friends, Head Coach, Associate Athletic Director for Compliance, or any other UAlbany employee regarding potential representation;
- Provide or offer to provide any type of benefit or incentives including, but not limited to: money, meals, gifts, or transportation to a student-athlete and/or the student-athlete’s family members and friends at any time prior to the conclusion of the student-athlete’s eligibility to compete for the, or upon which time the student-athlete officially declares eligibility for a professional organization’s draft;
- Provide false or misleading information regarding continuing eligibility to participate in intercollegiate competition under NCAA, America East, Colonial Athletic Association, and Metro Atlantic Athletic Conference rules and regulations, to any individual for the purpose of solicitation as an agent/representative of a UAlbany student-athlete;
- Present false or misleading titles or credentials to a UAlbany student-athlete for the purpose of solicitation as an agent/representative.

Responsibilities of the Division of Athletics

The primary concern of the Division of Athletics is its student-athletes. Student-athletes who have the opportunity to compete as a professional in their respective sport are encouraged to inform the Office of Compliance Services. The Associate Athletic Director for Compliance will provide guidance and the appropriate instruments to assist the student-athlete’s pursuit of a professional sports career. Educational sessions may be conducted throughout the year and all student-athletes, their family members and friends will receive all information obtained from registered agents/representatives.

Coaches play a fundamental role in the process and all members of the UAlbany coaching staff are required to notify the Office of Compliance Services of any communications with individuals interested in representing and/or marketing the athletic ability of their student-athletes. In addition, coaches are encouraged to participate in the educational sessions held with the student-athletes.

Responsibilities of Student-Athletes

It is up to the student-athlete and/or his or her family whether he or she participates in the Program. UAlbany student-athletes must only communicate with registered
agents/representatives only. Once contact has been initiated by a prospective agent/representative or student-athlete, student-athletes are required to report such contact with their Head Coach and the Office of Compliance Services. Student-athletes are also encouraged to direct unregistered agents/representatives to the Office of Compliance Services immediately. This is a necessary step in protecting the well-being and interests of the student-athlete, athletics program, and the individual will be required to register with the Office of Compliance Services. Student-athletes are encouraged to share all information received regarding registered agents/representatives with family members and friends who will participate in their decision-making process.

UAlbany student-athletes will be held responsible for the actions of family and friends with regard to registered agents/representatives. Further, UAlbany student-athletes are responsible for reporting any and all benefits/expenses paid or offered by third party individuals to the student-athlete, family members, or friends.

UAlbany student-athletes may not enter into a verbal or written agreement with an agent for future representation until he/she has exhausted their eligibility at UAlbany. Entering into an oral or written agreement with an individual for future representation will result in intercollegiate ineligibility. Lastly, a student-athlete may not utilize a lawyer or advisor during proposed contract negotiations, or allow these individuals to have any direct contact with a professional sports organization on behalf of the student-athlete or the family.

Student-athletes are not permitted to miss class time or other educational commitments to participate in the Athlete Agent Program.

**Agent Sessions**

Periodically, the Office of Compliance Services may conduct events in which registered agents will have the opportunity to meet UAlbany student-athletes. Registered agents/representatives will receive invitations to such events as they are scheduled.

**Complaints, Consequences and Actions**

The Office of Compliance Services will record any complaints received about registered agents/representatives. Complaints will be based on information regarding actions or conduct of an agent/representative with respect to the solicitation of the student-athlete, teammates, family members and friends, or coaches in any manner that violates or contradicts the Agent Policy, the respective professional sports organization, NCAA rules or any applicable state or federal law. Any breach of federal and/or state agent law(s) will be investigated and forwarded to the appropriate officials.

Consequences for any such violation or breach may include, but are not limited to, the following:

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● A formal complaint will be filed with NCAA and the applicable players associations with which the agent is registered;
● The State of New York will be notified if the agent is not registered;
● Suspension or revocation of the agent’s/representative’s registration with the Agent Program; and
● Publication of complaint to the UAlbany athletics staff, coaches and UAlbany student-athletes.

STUDENT-ATHLETE REQUESTS FOR PERSONAL APPEARANCE/USE OF STUDENT-ATHLETE IMAGES

PROMOTIONAL ACTIVITIES WAIVER

At the beginning of each academic year, all student-athletes complete a Promotional Activities Waiver Form. By signing this release, the student-athlete agrees to allow the institution to use their name, likeness, image (including photograph(s)) in publications or video productions that are produced by the institution or any of its agents, executors, administrators, employees, and all its persons, firms, corporations, associations or partnerships.

These publications and/or video productions include, but are not limited to:
Photographs;
● Media guides;
● Posters, brochures, schedule cards, game programs;
● Tickets;
● Internet sites;
● Highlight tapes; and
● Any other permissible promotional activity as defined by NCAA Bylaw 12.5.

Further, by signing the acknowledgment and release, the student-athlete agrees to allow the institution, or any of its agents, executors, administrators, employees, and all its persons, firms, corporations, associations or partnerships to the full extent allowed by NCAA Bylaws, to use their name, image, likeness, and photograph for the purpose of promoting and participating in promotional activities and functions that are sponsored, conducted and/or contributed to by the institution. These promotional activities include, but are not limited to, booster club functions, media day activities, ticket sales, autograph signings, fundraising events and permissible donations to outside organizations pursuant to NCAA Bylaws.
PROMOTIONAL ACTIVITIES REQUESTS

All requests for student-athletes to appear in the community and for a student-athlete’s name or picture to be used in any capacity (other than by the Division of Athletics) must be reviewed by the Office of Compliance Services. The sponsoring agency and athletics staff member assisting with the coordination of the activity must complete the Promotional Activities Form located on the Office of Compliance Services website. The promotional activity will be reviewed and either approved or denied by the Associate Athletic Director for Compliance, in adherence to NCAA Bylaws.

CONTINUATION OF MODELING AND OTHER NONATHLETICALLY RELATED ACTIVITIES AFTER ENROLLMENT

Per NCAA Bylaw 12.5.1.3, if an individual accepts remuneration for or permits the use of his or her name or picture to advertise or promote the sale or use of a commercial product or service prior to enrollment in a member institution, continued remuneration for the use of the individual's name or picture (under the same or similar circumstances) after enrollment is permitted without jeopardizing his or her eligibility to participate in intercollegiate athletics only if all of the following conditions apply:

A. The individual's involvement in this type of activity was initiated prior to his or her enrollment in a member institution;
B. The individual became involved in such activities for reasons independent of athletics ability;
C. No reference is made in these activities to the individual's name or involvement in intercollegiate athletics;
D. The individual does not endorse the commercial product; and
E. The individual's remuneration under such circumstances is at a rate commensurate with the individual's skills and experience as a model or performer and is not based in any way upon the individual's athletics ability or reputation.

Student-athletes must complete the Continuation of Modeling/Other Nonathletic Promotional Activities Form in ARMS to verify they understand the rules surrounding this legislation.

EDUCATIONAL PRODUCTS RELATED TO SPORT-SKILL INSTRUCTION

Per NCAA Bylaw 12.5.1.5 Educational Products Related to Sport-Skill Instruction, it is permissible for a student-athlete’s name or picture to appear in books, articles and other publications, films, videotapes, and other types of electronic reproduction related to sport-skill demonstration, analysis or instruction, provided all of the following conditions are met:

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A. Such print and electronic media productions are for educational purposes;
B. There is no indication that the student-athlete expressly or implicitly endorses a commercial product or service;
C. The student-athlete does not receive, under any circumstances, any remuneration for such participation; however, the student-athlete may receive actual and necessary expenses related to his or her participation; and
D. The student-athlete has signed a release statement ensuring that the student-athlete's name or image is used in a manner consistent with the requirements of this section and has filed a copy of the statement with the student-athlete’s member institution.

Prior to publication, the student-athlete must seek approval from the Office of Compliance Services. The student-athlete must submit the Student-Athlete Instructional Products Approval Form in ARMS and upload a copy of the statement which will appear in the book/article or other publication. The Associate Athletic Director for Compliance will review the request to ensure adherence with NCAA Bylaw 12.5.1.5.

**EMPLOYMENT – STUDENT-ATHLETES**

NCAA regulations allow student-athletes to hold on- or off-campus employment. Earnings from such employment is exempt and is not counted in determining the student-athlete’s cost of attendance or financial aid limitations provided:

1. The student-athlete’s compensation does not include any remuneration for value or utility that the student-athlete may have for the employer because of publicity, reputation, fame, or personal following that he/she has obtained because of athletic ability;
2. The student-athlete is compensated only for work that is actually performed; and
3. The student-athlete is compensated at a rate commensurate with the going rate in that locality for similar services.

**Procedure**

Student-athletes are notified both at the beginning of year compliance meetings and at the end of year compliance meetings that they must complete the appropriate employment form. These include: Student-Athlete Regular Employment Form, Student-Athlete Self Employment Form, Student-Athlete Camp/Clinic and Fee-for-Lesson Form and Academic Year Employment Form.

1. The respective form is submitted to the Office of Compliance Services through ARMS Software.
2. Upon receipt of the form, the Office of Compliance Services will review the form to ensure that all necessary information has been completed.

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3. Once all information has been verified, confirmation of the approval is given to the student-athlete through an automated email.
4. Follow up spot checks may be done with the employer to ensure that the correct wage amount has been included on the form and to verify dates and status of employment.

CAMP/CLINIC EMPLOYMENT OF STUDENT-ATHLETES

A student-athlete may be employed in any sports camp or clinic, provided compensation is provided pursuant to the criteria of Bylaw 12.4.1. A student-athlete who only lectures or demonstrates at a camp/clinic may not receive compensation for his or her appearance at the camp/clinic. A student-athlete with remaining eligibility is not permitted to conduct his or her own camp or clinic. If a student-athlete is employed at a camp or clinic, they will be assigned a Student-Athlete Camp/Clinic and Fee-for-Lesson Form through ARMS to complete.

FEE-FOR-LESSON INSTRUCTION

A student-athlete who is receiving compensation for teaching or coaching skills in his/her sport is permitted to do so provided the Student-Athlete Camp/Clinic and Fee-for-Lesson Form is completed and approved prior to the student-athlete giving the lessons for which he/she will be paid. The form contains questions addressing lesson requestor, lesson recipient, anticipated number of lessons, location, rate of pay, going rate of pay and relationship to fee payer.

MALE PRACTICE PLAYERS

A male student may engage in practice sessions with women's teams subject to the following conditions:

A. A male student who practices with an institution's women's team must be verified as eligible for practice in accordance with Bylaw 14.2.1 and must have eligibility remaining under the five-year rule (see Bylaw 12.8.1);

B. It is not permissible for an institution to provide a male student financial assistance (room and board, tuition and fees, and books) in return for practicing with a women's team. A male student who is receiving financial aid or any compensation for serving in any position in the athletics department may not practice with a women's team. A male student-athlete who is a counter in a men's sport may not engage in practice sessions with an institution's women's team in any sport;
C. It is not permissible for an institution to provide a male student room and board to remain on campus during a vacation period to participate in practice sessions with a women's team;
D. It is not permissible for a recruited male student-athlete who is serving an academic year of residence as a nonqualifier to participate in practice sessions with a women's team. A nonrecruited male student who is serving an academic year of residence as a nonqualifier may participate in practice sessions with a women's team;
E. It is permissible for an institution to provide practice apparel to a male student for the purpose of practicing with a women's team; and
F. A male student who practices with an institution’s women’s basketball team may participate in required summer athletic activities, provided he was enrolled full time at the conclusion of the regular academic term (e.g., spring semester or quarter) immediately preceding the institution’s summer term.

Male practice players may only participate 2 days per week. Practice hours for male practice players must be logged in ARMS Software.

Procedure
1. Coach must notify the Office of Compliance Services regarding a potential male practice player.
2. The individual will be required to complete the Male Practice Player Certification Form in ARMS, which is approved by the Head Coach or designee, Sports Medicine, Compliance, and Academic Services.
3. The individual must complete the Pre-Participation Medical Questionnaire, Primary Insurance Form and Sickle Cell Trait Testing Information Form in ARMS. In addition, the male practice player must be medically cleared by the sport-specific athletic trainer.

PARTICIPATION RECORDS

Participation records are kept on the Season of Eligibility Confirmation Form by which each Head Coach details the following:
A. Did the student-athlete participate this season;
B. Total years of eligibility used;
C. Is the student-athlete returning/graduating; and
D. Any other relevant comments (e.g.; pending medical hardship waiver).

The form is signed by the Head Coach and Assistant Athletic Director for Compliance.
Procedure
1. The Assistant Athletic Director for Compliance will provide each Head Coach the Season of Eligibility Confirmation Form annually.
2. Upon receipt of the completed form from each Head Coach, the Assistant Athletic Director for Compliance will:
   a. Review the form to ensure all student-athletes who are listed as having participated in a competition were eligible for competition at the time of the competition.
   b. Verify the seasons of eligibility used with statistics provided by Media Relations.
   c. Ensure all student-athletes competed in no more than the maximum number of contests/dates of competition in which they can participate in during a particular academic year.
   d. Ensure each team participated in no more than the maximum number of contests/dates of competition in which the team may participate in a particular playing segment.
   e. Ensure each sport is in compliance with Bylaw 20 regulations.
   f. Input the participation information into Compliance Assistant.

7.8 PROCEDURES RELATED TO REGULATIONS GOVERNED BY BYLAW 13: RECRUITING

All recruiting activities shall conform to NCAA rules and regulations. Each staff member involved in the recruitment of prospective student-athletes shall possess a sound working knowledge of all applicable policies and regulations. Due to the complexity of recruiting legislation set forth by the NCAA, and the varied nature of rules between sports, questions will undoubtedly arise. It is imperative that questions related to recruiting be addressed with the Office of Compliance Services. Failure to comply with recruiting rules will result in violations; but many times can also result in a prospective student-athlete being declared ineligible pending reinstatement by the NCAA.

NCAA COACHES CERTIFICATION EXAM

NCAA regulations require that all coaches who engage in off-campus recruitment activities achieve a passing score on the NCAA Coaches Certification Examination on an annual basis. The exam will be proctored by the Office of Compliance Services and administered during the summer, prior to July 31 annually. The Office of Compliance Services requires both paid and volunteer coaches and directors of operations (even though they are not permitted to recruit off-campus) to successfully pass the exam annually. Dates and times for exams will be provided to athletics staff to sign up on a first-come, first-serve basis and will take place in a controlled environment (e.g.,

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computer lab). The exam will be administered to new hires as soon as possible upon employment. If certification is current from another Division I institution, the Office of Compliance Services will verify certification with the coach’s previous employer.

**DOCUMENTATION OF RECRUITING**

NCAA regulations place specific limitations on many recruiting activities. Therefore, each coach will be required to complete appropriate documentation provided by the Office of Compliance Services in a detailed, timely manner through ARMS Software. In addition to the forms required by compliance, coaches should maintain any other relevant files and information in the recruit’s ARMS profile.

Documentation of the various recruiting activities (as specified) below, must be submitted by the 15th of the subsequent month (i.e., April activities are to be logged by May 15). In the event a coach is delinquent, the following steps are taken:

1. One week late: email to coaching staff and Sport Supervisor.
2. Two weeks late: email to coaching staff, Sport Supervisor and Director of Athletics.
3. Four weeks late: reductions in recruiting activities (e.g., official visits, recruiting-person days).

For recording recruiting activities (i.e. contacts, evaluations, official visits, unofficial visits, phone calls) coaches must create an ARMS profile for each prospective student-athlete. The minimum information required to create an ARMS profile is the prospective student-athlete’s full name and high school graduation year. Once created, all activities must be recorded on a monthly basis. Recruiting activity logs are reviewed on the 15th of the subsequent month. If something seems out of the ordinary or on a random basis, the logs may be crosschecked with Athletic Business Office records.

Coaches should continue to record all recruiting activities with National Letter of Intent signees, as these individuals are still prospects until they begin practice or start attending classes at UAlbany.

Every telephone call received by an individual (or his or her family members) prior to the first permissible date in a coach’s sport to make an outgoing call to that individual (or his or her family members) must be logged in ARMS.

If a coach’s sport has unlimited telephone calls, once the first permissible date to make an outgoing telephone call arises for that individual, the first telephone call must be logged in ARMS. All subsequent calls do not need to be logged.

All assistant and head coaches are required to submit monthly phone logs to the Office of Compliance Services using ARMS. Coaches can document calls either through the
ARMS mobile app or through a computer. The ARMS app can be downloaded in the App Store or Google Play Store for free. Phone logs are reviewed on the 15th of the subsequent month. If something seems out of the ordinary or on a random basis, the logs may be cross checked with the coach’s office phone records or cell phone records.

All coaching staff members are required to sign an Electronic Communications Affirmation Form through ARMS annually. This certifies the coaching staff member understands the NCAA rules related to texting, social media, emails and other forms of electronic correspondence in their sport.

TWO YEAR COLLEGE PROSPECTIVE STUDENT-ATHLETES

Students enrolled at a 2-year institution who were not qualifiers out of high school may not be contacted during their first year at the 2-year institution.

FOUR-YEAR COLLEGE PROSPECTIVE STUDENT-ATHLETES

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

Coaches contacted by a prospective student-athlete at an NCAA Division I or NCAA Division II institution must verify the prospective student-athlete’s information has been entered into the notification of transfer database and wishes to be contacted or the Office of Compliance Services has received written permission to contact for an NCAA Division III or NAIA prospective student-athlete prior to engaging in any conversations.

A violation as it relates to contact with a four-year college prospective student-athlete may constitute a Level II Violation (Significant Breach of Conduct).

When recruiting prospective student-athletes who are interested in transferring to UAlbany, the following procedures will be followed in certifying eligibility for participation:

1. Consult the NCAA Transfer Portal to verify a prospective student-athlete’s information is authorized in the system.
2. Notify the compliance staff concerning transfer assessment. The compliance staff will review the Transfer Tracer.
3. Coaches must follow the Admissions Review process in addition to the above process.

RECRUITING RELATED CASH ADVANCES

All recruiting-related cash advances for student-athlete host money must be reviewed and approved by the Office of Compliance Services within 24 hours of receiving them prior to review and processing by the Business Office. When such an advance request is received, the Assistant Athletic Director for Compliance will contact the Assistant Athletic Director for Business to obtain the cash advance.

All other recruiting related cash advance requests are made to the Business Office and must be reviewed and acted on within 24 hours of receiving them – unless there is a legitimate reason to delay review (e.g., the sport has been “shut down” for not being current with other paperwork, etc.).

RECRUITING RELATED EXPENSE REPORTS

All recruiting related expense reports are reviewed by the Business Office on a monthly basis. All expense reports are to be turned in within 72 hours of the expense or return from the trip and may be reviewed with recruiting activity logged in ARMS Software.

OFFICIAL VISITS

Due to their very nature, official visits command an increased level of scrutiny and expectation from the NCAA and UAlbany’s Office of Compliance Services. Coaches should be reminded that in addition to complying with all NCAA rules, official visits and their related components must adhere to all institutional policies. Please remember that the university may impose more stringent standards and policies than the NCAA with respect to official visits.

Coaches must submit an Official Visit Request Form through ARMS before a prospect can take part in an official visit. The following information must be included:
   1. Up-to-date transcript, with senior year if applicable.
   2. Test scores from PSAT, SAT, ACT or TOEFL on official testing document or HS transcript.
   3. The prospective student-athlete must be registered with the NCAA Eligibility Center and placed on the respective team’s IRL for the corresponding recruiting year before being able to arrive on campus for an official visit.
   4. An itinerary for all activities on the visit.
5. If a four-year college transfer, the Office of Compliance Services must verify the prospect is entered in the notification of transfer database or written permission to contact is on file.
6. Transfers need to have an up-to-date transcript(s) from their respective institution(s).

Please note that all student-athletes serving as hosts must register prospects as their guests in their on-campus housing.

Upon the completion of the official visit, coaches are required to complete the Post-Visit Summary. The following documents must be uploaded into the Post-Visit Summary in ARMS:
   1. Student Host Instructions and Money Form;
   2. Student Host Activity Log; and
   3. Copies of all receipts.

**UNOFFICIAL VISITS**

All unofficial visits, regardless of duration, must be documented on the Unofficial Visit Record Form in ARMS no later than the 15th of the subsequent month in which the unofficial visit occurred.

**STUDENT HOSTS**

Every student-athlete who hosts a prospective student-athlete during an official visit must sign a Student Host Instructions Form. The form outlines appropriate conduct and applicable University, Conference Affiliate and NCAA rules. The Student Host Instructions Form must be signed in conjunction with each official visit. Thus, a student-athlete who hosts multiple prospects at the same time shall sign one Student Host Instructions Form for all prospects he/she is hosting at that time. And, a student-athlete who hosts prospects on multiple occasions shall sign one Student Host Instructions Form on each occasion of hosting a prospect or prospects.

The Student Host Instructions Form is administered by a coach or other sport specific staff member to the student host. The form must be signed upon receipt of the student host money from the Assistant Athletic Director for Compliance and completed following the visit to indicate how the host money was spent. Upon completion of the form, the form should be submitted within the Post-Visit Summary of the Official Visit Request Form in ARMS.
COMPLIMENTARY ADMISSIONS

Prospective Student-Athletes

Complimentary admission for prospects to any home contest must be requested in ARMS through the submission of the PSA Official Visit Complimentary Admissions Form or the PSA Unofficial Visit Complimentary Admissions Form to the Athletic Ticket Office for approval, in consultation with the Office of Compliance Services. If a sport program has 11 or more prospects attending a single home contest, a spreadsheet can be submitted by email to the Office of Compliance Services and Athletic Ticket Office for review and processing. All requests must be submitted within 24 hours of game time.

- Official Visit
  - A maximum of five (5) complimentary admissions for a prospective student-athlete (and those accompanying the prospect).
- Unofficial Visit
  - A maximum of three (3) complimentary admissions for a prospective student-athlete (and those accompanying the prospect).
  - If a prospective student-athlete is a member of a nontraditional family (e.g., divorce, separation), the institution may provide up to two (2) additional complimentary admissions to the prospective student-athlete in order to accommodate the family members accompanying the prospective student-athlete (e.g., stepparents) to attend a home athletics event.

In all cases, admission will be issued through the use of a pass list and will require presentation of photo identification. No hard tickets will be issued prior to any athletic event for complimentary admissions. At no time will a prospective student-athlete receive complimentary admissions to an away competition, conference or NCAA championship event.

High School/Prep/Two-Year College Coaches

Coaches or anyone else responsible for teaching or directing any activity in which a prospective student-athlete is involved must be requested by UAlbany coaching staff members by submitting the HS/Prep/2-Year College Coach Complimentary Admissions Form through ARMS. All requests must be submitted within 24 hours of game time.

A maximum of two (2) complimentary admissions to a home athletics event will be issued through the use of a pass list and will require presentation of photo identification. No hard tickets will be issued prior to any athletic event for complimentary admissions. At no time will a high school/prep/two-year college coach receive complimentary admissions to an away competition, conference or NCAA championship event.
BASKETBALL ON-CAMPUS EVALUATIONS

Basketball may conduct an on-campus evaluation during an official or unofficial visit. The Basketball On-Campus Evaluation packet must be completed in its entirety 72 hours prior to a prospective student-athlete participating in an on-campus evaluation. The eligibility of the prospect to engage in such an activity must be approved by the Office of Compliance Services, and the receipt of all medical documentation must be confirmed by the sport-specific athletic trainer.

RECRUITING/SCOUTING SERVICES

The Office of Compliance Services requires a Recruiting/Scouting Service Request Form to be completed in ARMS prior to the purchasing of any service in the sports of football and basketball to ensure adherence to Bylaw 13.14.3. This request is approved by the Office of Compliance Services and the Athletic Business Office. A valid invoice must be uploaded to the request form.

SUMMER WORKOUTS - INCOMING STUDENT-ATHLETES

Any student-athlete who has not begun his or her regular full-time enrollment at UAlbany may work out in the athletics department’s facilities during the summer prior to their enrollment if they have signed a National Letter of Intent, or, for transfers, a financial aid agreement; or are enrolled in and attending summer school (whether financed by the institution, self-financed, or a combination of both). Such workouts are governed by either summer athletic activity or by the voluntary athletic activity NCAA legislation.

LOCAL SPORTS CLUBS

All local sports club employment must be documented with the Office of Compliance Services annually prior to working with any local sports club. The Local Sports Club Employment Form in ARMS must be completed by the club director and UAlbany staff member who will be working with the local sports club, in adherence with Local Sports Clubs legislation in Bylaw 13. This form is approved by the Sport Supervisor and the Office of Compliance Services.

The following information must be uploaded into the Local Sports Club Employment Form in ARMS:
1. Roster Declaration Form;
2. Staff Declaration Form;
3. Training Schedule;
4. Competition Schedule;
5. Articles of Incorporation, Club Policies, Membership Criteria;
6. Uniform Facility Agreement (if using UAlbany facilities); and

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CAMPS AND CLINICS

The coaching staff at the University at Albany conducts camps and clinics in a wide variety of sports. These clinics are beneficial to the community at large; allowing coaches and staff the opportunity to share their knowledge and expertise in their respective sport. In all cases, the University at Albany Division of Athletics is committed to ensure that its clinics are open to the public and in compliance with all NCAA and University rules. The University at Albany recommends a 1 to 10 ratio of counselors to participants for all camps and clinics. Please note that all camps and clinics conducted by University at Albany coaches must be approved per guidelines established by the University at Albany and the Division of Athletics.

Per NCAA Bylaw 13.12.1.1, an institution's sports camp or instructional clinic shall be any camp or clinic that is owned or operated by a member institution or an employee of the member institution's athletics department, either on or off its campus, and in which prospective student-athletes participate.

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

Institutional Camps and Clinics Policy

1. Facility Availability

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

Conditional approval will be granted based on availability. It is the Camp Director's responsibility to obtain the necessary approvals as outlined in this document.

2. Paperwork

Camp Directors will be notified via email when their request has been approved. The event(s) will not be considered confirmed until the revocable permit has been approved AND you have received written approval from the Compliance and Facilities Offices.
The University recognizes all on-campus camps and clinics as external facility rentals. Therefore, a revocable permit must be obtained and the application can be found at the following link: https://www.albany.edu/risk-management/revocable-permit. The permit application, certificate of insurance and $50 application fee must be submitted in a single packet addressed to the Office of Facilities Management at least 30 days in advance. Please allow two weeks for approval. The Controller's Office will contact the Camp Director (and copy the Associate Athletic Director for Facilities, Scheduling and Game Operations or Designee,) via email when the permit is approved or if additional information is required.

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

SUNY Child Protection Policy-Camps/Clinics/Fundraisers

Anytime minors are on campus and our faculty, staff, students or volunteers have direct oversight or supervision, we are required under the SUNY Child Protection Policy to run each of our employees participating in the event that will have oversight over the minors through the registries, have them take the required training and ensure each covered persons (UA staff that have supervisory oversight of minors) wear appropriate identification (see below).

I. Obtain New York Sex Offender Registry and National Sex Offender Public Registry searches for Covered Persons (i) – (iii) and complete a review of such searches not more than ninety (90) days prior to the commencement of a Covered Activity.

1. A search of the NY Sex Offender Registry means:

   A. a search of the file of persons required to register pursuant to Article 6-C of the Correction Law maintained by the NY Division of Criminal Justice Services pursuant to NY Correction Law § 168-b for every level of sex offender (Level 1 through Level 3), which requires an email, CD or hard copy submission of names and identifiers to DCJS as described on the DCJS website [url: http://www.criminaljustice.ny.gov/nsor/800info_cdsubmit.htm]

   B. On the right side of the webpage under Sex Offenders, click Search Level 2 & 3.
C. Type in the last name **only** of each covered person participating in the event and click search.
D. The search results will be displayed. If the name of the covered person is not displayed, print the webpage for your records. If it is displayed, refer to (iv) below. Note that an internet search alone will not meet the requirements of this Policy.

2. A search of the National Sex Offender Public Registry means:

   A. a search by first and last name of the National Sex Offender Public Website maintained by the United States Department of Justice at this link: [http://www.nsopw.gov/](http://www.nsopw.gov/)
   B. Once you perform the search, click Print View on the results webpage and print the webpage to retain the record of such search.

(iii) Retain documentation of the search results from the New York and National Sex Offender registries for Covered Persons who are employees, volunteers, students or agents of the University or a University-affiliated organization for six (6) years after the covered person has separated from the University.

(iv) Any individuals whose names come up on the New York State and/or National Sex Offender Registry searches are prohibited from participating in the event.

II. **SUNY Child Protection Policy Training**


   (i) All covered persons including the Delegated Responsible University Official are required to complete the SUNY Child Protection training.

III. **Identification for Event**

   (i) The Delegated Responsible University Official is required to create identification (ID) that identifies the individuals participating in the event as having the responsibilities of a Covered Person.

   (ii) At all times during the covered activity a Covered Person must wear and display prominently a lanyard or other form of ID that identifies the individual as a Covered Person. For active sports, an arm or wristband may be appropriate.
(iii) The ID must be specific to the event and include the following:
   a. **WHO** the covered individual is?
   b. **WHAT** is the covered activity?
   c. **WHERE** is the covered activity?
   d. **WHEN** the covered activity is taking place?

(iv) ID’s that do not include the required information or can easily be duplicated are not appropriate

3. **Insurance**

The insurance requirements are outlined on the permit application. Camp Directors may choose to purchase an individual insurance policy or a group insurance policy with other University at Albany Camp Directors who also plan to host camps and clinics. Camp Directors are encouraged to obtain a policy that will cover their organization for the entire year (or at least the summer) and not just the specific camp dates. If a camp is hosted on a date not covered by your policy, Camp Directors will be held personally liable for any damages and/or injuries that may occur.

4. **University Affiliation and Promotional Items**

Camp Directors are not permitted to advertise or promote camps and clinics until they have received an approved revocable permit and confirmation from the Associate Athletic Director for Facilities, Scheduling and Game Operations or Designee. Camps and clinics are classified as one of two categories:

I. **Institutional/Program Fundraiser**

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

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

II. **Privately Owned**

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

   If the camp or clinic is privately owned, Camp Directors are not permitted to make any statements in advertisements that associate their camp or clinic with the University. For example, it can be John Doe’s Luge Camp
at the University at Albany, but cannot be the University at Albany Luge Camp. University at Albany logos are not permitted on any promotional materials. Camp Directors are not permitted to use University materials (paper, envelopes, mail services, etc.) in conjunction with these camps or clinics. All communication regarding camps and clinics must be via personal phone, fax, email and/or website. Privately owned camps and clinics are not affiliated with the University at Albany, they are simply hosted on University property.

The University at Albany is not permitted to promote camps on its website, or any affiliated website. However it is permissible to provide a link from the University's website to the camp website, if applicable.

University employees, particularly those in Media Relations/Web Development, are prohibited from designing any promotional materials for privately owned camps and clinics.

A brochure may not exceed 17” x 22” in size when opened in full.

A picture of a University at Albany student-athlete with remaining eligibility may appear in the brochure only if the student-athlete will be employed at the clinic. Such pictures may appear only in a specifically designated camp counselor section of the brochure. Please keep in mind the previously stated policy regarding University affiliation and use of logos.

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

5. Residential Camps

Contact the Department of Residential Life to inquire about availability and pricing information for overnight camps. Additional insurance may be required by the University Controller's Office for overnight camps.

6. Meal Services

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

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7. Facility Set Up

Submit any facility set up requests to the Associate Athletic Director for Facilities, Scheduling and Game Operations or Designee at least two weeks prior to the start of your camp. It is the responsibility of the Camp Director to coordinate field set up (e.g., lines, goals, etc.) with the Grounds Manager. Portable toilet requests may be made via the Facilities Office but the cost of the units will be at the Camp Director's expense.

8. Rental Fees

ALL camps will be charged rental fees, based on facility usage and hours of operation. Camp Directors will receive an invoice within 45 days of the conclusion of camp. Full payment is required 30 days thereafter.

9. Parking

The Facilities Office will review the designated parking areas with each Camp Director. A parking fee will be applied to all weekday camps hosted between the hours of 7:00am-6:00pm.

10. Campus Fountains

The podium fountain and main entry fountains are not water recreation areas. They were not constructed to be safe for use as a pool. Please ensure campers do not enter the water.

11. Athletic Trainers

Camp Directors may employ certified athletic trainers to support summer camp events. For liability purposes, University employed athletic trainers who are not hired by the Camp Director are prohibited from providing any medical assistance during the camp.

12. Time Accruals

Privately owned camps and clinics are considered to be private business ventures. University employees who are also employed by the camp or clinic must charge the appropriate vacation time through the campus' online leave reporting system. Supervisors are responsible for reviewing online submittals for accuracy. For verification purposes, Camp Directors are responsible for submitting a list of camp employees to the Office of Compliance Services and the Associate Athletic Director for Facilities, Scheduling and Game Operations at the conclusion of the camp or
Institutional Camps and Clinics Procedure

1. Camp/Clinic Approval

Before a camp/clinic can be conducted, all required forms must be submitted through ARMS 60 days before the expected start date of the clinic. On-campus summer camps/clinics must be submitted by November 1 for the upcoming summer. Effective for the 2020-21 academic year, on-campus summer camps/clinics must be submitted by September 1 for the upcoming summer. All promotional materials and websites must be submitted to and approved by the Office of Compliance Services and the Facilities Office.

A Camp/Clinic Procedures Checklist has been developed to assist coaches in following the required steps for gaining approval and to assist coaches in the successful operation of the camp/clinic. In addition to receiving a hard copy of both the policy and procedures and checklist, the following forms are submitted through ARMS:

2. Pre Camp/Clinic

A. On-Campus Institutional Camp/Clinic Request Form or Off-Campus Institutional Camp/Clinic Request Form (Form 1)

This form must be submitted to the Office of Compliance Services and Facilities Office for review at least 60 days before the camp/clinic begins. On-campus summer camps/clinics must be submitted by November 1 (September 1 effective for the 2020-21 academic year), for the upcoming summer. Multiple camps/clinics shall not be submitted on one request form. If a camp/clinic is multiple days, it can be submitted on one request form. This form provides important information about the camp/clinic that will aid in verifying that the camp/clinic will be conducted in accordance with the applicable NCAA rules and regulations. This will also aid our Athletic Facilities staff in the review of the request for location, dates and times. Additionally, any brochures and marketing materials will be uploaded to the approval form in ARMS. No promotion or advertising of the camp/clinic can take place until the camp/clinic has been approved by both the Office of Compliance Services and the Facilities Office.
B. Individual Associated with a Recruited Prospect Form (IAWRP) [Women’s Basketball and Men’s Basketball ONLY] (Form 1a)

In Women’s Basketball and Men’s Basketball, an institution or staff member shall not employ (either on a volunteer or paid basis) an individual associated with a recruited student-athlete at the institution's camp or clinic. The prohibition on camp employment applies only to an individual associated with a prospect (IAWP) who is tied to a recruited prospect IAWRP. Therefore, it is permissible to hire an IAWP to work camp if that IAWP is not tied to a prospect that UAlbany is or has recruited based on definition of a "Recruited Prospective Student-Athlete." The coach must provide all completed IAWRP Forms to the Office of Compliance Services prior to the camp/clinic commencing.

3. Post Camp/Clinic

All of the forms indicated below are to be uploaded in to the On-Campus Institutional Camp/Clinic Request Form or the Off-Campus Institutional Camp/Clinic Request Form, within the Post Camp/Clinic Summary section. The templates are located on the Office of Compliance Services website at:


A. Camp/Clinic Employee List (Form 2)

The coach must provide all of the requested information on the form for every individual (including UAlbany Athletics staff, student-athletes and other individuals) who worked the camp/clinic.

B. Camp/Clinic Participant List (Form 3)

The coach must provide all of the requested information on the form for every individual who participated in the camp/clinic.

C. Camp/Clinic Financial Report (Form 4)

The coach must provide all of the requested information the form as it pertains to expenses and revenues.

Institutional Camps and Clinics Checklist

Please make sure that you have reviewed the Institutional and Noninstitutional Camps

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and Clinics Policy and Procedure packet prior to requesting approval to conduct sport camps/clinics.

At Least 60 Days Before Clinic

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

___Attach brochure/flyer and provide website link, if applicable

___Attach Campus Tour Approval, if applicable (template on Office of Compliance Services website)

___Attach anticipated schedule of camp/clinic activities

___Confirm facility availability

___Confirm sports medicine staffing

Upon Approval

___Obtain and provide revocable permit and signed off estimate of costs to the Associate Athletic Director for Facilities, Scheduling and Game Operations or Designee

___Secure meals through Sodexo, if applicable

___Purchase necessary apparel and equipment for clinic

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

After Clinic – Within 1 Week

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

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

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

___Maintain accurate record of any income received. This will need to be reported on the annual Athletically Related Outside Income Report Form.

Noninstitutional Camps and Clinics Policy

Employment of any University at Albany Division of Athletics personnel at a noninstitutional camp/clinic shall conform the rules set forth in NCAA Bylaw 13.12.

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

Noninstitutional Camps and Clinics Procedure

1. Camp/Clinic Approval

Before employment at a noninstitutional camp/clinic may commence, a Noninstitutional Camps/Clinics Form must be submitted through ARMS 14 days before the expected start date of the camp/clinic and prior to being hired.

A Camp/Clinic Procedures Checklist has been developed to assist coaches in following the required steps for gaining approval and to assist coaches in the successful operation of the camp/clinic.

Noninstitutional Camps and Clinics Checklist

Please make sure that you have reviewed the Institutional and Noninstitutional Camps and Clinics Policy and Procedures packet prior to requesting approval to conduct sport camps/clinics.

At Least 14 Days Before Clinic

___Complete and submit Non-Institutional Camps/Clinics Form to the Office of Compliance Services through ARMS

After Clinic

___Maintain accurate record of any income received. This will need to be reported on the annual Athletically Related Outside Income Report Form.
SPEAKING ENGAGEMENTS

To ensure adherence to NCAA Bylaw 13.1.8, all coaching staff members must complete the Speaking Engagement Permission Form in ARMS prior to any involvement. The form requests the following information:

A. Name of coach seeking permission;
B. Name of event;
C. Location of event;
D. Date of event;
E. Contact person name at high school/event;
F. Email address of contact person;
G. Phone number of contact person; and
H. Purpose of event/meeting.

The form is reviewed by the Office of Compliance Services and the Media Relations Contact for the requesting sport.

DONATION REQUESTS

The University at Albany Division of Athletics is pleased to be able to assist charitable events or fundraisers for several worthy causes. Per NCAA rules, it is impermissible for the Division of Athletics to provide donations to a high school or any organization that benefits prospective student-athletes (grades 9-12) through raising money for a high-school's or organization's athletics or other programs. In addition, an institution may not donate to any organization for the purpose of raising funds to provide financial assistance to high school students to attend the collegiate institutions of their choice. Our standard donation is tickets.

Processing a Request

Considerations for donations include: type of event, non-profit status, past donations and beneficiary. Approved organizations will receive one of their desired choices. Organizations requesting tickets are eligible for up to four (4) home regular season tickets to a mutually agreed upon game. Game selection will be at the discretion of UAlbany Athletics based on availability. Ticket donations need to be redeemed 1 week prior to game time as certificates will not be accepted on game day. All donations must be redeemed within the calendar year they were awarded. This request process may take up to 30 days. Please note that we are unable to assist any fundraisers or events which benefit middle/high schools or middle/high school students or will help set up college scholarships/funds, per NCAA regulations. Flyers/brochures for the event must be emailed to: Ticket Manager, University at Albany Division of Athletics, GreatDaneTickets@albany.edu or mail to ATTN: Ticket Manager, University at Albany.
Personal Requests

The University at Albany Division of Athletics, its athletic director, coaches and student-athletes receive numerous autograph requests each year. We regret that we are unable to fill each request. In order to remain compliant with NCAA rules, requests cannot be accepted by UAlbany Boosters, Marketing, Great Dane Athletic Club, Media Relations, Ticket Office, individual sport offices or any other department entity. We cannot accept items for signature, and items will be returned unsigned if sent to departments or individual sport offices. We appreciate your adherence to this policy as it is crucial to the continued success of our coaches and student-athletes.

Requesting Autographs of Current Student-Athletes

Autograph sessions may be coordinated by the UAlbany Athletics Ticket Office. We cannot accept items for signature, and items will be returned unsigned if sent to departments or individual sport offices.

If seeking tickets or an item for a silent auction, raffle, or other fundraiser or benefit event, please go to http://www.ualbanysports.com/quest/Questionaire.dbml?&QID=389221&DB_OEM_ID=15800.

7.9 PROCEDURES RELATED TO REGULATIONS GOVERNED BY BYLAW 14: ELIGIBILITY

ADMISSIONS REVIEW/INTERNATIONAL ADMISSIONS REVIEW PROCESS

The Office of Compliance Services in conjunction with undergraduate and graduate admissions collaborate on the admissibility of prospective student-athletes.

University and NCAA Codes

University at Albany’s school code for:
  FAFSA: 002835
  SAT: 2532
  ACT: 2926
  TOEFL: 2532

NCAA Eligibility Center’s school code for SAT and ACT: 9999

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Undergraduate Admissions
1. Coaches must complete and submit the Admissions Review or International Admissions Review Form through ARMS.
   a. This should include all transcripts and test scores.
   b. The Assistant Athletic Director for Compliance will review the form for accuracy and approve once completed.
   c. Once approved by compliance, the review is then sent to the Admissions Office for final review.
   d. Once a review is completed and returned then, and only then, can a National Letter of Intent or Financial Aid agreement be generated for a prospective student-athlete.

Graduate Admissions
1. Prospective student-athletes must apply directly to the program they are interested in.
2. The Assistant Athletic Director for Compliance can consult with the Director of Graduate Admissions to discuss an unofficial and informal assessment of the likelihood a prospective student-athlete would be accepted in to a specific graduate program.

INITIAL ELIGIBILITY
1. All incoming freshmen must be registered with the NCAA Eligibility Center and achieve approval for both academic and amateurism status prior to competition. All prospects must have an amateurism decision for all sports for which they intend to participate. Registration can be completed by visiting [www.ncaaeligibilitycenter.org](http://www.ncaaeligibilitycenter.org).
2. Coaches must encourage prospective student-athletes to register with the Eligibility Center at the beginning of their sophomore year of high school.
3. Coaches must communicate with the Office of Compliance Services regarding adding the prospect to the Institutional Request List (IRL). This allows the Office of Compliance Services to begin tracking their initial eligibility status.
4. Additionally, coaches must remind all prospective student-athletes to send official transcripts from all high schools they have attended and official test scores to the NCAA Eligibility Center.
5. If a coach requests, the Office of Compliance Services will perform an analysis of a prospect’s compliance with the NCAA’s initial eligibility requirements. Then, the recruiting coach will be advised by compliance of the likelihood of the prospect achieving eligibility and admission to the University at Albany. When able, the Office of Compliance Services will also attempt to perform cursory
reviews of incoming prospects without a coach prompting them to do so. However, to insure a prospect is reviewed, a coach who has any concerns about a specific prospect should alert the Office of Compliance Services and request a review.

6. As the academic year progresses, the Office of Compliance Services will periodically notify each recruiting coach about the eligibility status of those whose names are on the sports’ prospective Institutional Request List (IRL). The coaches are then responsible for informing each prospect who is being actively recruited of his or her Eligibility Center status and of the need for any additional information to make the Eligibility Center process complete. The coaches must also notify the Office of Compliance Services that a prospect’s name should be removed from the IRL if and when the coach decides to no longer pursue recruitment.

INCOMING TRANSFER ASSESSMENT

In addition to submitting an Admissions Review Form in ARMS, the recruiting coach must submit a Transfer Eligibility Certification Form. This form is shared by the Office of Compliance Services and the Office of Academic Services to assist with the preliminary and final transfer eligibility assessment prior to enrollment at UAlbany. The form is located on the Office of Compliance Services website.

MATRICULATION IN NCAA TRANSFER PORTAL

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

TRY-OUTS, WALK-ON CERTIFICATION AND ROSTER ADDITIONS

The University at Albany Division of Athletics extends the opportunity for all sport programs to offer walk-on tryouts at the beginning of the academic year annually. Tryouts for the rest of the year will be approved on a case-by-case basis. Below are the necessary steps for administering walk-on tryouts:

1. Coach must provide the Office of Compliance Services with the dates tryouts will be conducted.

2. All individuals trying out must complete the Walk-On Certification Form prior to participating in any tryout activities. The form can be found on the Office of Compliance Services webpage. The form must be signed by the student-athlete,
Head Coach, sport-specific Athletic Trainer and the Office of Compliance Services.

3. A walk-on student-athlete must be registered full-time, unless, they meet an NCAA exception (i.e., final semester legislation).

4. A walk-on student-athlete must have completed a physical within the last 6 months, have proof of insurance, and complete the Sickle Cell Form.

5. All walk-on tryouts must be concluded by the last day to drop a semester length course without receiving a "W"/last day of late registration for the fall semester, which is a 14-day time period.

6. Should a student-athlete be added to the team, they must receive a physical, which is coordinated by the athletic training staff and complete all UAlbany, conference, and NCAA athletic participation forms in ARMS.

7. If necessary, the walk-on will need to register with the NCAA Eligibility Center and complete the eligibility certification process in order to be fully certified by the Office of Compliance Services.

8. The coach will submit a Roster Addition Form through ARMS for any individual added to the team. The form is approved by the sport-specific Athletic Trainer, Sport Supervisor, Senior Woman Administrator, Athletic Academic Advisor and the Associate Athletic Director for Compliance.

ROSTER DROP

If a student-athlete will no longer be on the roster, the Head Coach or Designee must submit a Roster Drop – Scholarship and Nonscholarship SA Form through ARMS. The form is signed off by the student-athlete (if they are on athletic aid), the Senior Woman Administrator, Sport Supervisor, Athletic Academic Advisor and the Compliance staff.

MONITORING FULL-TIME STATUS

Student-athletes are required to maintain full-time academic status during the academic year to be eligible to participate in any athletic related activities.

Minimum full-time status for undergraduate students per NCAA Bylaw is twelve (12) credits.

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

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

Effective in the fall of 2017, the University’s policy on the certification of full-time enrollment by graduate students (only) will be amended to require nine (9) credits minimum (rather than 12 credits), except for doctoral dissertation enrollees or graduate students engaged in program required full-time field work. The change does not affect current billing charges that are credit based until a threshold of twelve credits per term is reached. The change does not alter or supersede requirements established for study in full-time cohort programs (e.g., MBA, MSW, other professional degrees). The change will primarily impact graduate students who need to be certified as in full-time status, or need to be certified as at least half-time (4.5+ credits) for aid purposes.

International students’ full-time enrollment status is dictated by government regulations. International students can only take one online class to fulfill their full-time enrollment load whenever they must be enrolled full-time. For undergraduate students, that means one online class if taking 12 credits, 2 online classes if taking 15 credits, etc. For graduate students, that means one online class if taking nine credits and two online classes if taking 12 credits. For the full policy, students should consult with the International Student and Scholar Services Office located in Science Library G-40.

A student-athlete must contact the Office of Academic Services and meet with their faculty advisor to obtain a letter before dropping below full-time. Once the Registrar receives the letter, the below full-time hold will be lifted from their account. The student-athlete must be withheld from participation in all athletic activity until full-time status is restored. The Office of Compliances Services will receive a copy of the letter and notify the Registrar to remove the “cannot drop below full-time hold”.

CERTIFICATION OF CONTINUING ELIGIBILITY

Certification of eligibility is a shared responsibility among the Office of Compliance Services, the Office of Academic Services, the Office of the Registrar and the Faculty Athletics Representative. Each student-athlete’s academic record is reviewed at the conclusion of each academic term to determine eligibility.

Procedure

1. The Office of Academic Services will contact the Office of the Registrar and Office of Compliance Services to schedule eligibility certification dates at the conclusion of each semester.
2. Once grades have been posted, the Office of Academic Services will run DARS audits for all student-athletes and save the audits in to the PSREPORTS folder.
3. The Office of Academic Services will run one of the following PeopleSoft reports:
   a. UA_ATHL_ELIG_CERT_FALL; or
   b. UA_ATHL_ELIG_CERT_SPRING.
4. The certification of eligibility is reviewed in the following order:
   a. Office of the Registrar
   b. Office of Compliance Services
   c. Office of Academic Services
   d. Faculty Athletics Representative (final signature)
5. The fully signed eligibility certification reports are saved in to the PSREPORTS folder and hard copies are kept in the Office of Compliance Services.
6. Eligibility report summaries are provided to the Head Coach and Sport Supervisor. An action plan is discussed and implemented to rectify the ineligibility of a student-athlete.
7. At the conclusion of summer school, any student-athletes that required eligibility certification in order to be eligible for the upcoming fall semester are reviewed by the Office of Academic Services and Office of Compliance Services. Those changes in eligibility are made as addendums to the spring eligibility report and provided to the Office of the Registrar.

NOTIFICATION OF TRANSFER

Policy

Per NCAA Bylaw 13.1.1.3, an athletics staff member or other representative of the institution's athletics interests shall not make contact with the student-athlete of another NCAA or NAIA four-year collegiate institution, directly or indirectly, without first obtaining authorization through the notification of transfer process.

The following affiliate conferences have intraconference transfer policies:

CAA Football Intraconference Transfer Rule
(Appplies to Sport of Football Only)

Student-Athletes in the sport of football are permitted to transfer from one CAA institution to another CAA institution and compete in the sport of football, provided that prior to competing for the second Conference institution the student-athlete serves a year in residency at the second Conference institution. During the year in residency [two full semesters (which shall be determined in accordance with NCAA rules associated with transfers)] the student-athlete shall

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not lose a year of eligibility, and shall be eligible to practice and receive athletically related financial aid. There are no exceptions or waivers to this rule.

**AE Intraconference Transfer Waiver**

All Sports Other Than Men’s and Women’s Basketball. For all sports other than men’s and women’s basketball, a student-athlete who receives athletically related financial aid and who transfers from one conference institution to another must serve one year of residence at the certifying institution before being eligible to compete. The student-athlete would be eligible to receive athletically related financial aid (provided the provisions of NCAA Bylaw 13.1.1.3 have been satisfied) and practice at the second during the year in residence, but would not be eligible for competition.

Men’s and Women’s Basketball. A student-athlete who transfers from one conference institution to another must serve one year in residence before being eligible to compete at the second institution. That student-athlete shall be charged two years of their five-year clock and one year of eligibility.

Waiver. If the directors of athletics from the two involved institutions mutually agree to a waiver of the above policy, the student-athlete shall not be subject to the conference intraconference transfer policy and all applicable NCAA regulations would still apply.

Per NCAA Bylaw 15.3.5, if a student-athlete provides written notification of transfer to the institution, the student-athlete’s financial aid may be reduced or canceled at the end of the regular academic term in which written notification of transfer is received. If a student-athlete provides written notification of transfer to the institution between regular academic terms (winter break, summer break) the institution may reduce or cancel the financial aid immediately.

**Procedure**

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

2. The student-athlete may initiate the notification of transfer process by providing written notification of transfer at any time to the institution. More specifically, to the Office of Compliance Services. This is done by completing the Notification of Transfer Form in ARMS. A former student-athlete who no longer has an active ARMS account and a current or former UAlbany student who was not a student-
athlete must contact the Office of Compliance Services to receive a hard copy of the NCAA Transfer Portal Signature Page.

3. The Office of Compliance Services shall enter the student-athlete’s general information into the notification of transfer database within two (2) business days. Immediately following submission, automatic alerts are sent to the student-athlete and selected institutional staff. The student-athlete’s notification of transfer information is posted with a date stamp record, after which permissible recruiting conversations may begin. The student-athlete’s notification of transfer information becomes searchable by other institutions, to confirm that permissible recruiting contacts may occur.

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

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

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

7. Per NCAA Bylaw 13.1.1.3.1, the Division of Athletics will review and determine, on a case-by-case basis, the services that will continue to be extended to the student-athlete. This includes, but is not limited to: athletic academic services, use of athletic facilities, and access to sports medicine/strength and conditioning staff. The student-athlete will be notified, in writing, on the Notification of Transfer Form.

8. If the student-athlete transfers or remains enrolled at the original institution during the subsequent academic year, the student-athlete’s notification of transfer information will be archived by selecting “Withdraw” in the NCAA Transfer Portal. The student-athlete can be entered in the Transfer Portal again if the student-athlete decides to once again explore transfer opportunities.

9. Once the student-athlete has made a decision regarding where he or she will transfer, he or she may contact the Office of Compliance Services to request that the database information be updated to indicate that he or she does not or no longer wants to be contacted by other institutions.
ONE-TIME TRANSFER EXCEPTION

Policy

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

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

Procedure

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

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


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

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

3. **Request for Hearing.**

If a student-athlete wishes to request a hearing to contest the decision to deny use of the one-time transfer, the student-athlete must submit a written request to the Compliance Officer. Beginning with the day after the student-athlete receives the denial to use of the one-time transfer, the written request for a hearing must be submitted within five (5) business days. *[Note: A business day concludes at 5:00pm EST.]*

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

4. **Hearing Committee.**

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

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

5. **Scheduling the Hearing.**

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

Within two (2) business days prior to the scheduled hearing, the Compliance Officer shall provide the Committee:

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


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

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

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

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

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

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

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

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

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

Thereafter, the Chair shall invite the student-athlete to present his or her position and describe the reasons why the student-athlete believes the decision to deny permission should be modified or overturned.

The Head Coach and/or Sport Supervisor then shall have the opportunity to present the rationale for denying permission.

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

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

7. Committee Deliberations and Notice of Decision.

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

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

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

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

Policy

The University at Albany and the Division of Athletics are committed to a core set of values and principles: integrity, honesty, hard work, and determination. Maintaining high standards of academic integrity ensures the value of the University’s degrees and the roles of both the students and the University faculty and staff members. It is the responsibility of students and University faculty and staff members to familiarize themselves with the University at Albany’s policy on Academic Integrity and the Division of Athletics policy on Academic Misconduct.

In the case of potential post-enrollment or pre-enrollment misconduct activities, the following procedures will be adhered to in accordance with NCAA and University at Albany regulations.

The Athletics Academic Investigative Committee (hereinafter referred to as the "Committee") has been created collectively to navigate cases of potential academic impropriety. The Committee consists of the following individuals:

1. Deputy Athletic Director
2. Senior Women’s Administrator
3. Associate Athletic Director for Academic Services
4. Associate Athletic Director for Compliance

Procedure

1. Notification of Potential Academic Impropriety
In the event of any potential academic impropriety involving a prospective student-athlete, student-athlete, student employee, institutional staff member, or representative of athletics interest, the Associate Athletic Director for Compliance is immediately notified. In the event the Office of Community Standards receives a Violation of Academic Integrity Report (VAIR), the Associate Athletic Director for Compliance is immediately notified. Subsequently, the Sport Supervisor, Director of Athletics and Faculty Athletics Representative will be notified and continually updated on the investigation. The Director of Athletics will be responsible for notifying and updating the President. The appropriate Conference Office Compliance Director will be consulted if necessary.

2. Assembly of Athletics Academic Investigative Committee
At the earliest available opportunity, the Associate Athletic Director for Compliance will summon the Committee to meet to discuss the initial evidence presented to the Division of Athletics and/or Faculty Athletics Representative.
3. **Investigation**

Once informed of the alleged impropriety, the Associate Athletic Director for Compliance will steer the fact finding in collaboration with the Faculty Athletics Representative. If the potential academic impropriety involves an employee of the University at Albany, the Office of Human Resources and University Senior Managing Counsel must be notified. If necessary, Outside Counsel may be requested.

A written record will be collected with the following facts documented:

a. Date when the alleged impropriety was reported, to whom, by whom;

b. Detailed account of the alleged impropriety (i.e. date(s) that it occurred, who was involved, the circumstances surrounding, and bylaw(s) violated); and

c. Chronology for all actions taken during the investigation.

Simultaneously, the Faculty Athletics Representative will communicate with the faculty member and Division of Student Affairs to verify appropriate course of action is being followed pursuant to the University at Albany Standards of Academic Integrity.

4. **Determination of NCAA Violation**

The Associate Athletic Director for Compliance will determine if the facts surrounding the matter result in any of the following:

1. Academic misconduct violation;
2. Impermissible academic assistance violation;
3. Unethical conduct violation;
4. Extra benefits violation; or
5. No NCAA violation.

In the case of a Level III violation, the Director of Athletics and Associate Athletic Director for Compliance will recommend action. When the violation involves an eligibility issue, the student-athlete(s) in question will be immediately declared ineligible until further notice from the NCAA. In all other cases, meaningful corrective and disciplinary measures will be taken against the individual(s) involved. A report of the violation including all relevant information will be sent to the NCAA through the NCAA Requests/Self-Reports Online system.

In the case of a Level I or Level II violation, Legal Counsel may be retained. If necessary, Outside Counsel may be requested. The investigation’s findings will be
reported to the Director of Athletics through the President’s Office. The Director of Athletics or Designee will utilize sources at the America East, Colonial Athletic Association or Metro Atlantic Athletic Conference office to determine the appropriate corrective and disciplinary actions for those individuals involved.

The Associate Athletic Director for Compliance will be responsible for notifying the Faculty Athletics Representative, the President of the University, University Counsel, the Commissioner of the AE, CAA, or MAAC, and the NCAA Enforcement staff of violations of NCAA rules when appropriate.

7.10 PROCEDURES RELATED TO REGULATIONS GOVERNED BY BYLAW 15: FINANCIAL AID

DETERMINATION AND COMMUNICATION OF SCHOLARSHIP BUDGETS

The Associate Athletic Director of Compliance in the Office of Compliance Services will calculate the grant-in-aid value each academic year consistent with NCAA regulations and with the actual charges determined by the Financial Aid Office. Scholarship budgets for each sport are approved by the Associate Athletic Director for Business, Deputy Athletic Director and Director of Athletics.

REQUESTING INITIAL GRANT-IN-AID AWARDS

Coaches wishing to request preparation of a National Letter of Intent (NLI) and/or Financial Aid Agreement for a prospective student-athlete must complete the Initial Grant-in-Aid for First Year SA (Freshman/Transfer) Form in ARMS. Coaches wishing to offer athletic aid for the first time to a continuing student-athlete must complete the Initial Grant-in-Aid for Continuing SA Form in ARMS.

For prospective student-athletes, upon receipt of the request form, the Associate Athletic Director for Compliance will:

1. Verify the admissibility of the prospective student-athlete. A prospective student-athlete must be deemed admissible or have already been admitted to UAlbany before an NLI and/or financial aid agreement can be issued.
2. Verify the prospective student-athlete is eligible to sign an NLI
   a. Signing period;
   b. Eligibility Center amateurism questions; and
   c. Added to UAlbany’s Institutional Request List (IRL).
3. The names are kept on a financial aid tracking spreadsheet and an incoming prospective student-athlete tracking spreadsheet.
4. Prepare one copy of the NLI (if applicable), one copy of the financial aid agreement based on the request made by the coach, and a cover letter to
accompany the documents. The Associate Athletic Director for Compliance shall obtain all necessary signatures:

a. Director of Athletics (or designee) shall sign each copy of the National Letter of Intent;
b. Senior Associate Director – Financial Aid shall sign each copy of the financial aid agreement; and
c. Sport Supervisor shall sign the cover letter.

5. Once all signatures have been obtained, the Associate Athletic Director for Compliance shall email the prospective student-athlete and copy the head coach along with instructions on signing the NLI and/or financial aid agreement.

6. Upon return of the signed documents, the Associate Athletic Director for Compliance will validate the documents and upload to the NLI Portal.

RENEWALS AND NONRENEWALS

Policy and Procedure

The NCAA requires that by July 1, each student-athlete who received an athletics grant-in-aid and has eligibility remaining for the upcoming academic year must receive a renewal or nonrenewal letter. This letter serves as the compliance update of the student-athlete’s financial aid agreement. The letter itself, however, must come from the Financial Aid Office and not the University at Albany Division of Athletics.

The athletics scholarship award at the University at Albany is not guaranteed for a four-year period. Instead, the athletics scholarship at UAlbany is awarded on a yearly basis for a one-year period. The scholarship may be renewed at the end of the academic calendar for another one-year period. The total number of years for which the scholarship is awarded in this manner may not exceed five years, barring an official waiver from the NCAA.

Renewals:

1. At the end of the spring semester the Associate Athletic Director for Compliance will provide each coach with a renewal spreadsheet.
2. The coach completes the renewal spreadsheet and submits it to the Associate Athletic Director for Compliance by the 3rd Monday of May. Coaches should inform their athletes if their aid has been renewed or canceled during individual year-end meetings.
3. Renewal letters will be initiated and prepared by the Associate Athletic Director for Compliance.
4. Completed letters are forwarded to the Senior Associate Director – Financial Aid for approval and signature.
5. Renewal letters are emailed to student-athletes prior to July 1st.
6. Student-athletes who have had their aid renewed should log onto their MyUAlbany account to view their award. If a student-athlete has any concerns regarding their aid, they should contact their head coach immediately. Head Coaches should in turn contact the Associate Athletic Director for Compliance.
7. In the event a student-athlete's aid is not renewed or decreased, they will have 14 days to notify the Associate Athletic Director for Compliance of any appeal.

**Nonrenewals:**

1. It is the responsibility of the head coach to maintain meticulous records documenting the reasons for non-renewal.
2. Copies of correspondence and notes of conversations with the student-athlete must be kept on file and copied to the Associate Athletic Director for Compliance.
3. Non-renewal of athletics scholarships cannot be based on athletic ability.
4. If the head coach initiates the nonrenewal:
   a. The coach submits written documentation regarding the nonrenewal to the Associate Athletic Director for Compliance.
   b. The coach meets with the Associate Athletic Director for Compliance to review the case and discuss the nonrenewal process.
   c. The coach meets with the student-athlete to discuss the reasons for nonrenewal.
   d. The Sport Supervisor is informed of the pending nonrenewal by the coach.
5. If the Sport Supervisor supports the nonrenewal:
   a. The Associate Athletic Director will initiate a nonrenewal letter for Compliance.
   b. Completed letters are forwarded to the Senior Associate Director – Financial Aid for approval and signature.
   c. Nonrenewal letters are emailed to student-athletes prior to July 1st.
      i. **NOTE:** Any student-athlete may appeal a decision of nonrenewal and can request a hearing before the Financial Aid Review Committee on the issue. The appeal process is initiated by the student-athlete notifying, in writing, the Associate Athletics Director for Compliance that he/she would like to appeal the nonrenewal decision. The process for requesting an appeal can be found in the non-renewal letter and on the Office of Compliance Services website.
6. If a student-athlete initiates the nonrenewal:
   a. The student-athlete submits written verification of intent to voluntarily relinquish an athletics grant-in-aid (including a statement indicating that the student-athlete voluntarily relinquishes the grant-in-aid immediately and that the athletics department has no future obligation or commitments to said individual).
   b. The student-athlete meets with a senior administrator to participate in an exit interview.

REDUCTIONS AND CANCELLATIONS

Policy and Procedure

By signing his/her grant-in-aid agreement, a student-athlete agrees that reduction or cancellation of an athletics grant-in-aid during the period of award may occur only if the student-athlete:

- Renders himself or herself ineligible for intercollegiate competition;
- Fraudulently misrepresents any information on an application, letter of intent, or financial aid agreement;
- Engages in serious misconduct of institutional or team policy warranting substantial disciplinary penalty, violates the Student-Athlete Code of Conduct;
- Voluntarily withdraws from a sport for personal reasons; or
- Provides written notification of transfer to the institution; however, the student-athlete’s financial aid may not be reduced or canceled until the end of the regular academic term in which written notification of transfer is received. If a student-athlete provides written notification of transfer to the institution between regular academic terms (winter break, summer break) the institution may reduce or cancel the financial aid immediately.

If the withdrawal occurs before the first contest in that sport or the first day of classes, reduction or cancellation may occur immediately, but the aid may not be awarded to another student-athlete during the term of the award.

If the recipient withdraws from the institution, his/her financial aid may not be awarded to another student-athlete in the academic term in which the aid was reduced or canceled. It may be awarded to another student-athlete in a subsequent term.

- It is the responsibility of the head coach to maintain meticulous records documenting the reasons for reduction, augmentation, or cancellation of an athletics grant-in-aid. Copies of correspondence and notes of conversations with
the student-athlete must be kept on file and copied to the Associate Athletic Director for Compliance.

**Impermissible Reasons for Reduction**

Financial aid may not be reduced or cancelled for any of the following reasons:

A. On the basis of a student-athlete’s athletics ability, performance, or contribution to a team’s success;

B. Because of an injury, illness, or physical or mental medical condition (except as permitted pursuant to Bylaw 15.3.4.2);

C. For any other athletics reason.

Reduction or cancellation of an athletics grant-in-aid must follow the procedures listed below:

1. The coach submits written documentation regarding the reduction or cancellation to the Associate Athletic Director for Compliance.
2. The coach meets with the Associate Athletic Director for Compliance to review the case and determine the reduction or cancellation process.
3. The coach meets with the student-athlete to discuss the reasons for reduction or cancellation.
4. A reduction or cancellation letter will be initiated by the Associate Athletic Director for Compliance.
5. Completed letters are forwarded to the Senior Associate Director – Financial Aid for approval and signature.

**ATHLETIC AID CANCELLATION, NONRENEWAL, AND REDUCTION APPEAL**

**Policy**

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

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

*Updated November 2019*
The athletics scholarship award is not guaranteed for a four-year period. Instead, the athletics scholarships at the University at Albany are awarded on a yearly basis for a one-year period. The scholarship may be renewed at the end of the academic calendar for another one-year period at the coach’s discretion. The total number of years for which the scholarship is awarded in this manner may not exceed five years, barring an official waiver from the NCAA.

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

A. Renders him or herself ineligible for intercollegiate competition;
B. Fraudulently misrepresents any information on an application, letter of intent or financial aid agreement;
C. Engages in serious misconduct warranting substantial disciplinary penalty;
D. Voluntarily (on his or her own initiative) withdraws from a sport at any time for personal reasons; or
E. Provides written notification of transfer to another institution; however, the student-athlete’s financial aid may not be reduced or canceled until the end of the regular academic term in which written notification of transfer is received. If a student-athlete provides written notification of transfer to another institution between regular academic terms (winter break, summer break) the institution may reduce or cancel the financial aid immediately.

Procedure

1. Requesting an Appeal.

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

The written appeal should include the following:

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

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

3. **Scheduling the Hearing.**

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

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

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

4. **Conduct of the Hearing.**

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

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

The Committee proceedings and all information submitted by the parties shall remain confidential except as otherwise required by law.
The student-athlete has the right to be an active participant either by appearing in-person or by teleconference.

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

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

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

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

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

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

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

5. Committee Deliberations and Notice of Decision.

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

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

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

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

**SIGNATURE ON ROSTER DROP FORM**

If a student-athlete is on athletic aid and will no longer be with the athletic program, they must review and sign the Roster Drop - Scholarship and Nonscholarship SA Form assigned to them in ARMS by a member of their coaching staff. The coach answers the following questions before the form is sent to the student-athlete:

1. Is the student-athlete receiving athletically related financial aid?
2. When will his/her athletically related financial aid be cancelled (immediately, end of current semester, end of academic year)?
3. When should the non-renewal/cancellation notification be sent (immediately, end of current semester, end of academic year)?
4. Has the student-athlete already left UAlbany?

**STUDENT-ATHLETE INTERN SCHOLARSHIP PROGRAM**

**Policy**

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

Increasing Athletic Aid Prior to or During Term of Award

It is the responsibility of each head coach to submit to the compliance office, no later than July 1st of each academic year, a list of renewals for all student-athletes. The renewal letter is a binding agreement between the athletic department and the student-athlete for the upcoming academic year. Head Coaches should properly forecast their athletics scholarship awards for each year.

It is the responsibility of each head coach to submit to the compliance office any “pending” financial aid that may be offered to a prospect/incoming student-athlete from July 1 to the first day of the academic year.

In the event that financial aid is being planned for mid-year offers, it is the responsibility of each head coach to provide the equivalency or head count to the compliance office in order for those funds to be held in abeyance for mid-term enrollees.

After July 1, increases to financial award for any student-athlete who has signed a renewal letter will not be approved unless there is some significant extenuating circumstance. If the increase is approved by the Division of Athletics, the requesting coach must submit a Grant-in-Aid Increase for Continuing SA form in ARMS. The form is approved by the Associate Athletic Director for Compliance.

One-Time Athletic Aid Increase

In situations where a head coach would like to increase an athletic award for one-time over the course of an academic year only, he/she may do so provided a One-Time Athletic Aid Increase Agreement is completed in ARMS. The form will memorialize the agreement between the Head Coach, the student-athlete, and the family. At the conclusion of the term of the award, the student-athlete will receive a reduction notification.

COUNTABLE VS. NON-COUNTABLE AID

Any student athlete who is deemed a counter by NCAA bylaw 15.02.3 will have all institutional financial aid counted towards each athletics team’s aid limitations.

Aid that is considered countable toward sport limitations are defined under NCAA bylaw 15.02.4.1. Typically all funds administered by the institution are countable and include, but are not limited to:

● Scholarships
● Grants

Updated November 2019
● Tuition waivers
● Employee dependent tuition benefits in which the parent or legal guardian has not been a full time faculty/staff member for at least five years
● Aid from government or private sources for which the institution is responsible for selecting the recipient or determining the amount of aid.

Noncountable aid is defined under NCAA bylaw 15.02.4.4. These consist of merit based grants and scholarships, along with state and federal government grants based on a student-athlete’s financial need.

Countable and non-countable aid cannot exceed the value of the cost of attendance as defined in Bylaw 15.02.2. Only student-athletes who receive the Pell Grant and specific government grants will be allowed to exceed aid above the cost of attendance.

