

Henderson
State
University
Compliance
Manual



This document addresses Compliance for the Athletic Department at Henderson State University. There are 40 pages in 9 sections (including Table of Contents) Updated: July 1, 2011

HSU Athletics
Department

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HSU ATHLETIC DEPARTMENT DIRECTORY

2011-2012

Athletic Administration

Director of Athletics	Kale Gober	(870) 230-5072
Associate Athletic Director	Dr. David H. Thigpen	(870) 230-5485
Faculty Athletic Representative	David Gardner	(870) 230-5043
Senior Woman Administration	Rhonda Thigpen	(870) 230-5194
Academic Success Coordinator	Lynette Jones	(870) 230-5010

Athletic Department Staff

Athletic Office Coordinator	Angie Bradshaw	(870) 230-5161
Insurance Coordinator	Kim Jackson	(870) 230-5202
Sports Information Director	Troy Mitchell	(870) 230-5197

Head Coaches

Baseball	Cody Hooten	(870) 230-5071
Men’s Basketball	Doug Nichols	(870) 230-5196
Women’s Basketball	Chris Oestreich	(870) 230-5123
Women’s Cross Country	Brenda Joiner	(870) 230-5444
Football	Scott Maxfield	(870) 230-5201
Men’s & Women’s Golf	Ben Smock	(870) 230-5035
Softball	Beth Jackson	(870) 230-5575
Men’s & Women’s’ Swimming	Coak Matthews	(870) 230-5206
Women’s Tennis	Brenda Joiner	(870) 230-5444
Volleyball	Rhonda Thigpen	(870)230-5194

Athletic Training Staff

Head Athletic Trainer	Robert Redding	(870) 230-5069
Assistant Athletic Trainer	Brittany Stone	(870) 230-5426
Assistant Athletic Trainer	Josie Gordon	(870) 230-5191

HSU Compliance Mission Statement

The mission of the Compliance office is to ensure Henderson State University Athletics Department complies with the letter and intent of Institutional, Conference and NCAA rules and regulations. Honesty, integrity and accuracy of interpretations are our highest priorities. The Director of Athletics is the individual designated by the CEO to have direct accountability for rules compliance. The staff of the HSU Compliance Office will assist the Athletic Director by conducting the day-to-day operations to ensure such compliance. In an effort to fulfill this mission, the Compliance office staff will monitor the recruitment, admission, eligibility and financial aid of all student-athletes. The staff will also conduct an extensive rules education program for coaches, staff, student-athletes, prospective student-athletes and boosters. The HSU Compliance system will be internally monitored through frequent operational checks with all sport and administrative areas. The entire HSU Athletics Department will also be audited every five years by the Institutional Self-Study program generated by the NCAA. The Compliance office staff will attend regional and national seminars to continually improve the effectiveness of this department. When a violation does occur, the institution will self-detect, self-investigate and self-report in a timely and thorough manner.

HSU Athletic Department Philosophy

The Henderson State University athletic department strives at all times to represent the very highest ideals in life. Because of the high visibility of athletes, we have a unique responsibility to be a positive influence on the lives of everyone associated with our program: student-athletes, other athletes, other students, faculty, staff, alumni and friends.

Our top priority will always be the student-athletes of our program. Proper direction and motivation will help them grow socially, academically, and athletically. Our ultimate goal is to provide each student-athlete with the means necessary to be successful in life and contribute to our society. We can accomplish this goal by fully integrating student-athletes into the educational program of Henderson.

The physical well being of our student-athletes is of constant concern. We must never jeopardize their health or well being for any reason. We need to be aware of our accountability to the university and to the alumni and friends who support our program. We must maintain a positive, open environment within which members of the athletic department can grow and develop in their careers and individual lives.

Success is one of the rewards of any organization. Discipline, dedication, and hard work are necessary for the building of a competitive athletic program. We have a responsibility to ourselves and to our student-athletes to strive to reach our maximum potential. We will observe the letter and spirit of the rules and regulation of the NCAA, the Great American Conference and Henderson State University, while also adhering to the philosophy of the Division II member institutions. We have a responsibility to report any school that violates these same rules and regulations. The university endorses the

efforts of the NCAA to maintain academic standards, to publish and revise ethical and legislative standards, and to administer intercollegiate athletics in accordance with this set of principles.

Any member of the university's athletic department who encourage, suggests, knowingly or implicitly violates any NCAA, Great American Conference or University regulation is subject to immediate suspension and/or dismissal.

HSU Athletic Department Purpose

Henderson State University's athletic department is a service organization for several groups: our student-athletes, the student body, faculty and staff, alumni, friends, the sports media and the general community. Our basic obligations to these groups are twofold:

- A. To develop and maintain a competitive athletic program that can be a source of pride for all
- B. To allow members of these groups the opportunity to become involved in the program as participants, contributors or spectators.

We will make sure that our sports programs function in conjunction with all principles of fair play and amateur athletic competition as defined by the NCAA.

As stated in our philosophy, our primary purpose is to direct each student-athlete toward growing and becoming a total person, earning a meaningful degree, and developing as an athlete. We should provide each student-athlete with the chance to become involved in all areas of student life while in school and with the tools to be successful in his or her career after graduation.

We should also strive to allow every member of the student body the opportunity to be a part of the athletic program. Some student can be actively involved as athletes, trainers, managers, cheerleaders members, band members, or booster club members. For the majority of students who participate as spectators, we have an obligation to field competitive teams that represent the quality and purpose of Henderson State University. Our program can and should be the single most important generation of positive school spirit on campus. We must be receptive to students' suggestions and inquiries and must always treat students with courtesy.

The faculty and staff are the heart of the University and can be a valuable resource for the athletic program. As we perform our duties in an open, competent, and professional manner, we will be viewed with respect by the academic community on campus and will be seen as an integral part of the school. A sound, honest, competitive athletic program will be a source of pride for faculty and staff. We must always be certain the faculty understands our commitment to academics as well as being aware of our activities and plans.

Alumni and friends are an essential part of the athletic programs. We must always be sensitive to their needs. We must have a services attitude, which means that every alumni, friend, or visitor should always be treated with complete courtesy and respect.

When dealing with media, we have an obligation to help them be successful in their jobs. We must be honest, open and supportive at all times and never attempt to conceal unfavorable news. Each member of the media should be made welcome to our program.

We can and should be a source of pride for our community. A quality, competitive program can be a positive rallying point for our community. Every employee is encouraged to become involved in community activities. Whenever we help our community, we also help the athletic programs and ourselves.

HSU Compliance TEAM

The HSU Compliance Team is committed to serve as the Institutional “checks-and-balance” for the Athletic Compliance office at Henderson State University. No one area of this team is more important than another area. Our HSU Compliance Team structure is set up to create the most efficient leadership as possible for our campus. A brief capsule of responsibilities are as follows:

CEO- Chief Executive Officer- Bobby Jones, Interim President of HSU. The CEO has ultimate responsibility and final authority for the conduct of the intercollegiate athletics program.

FAR- Faculty Athletic Representative- David Gardner, Mathematics. The FAR is the faculty voice that serves as a representative between academics and athletics. Their role is to monitor and assist the institution with academic and athletic expectations for each student-athlete that will represent the institution.

AD- Director of Athletics- Kale Gober. The AD is the athletic voice of each athletic program at HSU. His role is to guide the entire athletic program within the guidelines of the NCAA, the Conference and Henderson State University.

