



# COMPLIANCE MANUAL

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## **TAMIU COMPLIANCE OFFICE MISSION STATEMENT**

The Texas A&M International University Intercollegiate Athletics program exists for the sake of the student-athlete for their growth and development to prepare student athletes for leadership roles in an increasing complex, culturally diverse state, national, and global society. Intercollegiate athletics, operating under the principles of fair play, sportsmanship, NCAA Compliance and amateurism, provide equal opportunity for talented students to participate in a nationally competitive sports program that is values-based and educationally sound.

### **Compliance Committee**

The objective of the Compliance Committee is to evaluate current athletics programs to determine and assure the highest levels of compliance and record keeping. This includes identify, investigate, and report, as necessary, any and all NCAA and Heartland Conference rules violations as well as providing reports detailing varying areas and levels of compliance to the Athletic Director, Faculty Athletic Representative, the President, and other institutional officials as necessary. The Compliance Committee is comprised of the following campus individuals:

1. Faculty Athletics Representative Dr. Randel Brown (chair)
2. Athletic Director, Gilbert, Zimmerman
3. Director of Athletics Compliance, Henry Miller
4. Registrar, Juan G. Garcia
5. Associate Registrar, Rene Prado
6. Coordinator of Compliance (Registrar's Office), Mirian Granados
7. Director of Financial Aid, Laura Elizondo
8. Coordinator of Compliance (Financial Aid), Veronica Garcia
9. Director of Recruitment, Shabie Fisher
10. Director of Admissions, Rosie Dickinson
11. Associate Director of Admissions, Guillermo Gonzalez
12. Head Athletic Trainer, Ernst Feisner
13. TAMIU Police Captain, Sergio Moreno
14. Associate Vice President of Student Affairs, Jerry Alva
15. Director of Student Conduct and Community Engagement, Mayra Hernandez
16. Associate Director of Athletics Compliance, Jim Bonnette
17. Director of the Advising and Mentoring Center, Dr. Kristen, Standage
18. Athletics Academic Coordinator, Melinda Elizondo
19. Title IX Coordinator, Sandra Pena
20. SWA Associate Director of Athletics, Rocio Garcia
21. Faculty Athletics Representative Loraine Dinkel

## **Individual Compliance Responsibilities**

### **Director of Athletics**

The Athletic Director ensures full compliance with NCAA, Heartland Conference, and Texas A&M International University regulations and is responsible for the integrity of the athletics program. Specific responsibilities include:

- 1) Provides letter addressing NCAA rules to National Letter of Intent signees
- 2) Presents NCAA rules in athletic department publications
- 3) Explains Certification of Compliance Form at full staff meeting in the fall
- 4) Meets with board officers of booster organizations to review NCAA rules
- 5) Reviews contest schedules where applicable
- 6) Selects administrators and coaches with integrity and history of rules compliance
- 7) Evaluates potential NCAA rule violations
- 8) Declares student-athletes who violate NCAA rules ineligible
- 9) Establishes commitment to rules compliance
- 10) Manifests commitment to student-athletes
- 11) Establishes organizational lines of authority with oversight and accountability
- 12) Maintains ongoing evaluations of staff members' commitments to compliance
- 13) Supports a comprehensive rules education program
- 14) Generates and promotes legislative proposals

### **Director of Compliance**

The objective of the Athletic Compliance office is to monitor the university's programs and events to assist with assuring compliance with all applicable NCAA and Heartland Conference rules. The Director and Associate Director of Athletics Compliance reports directly to the Institutional Compliance Director, and work on a daily basis with the other department administrators and Faculty Athletic Representative. The Athletic Compliance Office is responsible for assuring the successful day-to-day operation of all aspects of the athletics program within the rules and regulations of the NCAA, the Heartland Conference, the State of Texas, federal guidelines and other regulatory agencies to which the athletics department and the institution are responsible. Specific responsibilities include;

1. Reviewing declaration of playing and practice season and schedule of contests submitted by coaches
2. Reviewing all student-athlete compliance forms (NCAA and Institutional Drug Test Consent Form, Student-Athlete Statement, etc.)
3. Coordinating the education of student-athletes, coaches, and college personnel with regard to NCAA, conference, and institutional rules

4. Coordinate, prepare, and maintaining NCAA squad lists
5. Department liaison with the NCAA Eligibility Center
6. Receiving final Eligibility Center decisions, placing the decisions in students' admission files and notifying the athletics department when a final decision is rendered
7. Overseeing student-athlete initial eligibility and communicating status to coaches, registrar's office, financial aid office, Faculty Athletic Representative, and Director of Athletics
8. Coordinating institutional effort to determine student-athletes' continuing eligibility
9. Reviewing and auditing off-campus contact and evaluation requests
10. Reviewing academic transcripts and test scores to approve official visits
11. Monitoring the number of official visits provided in all sports
12. Interpreting NCAA rules for coaches and staff
13. Securing release for potential transfer students and facilitating release of student-athletes seeking a transfer
14. Reviewing and filing monthly practice/competition logs
15. Maintaining participation records and determining seasons of competition utilized by student-athletes
16. Identifying potential NCAA rules violations and reporting them to the Director of Athletics and Faculty Athletic Representative
17. Assisting in investigations of reported secondary NCAA rule violations
18. Coordinating the National Letter of Intent program for athletes
19. Coordinating process of initial and annual renewal/non-renewal of athletic grants-in-aid with financial aid
20. Coordinating all conference and NCAA appeals
21. Serving as advisor to the Student-Athlete Advisory Committee
22. Monitoring compliance with Bylaws 13.7.5.2 and 16.2 regarding complimentary admissions
23. Meet monthly with institution president
24. Monitor of logos on all sports uniform and practice gear.

### **Admissions Office**

The individual(s) assigned the duty of processing admissions recommendations for student-athletes is/are responsible for admitting student-athletes within the university's and NCAA's rules and regulations.

Specifically the Admissions Office liaison must assume the following responsibilities:

1. Facilitating the admissions process for prospective student-athletes
2. Meeting with all prospective student-athletes and transfer student-athletes who visit officially as per Athletic Compliance Office approval and unofficially upon coach requests
3. Assisting with educating prospective student-athletes and members of the Admissions office staff about the NCAA Initial Eligibility Clearinghouse, referring prospective student-athletes to TAMIU web link to NCAA
4. Providing coaches annually with information about admissions events per NCAA legislation.

### **Athletic Training**

These individuals are responsible for awareness of the NCAA drug testing program and medical and rehabilitation services, as well as contributing to educating student-athletes in these areas.

The sports medicine staff is responsible for the following:

1. Monitoring compliance with Bylaw 14.2.5 regarding documentation for medical hardship waivers
2. Student-athlete and coaches' rules education regarding use of banned substances and drug testing
3. Student-athlete and coaches' rules education regarding NCAA and institutional insurance programs
4. Supervising and monitoring ineligibility for the use of banned drugs with Bylaw 31.2.3-31.2.3.5
5. Assisting in compliance with Bylaw 17.1.6.1 and 17.1.6.2 regarding daily and weekly hour limitations
6. Reporting any revisions, additions, or cancellations of practices and/or games

### **Faculty Athletics Representative (FAR)**

This individual is responsible for serving as liaison between the TAMIU Athletic Department and the faculty and administration.

The FAR is appointed by the President and reports directly to the President.