ACADEMIC HONOR AWARDS

Based on High School Record

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

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

Renewal of Academic Honor Award

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

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

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

OUTSIDE AID REPORTING

Policy

It is the responsibility of each student-athlete to notify the Office of Compliance Services if they may be receiving any financial support, scholarships, grants, honorary awards, financial aid and/or loans assistance from an outside source other than that contained in their institutionally approved financial aid package, their athletic scholarship or that is provided by parent(s) or legal guardian(s).

Procedure

1. Student-athletes must complete the Outside Scholarship Reporting Form in ARMS annually.
2. Upon receipt and approval of the Outside Scholarship Reporting Form in ARMS by the Associate Athletic Director of Compliance, the student-athlete will receive an automated email outlining instructions and completion of the Outside Financial Aid Reporting Form. The Outside Financial Aid Reporting Form is to be completed by the student-athlete and a member of the awarding agency’s selection committee.
3. Once completed and returned, the Associate Athletic Director for Compliance will determine if it is acceptable per NCAA rules.
4. The Associate Athletic Director for Compliance will update the Financial Aid Office via a spreadsheet with permissible outside aid received by all student-athletes.

NCAA SQUAD LISTS

All financial aid awarded to student-athletes is tracked on the NCAA database Compliance Assistant. Based on the types of aid received by each student-athlete and parameters configured in the application, the program is able to determine individual and team limits, counting aid and exempting aid as per NCAA rules.

Updated November 2019
In August each year, all pieces of financial aid for each student-athlete are imported from the University’s financial aid database maintained in PeopleSoft. A NCAA squad list is generated for each sport prior to the start of competition each year. In addition to the Associate Athletic Director for Compliance who prepares the squad list, each squad list is signed off on by the Head Coach and the Sport Supervisor.

A final copy will be sent to each head coach and their sport supervisor.

**DEGREE COMPLETION PROGRAM**

Former student-athletes who received athletics aid from UAlbany during their final academic year/term of enrollment and who separated, for bona fide reasons, from UAlbany prior to completing the necessary requirements for an undergraduate degree may, after submitting a written request and meeting the general admissions criteria of the university only then will they be afforded the privilege of re-enrolling at UAlbany and completing their baccalaureate degree with financial assistance from the Division of Athletics.

Written requests will be reviewed based on the following factors, in no particular order:
1. Reasons for departure;
2. Academic standing prior to departure;
3. Credit-hours remaining until graduation;
4. Prior misconduct issues; and
5. Funding availability.

As a reminder, returning student-athletes must resolve any outstanding balances or holds on their student account from the time of their initial departure from UAlbany.

**MEN’S AND WOMEN’S BASKETBALL DEGREE COMPLETION ASSISTANCE**

**Policy**

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

Criteria:
- Participated in the sports of men’s or women’s basketball;
- Received athletics aid;
- Previously enrolled for at least two years;
- Met NCAA progress toward degree requirements when student departed campus;
- Has not attended another institution full-time since departure;

Updated November 2019
• Meet institution’s re-admission and financial aid requirements;
• Departed institution within 10 years;
• Exhausted other degree completion funding options (e.g. NBA Tuition Reimbursement)

Procedure

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

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

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

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

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

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

Men’s Lacrosse
A. Institutions must annually award 9.45 grants-in-aid; and
B. Institutions must maintain one full-time head coach and one full-time assistant coach.
Men’s Basketball
A. Institutions must annually award 13 grants-in-aid;
B. Institutions must award cost of attendance (Effective August 1, 2020 for the 2020-21 academic year); and
C. Institutions must maintain one full-time head coach and three full-time assistant coaches, not including a director of basketball operations.

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

HOUSING RATES

UAlbany has several different housing rates as well as an off-campus housing rate. It is the policy of the University at Albany Division of Athletics that only payment for housing in either Quad Standard or Freedom Standard double do or off-campus housing will be provided. If a student-athlete signs up for housing beyond what their scholarship provides they are subject to paying the difference of the two housing rates.

BOOK ORDERING OVERVIEW AND PROCESS

The University at Albany Division of Athletics is undertaking a new book ordering process that began the Fall 2016 semester. For those student-athletes who have a book scholarship as part of their overall athletic aid package, the following process and criteria for obtaining and returning your books applies to you.

● All student-athletes who are placed on book scholarship by their head coach will receive notification from Athletics’ Academic Services office as to when their designated time will be to pick up required textbooks for the courses they are enrolled in – and only the courses they are enrolled in.

● A special date(s) and time(s) will be coordinated with the Barnes & Noble bookstore on campus for each/all teams to come in and pick up their books. Student-athletes must bring a current copy of their upcoming schedule with them to the bookstore on that specific day/time.

● Barnes and Noble will inform each student-athlete and the Athletics department which books are available for rental and which are required to be purchased.
  ○ Whenever possible, student-athletes will be required to rent their books
  ○ Books available only for purchase – i.e. books with online access codes – will be purchased and return dates will be identified
Some purchased books may be utilized for more than semester, in which case, student-athletes will retain those books for the duration of necessity.

The following rules apply to books for purchase:
- Student-athletes will purchase only those books which are unavailable for rental
- These types of books are generally the ones that have online access codes
- Many books made available for purchase will be used by a student-athlete for more than one semester
  - These books will be identified by the Barnes and Noble staff
  - Upon purchase, Athletics will notify the student-athlete the number of semesters that they will be keeping each particular book and when they will be required to return their books directly to Athletics.

The following rules apply to books available for rental:
- Student-athletes will rent any books that are available through Barnes & Noble
- All books that are rented carry with it a requirement for return at semester’s end
  - All books that are rented will be returned directly to Barnes & Noble by the student-athlete.
- Athletics will work with Barnes & Noble to identify which books have been returned and which have not been by student-athletes on book scholarship
- Books that are not returned will be charged to Athletics accounts in the amount of full retail and a replacement fee will also be applied
  - All charges for books that have gone unreturned will be applied to the student-athletes’ student account and holds will be placed on the student-athletes’ account until restitution is made for the unreturned rental(s)
  - Student-athletes are responsible for the loss or theft of all rented materials. Rented materials not returned by the rental return date or returned on or before that date not in salable condition will be subject to non-return fees equal to 75% of the new book price (at the time of rental) plus a 7.5% processing fee.

Other Items:
- Clickers will be now purchased by the Division of Athletics and will be distributed to student-athletes on a yearly basis
  - Student-athletes will be required to return their clickers to Athletics at the end of each academic year
  - Unreturned clickers will be charged, and appropriately holds will be placed, upon each student-athletes’ account.
SUMMER SCHOOL GRANT-IN-AID

Objective

The objective of summer school is to provide student-athletes with opportunities to take courses that will conflict with practice during the academic year, and/or catch up on progress towards degree if needed for eligibility and/or graduation purposes.

Availability

Funds for summer school athletic aid are limited. Each request will be reviewed on a case-by-case basis. Student-athletes who receive athletic aid during the academic year may be eligible for athletic aid if enrolled in summer school. University at Albany regulations stipulate summer aid for a student-athlete may not be awarded above the percentage of aid received during the academic year. Student-athletes are responsible for all charges that exceed their awarded scholarship amount.

Guidelines for Distribution

Any student-athlete requesting summer athletic aid must meet the following guidelines. Priority will be given to the following: conflicts with class and practice schedule, courses not offered during academic year, and progress towards degree requirements for eligibility purposes.

- Specific courses/terms should be indicated on the application, unless otherwise unavailable (such information should be provided by the student-athlete as soon as it is obtained).
- The Athletic Academic Advisor must approve any changes to a student-athlete’s summer schedule. Failure to obtain approval will result in the student-athlete accepting full financial responsibility for any additional costs associated with such changes.
- Student-athletes may only enroll in summer courses that are degree applicable in order to receive summer aid.
- Athletic aid may be provided for a maximum of 1 course, unless otherwise approved.
- A student-athlete must be enrolled in at least 3 credits in order to be eligible for any portion of room and board payment from the Division of Athletics, unless other NCAA exemptions apply.
  - Student-athletes can receive room and board payment while enrolled less than half-time for a maximum of 3 summer terms, per Federal regulations.

Updated November 2019
• When taking more than one summer course, the courses should be taken during the same session unless approved in advance by the student-athlete’s Athletic Academic Advisor.
• Student-athletes who drop a course after the posted deadline will be obligated to repay the Division of Athletics the amount of their summer athletic aid.
• Repayment of summer athletics aid for any course where a D or E is earned will be addressed on a case-by-case basis. For example, a student-athlete who fails to attend class and subsequently does poorly in the course will have to reimburse the Division of Athletics for up to the full amount of athletics aid received.

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

Application Procedure
• All requests for summer athletic aid must be submitted to and approved by the Summer School Review Committee.
• The deadline for applying for summer athletic aid is indicated at the top of the Summer School Grant-in-Aid Application in ARMS. Any requests for summer athletic aid received after the application deadline will be denied and any expenses associated with summer courses will be the responsibility of the student-athlete.
• The Summer School Review Committee will review each student-athlete who applies for summer athletic aid on an individual basis. All summer athletic aid recommendations will then be forwarded to the Director of Athletics (or Designee) for final approval.
• Student-athletes should be notified of the Department’s decision no later than one week prior to the start of the first summer term.
• Student-athletes will receive email notifications as the Summer School Grant-in-Aid Application is being reviewed step-by-step electronically through ARMS.
• A final email notification will be sent to each student-athlete with a summary detailing summer athletic aid approval.

5TH YEAR AID

The University at Albany is committed to the graduation of its student-athletes. Every effort is made to assist student-athletes in doing so in four years. When this does not
occur, arrangements for additional athletics aid are made on a case-by-case basis, with factors including overall academic progress (as determined by the Office of Academic Services), academic major/program (i.e. those with built-in requirements in excess of four years) all being taken into account.

Granting of financial aid to a student-athlete beyond his/her athletics eligibility is acceptable under the following conditions:

1. Good team and academic standing.
2. Student-athlete should not have changed degree objectives during the fourth year of school.
   a. NOTE: A student-athlete who changed degree objectives the third academic year will be considered on an individual basis.
3. Financial aid beyond athletics eligibility will not be awarded for graduate or second majors.
   a. NOTE: Certificate programs will be considered if it was part of a student-athlete's degree objective and criterion #2 above has been met.
4. Demonstrated that the necessary steps were taken (i.e.: summer school attendance) to earn a degree within the period of his/her athletics eligibility.
   a. NOTE: Students who have a history of withdrawing from classes will not be granted aid.
5. Does not enter into any contract with a professional sports organization.
6. Financial aid beyond athletics eligibility will include tuition, fees and books. Housing on campus may be provided on a space available basis. Board will not be provided.
7. Recommendation for fifth year aid from head coach.
8. After consultation with the Office of Academic Services and the sport supervisor, the Office of Compliance Services will make a final recommendation to the Office of Financial Aid.
9. Student-athlete reads the conditions above and signs the 5th Year Aid Form in ARMS, verifying that he/she understands the guidelines, the request for aid will be processed.

The 5th Year Aid Form is reviewed and signed by the student-athlete, Head Coach, Associate Athletic Director for Academic Services, Sport Supervisor, and the Associate Athletic Director for Compliance.
SPECIAL ASSISTANCE FUND

Intent and Principles

The Special Assistance Fund (SAF) is intended to provide direct benefits to student-athletes or their families as determined by conference offices. As a guiding principle, the fund shall be used to assist student-athletes in meeting financial needs that arise in conjunction with participation in intercollegiate athletics, five in an academic curriculum, to recognize academic achievement, and meet student-athletes’ needs of an emergency or essential nature for which financial assistance otherwise is not available. Accordingly, receipt of SAF monies shall not be included in determining the permissible amount of financial aid that UAlbany may award to a student-athlete. Further, inasmuch as the fund is designed to provide direct benefits to student-athletes, the fund is not intended to be used to replace existing budget items.

Eligibility for the Fund

The following student-athletes are eligible for fund:

1. Any current UAlbany student-athlete; and
2. Any UAlbany student-athlete with exhausted eligibility or inactive due to medical reason.

Except for prospective student-athletes receiving summer financial aid prior to full-time enrollment pursuant to NCAA Bylaws 15.2.8.1.2, 15.2.8.1.3 and 15.2.8.1.4, no prospective student-athlete shall be eligible to receive SAF money.

Prohibited Use of the Fund

Pursuant to NCAA Bylaw 15.01.6.1, the University at Albany shall not use monies received from the fund for the following:

A. Salaries and benefits
B. Grants-in-aid (other than summer school) for student-athletes with remaining eligibility
C. Capital improvements
D. Expenses that only indirectly benefit student-athletes or that replace existing budget items that already provide direct benefits to student-athletes
   a. An expense that could be a budget item, but is not, may be covered by the fund.
E. Stipends
F. Outside athletics development opportunities for student-athletes with remaining eligibility including
a. Fees and other expenses associated with a student-athlete's participation in a sports camp or clinic
b. Fees and other expenses associated with private sports-related instruction provided to a student-athlete
c. Fees for other athletic development experiences (e.g., greens fees, batting cage rental); and
d. Expenses associated with a student-athlete's participation in a foreign tour
   i. Note: The prohibition on using SAF for athletics development activities is only applicable to student-athletes with remaining eligibility.
e. Competition-related travel expenses for student-athletes who are not eligible to receive such expenses under NCAA legislation (e.g., transfer serving a year in residence)
   i. For example, a basketball student-athlete who transfers and is ineligible during the year in residence cannot use SAF monies to travel to an away competition

**Procedure**

1. The student-athlete must first speak with their Head Coach regarding the particular situation/circumstances that may warrant receipt of SAF monies.
2. The Head Coach will consult with the Associate Athletic Director for Compliance and the Associate Athletic Director for Business.
3. The student-athlete must complete the Special Assistance Fund Form in ARMS. The student-athlete can launch the form or it can be assigned to the student-athlete by the Associate Athletic Director for Compliance.  
   A. In the event there is an emergency need for the funds, approval can be provided in writing through email communications between the Associate Athletic Director for Compliance and the Associate Athletic Director for Business. Copies of all receipts must be kept on file with the Athletic Business Office.
4. The Associate Athletic Director for Compliance will review the SAF application and forward the application to the Associate Athletic Director for Business. If necessary, the Director of Athletics and/or Sport Supervisor are consulted.
5. The student-athlete, Head Coach, and Business Assistant will be notified in writing via an automated email from ARMS if the SAF application is approved.
6. Once approved, the Athletics Business Office will collaborate with the student-athlete regarding the distribution/reimbursement of funds and/or the purchasing of approved items.
A) For student-athletes approved for personal/clothing items, the Athletic Business Office will assist with the purchase in-person or the student-athlete can be reimbursed.

STUDENT-ATHLETE REQUEST TO STUDY ABROAD

Education abroad allows students to experience other cultures to develop new academic perspectives, and develop expertise in working in cross-cultural teams. The State University of New York offers opportunities to study in more than 100 countries on 7 continents.

A complete listing of programs and detailed information about them is available in the Office of Education Abroad, SL G40, and online at www.albany.edu/studyabroad/. More information can be found by emailing studyabroad@albany.edu or phone (518) 591-8172.

UAlbany organizes more than 130 different education abroad options each year, including full year, semester, summer, and winter session courses. Program types include direct enrollment, intensive language courses, service learning, research, internships, and faculty-led courses. Credits earned overseas count toward overall graduation requirements and may satisfy requirements in the major, minor, or General Education Program.

Other four-year State University of New York campuses offer additional programs for which Albany students are eligible. Students participating on any SUNY program register on the Albany campus, which permits them to maintain eligibility for financial aid. Students participating in two-year community college, contract college, or non-SUNY programs during the academic year request a leave for approved study from the Albany campus for the duration of the program.

Policy

All requests by student-athletes to study abroad must be submitted using the Student-Athlete Request to Study Abroad form in ARMS. The request will go directly to the student-athlete’s Athletic Academic Advisor for review. The purpose of the Student-Athlete Request to Study Abroad form is to obtain approval by the student-athlete’s Head Coach. Additionally, the request permits the University at Albany Division of Athletics to verify the amount of a student-athlete’s aid that will be applied to the study abroad program.

In order to be considered to study abroad, a student-athlete must meet all of the following criteria:
A. The study abroad experience must be a demonstrated integral component of the student’s major field of study. All credits must be preapproved through the appropriate school office.

B. A student-athlete must meet all applicable progress toward degree and eligibility requirements as per NCAA regulations.

C. The semester abroad must be taken during the non-traditional sport season of the student-athlete’s junior or senior year – unless dictated by the academic program.

D. If study abroad is taken during the fall or spring semester, a student-athlete must be enrolled in at least 12 credits (full-time).

E. If approved by Athletics, a student-athlete will receive the same amount of athletic aid as during the academic year.

F. If athletic aid does not cover the entire cost of the program, the student-athlete may visit the Financial Aid Office to inquire about scholarship opportunities and loans.

G. Athletic aid is not provided for Winter Session study abroad.

H. Athletic aid for Summer Session study abroad may be provided. A student-athlete must complete the Summer School Grant-in-Aid Form in addition to the Student-Athlete Request to Study Abroad form. Both forms are located in ARMS. These are reviewed on a case-by-case basis by the Summer School Review Committee.

Procedure

1. Student-athlete must first speak with their Head Coach if considering a study abroad program.

2. Student-athlete must then complete the Student-Athlete Request to Study Abroad form in ARMS.

3. Student-athlete is responsible for researching and applying to a study abroad program of interest by visiting http://www.albany.edu/studyabroad/#/.

4. Once a student-athlete applies to a program, they will be assigned a Study Abroad Program Coordinator from the UAlbany Office of International Education, Study Abroad & Exchanges. The student-athlete will be contacted within 2-3 weeks by a Study Abroad Program Coordinator with the decision.

5. Deadlines for Winter/Spring study abroad typically are late October/early November. Deadlines for Summer/Fall study abroad typically are early April.

6. Student-athlete must meet with their Department Advisor to confer their Transfer Credit Equivalency Sheet. This will be provided by the Study Abroad Program Coordinator.

7. Student-athlete must also meet with their Athletics Academic Advisor to ensure NCAA progress toward degree will be met.
8. Student-athlete will collaborate with the Study Abroad Program Coordinator on living and travel arrangements.

9. Student-athlete does not need to request a transcript to be sent to the Registrar’s Office. International universities send transcripts to the UAlbany Office of International Education, Study Abroad & Exchanges office automatically. This is standard procedure for all programs.

MEDICAL NONCOUNTERS

A counter who becomes injured or ill to the point that he or she apparently never again will be able to participate in intercollegiate athletics shall not be considered a counter beginning with the academic year following the incapacitating injury or illness.

If an incapacitating injury or illness occurs prior to a prospective student-athlete's or a student-athlete's participation in athletically related activities and results in the student-athlete's inability to compete ever again, the student-athlete shall not be counted within the institution's maximum financial aid award limitations for the current, as well as later, academic years. However, if the incapacitating injury or illness occurs on or after the student-athlete's participation in countable athletically related activities in the sport, the student-athlete shall be counted in the institution's maximum financial aid limitations for the current academic year but need not be counted in later academic years.

If circumstances change and the student-athlete subsequently practices or competes at the institution at which the incapacitating injury or illness occurred, the student-athlete again shall become a counter, and the institution shall be required to count that financial aid under the limitations of this bylaw in the sport in question during each academic year in which the financial aid was received.

For the student-athlete’s scholarship to be excluded from the team’s NCAA limit on scholarships, the following must happen:

1. The head coach of the sport, or his/her designee, must submit a Medical Non-Counter Form in ARMS.
2. The student-athlete will review and sign the form.
3. The Sports Medicine staff will upload the physician’s letter and any relevant medical documentation. The documentation must indicate an incapacitating injury/illness and the date of that incapacitating injury/illness.
4. The Sport Supervisor will review and sign the form.
5. The Associate Athletic Director for Compliance will review, sign and check off the following:

Updated November 2019
a. Signed letter from treating physician;
b. Adjust Compliance Assistant to medical noncounter; and
c. Notify the Financial Aid Office.

INTERNATIONAL STUDENT-ATHLETES

This information is intended to guide international student-athletes on athletic aid in obtaining a social security card which will enable them to receive outstanding amounts of athletics aid from the University at Albany. It is the student-athlete’s responsibility to follow each of the steps listed below thoroughly to ensure that a social security number and card are obtained in a timely manner. This process will be initiated during the New International Student Orientation. Failure to complete this process will potentially withhold a portion of the student-athlete’s athletic scholarship from being applied to their student account. This would in turn result in holds on their account, overdue bills, late fees, etc. If a student-athlete wishes to obtain an International Tax Identification Number (ITIN), they should consult the ISSS Office.

Obtaining a Social Security Number

1. The Assistant Director of Event Management and Game Operations will assist international student-athletes in finding a job limited in scope (e.g., a few times per semester), as opposed to a consistent source of income. If the student-athlete desires to find a longer term employment commitment, they must further consult with the Assistant Director of Event Management and Game Operations.

2. One of the student-athlete’s coaches will arrange a meeting between the student-athlete and the Assistant Director of Event Management and Game Operations. If hired as a student worker, the student-athlete will receive a letter from the Assistant Director of Event Management and Game Operations indicating they will be employed by the University at Albany Division of Athletics as a game worker. Please note that a student will be required to work at least one day during the year to fulfill the requirement to obtain a social security number.

3. With that letter, the student-athlete needs to proceed to the International Student and Scholar Services Office (ISSS), located in Science Library G-40, and talk with an advisor about their eligibility for a social security number. If the student is eligible, the ISSS advisor will provide the student with a letter certifying that they have the necessary immigration status and work authorization to be eligible for a social security number. The Social Security Administration requires this letter when the student applies for their social security number.

4. Once the student has the two letters in hand, they need to put together their visa documents, passport and completed social security number application and make arrangements with their coach or the Business Assistant in the Athletic Business Office.
Office to make arrangements to be transported to the Social Security Administration in Downtown Albany to complete the application process. There is no processing fee. It takes roughly two weeks to receive the social security card after filling.

5. The student will need to bring all of the aforementioned documentation to complete this application. This includes:
   a. Employment letter;
   b. ISSS status letter;
   c. Social security number application;
   d. Visa documents;
   e. Passport; and
   f. Complete and current (local) mailing address.

6. When the student-athlete receives their social security card in the mail, they immediately take it to the Associate Athletic Director for Compliance. A copy will be made and sent in interoffice mail to the Human Resources Office.

7. Subsequently, the Human Resources Office will follow up with the Associate Athletic Director for Compliance to schedule a meeting with international student-athletes that need to complete additional forms:
   a. Students who have a tax treaty are the only ones who need to fill out the W8BEN Form.
   b. Every student will need to complete the Presence Test.
   c. Every student will need to bring a copy of the following documents:
      i. I-20;
      ii. I-94;
      iii. A copy of their passport ID page (the page with their photo); and
      iv. A copy of the visa page which has a stamp that has the dates in which the student entered the United States.
   d. Human Resources will walk the student through filling out the two forms during this meeting (W8BEN and the Presence Test). They will also provide the student information on what to expect at the end of the year and the 1042-S tax form.

Albany Social Security Office
Room 430 Federal Building
11A Clinton Avenue
Albany, NY 12207

Social Security Phone (Local): 1-866-253-9183
Social Security Phone (National): 1-800-772-1213

Updated November 2019
TTY: 1-518-431-4050
Social Security Office Hours:
MON: 9:00 AM - 4:00 PM
TUES: 9:00 AM - 4:00 PM
WED: 9:00 AM - 12:00 PM
THUR: 9:00 AM - 4:00 PM
FRI: 9:00 AM - 4:00 PM
SAT & SUN: CLOSED

Local or Campus Mailing Address

It is imperative for student-athletes to maintain a current local or campus mailing address in their MyUAlbany account. UAlbany Human Resources is required by law to mail out the Foreign Person’s U.S. Source Income Subject to Withholding 1042-S Form annually. Student-athletes must not indicate their mailing address as the UAlbany generic mailing address of 1400 Washington Avenue, Albany, NY 12222. Below are two examples of an appropriate local or campus mailing address:

EMPIRE EF1 Room 100-1, Box #1234, Albany, NY 12222
123 Western Avenue Apartment A, Albany, NY 12222

7.11 PROCEDURES RELATED TO REGULATIONS GOVERNED BY BYLAW 16: AWARD, BENEFITS AND EXPENSES FOR ENROLLED STUDENT-ATHLETES

STUDENT-ATHLETE PARTICIPATION AWARDS

Implemented in the spring of 2017, the Student-Athlete Participation awards are departmental athletic achievement awards for each qualified student-athlete. The student-athlete advisory committee (SAAC) voted on the type of award that will be presented to each student-athlete.

First-year student-athletes will receive a UAlbany winter blanket. To qualify for this award level, the student-athlete must have been a member of the team for one-year (fall/spring) semester as an eligible member of the team.

Second-year student-athletes will receive a chenille framed UAlbany logo. To qualify for this award level, the student-athlete must have completed two consecutive (fall/spring) semesters as an eligible member of the team.

Third-year student-athletes will receive a watch. To qualify for this award level, the student-athlete must have completed three (fall/spring) semesters as an eligible member of the team.

Updated November 2019
Fourth-year student-athlete will receive a UAlbany ring. To qualify for this award level, the student-athlete must have completed four (spring/fall) semesters as an eligible member of the team. Mid-year transfers do not qualify for awards until completing two consecutive (fall/spring) semesters as an eligible student-athlete.

Initial enrollment triggers award cycle. For example, a junior college transfer, after completing two full semesters as an eligible student-athlete would qualify for the first year award.

**STUDENT-ATHLETE COMPLIMENTARY ADMISSIONS**

**Home and Away Games**

In accordance with NCAA, Conference Affiliate and UAlbany regulations, each student-athlete is entitled to four (4) complimentary admissions for home contests. Each student-athlete is entitled to two (2) complimentary admissions for away contests. The Athletic Ticket Office and the Office of Compliance Services collaborate to ensure that all regulations are followed for assigning and distributing player complimentary admissions.

**Post-Season**

In accordance with NCAA, Conference Affiliate and UAlbany regulations, each student-athlete is entitled to four (4) complimentary admissions for all home post-season events. Each student-athlete is entitled to two (2) complimentary admissions for all away or neutral sited contests. The Athletic Ticket Office and the Office of Compliance Services collaborate to ensure that all regulations are followed for assigning and distributing player complimentary admissions.

**Procedure**

The procedure outlined below must be followed for the sports of Men’s Soccer, Football, Men’s Basketball, Women’s Basketball and Men’s Lacrosse:

1. **Student-athletes must log in to their ARMS account and navigate to the Complimentary Tickets tab.**
2. **Student-athletes have the ability to request complimentary admissions by indicating the full name and relationship of the individual(s) whom they would like to leave complimentary admissions for. Student-athletes also have the ability to transfer their complimentary admissions through ARMS to another student-athlete on their team.**
3. The Athletic Ticket Office will review all complimentary admissions requests made by student-athletes through ARMS in consultation with the Athletic Ticket Policy and the Office of Compliance Services.

4. All requests must be submitted in ARMS within 24 hours of the start of the game/contest.

5. Once the deadline has passed, the Athletic Ticket Office prints the complimentary admissions list for game day use.

**Complimentary Admissions Honoring Current Student-Athlete**

According to NCAA Bylaw 16.2.1.3.2, an institution may provide a maximum of four (4) complimentary admissions to a student-athlete for an institution's game or event during which a student-athlete is being honored but not participating, provided such complimentary admissions are used by the student-athlete's family members.

**Procedure**

1. Student-athletes must complete the Complimentary Admissions Honoring Current Student-Athletes Form in ARMS.

2. Student-athletes have the ability to request complimentary admissions by indicating the full name and relationship of the individual(s) whom they would like to leave complimentary admissions for.

3. The Office of Compliance Services and the Athletic Ticket Office will review all complimentary admissions requests made by student-athletes through ARMS in consultation with the Athletic Ticket Policy and NCAA rules.

4. All requests must be submitted in ARMS within 24 hours of the start of the game/contest.

5. Once the deadline has passed, the Athletic Ticket Office creates a complimentary admissions list for game day use.

**OCCASIONAL MEALS**

Coaches are required to submit an Occasional Meal Form through ARMS for any meal a student-athlete or the entire team in a sport receives from a representative of athletics interest or for any meal received in the locale of the institution on infrequent and special occasions from an institutional staff member. These meals must be documented in detail as to who attended and location. The Occasional Meal Form must be submitted through ARMS at least 24 hours prior to when the occasional meal is expected to occur and must be approved by the Office of Compliance Services and the Athletic Business Office.
HOUSING REQUESTS

The Associate Athletic Director for Compliance is the main point of contact between Residential Life and the Division of Athletics. Coaching staff will work with the Associate Athletic Director for Compliance at various times during the year regarding housing assignments. Coaching staff will be provided instructions, templates and due dates regarding the following information:

A. Fall incoming student-athlete housing requests;
B. Recess housing requests;
C. Summer school housing requests; and
D. Preseason housing requests.

VACATION PERIOD, SUMMER SCHOOL AND PRESEASON MEALS

The Associate Athletic Director for Compliance is the main point of contact between University Auxiliary Services, SUNY Card and Athletics. Coaching staff will work with the Associate Athletic Director for Compliance at various times during the year regarding meals and dining. Coaching staff will be provided instructions, templates and due dates regarding the following information:

A. Recess meals/per diem/catering.
B. Summer school meal plan requests; and
C. Preseason meals/per diem/catering.

7.12 PROCEDURES RELATED TO REGULATIONS GOVERNED BY BYLAW 17: PLAYING AND PRACTICE SEASONS

DECLARATION OF PLAYING SEASON

Head Coaches will be asked by the Office of Compliance Services to submit their Declaration of Playing Season in ARMS prior to the start of their respective playing season. If a coach elects to divide their playing season into two segments in accordance with NCAA rules, the Assistant Athletic Director for Compliance shall revisit this form with the coach prior to the start of the second segment in order to declare the segment dates and ensure these dates conform to the number of days per NCAA rules.

DECLARATION OF PLAYING SEASON MODIFICATION

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

Policy

Practice

1. The Associate Athletic Director for Facilities, Scheduling and Game Operations, Sport Supervisor, Associate Athletic Director for Academic Services and the Head Coach will meet each semester to determine practice schedules.
2. Practice schedules will be based on academic schedules (course schedules for subsequent semesters are available early March (Summer & Fall) and early October (Spring)) and shared facilities. Teams that are in their competitive season will be given priority. Every effort will be made to provide equitable practice times to teams sharing a facility.
3. Any changes or revisions to practice schedules must first be approved by the Associate Athletic Director for Facilities, Scheduling and Game Operations.
4. Changes in practice schedules will not be considered final until all of the appropriate support staff have confirmed their availability.
5. Head Coaches, or their designee, are responsible for communicating the practice schedule change to all of the appropriate personnel.
6. Practices cannot take place without the presence of an athletic trainer.

Competition

1. Games are not to be scheduled and confirmed without first getting approval from the Associate Athletic Director for Facilities, Scheduling and Game Operations and the Sport Supervisor.
2. Coaches are not authorized to confirm home game times with opponents. Game times will be determined by the appropriate staff personnel with consideration for student-athlete welfare, minimizing class time, other home athletic events, etc.
3. For teams that share competition facilities, the Head Coaches for the respective sports are encouraged to communicate and coordinate their home non-conference schedules in an effort to avoid scheduling conflicts.
4. Teams that are in their championship season will be given priority for scheduling of games and use of facilities.
5. For any change to a competition (adding a new competition once the schedule has been approved or making a change to an existing competition (date, time, location)), the Head Coach or designee is required to submit the Competition Schedule Change Request Form through ARMS. This form is to be submitted a minimum of 14 days before the competition.
6. IMPORTANT: Nontraditional season games may not be schedule on a Saturday of a home football game. No exceptions.

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

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

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

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

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

Procedure

Championship Segment Competition Schedule
A. Submitted by Head Coach or Designee in ARMS
B. Approved by
   I. Compliance
   II. Sport Supervisor
   III. Facilities
   IV. Grounds Manager
   V. Business Office
   VI. Athletic Trainer
   VII. Equipment Manager
   VIII. Media Relations Contact
   IX. Ticket Office
   X. Marketing
C. All coaches within the sport and approvers will receive an automated email with details of the approval

Nonchampionship Segment Competition Schedule
A. Submitted by Head Coach or Designee in ARMS

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B. Approved by
   I. Compliance
   II. Sport Supervisor
   III. Facilities
   IV. Grounds Manager
   V. Business Office
   VI. Athletic Trainer
   VII. Equipment Manager
   VIII. Media Relations Contact
   IX. Ticket Office
   X. Marketing
C. All coaches within the sport and approvers will receive an automated email with details of the approval.

**Competition Schedule Change Request Form**
A. Submitted by Head Coach or Designee in ARMS
B. Approved by
   I. Compliance
   II. Sport Supervisor
   III. Facilities
   IV. Academic Advisor
   V. Grounds Manager
   VI. Business Office
   VII. Athletic Trainer
   VIII. Equipment Manager
   IX. Media Relations Contact
   X. Ticket Office
   XI. Marketing
C. All coaches within the sport and approvers will receive an automated email with details of the approval.

**BASKETBALL/FOOTBALL SUMMER ACTIVITIES DECLARATION**

Prior to engaging in any summer activities, football and basketball must submit the Basketball/Football Summer Activities Declaration in ARMS. This form outlines the eight (8) weeks that may be used for summer athletic activities and is approved by the Office of Compliance Services.
SUMMER ACCESS CERTIFICATION - FOOTBALL AND BASKETBALL

Prior to the start of Summer Session I, the head coach or designee will designate the eight (8) weeks of required athletic activities on the Basketball/Football Summer Activities Declaration Form. Once determined, the Office of Compliance Services and the Office of Academic Services will communicate to confirm summer school enrollment and which student-athletes meet any exceptions to summer school enrollment. Enrollment along with summer athletic aid information will be kept on a spreadsheet and shared between the Financial Aid Office, Office of Compliance Services, Office of Academic Services and Athletic Business Office. Subsequent changes to summer scheduling shall require additional review (please refer to the Summer School Grant-in-Aid Policy and Procedure for more information).

DESIGNATION OF SPORTS-SAFETY CERTIFIED COACHING STAFF MEMBER(S)

NCAA Bylaw 17.1.6 states that an institutional staff member with current certification in first aid, cardiopulmonary resuscitation (CPR) and automatic external defibrillator (AED) use must be present any time a student-athlete participates in a physical, countable athletically related activity. In the event an athletic trainer or strength and conditioning coach is not immediately on site, another individual must be present during physical, countable athletically related activity who is certified in First Aid, CPR and AED.

At least one (1) and up to three (3) coaching staff members hold up-to-date First Aid, CPR and AED certification at all times. This protects the health and safety of our student-athletes, reduces liability and also ensures NCAA compliance. The athletic department will offer a certification course each winter.

Annually, each team will be assigned a Designation of Sports-Safety Certified Coaching Staff Member(s) form through ARMS. The form is approved by the Sport Supervisor, Associate Athletic Director for Compliance and the Athletic Business Office. Copies of up-to-date certifications must be uploaded in to the form.

DOCUMENTATION OF COUNTABLE ATHLETICALLY RELATED ACTIVITIES

All countable athletically related activities are documented using ARMS Software on a weekly basis when both in-season and out-of-season during the academic year. Coaches are not required to log CARA hours during institutional vacation periods. Once a log has been submitted, 1-2 randomly selected student-athletes who participated in CARA during that week are emailed to log in to their ARMS account and review the CARA Log. Once approved by a student-athlete, the CARA Log goes to the Assistant Athletic Director for Compliance for review/approval. Any issues or concerns are addressed with the student-athlete and/or coaching staff. CARA Logs may be confirmed randomly by the Assistant Athletic Director.
Athletic Director for Compliance with sports medicine staff and strength and conditioning coaches.

OUTSIDE COMPETITION

Student-athletes are permitted to participate in outside competition during the academic year when they are not in their playing season and during institutional vacation periods/summer. In order to participate in any outside competition student-athletes must have permission from their respective coaches, along with approval from the Office of Compliance Services. In accordance with NCAA rules and regulations, student-athletes are only allowed to receive actual and necessary expenses from any team or organization in which outside competition takes place. Student-athletes must submit the Outside Competition Form through ARMS at least 1 week prior to any participation commencing.

SUMMER BASKETBALL LEAGUES AND OUTSIDE COMPETITION

Men’s and women’s basketball student-athletes are permitted to participate in NCAA Certified Summer Leagues. At least 1 week prior to any participation, men’s and women’s basketball student-athletes must complete the Basketball Summer League Statement & Permission Form in ARMS.

In accordance with NCAA Bylaw 17.31 an outside team cannot include more than a designated number of student-athletes from the same institution. The number of athletes permitted is as follows:
- Baseball - 4
- Basketball - 2
- Lacrosse - 5
- Soccer - 5
- Softball - 4
- Volleyball - 2

7.13 PROCEDURES RELATED TO REGULATIONS GOVERNED BY BYLAW 18: CHAMPIONSHIPS AND POSTSEASON FOOTBALL

ATTESTATION OF COMPLIANCE OBLIGATIONS

Policy

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

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

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

7.14 PROCEDURES RELATED TO REGULATIONS GOVERNED BY BYLAW 31: EXECUTIVE REGULATIONS

NCAA DRUG TESTING PROGRAM

The NCAA will conduct random urine testing at all NCAA post-season championships. The NCAA has also implemented a Year-Round Testing Program, which will randomly tests individual sports throughout the year.

In the event a student-athlete tests positive on a NCAA championship drug test or on a year-round drug test, the student-athlete must adhere to the NCAA Drug Testing legislation.

NCAA Drug-Testing Consent Form

Each academic year, a student-athlete shall sign a form maintained by the Committee on Competitive Safeguards and Medical Aspects of Sports and approved by the Council in which the student consents to be tested for the use of drugs prohibited by NCAA legislation. Failure to complete and sign the consent form prior to practice or competition, or before the Monday of the fourth week of classes (whichever occurs first) shall result in the student-athlete's ineligibility for participation (practice and competition) in all intercollegiate athletics.
Exception -- 14-Day Grace Period

A student-athlete who is trying out for a team is not required to complete the form until 14 days from the first date the student-athlete engages in countable athletically related activities or before the student-athlete participates in a competition, whichever occurs earlier.

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

NCAA SUMMER DRUG TESTING

The NCAA Committee on Competitive Safeguards and Medical Aspects of Sports has authorized summer drug testing at Division 1 institutions, effective to begin in the summer of 2006. Therefore, all student-athletes with remaining eligibility and who signed a drug testing consent form at the beginning of the previous academic year will be eligible to be tested during the summer, regardless of whether the student-athlete resides on or off campus, is within the Albany vicinity or has traveled out of state. All incoming student-athletes will not be subjected to testing.

All athletic department staff members and coaches will be responsible for assisting in the summer drug testing program as deemed necessary by the Summer Site Coordinator.

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

UALBANY ALCOHOL AND DRUG EDUCATION TESTING PROGRAM

The University at Albany Division of Athletics advocates the development of healthy and responsible lifestyles for all student-athletes as a long-time enrichment and enhancement of their lives. The abuse and misuse of drugs and alcohol is a major problem for all segments of contemporary society. The University at Albany has developed a program of drug and alcohol education and testing to aid the understanding of these problems and provide potential solutions. UAlbany student-athletes occupy a special position in the University community; they must maintain a high degree of physical fitness and alertness to perform to the best of their capacity in their athletic endeavors; they must adhere to the highest of ethical standards in their sports; and they must be prepared to be viewed as role models by their peers and young children. This policy remains in force until modified or revoked in writing by the University at Albany Division of Athletics.

Please note that the University at Albany's Program for Drug and Alcohol Education Testing is a separate and distinct from the NCAA Testing Program.
In accordance with the philosophy of the NCAA, all student-athletes engaged in intercollegiate athletics at the University at Albany are mandated to comply with all provisions of this Program. The UAlbany Drug Testing and Consent Form must be signed by the student-athletes to be eligible for participation on any intercollegiate athletic team. If a student-athlete chooses not sign the consent form, the student-athlete will not be permitted to participate in intercollegiate athletics at the University at Albany.

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

7.15 OTHER COMPLIANCE POLICIES

REQUESTING RULES INTERPRETATIONS

When faced with a question or concern regarding NCAA rules and regulations, the following process should be followed:

1. Utilize the current NCAA Manual. Each coach and athletic staff member has been provided with a NCAA Manual for this purpose. If the information in the manual does not clearly answer the question, move on to;
2. Contact the Associate Athletic Director for Compliance or the Assistant Athletic Director for Compliance. When needed, additional clarification or interpretation will be obtained from the Conference or NCAA Office. To avoid confusion or misinterpretation, all questions should be submitted in writing.

RULES EDUCATION PROGRAM

All athletics department staff members are responsible for current knowledge of university, conference and NCAA rules and regulations. Knowledge and familiarity with the rules best comes from regular review of the NCAA Manual, compliance meetings and educational information disseminated from the Office of Compliance Services.

Monthly all-staff meetings are held and provide an opportunity for rules compliance education and open dialogue among attendees. Special reviews of new NCAA legislation will be held each year prior to the NCAA Coaches’ Certification Exam. Attendance at all staff meetings is mandatory. Additional rules education sessions may be held at the discretion of the Office of Compliance Services with athletics department staff members, student-athletes and university personnel outside of the Division of Athletics.

Additionally, the Office of Compliance Services provides rules education through a variety of mediums, such as monthly newsletters, beginning and end of the year student-athlete meetings, social media (Twitter: @UAlbanyBylaws, Instagram: @UAlbanyByalws), educational flyers and updates as they arise.

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BEGINNING OF THE YEAR STUDENT-ATHLETE MEETINGS

All student-athletes must participate in a meeting conducted by a member of the Office of Compliance Services prior to their participation in intercollegiate athletics each year. There are two main components to this meeting: student-athletes receive a prepared presentation that educates them on the NCAA rules as well as pertinent UAlbany policies. Every student-athlete will be provided the opportunity to ask questions. The Student-Athlete Handbook will be emailed to the student-athletes and is available on the ualbanysports.com website. The following is a non-exhaustive list of topics that are discussed:

- UAlbany Athletic Administration
- Sport Supervisor
- Athletic Trainer
- Counseling and Psychological Services
- The Great Dane Code
- Sportsmanship, Honesty and Integrity
- Community Standards Student Code of Conduct
- NCAA and UAlbany Drug and Alcohol Policies
- Hazing
- Student-Athlete Handbook
- Initial Eligibility
- Continuing Eligibility
- Playing and Practice Seasons
- Summer Activities
- Financial Aid
- Awards and Benefits
- Housing
- Gambling
- Agents
- Academic Services
- SAAC

As part of the mandatory university, conference and NCAA paperwork, all student-athletes will read and sign through ARMS the following forms prior to any athletics participation:

- Academic Year Employment
- Amateurism Status after Final Certification
- America East Student-Athlete Release Form
- Assignment of Benefits, Designation of Authorized Representative and Appeal Rights
● Authorization/Consent for Disclosure
● Certification of Recruited Status
● Complimentary Admissions Education
● General Information
● MAAC Student-Athlete Sportsmanship Statement
● New Student-Athlete Pre-Participation Medical Questionnaire
● New Student-Athlete Biography Information
● New Student-Athlete Questionnaire
● NCAA Consent for Disclosure of Protected Health Information
● NCAA Drug Testing Consent - DI
● NCAA Student-Athlete Statement – DI
● NCAA Summary of Regulations – DI
● Outside Scholarship Reporting Form
● Primary Insurance Form
● Promotional Activities
● Returnee Pre-Participation Medical Questionnaire
● Sickle Cell Trait Testing Information
● Sports Medicine Letter
● Sports Wagering Education
● Student-Athlete Automobile Information
● Student-Athlete Social Media Policy
● UAlbany Drug Testing and Consent Form

END OF THE YEAR STUDENT-ATHLETE MEETINGS

All returning student-athletes must annually participate in a checkout meeting conducted by the Office of Compliance Services during/immediately following the spring semester. The purpose of the meeting is to cover the following topics:
● Outside Competition
● Summer Employment
● Required and Voluntary Summer Workouts
● Summer Drug Testing

PROCEDURES FOR INVESTIGATING AND REPORTING AN ALLEGED OR POTENTIAL VIOLATION
1. It is the duty of every institutional staff member and student-athlete to immediately report any violation or suspected violation of AE, CAA, MAAC or NCAA rules. Details pertaining to any violation should be submitted, preferably in writing, to the Associate Athletic Director for Compliance.
2. Once informed of an alleged violation, the compliance office will gather preliminary information surrounding the incident. Based on the information gathered during the preliminary investigation, the compliance office will determine whether a rules violation has occurred.

3. To determine if a Level I, Level II or a Level III violation has occurred, the compliance office will initiate a comprehensive investigation into the matter; the faculty athletic representative (FAR) and Legal Counsel may be assigned to assist in the investigation if deemed necessary. The Office of Human Resources may be notified. A written record will be maintained with the following facts documented:
   a. Date when the alleged violation was reported, to whom, by whom;
   b. Detailed account of the alleged violation (i.e. date(s) that it occurred, who was involved, the circumstances surrounding, and bylaw(s) violated); and
   c. Chronology for all actions taken during the investigation.

4. In the case of a Level III violation, the Director of Athletics and Associate Athletic Director for Compliance will recommend action. When the violation involves an eligibility issue, the student-athlete(s) in question will be immediately declared ineligible until further notice from the NCAA. In all other cases, meaningful corrective and disciplinary measures will be taken against the individual(s) involved. A report of the violation including all relevant information will be sent to the NCAA through the NCAA Requests/Self-Reports Online (RSRO) system.

5. In the case of a Level I or Level II violation, Legal Counsel may be retained. If necessary, Outside Counsel may be requested. The investigations findings will be reported to the Director of Athletics through the President’s Office. The Director of Athletics or Designee will utilize sources at the conference level to determine the appropriate corrective and disciplinary actions for those individuals involved.

6. The Associate Athletic Director for Compliance will be responsible for notifying the Faculty Athletics Representative, the President of the University, University Counsel, the Commissioner of the AE, CAA, or MAAC, and the NCAA Enforcement staff of violations of NCAA rules when appropriate.

Letter of Education

A letter of education shall be drafted on institutional stationary. The following information should be included in each violation report:
   A. The date and location of the violation;
   B. A description of the violation including rule citation;

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C. Identification of anyone involved in the violation (e.g., student-athletes, coaches, boosters, staff members);
D. The reason(s) the violation occurred;
E. A list of corrective/educational measures.

The involved individual(s) (e.g., coach, staff member) will be sent a hard copy of the letter. The Faculty Athletics Representative, Director of Athletics, Athletics Human Resources Manager, Sport Supervisor and Head Coach (when relevant) will receive a copy of the letter.

Letter of Admonishment/Letter of Reprimand

Letters of admonishment and letters of reprimand shall be drafted on institutional stationary. The following information should be included in each violation report:
A. The date and location of the violation;
B. A description of the violation including rule citation;
C. Identification of anyone involved in the violation (e.g., student-athletes, coaches, boosters, staff members);
D. The reason(s) the violation occurred;
E. A list of corrective/disciplinary actions;
F. A declaration of ineligibility and possible request for reinstatement for any prospective or current student-athlete who was involved in the violation; and
G. The institution’s position regarding the violation.

The involved individual(s) (e.g., coach, staff member) will be sent a hard copy of the letter. The Faculty Athletics Representative, Director of Athletics, Athletics Human Resources Manager, Sport Supervisor and Head Coach (when relevant) will receive a copy of the letter.

Annually, the Office of Compliance Services may be asked to submit a summary of NCAA violations to the respective conference affiliate office.

ALLEGED VIOLATIONS INVOLVING OTHER NCAA INSTITUTIONS

If any individual has knowledge of an alleged or suspected violation that involves another NCAA member institution, the information may be reported to the Associate Athletic Director for Compliance. The Associate Athletic Director for Compliance, in conjunction with the Director of Athletics, will determine the best course of action for addressing the allegation based on information provided. Course of action may include direct contact with the compliance office of the reported institution requesting an investigation of the reported violation. Other responses may include contacting the appropriate conference
compliance office and the NCAA enforcement staff requesting the reported institution or that institution’s conference office be contacted.

WAIVERS

The NCAA and conference affiliate provide opportunities to request waivers of most NCAA rules. The Office of Compliance Services is responsible for preparation and submission of most available waivers. If a waiver has specific criteria (e.g., a medical hardship waiver), the waiver request will be submitted only if those specific criteria are satisfied. Exceptions may be made if a denial of a waiver is necessary to move forward with another process or for other reasons which will be evaluated on a case-by-case basis. If a waiver does not have specific criteria, it is at the institution’s discretion to submit a waiver. Such decisions will be made by the Office of Compliance Services in concert with the Head Coach (if applicable), Sport Supervisor (if applicable), the Director of Athletics, the Faculty Athletics Representative and any other appropriate administrative or coaching personnel. Some common waivers are referenced below:

- Athletics Activity Waiver
- Two Year-College Transfer Waiver
- Extension of Eligibility Waiver
- Initial Eligibility Waiver
- Legislative Relief Waiver
- Medical Absence Waiver
- Medical Hardship Waiver
- Medical Hardship Waiver Appeal
- Membership Requirements Waiver
- Progress Toward Degree Waiver
- Season of Competition/Participation Waiver

COMPLIANCE REVIEWS

NCAA rules specify that every four years institutions must have their rules compliance program reviewed by an entity outside of athletics. The Office of Compliance Services is responsible to schedule such reviews with an entity outside of athletics as agreed upon by the Director of Athletics and any other office (i.e., Legal Counsel), as necessary.

Upon the conclusion of any compliance review, the reviewer(s) will issue a report to include any recommendations for the Division of Athletics to enhance or improve its operations as it relates to compliance with NCAA legislation. Such recommendations shall be taken into consideration by the Associate Athletic Director for Compliance, Director of Athletics, University Counsel and the Chief of Staff, with collaboration from the Athletics Senior Staff. Factors for implementation of suggestions include: whether the suggestion makes sense for UAlbany, cost of implementation, whether staffing is
adequate to fully implement the suggestion, whether the suggestion addresses a real need at UAlbany specifically.

The meeting to review the recommendations shall occur within two months of the final compliance review report being issued. After this meeting, the Associate Athletic Director for Compliance shall complete a written plan to implement each suggestion – or to explain why such a recommendation is not being implemented. The written plan shall be reviewed annually by the Associate Athletic Director for Compliance and a written update completed in relation to the progress of implementation of recommendations.

**COMPLIANCE CONTACT LIST AND CALENDAR**

The Office of Compliance Services shall maintain a calendar detailing tasks and due dates of NCAA reports (e.g., GSR, APR, Sport Sponsorship) it handles on a monthly basis.

The Office of Compliance Services shall maintain a contact list detailing NCAA/university topics along with which compliance staff member is the primary contact for that topic and the compliance staff member who is the secondary contact for that topic.

**NCAA GRADUATION SUCCESS RATE (GSR)**

Each year, NCAA Division I institutions are required to report information for students and student-athletes who entered college during the cohort year for which the most recent six years of information is available. The NCAA Graduation Success Rate (GSR) report is also broken down by sport, using a four-year average. Unlike the Federal Graduation Rate (FGR), the GSR credits institutions with student-athletes who leave the college in good academic standing and those who transfer into the college and graduate.

The Office of Compliance Services and the Office of Academic Services collaborate along with the Office of Institutional Research, Planning, and Effectiveness. The Associate Athletic Director for Academic Services and the Associate Athletic Director for Compliance Services are the primary contacts for GSR reporting. However, Institutional Research submits the report annually.

**NCAA ACADEMIC PROGRESS RATE (APR)**

The APR, or Academic Progress Rate, holds institutions accountable for the academic progress of their student-athletes through a team-based metric that accounts for the eligibility and retention of each student-athlete for each academic term. The APR is calculated as follows:
● Each student-athlete receiving athletically related financial aid earns one point for staying in school and one point for being academically eligible.
● A team’s total points are divided by points possible and then multiplied by 1,000 to equal the team’s Academic Progress Rate.
● In addition to a team’s current-year APR, its rolling four-year APR is also used to determine accountability.

Currently, teams must earn a 930 four-year average APR or a 940 average over the most recent two years to participate in NCAA championships. In 2015-16 and beyond, teams must earn a four-year APR of 930 to compete in championships.

While the APR is intended as an incentive-based approach, it does come with a progression of penalties for teams that under-perform academically over time.

The first penalty level limits teams to 16 hours of practice per week over five days (as opposed to 20 over six days), with the lost four hours to be replaced with academic activities.

A second level adds additional practice and competition reductions, either in the traditional or non-championship season, to the first-level penalties. The third level, where teams could remain until their rate improves, includes a menu of possible penalties, including coaching suspensions, financial aid reductions and restricted NCAA membership. The Division I Committee on Academics, which oversees Division I’s academic infrastructure, has the discretion to apply appropriate penalties once teams have fallen below the benchmark for three consecutive years.

While postseason bans are commonly applied as a penalty in the NCAA enforcement process, they are not considered as a penalty for poor academic performance. Instead, the requirement that teams achieve a minimum APR is simply a benchmark for participation in championships. Just as teams must win in competition to be eligible for championships, they must also achieve in the classroom.

As part of the APR, the NCAA established a public recognition program for the top-performing teams in each sport based on their most recent multiyear APR. These awards are given each year to teams with APRs in the top 10 percent, plus ties, in each sport.

The Office of Compliance Services and Office of Academic Services are responsible for completing the APR report each year. The Associate Athletic Director for Academic Services and the Associate Athletic Director for Compliance Services are the primary contacts for APR reporting. The report must be submitted no later than six weeks after the first day of classes for the fall semester. The Office of Institutional Research, Planning, and Effectiveness may be asked to assist with the report.

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Data is gathered from certification of eligibility reports each term, transfer enrollment verification records from other institutions, and additional information such as transcripts, credit evaluations, and NCAA degree audit reports.

In addition to an annual and multi-year APR score for each sport, each head coach also has an APR associated with his/her tenure at the institution. Each institution with a team(s) multiyear APR below 930 must develop and submit an APR Improvement Plan to the NCAA. The improvement plan is developed by the Department's Office of Academic Services, the Office of Compliance Services, the Registrar and Head Coach. Stronger sanctions such as loss of scholarships, practice and playing opportunities or conference and NCAA championship opportunities may also be applied.

**NCAA SPORT SPONSORSHIP REPORT**

Annually, the athletics department must report to the NCAA various information regarding the status of the sports it sponsors within the NCAA Sport Sponsorship Report. This report is coordinated and submitted by the Associate Athletic Director for Compliance. Upon receipt of the request for information from the NCAA, the Associate Athletic Director for Compliance reviews the request, ascertains what other staff members will be required to provide information for the report, delegates responsibility and then gathers all information to be reported. Upon compiling all necessary information, the Associate Athletic Director for Compliance submits the NCAA Sport Sponsorship Report.

**SECTION 8: STUDENT-ATHLETE ACADEMIC SERVICES**

**8.1 MISSION STATEMENT**

The Office of Academic Services at the University at Albany recognizes that athletics can serve as a valuable enhancement to the collegiate experience. Additionally, the skills often learned through athletics can ultimately be applied to other areas of life to help amplify the development of those involved. Therefore, the Mission of the Office of Student-Athlete Support Services is to enhance the collegiate experience of the University at Albany student-athletes by providing an environment that assists them in developing transferable skills so that they may be better prepared to compete in the classroom, the athletic arena, as well in life after athletics. This mission will be accomplished by:

- Fostering an environment designed to maximize the academic potential of student-athletes;
- Providing information and guidance to enable student-athletes to develop academically, athletically and personally using department, campus and community resources;
- Successfully coordinating the development of student-athletes in five designated areas (academics, athletics, career development, community service and personal development);
• Enabling student-athletes to become educated, responsible and self-reliant individuals who are committed to their communities.

8.2 ACADEMIC SERVICES CENTER

Three full-time employees staff the University at Albany Academic Services Office located in room 314/333/335 of the Physical Education building. The Academic Services Center houses study areas and computers for student-athletes use. In addition, various resource materials are available to assist the student-athletes in their academic endeavors. Use of the Academic Services Center in considered a privilege and therefore all equipment and persons within the center should be treated with respect. Failure to abide by the rules of the Academic Services Center may result in suspension or loss of privileges.

Hours of Operation

Academic Year: Monday-Thursday, 8:30 am - 9:00 pm, Friday, 8:30 am – 5:00 pm
Summer: Monday-Friday, 8:30 am - 4:30 pm

Any adjustments to these times will be posted in the Academic Services Center and Coaches and teams will be notified.

8.3 ACADEMIC SERVICES CENTER RULES AND REGULATIONS

1. No Food or Drinks in any rooms of the Academic Center, this includes tutor rooms, computer lab and open study area. (Exception: Water)
2. Cell phones, head phones and any other music listening devices are permitted as long as they are used responsibly and do not disrupt others.
   a. Cell phones are not be permitted for dialogue. Please keep cell phones on silent while in the Academic Center.
3. The Academic Center is a quiet study environment; therefore excessive talking is not permitted.
   a. There are group study rooms for use in the academic center where students are permitted to meet with others and discuss classes and/or assignments.
4. Student-athletes must come prepared to study, bringing all necessary books, papers, pens, notebooks, etc.
   a. The Academic Center has wireless capabilities if students choose to use their own laptop.
   b. If a student is not prepared for study hall, he/she will be asked to leave.
5. No accessing non-academic web sites (i.e., Facebook.com, youtube.com, espn.com etc.)
6. Everyone is expected to clean up their study area upon departure.
7. All computer work should be saved to the student-athlete’s personal computer drive. No files are to be stored on lab computers. Any files that are saved will be deleted nightly.

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8. No copies can be made, faxes sent, or scanning in the Academic Center.
9. No sleeping and no feet on chairs and tables in the Academic Center.
10. Proper attire is required at all times (e.g., shirts, shoes, etc.).
11. Student-athletes assigned to mandatory study hall are responsible for signing in and out of the study hall tracking system (EAB). Those that forget to sign in or out will lose hours for that session.

**8.4 SUPPORT SERVICES OFFERED TO STUDENT-ATHLETES**

Student-athletes at the University at Albany are offered a multitude of academic support services. The student-athletes are an integral part of the student body in all respects and are subject to all academic and non-academic policies that apply to the entire student body. Student-athletes have full access to academic support services provided by the University, and additionally, the Office of Academic Services offers a variety of programs and services. Below is a partial list of services provided.

**Advance Registration**

Student-athletes have the privilege to register for courses early in the registration process for all academic semesters. Therefore, this privilege should not be abused; student-athletes are responsible for ensuring they are properly prepared to register for courses (meet with department advisor, obtain AVN, clear account holds, etc.). Additionally, prior to each semester, coaches are required to inform their team members of future practice times so that they may schedule courses around these time periods. These schedules should be confirmed with the assistance of the Academic Services Office to avoid any potential conflicts between athletic and academic requirements.

**Academic Advising**

All students attending the University at Albany, including student-athletes, are academically advised in the department and/or college of their major. A counselor in Undergraduate Education will advise students who have not declared a major. In addition, the athletic advising staff is available for informal academic advising for all student-athletes. For official advising, students are referred to the advisors in their departments or Undergraduate Education.

**Academic Monitoring**

Academic monitoring is provided for all student-athletes, tracking academic progress for NCAA eligibility as well as to assist students who may be experiencing academic difficulties. Progress reports for all student-athletes are distributed to professors twice per semester.
Summer School

Student-athletes who receive athletic aid during the academic year may be eligible for athletic aid if enrolled in summer school. Summer courses necessary to keep the student-athlete on track academically must be approved by the Associate Athletic Director for Academic Services. Should a student-athlete wish to apply for summer aid, he/she must complete a summer application through ARMS by the posted deadline and then be approved by the Summer School Committee. Otherwise, any expenses associated with summer courses are the responsibility of the student-athlete.

Study Sessions

Study sessions for all freshmen and transfers as well as continuing students with a cumulative GPA below 2.5 are mandatory. At the end of the first semester, freshmen and One-Year Transfers who earn between a 3.0 – 4.0 GPA could have their study hall hours reduced. Two-Year Transfers who earn a 3.0 or better after their first semester will be excused from study hall. The amount of hours per week to be completed will be determined by the Academic Services staff and coach. Weekly reports will be provided to each coach.

Study hall is conducted in PE 314 & 335 during the following days and times:
- Monday - Thursday, 8:30am - 9:00pm and Friday, 8:30am – 3:00pm
- During times of competition, hourly requirements may be adjusted.

NOTE: All student-athletes enrolled in study sessions are expected to correctly record the time they arrive and depart in the study hall tracking system (EAB), within the Academic Center. Failure to record the correct time will result in the student-athlete’s hours for the week being nullified.

Tutoring

The Tutoring Handbook can be located at http://www.ualbanysports.com/ViewArticle.dbml?DB_OEM_ID=15800&ATCLID=877298

Free individual tutoring is offered in a variety of subject areas. The Academic Services staff hires, provides training and supervises tutors for student-athletes each semester. Students requesting assistance are required to request a tutor through EAB and must meet with the Tutor Coordinator to review responsibilities and procedures for participating in the tutoring program. Tutors are assigned on a first come first serve basis. Both the student-athlete and the tutor’s availability are reviewed before they are paired. In the case that a tutor may not be available, student-athletes are encouraged to meet with their professors, and visit Advising Plus, the Writing Center and other tutoring services across campus.

Updated November 2019
Rules for Use of Tutoring Services

1. Be on time for your appointments. All appointments take place in the Student-Athlete Academic Services Academic Center. The Library, residence hall rooms, University Apartments, cafes, etc. are off limits.
2. Failure to show or cancel within 24 hours can result in loss of your tutoring privileges for the remainder of the semester.
3. Tutoring sessions will be 60 minutes in length.
4. Students may not attend tutoring session in courses that are not requested and/or approved by Student-Athlete Academic Services.
5. Tutoring sessions begin during the second week of the term, and end on the last day of classes.
6. There is no tutoring during university holidays or breaks.
7. Be prepared and ready to discuss questions, problems, and issues with your tutor and bring all necessary course materials to the session. This is NOT a time to be taught new information. The tutor is NOT a replacement of the instructor.

Tutor Assignment Procedure

1. Student-Athlete requests a tutor on EAB.
2. Tutor Coordinator receives the requests and matches student-athlete and a tutor with similar availabilities.
3. Once the session has been scheduled student-athlete will receive an email from EAB with the date and time of your session. You will also receive a reminder email the day of your tutoring session.

Procedure for Reporting Study-Hall Credit

Student-Athletes who are required to complete a designated number of study-hall hours weekly may use tutor sessions to count towards those hours. Use your SUNY ID card and swipe in at the front desk at the beginning of your tutoring session and swipe out when your session is over.

Procedure for Canceling a Tutoring Session

If a tutor or student-athlete needs to cancel a session they must contact the tutor coordinator 24 hours in advance of their session either via email or in person.

Student-Athlete Academic Recovery Program

This is a program designed for students whose grade point average is below 2.30 or at the discretion of the Associate Athletic Director for Academic Services. Students meet weekly with Academic Services staff members for individual and specified academic development.

*Updated November 2019*
Student-athletes in the program must be complete the following:

1. Meet at least once a week with an assigned athletic advisor to work on study strategies, skill development and review academic progress.
2. Complete daily planner and semester calendar.
3. Track and record all course grades.
4. Encourage contact with a tutor, Writing Center, etc.

Classroom Attendance Policy

Research has shown that there is a direct correlation between a student’s class attendance and their academic success. For student-athletes, class attendance is even more important due to the class time that will be missed due to athletic competitions. University at Albany student-athletes are expected to be on time and attend all classes, stay for the duration of the class, exhibit appropriate behavior and complete all assignments on time. Class attendance will be monitored by periodic classroom checks and feedback from professors on the student-athlete progress reports.

If a student-athlete accumulates a high number of absences in any of their courses they may be subject to any of the following:

- Written warning to the student-athlete and the sport supervisor and the head coach will be notified.
- Student-athlete may be notified in writing that any further absences could possibly result in missing a practice/competition. The student-athlete may also be required to meet with the Associate Athletic Director for Academic Services.
- May result in a meeting with the student-athlete, the head coach, the Associate AD for Academic Services and the Deputy Director of Athletics to discuss possible suspensions.

The student-athlete should know his/her rights and responsibilities regarding classes missed due to competition. Listed below is the University at Albany’s policy regarding absences due to official University sanctioned competitions. This policy also appears in the Undergraduate Bulletin.

Division of Athletics Missed Class Policy

No class time shall be missed at any time (e.g., regular academic term, mini term, summer term) for practice activities except when a team is traveling to an away-from-home contest and the practice is in conjunction with the contest.
Notice of Class Absence Due to Competition Letter

Letters detailing team travel dates are issued to all student-athletes so that they may provide one copy to each professor. Each student-athlete should distribute these letters the first week of the term and make arrangements for making up any missed coursework well in advance of the absence. Student-Athlete Academic Services staff members are available to aid in this process (i.e., proctor exams). All student-athletes are expected to be in class unless otherwise excused (with professors’ permission) for athletic competition.

Additionally, University Policy Guidelines state:

“If a student-athlete has provided this documentation in a timely manner, the instructor may not penalize the student academically for these absences and is expected to provide reasonable assistance to the student concerning instruction and assignments that were missed. It is the responsibility of the student to notify instructors of changes to such schedules prior to the date of the event; such changes will be supported with appropriate documentation from the Office of Student Athlete Support Services.”

Examples of excused absences are listed below. Please be aware that these are for Division of Athletics purposes only as some professors may not excuse absences due to illness or extenuating circumstances.

A. Absence due to team travel and competition
B. Absence due to illness or medical emergency. The student-athlete must provide medical documentation to their athletic trainer. The athletic trainer will notify the Associate Athletic Director for Academic Services, who in turn will notify the professor. The professor could also request the medical documentation from the student-athlete.
C. Absence due to extenuating personal circumstances. An example of this would be a death in the family. The student-athlete should notify the professor and the Associate Athletic Director for Academic Services as soon as possible.

The coaching staffs, working with the Business Office, should make every attempt to schedule departure times for away contests that will allow for the least amount of missed class time. For example, every attempt should be made to depart campus as late as possible for the least amount of class conflicts. Coaching staffs should also make every attempt to avoid missed class time when scheduling practices before departing campus for away contests.

Other considerations that are to be kept in mind when scheduling are arranging game times to ensure the least amount of conflict for student-athletes with classes, scheduled University vacations and dorm closings, and maximum weekly athletic related activities hours as sanctioned by the NCAA, and can be found in the Compliance section of the handbook.

Updated November 2019
NCAA Concussion Management Protocol – Academic Classes (Implemented October 2017)

Student-athletes who have been diagnosed with a concussion are, at a minimum, excused from class and class-related activities on the day they sustain the concussion and will return to class and academic activities gradually as they are medically able to tolerate them.

The Athletic Academic Services will notify the Office of the Vice Provost and Dean for Undergraduate Education that the student-athlete has been injured, and this office will notify the student-athlete’s instructors of the situation and the prognosis for a return to academic activities. As with all excused absences, instructors may not penalize students academically for these absences and are expected to provide reasonable assistance with missed instruction and assignments.

Referral to University Support Services

Athletic liaisons in various offices are available on campus. The Academic Services Office can help with a referral or student-athletes needing campus resources such as the counseling center, career center, academic departments, international student services, residential life, financial aid and other campus offices and departments.

In addition, in the event a student-athlete is required to miss classes for an extended period of time due to an injury or illness, the Division of Athletics will refer to the Universities Medical Excuse policy at http://www.albany.edu/health_center/medicalexcuse.shtml.

8.5 ACADEMIC INTEGRITY

The Division of Athletics supports the University’s “no tolerance” stance towards academic fraud. Listed below are the most frequent types of academic dishonesty and some of the punishments that have been used in the past.

- Plagiarism – submitting someone else’s words and ideas as your own.
- Cheating on Exams – aid from another student’s exam and/or from notes.
- Multiple Submissions – handing in a paper more than one time for a grade without first getting permission from all professors involved.
- Forgery – imitating another’s signature on an official document.
- Sabotage – destroying, stealing, or damaging another’s work.
- Collaboration – working together on a project or assignment without the professor’s permission.
- Falsification – submitting false information, incorrect or incomplete citations.
- Bribery – offering any object of value or service to another to receive a grade not earned or any other service.
Penalties
- Warning without further action
- Requiring the rewriting of a paper containing plagiarized information
- Lowering of a paper or project grade
- Giving a failing grade to the paper, project or examination
- Giving a failing grade in the class
- Being placed on academic probation
- Disciplinary suspension or dismissal from the university

For further guidelines and regulations regarding Academic Dishonesty, please consult the Undergraduate Bulletin section on “Undergraduate Academic Regulations”.

8.6 UNIVERSITY ACADEMIC REQUIREMENTS

Grading Scale

The undergraduate grading scale includes the following grades: A(4.0), A-(3.7), B+(3.3), B(3.0), B-(2.7), C+(2.3), C(2.0), C-(1.7), D+(1.3), D(1.0), D-(.7), E(0.0)(failing).

For courses below the 300 level, you are able twice in your academic career to receive optional grades of S/U (Satisfactory/Unsatisfactory) S is equivalent to a C or better and U is C- or below and does not fulfill a requirement. S or U does not affect your GPA.

In order to graduate, every student must have a minimum GPA of 2.0 overall, in his/her major and minor.

Academic Standing

The Registrar’s Office categorizes students on completed graduation credits.
- Freshmen Fewer than 24 credits
- Sophomore 24 - 55 credits
- Junior 56 - 87 credits
- Senior 88 or more credits

Academic Warning

Semester GPA below 2.0, but above 1.0 = (No further penalties)

Academic Probation

- Cumulative GPA below 2.0
- Cumulative GPA must be above a 2.0 in order to be removed from Academic Probation
• If cumulative GPA is not raised to a 2.0, the student is placed on TERMINAL PROBATION for the following semester.