COMPLIANCE OFFICE- Dr. David Thigpen, Associate Athletic Director; Lenette Jones, Academic Success Coordinator. The Compliance office has the role of gathering and organizing data to insure NCAA, GAC and HSU compliance regulations are being followed at all times. This information is regularly provided in reports for compliance documentation.

HSU COACHING STAFF- Head Coaches are directly responsible for all assistant coaches and staff with their sport. Each Coach is required to take and pass the NCAA and GSC rules test prior to each academic year. All members of the sports program are

required and expected to understand and follow the rules and be an example to each student-athlete on their squad.

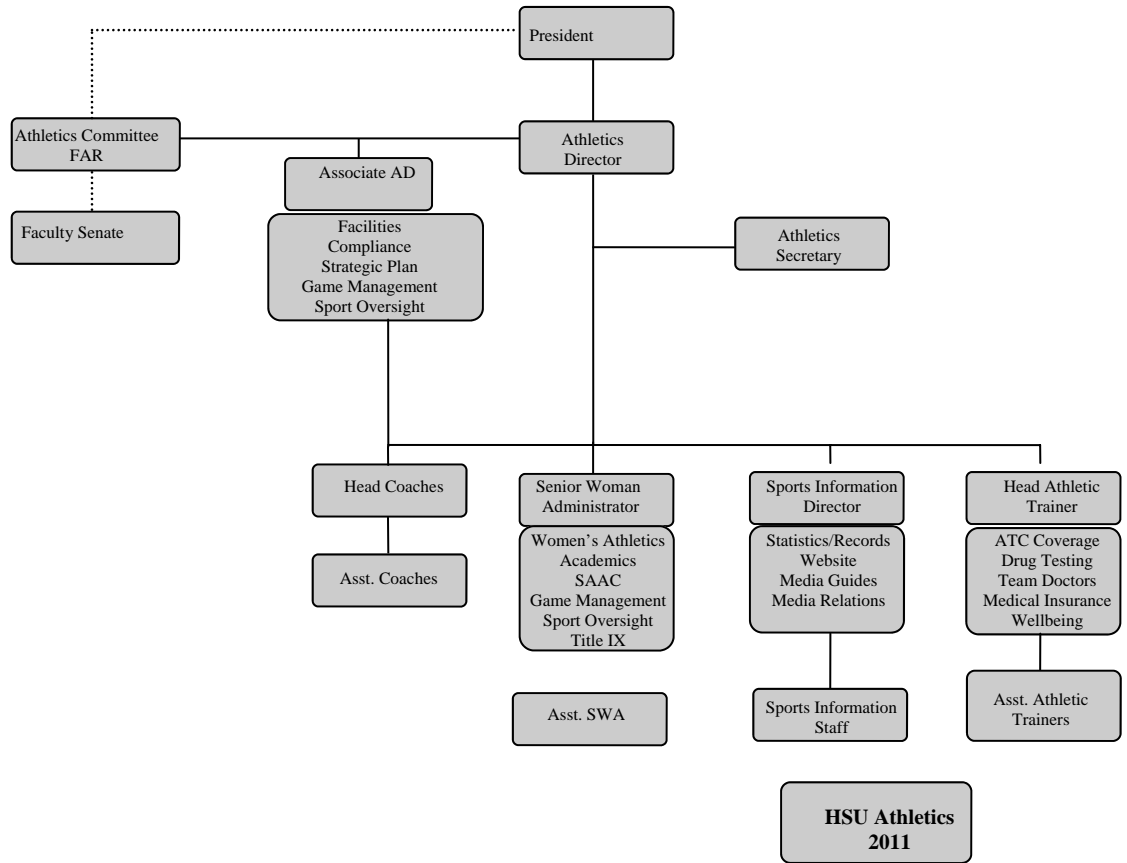
STUDENT-ATHLETE- Each student-athlete will be given the necessary information and materials to be an informed participant in NCAA interscholastic sports. They will be expected to follow the rules and be an example to each student-athlete on the HSU campus.

ACADEMIC RECORDS- Tom Gattin and Carolyn Nivens in the Registrar's Office. Compliance will use the Registrar's Office as the official source of academic eligibility at HSU. Their role is to provide official athletic eligibility documents, academic interpretations and academic support information necessary for student-athlete eligibility advisements. This office will assist in all admission and transfer matters the student will encounter at HSU. At HSU this office reports directly to the Academic Vice President Dr. Vernon Miles.

FINANCIAL AID- Vicki Taylor, Financial Aid Director at HSU. The FA office has the role of assisting with student account information. Athletic scholarships, Pell Grants, Student Loans and all other forms of student aid must flow through this office at HSU. This office will assist with all business office account and financial aid information the student will encounter at HSU. At HSU this office reports directly to the Vice President for Student Services. Pam Shuffield serves as the FA office Liaison.

STUDENT-ATHLETE ADVISORY COMMITTEE- The SAAC is made up of an elected representative and alternate from each sports team at HSU. Their role is to serve as the voice of the student-athlete in athletic and academic matters on the campus. The SAAC has a faculty advisor (Associate AD) and attends Conference and NCAA meetings to stay informed of institutional, conference, regional and national issues dealing with athletics that might affect them on our campus. For 2011-2012 Nathan Nall (FB) and Ashley Ray (SB) will serve as Co-Presidents of SAAC. Dr. Thig and Lenette Jones serve as the Co-Sponsors at HSU.

Athletic Department Organizational Chart



SECTION 1: COMPLIANCE ISSUES – RULES EDUCATION

1.0 Oversight of Compliance

Henderson State University has an Associate Athletic Director who serves as the Director for Compliance and an Academic Success Coordinator to oversee the institutions Compliance program. The Compliance office reports daily to the Director of Athletics.

1.1 Knowledge of NCAA, Conference and Institutional Regulations

A copy of the current NCAA, Conference and HSU manuals is given to all full time coaches at the beginning of the academic year. All coaches are responsible for knowing NCAA, Conference and Institutional regulations.

BYLAW 2.8 THE PRINCIPLE OF RULES COMPLIANCE: Each institution shall comply with all applicable rules and regulations of the Association in the conduct of its intercollegiate athletics program. It shall monitor its programs to assure compliance and to identify and report to the Association instances in which compliance has not been achieved. In such instances , the institution shall cooperate fully with the Association and shall take appropriate corrective actions. Members of an institution’s staff, student-athletes, and other individuals and groups representing the institution’s athletics interest shall comply with the applicable Association rules, and the member institution shall be responsible for such compliance.

1.2 Requests for Rules Interpretations

All personnel should consult the NCAA manual when in doubt about a situation. If there is a specific question that is not answered by the manual, personnel should submit questions of this nature by e-mail to the Compliance office. An answer shall be provided in a timely fashion.

1.3 Compliance Education

Compliance Education information will be shared regularly on compliance related issues. Staff meetings, Compliance Newsletter and Hot Topics memos will be some of the methods used to discuss potential new legislation and review various compliance procedures.

1.4 Certification of Compliance

Prior to the start of the academic year, each member of the Athletic department staff shall sign the Certification of Compliance form. The form states that individuals are familiar with the manual and understand the importance of rules compliance.

BYLAW 18.4.2.1.1.3 CERTIFICATION TO POLICIES, PROCEDURES AND PRACTICES: *The policies, procedures and practices of the institution, its staff members and representatives of athletic interest are in compliance at the present time with the Association's legislation insofar as the president or chancellor can determine.*

1.5 NCAA Examinations

Each coach with recruiting responsibilities shall pass the NCAA recruiting examination prior to July 31 of each year. Failure to pass these examinations results in the coach not being able to recruit for the University.