The FAR is one of five individuals authorized to make contact with the NCAA membership services staff, in accordance with NCAA Constitution 5.4.1.2.1.1.1 the FAR has a number of legislated responsibilities:

1. The FAR or President is required to sign requests for waivers of initial-eligibility requirements, NCAA Bylaw 14.3.1.5.
2. Any appeal to restore the eligibility of a student-athlete must be submitted in the name of the institution by the FAR, President, or AD, NCAA Bylaw 14.12
3. The FAR, President, SWA, and AD must sign institutional appeals to the Student-Athlete Reinstatement Committee, NCAA Bylaw 14.12.2
4. The FAR must be made aware of any institutional request for a waiver of division membership requirements, NCAA Bylaws 20.3.2.3 and 20.10

5. The FAR is included in notifications from the NCAA that an official inquiry is being initiated to determine whether rules violations have occurred, NCAA Bylaw 32.5.1.
6. Athletic Certifying Officer for the institution and as such certifying the academic and overall eligibility of each student-athlete each semester
7. Enforcement and Appeals Process
8. Athletics Certification –Institutional Self-Study
9. Oversight for Athletics Program
10. Upholding academic integrity and student-athlete welfare
11. Monitoring prospects' academic credentials, academic progress of continuing students, and graduation rates for student-athletes
12. Ensuring that academic services are available to student-athletes
13. Active involvement with institutional student-athlete advisory committee
14. Overseeing student-athlete exit surveys and interviews in all varsity sports
15. Involvement in all NCAA Waivers and secondary NCAA violations
16. Assisting in the education for athletics for student-athletes, coaches, and staff
17. Overseeing NCAA Coaches' Certification
18. Serving as advisor to the student-athlete advisory committee
19. Member of the Athletics Committee
20. Representing TAMIU at the yearly NCAA Convention, Regional Rules Compliance Seminars, and Heartland Conference meetings.

### **Office of Financial Aid**

The individual(s) assigned the duty of awarding athletically related financial aid is/are responsible for monitoring all athletics aid, institutional aid, and outside aid awarded. This individual also inputs all financial data into Compliance Assistant Internet.

The Office of Financial Aid liaison must assume the following responsibilities:

1. Determining the institution's cost-of-attendance
2. Determining countable financial aid per NCAA regulations
3. Entering all financial aid information into CAI for the NCAA squad lists
4. Assisting the Associate Director of Compliance in monitoring for compliance with NCAA rules equivalency financial aid limits

5. Assisting the coaches and Associate Director of Compliance in processing the initial and annual renewal / non-renewal of athletic grants-in-aid
6. Awarding all financial aid for the institution, including athletic grants-in-aid, institutional grants, and all other aid
7. Assisting coaches with packaging financial aid for prospective student-athletes and transfer student-athletes; completing financial aid estimated packages upon request of the Associate Director of Compliance
8. Assisting the Associate Director of Compliance and monitoring NCAA Bylaws 15.02.3.
9. Serving on the Compliance Committee

### **Head/Assistant Coaches**

These individuals are responsible for knowledge and implementation of NCAA rules and regulations, in the areas of amateurism, eligibility, recruiting, financial aid, playing and practice seasons, and awards and benefits. Coaches are expected to fully cooperate and participate in compliance related policies and procedures, within University and NCAA guidelines.

Coach's responsibilities include:

1. Attend and participate in monthly education meetings
2. Review NCAA rules with student-athletes when necessary and reinforce the importance of compliance
3. Facilitate the provision of all information necessary to determine prospective student-athlete eligibility
4. Complete and submit off-campus contact and evaluation request forms
5. Complete and submit all required forms that monitor the permissible number of contacts and evaluations utilized
6. Provide complete and accurate expense reports to Associate Director of Compliance who will review, approve, and forward to Business Office
7. Provide complete and accurate required information for all official visits
8. Declare playing and practice season to the Athletic Director for review and approval
9. Ensure sport's compliance with NCAA rules related to playing and practice seasons including monthly athletic related activity and recruiting logs
10. Responsible for the actions of all assistant coaches and staff and the sport's compliance with NCAA rules
11. In cooperation with the Athletic Director, monitor the scheduling process, verifying that the schedule meets NCAA and conference scheduling requirements
12. Educate student-athletes of NCAA regulations regarding reporting of employment earnings
13. Annually pass the NCAA Recruiting Exam before recruiting off-campus
14. Initiate the renewal and non-renewal of athletically related financial aid process



15. Annually declare and receive approval from the Director of Athletics and President for athletically related income
16. Ensure compliance with Bylaw 12.5.4 regarding uniform logos
17. Ensure compliance with Bylaws 13.7.2.1 and 16.2 regarding complimentary tickets
18. Ensure compliance with Bylaw 13.12 regarding summer camps

### **Registrar's Office**

The Coordinator of Compliance in the Registrar's Office is assigned the duty of verifying the six credit hour requirement, progress towards degree, GPA requirements, full-time status, and declaration of major, and for reviewing the overall eligibility rosters for all teams.

The Registrar's Office must assume responsibilities for the following:

1. Assisting the Director of Athletic Compliance and FAR in the process of determining continuing eligibility for returning student-athletes
2. Assisting the Director of Athletic Compliance and FAR in the process of monitoring full-time enrollment
3. Inputting credits, GPA, and designation of degree into CAI
4. Monitoring designation of academic degrees
5. Assisting the Director of Athletic Compliance and FAR in the process of monitoring satisfactory progress and good academic standing
6. Evaluating and determining all transfer credits accepted by the institution
7. Inputting all transfer institutions and transfer credits into CAI
8. Serving on the Compliance Committee

### **Senior Women's Administrator**

This position reports directly to the Director of Athletics, in their absence, this position reports to the Associate Director of Athletics.

Essential Responsibilities:

1. Serves as a member of the athletic management team.
2. Help determine and manager athletics department strategic plan and compliance with Title IX.
3. Monitor commitment to diversity of the athletics department staff and student-athletes.

## Rules Education

Rules education is a critical part of the compliance program at Texas A&M International University. Education and knowledge of university and NCAA rules are the first step in maintaining compliance and upholding the integrity of the university. Although coaches and staff are not expected to know every NCAA rule, they are expected to know the basic rules, to use the NCAA Manual as a reference point, and to ask for interpretations before acting when the rules or situation seems unclear. The rules education program is intended to prepare coaches and staff to identify areas where compliance problems may exist and to identify infractions, should they occur.

The rules education program is also intended to inform coaches and staff of proposals and changes to NCAA rules throughout the legislative process. In addition, the Compliance Coordinator will seek input from coaches and staff regarding legislation that relates to their specific sport or area.

### Head Coaches & Full-Time Assistant Coaches

1. The Director and Associate Director of Compliance have the primary responsibility for educating coaches.
2. The Director and Associate Director of Compliance will schedule and conduct rules education meetings throughout the year as follows:
  - a. A group compliance meeting will be held at the beginning of the academic year to cover new legislation and procedures for the upcoming year.
  - b. During the academic year, the Director and Associate Director of Athletic Compliance will conduct weekly rules education sessions (via email or group sessions). **All coaches are required to attend the meetings.** If unable to attend, the coach is responsible for scheduling a review with the Associate the Athletic Compliance office.
  - c. Interpretations of legislation and “hot topics” as defined by the NCAA will be distributed via email to coaches, as necessary.
  - d. All coaches will be given the following:
    - i. *Compliance Manual*;
    - ii. *NCAA Manual*;
    - iii. *TAMU Student-Athlete Handbook*
3. Coaches’ test:
  - a. Coaches are to schedule their individual tests with the FAR.

### Other Coaches

1. Head coaches are responsible for the education of their staff.
2. The Athletic Compliance office is responsible for providing written educational materials, as needed.
3. All coaches and support staff are required to attend the weekly coaches’ meetings to keep updated on rules education.
4. All assistant coaches will be provided with a *Compliance Manual* and *NCAA Manual*, as appropriate.

## **Staff Members**

1. Athletic Compliance is primarily responsible for the education of staff members.
2. Athletic Compliance is primarily responsible for the education of new staff as soon as an individual has accepted a position at TAMIU even though the person may not “officially” start work immediately. This will ensure the new employee does not engage in activities that are not permissible. PLEASE NOTE: Once an individual accepts employment that person becomes an agent of the institution.
3. Staff members are required to attend the departmental compliance meeting to be scheduled at the beginning of each academic year. This meeting will review appropriate legislation and newly adopted legislation for the upcoming year.
4. Athletic Compliance is responsible for distributing educational materials to staff members, as needed.
5. Athletic Compliance will provide a *Compliance Manual* and a *NCAA Manual* to all staff members, as appropriate.