Terminal Probation

Students are placed on Terminal probation for the following reason(s):
• Semester GPA is below 1.0.
• Student has a cumulative GPA below 2.0 for a second semester.

Students on terminal probation must complete an “Academic Improvement Plan” and file this plan with their advisors and the Dean of Undergraduate Studies by the end of the Add/Drop period.

Students achieving a semester and cumulative GPA of at least 2.0 will be removed from Terminal Probation.

If a student’s semester GPA is at least 2.0 but the cumulative GPA remains below 2.0, the student will remain on Terminal Probation until the cumulative GPA is at least a 2.0.

Any student earning a semester GPA below 2.0 while on Terminal Probation will be dismissed.

Academic Dismissal
• Will occur only if a student has been on Terminal Probation and fails to earn a semester GPA of at least 2.0.
• “Academic Dismissal” will be recorded on the student’s record.
• Students who have been academically dismissed have the right to seek reinstatement to the University by submitting a written petition to the Committee on Academic Standing.

Academic Dismissal for EOP Students
• Students enrolled at the University through EOP will be granted an additional semester on Academic Probation before they are subject to Terminal Probation, even if their cumulative GPA is below a 2.0

NOTE: No student who matriculated prior to fall 2000 shall be dismissed or de-registered under the above standards if that student’s academic performance would not have resulted in dismissal or de-registration under the prior academic standards.
8.7 STUDENT-ATHLETE ADVISORY COMMITTEE (SAAC)

Purpose

The purpose of the Student-Athlete Advisory Committee (SAAC) is to serve as liaisons between the athletic administration, university and student-athletes. The members of the SAAC act as the “voice” of the student-athletes and disseminate information given to them, by administrators, to their respective teams, as well as bring student-athlete concerns to the administration. SAAC is the vehicle for student-athletes to improve upon student-athlete welfare, as well as to help coordinate community service, life skills and various other activities for the athletics department.

Representation

Each team must have at least two SAAC representatives. Each team should choose their representatives and consideration should be given to class status, academic status, and overall leadership characteristics. At least one representative from each sport must be at the SAAC meetings each month.

Decision Making

All decisions are made on a “majority rules” basis. Only those representatives in attendance may cast a vote. If both the SAAC member and SAAC alternate are unable to attend and have notified the SAAC coordinator, the SAAC member will be given a chance to vote prior to that meeting.

SAAC Officers

SAAC has an Executive Board that is selected by the SAAC members. Members of the Executive Board are selected based on their experience, overall commitment and leadership qualities. The Executive Board is comprised of a President, Vice President, Secretary, Event Coordinator and Social Media Coordinator. The Executive Board convenes after each SAAC meeting to discuss relevant issues and to set the next meeting’s agenda.

8.8 CAREER AND PROFESSIONAL DEVELOPMENT CENTER

Location: Science Library G-50
Phone: 437-4900

Hours:
Monday - Friday: 8:00 a.m. – 4:00 p.m.
Drop-In Hours: Tuesday & Wednesday 2:00 pm – 4:00 pm; Thursday 10:00 am – 12:00 pm

Updated November 2019
Summer Hours:
Monday - Friday: 8:00 a.m. – 4:00 p.m.
Drop-In Hours: Tuesday & Wednesday 2:00 pm – 4:00 pm; Thursday 10:00 am – 12:00 pm

The Career Development Center is designed to help and counsel students and alumni in making career decisions. Career decision making can often be a stressful and troublesome experience, which is why the Career Development Center offers a variety of programs and services to help students. The Center staff also works closely with various academic and student affairs offices and student organizations to offer jointly sponsored career-related programs.

The Career Development Center’s services include:
- Professional career counselors to discuss educational and career concerns and goals.
- Critique resumes.
- Help conducting personalized job searches.
- Campus interviewing programs, where various employer and graduate school representatives visit the campus from October to April to interview graduating students (alumni may also interview upon request of the employer).
- Reference files, which are designed to support seniors and alumni in the selection of jobs or graduate school programs, provided through a registration packet available in the Center or by mail (a nominal fee is charged for packets sent by mail).
- Workshops and programs focusing on career planning and job-search issues.
- A computerized résumé printing service.

8.9 STUDENT HEALTH SERVICES

The University Health Center

Phone
Appointments  442-5229
Information  442-5454

Hours
Fall and Spring Semester
Monday – Friday  9:00 a.m. – 4:30 p.m. (by appointment only)

Intersession, Summer and Recess Periods
Monday – Friday  8:00 am – 3:30 pm (by appointment only)
After Hours
If it is an emergency call 911 or 518.442.3131 to reach the UAlbany Police who will dispatch police, fire and emergency medical assistance. Otherwise, consider an Urgent Care facility. Any costs incurred at local Urgent Care Centers and Emergency Rooms could be at the expense of the student-athlete.

Urgent Care Centers (All phone numbers are 518 area code)
St. Peter’s Urgent Care, 400 Patroon Creek Blvd. Albany 445-4444
Albany Med EmUrgentCare, 98 Wolf Rd. Albany 264-9000
Orthopaedic Urgent Care at the Bone & Joint Center 292-2766
1367 Washington Ave, Suite 201 Albany

The University Health Center is located in a new state of the art medical building at 400 Patroon Creek Blvd., Suite 200. The Health Center is a place for students to go for their medical needs, and is designed to serve the specific needs of students. If you need to see a physician whether it is to get a physical examination or just to ask a question about your medical condition, you have that right, and the university provides the Health Center for just these reasons.

Every person who is registered at the University at Albany pays a Comprehensive Services Fee that covers the University’s cost of providing most Health Center Services, in addition to other on-campus services.

8.10 UNIVERSITY COUNSELING AND PSYCHOLOGICAL SERVICES

Phone
Counseling Center 442-5800
Middle Earth Hotline 442-5777
Emergency 911

Location
400 Patroon Creek Blvd., Suite 104, Albany, NY 12206

Hours
Academic Year: 9:00 a.m. – 4:30 p.m., Monday – Friday
Summer/Intersession: 8:00 a.m. – 3:30 p.m., Monday – Friday

The University Counseling Center is here to help you reach your academic, educational and personal goals by offering individual counseling, group counseling, consultation, psychological assessment, educational programs, and training and supervision. All University faculty, staff, parents and student groups may also use the Center consultation services and educational resources.

As a student, you can come to the Counseling Center to discuss your problems. Center staff
can help you with issues of academic importance, suicidal thoughts, sexual assault, loneliness, depression or anything else that you need to talk about. Anything discussed in the Counseling Center will remain private and will not become part of any other University record. There will not be a charge for Counseling Center Services.

8.11 MIDDLE EARTH PEER ASSISTANCE PROGRAM

Phone
442-5777

Location
400 Patroon Creek Blvd., Suite 104, Albany, NY 12206

www.albany.edu/middleearthcafe/index.shtml

Middle Earth is a student-run group that offers students in need of anonymous advice over the phone. Some concerns that are generally addressed by Middle Earth include adjustment to college life, academic success, issues concerning dating and relationships, issues related to use of drugs or alcohol, questions about sexuality, questions about pregnancy and sex, questions about STD’s or HIV/AIDS, finding resources for help, or just the need to talk to someone. Whatever is discussed will remain private regardless of whether or not you choose to remain anonymous.

Middle Earth provides 5-8 minute podcasts about surviving in college. For a list of these podcast topics, refer to the Middle Earth webpage. If you would like to talk further about any of the podcast topics, please call the Middle Earth Hotline at 518-442-5777. The hotline is open Monday – Friday 1:00 pm - midnight and continuously Friday – Sunday midnight. Services are free and confidential.

Middle Earth provides training in study skills and test anxiety, time management, relationship concerns, eating disorders, making friends, sexuality issues, and adjusting to college life for students who wish to become educators. Because of this comprehensive training, you should feel comfortable calling up Middle Earth and talking with one of its peer educators.

SECTION 9: ATHLETIC TRAINING POLICIES AND PROCEDURES

9.1 GENERAL POLICY STATEMENT

The UAlbany Athletic Training Staff will provide reasonable medical coverage for all student-athletes who compete in intercollegiate athletics. Each member of the athletic training staff will do his/her equal share to provide this service.

At all times, the welfare of the student-athlete will be of utmost priority in the actions of the sports medicine staff.

Updated November 2019
Student-athletes from visiting teams will be extended the same courtesy, service and respect as UAlbany student-athletes.

All medical decisions are made under the supervision of the UAlbany team physicians. The athletic training staff will make no decisions regarding the status of a student-athlete without first consulting the team physicians.

The Athletic Training Staff is expected to perform designated functions necessary to provide an operational sports medicine program. In addition, the athletic training staff will do whatever is possible to insure all standards are met within the Division of Athletics and UAlbany.

The Athletic Training Staff will conform to all rules and regulations regarding Universal Precautions and Blood Borne Pathogens.
The Athletic Training Staff will not discriminate in providing any services to any student-athlete regardless of race, sex and/or religion.


The Athletic Training Policies and Procedures can be found in the office of the Head Athletic Trainer or on the UAlbany Athletics website.

9.2 LEGAL CONCERNS

Legal concerns are of great priority to the athletic trainer and the Division of Athletics at UAlbany. Awareness, responsibilities, confidence, and common sense, which are gained through knowledge and understanding, will alleviate some of the legal concerns.

However, there may be times when one who assists is in doubt. If that time arises, be certain to function as a normal prudent person, be willing to accept your decisions, and never do anything that will leave your mind in conscious doubt. If in doubt, do not hesitate to contact the Head Athletic Trainer, assistant athletic trainers, team physicians or call for medical assistance (ambulance). Remember, your actions will affect others besides yourself. You are representing UAlbany, the coaching staff, your family, the family of the student-athlete, fans, the community, and most importantly........... THE STUDENT-ATHLETE.

Athletic Trainers may be subject to judicial claims based on a variety of legal theories. The most common threat faced by all athletic trainers who provide sports medicine services to student-athletes is malpractice. Malpractice is a type of tort, or legal wrong, in which a professional fails to act as a reasonably prudent practitioner would act under the circumstances. Athletic trainers are usually sued under the negligent tort theory.
whereas the athletic trainer fails to act as a reasonably prudent athletic trainer (Leverenz & Helms, 1990). According to Scott (1990), liability may be based on:

- Negligent patient care
- Failure to obtain informed consent
- Intentional conduct
- Breach of contract
- Use/transfer of a defective product
- Abnormally dangerous treatment to a student-athlete

To prove negligence, the aggrieved student athlete must be able to substantiate the following:

- Conduct by the athletic trainer
- Existence of duty
- Breach of conduct
- Causation
- Damage

Your actions will have the greatest effect on the student-athlete. Be sure your actions are long lasting. Make every necessary effort to keep the student-athlete both mentally and physically sound so that his/her stay at UAlbany will be most enjoyable and memorable.

Also, remember that most college student-athletes will someday become recreational athletes and your actions will predetermine how recreational his/her future years will be.

9.3 POLICY STATEMENT

The UAlbany Division of Athletics will provide medical care for any injury, illness or travel related to either activity, provided the injury, illness or travel is a direct result of a regularly scheduled practice and/or competition.

The UAlbany Division of Athletics will not be responsible for any medical expenses incurred by a student-athlete competing in any event not identified in advance to and/or sanctioned by the UAlbany.

According to NCAA Bylaw 16.41, the UAlbany Division of Athletics will not be responsible for medical or hospital expenses incurred as the result of an injury while going to or from class, or while participating in classroom requirements (e.g., physical education), unless similar services are provided by the institution to all students or by the terms and conditions of the institution’s overall insurance program.

According to NCAA Bylaw 16.4.1, the UAlbany Division of Athletics will provide surgical expenses to treat a student-athlete (including partial qualifiers or non-qualifier)
who is injured during the academic year while participating in voluntary activities that will prepare the student-athlete for competition.

The UAlbany Division of Athletics team physicians, will provide each student-athlete with a pre-participation physical examination prior to participation in intercollegiate athletics. The team physicians will assume the responsibility for determining the medical status of each student-athlete. If a student-athlete has been deferred for any reason, the student-athlete will not be permitted to participate until the medical condition has been resolved and clearance has been granted by the team physicians.

9.4 MISSION

The mission of the UAlbany Athletic Training Department, staff and physicians is to provide the most reasonable medical care for the injured or ill student-athlete.

The UAlbany Athletic Training Staff are committed professionals that are qualified and certified by the National Athletic Trainer’s Association in the prevention, care, treatment, rehabilitation and reconditioning of athletic injuries.

9.5 HOURS OF OPERATION

The Athletic Training Room is open daily from 9:00am-5:00pm for normal business hours. In addition to the regularly scheduled hours, the athletic training room will be open prior to and following each regularly scheduled practice and competition. The Certified Athletic Trainer responsible for that sport’s medical coverage will determine specific treatment hours for a team’s practice and competition.

Hours of operation will change during summer school, university holidays, winter break and spring break.

The Certified Athletic Trainer responsible for that sport’s medical coverage will determine when the auxiliary athletic training rooms will open. These facilities/services are located at the actual competition site.

9.6 GUIDELINES FOR MEDICAL COVERAGE

With athletic practice and competition, the first responder to an emergency situation is typically a member of the sports medicine staff, most commonly a certified athletic trainer.

A team physician may not always be present at every organized practice or competition.
The type and degree of sports medicine coverage for an athletic event may vary widely, based on such factors as the sport or activity, the setting, and the type of training or competition.

Conditioning workouts, weight lifting workouts and individual skill instruction scheduled in the early morning hours or at non-traditional times may be conducted without medical coverage from the athletic training staff.

The first responder in some instance may be a coach or other institutional personnel. Certification in cardiopulmonary resuscitation (CPR), Automatic External Defibrillators (AED’s), first aid, prevention of disease transmission, and emergency plan review should be required for all athletics personnel associated with practices, competitions, skills instruction, and strength and conditioning.

9.7 INJURY PREVENTION

Policy

Each staff member of the UAlbany Athletic Training Department is responsible for making sure he/she is familiar with all rules and regulations of those sports sanctioned by UAlbany. Each athletic trainer is responsible for becoming familiar with the requirements for use of the protective equipment worn in each sport, the most common mechanism of injury and the most common injuries for assigned sports. Do not rely on the knowledge of coaches or the student-athletes.

Many times improper technique is a very good cause for mechanisms of injury. Each athletic trainer should be familiar with as many techniques as possible. Be sure to have a working knowledge in weight training and conditioning procedures available for each sport.

Procedures

1. Each athletic trainer should be familiar with sports and sport techniques. This can be accomplished by entering into a sport technique class while at UAlbany or being attentive to coaching techniques while at practices.
2. Each athletic trainer will be assigned time working with the equipment personnel during equipment issue for various sports. All athletic trainers should be familiar with equipment fitting, the purpose it serves, and what alternative equipment is available.
3. All athletic trainers should enroll in a weight training course and will periodically be called upon to work with the strength and conditioning staff to become familiar with all phases of weight training, testing, and conditioning for various sports.
4. In the event of injury, an injury report, HOPS format (a written assessment provided by the athletic trainer in reference to the injury sustained, the evaluation,
and the treatment protocol) must be completed by the athletic trainer in charge. This form must be completed in detail so the information can be forwarded to other athletic trainers and/or coaches. A progress sheet is to be used to record treatments, rehabilitation protocols and any remarks pertinent to the athlete’s progress and/or changes in protocol. At the completion of treatment, the entire report must be filed in the student-athlete’s permanent medical file for a period of seven (7) years.

9.8 INJURY AND ILLNESS PROCEDURE

It is the responsibility of the head coach, assistant coaches and any athletic department staff member who has knowledge of or has witnessed an injury to immediately report the incident to the athletic trainer.

In the event a student-athlete is injured or becomes ill, the student-athlete must first contact the Athletic Training Department.

Upon completion of an athletic training staff examination, an athletic training staff member may refer the student-athlete to the team physician.

Head Coaches, Assistant Coaches, graduate assistant coaches, team managers or any other UAlbany personnel shall not be permitted to schedule appointments for any student-athlete without first consulting the Head Athletic Trainer. Any referrals without following proper procedures will result in the student-athlete being held responsible for payments. In the event of an athletic related emergency, or the athletic training staff in unavailable, any UAlbany personnel should provide the student-athlete access to a medical facility of choice.

The student-athlete will be responsible for payment of any fees resulting from missed appointments, including dental, eye exams, or any other medical problem.

9.9 GOALS AND TREATMENT PLAN

1. Rest
2. Ice
3. Compression
4. Elevation
5. ROM
6. Flexibility
7. Modalities
8. Surgery as directed by physician
9. Strengthening exercises: to include accessory joints
10. Cardiovascular conditioning
11. Functional Exercises

Updated November 2019
12. Isokinetics as per accepted protocol
13. Gait training
14. Proprioception
15. Sport functional activities: to be determined by sport
16. Wound care: if required
17. Medications: as directed by physician
18. Other treatments: as directed by physician
19. Nutritional recommendations
20. Taping and/or bracing as needed for activity, or upon physician recommendation.
21. UAlbany Athletic Training Rehabilitation Protocol

Response to Treatment

Treatment plans are continued and/or modified in conjunction with other athletic trainers, student-athletes response and the team physician, when the following goals are met:
1. Reduced pain
2. Reduced swelling
3. Increased ROM
4. Increased flexibility
5. Increased strength
6. Increased functional capabilities
7. Able to perform sport specific activities

Treatment Termination Criteria

1. Physician release if applicable
2. Meets return to play criteria
3. Meets functional rehabilitation goals: ROM/Strength/Conditioning
4. Adherence of maintenance/“preventative” plan of care as set forth by physician and/or athletic training.

Surgical Protocol for Student-Athletes

Notification
☐ Athletic Trainer/Insurance/Scheduling/Facility Location
☐ Head Team Physician
☐ Head Athletic Trainer
☐ Supervising ATC
☐ Insurance Specialist
☐ Head Coach
☐ Parents/with permission from the student-athlete
☐ Academic Advisors/missing class assignments
☐ Order CPM/Game Ready unit/Bone Stimulator if prescribed by Surgeon
Scheduling
☐ Notify the primary insurance info/surgery center/hospital scheduling
☐ Work with the Surgeon’s office to schedule surgery at a contracted location.

Documentation
☐ Initial injury report
☐ Division of Athletics Medical Provider Insurance Claims Information
☐ Referral to surgery center, student-athlete will hand carry the day of surgery
☐ Referral to the pharmacy, student-athlete will hand carry the day of surgery (the day prior if possible)
☐ Obtain copy of all diagnostic test results/MRI/CT Scan/X-Rays/Blood Tests/etc.
☐ Obtain copy of the surgery report/(usually takes a week post-surgery)/File in student-athlete’s chart

Interaction with the Student-Athlete
☐ Explain the surgical procedure to student-athlete
☐ Explain rehabilitation protocol/prognosis to student-athlete
☐ Start rehabilitation prior to surgery if possible (ROM, decrease swelling, muscle contractions, etc.)
☐ Obtain prescription for blood tests (if needed) as soon as possible. Forward results to surgeon’s office.
☐ Obtain crutches/walking boot/sling prior to surgery/empty ice bags/bring to surgery
☐ Obtain prescriptions for medications prior to surgery if possible. Any allergies?
☐ Remind the student-athlete not to have any food or drink after midnight on the day of surgery.
☐ Confirm transportation arrangements to/from the surgery center. Student-athletes are not permitted to drive themselves.
☐ Confirm cell phone number of student-athlete.

Day of the Surgery
☐ Confirm the transportation arrangements of the student-athlete to the surgery center/hospital
☐ Student-athlete needs to bring a photo I.D. and a list of all medications taken within the last 10 days
☐ Bring a referral (blue) sheet to the surgery center/hospital
☐ Bring a copy of insurance information and copy of insurance card
☐ Bring a UAlbany Division of Athletics Medical Provider Insurance Claims Information
☐ Bring crutches/walking boot/sling/empty ice bags/medication to surgery
☐ Talk with parents/family if they are present
☐ Stay with student-athlete in the recovery room/talk with parents if they are present
☐ Transport the student-athlete back home/dorm/apartment
Make sure the student-athlete has medication as prescribed by the surgeon.
- Make sure the student-athlete has ice/ice bags as requested by the surgeon.
- Contact the Head Athletic Trainer to describe the surgical procedure/results
- Contact the student-athletes head coach/assistant coach

**Day after the Surgery**
- Call the student-athlete
- Start rehabilitation protocols/don’t let them “disappear”
- Schedule follow up post-operative appointment with the surgeon
- Schedule PT if requested by the surgeon/no longer than 2 weeks off campus (Holidays)

### 9.10 GENERAL MEDICAL ASSESSMENT PROTOCOL

- Not every student-athlete needs to be referred to a physician or obtain prescription medications.
- Athletic Trainers will determine if it is necessary to refer a student-athlete to a family practice physician.
- A general medical assessment must be completed before a student-athlete is evaluated by a physician.

**Medical Records That Arrive by Fax Machine**

Check the fax machine daily for diagnostic test results/lab work.

Make sure that the referring team physician is notified regarding the test results/lab work ASAP and that the team physician signs off on all supporting documentation.

### 9.11 PRE-PARTICIPATION PHYSICAL EXAMINATIONS

**Medical Clearance**

All student-athletes who wish to participate in intercollegiate athletics are required to submit the appropriate medical information the Athletic Training Department. The following must be provided to the athletic training department prior to practice or participation.

**Annual On-Campus Physical Examination**

An annual physical examination, performed by a UAlbany physician is required for all student-athletes to be medically cleared for participation. The physical examination will be scheduled by the athletic training department and will be conducted in the Athletic...
Training Room, located in SEFCU Arena. Selected individuals may be required to complete additional tests and/or examinations as needed.

The University Health Report form will be completed during the course of the physical examination. **ALL** paperwork must be completed in order for the student-athlete to be declared eligible for practice. Upon successful completion of the aforementioned pre-participation physical examination process, the student-athlete will receive approval/certification from the UAlbany Sports Medicine Department to be issued equipment, and to participate in practice, strength and conditioning sessions, and/or competition. The Office of Compliance Services and Head Coach will be informed when a student-athlete has been medically cleared for participation.

If, for any reason, the student-athlete is not approved/certified for intercollegiate athletics participation, he/she will be notified by the UAlbany Team Physician and/or a member of the UAlbany Athletic Training Department at the end of the pre-participation physical examination.

**A. Scholarship Student-Athletes**

1. Costs associated with any additional tests, consultations, and/or medical procedures needed to gain approval/certification for participation will be sent to the student-athlete’s primary health insurance for payment first.

2. Costs not paid by the student-athlete’s primary health insurance will be paid by the UAlbany Division of Athletics.

**B. Nonscholarship Student-Athletes**

1. All costs associated with any additional tests, consultations, and/or medical procedures needed to gain approval/certification for participation in intercollegiate athletics at UAlbany will be the responsibility of the student-athlete and/or his/her primary health insurance.

*No member of the Division of Athletics will permit a student-athlete to participate, nor will UAlbany provide insurance coverage to any student-athlete who has not completed the pre-participation physical examination procedure.*

If a student-athlete is absent for his/her scheduled physical examination, and the absence is unexcused, he/she will have one (1) opportunity to “make-up” the physical examination at a time agreeable with the UAlbany Athletic Training Department and the UAlbany Team Physician and/or his/her designee. If the student-athlete is absent for the “make-up physical examination”, he/she will be responsible for scheduling an appointment, with a UAlbany Team Physician or designee to complete the required physical examination. *The physical examination must be completed and on file in the Sports Medicine Department before the student-athlete is permitted to participate in intercollegiate athletics.*
9.12 **EXIT PHYSICAL EXAMINATION**

Every student-athlete must schedule an appointment with a member of the UAlbany Sports Medicine Department within 14 days of the conclusion of their athletic eligibility for the purpose of an “Exit Physical Examination”. This will include a review of all injuries and/or illnesses received during participation at UAlbany and referral for follow-up care if applicable.

9.13 **ALL RETURNING STUDENT-ATHLETES ANNUAL REQUIREMENTS**

- Nutritional Knowledge Screening Form
- Supplemental Use Survey
- Nutritional Behavior Screening
- Student-Athlete FAST Survey (Only Female Student-Athletes)
- Concussion Education/Watch NCAA Concussion Video/“Structured and Documented”
- Concussion/Student-Athlete Responsibility Statement regarding injuries and concussions/signed yearly
- 5 Acknowledgement Forms (All forms must be Signed by Parents if Student-Athlete is under 18 years old)

**Complete with an Athletic Trainer**

- Copy of both sides of health insurance card
- Concussion C3 Logix testing/Graded Symptoms Checklist/SAC Baseline/Balance Baseline/BESS Protocol
- Concussion/IMPACT testing
- Returning Student-Athlete Health Questionnaire/Height/Weight/BP/Eyes
- Physical Examination (If needed depending on responses on yearly Health Questionnaire)
- Sports Medicine Orientation with Team Physician/Athletic Trainer.

9.14 **ALL INCOMING STUDENT-ATHLETE REQUIREMENTS**

- Nutritional Knowledge Screening Form
- Supplemental Use Survey
- Nutritional Behavior Screening
- Student-Athlete FAST Survey (Only Female Student-Athletes)
- Concussion Education/Watch NCAA Concussion Video/“Structured and Documented”
- Concussion/Student-Athlete Responsibility Statement regarding injuries and concussions/signed yearly
5 Acknowledgement Forms  (All forms must be Signed by Parents if Student-Athlete is under 18 years old)

Complete with an Athletic Trainer

- Copy of both sides of health insurance card
- Concussion C3 Logix testing / Graded Symptoms Checklist/SAC Baseline/Balance Baseline/BESS Protocol
- Concussion/IMPACT testing
- Medical History Form/Signed by Parents if Student-Athlete is under 18 years old
- Pre-Existing Injuries and Illness Form/Allergies, etc. (Completed and reviewed by ATC)
- Physical Examination by UAlbany Team Physician/General Medical and Orthopedic/Height/Weight/BP/Eyes
- Student Health Center Minor Consent Form/Signed by Parents if Student-Athlete is under 18 years old
- Sickle Cell Trait Screening Results (Sickle Cell Trait Education + watch NCAA Video only if SCT Positive)
- Cell phone number
- Athletic Training Orientation with Team Physician/Athletic Trainer.

9.15 SICKLE CELL TRAIT

General Information

Sickle Cell Trait is not a disease, but a blood disorder in which the body produces an abnormal type of the oxygen carrying hemoglobin in the red blood cells. A person with sickle cell trait inherits abnormally curved (sickle) red blood cells instead of normal round red blood cells. These “sickle cells” do not flow fluidly through blood vessels and can cluster together to obstruct them. This obstruction of blood flow can lead to pain, infection, organ damage, and in some cases, death.

Sickle cell trait is common in people who come from places where malaria is widespread. People most at risk for having sickle cell trait are those with ancestors from Africa, South or Central America, the Caribbean, Mediterranean, India, and Saudi Arabia. The trait occurs in about 8% of the U.S. African-American Population and rarely (between 1 in 2,000 to 1 in 10,000) for the Caucasian population.

Sickle Cell Trait and Exercise

The kind of intense exercise done by student-athletes can put unknowing carriers of the sickle cell trait at risk. During distance running, repeat hill workouts, ramp or stair running, sustained weight lifting/“mat drills”, and even short interval sprinting, the trait...
causes some red blood cells to change shape due to low oxygen levels, dehydration, heat, and other conditions that result from physical exertion. This shape change can have serious consequences; these sickling cells can readily block blood flow in blood vessels to important organs and muscles. In some cases, athletes who carry the trait have shown significant distress, collapsed, and have even died during rigorous exercise.

Although the consequences can be severe, sufficient rest, hydration, and cooling may be all that are needed to treat most cases of exertional sickling.

It is important that you understand the presence of sickle cell trait will NOT restrict a student-athlete from play. Any person with a positive test will receive the appropriate follow up care. Student-athletes health information will remain confidential, but a positive sickle cell trait test will be communicated to the appropriate coaches and athletic trainers.

UAlbany Sickle Cell Policy

All incoming student-athletes either sign off if they do not want sickle cell testing done (after reading a sickle cell fact sheet) or have sickle cell screening, via blood work. Student-athletes who have sickle cell trait are never disqualified from participation in sporting events, but are monitored during activity.

IMPORTANT: STUDENT-ATHLETES MUST HAVE VERIFIED RESULTS FROM A SICKLE CELL TEST PRIOR TO BEING CLEARED FOR PARTICIPATION. THERE ARE NO EXCEPTIONS.

Therefore, student-athletes who arrive on-campus without a sickle cell test should immediately report to the athletic training staff to schedule testing. Student-athletes can also have the testing done prior to arriving at UAlbany at their own expense.

Although consequences of the disorder can be severe and there are no restrictions on athletic activity for student-athletes with sickle cell trait, there are some guideline recommendations to control and minimize symptoms during exercise:

1. Encourage student-athlete participation in preseason conditioning programs to enhance acclimation to in season practices and lifting regimen.
2. Engage in slow and gradual preseason conditioning activity to be prepared for sports-specific performance testing and the rigors of competitive intercollegiate athletics. Build up activity over time.
3. Modification of participation in “preseason conditioning tests”. Set your own pace. If sickle cell trait student-athletes can set their own pace, they seem to do fine.
4. Acclimation to onset of conditioning or lifting program. Engage in slow and gradual preseason conditioning regimen to be prepared for sports-specific
performance testing and the rigors of competitive intercollegiate athletics. Build up slowly while training (e.g., paced progressions).

5. Modification of conditioning drills (no timed sprints, no sustained running without periods of rest). Use adequate rest and recovery between repetitions, especially during “gassers” and intense station or “mat” drills. Student-athletes with sickle cell trait who perform repetitive high speed sprints and/or interval training that induces high levels of lactic acid should be allowed extended recovery between repetitions since this type of conditioning poses special risk to these athletes. Not be urged to perform all-out exertion of any kind beyond two to three minutes without a breather. Be excused from performance tests such as serial sprints or timed mile runs, especially if these are not normal sport activities.

6. Implement a hydration policy for before, during, and after all activity. Maintain hydration at all times, especially in hot and humid conditions.

7. Modify activity in hot and humid conditions

8. Modify activity after viral illness, especially in those involving diarrhea or vomiting. Refrain from extreme exercise during acute illness, if feeling ill, or while experiencing a fever.

9. Modify activity after nights with poor sleep.

10. Maintain proper asthma management if athlete has any type of asthma.

11. Stop activity immediately upon struggling or onset of symptoms that include muscle cramping, muscle pain, swelling, abnormal weakness, tenderness, and the inability to “catch a breath”.

12. Report any symptoms to the athletic trainer and coach and seek prompt medical attention.

13. Educate athletes to create an environment that encourages student-athletes with sickle cell trait to report any symptoms immediately. Any signs or symptoms such as fatigue, difficulty breathing, leg or low back pain or cramping, noticeable decrease in performance or struggling in practice or games with a student-athlete who has sickle cell trait should be assumed to be sickling.

For more information and resources, visit [www.NCAA.org/health-safety](http://www.NCAA.org/health-safety).

### 9.16 MEDICAL DISQUALIFICATION

The UAlbany team physician has the final responsibility to determine when a student-athlete is removed or withheld from participation due to an injury, an illness or pregnancy. In addition, clearance for that individual to return to activity is solely the responsibility of the UAlbany team physician or that physician’s designated representative.

### 9.17 SECOND OPINIONS

Provided the initial examination is performed by a UAlbany team physician, any student-athlete at may choose to be seen by a physician, chiropractor, physical therapist or other
healthcare provider of their choice outside of the UAlbany Sports Medicine network of physicians.

UAlbany is not financially responsible for any medical expenses, including surgery, MRI’s, diagnostic tests, office visits, physical therapy and/or treatment provided by individuals outside of the UAlbany Sports Medicine network of physicians.

UAlbany provides a staff of physicians and these physicians are no longer responsible for any medical problems that may arise from this injury / illness.

The student-athlete releasing the UAlbany team physicians from any liability must sign the Waiver of Liability/Second Opinion Policy Form (Appendix B).

The student-athlete must sign a Release of Medical Records Form.

All medical records generated as a result of the second opinion must be forwarded to the UAlbany Athletic Training Department.

The UAlbany team physicians will evaluate the forwarded medical records and will determine the playing status of the student-athlete prior to clearing the student-athlete for any practice and/or competition.

The student-athlete must be cleared in writing by the UAlbany team physicians before he/she can actively participate in any conditioning, practice and/or competition.

The athletic training staff, coaches, and administrators at UAlbany are restricted from offering any assistance to the student-athlete unless directed by the “second opinion provider”.

In the event of re-injury to the same body part, the student-athlete must be seen by the “second opinion provider” and then must be cleared by the UAlbany team physicians.

It will be the responsibility of the student-athlete to make all scheduling arrangements for the second opinion.

9.18 CLOSE-OUT PHYSICAL EXAMINATIONS

Each student-athlete who has exhausted their eligibility and/or decided to leave school early, transfer or discontinue athletics will be given the opportunity to complete a Post Participation Physical Form within fourteen (14) days.

The student-athlete must make a formal request by completing a Post Participation Physical Form.
Once the form is complete, an athletic training staff trainer will schedule an appointment for the student-athlete with the UAlbany team physician.

The Division of Athletics will be responsible for payments incurred for up to one calendar year from the onset of the injury, provided: the student-athlete is not actively engaged in athletic competition in professional sports, international games, or any other form of organized athletics, or as deemed necessary by the UAlbany team physician.

9.19 INSURANCE

Insurance Questionnaire

Each student-athlete must complete and submit an insurance questionnaire each year of participation. The insurance questionnaire is provided annually by the athletic trainer and is retained in each student-athletes file. The questionnaire contains important insurance information that will be used by the athletic training department to process insurance claims and also provide pertinent information to medical staff in the event of an emergency. The insurance questionnaire will not be accepted unless notarized when the individual is a non-EOP student-athlete or when the secondary insurance has been declined.

Student-athlete should be informed on the policies and provisions of a secondary insurance policy that is provided by an independent insurance company for the Division of Athletics. The deductible must be met either by the primary insured or by the student-athlete. The only exception is for student-athletes enrolled in the Educational Opportunity Program (EOP). In that case, the Division of Athletics covers the deductible.

Student-athletes should check with the athletic training staff to determine whether or not there is a deductible for the current year.

Insurance Coverage of Student-Athletes

All student athletes are strongly encouraged to have primary health insurance before participating in any practice, game and/or competition. The student-athlete’s insurance should cover athletics related injuries and/or illnesses, and shall be considered the PRIMARY insurance coverage for all athletic related injuries. The student-athlete must complete a Health Insurance Information/Authorization Form and supply a photocopy (front & back) of the health insurance card on a yearly basis.

Parents and student-athletes are strongly advised to continue their health insurance coverage or purchase health insurance coverage that provides for coverage of non-athletic injuries and illnesses (car accidents, emergency surgeries, pregnancies, appendicitis,
falling down stairs, etc.). Parents and student-athletes should notify their health insurance company that the student-athlete will be attending school out of state.

The UAlbany Division of Athletics provides a medical and catastrophic insurance program for its student-athletes. THIS POLICY, HOWEVER, IS SECONDARY TO, OR IN EXCESS OF, PERSONAL FAMILY MEDICAL INSURANCE COVERAGE, and covers only injuries/illnesses/accidents resulting from the direct participation in the intercollegiate athletics program as approved by the Director of Athletics according to NCAA regulations.

All non-scholarship student-athletes must have medical insurance that covers them during intercollegiate athletics while they are enrolled at UAlbany.

**Insurance Policy Changes**

The UAlbany Athletic Training Department must receive any changes to a health insurance policy as soon as they occur. Without proper notification, UAlbany Division of Athletics may not be responsible for any delays in payment, collection notices, credit reports, etc. that occur.

It is the responsibility of the student-athlete to keep your insurance information up to date with the UAlbany Athletic Training Department. They must be notified immediately of any changes. Failure to do so will result in an inability to process any claims for payment.

**Medical Bills**

The UAlbany Division of Athletics’ secondary medical insurance policy requires that the injured student-athlete make an initial claim with their primary insurance company. When the student-athlete is seen by a provider within the UAlbany Sports Medicine Network, UAlbany will provide them with the primary insurance information. If the student-athlete is seen by a provider outside of the network, it is the responsibility of the student-athlete to supply the primary insurance information to the provider. The provider will then submit a claim with the student-athletes primary insurance company.

While waiting for payment from the student-athletes primary insurance, the provider will continue to send the student-athlete bills. The student-athletes primary insurance company will evaluate and either pay or deny the claim and will send the student-athlete a statement called an EOB (explanation of benefits). The EOB from the primary insurance will explain the processing of the claim. It is very important that all bills and EOB’s for covered expenses be brought to the UAlbany Athletic Training Department in a timely manner. Without this information, UAlbany’s secondary insurance cannot act. Once these are received, the Division of Athletics will process and send the information to its secondary insurance company for consideration.
In the event that a student-athlete should receive a bill/statement for an injury/illness that occurred as a direct result of participation in intercollegiate athletics at UAlbany, the student-athlete must submit the bill / statement to a UAlbany Athletic Training Department in a timely manner. Bills not received in a timely manner may be the responsibility of the student-athlete and/or the student athlete’s parent(s)/guardian(s). The UAlbany Division of Athletics and/or the UAlbany Athletic Training Department WILL NOT be responsible for any delays in payment, collections notices, credit reports, etc. that occur due to bills not being submitted in a timely manner.

Submit all correspondence to:

Attn: Insurance Coordinator
UAlbany Athletic Training Department
1400 Washington Avenue
SEFCU A-25 Arena
Albany NY 12222
PH: 518-442-3725

Exclusions and Limitations (What Is NOT Covered Under UAlbany’s Secondary Insurance Policy)

The UAlbany Division of Athletics’ secondary insurance policy WILL NOT apply to the situations indicated below. This list is not all-inclusive.

1. Injuries/illnesses that are not the direct result of intercollegiate athletics (car accidents, pregnancies, appendicitis, falling down stairs, removing wisdom teeth, etc.).
2. Injuries/illnesses that are a result of intramural, club sports, and recreational activities (non-intercollegiate activities).
3. Injuries/illnesses that are recurrences of old injuries/illnesses which were sustained before participation in the intercollegiate sports program.
4. Injuries/illnesses that are not reported within seven (7) days of the onset of symptoms.
5. Conditions that result from non-compliance.
6. Unauthorized consultation or treatment.
7. Experimental procedures.
8. Cosmetic surgery or procedures unless directly related to an athletics related injury.
9. Hospital room and board charges in excess of the semi-private room rate unless hospitalized in an intensive care unit.
10. Expenses for athletic injuries incurred after completion of the student-athlete’s intercollegiate athletic eligibility.
11. Medical expenses beyond the limitations and exclusions of, or not covered by the Division of Athletics insurance policy. The importance of having some form of personal health insurance coverage cannot be overemphasized. Medical bills resulting from the aforementioned activities will be submitted to the student-athlete’s primary medical insurance. *Any unpaid balances are the responsibility of the student-athlete and/or the student-athlete’s parent(s)/guardian(s).*

**NCAA Catastrophic Injury Insurance Program**

The catastrophic injury insurance program is provided by the NCAA. The insurance premium is paid by the NCAA, after the first $90,000 has been paid by the primary and secondary policies. The catastrophic insurance will pay for any catastrophically injured student-athlete during play, practice or travel related to either activity. In addition, a college education benefit will pay the cost of attendance for the student-athlete to complete his or her degree. A complete copy of the policy and program is on record in the Division of Athletics.

**9.20 MISSED DOCTOR’S APPOINTMENT POLICY**

Student-Athletes who are late and/or fail to report for a scheduled appointment with the team physician, medical consultants and/or diagnostic tests/procedures will be financially responsible for any and all charges incurred. In addition, rescheduling of the appointment will be at the discretion of the attending service provider.

**9.21 INJURY/ILLNESS REPORTING PROCEDURES**

The student-athlete must report to the athletic training room as soon as possible and prior to making any doctor’s appointments unless it is a medical emergency. Failure to do so will result in the student-athlete being responsible for all incurred expenses.

Coaches are not permitted to instruct, suggest or schedule student-athletes to go to a doctor or hospital without first contacting the athletic training department.

**9.22 NON-SPORT RELATED INJURY/ILLNESS PROCEDURES**

The UAlbany Athletic Training Department may be able to assist a student-athlete for injuries and illnesses that are not directly related to participation in the intercollegiate athletics program (e.g. colds, cough, flu, etc.) so it is important for the student-athlete to report all injuries and illnesses to the athletic training department.
9.23 INJURY REHABILITATION

Injury rehabilitation will be provided by the UAlbany Division of Athletics with the following limitations:

- All injuries must be a direct result of intercollegiate activity during a required practice or competition supervised by a Division of Athletics Coach.
- All injury rehabilitation must be provided by the UAlbany Athletic Training Staff.
- All injury rehabilitation provided by off-campus sports medicine centers, physical therapy clinics, rehabilitation centers, etc. must first be approved and referred by the UAlbany Athletic Training Department or a UAlbany Team Physician.
- The UAlbany Division of Athletics is not responsible for any health care related to pre-existing injuries.

9.24 “OUT-OF-TOWN” PHYSICAL THERAPY/REHABILITATION PROCEDURES

At times, it may be necessary for a student-athlete to utilize an “out-of-town” physical therapy facility. In such situations, approval must be granted from the UAlbany Athletic Training Department and/or his designee. Such referrals must come from a member of the UAlbany Athletic Training Department. If a student-athlete decides to utilize physical therapy/rehabilitation services without the authorization of a member of the UAlbany Athletic Training Department, the student-athlete and/or the student athlete’s parent(s)/guardian(s) will be financially responsible for any and all medical bills incurred.

9.25 CONTACT LENS POLICY

Student-athletes in need of an eye examination and/or contact lenses during the student-athlete’s competitive season will be referred by a member of the UAlbany Athletic Training Staff. If applicable, student-athletes will receive an applicable supply of contact lenses. One (1) pair of lenses will be kept by the student-athletes certified athletic trainer in the case of an emergency.

Student-athletes may not schedule an appointment without prior authorization and the proper referral from a member of the UAlbany Athletic Training Department.

9.26 DENTAL CARE

The UAlbany Division of Athletics’ medical insurance program will assume financial responsibility for dental care resulting from the direct participation in the intercollegiate athletics program as approved by the Director of Athletics according to NCAA regulations. As with other injuries, this insurance is SECONDARY to, or in excess of, personal family medical insurance coverage.
The UAlbany Division of Athletics will not be held responsible for any general dentistry, including teeth cleaning, fillings, tooth extractions, or other pre-existing conditions, unless the condition has been aggravated by participation in intercollegiate athletics. All dental appointments must be arranged through the UAlbany Athletic Training Department.

Custom molded mouthpieces will be fitted for student-athletes participating in high-risk sports (e.g. football, basketball, etc.) and other student-athletes who express a desire for them. Football players are required by the NCAA to wear a mouthpiece at all times as a part of their required equipment.

The UAlbany Division of Athletics and its medical and catastrophic insurance program WILL NOT assume financial responsibility for dental injuries, head and facial injuries, and/or mild traumatic brain injuries (concussions) if the student-athlete is not properly wearing his/her required mouthpiece at the time of injury. Medical bills associated with such injuries will be the sole responsibility of the student-athlete and/or his/her parent(s)/guardian(s).

9.27 STUDENT HEALTH CENTER

Each student-athlete may utilize the student health services and/or purchase student health insurance to cover non-athletic injuries and illnesses. All deductibles and incurred expenses from the student health center or student health insurance will be the financial responsibility of the student-athlete.

9.28 MEDICATIONS

A UAlbany Athletic Training Department prescription completed by a UAlbany Team Physician along with a Medical Referral Form will serve as authorization for permissible payment by the UAlbany Student Health Center Pharmacy. All prescriptions must first be presented to the UAlbany Athletic Training Staff. Any prescription written on a standard physician’s prescription pad must be presented to the pharmacist with a completed Medical Referral Form to guarantee payment. Failure to follow this procedure will result in the student-athlete being held financially responsible for payment.

9.29 PHYSICIAN REFERRALS/CONSULTATIONS

The UAlbany Division of Athletics and the Athletic Training Department has fostered positive relationships with many medical providers in the Albany, NY area who have consistently provided high quality service to UAlbany student-athletes. Members of the UAlbany Athletic Training Department will refer student-athletes to these providers, unless extenuating circumstances necessitate a different provider.
All student-athletes are covered under the UAlbany Division of Athletics’ secondary insurance policy when they see a physician in the UAlbany Sports Medicine Network. This network is comprised of a wide variety of medical specialists from the medical community. The group is dedicated to providing the best possible health care to the UAlbany student-athletes. This network was formed to insure accurate and continuous communication between the physicians and the UAlbany Athletic Training Staff.

All student-athletes must be seen and evaluated by a member of the UAlbany Sports Medicine Staff. Decisions regarding referrals are at the discretion of the UAlbany Sports Medicine Staff. A member of the UAlbany Athletic Training Staff must authorize and properly refer all student-athletes to see a physician or medical consultant, and/or for diagnostic tests. If a student-athlete decides to see a physician / medical consultant, and/or undergo a diagnostic test WITHOUT prior authorization / referral from a member of the UAlbany Athletic Training Department, the student-athlete and/or the student-athlete’s parent(s)/guardian(s) will be financially responsible for any and all medical bills incurred.

9.30 ORTHOPEDIC AND/OR MEDICAL SECOND OPINIONS

If a student-athlete decides to see an orthopedic and/or medical physician without the authorization of a member of the UAlbany Athletic Training Department, the student-athlete and/or the student-athlete’s parent(s) / guardian(s) will be financially responsible for any and all medical bills incurred.

If a student-athlete decides to seek medical attention outside of the UAlbany Athletic Training Department, the student-athlete and/or the student-athlete’s parent(s) / guardian(s) will be financially responsible for any and all medical bills incurred.

If a student-athlete seeks a second opinion or care from an out of network provider, he/she will be medically ineligible to participate or utilize the services of the UAlbany Athletic Training Department until medical records are obtained and reviewed by the UAlbany Team Physician. Additionally, UAlbany will not be financially responsible for travel, costs and services generated by the second opinion.

9.31 MEDICAL REFERRAL/CONSULTATION FORM PROCEDURES

A Medical Referral Form must be filled out in its entirety and signed by a member of the UAlbany Athletic Training Department whenever a student-athlete is sent to a UAlbany Team Physician’s office, is seen by a consultant physician, is sent to the UAlbany Student Health Center, is referred for a diagnostic test, surgery, prescription, etc.

Coaches and administrative staff DO NOT have the authority to refer a student-athlete to any physician except for emergency medical care when the UAlbany Athletic Training Staff is not available.

Updated November 2019
UAlbany Division of Athletics Authorized Expense

- Used when the student-athlete is being referred for an injury and/or illness that is the direct result of participation in the intercollegiate athletics program.
- Also used for injuries and illnesses that are not directly related to participation in the intercollegiate athletics program (e.g., colds, cough, flu, etc.) that will be paid by the UAlbany Athletic Training Department at the discretion of the Head Athletic Trainer and/or his designee.

Non-UAlbany Division of Athletics Authorized Expense

- If the student-athlete decides to seek non-UAlbany authorized care, the student-athlete is responsible to obtain all medical records.

9.32 INSURANCE CLAIM FORM PROCEDURES (if required by UAlbany’s secondary insurance company)

An insurance claim form must be filled out when a student-athlete suffers any “sport-related” injury/illness that:

- Is seen by a physician off campus;
- Is referred for x-rays and/or other diagnostic testing;
- Necessitates the consignment of a brace, splint, etc. from Donjoy, Breg, Inc., etc.;
- Is a dislocation, regardless of whether or not the student-athlete is seen by a physician or undergoes diagnostic tests;
- Athletic trainer is suspicious that the student-athlete will need further treatment in the future (e.g., low back pain, shoulder pain in thrower, shin splints, etc.)

Insurance claim forms must be typed using the current template. Insurance claim forms must be signed by a representative of the UAlbany Athletic Training Department. It may also be necessary to obtain signatures from the student-athlete and/or his/her parent(s) / guardian(s). Completed insurance claim forms should be placed in the appropriate file box within the athletic training room.

Diagnostic Imaging Procedures

The following procedures must be followed when referring student-athletes to diagnostic imaging centers:

1. Complete an insurance claim form on the student-athlete and his/her injury.
2. Fill out a Referral Form as per the aforementioned procedures.
3. Fill out a Diagnostic Imaging Request Form, making sure to include the following:
   a. Student-athlete’s name
   b. Student-athlete’s SSN
   c. Date
d. Requested by Dr. XYZ (name of UAlbany Team Physician)

e. Check appropriate box for imaging

f. Write “Please Release Copy of Films with the Student-Athlete” in the “Other Instruction” box;

g. Write a brief history and any special views that are warranted (see Standard X-Ray Views) in the “Clinical Data” space

4. Send the student-athlete to the imaging center for the imaging studies with the signed Referral Form and the Diagnostic Imaging Request Form.

5. Instruct the student-athlete to return to the athletic training room with copies of the images.

6. Have the student-athlete’s x-rays/diagnostic images and the student-athlete (if applicable) examined by the UAlbany Team Physician as soon as possible.

**Doctor’s Appointment/Diagnostic Test Scheduling**

When scheduling student-athletes for doctor’s appointments, diagnostic tests, etc., the following procedures are to be followed:

1. Make sure that there is a completed insurance claim form filled out on the student-athlete and his/her injury.

2. Call the student-athlete’s primary insurance company to secure authorization for the appointment BEFORE MAKING THE APPOINTMENT for the student-athlete.

3. Fill out a Referral/Consultation form on the student-athlete, checking the appropriate box.

4. Confirm with the student-athlete his/her class and practice schedule and a reliable phone number where he/she can be reached in case of changes, cancellations, etc.

5. Call the physician’s office to make an appointment for the student-athlete. Identify yourself as a UAlbany certified athletic trainer making an appointment for a UAlbany student-athlete.

6. Confirm the appointment time, transportation, and directions with the student-athlete. Make sure that the student-athlete understands the importance of being on-time for all appointments and the UAlbany Athletic Training Policy regarding charges associated with “missed” doctor’s appointments.

**Surgical/Medical Procedure Scheduling Procedures**

When scheduling student-athletes for diagnostic tests, medical procedures, and/or surgery, the following procedures are to be followed:

1. Obtain a Surgical Protocol for Student-Athletes Checklist to help guide you through the process.

2. Communicate with the physician about the medical procedure and/or surgery.
DO NOT schedule the test, procedure, and/or surgery until you receive authorization from the student-athlete’s insurance company and from the Head Athletic Trainer.

3. Obtain departmental authorization. Include the following:
   a. Student-athlete’s name and sport;
   b. Injury and injury date
   c. Physician;
   d. Diagnostic test, medical procedure, and/or surgical procedure to be performed;
   e. Information related to the primary insurance authorization; and
   f. Any other pertinent information related to the student-athlete, injury, procedure, etc.

4. Fill out a Referral Form on the student-athlete.

5. Confirm with the student-athlete his/her class schedule and a reliable phone number where he/she can be reached in case of changes, cancellations, etc.

6. Call the appropriate office to schedule the procedure and any other applicable appointments for the student-athlete. Identify yourself as a UAlbany certified athletic trainer making an appointment for a UAlbany student-athlete. Confirm with the office the date, time, and place of the procedure, along with what time the student-athlete must report, and any other special instructions.

7. Attach the top 2 sheets of the Referral form with the student-athlete’s insurance information. Give this packet of information to the student-athlete, along with directions to the procedure site.

8. Confirm the appointment time, transportation, and directions with the student-athlete. Make sure that the student-athlete understands the importance of being on-time and strictly following any special instructions.

9. If the procedure is a surgical procedure:
   a. 1-2 days before the surgery, review confirm the surgery time and transportation plans with the student-athlete;
   b. Review post-surgery directions, prescription pick-up, billing procedures, rehabilitation plans, etc. with the student-athlete.

9.33 INTERNATIONAL STUDENT-ATHLETES

In order to be enrolled in classes at any United States college or university, international students must prove that they have insurance that complies with standards set by the federal government. Insurance requirements will vary depending on if the student qualifies for F-1 status or J-1 status. The Office of International Students and Scholars (SSC 311) can assist the student-athlete with all insurance inquiries.

F-1 Students

All F-1 students must carry health insurance that meets specifications outlined by the United States Department of State (DOS). Failure of an F-1 student to carry health
insurance will result in termination of the student’s program and a report of the program termination to the United States Department of State. F-1 students must carry health insurance that provides for emergency medical evacuation and repatriation.

**J-1 Students**

All J-1 students must carry health insurance for themselves and all J-2 dependents that meets specifications outlined by the United States Department of State (DOS). Failure of a J-1 student to carry health insurance will result in termination of the student’s program and a report of the program termination to the United States Department of State. J-1 students should purchase the UAlbany Student Health Insurance Plan. The insurance carrier for the University at Albany is United Health Care [https://www.uhcsr.com/](https://www.uhcsr.com/). Any insurance that is purchased by / for an international student-athlete must meet the following specifications:

- $500 deductible per accident or illness;
- Insurance must pay at least 75% of the covered medical expenses;
- Minimum of $50,000.00 maximum coverage for each specific illness or injury;
- If a particular activity is a part of your Exchange Visitor program (e.g. intercollegiate athletics), then the insurance must cover injuries resulting from the student-athlete’s participation in the activity;
- Minimum of $7,500.00 in death benefits;
- Minimum of $10,000.00 for medical evacuation & repatriation; and
- Policy must be backed by the full faith & credit of the student-athlete’s home country government.

If an international student-athlete is already covered by insurance that meets the requirements outlined above, he/she must provide written proof of coverage to the UAlbany Student Health Center. The information should be in English and should clearly specify the amount, period, and type of coverage, the deductible, the company rating, any co-payments, exclusions, and the policy concerning pre-existing conditions.

Anyone with questions regarding insurance requirements for international students should contact the UAlbany Student Health Center and/or the Office of International Students.

Proof of compliance with international student insurance requirements must be made at the UAlbany Student Health Center and/or the Office of International Students and Scholars in order to avoid deportation, exclusion from classes, and/or exclusion from participation in UAlbany athletics.

The aforementioned guidelines may not be exact in every situation and for every student-athlete. International insurance regulations are continually amended and changed by the U.S. government. The UAlbany Athletic Training Department will not be held...
responsible for changes that the University or government may make, and/or the student-athlete’s failure to check the specific guidelines for their country or insurance company. It is the student-athlete’s responsibility to make sure that they are in compliance with Federal, UAlbany, and UAlbany Division of Athletics regulations at all times.

9.34 CONCUSSION MANAGEMENT

University at Albany Sports Medicine Concussion Management Plan

The purpose of this concussion management plan is to clearly establish thorough guidelines in the event of a significant head injury to any student-athletes. The University at Albany Sports Medicine Department is committed to providing the highest level of care. Anyone suspected of having a concussion will be removed from competition immediately and entered into the concussion management plan. Student-athletes must be cleared by University at Albany team physicians before being allowed to participate after a head injury.

What is a Concussion?

According to the National Athletic Trainers Association Concussion Position Statement, “Concussions occur from forces applied directly or indirectly to the skull that result in the rapid acceleration and deceleration of the brain”. This could lead to loss of consciousness, but more often results in a variety of different signs and symptoms that commonly occur with traumatic brain injuries. The following is a list, but certainly not limited to, common signs and symptoms of concussions:

- Headache
- Confusion or appearing disorientated
- Dizziness
- Nausea or vomiting
- Sensitivity to light
- Amnesia
- Feeling “foggy”
- Memory issues
- Loss of consciousness
- Double or blurry vision
- Balance issues
- Unequal or dilated pupils
- Slowed reaction time
- Ringing in the ears
- Drowsiness
- Difficulty concentrating
- Irritability or mood change

Pre- Participation Evaluation

Every student athlete at the University at Albany is required to have a PPE by a University at Albany team physician before they are allowed into any activity. This process will be done on a yearly basis and includes varies questions on the student athlete’s history of brain injury and/or concussion history. Such questions are:

- Have you ever had a concussion?
- Number of concussions?

Updated November 2019
• Approximate date of most recent concussion?
• Approximate age at time of first concussion?
• Concussion symptoms ever last longer than 3 days?
• Any loss of consciousness?
• Any Amnesia?
• Any convulsions?
• Any mental Health/psychiatric diagnosis?

The University at Albany team physician will determine pre-participation clearance and/or the need for additional consultation or testing. Such testing may include new baseline concussion assessment six months and beyond for any student athlete with a documented concussion, especially those with complicated or multiple concussion history.

**Preseason and Baseline Testing**

Every student-athlete at the University at Albany will undergo preseason baseline concussion testing. Each student-athlete will also be required to read and acknowledge a concussion education form and sign the proper annual ARMS compliance forms. If there is a repeated history of significant head injuries, **the student-athlete may need to provide existing medical documents before they pass the annual Pre-participation examination.**

A. Preseason baseline testing will be satisfied by each student-athlete taking an online ImPACT test.
B. Baseline testing will be performed during the preseason of the student-athletes freshman or transfer year.
C. A baseline ImPACT test will be completed every two years for student-athletes that are attending the University at Albany.
D. If a student-athlete sustains a significant head injury during their season, the University at Albany Sports Medicine staff may require another baseline test. The team physician or athletic trainer may require that test before they begin practicing the next year.
E. Each student athlete will also be required to do a baseline balance test with the Balance tracking systems. [https://balancetrackingsystems.com/](https://balancetrackingsystems.com/).

**Medical Coverage**

A. Medical personnel with training in the diagnosis, treatment and initial management of acute concussion will be present at all NCAA varsity competitions in the following contact/collision sports at the University at Albany: Volleyball, Men’s Soccer, Women’s Soccer, Men’s Lacrosse, Women’s Lacrosse, Football, Field Hockey, Men’s Basketball, Women’s Basketball, Baseball,
Softball, and pole vault events for Track/Field. That person may be an athletic trainer and/or a team physician and must be one site at the campus or arena.

B. Medical personnel with training in the diagnosis, treatment and initial management of acute concussion with be “available” at all NCAA varsity practices in the following contact/collision sports at the University at Albany: Volleyball, Men’s Soccer, Women’s Soccer, Men’s Lacrosse, Women’s Lacrosse, Football, Field Hockey, Men’s Basketball, Women’s Basketball, Baseball, Softball, and pole vault events for Track/Field. Again, that person may be an athletic trainer and/or team physician that can be contacted during a particular practice via telephone, messaging, email, or other immediate communication means.

**Evaluation, Diagnosis, and Protocol**

If any type of head injury is suspected during practice/competition, the student-athlete will be removed from playing immediately. The on-site athletic trainer will then complete a sideline evaluation. If any signs or symptoms are present, the student-athlete will be removed from competition for the remainder of the day. The following protocol will be followed in all significant head injuries.

A. If a head injury is suspected, the student-athlete will be removed from competition. A sideline evaluation will then be performed that will include a full physical and neurological exam on that particular student athlete. At this time medical personnel will do an assessment for cervical spine trauma, skull fracture, and intracranial bleed. The athletic trainer or team physician have the right to restrict any return to play after this evaluation.

B. During the practice/game a medical personal who is trained in diagnosis, treatment and initial management of concussions, most likely either a certified athletic trainer or a team physician will administer another post injury evaluation consisting of the Sport Concussion Assessment Tool 5 (SCAT5). This will be done in a medical tent on the sidelines. There may be alterations to this due to field conditions and/or when a team is traveling for a competition. The SCAT5 may be administered upon returning to the hotel or back onto the University at Albany campus. On the recommendation of the NATA Concussion Position Statement, we will aim to administer all tests in similar environments in order to maximize the student-athletes abilities. [https://bjsm.bmj.com/content/bjsports/early/2017/04/26/bjsports-2017-097506SCAT5.full.pdf](https://bjsm.bmj.com/content/bjsports/early/2017/04/26/bjsports-2017-097506SCAT5.full.pdf)

After the completion of the SCAT5, the student-athlete will be given instructions. If there are any of the following signs or symptoms, the athletic trainer will activate the emergency action plan of the sports medicine department.

- A rapid loss of consciousness
- Prolonged mental confusion (lasting longer that 15 minutes)
- Prolonged post-traumatic amnesia
- Increasing headache
- Glasgow Coma Scale less than 13
- Uncoordinated movement of the eyes
- Pupils that are unequal or nonreactive to light
- Any signs consistent with skull fracture
- Slowing of heart rate or increase in blood pressure
- Seizure activity
- Signs or symptoms of a spinal injury
- Focal neurological deficit suggesting intracranial trauma
- Repetitive emesis.

A. Any suspicion of head injury will restrict the student-athlete from competition until evaluated by a physician. The athletic trainer will contact team physician Dr. Todd Shatynski, M.D. for an initial appointment (other physicians may be used if unavailable). The appointment will be made for the earliest possible time. Before that appointment, the student-athlete will take their first post injury ImPACT exam so it can be compared with the baseline test at that appointment. The student-athlete is not allowed to travel or attend practice/games until then. Once there is a head injury, the student-athlete may be required to fill out a daily symptom check list as suggested by the NATA Concussion Position Statement to monitor the recovery process.

B. The team physician will perform a complete history and neurological exam. Any class or athletic restrictions will be decided at that time. The physician will schedule a follow up appointment with future instructions, including the administration of another post injury ImPACT exam and Balance Tracking evaluation. It is possible complete mental and physical rest will be instructed. It is possible the physician may make a referral to a neurologist.

C. Once the student athlete is symptom free for 24 hours, they will be evaluated by the team physician once again. Before that appointment another post-injury ImPACT test will be administered. They must be cleared by the physician to begin the return to play protocol. If they are allowed to begin the protocol, the physician will decide if they need to see them again in the office before full return to athletics. In certain cases the student-athlete may be symptom free, but may not be cleared to advance until they improve on ImPACT and Balance Tracking test scores. It is highly recommended that no more than 2 ImPACT tests be administered in the same week.

D. If any student athlete is suspected of a concussion at the University at Albany they will only be released to another adult after that particular competition or practice. This may include a fellow teammate, a family member or friend of the student athlete. That individual will be required to sign off that they have been informed on how to take care of a concussed individual and have been warned of the red flags of concussions.

*Updated November 2019*
Return to Learn Protocol

A. Total cognitive and physical rest, also called the complete rest phase, is the first step in the recovery plan. This should last for three days or less if the student is symptom free for 24 hours. Activities that should be avoided include cell phone use (including texting), computer use, and video games. Furthermore, no classroom activity should take place on the same day as a concussion. Activities that can be done include yoga, light meditation, light stretching activities, and breathing exercises. If the student athlete cannot tolerate light cognitive activity than he or she should remain at home/dorm.

B. Light thinking activities are the second step in the recovery plan. Activities that are appropriate include listening to music that is calm and relaxing and playing familiar games. Activities that were mentioned in the complete rest phase may be expanded upon (yoga, meditation, stretching exercises, and breathing activities).

C. Now when student athletes have reached the return to school phase in the recovery plan many of our SAs will start with half-days or attending school part time. Discussing a plan with accommodations with the teacher, the academic advisor in athletics at the University at Albany and other school staff members is mandatory. Identifying accommodations that will make the student most successful is required. All people involved here at the university will monitor the student carefully, allow rest breaks, and look for signs that he or she is not doing well. This modification of schedule/academic accommodations could last up to two weeks if necessary. All lines of communication will remain open between staff members to ensure everyone involved knows how the recovery plan/process is going.

D. The Athletic Health Care Administrator for the Division of Athletics will help navigate the return-to-learn with any student athlete who suffers a concussion at the University at Albany. This person could communicate with many different individuals during this process such as the team physician, athletic trainer, counselor/psychologist, academic advisor in athletics, administrators, faculty athletic representative and coaches to ensure the process is done in a proper manner.

E. The Division of Athletics at the University at Albany will make sure to be in compliance with the ADAAA and can/will use the office of disability services on campus if a particular student athlete needs such services. Furthermore, re-evaluation by the team physician if concussion symptoms worsen with academic challenges. Members of the multidisciplinary team (academic advisor, administrators, etc.) should be contacted and the whole process should be re-evaluate to ensure the health/safety of the student athlete.

Return-to-Play Protocol (RTP):

The RTP protocol will begin once the student-athlete has clearance from the treating team physician. Once a student athlete is cleared, the athletic trainer will advance them
through a 5 day graduated protocol originally created at the Vienna Concussion Conference (See Table 1). In circumstances when symptoms are prolonged (symptoms > 14 days, migraine type symptoms), the athletic trainer has the right to progress the student-athlete at a more conservative rate. The same goes for repetitive head injuries in a season.

**TABLE 1.**
Graduated Return to Play Protocol

<table>
<thead>
<tr>
<th>Rehabilitation Stage</th>
<th>Objective of Each Stage</th>
<th>Functional Exercise at Each Stage of Rehabilitation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Stage 1. No Activity</strong></td>
<td>Recovery</td>
<td>Complete physical and cognitive rest</td>
</tr>
<tr>
<td><strong>Stage 2. Light aerobic exercise</strong></td>
<td><em>Increase Heart Rate</em></td>
<td><em>Walking, Swimming, Stationary Bike, Seated</em></td>
</tr>
<tr>
<td><strong>Target Heart Rate: 30-40% of maximum exertion</strong> (Max HR – Rest HR X .30)</td>
<td><em>Very light aerobic conditioning</em></td>
<td>Elliptical, UBE, Treadmill walking (10-15 min).</td>
</tr>
<tr>
<td>+Resting HR</td>
<td><em>Sub-max isometric strengthening</em></td>
<td><em>Quad sets, Ham sets, SLR’s.</em>*</td>
</tr>
<tr>
<td>Recommendations: exercise in quiet area (treatment room recommended); no impact activities, balance and vestibular treatment by specialist (prn); limit head movement / position change; limit concentration activities; 10-15 minutes of light cardio exercise.</td>
<td><em>ROM / Stretching</em></td>
<td><em>No resistance training.</em>*</td>
</tr>
<tr>
<td></td>
<td><em>Low level balance activities</em></td>
<td><em>Cervical ROM exercise, Trap/LS stretching, Pec stretching, *Calf stretching.</em>*</td>
</tr>
<tr>
<td></td>
<td></td>
<td><em>Romberg exercises (feet together, tandem stance, eyes open-closed), single leg balance.</em>*</td>
</tr>
<tr>
<td><strong>Stage 3. Sport-specific exercise</strong></td>
<td><em>Add movement / up + down / side to side</em></td>
<td><em>Treadmill, Stationary Bike, Elliptical (upright or seated), UBE, (20-25 min).</em>*</td>
</tr>
<tr>
<td><strong>Target Heart Rate: 40-60% of maximum exertion</strong> (Max HR – Rest HR X .40)</td>
<td><em>Light to Moderate aerobic conditioning</em></td>
<td><em>Light weight strength exercise (Cybex style equipment), resistive band exercise (UE/LE), wall squats, lunges, step up/downs.</em>*</td>
</tr>
<tr>
<td>+Resting HR</td>
<td><em>Light weight PRE’s</em></td>
<td><em>Any Stage 2 stretching, active stretching as tolerated (Lunge walks, side to side groin stretching, walking hamstring stretch).</em>*</td>
</tr>
<tr>
<td>Recommendations: exercise in gym areas recommended; use various exercise equipment; allow some positional changes and head movement; low level concentration activities</td>
<td><em>Stretching (active stretching initiated)</em></td>
<td><em>Romberg exercises, VOR exercise (walking with eyes focused with</em></td>
</tr>
<tr>
<td>(counting repetitions); 20-30 minutes of cardio exercise. (Stage 2 exercises included, as appropriate)</td>
<td>activities; initiate activities with head position changes *No head impact activities</td>
<td>head turns), Swiss ball exercises, single leg balance exercises.</td>
</tr>
<tr>
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</tr>
</tbody>
</table>
| **Stage 4. Non-contact training** **drills**  
**Target Heart Rate: 60-80% of maximum exertion**  
(Max HR – Rest HR X .65) + Rest HR  
Recommendations: any environment ok for exercise (indoor, outdoor); integrate strength, conditioning, and balance / proprioceptive exercise, can incorporate concentration challenges (counting exercises / visual games) (Stage 2+3 exercises included, as appropriate) | *Exercise, coordination, and cognitive load  
*Moderately aggressive aerobic exercise  
*All forms of strength exercise (80% max) under the direction of a Certified Athletic Trainer.  
*Active stretching exercise  
*Impact activities running, plyometrics (no contact).  
*Challenging proprioceptive / dynamic balance (integrated with strength and conditioning), challenging positional changes. | *Treadmill (jogging); Stationary Bike; Elliptical (upright or seated; UBE. (25-30 min)  
*Resistive weight training including free weights; Functional Squat, Dynamic Strength activities.  
*Active stretching (Lung walks, side to side groin stretching, walking hamstring stretch).  
*Initiate agility drills (zig zag runs, side shuffle, etc.), Jumping on tramp / blocks. *Progression to more complex training drills (eg, passing drills in football).  
*Higher level balance activities, ball toss on wobble board, balance discs, trampoline squats and lunges on BOSU ball. |
| **Stage 5. Full practice**  
**Target Heart Rate: 80% of maximum exertion** | *Restore confidence and assess functional activities. | *Following medical clearance, participate in normal training activities. |

*Updated November 2019*
(Max HR – Rest HR X .80) + Rest HR
Recommendations: continue to avoid contact activity, but resume aggressive training in all environments

<table>
<thead>
<tr>
<th>Skills by coaching staff.</th>
<th>*Limited, controlled return to full-contact practice and monitoring for symptoms.</th>
</tr>
</thead>
<tbody>
<tr>
<td>*Non-contact physical training</td>
<td>*Program to be designed by Certified Athletic Trainer.</td>
</tr>
<tr>
<td>*Aggressive strength exercise</td>
<td>*Graded Treadmill testing</td>
</tr>
<tr>
<td>*Impact activities / plyometrics</td>
<td>*Interval training</td>
</tr>
<tr>
<td>*Sport specific Performance Training</td>
<td>*Sport Specific drills / training</td>
</tr>
</tbody>
</table>

**Stage 6. Return to play**

**Target Heart Rate: Full exertion**

Recommendations: Initiate contact activities as appropriate to sport activity; full exertion activities for sport activities

<table>
<thead>
<tr>
<th>Resume full physical training activities with contact</th>
<th>*Normal game play</th>
</tr>
</thead>
<tbody>
<tr>
<td>*Continue Aggressive strength / conditioning exercise</td>
<td>*Program to be designed by Certified Athletic Trainer.</td>
</tr>
<tr>
<td>*Sport specific activities</td>
<td>*Practice and game intensity training</td>
</tr>
<tr>
<td></td>
<td>*Sport specific activities</td>
</tr>
</tbody>
</table>

**Repetitive Head Injuries:**

If a student-athlete experiences multiple head injuries in a season, or has a repetitive history at the University at Albany, the following may be followed or discussed. The University at Albany Sports Medicine Department will always put the health of the student-athlete as the number one priority.