BYLAW 11.5 CERTIFICATION TO RECRUIT OFF CAMPUS: *Annual certification is required for all coaches on the HSU staff who recruit off-campus. August 1 begins the annual date of each calendar year.*

1.6 Student-Athlete Education

At the beginning of the academic year, the Director of Athletics will host a meeting to review student-athlete responsibilities at HSU. The student-athlete handbook will be reviewed and required annual compliance forms will be completed. Each student-athlete will sign a form indicating they have received this education session. Failure to complete the required compliance forms results in the student-athletes not being able to practice or compete for HSU. HSU guests invited to this meeting might include: President; Provost; FAR; SWA; Registrar; FA Director; Associate Athletic Director; Academic Success Coordinator; HSU Police Chief; Head Trainer; SAAC President; and other HSU administrators.

Continuous student-athlete compliance education will be provided through our SAAC meetings and e-mails to the SAAC Leadership Team.

1.7 Representatives of Athletics Interest

HSU must educate its boosters about NCAA legislation. A handout has been developed which will discuss rules governing contact with prospects, extra benefits, contact with enrolled student-athletes, student-athlete employment and consequences for NCAA violations. It will be distributed to all Reddie Club members, parents, Board of Trustees and selected faculty and staff. It is also located on the HSU Athletic Compliance web-link.

BYLAW 13.02.11 REPRESENTATIVES OF ATHLETIC INTEREST: *An individual who is known by a member of the institution's executive or athletic administration to have participated in promoting the institution's intercollegiate athletics program; made financial contributions; assisted in the recruitment of prospective student-athletes; provided benefits to enrolled student-athletes; and promoted the institution's athletic program.*

1.8 Compliance Team

The Compliance Team will meet quarterly throughout the year to discuss and review all Compliance Procedures. The Compliance Committee is comprised of the Registrar, Director of Financial Aid, Faculty Athletic Representative, Associate Athletic Director, Senior Woman Administrator, Athletic Academic Success Coordinator, one Coach (rotate), and one student-athlete (SAAC President).

Important issues will have reports filed through their proper chain-of-command to ensure checks and balance. (*The FAR reports to the President; the Associate AD reports to the Director of Athletics; the SWA reports to the Director of Athletics; the Registrar reports to the Provost; and the FA Director reports to the VP for Student Services.*)

SECTION 2: COMPLIANCE POLICY – RECRUITING: BYLAW 13

2.0 HSU Recruiting Philosophy Statement

The goal of the Henderson State University athletics staff is to recruit the highest quality student-athletes in keeping with the vision and mission of the institution. This entails pursuing individuals with superior academic and athletic backgrounds, evaluating and eventually offering prospects the opportunity to become students at Henderson State University. Each member of the staff is expected to comply with the recruiting standards established by the NCAA, Conference and HSU. The standards set by these governing bodies are to be strictly adhered to in the spirit of true integrity.

The ultimate purpose in recruiting every prospective student-athlete is the successful completion of a degree program within the academic curriculum set forth by HSU. In addition, each student-athlete will be provided the opportunity for development in the areas of spiritual, emotional, intellectual, and personal growth. Excellence in the areas of academic, athletic, and interpersonal opportunities will be every student's reward on the way to receiving a degree from Henderson State University.

We encourage each prospective student-athlete to visit our campus as often as possible to acquire a true feeling for the philosophy, purpose, and goals of the HSU athletic program and our institution. This will allow the prospect to evaluate the contribution they can make to this program, as well as the benefit they will receive from the program.

We present the prospect with the advantage HSU will afford them in the areas of academic excellence, athletic achievement, social growth, and moral guidance. We utilize all of the resources of the Henderson State University Athletic Department and the institution itself to enable our student-athletes to become well rounded, goal-oriented, successful individuals.

2.1 Recruiting Program Principles

Recruiting is the life-blood of any successful athletic program. It is the one key area in which we can continually out-organize and out-hustle our opponents. The business of recruiting is a 365-day a year, ever-changing job.

In the organization of priorities for our athletics program at Henderson State University, recruiting will always come first. We must always take the lead in our willingness to work hard, get the job done right and stay organized. It is up to every staff member to take an active role in our recruiting efforts. This must be a team effort.

Recruiting is a matter of pride and the ability to work together effectively. Pride in knowing when we succeed in recruiting, our days of competition with our teams will be a lot more rewarding.

Only prospective student-athletes who possess creditable academic and athletic skills should be recruited. Ever recruited prospect must show a desire to achieve on the field of play and in the classroom, with the ultimate goal of graduating from HSU.

Each Head Coach will determine who they recruit for their squad. Academic accomplishments, out-of-state fees and a long term affiliation to HSU should be considered during the recruitment process. HSU welcomes both high school prospects and transfer student-athletes with equal enthusiasm to our institution.

All policies and procedures should be followed. Timely record keeping and written documentation, which is specified in this document, is mandatory.

2.2 Recruitment Monitoring

All recruiting activities will be periodically evaluated to ensure compliance with NCAA regulations. Spot checks will occur throughout the year by the Compliance office. Questions regarding any recruiting activities should be addressed to the Associate Athletic Director.

2.3 Recruiting List (Institutional Request List-IRL)

Each prospect being recruited must be logged into the NCAA Institutional Request List (IRL). Each recruited prospect shall have his or her own log for the recruiting year and be maintained by the coach recruiting that prospect. Information that must be recorded includes contacts, evaluations, telephone calls, recruiting materials and visits. These logs will be checked monthly by the Compliance office throughout the year.

BYLAW 2.8 THE PRINCIPLE OF RULES COMPLIANCE.

BYLAW 2.9 THE PRINCIPLE OF AMATEURISM.

BYLAW 12.1.1.1 AMATEURISM CERTIFICATION PROCESS: *An institution shall use the eligibility center approved by the Executive Committee to determine the validity of the information on which the amateur status of a student-athlete is based.*

2.4 Recruiting Materials

Recruiting materials may not be sent to a prospect before September 1 at the start of the prospect's Junior year in high school. Please consult Bylaw 13.4.1 for a complete list of allowable and nonallowable recruiting materials.

BYLAW 13.4 RECRUITING MATERIAL: *An institution may not provide athletically related recruiting materials (including e-mail and facsimiles) to a prospective student-athlete until September 1 at the beginning of their junior year in high school.*

2.5 Telephone Calls

Telephone calls may not be made to a prospect (or parent) before June 15 before the prospect's Senior year in high school. Please consult Bylaw 13.1.3 for a complete list of allowable and nonallowable telephone restrictions.

BYLAW 13.1.3 TELEPHONE CALLS TO PROSPECTIVE STUDENT-ATHLETES: *An institution may not make telephone calls to a prospective student-athlete (or parent) before June 15 immediately before their senior year in high school. The calls can be made ONE time per week after that point. NOTE: FB has a different set of restrictions outlined in BYLAW 13.1.3.1.1.*

2.6 Transfer Academic Evaluation

When recruiting a transfer prospect, it is strongly encouraged to request "unofficial" academic information as early in the process as possible. This information is to be submitted to the Compliance office for Transfer Degree Credit (TDC) evaluation. From this step, Compliance will be able to give a strong indication of the academic and amateurism standing of that prospective student-athlete.

