



COMPLIANCE

2025-26 Academic Year

Agenda



Who Is Athletics Compliance and What We Do



How Athletics Compliance Applies to You



Rules to Know



Development and Alumni Relations Specific Rules



Questions/Discussion



WHO WE ARE AND WHAT WE DO

Dan Raben Exec. Associate AD, Compliance	Sarah McFall Associate AD, Compliance	Nicholas Muniz Director of Compliance	Sean Kosecki Director of Compliance	Sam Raycraft Associate Director of Compliance
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- **Monitoring**

- Employees
 - Outside income, outside employment, telephone calls, Attestation of Compliance
- Student-Athletes
 - Employment, outside competition, voluntary activities, boosters
- Playing and Practice Seasons
 - Countable and required activities, competition tracking
- Recruiting
 - Telephone calls, contacts/evaluations, campus visits, social media, complimentary admissions

- **Rules Education**

- Student-athletes, coaches, staff, cross-campus, boosters, landlords, businesses, season-ticket holders, and more
- Eligibility
 - Initial eligibility, continuing eligibility, hardship waivers
- Financial Aid
- Name, Image, and Likeness (NIL)

Compliance Overview – What's our Job?

- Protect the integrity and reputation of the University of Miami.
 - Reduce areas of risk that could negatively impact the University.
- Ensure student-athlete eligibility.
- Educate, monitor, and when necessary, investigate.
 - Rules/laws come from the NCAA, ACC, state of Florida, and institutional policies.
- Competitive equity/level playing field.
- Oversee NIL regulations and be a resource on NIL developments.
- Be a positive resource for the “Miami Community” and help find creative solutions that are permissible within all regulations.

HOW THIS APPLIES TO YOU

Why NCAA Rules Apply to You

NCAA rules apply to
Institutional Staff Members



Who is an Institutional Staff
Member?



Any individual who performs work for the institution, regardless of whether the individual receives compensation.

This includes individuals outside of the athletic department who perform work for the University of Miami.



All institutional staff have a responsibility to act within the rules and to report anything not within NCAA rules.

Conduct of Institutional Staff/Employees

- You must act within the rules and report any known or potential rules violations.
- You may not act as an agent (athletics representation or NIL representation).
- You may not report information to individuals outside the department about teams or individuals.
- Only countable coaches may recruit on behalf of Miami athletics.

Institutional Control & Shared Responsibility

Institutional Control

- Each institution is responsible for the conduct of its own athletic programs.
- The institution is responsible for the conduct and actions of its staff members and any other individual or organization engaged in activities promoting the athletics interests of the institution.
- Lack of institutional control includes but is not limited to: disregard for NCAA regulations, failure to monitor, failure to educate, absence of policies, procedures, and/or processes, etc.

Shared Responsibility

- The commitment to maintaining institutional control is a campus-wide, shared responsibility.
- It is the responsibility of each staff member to promote an atmosphere of compliance.
- This responsibility includes the NCAA required-obligation for coaches, faculty, staff, and students to report suspected, potential, or actual NCAA violations to either:
 - Brian Baptiste
 - Dan Raben
 - Sarah McFall
 - Compliance Office

Unethical Conduct

Unethical conduct rules apply to any individual associated with Miami. Examples of unethical conduct include:

- Failure to provide complete and accurate information to Miami, ACC, or NCAA.
- Knowingly providing an extra benefit to a current SA or PSA
- Knowing involvement in arranging for fraudulent academic credit or false transcripts.
- Receipt of benefits from an agent, financial advisor or representative of an agent or advisor, or arranging a meeting between an SA and such an individual.
- Fraudulence or misconduct in connection with entrance or placement exams.
- Arranging NIL activities for current SAs or PSAs.

RULES TO KNOW

Sports Wagering Reminders

The NCAA and the University of Miami oppose all forms of legal and illegal sports wagering. Staff members that work for UM athletics and non-athletics department staff who have responsibilities within or over the athletics department cannot bet on any sport sponsored by the NCAA or it's professional or amateur equivalent.

Proposal on November 22 to allow for sports wagering on professional sports.