## **Compliance Committee**

1. The Director of Athletic Compliance is responsible for educating the members of the Compliance Committee.
2. The Compliance Committee will meet once per semester to discuss NCAA rules and compliance policies and procedures for TAMIU.
3. The Compliance Committee will annually evaluate the comprehensive compliance program, and manual to make necessary changes to be implemented as soon as possible.
4. The Compliance Committee is ultimately responsible for the effectiveness and efficiency of the overall compliance program.

## **Student-Athletes**

1. The Athletic Compliance office and head coaches are responsible for educating student-athletes.
2. The Athletic Compliance office will conduct a rules education meeting at the beginning of the academic year with each team. This meeting will review important NCAA and TAMIU regulations, including the Summary of NCAA Regulations, Academic Eligibility Rules, Financial Aid, Code of Conduct, Amateurism Guidelines, and Playing and Practice Seasons. This meeting will also cover the administration of NCAA and TAMIU Eligibility Paperwork, NCAA Drug Consent Forms, Buckley Amendment Forms, HIPAA Forms, and the Student-Athlete Statement.
3. The Director and Associate Director of Compliance serve as liaison to the Student-Athlete Advisory Committee and will attend each SAAC meeting, scheduled for once every month. The Director of Compliance is responsible for providing a rules education segment for each meeting to be distributed to each team by the SAAC members.

4. The head coach and Director of Compliance are responsible for providing student-athletes with written materials regarding relevant rules and interpretations.

### **Boosters**

1. The Director of Compliance is primarily responsible for educating boosters.
2. Information for faculty, staff, boosters, alumni, and fans will be published on the TAMIU Athletics website, distributed to boosters, and available in hard copy format.
3. The Director of Compliance will communicate periodically with the booster club to discuss relevant legislation and their involvement with TAMIU Athletics.

### **Prospective Student-Athletes**

1. The Director of Athletic Compliance is responsible for providing *NCAA Banned Substances and Nutritional Substances List, and Freshmen Requirements* to prospective student-athletes at the first available opportunity, but no later than an official visit.

## **Interpretation Process**

The interpretation process is essential for compliance with NCAA legislation. In many cases, the NCAA Manual does not provide a definitive answer to questions, and an interpretation is required. It is the responsibility of all coaches and staff to seek an accurate interpretation before acting. The procedures for interpretation of NCAA rules are designed to provide accurate and timely answers to questions as they arise for all those involved with TAMIU Athletics.

### **Procedures**

1. All coaches and staff members must direct rule and interpretation questions to the Director of Compliance.
2. Coaches can submit their requests via email. If a question is discussed verbally, the Director of Athletic Compliance will ask the coach to follow up the discussion with an email regarding the question.
3. If the Director of Athletic Compliance cannot provide an accurate interpretation, the question will be forwarded to the Heartland Conference office and/or NCAA Membership Services staff.
4. Once an official interpretation has been received, the Director of Athletic Compliance will contact the individual who requested the interpretation and/or send a written response. If relevant, the interpretation will be disseminated to all coaches and staff.

# Compliance Procedures

The following sections will outline the Athletic Compliance procedures for all coaches and staff to adhere to in the areas of recruiting, complimentary admissions, eligibility, financial aid, admissions, playing and practice season, camps/clinics, National Letter of Intent, and awards and benefits.

## Recruiting

1. **Policy** – Monitoring the recruitment of prospective student-athletes is the responsibility of the head coach and the Director of Compliance. The Director of Athletic Compliance will conduct monthly checks of recruiting documentation. Such documentation must be kept on file for seven years.

Representatives of an institution's athletics interests (as defined in Bylaw 13.02.12) are prohibited from making in-person, off-campus recruiting contacts or telephone calls with a prospective student-athlete or the prospective student-athlete's relatives or legal guardians. On-campus contact is permitted, as are written communications. Recruiting contacts by representatives during a prospective student-athlete's official visit are confined to campus and may not extend to the 30-mile radius permitted institutional staff members (see Bylaw 13.6.5).

2. **Documentation** – Head coaches or designees are responsible for documenting their recruiting activities as follows:
  - a. **Telephone Log** – Not required
  - b. **Contacts and Evaluations** – All contacts and evaluations must be logged in CAI. The log must include the date, location, nature of the contact or evaluation, and contact with whom.
  - c. **Unofficial Visits** – An **Unofficial Visit Form** (Form #1) must be submitted to the Director of Compliance for all unofficial visits. The Director of Athletic Compliance will keep a log of all unofficial visits.
  - d. **Official Visits** –
    - i. **Pre-Visit Procedures** – Head coaches or a designee must submit an **Official Visit Pre-Approval and Summary Form** (Form #2), itinerary, transcripts and PSAT, SAT, or ACT scores to the Director of Athletic Compliance at least one week prior to the visit to obtain approval. It is the responsibility of the coaching staff to ensure that the prospect has registered with the NCAA Initial Eligibility Clearinghouse upon recruitment and prior to an official visit.
    - ii. **Student Host Instructions** – Prior to an official visit, the head coach must review the Student Host Instructions with each student-athlete who will be serving as a host. The head coach and the student host will sign the **Student Host Form** (Form #3), indicating review of the instructions, and receipt of any student host entertainment money and review of the Official Visit Policy prior to the visit. After the visit, the head coach and student host will indicate how much of entertainment money was spent each day and any amount being returned to the coach. After the official visit the head coach or designee must return the **Student Host Form** to the Associate Director of Athletic Compliance. This information must be sent to the Director of Athletic Compliance on the **Official Visit Pre-Approval and Summary Form** which must be signed by the head coach.

- iii. **Reimbursement Process** – After the visit, the head coach or designee must submit the **Reimbursement Form** (Form #4) along with appropriate receipts to the Director of Athletic Compliance and staff accountant before a reimbursement will be given.
  - iv. **Post-Visit Procedures** – After the visit, the head coach or designee must submit a signed and completed **Official Visit Pre-Approval and Summary Form** and **Official Visit Declaration Form** (Form #5) signed by the prospective student-athlete within 3 days of the Official Visit.
  - v. **On-Campus Visit**– Documentation of all official visits is on file in the Compliance Office.
- e. **Student Host Regulations- For Official Visits Only** - The following are required for a student or student-athlete to act as a student host:
- i. The student or student-athlete must be enrolled full-time.
  - ii. Only one student host may be provided a free meal if attending a restaurant.
  - iii. The student host shall only receive money to entertain the prospect, the prospect’s parents or spouse, and the student host or any staff member accompanying the prospect.
  - iv. A maximum of \$30.00 per day will be provided to cover all entertainment expenses. An additional \$15.00 per day may be provided for each additional prospect being hosted by one student-athlete.
  - v. A student host may not purchase alcoholic beverages regardless of whether the host or the prospects are of legal drinking age.
  - vi. No cash may be given to the visiting prospect.
  - vii. A student host may not use entertainment funds to purchase gifts for the prospect.
  - viii. A student host may not use transportation provided or arranged by a TAMIU staff member or booster of the athletics program.
  - ix. A student host may not transport the prospect or friends/family more than **10 miles** from campus per TAMIU policy.
  - x. A student host should not allow recruiting conversations to occur, on or off campus, between a prospect and a booster.
  - xi. A student host may receive complimentary admission when accompanying a prospect to an on campus athletics event.
  - xii. A student host will be responsible for turning in any and all receipts on the day after the visit.
- f. **Transfer Students** –
- i. **Four-Year College Transfer**: A written release must be obtained from the current institution’s Director of Athletics for all four-year college transfers. A **Four-Year College Transfer Form** (Form #6) must be obtained prior to contact with the prospective student-athletes from other institutions.
  - ii. **From TAMIU**: The Director of Athletic Compliance will solicit a release at the request of the TAMIU student-athlete requesting the transfer. The Director of Athletics will confer with the TAMIU coach regarding the reason for the transfer and if he/she agrees to the release the student-athlete.
  - iii. **Two-Year College Transfer**: The **Two-Year College Transfer Form** (Form #7) will be completed by the Director of Athletic Compliance who will send out the transfer information request at the request of the coach.

