

**Sam Houston State University  
Athletic Compliance Policy Manual  
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## General Compliance

### Head Coach Control

-Head Coaches Must

- a) **Promote an atmosphere of compliance within their program**
- b) **Monitor the activities of all assistant coaches and staff** members who report, directly or indirectly, to the coach.
- c) **Communicate with compliance and your staff** (both direct and indirect reports) about NCAA rules compliance expectations
- d) **Monitoring activities of head coaches**
  - 1) Address compliance issues in staff meetings
  - 2) Ask frequent questions of your staff
  - 3) Regularly evaluate individual staff member's adherence to NCAA rules
  - 4) Require staff members to attend compliance meetings and to report any potential infractions
  - 5) Know who is involved with your program
- e) **Documentation activities of head coaches**
  - 1) Assign your staff clear areas of NCAA compliance responsibility
  - 2) Log your compliance communication and monitoring activities (including emails and conversations)
  - 3) Report potential rules violations promptly

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### Certification of Compliance

-most violations are from lack of understanding of bylaws

-to reduce rules violations, staff and boosters must know the rules

-NCAA Bylaw 30.3.1 requires the president or compliance to review NCAA bylaws with all athletics staff members and certify not later than September 15 each year.

- [Link to Certification of Compliance Forms](#)

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### Compliance Education

-Athletics will have a comprehensive rules education program

-every group or person should fully understand the rules which apply to their responsibilities

-following are the primary features of the SHSU Athletics rules education system

-Compliance Officer responsible for this system; will maintain appropriate records:

- a) coaches, athletic administrators, faculty athletic representative, registrar certification officer, admissions certification officer, financial aid officer, and others responsible for compliance with NCAA Bylaws receive copy of the NCAA Manual and athletic policy manual

- b) regular attendance by athletic administrators, faculty athletic representative, registrar certification officer, admissions certification officer, financial aid officer, and others responsible for compliance at appropriate professional education such as NCAA Regional Rules seminars
- c) regular compliance education meetings with athletics staff and student athletes
- d) student-athletes provided compliance education through Student Athlete Affairs class
- e) representatives of athletic interests (boosters) provided compliance education through publications and mailings
- f) staff, student-athletes, boosters provided with information through e-mails, and handouts

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#### **Mandatory Rules Test: Coaches Certification Program**

- NCAA coaches' certification test administered through SHSU Testing Center
- SHSU Testing Center located in Academic Building IV
- tests also offered 2 times during the summer in Ron Mafrige Fieldhouse
- staff members may schedule a time with the Testing Center by calling 294-1025
- tests available online or on paper
- coaches not permitted to recruit off-campus until achieving 80% or higher score
- certification period runs from August 1 to July 31 of each year. (*Updated 1/2008*)

- [Coaches' Certification Practice Test](#)

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#### **Procedure for Reporting of NCAA Rules Violations**

- Athletics staff and student athletes are **REQUIRED** to report any alleged violation to the compliance officer and are **REQUIRED** to report any information that could support any inquiry into an NCAA violation (*Updated 5/2016*)
- alleged violations may also be reported to director of athletics, associate director of athletics Student Services (AADSS), assistant AD for eligibility Certification and Compliance (AADECC), or faculty athletics representative (FAR)
- provide accurate details such as name, individuals involved, location, dates, and suspected rule(s) violation
- compliance officer will investigate in consultation with AADECC, AADSS, AD, and/or FAR; substantiate whether a violation has occurred and whether it is a secondary or major violation; prepare report for AADSS and FAR review for secondary violations (*Updated 5/2016*)
- if nature and scope of violation is major: President, FAR, director of athletics and AADSS, in consultation with the Southland Conference and the university General Counsel will determine whether further investigation should be conducted outside of the department of athletics. The Southland Conference will process a written report from the university to the NCAA, fully setting forth all the facts and circumstances surrounding the violation, effects of the violation on student-athlete eligibility and setting forth all corrective action taken by the institution.

- [Secondary Violation Self-Report Form](#)

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### **Procedure for Obtaining Rule Interpretation**

When a question arises concerning a NCAA rule or regulation, the following procedures indicated below should be followed to receive an interpretation:

- 1) First consult a current copy of the NCAA Manual or NCAA website.
- 2) Contact the compliance officer in writing or by phone
- 3) The compliance officer will contact the Southland Conference office or NCAA if additional interpretation is needed.
- 4) Coaches and staff are not allowed to call the Southland Conference office without the approval of the director of athletics.

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### **Complimentary Admissions**

Department staff and coaches may request complimentary admissions for themselves, immediate family members, and special guests to all department of athletics events through the ticket office. Submission of the complimentary ticket request form or use of the ticket office electronic system is required. All NCAA and Sam Houston State University policies will apply. *(Updated 11/2013)*

For home men's and women's basketball games, full-time athletic department staff may request up to 4 tickets for themselves, family and friends. Distribution of free tickets outside of these purposes is not encouraged. All complimentary admissions for full-time athletic department staff will be subject to tax. This is considered an extra benefit by the state of Texas and the face value of the tickets will be added to your annual salary. If you are interested in tickets for a specific game, send your request to the ticketing department at least 48 hours in advance of the game. *(Updated 11/2009)*

Complimentary admissions requests for up to 4 guests of student athletes to contests in the sport in which the student athlete participates must be submitted through the ticket office's electronic system. The compliance office must approve each student athletes' guest list. *(Updated 11/2013)*

Complimentary admissions requests for all prospects for both official and unofficial visits must be submitted on paper forms through the compliance officer. Requests cannot be honored during a recruiting dead period. [Recruit Official/Unofficial Visit Complimentary Admissions Request](#) *(Updated 11/2013)*

Complimentary admissions requests for high school, prep school, and junior college coaches must be submitted on paper forms through the compliance officer. **Complimentary Admissions**

**Request (HS/JUCO Coach) [Complimentary Admissions request \(HS/JUCO\) Coach](#)**  
(Updated 1/2008)

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**Unethical Conduct**

Unethical conduct by a prospective or enrolled student-athlete or a current or former institutional staff member (e.g., coach, professor, tutor, teaching assistant, student manager, and student trainer) 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 arranging for fraudulent academic credit or false transcripts for a prospective or an enrolled student-athlete;
- (c) Knowing involvement in offering or providing a prospective or an enrolled student-athlete an improper inducement or extra benefit or improper financial aid;
- (d) Knowingly furnishing the NCAA or the individual's institution false or misleading information concerning the individual's involvement in or knowledge of matters relevant to a possible violation of an NCAA regulation;
- (e) 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");
- (f) 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;
- (g) Failure to provide complete and accurate information to the NCAA, the NCAA Eligibility Center or institution's admissions office regarding an individual's academic record (e.g., schools attended, completion of coursework, grades and test scores);
- (h) Fraudulence or misconduct in connection with entrance or placement examinations;
- (i) Engaging in any athletics competition under an assumed name or with intent to otherwise deceive; or
- (j) 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.

(Updated 1/2008)

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## **Knowledge of Use of Banned Drugs**

-A member institution's department of athletics staff member or others employed by the athletics program who have knowledge of a student-athlete's use at any time of a substance on the list of banned drugs, shall follow institutional procedures dealing with drug abuse or shall be subject to disciplinary or corrective action.

- [NCAA List of Banned Substances](#)

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### **Sports Wagering Activities**

-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. *(Updated 1/2008)*

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

- (a) Staff members of an institution's athletics department;
- (b) Nonathletics department staff members who have responsibilities within or over the athletics department
- (c) Staff members of a conference office; and
- (d) Student-athletes.

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

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### **Playing and Practice Seasons and Countable Athletically Related Activities**

-Each coach should review Bylaw 17 Playing Seasons, for specific rules concerning their sport.

-Coaches should be aware of the permissible number of hours of countable athletic related activity per week and per day as it pertains to both in-season and out-of-season and plan their practice schedule accordingly.

- Coaches complete, turn in to Compliance for review and verification, and keep on file the **Declaration of Playing and Practice Season [Form 15 - Playing/Practice Season - First Competition Date](#)** each July for the coming academic year.
- Countable athletically related activities (CARA) must be logged and turned in weekly to Compliance.
- Head coaches are responsible for insuring play and practice logs are submitted electronically to Compliance. Link to current portal for reporting CARA on play and practice log: <https://incontrol.acsathletics.com/Login.aspx>
- Head coaches will report to Compliance the responsible log submitter on their staff
- Electronically submit the completed logs to the compliance officer no later than one week from the last date on each weekly log.
- Compliance will forward copies electronically to randomly selected student athletes each week to review and verify the countable activities in which they have participated.
- CARA includes any required activity with an athletics purpose involving student-athletes and at the direction of, or supervised by one or more of an institution's coaching staff (including strength and conditioning coaches) and must be counted within the weekly and daily limitations under Bylaw 17.
- Administrative activities (e.g., academic meetings, compliance meetings) shall not be considered as countable athletically related activities.
- Coaches are provided with additional information on countable athletically-related activities at staff meetings. *(Updated 9/2014)*

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### **Staff Designation and Declaration**

- Head Coaches complete, turn in to Compliance for review and verification, and keep on file the appropriate **Staff Designation Form** each July for the coming academic year.
  - [Staff Designation Forms - Basketball](#)
  - [Staff Designation Forms - Football](#)
  - [Staff Designation Forms - Other Sports](#)
- The staff declaration will include a list of all individuals involved in coaching and non-coaching roles in the program.
- NCAA bylaw 11 limits and specifies the number, duties, and roles of coaches and non-coaching staff members for each sport.
- Countable coaches shall be designated as a head coach, assistant coach, volunteer coach, graduate assistant coach or student assistant coach and certified as such before the beginning of each academic year.
- Once the academic year has begun, countable coaches may only be replaced when they depart OR due to extenuating circumstances (suspension, serious illness, pregnancy).
- Any institutional staff member (both volunteer and paid) or any other individual outside the institution (e.g., consultant, professional instructor) with whom the institution has made

arrangements **must count against coaching limits** in the applicable sport **as soon as the individual participates (in any manner) in any of the following:**

- a. Provides technical or tactical instruction related to the sport to a student-athlete at any time;
- b. Makes or assists in making tactical decisions related to the sport during on-court or on-field practice or competition; or
- c. Engages in any off-campus recruiting activities.

-When all countable coaching positions are filled, it is an NCAA violation for anyone not in those coaching positions to engage in any of the above coaching activities.

-Head coaches should immediately notify Compliance of any changes in their coaching and non-coaching staff. *(updated 9/2014)*

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### **Summer Access**

**Summer Access for Men's and Women's Basketball and Football Student-Athletes**  
*(Effective 6/2012; updated 1/2014)*

#### **For Incoming Freshmen and College Transfers:**

- Must be enrolled in at least 1 hour of summer school to participate
  - \* Can only practice during the period in which summer school is in session \*

#### **For Returning Student-Athletes:**

- Must be enrolled in at least 1 hour of summer school to participate

**OR**

- Must meet the enhanced academic requirements stated below :

#### **Enhanced Requirements:**

- SA has completed **one year (2 long terms)** of collegiate enrollment: Must have a **2.2 GPA** and **30** hours completed towards degree
  - SA has completed **two years (4 long terms)** of collegiate enrollment: Must have an overall **2.2 GPA** and **50%** of degree requirements completed (60 hours for most degrees)
  - SA has completed **three years (6 long terms)** of collegiate enrollment: Must have an overall **2.2 GPA** and **75%** of degree requirements completed (90 hours for most degrees)
- Those meeting the **enhanced requirements** may practice a total of 8 weeks, after official clearance, beginning the day after Spring semester commencement until the day before school starts in the Fall semester

- Coaches will be required to declare which SA's will practice and the dates and times in which the practices will start
- All required summer athletic activity must be logged on a weekly play and practice log and turned in within 2 weeks of the last date on the log
- Coaches will have to declare the first day of their play and practice log week for summer practice and continue with that as the first day of the 8 hour week for the rest of summer

Before any type of summer access practice players must:

- Be cleared through **Compliance/Academics**
- Turn in a current physical or medical review to the Athletic Trainer
- Turn in proof of health insurance and be cleared through the Athletic Trainer

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### **Competitive Schedule Approval/Student-Athlete Academic Team Travel Policy**

The competitive playing schedule for all NCAA sports at the university must be approved following the proper policies and procedures. The schedule presented must list the opponent, month, date, day of the week, time, location (city/state) and note if it is a conference opponent. The academic/team travel form must be completed and must accompany the schedule.