Specific Prohibitions:

- Do not gamble or wager on any sport (amateur, professional, or otherwise).
- Do not enter pools or fantasy leagues in which you might win money/prizes that require an entry fee to participate.
- Do not provide performance or medical information about UM student-athletes to other individuals.
- Violations of this rule can result in the loss of your eligibility or even criminal charges.

***ANYTIME THERE'S A RISK IN EXCHANGE FOR A REWARD
= WAGER***



BUCKLEY AMENDMENT

- In short: if a family member calls for personal or private information about a student-athlete or prospective student-athlete, we legally cannot give them any information
- The Family Educational Rights and Privacy Act is a federal law that protects the privacy of student education records. This law applies to all schools that receive funding from the DOE.
- Information that is protected includes, but is not limited to:
 - Results of NCAA, ACC, or Miami drug tests
 - Records concerning financial aid
 - Academic transcripts from any institution

Prospective Student-Athletes (PSA)

A PSA is any individual who meets the following conditions:

- Has started classes for 9th grade (anyone in high school);
- Attends a junior college (2-year college);
- A 4-year college student who is in the Transfer Portal; or
- Anyone younger than 9th grade who receives a benefit from the athletic department that is not generally available to the public (e.g., free camp admission to a 6th grader).

PSAs become SAs once they finish all requirements for high school graduation (or all requirements to be finished at their previous institution) and have signed an NLI or have paid their deposit to attend the University of Miami.

Publicity of PSAs – Social Media

Click

Coaches and Staff may like, favorite, share, retweet or repost, because these activities indicate approval of a prospect's (or coach's) social media activity. These actions require the clicking of a mouse.

Athletics Staff MAY:

- Take actions of approval, including friending/following a PSA at any time.

The rules regarding “promotion” of high schools, recruiting locations, and scouting services have changed in the last year. When it comes to interacting with these groups on social media, please reach out to the Compliance Office for help.

Don't Type

Coaches and Staff may NOT comment, tag, mention, repost/retweet with additional comments because these activities go beyond indicating an action of approval. These actions require typing.

Athletics Staff MAY NOT:

- Communicate with a PSA (including posting, DMs, commenting, etc.) until PSA has signed NLI.
- Tag a PSA's account in a post from staff member's personal social media.
- Comment/interact on recruiting websites/message boards regarding the recruitment of PSAs.

Recruiting Periods

(all subject to dates on previous slide)

Contact/Recruiting Period

Coaches may recruit on- or off-campus and have in-person contact with PSAs.

Quiet Period

Coaches may have on-campus contact with PSAs but may not recruit off-campus.

Recruiting Shutdown (WBB, MBA, SW.DV)

No forms of recruiting are permissible. All communication/contact is prohibited.

Evaluation Period

Coaches may have on-campus contact with PSAs, but may only go off-campus to evaluate. Contact is prohibited.

Dead Period

Coaches and staff may not have any in-person contact with PSAs. PSAs may not visit campus to meet with coaches/staff, and coaches may not go off-campus for recruiting. General correspondence remains permissible.

Recruiting Visits

(subject to info on prior slides)

Official Visit

Paid visit to the institution's campus.

Institutional staff members may have contact with the PSA (and his/her guests) on-campus or within a 30-mile radius of campus.

PSA may take one OV per institution.

Unofficial Visit

Visit to institution's campus paid for by the PSA or PSA's family.

Institutional staff members may have contact with the PSA (and his/her guests) on-campus or within a 1-mile radius of campus.

PSA may take unlimited number of UVs.

Publicity of PSAs

Before a PSA signs a National Letter of Intent (NLI), the University may only publicly comment to the extent of its recruitment of the PSA. No comment may be made about a PSA's ability, potential contribution, or likelihood of signing.

Impermissible: “We are confident that Sebastian Smith will sign in November.”

Impermissible: “If Sebastian Smith signs with us, it would make our defense stronger.”

Impermissible: Mentioning prospect names while speaking on a broadcast, podcast, or on social media.

Publicity of a Prospect's Visit: Coaches, staff members and student-athletes are not permitted to publicize (or arrange for any publicity of) a prospect's visit to the University's campus. Additionally, a prospect may not participate in team activities that would make the public or media aware of the prospect's visit to the University of Miami (e.g., running out of the tunnel with the team, on-field pregame celebrations).