- iv. Processing forms: Upon receipt of the transfer release/information request, the Director of Athletic Compliance will provide a copy of the response to the head coach.
  - v. The head coach or designee is responsible for submitting transcripts to the Director of Athletic Compliance at the first available opportunity to evaluate transfer eligibility for four-year and two-year college transfers. See Admissions and Eligibility sections for further information regarding transfers.
- g. **Recruit Identification**– The head coach is responsible for inputting all recruits in CAI for any prospect receiving an official visit, a National Letter of Intent, a Financial Aid Agreement, any prospect seeking an admissions evaluation, and all freshmen or transfer student-athletes. Head coaches are also responsible for submitting recruits' names and DOB to the Director of Athletic Compliance so that they can be added to the institution's IRL list.

### 3. Recruiting Activity

- a. **Approval** – Every coach is responsible for submitting a **Recruiting Trip Record Form** (Form #8) to the Director of Athletic Compliance for approval at least 48 hours prior to departure. If the request is approved. It is the responsibility of the head coaches to monitor recruiting calendar dates respective to their sports. The Director of Athletic Compliance will notify coaches of important recruiting dates as necessary. It is the responsibility of the head coach to monitor the number of recruiter's off-campus at one time.

## Complimentary Admissions

1. **Policy** - Complimentary Admissions (if appropriate) to TAMIU Athletics Events shall be monitored by the Director of Athletic Compliance

2. **Documentation**

- a. **Student-Athletes** – Enrolled student-athletes in sports which charge admissions are eligible for a maximum of **four complimentary admissions** to a home athletics event through a pass list only. The head coach is responsible for submitting the complimentary pass list to the Associate Athletic Director's office at least 2 hours prior to the athletic event. Individuals receiving a complimentary admission to an athletic event are required to sign the pass list in order to receive admission to the event. The Pass List will be submitted to the Director or Associate Director of Compliance for review post-event.
- b. **Prospective Student-Athletes** – Per Bylaws 13.6.6.2 and 13.7.2.1, prospective student-athletes on an official or unofficial visit may receive a maximum of **three complimentary admissions** to a home athletics event through a pass list only. Complimentary Admissions are only permissible for the prospective student-athlete and those persons accompanying the prospect on the official/unofficial visit on a single game basis. It is the responsibility of the head coach or designee to indicate on the Official/Unofficial Request Form the number of complimentary admissions. The head coach or designee is also responsible for informing the Director of Athletic Compliance of the complimentary admissions to be included on the **Prospective Student-Athlete Pass List** (Form #9). The prospective student-athlete and those accompanying the prospect are required to sign the pass list to receive admission to the event. The pass list will be submitted to the Associate Director of Compliance for review post-event.
- c. **High School, Preparatory School, and Two-Year College**

**Coaches** – Per Bylaw 13.8.1 high school, preparatory school and two-year college coaches may receive a maximum of **two complimentary admissions** to a home athletics event through a pass list only. Additional tickets may not be reserved for the purpose of purchase by the high school, preparatory school, or two-year college coach. The head coach or designee is responsible for informing the Director of Athletic Compliance of the complimentary admissions to be included on the pass list. The coach is required to sign the pass list to receive admission to the event. The pass list will be submitted to the Director of Athletic Compliance for review post-event.

## Eligibility

1. **Policy** - Monitoring the eligibility of student-athletes is the responsibility of the head coach, Director of Athletic Compliance, Faculty Athletic Representative (Certifying Officer), and the Registrar's Office. If a student-athlete has been declared ineligible or has not yet been declared eligible, it is the responsibility of the head coach to prohibit that student-athlete from practicing and competing until notified by the Director of Athletic Compliance. The Director of Athletic Compliance will serve as liaison to the NCAA Eligibility Center.
2. **Full Time Enrollment** (NCAA Bylaw 14.1.7) all student-athletes must be enrolled in at least 12 semester hours in order to practice and compete. Each student's record will be "flagged" so that daily monitoring of full time enrollment can be evaluated. Those student-athletes who want to drop a class must have a **Class Withdrawal Form** (Form #10) signed by the head coach, Associate Director of Compliance, and Registrar's Office to ensure continuing full-time enrollment.
3. **Initial Eligibility** - The Director of Athletic Compliance will serve as liaison to the NCAA Eligibility Center. The Director of Athletic Compliance will review preliminary certifications on a weekly basis to determine initial eligibility for all freshman student-athletes through the NCAA Eligibility Center and give updates to all head coaches. It is the responsibility of the Director of Athletic Compliance to receive the final certifications from the NCAA Eligibility Center. The Director of Athletic Compliance will notify the head coach, Director of Athletics, FAR, Registrar's Office, Financial Aid and Admissions Office of the initial-eligibility certification status for all student-athletes. Initial eligibility information must be kept by the Director of Athletic Compliance in the student-athletes' files throughout their participation at Texas A&M International University.
  - a. **Freshman Student-Athletes** –It is the responsibility of the head coach or designee to inform all prospects about the NCAA Eligibility Center upon recruitment. Each prospect must complete and submit the Student Release Form along with the appropriate fee, which may be done by mail or on-line. Each prospect should then submit a copy of the Student Release Form to her/his high school guidance department and request her/his official transcripts and test scores be sent to the Eligibility Center. If a prospect has attended more than one high school, an official transcript from each school must be sent to the Eligibility Center for an evaluation. Test scores must be submitted directly to the Eligibility Center from the testing agency. The head coach is responsible for submitting names and social security numbers to the Director of Athletic Compliance; the Director of Athletic Compliance shall activate the prospect with the NCAA Eligibility Center to monitor their status. The Eligibility Center status of all prospects will be updated weekly or monthly by the Director of Athletic Compliance. It is the responsibility of the head coach or designee to monitor the initial eligibility status of her/his prospects to ensure the process is complete. Once the qualifier status has been declared, the Director of Athletic Compliance will notify the head coach, Director of Athletics, FAR, Registrar's Office, Financial Aid, and Admissions Office and change the student-athlete's status on CAI.
  - b. **International Student-Athletes** – It is the responsibility of the head coach or designee to inform all freshman international prospects about the NCAA Eligibility Center upon



recruitment. First-year international student-athletes must apply to the Eligibility Center by filling out a foreign student release form and paying the appropriate fee. The student must, at her/his own expense, then supply original academic records (or certified [attested] copies of the original documents) and certified, literal English translations for records not originally in English sent (not faxed) to the Eligibility Center. The head coach is responsible for submitting names and social security numbers to the Associate Director of Compliance. The Director of Athletic Compliance shall activate the prospect with the NCAA Eligibility Center to monitor her/his status. The Eligibility Center status of all prospects will be updated weekly or monthly by the Director of Athletic Compliance. It is the responsibility of the head coach or designee to monitor the initial eligibility status of her/his prospects to ensure the process is complete. Once the qualifier status has been declared, the Director of Athletic Compliance will notify the head coach, Director of Athletics, FAR, Registrar's Office, and Financial Aid and change the student-athlete's status on CAI.