- [Competition Schedule Approval Form](#)

The schedule and academic form are submitted to the associate director of athletics/student services/SWA for approval. A review will occur of class dates missed, NCAA playing season requirements, a review of the conference schedule versus non conference opponents and the opportunity for student-athlete welfare. The information then will be submitted to the director of athletics for approval. Upon their review, the schedule will be presented to the athletic advisory council for the final recommendation. The director of athletics will have the final approval on the final competitive schedule and team travel. The final approved schedule will be released to the media services department for official release and the head coaches will be notified of the approval status.

Due dates for the competitive schedule and academic/team travel request are to be submitted to the associate director of athletics/student services/SWA:

- June 1<sup>st</sup>: football volleyball, soccer, men's & women's cross country
- July 1<sup>st</sup>: tennis, bowling, men's & women's basketball, men's & women's indoor track, men's and women's golf
- August 1<sup>st</sup>: baseball, softball, men's & women's outdoor track

All coaches will use the following guidelines when scheduling athletic contests:

- Athletes should not miss more than five (5) M day and three (3) T day classes during the semester due to travel/game scheduling.
- No contests shall be scheduled on Easter Sunday.
- No contests shall be scheduled one full day before the start of final exams.
- No contests shall be scheduled during the final exam calendar dates (with the exception of a SLC Championship event.)
- Exceptions will be reviewed by the existing evaluation process listed above.

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#### **Camps and Clinics** *(updated September 2014)*

-Following these procedures leads to compliance with SHSU policies on the use of University resources and with all NCAA rules and regulations regarding camps & clinics.

-These procedures are designed to assure that SHSU complies with NCAA requirements, as well as to minimize the University's risk exposure to State sales tax, Unrelated Business Income Tax (UBIT), and other liabilities.

#### **Definitions**

-“Institutional Camp or Clinic” is a camp or clinic that is run by members of the SHSU Athletic Department.

-“Coaches/Camp Operators” are defined as individuals who are employed (including approved volunteer staff) with SHSU at the time the camp is held.

-“External Camp or Clinic” is a camp or clinic that is run by non-members of the department.

#### **Operation**

-SHSU does not operate and is not responsible for activities associated with Institutional or External Camps or Clinics.

-Outside vendors (individuals or businesses- including coaches' private camps) may contract with SHSU to lease facilities or services for Institutional or External Camps or Clinics.

-NCAA rules define an institution's sports camp or instructional clinic as 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. An institution's sports camp or clinic shall be one that:

- a) Places special emphasis on a particular sport or sports and provides specialized instruction or practice and may include competition;
- b) Involves activities designed to improve overall skills and general knowledge in the sport; or
- c) Offers a diversified experience without emphasis on instruction, practice or completion in any particular sport.

-Sam Houston State University and/or the Athletic Department reserves the right to refuse a camp/clinic/event in our facilities for any reason.

### **Athletic Department Employees' Rules and Policy for Institutional Camps/Clinics**

-Camps/clinics planning, execution, and oversight is a four-part process:

- a. **Declaration** of camps/clinics-complete the **Camp/Clinic declaration form** [Camp Clinic Declaration Form](#) for all camps you intend to conduct thru August of each fiscal year at least two months before camp/clinic date.
- b. **Approval** of camps/clinics- use the **Camp/Clinic Approval Checklist** [Camp Approval Checklist](#) to guide you thru the planning and preparation process and turn in to Compliance at least 2 months before camp/clinic date. Submit a list of all scheduled camp/clinic workers to Compliance no later than two weeks prior to camp/clinic start date.
- c. **Execution** of camps/clinics- review and follow the **Camp/Clinic Operator's Checklist** [Camp Operator Checklist](#) and **Post Camp Report Form** [Post Camp Report Form](#) to insure compliance with NCAA rules and SHSU policies and procedures.
- d.. **Review** of camps/clinics- complete and turn in to Compliance and AAD Finance the **Post Camp Report Form** [Post Camp Report Form](#) and **Camp Student Athlete Employment Form** [Camp Student-Athlete Employment Form](#) for each student athlete employed and keep the appropriate items on file that are subject to review by auditor, AAD Finance, and Compliance (see item b in next paragraph).

-All SHSU Athletic Department staff that operate an Institutional Camp or Clinic will be expected to review annually the NCAA Camp and Clinic policies and procedures and abide by NCAA Bylaws 12.4.3 and 13.12. Note the regulations regarding the following:

- a. The NCAA prohibits a reduced rate for a camp/clinic due to a participant's athletics ability once an individual has completed eighth (8<sup>th</sup>) grade. However, discounted admissions may be offered based on objective criteria unrelated to athletics ability (e.g., registration prior to a specific date, online registration, attendance at multiple sessions, siblings signing up together) provided such discounts are published and available on an equal basis to all who qualify. (*Updated 1/2012*)
- b. Camps & Clinics NCAA Compliance Information should be maintained by the Head Coach or staff member in charge of the camp. This information should include a written description of the purpose of the camp/clinic; awards given (name of recipient); list of camp employees (indicate student-athletes and have them sign); and a list of participants (including birth date, year in school and fee paid).

-All SHSU Athletic Department employees must adhere to the following while conducting an Institutional Camp or Clinic:

- a. All Athletic Department employees who work for a camp/clinic in any form must complete the [Outside Employment Approval Form](#) and [Leave Request Form](#) prior

- to the camp/clinic. Any employee working camps during normal business hours (Monday-Friday, 8-5) must take vacation whether or not the employee is paid by the camp. Employees must have accumulated vacation time and at least 6 months of State of Texas service to take that time under SHSU Human Resources policies. (*Updated 1/2012*)
- b. All NCAA camp/clinic bylaws do apply and the employee is responsible to make sure they are implemented.
  - c. Approval of all camps/clinics must be received from the compliance officer and Associate AD/Finance thru a Camp Declaration no later than two (2) months prior to the event. Proof of insurance coverage with appropriate minimums must be included.
  - d. Camp/clinic reservations of facilities must be made through the Camp Office in conjunction with Associate Athletic Director/Operations in advance of the event. Reservations are taken on a first-come/first-served basis and the University and/or Athletic Department reserves the right to refuse a camp/clinic in our facilities for any reason.
  - e. The Coach/Operator must present written documentation to the Associate Director of Athletics/Finance that “DBA-Doing Business As” has been filed in his/her name in Walker County, Texas.
  - f. The Coach/Operator is prohibited from utilizing any of the University’s federal or state tax identification numbers. Failure to follow this policy would result in being charged with a federal offense.
  - g. The Coach/Operator is prohibited from utilizing the University’s non-profit permit for mailing any camp related materials. Failure to follow this policy would result in being charged with a federal offense.
  - h. The Coach/Operator is responsible for paying all operating expenses associated with the camp, including staff members’ salaries/wages and payroll taxes.
  - i. The Coach/Operator is responsible for all income received and all checks should be made directly to the camp/clinic and not to the University or Athletic Department.
  - j. Two (2) weeks prior to the start of camp, the Coach/Operator must submit a list of all individuals scheduled to work the camps to the Compliance Officer for approval.
  - k. The Coach/Operator is responsible for all federal and state filing requirements, including but not limited to: 1099’s for consultants, W-2’s for employees, sales tax returns, etc.
  - l. Upon completion of the camp/clinic, the Coach/Operator is required to provide a financial report to the Compliance Officer and the Associate Director of Athletics/Finance. A detailed form outlining the necessary items to report may be obtained from the Compliance Officer. This form should be provided no later than four (4) weeks after the close of camp or clinic.
  - m. The Sam Houston State Internal Audit Department and External Auditor will select camps to audit on an annual basis. The Coach/Operator should keep all camp records in an organized manner to facilitate this audit process and avoid any potential discrepancies.

### **Camp and Clinic Fees**

-All camps/clinics/events wishing to utilize SHSU Athletic Department logos, website, email, phone, fax, P.O. boxes, etc will be charged a base Administrative Fee of \$350 for up to four (4) camps held in the summer (June-August). Any additional camps held during summer or fall/winter/spring (if allowed under NCAA rules) will be charged an extra Administrative Fee of \$25 per camp. (*Updated 1/2012*)

-This fee shall be charged and is due at the time the camp date is reserved through the SHSU Camp Office. This fee is separate and distinct from all other university, training, or medical charges and is **non-refundable**.

-All camps/clinics/events using Sam Houston State University Athletic Department facilities will also be charged a post camp clean-up/restocking fee as follows:

Bowers Stadium: \$330 (one side) or \$500 (both sides)  
 Sanders Stadium, Softball Stadium, or Batting facility: \$150

-Facility Use Fees

General Rental Fees – Please note: Specific charges will be determined on a case by case basis depending upon usage requirements (security/concessions/restroom monitors/lights, etc.).

I. Student Organizations	\$0
II. University Department	\$0
III. University Personnel	\$25/hr of actual field or batting cage use
IV. Outside Groups	\$50/hr of actual field or batting cage use

#### Policies

1. No food, drinks, tobacco or gum may be brought into the stadium.
2. Campers may not enter the building until their scheduled time.
3. Do not park in the fieldhouse lot or drive under the scoreboard. It is reserved for the use of emergency vehicles only. Parking is available in the north end of the stadium.
4. No automobiles are permitted on the track or playing surfaces of any stadium. Motorized carts such as a golf cart or John Deere Gator are permitted but are not included in the rental fee. These vehicles are available for an additional fee.
5. Injury reports must be filled out on all campers who sustain an injury in the stadium. Please understand that the information is vital to the athletic department. The cooperation of injured participants, camp instructors, witnesses and parents is appreciated.
6. No unsupervised groups are allowed in any part of the stadium at any time.
7. No horseplay, running through the seat area or concourse or loitering in the restrooms at any time.
8. No glass containers are allowed in the stadium.
9. Stadium staff will have complete control over volume levels of both in-house and outside sound equipment.
10. Misuse of the stadiums or equipment is grounds for removal.

-Additionally, for camps/clinics/events over 100 participants, a \$1 per participant fee will be charged; over 200 participants, \$2 per participant; over 300 participants, \$3 per participant, etc, etc.

#### Medical Fees and Coverage Guidelines

-Sports medicine coverage must be provided to each Institutional or External Camp located in any athletic facility on a fee basis. Emergency personnel and physicians will be available on an “On Call” basis and the expense will be the responsibility of the participant (injured person).

-First aid providers will be athletic department student trainers and will provide the following services:

1. Supply water and ice throughout the event.
2. Provide simple first aid and evaluations for minor injuries.
3. Seek more advanced medical care if required for particular situation at the expense of the participant.
4. Maintain medical/emergency contact information for each participant.
5. Keep all prescription medication on site during activities, i.e. inhalers.

-Medical history forms are required along with consent to treat forms.

-All of these forms must be completed and signed by the parent or guardian when the participant registers for the camp or clinic.

-No form of treatment can be provided for minors without the proper documentation completed and accompanying the participant.

-Parents will be contacted prior to a referral; but, in an emergency situation the parent or guardian will be contacted as soon as possible.

-The following guidelines will be followed by each type of camp or clinic:

- a. One Athletic Trainer/First Aid Provider (student) will be required for every forty (40) participants.
- b. Charges for Athletic Trainers will consist of:
  - Student Athletic Trainer – Hourly rate of \$10.00/hour for day camp
  - Daily rate of \$100.00/day for overnight camp
  - Housing and meals will be included for the Athletic Trainer covering your camp.
- c. Nationally certified and/or Texas Licensed Athletic Trainer is appropriate based on the size of camp, such as 100 participants. If a camp advertises as to having a Licensed Athletic Trainer on site, then each camp must be prepared to compensate the Athletic Trainer at an hourly rate of \$25.00/hour or an on call rate of \$50.00/call.

