

**AMERICAN UNIVERSITY  
FISCAL INTEGRITY  
Self-Study Items**

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**NCAA Required Response from First Self-Study – Develop a formalized budget process for athletics with input from all units in the athletics department that are affected by its outcome. (Refer to Required Response Section, item #2).**

**NCAA Required Response from First Self-Study – Establish official operating procedures for the handling of funds raised through boosters. (Refer to Required Response Section, item #3).**

**NCAA Required Response from First Self-Study – Establish formal procedures for expenditure review that link the compliance coordinator with the athletics business manager. (Refer to Required Response Section, item #4).**

**NCAA Required Response from First Self-Study – Consider reviewing, defining, and communicating more effectively to all constituents of the institution, the athletics department’s system of differentiating sports programs by tier 1, 2, and 3. (Refer to Required Response Section, Additional NCAA Suggestion).**

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**Self-Study Item 3.1.1 -- Revenue Sources for Intercollegiate Athletics**

**Prepare a list of all revenue sources for intercollegiate athletics that are under the clear accounting and financial control of the institution. Also, prepare a list of all other sources (i.e., those not under the accounting and financial control of the institution) generating revenue on behalf of the institution’s intercollegiate athletics program, including outside foundations.**

Revenue is generated in the Department of Athletics in a variety of ways:

1. Ticket Sales
  - A. Men’s Basketball (season and individual)
  - B. Women’s Basketball (season and individual)
  - C. Women’s Volleyball (individual)
  - D. Men’s Soccer (individual)
  
2. Game Guarantees
  - A. Men’s Basketball
  - B. Women’s Basketball
  - C. Men’s Soccer (cash, lodging, meals)
  - D. Women’s Volleyball (cash, lodging, meals)

3. Television and Radio Rights Fees
  - A. Typically, nominal at this level
  - B. The more coverage AU has, the better the opportunity to sell ads
  
4. Advertising and Promotion Revenue
  - A. Arena signage
  - B. Courtside signage
  - C. Literature
  
5. Corporate Partnerships
  - A. Cash
  - B. Trade
  - C. Promotions
  - D. Budget relief
  
6. Premium Seat Money
  - A. Floor seating (Men's and Women's Basketball)
  - B. Club Box Rental
  
7. Revenue from Patriot League and NCAA
  - A. Revenue sharing among Division I institutions
  - B. Tournament championship revenue (Men's and Women's Basketball)
  - C. Academic awards
  
8. Event-Day Sales
  - A. Merchandise (Athletics and/or Bookstore)
  - B. Concession (Net)
  - C. Game programs
  - D. Media guides
  
9. Donations/Solicitation
  - A. Alumni
  - B. Sport-specific alumni
  - C. Friends of AU
  - D. Eagle's Club outings
  - E. Booster clubs
  - F. Faculty/Staff
  - G. Blind donations
  
10. External Events
  - A. Facility rentals
  - B. Curl Burke Swim Club



### **Self-Study Item 3.1.2 – Budget Development and Approval Process**

**Describe the step-by-step process for budget development and approval, and highlight any areas that may differ from the institution’s standard or normal budgeting procedures. Prepare a separate description for those sources of revenue under the institution’s direct control and another for revenue sources not under the institution’s direct control.**

Please refer to the NCAA Required Response #2 for the step-by-step process for budget development and approval.

### **Self-Study Item 3.1.3 – Process for Selecting an Independent Auditor**

**Describe the process used in selecting the independent auditor for the institution’s external financial audit for intercollegiate athletics, including any methods used to ensure the independent nature of the auditor. Also describe relevant corrective actions planned or implemented from the three most recent audit reports.**

The university’s external auditors are appointed by the Audit Committee of the Board of Trustees. A competitive process is used to solicit and review proposals from the major accounting firms, with final recommendations presented to the Audit Committee. The selected firm is appointed for three years, with renewable options at the discretion of the Audit Committee. To ensure independence and a “fresh look”, the audit staff are rotated annually, and new audit managers are assigned every few years.

The corrective actions implemented from the three most recent audit reports come from the “Opportunities for Improvement” section of the January 1999 Internal Audit entitled, “Athletics Department – Overtime Audit,” and from the January 20, 2000 audit of the Athletics Department. Those actions are as follows:

#### **Athletics Department -- Overtime Audit**

1. The university through its Payroll office has developed an on-line timesheet submission system that is accessible through < my.american.edu> . The system allows the university to better control the payroll process, reduce the possibility of human error, and eliminate the need to maintain hard copies of timesheets. Each on-line timesheet is completed and signed by the employee and then reviewed and signed by the employee’s supervisor before it is electronically submitted to Payroll.
2. To improve internal controls, a time clock was purchased to track part-time employees’ hours. Each part-time employee was required to clock in and out in order to receive payment for the hours worked. The university now uses the on-line timesheet submission system described in #1 above to track part-time employees’ hours.