A. As recommended in the NATA Concussion Position Statement, the athletic trainer has the right to administer a more gradual RTP protocol if the student-athlete has a history of significant head injuries.

B. Post-concussion syndrome may cause symptoms to last for extended periods of time. The University at Albany Sports Medicine Department may discuss extended rest, and in some cases not clearing the athlete for the remainder of the season.

C. If a student-athlete experiences multiple significant head injuries in a season, the University at Albany Sports Medicine Department may restrict any return to play for the remainder of the season.

D. Number of significant head injuries in a playing career at the University at Albany will be monitored. Concern will be presented to any student-athlete who

*Updated November 2019*
experiences excessive concussions or to anyone who becomes more vulnerable with less force. In these rare cases, disqualification from athletics may be discussed with the student-athlete, family, staff and outside neurological professionals.

E. The University and our team physician may require a student athlete with a prolonged recovery from a concussion or concussions to consider additional diagnosis from other agencies and seek best management plans going into the future.

Education of Student Athletes, Staff, and Administrators

At the University at Albany, all student athletes are required to review our concussion program, our emergency action plan and sign off that they have reviewed all facets of this particular program. A tip sheet is handed out to every student athlete before the start of each student athlete’s season. It is also available in each athletic training room daily.

https://www.ncaa.org/sites/default/files/2017SSI_ConcussionFactSheet_StudentAthletes_20170721.pdf

A. All coaches, staff and administrators are required to review the Athletic Department’s concussion management program during a summer all staff meeting (completed 8/18/18). All of these individuals mentioned in the athletic department are also required to sign off that they have read and understand the University at Albany’s concussion management program. A tip sheet is also provided to our staff to take with them.


Prevention/Reducing number of Head Injuries is done in seven different ways at the University at Albany:

A. Coaching and training properly
B. Enforcing existing rules and staying up to date with changes in regulations.
C. Reducing repetitive head impacts in tackle football through limits on full-contact practices.
D. Better equipment.
E. Neck Strengthening
F. Head impact exposure monitoring
G. Delaying start of contact and collision sports
9.35 DEPRESSION

The NCAA Committee on Competitive Safeguards and Medical Aspects of Sports acknowledges the significant input of Sam Maniar, Licensed Psychologist, Ohio State University; Margot Putukian, Team Physician, Princeton University, and the National Institute of Mental Health, Bethesda, Maryland; for their original content.

Depression is more than the blues, let-downs from a game loss, or the normal daily ups and downs. It’s feeling “down” and “low” and “hopeless” for weeks at a time.

Depression is a serious medical condition.

Little research has been conducted on depression among student-athletes; however, preliminary data indicate that student-athletes experience depressive symptoms and illness at similar or increased rates than non-athlete students. Approximately 9.5% of the population – or one out of 10 people – suffer from a depressive illness during any given one-year period. Women are twice as likely to experience depression as men; however, men are less likely to admit to depression. Moreover, even though the majority of people’s depressive disorders can be improved, most people with depression do not seek help.

Depression is important to assess among student-athletes because it impacts overall personal well-being, as well as athletic performance, academic performance and injury healing. No two people become depressed in exactly the same way, but with the right treatment 80 percent of those who seek help get better, and many people begin to feel better in just a few weeks.

Depression and Intercollegiate Athletics

Student-athletes may experience depression because of genetic predisposition, developmental challenges of college transitions, academic stress, financial pressures, interpersonal difficulties and grief over loss/failure.

Participation in athletics does not provide student-athletes any immunity to these stresses, and if has the potential to pose additional demands. Student-athletes must balance all of the demands of being a college student along with athletics demands. This includes the physical demands of their sport, along with the time commitment of participation as well as strength and conditioning and skill instruction.

Most athletes participate almost year-round, often missing holidays, school and summer breaks, classes and even graduation. In addition, if they struggle in their performance, have difficulty interacting with the coach or teammates, or if they lose their passion for their sport, if can be very difficult to handle. In addition, many athletes define themselves by their role as an athlete, and an injury can be devastating.
Some attributes of athletics and competition can make it extremely difficult for student-athletes to obtain help. They are taught to “play through the pain,” struggle through adversity, handle problems on their own, and “never let your enemies see you cry.” Seeking help is seen as a sign of weakness, when it should be recognized as a sign of strength.

Team dynamics also may be a factor. Problems often are kept “In the family,” and it is common for teams to try to solve problems by themselves, often ignoring signs or symptoms of more serious issues. Depression affects approximately 19 million Americans, and for many, the symptoms first appear before or during college.

Early identification and intervention (referral/treatment) for depression or other mental illness is extremely important, yet may be inhibited within the athletics culture for the following reasons:

- Physical illness or injury is more readily measured and treated within sports medicine, and often there is less comfort in addressing mental illness.
- Mental wellness is not always perceived as necessary for athletic performance.
- The high profile of student-athletes may magnify the attention paid on campus and in the surrounding community when an athlete seeks help.
- History and tradition drive athletics, and can stand as barriers to change.
- The athletics department may have difficulty associating mental illness with athletic participation.

Enhancing Knowledge and Awareness of Depressive Disorders

Sports medicine staff, coaches and student-athletes should be knowledgeable about the types of depression and related symptoms. Men may be more willing to report fatigue, irritability, loss of interest in work or hobbies, and sleep disturbances rather than feelings of sadness, worthlessness, and excessive guilt, which are commonly associated with depression in women. Men often mask depression with the use of alcohol or drugs, or by the socially acceptable habit of working excessively long hours.

Types of Depressive Illness

Depressive illnesses come in different forms. The following are general descriptions of the three most prevalent, though for an individual the number, severity and duration of symptoms will vary.

Major Depression, or “clinical depression,” is manifested by a combination of symptoms that interfere with a person’s once pleasurable activities (school, sport, sleep, eating, and work). Student-athletes experiencing five or more symptoms as noted in Table 1 for two weeks or longer, or noticeable changes in usual functioning, are factors that should prompt referral to the team physician or mental health professional.
percent of people with major depression die by suicide. The rate of suicide in men is four times that of women, though more women attempt it during their lives.

**Dysthymia** is a less severe form of depression that tends to involve long-term, chronic depressive symptoms. Although these symptoms are not disabling, they do affect the individual’s overall functioning.

**Bipolar Disorder**, or “manic-depressive illness, “involves cycling mood swings from major depressive episodes to mania. Depressive episodes may last as little as two weeks, while manic episodes may last as little as four days. Manic sign and symptoms are presented in Table 2.

In addition to the three types of depressive disorders, student-athletes may suffer from an **Adjustment Disorder**. Adjustment disorders occur when an individual experiences depressive (or anxious) symptoms in response to a specific event or stressor (e.g., poor performance, poor relationship with a coach). An adjustment disorder can also progress into major, depressive disorder.

**Establishing a Relationship with Mental Health Services**

The UAlbany Counseling and Psychological Services (CAPS) provide mental health resources for our student-athletes. Because student-athletes are less likely to utilize counseling than non-athlete students, increasing interaction among mental health staff members, coaches and student-athletes will improve compliance with referrals.

**Screening for Depression**

One way to ensure an athletics department is in tune with student-athletes’ mental well-being is to systematically include mental health check-ups, especially around high-risk times such as the loss of a coach, significant injury, being cut from the team and catastrophic events. Members of the sports medicine team and/or licensed mental health professionals should also screen athletes for depression at pre-established points in time (e.g., pre-participation, exit interviews). Research indicates that sports medicine professionals are better equipped to assess depression with the use of appropriate mental health instruments; simply asking about depression is not recommended.

A thorough assessment on the part of a mental health professional is also imperative to differentiate major depression from dysthymia and bipolar disorder, and other conditions, such as medication use, viral illness, anxiety disorders, over-training and illicit substance use. Depressive disorders may co-exist with substance-abuse disorders, panic disorder, obsessive-compulsive disorder, anorexia nervosa, bulimia nervosa and borderline personality disorder.
For depression screening, it is recommended that sports medicine teams utilize the Center for Epidemiological Studies Depression (CES-D) Scale published by the National Institute for Mental Health (NIMH). The CES-D is free to use and available at [www.nimh.nih.gov](http://www.nimh.nih.gov). Other resources include such programs as QPR (Question, Persuade, and Refer) Gatekeeper training; the Jed Foundation U lifeline; and the Screening for Mental Health Depression and Anxiety Screenings. Information about these programs, and ways to incorporate them into student-athlete check-ups, can be found at [www.ncaa.org/health-safety](http://www.ncaa.org/health-safety).

**Seeking Help**

Most individuals who suffer from depression will fully recover to lead productive lives. A combination of counseling and medication appears to be the most effective treatment for moderately and severely depressed individuals. Although some improvement in mood may occur in the first few weeks, it typically takes three to four weeks of treatment to obtain the full therapeutic effect. Medication should only be taken and/or stopped under the direct care of a physician, and the team physicians should consult with psychiatrists regarding complex mental health issues.

A referral should be made to a licensed mental health professional when coaches or sports medicine staff members witness any of the following with their student-athletes:

- Suicidal thoughts.
- Multiple depressive symptoms.
- A few depressive symptoms that persist for several weeks.
- Depressive symptoms that lead to more severe symptoms of destructive behaviors.
- Alcohol and drug abuse as an attempt at self-treatment.
- Overtraining or burnout, since depression has many of the same symptoms.

Coaches and athletic training staff members should follow the following guidelines in order to help enhancing student-athlete compliance with mental health referrals:

- Express confidence in the mental health professional
- Be concrete about what counseling is and how it could help
- Focus on similarities between the student-athlete and the mental health professional
- Offer to accompany the student-athletes to their initial appointment.
- Offer to make the appointment (or have the student-athlete make the appointment while in your office.
- Emphasize the confidentiality of medical care and the referral process.

The following self-help strategies may improve mild depression symptoms:
Reduce or eliminate the use of alcohol and drugs.
Break large tasks into smaller ones; set realistic goals.
Engage in regular, mild exercise.
Eat regular and nutritious meals.
Participate in activities that typically make you feel better.
Let family, friends and coaches help you.
Increase positive or optimistic thinking.
Engage in regular and adequate sleep habits.

Table 1  Depressive Signs and Symptoms

**Individuals Might Present**
- Decreased performance in school or sport.
- Noticeable restlessness.
- Significant weight loss or weight gain.
- Decrease or increase in appetite nearly every day.

**Individuals Might Express**
- Indecisiveness.
- Feeling sad or unusually crying.
- Difficulty concentrating.
- Lack of or loss of interest or pleasure in activities that were once enjoyable.
- Depressed, sad or “empty” mood for most of the day and nearly every day.
- Recurrent thoughts of death of thoughts about suicide.
- Frequent feeling of worthlessness, low self-esteem, hopelessness, helplessness or inappropriate guilt.

Table 2  Manic Signs and Symptoms

**Individuals Might Present**
- Abnormal or excessive elation.
- Unusual irritability.
- Markedly increased energy.
- Poor judgment.
- Inappropriate social behavior.
- Increased talking.

**Individuals Might Express**
- Racing thoughts.
- Increased sexual desire.
- Decreased need for sleep.
- Grandiose notions.

Using a simple tool such as this can help students and staff look for signs of depression.

*Updated November 2019*
Put a check mark by each sign that sounds like you:

☐ I am really sad most of the time.
☐ I don’t enjoy doing the things I’ve always enjoyed doing.
☐ I don’t sleep well at night and am very restless.
☐ I am always tired. I find it hard to get out of bed.
☐ I don’t feel like eating much.
☐ I feel like eating all the time.
☐ I have lots of aches and pains that don’t do away.
☐ I have little to no sexual energy.
☐ I find it hard to focus and am very forgetful.
☐ I am mad at everybody and everything.
☐ I feel upset and fearful, but can’t figure out why.
☐ I don’t feel like talking to people.
☐ I feel like there isn’t much point to living, nothing good is going to happen to me.
☐ I don’t like myself very much. I feel bad most of the time.
☐ I think about death a lot. I even think about how I might kill myself.

9.36 EVALUATION AND MANAGEMENT OF PSYCHOLOGICAL CONDITIONS

Mental health issues include but are not limited to anxiety, depression, eating disorders, disruptive behavior, suicidal thoughts and feelings, and attention deficit/attention deficit hyperactivity disorder.

This document serves as a statement of the UAlbany Division of Athletics Policy regarding how coaches and other members of the staff will be expected to handle situations related to mental health in UAlbany student athletes.

Management of Suspected or Known Mental Health Issues in UAlbany Student Athletes:

- Mental health issues in UAlbany student athletes are expected to be handled by UAlbany staff in the same manner by which all other health related issues should be managed in UAlbany student athletes.
  - That manner being prompt communication of the issues and concerns to the UAlbany Athletic Training Staff, which consists of the Athletic Trainer for the sport and the UAlbany Team Physician.
- Whether a UAlbany coach or other member of the staff has specific knowledge or merely concern for the existence of a mental health issue it is her/his responsibility to communicate this to the appropriate UAlbany Sports Medicine Staff.
- The UAlbany Athletic Training Staff will then be responsible for assessing the student athlete and stated concerns. The UAlbany Athletic Training Staff will implement assessment and treatment per UAlbany Athletic Training protocols.
Failure of UAlbany Coaches and Other Staff to Follow this Policy and Procedure:

- Lack of clear consistent communication of findings and care recommendations occur in cases where members of the staff refer student athletes directly to UAlbany Counseling Services without involvement of the UAlbany Athletic Training Staff.
- The UAlbany Athletic Training Staff has developed a mechanism in conjunction with UAlbany Counseling Services for the communication of mental health findings and recommendations.
- Returning a student athlete with known or suspected mental health issues to the practice and play environment without a full understanding of the current assessments, findings, and plan of care potentially compromises the health and safety of the student athlete and in some instances that of other participants and the staff.
- Failure of the UAlbany Coaches and Staff to follow this policy and procedure creates potential liability for the staff member, the athletic department, and the university.

A UAlbany Coach or Staff member who chooses to ignore or otherwise avoid implementation of this policy and procedure when a potential mental health issue arises is acting in direct contradiction to the health and well-being of the student athlete. This will be viewed as a failure to follow UAlbany Policy and Procedure.

9.37 PREGNANT STUDENT-ATHLETE

The UAlbany Division of Athletics is committed to the personal health and development of all our student-athletes, and to the educational mission of our school. We strive to provide an environment that respects all pregnancy and parenting decisions and urges all participants to work cooperatively toward degree completion. This policy sets forth the protections that should be provided for pregnant and parenting students, including those with pregnancy related conditions. It also prohibits retaliation against any student or employee who complains about issues related to the enforcement of this Pregnancy Policy. We want to protect every student-athlete’s physical and psychological health, and their ability to complete their education.

The UAlbany Division of Athletics; staff, coaches, athletic trainers, and any other personnel shall not influence, make any statements or give personal opinions regarding the choices of a pregnant student-athlete.

In the event a student-athlete becomes pregnant, the student-athlete will be referred to the UAlbany Team Physician. The UAlbany Team Physician and athletic training staff will provide the student-athlete with counseling and assist the student-athlete with referrals for further counseling and evaluations as pertaining to her pregnancy. The UAlbany
Team Physician will be responsible for coordinating and determining the participation status for the student-athlete.

Federal Laws

Title IX of the Education Amendments of 1972 bars discrimination on the basis of sex, which includes the guarantee of equal educational opportunity to pregnant and parenting students. This means that our student-athletes cannot be discriminated against because of their parental or marital status, pregnancy, childbirth, false pregnancy, termination of pregnancy or recovery there from. In addition, a student’s medical information may be protected by other federal laws. Some actions that may be permissible under NCAA rules are impermissible under federal law, and our institution adheres to federal law.

In Order To Comply with Federal Law

- Our athletics department will only require a pregnant or parenting student-athlete’s physician to certify physical and emotional fitness as a condition for participating in athletics when such certification is required of student-athletes who experience other temporary disabilities.
- Our athletics department will allow a pregnant or parenting student-athlete to fully participate on the team, including all team-related activities, unless the student-athlete’s physician or other medical caregivers, including team physicians certifies that participation is not medically safe.
- Our athletics department will allow a pregnant student-athlete to continue to participate in a limited manner on the team, including all team-related activities, unless the student-athlete’s physician or other medical caregiver, including team physicians certifies that partial participation is medically safe.
- Medically necessary absences from team activities due to pregnancy shall be considered excused absences.
- No coach or other athletics department personnel shall suggest to any student-athlete that his or her continued participation on a team will be affected in any way by pregnancy or parental or marital status.
- Our athletics department will not allow a hostile or intimidating environment on the basis of pregnancy or parental status to exist. Acts or statements that are hostile toward pregnancy or parenting, or that shun or shame the student-athlete because she is pregnant or parenting will not be tolerated. Such conduct prevents an individual from effectively participating in, or denies a person the benefits of, the educational opportunities provided by this institution.
- Our athletics department will not terminate or reduce a student-athlete’s athletics aid because of the student-athlete’s pregnancy, marital or parental status during the term of the award.
- Students may take a medical pregnancy leave, and at the end of that leave they will be reinstated to the same status they had before the leave.
Our athletics department will renew a pregnant, formerly pregnant, or parenting student-athlete’s award, so long as the student-athlete is in good standing academically, remains engaged with our athletics department and meets NCAA eligibility standards. Returning students may be evaluated in the same manner as any other team member to determine their specific position on the team, such as a starter or as a forward.

Our athletics department will not permit the use of any written or verbal contract that requires a student-athlete to not get pregnant or become a parent as a condition of receiving an athletics award.

Our athletics department can provide health benefits for pregnancy, including counseling, physical examinations, medical treatment, medication and rehabilitation expenses, to the same degree that student-athletes who experience other temporary disabilities are provided these benefits. The UAlbany athletics department’s medical coverage policy for student-athletes can be found at the department’s website.

Our pregnant and formerly pregnant students who wish to continue to participate in athletics are entitled to assistance and rehabilitation on the same basis as such assistance is provided to student-athletes with other temporary disabilities.

In Order To Assist Our Student-Athletes

Our athletics department will help the pregnant or parenting student-athlete plan for his or her continued academic progress, in accord with the university’s educational mission.

Our athletics department will help the student-athlete return to sport after pregnancy and during parenting, if the student-athlete so desires.

Our athletic department will assist the student-athlete to access the pregnancy and parenting support resources that are available to all college students.

Our athletics department will publish this Policy in a publicly-available Student-Athlete Handbook, make this Policy available to student-athletes and their families on-line, and provide specific education on this Policy for all student-athletes and their families.

Our athletics department, in conjunction with the team physician, the Faculty Athletics Representative, the Senior Woman Administrator, Team Certified Athletic Trainers and others designated by the university President, will regularly review student-athlete pregnancy and parenting cases as they occur to monitor compliance with this Policy.

Reporting

Our athletics department will not require any student-athlete to reveal pregnancy or parenting status to coaches or teammates. Our department will work to create an environment which encourages the student-athlete to voluntarily reveal her
pregnancy and his or her parenting status, in order for our institution to provide
optimal support for physical and mental health with professional health care. The
coach’s attitude toward pregnancy and parenting can be pivotal in creating such a
safe environment.

- No athletics department personnel will publicly release personally identifiable
health information about pregnancy without written, timely authorization from the
student-athlete.
- When a student-athlete reveals her pregnancy or parenting status to athletics
personnel, they should direct the student-athlete to this Policy. They should
reiterate the department’s protection of the student-athletes team membership
status and financial aid. Athletics personnel should refer the student-athlete to the
team physician, or to a university-designated athletics department representative
trained in providing information about pregnancy and parenting support options.
- Athletics personnel who suspect that a student-athlete is pregnant may report their
concerns to the team physician or to a university-designated athletics department
representative trained in pregnancy and parenting support options.
- Teammates of pregnant student-athletes may report their concerns to the team
physician or to a university-designated athletic department representative trained
in pregnancy and parenting support options.

Enforcement and Non-Retaliation

- Any member of the athletics department found to have violated this policy by
threatening to withhold or withholding athletics participation or an athletics
award, by harassing a student-athlete on the basis or pregnancy or parenting
status, or by breaching medical confidentiality, will be subject to disciplinary
action, up to and including discharge or expulsion from the university. The
athletics department will also take appropriate remedial action to correct the
situation.
- Any member of the athletics department who becomes aware of conduct that
violates this policy should report the conduct to an appropriate official, such as
the Athletics Director, the General Counsel’s office, the Title IX Officer, the
Faculty Athletics Representative, or the Equal Opportunity Officer. The athletics
department and university will make every effort to prevent disclosure of the
names of all parties involved, except to the extent necessary to carry out an
investigation.
- Retaliation is specifically prohibited against anyone who complains about
pregnancy or parental status discrimination, even if the person was in error about
the lawfulness of the conduct complained about. This athletics department will
take steps to prevent any retaliation against the individual who made the
complaint.
Participation by the Pregnant Student-Athlete

- Assessing the risk of intense, strenuous physical activity in the pregnant student-athlete is difficult since there are no studies that have specifically addressed this topic. The American College of Obstetrics and Gynecology (ACOG) has recommended that following a thorough clinical evaluation, healthy pregnant women should be encouraged to engage in regular, moderate intensity physical activities. Women who exercise during pregnancy have improved cardiovascular function, limited weight gain and fat retention, improved attitude and mental state, easier and less complicated labor, and enhanced postpartum recovery. There has not been shown to be a greater risk of spontaneous abortion.

- The fetus benefits from exercise during pregnancy in several ways; including an increased tolerance for the physiologic stresses of late pregnancy, labor and delivery. The baby tends to be more alert, less fussy, and may have increased cognitive function.

- The safety to participate in each sport must be dictated by the movements and physical demands required to compete in that sport. Exercise in the supine position after the first trimester has been reported to result in relative obstruction of venous return and orthostatic hypotension. ACOG has recommended that pregnant women avoid supine positions during exercise as much as possible. The American College of Sports Medicine discourages heavy weight lifting or similar activities that require straining or valsalva.

- High intensity exercise required for competition in nearly all sports has not been well studied and may increase fetal risk. Many medical experts recommend that women avoid participating in competitive contact sports after the 14th week of pregnancy. While direct fetal injury with abdominal trauma after the 14th week has not been documented in athletics competition, indirect support for this risk comes from documented fetal injury from falls and car accidents. Athletics activities associated with a high risk of falling should be avoided during pregnancy. Pregnant student-athletes who participate in non-contact endurance sports should consider participating at a non-competitive level.

- Women who have medical conditions that place their pregnancies at high risk for complications should avoid physical activity until consultation with their obstetrician and the team physician. Examples of these medical conditions include but are not limited to poorly controlled diabetes or hypertension, multiple gestations at risk for pre-term labor, pre-eclampsia, and cervical defects that increase the risk of a spontaneous abortion or pre-term labor.

- The risks and benefits of athletics participation should be one of the objectives for the team physician in counseling the pregnant student-athlete. This includes the effects of pregnancy on competitive ability, the effects of strenuous physical training and competition on both the pregnant student-athlete and the fetus, and the warning signs to terminate exercise while pregnant. (Figure 1) The student-athlete should be informed that NCAA rules permit a one-year extension of the
five-year period of eligibility for a female student-athlete for reasons of pregnancy.

- If the student-athlete decides to compete, it is recommended that documentation outlining the student-athlete’s medical condition, the potential risks of athletics participation during pregnancy, and the student-athlete’s understanding of these risks of participation to her and her baby be included in the student-athlete’s medical record. This should be in the form of signed informed consent. It also is recommended that an institution obtain approval from the physician most familiar with the pregnant student-athlete’s condition, the team physician and an appropriate official of the institution. These student-athletes may require close obstetric supervision. Following delivery or pregnancy termination, medical clearance by the student-athlete’s obstetrician and the team physician is required to ensure the student-athlete’s safe return to athletics.

**Warning Signs to Terminate Exercise While Pregnant**

- Vaginal Bleeding
- Shortness of Breath Before Exercise
- Dizziness
- Headache
- Chest Pain
- Calf Pain or Swelling
- Pre-term Labor
- Decreased Fetal Movement
- Amniotic Fluid Leakage
- Muscle Weakness

**Guidelines for Certified Athletic Trainers Confronted with Pregnancy in Female Student-Athletes**

The role of a certified athletic trainer is an important one. The certified athletic trainer or team physician is often the first to recognize that a student-athlete is pregnant or the first person approached in confidence within the athletics department. As such, the certified athletic trainer should be well-versed in the institution’s pregnancy policies, and should be able to access resources easily.

**Anticipating the Situation**

- Review the NCAA Model Pregnancy and Parenting Policy and those of your athletics department.
• Discuss pregnancy and parenting medical issues in advance with your supervising physician and those in the athletics department, including coaches and administrators of both male and female teams.
• If your institution lacks a pregnancy and parenting policy, help develop one and participate in periodic review of student-athlete pregnancy and parenting policies

Provide Emotional Help

• If a student-athlete approaches you during athletics activity or in the clinical setting, go to a private space where you cannot be accidentally overheard or seen by teammates, coaches, or other bystanders.
• Review the institution’s pregnancy and parenting policy with the student-athlete.
• Remind the student-athlete that her scholarship and team membership are not at risk.
• A good reply to student-athletes revealing their own or their partner’s pregnancy is: “I’m glad you’re telling me about this and understand you may have many questions. I want to provide you with the information, time and support you need to make these personal decisions. Let’s figure out how we can do that.”
• Support the student-athlete. Ask non-judgmental questions and give the student-athlete time to work through emotions and decisions. “Please tell me whatever you’d like.” “How are you feeling?”
• Ask the student-athlete how she feels about discussing her pregnancy with others. “Is Coach aware of the situation? How do you feel about talking about it with her/him?” “Is your family aware of the situation?” “Is your partner aware of the situation?”
• If you have past experience with pregnant student-athletes and this particular coach, be candid about the experience. “In the past when this has occurred, Coach has been very supportive and helpful. It helps to have Coach aware because she/he will have a little more insight as to why you may not be performing to the same standards. But if you’re not ready to talk about it yet, we can hold off discussing with Coach and figure out how to navigate those hurdles.” “In the past when this has occurred, Coach has not been very supportive. You have the right to work with me and the team physician, keeping your medical status confidential. If you decide to carry the pregnancy to term, we may need to modify your workouts and competition schedule as your pregnancy progresses, which will involve Coach. “Would you like me to go with you to talk with Coach? Sometimes it helps to have someone else there.”
• Encourage the student-athlete to make use of the athletic department’s mental health counselors.
• Reassure her that she probably has some time on her side to decide whether to carry the pregnancy to term, usually until she is 12 weeks pregnant.
• Share with her that many other student-athletes have successfully encountered pregnancy, and there is usually no reason to make hasty decisions.
Medical Help and Confidentiality

- Reassure the student-athlete that you can maintain confidentiality within the medical team as long as it is medically safe to do so.
- Remind the student-athlete that as a certified athletic trainer, you cannot make medical decisions regarding pregnancy, but that you are part of a medical team that will work with her to provide her with the optimal health care.
- Reassure the student-athlete that if she decides to carry the pregnancy to term, there are few risks to athletic participation in uncomplicated pregnancies, particularly in the first trimester. However, she should receive appropriate health care and refer her to the team physician for further counseling and education.
- Encourage her to work in collaboration with her maternal health care provider and the athletics department medical staff. “Our policy is to inform our team physician of your pregnancy so that we can start to identify continued participation parameters and establish a baseline health status. Do you feel comfortable with this plan?”
- Leave the conversation with a follow-up appointment.
- Explain to the student-athlete that you may be checking in with her more frequently in order to protect her health and safety, but then try not to attract others’ attention when doing so.

9.38 ASTHMA MEDICATION METERED DOSE INHALER (MDI) POLICIES AND PROCEDURE

Asthma Introduction

Although the exact causes of asthma are unknown, several factors, including exercise, may induce an asthma attack. The majority of patients with asthma and patients with allergies will have exercise-induced bronchospasm (EIB). EIB usually occurs during or minutes after vigorous activity, reaches its peak 5-10 minutes after stopping the activity, and usually resolves in another 20-30 minutes.

Asthma Medications

Depending on the severity of asthma, medications can be taken on an as-needed basis (prn) or regularly to prevent or decrease breathing difficulty. Most of the medications fall into two major groups: quick relief medications and long-term control medications.

Quick relief medications are used to treat asthma symptoms or an asthma episode. The most common quick relief medications are the short-acting beta-agonists that relieve asthma symptoms by relaxing the smooth muscles around the airways. Common beta-agonists include Proventil and Ventolin (albuterol), Maxair (pirbuterol), and Alupent (metaproterenol). Atrovent (ipatroprium), an anticholinergic, is a quick relief medication.
that opens the airways by blocking reflexes through nerves that control the smooth muscle around the airways. Steroid pills and syrups, such as Deltasone (prednisone), Medrol (methylprednisolone), and Prelone or Pediapred (prednisolone) are very effective at reducing swelling and mucus production in the airways; however, these medications take 48-72 hours to take effect.

Long-term control medications are used daily to maintain control of asthma and prevent asthma symptoms. Intal (cromolyn sodium) and Tilade (nedocromil) are long-term control medications which help prevent swelling in the airways. Inhaled steroids are also long-term control medications. In addition to preventing swelling, they also reduce swelling inside the airways and may decrease mucus production. Common inhaled steroids include Vanceril, Vanceril DS, Beclovent, and Beclovent DS (beclomethasone), Axiacort (triamcinolone), Aerobid (flunisolide), Flovent (fluticasone) and Pulmicort (budesonide). Leukotrine modifiers are new long-term control medications. They may reduce swelling inside the airways and relax smooth muscles around the airways. Common leukotrine modifiers include Accoloate (zafirlukast), Zyflo (zileuton) and Singulair (montelukast). Another long-term control medication, Theophylline, relaxes the smooth muscle around the airways. Common theophyllines in oral form include Theo-Dur, Slo-Bid, Uniphyl and UniDur. Serevent (salmeterol), in inhaler form, is also a long-term control medication. As a long-acting beta antagonist, it opens the airways in the lungs by relaxing smooth muscle around the airways.

**Inhaled Medications**

Inhaled medications are delivered directly to the airways, which is useful for lung disease. Aerosol devices for inhaled medications may include the metered-dose inhaler (MDI), MDI with spacer, breath activated MDI, dry powder inhaler or nebulizer. The most commonly used inhaled medications are delivered by the MDI, with or without the spacer. There are few side-effects because the medicine goes right to the lungs and not to other parts of the body.

It is critical that the patient use the prescribed MDI correctly to get the full dosage and benefit from the medication. Unless the inhaler is used in the right manner much of the medicine may end up on the patient’s tongue, the back of their throat, or in the air. Use of a spacer of holding chamber helps significantly with this problem and their use is strongly recommended. A spacer is a device that attaches to a MDI and holds the medication it its chamber long enough for the patient to inhale it in one or two slow deep breaths. This eliminates the possibility of inadequate medicine delivery from poor patient technique.

**Using the MDI**

The athletic training staff may assist a student-athlete in the use of a prescribed MDI as follows:

*Updated November 2019*
Remove the cap from MDI and hold the inhaler upright
Shake the inhaler
Tilt patient head back slightly and have patient breathe out
Open mouth with inhaler 1-2 inches away (or mouth to spacer mouthpiece if spacer available)
Press down on the inhaler to release the medication as patient starts to breath in slowly
Patient breathes in slowly for 3-5 seconds
Patient holds breath for 10 seconds to allow the medication to reach deeply into the lungs
Repeat puffs as prescribed; waiting 1 minute between puffs may permit the 2nd puff to go deeper into the lungs

If possible, auscultate breath sounds and measure peak expiratory flow rate (PEFR) prior to and after MDI administration.

Basic Life Support Treatment for Severe Asthma

Patients who have progressed to severe asthma experience a combination of the following: shortness of breath (>30 respirations/min.), mental status changes (anxious, confused, combative, and drowsy), inability to speak in sentences, sweaty and unable to lie down. If the patient is not responding to or is unable to properly use their MDI, the athletic training staff should:

Call for EMS (if not on-site or in-route)
Maintain a patient airway
Be prepared to assist ventilation with positive pressure ventilation with bag-valve-mask
Administer epinephrine by a prescribed auto-injector (refer to Epi-Pen Policies and Procedures)
Initiate early emergency transport

Procedures for Training and Testing in Use of MDI

Personnel must complete a training session each year with review of signs and symptoms of asthma and instruction in the proper use of MDI with and without spacer.

9.39 EPI-PEN POLICIES AND PROCEDURES

Epinephrine Auto-Injector Introduction

Epinephrine is the drug of choice for the emergency treatment of severe allergic reactions to insect stings or bites, foods, drugs or other allergens and for basic life support treatment for severe asthma. Epinephrine mimics the responses of the sympathetic
nervous system. If quickly constricts blood vessels to improve blood pressure, reduces the leakage from the blood vessels, relaxes smooth muscle in the bronchioles to improve breathing through bronchodilation and alleviate the wheezing and dyspnea, stimulates the heartbeat, and works to reverse the swelling and hives. The drug takes effect within seconds, but the duration of its effectiveness is short (about 10-20 minutes).

The Athletic Training staff utilizes the Epi-Pen Auto-Injector, a disposable delivery system for self-administration. The Epi-Pen has a spring activated needle that is designed to deliver a single precise dose (0.3 mg. of 1:1000 solution) of epinephrine to adults when activated. The Epi-Pen Jr. has a spring activated needle that is designed to deliver a single precise dose (0.15 mg. of 1:1000 solution) of epinephrine to infants/children under 8 years old when activated. It may be necessary in very severe reactions to administer a second dose after five minutes if initial response is inadequate.

**Emergency Care for Anaphylaxis and/or Severe Asthma with Epi-Pen**

The athletic training staff should:

- Call for EMS (if not on-site or in-route)
- Maintain patient airway
- Be prepared to assist ventilation with positive pressure ventilation with bag-valve-mask
- Administer epinephrine by a prescribed auto-injector
- Initiate early emergency transport

**Indications/Contraindications for Epinephrine Administration**

Epinephrine should be administered if the patient exhibits signs and symptoms of a severe allergic reaction (anaphylaxis), including respiratory distress and/or shock (hypoperfusion) or severe asthma. Patients who have progressed to severe asthma experience a combination of the following: shortness of breath (>30 respirations/min), mental status changes (anxious, confused, combative, and drowsy), inability to speak in sentences, sweaty and unable to lie down. There are no contraindications for the administration of epinephrine in a life-threatening allergic reaction or severe asthma; however, precautions should be taken with elderly patients or patients with heart disease or hypertension.

**Administration of Epinephrine**

- Check the Epi-Pen to ensure the medication has not expired, has not become discolored, and does not contain particulates or sediments.
- Prep skin site with alcohol
- Remove the safety cap from the auto-injector
- Place the tip of the auto-injector against the lateral aspect of the patient’s thigh
midway between the waist and knee

☐ Push the injector firmly against the thigh until the spring-loaded needle is deployed and the medication is injected (at least 10 seconds)

☐ Dispose of the auto-injector in a biohazard container designed for sharp objects. Be careful not to prick yourself since the needle will now be protruding from the end of the injector

☐ Record that epinephrine was administered, the dose, and the time of administration

**Side Effects**

The patient may complain of side effects following the administration of epinephrine. Possible side effects include increased heart rate, pale skin (pallor), dizziness, chest pain, headache, nausea, vomiting, excitability and anxiousness.

**Reassessment**

Following the administration of epinephrine, it is necessary to reassess the patient. Reassessment should include continued evaluation of airway, breathing and circulatory status. Decreasing mental status, decreasing blood pressure and increasing difficulty in breathing indicate the allergic reaction or severe asthma is worsening. If the condition is worsening, consider the following interventions: injection of second dose of epinephrine is second auto-injector is available, provide emergency care for shock, be prepared to administer positive pressure ventilation with supplemental oxygen if breathing becomes inadequate, and be prepared to initiate CPR and apply AED if patient becomes pulse less.

If the patient’s condition improves following administration of epinephrine, continue to perform ongoing assessments. Be aware patient may complain of side effects from the epinephrine. Conscious patients may also be administered 50 mg. diphenhydramine orally or sublingually for antihistamine effects. Treat for shock if necessary. Any patient requiring epinephrine administration should be transported to the closest available medical facility for follow-up evaluation and treatment as soon as possible. Remember that epinephrine is short-acting (10-20 minutes) and signs and symptoms may return as drug wears off.

**Procedures for Training and Testing in Use of Epi-Pen Auto-Injector**

Personnel should complete a training session each year with review of signs and symptoms and emergency medical care for allergic reaction, anaphylaxis, anaphylactic shock, and severe asthma. Personnel should complete a training session each year with instruction in the proper use and maintenance of the Epi-pen.
9.40 ATHLETIC TRAINER’S CONDUCT

General Conduct Rules

Observe all rules and regulations set by the Director of Athletic Training, Head Coaches, Team Physicians and the Director of Athletics.

Work with professionalism at all times and treat individuals with respect.

To gain respect, demand discipline from those who you are working. Your personality will determine your relationships with student-athletes. Avoid confrontations and arguments.

Be loyal to the program, university and the administration.

Athletic Training Students Will Not

A. Talk to any media personnel (press, radio, TV) about student-athletes, injuries, policies or procedures, treatments, return days or any other material that may be detrimental to the student-athlete, UAlbany, parents and/or yourself.
B. Make any diagnosis, evaluations, administer treatments, prescribe or administer medications, or prescribe rehabilitation programs without first consulting an Athletic Training Staff Athletic Trainer or Physician.
C. Discuss with the student-athlete the options, seriousness, or surgical procedures.
D. Determine the playing status of a student-athlete.
E. Assume the responsibilities of the Director of Athletic Training, Assistant Athletic Trainers, Graduate Student Athletic Trainers unless designated by the Director of Athletic Training.
F. Make any derogatory, critical or judgmental statements that could be a policy of the Division of Athletics, UAlbany or the National Athletic Trainer’s Association.
G. Make any medical, dental, or other medical appointments without the consent of the Director of Athletic Training or the Team Physician.

Assistant Athletic Trainers and Graduate Assistant Athletic Trainers Will

A. Carry out the assigned responsibilities, sport assignments and administrative duties as assigned by the Head Athletic Trainer.
B. Supervise student athletic trainers in the clinical tract. This will include day to day supervision, clinical evaluations, in-service programs and professional preparation.
C. Communicate daily with the coaches on the status of injured athletes.
D. Schedule treatment and rehabilitation appointments.
Personal Appearance

Policy

Good personal hygiene and appearance are necessary to perform the duties of an athletic trainer. Dress, habits, bodily expressions, will always be a display of confidence.

Uniforms will be provided and are to be worn during working hours, both in the athletic training room and out at the practice sites.

UAlbany Athletic Training uniforms should not be worn to clubs, bars or any other event that may jeopardize the UAlbany Athletic Training Department in any way.

No sandals or open shoes are permitted during work hours.

No earrings are to be worn during working hours.

Office Policies

Telephone etiquette: From time to time, student athletic trainers may be asked to answer the telephone. Please respond by the following: Athletic training, this is “NAME”, may I help you.

1. All sports medicine staff offices are off limits to all except those asked in or accompanied by an athletic trainer. Student-athletes should not be in the office for any other reasons.
2. Student-athletes are not permitted to use the telephone for personal calls for any reason.
3. The medical cabinets within the sports medicine complex are off limits to all student-athletes.
4. TREATMENTS ARE TO BE ADMINISTERED BY ATHLETIC TRAINING STAFF ONLY. Student-athletes are not to use, adjust, or manipulate any of the modalities in the sports medicine complex.
5. Physician referrals are to be issued for athletic related conditions only. All medical referrals must be approved by a staff athletic trainer.
6. All athletic training supplies, including stainless steel equipment, are to be confined to usage in the work areas. NO EXCEPTIONS.
7. The sports medicine complex is a reasonably sanitary environment and reasonable efforts should be made to maintain the facility in that manner.
8. No cleats or athletic shoes are to be worn in the athletic training room. No shoes are to be worn during the administration of treatments.
9. The sports medicine complex is CO-EDUCATIONAL. Appropriate dress must be worn at all times.

Updated November 2019
10. All supplies or equipment taken from the complex need to be checked out. The athletic trainers responsibility is to record checked out items on the EQUIPMENT CHECK-OUT FORM. Failure to return borrowed supplies will result in the cost of the item being deducted from the student-athletes scholarship stipend.

11. There will be no horseplay, foul language, or any other confusion in the sports medicine complex.

12. The athletic training room is for injured student-athletes ONLY.

13. No smoking or tobacco of any kind will be allowed in the sports medicine complex.

14. Treatments will be administered between normal operating hours. Student-athletes may, when appropriate, be treated a minimum of twice daily in order to insure a more progressive recovery. The athletic training staff and/or the team physicians will determine the appropriate treatments to be administered.

15. No lounging or sleeping on training tables will be tolerated.

16. Student trainers should keep all personal belongings and books in the lockers provided.


9.41 HIPPA LETTER OF INSTRUCTION

UAlbany Athletic Training
Employee/Student/Volunteer
HIPAA Letter of Instruction
Annual Nondisclosure Acknowledgement

Name:__________________________________ Date:_____________________

Position: ________________________________

As an employee with access to private health information, I am expected to maintain the privacy and confidentiality of student-athlete health information, as well as personal information such as age, address, telephone, marital status, etc. Recently enacted federal rules, adopted as part of the Health Insurance Portability and Accountability Act “HIPAA”, mandate new requirements designed to enhance patient privacy.

In an effort to maintain the privacy of student-athlete information, the UAlbany Athletic Training Department has required that I reaffirm my commitment made at the time of my employment/assignment to protect the confidentiality of health information.

I understand that I may be reminded of these confidentiality obligations on a periodic basis to help ensure compliance, due to the significance of this issue.
By my signature below, I acknowledge that I made the commitment set forth below at the time of my employment/assignment, I confirm my past compliance with it, and I reaffirm my continued obligation to it.

I understand that I have a legal and ethical responsibility to safeguard the privacy of all student-athletes and to protect the confidentiality of their health information. In the course of my employment/assignment at the UAlbany, I may come into possession of confidential patient information, even though I may not be directly involved in providing patient care.

I understand that such information must be maintained in the strictest confidence. As a condition of my employment/assignment, I hereby agree that, unless directed by my supervisor, I will not at any time during or after my employment/assignment with the UAlbany Athletic Training Department disclose any patient information to any person whatsoever or permit any person whatsoever to examine or make copies of any patient reports or other documents prepared by me, coming into my possession, or under my control, or use patient information, other than as necessary in the course of my employment/assignment.

When patient information must be discussed with other healthcare providers in the course of my work, I will use discretion to ensure that others who are not involved in the patient’s care cannot overhear such conversations.

The violation of these rules could result in significant civil and criminal penalties for myself and UAlbany, particularly if an improper disclosure of information is done knowingly and for personal gain. I have/will receive training regarding these rules. In general, however, disclosure of health information to anyone other than the student-athlete typically requires the student-athletes express written authorization except in the following situations: 1) to co-employees who need the information for their job, or to a supervisor, 2) to another medical provider for treatment purposes, or 3) to an insurance company to obtain payment for a service.

As part of my job responsibilities, I am expected to comply with HIPAA and all procedures developed for its implementation. I understand the violation of these rules may result in discipline up to, and including, termination for a first offense.

If you have questions, please discuss it with your supervisor or the designated privacy officer. Please acknowledge receipt of this letter by signing below.

__________________________________________
Signature of Employee/Student/Volunteer

__________________________
Date

cc: personnel file

Updated November 2019
Confidentiality Assessment Checklist

A. Upon arrival student-athletes are not asked to write the nature of the illness/complaint on a sign-in sheet viewable by other student-athletes.
B. Conversations are not audible outside any exam/treatment room.
C. When student-athletes check out after their visit, they are not within hearing range of other student-athletes.
D. Telephone calls of a clinical nature (prescriptions called in, test results, etc.) are not made within hearing range of student-athletes.
E. Providers do not take clinical calls while in with other student-athletes.
F. Providers do not discuss clinical information in an area where other student-athletes may overhear the conversation.
G. The daily appointment schedule is not posted in the view of any student-athletes.
H. Medical records are maintained in a secure area, accessible only to staff.
I. Staff members receive training in handling authorizations to release medical records in conformance with federal and state laws.
J. All student-athlete-initiated records releases are authorized in writing and verified by the student-athlete’s signature.
K. By policy, staff may access medical records only on a “need to know” basis (athletic training student is caring for student-athlete, clerk is processing the bill, etc.).
L. A senior member of the staff is responsible for verifying the authenticity of any search warrant or subpoena involving release of information from a medical record prior to carrying it out.
M. A record retention policy should be in effect.
N. Office policy prohibits recycling of paper and requires shredding of discarded student-athlete or clinical information.
O. Policy prohibits removing original records from the office.
P. Only urgent clinical information is transmitted via fax.
Q. No unencrypted, unsecured student-athlete information is available over the Internet.
R. Medical records policies and procedures are developed or revised with input from qualified legal counsel.
S. Staff members sign “confidentiality agreements” at the time of hire and annually thereafter.
T. A written confidentiality policy is in effect with sanctions noted for non-compliance.
U. Passwords are used with electronic medical information systems.
V. Access to electronic information is deleted upon a staff member’s resignation.
Notice of Privacy Practices (Effective September 23, 2013)

This notice describes how your health information may be used and disclosed by the UAlbany Athletic Training Department and your rights pertaining to that information. Please review it carefully.

Understanding Your Patient Health Information (PHI)

Understanding what is in your health record and how your health information is used will help you to ensure its accuracy, allow you to better understand who, what, where and why others may access your health information, and assist you in making more informed decisions when authorizing disclosure to others. When you visit us, we keep a record of your symptoms, examination, test results, diagnoses, treatment plan, and other medical information. We also may obtain health records from other providers. In using and disclosing your protected health information, it is our objective to follow the Privacy Standards of the federal Health Insurance Portability and Accountability Act, 45 CFR Part 464, even if this is not required in order to treat students. The law allows us to use and disclose your health information without your specific authorization for treatment, payment and operations and other specific purposes explained on the next page. This includes the sharing of information, when necessary and appropriate, with other health care components of the University, such as the athletic department, student health center or the counseling center, as necessary for your continued care. All other uses and disclosures require your specific authorization.

Your Health Information Rights

You have a right to:

- Request a restriction on the uses and disclosures of your protected health information as described in this notice, although we are not required to agree to the restriction you request. You should address your request in writing to the designated Privacy Officer. We will notify you within 30 days if we cannot agree to the restriction.
- If you received the Notice of Privacy Practices electronically, you may request a paper copy of the Notice.
- Upon written request, you may inspect and obtain a copy of your health record except that you are not entitled to access to, or to obtain a copy of, psychotherapy notes and information compiled for legal proceedings.
- Amend your health record by submitting a written request with the reasons supporting the request to the Privacy Officer. In most cases, we will respond within 30 days. We are not required to agree to the requested amendment.
• Obtain an accounting of disclosures of your health information, except that we are not required to account for disclosures for treatment, payment, operations, or pursuant to authorization, among other exceptions.
• Send and receive confidential communications of protected health information by alternative means or at alternative location, other than our usual methods. You should address the request in writing to the designated Privacy Officer.
• Revoke an authorization to use or disclose health information at any time except where action has already been taken.

Responsibilities of the UAlbany Athletic Training Department

We are required by law to:

• Maintain the privacy of your protected health information and provide you with notice of our legal duties and privacy practices with respect to your protected health information.
• Abide by the terms of the notice currently in effect. We have the right to change our notice of privacy practices and apply the change to all of your protected health information, including information obtained prior to the change.
• If we change our notice of privacy practices, we will post the new changes in the lobby and a copy will be available to you upon request.
• Use or disclose your health information only with your authorization except as described in this notice.
• In some circumstance, state or federal law may prohibit or further restrict the disclosure of your health information. If that is the case, we are required to follow the more stringent law.
• Provide a statement informing you of your right to be notified following a breach of your unsecured PHI.

For more information or to report a problem, you may contact the designated Privacy Officer or the Head Athletic Trainer. If you feel your rights have been violated, you may file a complaint in writing with the designated Privacy Officer. If you are not satisfied with the resolution of the complaint, you may also file a complaint with the Secretary of Health and Human Services. You will not be retaliated against for filing a complaint.

Use and Disclosure of Protected Health Information

We may use or disclose your protected health information for treatment, payment and operations, and for purposes described below:
We will use your health information for treatment:

E.g., we will use information obtained by a physician, nurse practitioner, nurse or other medical professionals, staff, trainees and volunteers in our office to determine your best course of treatment. The information obtained from you or from other providers will become part of your medical records. We may also disclose your health care information to other outside treating medical professionals and staff as deemed necessary for your care. For example, we may disclose your health information to an outside doctor for referral. We will also provide your health care providers with copies of various reports to assist him/her in your treatment. We will disclose personal health information to coaches pertaining to your current medical condition and any conditions that may restrict your ability to compete.

We will use your health information for payment:

E.g., we may send a bill to you or to your insurance carrier. The information on or accompanying the bill may include information that identifies you, as well as your diagnosis, procedures, and supplies used as necessary to obtain payment.

We will use your health information for regular health operations:

E.g., members of the medical staff, trainees, medical students, a Risk or Quality Improvement team, or similar internal operations may use your information to assess the care and outcomes of your care in an effort to improve the quality of the healthcare and service we provide or for educational purposes. For example, an internal review team may review your medical records to determine the appropriateness of care. There may also be times in which our accountants, auditors or attorneys may be required to review your health information to meet their responsibilities.

We will provide for health plans that perform underwriting:

A statement that they are prohibited from using or disclosing genetic information for underwriting purposes.

Other uses and disclosures not requiring authorization:

Business Associates

There are some services provided in our organization through contracts with business associates, such as laboratory services and radiology services. We may disclose your health information to our business associate so that they can perform these services. To protect your health information, we require the business associate to appropriately safeguard your information.
Notification

We may disclose your health information to a friend or family member involved in your care or assisting you in payment. We may also notify a family member, friend, or other person responsible for your care, about your location and general condition.

Disclosures required by law or for threats to safety

We may disclose your health information as required by law, or if necessary to avert a serious threat to health or safety, although disclosures are limited if information is obtained through counseling or therapy.

Public Health

As allowed by law, we may disclose your health information to public health or legal authorities to 1) prevent or control disease, injury or disability, 2) to report child abuse or domestic abuse, in which case you may be notified of the disclosure, 3) for purposes related to quality, safety, or effectiveness of FDA-regulated products or activity, 4) to identify exposure to, and prevent the spread of, communicable disease, including notification of individuals that may have been exposed to communicable disease, 5) to an employer to conduct medical surveillance of the workplace or to evaluate whether an employee has a work related illness or injury, 6) to health oversight agencies as provided by law and 7) to report births and deaths.

Law Enforcement and Court Proceedings

We may disclose health information to law enforcement in the following circumstances:

A. Information required by law.
B. Limited information for identification and location purposes.
C. Information regarding suspected victims of crime, although we will usually attempt to first obtain your agreement to release the information.
D. Information about a deceased individual if we have a suspicion that the death resulted from criminal conduct.
E. Information that we believe in good faith establishes that a crime has been committed on our premises during our providing of emergency health care. We may also disclose health information to others as required by court or administrative order, or in response to a valid summons or subpoena, for civil subpoenas, we will seek assurances from the requesting party that reasonable efforts have been made to inform you of the subpoena.

Information Regarding Decedents

We may disclose health information regarding a deceased person to:

Updated November 2019
A. Coroners and medical examiners to identify cause of death or other duties,
B. Funeral directors for their required duties.
C. Procurement organizations for purposes of organ and tissue donation.

Research

We may disclose health information to where you have authorized such disclosure. We may also disclose health information where the disclosure is solely for the purpose of designing a study, or where the disclosure concerns decedents, or the disclosure is approved by an institutional review board (IRB) or properly constituted Privacy Board if the Board has determined that obtaining authorization is not feasible and protocols are in place to ensure the privacy of your health information.

Military, National Security and Correctional Department Disclosures

We may disclose health information in connection with the responsibilities of the armed services if you are a member, national security and intelligence, protective services for certain government officials, and to correctional officials for health and safety purposes if you are an inmate.

Marketing and Appointment Reminders

We may contact you to provide appointment reminders or information about treatment alternative or other health related benefits and services that may be of interest to you.

Fundraising

We may contact you as part of a fund raising effort. You have the right to opt out of such communications in the event we intend to engage in fundraising activities.

Disclosures Requiring Authorization

All other disclosures of protected health information will only be made pursuant to your written authorization, which you have the right to revoke at any time, except to the extent we have already relied upon the authorization.

Federal law requires that we seek your acknowledgement of receipt of this Notice of Privacy Practices. Please sign below.

I acknowledge that I have received this Notice of Privacy Practices with and effective date of _____________________

Student-Athlete Signature: ___________________________ Date: ___________________________

Updated November 2019
If student-athlete is a minor:
Student-Athlete Representative Signature:__________________ Date:__________________

Description of Legal Guardianship:
______________________________________________________________________________

9.42 CONSENT TO MEDICAL TREATMENT AND DISCLOSURES

Consent for Medical Treatment and Uses and Disclosures of Patient Health Information for Treatment, Payment and Healthcare Operations (TPO) at the University at Albany

I give my permission to the UAlbany Athletic Training Staff to educate, interview, examine, and make proper medical referrals to perform laboratory procedures to treat my condition, as they deem necessary. I understand that in the case of a life threatening emergency, this consent may be implied for the time of the emergency.

I understand that UAlbany is a teaching institution, therefore athletic training undergraduate and graduate students, medical residents, medical students, dental students, nurse practitioner student and nursing students may participate in my care under the direct supervision of a certified athletic trainer, physician/dentist or nurse practitioner. I understand that outside medical professionals may also be consulted as deemed necessary for my care.

For coordination of my care and services, I understand that I may be provided with referrals to an off-campus specialist and UAlbany may assist other treating health care professionals in provision of my care.

Informed Consent

If my condition requires an outpatient surgical procedure, the practitioner responsible for my care will explain to me the procedure to be performed, the general nature and extent of risks involved in such procedure and the alternative methods, if any.

Consent for Minor Students

If you are a minor, we must have the signature of the parent or legal guardian (appointed by a court of law) on this form before any general treatment may begin, and such consent must be effective until you reach legal age in the State of New York (18 years old). Your parent or legal guardian must sign this consent form and receive a Notice of Privacy.

Exemptions to this consent are a life-threatening emergency, treatment for emancipated minors with court supporting documents, for family planning and contraceptive methods,
screening for sexually transmitted infections, counseling and treatment of alcohol and substance abuse.

**Additional Uses and Disclosures of Health Information**

I understand and agree that the UAlbany may use or disclose protected health information for treatment, payment and operations in accordance with the Notice of Privacy Practices that I have received, and any posted amendments to that Notice. I understand that the UAlbany will not use or disclose protected health information for any purpose other than treatment, payment and healthcare operations, unless such person or entity is authorized to receive such information under law or I have provided a written authorization. *(See full explanation of disclosures and rights in the Notice of Privacy Practices)* If I am being treated while I am a student, I consent and agree that my health information may be used and disclosed in accordance with the Notice of Privacy (and any posted revision of that Notice) and the federal Health Insurance Portability and Accountability Act.

In the process of receiving health care at the UAlbany, a provider may initiate a follow up call and a letter may be sent to continue care. Also, patients may receive phone calls to remind them of a scheduled appointment.

I understand that if I agree to participate in a research study, I will be provided with a specific authorization to participate. I have the option not to participate or to withdraw from the study at any time.

I understand that I have the right to revoke in writing any such authorization, unless the UAlbany has already used or disclosed my information in reliance on the authorization.

I understand that I have the right to request restrictions on certain uses and disclosures of my health information to carry out treatment, payment, or healthcare operations and that the UAlbany is not required to agree to the restrictions requested. I have the right to restrict certain disclosures of PHI to a health plan where I or someone on my behalf pays out of pocket for the health care item or service provided.

Please note: I understand that if I request a restriction that may impede the ability of the UAlbany to provide proper care, or which restricts the release of information required by law to be released, that the UAlbany is unlikely to agree to the restriction and may cancel further services. Further, I understand that if I request a restriction that does not allow the UAlbany to release necessary information to insurance providers; it may affect my ability to obtain reimbursement for medical expenses.

I acknowledge receipt of a copy of the Notice of Privacy Practices, which contains a more complete description of uses and disclosure of patient health information.
I understand that the UAlbany reserves the right to change the Notice of Privacy Practices and a revised copy will be posted and available when requested.

Student-Athlete Signature: __________________________________________
Date: __________________

Print Name: ______________________________________________________
Date of Birth: ________
If student-athlete is a minor:

Student-Athlete Representative Signature: _____________________________
Date: __________________

Description of Legal Guardianship: __________________________________

SECTION 10: DRUG PROGRAM FOR STUDENT-ATHLETES

10.1 INTRODUCTORY STATEMENT

The UAlbany Division of Athletics, as well as its health service professionals, substance abuse counselors and coaches, strongly believes that the use, misuse and/or abuse of the drugs listed later in this policy (excluding those drugs prescribed by a physician to treat a specific medical condition and/or those defined in the NCAA Sports Medicine Handbook) can:

1. Be detrimental to the physical and mental well-being of its student-athletes, no matter when such usage should occur during the year;
2. Be dangerous to the student-athlete and his/her teammates in athletic competition or practice;
3. Seriously affect the performance of individuals as students and as athletes; and
4. In some cases, provide an unfair advantage over other competitors.

All student-athletes need to be aware of the potential health risks associated with the excessive use, misuse and abuse by illicit mood altering drugs. As a competitive student-athlete, the use of alcohol and/or any drug may lead to a variety of health disorders including, but not limited to cardiovascular disease (heart attacks), possible brain damage, exposure to HIV and/or AIDS and psychological disorders.

For the student-athlete, the end result is not only deterioration in mental and physical health, but also in athletic and academic performance.

Therefore, UAlbany operates a program of drug prevention, education, testing and treatment for its student-athletes utilizing resources available to all university students. The prevention and education programs will focus toward informed choices and the
exercise of personal responsibility as applies to the use, misuse and abuse of alcohol or other drugs.

In addition, student-athletes must also enroll in a drug-testing program sponsored by the NCAA. The Division of Athletics shall administer annually, on a form prescribed by the NCAA Committee on Competitive Safeguards and Medical Aspects of Sports, a signed drug testing consent form for each student-athlete. Although the NCAA drug-testing program is independent of the UAlbany Intercollegiate Athletics Department drug-testing program, sanctions imposed by the NCAA will be supported by the administration.

10.2 THE NCAA DRUG TESTING PROGRAM

The NCAA will conduct random urine testing at all NCAA post-season championships. The NCAA has also implemented a Year-Round Testing Program, which will randomly tests individual sports throughout the year.

In the event a student-athlete tests positive on a NCAA championship drug test or on a year-round drug test, the student-athlete must adhere to the NCAA Drug Testing legislation.

Eligibility for Championships.

Ineligibility for Use of Banned Drugs

A student-athlete who, as a result of a drug test administered by the NCAA, tests positive for use of a substance in a banned drug class, as set forth in Bylaw 31.2.3.1, shall be declared ineligible for further participation in postseason and regular-season competition in accordance with the ineligibility provisions in this bylaw.

Penalty -- Banned Drug Classes Other Than Illicit Drugs

A student-athlete who, as a result of a drug test administered by the NCAA, tests positive for use of a substance in a banned drug class other than illicit drugs (in accordance with the testing methods authorized by the Board of Governors) shall be charged with the loss of one season of competition in all sports in addition to the use of a season, pursuant to Bylaw 12.8.3.1, if he or she has participated in intercollegiate competition during the same academic year. The student-athlete shall remain ineligible for all regular-season and postseason competition during the time period ending one calendar year (365 days) after the collection of the student-athlete's positive drug-test specimen and until he or she tests negative (in accordance with the testing methods authorized by the Board of Governors).
Second Positive Test

If a student-athlete who previously tested positive for the use of a substance in a banned drug class other than illicit drugs tests positive a second time for the use of a substance in a banned drug class other than illicit drugs, he or she shall lose all remaining regular-season and postseason eligibility in all sports. If a student-athlete who previously tested positive for the use of a substance in a banned drug class other than illicit drugs tests positive for the use of a substance in the banned drug class illicit drugs, he or she shall be ineligible for competition for 50 percent of a season in all sports (the first 50 percent of the Bylaw 17 maximum regular-season contests or dates of competition). The student-athlete shall remain ineligible from the time the institution is notified of the test result until the prescribed penalty is fulfilled and he or she tests negative (in accordance with the testing methods authorized by the Board of Governors).

Penalty -- Illicit Drugs

A student-athlete who, as a result of a drug test administered by the NCAA, tests positive for use of a substance in the banned drug class illicit drugs (in accordance with the testing methods authorized by the Board of Governors) shall be ineligible for competition during 50 percent of a season in all sports (50 percent of the Bylaw 17 maximum regular-season contests or dates of competition). The student-athlete shall remain ineligible from the time the institution is notified of the test result until the prescribed penalty is fulfilled and he or she tests negative (in accordance with the testing methods authorized by the Board of Governors).

Second Positive Test

If a student-athlete who previously tested positive for use of a substance in the banned drug class illicit drugs tests positive a second time for use of a substance in the banned drug class illicit drugs, he or she shall be charged with the loss of one season of competition in all sports, in addition to the use of a season, pursuant to Bylaw 12.8.3.1, if he or she has participated in intercollegiate competition during the same academic year. The student-athlete shall remain ineligible for all regular-season and postseason competition during the time period ending one calendar year (365 days) after the collection of his or her second positive drug-test specimen or until the period of ineligibility for any prior positive drug tests has expired, whichever occurs later. If a student-athlete who previously tested positive for use of a substance in the banned drug class illicit drugs tests positive for use of a substance in a banned drug class other than illicit drugs, he or she shall be charged with the loss of one season of competition in all sports, in addition to the use of a season, pursuant to Bylaw 12.8.3.1, if he or she has participated in intercollegiate competition during the same academic year. The student-athlete shall remain ineligible for all regular-season and postseason competition during the time period ending one calendar year (365 days) after the collection of the student-
athlete's positive drug test specimen and until he or she tests negative (in accordance with the testing methods authorized by the Board of Governors).

Breach of NCAA Drug-Testing Program Protocol

A student-athlete who is in breach of the NCAA drug-testing program protocol (e.g., no-show) shall be considered to have tested positive for the use of any drug other than an illicit drug.

Tampering with Drug-Test Sample

A student-athlete who is involved in a case of clearly observed tampering with an NCAA drug-test sample, as documented per NCAA drug-testing protocol by a drug-testing crew member, shall be charged with the loss of two seasons of competition in all sports if the season of competition has not yet begun for that student-athlete or the equivalent of two full seasons of competition in all sports if the student-athlete is involved in the tampering with a drug-test sample during his or her season of competition (the remainder of contests in the current season and contests in the following two seasons up to the period of time in the initial season in which the student-athlete was declared ineligible). The Student-athlete shall remain ineligible for all regular-season and postseason competition during the time period ending two calendar years (730 days) after the student-athlete was involved in the tampering with a drug-test sample and until he or she tests negative (in accordance with the testing methods authorized by the Board of Governors).

Transfers

If the student-athlete transfers to another NCAA institution while ineligible, the institution from which the student-athlete transferred must notify the student-athlete's new institution that the student-athlete is ineligible. If the student-athlete transfers to a non-NCAA institution while ineligible and competes in intercollegiate competition during the prescribed period of ineligibility, the student-athlete will be ineligible for all NCAA regular-season and postseason competition until the student-athlete does not compete in intercollegiate competition for the entirety of the prescribed penalty. Furthermore, the student-athlete must test negative (in accordance with the testing methods authorized by the Board of Governors).

Appeals

An institution may appeal a drug-testing penalty to the Committee on Competitive Safeguards and Medical Aspects of Sports (or a designated subcommittee). The committee may reduce the legislated penalty to withholding the student-athlete from the next 50 percent of the season of competition or provide complete relief from the legislated penalty. If the committee requires the student-athlete to fulfill the legislated penalty or be withheld from the next 50 percent of the season of competition in all sports,
the student-athlete shall remain ineligible until the prescribed penalty is fulfilled and he or she tests negative (in accordance with the testing methods authorized by the Board of Governors).

**Banned Drugs and Drug-Testing Methods**

The Board of Governors shall adopt a list of banned drug classes and shall authorize methods for drug testing of student-athletes on a year-round basis. The list of banned drug classes and the procedure for informing member institutions about authorized methods for drug testing are set forth in Bylaw 31.2.3.

**Non-NCAA Athletics Organization's Positive Drug Test**

The Board of Governors shall authorize methods for drug testing any student-athlete who has disclosed in the student-athlete statement (see Bylaw 12.7.2.1) that he or she has a positive drug test administered by a non-NCAA athletics organization that has adopted the World Anti-Doping Agency (WADA) code. A student-athlete under a drug-testing suspension from a national or international sports governing body that has adopted the WADA code shall not participate in NCAA intercollegiate competition for the duration of the suspension.

Student-athletes are free to refuse to consent to drug testing for the NCAA or the UAlbany Drug Testing Program. However, student-athletes who decline will not be signed for an athletic scholarship nor shall be permitted to participate in intercollegiate athletics for UAlbany. After consenting to the drug prevention, education, testing and treatment program, a student-athlete who fails to test for drugs as provided in this policy, shall be considered to have made a decision not to participate in the program and will be considered to have tested positive.

A student-athlete, who refuses to participate in this drug prevention, education, testing and treatment program, will be notified of his/her impending prohibition from the UAlbany Division of Athletics before such prohibition takes effect. He/she will be given the opportunity to meet with the Director of Athletics, and may appeal the impending prohibition from participation in the intercollegiate athletics program.

It has always been standard university procedure for coaches and athletic trainers to refer student-athletes with an apparent medical problem to the team physician. Medical treatment may require a urine sample from the student-athlete to test for the presence of drugs or chemicals. This procedure is independent of the program herein described.

**10.3 SUMMARY DRUG TESTING POLICY**

The NCAA Committee on Competitive Safeguards and Medical Aspects of Sports has authorized summer drug testing at Division 1 institutions, effective to begin in the
summer of 2006. Therefore, all student-athletes with remaining eligibility and who signed a drug testing consent form at the beginning of the previous academic year will be eligible to be tested during the summer, regardless of whether the student-athlete resides on or off campus, is within the Albany vicinity or has traveled out of state. All incoming student-athletes will not be subjected to testing.

All athletic department staff members and coaches will be responsible for assisting in the summer drug testing program as deemed necessary by the Summer Site Coordinator.

**Procedure**

1. It will be the responsibility of the Summer Site Coordinator (Head Athletic Trainer) to notify the appropriate Head Coach, Designee and any other appropriate staff members that their sport has been selected for testing. Drug Free Sport, the testing agency for the NCAA, will work through the site coordinators to select and notify student-athletes and conduct the testing within 48 hours of notification.
2. The Summer Site Coordinator will be responsible for providing to Drug Free Sport on an annual basis a summer institutional academic calendar for planning and coordinating testing days and times.
3. Once notified by the NCAA, the Summer Site Coordinator will be responsible for contacting the student-athletes that are chosen to be tested and notify them of the date and time of the test. Regardless of their location in the summer, the Summer Site Coordinator must be able to contact the student-athlete to set up a test time for the date specified.
4. Failure to provide to provide accurate information or to assist with locating student-athletes who are chosen to be drug tested will result in a loss of eligibility for the student-athlete. Student-athletes who test positive for summer drug testing program test are subject to the same NCAA drug testing sanctions.

**10.4 TOBACCO USE**

Conduct of Athletics Personnel - Tobacco Products: Establishes uniform penalties in all sports for game personnel (e.g. coaches, athletic trainers, managers and game officials) who use tobacco products during practice or competition. (Effective August 1, 1997)

**10.5 DEFINITIONS**

Student-athlete is defined as;

1. Any student who has signed for an athletic scholarship; or
2. Any walk-on student.
10.6 **PURPOSE OF THE PROGRAM**

The purpose of the UAlbany Division of Athletics Drug Prevention, Education, Testing and Treatment Program (hereinafter referred to as the “Program”) is not to interfere unduly with the private lives of student-athletes. The primary purpose is to aid the student-athletes directly. Such assistance is consistent with the specific goals of the program, which are to:

1. Provide educational programs concerning the effect of substance use, misuse, and abuse on athletic activities;
2. Deter substance use, misuse, and abuse by student-athletes;
3. Identify, in a confidential way, any participant in the Program who may be using, misusing and abusing a specific drug;
4. Educate any participant in the Program so identified, regarding such involvement as it may affect him/her and his/her teammates;
5. Encourage the proper treatment of any chronic chemical dependency;
6. Provide reasonable safeguards that every participant in the Program is medically fit to engage in intercollegiate athletic competition; and
7. Encourage discussion at all appropriate levels about use, misuse, and abuse of controlled substances.