-Medical supply costs at a rate of \$50.00 per day camp and \$100.00 per day for overnight camps will be charged to any camp/clinic utilizing SHSU athletic facilities.

## **Camp/Clinic Promotional Information Materials, Advertising, and Web Services**

-For camps/clinics run by athletic department employees, printed camp brochures, advertising material and web based services must be reviewed and approved by the Compliance Officer and Associate Director of Athletics/Finance. A copy of approved brochures should be sent to the University Camp Office only if this office's services are required for conducting the camp or clinic. *(Updated 1/2012)*

-All brochures, advertisements, web based services and other promotional materials must include (1) the business name and address of the Camp Operator and (2) the following statement: "Sam Houston State University is not the operator or sponsor of this camp."

-Additionally, the use of the "Sam Houston State University is a member of the Texas State University System: statement is not required on Institutional Camp brochures.

-You may advertise that your camp is being held at Sam Houston State; however you may not advertise your camp as the Sam Houston State University (football, basketball, softball, volleyball, soccer, etc.) camp. Your camp brochures must state: "This camp is owned and operated by Name of Coach/or Corporation."

-Institutional Camps or Clinics may use Sam Houston State logos or marks on camp brochures once the Administrative Fee has been paid but External Camps may not.

-External (non-SHSU) websites are not allowed to use any Sam Houston State logo or marks to advertise or promote camps, except to identify a camp as being located on the SHSU campus. ---

-Camp gifts (including t-shirts, trophies, etc.) may not contain the SHSU or athletic department logo or name, including any variation of it. *(Updated 1/2012)*

-The use of a current student-athlete's name, picture and institutional affiliation may not be used to directly advertise or promote a camp with the exception of identifying the student-athlete as a staff member of the camp.

## **External Camps and Clinics**

### **Athletic Department Employees and External Camps/Clinics**

-Athletic department employees intending to be employed (paid or volunteer) at an external/non-institutional camp or clinic must provide the name and contact information of the camp/clinic director to the Compliance office. The Compliance office will verify through the following form that the camp/clinic will be operated according to NCAA institutional camp rules. ([Non-Institutional Camp Approval](#)) *(Updated 10/2014)*

### **Outside Vendors and External Camps/Clinics**

-Outside vendors may operate External Camps and Clinics at SHSU by contacting the Camp office. All of the above listed fees still apply with the exception of the Administrative Fee as these services are not available to outside vendors.

-The External Camps or Clinics operator is responsible for:

- a. Approval of all camps/clinics/individual must be received from the Compliance Officer and Associate Athletic Director/Finance no later than two (2) months prior to the event. Proof of insurance coverage with appropriate minimums must be included.
- b. All Athletic Department employees who work for a camp/clinic in any form must complete the [Outside Employment Approval Form](#) and [Leave Request Form](#) prior to the camp/clinic. Any employee wanting to work an external camp (as allowed under NCAA rules) during normal SHSU business hours must take vacation whether or not the employee is paid by the external camp. Employees must have accumulated vacation and at least 6 months of State of Texas service to take that time under SHSU Human Resources policies. *(Updated 1/2012)*
- c. Camp/clinic reservations of facilities must be made through the Camp Office and in conjunction with the Associate Athletic Director/Operations in advance of the event. Reservations are taken on a first-come, first-served basis and the University and/or Athletic Department reserves the right to refuse a camp/clinic in our facilities for any reason.
- d. The Operator must present written documentation to the Associate Director of Athletics/Finance that “DBA-Doing Business As” has been filed in his/her name in Walker County, Texas.
- e. The Operator is prohibited from utilizing any of the University’s federal or state tax identification numbers. Failure to follow this policy would result in being charged with a federal offense.
- f. The Operator is prohibited from utilizing the University’s non-profit permit for mailing any camp related materials. Failure to follow this policy would result in being charged with a federal offense.
- g. The Operator is responsible for paying all operating expenses associated with the camp, including staff members’ salaries/wages and payroll taxes.
- h. The Operator is responsible for all income received and all check should be made directly to the camp/clinic and not to the University or Athletic Department.
- i. Two (2) weeks prior to the start of camp, the Operator must submit a list of all individuals scheduled to work the camps to the Compliance Officer for approval.
- j. The Operator is responsible for all federal and state filing requirements, including but not limited to: 1099’s for consultants, W-2’s for employees, sales tax returns, etc.
- k. Upon completion of the camp/clinic, the Operator is required to provide a financial report to the Compliance Officer and the Associate Director of Athletics/Finance. A detailed form outlining the necessary items to report may be obtained from the Compliance Officer. This form should be provided no later than four (4) weeks after the close of camp or clinic.

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### **Permission to Contact/Transfer Appeals**

-If a student-athlete decides to transfer to another institution, then he or she should contact the head coach for his or her sport to discuss receiving permission to contact other universities or to use the one-time transfer exception.

-The decision for transfer releases is left up to the head coach for each sport, however a student-athlete's case may be reviewed in certain circumstances and the coach's decision may be overruled at the athletic director's discretion.

-A student-athlete who, during a championship segment of an in-season period, has requested permission to contact another institution for the purpose of discussing a possible transfer, will continue to have access to all services and benefits made available by the Athletics department so long as the student-athlete remains a member of a University varsity athletics team. *(Updated August 1, 2016)*

-Should a permission to contact request be made outside of the championship segment in-season period, the student-athlete will be limited to academic services only, unless a senior member of the University's Athletic Administration has granted authorization for other specified services. *(Updated August 1, 2016)*

-If a student-athlete is denied permission to contact another 4-year institution or to use the one-time transfer exception, then he or she, upon request, shall be provided with a hearing conducted by the Faculty Athletic Representative and faculty members of the Athletic Advisory Council at the earliest possible date.

-The student-athlete will have 10 working days following the receipt of the written notification of the denial to contact by the compliance officer and to request an appeal hearing.

-The student-athlete and the head coach will be allowed to meet separately with the advisory council to provide information and present their argument.

-After review and debate of each side's rationale, a decision will then be rendered by the advisory council. The decision will be provided to the compliance officer, who will notify the student-athlete and head coach. *(Updated 2/2009)*

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### **Commercial Agreements Involving Use of Student Athletes' Names and/or Images**

#### **Permissible Promotional Activities Release [Permissible Promotion Release Form](#)**

-Institutional licensing, marketing, sponsorship, advertising, broadcast and other commercial agreements that involve the use of student athlete's names and/or images must include the following statement to insure compliance with NCAA legislation:

“In the event an involved or participating Student Athlete's name or likeness is utilized in any manner in the execution of this agreement (or in activities/events related to this agreement), [CONTRACTING ENTITY] shall comply with any NCAA legislation, interpretations, and/or policies applicable to the use of a Student Athlete's name or likeness. Such legislation may be

requested from the Sam Houston State University Athletic Compliance Office or reviewed at the following NCAA link: <http://www.ncaapublications.com/p-4180-2011-2012-ncaa-division-i-manual.aspx>.” (Updated 1/2012)

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## Occasional Meals

-NCAA bylaws permit institutional staff members and boosters to provide a student-athlete or a group of student athletes (even an entire team) an “occasional meal” that is not provided for under any other legislation (ie. financial aid or meals in conjunction with competition).

-The definition of “occasional meal” is left to each institution. Sam Houston State Athletics defines “occasional meal” as being infrequent and not on any regular basis and is approved through the Athletics Compliance office.

-Coaches are required to submit a request to the compliance department for review [Occasional Meal Approval Request](#) for any “Occasional meal” to be provided by a booster.

-Coaches must also be sure that:

- the meal will occur in an appropriate location in accordance with NCAA bylaws
- the meal is occasional, not performed on a weekly basis or with any regularity
- only appropriate individuals are present in accordance with NCAA bylaws
- only appropriate transportation is provided, and
- the source of the meal is permissible.

(Updated 1/2012)(Updated 10/2014)

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## Equipment

-The equipment rooms are used to support our athletic teams at Sam Houston State. All requests for equipment must be made through the person deemed in charge of equipment procurement for each sport for proper documentation and distribution. Each sport shall be responsible for the set-up of team uniforms, equipment and practice gear; maintaining these items throughout the season of a sport, collecting non-consumable items when the season is complete; and for necessary record-keeping and organization.

-At the end of each sport's season, each sport shall inventory all non-consumable equipment and apparel. Non-consumable equipment and/or apparel is defined as any that has a per unit price of greater than \$1,000.

-Each sport is responsible for maintaining accurate records of inventory, records of equipment and apparel issuance and return in accordance with NCAA policy (see Attachment A for standardized department form to use).

### Applicable NCAA Policy

-  **Purchase of Equipment:** A student-athlete may purchase inventoried equipment at the conclusion of his/her intercollegiate participation on a pro-rated cost that is deemed fair market value for said equipment by the Compliance Coordinator. A

student-athlete's jersey is apparel and not equipment for purposes of NCAA legislation.

- 👉 Retention of Shoes: The legislative services staff determined that although shoes are considered equipment under NCAA legislation, a student-athlete is permitted to retain such items if they are no longer reusable at the end of the institution's playing season.
- 👉 Student-athlete using institutional athletics apparel during the summer: A student-athlete may use institutional athletics apparel (per the institution's normal issuance and retrieval policy) during a summer vacation period.
- 👉 Retention of athletics apparel subsequent to the academic year: In regard to whether a member institution may permit a student-athlete to retain apparel items (e.g. "personal clothing apparel") subsequent to an academic year and prior to the end of the individual's collegiate participation; it has been determined that in order for such items to be provided to the student-athlete, they must not be reusable (e.g., they must have received normal usage through practice and competition) by other team members in subsequent seasons and then subject to the discretion of the institution, may be considered the property of the involved student-athlete.

-Once an item is determined to be past its useful life, the Director of Athletics (or his/her designee) will determine how the item in question will be disposed of (i.e. sell at auction, give-away, donation, etc.).

-Capital goods (items with a per unit value of over \$5,000) must be annually inventoried according to University policy and sent to Property when items are past their useful life.

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## **Recruiting Procedural Guidelines**

### **General**

-Impermissible recruitment by institutional staff members is an institution's greatest area of exposure to NCAA rules violations.

-The NCAA Committee on Infractions focuses on this in its analysis of whether an institution lacks appropriate control over its athletics program.

-A system of monitoring and documenting recruiting activities is in place and staff members, boosters, prospects and their family members, and student athletes must adhere to this system.

-Recruiting is defined as any solicitation of a prospect or a prospect's family by an institutional staff member or by a booster for the purpose of securing the prospect's enrollment and ultimate participation in the institution's athletic program.

-Generally, recruiting activities can be divided into two categories; on-campus and off-campus.

-On-campus activities relate primarily to situations when a prospect is on an institution's campus on an official (any expense paid) or unofficial visit.

-Off-campus activities involve the evaluation or contacting of prospects or their family members away from the institution's campus.

-All recruiters must know and understand the rules governing their recruiting activities and adequate oversight and documentation of the activities must be maintained.

The following are the procedures, documentation, and monitoring of the recruiting process at Sam Houston State University:

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#### **Permissible Recruiters Designation Form**

-In order to receive permission to recruit, a coach must be a permissible recruiter under NCAA Bylaw 13.1.2 and within the numerical limitations of NCAA Bylaw 11.

- NCAA or conference restriction may be placed on a coach's permission to recruit off-campus as a result of the coach's failure to exhibit an adequate understanding of the rules.

-Each sport is required to designate in writing both the coaching staff members and off-campus recruiters for the year.

-Each sport is also required to identify to compliance all other paid or unpaid non-coaching staff members associated with the program (*Updated 1/2014*)

- [Coaching Staff and Off-Campus Recruiter Designation](#)
- [Staff Designation Forms - Basketball](#)
- [Staff Designation Forms - Football](#)

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#### **Social Media and Electronic Correspondence in Recruiting**

**-Communication Prior to NLI Signing-** Prior to a PSA signing an NLI or Institution's Written Offer of Admission and/or Financial Aid, electronic correspondence may be used ONLY if the PSA has reached the permissible age to receive written communication.