PROCEDURE FOR TURNING IN COMPLIANCE INFORMATION

- **MONTHLY RECORD SHEETS:** Coaches from each sport are required to turn in phone, contact and practice log sheets on a monthly basis. *(These are issued on the first work day of the month and should be returned to the Compliance office by the tenth day of that month.)*
- **OFFICIAL VISIT/UNOFFICIAL VISIT SHEETS:** Official and Unofficial visit forms are required within five days of the end of that visit. *(This task is best handled by a liaison from each sport. Direct communication with the Compliance office is very helpful in this process. Placing students on the IRL, rules interpretations and filing paperwork requires daily communication.)*

- **PLAYING AND PRACTICE SHEETS:** Playing and practice season and first date of competition forms are turned in two weeks prior to the start of each Fall semester. BYLAW 13

2.7 Official Visits

All official visits must be approved one week in advance by the Associate Athletic Director. For approval, a prospective student-athlete must be listed on the IRL and a transfer must have TDC verification. Upon approval, coaches may continue with the prospect's travel arrangements. Official Visit forms must be completed within 5 days of the visit. BYLAW 13.6

2.7.1 Student Host

A student-athlete may be assigned to a prospect to serve as host. A student host form must be completed by the student-athlete acknowledging comprehension of the regulations regarding serving as host. BYLAW 13.6.6.5

2.8 Unofficial Visits

Unofficial visit form must be completed within 5 days of the prospect's visit. BYLAW 13.7

2.9 Tryouts

Tryouts form must be completed within 5 days of the prospect's visit. Attach the Physical Examination form to the material. BYLAW 13.11

2.10 Recruiting Travel

Prior to making any recruiting travel arrangements, coaches must submit a recruiting travel itinerary for approval by the Director of Athletics. Notification of such travel must be provided to the Associate Athletic Director prior to travel. BYLAW 13.5

SECTION 3: COMPLIANCE POLICY – FINANCIAL AID: BYLAW 15

3.1 Initial Awards

3.1.1 Scholarship Request Forms (Grant-in-Aid: GIA)

Coaches must complete the Grant-In-Aid (GIA) scholarship request form for each prospect.

The GIA request form can be found on the Compliance web-link and will include the prospective student-athlete's Name, Address, DOB, SS# or EC#, phone# and the aid offer amount. BYLAW 15.2

The Compliance office will process the GIA for each Head Coach. The document will be placed in the mail box of the Head Coach within 24 hours of the request. The Head Coach will double-check the document and be responsible for proper delivery to the prospect. BYLAW 15.2

3.1.2 National Letter of Intent (NLI)

Coaches must complete the National Letter of Intent (NLI) request form for each prospect.

The NLI request form can be found on the Compliance web-link and will include the prospective student-athlete's Name, Address, DOB, EC# and phone#.

The Compliance office will process the NLI for each Head Coach. The document will be placed in the mail box of the Head Coach within 24 hours of the request. The Head Coach will double-check the document and be responsible for proper delivery to the prospect. BYLAW 13.9

NATIONAL LETTER OF INTENT/CONFERENCE GRANT-IN-AID

The Compliance office will process the signed/returned NLI/GIA documents. A copy of the NLI/GIA will be sent to the Conference office; Head Coach; Student-Athlete and Financial Aid office at HSU. The Conference office will activate each student-athlete on the NCAA Clearinghouse website.

3.1.3 Submission of Forms to Prospect

An offer of athletic aid is mailed to the prospect from the Compliance office detailing the amount of the scholarship, to whom to return the offer and that the forms must be received within 10 days of stated date. Forms not received by that time are considered null and void. Copies of signed forms are retained by the Conference Office, Compliance Office and Director of Financial Aid.

3.2 Continuing Awards

3.2.1 Scholarship Renewal Form

Coaches must complete the scholarship renewal form in order for the Office of Financial Aid to send renewal, reduction or cancellation letters and contracts to student-athletes.

All student-athletes from the current academic year and incoming students for the next academic year must be included. This form must be submitted to the Associate Athletic Director who will submit the information to the HSU Financial Aid Director by June 1. Letters must be received from the FA Office by July 1.
BYLAW 15.3.5 RENEWALS AND NONRENEWALS

RENEWAL/NON-RENEWAL PROCEDURE

- At the end of April each year, a renewal/non-renewal form will be sent from the Compliance Office to each Head Coach.
- Head Coaches are required to return the renewal/non-renewal forms to the Compliance Office by the end of May.
- The Compliance office will prepare the renewal/non-renewal forms and take the information to the Financial Aid office by June 1.
- The Financial Aid office will distribute the renewal/non-renewal notices to the student-athletes by July 1.
- Student-athletes return the acceptance forms to the Financial Aid Office and any appeals for a non-renewal must go through the Financial Aid Office.

3.2.2 Scholarship Appeals Process

Athletics: A student athlete has the right to appeal a decision by the coach or athletic department to cancel or reduce their athletic scholarship. In addition, the athlete may appeal other decisions made by the coach or athletic department that affect their ability to compete either at HSU or at other institutions. The student-athlete has 14 days to appeal the cancellation/reduction of their athletics aid through the Director of Financial Aid. The Student-Athlete must provide the following information to the Director of Financial Aid in order for an appeal to be considered. The student's name, ID#, year in school, sport, type and amount of previous financial aid, written statement of the issues and copies of any relevant documents needed in the case. The Director of Financial Aid has a Financial Aid Appeals Committee which is designated to hear Athletic Appeals as well as other Financial Aid appeals for the general University student. The Financial Aid Appeal Committee is a standing committee to hear and review these appeals.

BYLAW 15.3.2.4 HEARING OPPORTUNITY: *The institution's regular financial aid authority shall notify the student-athlete in writing within 14 consecutive calendar days from the date the student-athlete has been notified of the decision to reduce or cancel aid during the period of the reward....*

3.2.3 Scholarship Distribution Form

The scholarship distribution form shall be completed in order to assist the Office of Financial Aid with entering student-athletes financial aid in the appropriate accounts. This form is maintained daily by the Compliance Director through weekly meetings with each Head Coach. Information included on this form is residency status, housing status, amount of athletic scholarship award, amount of other scholarship award and the amount of book awards for both semesters. This form shall be completed by July 1.

3.3 Out of State Waivers

Out of State Waivers are set by institutional policy. All applicable requirements to qualify for an OSW must be followed by each student-athlete. Meet with the FA office to verify this task.

3.4 Squad Lists

Squad Lists are prepared prior to first practice based on financial aid information given. The squad lists are prepared by the Compliance Director in cooperation with the Office of Financial Aid. The Squad List must be completed and signed by Director of Athletics, Registrar and Faculty Athletic Representative at least 4 business days prior to first contest.

3.5 FIFTH YEAR/INJURED STUDENT-ATHLETE SCHOLARSHIPS

Fifth Year/Injured Student-Athlete Scholarships are on HOLD at HSU as of Fall 2010.

SECTION 4: COMPLIANCE POLICY – SPORTS CAMPS: BYLAW 13.12

Coaches are required to fill out the Sports Camp declaration form to secure dates and times of their camps. The Compliance office will review to make sure all NCAA, Conference and Institutional regulations are met. After camps have ended the Camp Director is required to turn in a financial report to the Compliance office. At the end of July the Compliance office will provide a yearly report to the Vice President of Finance and Administration for approval, who then forwards to the Board of Trustees for final Approval.