10.7 **IMPLEMENTATION OF THE PROGRAM**

When a student-athlete is recruited to engage in an intercollegiate athletic activity, it is suggested the Program be discussed with the recruit, who may be given a copy of the Program during permissible contact days. A second copy of the Program may be provided for the student-athlete’s parent(s), legal guardian(s), or spouse.

All student-athletes will be required to attend a mandatory beginning of the year compliance meetings where the program is discussed.

In addition, each student-athlete will sign the NCAA Drug Testing Consent Form, will be provided the NCAA Banned Substance List and will be encouraged to watch the NCAA drug education video. This NCAA banned substance list is subject to change. Therefore, all student-athletes should check with the sports medicine staff for an updated banned drug classes or go to [www.ncaa.org/health-safety](http://www.ncaa.org/health-safety) for a complete and updated list of banned substances. It is the responsibility of each student-athlete to check with the appropriate sports medicine staff member regarding banned substances.

Any student-athlete who does not attend this mandatory program will not be permitted to practice until completion of the Program has been satisfied.
10.8 THE DRUG PREVENTION AND EDUCATION PROGRAM

A curriculum for the drug prevention education component of the Program shall be developed by the Drug Program Coordinator in consultation with a counselor or agency designated by UAlbany. The curriculum includes, but may not be limited to;

A. Mandatory seminars for all student-athletes, administrators, and coaches.
B. Drug prevention, education and informational programs are available through the Division of Athletics, Student Development Center, and the Student Health Center, in the form of posters, pamphlets, books, and other written information.
C. In addition, student-athletes may be asked to participate in community programs such as “DARE”, Boy Scouts drug prevention programs, and other elementary and secondary drug resistance, prevention, and education programs.
D. The drug prevention and education program may also offer series of lectures focusing on, but not limited to:
   I. Drug use, misuse and abuse, dependency, properties and effects;
   II. Dealing and handling performance related problems;
   III. Stress management;
   IV. Eating disorders;
   V. Sexuality issues; and
   VI. Assertiveness training.
E. The Drug Prevention and Education Program shall use as resources on-campus personnel with appropriate expertise, as well as, those resources provided by the local community and national agencies.
   I. Drug abuse, dependency, properties and effects;
   II. Handling performance problems;
   III. Stress management; and
   IV. Assertiveness training.
F. Student-athletes interested in credited courses can receive additional information by contacting their academic advisors.
G. Coaches are required to repeat this educational information throughout the course of the year to team members.

10.9 VOLUNTARY SUBSTANCE ABUSE TREATMENT/EDUCATION PROGRAM (SAFE HARBOUR)

Student-athletes may voluntarily enter the substance abuse treatment/education program. This process can be started by contacting the UAlbany Division of Athletics, the Drug Program Coordinator or UAlbany Student Counseling and Psychological Services.

All voluntary admissions will be kept confidential and therefore coaches may not be notified of a student-athlete’s participation in this program. It is the student-athlete’s responsibility to follow through with the program. Failure to complete the program will
result in the removal of the student-athlete from the voluntary program. The student-athlete will then be treated as any other student-athlete regarding random drug testing.

The student-athlete will be required to submit random urine samples. This will provide a baseline of information. Positive results of the drug test will not result in a suspension. However, if the seriousness of the problem warrants medical disqualification, the student-athlete may be withheld from practices and/or competition until he or she is medically cleared for participation by the attending physician.

Student-athletes random drug tests will be regularly monitored to ensure a continued decrease in the drug level(s) until the student-athlete tests negative. Failure for the levels to decrease or should a student-athlete test positive once they have tested negative for a banned substance, the student-athlete will have been considered to violate the terms of and conditions of the voluntary substance abuse treatment program and the test will be considered a positive drug test.

The student-athlete will be referred to schedule and attend meetings for a complete drug/alcohol assessment and evaluation. This is a multi-step process and may several weeks to complete. The assessment and evaluation includes the following steps:

1. Initial intake (what is the problem?).
2. Written and computerized assessments (drug and/or alcohol assessments, personality inventory, etc.).
3. Evaluation (structured personal interview).

Once the assessment and evaluation are complete, the counseling administrator will explain the results and provide specific recommendations to the student-athlete. The student-athlete will be required to sign an Authorization for Disclosure of Student Information form so that the Drug Program Coordinator can discuss the student-athlete’s situation. This will allow for verification to the Drug Program Coordinator of the initial intake, assessment/evaluation results, all recommendations, attendance, and progress. It will be the responsibility of each student-athlete to follow through with the recommendations.

Recommendations from CAPS may include the following:

- Individual counseling
- Group counseling
- Psychoeducational programs
- Community service
- Written paper
- Outpatient treatment
- Residential treatment or hospitalization
- Suspension from the team
- Other appropriate measures as deemed necessary and appropriate for the particular student-athletes needs

The counseling center will provide treatment within the scope of options that are available to all UAlbany students. If a particular treatment recommendation is not available through on-campus counseling (e.g., intensive outpatient treatment, hospitalization/residential treatment, etc.), then appropriate referrals will be provided.

The safety of the student-athlete and other participants is very important. Should the recommendations from the counseling center require the student-athlete to miss practice or competitions the Drug Program Coordinator, Team Physician, Director of Athletics and student-athlete will meet to discuss the plan of action. For the most severe cases the recommendations may include an extensive inpatient treatment that would result in the student-athlete’s need to withdraw from school for a period of time.

Failure to complete the assessment/evaluation by the counseling center, the psychoeducational program/counseling sessions, or other treatment options/recommendations will result in the removal of the student-athlete from the voluntary program.

The student-athlete will be required to attend meetings with the Drug Program Coordinator and submit to random re-tests as deemed necessary by the Drug Program Coordinator. If the student-athlete fails to submit to the random drug re-test, or re-tests at levels higher than the baseline, it will result in the removal of the student-athlete from the voluntary program, and the drug test will be considered a positive test.

Nothing in these procedures shall be construed to create a contract between the student-athletes and the University at Albany. However, signed consent and notification forms shall be considered affirmation of the student-athlete’s agreement to the terms and conditions contained in this policy and shall be a legal contractual obligation of the student-athlete.

**Resources**

The following two websites are resources for student-athletes to use when they have questions regarding dietary supplements that may be banned.

Center for Drug Free Sport [www.drugfreesport.com/rec](http://www.drugfreesport.com/rec) (password is ncaa1)
NCAA [www.ncaa.org](http://www.ncaa.org) (Student-Athlete Well-Being)
The Sports Medicine Staff and the University Health Center are also resources for student-athletes if they have questions regarding dietary supplements.

10.10 DRUG TESTING

Tests will primarily be conducted for banned performance enhancing substances and recreational drugs. Recreational drug testing includes but is not limited to amphetamine, ephedrine, cocaine, and marijuana. All tests will be performed on urine samples and will include all student-athletes. Please note that the University at Albany’s Program for Drug and Alcohol Education Testing is a separate and distinct from the NCAA Testing Program. All student-athletes are subject to testing by the University at Albany and/or the NCAA.

In accordance with the philosophy of the NCAA, all student-athletes engaged in intercollegiate athletics at the University at Albany are mandated to comply with all provisions of this Program. The UAlbany Drug Testing and Consent Form must be signed in ARMS by student-athletes annually to be eligible for participation on any intercollegiate athletic team. If a student-athlete chooses not sign the consent form, the student-athlete will not be permitted to participate in intercollegiate athletics at the University at Albany.

Types of Drug Testing

1. University Testing
   
   A. Random Testing

   Random periodic testing of the total roster of all teams will occur at random intervals throughout the academic year. This list will be randomly generated from each active team roster.

   B. Follow-Up Testing

   Student-athletes who have previous violations of the Drug and Alcohol Policy will be tested individually, or as part of a regularly scheduled test.

   C. Reasonable Cause Testing

   Student-athletes or a team may be tested individually or as part of a regularly scheduled test. This test will be used for student-athletes who demonstrate symptoms or behaviors, which are indicative of substance abuse. These cases will be anonymously reviewed by the Testing Committee to determine if testing is warranted. No notice of testing is required. It should be noted that...
no reasonable cause testing can be recommended from the Safe Harbour Program.

D. Testing Prior to Participation in NCAA Championship

All student-athletes who have qualified for an NCAA Championship may be tested prior to the participation in the event.

E. No-Notice Testing

All student-athletes who have signed the institutional drug-testing consent form and are listed on the squad list are subject to unannounced random drug testing. Students listed on the NCAA or institutional squad list who have exhausted their eligibility who have career-ending injuries, who have elected not to participate in intercollegiate athletics, or have graduated will not be selected. Student-athletes will be selected for testing from the official institutional squad list by using a computerized random number program. Student-athletes will be responsible for reporting to the designated testing site within thirty minutes of notification.

2. NCAA Testing

Student-athletes may be tested while participating in a NCAA Championship event or during a regularly scheduled on site NCAA test. Individuals to be tested are selected from the NCAA squad lists. Information related to the NCAA Testing may be found on the NCAA website at www.ncaa.org.

10.11 FAILURE TO APPEAR

Failure to appear for a scheduled drug test or refusing to give a urine sample will be cause for immediate suspension of the student-athlete from competition and/or practice and provides a basis for reasonable cause testing. This suspension will be in force until reinstated by the Athletic Director.

All positive tests results are considered cumulative for the career of the University at Albany student-athlete.

Guidelines for Drug Testing

These guidelines will be enforced for all urine testing on student-athletes at the University at Albany.

1. Upon the direction of the Director of Sports Medicine, a testing date, site and time will be determined.

Updated November 2019
2. A list of student-athletes to be tested will be randomly generated from the NCAA squad lists. This list may include 5th year students with no remaining eligibility.
   A. The Director of Sports Medicine will receive from the Center for Drug Free Sport, the names of the individuals from the teams to be tested. The student-athlete will be notified in writing with a signature acknowledgement. If this is not possible, phone notification of the student-athletes is acceptable with a record of the conversation noted. If notified by phone, the student-athlete must complete and sign a notification form prior to testing.
   B. Unless otherwise provided herein, the sports medicine staff will make this notification within 24 hours of the scheduled test. This procedure is to protect the integrity of the process.
   C. The names of those student-athletes who do not report for the scheduled test will be sent to the Director of Athletics or designee. Any student-athlete who does not report will be placed under immediate suspension and will not be permitted to participate in competition or practice until reinstated by the Appeal Panel.

3. Testing Procedures for Student-Athletes
   A. A member of the Sports Medicine Staff will inform the student-athlete of a test as previously indicated.
   B. The student-athlete must report to the designated testing site within the frame of time of the test.
   C. Upon entering the collection station, a photo ID is required for admission to the testing site.
   D. The student-athlete will select a collection bottle and put his/her initials on the lid. The student-athlete is to keep this collection bottle with him/her for the entire process.
   E. The collector will visually observe while the student-athlete provides the sample. Pre-determined volume guidelines for sample acceptance will be followed.
   F. The student-athlete will re-seal the collection bottle and proceed to a processing station. The specimen will then be divided into an “A” and “B” sample, which will be sealed with a unique bar coded identification safety seal.
   G. The student-athlete will be instructed to select his/her own chain of custody form that contains such safety seals.
   H. After the sample is secure in tow sealed vials, the sample will be packaged and sealed for shipments.
   I. The student-athlete will then sign out and may leave.

Failure to appear or refusing to give a urine specimen will be cause for immediate suspension of the student-athlete from practice and/or competition. Any deliberate effort to substitute, dilute, or alter a specimen will be considered a positive test result.
   A. Upon entering the collection station, the athlete will provide photo identification and/or a University at Albany representative/site coordinator will identify the athlete and the athlete will officially enter the station.
   B. The athlete will select a sealed collection beaker from a supply of such and will record his/her initial on the collection beaker’s lid.
   C. A collector, serving as validator, will monitor the furnishing of the specimen by observation in order to assure the integrity of the specimen until a volume of at least 50 mL is provided (100 mL if testing for anabolic steroids).
   D. Validators who are of the same gender as the athlete must observe the voiding process and should be members of the official drug-testing crew. The procedure does not allow for validators to stand outside the immediate area or outside the restroom. The athlete must urinate in full view of the validator (validator must observe flow of urine). The validator must request the athlete raise his/her shirt high enough to observe the midsection area complete ruling out any attempt to manipulate or substitute a sample.
   E. Athletes may not carry any item other than his/her beaker into the restroom when providing a specimen. Any problem or concern should be brought to the attention of the collection crew chief or client representative for documentation. Athlete will rinse and dry hands, with water only, prior to urination, and wash with soap and water following urination.
   F. Once a specimen is provided, the athlete is responsible for keeping the collection beaker closed and controlled.
   G. Fluids and food given to athletes who have difficulty voiding must be from sealed containers (approved by the collector) that are opened and consumed in the station. These items must be caffeine and alcohol-free and free of other banned substances.
   H. If the specimen is incomplete, the athlete must remain the collection station until the sample is completed. During this period, the athlete is responsible for keeping the collection beaker closed and controlled.
   I. If the specimen is incomplete and the athlete must leave the collection station for a reason approved by the collector, specimen must be discarded.
   J. Upon return to the collection station, the athlete will begin the collection procedure again.
   K. Once an adequate volume of the specimen is provided, the collector who monitored the furnishings of the specimen by observation will sign that the specimen was directly validated and a collector will check the specific gravity and if range measure the pH of the urine in the presence of the athlete.
   L. If the urine has a specific gravity below 1.005 (1.010 if measured with a reagent strip), the specimen will be discarded by the athlete. The athlete
must remain the collection station until another specimen is provided. The athlete will provide another specimen.

M. If the urine has a pH greater than 7.5 (with reagent strip) or less than 4.5 (with reagent strip), the specimen will be discarded by the athlete. The athlete must remain the collection station until another specimen is provided. The athlete will provide another specimen.

N. If the urine has a specific gravity above 1.005 (1.010 if measured with a reagent strip) and the urine has a pH between 4.5 and 7.5 inclusive, the specimen will be processed and sent to the laboratory.

O. The laboratory will make final determination of specimen adequacy.

P. If the laboratory determines that the specimen is inadequate for analysis, at the University at Albany’s discretion, another specimen may be collected.

Q. If an athlete is suspected of manipulating specimens (e.g., via dilution), the University at Albany will have the authority to perform additional tests on the athlete.

R. Once a specimen has been provided that meets the on-site specific gravity and pH parameters, the athlete will select a specimen collection kit and a uniquely numbered Chain of Custody Form from a supply of such.

S. A collector will record the specific gravity and pH values.

T. The collector will pour approximately 35 mL of the specimen into the “A vial” and the remaining amount approximately 15 mL) into the “B vial” (another A=35mL, B=15ml in a second split sample kit for anabolic steroid testing, which will be shipped to a WADA accredited laboratory) in the presence of the athlete. Therefore, two split samples kits will be used when testing for both “drugs of abuse” and anabolic steroids. The vials will be packaged identically, but shipped to different laboratories.

U. The collector will place the cap on each vial in the presence of the athlete; the collector will then seal each vial in the required manner under the observation of the athlete and witness (if present).

V. Vials and forms (if any) sent to the laboratory shall not contain the name of the athlete.

W. All sealed specimens will be secured in a shipping case. The collector will prepare the case for forwarding.

X. The athlete, collector and witness (if present) will sign certifying that the procedures were followed as described in the protocol. Any deviation from the procedures must be described and recorded. If deviations are alleged, the athlete will be required to provide another specimen.

Y. After collection has been completed, the specimens will be forwarded to the laboratory and copies of any forms forwarded to the designated persons.

Z. The specimens become the property of the University at Albany.

AA. If the athlete does not comply with the collection process, the collector will notify the University at Albany representative/site.
coordinator and third party administrator responsible for management of the drug-testing program.

Failure to appear or refusing to give a urine specimen will be cause for immediate suspension of the student-athlete from practice and/or competition. Any deliberate effort to substitute, dilute, or alter a specimen will be considered a positive test results.

(Figure 1)

<table>
<thead>
<tr>
<th>METABOLITE</th>
<th>CUT-OFF CONCENTRATIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phencyclidine (PCP, Angel Dust)</td>
<td>2.5 ng/ml</td>
</tr>
<tr>
<td>Benzodiazepines (Anti-anxiety, Valium, Librium)</td>
<td>300 ng/ml</td>
</tr>
<tr>
<td>Cocaine (cocaine metabolites, crack)</td>
<td>100 ng/ml</td>
</tr>
<tr>
<td>Amphetamines (stimulants, speed, caffeine)</td>
<td>300 ng/ml</td>
</tr>
<tr>
<td>Tetrahydrocannabinol (THC) (marijuana, hashish)</td>
<td>15 ng/ml</td>
</tr>
<tr>
<td>Opiates (narcotic, codeine, morphine, heroin)</td>
<td>300 ng/ml</td>
</tr>
<tr>
<td>Barbiturates (sedatives, muscle relaxant)</td>
<td>300 ng/ml</td>
</tr>
<tr>
<td>Anabolic Steroids</td>
<td>6:1 ratio test</td>
</tr>
</tbody>
</table>

10.12 RESPONSE PROCEDURES FOR A POSITIVE DRUG TEST

There are two ways in which a student-athlete can test positive under this program:

1. The presence of one or more banned substances (as defined in the policy) in the student-athletes urine sample.
2. The manipulation, adulteration, or attempted manipulation or adulteration of any student-athlete urine sample by the student-athlete.

10.13 FIRST POSITIVE TEST RESULT

1. Results are reported to the Head Athletic Trainer by the Drug Testing laboratory. Any positive results are reported to the Director of Athletics. The Director of Athletics, or Sport Supervisor, will notify the student-athlete, team physician and appropriate Head Coach of a positive test and/or substance abuse occurrence. The parents or guardian may be notified depending on the age of the student-athlete, in accordance with policies set forth by the University at Albany’s Community Standards office.
2. The student-athlete will be evaluated by the student psychological services to determine the type of counseling/educational program, which must be completed by the student-athlete.

3. Once the evaluation is complete, the student-athlete will be required to complete the following:
   A. Attend all required counseling sessions and/or appear, when required to all student conduct assessments and/or hearings.
   B. Meet regularly with the Sport Supervisor.
   C. Participate in drug education programs and/or community service programs.
   D. Student-athlete will not be suspended from competition or practice unless the UAlbany team physicians determine that the drug of choice is dangerous to the health and safety of the student-athlete or to others.

Failure to adhere to any of the aforementioned requirements, failure to appear for a scheduled drug test, or re-test positive for the use of any banned substances will result in a second positive drug test.

10.14 SECOND POSITIVE TEST

1. Results are reported to the Head Athletic Trainer by the Drug Testing laboratory. Any positive results are reported to the Director of Athletics. The Director of Athletics, or Sport Supervisor, will notify the student-athlete, team physician and appropriate Head Coach of a positive test and/or substance abuse occurrence.

2. The student-athlete will be re-evaluated by the student psychological services.

3. The student-athlete will be immediately suspended from competition for a minimum of 20% of the maximum allowed contests during the traditional season for their respective sport. This suspension must be served immediately following a positive test. If this positive test occurs in the off-season, the suspension will be served at the beginning of the next season. The student-athlete may be allowed to participate in team practices if it is determined safe by the team physician.

4. Once the evaluation is complete, the student-athlete will be required to complete the following:
   A. The student-athlete may be recommended for various options of off-campus in patient or out-patient therapy. The student-athlete will be required to attend all required counseling sessions and/or appear, when required to all student conduct assessments and/or hearings.
   B. Meet regularly with the Sport Supervisor.
   C. Be subjected to regular, random drug tests.
   D. Participate in drug education programs and/or community service programs.

5. Failure to adhere to any of the aforementioned requirements, failure to appear for a scheduled drug test, or re-test positive for the use of any banned substances will result in a third positive drug test.
6. Prior to reinstatement of eligibility, evidence of progress towards satisfactory completion of all counseling/educational and other sanctions must be verified. Lack of completion of any sanctions will result in ineligibility.

10.15 THIRD POSITIVE TEST

Results are reported to the Head Athletic Trainer by the Drug Testing laboratory. Any positive results are reported to the Director of Athletics. The Director of Athletics, or Sport Supervisor, will notify the student-athlete of his/her permanent suspension from athletic participation at the University at Albany and all athletics grant-in-aid will be immediately suspended in accordance with NCAA legislation.

1. The Director of Athletics will notify the parents/guardians of the violation and will terminate the student-athlete’s grant-in-aid.
2. Notification of Drug Testing Program repeated violations, and permanent suspension from athletic participation will be provided to the Dean of Student’s Office.

10.16 FAILURE TO COMPLY

Failure to submit a signed consent form and/or provide a urine sample as requested renders the student-athlete ineligible to practice or to represent the University at Albany in intercollegiate competition and may result in the loss of athletic grant-in-aid. All positive test results or offenses under this policy are cumulative.

10.17 APPEAL PROCESS

A. A student-athlete may request a review of a reported positive result. The appeal of the positive test result must be based upon one of the following:
   1. Evidence of procedural error.
   2. Evidence which refutes the positive finding.

B. A written request for review accompanied by supporting evidence must be submitted to the Director of Athletics within 48 hours of notification of the test results. An Appeals Committee consisting of the Associate Vice President for Student Affairs (or his designee), Director of Health Services and/or designee, and a member of the University Counseling Center will review a student-athlete appeal.

C. The Appeals Committee will meet within seven business days of the student-athlete’s request. The appeal hearing will consist of a review of all available evidence related to the initial finding as well as new evidence or documentation provided by the student-athlete.

D. The Committee may affirm the initial finding; reverse the initial finding; or recommend retesting of Specimen B. A written copy of the appeal decision will be provided to the student-athlete and the Division of Athletics within two working days of the hearing.

*Updated November 2019*
10.18 EVALUATION AND TREATMENT

A. Philosophy

The referral or self-referral of a student-athlete for evaluation and/or treatment relating to alcohol/substance abuse and related issues is undertaken out of an concern for the overall health and welfare of our student-athletes. Evaluation and treatment relating to possible alcohol/chemical dependency should not be construed as a punitive action. Evaluation and treatment of the University at Albany’s student-athletes is provided by licensed and credentialed health-care professionals, and is regarded as strictly confidential. The University at Albany physicians and other health care consultants work cooperatively in the areas of evaluation, treatment recommendations, referral, and aftercare.

B. Evaluation

The evaluation of the student-athlete with an alcohol and/or drug abuse/dependency issue will be coordinated by the Athletic Health Director. A behavioral plan, which included expected behaviors, treatment goals, and potential consequences, will be developed for each student-athlete.

There are three circumstances by which a student-athlete will be seen by a physician and/or other health care consultant for evaluation of possible alcohol and/or chemical dependency (or related concerns). These are:

I. Referral by the Head Team Physician or the Director of Athletics or his designee following a positive drug test or documented substance abuse related occurrence.

II. Safe Harbor Program: A student-athlete eligible for the Safe Harbor Program may refer himself or herself to the Program for voluntary evaluation, testing and counseling. A student is not eligible for the Program after he or she has been informed of an impending drug test or having received a positive athletic department or NCAA Drug test.

The Athletic Health Director will work with the student to prepare a Safe Harbor treatment plan, which may include confidential drug testing. The student-athlete will be tested for banned substances upon entry into the Safe Harbor Program and such a positive initial test will not result in any administrative sanction except those listed in this section (the team physician may suspend the student-athlete from play or practice if medically indicated.)
A student will be permitted to remain in the Safe Harbor Program for a reasonable period of time, not to exceed forty-five (45) days, as determined by the treatment plan. A student will not be permitted to enter the Safe Harbor Program forty-five (45) days prior to NVCAA or Conference postseason competition.

A student-athlete will only be permitted to enter the Safe Harbor Program one time during their athletic eligibility at the University at Albany. If a student-athlete is determined to have a new substance use after an initial Safe Harbor Program test (as determined by follow-up testing), or fails to comply with the Safe Harbor treatment plan, the student-athlete will be removed from the Safe Harbor Program and be subject to appropriate sanctions as detailed in the Drug and Alcohol Testing Program. Any positive test after the initial Safe Harbor Program will be treated as a positive test and all sanctions are applicable.

While in compliance with the Safe Harbor Program treatment plan, the student-athlete will not be included in the list of student-athletes eligible for random drug-testing by the University at Albany. Student-athletes in the Safe Harbor Program may be selected for drug testing by the NCAA.

The Sport Supervisor, the Director of Sports Medicine, and the Team Physician, shall be informed of the student-athlete’s participation in the Safe Harbor Program. The athletic trainer assigned to that sport may be informed, if medically appropriate. Other University employees may be informed only to the extent necessary for the implementation of this policy.

III. Referral by the team physician, coaching staff, or athletic training staff as a result of observed behaviors, becoming aware of information suggesting the student-athlete may be experiencing difficulty, or be at risk for developing a problem with alcohol and/or drugs. A student-athlete may also initiate referral with the coaching or medical staff.

Student-athletes are referred to the Athletic Health Director for the management of cases related to alcohol and/or drug dependency. Based upon results of the initial evaluation, the Athletic Health Director working in consultation with the team physician will then make appropriate recommendation with regard to the need for further evaluation, counseling, or treatment. The student-athlete and if appropriate, (his or her parents) will be included in each phase of the evaluation process.

C. Treatment
The management plan is based upon the evaluated needs of the student-athlete; the plan will take into account the circumstances surrounding the referral, severity and duration of the presenting and accompanying problems(s), as well as overall (i.e. personal, social, academic, and athletic) functioning. Based upon these findings treatment recommendations may involve but are not limited to one or more of the following:

1. Personal Counseling provided through the University Counseling Center, and/or referral to other resources outside the University when appropriate. His or her parents may be included in each phase of the evaluation process.
2. Referral for treatment/counseling and after care planning to a community based intensive out-patient program. Aftercare, an essential component of this treatment program, is coordinated by the Athletic Health Director and/or the University Counseling Center in cooperation with the Team Physician.
3. Referral for treatment and aftercare planning to a community based in-patient treatment facility. Typically these programs involve intensive individual and group counseling in a residential setting. Additionally, every effort is made to include a component of family counseling in the overall treatment programs. While the Counseling Center has identified programs in the Capital District, it will work cooperatively with the student-athlete and his/her family in locating and making referral to a treatment facility close to the student-athlete’s hometown if desired. The Counseling Center and the Athletic Health Director in cooperation will coordinate aftercare, an essential component of the treatment program with the team physician.

Should referral to an in-patient treatment setting be indicated while the student-athlete is enrolled and attending class, a Medical Withdrawal can be facilitated on behalf of the student-athlete if needed.

SECTION 11: NUTRITIONAL AND DIETARY SUPPLEMENTS

Due to the increasing number of student-athletes who are taking substances that purport to improve athletic performance “legally and naturally”, the following guidelines should be adhered to prior to the recommendation, purchase, and distribution of nutritional/dietary supplements.

The UAlbany Head Team Physician/Medical Director has been designated as the staff member to answer all student-athlete and staff questions about dietary supplements and NCAA banned drugs.

UAlbany is obligated to educate athletics department staff members who have regular interaction with student-athletes about the NCAA list of banned drug classes and to advise them that any nutritional supplement use may endanger a student-athlete’s health and eligibility.

Updated November 2019
When student-athletes sign the NCAA drug-testing consent form, they are warned that dietary supplements are not well regulated, may contain NCAA banned substances and are taken at the student-athletes’ own risk. Student-athletes are encouraged to check with their Head Team Physician before consuming any substance other than food.

The safest approach for student-athlete health and eligibility would be to avoid the use of unregulated dietary supplements. UAlbany supports this approach since there is no way to guarantee purity and safety of any supplement product.

1. All athletic department administrators, strength and conditioning coordinators, coaches, athletic trainers, student-athletes and any other athletic department personnel, must adhere to current NCAA medical information about nutritional dietary supplements. In accordance with the ADVISORY from the NCAA and with the current UAlbany Division of Athletics policy, the UAlbany Division of Athletics does not provide, endorse or approve nutritional or dietary supplements for use by student-athletes. “Many nutritional/dietary supplements contain NCAA banned substances. In addition, the U.S. Food and Drug Administration (FDA) does not strictly regulate the supplement industry; therefore purity and safety of nutritional/dietary supplements cannot be guaranteed. Impure supplements may lead to a positive NCAA drug test. The use of supplements is at the student-athlete’s own risk.” (ADVISORY on Nutritional/Dietary Supplements, March 8, 2005). Therefore, the student-athletes assume all responsibility for the use of nutritional or dietary supplements. IGNORANCE TO THIS RULE IS NO EXCUSE FOR A POSITIVE DRUG TEST.

2. Compounds that are purchased from “nutrition” stores or mail-order catalogs may not be subject to the Federal Food and Drug Administration (FDA) regulations. Therefore, the contents of these compounds are not known and are not represented accurately on the list of ingredients. IN ADDITION, MOST OF THESE COMPOUNDS HAVE LITTLE OR NO POSITIVE INFLUENCE ON EXERCISE PERFORMANCE.

3. Some of these compounds or substances contain small amounts of banned substances such as testosterone or other anabolic steroids, or may be anabolic steroids, but not labeled as such.

4. USE OF THESE AND ALL SUBSTANCES ARE AT THE RISK OF THE STUDENT-ATHLETE. A POSITIVE URINALYSIS FOR ANABOLIC STEROIDS OR TESTOSTERONE/EPITESTOSTERONE AT A RATIO GREATER THAT 6 TO 1 (6:1 IS THE CURRENT NCAA LIMITS) OR METABOLITE IS STILL CONSIDERED A POSITIVE TEST, REGARDLESS OF THE PRODUCTS, SUBSTANCES OR COMPOUNDS INGESTED BY THE STUDENT-ATHLETE.

5. It is not possible for the intercollegiate athletic administration, team physicians, drug program coordinator, and the NCAA drug-testing committee to determine the student-athlete’s intent when he or she tests positive for a banned substance. Many student-athlete’s will deny the use or substances. The appeal process is
designed to afford the student-athlete the opportunity to present MEDICAL INFORMATION about the use of banned substances. STUDENT-ATHLETES WHO HAVE APPEALED POSITIVE DRUG TESTS ON THE BASIS THAT THEY DID NOT KNOW THE SUBSTANCES THEY WERE TAKING CONTAINED BANNED DRUGS HAVE NOT BEEN SUCCESSFUL.

6. The purchasing, distribution, and/or experimentation with any nutritional or dietary supplement must be approved by the Head Team Physician.

7. Student-athletes should be instructed to consult the UAlbany Team Physician before taking ANY nutritional or dietary supplement. For more information refer to the NCAA Sports Medicine Handbook which is available in the Athletic Training Department. You can also contact the Dietary Supplement Resource Exchange Center at (816) 474-8655, (877) 202-0769 or www.drugfreesport.com/rec. Password: NCAA1.

8. Some over-the-counter dietary supplements contain substances banned by the NCAA. The Dietary Supplement Resource Exchange Center (The REC) provides student-athletes and all those involved with NCAA athletics a free, confidential source of information about NCAA banned substances. Through the REC, questions about nutritional or performance-enhancing supplements and other drugs or medications can be answered before a mistake is made. Many dietary supplements can cause a positive NCAA drug test. When this occurs, the “I didn’t know” defense isn’t enough to get a student-athlete back in the game. Ignorance is no excuse. Contacting the REC hotline or visiting the REC website before taking dietary or performance-enhancing supplements is all it takes to get the right information.

11.1 BANNED STIMULANT MEDICATION REPORTING GUIDELINES FOR ATTENTION DEFICIT HYPERACTIVITY DISORDER (ADHD) TREATMENT

Effective August 2009 there will be a stricter application of the NCAA Medical Exception policy and specifically for the use of banned stimulant medications to treat Attention Deficit Hyperactivity Disorder (ADHD). This stricter application will provide more complete information to the medical panel of the Committee on Competitive Safeguards and Medical Aspects of Sports (CSMAS), which reviews requests for a medical exception to a positive drug test for these stimulant medications. This information is necessary to appropriately apply the exceptions policy, so that student-athletes are adequately monitored while using a stimulant medication that can negatively impact health and safety, and so that stimulants are not being used strictly for athletic performance enhancement. Any student-athlete who tests positive from the effective date will need to comply with this stricter application, even if that student-athlete had received an exception for the use of stimulant medication prior to August 2009.

This stricter application will require documentation that demonstrates the student-athlete has undergone a clinical assessment to diagnose ADHD, is being monitored routinely for
use of the stimulant medication, and has a current prescription on file, in order to be approved for a medical exception to the banned drug policy. This documentation should be kept on file at the institution and produced in the event the student-athlete tests positive for the banned mediation. All HIPAA requirements should be met for the transmission for this medical information.

CSMAS has reviewed and approved a guideline to assist the membership to meet the requirements of this of the NCAA Medical Exception Policy. The guideline, with sample physician reporting letters that define what documents the prescribing physician should submit to the institution, is now posted at www.ncaa.org/health-safety.

The NCAA bans classes of drugs because they can harm student-athletes and can create an unfair advantage in competition. Some legitimate medications contain NCAA banned substances, and student-athletes may need to use these medicines to support their academics and their general health.

The following guidelines will help institutions ensure adequate medical records are on file for student-athletes diagnosed with ADHD in order to request an exception in the event a student-athlete tests positive during NCAA Drug Testing.

**General Considerations**

A. Student-athletes diagnosed with ADHD in childhood should provide records of the ADHD assessment and history of treatment. Student-athletes treated since childhood with ADHD stimulant mediation but who do not have records of childhood ADHD assessment, or who are initiating treatment as an adult, must undergo a comprehensive evaluation to establish a diagnosis of ADHD. There are currently no formal guidelines or standards of care for the evaluation and management of adult ADHD. The diagnosis is based on a clinical evaluation. ADHD is a neurobiological disorder that should be assessed by an experienced clinician and managed by a physician to improve the functioning and quality of life of an individual.

B. Student-athletes should have access to a comprehensive continuum of care including educational, behavioral, psychosocial and pharmacological services provided by licensed practitioners who have experience in the diagnosis and management of ADHD. Student-athletes treated with ADHD stimulant medication should receive, at a minimum, annual clinical evaluations.

C. Mental health professionals who evaluate and prescribe medical therapy for student-athletes with ADHD should have appropriate training and experience in the diagnosis and management of ADHD and should have access to consultation and referral resources, such as appropriate medical specialists.

D. Primary care professionals providing mental health services (specifically the prescribing of stimulants) for student-athletes with ADHD should have experience in the diagnosis and management of ADHD and should have access to
consultation and referral resources (e.g., qualified mental health professionals as well as other appropriate medical specialists).

Recommended ways to facilitate academic, athletics, occupational and psychosocial success in the college athlete with adult ADHD taking prescribed stimulants include:

A. Access to practitioners experienced in the diagnosis and management of adult ADHD.
B. A timely, comprehensive clinical evaluation and appropriate diagnosis using current medical standards.
C. Access to disability services.
D. Appropriate medical reporting to athletics departments/sports medicine staff.
E. Regular mental health/general medical follow-up.

**Student-Athlete Document Responsibility**

The student-athlete’s documentation from the prescribing physician to the athletics departments/sports medicine staff should contain a minimum of the following information to help ensure that ADHD has been diagnosed and is being managed appropriately (see Attachment for physician letter criteria):

A. Description of the evaluation process which identifies the assessment tools and procedures.
B. Statement of the Diagnosis, including when it was confirmed.
C. History of ADHD treatment (previous/ongoing).
D. Statement that a non-banned ADHD alternative has been considered if a stimulant is currently prescribed.
E. Statement regarding follow-up and monitoring visits.

**Institutional Document Responsibility**

The institution should note ADHD treatment in the student-athlete’s medical record on file in the athletics department. In order to request a medical exception for ADHD stimulant medication use, it is important for the institution to have on file documentation that an evaluation has been conducted, the student-athlete is undergoing medical care for the condition, and the student-athlete is being treated appropriately. The institution should keep the following on confidential file:

A. Record of the student-athlete’s evaluation.
B. Statement of the Diagnosis, including when it was confirmed.
C. History of ADHD treatment (previous/ongoing).
D. Copy of the most recent prescription (as documented by the prescribing physician).

*Updated November 2019*
Requesting an NCAA Medical Exception

A. The student-athlete should report the banned medication to the institution upon matriculation or when treatment commences in order for the student-athlete to be eligible for a medical exception in the event of a positive drug test.

B. A student-athlete’s medical records or physician’s letter should not be sent to the NCAA, unless requested by the NCAA.

C. The use of the prescribed stimulant medication does not need to be reported at the time of NCAA drug testing.

D. Documentation should be submitted by the institution in the event a student-athlete tests positive for the banned stimulant.

11.2 ATTENTION DEFICIT HYPERACTIVITY DISORDER (ADHD)

Criteria for letter from prescribing Physician to provide documentation to the Division of Athletics/Sports Medicine staff regarding assessment of student-athletes taking prescribed stimulants for Attention Deficit Hyperactivity Disorder (ADHD), in support of an NCAA Medical Exception request for the use of a banned substance.

The following must be included in supporting documentation:

- Student-athlete name.
- Student-athlete date of birth.
- Date of clinical evaluation.
- Clinical evaluation components including:
  - Summary of comprehensive clinical evaluation (referencing DSM-IV criteria) attach supporting documentation.
  - ADHD Rating Scales(s) (e.g., Connors, ASRS, CAARS) scores and report summary – attach supporting documentation.
  - Blood pressure and pulse readings and comments.
  - Note that alternative non-banned medications have been considered, and comments.
  - Diagnosis.
  - Medication(s) and dosage.
  - Follow-up orders.
  - Additional ADHD evaluations components if available.

Report ADHD symptoms by other significant individual(s):

- Psychological testing results.
- Physical exam date and results.
- Laboratory/testing results.
- Summary of previous ADHD diagnosis.
- Other comments.
Documentation from prescribing physician must also include the following:

- Physician name (Printed)
- Office address and contact information.
- Specialty.
- Physician signature and date.

DISCLAIMER: The National Collegiate Athletic Association shall not be liable or responsible, in any way, for any diagnosis or other evaluation made, or exam performed, in connection herewith, or for any subsequent action taken, in whole or in part, in reliance upon the accuracy or veracity of the information provided hereunder.

SECTION 12: AUTOMATED EXTERNAL DEFIBRILLATOR (AED) POLICIES AND PROCEDURES

Medical Necessity for Use of AED

Defibrillation is a recognized means of terminating certain potentially fatal arrhythmias during a cardiac arrest. A direct current defibrillator applies a brief, high-energy pulse of electricity to the heart muscle. Automated external defibrillators, or AEDs, were introduced in 1979. AEDs accurately analyze cardiac rhythms and, if appropriate, advise/deliver an electric counter shock. AEDs are currently widely used by trained emergency personnel and have become an essential link in the “chain of survival” as defined by the American Heart Association:

- Early access
- Early CPR by first responders or bystanders
- Early defibrillation
- Early advanced life support

It is recognized that successful resuscitation is related to the length of time between the onset of a heart rhythm that does not circulate blood (ventricular fibrillation, pulseless ventricular tachycardia) and defibrillation. The AHA states with every minute it takes to respond, the chance for successful defibrillation decreases 7-10%. The provision of timely emergency attention saves lives. Athletic events (both practice and competition) present a high risk for cardiopulmonary emergencies. Therefore, by training certified athletic trainers and team physicians in the use of AEDs, the emergency response time is shortened.

Explanation of the Use of AED

Automated external defibrillator, or AED, means a defibrillator which:

- Is capable of cardiac rhythm analysis
• Will charge and deliver a counter shock after electrically detecting the presence of cardiac dysrhythmias
• Is capable of continuous recording of the cardiac dysrhythmia at the scene
• Is capable of producing a hard copy of the electrocardiogram.

Defibrillation is only one aspect of the medical care required to resuscitate a patient with a shockable ECG rhythm. Dependent on the situation, other supportive measures may include:

• Cardiopulmonary resuscitation (CPR)
• Administration of supplemental oxygen
• Drug therapy

Written Medical Protocol Regarding Use of AED

The AED is to be used only on patients in cardiopulmonary arrest. Before the device is utilized to analyze the patient’s ECG rhythm, the patient must be:

• Unconscious
• Pulseless, and
• Not breathing spontaneously

The device is; however, not intended for children less than eight years of age and/or victims weighing less than 90 pounds. The AED units are programmed to administer an initial set of 3 shocks at 22 Joules (J), 300 J, and 360 J. If ventricular fibrillation (VF) persists, the UAlbany sports medicine staff will repeat shocks with 1 minute of CPR between each set until “no shock indicated” message is received. The UAlbany sports medicine staff will shock until VF is no longer present, the patient converts to a perfusing rhythm, or an advanced life support team arrives on scene and assumes control.

To prepare for ECG analysis and defibrillation:

• Verify that the patient is in cardiac arrest (unconscious, no respiration, no pulse)
• Press ON/OFF to turn on the AED. The connect electrodes message and voiced prompt will occur until the patient is connected to the AED.
• Prepare the patient for electrode placement.
• Follow the screen messages and voice prompts provided by the AED.

Provisions to Coordinate with Local EMS

In the event of a cardiopulmonary emergency, the 911 emergency system should be activated as quickly as possible. The first responders should provide initial care as appropriate to the situation and coordinate with other emergency medical services.
providers upon their arrival in the provision of CPR, defibrillation, basic life support, and advanced life support.

**Operator Considerations**

The UAlbany Athletic Training Department utilizes the PhysioControl Life Pak 500 and Heartstream Fore Runner AEDs. These AEDs are a semi-automatic defibrillator that uses a patented Shock Advisory System. This software algorithm analyzes the patient’s electrocardiographic (ECG) rhythm and indicates whether or not it detects a shockable rhythm. The AEDs are intended for use by personnel (certified athletic trainers, athletic training students, and team physicians) who are authorized by a physician/medical director and have, at a minimum, the following skills and training:

- CPR training
- AED training equivalent to that recommended by the American Heart Association
- Training in the use of the Lifepak 500 and Heartstream Fore Runner.

**Procedures for Training and Testing in Use of AED**

Personnel using the AED must complete a training session each year, to include instruction in:

- The proper use, maintenance, and periodic inspection of the AED
- Defibrillator safety precautions to enable the user to administer a shock without jeopardizing the safety of the patient, the user, or other individuals
- Assessment of an unconscious person to determine if cardiac arrest has occurred and the appropriateness of applying an AED
- Recognizing that an electrical shock has been delivered to the patient and that the defibrillator is no longer charged
- Rapid, accurate assessment of the patient’s post-shock status to determine if further activation of the AED is necessary
- The operations of the local emergency medical services system, including methods of access to the emergency response system, and interaction with emergency medical services personnel
- The role of the user and coordination with other emergency medical service providers in the provision of CPR, defibrillation, basic life support, and advanced life support
- The responsibility of the user to continue care until the arrival of medically qualified personnel
Procedures to Ensure the Continued Competency Required for AED Use

Personnel using the AED must complete a review session every ninety days to ensure continued competency in the use of the device. A record will be maintained documenting medical staff competency training on the AED.

Medical Control Reporting and Incident Review

The AEDs digitally records patient data, including ECG rhythm and delivered shocks. A digital audio recording of scene activity is available. Recorded data may be transferred by direct connection to a printer or computer or by modem to a remote computer.

Following an incident of application, the data will be downloaded from the AED and reviewed by both the medical director and the attending physician(s) at the emergency facility where emergency care was provided. In addition, a report detailing the emergency scene and treatment will be documented in writing.

Location of and Maintenance Required for AEDs

The UAlbany Athletic Training Department has AED units. They are housed in the athletic training facility in the Athletic Training Room and are carried on-site by the athletic training staff member.

Based upon the sports covered, the AED units may either be maintained in the athletic training facility or carried on-site to the athletic venue. The medical staff will determine the location and use of the AED units at the athletic venues.

The AEDs perform an automatic self-test every 24 hours. If service is required, the AED activates an alarm. The non-rechargeable lithium batteries have a five-year life. If batteries require replacement, the AED activates an alarm. Personnel using the AED on a regular basis and after each time the AED is used should inspect and clean the AED and check to make sure that all necessary supplies and accessories are readily available.

SECTION 13: EMERGENCY - CARE PLAN

An emergency situation is defined as any situation that endangers the health of the student-athlete in question. Typically, these situations arise from injuries resulting in a threat to the airway, breathing and circulation of the student-athlete. In addition such injuries as fractures and dislocations of bones or joints are classified as emergency situations. In most cases, general illness, such as the flu, colds, sore throats, etc. are not considered emergencies.

Emergency situations may arise at any time during athletic events. Expedient action must be taken in order to provide the best possible care to the athletes of emergency and/or life.
threatening conditions. The development and implementation of an emergency plan will help ensure that the best care will be provided.

UAlbany has a duty to develop an emergency plan that may be implemented immediately when necessary and to provide appropriate standards of health care to all sports participants. As athletic injuries may occur at any time and during any activity, the sports medicine team must be prepared. This preparation involves formulation of an emergency plan, proper coverage of events, maintenance of appropriate emergency equipment and supplies, utilization of appropriate emergency medical personnel, and continuing education in the area of emergency medicine. Hopefully, through careful pre-participation physical screenings, adequate medical coverage, safe practice and training techniques and other safety avenues, some potential emergencies may be averted. However, accidents and injuries are inherent with sports participation, and proper preparation on the part of the sports medicine team will enable each emergency situation to be managed appropriately.

There are three basic components of the plan:

1. Emergency Personnel
2. Emergency Communication
3. Emergency Equipment

Emergency Plan Personnel

The development of an emergency plan cannot be complete without the formation of an emergency team. The emergency team may consist of a number of healthcare providers including physicians, emergency medical technicians, certified athletic trainers; athletic training students; coaches; managers; and, possibly, bystanders. Roles of these individuals within the emergency team may vary depending on various factors such as the number of members of the team, the athletic venue itself, or the preference of the Director of Athletic Training.

There are four basic roles within the emergency team. The first and most important role is immediate care of the student athlete. Acute care in an emergency situation should be provided by the most qualified individual on the scene. Individuals with lower credentials should yield to those with more appropriate training.

The second role, equipment retrieval, may be done by anyone on the emergency team who is familiar with types and location of the specific equipment needed. Athletic training students, managers, and coaches are good choices for this role.

The third role, Emergency Medical System (EMS) activation, may be necessary in situations where emergency transportation is not already present at the sporting event. This should be done as soon as the situation is deemed an emergency or a life-threatening
event. Time is the most critical factor under emergency conditions. Activating the EMS system may be done by anyone on the team. However, the person chosen for this duty should be someone who is calm under pressure and who communicates well over the telephone. This person should also be familiar with the location and address of the sporting event.

After EMS has been activated, the fourth role in the emergency team should be performed, that of directing EMS to the scene. One member of the team should be responsible for meeting emergency medical personnel as they arrive at the site of the contest. Depending on ease of access, this person should have keys to any locked gates or doors that may slow the arrival of medical personnel. An athletic training student, manager, or coach may be appropriate for this role.

**Activating the EMS System**

**Making the Call:**
- 911 (if available)
- telephone numbers for police, fire department, and ambulance service

**Providing Information:**
- name, address, telephone number of caller
- nature of emergency
- number of student athletes
- condition of student athlete(s)
- first aid treatment initiated by first responder
- specific directions as needed to locate the emergency scene (“come to the UAlbany Softball Stadium at the corner of Swenson and Harmon”)
- other information as requested by dispatcher
- Do not hang up! Let the dispatcher end the call. BE THE LAST TO HANG UP

When forming the emergency team, it is important to adapt the team to each situation or sport. It may also be advantageous to have more than one individual assigned to each role. This allows the emergency team to function even though certain members may not always be present.

**Emergency Communication**

Communication is the key to quick delivery of emergency care in athletic trauma situations. Athletic trainers and emergency medical personnel must work together to provide the best possible care to injured student athletes. Communication prior to the event is a good way to establish boundaries and to build rapport between both groups of professionals. If emergency medical transportation is not available on site during a
particular sporting event then direct communication with the emergency medical system at the time of injury or illness is necessary.

Access to a working telephone or other telecommunications device, whether fixed or mobile, should be assured. The communications system should be checked prior to each practice or competition to ensure proper working order. A back-up communication plan should be in effect should there be failure of the primary communication system. The most common method of communication is a public telephone. However, a cellular phone is preferred if available. At any athletic venue, whether home or away, it is important to know the location of a working telephone. Pre-arranged access to the phone should be established if it is not easily accessible.

Call “9-1-1” telephone service in the event of an emergency on campus

In the event of an emergency, staff, faculty and students have a quick and efficient means for communicating with the UALBANY Department of Public Safety. By dialing “911” on any campus land-line you will be put in contact with the Police Communications Dispatch Center here on campus. This direct connection between land lines and the university’s emergency police dispatchers significantly reduces the amount of time necessary for police and emergency responders to be sent to your location. It should be noted that anyone dialing “911” from a cell phone on campus will not be directly connected with UAlbany Police. Campus cell phone calls to “911” will connect directly with the Albany Police Department, and their police dispatchers will connect these calls with UAlbany Police.

Remember, “911” is an emergency number and should only be used in the case of an immediate emergency or crime in progress. All other calls for non-emergency police assistance should be made by either dialing “311”.

Public Safety provides “311” telephone service for non-emergency calls anywhere on campus

UAlbany staff, faculty and students have an additional way to contact the UAlbany Police Department for all non-emergency calls on campus. By dialing “311” on any campus land-line you will be put in direct contact with a Police Communications Dispatcher. The “311” number is a communications service that supplements the department’s current non-emergency number. The (number) non-emergency telephone number will continue to stay in operation. It should be noted that anyone calling from a cell phone should still dial (number) for non-emergencies in order to directly connect with the Public Safety Department.

As always, in case of an immediate emergency or a crime in progress you should call “911”.

Updated November 2019
Emergency Equipment

All necessary emergency equipment should be at the site and quickly accessible. Personnel should be familiar with the function and operation of each type of emergency equipment. Equipment should be in good operating condition, and personnel must be trained in advance to use it properly. Emergency equipment should be checked on a regular basis and use rehearsed by emergency personnel. The emergency equipment available should be appropriate for the level of training for the emergency medical providers.

It is important to know the proper way to care for and store the equipment as well. Equipment should be stored in a clean and environmentally controlled area. It should be readily available when emergency situations arise.

Transportation

Emphasis is placed at having an ambulance on site at high risk sporting events. EMS response time is additionally factored in when determining on site ambulance coverage. UAlbany coordinated on site ambulances for competition in football. Ambulances may be coordinated on site for other special events/sports, such as major tournaments or Conference/NCAA regional or championship events. Consideration is given to the capabilities of transportation service available (i.e., Basic Life Support or Advanced Life Support) and the equipment and level of trained personnel on board the ambulance. In the event that an ambulance is on site, there should be a designated location with rapid access to the site and a cleared route for entering/exiting the venue.

In the emergency evaluation, the primary survey assists the emergency care provider in identifying emergencies requiring critical intervention and in determining transport decisions. In an emergency situation, the student athlete should be transported by ambulance, where the necessary staff and equipment is available to deliver appropriate care. Emergency care providers should refrain from transporting unstable student athletes in inappropriate vehicles. Care must be taken to ensure that the activity areas are supervised should the emergency care provider leave the site in transporting the student athlete.

An athletic training staff member, when available, will accompany the injured student athlete to the hospital. In the event that an athletic trainer is unable, it is advised that an athletic department staff member accompany the injured athlete to the hospital.

13.1 UNIVERSITY AT ALBANY EVENT EMERGENCY ACTION PLAN

A. Emergency Personnel (Personnel must be CPR/AED Certified)

- Staff Certified Athletic Trainer (ATC)

Updated November 2019
• Hourly ATC
• Administrator on Duty
• Coaches
• Athletic Training Students
• Campus Police/ Five Quad Ambulance Service/EMT
• Physicians
• And, possibly, bystanders

With intercollegiate athletic practice (traditional season) and competition, the first responder to an emergency situation is typically a member of the Sports Medicine Staff:

• Certified Athletic Trainer- Possible assistance of Athletic Training Student(s)
• Team Physician – As scheduled or available

With Intercollegiate athletic practice (non-traditional season), individual training sessions and weight lifting, the first responder to an emergency situation in some instances may be a member of the Division of Athletics:

• Head Coach
• Assistant Coach
• Graduate Assistant
• Strength and Conditioning Coach
• Other institutional personnel

The Division of Athletics does not recognize “Captain’s Practice” as official intercollegiate activity: therefore, the Sports Medicine Staff does not cover these practices.

The type and degree of sports medicine coverage for an athletic event may vary widely, based on factors such as:

• Sport or Activity
• Venue
• Type of Training or competition

**B. Injury/Illness that requires Activation of EMS**

• Loss of consciousness or pulse
• Airway compromise, not breathing or difficulty breathing
• Severe bleeding that cannot be controlled
• Shock, Fracture, Dislocation

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• Deterioration in any vital signs (heart rate, blood pressure, skin temperature, color, response to pain, pupil reaction, etc.)
• Neurological Symptoms to extremities
• Any other injury or illness that you are unsure of the nature and extent

C. Activating the Emergency Medical System

• People responsible for calling:
  o ATC
  o Administrator on Duty
  o Coaches
• The EMS (Five Quad Ambulance Service) can be activated by calling:
  o On Campus-911
  o Off Campus/Cell phones-(518) 442-3131

E. Directing EMS to Scene

At the time of the emergency one person will be assigned to meet EMS and direct them to the scene. The person who goes should be familiar with the field’s location and have access to all gates and locks so EMS can easily access the injured person(s).

• The personnel should be:
  o Administrator on Duty
  o Coach
  o Campus Police
  o Athletic trainer assistant/student athletic trainer

F. Transportation

If EMS is activated, the student athletes will be transported to Albany Medical Center located at 43 New Scotland Avenue, Albany, NY 12208, (518) 262-3125. A member of the UA Athletics Staff must accompany the student-athlete if they are transported to the emergency room. If only one ATC is on scene, someone other than the ATC must travel with the student-athlete: the ATC must remain on site to cover the remainder of the event.

Emphasis is placed at having an ambulance on-site at high risk sporting events. EMS response time is additionally factored in when determining on-site ambulance coverage. UAlbany coordinates an on-site ambulance for home competition in Football and Men’s Lacrosse. Ambulances may be coordinated on-site for other special events, such as major tournaments or Conference/NCAA Regional and/or Championship Events. In the event that an ambulance is on-site, there should be a designated location with rapid access to the site and a cleared route for entering/exiting the venue. This is stated clearly in the “Venue” Section of the emergency plan.

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G. Location of AEDs

The Department of Sports Medicine currently has six AED units in service, all are located in the AT office. At least one AED unit is in the AT room at all times. Based on sports covered an AED is carried to an athletic venue by an ATC staff member. Three other AEDs are located throughout the athletic department. One in the Lobby area of the SEFCU Arena, one in the lobby area of the PE Building and one outside of the Varsity Weight Room.

13.2 VENUES: EMERGENCY ACTION PLAN

A. SEFCU Arena - Is located on the south side of University Drive.

1. Emergency Communication is done on site with workable cellular phone
2. Direction of EMS to scene
   a. Through the loading dock on west side of the building.
   b. Open appropriate doors.
   c. Designate individual to go to loading dock doors at west side of the building to “flag down” EMS and direct to the scene.
3. Scene control: limit scene to first aid providers and move bystanders away from area.

B. Physical Education Building/Volleyball Gym - Is located between the Track and Field venue and the SEFCU Arena.

1. Emergency Communication is done on site with workable cellular phone.
2. Direction of EMS to scene
   a. Through the Bus Drop-off area on the west side of the building between the PE building and the SEFCU Arena.
   b. Open appropriate doors.
   c. Designate individual to Bus drop off area on west side of the building to “flag down” EMS and direct to the scene.
3. Scene Control: limit scene to first aid providers and move bystanders away from area.

C. Varsity Weight Room - Is located on the 2nd Floor of the PE building on the North Side of the building.

1. Emergency Communication is done on site with workable cellular phone or by a University office phone.
2. Direction of EMS to scene
   a. Through the Bus Drop-off area on the west side of the building between the PE building and the SEFCU Arena.
b. Open appropriate doors.
c. Designate individual to Bus drop off area on west side of the building to “flag down” EMS and direct to the scene.

3. Scene Control: limit scene to first aid providers and move bystanders away from area.

D. Track and Field - Is located to the north of the PE building.

1. Emergency Communication is done on site with workable cellular phone.
2. Direction of EMS to scene
   a. Through the Bus Drop-off area and just to the northwest side of the PE building. Ambulance can enter T&F through the Southwest side of the track.
   b. Open appropriate gates.
   c. Designate individual to Bus drop off area on west side of the PE building to “flag down” EMS and direct to scene.
3. Scene Control: limit scene to first aid providers and move bystanders away from area.

E. Softball Field - Is located just to the northwest of the SEFCU Arena and PE building.

1. Emergency communication is done on site with workable cellular phone
2. Direction of EMS to scene
   a. Through Bus Drop off area, completely around circle towards faculty parking lot and then head north toward softball field which is on the left.
   b. Open appropriate gates.
   c. Designate individual to just outside the softball field area to “flag down” EMS and direct to scene.
3. Scene Control: limit scene to first aid providers and move bystanders away from area

F. Tennis Courts – Are located on the West side of University Drive adjacent to the Dutch Parking Lot.

1. Emergency communication is done on site with workable cellular phone.
2. Direction of EMS to scene
   a. Through Dutch Parking lot off of University Drive.
   b. Open appropriate gates.
   c. Designate individual to sidewalk/grass area outside of tennis courts to “flag down” EMS and direct to scene.
3. Scene Control: limit scene to first aid providers and move bystanders away from area.
G. **Bob Ford Field/Football Stadium** - is located on the south side of University Drive with access through the SEFCU Arena lot.

1. Emergency communication is done on site with workable cellular phone.
2. Direction of EMS to scene  
   a. Through the SEFCU parking lot and right into the south side of the stadium.
   b. Open appropriate gates  
   c. Designate individual to south side of stadium gate entrance to “flag down” EMS and direct to scene.
3. Scene Control: limit scene to first aid providers and move bystanders away from area.

H. **John Fallon Field/Lacrosse Stadium** - Is located just North of Bob Ford Field.

1. Emergency communication is done on site with workable cellular phone.
2. Direction of EMS to scene  
   a. Through SEFCU Arena Parking lot, travel north between the SEFCU Arena and Bob Ford Field, right hand turn and stadium is on the left.
   b. Open appropriate gates.
   c. Designate individual to walkway/driveway between Bob Ford Field and the SEFCU Arena to “flag down” EMS and direct to scene.
3. Scene Control: limit scene to first aid providers and move bystanders away from area

I. **Baseball Field** - is located on the Southeast side of University Drive.

1. Emergency communication is done on site with workable cellular phone.
2. Direction of EMS to scene  
   a. Off of the southeast side of University Drive access is granted between the baseball field and multipurpose grass fields. Field is on the right.
   b. Open appropriate gates.
   c. Designate individual to baseball field access road and University Drive to “flag down” EMS and direct to scene.
3. Scene Control: limit scene to first aid providers and move bystanders away from area

J. **Field Hockey Field** - Is located just northeast of Bob Ford and right next to John Fallon Field.

1. Emergency communication is done on site with workable cellular phone.
2. Direction of EMS to scene
a. Off of the southeast side of University Drive access is granted between the baseball field and multipurpose grass fields, follow road northwest and it runs into the FH field.
b. Open appropriate gates.
c. Designate individual to baseball field access road and University Drive to “flag down” EMS and direct to scene
3. Scene Control: limit scene to first aid providers and move bystanders away from area.

K. Multipurpose Grass Fields - Are located just east of Bob Ford Field and west of the Baseball Stadium.

1. Emergency communication is done on site with workable cellular phone.
2. Direction of EMS to scene
   a. Through the SEFCU parking lot and right into the south side of the stadium.
   b. Open appropriate gates.
   c. Designate individual to south side of Bob Ford Field/Football Stadium entrance/SEFCU Parking Lot to “flag down” EMS and direct to scene.
3. Scene Control: limit scene to first aid providers and move bystanders away from area

L. Bubble Sports Complex - Is located between the PE building and the lax stadium, also just north of Bob Ford Field/Football Stadium.

1. Emergency communication is done on site with workable cellular phone.
2. Direction of EMS to scene
   a. Through the Bus Drop-off area and just to the northwest side of the PE building, take road between PE building and T&F venue to the Bubble.
   b. Open appropriate gates.
   c. Designate individual to the northwest side of the PE building to “flag down” EMS and direct to scene.
3. Scene Control: limit scene to first aid providers and move bystanders away from area

13.3 OUT-OF SEASON WORKOUTS, STRENGTH TRAINING AND SKILLS SESSIONS

The UAlbany Athletic Training Department is responsible for coordinating and providing athletic training, first aid and CPR coverage for all out-of-season workouts, strength training and skill sessions.
In coordination with the strength and conditioning staff and each head coach, a certified member of the athletic training staff is at each of the out-of-season workouts, strength training and skill session activities if available.

In most cases, the athletic training staff member that is assigned to the sport provides the coverage. In the event there is a conflict, schedules are rotated to accommodate the work-out.

There will be certain times that an emergency situation will occur when an athletic trainer may not be present. These situations may include, but not limited to, conditioning workouts, weight room workouts, early morning workouts, and individual workouts.

In the event that an athletic trainer is not present or the athletic trainer is attending to an injury or illness that has occurred during the session and must leave the area, all strength and conditioning coaches are certified in CPR.

Conclusion

The importance of being properly prepared when athletic emergencies arise cannot be stressed enough. A student athlete’s survival may hinge on how well trained and prepared athletic healthcare providers are.

It is prudent to invest athletic department “ownership” in the emergency plan by providing the athletic administration and sport coaches as well as sports medicine personnel. The emergency plan should be reviewed at least once a year with all athletic personnel, along with CPR and first aid refresher training. This recommendation is in agreement with the NCAA Sports Medicine Handbook and the March 24, 1999 NCAA memorandum concerning emergency care and coverage of student-athletes.

Through development and implementation of the emergency plan, UAlbany helps ensure that the athlete will have the best care provided when an emergency situation does arise.

SECTION 14: SUSPECTED SPINAL CORD INJURY PROTOCOL

General Guidelines

1. Any student-athlete suspected of having a spinal injury should not be moved and should be managed as though a spinal injury exists. C-spine in-line stabilization should be maintained.
2. Any unconscious student-athlete should be treated as though a spinal injury exists.
3. The student-athletes airway, breathing, circulation, level of consciousness, vital signs and neurological status should be assessed. If airway is impaired, maintain c-spine in-line stabilization simultaneously with airway using a modified jaw

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thrust maneuver. If the athletes breathing is inadequate, assist ventilation with bag-valve-mask. Set up and operate AED unit (if necessary).

4. All athletic trainers should carry CPR facemasks/shields.

5. EMS should be activated.

6. The student-athlete should not be moved until immobilized, unless absolutely essential to maintain airway, breathing and circulation. If the student-athlete must be moved, the athlete should be placed in a supine position while maintaining spinal immobilization. The head and trunk should be moved as a unit.

7. In a situation where it may not be appropriate for on-site medical personnel to transfer the student-athlete to a long spine board prior to EMS arrival (lack of enough qualified help or other factors), the rescuer(s) should maintain in-line stabilization, place a rigid cervical collar on the student-athlete, and continue evaluation while awaiting EMS.

**Assessment**

During initial assessment, the presence of any of the following findings, alone or in combination, heightens the suspicion for a potentially catastrophic cervical spine injury and requires the initiation of the spine injury management protocol: unconsciousness or altered level of consciousness, bilateral neurologic findings or complaints, significant midline spine pain with or without palpation, and obvious spinal column deformity.

**Stabilization**

1. When a potential spine injury is suspected, rescuers should ensure that the cervical spine is in a neutral position and should immediately apply manual cervical spine stabilization. This will minimize motion during the management of the injury.

2. Rescuers should not apply traction to the cervical spine, as this may cause distraction at the site of injury. Traction in a cervical spine with ligamentous injury can result in excessive distraction and subluxation that can further compromise the spinal cord.

3. If the spine is not in a neutral position, rescuers should realign the cervical spine to minimize secondary injury to the spinal cord and to allow for optimal airway management. However, the presence or development of any of the following, alone or in combination, represents a contraindication for moving the cervical spine to neutral position: the movement causes increased pain, neurologic symptoms, muscle spasm, or airway compromise; it is physically difficult to reposition the spine; resistance is encountered during the attempt at realignment; or the patient expresses apprehension.
Airway

1. Rescuers should immediately attempt to expose the airway, removing any existing barriers (protective facemasks).
2. If rescue breathing becomes necessary, the individual with the most training and experience should establish an airway and commence rescue breathing using the safest technique.
3. During airway management, rescuers should cause as little motion as possible.
4. The jaw-thrust maneuver is recommended over the head-tilt technique, which produces unnecessary motion at the head and in the cervical spine. Advanced airway management techniques (e.g., laryngoscope, endotracheal tube) are recommended in the presence of appropriately trained and certified rescuers; these methods have been shown to cause less motion and, therefore, are less likely to worsen neurologic status.

Transfer and Immobilization

1. Manual stabilization of the head should be converted to immobilization using a combination of external devices, and stabilization of the cervical spine should be continued until a destabilizing injury has been ruled out using appropriate diagnostic testing (imaging). If possible, a correctly sized rigid cervical collar should be placed on the student-athlete prior to moving. Whenever possible, manual stabilization should be resumed after the application of external devices.
2. When moving a suspected spine-injured student-athlete, the head and trunk should be moved as a unit by securing the student-athlete to a long spine board. It is ideal that at minimum three (3) rescuers with preferably six to eight (6-8) be in place to perform the maneuver and long spine board immobilization.
3. The rescuer controlling c-spine stabilization will be in command of the maneuver and long spine board immobilization.
4. Once positioned onto long spine board, the student-athlete’s torso and legs should first be secured using straps. Student-athlete’s arms should be left free from long spine board straps to facilitate vital sign monitoring and IV access. Student-athlete’s wrists may be secured together in front of the body with Velcro strap or tape once secured to long spine board.
5. Once torso and legs are secured, the head should be secured last. If necessary, padding, towels, etc. should be applied under the student-athlete’s head to fill any voids and maintain neutral in-line position. The head should be secured with towels and then secured to board with tape over forehead and at chin.
6. The student-athlete should be restrained and secured sufficiently to the spine board that the board may be turned without creating spinal movement, in case, for example, the student-athlete vomits.
7. Following securing athlete to board, neurological status should be reassessed.
8. The secondary survey should be completed with baseline vital signs (reassessed every 5 minutes), head-to-toe survey, and history.
9. Student-athlete should be transported to the most appropriate emergency medical facility and head team physician and appropriate physicians notified.

Supine Lift & Slide / 6-8 Person Lift Technique

Take into consideration the number of people, size, strength, size of athlete, experience level of assistants. Ten (10) persons may be needed for larger athletes.

1. The rescuer in charge is positioned at the top of the student-athlete’s head & provides firm, manual, in-line stabilization of the head & neck by placing his/her hands on the injured athlete’s shoulders (under the shoulder pads) with the thumbs pointed away from the athlete’s face. The athlete’s head should then be resting between the rescuer’s forearms.
2. The rescuer in charge should position his/her foot and/or knee at the exact point on the ground where the head of the spine board should stop.
3. Additional rescuers position themselves along both sides of the student-athlete at the shoulders/chest, hips/pelvis, and legs at a minimum. The rescuer’s hands are slid under the athlete & equipment to provide a firm, coordinated lift.
4. The rescuer in charge gives the command to lift the injured student-athlete (“ready to lift”…..”lift”) & the injured athlete is lifted 4-6 inches off of the ground with a coordinated lift.
5. An additional rescuer positions the spine board underneath of the injured student-athlete from the foot end until the spine board makes contact with the rescuer in charge foot / knee.
6. The rescuer in charge should give the commands to lower the injured student-athlete onto the spine board (“ready to lower”…..”lower”) once the spine board is appropriately positioned.
7. The injured student-athlete should be slowly lowered onto the spine board.
8. The injured student-athlete should be strapped to the spine board in the appropriate fashion.

Supine Log-Roll Technique

1. The rescuer in charge is positioned at the top of the student-athletes’ head & provides firm, manual, in-line stabilization of the head & neck by placing his/her hands on the injured student-athlete’s shoulders (under the shoulder pads) with the thumbs pointed away from the athlete’s face. The student-athlete’s head should then be resting between the rescuer’s forearms.
2. The student-athletes’ arm on the side toward which the student-athlete is to be rolled should be abducted to 180 degrees if it is initially located above 90 degrees, or placed at the side if it is initially located below 90 degrees.
3. The straps and head immobilizer should be removed from the spine board or placed out of the way.

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4. The spine board should be positioned next to the student-athlete on the side opposite the way the student-athlete is to be rolled.

5. Additional personnel should position themselves at the shoulders / chest, hip / pelvis, and legs on the side toward which the student-athlete is to be rolled. Additional personnel may be necessary for larger student-athletes.

6. The rescuer in charge gives the command to roll the injured student-athlete (“ready to roll”…..”roll”) & the injured student-athlete is rolled onto his/her side with a coordinated effort while maintaining in-line stabilization.