#### **-Electronic Correspondence-General Rules**

- a. Electronic correspondence (e.g., electronic mail, Instant Messenger, facsimiles, text messages) restrictions apply both to the PSA and the PSA's parents/legal guardians.
- b. Correspondence must be sent directly to the prospective student-athlete (or his or her parents or legal guardians) and must be private between only the sender and recipient (e.g., no use of public chat rooms, message boards or posts to "walls").
- c. There are no content restrictions on attachments to electronic correspondence, except that video and audio materials may not be for recruiting purposes and may not be personalized to include a PSA's name, picture, or likeness.

- d. In men's basketball, electronic correspondence may not be sent until June 15 at the conclusion of the PSA's sophomore year in high school.
- e. In SHSU sponsored sports other than men's basketball, electronic correspondence may not be sent until September 1 at the beginning of the junior year in high school.

**-Electronic Transmitted Correspondence in Basketball-** In basketball, any type of electronically transmitted correspondence may be sent to a PSA, provided the correspondence is sent directly to the PSA (or his or her parents or legal guardians) and is private between the sender and recipient.

**-Electronic Correspondence in Cross Country/Track and Field and Football**

- a. Electronically transmitted correspondence sent to a PSA is limited to electronic mail and facsimiles.
- b. All other forms of electronically transmitted correspondence are prohibited. Examples of prohibited electronic correspondence include, but are not limited to text messages, instant messages, Snapchat and comments on a PSA's wall or page.

**-Electronic Transmitted Correspondence in Sports Other Than Basketball, Cross Country/Track and Field, and Football-** Any type of electronically transmitted correspondence (e.g., e-mail, facsimile, instant message, text message, Snapchat, etc.) may be sent to a PSA, provided the correspondence is sent directly to the prospective student-athlete (or his or her parents or legal guardians) and is private between the sender and recipient.

**-Timing-** Once a PSA has signed an NLI or written offer of admission and/or financial aid, or SHSU has received a financial deposit in response to an offer of admission, there are no restrictions on electronic communication.

**-Coach Initiation or Acceptance of a Request-** Coaches are permitted to initiate or accept a "friend" or "follow" request to a PSA (or his/her parents) through social networking sites at any time, including prior to the first permissible date to send electronic correspondence.

**-General Information Videos-** It is permissible for general informational video content related to SHSU's athletics programs to appear on the SHSU Web sites and personal Web sites of athletics department staff members, provided the content is generally accessible to the general public (e.g., not included in a separate recruiting section) and is not created for recruiting purposes. *(Updated 10/2014)*

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**Evaluation and Contacts**

- Recruiting coaches must annually pass NCAA Coaches Certification test to recruit off-campus.
- Coaches may submit appropriate travel application to secretary which will then be submitted to compliance officer for approval. Upon approval, travel application is forwarded to the Associate AD/Finance and director of athletics for signature.
- Coaches will follow all NCAA rules concerning appropriate evaluation, contact, and recruiting calendar bylaws.
- Coaches will document all phone calls, evaluations, and contacts on either electronic or paper recruiting log.
- Coaches will submit travel reimbursement for approval upon return to campus. This will contain a detailed account of the coaches' recruitment process.
- Compliance Office will monitor reimbursement requests by all coaches' to ensure compliance with all NCAA rules concerning appropriate evaluation, contact, and recruiting calendar bylaws.
- In addition to the compliance officer, the Associate AD/Finance, and director of athletics will also review these reimbursements. The following shows an example of the process:

A. Identify Prospective Student-Athlete

1. High school and Junior College coaches' recommendation.
2. Scouting services.
3. Summer camps – BC, SHSU camps.
4. Junior college jamborees (combine).
5. Media.
6. State agencies ranking.
7. Coaches correspond with prospective student-athlete via questionnaire (generic).  
Includes request for videos, transcripts.
8. Coaches will maintain a list of all prospective student-athletes who were sent questionnaires.
9. Coaches create individual prospective student-athlete files.

B. Prospect Evaluation/Contacts- sports with electronic systems may meet these requirements electronically; otherwise, paper logs must be used

- [Form 6 - Basketball Recruiting Log](#)
  - [Form 7 - Recruiting Log - Sports Other Than Football/Basketball](#)
  - [Form 8 - Football Recruiting Log](#)
1. Coaches record any contacts with prospective student-athletes. Records should include:
    - a. Prospect's Name
    - b. Prospect's year in school
    - c. City and State of the recruiting activity
    - d. Type of recruiting activity (contact or evaluation)
    - e. Date and time of recruiting activity
    - f. Name of the team or event evaluated or contact site
    - g. Confirmation that contacts and/or the site of competition were consistent with NCAA rules
  2. Coaches submit travel worksheet request (E.G., projected recruiting itinerary) to designated secretary for travel application.
  3. Travel application is then forwarded to the Associate AD/Finance.

4. Coaches evaluate/contact prospective student-athlete off-campus, record the evaluation/contact.
5. Coaches submit prospect evaluation/contact record (electronic download available for sports that have access to ACS) along with daily worksheet.
6. Secretary prepares travel reimbursement and turns in paperwork.
7. Compliance officer reviews for evaluation restrictions, etc.
8. Travel is then forwarded to the Associate AD/Finance who forwards to director of athletics for approval.

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#### **Permission to Contact Student Athletes from Other Four-Year Institutions**

-NCAA bylaws state “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 the written permission of the first institution's athletics director (or an athletics administrator designated by the athletics director to do so), regardless of who makes the initial contact.” [Permission to Contact \(Request\)](#)

#### [Contact \(Request\)](#)

-Coaches must have in their possession a written permission to contact from a compliance administrator from the losing institution before initiating any communication with student athletes from other four-year institutions.

-Coaches must refer all transfer inquiries regarding student athletes from other four-year institutions, no matter the source, to the Compliance Officer for processing a written permission to contact request.

-All permissions to contact student athletes from other four-year institutions provided to coaches by any source must be forwarded to the Compliance Officer for verification. (1/2012)

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#### **Recruiting Files**

-Coaches must keep files (either on paper or electronically) on all prospective student-athletes that they are recruiting.

-Sport programs must maintain recruiting files for five years beyond the high school graduation date of the prospect or through completion of signed student athlete's eligibility, whichever is longest.

-Retention of recruiting files is an area that requires particular attention by compliance administrators and head coaches upon departure or termination of coaches.

-All recruiting files, including recruiting logs with recorded phone calls, contacts, and evaluations, are subject to review at any time.

-Compliance Office will conduct annual compliance reviews of these records. During annual reviews the Compliance Office will audit no fewer than 10% of the individual recruiting files of each program for compliance with recruiting legislation. Each audit will include the following:

- 1) Each coach will provide to the Compliance Office the requested personal phone bills for phones they use for recruiting purposes for the period requested.
- 2) Each coach/sport program will also provide recruiting files/logs for all prospects requested.
- 3) Compliance Office will cross reference coaches' personal phone bills and office phone bills with recruits' phone numbers and logs to insure compliance with NCAA rules and to demonstrate institutional control as required by NCAA legislation. (*Updated 1/2012; Updated 3/2012; Updated 6/2013*)

Upon request, the following should be provided to the compliance officer **in the prospect's file**:

- a) Request for Official Visit and/or NLI form. (See form link below under official visits).
- b) Copy of academic transcripts and test score(s) or Eligibility Center Report
- c) Southland Conference Official Visitation Form completed with all signatures and copies of receipts (as applicable) [Form 10 - Official Visitation Form](#)
- d) Completed Official Visit Exit Interview (as applicable) [Official Visit Exit Interview Form](#)
- e) **Recruiting Log.**  
[Form 6 - Basketball Recruiting Log](#)  
[Form 7 - Recruiting Log - Sports Other Than Football/Basketball](#)  
[Form 8 - Football Recruiting Log](#)
- f) Copies and/or documentation of correspondence sent to the prospect.
- g) Additional information you require as a coach.

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#### **Official Visits**

-Official visits will be conducted according to NCAA rules and regulations and institutional official visit policies.

- **For approval of official visits**, the following paperwork is required

- a) **Completion of the Official Visit/NLI Request Form** [Official Visit / NLI Request](#)  
Copy of a High School or College Transcript. (or NCAA Eligibility Web Status Report showing certification of transcript).
- b) SAT, ACT, PSAT, or PLAN test score. This must be on an official high school or testing agency document. (or NCAA Eligibility Center documentation showing certification of test score).
- c) Registration with the NCAA Eligibility Center
- d) Copy of SHSU Official Visit Policies sent to the Prospective Student Athlete by the recruiting coach.

-The compliance officer will approve requests for official visits and initial purchase request, gift-in-kind, and travel applications. [Gift In Kind Request Form](#)

-Purchase requests for official visits will then be forwarded to the director of athletics to sign for final approval.

-Coaches are responsible for providing notification of the SHSU Official Visit Policies directly to prospects either by mail, fax, or e-mail

- [SHSU Official Visit Policies](#)
- [Official Visit Do's & Don'ts](#)

-Coaches must inform all involved individuals (student hosts, assistant coaches, staff, etc.) of official visit policies and ensure that entertainment activities during official visits are in compliance with NCAA and institutional rules and regulations.

-Upon completion of official visits, coaches must submit the completed [Form 10 - Official Visitation Form](#) with the completed [Official Visit Exit Interview Form](#) in the prospect's recruiting file to the compliance officer for review. *(Updated 9/2014)*

-On Campus Evaluations (OCE's) (tryouts) may be conducted in Men's and Women's Basketball ONLY and during either official or unofficial visits. (8/2013)

Prospect participation in recreational activities with current student athletes (ie. pick-up basketball, going for a run, playing racquetball, etc. when coaches are not permitted to be present) is only permitted with prior approval during the official visit approval process. (11/2013)

### **On-Campus Evaluations (OCE)- Men's and Women's Basketball Prospective Student-Athletes** *(Updated August 2013)* and **Recreational Activities during Official Visit** *(November 2013)*

OCE's (tryouts) may be conducted in Men's and Women's Basketball ONLY under these conditions:

- The prospective SA must be either a high school senior or two-year college prospect who **has exhausted eligibility** (their final season is over in HS or JC) --- OR four-year transfer SA.
- The OCE must be conducted after the conclusion of the prospect's season **and** before the opening day of the institution's fall term.
- The OCE must be no longer than **2** hours and may involve the institution's enrolled SA's.
- The OCE must be included as part of **the 20-hours** of countable athletically related activities if it occurs during the institution's playing season or during the institution's **2** hour skill instruction if conducted outside the playing season.
- An institution may provide only **one** OCE per prospect

- The OCE must occur during an Official or Unofficial visit
- The institution may provide equipment and clothing on an **issuance-and-retrieval** basis

**Forms required before the OCE or Recreational Activity during Official Visit occurs:**

- **OCE/Rec Activities Approval Form** [Basketball On-Campus Evaluation Approval](#)  
(Filled out by coach, trainer, and compliance)
  - Proof of Health Insurance required
  - Current Physical required
  - Sickle Cell Test **or** Waiver required
- **OCE/Rec Activities Release Form** [Basketball On-Campus Evaluation Release](#)  
(Filled out by prospect **and** legal guardian of prospect)
- General Medical History and Injury Inquiry (Filled out by prospect or prospect's parent or legal guardian; **see form on next line**)
- **Medical Treatment Permission Form** [Medical History Treatment & Permission Form](#) (Filled out by prospect **and** legal guardian of prospect)

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**Unofficial Visits**

-Coaches must have prospect complete Southland Conference [Form 9 - Unofficial Visitation Form](#) for all prospective student-athletes who make unofficial campus visits during the academic year and summer. Contact with a coaching staff member by a visiting prospect requires this form. The following constitutes situations when completion of this form is necessary:

- a) Prospective student-athlete is contacted and invited to our campus for an unofficial visit by a coach or staff member.
- b) Prospective student-athlete makes an unannounced visit to the department of athletics and contacts coaching staff members.
- c) Prospective student-athlete visits our campus through admissions or orientation office and is sent over to the department of athletics to visit with coach.
- d) Complimentary admissions are provided to a prospective student-athlete to attend an athletic event and there is contact with the prospect by the coaching staff.