SECTION 5: COMPLIANCE POLICY – ELIGIBILITY: BYLAW 14

5.1 General Eligibility

The Compliance office will start the process for a prospective student to be included on the Official Squad List when three criteria have been completed:

1. **Paperwork:** All NCAA, Conference and Institutional mandated paperwork has been completed by the student and they have been cleared by the Compliance office.
2. **Physical Exam:** All physical examination and athletic training issues has been completed by the student and they have been cleared by the Head Athletic Trainer.
3. **Insurance:** All insurance related issues has been completed by the student and they have been cleared by the Insurance coordinator.

It is suggested that each Head Coach take the responsibility to provide a complete squad roster by June 1 to the Compliance office, the Head Trainer and the Insurance coordinator. With this list, each student will be notified of this policy before their arrival on campus.

5.2 Initial Eligibility

The Compliance office will prepare the Official Eligibility and Squad Lists. The Compliance Team will meet to certify the Official Eligibility List, Squad List and Detailed Financial Aid List. The Official Eligibility form must be signed by:

- Faculty Athletic Representative
- Registrar
- Director of Athletics

The Compliance office consults with the Eligibility Center about incoming freshmen's eligibility. The Compliance Team confirms that each student is admitted, eligible and degree seeking, the student is placed on the Official Eligibility Form.

5.3 Transfer Eligibility

The Compliance office will review all transfer students each program has to offer a preliminary Transfer Degree Credit (TDC) evaluation. However, an official transcript is required for review of a transfer student by the registrar. Coaches will obtain an official transcript from students to assist in the evaluation process. The coach will fill out a transfer form with TDC information, major and number of full-time terms of attendance at all previous institutions. The Compliance office will provide the Registrar with a preliminary TDC evaluation. The Registrar confirms the evaluation and establishes final eligibility status at HSU. Upon confirmation the student is admitted and degree seeking, the student is placed on the Official Eligibility Form.

REVIEWING TRANSCRIPTS OF TRANSFER STUDENT-ATHLETES

- Coach from each sport will bring an official or unofficial transcript to the Compliance Office.
- Coach will fill out a Transfer Degree Credit (TDC) form which includes the full name of the prospective student-athlete, sport, TDC information, major and number of full-time terms of attendance at all previous institutions.
- Compliance office will take the TDC form and transcript to the Registrar.
- The Registrar confirms the evaluation and establishes final eligibility status at HSU.
- Academic Success Coordinator will figure Progress Toward Degree (PTD) and builds a student-athlete file.

5.4 International Student Eligibility

International freshmen are evaluated by the Eligibility Center in accordance with the Guide for International Academic Standards for Athletics Eligibility. BYLAW 14.2.4.2 PARTICIPATION IN ORGANIZED COMPETITION BEFORE INITIAL COLLEGIATE ENROLLMENT.

5.5 Continuing Eligibility

Returning student-athletes grades and PTD credits are evaluated at the end of the academic year by the Compliance office. The student is notified if he or she does not have enough credits to be eligible for the forthcoming year and needs to attend summer school. Prior to the start of the fall semester, the number of required credits is evaluated by the Compliance Team. Upon confirmation that the student is meeting eligibility requirements, the student is placed on the Official Eligibility Form.

BYLAW 14.4 PROGRESS-TOWARD-DEGREE: NCAA Division II requires end-of-term checks as well as the end-of-year evaluations for PTD:

End of term evaluations by the Compliance office:

14.4.1 PTD Requirements: *To be eligible to represent an institution in intercollegiate athletics competition, a student athlete shall maintain progress toward a baccalaureate or equivalent degree at that institution as determined by the regulations of that institution.*

- 14.4.3.1 Fulfillment of Credit-Hour Requirements: This is the 6-Hour requirement. *It requires that 6 hours of the PTD required coursework are passed during that regular academic term.*
- 14.4.3.1.5 Designation of Degree Program. This is the Degree designation requirement. *It requires that a student-athlete designates a program of studies leading toward a specific baccalaureate degree at the certifying institution by the beginning of the third year of enrollment.*

End of year evaluations by the Compliance office:

14.4.1 PTD Requirements: *To be eligible to represent an institution in intercollegiate athletics competition, a student athlete shall maintain progress toward a baccalaureate or equivalent degree at that institution as determined by the regulations of that institution.*

- 14.4.3.2 Fulfillment of Credit-Hour Requirements: This is the 6-Hour requirement. *It requires that 6 hours of the PTD required coursework are passed during that regular academic term.*

- 14.4.3.1.4 Hours Earned during Regular Academic Year. This is the 75% requirement. *It requires that 75% of the PTD required coursework are taken in the regular academic year.*

- 14.4.3.1.5 Designation of Degree Program. This is the Degree designation requirement. *It requires that a student-athlete designates a program of studies leading toward a specific baccalaureate degree at the certifying institution by the beginning of the third year of enrollment.*

- 14.4.3.2 Fulfillment of Minimum Grade-Point Average Requirement. This is the GPA requirement as a student-athlete progresses toward PTD. *It requires that a student-athlete maintains a cumulative grade point average.*

5.6 Class Absences

Students may not miss class for practice. However, when students miss class for competition, the students' professors must be notified. Coaches must complete class absence forms for students if missing class for competition. A class absence list is submitted to the faculty by the Academic Success Coordinator prior to each absence following institutional policy. BYLAW 17

5.7 Coaches Contact with Professors

Head coaches and coaching staff members are not authorized to make contact with any professor. Checking of all progress will go through the Academic Success Coordinator. The Academic Success Coordinator will send out progress reports for each sport every 3-4 weeks during the semester.

5.8 Notice to Sports Agents

The Compliance office is making a great effort to assist all those connected with the Henderson State University Athletic Department aware of certain areas of NCAA legislation. As a potential sports agent, financial advisor, or attorney for student-athletes, you should be familiar with certain NCAA regulations and their effect on the student-athlete's eligibility. Therefore, listed below you will find a brief summary of relevant NCAA legislation. Please feel free to share this information with any professional colleagues that you feel may benefit from this information. If you wish to contact a Henderson State University student-athlete regarding representation as a sport agent, you must first register with the State of Arkansas as part of the Arkansas Athlete Agent Act.

You may do so by contacting the Office of the Secretary of State at (501) 682-5070, or write to:

Office of the Secretary of State
Statutory Documents Section
Legal Support
Athlete Agent Registration
State Capitol Room 256
Little Rock, AR. 72201

Once you have registered with the State of Arkansas, you may contact a student-athlete at Henderson State University ONLY through the Athletic Director Kale Gober at (870)-230-5072.

QUESTIONS AND ANSWERS RELATED TO SPORTS AGENTS

- I have been contacted by agents who wished to represent me both before and after the draft. Can I reach an agreement with an agent to represent me without jeopardizing my further eligibility in collegiate athletics?

No. If you or your parents reach a verbal or written agreement with an agent, this will jeopardize your eligibility at an NCAA institution.

- Is it true that it is permissible for a student-athlete to have an advisor, but not an agent? If so, what is the difference between an advisor and an agent?

It is permissible for a student-athlete to have an advisor (but not an agent) without jeopardizing further eligibility at an NCAA institution. Under NCAA regulations, a student-athlete and his or her parents are permitted to receive advice from an attorney or other individual concerning a proposed professional sports contract, provided the advisor does not represent the student-athlete directly in negotiations for a contract. In this regard, it is permissible for an advisor to discuss the merits of a proposed contract with a student-athlete and give suggestions about the type of offer the student-athlete should consider. However, an advisor may not be used as a link between the student-athlete and the professional sports team or organization. If the advisor makes direct contact with the professional team, the advisor shall be considered an agent and the student-athlete will have jeopardized future eligibility. For example, an advisor may not be present during discussions of a contract offer with a professional team or have any direct contact (i.e., by persons, telephone, E-mail, or mail) with a professional sports team on the student-athlete's behalf. Finally, the student-athlete must compensate the advisor at his or her normal rate for services rendered.