7. While the student-athlete is on his/her side, another rescuer slides the spine board underneath the student-athlete at a 45 degree angle.

8. The rescuer in charge should give the commands to slowly lower the injured student-athlete onto the spine board (“ready to lower”…..”lower”) once the spine board is appropriately positioned.

9. The injured student-athlete should be slowly lowered onto the spine board.

10. If necessary, the injured student-athlete should be appropriately centered on the spine board (Lateral push/pull / Horizontal slide).

11. The injured student-athlete should be strapped to the spine board in the appropriate fashion.

**Repositioning After Transfer to the Spine Board**

In many cases, the student-athletes position on the spine board after the initial spine boarding procedure may not be ideal for securing him/her appropriately, particularly when using the log-roll technique. Therefore, it may be necessary to reposition the student-athlete to assure proper placement.

The Horizontal Slide technique is recommended. When repositioning, Rescuer A provides specific commands: “On the count of 3, we are going to slide the athlete up and to the right… Ready …1 …2 …3 ….”

The rescuers sliding the athlete position themselves on both sides and slide from the sides. Throughout this process, Rescuer A provides all commands while maintaining cervical spine immobilization.

**Head Immobilization**

A variety of head-immobilization options are available for securing the student-athlete to a spine board. The head should always be the last body part secured to the spine board. Once the towel rolls stabilize the head, tape is used to secure the head to the spine board. Two separate points of contact at the chin and the forehead should be secured to prevent as much head and neck motion as possible. The tape or strap at the forehead should be placed at the level of the eyebrows to avoid slipping off the rounded top of the head. When using tape to secure the forehead, the rescuer applies the tape circumferentially for additional stability. During this process, it may be necessary for a rescuer to assume
cervical spine control from the front of the student-athlete for the rescuer in charge to allow the head to be properly secured.

**Spine Board Kit**

A spine board kit should be maintained with the spine board. This kit should contain necessary supplies: such as cervical collar, face-mask removal tools for sports in which helmets are worn (ideally on the rescuer’s person during competition), spider straps to secure the student-athlete to the board, wrist straps to secure the student-athlete’s hands together, tape, and several towel rolls.

**Face Mask Removal of Spine-Injured Football Athlete**

1. The facemask should be removed as quickly as possible prior to transportation, regardless of current respiratory status. Tools for facemask removal (FM Extractor, Trainers Angel, screwdriver, etc.) should be readily accessible.
2. All loop straps of the facemask should be removed and the facemask removed from the helmet, rather than being retracted.
3. For a football helmet facemask with 4 attachment locations, the 2 side straps should be removed first, followed by the top straps. This prevents the face mask from rotating down onto the student-athletes face or throat during the removal attempt.
4. If, when attempting to remove the screws from the helmet, 1 or more screws cannot be removed, it is important to continue with the next screw until all screws that can be unscrewed are successfully removed.
5. If a backup cutting tool is required, ensure that the tool chosen will successfully cut the loop straps currently being used in the helmets worn by the football team or teams being covered. Not all facemask removal tools will remove all helmet loop strap combinations.
6. A screwdriver may not suffice as a backup tool for loop straps secured with a quick-release mechanism rather than a traditional screw and T-nut attachment system. Therefore, an appropriate backup tool should be available to cut away the loop strap should the quick-release system fail.
7. A powered screwdriver is generally faster, produces less head movement, and is easier to use than cutting tools; it should be the first tool used in attempting to remove a facemask attached with loop straps that are secured with screws. Because it may be impossible to remove the screws, a backup cutting tool, specifically matched to the sport equipment used, should be available.
8. If the facemask cannot be removed in a reasonable amount of time, then the helmet should be removed from the student-athlete in the safest manner possible. A neutral cervical spine position should be preserved during and after this process by removing additional pieces of equipment (eg, shoulder pads) or by placing an object underneath the head (eg, towel, padding) to maintain neutral alignment.
Emergency Department Management

1. If possible, the team physician or certified athletic trainer should accompany the student-athlete to the hospital. This provides continuity of care, allows for accurate delivery of clinical information to the emergency department staff, and may allow the sports medicine professional to assist emergency department personnel during equipment removal.

2. Remaining protective equipment should be removed by appropriately trained professionals in the emergency department environment.

Helmet Removal of Spine-Injured Football Athlete

1. The football helmet and chin strap should only be removed if:
   a. The helmet and chinstrap do not hold the head securely, such that immobilization of the helmet does not immobilize the head;
   b. The design of the helmet and chinstrap is such that, even after removal of the facemask, the airway cannot be controlled nor ventilation provided;
   c. The facemask cannot be removed after a reasonable period of time; or
   d. The helmet prevents immobilization for transportation in an appropriate manner.

2. If the helmet must be removed, spinal immobilization must be maintained while removing. In most circumstances, it may be helpful to remove cheek padding and/or deflate air padding prior to helmet removal.

3. The helmet/shoulder pad unit should be thought of as an “all-or-none” scenario with regards to spinal immobilization and both must be removed simultaneously by trained personnel. Because removal of athletic equipment such as helmet and shoulder pads may cause unwanted movement of the cervical spine, removal of helmet and shoulder pads should be deferred until the student-athlete has been transported to an emergency medical facility.

Shoulder Pad Removal of Spine-Injured Football Athlete

1. Shoulder pads do not necessarily have to be removed on site. The front of the shoulder pads can be opened to allow access for CPR and defibrillation.

2. Should either the helmet or shoulder pads be removed – or if only one of these is present – appropriate spinal alignment must be maintained.

3. There needs to be a realization that the helmet and shoulder pads elevate a student-athletes trunk when in the supine position. Independent removal of the helmet or shoulder pads is not recommended, because removing one and not the other compromises spinal alignment.
**Football Helmet & Shoulder Pad Removal Technique**

1. The rescuer in charge (Rescuer A) is positioned at the top of the patient’s head & provides firm, manual, in-line stabilization of the head & neck by placing his/her hands on the injured athlete’s shoulders (under the shoulder pads) with the thumbs pointed away from the athlete’s face. The athlete’s head should then be resting between the rescuer’s forearms.

2. Assistant (Rescuer B) removes the facemask (if not already done), cuts the chinstrap, and removes the cheek pads through the insertion of a tongue depressor, or other similarly stiff, flat-bladed object; Person B also deflates the air inflation system by releasing the air at the external port with an inflation needle.

3. Rescuer B cuts the jersey & all other shirts from the neck to the waist & from the midline to the end of each arm sleeve, cuts (do not attempt to unbuckle and/or unsnap) all straps used to secure the shoulder pads to the torso & to the arms, cuts the laces or straps over the sternum to allow for quick & efficient access to the anterior portion of the chest, & cuts and/or removes any & all accessories such as neck rolls or collars.

4. Rescuer B then takes over in-line stabilization of the head & neck by manually stabilizing the chin & back of the neck in a cephalad direction by placing his/her forearms on the athlete’s chest; the occiput and maxilla MUST be supported during and after helmet removal.

5. Additional rescuers position themselves along the athlete’s sides (one on each side of the chest, pelvis, and legs). The rescuer’s hands are slid under the athlete and equipment to provide a firm, coordinated lift (8-man lift technique).

6. Rescuer A places a finger inside each ear hole of the helmet & removes the helmet using a “tilt & slide” method. The helmet should slide off of the occiput with slight forward rotation of the helmet.

   - **DO NOT** pull the ear holes laterally in an attempt to spread the helmet.

   - Before the helmet is completely removed, Rescuer B must carefully move his/her hands completely under the occiput in a cephalad direction until it is further under the head to keep the head from dropping when the helmet is finally removed.

   - Rescuer B’s hands should be moved so that the thumb and first fingers grasp the maxilla at each side of the nose in the maxillary notch.

7. Immediately after removal of the helmet, Person A regains in-line stabilization.

8. Rescuer B straddles the injured athlete and places both hands on top of the injured athlete’s shoulders.

9. Rescuer A gives the command to lift the injured athlete (“ready to lift”.....”lift”) and the injured athlete’s upper torso is flexed at the waist 30 degrees off of the ground with a coordinated lift.

10. Rescuer C then IMMEDIATELY removes the shoulder pads by spreading apart the front panels and pulling them down and away from the injured athlete.
11. Rescuer A gives the commands to lower the injured athlete back onto the spine board (“ready to lower”…..”lower”) & the injured athlete is slowly lowered back onto the spine board.

12. A rigid cervical collar should then be applied to prevent movement of the head and the head lying in extension.

13. The injured athlete should be strapped to the spine board with spider straps in the appropriate fashion.

Appropriate Equipment

- Long spine board
- Spine board straps / Spider
- Towel rolls
- Athletic tape
- Electric Screwdriver
- FM extractor, Trainers Angel, or other suitable device for removing a football facemask
- Scissors
- Tongue depressors
- Inflation needle
- BP Cuff / stethoscope
- CPR mask / bag-valve mask
- Supplemental oxygen (if available)
- AED
- Emergency blanket(s)

Procedures for Training in Spine Immobilization

Personnel should review signs and symptoms of spine injury and complete a training session each year with in-line stabilization, rigid cervical collar application, supine log roll maneuver, prone log roll maneuver, “lift and slide” / 6-8 person lift technique, and long spine board packaging. Personnel providing football medical coverage should review facemask removal with appropriate tools, helmet removal and shoulder pad removal.

SECTION 15: ORTHOPEDIC INJURY PROTOCOL INITIAL EVALUATION

The primary goals of the initial orthopedic evaluation are to 1) determine whether or not a true orthopedic emergency is present, 2) begin appropriate treatment, and 3) determine the mode of transport for emergencies or routine extremity trauma.

Evaluation of neurovascular status is the first step in the initial evaluation. Distal pulse, motor, sensation, and capillary refill (PMSC) should be assessed with any deficiencies and/or changes noted. Visual inspection for deformity and palpation for deformity and
point tenderness should be performed, followed by evaluation for gross joint instability. Clinical tests for suspected long bone fractures such as torque, compression and percussion may be utilized as appropriate by the athletic trainer. Application of splints for fracture or gross joint instability is the final step prior to transport. If splints are applied to an extremity injury, PMSC should be evaluated both before and after placement of splints.

Never allow an obvious orthopedic injury to distract from an underlying injury or illness which may be life-threatening.

**Orthopedic Emergencies**

The increased incidence of bleeding, neurovascular compromise, and treatment complications resulting from infection classify *open fractures and/or dislocations* as a true orthopedic emergency. Open fractures and dislocations should have a sterile compressive dressing applied as rapidly as possible. As with any open wound, direct pressure should be used to control major bleeding. If direct pressure does not stop the flow of blood, arterial pressure points should be used. Tourniquets should not be applied to control bleeding. Treatment should then be identical to that of a closed fracture with immediate transport to the closest appropriate emergency facility by ambulance.

The athletic trainer must also be aware of *internal hemorrhaging*. Unseen hemorrhaging into the *pelvis or femur fracture* can account for significant blood loss.

*Large joint dislocations* (shoulder, elbow, hip, knee and ankle) constitute an orthopedic emergency. Special attention should be given to knee and elbow dislocations as well as dislocation of the sternoclavicular joint. These most commonly result in neurovascular complications, necessitating emergency management.

Delay in treatment of fractures and dislocation with *neurovascular compromise* may lead to disastrous consequences including loss of limb and even death. Immediate reduction or realignment by a physician should be performed. If a physician or an emergency facility is not readily available, the athletic trainer may attempt these maneuvers to restore circulation as a part of emergency medical care in a potentially life-or limb-threatening situation. This procedure may be performed by athletic training staff who have verbal orders from the team physician or physician assistant in regards to joint reduction after consulting regarding patient’s current signs and symptoms and medical history. If, however, in the clinical opinion of the ATC, the athlete is in a life-or limb-threatening situation that would benefit from joint reduction and a MD verbal order is not immediately available then the ATC should call 911 and may attempt to reduce the dislocation. If unable to reduce, the athletic trainer should immobilize the joint in the position found, continue to monitor PMSC, and immediate transport to the closest appropriate emergency facility by ambulance.
Any emergency situations where there is neurovascular compromise should be considered a “load and go” situation and emphasis placed on rapid evaluation, treatment and transportation. In order to provide the best possible care for UAlbany Athletics, transportation to one of the utilized medical facilities is based upon the strengths of each facility. All vascular emergencies are to be transported to the hospital.

**Splinting Guidelines**

General rules to follow during the application of a splint include:

- Splinting is useful in emergency situations, for decreased pain, and to allow for easier transport.
- Deformity, gross instability, or crepitus is an indication for immediate splinting, and prompt referral of an unstable joint to an orthopedic surgeon is necessary.
- Assess neurovascular status (PMSC) prior to and after the application of a splint;
- Cover all wounds with sterile compressive dressings prior to the application of a splint;
- Pad the splint to prevent local pressure;
- Immobilization of the joint above and below a fracture or dislocation will decrease movement at the injury site;
- Splinting can be performed in the position of deformity but with experience limb alignment may be helpful;
- “When in doubt, splint”.

**Splinting of Orthopedic Injuries**

Splints are used to decrease pain, increase ease of transportation, to prevent closed fracture from becoming open, to minimize damage to nerves, muscles and blood vessels, and to prevent movement at fracture sites or in the presence of gross instability. The basic rule of splinting is to splint in the position of function. With experience or in the presence of a physician, limb realignment before the application of a splint is acceptable. There are three basic types of splint:

**Rigid Splints** are useful with non-aligned fractures or in the presence of gross instabilities of joints.

**Vacuum splints** consist of a fabric or vinyl splint containing small Styrofoam beads. The splint is placed on the extremity and secured with straps. A pump is attached and the air is drawn from the splint, compressing the beads together and creating a hard splint conformed to the extremity. Vacuum splints are versatile because of their adaptability to the position of the injured extremity.
Traction splints are most frequently used to treat lower extremity femoral fractures. They exert a steady longitudinal pull on the extremity. Traction splints are not suitable for the upper extremity because of potential damage to neurovascular structures in the axilla.

Procedures for Training in Orthopedic Evaluation and Splinting/Immobilization

Personnel must complete a training session each year with review of signs and symptoms of orthopedic injury, evaluation techniques, and splinting/immobilization applications.

Splinting Guidelines

General rules to follow during the application of a splint include:

- Splinting is useful in emergency situations, for decreased pain, and to allow for easier transport.
- Deformity, gross instability, or crepitus is an indication for immediate splinting, and prompt referral of an unstable joint to an orthopedic surgeon is necessary.
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- Pad the splint to prevent local pressure;
- Immobilization of the joint above and below a fracture or dislocation will decrease movement at the injury site;
- Splinting can be performed in the position of deformity but with experience limb alignment may be helpful;
- “When in doubt, splint”.

SECTION 16: MEDICAL EMERGENCY PROTOCOLS FOR PRACTICE AND/OR COMPETITION

16.1 HOME GAME AND/OR PRACTICE/CARDIO RESPIRATORY, MEDICAL AND/OR ORTHOPEDIC EMERGENCY

1. Personnel from UAlbany Athletic Training Department and other appropriate personnel will go onto the field/court to evaluate the student-athlete, administer basic life support (BLS), and stabilize the student-athlete until EMS arrives.
- If the injury is a suspected football cervical spine injury, in-line head and shoulder stabilization will be maintained by the UAlbany Athletic Training Department personnel and/or the team physician while the facemask and/or helmet and shoulder pads are removed as indicated using standard protocols.

Updated November 2019
If the injury is a suspected non-football cervical spine injury, in-line head and shoulder stabilization will be maintained by the UAlbany Athletic Training Department personnel and/or the team physician as per standard protocols.

The student-athlete will be placed on a spine board using standard protocols.

If the injury is a suspected cardio-respiratory emergency, UAlbany Athletic Training Department personnel and/or other appropriate personnel will retrieve, set-up and use the AED.

2. Personnel from the UAlbany Athletic Training Department will give the appropriate hand signals (radio) to the sidelines (if applicable) and/or will notify game management personnel (if applicable) of the emergency situation.

3. UAlbany Athletic Training Department personnel, a member of the coaching staff and/or game management personnel will immediately use the closest available device to call EMS (911) and direct them to the appropriate location.

4. After activating EMS, a member of the UAlbany Athletic Training Department should call the following persons to notify them of the emergency situation (if applicable):
   a. Team Physicians
   b. Head Athletic Trainer (518) 442-3725

5. During Games/Contests: after activating EMS, game management personnel should notify all applicable personnel to discontinue all cheerleading and band activities, promotion, commercial announcements, etc.

6. Designated members of the UAlbany Athletic Training Department (if available), members of the coaching staff, game management personnel and/or other personnel will proceed to pre-determined locations to wait for EMS, direct them to the proper location, and guide them onto the field/court.

7. Game management personnel and/or other personnel will assist with crowd control and securing an unobstructed and safe passageway for EMS personnel.

8. A member of the UAlbany Athletic Training Department and/or a member of the UAlbany Division of Athletics will accompany the injured student-athlete to the medical facility with the injured student-athlete’s emergency medical information.
   □ Once at the medical facility, the designated individual will call back to the UAlbany certified athletic trainer’s cell phone with any medical updates.

9. A member of the UAlbany Athletic Training Department should call Jay Geiger, Head Athletic Trainer at 518-442-3725 and/or his designee to provide any medical updates.

10. Attempt to obtain all notes, x-ray films, etc to bring back to UAlbany for follow-up with UAlbany team physicians.

11. If a student-athlete must stay in the hospital, a coach should stay with them. Athletic training students are not to stay overnight in hospitals.

12. If the AED unit is used:
   □ Make sure the unit is re-charged and is cleaned.
16.2 AWAY GAME AND/OR PRACTICE/CARDIO RESPIRATORY, MEDICAL AND ORTHOPEDIC EMERGENCY

1. UAlbany Athletic Training Department personnel and other appropriate personnel will go onto the field/court to evaluate the student-athlete, administer basic life support (BLS), and stabilize the student-athlete until EMS arrives.
   ☐ If the injury is a suspected football cervical spine injury, in-line head and shoulder stabilization will be maintained by UAlbany Athletic Training Department personnel and/or the team physician while the facemask and/or helmet and shoulder pads are removed as indicated using standard protocols.
   ☐ If the injury is a suspected non-football cervical spine injury, in-line head and shoulder stabilization will be maintained by UAlbany Athletic Training Department personnel and/or the team physician as per standard protocols.
   ☐ The student-athlete will be placed on a spine board using standard protocols.
   ☐ If the injury is a suspected cardio-respiratory emergency, UAlbany Athletic Training Department personnel and/or other appropriate personnel will retrieve, set-up, and use the AED.

2. UAlbany Athletic Training Department personnel and/or other appropriate personnel will notify the host certified athletic trainer and/or game management personnel (if applicable) of the emergency situation, and/or will immediately use the closest available device to call EMS and direct them to the appropriate location.

3. UAlbany Athletic Training personnel and the host certified athletic trainer and/or team physician will continue to administer BLS and stabilize the student-athlete as best possible while following the host institution’s emergency protocols.

4. A member of the UAlbany Athletic Training Department and/or a member of the UAlbany Division of Athletics will accompany the injured student-athlete to the medical facility with the injured student-athlete’s emergency medical information.

5. Once at the medical facility, the designated individual will call back to the UAlbany certified athletic trainer’s cell phone and/or the host institution’s athletic training room with any medical updates.

6. A member of the UAlbany Athletic Training Department will also call Head Athletic Trainer at 518-442-3725 and/or his designee to notify him/her of the emergency situation and to provide any medical updates.

7. Attempt to obtain all notes, x-ray films, etc to bring back to UAlbany for follow-up with UAlbany team physicians.

8. If a student-athlete must stay in the hospital, a coach should stay with them. Athletic training students are not to stay overnight in hospitals.
SECTION 17: GUIDELINES FOR TRANSPORTATION OF INJURED STUDENT-ATHLETE

When a student-athlete is injured and the decision is made to transport the student-athlete to the hospital for care, 911 should be called if the following criteria are met:

1. The student-athlete is unconscious or lost consciousness at any time due to trauma.
2. The student-athlete has lost the ability to breathe at any time.
3. The student-athlete had no pulse at any time.
4. The student-athlete has severe bleeding (i.e. arterial bleeding) that is uncontrollable.
5. The student-athlete is suspected of having any vertebral injury in which immobilization (spine boarding) is required.
6. The student-athlete has an obvious fracture that has presented itself as needing emergency medical care (i.e. compound fracture, contracture, etc.).
7. If the student-athlete’s injury requires extrication or removal of an impaled object (i.e. from a fence, or throwing implement).
8. If there is any life threatening condition (i.e. heat stroke, severe bleeding, shock, etc.).
9. If movement of the student-athlete would exacerbate the student-athlete’s condition.
10. If the Athletic Training Staff will be shorthanded if they were to transport the student-athlete themselves.

In an emergency situation, the student-athlete should be transported by ambulance, where the necessary staff and equipment is available to deliver appropriate care. Emergency care providers should refrain from transporting unstable student-athletes in inappropriate vehicles. Care must be taken to ensure that the activity areas are supervised should the emergency care provider leave the site in transporting the student-athlete.

A member of the UAlbany Athletic Training Department and/or a member of the UAlbany Division of Athletics will accompany the injured student-athlete to the medical facility with the injured student-athlete’s emergency medical information/insurance information.

17.1 HOSPITALIZATION PROCEDURES

When traveling, Sports Medicine staff and/or Coaches will follow procedures as outlined in the Emergency Action Plan, for emergencies either at the contest or during travel to or from the contest. If a Sports Medicine staff member is present they will treat the student-athlete per normal protocols with the assistance of other on-site medical personnel if present. Once the situation is controlled the Sports Medicine staff will contact the Head Athletic Trainer, who will in turn contact the Athletics Director. If there is no UAlbany...
Athletic Training Staff member present the First Aid / CPR Certified Coach will initiate emergency care and the Emergency Action Plan along with the other on-site medical personnel if present. Once the situation is controlled the Coach will contact their designated athletic training staff member who will in turn contact the Head Athletic Trainer, who will contact the Athletics Director.

If only one UAlbany certified athletic trainer is present at the game/practice, or if no UAlbany athletic trainer is present, an assistant coach or other member of the UAlbany Division of Athletics will accompany the student-athlete and remain with that student-athlete at all times.

If a student-athlete must stay in the hospital, a UAlbany athletic trainer and/or a member of the UAlbany Division of Athletics will stay with them. Athletic training students are not to stay overnight in hospitals.

A member of the athletic department staff, in consultation with athletics department administrative personnel, will be responsible for arranging appropriate meals, lodging, and return transportation for the entire traveling party within NCAA, Conference and UAlbany rules and regulations.

**Additional Items to Consider During Hospitalization**

1. Contact Information
   a. Student-Athlete Family (parents/next of kin)
   b. UAlbany Athletic Training Staff
   c. UAlbany Athletic Administration
   d. UAlbany Coaching Staff
2. Insurance Information
   a. Student-Athlete Primary Insurance
   b. Copy of Insurance Card
   c. UAlbany Secondary Insurance
3. Transportation
   a. Car/Van/Bus/Taxi (keep receipts)
4. Finances
   a. Purchasing Card
   b. Cash
5. Student-Athlete’s Personal Items
   a. Cell Phone
   b. Phone Charger
   c. Keys
   d. Wallet
   e. Photo I.D.
   f. Travel Bag
6. Athletic Trainer’s Personal Items
a. Phone Charger  
b. Keys  
c. Wallet  
d. Photo I.D.  
e. Travel Bag

17.2 EMERGENCY CARE FOR VISITING STUDENT-ATHLETES AT UALBANY

1. If a visiting student-athlete is injured or needs emergency care, follow the same procedures outlined for a UAlbany student-athlete. Coordinate care with the visiting certified athletic trainer and assist to provide/coordinate coverage for the visiting team if their certified athletic trainer must go to the hospital with the student-athlete.

2. If the visiting team does not bring a certified athletic trainer, coordinate care with the visiting coach. Remember that we will assist visiting teams as much as possible but we are not responsible for their student-athletes. If a team does not bring a certified athletic trainer, one of their coaches should accompany the student-athlete to the hospital. Athletic training students may go to facilitate communication, especially if one of our physicians is involved but should not become responsible for the visiting student-athlete.

3. Assist visiting student-athletes/coaches/certified athletic trainers in obtaining notes, x-ray films, etc including mailing these if unavailable at time of treatment.

17.3 EMERGENCY COMMUNICATION HAND SIGNALS

- Raised fist: Physician is needed (Football = orthopedic surgeon)
- Pat top of head: Physician is not needed
- Overhead circular: Activate EMS immediately
- Baseball safe sign: Spine board / Stretcher is needed
- Hand pumping motion: Splints are needed
- Steering wheel motion: Cart / motorized transportation is needed
- Fist pound on heart: Automated External Defibrillator (AED)

SECTION 18: UALBANY DIVISION OF ATHLETICS CATASTROPHIC INCIDENT GUIDELINES

18.1 INTRODUCTION AND DEFINITION OF CATASTROPHIC INCIDENT

Updated November 2019
The UAlbany Division of Athletics’ Catastrophic Incident Guideline will be activated when the following catastrophic incidents occur:

**Sudden Death of a Student-Athlete, Coach, or Staff Member**
- Death during competition, practice, or conditioning
- Death during travel
- UAlbany official business
- Personal (e.g. automobile, airline accidents)
- Non-athletic accidents (e.g. falls at home)
- Unknown medical anomalies (e.g. heart attack, stroke, illness)
- Victim of a crime (e.g. homicide)
- Suicide

**Disability/Quality of Life Altering Injuries**
- Either during UAlbany Division of Athletics participation and/or travel, or during non-athletic activities
- Spinal Cord Injury-resulting in partial or complete paralysis
- Loss of Paired Organ
- Severe Head Injury
- Injuries resulting in severely diminished mental capacity or other neurological injury that results in inability to perform daily functions (e.g.-coma)
- Irreversible loss of speech or hearing (both ears) or sight (both eyes) or both arms or both legs or one arm and one leg

18.2 **CATASTROPHIC INCIDENT MANAGEMENT TEAM (CIMT)**
1. Director of Athletics or designee
2. Head Athletic Trainer
3. Media Relations Director
4. Legal Counsel
5. VP for Student Affairs (if a student is affected)
6. Additional personnel as deemed appropriate by CIMT

18.3 **IMMEDIATE ACTION PLAN**

The following action plan will appropriately apply steps to manage a catastrophic incident. While applying these steps, UAlbany Division of Athletics personnel will keep in mind the following goals:
- Get all pertinent facts regarding the incident accurately and expeditiously.
- Immediate communication within the CIMT.
- Only members of the CIMT, or individuals they designate, are to speak on the
incident to family members, media, other staff members, student-athletes or coaches – No one else has clearance to speak on the incident.

- CIMT WILL NOTIFY THE FAMILY.
- Respect the dignity of the individuals involved.
- Instruct student-athletes they are not to speak to anyone regarding the incident.
- Accurately document all events, especially list all participants and witnesses.
- Secure any or all available materials/equipment involved.
- Any communication with the media is handled through the Media Relations office.

All information deemed appropriate for release to the media will be determined by the Director of Athletics or designee.

18.4 CHAIN OF COMMAND AND AREAS OF ACTION

After being informed of a catastrophic incident, the following individuals should be notified to commence their responsibilities:

- During UAlbany Athletic Department participation/travel:
  o Head Athletic Trainer and Director of Athletics
- During non-UAlbany Division of Athletics activities:
  o Director of Athletics

18.5 DIRECTOR OF ATHLETICS OR DESIGNEE CHECKLIST

- Notifies or is notified by Head Athletic Trainer of a catastrophic incident.
- Notifies UAlbany President who in turn enacts any catastrophic incident procedures for the University. The President and Director of Athletics will be responsible for notifying all appropriate university administrators.
- Notifies Legal Counsel.
- Notifies additional athletic department administrative staff:
  o All Senior Staff members
  o Media Relations Director, and
  o Designate athletics administrator to serve as the point person.
- Contact/update coaching staff. In the event the incident is non-athletic, the Director of Athletics notifies the Head Coach of the respective sport.
- Notifies University Police Department.
- Notifies NCAA Faculty Athletics Representative (FAR).

18.6 HEAD ATHLETIC TRAINER CHECKLIST

- Notifies Director of Athletics, Team Physician, Sports Medicine staff, and Insurance Specialist.
- Notifies Head Coach if incident occurs during non-practice participation, or when coach may not be present (e.g. – conditioning).

Updated November 2019
- Coordinates, along with Team Physician, communication with any physicians involved in the catastrophic incident medical care.
- Communicates with Legal Counsel.
- Communicates with Media Relations Director.
- Along with Insurance Specialist, provides any insurance information.
- Notifies Counseling and Psychological Services (CAPS).
- Notifies NCAA catastrophic injury service insurance carrier.

18.7 TEAM PHYSICIAN CHECKLIST

- Communicates with Director of Athletics and Head Athletic Trainer on medical facts and events.
- Communicates with any local medical hospital personnel or medical facilities regarding medical facts of catastrophic incident.
- Works with Head Athletic Trainer in providing information for NCAA insurance.

18.8 MEDIA RELATIONS DIRECTOR CHECKLIST

- Coordinates any media release with the Director of Athletics, Team Physician, and Head Athletic Trainer along with the UAlbany University Spokesman.
- Notifies VP of Student Affairs.
- Notifies VP for Communications and Marketing.
- Prepare a statement for review by the Director of Athletics.
- **NO RELEASE WILL BE MADE UNTIL PARENTS / GUARDIANS ARE INFORMED.**

18.9 UALBANY DIVISION OF ATHLETICS ADMINISTRATIVE STAFF CHECKLIST

- Request all Senior Staff administrators available to assist in process as assigned by CIMT.

18.10 NCAA COMPLIANCE CHECKLIST

- Associate Athletic Director for Compliance will provide guidance regarding payment of incidental expenses and interpretive support relating to any NCAA regulations.

18.11 BUSINESS OFFICE CHECKLIST

- Associate Athletic Director for Business will coordinate any travel plans and housing for parents, staff, coaches or team.
18.12 ACADEMIC SERVICES CHECKLIST

- Associate Athletic Director for Academic Services will notify professors of incident and impact on class/grades.

18.13 COACHING AND SUPPORT STAFF CHECKLIST

- Notify Director of Athletics and Head Athletic Trainer of catastrophic incident.
- Follow Immediate Action Plan.
- Encourage student-athletes to not discuss incident until cleared to do so by UAlbany Division of Athletics.
- Support student-athletes and facilitate catastrophic incident guidelines as outlined.

18.14 VICE PRESIDENT FOR STUDENT AFFAIRS CHECKLIST

- Coordinate communication with Division of Athletics.
- Help facilitate efforts of Division of Athletics, counseling services and campus Catastrophic Incident Stress Management Team (for counseling of team, coaches, staff, etc.).

18.15 COUNSELING AND PSYCHOLOGICAL SERVICES (CAPS) CHECKLIST

- Contact number: (518) 442-5800.
- Activate Catastrophic Incident Stress Management Team to provide immediate grief counseling to student-athletes, coaches, and staff.
- Provide any follow-up counseling post-incident to student-athletes, coaches, or staff members.

18.16 NCAA FACULTY REPRESENTATIVE CHECKLIST

- Serve as faculty liaison to campus for the Division of Athletics.

18.17 INSURANCE SPECIALIST CHECKLIST

- Communicate health insurance procedure information as needed.

18.18 CRIMINAL CIRCUMSTANCES (ACCIDENT, ASSAULT, HOMICIDE, SUICIDE)

University Police Department

- UPD notified immediately of catastrophic incident involving possible criminal activity.
- Chief of Police is notified.
• UPD communicates with Albany Police Department.
• UPD communicates information as appropriate to CIMT.

18.19 AWAY CONTEST-COACHES, ADMINISTRATORS AND STAFF MEMBERS CHECKLIST

• Immediately notify the Director of Athletics and Head Athletic Trainer of the incident.
• Work with local hospital, Athletic Training staff, Division of Athletics, or Police to assist in process and gather information to update the Director of Athletics and/or Head Athletic Trainer.
• The Head Coach and/or Athletics staff member remains on site after team departs to coordinate communication and arrangements with UAlbany Administration until relieved by a UAlbany Representative.

SUMMARY CHRONICLE
• A detailed written summary chronicle will be prepared following any catastrophic incident which identifies and explains the activities of those who participated in and responded to the incident.
• This chronicle will be used to critique the process, its efficiency and effectiveness, and will be used as the basis for review of procedures.

18.20 CATASTROPHIC INCIDENT PLAN CARD

<table>
<thead>
<tr>
<th>Catastrophic Incident Management Team (CIMT)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Director of Athletics or designee, Head Athletic Trainer, Media Relations, Legal Counsel, VP for Student Affairs and additional personnel as deemed appropriate (Coach, Physician, etc.)</td>
</tr>
<tr>
<td>1. Get all pertinent facts regarding the incident accurately and expeditiously.</td>
</tr>
<tr>
<td>2. Immediate communication within the CIMT.</td>
</tr>
<tr>
<td>3. Only members of the CIMT, or individuals they designate, are to speak on the incident to family members, media, other staff members, student-athletes or coaches. <strong>No one else has clearance to speak on the incident.</strong></td>
</tr>
<tr>
<td>4. CIMT WILL NOTIFY THE FAMILY</td>
</tr>
<tr>
<td>5. Respect the dignity of the individuals involved.</td>
</tr>
<tr>
<td>6. Meet with student-athletes to discuss situation. Instruct student-athletes they are not to speak to anyone regarding the incident.</td>
</tr>
<tr>
<td>7. Accurately document all events, list all participants and witnesses.</td>
</tr>
<tr>
<td>8. Secure any or all available materials / equipment involved.</td>
</tr>
<tr>
<td>9. Any communication with the media is handled through the Media Relations Office. All information deemed appropriate for release to the media will be determined by the Director of Athletics/designee.</td>
</tr>
<tr>
<td>10. Assign athletics staff member to be with the family at all times upon arrival; protect from outside persons.</td>
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<tr>
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</tr>
<tr>
<td>11. Establish hospital contact person. After being informed of a catastrophic incident, the following individuals should be notified to commence their responsibilities.</td>
</tr>
<tr>
<td><strong>Head Athletic Trainer</strong> will work with medical specialists assisting the individual.</td>
</tr>
<tr>
<td><strong>Head Athletic Trainer</strong> will contact Director of Athletics and the Team Physician.</td>
</tr>
<tr>
<td><strong>Director of Athletics</strong> will contact President, Legal Counsel, VP for Student Affairs and Media Relations Director.</td>
</tr>
<tr>
<td><strong>Director of Athletics</strong> will designate an administrator as the point person.</td>
</tr>
<tr>
<td><strong>Athletics Administrator</strong> will contact the following:</td>
</tr>
<tr>
<td><em>Head Coach and Assistant Coaches.</em></td>
</tr>
<tr>
<td><em>NCAA Compliance office representative.</em></td>
</tr>
<tr>
<td><em>Athletic Business Office representative.</em></td>
</tr>
<tr>
<td><em>Athletic Academic Services representative.</em></td>
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<tr>
<td><em>Faculty Athletics Representative (FAR).</em></td>
</tr>
<tr>
<td><em>Counseling and Psychological Services (CAPS).</em></td>
</tr>
<tr>
<td><em>Travel coordinator / travel / lodging (Incidental expense waiver).</em></td>
</tr>
<tr>
<td><em>Insurance representative.</em></td>
</tr>
<tr>
<td><em>University Police representative.</em></td>
</tr>
</tbody>
</table>

### 18.21 PREVENTION OF CATASTROPHIC INJURY AND DEATH IN COLLEGIATE ATHLETES

In accordance with NCAA recommendations and the University at Albany’s commitment to student-athlete welfare and safety, head coaches, assistant coaches, sport supervisors, athletic training staff and strength and conditioning staff will be required to read the NCAA’s recommendations on Prevention of Catastrophic Injury and Death in Collegiate Athletes annually through ARMS. The form is assigned by the Head Athletic Trainer.

The NCAA document can be found at the following link:

http://image.mail2.ncaa.com/lib/fe5715707d6d067e7c1c/m/4/7a794ccb-6ca3-4b4d-8ba7-ade573680e29.pdf

By signing, the individual acknowledges they have read and understood the NCAA’s recommendations on the prevention of catastrophic injury and death in collegiate athletes.

If you have any further questions, comments or concerns please feel free to contact the Head Athletic Trainer at (518) 442-3725.
SECTION 19: INCLEMENT WEATHER AND EMERGENCY PROCEDURES

19.1 SEVERE WEATHER AND EMERGENCY PROCEDURES FOR PRACTICES AND GAMES

In the event of extreme weather emergencies, fire, bomb threats during events, the Game Administrator and/or Associate Athletic Director shall consult privately with the Director of Athletics and the University Police Chief; inform coaches of the emergency; and shall then have the public address announcer read the appropriate evacuation or shelter instructions statement. The Game Administrator shall stress to the public address announcer the importance of keeping spectators calm and orderly during the exit or sheltering process. The emergency evacuation plan or emergency statement for each specific facility shall be included in the announcer's event announcement material at each event.

Should severe weather occur, seek shelter immediately in the designated safe shelter nearest you. A safe shelter is defined as any sturdy, fully enclosed, substantial, and frequently inhabited building that has plumbing and/or electrical wiring that acts to electrically ground the structure. Examples of locations that DO NOT meet the criteria above include:

- Baseball/softball dugouts
- Baseball/softball "covered" batting cages
- Canopy/awning/tent

If you are unable to reach a safe shelter you need to avoid the following objects: the tallest trees in the area, light poles, flag poles, metal fences or bleachers, standing pools of water and open fields. Avoid being the tallest object in the area and do not take shelter under a single, tall tree. Any vehicle with a hard metal roof (not a convertible or golf cart) and rolled up windows will provide a safe shelter. Avoid using shower facilities for safe shelter and do not use showers, plumbing or land line telephones during a thunderstorm. Cellular telephones are a safe alternative to use if you are within a safe structure.

**Designated Safe Shelter Areas**

For outdoor Athletic Facilities that are not equipped with permanent structures to seek shelter in (softball, baseball, tennis, field hockey, lacrosse, football, soccer and track & field), the following is recommended:

- Spectators should move to the nearest entrance to the Physical Education building and/or SEFCU Arena and seek shelter as quickly as possible.
- Visiting team(s) go to visitors' locker rooms in the Physical Education building and/or SEFCU Arena.
- Home team go to respective locker room(s) in the Physical Education building and/or SEFCU Arena.
• Game officials go to designated locker room(s) in the Physical Education building and/or SEFCU Arena.

The Game Administrator, event staff and University Police will assist with clearing the facility in a safe and timely manner. Once it has been determined that it is safe to return, the Game Administrator and/or Associate Athletic Director will return to the facility first. Staff members must be at their assigned stations prior to allowing spectators to return.

19.2 LIGHTNING PROCEDURES

Weather Information

Lightning is the most dangerous and frequently encountered thunderstorm hazard that people experience every year. Lightning is a widespread danger to the physically active population, in part because of the prevalence of afternoon to early evening thunderstorms from late spring to early fall and the outdoor physical activities during those times. While the probability of being struck by lightning is low, the odds are significantly greater when a storm is in the area and proper safety precautions are not followed. No location in the United States is safe from lightning. People living in areas with less thunderstorm activity need to be particularly attentive when lightning does occur because they may ordinarily be less aware of the potential threat. This includes the tendency for lightning in the western US to occur without concurrent heavy rain.

On average, 25 million lightning flashes strike the ground each year in the United States. Education regarding lightning danger and precautions to lessen the likelihood of being struck by lightning are critical to reducing casualties. All individuals, particularly leaders in athletics, should appreciate the lightning hazard, learn the published lightning-safety guidelines, act prudently, and encourage safe behavior in others. Each person should also ensure his or her own safety when a lightning hazard is present.

Lightning-Specific Emergency Action Plan

Lightning-safety slogans supported by the National Weather Service should be promoted.

“No Place Outside is Safe When Thunderstorms Are in The Area!”

“When Thunder Roars, Go Indoors!”

“Half An Hour Since Thunder Roars, Now It’s Safe To Go Outdoors!”

A chain of command that identifies a specific person (or role) who is to make the decision to remove individuals from the field or activity must be established. The athletic trainer will make the decision at practices. The head coach will make the determination at practices if there is no athletic trainer present. Game operations will
make the determination at competitions. Strength and conditioning will make the determination during conditioning sessions if there is no athletic trainer present. This person must have recognized and unchallengeable authority to suspend activity.

UAlbany will use a reliable means of monitoring the local weather. Before each event, a specific person (a weather watcher) who is responsible for actively looking for threatening weather and is charged with notifying the chain of command will be identified.

Safe locations from the lightning hazard will be identified in advance of the event for each venue.

Specific criteria for suspending and resuming activity will be identified.

**19.3 PERSONAL SAFETY AND NOTIFICATION OF PARTICIPANTS IN THE EVENT OF LIGHTNING DANGER**

UAlbany has implemented the following policy regarding lightning safety based on NCAA and NSSL recommendations for our student-athletes and spectators.

Coaches, officials and administrators who are responsible for the safety of student-athletes should follow safety precautions to avoid inherent risk and injury associated with lightning.

The decision to suspend a game or practice will be based on the following information systems:

1. The Game Administrator and/or the athletic training staff will check the weather daily prior to practice or a home contest. The following Internet web sites may be used as references: [www.weather.com](http://www.weather.com) and [www.accuweather.com/](http://www.accuweather.com/).
2. The athletic training staff may utilize the electronic lightning detection device to measure the distance and frequency of lightning in the surrounding areas.
3. "Flash-to-Bang" Method: Will be used as a secondary method of monitoring lightning. It requires no equipment and is an easy way to determine the distance from the last lightning strike. This method is performed by beginning a count, which is equivalent to one second at the time you see a flash of light and continue counting until you hear the thunder. Take that number and divide by 5 to determine the distance in miles that the strike was from you. An example, if you counted thirty seconds, this would indicate that the strike was approximately 6 miles away.
4. If lightning is indicated within 20-40 miles, the Game Administrator and/or a member of the athletic training staff will begin to observe the sky for signs of severe weather. If lightning is detected, the "Flash-to-Bang" method will be used to determine the distance of the lightning from the practice or game site. Since the
average lightning bolt is six miles long, a "flash-bang" count of 40 or less indicates increased lightning strike danger, and play/practice should be suspended. Additionally, remember that blue skies and the absence of rain does not mean that you are safe from lightning. Lightning can strike as far as 10 miles away from the rain shaft.

5. Activity should be suspended and all persons should seek safe shelter when lightning is within 8 miles or less (a Flash-to-Bang count of 40 seconds or less).

6. In the event of danger from severe weather, the certified athletic trainer will notify the supervising coach at practices; the Game Administrator will notify the head coaches and game officials at games. If appropriate, the certified athletic trainer and/or the Game Administrator must recommend that play be suspended at that time and that shelter should be taken. The decision to stop during an official game rests with the official or referee officiating the game or contest. The Game Administrator, head coaches of the home or visiting teams, or the certified athletic trainer of the home institution should be able to confer with the game official to stop play during dangerous lightning activity. Stoppage of play should be based on the guidelines presented above.

7. During any of the above situations, individuals, athletes or staff who feel they are in danger of lightning have the right to leave the field and seek safe shelter. The official in charge of the contest will notify the public address announcer to inform the spectators to seek immediate shelter from the lightning.

8. Once play has been suspended, everyone involved with the practice or game will seek shelter in designated "safe structures."

9. **No contest should be resumed until all lightning activity within an 8 mile radius (40 second count) has ceased for 30 consecutive minutes.**

**Return to Activity**

Once a game or practice has been suspended, the storm should continue to be monitored. **No contest or practice should be resumed until all lightning activity within an 8 mile radius (40 second count) for 30 consecutive minutes** and/or the lightning detector indicates that lightning is greater than 20 miles away.

In the event of the weather persists for an extended period of time, the Game Administrator and/or Associate Athletic Director shall consult with the Director of Athletics, visiting team administration and game officials, to determine if/when the contest will be resumed. Decisions will be made in accordance with conference policy and with student-athlete welfare being of the utmost priority.

If thunder can be heard, lightning is close enough to be a hazard, and people should go to a safe location immediately.

In the event of impending thunderstorms, those in control of outdoor events should fulfill their obligation to warn participants and guests of the lightning danger.
All individuals have the right to vacate an outdoor site or unsafe areas, without fear of repercussion or penalty, in order to seek a lightning-safe location if they feel in danger from impending lightning activity.

People who have been struck by lightning do not carry an electrical charge. Therefore, cardiopulmonary resuscitation (CPR) is safe for the responder. If possible, an injured person should be moved to a safer location before starting CPR. Lightning-strike victims who show signs of cardiac or respiratory arrest need prompt emergency help. Prompt, aggressive CPR has been highly effective for the survival of victims of lightning strikes.

The **DO**’s and **DONT**’s of lightning strikes:

**DO NOT** use corded phones during a lightning storm.
**DO NOT** use electrical equipment or cords. If you plan to unplug any electronic equipment, do so long before the storm arrives.
**DO NOT** wash your hands, **DO NOT** take a shower, **DO NOT** wash dishes, and **DO NOT** do laundry.
**DO** stay away from windows and doors, and stay off porches.
**DO NOT** lie on concrete floors and do not lean against concrete walls—they usually contain wire mesh.

**Lightning and General Weather Awareness**

Weather information can be found through various means via local television news coverage, the internet, cable and satellite weather programming, or the National Weather Service (NWS) Web site at www.weather.gov.

Be informed of National Weather Service (NWS) issued thunderstorm “watches” or “warnings”, and the warning signs of developing thunderstorms in the area, such as high winds or darkening skies. A “watch” means the risk of a hazardous weather event is significantly increased, but its presence, location, or timing is unclear; the purpose is to provide enough time to set plans in motion. A “warning” means that hazardous weather (i.e., conditions posing a threat to life or property) is occurring, is imminent, or has a very high probability of occurring and for everyone to take the proper precautions.

**Safe Structures**

Know where the closest “safe structure or location” is to the field or playing area, and know how long it takes to get to that safe structure or location. Safe locations or structures at UAlbany during athletic activities include SEFCU Arena and the Physical Education (PE) Building. These locations must be identified before the event and the participants and spectators must be informed of them. Access to these buildings during
outdoor activities must be assured. These buildings must hold all individuals affected by the lightning hazard, including participants and spectators.

Safe structure or locations is defined as:

1. Any building normally occupied or frequently used by people, i.e., a building with plumbing and/or electrical wiring that acts to electrically ground the structure.
2. In the absence of a sturdy, frequently inhabited building, any vehicles with a hard metal roof (not a convertible or golf cart) with the windows shut provides a measure of safety. A vehicle is certainly better than remaining outdoors. The hard metal frame and roof, not the rubber tires, are what protects occupants by dissipating lightning current around the vehicle and not through the occupants. It is important not to touch the metal framework of the vehicle.

**Dangerous Locations**

Small covered shelters are not safe from lightning. Dugouts, rain shelters, golf shelters, picnic shelters and storage sheds even if they are properly grounded for structural safety, are usually not properly grounded from the effects of lightning and side flashes to people. Locations with open areas, such as tents, dugouts, refreshment stands, press boxes, and open garages are not safe from a lightning hazard. They are usually very unsafe and may actually increase the risk of lightning injury. Other dangerous locations include areas connected to, or near, light poles, trees, towers and fences that can carry a nearby strike to people. Large bodies of water, including indoor and outdoor swimming pools, are unsafe areas. Also dangerous is any location that makes the person the highest point in the area.

Injuries have been reported to people inside a building who were using plumbing or wiring. Avoid using the shower or plumbing facilities and contact with electrical appliances during a thunderstorm. Close proximity to sinks, indoor swimming pools, locker rooms, appliances and electronics can be unsafe.

Avoid using landline telephones, except in emergency situations. People have been killed while using a landline telephone during a thunderstorm. Cellular phones are safe alternatives to a landline phone, particularly if the person and the cell phone are located within a safer structure or location, and if all other precautions are followed.

**Large-Venue Planning**

A specific lightning-safety plan for large-scale events should be established and include the components of the EAP for lightning.

The plan should include the following items:
*Use a reliable weather-monitoring system to determine whether to cancel or postpone activity before the event begins. Continuous monitoring of the weather should occur during the event.

*Means to prevent spectators from entering an outdoor venue when the event is suspended due to lightning. Spectators should be directed to the nearest safe location.

*Identification of enough close-proximity substantial buildings and vacant, fully enclosed metal vehicles to hold all individuals affected by the lightning hazard, including participants and spectators.

*Means to ensure a safe and orderly evacuation from the event, including announcements, signage, safety information in event programs and brochures, assistance from ushers, and entrances that also serve as exits.

*Consideration for the time it takes to notify and move all individuals so they can be wholly within a safe, substantial building by the time the leading edge of the storm is within 6 miles of the outdoor activity.

**First Aid**

Active thunderstorms can pose an ongoing hazard to rescuers as well as spectators and sport participants. Rescuers and emergency personnel must ensure their own personal safety before venturing into the venue to provide aid.

Activate the emergency management system. Evaluate and treat patients in the following order: (a) Move patient(s) carefully to a safer location if needed. (b) Evaluate and treat for apnea (cessation of breathing) and absence of heartbeat (cardiac arrest). (c) Assess level of consciousness. (d) Evaluate and treat for the possibility of spinal injuries. (e) Evaluate and treat for hypothermia.

Personnel responsible for the well-being of participants should maintain current cardiopulmonary resuscitation (CPR) and first-aid certifications. If an automated external defibrillator (AED) is available, it should be applied on anyone who appears to be unconscious, pulse less, or apneic. However, other first-aid efforts and resuscitation should not be delayed while an AED is being located.

**19.4 INCLEMENT WEATHER – CANCELLATIONS OF PRACTICES AND/OR GAMES**

**19.4.1 UALBANY PRACTICE CANCELLATION POLICY**

Decisions to cancel practices will be the responsibility of the sport administrator or Assistant Director of Game Operations and Facilities.

*Updated November 2019*
In the event that classes are cancelled, **ALL ATHLETIC RELATED ACTIVITIES WILL BE CANCELLED FOR THOSE TEAMS THAT ARE NOT IN THE COMPETITIVE SEASON.**

Teams that are in-season will coordinate with the sport administrator and/or Assistant Director of Game Operations and Facilities a practice time that is reasonable and provides safe transportation opportunities for all support staff and student-athletes.

In the event that UAlbany campus is closed for any reason, **ALL PRACTICES WILL BE CANCELLED FOR ALL TEAMS.** If the campus is closed a day prior to the date of a competition, the Head Coach will work with the Sport Administrator to schedule a practice time that is reasonable and provides safe transportation opportunities for all support staff and student-athletes.

**Resources:**

University at Albany Class Cancellation Procedure:
http://www.albany.edu/academics/files/Procedure_for_Canceling_Classes_Due_to_Inclement_Weather.pdf

University at Albany Employee Liberal Leave:
http://www.albany.edu/hr/assets/Liberal_Leave_During_Snow_Emergencies.pdf

New York State Policy:
https://www.suny.edu/sunypp/documents.cfm?doc_id=553

### 19.5 CONFERENCE CANCELLATION POLICIES

In the event there is inclement weather, including but not limited to, snow storms, freezing temperatures or wind chill and excessive rain that affects outdoor practices and/or competitions, it is the responsibility of the UAlbany Athletic Administration to determine the effectiveness of conducting practices and/or competitions.

Decisions to cancel or postpone competitions will be in accordance with the America East, CAA and MAAC Conferences inclement weather policies.

The final decision to cancel conference games will be made in accordance with the respective conference sport handbook. It is the responsibility of the game administrator to know the policies and to have readily available a copy of the handbook at each game.

**19.5.1 AMERICA EAST CONFERENCE POSTPONEMENT/CANCELLATION OF GAMES**

*Updated November 2019*
1. General. In the event that a game is postponed (by the competing institutions in conjunction with the Conference office), all reasonable efforts must be made to reschedule the contest to ensure the integrity of the Conference standings. It is expected that first, the two institutions will attempt to find a mutually suitable make-up date. Barring that, the Conference office is empowered to identify a date and/or site for the contest to be made up after considering all pertinent factors. In the event that institutions and the Conference office need to consider make-up dates after the official end of the regular season, games may be scheduled after the final regular season weekend as long as they do not negatively impact first-round competition. Please see specific sport manuals for baseball and softball policies in the event of inclement weather.

2. Health-Related. In the event that an authorized campus official, independent of the athletics department, determines that a contest should not be played due to a public health event, the institution must provide verification to the conference office to confirm the validity of the public health event (emergency) for a proposed schedule change.

3. Incomplete Conference Schedule. If, after all reasonable efforts are put forth to reschedule games and a complete Conference schedule cannot be completed, the standings shall be determined by winning percentage (conference games). If a tie exists between teams based on winning percentage, the tie shall be broken via the established policy by sport.

4. Site Readiness Responsibility. Determination of whether or not a campus facility is adequate for a Conference contest rests with the host Athletic Director or a senior administrator (associate or assistant directors) in consultation with the officials, if present. A coach shall not make a decision that the facility is not playable. If the visiting team is already at the locale, a decision that the field is not playable shall be made no later than one hour prior to game time.

5. Expenses for Makeup Contests. The participating institutions shall pay the expenses involved for an additional trip to makeup a contest(s) that impacts determination of the Conference champion or the determination of the championship field in that sport. The Conference office shall participate in all discussions and decisions concerning the playing of a make-up contest(s).

6. Eligibility for Championship. A decision not to play an America East Conference contest shall not prevent either team from earning a tournament position. An institution shall be prohibited in both team and individual sports from competing in the Conference championship postseason play if a team falls below the 930 APR benchmark. (Revised June 2012).

19.5.2 CAA CONFERENCE POSTPONEMENT/CANCELLATION OF COMPETITION (FOOTBALL)

1. Inclement Weather and Force Majeure
   I. When word reaches the Referee that a lightning or tornado warning is in effect for the immediate area or that an unforeseeable event / incident has
occurred (force majeure), the Referee will immediately stop the game and inform both coaches that the game is being suspended.

II. The Referee will inform the home team, and the Umpire will inform the visiting team, that ALL team personnel will go immediately to their respective dressing rooms. This includes players, coaches, trainers, managers, cheerleaders, mascots, bands and any other persons who are the responsibility of the institutions participating the game.

III. The Public Address announcer shall make an announcement that will inform the fans that the game is being suspended, and provide them with other pertinent information and instructions.

IV. All personnel, including game officials, coaches, players, athletics directors, game management personnel and Conference office staff, are required to use best efforts to see that each Conference game is played to its conclusion. The Conference recognizes, however, that emergencies may arise which make a game's completion impossible or inadvisable. Such circumstances may include, but are not limited to, severely inclement weather, natural or man-made disaster, power failure and spectator interference.

V. Games should be suspended, canceled or postponed (see below-noted definitions) when circumstances exist such that commencement or continuation of play would pose a threat to the safety of game participants.

2. Definitions
   I. Suspend. To suspend a game is to temporarily halt play for a period of time.
   II. Cancel. To cancel a game is to nullify it either before or after it begins and to make no provision for rescheduling it or for including its score or other performance statistics in Conference records.
   III. Postpone. To postpone a game is to defer its starting time to a later date.

3. Guidelines/Special Instructions
   I. If a game is postponed prior to kickoff for any reason, the Athletic Directors from the two participating institutions, in consultation with the Commissioner and other Conference office personnel, shall attempt to reschedule the game at a mutually agreed upon date and time. If the Athletic Directors cannot mutually agree on a future date and time for the game to be played, the Commissioner will intervene and attempt to mediate the matter. If the Commissioner ultimately determines there is not a feasible or practical date and time on which the game can be rescheduled, he will declare the game a canceled game.
   II. If a game is suspended for any reason after play has begun, it should be resumed as soon as conditions are deemed safe by the Referee in consultation with the home team game management personnel.
   III. A suspended game shall not be resumed after midnight local time or after the game has been suspended for three (3) consecutive hours. If a game is suspended for three (3) consecutive hours, the Athletic Directors from
each of the participating institutions (in consultation with the Commissioner and/or his designee, provided the Commissioner and/or his designee are available) can mutually agree to extend the time of the suspension, but in no case can the game resume after midnight local time.

IV. If a game is suspended, the home institution will make every reasonable effort to accommodate a visiting team’s request for additional indoor space. This additional indoor space would be over and above the space already provided in the visiting team locker room.

V. If a game is suspended, the home institution will provide reasonable sustenance (e.g., fruit, pizza, soft pretzels and electrolyte beverages) to the visiting institution to assure that student-athletes from both institutions are properly nourished and hydrated if and when the game resumes.

VI. Prior to a suspended game being resumed, each institution shall be allotted fifteen (15) minutes to warm-up.

VII. If a game is suspended after play has begun, cannot be resumed, and three quarters of play have been completed, the game shall be declared a completed contest and the institution with the most points shall be declared the winner. If the game is tied, the game will be declared a completed contest and noted as a tie in each institution’s record. There are no circumstances that would permit the game to be completed the next day or at any date in the future.

VIII. If a game is suspended after play has begun, cannot be resumed, and less than three quarters of play have been completed, the game shall be declared canceled. In this case the game would not be reflected in the record of either institution and the performance statistics for the portion of the game that was played would be nullified. There are no circumstances that would permit the game to be completed the next day or at any later date.

19.5.3 MAAC CONFERENCE POSTPONEMENT/CANCELLATION OF COMPETITION (GOLF)

The women’s golf championship will be a three-day event (54 holes). Eighteen (18) holes will be played on each day of the championship. In the event of inclement weather, when the course has been deemed unplayable by the pro, the champion shall be determined based on the scores of the last completed round of play. In other situations, the format will be determined by the games committee at the site of the competition.

19.6 HEAT ILLNESS PREVENTION AND MANAGEMENT PROGRAM

Factors Affecting Temperature Regulation
- Air temperature
- Humidity

Updated November 2019
• Wind
• Clothing
• Activity intensity
• Food intake
• Adaptability of the body

Susceptibility
• Athletes with a prior history of cramping and/or heat illnesses
• Athletes with certain medical conditions (e.g., Sickle Cell)
• Poorly conditioned and/or un-acclimatized athletes
• Overweight athletes / athletes with a high body-mass index (BMI)
• Athletes who constantly compete at a high capacity / intensity
• Athletes with very low body-mass index / low body-fat (e.g., lean & fit)
• Athletes with a lower “heat tolerance”
• Athletes who are ill (e.g., infection, fever, diarrhea, vomiting, etc.)
• Athletes who are taking certain medications (e.g., diuretics)
• Athletes who are taking certain supplements and/or ergogenic aids (e.g., creatine, steroids, Red Bull, etc.)
• Athletes with poor dietary / nutrition habits (e.g., caffeine, high-fat foods)
• Athletes with high core temperatures
• Athletes who have greater than 3% body weight loss
• Athletes who are on restricted and/or low-salt diets
• Athletes who are heavy sweaters (e.g., “Salty Sweaters”)

Prevention Strategies and Recommendations

Pre-Season
• Thorough & complete medical history and pre-participation physical examination
• Supplement Notification Form
• Medical Alert List (heat illness, dehydration, cramping, etc.)
• Type & duration of training activities within the past 1-2 months
• Extent of training done in heat
• Medical examination

Strength and Conditioning/Acclimatization Program

Education Initiatives with Coaching Staff
• NCAA Practice Initiatives
• Open lines of communication
• Physical examination review/Medical Alert List
• Heat index (practice modification guidelines)
• Fluid replacement
- Heat illness recognition

**Education Initiatives with Student-Athletes**
- Open lines of communication
- Diet/nutrition (low-fat, no caffeine or alcohol, fruits and vegetables, no fast food, etc.)
- Hydration/fluid replacement
- Proper clothing
- Supplements (STOP taking)/Supplement Notification Form
- Rest

**Education/Training of Sports Medicine Staff and Student Athletic Trainers**
- Recognition & management of heat illnesses
- Heat Index
- Emergency planning
- CPR/AED certification/re-certification
- Communication

**Preparation of Sports Medicine Facilities and Practice Facilities**
- Ice/order ice box
- Water/stab and white OSHA approved hose
- Ice
- Towels
- Coolers/water bottles
- Electrolyte replacement
- Fans
- Gatorade/water
- Tents/“Cool Area” on practice field
- Ice tubs/cold whirlpools
- Heat Index/Temperature Sensor
- Transportation
- Review/Revision of Emergency Plans
- Lower air conditioning in building (70 degrees)

**Emergency Planning/Communication**
- Communication with Team Physicians, University Health Center, and local EMS
- Emergency Action Plan
- Cold tubs
Team Meeting
- Rest
- Diet/nutrition
- Supplements
- Weight charts
- Proper hydration/fluid replacement/water bottles
- Proper clothing/uniforms (avoid rubberized clothing, excessive clothing, dark clothing)
- Urine color chart
- Communication with Athletic Training Department personnel

Pre-Practice
- Monitor weather radar & Heat Index (re-take every 30 minutes if initial reading is greater than 85)
- Communicate with student-athletes
  - Diet / Nutrition
  - Hydration (12-20 oz. of cold water / every 10-20 minutes)
  - Importance of weight charts
  - Electrolyte replacement
- Communicate with coaches (adjust practice times, uniforms, breaks, intensity, etc. as needed)
  - Weight charts
  - Athletic Training Student will monitor (if available)
  - 2% weight loss chart
  - Highlight (yellow = did not weigh in, pink = > 2% weight loss)
  - Urine Color Chart (posted over urinals & on back of stall doors)
  - How Much Water To Drink Chart (posted over urinals & on back of stall doors)
  - Availability of Electrolytes
  - Field preparation
  - Ice / water / ice towels
  - Dry towels (from equipment)
  - “Cool Area” / Shaded area / fans
  - Ice tubs (field and athletic room)
  - Emergency equipment (AED, thermometer, golf cart, etc)

During Practice
- Athletic Training Staff availability at practice
- Monitor Heat Index every 30 minutes as needed
- Communication with coaching staff
  - Heat Index
  - Practice modification (extra breaks, equipment, time, intensity, etc.)
  - Heat Illness recognition

Updated November 2019
• Communication with student-athletes
  o Heat illness recognition
  o Drink 8-12oz of cold water every 10-15 minutes throughout practice
  o Take helmets off as applicable
  o Use of ice towels / hoods
  o Dry off as much as possible
  o Ice / water / ice towels / hoods availability
  o Electrolyte availability
  o Physician(s) (communicate with as needed)
  o Tent / “Cool Area” / fans
  o Cold tubs (field and athletic training room)
  o Athletic Training Staff field communication (walkie-talkies, cell phones)

Post-Practice
• Communicate with student-athletes
  o Weight charts
  o Urine Color Chart
  o How Much Water To Drink Chart
  o Diet / nutrition (lots of fluids, low-fat meal, no caffeine or alcohol, lightly salt foods, no fast food, drink with meal)
  o Hydration
  o Water bottles
  o Replace 150% of volume lost (24oz of cold water or Gatorade for every pound lost)
  o Fulfill thirst → eat good, nutritious meal → DRINK
  o Electrolyte replacement
  o Importance of REST
  o Stay out of the sun!
• Communicate with coaches (injury report, weather forecast, etc.)
  o Weight charts
  o Athletic Training Student monitor (if available)
  o 2% weight loss chart
  o Highlight (yellow = did not weight in, pink = >2% weight loss
  o Urine Color Chart (posted over urinals & on back of stall doors)
  o How Much Water To Drink Chart (posted over urinals & on back of stall doors)
  o Availability of Electrolyte
  o Availability of water & sport nutrition drinks
  o Availability of Team Physician
  o Availability of cold tubs (field and athletic training room)
Meals and Meetings

Drink enough to quench thirst post-practice → eat a good, nutritious meal and drink with your meal → continue to DRINK
- Low-fat foods
- Fruits and vegetables
- Water, sport drinks (no carbonated beverages, no fruit juices, no punch)
- No caffeine and/or alcoholic drinks
- Lightly salt foods to taste
- No fast food
- No supplements
- Water bottles (have a water bottle with you at all times)
- Cool clothing

Miscellaneous
- Continuously communicate and educate all parties involved
- Be prepared
- Encourage and practice good fluid replacement and dietary habits
- Recognize heat illnesses and follow established emergency plan
- Get REST!

Exertional Heat Illness

Strategies to optimize proper care of dehydration, exertional heat stroke (EHS), heat exhaustion, heat cramps and exertional hyponatremia are presented here. This consensus statement was developed by the Inter-Association Task Force on Exertional Heat Illnesses (June 2003).

These guidelines were established to increase safety and performance for individuals engaged in physical activity, especially in warm and hot environments. Many cases of exertional heat illness are preventable and can be successfully treated if onsite personnel identify the condition and implement appropriate care in a timely manner.

Athletic trainers should recognize that temperature ranges might vary widely based upon geographic regions. Athletic trainers may practice in regions where the temperature is routinely in the high or extreme or hazardous level or risk throughout a significant part of the year. In these regions, while it may not be practical to reschedule or delay events, the athletic trainer must recognize that the level of risk is high and take appropriate steps to reduce risk.
Overall Strategies for the Prevention of Exertional Heat Illness

Scientific evidence indicates the following factors may increase the risk associated with exercise in the heat. Although some factors can be optimized (e.g., heat acclimatization), others cannot (e.g., health problems). Regardless, these factors may help in developing a proactive approach to preventing exertional heat illnesses.

Intrinsic factors include
- History of exertional heat illnesses
- Inadequate heat acclimatization
- Lower level of fitness status
- Higher percent body fat
- Dehydration or over-hydration
- Presence of a fever
- Presence of gastrointestinal illness
- Salt deficiency
- Skin condition (e.g., sunburn, skin rash, etc.)
- Ingestion of certain medications (e.g., antihistamines, diuretics, etc.) or dietary supplements (e.g., ephedra, etc.)
- Motivation to push oneself/warrior mentality
- Reluctance to report problems, issues, illness, etc.
- Pre-pubescence

Extrinsic Factors Include
- Intense or prolonged exercise with minimal breaks
- High temperature/humidity/sun exposure, as well as exposure to heat/humidity in preceding days.
- Heat stroke risk rises with increasing heat and relative humidity.
- Inappropriate work/rest ratios based on intensity, wet bulb globe temperature (WBGT), clothing, equipment, fitness and athlete’s medical condition.
- Lack of education and awareness of heat illnesses among coaches, athletes and medical staff
- No emergency plan to identify and treat exertional heat illnesses
- No access to shade during exercise or during rest breaks
- Duration and number of rest breaks is limited
- Minimal access to fluids before and during practice and rest breaks
- Delay in recognition of early warning signs

General Considerations for Risk Reduction
- Encourage proper education regarding heat illnesses (for athletes, coaches, parents, medical staff, etc.). Education about risk factors should focus on hydration needs, acclimatization, work/rest ratio, signs and symptoms of
exertional heat illnesses, treatment, dietary supplements, nutrition issues and fitness status.

- Provide medical services onsite (e.g., certified athletic trainer (ATC), emergency medical technician (EMT), physician).
- Ensure pre-participation physical examination that includes specific questions regarding fluid intake, weight changes during activity, medication and supplement use and history of cramping/heat illnesses has been completed.
- Assure that onsite medical staff has authority to alter work/rest ratios, practice schedules, amount of equipment and withdrawal of individuals from participation based on environment and/or athlete’s medical condition.
- Fluid breaks should be scheduled for all practices and scheduled more frequently as the heat stress rises.
- Add 5 degrees to temperature between 10:00 a.m. and 4:00 p.m. from mid-May to mid-September on bright, sunny days.
- Practices should be modified for the safety of the athletes to reflect the heat stress conditions.

**Dehydration**

**Factors Contributing to Onset of Condition**

When athletes do not replenish lost fluids, they become dehydrated. Mild dehydration (less than 2% body weight loss (BWL)) is often unavoidable because athletes cannot always replenish fluids at a rate equal to that being lost. Dehydration as minimal as 2%BWL can begin to hinder performance and thermoregulatory function.

Optimal hydration is the replacement of fluids and electrolytes in accordance with individual needs. Fluid intake should nearly approximate fluid losses. Athletes must personally establish and monitor fluid requirements and modify behavior to ensure optimal hydration status. Fluid intake beyond fluid needs for many hours also can be quite harmful (see Exertional Hypotremia).

**Recognition/Signs and Symptoms**

- Dry mouth
- Thirst
- Irritability
- General discomfort
- Headache
- Apathy
- Weakness
- Excessive fatigue
- Decreased performance
- Dizziness

*Updated November 2019*
• Cramps
• Chills
• Vomiting and nausea
• Head or neck heat sensations

**Treatment**

The following procedures are recommended if dehydration is suspected:

- Dehydrated athletes should move to a cool environment and rehydrate.
- Maintaining normal hydration (as indicated by baseline body weight) is critical to avoiding heat illnesses. If an athlete’s BWL is greater than 1% to 2% within a given day or on consecutive days, that athlete should return to normal hydration status before being allowed to practice. (Remember that pre-exercise/event/participation examination body weight baseline measures may not accurately assess hydration status if post-practice body weight is being compared to a baseline that is measured in a dehydrated state. Urine specific gravity or urine color can help with this assessment if an athlete is suspected to be dehydrated at the time baseline measurements are taken.)
- Athletes should begin exercise sessions properly hydrated. Any fluid deficits should be replaced within 1 to 2 hours after exercise is complete.
- Given the nature of sweat and variability and timing of nutritional intake, hydrating with a sports drink containing carbohydrates and electrolytes (i.e., sodium and potassium) before and during exercise is optimal to replace losses and provide energy. Because athletes replace only about half of the fluid lost when drinking water, a flavored sports drink may promote an increase in the quantity of fluids consumed.
- Replacing lost sodium after exercise is best achieved by consuming food in combination with a rehydration beverage.
- Athletes should have convenient access to fluids throughout practice and be allowed to hydrate in addition to prescribed breaks. These factors can minimize dehydration and may maximize performance.