- i. **NCAA Amateurism** -- All incoming freshmen and transfer student-athletes must register and be certified with the NCAA Amateurism Clearinghouse prior to being able to compete for TAMIU.
  - c. **Walk-ons** – If a walk-on is identified subsequent to the start of classes, the coach must complete a **Tryout-Walk on Form** (Form # 11) for the prospective student-athlete and have the prospect meet with Associate Director of Compliance. The Director of Athletic Compliance must explain the Eligibility Center process if applicable or obtain the necessary information for an evaluation if the prospect is a transfer or an international student-athlete. The Director of Athletic Compliance must notify the prospect of the 6 month physical requirement prior to a tryout or practice and have the prospect complete all NCAA paperwork. It is the responsibility of the head coach to prohibit the walk-on student-athlete from practicing and competing until notified by Director of Athletic Compliance that she/he is eligible to participate.
4. **Continuing Students** – All student-athletes must maintain their eligibility throughout the academic year if they wish to compete in intercollegiate athletics per NCAA Bylaws 14.01., 14.01.2, and 14.01.3. Continuing eligibility will be monitored by the Director of Athletic Compliance, Registrar's Office, and FAR. If the eligibility status of a student-athlete changes at any time, the head coach and the student-athlete will be notified immediately. It is the responsibility of the head coach to prohibit an ineligible student-athlete from practicing or competing. Continuing eligibility information on all student-athletes must be kept by the Director of Athletic Compliance on CAI.

a. **Academic Eligibility**

- i. **Full-time Status** (NCAA Bylaw 14.1.7.1.1) Director of Athletic Compliance and Registrar's Office will monitor full-time status on a regular basis and report any student-athletes who have dropped below full-time status. If a student-athlete drops below full-time status, the head coach and the student-athlete will be notified immediately. The student-athlete must be declared ineligible for competition and the head coach must make certain the student-athlete does not practice or compete.
- ii. **Nine-Credit Requirement (NCAA Bylaw 14.4.1)** – All student-athletes must pass nine credit hours per semester and maintain the required minimum GPA to continue their eligibility. The Associate Director of Compliance will complete the **9-Hour Requirement Form** at the end of each semester. If a student-athlete has failed to meet these requirements the Director of Athletic Compliance must notify the head coach and student-athlete as soon as possible. The certifying date each semester is the day the Compliance Committee meets. Credit hours earned during summer session may not be used to satisfy the nine credit

hour requirement. Credits earned in the summer session may affect a student-athlete's cumulative GPA and count towards their total hours earned for the next year.

- iii. **Grade Point Average Requirement (NCAA Bylaw 14.4.3.2)** –To be in good academic standing, at Texas A&M International University, all student-athletes must meet the satisfactory completion requirement of a cumulative minimum grade point average of: 1.8 GPA subsequent to completing 24 semester hours; 1.90 GPA subsequent to completing 48 semester hours; 2.00 GPA subsequent to completing 72 or greater semester hours.
- iv. **Declaration of Major (NCAA Bylaw 14.4.3.1.5)** – All student-athletes entering their fifth semester of full-time enrollment must declare a major. The Registrar's Office and Director of Athletic Compliance are responsible for monitoring the declaration of majors.
- v. **Progress Toward Degree (NCAA Bylaw 14.4.1)** – The Registrar must ensure that student-athletes that have completed their 6<sup>th</sup> semester (and 8<sup>th</sup> semester if returning for 9<sup>th</sup> and 10<sup>th</sup> semesters) have accumulated at least 24 credits toward their designated degree program

**5. Continuing Eligibility of Transfers (NCAA Bylaw 14.4)** – Eligibility of transfer students will be determined by a transfer evaluation by the Registrar's Office. The head coach or designee is responsible for submitting college transcripts from all colleges attended to the Director of Athletic Compliance at the first available opportunity. A copy of the transcript(s) will be sent to the Registrar's Office for an evaluation of transferable credits. The Director of Athletic Compliance will also determine the initial qualifier status from the NCAA Eligibility Center. The Director of Athletic Compliance must request any additional information necessary to complete an evaluation of eligibility. The eligibility status of all transfer student-athletes will be indicated on CAI. It is the responsibility of the head coach or designee to monitor the status of all transfers student-athletes.

- a. **Calculation of transferrable degree credits:** The calculation transferable degree credits must be done by the Registrar. The transfer must have 12 transferable degree credits for each full-time semester attended using the actual or average method.
- b. **Calculation of grade point average:** The Registrar must calculate the grade point average using the NCAA formula. The formula requires use of all transferable credits that would have been transferable.

## **6. Compliance Forms and Eligibility Documents**

- a. **Student-Athlete Statement** – The Director of Athletics, Faculty Athletics Representative and Associate Director of Compliance will be responsible for administering the NCAA Student-Athlete Statement and Summary of NCAA Rules to all student-athletes each academic year. All student-athletes and managers must complete the NCAA Student-Athlete Statement prior to any practice or competition. This documentation will be kept in the student-athlete's file until the completion of her/his participation at TAMIU.
- b. **Drug Consent Form** - The Director of Athletics, Faculty Athletics Representative, and Director of Athletic Compliance will be responsible for administering the NCAA Drug Consent Form to all student-athletes each academic year. **All student-athletes must complete the Drug Consent Form prior to any practice or competition. This includes any individual that may be trying out for the team.** This documentation will be kept in the student-athlete's file until the completion of her/his participation at TAMIU. Any student-athlete under the age of 18 will be required to have a parent's signature. The Director of Athletic Compliance will email the Drug Consent Form in order to obtain this signature. A parent's signature must be obtained before such student-athlete will be eligible for practice or competition. These form are assigned to Student

athletes on the NCAA Compliance forms tab on the NCAA institutional portal. The Athletic compliance office monitors the completion of these forms online.

- c. **Medical Pre-Participation Clearance** - All student-athletes must meet the medical requirements established by the NCAA and TAMIU Athletic Training Policy and Procedures. This includes completing a Release of Information Waiver, a medical physical, and HIPPA forms. Contact the Athletic Training Room for more information.
- d. **Courses Taken Outside TAMIU** – If student-athletes wish to take courses outside of TAMIU and use these courses for transfer credit and NCAA eligibility purposes, they must see their advisor, Division chair, and the Registrar to get approval for the courses prior to registering for the courses. A Course Substitution Form must also be filled out and signed by the faculty advisor and Division chair, if the course is a substitute for the major. The Registrar would also need to sign the form if the course is to count for a core curriculum requirement.
- e. **Competition Form** - In order to document seasons of eligibility, the head coach must complete the **TAMIU Competition Report** (Form # 12) and submit it to the Associate Director of Compliance at the conclusion of the academic year.
- f. **Walk-on Tryouts** - The head coach or designee is responsible for declaring a tryout period with the Associate Director of Compliance before any tryout may occur. All tryout participants must meet with the Associate Director of Compliance to complete all eligibility paperwork before they may tryout. In addition each student must have a medical physical within 6 months of the tryout and the head coach must complete the **Tryout Walk on Form**.
- g. **Outside Competition** - It is the responsibility of the head coach to monitor her/his student-athletes' participation in any and all outside competition. Each student-athlete must contact the Associate Director of Compliance for approval prior to any outside competition.
- h. **Squad Lists** – Prior to the first scheduled contest in each sport, the Director of Athletic Compliance, Registrar's Office, and Financial Aid will complete an Official Eligibility Spreadsheet. The Director of Athletics, Associate Director of Compliance, FAR, Registrar's Office, and Head Coach must sign the Squad List prior to competition. If a student-athlete is listed as ineligible, the head coach is responsible for withholding that student-athlete from competition. An ineligible student-athlete may not receive travel funds for an away contest. If a student-athlete becomes eligible, the Associate Director will produce a new Squad List indicating the change in eligibility status, to be signed by all parties. A head coach must receive written notification from one of the certifying individuals before a student-athlete may be allowed to compete.

## 7. Student-Athlete Grade Report

- a. **Midterm reports** - Each semester, the Associate Director of Compliance will review a midterm grade report for each sport as soon as possible after midterm grades are available. The review will provide grades for all student-athletes.
- b. **Final grade reports** - At the end of the academic year, and as soon as possible after the Compliance Committee meets to review student grades, the Academic compliance coordinator will provide a detailed report for every head coach that will provide an individual assessment for each student-athlete on the current squad list for that sport

The report will include the following:

- i. The semester and current GPAs for each student-athlete and the number of credits earned for the current semester as well as the student's total credits to date. If all semester grades are passing (i.e., D

- or above), that fact will be indicated. Any course grade that falls below a D will be listed individually along with the course number and name.
- ii. Information regarding any student-athlete who is not currently registered for at least 12 credits for the following semester unless she or he will be graduating after the next semester and does not need 12 credits to finish. Also any courses with an unsatisfactory grade from previous semesters and which the student still needs to retake will be listed.
  - iii. Results from the Compliance Committee evaluation. Any suspensions or terminations of student-athletes will be indicated on the report. If a student-athlete is placed on probation, the type of probation will be noted, i.e., terminal, or one requiring the student to achieve a certain GPA by the end of the next semester, as well as whether or not the student is in good academic standing. The report will also note if any student-athlete is to be issued a warning letter because of a low semester GPA.
  - iv. Other information as deemed necessary by the FAR.