3. Front-line supervisors are responsible for familiarizing their part-time staff with the procedures for recording their hours on-line and are held accountable for accurate and timely submission electronically of the employees' timesheets.

### **Athletics Department**

1. Management responsibility for TicketMaster was transferred from the Athletics Department to the Auxiliary Services function within the Office of Finance and Treasurer and the Assistant Treasurer (Scott Byers) assigned the TicketMaster management responsibility to a person in his division.
2. Borrowing TicketMaster funds was stopped.
3. Policies and procedures for TicketMaster receipt processing was formalized and implemented, and voucher activity was eliminated.
4. Routine management reporting measures were adopted to support analysis and all related activity. Year -to-date reports were established to monitor sales volume on a regular basis to determine profitability.

### **Self-Study Item 3.1.4 – Approval of Athletics Expenditures**

**Describe the ways in which your institution approves expenditures for intercollegiate athletics, including a description of different procedures based on various sources of funding (e.g., state funds vs. restricted/foundation funds).**

Expenditures for intercollegiate athletics are approved following the same policies and procedures that apply to all other units and departments of the university. There are no other sources of funding for the Department of Athletics other than general university funds.

Intercollegiate athletics expenditures are authorized within the framework of a departmental budget, which has been approved by the university president. Budgeted accounts, with individual object codes to classify expenditures, are established at the beginning of each fiscal year to reflect the approved budget. Departmental expenditures can be grouped into two broad categories – personnel costs and supplies/expenses – and they have different approval processes:

Personnel costs – Full-time positions must be authorized by the university budget office before an employee can be hired, and all hiring decisions must be coordinated with the Human Resources office, which establishes personnel policies and procedures. Part-time positions do not require budget office approval, but all hiring decisions must be coordinated with the human resources office, which also establishes personnel policies

and procedures for part-time employees. In order to receive a paycheck, all employees must complete timesheets for periods worked, and all timesheets must be approved by departmental supervisors.

Supplies/expenses – All supplies and expenses are paid through the university's Accounts Payable Department. Athletics prepares an on-line purchase requisition, which, after approval by an authorized individual, is forwarded to the Purchasing Department. Purchasing works with the vendor and then creates a purchase order authorizing the purchase. Upon receipt of the goods, and an invoice from the vendor, Accounts Payable generates a check for payment. Athletics Department coaches are also authorized to use credit cards for travel expenses, and all reimbursements must be approved by an authorized individual in the Athletics business office.

**Self-Study Item 3.1.5 -- Copies of Management Letters of AU's Three Most Recent External and Internal Financial Audits of Athletics**

**Please attach copies of the management letters (or executive or management summaries) of the institution's three most recent external (those used to satisfy the annual independent financial audit requirement in Constitution 6.2.3.1) and internal (if any) financial audits for intercollegiate athletics.**

Copies follow.

### **Self-Study Item 3.2.1 – AU’s Philosophy on Funding Athletics**

**Explain the institution’s philosophy with respect to the funding of the athletics program.**

All scheduled expenditures of the Athletics Department are funded through the regular university budget process. Expenditures are not tied to the revenue raised. During the reporting period, all fundraising revenues and gifts for the Athletics program were used to offset the cost of Athletics-related capital improvements funded by the university. The university has embarked on a capital campaign to fund university priorities, of which the Department of Athletics will play a part with a \$5 million goal for athletics/facilities improvements.

### **Self-Study Item 3.2.2 – Project and Actual Athletics Revenues and Expenditures**

**Using the institution’s established budgetary format, prepare a list of both projected and actual athletics revenues (by source) and expenditures (by budget category) for the three most recently completed fiscal years. In doing so, make sure that all athletics administrative costs are included. Provide any revenues and expenditures on a sport-by-sport basis.**

Copies follow.

### **Self-Study Item 3.2.3 -- Addressing Athletics Deficits**

**Describe the institutional procedures that are in place to address any deficit in the intercollegiate athletics budget incurred during any fiscal year(s).**

The Athletics Department budget is developed as part of the overall operating budget of the institution. Current fiscal year “budget to actual” performance is monitored throughout the year, by both the Athletics Department and the Budget office. Any potential problems that are identified during this process are brought to the attention of the Vice President of Development and the Vice President of Finance and Treasurer.