-Files with completed and signed Southland Conference Unofficial Visitation forms are to be available upon request in the recruiting coach's office.

-Coaches should monitor answers to questions on the form closely for incorrect responses.

- Coaches' signatures, title and date are required on all forms.
- A file on unofficial visitors must be maintained through completion of the recruiting year in which they visited (August 1) unless they become members of an SHSU Athletics program.
- Files of unofficial visitors who become members of your program will be maintained for 5 years in their individual recruiting file. (*Updated 1/2012*).

-On campus evaluations may be conducted during unofficial visits for the sports of men's and women's basketball as long as they have been approved thru the process outlined under the Official Visit policies in this manual. (*Updated 1/2014*)

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### **GROUP UNOFFICIAL CAMPUS VISITS** (*Effective 9/29/2011*)

**BASIC PRINCIPLE**- SHSU Athletics intends to provide PSA's and their parents/ legal guardians/guests on unofficial campus visits the same benefits and treatment in general as any other prospective student interested in SHSU.

#### **GUIDELINES**

1. Athletics staff members will not make prior arrangements with vendors and collect money on behalf of the vendor for the feeding of PSA's or their parents/legal guardians, relatives, or guests during group unofficial visits. Athletics staff members may explain what is available on or off campus and accompany the PSA's party to any restaurant or vendor that is available, but they may not make prior arrangements with vendors and collect money from PSA's or their parents/legal guardians, relatives, or guests on behalf of the vendor.
2. Athletics staff members will not arrange for Representatives of the institution's athletics interests/boosters to meet with or talk to PSA's or their parents/legal guardians, relatives, or guests during unofficial visits: Parents of current student athletes are now permitted to meet with parents of prospects and prospects during unofficial visits on contest days (12/2014).
3. Unplanned, unavoidable, incidental contact with these individuals that is not pre-arranged and in which only an exchange of greeting and an explanation of recruiting rules occurs is permissible.
4. Only the following may act as a student host during unofficial visits:
  - a. Current student athlete
  - b. Students certified for the purpose of hosting all prospective students to campus and designated by the SHSU Visitor Center in response to the athletics program's request prior to each recruiting event

- c. Undergraduate assistant coaches designated as such on a program's Coaching Staff and Recruiter Designation form filed with the compliance office before each academic year
5. PSA's and their parents/legal guardians, relatives, or guests may receive complimentary admission to athletics contests in accordance with NCAA rules and SHSU policy (see SHSU Complimentary Admissions policy). When the PSA's party exceeds the number of authorized complimentary admissions, NCAA Bylaws state that "Tickets may be purchased ONLY IN THE SAME MANNER AS ANY OTHER MEMBER OF THE GENERAL PUBLIC." Therefore, it is not permissible to make special arrangements for purchased tickets for PSA's and their parents/legal guardians, relatives, or other guests.
  6. Each PSA must complete the Unofficial Visit form for each unofficial visit. PSA's who only receive complimentary admission and do not have on campus contact with specific sport program staff members are not required to complete an Unofficial Visit form.

#### DEFINITIONS

1. Unofficial campus visit- when an athletics department staff member has on campus contact for a recruiting purpose with a prospective student athlete (PSA) and the athletic department does not pay for any part of the visit; can be arranged by the athletics staff member or initiated by the PSA.
2. Group unofficial visit-when more than one PSA visits the campus at the same time, usually by prior arrangement of an athletics department staff member, with or without the PSA's parents/ legal guardians; and those PSA's have on campus contact for a recruiting purpose with one or more athletics department staff members.
3. Prospective student athlete (PSA)- any high school student who has started classes for the ninth grade.
4. Representatives of the institution's athletics interests (ROI/boosters): An individual, independent agency, corporate entity, or other organization who is known (or should have been known) by a member of the institution's executive or athletics administration
  - a. who participated in or was a member of an agency or organization promoting athletics;
  - b. who made financial contributions to athletics;
  - c. who assists or has been requested to assist (by athletics staff) in recruiting PSA's;
  - d. who assists or has been assisting in providing benefits to enrolled SA's or their families; or,
  - e. who is involved otherwise in promoting SHSU athletics programs.

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## **Publicity**

- Publicity released through SHSU concerning prospective student-athletes signing is coordinated by the media services office. Before any signing is released, the National Letter of Intent must be received in the department of athletics.
- Prior to the signing of an NLI or grant-in-aid or offer of admission, a member institution may comment publicly only to the extent of confirming its recruitment of the prospect when asked.
- SHSU MAY NOT publicly comment generally about a prospect's ability, predicted contribution to the team, or the likelihood of the prospect signing with the institution. See Bylaw 13.10 of the NCAA Manual for additional information.

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## **National Letter of Intent (NLI)**

- Coaches will forward a copy of the completed Official Visit/NLI Approval form to Assistant AD/Finance to have an NLI and Southland Conference grant-in-aid offer prepared and forwarded to the associate athletic director for finance. The grant-in-aid offer is then reviewed by compliance officer and forwarded to the director of athletics and the financial aid director for signatures.
  - After documents have been signed, Assistant AD/Finance will issue NLI to the requesting coach, who will be responsible for the delivery under NCAA rules.
  - Prospective student-athletes will sign and return the completed NLI and grant-in-aid offer directly to the Assistant AD/Finance.
  - Assistant AD/Finance will notify coaches and compliance and any applicable administrative staff of receipt of NLI and forward copies to the Southland Conference office.
  - Coaches will issue a signing packet to each signed prospect (see below for signing packet details).
  - Prospective student-athletes have fourteen (14) days from the issuance date to sign the National Letter of Intent and grant-in-aid form. For the early signing date (November), 7 days only,
  - SHSU will submit copies of the NLI and grant-in-aid to the SLC office within twenty-one (21) days of signing.
- A student-athlete may request a mutual release from a National Letter of Intent through the appropriate sports head coach. The student athlete, after receiving verbal release, will submit request thru NLI Online for Compliance and the AD to complete the proper paperwork.

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## **Graduation Rates Disclosure**

- Graduation rates are forwarded to prospective student-athletes by the NCAA Eligibility Center. Both Federal and NCAA Graduation Rates Reports can be accessed at [ncaa.org](http://ncaa.org). (*Updated 1/2012*)

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### **Signing Packets**

- Signing packet information will be updated and made available to each sport program by both the compliance officer and the associate director of athletics/student services/SWA.
- Information in this packet will include admissions, housing, financial aid, scholarships, initial-eligibility, and additional athletic department paperwork.
- Coaches will be responsible for ensuring the signing packet is sent to each prospect and that each prospect completes the requirements of the packet. (*Updated 2/2008*)

- [1. Memo](#)
- [2. Checklist](#)
- [3. Document Websites](#)
- [4. Content Requirements](#)
- [5. Historical Questionnaire \(Transfers\)](#)
- [6. Outside Scholarship Memo](#)
- [7. Outside Scholarship Form](#)
- [8. NCAA Compliance Forms Instructions](#)

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### **Initial-Eligibility Standards**

- NCAA Eligibility Center information along with the NCAA initial-eligibility requirements will be compiled and provided to each sport.
- This information shall be provided to the prospective student-athlete at the earliest opportunity after the institution begins recruiting the prospect, but not later than the day prior to the prospective student-athlete's signed acceptance of the National Letter of Intent or grant-in-aid.
- For invited walk-ons and tryout walk-ons, this information shall be provided as part of their tryout process, but not later than the completion of their New Student Athlete Practice Clearance in processing (*Updated 12/2014*)

- [Guide for College Bound Athletes 2014-2015](#)

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### **Athletic Recruiting Advance Policy for Hosting Recruits**

- Athletic recruiting advances may be requested by coaches for use in entertaining recruits who come to Huntsville. The following conditions must be met:

1. The coach must be actively on the SHSU payroll at the time of the request and during the time of the recruiting visit(s).
2. The coach must have no overdue recruiting advances outstanding.
3. The coach must sign the SHSU recruiting advance agreement.
4. The advance period may cover more than one weekend but no more than four weeks.
5. A maximum of \$40 per recruit per day may be requested. *(Updated 11/2013)*

-The SHSU recruiting advance agreement states that the coach will clear the advance within 30 days following the last recruiting date covered by the advance.

-The coach receiving the advance further agrees to sign for all funds provided to the student host on the [Official Visit Student Host Reimbursement Form](#) and to abide by all NCAA recruiting rules.

-The coach also agrees to require the SHSU student host to sign for all funds received on the Southland Conference Official Visitation form.

-If the advance is not repaid within the prescribed time, the coach agrees that the full amount of the advance outstanding will be deducted from his/her net pay on the next payroll date.

-The advance may be requested by submitting a purchase voucher to the administrative accounting department through the Assistant AD/Finance and after obtaining the signature of the director of athletics.

-Advances for less than \$100 will generally not be approved. *(Updated 1/2012)*

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## Eligibility Procedural Guidelines

### Principles of Amateurism

-Bylaw 2.9 of the NCAA Manual requires student-athletes to be amateurs in their sport, with participation motivated primarily by education and by the physical, mental and social benefits to be derived.

-The intent is to protect student athletes from exploitation by professional and commercial enterprises.

-All first-time enrollees (both domestic and international) at an NCAA Division I or II institution must have their amateurism certified by the NCAA Eligibility Center.

-Prospects must register with the Eligibility Center and complete the amateurism section.

-In order to compete, all new student-athletes must receive a final certification from the Eligibility Center. [http://web1.ncaa.org/ECWR2/NCAA\\_EMS/NCAA\\_EMS.html#](http://web1.ncaa.org/ECWR2/NCAA_EMS/NCAA_EMS.html#) *(Updated 1/2008)*

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### Admissions Policy

(See the [Sam Houston State University Catalog](#) or web page [www.shsu.edu](http://www.shsu.edu))

-The following policy for student-athletes who do not meet university admissions standards became effective September 1, 1999.

-Goals:

- a) To create opportunities for Sam Houston State University's NCAA sponsored sports to competitively recruit student-athletes who have admission access to the Southland Conference without sacrificing academic integrity.
- b) To provide a mechanism for completing the review process prior to the recruitment of the student-athlete, enabling the staff member to sign the student-athlete with the understanding that the individual will be admitted to the university.

### **Personal Review of Educational Potential (PREP)**

-Student-athletes who do not meet the minimum requirements for admission but graduated on the recommended or distinguished program in the state of Texas and are currently ranked in the top three quarters of their class are eligible for the Personal Review of Educational Potential (PREP).

-Students in the fourth quarter of their graduating class are not eligible for this review.

-The undergraduate admissions staff will consider the following factors in the (PREP) process:

- Specific class rank (on a seven-semester transcript)
- Size of graduating class
- Quality and competitive level of high school courses taken and grades earned (i.e. AP, Honors classes, Dual Credit)
- Academic progress and achievements
- Scores on either the ACT or SAT I

-To be considered for the PREP, students are to present the following information as early as possible after their seventh high school semester during their senior year:

- A seven-semester transcript that includes class rank, SAT I and/or ACT and TAAS scores
- THEA scores (if not THEA exempt)
- A personal statement that addresses the factors that applicant wishes to bring to the attention of the admissions staff regarding the student's academic record
- Two letters of recommendation: one from a school administrator/counselor and one from a teacher

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#### **Exemptions** *(Updated 1/2012)*

-If a student-athlete is not admitted under the PREP process, the department of athletics may request admissions under the following Exemption process:

-A pool of twenty-four (24) slots per year are available to the various sports as listed below.  
(Updated 3/2015)

-Admission Opportunities for Each Athletic Team

Baseball	2
Basketball (men)	2
Basketball (women)	2
Bowling (women)	1
Football	4
Golf (men)	1
Golf (women)	1
Soccer	2
Softball	2
Tennis	1
Track (men)	2
Track (women)	2
Volleyball	2
Total	24

-A prospective student-athlete may be considered only if they meet NCAA Initial Eligibility Standards (Eligibility Center/Clearinghouse), are in the third quarter of their high school graduating class, and are not eligible for admission to SHSU via criteria for automatic admission and/or transferring from a junior college or four year institution.