- May I receive any benefits (e.g., transportation or meals) from an agent or advisor without jeopardizing my eligibility?

No. A student-athlete will be ineligible if he or she accepts any transportation or other benefits from any person who wishes to represent him or her in the marketing of athletics ability. This rule does not prohibit a student-athlete from having a meal with someone who wishes to represent him or her, provided each pays for the actual cost of their meal and arranges for separate transportation.

- Am I permitted to negotiate directly with a professional sports team?

Yes. NCAA legislation was changed in 1992 to allow a student-athlete and his parents or legal guardians to negotiate directly with a professional team. A student-athlete is also permitted to have the institutions professional sports counseling panel negotiate on his or her behalf.

- May I reach any kind of agreement for a contract with a professional team and still retain eligibility?

No. If a student-athlete reaches a written or verbal agreement for any portion of the terms of a professional contract, he or she will have jeopardized future eligibility.

- What happens if a professional team offers to fly my parents and me to its city to watch a ballgame and meet with local media? Is a representative of the team permitted to take my parents and me to dinner or entertain us in any way?

In order to retain eligibility, a student-athlete is not permitted to receive any kind or entertainment expenses from the professional team. This includes a representative of a professional team purchasing a meal or paying expenses for a visit to the city of the team for any reason.

- Am I allowed to participate in a tryout with a professional team?

Yes, but only during the summer (beginning at the end of the academic year). Under these circumstances, a professional team is not permitted to provide any expenses for the tryout. Thus if a student-athlete decides to travel to a particular place to participate in a tryout during the summer, all expenses associated with the tryout must be provided by the student-athlete. Accordingly, this means that a student-athlete will jeopardize eligibility if he or she participates in any professional league tryout camps that take place during the academic year.

5.9 Amateurism

According to the National Collegiate Athletic Association (NCAA) an amateur student-athlete is one who engages in a particular sport for the educational, physical, mental, and social benefits derived there from and to whom participation in that sport is an avocation. The principles of amateurism, as stated by the NCAA, set forth the rules and regulations provided to the student-athlete each year. Prior to signing the student-athlete statements, each student-athlete must attest to these rules and regulations as a prerequisite for

participation in his/her specific sport season. Student-Athletes are required to notify the Coach and Compliance Office of any outside competition. BYLAW 12

5.9.1 NCAA Legislation Summary (Amateurism)

Student Athletes must retain Amateur Status Eligibility for Intercollegiate Athletics

Bylaw 12.01.1 - Only an amateur student-athlete is eligible for intercollegiate athletic participation in a particular sport.

Definition of Professional Athlete

Bylaw 12.02.3 - A professional athlete is one who receives any kind of payment, directly or indirectly, for athletics participation except as permitted by the governing legislation of the NCAA.

12.02.4-Professional Athletics Team. A professional team is any organized team that:
Is a member of a recognized professional sports organization;
Is directly supported or sponsored by a professional team or professional sports organization;
Is a member of a playing league that is directly supported or sponsored by a professional team or professional sports organization; or
Has an athlete receiving for his or her participation any kind of payment, directly or indirectly, from a professional team or professional sports organization.

Ways an Individual Loses Amateur Status

Bylaw 12.1.2 - An individual loses amateur status and thus shall not be eligible for intercollegiate competition in a particular sport if the individual:
Uses his or her athletics skill (directly or indirectly) for pay in any form in that sport;
Accepts a promise of pay even if such pay is to be received following completion of intercollegiate athletics participation;
Signs a contract or commitment of any kind to play professional athletics, regardless of its legal enforceability or any consideration received;
Receives, directly or indirectly, a salary, reimbursement of expenses or any other form of financial assistance from a professional sports organization based upon athletics skill or participation, except as permitted by NCAA rules and regulations;
Competes on any professional athletics team and knows (or had reason to know) that the team is a professional athletics team (per 12.02.4), even if no pay or remuneration for expenses was received; or
Enters into a professional draft or an agreement with an agent or other entity to negotiate a professional contract. (See 12.2.4.2.1 for exception related to the professional basketball draft.)

Student-Athlete Securing Legal Counsel

Bylaw 12.3.2 - Securing advice from a lawyer concerning a proposed professional sports contract shall not be considered contracting for representation by an agent under this rule, unless the lawyer also represents the student-athlete in negotiations for such a contract.

Presence of Lawyer at Negotiations

Bylaw 12.3.2.1 - 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.

Receiving Benefits from a Prospective Agent

Bylaw 12.3.1.2 - An individual shall be ineligible per 12.3.1 if he or she (or his or her relatives or friends) accepts transportation or other benefits from any person wishing to represent the individual in the marketing of his or her athletics 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.

Student-Athlete Receiving Free or Reduced Cost Services

Bylaw 16.12.2.2.1 - An athletics representative may not provide a student-athlete with professional services (for which a fee normally would be charged) without charge or at a reduced cost except as permitted elsewhere in this NCAA Bylaw. Professional services provided at less than the normal rate or at no expense to a student-athlete are considered an extra benefit unless they are available on the same basis to the general student body.

Other Prohibited Benefits

Bylaw 16.02.3 - An institutional employee or representative of the institution's athletics interests may not provide a student-athlete with extra benefits or services, including, but not limited to:

A loan of money;

A guarantee of bond;

The use of an automobile; or

Signing or cosigning a note with an outside agency to arrange a loan.

Current Reddies and Lady Reddies (student-athletes) Extra Benefits

An **extra benefit** is any special arrangement by an institutional employee or a representative of the institution's athletics interests to provide a student-athlete or

the student-athlete's relative or friend a benefit that is not expressly authorized by NCAA legislation. Receipt of a benefit is not a violation if it is demonstrated that the same benefit is generally available to the institution's students or their relatives or friends or to a particular segment of the student body (e.g., foreign students, minority students) determined on a basis unrelated to athletics ability.

Prohibited Financial Aid, Benefits and Arrangements

An institutional employee or representative of the institution's athletics interests may not provide a student-athlete with extra benefits or services, including, but not limited to:

- Special discounts, payment arrangements or credit (e.g., credit line at a store) on a purchase or service (e.g., dry cleaning).
- Use of institutional telephones, long distance access codes or credit cards for personal reasons.
- Use of institutional copy machines and fax machines for personal reasons.
- An automobile or use of an automobile.
- Free or reduced-cost services, rentals or purchases of any type.
- Free or reduced-cost housing. A student-athlete cannot accept free or reduced-cost housing from any HSU employee or booster. This includes in the state of Arkansas, in the student-athlete's home city or any other location.
- Free or reduced-cost storage of personal belongings.
- Loan of money, signing or cosigning of loans or guarantee of bond.
- Transportation (e.g., a ride home with a coach, ride with a booster).
- Cash or like items (e.g., gift certificates).
- Tangible items (e.g., clothing, cars, jewelry).
- Impermissible academic services (e.g., typing reports, papers, letters for a student-athlete).
- Free or reduced-cost entertainment services from commercial agencies (e.g., movie tickets, dinners, use of car, reduced admission to institutional or community events).
- Educational expenses (other than from permissible institutional and outside sources).