## Financial Aid

1. **Policy** - Monitoring of financial aid limits and requirements will be the responsibility of the Director of Athletic Compliance and the Office of Financial Aid. Student-athletes may not receive athletically related financial aid over a full grant-in-aid, which includes tuition, fees, room, board, and books. A student-athlete may receive other non-countable (e.g., Valedictorian Scholarship) financial aid unrelated to athletic ability up to the full cost of attendance or the value of a full grant-in-aid plus a Federal Pell Grant, whichever is greater. It is the responsibility of the head coach and the Associate Director of Compliance to monitor the individual team limits for financial aid.
2. **Grant-In-Aid Policy** – All athletic grant-in-aid shall be administered according to all applicable NCAA rules and regulations:
  - a. The head coach must submit the completed **Grant-in-Aid Request Form** to the Coordinator of Athletic Scholarship and Accounting.
  - b. The Coordinator of Athletic Scholarships and Accounting will review the budget and approved requests will be forwarded to the Associate Director of Compliance for review and generation of a National Letter of Intent if necessary. If an NLI is needed, it will be forwarded to the Director of Athletics for signature.
  - c. The Grant-in-Aid request packet is then sent to the Office of Financial Aid. The student-athlete's financial aid profile will be updated on CAI, and an Athletic Financial Aid Agreement will be created.
  - d. The forms are forwarded to the Director of Athletics and head coach for approval and signature.
  - e. The forms are then returned to the Office of Financial Aid for signature by the Director of Financial Aid. The forms will be presented to the student athlete for signature either by being called into the Office of Financial Aid, or through email or mail. If mailed or emailed to the student-athlete for signature, the signed forms must be returned to the Office of Financial Aid within 7 days of the generation of the materials requiring signature.
  - f. After all signatures are acquired, the original Athletic Financial Aid Agreement is retained by the Office of Financial Aid. The original National Letter of Intent and a copy of the Athletic Financial Aid Agreement are forwarded to the

Associate Director of Compliance, with the Director of Athletics and Head Coach both receiving a copy of each.

3. **Grant-in-Aid Renewal letter/Non-Renewal Policy**– Prior to May 1 of each year, all head coaches must submit to the Director of Athletics and Associate Director of Compliance a list of each of those student-athletes who athletics aid is being renewed, reduced, or non-renewed. TAMIU is responsible for providing a written notice on aid status to all students receiving athletics aid by July 1. Students whose TAMIU athletic scholarship has been reduced or non-renewed have the right to submit an appeal to the Financial Aid Appeals Committee. The submission of an appeal is only a request for review and does not guarantee a change in status. All appeals must be submitted within 10 (ten) business days from July 1 of the current year. All appeals must be typed and include the following information:
  - a. The student-athlete must provide a signed letter requesting an appeal. It must include:
    1. Student's name
    2. Student's Campus ID number
    3. Student's email address
    4. Student's local mailing address
    5. Student's local telephone number
    6. Semester and year for which student is appealing
    7. Reason for appeal
  - b. Student must have complete financial aid folder for the current academic year with the TAMIU Office of Financial Aid.
  - c. Recommendation letter from a University faculty member and/or academic advisor on University letterhead which includes academic performance and standing as well as anticipated date of graduation.
  - d. All appeal documentation must be submitted to the Office of Financial Aid.
  - e. The Financial Aid Appeals Committee will only review complete requests.
  - f. Results of the appeal will be made available two weeks after the deadline. Students will be notified via mail and/or email.
  
4. **Academic Honor Awards (NCAA Bylaw 15.5 (a))** – Academic honor awards are exempt from the team equivalency provided the student-athlete recipient was ranked in the upper 20% percent of her/his high school class.
  
5. **Team/Individual Limits** - The Director or the Associate Director of Compliance and the Office of Financial Aid must be responsible for monitoring all athletic and outside financial aid for all student-athletes to assure that team and individual financial aid limits are not exceeded. This must be done on the CAI.
  - g. **Counter (NCAA Bylaw 15.02.3, 15.4.1)** – A counter is a student-athlete included in the maximum awards limitations for each sport.
  - h. **Non Counter** – A student is not a counter if there is on file in the Office of the Athletic Director certification by the FAR and the Director of Financial Aid a statement that the aid was granted without regard in any degree to athletics ability.
  - i. **Athletics Aid Received** – A student-athlete who is receiving financial aid based in any degree upon athletics ability must be considered a counter for the academic year in which the aid is awarded. **Academic Honor Awards (NCAA Bylaw 15.5 (a))** – Academic honor awards are exempt from the team equivalency provided the student-athlete recipient was ranked in the upper 20% percent of her/his high school class, received a core GPA of 3.5, or a minimum combined score of 1150 on the SAT Math and Critical Reading sections, or 100 on the ACT.

## Admissions

1. **Policy** – The Admissions Office is responsible for ensuring that all student-athletes are admitted under the same standards as the general student applicant. The Director and Associate Director of Athletic Compliance is responsible for sending all appropriate paperwork to the Admissions Office, monitoring admissions status, and serving as liaison between the Athletic Department and the Admissions Office.
2. **Documentation** – The head coach or designee must be responsible for submitting appropriate documentation to the Associate Director of Compliance in a timely manner as outlined below.
  - a. **Freshman Prospective Student-Athletes** – The head coach or designee is responsible for submitting the names of all freshman prospective student-athletes to the Associate Director of Compliance who will forward that information to the Admissions Office.
  - b. **Transfers** - The head coach or designee is responsible for submitting the names of all prospective student-athlete transfers along with their transcripts to the Associate Director of Compliance who will forward that information to the Admissions Office and Registrar’s Office.

## Playing and Practice Season

1. **Policy** – The Director and Associate Director of Athletic Compliance is responsible for monitoring the playing and practice seasons for all sports. This includes monitoring playing season declarations, athletically related activities, practice hours in-season and out-of-season, and number of contests.
2. **Documentation** – The head coach or designee is responsible for completing and submitting all playing and practice season documentation to the Associate Director of Compliance as instructed. Playing and practice season documentation is kept by the Associate Director of Compliance throughout the academic year.
  - a. **Declaration of Playing Season** – The head coach is responsible for completing and submitting the **Declaration of Playing & Practice Season** (Form # 14) to the Associate Director of Compliance for her/his respective sport.
  - b. **Countable Hours** – The head coach or designee is responsible for submitting the weekly countable hours report each Monday for the previous week. The institutional practice week is defined as Monday through Sunday. For each day, the head coach or designee is responsible for indicating the date and the length of all team activity in the following areas: practice, competition, team meeting, conditioning, weight training and film review. The signature of a current member of the team must appear on the form as a requirement. **Countable Hours** (Form #15) are audited monthly by the Associate Director of Compliance and coaches are notified of any missing forms. During SAAC meetings, a rules education session reminder is offered in regards to student-athlete signature requirement. Discussion and verification by SAAC representatives is encouraged.
  - c. **Preliminary Rosters** – By August 1<sup>st</sup> of the coming academic year, the head coach is responsible for completing the Preliminary Rosters. Preliminary Rosters will indicate all returning student-athletes, incoming transfers, and incoming freshmen.
  - d. **Changes to Roster** – The head coach or designee will inform the Associate Director of Compliance of any changes to the roster throughout the academic year. Head coaches need to submit a **Late Addition to Team Roster Form** (Form 16) to add any student-athletes and a **Team Roster Deletion Form** (Form 17) to remove any student-athletes. Both forms need to be signed by the head coach and student-athlete. The Associate