### **Self-Study Item 3.2.4 – Subsidization of Athletics Program**

**Outline the sources, uses and amounts of subsidization of the intercollegiate athletics program from non-athletics department and/or non-institutional sources.**

The operating budget of the university is formulated with no expectation that the intercollegiate athletics program will be a self-sustaining program. As such, Athletics shares in the overall revenues of the university to subsidize its operations, as do all other units. In FY 2002, that subsidy was approximately \$6.5 million.

There are no non-institutional sources of subsidy for Athletics.

### **Self-Study Item 3.2.5 -- Athletics Department Surplus and/or Reserve Funds**

**Identify the sources, uses and amounts of Athletics Department surplus and/or reserve funds.**

There are no Athletics Department surplus or reserve funds.

### **Self-Study Item 3.2.6 – Accommodating Future Financing Needs of Athletics**

**Describe how the university will accommodate future financing needs of the intercollegiate athletics programs or plans to respond to changing conditions based upon the institution’s future financing projections.**

Any future financing needs of AU’s intercollegiate athletics programs will take place through private fundraising or by additional funding from the university.

American University’s student-centered sports programs are distinguished from many other institutions that compete in Division I of the NCAA. The University has long relied on

athletic facilities that require multiple uses. Its facilities are used heavily not only for varsity competition, but also for intramurals, club sports, student recreation, and non-athletic campus events. When athletic facilities are improved at AU, everyone benefits.

As an element of a comprehensive university capital campaign, the University will attempt to raise \$5 million for enhancements to athletics to raise the level of student competitive achievement, advance the commitment to equity, and improve campus life. This investment will address three areas of critical need, described below.

### **Bender Arena**

Bender Arena is the only indoor space on campus for convening large groups. It is a venue not only for athletic contests but also for commencements, music concerts, college fairs, classes, general recreation, and many other special events. Although heavily used, it has not been upgraded since its completion in 1987. Age and constant use have taken their toll. The University will refurbish the playing floor, upgrade seating, and modernize the lighting system to make Bender Arena more functional and attractive for the thousands of students, alumni and visitors who enter its doors every year.

### **Athletic Playing Fields**

Years of student recreation and varsity competition have deteriorated the condition of AU's playing fields. The soil and subsoil of Reeves Athletics Field must be rebuilt in order to maintain a suitable playing surface. The adjacent field used for field hockey, intramurals, and club sports is unsuitable for natural turf; it will be resurfaced with a durable and safe surface of artificial turf. The recreational field on the Tenley Campus and the practice field on Massachusetts Avenue will be upgraded.

### **Space for Women's Athletics**

AU has added five women's teams (indoor and outdoor track and field, lacrosse, soccer and cross-country) since the Athletics offices were constructed as part of the Bender complex in 1986. While the Athletics program is a national leader in gender equity, its women's coaches and staff are hampered by limited space. Fulfilling the University's commitment to expand office space will demonstrate support for women's athletics.

### **Self-Study Item 3.2.7 – Providing Full and Stable Opportunities to Student Athletes**

**After reviewing the institution's Equity in Athletics Disclosure Act survey forms for the three most recent years for which the information is available, comment on the institution's provision of full and stable opportunities to student athletes. In particular, provide comment sport-by-sport, on *per diem*, transportation, equipment, percentage of sports budget that has to be obtained via fundraising and other applicable comparisons. Analyze, explain and address any significant discrepancies.**

American University currently funds 19 teams. Seven sports have both men and women teams. Of the remaining five teams, three are women's teams and two are men's. While this may be considered a small number of programs compared to other universities, it appears American University is concentrating on providing adequate support for a limited number of sports.

In examining the last three Equity in Athletics Disclosure Act surveys, it appears that American University has made a concerted effort to fund a sufficient number of women's programs to accurately reflect the undergraduate population. The three-year average of a 58% participation rate by women closely matches the female undergraduate population average of 61.3 % during that same time period. In addition, in the 2001 survey, financial aid to female athletes was 58%, which closely mirrors the undergraduate population. These two measurements provide evidence American University is committed to fair and equitable treatment of female athletes.