-Prospective student athletes in the 4<sup>th</sup> quarter of their high school graduating class may be recommended for admission at the Athletic Director's discretion on a case by case basis under this program. (Updated 8/2010)

-A sport desiring to use an exemption slot would submit an application for admissions, an official high school, junior college or university transcript, and final NCAA Eligibility Center form to the director of athletics thru the associate AD/student services.

-The director of athletics will either recommend approval of prospective student-athletes' exemption to the director or admissions or disapprove the request. (Updated 3/2015)

-Student-athletes receiving approval will be forwarded to the director of admissions for admission to the university.

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#### **Foreign Student-Athlete Admission**

-The university admission policy for foreign students is:

-TOEFL score: 550 written; 213 computer-based; 79 web-based (Updated 3/2012)

-Athletic admission for foreign student athletes who do not meet admission requirements with the minimum TOEFL scores, will be reviewed by the director of athletics, associate director of athletics/student services/SWA and director of admissions. They must be NCAA eligible for consideration.

The process determining the availability of each slot, penalties, and possible scenarios are provided below.

- a) Each admissions opportunity is based on two year period, beginning each academic year.
- b) Student-athletes who are recruited for an admissions opportunity, must remain NCAA eligible and maintain good academic standing at SHSU for two years in order for a sport to recruit a new student-athlete in that slot.
- c) If a student-athlete does not maintain their NCAA eligibility and good academic standing at SHSU, the sport will lose the admissions opportunity for the next two year cycle.
- d) Slots are not interchangeable between sports.
- e) Detailed records and tracking of each slot will be documented in both the admissions office and department of athletics.
- f) Coaches and staff will be provided data and guidelines on success rates of prospective student-athletes in this program. This will assist them in targeting prospective student-athletes who have a higher rate of success in completing their degree.

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## **Certification of Student-Athlete Eligibility**

### **Initial-Eligibility**

- Initial-eligibility relates to the academic eligibility of incoming freshmen.
- Basic eligibility requirements for incoming freshmen can be found in NCAA Bylaw 14.3.
- Four elements must be fulfilled by incoming freshmen to be eligible for athletics during the first year: (1) graduation from high school, (2) a combination of a core curriculum of at least 16 academic courses, (3) minimum combined score on the SAT or ACT prior to the student registering for a minimum full-time program of studies (as determined by the institution) and (4) attending classes as a fulltime student in a regular term of an academic year at a collegiate institution.
- Each high school provides a list of approved core courses to the NCAA Eligibility Center.
- Eligibility Center is responsible for certifying initial-eligibility and amateurism.
- SHSU has in place the procedures to effectively prevent academic fraud.
- NCAA Bylaw 14.1.2 requires institutions to determine the validity of academic credentials for student athlete eligibility.
- SHSU is responsible for determining whether a transcript or test score is valid.

-Official transcripts and test scores must be received by the admissions certification officer (ACO) directly from the prospect's educational institution and the testing agencies.

-ACO must be sensitive to peculiarities on submitted items and, when appropriate, take necessary steps to verify academic credentials.

-Initial eligibility of foreign student-athletes differs from domestic student-athletes.

-Test score requirements are the same; but, standards for determining whether secondary education core course requirements are met varies by country of student athlete attendance.

-To certify international prospects, the institution must refer to the current [Guide to International Academic Standards for Athletics Eligibility](#). The Guide lists each country and the requisite credentials that must be obtained in that country as the equivalent of the core course requirement.

-SHSU TOEFL Score Admission Standard – written: 550; computer-based: 213; web-based: 79  
(Updated 3/2012)

-An initial-eligibility waiver process is in place if a student presents an extraordinary situation which prevented the student from achieving the initial eligibility requirements or the requirements in a timely manner. This requires the completion of an initial-eligibility waiver application and presentation of the specific facts and documentation to the NCAA initial eligibility waiver committee which is responsible for making determinations. This procedure is available in only a small percentage of cases. (Updated 2/2008)

## **Student-Athlete Eligibility Certification Process**

### Preliminary Evaluation of Student-Athlete's Qualifications

1. Coaches review available academic information from the NCAA Eligibility Center (e.g. transcripts, test scores, list of core courses) and from PSA's high school, JC, or university prior to official visit or signing of National Letter of Intent and/or Grant in Aid.
2. Associate director of athletics/student services/SWA and compliance officer evaluate academic information to determine whether to continue recruitment and extend official visit invitation or signing of National Letter of Intent.
3. Associate director of athletics/student services/SWA forwards selected (e.g. questionable) preliminary evaluations to ACO for classification.
4. Compliance officer informs coaches of approval for official visit or signing of National Letter of Intent and/or Grant in Aid.
5. Coaches inform PSA's of preliminary admissibility/NCAA eligibility status. This will include any deficiencies that may exist (e.g. GPA, core courses, test scores).

### Admissions Process

1. PSA receives signing packet with coded admissions application from coaches upon signing of National Letter of Intent or PSA applies for admission online and indicates they are an incoming student athlete in the online admission application. (*Updated 1/2012*)
2. PSA returns completed admissions application to admissions office. Junior college and university transfer PSA's will include an SLC Historical Form to be sent to the compliance officer. ACO compiles admission information informs associate director of athletics/student services/SWA about missing information who forwards this information to coaches, who in turn inform the PSA.
3. Admissions office reviews application materials, makes admissibility decisions and notifies PSA by letter. ACO informs associate director of athletics/student services/SWA of PSA's not meeting admissions requirements.
4. Associate director of athletics/student service/SWA accesses admission status of prospective student-athletes and informs coaches of admissions decisions. Admissions options are provided at this time. (e.g. appeals)

#### Certification of Initial-Eligibility – (Freshmen/Transfers)

1. Admissions office receives final transcript, official test scores and NCAA Eligibility Center information.
2. ACO reviews academic information, determines eligibility status and completes the eligibility verification form.
3. Compliance officer enters information in the NCAA software. Associate director of athletics/student services/SWA forwards to ACO for review and initials.
4. Associate director of athletics/student services/SWA forwards finalized NCAA Eligibility Report to Conference Office prior to first competition. Copies of NCAA Eligibility Center reports are maintained on campus by associate director of athletics/student services/SWA, admissions certification officer and registrar certification officer.

#### Walk-on Certification

1. Coaches bring Recruited or Non-Recruited student-athletes accepted on the team to the Compliance office to in process.
2. A [New Student Athlete Practice Clearance form](#) is generated in Compliance for each walk-on and the walk-on completes all required forms on ACS, and NCAA Eligibility Center status is confirmed with the student athlete and monitored by Compliance if temporary certification for practice is approved. A copy of transcripts

(e.g. high school, JC, 4yr or SHSU) are provided by coach or prospect if not already on the university system. This information is forwarded to associate director of athletics/student services/SWA.

3. Associate director of athletics/student services/SWA and compliance officer determine preliminary admissions and full-time enrollment status, the beginning of temporary certification period (e.g. 45-day grace period) and informs ACO.
4. ACO and associate director of athletics/student services/SWA determines eligibility status and certifies walk-on within 45-day certification period. Compliance withdraws walk on from practice if not certified within 45 day period.
5. After receiving permission from associate director of athletics/student services/SWA the coach will direct the walk-on to the athletic trainer for completion of physical and necessary medical/insurance papers. The trainer will then direct the walk-on to the equipment manager for equipment issue and practice.
6. The student athlete may not practice after initial tryout until the New Student Athlete Practice Clearance form and process have been documented, completed, and approved thru Compliance. Particular attention should be paid to insuring the student athlete is officially coded/blocked from dropping below fulltime status on the university systems (*updated 12/2014*).

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### **Home-Schooled Students**

-Home-schooled students who are entering college for the first time will have their coursework evaluated by the NCAA Eligibility Center and receive an initial-eligibility decision from the NCAA Eligibility Center.

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### **Continuing Eligibility**

-NCAA Bylaw 14.01.1 establishes three requirements for continuing eligibility to represent an institution in intercollegiate athletics competition:

- (1) be enrolled in at least a minimum full-time program of studies;
- (2) be in good academic standing; and
- (3) maintain satisfactory progress toward a baccalaureate or equivalent degree.

-These three requirements are independent of each other and all three have to be met in order for eligibility status to be maintained.

-A full-time program of studies is not less than 12 semester hours.

-Exceptions include

- (1) student-athletes in their final semester carrying hours necessary to obtain their degree.
- (2) graduate students who must be enrolled in no less than nine hours.
- (3) any other programs in which the university officially considers the student fulltime when they are enrolled in less than 12 semester hours.

-Student-athletes dropping below the minimum load requirements are ineligible for practice or competition.

-A code is placed on each student-athlete's account blocking them from adding or dropping classes.

-The student-athlete is not allowed to make any schedule changes without approval of athletic academic advisors.

-Good academic standing is a requirement of continuing eligibility.

-At SHSU, students on Academic Probation are considered in good standing. Suspended students are not in good standing unless they are readmitted by the appropriate authority.

-Satisfactory progress toward a degree is defined by NCAA Bylaw 14.4 which establishes detailed requirements.

-Student-athletes who have completed one semester are subject to the progress-toward-degree legislation and must be certified each semester prior to representing the institution in intercollegiate competition.

-Prior to the start of the second year of collegiate enrollment, a student-athlete must complete 24-semester hours of academic credit of which 18-semester hours must be completed since the beginning of the previous fall term or since the beginning of the institution's preceding regular two semesters.

-Hours earned during summer may not be used to fulfill the 18-hour requirement.

-Student-athletes must also complete at least 6-semester hours of academic credit during each regular academic term.

-Student-athletes entering the fifth semester following initial enrollment must have formally declared a specific degree if they have not yet done so.

-From semester five forward, credits used to meet the progress-toward-degree requirements must be earned toward the designated degree.

-To be eligible for competition, student-athletes must meet the degree plan and GPA requirements as follows:

1. Entering 2<sup>nd</sup> year: 1.8 GPA (90%)
2. Entering 3<sup>rd</sup> year: Completion of 40% of degree plan with a 1.9 GPA (95%)
3. Entering 4<sup>th</sup> year: Completion of 60% of degree plan with a 2.0 GPA (100%)
4. Entering 5<sup>th</sup> year: Completion of 80% of degree plan with a 2.0 GPA (100%)  
(Updated 2/2008)

-Additionally, student-athletes must maintain the minimum GPA requirement throughout the academic year in order to be eligible for competition. If a student-athlete who has already been certified as eligible drops below the required GPA at the end of the fall semester, then they would be ineligible for competition occurring in the spring semester.

-Baseball student-athletes must have their eligibility certified based on their academic record in existence at the start of each fall term. Any additional hours or GPA points earned by a baseball student-athlete during the fall semester will not restore a baseball student athlete's eligibility for spring semester competition.

-In sports other than baseball, if the SA has not met the progress-toward-degree requirements for the Fall term, the student-athlete's eligibility may be restored at the beginning of any other regular term based upon fulfillment of the necessary requirements.

-Issues such as the use of advanced-placement tests, correspondence courses, credit by examination, remedial or non-credit courses, incomplete grades, repeated courses, credit earned at other institutions, and distance learning are addressed in the NCAA legislation and must be examined on a case-by-case basis. *(Updated 2/2008)*

-There are certain exceptions and waivers to the satisfactory progress rules which may apply in particular circumstances. The exceptions are for student-athletes that have missed terms or consecutive terms, pregnancy, or were not recruited and have not previously participated in intercollegiate athletics. The exceptions are applied by SHSU in the eligibility certification process.

-Waivers of the progress-toward-degree rules may be granted under medical absence circumstances or in the event the student-athlete is involved in international competition.