Director of Compliance will forward this information to the members of the Compliance Committee

3. **Countable Athletically Related Activities** – The following activities are considered countable athletically related activities for the purpose of practice hour limitations.
  - a. Practice (no more than four hours per day)
  - b. Athletic meetings with a coach that are initiated or required by the coach
  - c. Competition (counts as 3 hours regardless of actual length)
  - d. Field, floor, or on-court activities
  - e. Setting up offensive and defensive alignments
  - f. On-court or on-field activities called by any member of the team and confined to members of the team
  - g. Required weight training and conditioning activities
  - h. Required participation in camps/clinics
  - i. Visiting the competition site in golf or cross country
  - j. Participation outside the regular season in individual skill-related instructional activities with a member of the coaching staff
  - k. Discussion or review of film
  - l. Participation in a physical activity class for student-athletes only and taught by athletics staff
  - m. Participation in clinics in which student-athletes and coaches are both present
  
4. **Non-countable Athletically Related Activities** – The following activities are not considered countable athletically related activities for the purpose of practice hour limitations.
  - a. Compliance meetings
  - b. Meetings with a coach that are initiated by the student-athlete
  - c. Drug/alcohol educational meetings or CHAMPS/Life Skills meetings
  - d. Study hall, tutoring, or academic meetings
  - e. Student-athlete advisory committee (SAAC) meetings
  - f. Voluntary weight training not conducted by a coach
  - g. Voluntary sport-related activities, no attendance taken, no coach present
  - h. Traveling to/from the site of competition
  - i. Training room activities
  - j. Recruiting activities (e.g., student host)
  - k. Training table meals
  - l. Attending banquets
  - m. Fund-raising activities or public relations/promotional activities or community service project. (Note: Student-athletes must fill out a **Promotional Activities Form** (Form #18) before community engagement activities)

## **Camps and Clinics**

1. **Policy** – The Director of Athletics and Associate Director of Compliance is responsible for overseeing all sports camps and clinics that involve TAMIU student-athletes and staff. The head coach or designee is responsible for submitting camp dates to the Director of Athletics.
2. **Documentation** – As part of A&M System policy for all institutional camps, the head coach or designee is responsible for completing a Camp/Retreat Documentation Packet and submitting it to the Director of Risk Management and Safety at TAMIU. The Camp/Retreat Documentation includes:
  - a. **Camp/Retreat Application** (Form #19)

- b. **Camp Brochure**
  - c. **Detailed Itinerary**
  - d. **Complete roster of participants (after camp is completed)**
- 3. Coaches' Oversight of Sports Camps includes duty to:**
- a. Produce and monitor camp and clinic brochures and other information (approved by the Director of Athletics)
  - b. Maintain and monitor financial records
  - c. Monitor enrollment limitations
  - d. Monitor employment of student-athletes, in addition to all other coaches (camp directors must submit to the Associate Director of Compliance a week prior to camp/clinic starting a list of employees to be employed in the institution's camp (NCAA Bylaw 13.12.2).
  - e. Monitor compensation of student-athletes
  - f. Develop concession arrangement
  - g. Report employment of high school or two-year college coaches to Associate Director of Compliance (NCAA Bylaw 13.12.2.2)
- 4. Employment at Camp**
- a. Each Camp Director submits a **Student Athlete Employment Form** (Form #20) which includes the names of all student-athletes to work summer camp to the Associate Director of Compliance
  - b. The Associate Director of Compliance reviews the camp director's request to ensure these student-athletes are permitted to work the summer camp according to NCAA rules. Signature must be obtained from the Camp Director, Associate Director of Compliance, and Director of Athletics.
  - c. The Associate Director of Compliance and head coach keeps a copy of the approved request for records.

## **National Letter of Intent**

1. **Policy** – The Associate Director of Compliance is responsible for overseeing all National Letters of Intent to prospective students and ensuring all NLI deadlines are met.
2. **Documentation** – For all National Letters of Intent, the head coach is responsible for submitting the following documents in a timely manner.
  - a. **Grant-in-Aid Form** – The head coach or designee is responsible for submitting the grant-in-aid form indicating an NLI, student-athlete's CAI page, and team scholarship page to the Associate Director of Compliance in advance of issuing an NLI.
  - b. **Transcripts/Test Scores** – The head coach or designee is responsible for submitting a copy of the prospect's high school transcript and test scores to the Associate Director of Compliance. The Associate Director of Compliance will forward these documents to the Director of Admissions to determine admissibility. If the prospect has been admitted or is being considered for admission, the NLI may be issued. If the prospect does not have a chance to be admitted to the university, a NLI will not be issued. Additionally, the Associate Director of Compliance will review the Eligibility Center Preliminary Certification report to ascertain the initial-eligibility status of the prospective student-athlete.
  - c. **NLI** – Once a prospect is determined to be admissible, the Associate Director of Compliance will submit the NLI form to the Office of Financial Aid. Financial Aid Office will be responsible for generating the Athletic Financial Aid agreement and send it out to the PSA. Once the signed NLI and financial aid agreement have been received back from the prospective student-athlete, the head coach will be notified.



**Please note: The NLI must be signed by the prospect and her/his parent within 7 days of the date issued. The signed NLI must be filed with the conference office within 14 days of the time the prospect and his/her parent sign. Coaches must be cautious of this time limit and encourage prospects to complete the NLI and return to TAMIU as soon as possible.**

**Also, the National Letter of Intent may not be hand delivered, and a coach may not be present at the time of an off-campus signing.**

### **Awards and Benefits**

1. **Policy** – The Associate Director of Compliance is responsible for monitoring all awards and benefits received by all TAMIU student-athletes. Student-athletes will be educated at their compliance meeting at the beginning of each academic year regarding extra benefits. Coaches and staff will be educated each year on the legislation regarding awards and benefits (NCAA Bylaw 16) and are responsible for ensuring that any award/benefit that is received by a student-athlete is within NCAA regulations. The TAMIU Associate Director of Compliance approves the award/benefit prior to the student-athlete's receiving the award or benefit. If a coach or staff member becomes aware of an award/benefit received by a TAMIU student-athlete, she/he is responsible for reporting that award/benefit to the Associate Director of Compliance immediately.

### **Institutional Drug Testing**

1. **Policy** - Drug testing will occur throughout the year through Drug Free Sport. The Athletic Compliance office will email Drug Free Sport a complete list of student-athletes who are available for random drug testing. Drug Free Sport will randomly select 10 student-athletes for testing. A student-athlete may also be subject to testing at any time when the Director of Athletics or his/her designee determined there is individualized reasonable suspicion to believe the participant is using a prohibited drug. The athletic trainers will notify all student-athletes who have been chosen to be tested. A student-athlete who tests positive for "Street Drugs" (through procedures by Drug Free Sport) shall be ineligible from competition from the next 50% of the season in all sports, and remain ineligible until the penalty is fulfilled, retest negative, and eligibility restored by the Director of Athletics. .

A student-athlete who tests positive for all other banned substances other than "Street Drugs" shall be charged with a loss of a minimum of one season of competition in all sports, in addition to any seasons of competition already triggered due to participation. The student-athlete shall remain ineligible for all regular-season and postseason competition during the time period ending in one calendar year after the collection of the student-athletes' positive drug test and until the student-athlete retest negative, and eligibility restored by the Director of Athletics. In addition, the penalty for missing a scheduled drug test is the same as the penalty for testing positive for the use of a banned drug.

Student-athletes who test positive for a banned substance by the laboratory may within 72 hours following receipt of notice contest the finding. Upon the student-athlete's request for additional testing of the sample, the Director of Athletics/designee will formally request the laboratory retained by TAMIU to perform testing on specimen B. Specimen B findings will be final, subject to the results of any appeal. If specimen B results are negative, the drug test will be considered negative.