A student-athlete cannot accept anything from a Henderson State University employee or booster. The acceptance by a student-athlete of any extra benefit is a violation of NCAA regulations and places the student-athlete's eligibility for intercollegiate competition in jeopardy.

Permissible Benefits

- **Hometown Awards** - A hometown group (other than a Henderson State University booster club) may pay reasonable and necessary expenses of a student-athlete returning home to receive an award for athletics accomplishments. The value of the hometown award cannot exceed \$80.

- **Transportation** - It is permissible for a student-athlete to receive reasonable local transportation (within a 30-mile radius of campus) on an occasional basis from a Henderson State University employee.
- **Incidental Benefits** – Henderson State University may provide student-athletes with reasonable refreshments (e.g., soft drinks, snacks) for student-athlete's educational and business meetings and, on an occasional basis, for celebratory events (e.g., birthdays).

EMPLOYMENT:

All student-athletes are permitted to work during summer vacations, regardless of whether or not the students are receiving financial aid for summer school. All student-athletes are permitted to work during Christmas vacation, while classes are not in session, if they are not involved in intercollegiate competition during the break. There is no restriction on the amount of money earned as long as payment for the job is legitimate. BYLAW 12.4

GUIDELINES:

1. Student-athletes are permitted to work throughout the year; however, they must report to the compliance office within two weeks of beginning work during the academic year (Fall and Spring semesters). An "Employment Affidavit Form" must be completed and signed by the compliance office, the student-athlete and the employer within two weeks of the start of work during the academic year (Fall and Spring semesters). If a student-athlete fails to complete this affidavit within two weeks of beginning work he or she can be declared ineligible from competition and a violation can be submitted to the NCAA.
2. Student-athletes may only be paid for actual work they have performed.
3. Student-athletes may not be paid by the employer for the value they may bring to their employer because of their athletic reputation or fame.
4. Student-athletes may be paid for teaching or coaching sport skills or techniques in his or her sport on a fee-for-lesson basis provided that:
 - a. Institutional facilities are not used.
 - b. Playing lessons shall not be permitted.
 - c. The institution obtains and keeps documentation on file of the recipient of the lesson(s) and the fee charged for the lesson(s) provided during any time of the year.
 - d. The compensation is paid by the lesson recipient (or the recipient's family) and not another individual or entity.
 - e. The compliance office must be notified prior to beginning fee-for-lesson work.
 - f. Student-athletes may be employed on commission basis.
5. Student-athletes may be employed on commission basis if the following conditions are met:
 - a. The cost of any preliminary training must be paid for by the student-athlete (i.e., the cost cannot be paid by the institution or a booster).
 - b. The personnel employed by the company must consist of both student-athletes and non-athletes.

- c. The employment of student-athletes does not result in the company's use of the athletic reputation of any student-athletes employed by the company.
- d. The company must be able to document that employees who are non-athletes are receiving sales commissions at a rate generally equal to that of student-athletes employed by the company.

SECTION 6: COMPLIANCE POLICY - PLAYING AND PRACTICE: **BYLAW 17**

6.1 General

Playing and practice regulations are outlined in the NCAA Manual under Bylaw 17. Those regulations are to be strictly adhered. To assist in the monitoring of those regulations, certain forms have been developed.

6.2 Forms

See Forms Section

6.2.1 Playing Season Limitation Form

During the season, student-athletes shall not engage in countable athletics related activity for more than 20 hours per week. To keep track of the number of hours student-athletes are participating in countable activities, coaches must complete the playing season limitation form. This form is to be submitted to the Compliance office by the tenth of every month.

6.2.2 COUNTABLE ATHLETICALLY RELATED ACTIVITIES

The Compliance office will provide weekly/monthly tracking forms, conduct Compliance Education sessions and will do spot checks on CARA activities to double check the coaches. This is a very serious part of the NCAA *Life In The Balance* program and will be monitored closely on our campus.

During the regular academic year, the following guidelines are applicable:

- No more than four hours per day of countable activities;
- No more than 20 hours per week of countable activities when in-season, 8 hours when out of season;
- During the 20 hour/week segments, S/A's must have one day free from all countable activities.

- During the 8 hour/week periods, S/A's must have two days free from all countable activities.
- It is not permissible to pay expenses for off-campus conditioning activities which take place outside of the declared playing season.

Outside of the prescribed playing and practice season in sports other than football, only a student-athlete's participation in weight training / conditioning and skill instruction shall be permitted. Additional guidelines include:

- For an out of season team, countable activities must cease one week prior to the start of final exams. .
- Each Sport needs to consult their section in Bylaw 17 to see when the first permissible practice dates for Championship and Non-Championship segments.
- No more than 2 hours of skill instruction are permitted per week outside the playing season. Such instruction is counted within the 8 hour weekly limitation.
- In football, the only required activities that may occur outside the playing season while classes are in session are weight training/conditioning and game film review. Required weight training and conditioning activities may not exceed 8 hours per week. If coaches also require game film review, the time spent must be deducted from the 8 hours / week of conditioning time and may not exceed 2 hours per week.

Countable Athletically Related Activities. A countable athletically related activity is defined as any required activity with athletics purpose involving student-athletes and held at the direction of or supervised by one or more members of an institution's coaching staff (including strength and conditioning coaches). Some examples of countable athletically related activities include:

- a. Practice / walk-through;
- b. Competition;
- c. Required weight-training and conditioning activities held at the direction of or supervised by an institutional staff member;
- d. Participation in a physical-fitness class not listed in the UCA's catalogue and open to all students and is conducted by a member of the athletics staff;
- e. In sports other than football, participation outside the institution's declared playing season in individual skill-related instructional activities with a member of the coaching staff.

- f. Film or videotape reviews of athletics practices or contests required, supervised or monitored by institutional staff members;
- g. Required participation in camps, clinics or workshops;
- h. Meetings initiated by coaches or other institutional staff members on athletically related matters;
- i. Individual workouts required or supervised by a member of the coaching staff except as permitted under the safety exception;
- j. On-court or on-field activities called by any member or members of a team and confined primarily to members of that team that are considered as requisite for participation in that sport (e.g., captain's practices);
- k. Visiting a competition site in the sports of cross country and golf.

Non-countable Athletically Related Activities. The following are considered non-countable athletically related activities and are not counted in the weekly or daily time limitations:

- a. Training-table or competition-related meals;
- b. Physical rehabilitation;
- c. Dressing, showering or taping;
- d. Athletics department academic study hall or tutoring sessions;
- e. Meetings with coaches on non-athletics matters;
- f. Travel to and from practice and competition;
- g. Visiting the competition site in sports other than cross country, golf and skiing;
- h. Medical examinations or treatments;
- i. Fund-raising activities;
- j. Recruiting activities (e.g., serving as a student host for prospective student-athletes during official visits);
- k. Public relations activities related to the student-athlete's sport (e.g., media days);

- l. Participation in regular physical education classes, with or without credit, that are listed in the institution's catalog and open to all students;
- m. Voluntary individual workouts, provided these workouts are not required or supervised by coaching staff members, except that such activities may be monitored for safety purposes or conducted by the institution's strength and conditioning personnel who have department wide duties.
- n. Individual consultation with a coaching staff member initiated voluntarily by a student-athlete, provided the coach and the student-athlete do not engage in athletically related activities;
- o. The provision of videotapes to a student-athlete by an institution's coach that include a personalized message and athletically related information (e.g., discussion of plays, general workout programs, lectures on strategy related to the sport), provided the viewing of the videotape by the student-athlete is voluntary;
- p. Use of an institution's athletics facilities (which may be reserved) during the academic year or summer by student-athletes, provided the activities are not supervised by or held at the direction of any member of an institution's coaching staff.