-In other applicable situations, the Division I Progress-Toward-Degree Waiver Committee has the authority to waive all other progress-toward-degree requirements based on objective evidence that demonstrates circumstances that warrant the waiver of the normal application of those regulations. *(Updated 2/2008)*

#### A. Monitoring Academic Progress of Student-Athlete – During Term

1. Academic records are maintained in the registrars' office by the registrar certification officer (RCO).
2. Athletic academic advisor has read only access to review academic records of student-athlete.
3. Coaches send grade report forms issued by associate director of athletics/student services/SWA and assistant AD, academic services to instructors at least three times a semester.

4. Associate director of athletics/student services/SWA and assistant AD, academic services review grade report forms and inform coaches of academic deficiencies (e.g. grades, class attendance).
5. Student-athletes experiencing academic difficulties are informed by associate director of athletics/student services/SWA and assistant AD, academic services and are provided information regarding the available (in some cases mandatory) academic support services. (E.g. Learning Enhancement Center).

B. Monitoring Academic Progress of Student-Athlete – End of Term (between Fall and Spring)

1. Associate director of athletics/student services/SWA with the Registrar Certification Officer (RCO) accesses data base to determine good academic standing and grades.
2. Associate director of athletics/student services/SWA informs coach of affected student-athletes (e.g. probation or suspension status). Student-athlete receives notification of probation or suspension status including information concerning appeals process from registrar.
3. RCO reviews academic information. Identifies and informs the associate director of athletics/student services/SWA of academic deficiencies by written notification and will give copy to respective coach.
4. Mid-semester certification is documented in the NCAA Compliance Assistant software and on the Southland Conference compliance forms then forwarded to the Southland Conference office.

C. Monitoring Academic Progress of Student-Athlete – End of Term (summer school)

1. At the conclusion of spring semester, registrar certification officer and the associate director of athletics/student services/SWA access records and review academic progress of each student-athlete.
2. RCO forwards list of student-athletes with deficient credit hours to the associate director of athletics/student services/SWA.
3. Associate director of athletics/student services/SWA submits list of additional student-athletes subject to continuing eligibility (e.g. partial/non qualifiers) to the registrar certification officer.
4. Associate director of athletics/student services/SWA sends a list of student-athletes with deficient hours to respective coach. Student-athlete is responsible for completing summer school course approval form and returning to the associate

director of athletics/student services/SWA.

5. Student-athletes attending summer school at another institution are required to obtain prior approval from registrar certification officer and admissions certification officer. Form is issued by the associate director of athletics/student services/SWA.

#### D. Certification of Continuing Eligibility

1. Coaches are required to submit a list of all returning student-athletes to the associate director of athletics/student services/SWA no later than May 1<sup>st</sup>. This list will include remaining years of competition.
2. The associate director of athletics/student services/SWA reviews list of all returning student-athletes to be certified insuring that all student-athletes subject to continuing eligibility requirements are included (e.g. partial non-qualifiers, medical hardships, transfer, etc.) and confirming years of competition for each student-athlete. The associate director of athletics/student services/SWA sends list to registrar certification officer no later than grade deadline.
3. RCO verifies satisfactory progress (e.g. courses applicable to degree plan), designation of degree plan and good academic standing of all roster.
4. RCO sends preliminary eligibility list to associate director of athletics/student services/SWA.
5. Prior to first competition the associate director of athletics/student services/SWA completes Southland Conference Eligibility Report and forwards to RCO for review and signature by appropriate authorities.
6. Associate director of athletics/student services/SWA prepares and submits completed Southland Conference Eligibility Report form to conference office. This will include all initial and continuing eligibility.

#### E. Monitoring Full-Time Enrollment

1. Full-time enrollment status of student-athlete is verified by RCO prior to certification in the fall.
2. Student-athletes attempting to drop below full-time enrollment are precluded from dropping below full-time enrollment without prior notification from the associate director of athletics/student services/SWA and are coded and blocked from dropping below fulltime in the system.
3. The RCO, the assistant AD/academic services, and the compliance officer access student-athlete records periodically throughout each term to monitor full-time enrollment. *(updated 12/2014)*

## F. Designation of Degree Plan

1. Student-athletes are educated by and required to consult with the associate director of athletics/student services/SWA regarding proper class schedule and application of course work toward specific or designated degree program. They must receive mandatory advisement from the SAM Center (or appropriate college department) and department of athletics prior to registration.
2. Registrar certification officer monitors 5<sup>th</sup> semester status of all student-athletes.
3. Change of degree plan must be made with approval of the associate director of athletics/student services/SWA and RCO.

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#### **Transfer Eligibility**

-Transfer eligibility rules are found in NCAA Bylaw 14.5.

-First, classify student-athlete as a transfer student to ensure appropriate rules are applied.

-A transfer student is generally an individual who transfers from a collegiate institution after having been enrolled in a minimum full time program of study and been present the first day of classes, attended a class while enrolled as a full-time student, participated in practice, competed in a sport or received institutional financial aid while attending a summer school, extension or night courses or if the student-athlete attended a branch school which does not offer intercollegiate athletics (see NCAA Bylaw 14.5.2).

-After classification as a transfer, an additional determination must be made depending on the nature of the institution from which the student-athlete is transferring.

-Rules vary depending on whether the student-athlete is transferring from a two-year college, four-year college or from a two-year college after having previously attended a four-year college (4-2-4).

-The general rule for all transfer students is that they must complete one full year of academic residence before being eligible to compete for the member institution.

-There are exceptions in each transfer category, which would allow the student-athlete to be immediately eligible. Situations for each transfer student are unique and must be examined on a case-by-case basis. (*Updated 2/2008*)

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#### **Drug Testing Consent Form**

-Each year student-athletes must consent to be tested for the use of drugs prohibited by NCAA legislation.

- a) Drug Testing Consent form administered to each sport (freshman/upperclassmen) prior to its initial sport practice.
- b) Athletic trainer will administer form electronically in cooperation with the compliance office and will verify completion during review of the Sam Houston State University medical information packet (*Updated November 2013*).
- c) Signed Drug Testing Consent forms will be maintained electronically on the compliance electronic forms system (*Updated 11/2013*).

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**Student-Athlete Statement**

-Prior to participation in intercollegiate competition each academic year, a student-athlete shall sign a statement in which the student-athlete submits information related to eligibility, recruitment, financial aid, amateur status, any previous positive drug tests, and involvement in organized intercollegiate or professional gambling activities.

- a) The Student-Athlete Statement form is administered to each sport (freshman/upperclassmen) prior to its initial outside competition.
- b) Compliance will review the student-athlete statement. A summary of the regulation is reviewed by the associate director of athletics/student services/SWA prior to the initial outside competition.
- c) Signed Student-Athlete Statements and Student-Athlete Affirmation of Eligibility form are filed with the sport squad list. Compliance will administer and maintain form electronically. (*Updated 11/2013*)

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**Squad Lists**

Preparation and Maintenance of Squad List

- a) The compliance officer is responsible for completion and maintenance of NCAA Squad Lists. Coaches must immediately inform Compliance of changes in their rosters including:
  1. Those who are no longer participating and the date and reason for the student athlete ceasing to participate.
  2. All new student athletes who must be in processed and approved to practice using the New Student Athlete Clearance to Practice process before participating in any countable athletically related activity (CARA).

- b) After new student athletes provide their information thru the above process, compliance officer inputs student into NCAA Compliance Assistant Software and all other electronic systems and provides associate director of athletics/student services/SWA with rosters including names of all squad members, NCAA ID numbers, and information relating to status of student-athlete (e.g. years of participation, years of financial aid, etc).
- c) The Asst AD/Finance will record all financial aid received by the student-athlete in the NCAA Compliance Assistant software.
- d) Associate AD/Finance receives financial aid report detailing additional aid received by a student-athlete. The Asst AD/finance, compliance officer and Financial Aid office will determine whether other aid received is countable/non-countable.
- e) The Asst AD/Finance will complete squad list calculation by using the current NCAA software. The squad list will then be forwarded to the Southland Conference office within one month of the end of the spring semester.
- f) Changes or updates are communicated between the Asst AD/Finance, Financial Aid office and the compliance officer. Copies of the final squad lists are kept in the academic offices.

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#### **Competition Record**

- a) Head coaches will submit to compliance a list of the team members who have competed. The compliance officer will complete the **Competition Record form**. [Form 1 - Competition Record](#) (Updated 1/2008)
- b) The compliance officer will have the appropriate personnel sign the form and enter the data into the NCAA Compliance Assistant software.
- c) The compliance officer will file the original competition record in the squad lists files kept in the academic offices.

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#### **Hardship Waiver**

- a) The compliance officer will complete any waiver application and coordinate information from the athletic trainer, head coach and the assistant director of athletics for media services.
- b) The compliance officer will forward to the Southland Conference office. Southland Conference rules require submission of the petition within 60 days of the completion of the season. (Updated 1/2012)

- c) Hardship waivers must meet the conditions listed under Bylaw 12.8.3 of the NCAA Manual. Any waiver requests that do not meet all of the conditions will not be approved by the Conference office. Any waivers submitted beyond the 60 day period must be reviewed by the SLC Compliance committee and reasonable rationale for the lateness must be presented.

- [Form 29 - Medical Hardship Waiver Petition](#)

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#### **Student-Athlete/ Agent Policy**

- This policy is required to comply with the laws of the state of Texas and NCAA Bylaw 12.
- The policies and procedures described provide specific guidelines to follow to ensure that SHSU protects the eligibility of its student-athletes and serves the needs of both agents and student-athletes.
- This policy is applicable to all student-athletes at Sam Houston State University and to all agents who want to interview SHSU student-athletes, in accordance with state law.
- Upon receipt of a written request from a registered athlete agent, the compliance coordinator shall provide a copy of the implementation standards adopted by SHSU relating to athlete agents.

#### Use of Agents

A. General Rule: An individual shall be ineligible for participation in an intercollegiate sport if he or she has ever agreed (orally or in writing) to be represented by an agent for the purpose of marketing his or her athletic ability or reputation in that sport. Further, an agency contract, not specifically limited in writing to a sport or particular sports, shall be deemed applicable to all sports, and the individual shall be ineligible to participate in any sport.

1. Representation for Future Negotiations: An individual shall be ineligible if he or she enters into a verbal or written agreement with an agent for representation in future professional sports negotiations that are to take place after the individual has completed his or her eligibility in that sport.
2. Benefits from Prospective Agents: An individual shall be ineligible if he or she (or his or her relatives or friends) accepts transportation or other benefits from any person who represents an individual in the marketing of his or her athletic ability. The receipt of such expenses constitutes compensation based on athletics skill and is an extra benefit not available to the student body in general.

B. Legal Counsel: Securing advice from a lawyer concerning a proposed professional sports contract shall not be considered contracting for representation by an agent unless the lawyer also represents the student-athlete in negotiations for such a contract.

\*\*Presence of a Lawyer at Negotiations: A lawyer may not be present during discussions of a contract offer with a professional organization or have any direct contact (i.e., in person, by telephone or by mail) with a professional sports organization on behalf of the student-athlete. A lawyer's presence during such discussions is considered representation by an agent.

C. Athletics Scholarship Agent: Any individual, agency or organization that represents a

prospective student-athlete for compensation in placing the prospect in a collegiate institution as a recipient of institutional financial aid shall be considered an agent or organization marketing the individual's athletic ability or reputation.

#### Student-Athlete/ Agent Interviews

-The Texas Athlete Agent Act regulates the relationship between an athlete and the party(s) who would act as an agent for the athlete.

-It requires that notice be given to the institution if such a relationship is formed between an athlete agent and an athlete.

-An athlete agent is required to register with the Secretary of State's office.

-A registered athlete agent may interview an athlete during an interview program to discuss:

(1) Financial services and advice offered by the athlete agent; and

(2) The athlete agent's representation of the athlete relating to marketing the athlete's athletic ability and reputation.

-All contacts and meetings with a student-athlete must be initiated through the compliance coordinator.

-Copies of written materials provided by an agent to a student-athlete must be sent to the compliance coordinator.