**Return-to Play Considerations**

If the degree of dehydration is minor and the athlete is symptom free, continued participation is acceptable. The athlete must maintain hydration status and should receive periodic checks from onsite medical personnel.
Exertional Head Stroke

Factors Contributing to Onset of Condition

Exertional heat stroke is a **Serious, Life-Threatening** illness requiring **Immediate** medical attention. It is characterized by central nervous system (CNS) abnormalities and potentially tissue damage resulting from elevated body temperatures induced by strenuous physical exercise and increased environmental heat stress.

**Recognition/Signs and Symptoms**

The ability to rapidly and accurately assess core body temperature and CNS functioning is critical to the proper evaluation of exertional heat stroke (EHS).

Most critical criteria for determination are CNS dysfunction (decreasing consciousness, coma, convulsion, disorientation, irrational behavior, decreased mental acuity, irritability, combativeness, emotional instability, confusion, hysteria, apathy).

Other possible signs and symptoms can include
- Sudden onset
- High body temperature (104 degrees F of higher)
- Pulse rate of 160 BPM or greater
- Rapid respirations (20-30 respirations per minute)
- Decreased blood pressure
- Red, hot, dry, & flushed skin (may not be hot & dry in a well-trained athlete)
- Nausea, vomiting, diarrhea
- Lack of perspiration
- Dry mouth and/or intense thirst / dehydration
- Headache, dizziness, confusion, weakness
- Staggering body control, poor judgment, and/or bizarre behavior
- Convulsions / muscle twitching

**Treatment**

Aggressive and immediate whole-body cooling is the key to optimizing treatment.

The duration and degree of hyperthermia may determine adverse outcomes. If untreated, hyperthermia-induced physiological changes resulting in fatal consequences may occur within vital organ systems (e.g., muscle, heart, brain, liver, kidneys, etc.). Due to superior cooling rates, immediate whole-body cooling via cold water immersion is the best treatment for EHS and should be initiated within minutes post-incident.
Provided that adequate emergency medical care is available onsite (i.e., ATC, EMT or physician), it is recommended to cool first via cold water immersion, then transport second. If onsite rapid cooling via cold water immersion is not an option or if other complications develop that would be considered life threatening (i.e., airway, breathing, circulation), immediate transport to the nearest medical facility is essential.

The following procedures are recommended if EHS is suspected:

- Activate EMS immediately
- Remove from the environment
- Immediately immerse athlete in tub of cold water (approximately 35 degrees – 58 degrees F), onsite if possible.
- Remove clothing/equipment.
- If immersion is not possible, transport immediately. Alternative-cooling strategies should be implemented while waiting for and during transport. These strategies could include: spraying the body with cold water, fans, ice bags or ice over as much of the body as possible and/or cold towels (replace towels frequently).
- Monitor airway, breathing, circulation, core temperature, and CNS status (cognitive, convulsions, orientation, consciousness, etc.) at all times.
- Monitor vital signs (blood pressure, pulse, respirations, body temperature)
- Cease aggressive cooling when core temperature reaches approximately 101 degrees – 102 degrees F; continue to monitor.
- Push fluids (if conscious)

**Return-to-Play Considerations**

Physiological changes may occur after an episode of EHS. For example, the athlete’s heat tolerance may be temporarily or permanently compromised. To ensure a safe return to full participation, a careful return-to-play strategy should be decided by the athlete’s physician and implemented with the assistance of the ATC or other qualified health care professional.

The following guidelines are recommended for return-to-play after EHS:

- Physician clearance is necessary before returning to exercise. The athlete should avoid all exercise until completely asymptomatic and all laboratory tests are normal.
- Severity of the incident should dictate the length of recovery time.
- The athlete should avoid exercise for the minimum of 1 week after release from medical care.
- The athlete should cautiously begin a gradual return to physical activity to regain peak fitness and acclimatization under the supervision of an ATC or other qualified health care professional. Type and length of exercise should be determined by the athlete’s physician and might follow this pattern:
1. Easy-to-moderate exercise in a climate-controlled environment for several days, followed by strenuous exercise in a climate-controlled environment for several days.
2. Easy-to-moderate exercise in heat for several days, followed by strenuous exercise in heat for several days.
3. (If applicable) Easy-to-moderate exercise in heat with equipment for several days, followed by strenuous exercise in heat with equipment for several days.

Heat Exhaustion

Factors Contributing to Onset of Condition

Heat exhaustion is a moderate illness characterized by the inability to sustain adequate cardiac output, resulting from strenuous physical exercise and environmental heat stress. Inherent needs to maintain blood pressure and essential organ function, combined with a loss of fluid due to acute dehydration, create a challenge the body cannot meet, especially if intense exercise where to continue unabated.

Recognition/Signs and Symptoms

- Athlete has obvious difficulty continuing intense exercise in heat / physical fatigue
- Coordination problems / decreasing consciousness
- Apprehensiveness
- Headache, dizziness, faintness
- Nausea, vomiting, diarrhea,
- Stomach/intestinal cramps, persistent muscle cramps/spasms
- Thirst, dehydration and/or electrolyte depletion,
- Profuse sweating,
- Cold, damp, and pale skin
- Tachycardia (rapid heart rate), weak pulse
- Rapid & shallow breathing;
- Body temperature may be normal or elevated up to 104 degrees F
- Normal blood pressure

Treatment

- Remove athlete from play and immediately move to a shaded or air-conditioned area.
- Remove excess clothing and equipment.
- Have athlete lie comfortably with legs propped above heart level.
- Monitor pulse, blood pressure, respiratory rate, temperature and CNS status.
- If athlete is not nauseated, vomiting or experiencing any CNS dysfunction, Push fluids / chilled water or sports drink. Cool athlete / ice tub / cold whirlpool
- Place ice bags, ice towels, cold water on the athlete’s neck, wrists, ankles, groin, back of knees
- Transport to an emergency facility if rapid improvement is not noted with prescribed treatment.

**Return-to-Play Considerations**

The following guidelines are recommended for return-to-play after heat exhaustion:
- Athlete should be symptom free and fully hydrated.
- Recommend physician clearance or, at minimum, a discussion with supervising physician before return.
- Rule out underlying condition or illness that predisposed athlete for continued problems.
- Avoid intense practice in heat until at least the next day to ensure recovery from fatigue and dehydration. (in severe cases, intense practice in heat should be delayed for more than 1 day).
- If underlying cause was lack of acclimatization and/or fitness level, correct this problem before athlete returns to full-intensity training in heat (especially in sports with equipment).

**Heat/Muscle Cramps**

**Factors Contributing to Onset of Condition**

The etiology of muscle cramps is not well understood and there may be a number of causes. Heat cramps are often present in athletes who perform strenuous exercise in the heat. Conversely, cramps also occur in the absence of warm or hot conditions (E.g., common in ice hockey players).

Whether or not heat related, cramps tend to occur later in an activity, in conjunction with muscle fatigue and after fluid and electrolyte imbalances have reached a critical level.

Dehydration, diet poor in minerals, and large losses of sodium and other electrolytes is sweat appear to increase the risk of severe, often whole-body, muscle cramps.

Other possible causes can include
- “Salty sweaters” (those with high salt concentration in sweat),
- High sweat rate, heavy sweating,
- Lack of heat acclimatization,
- Insufficient sodium intake (during meals and practice),
- Dehydration, thirsty,
- Irregular meals,
- Increased fatigue and
Previous cramping history

Muscle cramps can largely be avoided with adequate conditioning, acclimatization, rehydration, electrolyte replacement and appropriate dietary practices.

**Recognition/Signs and Symptoms**

- Severe cramps, intense pain (not associated with acute muscle strain), frequently in the calf and/or abdomen
- Pale and wet skin

**Treatment**

The following procedures are recommended if heat cramps are suspected:

- Place the athlete in a cool, shaded environment
- Light stretching, relaxation and massage of the involved muscle may help acute pain of a muscle cramp.
- Remove equipment and/or constrictive clothing
- Push fluids / Sport Drinks / Cold water
- Give athlete electrolyte replacements
- Place ice bags, ice towels, cold water on athlete’s neck, wrists, ankles, groin, back of knees
- Give athlete a Heat Illness Warning sheet (if applicable)

**Return-to-Play Considerations**

Athletes should be assessed to determine if they can perform at the level needed for successful participation. After an acute episode, diet, rehydration practices, electrolyte consumption, fitness status, level of acclimatization and use of dietary supplements should be reviewed and possible modified to decrease risk of recurring heat cramps.

**Exertional Hyponatremia**

**Factors Contributing to Onset of Condition**

When an athlete consumes more fluids (especially water) than necessary, and/or sodium lost in sweat is not adequately replaced, sodium in the bloodstream can become diluted and cause cerebral and/or pulmonary edema. This is called hyponatremia (low blood-sodium levels) and tends to occur during warm/hot weather activities.

Most critical criteria for determination are

- Low blood-sodium levels. Severity of condition increases as sodium levels decrease,
- Likelihood of excess fluid consumption before, during and after exercise (weight gain during activity),
- Low sodium intake,
- Likelihood of sodium deficits before, during and after exercise.

The risk of acquiring hyponatremia can be substantially reduced if fluid consumption during activity does not exceed fluid losses and sodium is adequately replaced. Because progressive dehydration may also compromise thermoregulatory function, it is of great value for an athlete to be aware of individual fluid needs to protect against both dehydration and over-hydration.

**Recognition/Signs and Symptoms**
- Increasing headache
- Nausea, vomiting (often repetitive)
- Swelling of extremities (hands and feet)
- Irregular diet (e.g., inadequate sodium intake)
- During prolonged activity (often lasting greater than 4 hours)
- Copious urine with low specific gravity following exercise
- Lethargy/apathy
- Agitation
- Absence of severe hyperthermia (most commonly less than 104 degrees F)
- If condition progresses, CNS changes (e.g., altered consciousness, confusion, coma, convulsion, altered cognitive functioning) and respiratory changes resulting from cerebral and/or pulmonary edema, respectively.

**Treatment**

The following procedures are recommended if exertional hyponatremia is suspected:
- If blood sodium levels cannot be determined onsite, hold off on rehydrating athlete (may worsen condition) and transport immediately to a medical facility.
- The delivery of sodium, certain diuretics or intravenous solution may be necessary. All will be monitored in the emergency department to ensure no complications develop.

**Return-to-Play Considerations**

The following guidelines are recommended for return-to-play after exertional hyponatremia:
- Physician clearance is strongly recommended in all cases.
- In mild cases, activity can resume a few days after completing an education session on establishing an individual-specific hydration protocol. This will ensure the proper amount and type of beverages and meals are consumed before, during and after physical activity.
19.6.1 HEAT INDEX PRACTICE RECOMMENDATIONS

The Heat Index (HI) reading is an accurate method of determining environmental conditions, which would predispose athletes to heat illnesses. The dry bulb and wet bulb temperatures are measured using a sling psychrometer. Operation of the sling psychrometer depends upon the comparative reading of two similar thermometers, with the bulb of one being kept wet so that it is cooled as a result of evaporation. It always shows a temperature equal to or lower than that of the dry bulb thermometer. The difference between the thermometer readings constitutes a measure of the dryness or wetness of the surrounding air. One should follow these guidelines when calculating the Heat Index:

- Measure the HI at the specific playing site, not just outside of the athletic training room
- Measure the HI before practice
- Measure the HI in the middle of the practice field, not in a shaded area or next to buildings
- Measure and record the HI every 45-60 minutes during a practice session (every 30 minutes if the reading is greater than 85)

HEAT INDEX PRACTICE RECOMMENDATIONS

<table>
<thead>
<tr>
<th>Heat Index</th>
<th>Recommendations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Below 80</td>
<td>Chance of heat illness is low, but still possible. Continue with normal practice preparations</td>
</tr>
<tr>
<td>80 to 85</td>
<td>Add additional breaks</td>
</tr>
<tr>
<td>85 to 90</td>
<td>Add additional water breaks to the practice schedule. Pay Special attention to those athletes who are prone to heavy water weight loss during exercise. Consider modifying uniform.</td>
</tr>
<tr>
<td>Above 90</td>
<td>Chance of heat illness is greatly enhanced. Practice in full uniform should not be conducted. Watch all athletes closely, add additional water breaks, &amp; shorten practice time.</td>
</tr>
</tbody>
</table>

Modification of Athletic Activities for Heat Related Activities

The decision to modify and/or terminate a UAlbany intercollegiate athletic activity in the event of excessive heat and/or poor air quality should be made by a member of the UAlbany Athletic Training Department in consultation with the Team Physician and the head coach or his/her designee.
Criteria for Modification and/or Termination

The policy of the UAlbany Division of Athletics with regards to the modification and/or termination of an Athletics practice due to excessive heat will be as follows: A member of the UAlbany Athletic Training Department will monitor the Heat Index as measured on the practice field and the National Weather Service and/or National Oceanic and Atmospheric Administration (NOAA) local weather radar (www.noaa.gov or www.weather.com).

A member of the UAlbany Athletic Training Department will continually communicate with the Head Coach and/or his/her designee regarding the Heat Index.

When the Heat Index is greater than 80, a member of the UAlbany Athletic Training Department will communicate with the Head Coach and/or his/her designee and make recommendations for activity modification and/or termination, if applicable.

19.7 COLD WEATHER PREVENTION AND MANAGEMENT PROGRAM

The University at Albany Division of Athletics, in an effort to provide a safe environment for all its student-athletes, coaches, visiting teams, fans and officials, shall implement the following policy in regards to cold environment safety concerns. Please note the following temperatures ranges account for wind-chill. Air temperature information is available on weather.com (note the temperature corresponding to ‘Feels like’). Wind chill can also be calculated on the National Weather Service Weather Forecast website at http://www.crh.noaa.gov/ddc/?n=windchill.

Common Cold Injuries In Sport

Early signs: shivering, muscle fatigue, poor muscle control, cold sensation may lead to numbness, pain, and burning, clumsy, slurred speech, disorientation, and altered mental state.

1. Frostbite: freezing of skin or tissue causing redness, edema, and mottled skin
2. Hypothermia: significant loss in body core temperature (less than 95 degrees)
3. Dehydration: significant loss in body water; athletes tend to drink less in cold weather
4. Chilblain: non-freezing injury due to extended cold exposure with wet conditions
5. Clothing

In cold weather temperatures, properly layered clothing should be worn and encouraged by staff and coaches. Coaches need to be responsible for ensuring that student athletes participating in cold weather have the proper clothing needed to prevent cold illness. If student athletes are not properly clothed for the cold temperatures, they are not recommended to participate outside at practice. Clothing should be layered to allow adjustments as activity level may increase and decrease within a practice which may
elevate or drop body temperature. The first layer of clothing should wick sweat and moisture away from the body. The top layers should act as insulators to trap heat and block wind.

These include:
- Several layers around the core of the body, especially for those individuals that are not very active.
- Long pants designed to insulate. On very cold days a nylon shell or wind pant can be worn on top of them for additional wind break.
- Long sleeve shirt/sweatshirt/coat designed to insulate and break the wind.
- Gloves
- Ear protection/Hat or helmet.
- Face protection.
- Wicking socks that do not hold moisture inside like smartwool. Wool is excellent. Cotton absorbs and holds in moisture.

**Playing Surface**

1. Practice is permitted on turf if it is cleared of snow and ice. Even with the snow removed, in freezing temps, the turf will be very slick due to moisture left on the turf. This will lead to an increased risk of injury potential.
2. Snow must also be cleared to allow for ambulance and golf cart access.

**Guidelines For Cold Conditions During Practice/Competition**

1. **Cold environment during a team practice**
   a. When present, the certified athletic trainer, in consultation with the head coach (or assistant if head coach not attending), shall make the final determination on modified participation of practice prior to practice using the wind chill chart provided on page 3.
   b. In the event that a certified athletic trainer is not present, the head coach shall abide by this policy and modify or cancel practice when necessary. Temperature should be based upon accurate readings from [www.weather.com](http://www.weather.com) according to Albany, NY 12222.
   c. The certified athletic trainer and head coach shall be responsible for monitoring the weather conditions throughout practice.

2. **Cold environment during any outdoor competition**
   a. When temperature/wind chill reaches $15^\circ\text{F} - 5^\circ\text{F}$ degrees a match or competition will be modified in the following way:
      i. A decision will be made to implement an abbreviated version of team introductions and national anthem, and to incorporate an extended half-time according to the referees.
   b. When temperature/wind chill reaches $5^\circ\text{F}$ degrees and below it will result in suspension of competition.
i. The game administrator, in consultation with the certified athletic
trainer on the field, and game officials shall make the final
determination on the suspension of the game or match prior to the
start of competition.

ii. The game administrator shall communicate the cold environment
safety policy to the game officials, visiting team head coach and
visiting certified athletic trainer prior to the start of the
competition.

The game administrator and certified athletic trainer shall be responsible for monitoring
the weather conditions.

The Coach and Certified Athletic Trainer will discuss if modifications to practice
are required due to weather conditions.

19.7.1 WINDCHILL EQUIVALENT INDEX

Wind Chill Equivalent Index: Wind Chill is a major factor affecting the speed of cold
injury. This takes place when the wind chill lowers the actual air temperature, thus
cooling the body more rapidly. This is made more rapid when the skin or clothing is wet
and quickens the cooling by evaporation. This is why cold injury can take place in many
different combinations of these factors present. This chart gives approximate times of
exposure for uncovered skin until frostbite ensues. If the body part is wet, than the time
on the chart is lessened allowing for less time until frostbite

<table>
<thead>
<tr>
<th>Wind chill Temperature</th>
<th>Practice status</th>
<th>Duration</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Above 30˚F</td>
<td>Normal</td>
<td>As tolerated</td>
<td>All participants should wear appropriate protective clothing along with any required protective equipment.</td>
</tr>
<tr>
<td>26˚F to 30˚F</td>
<td>Normal</td>
<td>&lt;150 minutes</td>
<td>Consider inserting a 10-15 minute break during practice to go indoors to re-warm.</td>
</tr>
<tr>
<td>16˚F to 25˚F</td>
<td>Limited</td>
<td>&lt;120 minutes</td>
<td>If longer than 90 minutes, a mandatory 10 minute break to re-warm indoors must occur.</td>
</tr>
<tr>
<td>Temperature Range</td>
<td>Exposure Limit</td>
<td>Frostbite Time</td>
<td>Precautions</td>
</tr>
<tr>
<td>-------------------</td>
<td>----------------</td>
<td>----------------</td>
<td>-------------</td>
</tr>
<tr>
<td>6°F to 15°F</td>
<td>Very limited</td>
<td>&lt;90 minutes</td>
<td>All skin should be covered if possible. Mandatory 10 minute re-warming indoors, if outdoors longer than 60 minutes.</td>
</tr>
<tr>
<td>-5°F to 5°F</td>
<td>Extremely limited</td>
<td>&lt;30 minutes</td>
<td>NO exposed skin. Must re-warm at least 10 minutes before going outdoors again.</td>
</tr>
<tr>
<td>lower than -6°F</td>
<td>No outside practice.</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>

The Wind Chill temperature is determined by updates on [www.weather.com](http://www.weather.com) or [www.weatherunderground.com](http://www.weatherunderground.com) for the local area. In the event this information is not available the Certified Athletic Trainer will decide if the weather conditions require modified practice status.

If precipitation is also occurring then practice status will be changed, usually by reducing duration or requiring more rest and re-warming breaks.
SECTION 20: STRENGTH AND CONDITIONING PROGRAM

20.1 MISSION STATEMENT

It is our mission to teach the value of consistent, intelligent, hard work and provide the tools and knowledge necessary for student-athletes to maximize their athletic performance, while also reducing the potential for sports related injuries.

20.2 PROGRAM PHILOSOPHY

The University at Albany Strength and Conditioning department is committed to improving athletic performance on the individual and team levels. The department focuses on the proper development and combination of strength, power, speed, agility, mobility, conditioning and body composition to enhance performance in all athletic arenas. It is the goal and challenge of this staff for each athlete to be in a continual state of growth throughout their collegiate athletic career so that they individually, and collectively as a team, can reach their maximum athletic potential. Our department works closely with both the sport coaches and sports medicine staff to help us achieve this goal.

20.3 FACILITY OVERVIEW

The Strength and conditioning department is housed in a spacious 7200 square feet varsity strength complex inside the Physical Education building. The strength complex consists of two separate rooms. The main weight room is 3600 square feet and is a fully equipped Olympic-style free weight room. Its efficient design allows for large teams, or several teams, to workout at a single time. The skills room is another 3600 square feet adjacent to the weight room that offers a synthetic turf surface as well as a full line of equipment to enhance speed and agility. It is equipped with plyometric boxes, jump ropes, medicine balls, bikes, cones and other various speed building devices. The University at Albany Strength and Conditioning Department is currently supervised by three full-time strength & conditioning coaches and one intern.

20.4 HOURS OF OPERATION

The year round “general” operating hours for the varsity weight room are 8 AM-4 PM Monday – Friday.

While classes are in session our typical hours of operation range from 6 AM – 6 PM Monday – Friday. All teams will be scheduled for group training in this timeframe. Our program is designed for supervised performance training with specific goals in mind, this is not an area to just drop in and perform random exercise.
There will be exceptions made on weekends for in-season teams only that need to train around game schedules. A minimum of 2 weeks notice is required to schedule staff and provide appropriate coverage, sport coaches please plan ahead.

Only University at Albany student-athletes, athletics department coaches/staff and former student athletes still enrolled in school are permitted to use the varsity weight room. There will be exceptions made on a case by case basis by the Assistant Athletic Director for Athletic Performance or Head Strength Coach.

Any exceptions must sign a liability waiver prior to weight room use.

20.5 UALBANY STUDENT-ATHLETE GUIDELINES AND REGULATIONS

Failure to follow these guidelines will result in one correction by the strength and conditioning staff. A second offense will result in a suspension of weight room privileges until the strength staff, head sport coach and student athlete can meet to resolve the issue.

1. Student-athletes must train during specified weight room hours with supervision by a member of the strength and conditioning staff or in rare instances your respective sport coach.
2. All personal belongings will be stored in your team locker rooms.
3. No cell phone or personal electronics (ipods, etc) will be allowed in the weight room except on cardiovascular equipment.
4. Attire: Student-athletes are to wear proper workout gear at all times. Any article of clothing that represents any other sport team or organization other than UAlbany will not be allowed. Only sneakers or turf shoes will be worn during workout sessions (no boots, cleats, etc.), and all shoes must be TIED. Keep jewelry to a minimum, the strength staff is not responsible to lost or broken jewelry that occurs during training.
5. Student-athletes must follow the prescribed workout as written or explained. Any additional training must follow the prescribed workout and have prior approval of the strength and conditioning staff. Student-athletes will always train with a partner during team lifting sessions for motivation and spotting purposes.
6. Student-athletes must use proper technique at all times (this includes lifting weight from the floor). Consult with the strength and conditioning staff if you have any questions concerning lifting technique.
7. Always train with safety in mind. Be aware of what you’re doing as well as what other people around you are doing. Most injuries that occur in the weight room are caused by being reckless or absent minded. Keep your attention on the task at hand. Notify the strength and conditioning staff IMMEDIATELY if an injury occurs.
8. If a student-athlete is injured, workouts will be modified only after consultation with an athletic trainer. If an injury is not serious enough to get an athletic trainer evaluation/treatment, it’s not serious enough to modify the workout.
9. Be on-time for all team workouts (if you’re not early, you’re late). Failure to do so will result in disciplinary action in line with each head sport coaches discipline policy. Missed / being late for workouts will not be tolerated.

10. Always leave the weight room in good condition. This involves breaking-down and replacing all bars and machines after use; replacing safety bars, dumbbells, towels, printed workouts, etc. Do not drop weight plates, weights stacks, or dumbbells on the floor or wooden platforms. Only bumper (rubber) plates are to come in contact with the platforms.

11. It is understood that academics come first and scheduling conflicts may arise. It is the responsibility of the student-athlete to notify the strength and conditioning staff in advance if a conflict does exist. Any conflict is subject to be verified by a member of the coaching staff or athletic academic department.

12. Music: Student-athletes may burn CDs to be played during team lifting sessions. However, all music must be “radio version” and not contain extreme profanity or sexual connotations. Earphones may only be worn when using cardio equipment.

13. Common sense rules:
   a. No horseplay or fighting in the weight room.
   b. Do not spit on the floor. Use the trash cans provided.
   c. No outside food or drink (besides water) will be allowed in the weight room. No gum chewing for SAFETY reasons.
   d. No tobacco products of any kind are allowed in the weight room.
   e. Disrespect to coaches and fellow student-athletes will not be tolerated. If this occurs, the student-athlete will be forced to leave the weight room immediately and will not return until a meeting is scheduled with the head coach and those involved.

14. WORK HARD AT ALL TIMES. Train with intensity, passion, and purpose every day. Have DISCIPLINE, give EFFORT, and be COMMITTED! Don’t just spend time in the weight room, invest your time in the weight room. Keep socialization TO A MINIMUM! NO sitting unless exercise requires you to sit. Take great pride in what you are trying to accomplish both individually and as a team.

SECTION 21: ATHLETIC EQUIPMENT

21.1 ATHLETIC EQUIPMENT MISSION STATEMENT

The equipment room is an integral part of the intercollegiate athletic department. The job of the equipment room is to provide an environment of safety and the best service possible.
21.2 ATHLETIC EQUIPMENT PROCUREMENT

The Assistant Athletic Director/Head Equipment Manager or designated Assistant Equipment Manager is responsible for coordinating purchase order requests for the entire University at Albany Athletics to include all intercollegiate teams.

All UAlbany Division of Athletics purchasing procedures are followed in the procurement of athletic equipment. In conjunction both the equipment and coaching staff must verifying equipment on-hand prior to requesting additional equipment. When necessary, vendor meetings are scheduled for the ordering of specific items (i.e. new uniforms) by the Equipment Manager in order to review available merchandise and make order decisions regarding brand, material, color, design, logos, sizes, etc. Coaches are not allowed to order any equipment unless authorized by the equipment staff prior to the purchase. If items are ordered and shipped without consent the items will financial be the responsibility of the coach or staff member that ordered them.

Equipment budgets are funded for bona fide items at levels to provide the safest quality equipment sufficient for each sport's requirements during the fiscal year.

21.3 PURCHASING PROCESS

Contracted Purchase Orders (AdPro)

The first step for ordering process is submitting a request form fully completed. The order form must be filled out in its entirety including style number, color, description, a size break down and the decoration. The decoration description should include whether you prefer screen printing, embroidery or our logo patch. As shown on Appendix A.
Appendix A

There is a separate form for ordering footwear which must be filled out in the same way as the apparel form located in Appendix B.

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<tr>
<th>Style</th>
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<td>Nike PG1</td>
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<td>10</td>
<td>10</td>
<td>1.00</td>
</tr>
</tbody>
</table>

**Customer Information**

- **Customer Name:** SUNY Albany
- **Attn:** Steve Agars
- **Street Address:**
- **City, State & Zip Code:**
- **Phone:**
- **Email:**

**Comments:**

- Subtotal: $0.00
- Shipping: $ -
- Sales Tax: $ -
- Total: $0.00
- Deposit: $ -
- Bal. Due: $0.00

Appendix B

For the request form to be fully completed you must fill out the inventory sheets included on the addition tabs included in the form. As you enter the items under the description the names will transfer to the inventory sheets. Coaches must fill out the names of the student athletes or staff that are receiving the items being purchased at the top of the inventory forms. The quantities that each person is receiving will go below their name for each individual item being purchased. As shown on Appendix C.
Appendix C

When those quantities are added they will be tallied on the inventory 2 tab. Enter the amount of items you wish to put in your inventory and the number in the quantity column should match the quantity on the front order form. As shown in Appendix D.

<table>
<thead>
<tr>
<th>Item Name</th>
<th>Inventory</th>
<th>Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beach 5 Pieces Top</td>
<td>11</td>
<td>22</td>
</tr>
<tr>
<td>Bike Hi Cap</td>
<td>11</td>
<td>32</td>
</tr>
<tr>
<td>Modern Crew</td>
<td>11</td>
<td>32</td>
</tr>
<tr>
<td>Modern Crew</td>
<td>11</td>
<td>32</td>
</tr>
<tr>
<td>Dr. Sis Fnc</td>
<td>11</td>
<td>32</td>
</tr>
<tr>
<td>Dr. Sis Fnc</td>
<td>11</td>
<td>32</td>
</tr>
<tr>
<td>Kayak Canoe Cap</td>
<td>0</td>
<td>30</td>
</tr>
<tr>
<td>Pro Dicker Pickup Cap</td>
<td>0</td>
<td>32</td>
</tr>
<tr>
<td>Inner Shell, Hood</td>
<td>24</td>
<td>27</td>
</tr>
<tr>
<td>Inner Shell, Hood</td>
<td>24</td>
<td>27</td>
</tr>
<tr>
<td>Inner Shell, Hood</td>
<td>24</td>
<td>27</td>
</tr>
</tbody>
</table>

Appendix D

If the form is not competed in its entirety or there are mistakes made the coaching staff, the coaching staff is responsible to adjust those errors and resubmit the material. The order must be submitted to equipmentorders@albany.edu. Once the order is complete the equipment staff will handle verifying all pricing with the vendor. Once the pricing is verified by the vendor it is sent back with the final totals to the coaching staff for their records. The equipment staff will then submit the order to the business office for review.
The purchaser will then receive an email informing them that their purchase has been submitted to the business office. Please allow 5 to 7 business days for our office to complete the proper paper work. If you do not hear anything within that time frame please reach out to your respective equipment representative to check on the status of the order. Upon approval from the business office the order is sent to purchasing where a confirming email is sent to both the business office and equipment staff. The equipment staff will forward that message along to the staff so all parties are aware of the final payment is in place. After confirmation the purchase order form will be submitted into each team or staff's file in the athletic department V drive. If the purchase request is denied by the business office, the purchaser will be notified and adjustments based on the denial will have to be made. Once the final order is submitted to the vendor, the vendor will provide an approximate delivery date for the order. If there are back order items they will be listed by the vendor with the available date of those items in the comment section on the bottom of the order request form. The comment section is located on the bottom left corner of the order request form that can be viewed on Appendix A & B.

All equipment requests must be submitted in punctual fashion, providing sufficient lead time to ensure receipt prior to each sport's season. Suggested order deadlines for seasonal sports are as follows:

1. Fall Sports: April 1;
2. Winter Sports: July 1; and

Sideline Exclusive orders must be submitted no later than November 12th.

Missing your order deadline can possibly lead to a lack of availability in particular styles and colors of items or back order dates that may not be compatible with your playing season.

21.4 NON-CONTRACTED ORDERS

Non-Contract items are permissible to be purchased if they are not available through our contracted vendor. Non-contracted orders must be submitted the same way that contracted orders are submitted for all clothing, apparel and footwear. Items must be filled out in its entirety on the Non-Contract order request form including style number, color and the quantities desired as shown in Appendix E below.
Appendix E

Inventory forms must also be filled out the same as appendix C & D. When items are requested the link of the website or catalog and contact information of the vendor must be included. If the item being requested is for team use and will be stored by the team it must be referenced in the request as well. Non Contract purchases that are approved under $5000 can be purchased with a Procurement Credit Card, anything over the allotted amount must be place by a Purchase Order. Once the order is placed a confirmation email will be sent to the purchaser just like a contracted order.

Non-Contract Order Period
- July 7th –August 10th for fall teams and staff
- August 1st- September 8th for winter and spring teams and staff

We will re-open the non-contract order period as followed for everyone. All items during the second order period must be approved by the business office.
- November 27th-December 20th for all teams and staff

Please note that all non-contract orders must be submitted during these selected dates. The equipment area will not allow additional non-contract orders outside of these dates unless for purchases that affect student-athlete welfare. Any major non-contract orders after the first order period of July 7th- August 10th must be reviewed by the business office for approval.
21.5 RECEIVING AND DISTRIBUTION

All items are to be delivered to the designated Equipment Room and inventoried prior to distribution. The Equipment Managers are responsible for completing the required Receiving Report, inventory documentation and proper storage of all equipment. As discussed in the Procurement section the completed order form will be entered in each respective sport’s V drive under equipment management. The order form will have an expected delivery date at the end of each line item. When the items arrive they will be checked in and updated daily by the equipment staff. As the items arrive coaches will be able to check the V drive for updates with highlighted line items. Items highlighted in green will mean the line item is delivered and inventoried in its entirety and ready for distribution. Items highlighted in yellow will indicate a partial delivery of the line item with a specific breakdown of what is missing in the comment section. The equipment manager will then work with the vendor to find a specific delivery date for the completed line item. Items highlighted in red means that we do not have those items at that current time and we will do our best to track down a delivery date for them, which will also be located in the comment section. Example of this tracking system is located in Appendix A.

Appendix A.

Once the order is completely delivered it is added to our confirmed orders records accompanied with the packing slips collected at the time of delivery. If there are any questions or concerns with the completion of an order coaches or staff should email their respective equipment manager. Immediately upon receiving the items, all goods are to be

Updated November 2019
verified against the Receiving Report by the Equipment Manager to ensure that all components are received in good condition and proper quantity. Receiving Reports are sent immediately to the Business Office to insure timely payment of accounts.

Items will be distributed in coordination with the equipment manager and coach as a team. Following the initial distribution, any further equipment, including apparel, is available strictly on a one-for-one exchange basis. As stated in NCAA Bylaw 16.12.2.6, it is not permissible for a student-athlete to accept (without personal expense) athletic equipment, supplies, or clothing (i.e. tennis racquet, golf clubs, shirts, shoes, etc.) from a manufacturer or commercial enterprise. These items may be provided to the institution to be utilized by the team in accordance with University at Albany Division of Athletics normal policy for the issuance and retrieval of athletic equipment and apparel. However, at the end of a student-athlete's collegiate participation, it is permissible for him/her to retain some athletics apparel items (not to include equipment), as designated by NCAA rules and approved by the Director of Athletics.

Upon receiving items from the University all student athletes are required to fill out an Inventory Control Sheet. This sheet states the items that the student athlete will be receiving and includes which items will need to be returned at the end of the season. If a student athlete does not return an item that they are required to do so, the Inventory Control Sheet allows the athletic department to put their account on hold until the item is returned or reimbursed in full.

21.6 BACK ORDERS OR DAMAGED GOODS

When equipment is back ordered, the Equipment Manager is permitted to contact the vendor directly to check on the shipment's status. Damaged goods are reported via the Receiving Report with returns handled as designated by the vendor.

21.7 RETURN ITEMS

After the initial equipment distribution any item or piece of clothing that needs to be returned must do so within 10 days of being distributed. The equipment manager will then need to get a return authorization form and number. Please note that most companies have a re-stocking return fee based on a percentage of the cost.

21.8 ISSUANCE OF EQUIPMENT TO STUDENT-ATHLETES

The University at Albany Division of Athletics provides only the highest quality equipment with optimum safety features to its student-athletes. Each Head Coach is responsible for scheduling the issuance of equipment with the appropriate equipment room. Student-athletes are eligible to receive equipment when they have achieved the following:

1. Academic clearance from the Associate Athletic Director for Academic Services;

*Updated November 2019*
2. NCAA clearance from the Office of Compliance Services;
3. Medical clearance from the Head Athletic Trainer; and
4. Athletic clearance from the Head Coach.

Prior to receiving equipment, all student-athletes are required to complete an Student Athlete Inventory Control Sheet, receive a locker assignment and complete fitting procedures. The Assistant Athletic Director/Head Equipment Manager and Head Coaches are responsible for educating the student-athlete as to applicable NCAA rules regarding equipment usage and its return.

Student-athletes are responsible for all athletic equipment and apparel issued to them. After the initial issuance of equipment, subsequent equipment items are available strictly on a one-for-one exchange basis. Furthermore, student-athletes are responsible for their own equipment when traveling.

It is an NCAA violation for the Equipment Room Staff to launder personal items of a student-athlete. Please restrict items put on the laundry pins to those issued by the Equipment Room.

21.9 EQUIPMENT RETURN

Each student-athlete who is issued equipment is responsible for returning it in good condition (allowing for normal wear-and-tear), following criteria established by the Equipment Manager.

In general, all student-athletes are required to return their equipment within one (1) week after the close of their sport's season. All in-season equipment must be returned before the team can be eligible to receive practice clothes for off-season workouts. All off-season teams are required to turn in practice clothes items by the last day of spring semester classes.

21.10 LOST EQUIPMENT

Each individual is held responsible for all equipment that is issued for personal use. Lost, stolen and/or damaged (beyond normal wear and tear) equipment is charged to the individual student-athlete's account, as determined by the Equipment Manager. More importantly, lost or stolen equipment is not replaced without the written approval of the Head Coach.

Any equipment that is non-perishable and not returned at the end of the season is billed to the student-athlete's account. Any outstanding charges may cause a student-athlete's account to have a hold placed on it and will not be allowed to register for the upcoming semester or receive additional equipment until the account is settled.
Security

The equipment staff is required to keep thorough inventory logs throughout the year. If items appear to be missing the Assistant Athletic Director/Head Equipment Manager is responsible to find out who or the reason why the items are missing. ANY equipment staff member caught stealing or using equipment without permission of the department will face the disciplinary action based on the University at Albany and the Division of Athletics’ policies based on the severity of the infraction.

The equipment rooms and storage facilities must be properly locked at all times. Any break in or intrusion of unwarranted persons must be reported immediately and will be handled through the proper steps of the University Police Department. Only staff member of the equipment staff are allowed in the equipment room. Student-athletes are prohibited to be in the athletic equipment room unless instructed by a staff member. Coaches are allowed in the equipment room but must work directly with their equipment manager any time they take any item out of the equipment inventory.

21.11 SPECIAL EVENT PROCUREMENT

With the continuing growth of the department’s special events or promotional events, it is required that coaches or staff give the equipment staff a minimum of 3 week notice for purchases and printing for these events. For example golf outings giveaways, tournament gifts, fan giveaways etc. Anything given after the 3 week deadline will be reviewed by the equipment staff and administration and further action will be determined on a case by case basis.

21.12 BRANDING

Team Colors/Logos

The University at Albany official team colors are:

PMS 269 Purple
PMS 124 Gold

Coaches may pick approved logos for their team’s garments. The logos that are approved are based in conjunction with the University/Athletic marketing staff as seen in appendix A. These logos will be provided for all coaches, orders will not be approved with alternative logos for their teams.
Appendix A

Logo Usage

Anything distributed to athletes and coaches for public consumption (uniforms, travel suits/polo, coaches sideline attire, hats) must use logo 1 from the marks and logos sheet. The alternative logos on the marks and logo’s sheet can be used for practice attire and sweat suits.

Alternative Uniforms

Uniforms with alternative colors or designs that differentiate from a team’s home and away uniform may be used upon the approval of the Assistant Athletic Director/Head Equipment Management, Athletic Administration and Marketing. These uniforms must adhere to NCAA and conference rules. These uniforms may not be used in NCAA tournament events, the team must use one of their original home and/or away uniforms during these contests. These uniforms cannot be worn more than the traditional home or away uniform as it is an alternative not the primary option. The first alternative uniform
option for teams is gold. If the gold uniform is fulfilled teams can explore other alternative options like anthracite upon approval of the Athletic Director.
All athletics teams will wear Nike apparel for game uniforms, unless prior approval granted from Director of Athletics. Coaches are responsible for ordering the official colors and proper logos for all exterior uniform items worn. The equipment managers are available to assist in the selection and ordering of uniforms and will help to ensure proper use of team colors and logos.

21.13 HOURS OF OPERATION

The Equipment room will operate 9am-5pm, Monday-Friday while school is in session. Weekend schedules will change on a weekly basis based on home events. Teams in a non-traditional season will be covered on the weekends from 9am-2pm. Additional coverage and services for the semester must be submitted to the Asst. AD of Equipment management for approval. **Coaches are required to submit a monthly calendar at the beginning of each semester with practice/game time and departure times for away trips.** The Equipment staff must be notified about any changes in the schedule 24 hours prior to the practice or competition to allow adjustments in coverage. If a practice is change without notification of the Equipment staff the daily laundry will handled during our normal operating hours. The weekly schedule for the Equipment staff will be posted in the V drive under the Common Area Folder under Equipment Schedule. The schedule will include who is working and what equipment room they will be in. The schedule will include contact information for the staff as well. Coaches and staff should reference this schedule first and reach out to the employees that are on duty if one of the equipment rooms are closed during hours of operation. If there are any issues about coverage coaches must reach out to the Asst. AD for equipment operations or to their equipment representative.

21.14 LAUNDRY SERVICES

The Laundry Rooms are supervised by the Equipment Managers and operated by equipment staff. The Equipment Managers are responsible for providing complete laundry services for all 18 teams and staff associated with the teams. All items to be laundered are to be placed on laundry loops in the proper receptacles immediately following competitions or practices. Uniforms should be turned in loose not on a laundry loop and will be properly washed and air dried. Coaches need to submit a travel roster 24 hours before a home game or departure time. This will ensure uniforms will not be distributed to players that are not participating. Only items issued by the Equipment Room may be laundered by Equipment Room staff, in compliance with NCAA regulations. Personal items may not be laundered by Equipment Room staff.

The laundry room operates from 9:00 a.m. to 7:00 p.m., Monday - Friday. Additional laundry services (weekends/holidays/additional coverage) are scheduled with the
Equipment Manager based on each sport's needs. Any changes or adjustments need to be communicated with the Equipment staff 24 hours prior to the practice or game. Equipment room staff is required to go through a proper training session on how to use the machinery and chemical systems. Any equipment staff member must report any issues with laundry system to the Assistant Athletic Director/Head Equipment Manager. Any major maintenance or replacement of equipment must be approved by the Business Office.

All chemicals and chemical receptacles must be disposed of properly or will be taken by the company who provides said chemical for proper disposal.

SECTION 22: ATHLETIC FACILITY, SCHEDULING & GAME MANAGEMENT

22.1 MISSION

It is the goal of the Athletic Facilities unit to provide safe, properly maintained and up to date facilities that meet conference, NCAA, National and International Federation rules and regulations for the use of intercollegiate athletics and University sanctioned events. It is through these goals that the hope to enhance the student-athlete experience and provide a place for fair and equitable competition within the philosophy and guidelines of the University Athletic program.

22.2 SCHEDULING

When constructing competition and practice schedules, the primary goal is to arrange schedules for each sport which will provide the most equitable practice and competition opportunities possible within the framework of respective sports budgets; as consistent with the objectives of each sports program; adhere to applicable University, NCAA, and conference policies; and provide for the fewest number of class absences possible. Please note that classes may not be missed for practice opportunities.

Practice Schedule Policies

1. The Associate Athletic Director for Facilities, Sport Supervisor, Associate Athletic Director for Academic Services and the Head Coach will meet each semester to determine practice schedules.
2. Practice schedules will be based on academic schedules (course schedules for subsequent semesters are available early March (Summer & Fall) and early October (Spring)) and shared facilities. Teams that are in their competitive season will be given priority. Every effort will be made to provide equitable practice times to teams sharing a facility.
3. Any changes or revisions to practice schedules must first be approved by the Associate Athletic Director for Facilities.

Updated November 2019
4. Changes in practice schedules will not be considered final until all of the appropriate support staff have confirmed their availability.
5. Head Coaches, or their designee, are responsible for communicating the practice schedule change to all of the appropriate personnel.
6. **Practices cannot take place without the presence of an athletic trainer.**

**Practice Schedule Submissions**

Facility availability and practice space is limited so it is important to maintain a fair and accurate schedule at all times. Practice schedules must not interfere with the classes or exam schedules of a student–athlete. No class time may be missed for practice activities. Practice schedules must conform to practice season limitations as mandated by the NCAA. Practices must conclude by 7:00pm on weekdays to avoid conflicts with Recreation programming.

Head coaches are responsible for a written submission their proposed practice time(s) to the Associate Athletic Director for Facilities at least **30 days before the student-athlete advanced registration period begins.** Once schedules are collected and compiled, the Associate Athletic Director for Facilities will communicate with each coach whether or not the request can be accommodated and what options are available to alleviate any conflicts. In general, when conflicts occur, priority is granted to each sport’s team during its competitive season. Within the same season, conflicts are resolved through mutual agreement and concessions of the involved parties. Head coaches will receive written confirmation of their practice allocation for the following semester. If a coach changes their practice schedule after it’s been confirmed, the Associate Athletic Director for Facilities will attempt to accommodate their new request however, facility availability is not guaranteed.

**Competition Schedule Policies**

1. Games are not to be scheduled and confirmed without first getting approval from the Associate Athletic Director for Facilities and the Sport Supervisor.
2. Coaches are not authorized to confirm home game times with opponents. Game times will be determined by the appropriate staff personnel with consideration for student-athlete welfare, minimizing class time, other home athletic events, etc.
3. For teams that share competition facilities, the Head Coaches for the respective sports are encouraged to communicate and coordinate their home non-conference schedules in an effort to avoid scheduling conflicts.
4. Teams that are in their championship season will be given priority for scheduling of games and use of facilities.
5. For any change to a competition (adding a new competition once the schedule has been approved or making a change to an existing competition (date, time, location), the Head Coach or designee is required to submit the Competition Schedule Change
Request Form through ARMS. This form is to be submitted a minimum of 14 days before the competition.

6. **IMPORTANT: NON-TRADITIONAL SEASON GAMES MAY NOT BE SCHEDULED ON A SATURDAY OF A HOME FOOTBALL GAME. NO EXCEPTIONS.**

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

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

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

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

11. **EFFECTIVE FALL 2020: The Welcome Back for all student-athletes and staff takes place on the Sunday prior to the first day of classes in the fall. IT IS MANDATORY THAT EVERYONE ATTEND THIS EVENT. THEREFORE, NO PRACTICES AND/OR COMPETITIONS CAN BE SCHEDULED.**

**Competition Schedule Submissions**

For sports competing in their traditional seasons during the fall semester, competition schedules must be submitted to the Associate Athletic Director for Facilities by **June 1st**, preceding the start of the season.

Basketball and track and field competition schedules should be submitted by **August 1st**, preceding the start of the season.

For sports competing in their traditional seasons during the spring semester, competition schedules must be submitted to the Associate Athletic Director for Facilities by **October 1st**, preceding the start of the season.

All schedules should be compiled using the schedule template and submitted to the Associate Athletic Director for Facilities. All schedules must include regular season, conference and non-conference competitions, scrimmages and exhibitions.

Schedules will not be considered final until all of the necessary signatures have been obtained. Coaches will receive a copy of the approved schedule to keep for their records. Game contracts for home contests will be generated following the protocol outlined in contest agreement section of this document. It is the responsibility of the head coach to notify the Associate Athletic Director for Compliance and Associate Athletic Director for Facilities of any changes to the schedules.

*Updated November 2019*
Non-Traditional Season Competitions

The scheduling of scrimmages or non-traditional season contests must comply with the NCAA and conference guidelines and are subject to budget allowance and department approval. All non-traditional season competitions should be compiled using the scheduling template and submitted to the Associate Athletic Director for Facilities. Schedules should be submitted by the first day of classes in each fall and spring semesters and will not be considered final until all of the necessary signatures have been obtained. Coaches will receive a copy of the approved schedule for their records. Game contracts for home contests will be generated following the protocol outlined in contest agreement section of this document. It is the responsibility of the head coach to notify the Associate Athletic Director for Compliance and Associate Athletic Director for Facilities of any changes to the schedules.

If the game officials will be paid to officiate the home contest, it is the coach’s responsibility to obtain the necessary payment voucher documentation from the Business Office. The officials will complete and sign the voucher to verify they actually worked the contest. The completed vouchers should be submitted to the Business Office for payment processing.

Procedure

Championship Segment Competition Schedule
A. Submitted by Head Coach or Designee in ARMS
B. Approved by
   I. Compliance
   II. Sport Supervisor
   III. Facilities
   IV. Grounds Manager
   V. Business Office
   VI. Athletic Trainer
   VII. Equipment Manager
   VIII. Media Relations Contact
   IX. Ticket Office
   X. Marketing
C. All coaches within the sport and approvers will receive an automated email with details of the approval

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

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

**Competition Schedule Change Request Form**

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

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

**Final Examination Period**

Coaches who wish to schedule competitions during the final examination period, home or away, must obtain written approval from the Director of Athletics. Game contracts will only be processed upon receipt of the Director’s approval.

**Commencement**

Spring Commencement ceremonies and associated events are hosted in the Athletic Facilities each year in mid-May. Every effort must be made to avoid scheduling regular season home competitions on this weekend. Campus policy precludes external events from being hosted on campus during spring Commencement weekend. For future Commencement dates, please visit:

[http://www.albany.edu/registrar/academic_calendar.php](http://www.albany.edu/registrar/academic_calendar.php)
Cancellation, Postponement or Change of Home and Away Games Competitions

One or a combination of factors may cause postponement or cancellation of intercollegiate athletic contests. Among those factors are heavy rain, snow, temperature/wind chill, safety and well-being of the student-athletes, condition of playing surface(s), and overtime maintenance costs. Before postponing or canceling an intercollegiate contest all parties involved should consider current weather conditions, weather forecasts, current field conditions, along with team and officials’ expenses. A reasonable attempt should be made to complete the contest at its regularly scheduled time and date.

It is imperative that communication take place between the head coach, sport supervisor and the visiting team head coach before postponing and/or canceling a contest. Unless extenuating circumstances exist, the official notification to postpone or cancel a home intercollegiate contest before it starts should come from the Associate Athletic Director for Facilities.

Once an intercollegiate contest begins, NCAA and conference policies will take precedence as when to postpone and/or cancel a game and who has the authority to make such a decision.

22.3 CONTEST AGREEMENTS

The Associate Athletic Director for Facilities maintains all home and away contest agreements. The University’s Legal Office has created a contract template inclusive of the necessary language of which all home contracts are based upon. University-appointed signatories are authorized to execute contracts; not coaches or administrators.

Officials and referees will be assigned to contests based upon the information outlined in the contract so it is crucial this information remains accurate at all times. Please communicate any discrepancies with the Associate Athletic Director for Facilities as soon as possible.

Non-Conference Home Agreements

Once schedules have been confirmed, home contest agreements will be developed for non-conference contests. Prior to the execution of the agreements, coaches will have the opportunity to review the agreement and make modifications as necessary. Once confirmed, the agreement will be sent to the University’s Purchasing Office for review and to the Associate Vice President and Controller for authorization. The original agreement is then sent to the visiting schools’ administration for their authorization and a time-stamped copy is kept on file within the Division of Athletics. A contest agreement is considered fully executed once both institutions have signed the agreement. When the
opposing institution mails back a signed copy of the contract, it is cross-checked, time-stamped upon receipt and placed in the appropriate file.

For men’s and women’s basketball agreements, there is a $25,000 cancellation penalty if the visiting team fails to comply with the conditions of the agreement. Additionally, the visiting team is furnished with 40 complimentary tickets for the contest.

For football agreements, there is a $75,000 cancellation penalty (payable to the visiting team) if the home team fails to comply with the conditions of the agreement and a $150,000 cancellation penalty (payable to the home team) if the visiting team fails to comply with the conditions of the agreement. Per the Colonial Athletic Association Conference, the visiting team is furnished with 300 complimentary tickets for the contest.

Cancellation penalties and complimentary tickets are not included in home contest agreements for the following sports: field hockey, men’s & women’s soccer, volleyball, women’s tennis, men’s & women’s cross country, women’s golf, men’s and women’s indoor/outdoor track and field, softball, baseball, men’s lacrosse and women’s lacrosse.

Contest agreements with financial guarantees (due or payable) will also be filed with the Business Office.

NOTE: The Director of Athletics must initial all contest agreements which include guarantees (due or payable) and those with cancellation penalties.

**America East Conference Agreements**

The America East member schools are not required to exchange a hard copies of contest agreements for conference games. All game information will be reflected on the conference website ([www.americaeast.com](http://www.americaeast.com)). Information posted on the conference website will be submitted to each coach for review and confirmation. Coaches are encouraged to routinely verify the information listed on the conference website and communicate any discrepancies to Associate Athletic Director for Facilities, who will then notify the appropriate conference personnel.

**Away Agreements**

Once an away contest agreement has been received, coaches will receive an email to verify the information and conditions outlined in the contract. Any discrepancies should be communicated to the Associate Athletic Director for Facilities as soon as possible. Once confirmed, the agreement will be sent to the University’s Purchasing Office for review and to the Associate Vice President and Controller for authorization. The fully-executed agreement is sent to the home institution and a time-stamped copy is kept on file within the Division of Athletics.
NOTE: The Director of Athletics must initial all contest agreements which include guarantees (due or payable) and those with cancellation penalties.

22.4 GAME MANAGEMENT AND OPERATIONS

The Assistant Director for Facilities and Game Management Operations will oversee and coordinate all game operations and game management for the University at Albany intercollegiate athletic programs. The game operations staff will collectively work with each sport administrator, head coach, and all other support staff to create an enjoyable well managed event for student-athletes, coaches, staff, sponsors, fans, and visiting teams.

Game Officials and Event Personnel

Game officials are assigned by the assigning agency (or agencies) of the particular sport, and assignments are available via online officiating databases in advance of the contest. All game operations personnel for home contests are to be hired directly by the Assistant Director for Facilities & Game Management Operations. No coach or staff member should engage in any hiring activity for any game operations positions, nor should any promise of payment be made to any outside personnel without prior authorization. Any new hires must complete the appropriate employment paperwork.

Grounds

The Athletic Grounds Manager will oversee the maintenance of all athletic grounds for intercollegiate athletics. The grounds staff will maintain and care for all athletic fields and surrounding areas that are included in athletic grounds. They will work closely with coaches regarding scheduling of practices, watering, mowing, over seeding, and other aspects of field upkeep.

Parking

The Office of Parking and Mass Transit Services is responsible for the development and enforcement of the campus parking rules and regulations. For further information, please visit: http://www.albany.edu/pmts/. The Assistant Director for Facilities & Game Management Operations will work with the Office of Parking and Mass Transit Services and the University Police Department to develop a game day (or special event) parking strategy for a variety of athletic events hosted on campus throughout the year. Parking advisories will be issued to the affected parties in advance of the event(s) outlining any parking restrictions or special instructions. Additionally, parking advisories will be available on the Athletics website and broadcast through social media platforms.
Security

According to University policy, the campus Chief of Police is responsible for public safety on campus. This includes a responsibility for ensuring that there is adequate security at each home athletic contest, if necessary. Since all athletic events demand varying degrees of security, a representative of the Division of Athletics and the Chief of Police must work together to coordinate the specific security strategy for each type of contest. The Division of Athletics is responsible for the payment of the security personnel at home athletic contests.

Music at Events

All music selections should be conducive to spectators and help create an environment of enthusiasm. The volume level of music played should be reasonable with the Director of Game Operations being responsible for such determination. The Assistant Coaches and Assistant Athletic Director for Marketing should review the music selections in advance of the event. Absolutely NO offensive lyrics (swearing, defamation of any group of people, etc.) will be played at competitions. If music of this nature is detected at an event, the Marketing and Game Management staff will have the authority to discontinue the particular song(s) immediately.

22.5 TAILGATING

Tailgating is permitted on the University at Albany campus at athletic events and at other events held at the SEFCU Arena and the Stadium.

University at Albany
Tailgating Policy

Policy Statement

The University at Albany promotes community building activities for its student, faculty, staff, alumni and visitors, and recognizes that tailgating is a time honored tradition at sporting events and other events on college and university campuses. Tailgating has the potential to enhance an event experience within a safe, responsible and controlled environment.

Tailgating is permitted on the University at Albany Campus at University sporting events and at other events held at the SEFCU Arena and the Stadium.

Tailgating at any University sporting event or at any other event held at the SEFCU or the Stadium must be approved by the University’s Alcohol Use Administrator and the Athletic Director prior to the event day.

Updated November 2019
This Policy does not apply to the preparation and eating of food and drink as provided to athletic guest teams by their athletic departments and/or parents/guardians of the athletes. However, other than the “Locations for Tailgating” and “Time for Tailgating” provisions herein, the University anticipates that all Rules of Tailgating will be followed by the guest teams, their athletic departments and the parents/guardians for the health and safety of the University Community.

Purpose

This policy provides a framework for responsible tailgating that enhances the event experience for all participants, while promoting a safe campus environment and preserving the beauty of the campus for the University Community.

Definitions

Tailgating: the preparation and eating of food, and the drinking of beverages (alcoholic and nonalcoholic), outdoors as part of pre-event and post-event festivities in designated areas on the University Campus.

Rules of Tailgating

1. Tailgating space is limited to those patrons who have purchased reserved parking or paid parking. Access to the tailgating area may be limited to those patrons who have a valid game ticket for the event or contest being held that day.
2. Tailgating parking lots will open four (4) hours prior to the start of the event or contest. Tailgating must discontinue 15 minutes prior to the start of the event or contest, tailgating is not allowed after this point, and tailgating lots must be cleaned and fully vacated 90 minutes following the conclusion of the event or contest.
3. University policy prohibits camping at any location on any University at Albany campus. No overnight parking or occupancy is allowed in tailgating areas either the night before and after the event or contest.
4. Driving or parking private vehicles on all green spaces or sidewalks is prohibited.
5. Large parties (over 20 people) or parties with participants who have no intent of attending the event or contest are strictly prohibited. Any group or organization that wishes to reserve tailgating for a large group must contact the UAlbany Ticket Office at (518) 442-DANE to reserve a spot. Failure to register your group will result in expulsion from the premises. UAlbany reserves the right to deny reservations for large group tailgates based on space available or other public safety considerations.
6. Amplified music outside of a personal vehicle, or the use of speakers, DJ’s or other amplified music is prohibited.
7. Consistent with the University’s Policy on Alcohol and New York State law, alcohol is permitted to be consumed in the tailgating area by individuals who are

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21 or older. All alcohol laws will be strictly enforced; open containers are strictly prohibited outside the tailgating area.

8. Public intoxication, vandalism, obscene or harassing behavior and violence (or threats of violence) will not be tolerated and should be reported to the nearest law enforcement official or by calling University police at 518-442-3131. Offenders and accompanying individuals may be subject to arrest, removal from the Campus and/or other applicable disciplinary actions.

9. For fans who choose to consume alcohol, the University encourages them to drink responsibly, serve food and nonalcoholic beverages at their tailgates and have designated drivers to accommodate guests and hosts or use public transportation, taxis, or ride sharing options.

10. Drinking games that encourage binge drinking or a rapid consumption of alcohol—including but not limited to beer bongs, beer pong, funnels and other drinking games—are prohibited.

11. Large containers of hard liquor and spirits and premade servings of hard alcohol—including but not limited to Jell-O or party shots—are prohibited.

12. Glass containers are prohibited. Bulk containers, including but not limited to kegs and beer balls, are prohibited.

13. The University reserves the right to refuse entry into the tailgating area and/or the event or contest area to any person who appears to be intoxicated. No refunds for any tailgating, parking, or event or contest attendance fees shall be given.

14. The unlawful possession, distribution or use of any drug or controlled substance is prohibited on campus, and such laws shall be enforced in tailgating areas.

15. Individuals are responsible for compliance with all federal, state, local and University laws, regulations and policies.

16. Tents or canopies (may not exceed 10' x 10') are permitted. They must be secured by weights or otherwise safely anchored and may not obstruct fire/safety lanes, sidewalks, drive lanes, pedestrian walkways or other parking spots. These structures must be an extension of your vehicle. Tailgating amenities including furniture, grills, generators or satellite dishes may not obstruct fire/safety lanes, sidewalks, drive lanes, pedestrian walkways or other parking spots.

17. Open flames are not permitted in any tailgate or parking area. Charcoal grills are permitted; however, the charcoal must be disposed of responsibly by dousing the charcoals with water and emptying them into the labeled metal receptacles provided by the University within the tailgating area. Propane grills with cylinders 20 lbs. or under are allowed.

18. Pets must be licensed, have a current rabies vaccine, and be on leash and under the control of their owner(s) at all times. Pets shall not run at large in tailgating sites or on Campus. Furthermore, animals shall not be left unattended on the Campus, tied/secured to Campus property or left in a motor vehicle. Owners shall clean up after pets and dispose of animal waste in tied bags in the trash receptacles located in tailgating locations or carried out.

19. All trash must be placed in trash receptacles located in tailgating locations or carried out. The disposal of grease or hazardous materials onto the grounds or into
storm drains is strictly prohibited. Charcoal must be disposed of responsibly by
dousing the charcoals with water, and emptying them into the labeled metal
receptacles provided by the University within the tailgating area.
20. The sale of any product, including food or beverages, is prohibited. Commercial
activity or solicitations are not allowed on Campus.
21. All event or contest attendees are expected to be respectful of University property,
the property of neighbors surrounding the University, and fellow participants
around them. Offenders and accompanying individuals may be subject to arrest,
removal from the Campus, reimbursement for the cost of damage and/or other
applicable disciplinary actions.
22. The removal of any barricades, barrels or other traffic control devices is strictly
prohibited.
23. All signs and instruction in tailgating areas and elsewhere at the University must
be obeyed.
24. The University is not responsible or liable for loss or theft of personal property
brought into the tailgating locations.

Locations for Tailgating

Tailgating may be permitted in the SEFCU arena parking lot and the Dutch Quad parking
lot, or in such areas as the University may determine, in its sole discretion, to be
appropriate for tailgating at a specific event, date and time.

Time for Tailgating

Tailgating parking lots will open four (4) hours prior to the start of the event or contest.
Tailgating must discontinue 15 minutes prior to the start of the event or contest, there is
no tailgating allowed while the event or contest is underway, and tailgating lots must be
cleaned and fully vacated 90 minutes following the conclusion of the event or contest.
University at Albany policy 7.1 prohibits camping on the University campus including
overnight parking. In addition, no overnight parking will be permitted in tailgating areas
the night before or the night following the event or contest.

Violations

Individuals who violate this Policy and/or other applicable policies, laws, regulations and
rules may be ticketed or arrested for violation of law, may be removed from the
University for that particular sporting event or event, suspended from the University for a
sport season or other determined amount of time, lose season tickets, and/or lose
tailgating privileges. Students may also be subject to discipline under the student code of
conduct. Employees may also be subject to discipline under the employee disciplinary
processes.

Any person damaging University property shall be responsible for the cost of repairs.

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Enforcement

Enforcement of this Policy is within the jurisdiction of the University Police Department, the Athletic Director, the Alcohol Use Administrator, the Office of Human Resources Management, and Community Standards.

Exceptions

The President may grant exceptions to this Policy within the scope of applicable state and federal law.

Loss or Damage of Property

The University is not responsible or liable for loss or theft of materials, items or personal property brought into the tailgating locations.

Other Applicable Policies

Policy on Alcohol and Drug Use in the Workplace
Policy on Alcohol and Drug Use by Students on Campus
Policy on Alcohol and Drug Use on all University at Albany Properties

Forms

Alcohol Use Registration Form

Complaints of Violations of this Policy

Alleged violations of this Policy may be reported to:
University Police:
In case of emergency: (518) 442-3131
For non-emergencies: (518) 442-3130
Alcohol Use Officer: (518) 956-8140
Athletic Director: (518) 442-2562
Community Standards (student discipline): (518) 442-5501
Office of Human Resources Management (employee discipline): (518) 442-4700

22.6 CAMPS AND CLINICS

Camps and clinics owned and operated by University employees are considered to be private business ventures. Employees hosting camps/clinics on University property must follow the protocol outlined in the compliance section of this document.
22.7 ATHLETIC FACILITY RENTALS

The Athletic Facilities may be reserved by external organizations, pending availability. Requests to reserve the Athletic Facilities must be made in writing via the Facilities Reservation Request and all of the provisions must be adhered to. No coach or staff member should make any promise of Athletic Facility usage to external clients. Please visit https://uaems.albany.edu/virtualems/ for more information.

22.8 UNIVERSITY FACILITIES MANAGEMENT

Keys and Athletic Facility Access

All University-issued keys are distributed by the University’s central key shop. New key requests are initiated through an online work order request submitted by the Associate Athletic Director for Facilities. The employee will be notified via email when the keys are ready. The prospective key holder must pick-up their keys and present photo ID at the Customer Service Center (Humanities Suite B43). If keys are transferred from one employee to another, the appropriate transfer documentation must be filed at the Customer Service Center. For further information, please visit: http://www.albany.edu/facilities/documents/KeyPolicy.pdf

All keys are the responsibility of the employee and should never be loaned to anyone. Keys may not be duplicated. Under no circumstances are keys or codes issued to individuals to be shared with others. For security and personal safety reasons, all employees are encouraged to lock their offices and, when appropriate, exterior building doors upon leaving or while working after regular hours.

Keys will not be issued to doors with SUNY card readers (i.e., main entrance to SEFCU Arena and Physical Education Building, locker rooms, etc.). Employee SUNY cards’ will be activated, upon request, by the Associate Athletic Director for Facilities. In the event University-issued keys are lost or stolen, please contact the Associate Athletic Director for Facilities immediately. Replacement fees for lost keys will be based on the actual costs associated with replacing locks and any damage or losses to the space involved.

Student-athletes are provided with swipe card access into the Athletic Facilities and their sport-specific locker room. It is the head coaches responsibility to communicate to the Associate Athletic Director for Facilities all student-athletes card activations and deactivations in their respective sports.

When a Division of Athletics employee terminates employment with the Department through resignation, leave of absence, promotion, or dismissal, all University-issued keys must be returned to the employee’s immediate supervisor who will subsequently turn them over to the Associate Athletic Director for Facilities. Keys will kept by the
Department for future use or transferred to the new person employed in that position. Upon termination, the employees’ SUNY card will be deactivated.

The security of all Athletic Facilities and equipment is of utmost importance. Therefore, it is very important that all staff and student-athletes adhere to the following:

- Never loan or share keys or access codes;
- Never alter locks or door hardware;
- Never prop doors open;
- Never admit unauthorized persons into the building;
- Always lock doors to your area when you are away and at the close of each workday.

Facilities, including the varsity weight room and team locker rooms, are only to be used under the supervision of a coach or another authorized member of the Division of Athletics. Under no circumstances is a student-athlete to use a facility for recreational purposes or to aid persons not approved by the Division of Athletics in accessing facilities, except as authorized by the University. Hours of operation will vary based on university breaks, holidays or other changes in the academic calendar. Visit https://uaems.albany.edu/virtualems/ for up-to-date information.

In the unlikely event that the university is closed (inclement weather, natural disaster, etc.), practices (on site or off site) and contests (home or away) will be held at the discretion of athletic administration and university officials. All facility users are required to comply with the rules of operation regarding conduct and equipment use. Violators of established rules are subject to discipline. Should there be a facility issue that needs to be addressed, please contact the athletic facilities administrator immediately.

**Intercession Energy Savings Initiative**

Each year during the four-week winter intersession when most of the students are not on campus, the University implements an Energy savings Initiative. The actual start and end dates of the initiative and the two phases (limited operations and energy conservation periods) will be posted by October 15 on the following website: http://www.albany.edu/facilities/intersessionenergy/.

**Campus Hot Water Shutdown**

The University conducts an annual two-week campus-wide hot water shut down which begins on the Monday following spring Commencement.
Facility Maintenance

The heating and cooling systems of the Athletic facilities (where applicable) is controlled by the central Facilities Management Department. If the interior temperatures become uncomfortable (i.e., too hot or too cold), please contact the Athletic Facilities office who will contact the Customer Service Center to request the room be maintained at a comfortable temperature. The exception to this protocol would be during the intercession energy savings initiative when the interior temperatures are purposefully lowered.

Interior Facility Maintenance

General interior facility cleanliness is performed by the day and evening shift custodial staff. For detailed information about cleaning guidelines, please visit: 
Interior trash removal is performed by the day and evening shift custodial staff. For frequency of trash removal, please visit:

Exterior Facility Maintenance

The Athletic Grounds staff is responsible for maintaining the exterior appearance of the Athletic Facilities. This includes, but is not limited to, mowing, landscaping and trash removal. Exterior trash receptacles are monitored on a daily basis. During events, trash removal is performed with greater frequency. Snow removal is performed by the Physical Plant with the goal of providing safe and accessible walkways and roadways on campus during and after a winter storm. For more information about snow removal guidelines, please visit:
http://www.albany.edu/facilities/snow_plan.html

Request for Repair/Service

Division of Athletics maintenance staff performs routine maintenance functions. If maintenance problems arise which are beyond the level of expertise of maintenance staff, a campus work order request will be initiated by the maintenance staff. Repairs/maintenance may be performed by specific shop crews within the University's Facility Management Department or by outside contractors. To request facility maintenance, contact the Assistant Director for Facilities and Game Management Operations.

Tent Permits

In New York State, the current fire code requires a permit for tents and canopies used for public events. The sponsoring department must submit permit application to the Office of Environmental Health & Safety for all tents erected on campus which exceed a 20 x 20
frame. All requests for tents erected on Athletic premises should be communicated to the Athletic Facilities office at least 10 days prior to the event.

**Mass Gathering Permit**

A mass gathering permit is required for events with an anticipated attendance of 5,000 or more. Requests for the permit are initiated by the Associate Athletic Director for Facilities and is filed with the campus’ Department of Health and Safety office.

**Fireworks Displays**

State Agencies have the responsibility to ensure that displays of fireworks or pyrotechnics on its State property are properly permitted. Campuses will begin the permit process by contacting The Office of Fire Prevention and Control (OFPC) at fireworks@dhses.ny.gov. Applications for permits must be made at least five days before the date of display. OFPC will coordinate with the campus, as well as local fire and police departments.

**22.9 AERIAL LIFT OPERATION**

Aerial platform and scissor lifts are present throughout the University at Albany campus and are used and operated by a number of University staff members and students. The University recognizes that there are potential hazards associated with the use of these aerial platform lifts.