## **Safe Harbor Program**

1. **Policy** - A student-athlete eligible for the Safe Harbor Program may refer himself/ herself for voluntary evaluation, testing and treatment for alcohol or drug problems. A student-athlete is not eligible to enter the Safe Harbor Program:

1. More than 1 time
2. After he/she has been informed of an impending drug test
3. After documentation of a positive drug test; or
4. 30 days prior to NCAA or Conference postseason competition.

Texas A&M International University will work with the student to prepare a Safe Harbor treatment plan, which may include confidential drug testing. The student-athlete will be tested for banned substances upon entry into the Safe Harbor Program and such a positive initial test will not result in any administrative sanctions except those listed in this section (i.e. the team physician may suspend the student from play or practice if medically indicated). A student-athlete will be permitted to remain in the Safe Harbor Program for a reasonable period of time, not to exceed thirty (30) days, as determined by the treatment plan.

If a student-athlete is determined to have new banned substance use and/or alcohol use after the initial Safe Harbor Program test (as determined by follow-up testing), or fails to comply with the Safe Harbor Program treatment plan, the student-athlete will be removed from the Safe Harbor Program and be subject to appropriate disciplinary actions as detailed in the Texas A&M International University Department of Athletics Drug Testing Policy and Procedures. Entering the Safe Harbor Program will be treated as one of the disciplinary action phases and any positive test indicating new banned substance use and/or alcohol use after the initial Safe Harbor Program test will be treated as the next subsequent positive.

While in compliance with the Safe Harbor Program treatment plan, the student-athlete will not be included in the list of students eligible for random drug testing by Texas A&M International University. Students in the Safe Harbor Program may be selected for drug testing by the NCAA.

The Director of Athletics, Team Physician, Head Athletic Trainer, and the student-athlete's Head Coach may be informed of the student-athlete's participation in the Safe Harbor Program. The athletic trainer assigned to the student-athlete's sport may also be notified if medically appropriate. The assistant coaching staff may also be informed at the discretion of the Head Coach. Other University employees may be informed only the extent necessary for the implementation of this policy.

## **Student-Athlete Exit Survey and Interview**

1. **Exit survey and interview** - The exit survey and interview will attempt to solicit information from student-athletes who are graduating, have exhausted their eligibility, are leaving TAMIU prior to graduation, or who are not returning to a team. Once a student-athlete is identified as meeting any of the above criteria, interviews will be set up with as many respondents as possible to further clarify and expand upon their survey responses.

## **NCAA Rules Violations**

1. **NCAA Certificate of Compliance**-- All athletic department staff members (including part-time staff members, graduate assistants, and clerical staff) must sign a Certificate of Compliance form each year, attesting that the individual has reported any knowledge of involvement in any NCAA violation involving TAMU. Each staff member must be committed to building a successful athletic program within NCAA, Heartland Conference and Texas A&M International University guidelines. It is the responsibility of all staff members to inform the Associate Director of Compliance of any potential violations.
2. **Secondary Violations and Major Violations**-- A secondary violation is a violation that is isolated or inadvertent in nature, provides or is intended to provide only a minimal recruiting, competitive, or other advantage, and does not include any significant recruiting inducement or extra benefit. All violations other than secondary are major violations, specifically including those that provide an extensive recruiting or competitive advantage or are repetitive.

If a secondary violation has occurred it will be determined if it is a Level I, or Level II violation. The reporting procedures and appropriate penalties will be administered:

- a. **Level I violations** will continue to be reported to the NCAA national office as they occur and are discovered, and will continue to be processed by the enforcement staff. Level I violations include:
  - i. Specific Bylaws 10-16 cited on the NCAA Website, plus;
  - ii. Any violations of bylaws other than those contained in Bylaws 10-16;
  - iii. All intentional violations;
  - iv. Any violations not isolated or limited in scope; and
  - v. Any similar violations that previously have occurred in the same sport during that same year.
- b. **Level II violations** will be processed by the institution, and a violation report will be submitted to the conference office as they occur. The conference office will report all violations quarterly to the NCAA for all member institutions. All inadvertent, isolated violations of the operating bylaws (Bylaws 10-17) not identified as Level I violations are considered to be Level II violations. All Level II violations are either de minimis (do not affect eligibility) or restitution (repayment of value of impermissible benefit).

Level II violations require institutions to impose specific penalties as outlined in case precedent on the NCAA Website for Secondary Violations.

A copy of any secondary violation or major violation report will be sent to the involved staff members, the Director of Athletics, the Faculty Athletics Representative, and the President.

3. **Policies and procedures for investigating and reviewing possible violations**-- Any potential or self-discovered NCAA rules violations are to be reported immediately to the Director of Athletic Compliance. The Director of Athletic Compliance will inform the Director of Athletics and the Faculty Athletics Representative of the potential violation and will initiate a preliminary investigation to determine the facts by interviewing all the parties involved in the alleged violation.

The following investigative procedures will be followed when it is necessary for the institution to conduct a formal investigation:

- i. The Director of Athletic Compliance is the person to whom information regarding allegations of rules violations must be reported;
- ii. The Director of Athletic Compliance in consultation with the Director of Athletics and the Faculty Athletic Representative is responsible for determining what type of inquiries or investigations are warranted and a timeline for conducting the investigation;
- iii. The Director of Athletic Compliance, Director of Athletics, and Faculty Athletic Representative are responsible for conducting the investigation of possible rules violations and timeline for completing the investigation;
- iv. The President, the Director of Athletics, the Faculty Athletics Representative, and the Senior Woman Administrator will receive a copy of the report of the internal investigation that identifies a violation of NCAA and/or conference regulations. In the event of a major violation, the Institution General Counsel will be included as a recipient of the report;
- v. The Director of Athletic Compliance will research Legislative Services Database Internet (LSDBI), along with correspondence with the NCAA Enforcement Staff, to find case precedents to review and submit imposed penalties for the approval of the Faculty Athletic Representative and the Director of Athletics. Sanctions will then be self-imposed on individuals and/or programs involved in any confirmed rules violation;
- vi. The Director of Athletic Compliance, Director of Athletics and the Faculty Athletic Representative are responsible for ensuring that all rules violations are reported to the conference office and to the NCAA enforcement staff RSRO website (directly or via the conference office);
- vii. The Director of Athletic Compliance, with the assistance of the Faculty Athletic Representative, and/or the Director of Athletics is responsible for filing appeals to the NCAA for reinstatement of student-athlete eligibility (when necessary).
- viii. For violations that may involve the Director of Athletics and/or the Director of Athletic Compliance and Associate Director of Athletic Compliance, the FAR will work in conjunction with the President to ensure the investigation process meets standards required to adhere to the NCAA Principle of Institutional Control. The FAR should also notify university relations regarding appropriate responses to inquires while the investigation is being conducted.

**For all major violations, the Faculty Athletic Representative and the Director of Athletics will consult with the President in order to determine whether outside counsel is warranted. For violations that involve the Director of Athletics and/or the Director of Compliance, the Faculty Athletic Representative will work in conjunction with the President of the institution to ensure that the process stated above is enforced**

## Helpful Web Sites

### **NATIONAL COLLEGIATE ATHLETICS ASSOCIATION (NCAA):**

[www.ncaa.org](http://www.ncaa.org)

- Sports and Championships
- News and Publications
- Education Programs, Grants, and Research
- Administration and Governance
- Rules and Eligibility
- Enforcement and Reinstatement
- Branding, Broadcasting, Promotions, and Awards

### **NCAA ELIGIBILITY CENTER:**

<https://web1.ncaa.org/eligibilitycenter>

- Division II Freshman Eligibility Standards
- High School Core Course Requirements
- List of Approved Core Courses

### **HEARTLAND CONFERENCE:**

[www.heartlandconference.org](http://www.heartlandconference.org)

- News Releases
- PBC Conference Member Links
- Sports Stats
- Conference Information
- Directories