-The following standards comply with the Texas Athlete Agent Act and Sec. 2051.251 of the Occupations Code for a Texas Institution of Higher Education:

- 1) Interviews periods will be determined by the Compliance Coordinator for each academic year. Periods will be held between the dates of September 1 through May 15 and will not continue for more than 30 consecutive business days as determined by SHSU. All sponsored NCAA sports at Sam Houston State University are included. These sports consist of baseball, men's and women's basketball, women's bowling, football, men's and women's golf, women's soccer, softball, women's tennis, men's and women's cross country/track & field, and volleyball.
- 2) Each interview period will not exceed 30 consecutive business days and will be conducted during the off-season period before the completion of the athlete's final year of eligibility.
- 3) All interviews will be conducted at Bowers Stadium/ Mafrige Fieldhouse or another mutually agreed campus site.
- 4) Agents will request interviews with student-athletes through the compliance coordinator. Student-athletes are provided the names of those agents who have expressed a desire to interview with them. This information is forwarded to the student-athlete who may select the agent with whom he or she wishes to interview. The compliance coordinator will then schedule the interviews and provide both the student-athlete and agent with the date, time, and location of the interview. Telephone contacts are not allowed during the affected student-athlete's sport season (*Updated 4/2009*)

Questions should be directed to:

Curtis Collier, Compliance Coordinator  
 Sam Houston State University  
 Box 2268  
 Huntsville, TX 77341  
 Phone: 936-294-4440

Fax: 936-294-3538  
Email: [curtiscollier@shsu.edu](mailto:curtiscollier@shsu.edu)

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#### **Basketball Summer League Approval**

- A student-athlete in basketball may compete in a summer league under the regulations of Bylaw 17.31.2.
- Permission from the head coach and director of athletics must be made prior to participation in any basketball summer leagues.

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#### **Outside Competition**

- Bylaw 17.31.1 indicates by sport if a student-athlete may participate in outside competition either as an individual or on an outside team.
- If he or she desires to do so, they should contact their head coach, who will confer with the compliance officer to determine if the competition is allowable.
- NCAA rules limit the type of outside competition in which a student-athlete can participate as well as when this competition can take place.
- A student-athlete's eligibility can be affected if he or she competes in outside competition that is not allowable under NCAA rules and regulations. (*Updated 12/2014*)

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#### **Financial Aid Procedural Guidelines**

##### **Elements of Financial Aid**

- The administration of financial aid to student-athletes is an inter-department function involving interaction between an athletics administrator and a representative in the financial aid office. It is a very complex area of NCAA legislation and an area of compliance which must not be overlooked or de-emphasized by institutional administrators.
- The financial aid rules are designed to establish limits on the amount of aid an individual student-athlete may receive (individual limits) and an institution may award in a specific sport (sport limits). The primary reason for these limits is the establishment of a level playing field in intercollegiate athletics. Generally, the maximum amount of institutional financial aid a student-athlete may receive is a full grant-in-aid up to cost of attendance (COA) (*2/23/2015*)
- Restrictions on the amount and/or number of financial aid grants that institutions can award in each intercollegiate sport are set forth in NCAA Bylaw 15.5.
- Student-athlete are subject to individual limits and are not eligible to participate in intercollegiate athletics if the limits are exceeded (NCAA Bylaw 15.1).

- The only student-athletes not subject to these limits are those receiving no financial aid at all or those who were not recruited and receive no aid related to their athletics abilities.
- Two values accurately establish limits for student-athletes. A full grant-in-aid is the total cost of tuition and fees, room, and board and required course related books. The cost of attendance (COA) value also includes transportation and other expenses related to attendance at SHSU.
- Both of these amounts must be established by the institution for each student-athlete based on such factors as in-state or out-of state tuition and residence in on-campus or off-campus housing.
- NCAA Bylaw 15.01.6 states that an institution shall not award financial aid to a student-athlete that exceeds the cost of attendance that normally is incurred by students in comparable programs or the limits set by your institution's division.
- To apply these limits accurately all aid awarded to student-athletes must be processed through the financial aid office and an individual within that office should be responsible for determining its status.

-Equivalencies are calculated by establishing the cost of a full grant-in-aid as the denominator and the amount of all countable aid received by the student-athlete as the numerator and then adding the sum of all percentages for each student-athlete.

-Athletic grants-in-aid may exceed one year in duration. An athletic grant-in-aid may also not be awarded for a period of less than one academic year unless allowable under 15.3.3.1.1.

-Athletic grants-in-aid may be awarded for any duration, from a period of one year up to five years, not to exceed the student-athlete's fifth year of eligibility. *(Updated 1/2012)*

-An institution must advise a student-athlete in writing prior to July 1 after the expiration of the term of aid as to whether the student-athlete's athletic grant will be renewed for the upcoming academic year.

-If not renewed or reduced, a student-athlete must be afforded the opportunity to appeal the decision to the non-athletic body making the award.

-There are also situations where a student-athlete's aid may be cancelled or graded during the period of the award. Please see NCAA Bylaw 15.3 for a detailed analysis of the terms and conditions of awarding institutional financial aid to student-athletes.

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### **Procedures**

#### A. Determination of Financial Aid Budget

1. Financial aid office determines institutional cost of attendance.
2. Associate AD/Finance and Asst. AD/Finance calculate cost of a full department of athletics grant-in-aid based upon institutional cost and figures.
3. Associate AD/Finance in consultation with director of athletics establishes financial aid budgets for respective sports.

4. Coaches determine amount of financial aid to be expended to returning student-athletes and prospective student-athletes in their respective sports.

#### B. Eligibility for Financial Aid

1. Asst AD/Finance and Compliance officer review the eligibility of student-athlete to receive institutional financial aid (e.g. Athletic aid, and for no more than 5 yr. full time enrollment, partial/non qualifier, ineligible transfer).
2. Compliance officer in conjunction with Associate AD/Finance, Asst AD/Finance, and Financial Aid office monitors eligibility of student-athlete to receive financial aid. Athletic aid is only released for those that meet the applicable eligibility requirements.

#### C. Initial Awarding of Financial Aid

1. Head coach submits list of recommendations of initial awards (e.g., full grant-in-aid,  $\frac{1}{2}$ ,  $\frac{3}{4}$ , \$ amount, etc.) to the Asst AD/Finance for preparation of award letter.
2. The compliance officer will review initial eligibility (e.g., qualifier, transfer status, registration with EC) and monitor total number of grants available for awards.
3. The compliance officer and the Associate AD/Finance review award letters with the director of athletics. The director of athletics signs award letter and forwards to Financial Aid office. Director of financial aid signs award letter and copies are kept in the Financial Aid office. Award letters are returned to the Asst AD/Finance who then forwards to respective coaches for delivery or mailing to prospective student-athletes. (Financial aid policies are included on the back of award letter.) Prospective student-athlete returns 1 copy of signed award letter and the National Letter of Intent to coach, Asst AD/Finance, or the compliance officer. Copies of signed NLIs and grants-in-aid are forwarded by Asst AD/Finance to the Southland Conference office within fourteen (14) days of the date it was signed. Copies of the signed paperwork are kept in the athletic offices. (*Updated 3/2015*)

#### D. Award of Financial Aid Renewals

1. Head coach submits a list of renewals including recommended terms of award to the Asst AD/Finance no later than June 15th. Notification must be made on or before July 1<sup>st</sup> of each year. (*Updated 4/2016*)
2. Asst AD/Finance submits renewals to the Associate AD/Finance for review. Letters are then submitted to the director of athletics for signature. Paperwork is then sent to the financial aid office for the director of financial aid's signature. Copies of grant-in-aid offers are kept on file in the Financial Aid office. Renewal letters are then returned and forwarded to each head coach. Student-athletes are responsible for

returning their renewal letters to the Asst AD/Finance within the designated time indicated on the award letter. *(Updated 3/2015)*

3. The Asst AD/Finance completes the Scholarship Disbursement Requests for the student-athletes who will be receiving athletic aid and forwards to the Financial Aid office. Student-athletes are then entered into the SHSU financial aid program so athletic aid can be applied. Copies of signed grants-in-aid are filed in the athletic offices. *(Updated 12/2011)*

#### E. Non-Renewal or Reduction Award

1. Head coach submits lists of non-renewals or reductions in financial aid to the administrative coordinator/finance no later than June 15<sup>th</sup>. Non-renewal and reduction requests must be turned in with a letter of justification. The Asst AD/Finance prepares letters of notification. Notification must be made on or before July 1<sup>st</sup> of each year. *(Updated 4/2016)*
2. The compliance officer and the Associate AD/Finance review non-renewal or reduction of financial aid awards with director of athletics. Letters are initialed by the director of athletes and signed by the director of financial aid. Letters must include special policies and procedures relative to student-athlete's right to appeal before the institution's regular financial aid committee. Student-athletes are responsible for returning their appeal requests to the Financial Aid Office within the designated time indicated on the award letter. *(Updated 1/2012)*
3. Instructions for appeal are included in the notification letter. Student-athletes desiring an appeal hearing will be notified by the director of financial aid in writing of the scheduled time of the appeal meeting. The appeals committee will hear the appeal and render decisions consistent with institutional policy.

#### F. Cancellation/Gradation of Aid during the term

1. Head coaches meet with compliance officer to decide cancellation/gradation of aid for student-athlete.
2. The compliance officer ensures that the cancellation/gradation of aid are only for those reasons stipulated by NCAA Bylaw 15.3.4.
3. Head coach is required to meet with affected student-athlete concerning cancellation/gradation of aid.
4. The Asst AD/Finance is advised of cancellation/gradation and prepares letter to student-athlete that includes special policies and procedures relating to student-athletes right to appeal before the institutions regular financial aid committee. Letter is signed by director of financial aid and then sent to student.

5. Review of letter, information to financial aid and notification of hearing will parallel non-renewal/reduction procedures.

G. Nonrenewal/Reduction/Cancellation/Gradation of Aid Appeal Policy (*Updated 8/2011*)

1. Head coach who made nonrenewal/reduction/cancellation/gradation of aid decision must appear in person or by teleconference before the financial aid committee hearing.
2. Athletic department staff members, appealing student athletes and parents should have no discussions about each case outside the appeal hearing with members of the financial aid committee hearing body.
3. Prior to each hearing, the individuals on the financial aid committee that are to hear each case should be known only to those financial and athletic compliance personnel administratively responsible for arranging the hearing.
4. The director of financial aid has the authority to appoint appeal hearing committee members and may conduct each appeal hearing according to that department's policies.
5. The Athletics Compliance Officer will be a standing, non-voting member of the athletic financial aid appeals committees that are appointed by the director of financial aid.

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**Scholarship Policy**

- Tuition & fees based on 16 hours, room listed as dollar amount or service, board on-or off-campus listed as dollar amount or service and books.
  - Only full scholarship student-athletes may be awarded books.
  - Courses that must be repeated for the third time will not be paid by the department of athletics.
- (*Updated 2/2008*)

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**Summer School Policy**

- Summer aid may be awarded only if funding is available and with the approval of the director of athletics based upon recommendation of the head coach, associate director of athletics/student services/SWA, and Athletic Finance office.

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## **5<sup>th</sup> Year and Degree Completion Policy**

Fifth-year and degree completion aid may be awarded if funding is available and with the approval of the director of athletics based upon the recommendation of the head coach, associate director of athletics/student services/SWA, and Athletic Finance office. *(Updated 3/2015)*

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## **Student-Athlete Employment**

- All student-athlete employment is exempt from the grant-in-aid and institutional limitations, but this employment must be within the guidelines of NCAA Bylaws 12.4 and 15.2.7.
- All student-athletes must have approval from respective head coach and the compliance officer to be employed.
- Student-athletes holding jobs must provide an electronically completed employment form to the compliance officer for each separate employment ([see the ACS system forms library](#)).
- The compliance office will attempt to verify with employers the information on at least 10% of the student athlete forms each academic year.
- Student athletes must also inform the compliance department whenever they gain employment by completing and submitting the proper forms. *(Updated October 2014)*

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