All University employees and students must successfully complete a training program and receive certification prior to the operation of any aerial lift. For further information, please visit: [http://www.albany.edu/ehs/pdf/UAlbanyAerialLiftPolicy2015.pdf](http://www.albany.edu/ehs/pdf/UAlbanyAerialLiftPolicy2015.pdf)

**22.10 STATE-OWNED VEHICLE USAGE**

**Introduction**

The University at Albany maintains State-owned vehicles for general business use as well as vehicles assigned to specific employees. Only University employees with a valid driver's license may drive a State-owned vehicle.

General use vehicles (cars, trucks and vans) are used for the delivery of supplies, equipment, furniture and other items between locations. Certain passenger vans and cars are used to transport individual University employees, students and visitors to and from various meeting locations, airports, campuses, etc. and can also be used for limited team travel and recruiting purposes.
Passenger vehicles are assigned to employees in accordance with the New York State Division of the Budget ("DOB") and Office of General Services ("OGS") Policies pertaining to use of State vehicles. The Vice President for Finance and Business, or designee, will arrange for a vehicle to be provided to such employees as directed by the President in accordance with the mandates of state policies and state and federal tax laws.

This document is intended to cover the basic policy of the University as it relates to passenger vehicles assigned to an employee for his/her exclusive use and passenger vehicles, vans, busses, and trucks maintained by the University and assigned to employees from time to time for use associated with official University business.

The policies and procedures outlined in this document apply to all University at Albany, New York State-owned or leased motor vehicles used for official State business. Failure to comply with these policies and procedures may subject an employee to disciplinary action, including termination.

**Driver Eligibility And Usage**

Only authorized drivers are eligible to drive State-owned vehicles. In order to be eligible to drive a State-owned vehicle a driver must have a valid driver’s license appropriate for the class of vehicle driven. Drivers must provide a copy of their driver’s license (and annually thereafter) which shall be kept on file with Assistant Director of Facilities & Game Management Operations.

Prior to driving a State vehicle, the driver shall sign the Policies and Procedures Acknowledgement Statement. A copy of the signed Acknowledgement Statement shall be kept on file with Assistant Director of Facilities & Game Management Operations. Drivers who do not sign the Acknowledgement Statement are NOT authorized to drive State-owned vehicles.

**Vehicle Requests**

Requests for departmental vehicles should be submitted in writing at least 2 business days in advance to the Assistant Director of Facilities & Game Management Operations. Arrangements will be made to deliver the keys to the driver. Upon return, the driver is expected to return the keys to the Assistant Director of Facilities & Game Management Operations in a timely fashion. Failure to return the keys as arranged may result in disciplinary action and may include but is not limited to the driver losing the privilege to use State-owned vehicles.
Vehicle Restrictions

State-owned vehicles should not be driven more than 50 hundred (50) miles one-way from the University’s main campus whenever practicable. For trips that exceed this distance, a rental vehicle or charter service is recommended.

Passengers

In general, non-employee passengers are not allowed to ride in State-owned vehicles due to the additional liability. Exceptions to this arise when transportation is necessary or convenient for individuals who are dealing directly with, or are involved in, University business. Providing transportation to hitchhikers is prohibited.

Nothing in this section shall be construed to prohibit the use or occupancy of a University vehicle to provide assistance to any person, or the use or occupancy by private sector mechanics, or repair personnel in the course of performing required maintenance or repairs.

Requirements And Prohibitions In The Operation Of A State Vehicle

Operation of a state vehicle must be in full compliance with all New York State laws.

- All eligible drivers must be employed by the University, the University at Albany Foundation, the University Auxiliary Services Corporation, the Research Foundation, the Fuller Road Management Corporation, the Alumni Association, the University at Albany Foundation Student Housing Corporation or be registered University students in good academic standing, and he/she must have a valid driver's license.
- Smoking in state vehicles is prohibited.
- Driving under the influence of drugs/alcohol is prohibited.
- Possession or use of alcohol, illegal drugs or other intoxicating substances in the vehicle is strictly prohibited.
- Use of cellular phones without a hands-free adaptor is prohibited.
- Texting while driving in a state vehicle is prohibited.
- Eligible drivers are personally responsible for any fines, fees, legal penalties and personal legal costs resulting from the receipt of tickets and citations received while operating, parking or in possession of a state vehicle.
Vehicle Re-Fueling

On-Campus Refueling

Gas keys are assigned to each vehicle and are only compatible with the campus’ re-fueling station, located adjacent to the University Police headquarters. Each eligible driver will be issued a unique four-digit identification number specifically assigned to them. Misuse of these numbers will dilute the integrity of the system and will result in the loss of fueling rights. The Assistant Director of Facilities & Game Management Operations office will maintain a listing of the departments’ identification numbers. Fueling instructions are outlined in Appendix B and can also be found in each vehicle’s glove compartment. Every effort should be made to refuel the vehicle using the on-campus fuel pumps.

Off-Campus Refueling

In the event an eligible driver must re-fuel a State-owned vehicle off-campus, they may purchase fuel using the appropriate State-issued credit card. An itemized receipt and supporting documentation must be submitted to the Athletic Business office with five-days of the purchase. Any gas used in a State-owned vehicle and purchased by an employee with cash or personal credit card may be reimbursed via a travel voucher with proper receipts attached.

E-Z Pass Accounts

Employees may obtain their own E-Z Pass accounts, and may be reimbursed by the University for the business usage upon submittal of a properly prepared travel voucher and receipt(s). Other toll charges incurred by eligible drivers for business travel may be reimbursed upon submittal of a properly prepared and approved travel voucher and receipts.

Mileage Logs For Employees Assigned A State Vehicle For Exclusive Use

The Division of Athletics is required to maintain a mileage log book for each State-owned vehicle assigned to them. The purpose of this record is to account for the mileage associated with all employee business trips. Below is a sample mileage log book for the employee's printing and use.

Insurance

All state-owned vehicles are insured under a State automobile insurance policy and/or a New York State self-funded/retained insurance fund, as the case may be under the then current OGS policy. The Vehicle Operations Center cannot provide keys to a driver (or
department) until the vehicle has license plates placed on it and the Bureau of Insurance at OGS is instructed to add the vehicle to the University's fleet coverage.

**Accident Reporting**

Accidents should be reported to the Assistant Director of Facilities & Game Management Operations as soon as possible and no later than 24 hours after the incident. It is the driver's responsibility to report (within 10 days) any accident occurring in New York State causing casualty, personal injury or damage exceeding $1,000 to the New York State Department of Motor Vehicles. A completed OGS MV-104 Motor Vehicle Accident Report using the University's name and address as the state agency's vehicle owner should be sent to:

NYS Department of Motor Vehicles
Accident Records Bureau
PO Box 2925
6 Empire State Plaza
Albany, NY 12220-0925

For insurance purposes, copies of completed MV-104 forms and police investigative (MV-104A) reports should be forwarded to the University’s Vehicle Operations Center.

**Repairs and Maintenance**

The Vehicle Operations Center will make the necessary arrangements for servicing all State-owned vehicles including routine maintenance such as oil changes and inspections. Accurate mileage logs will ensure routine maintenance is scheduled and completed as needed.

If emergency on-the-road maintenance is required during normal business hours of the Vehicle Operations Center, the driver must call the University’s Vehicle Operations Center at (518) 442-3420 to report the problem(s) and obtain prior approval of such repairs. If emergency on-the-road maintenance is required outside of normal business hours, the driver is authorized to use a personal automobile service or local repair shop to perform the necessary work. The University will reimburse the driver for justifiable repair expenses submitted with the proper receipts and standard voucher. The University will not reimburse for AAA membership or other road service club membership.

It is the driver’s responsibility to clear all personal items, equipment and trash from the vehicle after each use. Drivers should report any vehicle malfunctions to the Assistant Director for Facilities and Game Management Operations immediately for corrective action of any malfunctioning.
Fuel Efficiency Maximization

The University is committed to maximizing fuel efficiency by eliminating unnecessary travel, maintaining its vehicles in proper working order, and purchasing fuel efficient cars. The University shall abide by the State policy and/or Governor's Executive Orders in effect at the time of purchase of vehicles regarding fuel efficiency.

Fraud Prevention

State-owned vehicles shall be used for official University business only, unless a car is assigned to an employee for his/her exclusive use. Then the vehicle shall be used primarily for University business as defined by the Internal Revenue Code and applicable state policies, SUNY policies and this Policy of the University.

Each Department assigned a State-owned vehicle is responsible for keeping and maintaining adequate and sufficient documentation necessary to indicate their use of the vehicle in mileage, and expenses related to the operation. Mileage logs shall be submitted quarterly, and these documents, together with the odometer, are subject to periodic audit and inspection.

Petro Vend Island Reader Fueling Instructions

1. Enter Your Driver ID  
   Press enter
2. Insert Vehicle Key  
   Wait until screen says to remove key
3. Remove Vehicle Key
4. Enter Mileage (MILEAGE MUST BE CORRECT OR THE KEY WILL BE LOCKED OUT)  
   Press enter
5. Reinsert Vehicle Key  
   Wait until screen says to remove
6. Enter Pump: 1 for Gas pump  
   2 for Diesel pump
7. Remove Nozzle
8. Put gas pump lever up
9. Begin fueling
10. Return nozzle when complete

If you fail to enter the correct mileage at the island reader, your key will be locked out.

If you fail to dispense gas after initiating a fueling at the island reader, the pump will be locked out.
If your key or the pump is locked out, please call:
442-3400 (Monday-Friday 8 am-4 pm)
442-3480 (Saturday-Sunday)

SAMPLE FORM

STATE UNIVERSITY OF NEW YORK
UNIVERSITY AT ALBANY
USE OF STATE OWNED VEHICLE
EMPLOYEE ACKNOWLEDGEMENT FORM

I, _________________________________ have read the University at Albany’s State-owned Vehicle Policy Manual outlining vehicle usage guidelines and agree to abide by the policy in the operation of the state owned vehicle entrusted to me.

_______________________________
Employee Signature

_______________________________
Date:

22.11 THE OFFICE OF CAMPUS RECREATION

The Office of Campus Recreation is currently operated within the Athletic Facilities. This department offers a wide variety of recreation opportunities for students, faculty, staff, and community members; including Aquatics, Club Sports, Fitness & Wellness, Group Exercise, Outdoor Pursuits, and Intramural Sports. For detailed information about their programs, please visit http://www.albany.edu/campusrecreation/.

Campus Recreation programs are conducted in a variety of indoor and outdoor venues. Recreational programming is scheduled in the following spaces, managed by the Division of Athletics:

Physical Education Building
PE gyms A, B, C
Dance Studio
Bubble
Alumni Turf
John Fallon Field

Updated November 2019
Recreational programming is scheduled in the following spaces, managed by the Campus Recreation Office:

Physical Education Building
PE gyms A, B, C
Bubble
Alumni Turf
John Fallon Field

Recreational programming is scheduled in the following spaces, managed by the Campus Recreation Office:

Physical Education Building
Member Sales office
Dance Studio
Squash and racquetball courts (excluding B88 & B89)
Pool
Men’s and women’s general locker rooms

SEFCU Arena
Fitness Center

Outdoor tennis/basketball courts
Southern bank of courts

Recreation Turf
Liberty Softball Field
Dutch Quad Commons
State Quad grass field

To request space managed by Campus Recreation, please inquire with their staff directly or visit: http://uaems.albany.edu/virtualems/

22.12 INCLEMENT WEATHER AND EMERGENCY PROCEDURES
Refer to Section 19.

SECTION 23: ATHLETIC TICKETING

Event Ticketing: Procedural Guidelines

The purpose of the Athletic Event Ticketing Procedural Guidelines is to ensure the proper and equitable distribution of athletic event tickets.
The policies and procedures are approved by the Athletic Director and the Intercollegiate Athletic Advisory Board (IAAB).

Any revisions to the policies and procedures must be reviewed and approved by the Director of Athletics and the Intercollegiate Athletic Advisory Board (IAAB).

23.1 General Policies

23.1.1 Buying Tickets

Tickets may be purchased through the UAlbany Athletic Ticket Office located at the SEFCU Arena or UAlbany Football Stadium Box Office and online at www.ualbanysports.com. Tickets may be purchased with the following credit cards: MasterCard, Visa, or Discover Card.

23.1.2 Exceptions

Exceptions to any item in this policy must be approved, in writing, by the Director of Athletics.

23.2 Ticket Requests

Ticket requests will be submitted to the Athletic Ticket Manager’s office for verification of compliance with the Division of Athletics ticket policy and for fulfillment.

23.3 Distribution of Tickets

The distribution of tickets will be determined annually. Tickets may be mailed, held for ticket-holder pick-up, or distributed as necessary. Whenever possible, the Division of Athletics will have ticket-holders sign that they received their allotted tickets.

23.4 Player Complimentary Tickets for Home and Away Games

In accordance with NCAA regulations, each student-athlete is entitled to four (4) complimentary tickets for both home and away contests. It is the responsibility of the Office of Compliance Services to be certain that all regulations are followed for assigning and distributing player complimentary tickets. The Office of Compliance Services reviews the complimentary admissions rules and process annually at the beginning of the year meetings with each sport program.

For football, player complimentary tickets, as allowable under NCAA regulations, will be assigned and facilitated by the ticketing staff at the pass gate under supervision of the Office of Compliance Services.

Updated November 2019
Football requests for player complimentary tickets will be submitted through ARMS to the Athletic Ticket Office for distribution at game time. Photo identification will be required for admission. Location of player complimentary tickets will be determined by the Division of Athletics.

For basketball, player complimentary tickets, as allowable under NCAA regulations, will be assigned and facilitated by the ticketing staff at the pass gate under supervision of the Office of Compliance Services.

Basketball requests for player complimentary tickets will be submitted through ARMS to the Athletic Ticket Office for distribution at game time. Photo identification will be required for admission. Location of player complimentary tickets will be determined by the Division of Athletics.

For all other sports, a specified number of complimentary tickets will be made available each year by the Director of Athletics or designee. It is the responsibility of each sport administrator to approve the pass list for each game. The Athletic Ticket Office shall be responsible for coordinating and distributing tickets at the NCAA Pass gate for all sports. Location of player complimentary tickets will be determined by the Division of Athletics.

23.5. COMPLIMENTARY TICKET PROCEDURES: HOME GAMES

Football and Basketball

All requests must be submitted through ARMS and receive prior approval from the Director of Athletics or Associate Athletic Director of External Affairs or designee. No tickets will be issued without prior approval, unless otherwise specified in this policy. Requests must indicate the name of the person to receive the tickets, the name of the person making the request, the date of the request, the game date or game tickets are requested for, and the purpose of the request. The Athletic Ticket Manager will submit all complimentary ticket orders to the Director of Athletics, Associate Athletic Director of External Affairs, or designee for signature and fulfill approved orders.

All Other Sports

Prior to each game, each head coach will be responsible for submitting to their sport administrator a Complimentary Pass List Form for approved by the Associate Athletic Director for Athletic Compliance. For game-by-game admissions, the head coach is responsible for completing the form and submitting it to the Associate Athletics Director for Athletic Compliance at least 24 hours prior the start of the contest.

Any ticket requests above the number of permissible complimentary tickets must be paid for by each sport’s respective budget, provided the tickets are for business related purposes and in accordance with fiscal responsibilities for staff and travel party members.
or by the individual requesting the tickets. There must be prior approval from the sport administrator accompanying any extra ticket requests.

23.6. COMPLIMENTARY TICKET PROCEDURES: AWAY GAMES

Requests will be received by the Athletic Ticket Manager and distributed by the Athletic Ticket Manager or designee.

Guests who pay to travel with the team will be entitled to the corresponding number of game tickets equal to the number of people they paid to travel with the team.

Invited Guests will be entitled to a specified number of tickets as approved by the Athletic Director or designee.

Consignment tickets will be distributed by the Athletic Ticket Manager. Payment for all tickets will be made to the University at Albany through the Athletic Ticket Manager.

Coach complimentary tickets will be allocated in the same manner as home complimentary tickets, unless otherwise noted in 6.6 or 6.7.

Head Coach Men’s Basketball will be entitled to tickets pursuant to employment agreement for both regular season and post-season games.

Head Coach Football will be entitled to tickets pursuant to employment agreement for both regular season and post-season games.

Any tickets above the permissible number of complimentary tickets must be paid for out of each sport’s respective budget provided the tickets are for business related purposes and in accordance with fiscal responsibilities for staff and travel party members.

Prior to each game, each head coach will be responsible for submitting to their sport administrator a Complimentary Pass List Form for approval. The completed approval form must be provided to the Associate Athletic Director for Athletic Compliance 24 hours prior to each game.

23.7 STUDENT TICKETS

Admissions

All students must present a valid student identification card (SUNY Card) at the designated entrance to gain a complimentary admission to any University at Albany Athletic Event. Students must enter at the designated student gates at both Football Stadium and the SEFCU Arena. 2000 student tickets are available for Football, Men’s Soccer and Men’s Lacrosse games played on Bob Ford Field. 984 student tickets are
available for Men’s and Women’s Basketball games played in the SEFCU Arena. Post-season or neutral site games are subject to the rules and regulations of the event. University at Albany students will not necessarily receive complimentary tickets specified events.

Eligibility

1. Students who have a validated identification card as a part-time or full-time undergraduate or graduate student are eligible to participate in the ticket request process for football and basketball regular season home games. Validations will be updated each semester and students will only be eligible for those games that fall within the semester validation.
   a. Students who have a validated Fall identification card will be eligible for admittance to football and soccer games for the entire season and for basketball for games until December 31st following that Semester.
2. Students who have a validated Spring identification card will be eligible for admittance to basketball and lacrosse games from the beginning of the Spring Semester to the end of the regular season.
   a. Validations are available, upon proper payment of course fees, through the SUNY Card Office in the Moyer Student Union. Validation is the exclusive responsibility of the student. Full-time undergraduate students must enroll in a minimum of 12 credits per semester. Full-time graduate students must enroll in a minimum of 9 credit hours per semester.

Identification Cards

Damaged or unreadable identification cards will not be accepted. Prior validation is the responsibility of the student.

Selling Of Student Tickets
Selling of University at Albany Division of Athletics Tickets by students is punishable under the University Student Code of Conduct.

Scalping

Scalping of University at Albany Division of Athletics Tickets is punishable under New York State Law.

23.8 ATHLETIC DEPARTMENT TICKETS/CREDENTIALS

At the Director of Athletics’ discretion, each employee may be entitled to receive a specified number of tickets for football, men’s soccer, men’s and women’s basketball, men’s lacrosse or any other regular season athletic event, in accordance with Division of Athletics ticket policy.

Updated November 2019
Employees will be provided the option to accept or reject any part of the complimentary ticket benefit. Employees may accept tickets on a game by game basis, as determined by the Director of Athletics.

Tickets may be subject to federal income taxes, and these taxes will be withheld from the employee’s paycheck in accordance with IRS regulations.

If a Division of Athletics employee chooses to accept tickets on a game by game basis, all ticket requests must be submitted to the Athletic Ticket office in accordance with the deadline established by the Director of Athletics.

The Director of Athletics will determine on an annual basis the quantity and location for single game tickets for athletic department personnel.

Complimentary tickets for all University at Albany Division of Athletics competitions will be distributed to Division of Athletics staff based on the guidelines listed below unless otherwise approved by the Director of Athletics, Associate A.D of External Affairs, or designee.

Division of Athletics athletics season staff credentials will be issued on an annual basis. Credentials will be limited to working staff and senior administrators.

Game by game credentials will be issued and may be requested through the Director of Media Relations, Associate Athletic Director of External Affairs or Senior Women’s Administrator.

All issued game by game credentials will be numbered and audited at the end of each event. A final credential inventory will be submitted to the Director of Athletics at the end of each sport season.

Any unauthorized use of a credential subjects the bearer to immediate dismissal from any event and will result in immediate revocation of the credential from the athletic department staff member.

Tickets for Division of Athletics events are the property of the University at Albany and may not be sold, traded or utilized for personal gain.
23.9 REGULAR SEASON GUIDELINES FOR HOME GAME TICKETS

<table>
<thead>
<tr>
<th>General Guidelines for Regulars Season Home Games Unless otherwise noted</th>
<th>FB</th>
<th>M/W BB</th>
<th>Other</th>
<th>Sport Coached</th>
</tr>
</thead>
<tbody>
<tr>
<td>Athletic Director</td>
<td>12</td>
<td>12</td>
<td>12</td>
<td></td>
</tr>
<tr>
<td>Deputy; Associate or Assistant A.D.</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Administrative Staff members</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Head Coaches</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>Employment agreement or 12</td>
</tr>
<tr>
<td>Assistant Coaches</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>6</td>
</tr>
<tr>
<td>Academic Advisors</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>4 (for specific sport(s) advising)</td>
</tr>
<tr>
<td>Coordinators/Specialists</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Representatives/Assistants (not coaches)</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Student Interns</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Athletic Trainers</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>4 (for sport athletic training)</td>
</tr>
<tr>
<td>Strength &amp; Conditioning Assistants</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>4 (for sport conditioning)</td>
</tr>
<tr>
<td>Athletic Equipment</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>4 (for sport equipment)</td>
</tr>
<tr>
<td>University at Albany President</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>President's Suite</td>
<td>15</td>
<td>NA</td>
<td>NA</td>
<td></td>
</tr>
<tr>
<td>President's Cabinet</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>SUNY Board of Regents</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>IAAB Members</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Physicians – Team</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Student Ambassadors</td>
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<td>2</td>
<td></td>
</tr>
<tr>
<td>Cheer Coaches</td>
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<td>4</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Cheer/Dance (each)</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Band Director</td>
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<td></td>
</tr>
<tr>
<td>Band Members</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Faculty Athletic Representative</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Game Officials (per official)</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td><strong>Football</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Head Coach</td>
<td>12</td>
<td>6</td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>Assistant Coaches</td>
<td>6</td>
<td>2</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Video</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Coordinators</td>
<td>2</td>
<td>2</td>
<td>2</td>
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</table>

Updated November 2019
### Graduate Assistants

<table>
<thead>
<tr>
<th></th>
<th>2</th>
<th>2</th>
<th>2</th>
</tr>
</thead>
</table>

### Men's Basketball

<table>
<thead>
<tr>
<th>Role</th>
<th>6</th>
<th>12</th>
<th>6</th>
</tr>
</thead>
<tbody>
<tr>
<td>Head Coach</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assistant Coaches/Director of Operations</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Student Managers</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Women's Basketball

<table>
<thead>
<tr>
<th>Role</th>
<th>6</th>
<th>12</th>
<th>6</th>
</tr>
</thead>
<tbody>
<tr>
<td>Head Coach</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assistant Coaches/Director of Operations</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### 23.10 MEDIA

The Director of Media Relations will produce season credentials for all working media. Season credentials must be picked up at the Media Relations office in person prior to start of season.

The Director of Media Relations will also maintain a game-by-game media credentials list and will distribute on a game-by-game basis at the entrance upon presentation of appropriate credential.

*For football and basketball*, media seating will be located in a preferred location. Media who cannot be accommodated in designated media area, will be placed in an alternate area on a game by game basis.

#### 23.11 MARCHING AND PEP BAND LOCATIONS

*For football*, the band will be located in the top of section 109. Any guests being provided complimentary tickets will be located according to ticket availability for football. Visiting team bands will be located in the visitor section.

*For basketball*, the band will be located in Section 350, unless designated by the conference. Visiting team bands can only be provided space within the SEFCU Arena on a space available basis. Invitations to visiting team bands will be handled through the marketing staff. The deadline for visiting team band access is October 15th of each year.

#### 23.12 VISITING TEAMS

*For all America East or CAA Conference games*, the number and location of visiting team complimentary tickets will be determined by the America East or CAA Conference policy.

*Updated November 2019*
**For non-conference football**, visiting team complimentary tickets will be located in sections 112-119. The number of tickets available to each visiting team will be determined by the game contract.

**For non-conference basketball**, the number of tickets available to each visiting team will be determined by contract. 24 visiting team complimentary tickets will be located in section 550 with the remainder of the allocation located in section 500. Consignment tickets will be located in sections 500 and 550.

### 23.13 POST SEASON TICKET POLICY

The post-season basketball and football ticket policy at the University at Albany is designed to permit the Division of Athletics to allocate the limited number of post-season tickets available in a fair and equitable manner based on the athletic donations; season tickets held; sponsorship and other deciding factors.

Complimentary tickets are available for NCAA tournaments and championships as designated below.

Priorities for Ticket Allocation

1. **Participants**: The NCAA provides an allotted number of tickets for the participating student athletes on each team. Additionally, the NCAA provides that seats are allocated for the band, including the conductor.

2. **Institutional commitments**: After tickets have been allocated for participants and the band, tickets will be allocated for institutional commitments, including University and University System requirements. Institutional commitments are fixed by post-season ticket policy, based upon the number of tickets available at each site and the best interests of the University.

3. **Students, Faculty/Staff, and Great Dane members**: After tickets for participants, the band and institutional commitments are deducted from the total number of tickets available to University at Albany, the net tickets remaining will be distributed according to the following formula:

   \[
   \text{Total tickets allocated by the NCAA – tournament participants (players & band) – institutional commitments = net tickets}
   \]

   \[
   \text{Net tickets = 16\% \ for \ students + 4\% \ for \ faculty/staff + 80\% \ for \ donors and sponsors.}
   \]

Tickets will be allocated as follows:

1. Participants
2. Band
3. Institutional Commitments
4. Students (16\% of net tickets)

*Updated November 2019*
5. Faculty (4% of net tickets)
6. Athletic Foundation donors and athletic sponsors (80% of net tickets, based on priority points)

- The maximum number of tickets assigned per athletic donor will be 2 tickets for allocation A (less than 500 tickets); 4 tickets for allocation B (500-1000 tickets) and C (more than 1000 tickets).
- Tickets allocated to, and unused by, tournament participants, institutional commitments, faculty/staff and students will be available for athletic donors.
- Ticket purchase privilege is non-transferable.

23.14 POST-SEASON SEAT ASSIGNMENTS

- Individuals allocated tickets for post-season competition will make payment to the UAlbany Athletic Ticket Office. For the NCAA Basketball Tournament, upon receipt of payment first round tickets will be distributed. A voucher will be issued by the athletic ticket office to allow for on-site distribution of tickets for second round games. Valid identification and the voucher will be required to obtain tickets at the tournament site.
- There are no refunds or exchanges.
- Deadlines will be made public for notification of ticket assignments, receipt of payment and ticket distribution.
- The Department of Intercollegiate Athletics reserves the right to cancel a ticket order if tickets are obtained or used contrary to this policy.
- This policy is a guideline only. This policy does not create a contract right for any person to purchase post-season tickets. The right to assign tickets rests entirely with the University at Albany Division of Athletics. The University reserves the right to cancel all or any part of a ticket order and will refund accordingly. In the event of cancellation, the Universities liability is limited to the face value of the cancelled tickets.
- The University may change or eliminate this policy at any time.

23.15 POST-SEASON TICKET ALLOTMENT – NCAA BASKETBALL TOURNAMENT

<table>
<thead>
<tr>
<th>INSTITUTIONAL COMMITMENTS</th>
<th>A: Allotment of less than 500 tickets</th>
</tr>
</thead>
<tbody>
<tr>
<td>Athletic Administration*</td>
<td>7</td>
</tr>
<tr>
<td>Alumni Director</td>
<td>2</td>
</tr>
</tbody>
</table>

Updated November 2019
<table>
<thead>
<tr>
<th>Role</th>
<th>Tickets</th>
</tr>
</thead>
<tbody>
<tr>
<td>Athletic Development</td>
<td>6</td>
</tr>
<tr>
<td>Director of Athletics</td>
<td>4</td>
</tr>
<tr>
<td>Basketball Staff**</td>
<td>10</td>
</tr>
<tr>
<td>University President</td>
<td>1</td>
</tr>
<tr>
<td>Head Coaches</td>
<td>0</td>
</tr>
<tr>
<td>Compliance Office</td>
<td>1</td>
</tr>
<tr>
<td>Governor</td>
<td>2</td>
</tr>
<tr>
<td>Head Basketball Coach (or as designated by contract)</td>
<td>30</td>
</tr>
<tr>
<td>NCAA Faculty Athletics Rep.</td>
<td>1</td>
</tr>
<tr>
<td>President</td>
<td>4</td>
</tr>
<tr>
<td>Board of Trustees</td>
<td>9</td>
</tr>
<tr>
<td>University Development</td>
<td>2</td>
</tr>
<tr>
<td>US Congressmen/Senators</td>
<td>0</td>
</tr>
<tr>
<td>Vice President</td>
<td>0</td>
</tr>
</tbody>
</table>

**Tournament Participants**

<table>
<thead>
<tr>
<th>Role</th>
<th>Tickets</th>
</tr>
</thead>
<tbody>
<tr>
<td>Players Pass List (4 tickets each)***</td>
<td>52</td>
</tr>
<tr>
<td>Band (29 – plus one conductor)</td>
<td>30</td>
</tr>
<tr>
<td>Cheerleaders (12 plus 1 mascot)</td>
<td>13</td>
</tr>
<tr>
<td>Coaches (5)</td>
<td>5</td>
</tr>
<tr>
<td>Athletic Trainer (1)</td>
<td>1</td>
</tr>
<tr>
<td>Athletic Equipment</td>
<td>1</td>
</tr>
<tr>
<td>Team Manager</td>
<td>1</td>
</tr>
<tr>
<td>Sports Information</td>
<td>1</td>
</tr>
<tr>
<td>Radio/TV</td>
<td>4</td>
</tr>
</tbody>
</table>

**Other Department Staff**

<table>
<thead>
<tr>
<th>Role</th>
<th>Tickets</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Advisor</td>
<td>2</td>
</tr>
<tr>
<td>Office Staff</td>
<td>4</td>
</tr>
<tr>
<td>Team Managers</td>
<td>5</td>
</tr>
<tr>
<td>Team Physician</td>
<td>4</td>
</tr>
</tbody>
</table>

*As assigned by the Director of Athletics

**For men's basketball staff only; designated by the head coach; non transferable

***Allocated and distributed according to NCAA and athletic department rules
23.16. NCAA PASS GATE

For football, the NCAA Pass Gate is located at the South gate of the University at Albany Football Stadium.

For basketball, the NCAA Pass Gate is located at the Student entrance of the SEFCU Arena on the Concourse level. For each game, the student-athletes will submit names via playerguest.com for inspection and compiling of a Pass List.

For each game, the Associate A.D. for NCAA Compliance will have team members fill out admission requests for their guests.

For football, the sheets must be completed by Thursday at 5:00pm preceding all games, home and away. The student athletes will submit the requests to the Associate A.D. for Athletic Compliance for inspection and compiling of a Pass List. Visiting team student-athlete complimentary guest tickets are taken from the opponent’s ticket allocation. Visiting student-athlete requests are made through the Athletic Ticket Office. On game day, a representative from the visiting team will meet the Associate A.D. for Athletic Compliance; the Ticket Manager or designee two (2) hours prior to the game at the NCAA Pass Gate. If the visiting team does not send a ticket representative, game staff will be assigned to handle the distribution of the visiting team tickets.

All recipients aged 15 years or older must show picture identification to receive tickets.

The Associate A.D. for Athletic Compliance and the Director of Athletic Ticketing are responsible for ensuring compliance is met at the NCAA Pass Gate.

23.17 DIVISION OF ATHLETICS SPECIAL ADMITS/GROUPS

- High School Teams
- Visiting College Teams
- Organizations And Social Groups
- Youth Sports Programs/Teams
- Bands/Pep Bands

The following procedures will be followed for the aforementioned groups:
  a. All requests for special admittance must be submitted to the Associate A.D. for Athletic Compliance for approval.
  b. Complimentary admissions will be made determined on space available basis.
  c. All groups must submit a complete list of names and/or a roster to the Associate A.D. for Athletic Compliance at least 48 hours in advance of the contest.

  Complimentary admission will be limited to members of the group/team, coaches/staff ONLY.
d. In the event complimentary admission is not available, special group rates will be provided by the Athletic Ticket Office.
e. Entrance to each event will be designated by the athletics department.
f. Individuals receiving complimentary admission will be required to present picture ID and a signature for admission.
g. There will be no special parking permits or parking spaces made available. In the event a group/team arrives by bus, traffic control will direct the bus to a designated parking area. All other vehicles will use general parking.
h. **Groups/teams and/or athletic department personnel not following these guidelines will not receive admission to the event.**

**Babe in Arms Policy**

Children under age of three are admitted FREE of charge (if they are too large to sit on lap of parent, a ticket must be purchased).

**Pro Scout Tickets**

Pro Scout ticket requests will be handled through the Media Relations Office. The Director of Media Relations will arrange for tickets with the Athletic Ticket Manager. University at Albany will make every effort to provide priority seating to all pro scouts.

**SECTION 24: MEDIA RELATIONS POLICIES AND PROCEDURES**

**24.1 OVERVIEW**

The Division of Athletics depends upon the Media Relations Office to publicize information regarding all intercollegiate sports teams in a professional manner, creating both interest and support for the intercollegiate athletics program. The Media Relations Director is responsible for the operation of the Media Relations Office and serves as the primary media contact for the Division of Athletics. The Media Relations Office, as liaison between the Department's varsity sports teams and the local, regional and national media, relies on the steady flow of information and close communication between coaches, student-athletes and administrators. All requests from media outlets (e.g., radio, television and press) for information and commentary on any aspect of the Department's intercollegiate athletics program should be referred to the Media Relations Office.

**24.2 RESPONSIBILITIES OF THE MEDIA RELATIONS OFFICE**

The media-related responsibilities of the Media Relations Office are as follows:
- To write, edit, publish and/or disseminate all athletically-related material, in the following forms:
  1. Daily and weekly news releases and sports updates pertaining to individual student-athlete, coach or team activities;
2. Event programs, as well as annual sports brochures for media and recruiting purposes;
3. Current team and individual statistic compilations;
4. Current and historical files for all sports, including information on teams, individual student-athletes and coaches; and
5. Special interest stories related to student-athletes, coaches, teams or UAlbany Division of Athletics activities.

- To direct media activities at athletic events in the following ways:
  1. Serving as host to radio, television and print media representatives and providing background information;
  2. Supervising credentials for sideline, press box and team practices;
  3. Coordinating publicity events and press conferences involving student-athletes, coaches and administrators;
  4. Providing requested materials to opponents' Sports Information Offices for both home and road games;
  5. Reporting contest results to media outlets;
  6. Supervising the gathering of required statistics at home contests;
  7. Coordinating the transmission of post-game information to the media;
  8. Overseeing the maintenance of information and archives for all sports;
  9. Coordinating the advancing and staffing of away events; and
  10. Assisting in the preparation of Conference and NCAA reports, as required.

- To provide additional services as required, to include the following:
  1. Assisting student-athletes in gaining post-season academic and athletic honors and/or publicizing the receipt of such honors;
  2. Managing the content of UAlbanySports.com;
  3. Providing student-athletes with interview guidelines;
  4. Assisting student-athletes and coaches in preparing for scheduled interviews;
  5. Coordinating individual interviews and media conferences;
  6. Traveling with teams; and
  7. Assisting the administration with public relations campaigns.

24.3 RESPONSIBILITIES OF THE COACHES

Coaches are expected to cooperate fully with the Media Relations Office to achieve favorable media coverage and provide for the production of quality brochures, media releases and event programs for their sports.

The media-related responsibilities of UAlbany Division of Athletics coaches are as follows:

1. To coordinate the completion of individual student-athlete publicity information forms on an annual pre-season basis;
2. To abide by the Family Educational Rights and Privacy Act (FERPA) when releasing student-athlete information;
3. To participate in television, radio and print interviews, as requested;

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4. To be courteous and cooperative with members of the media at all times, even during difficult situations;
5. To be honest when dealing with the media and to exercise sound judgment when commenting to the press on any topic;
6. To restrict press statements to their specific sport;
7. To honor all deadlines when submitting information for rosters, schedules, publicity questionnaires and athletic event information.
8. To be on time for pre-arranged interviews and return calls to media members in a timely fashion;
9. To assist in the scheduling and coordination of Picture Day (team and individual pictures); and
10. To insure that student-athletes receive proper instructions and encouragement on appropriate interview techniques.

The University at Albany receives a high degree of media coverage locally, regionally and nationally. Therefore, coaches are reminded to think carefully prior to answering media questions dealing with subjects such as specific student-athletes, injuries or controversial topics. Public statements or media releases regarding sensitive topics are to be approved by the Associate Director of Athletics/External Affairs of Athletics prior to release.

**Privacy Rights of Student-Athletes**

All University at Albany personnel are expected to comply with University and NCAA rules and regulations, as well as federal laws, regarding the release of personal information related to student-athletes and prospective student-athletes. Therefore, in accordance with University, NCAA rules and regulations and the 1974 Family Educational Rights and Privacy Act (FERPA), personal information about the student-athlete is not to be used or released unless the student-athlete has given his/her consent to the University for the release of such information for publicity use.

**Release of Information**

The release to the news media of all information must be coordinated through the Media Relations office.

**24.4 INTERVIEWS, PRESS CONFERENCES AND PRESS RELEASES**

The University at Albany’s intercollegiate athletics programs generate a high level of public interest and media coverage locally, regionally and nationally. The UAlbany Division of Athletics is aware that its image directly affects the reputation of the entire University, and therefore urges all student-athletes, coaches and staff to exercise extreme caution when making any statements to the media. Specific policies and guidelines have
been developed to assist student-athletes and UAlbany Athletics personnel with the
management of media interviews, conferences and reactions to specific news releases.
The Director of Athletics, working in conjunction with the Associate Athletic Director/
External Affairs and the coaches, is ultimately responsible for determining which types of
information and commentary are appropriate for media release. Coaches and student-
athletes retain the freedom to speak with media representatives without supervision, but
are restricted from providing privileged information concerning UAlbany Athletics and
specifically its student-athletes.

24.5 RELEASE OF STUDENT-ATHLETE INFORMATION

UAlbany Division of Athletics staff members are expected to comply with University,
Conference, NCAA and Federal rules regarding the release of personal information
concerning student-athletes and prospective student-athletes. As specified by these
governing authorities, only the following information may routinely be released for
legitimate purposes:

- Student-athlete's name and permanent address;
- Date and place of birth;
- Residency status, college, major and academic level;
- Most recently attended institution, dates of attendance at the University at Albany,
degree and awards received;
- Weight and height;
- History of participation in officially recognized sports and activities; and
- Citizenship.

In accordance with the 1974 Family Educational Rights and Privacy Act (FERPA),
personal information about the student-athlete is not to be used or released unless the
student-athlete gives his/her written consent to the University for the release of such
information for publicity purposes.

Release of Telephone Numbers

The Media Relations Office does not provide the student-athlete's number to
representatives of the media. However, when appropriate, the Media Relations Office
does arrange for student-athletes to return calls to members of the media.

Prospective Student-Athlete Information

The Media Relations Office retains sole authority to release the names of prospective
student-athletes following the receipt by the University of a National Letter of Intent.
Any premature or unauthorized disclosure of this information may result in NCAA
sanctions against the school. Media inquiries regarding any verbal commitments to the
University should produce a "no comment" response by athletic staff members. Persistent inquiries should be referred to the Director of Media Relations.

**Interviews**

The Media Relations Office serves as the primary clearinghouse for interview requests and is solely responsible for the coordination of student-athlete interviews with legitimate representatives of electronic and print media. Although all requests for interviews received by UAlbany Athletics personnel should be referred to the Media Relations Office, coaches and administrative personnel have the right to schedule their own interviews.

The Media Relations Office schedules interview sessions throughout the athletic season and academic year, based on media interest and intercollegiate athletics activities. In general, interview sessions for revenue sports are scheduled on a daily basis before or after practice, as designated by the Head Coach, with post-game interviews scheduled to follow the conclusion of each intercollegiate event. The Media Relations Office provides the following assistance with the coordination of interviews:

- Establishment of ground rules for interview, selection of location and formal introduction of participants;
- Preparation and release of background material relative to the interview;
- Appropriate guidance to individual(s) being interviewed with special focus placed on probable topics;
- Instruction to student-athletes regarding appropriate interview and media relations techniques;
- Coordination of interview process to insure the avoidance of conflicts with class time, as well as team or school activities; and
- Special assistance to student-athletes and UAlbany Athletics staff who may have specific problems with the media.

**24.6 COACHES AND STUDENT-ATHLETE GUIDELINES**

All coaches and student-athletes are encouraged and expected to participate in outside media interviews in order to present a positive image of both the individual and the University. Telephone and in-person interviews of student-athletes are to be arranged through the Media Relations Office, at the convenience of both parties. Interview questions asked of student-athletes and coaching staff are to be answered honestly with tact and diplomacy.

Head Coaches are responsible for insuring that their student-athletes are instructed in the appropriate manner of addressing media representatives during interviews. While different guidelines may be required for different sports, coaches should include
instruction on responding to both typical and high stress situations, which may occur during or after a game.

Additional policies and guidelines concerning interviews are as follows:

1. All interviews which may address any controversial issues or a matter under investigation are subject to the prior approval of the Director of Athletics.
2. Post-game interviews are conducted after a normal ten-minute "cooling off" period. In all sports, win or lose, coaches and student-athletes should be available to the press following an athletic event.
3. Media representatives are to be advised that interviews with student-athletes may not interfere with classes, practice time or other scheduled activities.
4. Calls from media representatives are to be returned promptly, to insure that the "story" has appropriate comments from a University at Albany coach or student-athlete.
5. "Off the record" comments are not guaranteed to remain "off the record."

Questions of a sensitive nature should be referred to the appropriate administrator.

It is the Head Coach's responsibility to instruct his/her coaching and administrative staff regarding their responses to the media. Staff members should also be familiar with Media Relations Office policies. Coaching staffs should be aware that they are expected to be courteous at all times -- but they are not required to provide answers to all of the media's questions.

24.7 PRESS CONFERENCES

Press conferences pertaining to the intercollegiate athletics program may only be called by the Media Relations Office at the direction of the Director of Athletics. In general, press conferences are scheduled on a sport-by-sport basis, depending on current media interest, with a regularly scheduled football and basketball press conference during the season. Coaches are not permitted to call their own press conferences.

24.8 PRESS RELEASES

The Media Relations Office is responsible for the writing, editing and distribution of all press releases pertaining to the intercollegiate athletics program at the University at Albany. Media releases are routinely distributed for staff hires or changes, major athletic events and personality features, as well as other newsworthy issues and items.

All releases are to be presented in a professional and newsworthy manner, providing appropriate statistical data, notes, quotes and other facts concerning the subject. Any staff member desiring to release an item to the public should notify the Media Relations Office of the issue to be covered and then assist the Office in insuring that the information to be released is factual, appropriate and serves to promote the best interests to UAlbany.
Athletics and the University. Any press releases that may be of a sensitive nature require the prior approval of the Director of Athletics.

Press releases are distributed on a daily basis, as dictated by the story's newsworthiness to standard local, regional and national news sources, as identified on the media list, and as deemed appropriate by the Associate Athletic Director/ External Affairs.

24.9 PUBLICITY MATERIALS

UAlbany Division of Athletics produces publicity materials not only as a means of providing the media with vital information about the athletics program, but also to stimulate support for its athletics programs from the University, fans and surrounding community. The Media Relations Office is charged with the responsibility of producing professional publicity materials of the highest quality in compliance with University, Conference and NCAA rules and regulations.

Style Guide

In written materials, refer to the school as University at Albany. In a second reference to the university, UAlbany may be used as an abbreviation. Use athletics department (not athletic department) and athletics director (not athletic director) in letters or publications. Bob Ford Field and John Fallon Field should be referenced by their full names (not Ford Field or Fallon Field). All teams, male or female, that represent the University at Albany are the Great Danes (not Lady Danes).

For printing needs, the UAlbany colors are purple and gold and can be achieved with PMS 269 purple, and PMS 124 gold.

Media Guides

The Media Relations Office is responsible for the production, within budget limitations, of annual media guides for UAlbany intercollegiate sports programs. All media guides additionally serve as recruiting publications and must comply with NCAA regulations.

Recruiting Brochures

As previously stated, each sport's media guide is produced within NCAA guidelines so that it may be distributed to prospective student-athletes, as allowed by the NCAA Recruiting Bylaw, Article 13.

Schedule Cards/Posters

Schedules must be officially approved by the Director of Athletics prior to the printing of any schedule cards or posters. The Marketing Office is responsible for the production of
schedule cards for all ticketed intercollegiate sports. Schedule posters are produced for specific selected sports.

**Individual Game Programs**

The Media Relations Office is responsible for the production of day-of-game programs. All advertising must conform to University and NCAA guidelines. The Director of Athletics retains the right of final approval of overall program content.

**Photographs**

The Media Relations Office is responsible for maintaining an active file of photographs of student-athletes, members of the coaching staff and athletic administrators. In addition to posed team and individual photographs, game action sports photographs are included in the file for use in sport programs.

The Head Coach is responsible for scheduling photograph sessions for individuals and teams with the Media Relations Office. Photo days are scheduled to meet each sport’s publication requirements. Coaches should ensure that the entire team is present at scheduled photography sessions and that team members arrive promptly and are appropriately dressed.

All photographs are the property of UAlbany Athletics and are to be used for Division of Athletics purposes only. Copies of photographs are made available to members of the media upon request without charge. Internal use of file photographs is determined by mutual consent between the Media Relations Office and the individual requesting the photograph. Per NCAA regulations, photographs and/or slides are not provided to any student-athlete unless considered a part of an approved athletic award.

**24.10 EVENTS**

UAlbany Athletics recognizes the importance and benefit of comprehensive print and electronic media coverage of its 19 intercollegiate sports programs. The Media Relations Office is responsible for providing appropriate assistance to legitimate media representatives who cover the University’s sports programs so that they can perform their duties in a professional and timely manner.

The Director of Media Relations, in conjunction with the Associate Director of Athletics/External Affairs, is responsible for establishing guidelines for media coverage of intercollegiate athletic events.
Event Staffing

The Director of Media Relations is responsible for the coordination of staff coverage for all varsity events (home and away), as well as for assigning sufficient staff to meet the publicity needs of each program on a seasonal basis.

Staff members may be assigned primary responsibility for specific sport(s) (i.e. soccer, football, etc.) as well as receive individual coverage assignments, as they occur. Staff responsibilities related to event management may include, but are not limited to, the following:

- Reporting and recording results of events;
- Issuing press credentials to approved members of the media;
- Coordinating and monitoring activities in the press box and along the sidelines;
- Orientating security to media procedures; and
- Providing appropriate information and support services to any visiting team's Media Relations Office.

The Media Relations Office staffs both home and away contests for men's and women's basketball, and football. Arrangements for the reporting of scores for all sports are made on an event-by-event basis. The Head Coach is responsible for reporting all scores and highlights immediately following the conclusion of a competition that is not staffed by Media Relations Office personnel. The Media Relations Office is then responsible for releasing the results to approved media outlets.

24.11 WORKING PRESS CREDENTIALS

The Media Relations Office is responsible for issuing press credentials (e.g. sidelines passes) to approved members of the media (print and electronic). Press credential requests are prioritized by the Director of Media Relations, in conjunction with the Associate Director of Athletics/External Affairs.

Press credentials are only issued to individuals serving in an assigned working capacity for a legitimate news organization. Legitimate media agencies are considered to be one of the following:

- Newspapers, periodicals, radio and television stations regularly covering University at Albany sports;
- Media representatives approved by the visiting Sports Information Director;
- Agencies affiliated with the University at Albany;
- Representatives of television and radio networks/stations granted the right to televise or broadcast contests on a national or regional basis;
- National media agencies (print and electronic) covering a specific story on the University at Albany athletics; and
• Media outlets within the region who do not regularly cover University at Albany athletics (subject to availability).

• Season media passes are issued to established "beat" reporters and photographers on a sport-by-sport basis.

Credential requests for individual games are to be submitted to the Media Relations Office at least two (2) weeks in advance of the specific contest. Upon receipt and approval of the application, credentials are either held at the "Will Call" window or at the designated media entrance.

Coverage of Events

The Director of Media Relations is responsible for establishing and distributing rules and guidelines which assist in controlling and maintaining order on the playing field and in the designated media area.

Media Seating

Only working media members are granted credentials and allowed access to designated media areas at various athletic events. An assigned seating chart is developed by the Media Relations Office to insure orderly press box operations and assign prioritized seating, based on the media outlet's importance and size.

Sideline and Floor Passes

During any athletic contest, only photographers and television personnel with proper credentials will be allowed on the sidelines in football, soccer, and lacrosse or on the floor for basketball. All other members of the media must operate from the designated media area.

Away Games

The Media Relations Office is responsible for obtaining working press credentials for members of print and electronic news outlets from the Albany region who regularly follow University at Albany teams on the road.

Enforcement

All media representatives are required to display proper credentials at all times during an event. Security personnel are authorized to remove any individual without proper credentials from a restricted media area.
Post-Game Coverage

The designated Media Relations Office staff member assigned to the event coordinates post-game coverage of all home events. Post-game responsibilities include providing official statistics, arranging interviews with players and coaches, and providing general assistance to the media, as well as transmitting information to specified news agencies. Every effort is made to comply with the policies and requests of the individual Head Coaches.

Generally, post-game interviews begin after the traditional ten (10) minute "cooling off" period. Media representatives are not permitted in the locker rooms.

24.12 RECORD KEEPING AND ARCHIVES

It is the responsibility of the Media Relations Office to record, compile and maintain statistical and highlight data on all intercollegiate events. Additionally, final scores and statistics are reported to the Conference and the NCAA, as appropriate.

The Office maintains files on individual lettermen. The student-athlete file contains a publicity questionnaire concerning past history, athletic and academic achievements, and personal information. These files are updated with statistics, photographs, feature articles and other materials as they become available.

At the end of each sport's season, archival data of a historical interest is retained and kept in the Media Relations Office or in the University's archives.

24.13 TELEVISION AND RADIO PROGRAMS

In order to increase public support for its intercollegiate athletics program, UAlbany Athletics strives to maximize the benefits of the coverage it receives on television and radio. However, UAlbany Athletics recognizes the need to closely monitor the scope of exposure received in order to ensure overall viability and appeal of continued media coverage.

The Director of Athletics, with consultation and input from the Associate Athletic Director/External Affairs, negotiates all television and radio contracts related to the coverage of UAlbany Athletics events.

24.14 SOCIAL MEDIA POLICY

Playing and competing at the University at Albany is a privilege. Student-athlete at the University at Albany are constantly in the public eye. It is important to represent the University with honor and integrity. While social networking sites, such as Facebook,
Twitter, MySpace, Flickr, and YouTube, provide convenient communication and networking opportunities, they can lead to unintended and harmful consequences.

The University at Albany does not prohibit student-athletes from utilizing social networking sites; however, we maintain that our student-athletes must conduct themselves in an appropriate manner on these websites and observe departmental rules and conditions at all times. As University, team and community representatives, you have the responsibility to portray yourself and others in a positive manner. At times, this may mean doing things that are an inconvenience to you but represents the whole team in a positive manner.

Any violation of law or of NCAA, University, or Division of Athletics’ Policy (e.g., the University’s Policy on Prohibited Harassment and Discrimination, Instrument of Student Governance [Honor Code], Student-Athlete Code of Conduct, or Hazing and Initiation Policy) or evidence of such violation in your online content is subject to investigation and sanction by the Division of Athletics, the University, the NCAA, and/or law enforcement agencies. Internal sanctions may range from a notice to remove a post, to dismissal from team, or reduction/cancellation of athletic related financial aid.

If you participate on a social networking site, you must keep the following GUIDELINES in mind:

Be aware that third parties, including media, faculty, staff, future employees and/or conference or NCAA officials could easily access your profiles and all of your personal information. This includes all pictures, videos, comments, blogs, instant messages, snapschats and any kind of other transmissions that could be harmful to you or the University.

Privatization

- It is important to be aware of and adjust your profile privacy settings accordingly. Set your profile pages to “private” (this only limits access somewhat, not completely). This will limit access of strangers to the information you post to your personal profile. Ensure that access to your photo albums is limited to only those individuals you have chosen as “friends”.
- Do not post phone numbers, addresses, birth dates, or other personal information that could be used by online predators. It is a good idea to use a separate e-mail address exclusive to the social media site.
- Use caution when adding or inviting someone to be a “friend”. Many individuals are looking to take advantage of student-athletes, to get close to student-athletes to give themselves a sense of membership, or to gain information about you, your teammates, or your team for the purposes of sports gambling (which may lead to unintended violation of NCAA rules) or negative publicity.
Most users of social media welcome comments by others in order to engage their audience. However, student-athlete posts and comments to sites, profiles, and pages that are not their own are subject to the same standards as those posted on their own profile or page. Therefore, student-athletes should configure their settings so that they can review and approve other’s comments to their social networking sites before they are posted.

Think Before You Post

Do not post anything to social networking sites that would embarrass yourself, the University at Albany, your teammates, coaches, or family. Remember, you represent the University at Albany, in all that you say and do, and as a student-athlete your conduct is a direct reflection on the University.

- Examples include photos, video or comments depicting the personal use of alcohol, drugs, tobacco or any other drinking paraphernalia.
- Photos, videos and comments that of a sexual nature. This includes links to pornographic websites or other inappropriate visuals.
- Online content that is derogatory toward another institution or its’ student-athletes.
- Comments that are unsportsmanlike, threatening or demeaning toward people, fans, opposing coaches, student-athletes.
- Racist or gender comments of any kind.
- Posts or comments that encourage violent, illegal behaviors (i.e., hazing, sexual harassment/assault, discrimination, gambling, drug use, fighting, academic dishonesty, breaking the law or underage drinking.
- Information that is sensitive or personal in nature or that is proprietary to UAlbany Athletics which is not public information (i.e., travel arrangements, future team schedules, student-athlete injuries and/or illnesses, eligibility status of a student-athlete).

If you feel angry or passionate about a subject, DELAY posting until you are clear-headed. Ask yourself, is this something I would want my mother, grandmother, or future employer to see?

Your posts on social media sites can be used by members of the media and disseminated to the public in the same manner as a quote you give during an interview. If you wouldn’t make the comment in an interview, don’t post it on a networking site. Keep in mind potential employers, professional sports teams, internship supervisors, graduate programs and scholarship committees search these sites to screen potential candidates and applications.

Posts are archived and remain accessible even after the have been deleted.
If you are ever in doubt about the appropriateness of a post, consider whether it upholds and positively reflects your own values and ethics as well as those of the University at Albany and its athletics department.

**Remedial Actions**

Anything posted on your social networking site is subject to the Student-Athlete Code of Conduct, Division of Athletics policy, conference and NCAA rules and regulations. For example, it is a violation of NCAA rules to use social media to endorse a commercial product, or to contact a prospective student-athlete.

Student-athletes must give their coach, assistant coach and/or a member of the University at Albany Division of Athletics staff access to their pages if requested.

Division of Athletics administrators and coaches can and do check your site. Also keep in mind that the media, opponents and potential employers are also checking your sites. Don’t let a photo or comment tarnish years of hard work that led you to become an NCAA Division I student-athlete.

**SECTION 25: TEAM AND INTERCOLLEGIATE DEPARTMENT SANCTIONS**

25.1 **STANDARDS OF CONDUCT**

It is unlawful to possess, use or distribute any illicit drug or alcohol within the athletic department or campus community. A Student Events policy regulating the use of alcohol within the campus community is available through the office of the Student Activities Director.

25.2 **LEGAL SANCTIONS POLICY AND PROCEDURE**

The UAlbany Division of Athletics fully complies with and supports all legal sanctions as stipulated in federal, state, county and city regulations. It is the responsibility of each student-athlete and department personnel to know and understand these regulations. A complete listing of all regulations is available for review at the office of Public Safety.

In the event of any violation of state laws, regulations applicable to unlawful possession or distribution of illicit drugs or alcohol, disciplinary action will be initiated.

Any student-athlete arrested due to alcohol or illicit drug behavior problems or violation of laws while he/she is affiliated with the UAlbany intercollegiate athletic department during the academic year, including semester breaks, will be referred to the UAlbany Community Standards Office.
Being present during any violation in such a way as to condone, support, or encourage such violation will be constructively treated as a positive drug test with an indefinite suspension. Students who anticipate or observe a violation of University policy are expected to remove themselves from participation and are encouraged to report the violation.

**Procedure**

Coaches, athletic trainers, support staff, or any other athletic department person with knowledge of the arrest should notify the Director of Athletics or designated senior level administrator.

An assessment will occur where it will be determined if the student-athlete will continue to participate while the charges are adjudicated.

The final decision will be made and a public press release will be prepared (if necessary) and delivered by the Director of Athletics ONLY.

**25.3 UALBANY CONDUCT CODE VIOLATIONS**

The Drug Program Coordinator and the Team Physician will be notified of all student-athletes that violate the UAlbany Conduct Code for drug and or alcohol related issues.

All coaches and athletic department staff with knowledge of a student-athlete that violates the UAlbany Conduct Code for drug and or alcohol related issues must notify the Drug Program Coordinator and Team Physician.

**25.4 FELONY AND MISDEMEANOR CHARGES AND CONVICTIONS**

Because of the unique nature of being a student-athlete, there are many issues that arise as a result of any student-athlete being charged with a misdemeanor, felony and/or a student conduct code violation. In the event of such charges and/ or violations, the following policy will be enforced until the matter is resolved.

In the event the charges also include a student conduct code policy violation, sanctions may also be imposed by the UAlbany Vice President for Student Affairs. Please refer to the UAlbany Community Standards – Student Code of Conduct: [https://www.albany.edu/studentconduct/community_rights_and_responsibilities.php](https://www.albany.edu/studentconduct/community_rights_and_responsibilities.php)

In all cases, the student-athlete will be required to complete all sanctions imposed by the Athletics Department and the University. Failure to do so will result in further sanctions and may result in dismissal from the student-athlete’s respective team.
Felony Arrest or Charge

Any student-athlete who is arrested and charged with a felony in any location will be immediately suspended from all competition until the Director of Athletics and/or his designee has the opportunity to review all of the information. The Director of Athletics will determine what immediate sanctions are appropriate before the student-athlete is reinstated for competition.

The student-athlete may be permitted to continue practicing or working out with his/her respective team and shall retain all grants-in-aid pending resolution of the charges as long provided the student-athlete remains academically eligible for continued enrollment at the University.

At the discretion of the Director of Athletics, after reviewing all related information and charges, may immediately suspend the student-athlete from all practices and competition depending on the gravity of the charges imposed.

Felony Conviction

Any student-athlete convicted of or pleading guilty or no contest to a felony charge under New York State law or any other jurisdictional equivalent shall permanently be dismissed from the team. The student-athlete shall retain his/her grant-in-aid for the remainder of the academic semester.

At the conclusion of the academic semester, the Division of Athletics shall recommend to the Office of Student Financial Services that the grant-in-aid shall not be renewed for any succeeding academic years.

Felony Charge Involving Gambling or Game Fixing

Any student-athlete who is arrested and charged with a felony involving gambling or game fixing in any location will be immediately suspended from all practice and competition until the Director of Athletics and/or his designee has the opportunity to review all of the information and determine what initial sanctions are appropriate before the student-athlete is reinstated for competition.

The student-athlete shall retain all grants-in-aid pending resolution of the charges as long as the student-athlete remains academically eligible for continued enrollment at the University.

At the conclusion of the academic semester, the Division of Athletics shall recommend to the Office of Student Financial Services that the grant-in-aid shall not be renewed for any succeeding academic years.
Written Notification of University and/or Division of Athletics Sanctions

The Director of Athletics will notify, in writing, the student-athlete of any departmental or University sanctions imposed as a result of a felony charge and/or conviction and for charges involving gambling or game fixing.

Appeal Process

If a student-athlete is sanctioned under this policy, the student-athlete may appeal the sanction(s) as follows:

1. The student-athlete shall be notified of any sanction under this policy in writing, will be sent by return receipt requested to the student-athlete’s last known address.
2. The student-athlete shall file any appeal in writing with the Senior Athletic Department official in charge of the particular sports within 10 college working days of receipt of the notice of the sanction. It is the burden of the student-athlete to file a timely appeal in this matter. The student-athlete shall file all necessary documentation for the appeal at the same time the notice of appeal is filed. The sanction(s) imposed shall remain in effect during the pending of the appeal. The student-athlete shall also be referred to the university student judicial officer for investigation of possible violation(s) of the UAlbany Code of Student Conduct.

The sole issue on appeal shall be:

1. The sanction imposed was not in keeping with the gravity of the violation.
2. In the event of an appeal, a duly constituted Review Committee shall hear the appeal. The Review Committee shall be composed of:
   4. The President or designee; Faculty Athletics Representative; Division of Athletics Senior Athletic Administrator; IAAB member and the Office of Community Standards employee.
3. The Review Committee shall consider all relevant material, including witness statements. The Review Committee may permit the student-athlete and/or other witnesses to appear to make a statement before the committee. Any hearing may be tape recorded.
4. The Review Committee shall not determine if the underlying criminal conviction(s) is valid. It shall be assumed, for purposes of the appeal, that the student-athlete was properly convicted of and/or properly plead guilty/no contest to the underlying criminal charges.
5. The student-athlete may have an advisor present whose role is limited strictly to advising the student-athlete and who shall not participate in any other manner.
6. The Athletic Director shall issue a written decision on the Review Committee’s recommendation within a reasonable time. The decision of the Athletic Director is final.
Misdemeanor Charge and/or Conviction

Any student-athlete who is arrested, charged and/or convicted of a misdemeanor charge will be subject to a review process. The Director of Athletics and/or his designee will review the charges and all of the surrounding circumstances. The Director of Athletics and/or his designee will impose sanctions based upon, but not limited to, the following factors:

1. Nature of charge (violence or non-violent)
2. Prior behavior
3. Self-disclosure of the act
4. Cooperation during the investigation
5. Alcohol and/or drug use
6. Consistency with regard to handling of other cases.

Sanctions imposed by the Director of Athletic can include, but shall not be limited to, and may be imposed in no particular order:

- Warning
- Probation
- Restricted use of athletic services or facilities
- Suspension from play and/or practice for a stated period of time
- Dismissal from the team (only available for a conviction or if the student-athlete pleads guilty or no contest to a misdemeanor).

In the event of dismissal from the team, the student-athlete shall retain her/his grant-in-aid for the remainder of the academic year. The Division of Athletics shall recommend to the UAlbany Office of Student Financial Services that the grant-in-aid not be renewed for any succeeding academic years. This review process will be used when Division of Athletics employees first learn of the charge and/or arrest. This review process will also be utilized again, in its entirety, if there is then a conviction resulting from the charge and/or arrest. The student-athlete may appeal any decision made pursuant to this review process by following the appeals procedure found below.

The student-athlete shall also be referred to the Office of Community Standards for investigation of possible violation(s) of the UAlbany Code of Student Conduct. UAlbany Code of Student Conduct: At the discretion of the Director of Athletics, the process which is followed for a misdemeanor charge and/or conviction may be used in the event that a student-athlete is found guilty of a violation of the UAlbany Code of Student Conduct contained in the University Policies for Student Affairs.

Privacy Concerns: In recognition of each student-athletes right to privacy, sanctions imposed under these procedures will be kept confidential to the extent authorized by law.
Appeals for Student-Athletes Sanctioned for a Misdemeanor Charge and/or Conviction

If a student-athlete is sanctioned under this policy, the student-athlete may appeal the sanction(s) as follows:

1. The student-athlete shall be notified of any sanction under this policy in writing sent by return receipt requested to the student-athlete’s last known address.
2. The student-athlete shall file any appeal in writing with the senior Athletic Department official in charge of the particular sports within 10 college working days of receipt of the notice of the sanctions. It is the burden of the student-athlete to file a timely appeal in this matter and, if necessary, to prove a timely appeal was filed. The student-athlete shall file all necessary documentation for the appeal at the same time the notice of appeal is filed. The sanction(s) imposed shall remain in effect during the pendency of the appeal. The student-athlete shall also be referred to the University student judicial officer for investigation of possible violations(s) of the UAlbany Code of Student Conduct.

The sole issue on appeal shall be:

1. The sanction imposed was not in keeping with the gravity of the violation.
2. In the event of an appeal, a duly constituted Review Committee shall hear the appeal.
3. The Review Committee shall be composed of: The President or designee; Faculty Athletics Representative; Division of Athletics Senior Athletic Administrator; IAAB member and the Office of Community Standards employee.
4. The Review Committee shall consider all relevant material, including witness statements. The Review Committee may permit, but is not obligated to do so, the Student-athlete and/or other witnesses to appear to make a statement before the committee. Any hearing may be tape recorded.
5. The Review Committee shall not determine if the underlying criminal conviction(s) is valid. It shall be assumed, for purposes of the appeal, which the student-athlete was properly convicted of and/or properly plead guilty/ no contest to the underlying criminal charges.
6. The student-athlete may have an advisor present whose role is limited strictly to advising the student-athlete and who shall not participate in any other manner. The Review Committee shall make a written recommendation to the Athletic Director within 10 college working days of the conclusion of the appeal hearing, if any, or receipt of the appeal if there is not hearing.
7. The Athletic Director shall issue a written decision on the Review Committee’s recommendation within a reasonable time. The decision of the Athletic Director.

25.5 ALCOHOL POLICY

The UAlbany Division of Athletics is committed to the prevention of alcohol use, misuse
or abuse. The legal drinking age is twenty-one (21). Student-athletes and/or athletic department personnel under the age of 21 who are caught drinking are subject to arrest and prosecution according to state laws. Student-athletes and/or athletic department personnel are subject to abide by team rules. University policies and state laws regarding the use, misuse or abuse of alcohol. Student-athletes and/or athletic department personnel are subject to abide by team rules, and all local, county and state laws while traveling as a representative of UAlbany regarding the use, misuse and abuse of alcohol. Local, county or state laws may vary from state to state. Failure to comply with any local, county or state laws may result in arrest and prosecution.

The Division of Athletics will provide prevention and education programs which will focus toward informed choices and the exercise of personal responsibility as applies toward the use, misuse and abuse of alcohol.

The primary goals for each student-athlete and department personnel should be to:
create an athletic environment that will be alcohol free
Encourage team members, coaches, and other athletic department personnel to adopt a positive attitude in relationship to the appropriate use of alcohol
Encourage alcohol free activities within the athletic department respective teams and team members, and throughout the campus community
Offer support to those student-athletes who choose not to use alcohol or any other illicit drugs

It is the responsibility of each student-athlete and athletic department personnel to accept responsibility for standards of conduct, legal sanctions, health risks, and team rules.

25.6 HAZING POLICY

The UAlbany Division of Athletics will not tolerate any hazing activities within its intercollegiate athletic teams. All athletic department staff members are required to follow New York Hazing Law, Section 120.16, Hazing in the first degree and Section 120.17, Hazing in the second degree.

A person is guilty of hazing in the first degree when, in the course of another person’s initiation into or affiliation with any organization, he/she intentionally or recklessly engages in conduct which creates a substantial risk of physical injury to such other person or a third person and thereby cause such injury. Hazing in the first degree is a class A misdemeanor.

A person is guilty of hazing in the second degree, when, in the course of another person’s
initiation or affiliation with any organization, he/she intentionally or recklessly engages in conduct which creates substantial risk of physical injury to such other person or a third person. Hazing in the second degree is a violation.

It is the responsibility of each athletic department staff member to immediately report any type of hazing activity.

SECTION 26: THE STUDENT-ATHLETE HANDBOOK

The UAlbany Student-Athlete Handbook is revised and distributed on an annual basis. Please reference this manual or contact the Division of Athletics for any concerns or questions.

The Division of Athletics will convene a Student-Athlete Handbook Committee that, on an annual basis, will review, revise and implement new additions to the Handbook.

The Committee will consist of the following members:

1. Associate Athletic Director for Academic Services;
2. Associate Athletic Director for Compliance Services;
3. Senior Women’s Administrator; and
4. Other Senior Staff Administrators as necessary.

The Committee will publish a new handbook by August 1st, annually.

SECTION 27: WAIVER OF LIABILITY FROM TEAM TRAVEL

UALBANY DIVISION OF ATHLETICS

INDIVIDUAL WAIVER, RELEASE, AND INDEMNIFICATION AGREEMENT FOR STUDENT ATHLETES WHO SEPARATE FROM THE TEAM DURING TEAM TRAVEL

I, ____________________________, current student-athlete (hereinafter referred to as “student-athlete”) at the University at Albany, desire to separate from the athletic team while in team travel status for UAlbany. In consideration for being allowed to separate from the UAlbany athletic team while on team travel to:

Event:___________________________________ Location________________________

I agree to the following:

After the athletic contest, student-athlete wishes to be released from team activities and not return with the official team travel party. UAlbany will provide transportation to the
contest and back to Albany. However, in consideration for releasing student-athlete from the team travel party on the return to UAlbany wishes to be indemnified and held harmless from any claim for injuries or damage, which may arise once student-athlete has been released from travel with the team.

In consideration of the foregoing, it is hereby agreed as follows:

In consideration of releasing student athlete from the team travel party, student-athlete hereby waives and gives up all rights he or she may have against UAlbany, and their agents and employees, arising in any fashion from the personal travel described above. Further, student-athlete agrees to indemnify, defend, save and hold harmless UAlbany, and their agents and employees form any claim or cause of action, which may arise from the travel described above. Further, student-athlete agrees to make no claim to sue UAlbany, and their agents and employees as a result of any injuries or damage arising from student-athlete’s personal travel.

In consideration for releasing the student-athlete from the team travel party, the student-athlete hereby agrees that they will return to UAlbany and will attend all academic requirements (class requirements, tutor and study sessions) and will remain in good academic standing.

Dated this _____ day of _______________, _____.

____________________________
(Student Athlete Signature)

University at Albany Division of Athletics

BY _________________________
Director of Athletics or Designee