On the question of comparing expenses, the method of comparing sport-by-sport is problematic. For example, transportation costs can vary depending on individual schedules. In 2001, travel costs for swimming and diving, tennis, and track and field/cross country were very similar for both the women's and men's teams. Basketball and soccer, however, have rather large discrepancies between the men's and women's expenses in favor of the men's teams. On sports that are not shared, the women's travel expenses exceeded the men's teams by almost \$45,000.

Another way to measure is to look at the total amount spent in the category or the average based on the number of teams. In 2001, the women's teams actually spent more money than the men's teams, but it was insignificant (less than \$1000.) However, the average per sport of \$22,984 for men and \$20,235 for women indicates that, while the discrepancy appears legitimate, the university may want to pay extra attention to this category in the upcoming year.

The category of equipment should also be examined in the next year or two to make sure parity is achieved. While equipment costs are similar for swimming and diving teams and track and field/cross-country teams, the difference between the men and women's teams in the sports of basketball and soccer is more substantial. Overall, equipment costs are relatively similar (\$50,533 for men in 2001, \$55,680 for women in 2001), but with a higher number of women participating an argument can be made for even more money for the women's teams.

Of the five sports that are shared by men and women, each women's team had a higher expenditure than the men's team in at least one of the following categories: financial aid, salaries, recruiting, team travel, and equipment. In ranking all of the teams by total dollars spent in 2001, women teams occupy three of the top five slots.

The percentage of the sports budget coming from fund raising is insignificant and has no influence on the fiscal integrity of the program or the athletes.

### **Self-Study Item #3.3.1 – Policies and Operating Procedures for Expenditures**

**Describe the policies and standard operating procedures that help to ensure that all expenditures for Athletics are handled in accordance with NCAA, conference, and institutional rules.**

#### **Purchasing Procedures for Goods and/or Services**

All Department of Athletics expenditures are reviewed by the Controller's Office and are subject to review by the University's designated external auditor. These reviews are completed to make sure the department is following all generally accepted accounting practices and procedures.

The Assistant Athletics Director for Business Operations must approve all department purchases. They are processed through American University's Purchasing Department. Each University policy is listed in the Business and Travel Guide.

In an effort to minimize costs and expenses for operations, the department has formed several good vendor relationships with the assistance of the Controller's Office. These quality relationships have fostered trust with local, regional and national merchants, and this has led to several product/service discounts and additional customer service.

#### **Procedures for Grants-in-Aid Expenditures**

##### **Yearly Awards**

Typically, it is the responsibility of the Athletics Director to propose the number of grants-in-aid (GIA) to be used for each sport. Typically, the Financial Aid Office, the Budget Office, and the Office of the President at American University determine the actual dollar amount that is budgeted for Athletics grants. The Associate Athletics Director for Compliance and the Assistant Athletics Director for Business Operations will inform head coaches of how many GIAs they have for their respective sports for the academic and fiscal years.

Coaches then have the flexibility to utilize these GIA or scholarships to effectively run their programs. For example, we shall say that a specific sport has five (5) GIAs to work with for an academic year. Head coaches are able to make the decision on how to utilize these grants, and most use them in the following ways:

- They will distribute five (5) full GIAs to five (5) student-athletes;
- Coaches will distribute money on a percentage basis rather than an amount to student-athletes, such as a half scholarship or a quarter scholarship, based on the overall cost of tuition (the department is currently reviewing this procedure in an effort to de-emphasize this process); and
- Coaches will distribute specific dollar amounts to student-athletes, which, cumulatively, will add up to the scholarship budget in dollars.

American University awards athletic financial aid, scholarship or grant-in-aid (GIA), based on the academic and athletic ability of prospective student-athletes (PSAs), at the recommendation of the head coach, and pursuant to the rules and regulations of the NCAA, the Patriot League, and the university's Financial Aid Office.

Throughout all of these procedures, the Associate Athletics Director for Compliance works directly with the NCAA, the Initial Eligibility Clearinghouse (the body formed by the NCAA that determines freshman eligibility), the Financial Aid Office, and the head coaches of each sport.

The coach recommends the financial aid offer to the Associate Athletics Director for Compliance by submitting a GIA Request form. The coach completes the applicable sections of the form and gives the form to the Associate Athletics Director for Compliance. He/she verifies that the PSA is eligible for competition and to receive a GIA, certifies that the coach has submitted all recruiting paperwork for the PSA, and signs the form before forwarding it to the Assistant Athletics Director for Business Operations and the Athletics Director.

The Assistant Athletics Director for Business Operations will verify that the coach has the proposed GIA money available in the scholarship budget, and the Associate Athletics Director of Compliance will then forward the form to the Athletics Director for final approval.