Introduction of a Prospect: The University of Miami shall not introduce a visiting prospect at a function (e.g., banquet, athletic contest) that is attended by media representatives or open to the general public.

Publicity After Commitment: There are no restrictions on publicity related to a prospect' after he/she has signed a National Letter of Intent or the University's written offer of admission and/or financial aid or after the University of Miami has received his/her financial deposit in response to its offer of admission.

Recruiting Inducements

General Rule

An institution's staff member (or booster) shall not be involved, directly or indirectly, in making arrangements for or giving or offering to give any financial aid or other benefits to a PSA or his/her family member/friends, other than those expressly permitted by NCAA rules. If the same benefit is generally available to the institution's prospective students (or their family), the receipt of such a benefit will not be considered impermissible. Institutional staff members may not provide any such benefit or arrangements, and may not use such benefits or arrangements for recruiting purposes.

Examples of such benefits could include the providing of tickets, access or experiences to PSAs (or their family/friends) who:

- Are not of age to attend the institution as part of an official or unofficial visit;
- Are not permitted to be in special areas because of their status as a prospective student-athlete;
- Are pointed out by coaching staff members as individuals who require "special attention."

Financial aid

“Financial Aid” is funds provided to student-athletes from various sources to pay or assist in paying their cost of education at the institution. As used in NCAA legislation, “financial aid” includes all institutional financial aid and other permissible financial aid as set forth in the NCAA manual.

Athletically Related Financial Aid is financial aid that is awarded on any basis that is related to athletics ability, participation or achievement. If an application process specifically requests athletics participation or achievements as criteria for consideration in determining whether an applicant receives financial aid, aid received pursuant to such a process is athletically related financial aid.

In order to be eligible for aid, a student-athlete must be enrolled full-time, unless in final semester and the student-athlete is enrolled in all remaining credits required to graduate.

Important definitions

Countable Financial Aid = Financial aid based in any degree on athletics ability counts towards individual and team limits.

15.02.5 Full Grant-in-Aid

Financial aid that consists of tuition and fees, room and board, books and other expenses related to attendance at the institution up to the cost of attendance.

15.02.2 Cost of Attendance

An amount calculated by an institutional financial aid office, using federal regulations, that includes the total cost of tuition and fees, room and board, books and supplies, transportation, and other expenses related to attendance at the institution.

Elements of athletics financial aid

- Tuition and Required Fees
- Room and Board
 - For student-athletes living on-campus, Athletics may cover the actual cost of their on-campus housing (paid directly by Athletics to the institution).
 - Students living off-campus may receive an off-campus housing stipend (cost determined based on institutional policies/procedures).
- Books
 - Required books only; cost may not be provided to student-athletes in the form of cash or stipend check.
- Meals
 - Actual cost of the student-athlete's on-campus meal plan OR student-athlete may be provided with an off-campus meal stipend that's equal to the cost of the institution's maximum meal plan.
- Other Expenses
 - Personal, travel, expenses related to required supplies.
- Not Permissible
 - Fees for services offered on an optional basis to students (e.g., parking fines, student health center charges, etc.)

Scholarship and Roster Limits

As part of the House Settlement, sports now have roster limits for how many athletes can be listed and active on the roster.

Baseball – 34

Football – 105

M. Basketball – 15

M. Diving – 3

M. Tennis – 8

M. TRK/CC – 26

W. Basketball – 15

W. Golf – 9

W. Rowing – 55

W. Soccer – 28

W. Swim/Dive – 22

W. Tennis – 9

W. TRK/CC - 40

W. Volleyball - 18

Area-Specific Rules

Boosters

A “representative of the institution’s athletics interests” is any individual, independent agency, corporate entity (e.g., apparel/equipment manufacturer) who:

- Has made a financial contribution to Miami Athletics
- Has ever bought tickets to a UM sporting event;
- Is a member of any organization that promotes Miami Athletics (Hurricane Club);
- Has been involved in the recruitment of prospects; or
- Has been involved in any way in the promotion of Miami athletics – this includes former student-athletes and institutional staff members!