Upon approval by the director, the Athletics Department recommendation is sent to the Director of Financial Aid. The Financial Aid Office enters the amount of the GIA into "Colleague" (American University's financial recording system), making any adjustments to other sources of aid if necessary. The Director of Financial Aid then offers the Athletics grant-in-aid agreement to the student-athlete. The offer of a GIA is made in writing by the Director of Financial Aid and is valid for a period of fourteen (14) days from the date of issue. The offer of Athletics financial aid is accepted when the student-athlete and the parents or guardian of the student-athlete sign and return the paperwork to the university.

For PSAs only, acceptance of the Athletics GIA agreement also requires the student-athlete and the student-athlete's parent or guardian to sign the National Letter of Intent. In the event of a renewal of a GIA, the Director of Financial Aid will notify the student-athlete in writing by providing the student-athlete with a letter announcing renewal of Athletics financial aid no later than July 1, preceding the academic year for which the student-athlete will receive the aid.

### **Summer School Awards**

Summer school expenses fall under the overall GIA budget. The Department of Athletics has established rules and regulations for summer school expenditures. The Athletics Director, the Associate Athletics Director for Compliance, and the Assistant Athletics

Director for Business Operations will meet during January as the university approaches the end of the fiscal and academic years to prepare for summer school.

Coaches are given a summer school request sheet, which includes a priority scale for summer school attendance. The priority list provides several reasons for student-athletes to take summer courses and then ranks the priority the Department of Athletics has on those reasons. They are asked to identify summer school needs for their respective student-athletes. The coaches will turn in their lists to the Associate Athletics Director for Compliance.

The lists and the accompanying priority scales are thoroughly reviewed by the Associate Athletics Director for Compliance and the Assistant Athletics Director for Business Operations. Several factors are taken into consideration in summer school expenditures and the department's efforts to save money. These are two factors and supporting examples: (1) the student-athlete's permanent residence (i.e., if he/she lives in the Washington, DC area, the department will suggest living at home for the summer to save on the cost of room and board) and (2) the number of credits taken during the summer (students taking more than three credits are asked to take them during one summer session in an effort to save room and board in the second session for those student-athletes).

Recommendations are given to the Athletics Director, based on a scale of "yes," "no," and "needs further review." The Athletics Director will then take all information under review and make the final decisions for the summer school attendees. Typically, this process is scheduled to be complete in late March or early April in an effort to allow the students enough time to schedule summer courses.

### **Self-Study Item #3.3.2 – Policies and Operating Procedures to Ensure that Prospects Do Not Receive Recruiting Inducements**

**Describe or attach a copy of the university's policies and standard operating procedures for ensuring that prospects do not receive recruiting inducements and enrolled student-athletes do not receive extra benefits contrary to NCAA, conference and institutional rules, including (a) identification of person(s) responsible for these areas, (b) means of monitoring compliance with these rules and, (c) means of ensuring that only institutional or athletics department funds are expended in these areas.**

#### **Avoiding Recruiting Inducements**

When monitoring departmental expenditures in regards to recruiting inducements, the following areas are constantly under review: Contact and Evaluation forms, coaches' Reimbursement Expense reports, Student-Athlete Host forms, Prospective Student-Athlete (PSA) expenses, and Special Assistance Fund expenses.

## **Contact and Evaluation Forms**

Contact and Evaluation forms (CEF) are the basis of all recruiting reviews when it comes to monitoring coach expenditures throughout the year. Coaches turn in CEFs to the Compliance Office after all recruiting travel takes place during a specific period of time. Coaches turn in these forms to justify and confirm all recruiting trips, and the accompanying travel expenditures (including coach travel or PSA travel to campus). These expenditures include mileage reimbursement, airfare, bus or train travel, lodging, meals, and other miscellaneous items. When respective coaches turn in an Expense Report, expenditures are reviewed by the Athletics Business Office and then compared and contrasted with the CEF by the Compliance Office.

## **Reimbursement Expense Reports**

Each coach certified by the NCAA to go off-campus and recruit prospects must complete the CEF each month, detailing all off-campus contacts and evaluations of PSAs. If the coaches of a particular sport wish to complete one form among all coaches, they may turn in only one form, provided that all coaches whose activities are detailed on the form sign the form under the verification of adherence to NCAA recruiting rules on the back of the form. Coaches must fill out all columns of the CEF for each recruiting event detailed on the form. The information needed is:

- Name of prospect/parents – the prospect’s and his/her parents’/guardian’s names
- Contact number – which contact this is
- Evaluation number – which evaluation this is
- Date and time
- People present – who was present during the contact
- City and state – location of the contact or evaluation
- Approved by – for a recruiting event at a prospect’s educational institution, which school administrator approved the event.