Student-athletes, including their friends and family, may not accept anything from a booster. If you hear of a student-athlete accepting an impermissible benefit from a booster, or any other outside individual, please contact a member of the Compliance staff immediately. Boosters may not recruit on behalf of Miami (including conversations with PSAs about Miami athletics) or engage in any recruiting activity for Miami athletics.

The most common example of issues with boosters is impermissible extra benefits...

Extra Benefits

An impermissible extra benefit is any special arrangement by a University of Miami employee or a booster provided to a student-athlete or PSA (or their family member/friend) that is not expressly authorized by NCAA legislation AND that is not generally available to the student population.

Examples:

- Free/reduced cost:
 - Goods or services (clothing, electronics, cell phone, hair cuts, tattoos, etc.).
 - Entertainment (concert tickets, movie tickets, sporting events, clubs/bars/nightclubs, etc.).
 - Housing
 - Meals
 - Transportation
 - Merchandise
- Loans, money or gift certificates

Consequences:

- Loss of athletic eligibility
- Vacation of records during period of time the SA competed while ineligible.
- Required to repay the value of the benefit.
- Required to sit out practices/games.
- Staff members: loss of employment
- Boosters: disassociation.

MORE INFO ON BOOSTERS...

BOOSTERS MAY

- Attend PSA contests as long as no contact is made with PSA, their relative, friends or coaches.
- Notify or forward information to appropriate members of the University of Miami coaching staff about prospects in the area.
- Accept telephone calls initiated by prospects that are not related to athletics – **all recruiting or athletics questions must be deferred to the appropriate coaching staff.**
- Employ prospects, but compensation must be for work actually performed and at a rate commensurate with experience. This must be approved by the Compliance Office.
- Participate in NIL activities with current student-athletes.

BOOSTERS MAY NOT

- Contact a prospect or their relatives or friends for recruiting purposes.
- Provide extra benefits of any kind (e.g., cash, clothing, special discounts, lodging, meals, transportation, loans, camp admissions, etc.) to a current student, PSA, or relatives/family.
- Contact a PSA to congratulate him/her on signing a National Letter of Intent to attend Miami.
- Make contact with a PSA or his/her family/guests while on campus for an official or unofficial visit (e.g., tailgating).
- Provide or arrange transportation for a prospect or his/her relatives or friends.
- Provide a meal to a student-athlete (institutional policy).
- Facilitate communication between SA and an agent.
- Invite SA to booster events (e.g., fishing tournament).

Institutions are held responsible for any impermissible recruiting activities engaged in by a Booster.

NAME, IMAGE, AND LIKENESS

An NIL activity is any activity in which a student-athlete's name, image, likeness or personal appearance is used for promotional purposes. Student-athletes are engaging in NIL activities when they receive compensation for providing services, selling products, or hosting events; monetize media; or license rights to/for others tied to their name, image or likeness.

NIL activities are a permissible way for boosters to engage with student-athletes and provide benefits that might otherwise be impermissible.

Under Florida law and the NCAA Interim Policy and subsequent Guidance, SAs are permitted to have representation (agent or attorney), have no limit on the amount of compensation they may earn, and must have quid pro quo (i.e., there must be an exchange).

Among other things, SAs may not be compensated for athletic ability, have NIL be used as a recruiting inducement, or receive compensation without performing some task.

NAME, IMAGE, AND LIKENESS: “CAUSING COMPENSATION” AND OTHER RESTRICTIONS

PSAs

- Institutional coaches and staff may **NOT** organize, facilitate or arrange a meeting between a booster/NIL entity and a PSA (e.g., provide the individual or entity with a recruiting list or watch list, including the NCAA Transfer Portal).
- Institutional coaches and staff may not communicate directly or indirectly with a PSA on behalf of a booster/NIL entity.
 - Institutional coaches and staff may not connect PSA's or SA's with a booster/NIL entity under Florida state law.
- NCAA rules preclude boosters from engaging in recruiting activities, including recruiting conversations, on behalf of a school.
- Recruiting conversations between an individual or entity that has triggered booster status (“booster/NIL entity”) and a PSA are **NOT** permissible.
 - Booster/NIL entity may **NOT** communicate (e.g., call, text, direct message) with a PSA, a PSA's family, or others affiliated with the PSA for a recruiting purpose or to encourage the PSA's enrollment at a particular institution.
- An NIL agreement between a PSA and a booster/NIL entity may **NOT** be guaranteed or promised contingent on initial or continuing enrollment at a particular institution.
- Athletics department staff members are prohibited from representing a PSA or SA in marketing their athletics ability or reputation.
- If you are invited to an NIL event please let the Compliance office know before you attend the event so we can discuss the particulars of the event and provide guidance to you on it.

Current SAs

- SAs are not permitted to use any intellectual property or real property owned by the University of Miami. This includes but may not be limited to:
 - Any media received from the University (pictures, videos, etc.).
 - Marks and logos owned by the University.
 - Gear/equipment given by the University.
 - Institutional facilities.
- Cannot be hired by coaches to promote institutional camps/clinics.
- Cannot engage in NIL activities while on call representing the University of Miami.

Frequently Asked Questions

1. Is it permissible for a booster to contact a prospective student-athlete, the prospect's friends, or relatives for the purpose of recruitment?
No. Only coaches may be involved in recruiting activities. Boosters may only inform coaching staff members about certain prospects.
2. May a booster be involved in any way while a prospect is on an unofficial or official visit?
No. Minor exceptions exist for former student-athletes while on-campus.
3. May a booster contact a prospect to congratulate the athlete once he/she signs her National Letter of Intent?
No. The prospect remains a prospect until the first day of class or regular practice. This includes reaching out for potential NIL agreements/opportunities.
4. Are boosters prohibited from all contact with prospects?
Yes.
5. Is the rule prohibiting contact with prospects applicable to established friends/neighbors?
No, but using the relationship to recruit the prospect is prohibited.
6. May a booster employ a student-athlete? How about NIL activities?
Yes, but the prospect must be paid the going rate for work actually performed. The Compliance Office must approve all student-athlete employment prior to work starting. For NIL activities, the student-athlete must participate in/complete an actual activity to receive the benefit. The activity and agreement must be disclosed.
7. Is it permissible for a booster to provide a student-athlete with gifts or awards?
No. Any gift/award provided to a student-athlete that's not approved by the Compliance Office may jeopardize the student's eligibility.

Suite Access

Parents/Family of Prospects

- As long as the parent/family is a legitimate current/potential donor and is treated the same as other current/potential donors, and the PSA is treated the same as children of other current/potential donors, it is permissible to provide suite access.
- Regardless of whether the PSA-aged guest plays a sport or not, it is impermissible to publicize that the prospect is in the suite or at the game.

Current Student-Athletes

- Student-athletes may not be provided extra benefits, including free access to suites.
- Family members of current student-athletes may be provided access to suites under the same parameters as family of prospects – i.e., must be a legitimate current/potential donor and provided the same experience as non-student-athlete families.

Please inform the Compliance Office any time you have a situation where you will be hosting potential donors and their prospect-aged children at a UM sporting event. This will allow us to see if the prospect is currently being recruited by any of our programs, which might trigger different rules.

Promotional Activities and Donation Requests

Promotional Activities

- SAs may still engage in promotional activities on behalf of Miami without the activity being considered NIL.
- If an SA wishes to use the marks/logos/facilities of Miami for a promotional activity, it must go through Student-Athlete Development and have Compliance approval. The organization must be with a 501c3 organization.

Donation Requests

- All donation requests are made using the online donation request form, or by emailing compliance directly.
- Miami Athletics may not:
 - Provide a donation to a high school or 2-year college.
 - Provide donations to an athletics program involving PSAs.
 - Provide a donation with a student's NIL (e.g., signed jersey).

In Review...

1. Compliance is a group effort!
2. You are responsible for reporting all NCAA violations to either the Compliance Office, Dan Raben, Sarah McFall, or Brian Baptiste.
3. It is OUR job to answer your questions!
4. Always ask before U act!

Dan Raben Exec Associate AD, Compliance d.raben1@miami.edu	Sarah McFall Associate AD, Compliance Sarah.mcfall@miami.edu	Nicholas Muniz Director of Compliance njm182@miami.edu	Sean Kosecki Director of Compliance sxk2388@miami.edu	Sam Raycraft Associate Director of Compliance Samuel.raycraft@miami.edu
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COMPLIANCE

Questions/Discussion