Reimbursement Expense reports are turned in to the Athletics Business Office after recruiting travel (or any department travel) is completed. Once the expense report is reviewed and approved by the Assistant Athletics Director for Business Operations and reviewed by the Compliance Office with the CEF, the reports are sent to the Accounts Payable Office for reimbursement.

## **Meal Ticket Receipts**

During official visits (any visit by a PSA that has been deemed eligible by the NCAA Clearinghouse), coaches may provide on-campus meal tickets to a PSA. These tickets are used by individual programs and are distributed by the Compliance Office upon a coach’s request. These tickets are used at the dining facility on campus, and the department is then charged the appropriate amount for the number of tickets used during the semester.

## **Student-Host Forms**

The Student-Host form (SHF) is distributed to the coach of each program and used for all PSA official visits to American University's campus. Current student-athletes consent to and sign this form prior to the PSA visit and will then serve as host for the PSA. The host student-athlete will receive \$30/day (\$15 for the host and \$15 for the PSA). This money can be used for entertainment purposes only, and these expenses typically include, but are not limited to shows, concerts, sightseeing tours, movies, arcades, sporting events, etc. At the conclusion of each trip, the student-athlete will turn in the SHF with all accompanying receipts.

### **Prospective Student-Athlete Reimbursement**

Each coach will turn in a copy of the Official Visit form (OVF) for each pre-approved official recruiting visit. The department will attempt to utilize all resources and outsourcing agents to book lodging and arrange travel for the PSA so that there is no out-of-pocket cost to the PSA. If the PSA does incur expenses, all expenditures are reviewed through the same procedures (Typically, these expenses are mileage reimbursement, parking and/or tolls, airfare, or lodging).

### **American University Athletics Events**

Whether it is an official or unofficial visit, PSAs are allowed to receive one complimentary ticket for themselves and two complimentary tickets for guests for any ticketed Athletics events. The Athletics ticket office will provide the PSA Complimentary Ticket form to every head coach. The program must turn in this sheet in order for the PSA to receive his/her tickets. Valid identification must be presented, and the individuals must sign for the tickets they receive.

### **Special Assistance Fund Policy**

Student-athletes may take advantage of the NCAA Special Assistance Fund if they meet the criteria set out by the NCAA. Specifically, American University student-athletes must be receiving a Pell Grant as part of their financial aid package. The Office of International Student Services (ISS) can certify that international student-athletes have additional financial need, and they would be eligible for the Special Assistance Fund.

### **Clothing and Other Essentials**

Student-athletes receiving Pell Grants and international student-athletes both certified by ISS and receiving a full grant-in-aid may use the Special Assistance Fund to receive a reimbursement of up to \$250 per semester spent on clothing and other essential items as defined by the NCAA. Essentials can include things like laundry detergent, soap, toothpaste, etc. Student-athletes using the fund for a second, third, fourth, or fifth year may only use up to \$250 for the entire academic year.

These student-athletes may use the Special Assistance Fund for up to \$200 per year for medical and dental costs not covered by other insurance. They may also use the fund for up to \$30 per year for course supplies. The Special Assistance Fund may be used for costs associated with student-athlete or family emergencies. All limits and/or funding may be exceeded only

with the prior approval of the Athletics Director or his/her designee (e.g., Associate Athletics Director for Compliance).

In the fall semester, the Associate Athletics Director for Compliance will notify those student-athletes who are eligible to receive the Special Assistance Fund. He/she will work with the Financial Aid office and ISS to determine who is eligible to receive reimbursement from the fund.

The student-athletes will provide the Associate Athletics Director for Compliance with receipts for any items purchased. The Associate Athletics Director for Compliance, as well as the Assistant Athletics Director for Business Operations, will review these expenditures. Upon approval, an expense reimbursement will be processed for the student-athlete who will be reimbursed within a couple weeks.

The Patriot League administers the Special Assistance Fund for American University. In order for student-athletes of the University to receive reimbursement for money spent, the university must provide a complete Special Assistance Fund form with copies of the receipts to the compliance coordinator at the Patriot League office. The student-athletes will get the forms from the Associate Athletics Director for Compliance, and the student-athletes will complete the form and sign it where appropriate.

Please see Response Section *Appendices 4 – 10* for specific forms.