6.2.3 Out of Season Limitation Form

Outside of the playing season, student-athletes shall not engage in countable athletics related activity for more than 8 hour per week. To keep track of the number of hours student-athletes are participating in countable activities, coaches must complete the out of season limitation form. This form is to be submitted to the Compliance office the tenth of every month.

6.3 Summer Conditioning Activities

Summer Workouts: Henderson State University staff members may not organize, observe or participate in a team workouts during the summer except as noted below for safety exception and individual sports. Required meetings and work-outs for student-athletes would be considered a violation of NCAA rules. This also includes requiring student-athletes to submit summer work-out logs and progress reports. Student-athletes may meet individually with a coach provided it is at the student's request and no practice activities occur.

Involvement of Strength Coach:

Student-athletes may participate in voluntary conditioning activities in the presence of a strength coach. The strength coach may monitor, conduct, supervise, or assist student-athletes in voluntary weight-training or conditioning program for safety activities.

BYLAW 17.02.1.1.

Involvement of Staff Members:

Except as noted for individual sports, coaches and staff members with sport specific responsibilities (operations directors, etc.) may not observe student-athletes participating in voluntary activities (running, lifting, pick-up games, etc.) during the vacation period.

Permissible Summer Conditioning Activities:

All countable athletically related activities outside the playing season are prohibited one week prior to the beginning of the final examination period through the conclusion of the institution's final examination. Participation in voluntary individual workouts monitored by strength and conditioning personnel for safety purposes per Bylaw 17.02.1.1 shall not count against the weekly hour limitation. BYLAW 17.1.6.2.

Safety Exception:

In the sports of crew, gymnastics, swimming / diving, track (field events only), water polo and wrestling a coach may be present during voluntary individual workout sessions in HSU's regular practice facilities when the student-athlete uses equipment associated with their sport. While the coach may provide safety instruction and skill instruction, the coach may not conduct the individual's workouts.

Videotaping:

Henderson State University staff members may not arrange for the videotaping of student-athletes engaged in summer practice activities.

SECTION 7: COMPLIANCE POLICY – ENFORCEMENT: BYLAW 19

7.1 General

By definition IN bylaw 19.02.2.1 a secondary violation is one that provides only a limited recruiting or competitive advantage and that is isolated or inadvertent in nature. Most secondary cases are self-reported (either by the institution or through a conference office). All violations should be reported to the Director of Athletics, Associate Athletic Director, FAR or SWA. The Compliance office at HSU will process and lead all investigations with the help of the Faculty Athletics Representative. The Director of Athletics and President will coordinate all media releases through the Sports Information Office and the Office of Public Relations.

7.2 Processing a Secondary Violation

When information is developed concerning a potential violation, the established institutional or conference guidelines of the processing of such information should be

followed. When the review is complete and a detailed written report is being developed, it should include the following information:

- The date and location of the violation;
- A description of the violation, including the rule citation;
- The identity of the coaches, prospective and enrolled student-athletes, and other individuals involved in the violation;
- The reasons the violations occurred;
- The means by which the institution became aware of the violation;
- A list of corrective and disciplinary actions taken by the institution and conference (if any);
- The institution's position regarding the information (It is important to note, if an institution disagrees that the facts result in a violation, the stipulated facts first would be referred to the NCAA membership services staff for a determination of the application of NCAA legislation).
- A statement indicating whether any eligibility issues need to be resolved and, if so, whether the institution is requesting restoration of eligibility for any prospective or enrolled student-athlete, and
- Any other information which should be considered in reviewing the case.
- Fill out a Conference Form for Violations and forward to Associate Commissioner for Compliance of the Conference

Once all pertinent information is received, secondary cases are reviewed by the enforcement staff under the provisions of NCAA Bylaws 32.4. Under Bylaw 19.6, an institution has an opportunity to appeal the decision to the full Committee on Infractions. The appeal may occur through written correspondence or through an appearance before the committee.

SECTION 8: PHYSICAL WELFARE - ATHLETIC TRAINING POLICY AND PROCEDURES

I. ATHLETIC TRAINING SERVICES MISSION STATEMENT

The Henderson State University Training faculty and staff are committed to providing personalized and comprehensive healthcare to the student-athlete. Our goal is to focus on the prevention of athletic injuries and illnesses. With the cooperation of our Athletic

Training Education Program we are able to provide the highest possible healthcare as well as competence in areas such as injury evaluation, management, rehabilitation and counseling. By adhering to the National Athletic Trainers' Association's (NATA) Code of Ethics and the Board of Certification's (BOC) Standards of Practice, the athletic training faculty and staff are committed to returning student-athletes to competition as soon as they are medically ready.

II. ATHLETIC TRAINING POLICIES

• **Athletic Training Room Rules For Student-Athletes**

The following rules are in effect for all HSU athletic training rooms. Student-athletes should follow these rules so they can be served efficiently.

1. Student-athletes must come dressed appropriately for their treatment or rehabilitation. The athletic training faculty/staff will make every effort to treat student-athletes on a first come first serve basis. At times, in-season sports may have priority.
2. Student-athletes are expected to report to treatments **on time**. Failure to comply with this can result in the athletic trainer refusing treatment.
3. Student-athletes should assist in keeping the athletic training room clean.
 - DO NOT wear shoes in the athletic training room.
 - DO NOT dress or undress in the athletic training room.
 - Leave clothing, bags you do not need in your vehicle, the locker room or in the designated shelving area.
4. Athletes will not administer self-treatments. All treatments, taping, bandaging, and padding will be provided by the faculty/staff athletic trainers or supervised athletic training students.
5. DO NOT remove equipment or supplies from the athletic training room without the permission of a faculty/staff athletic trainer.
6. DO NOT use the athletic training room equipment or supplies without permission.
7. There will be no horseplay, improper language or unnecessary confusion.
8. DO NOT hang out in the athletic training room. Athletes should only be in the facilities when they are in the process of acquiring athletic training services.
9. After practice, athletes should shower before receiving treatment of wounds, cuts and abrasions.
10. Athletes should return all equipment and supplies (wraps, crutches, etc.) as soon as they no longer need to use them. Athletes will be charged for equipment and supplies which have not been returned.
11. Athletes will treat all athletic trainers with the utmost respect. This respect will then be returned in-kind to student-athletes.

• **Pre-Participation Physical Exam**

Prior to participation on any Henderson State University athletic team or athletic department sponsored group, the student-athlete must have been examined and approved

for activity by a HSU certified athletic trainer and a HSU Team Physician. If a student-athlete is a minor, a parent or legal guardian must sign the form. Yearly re-screening, consisting of medical history, vital screen and examination of any changes to medical history will be done for returning athletes and will take place prior to the beginning of the season. An athlete may remain on the team roster without passing a pre-participation physical exam BUT he/she cannot participate in any team activities until the pre-participation physical exam is completed.

- **Medical Disqualifications**

Conditions which disqualify a student-athlete from participation in HSU athletics are at the discretion of the HSU Team Physician and Head Athletic Trainer. Potential disqualifications may include, but are not limited to, incomplete rehabilitation of a previous injury, gross joint instability, systemic illness, pregnancy, or loss of a paired organ. In the event an athlete wishes to participate on a HSU athletic team, and has any of the above-mentioned conditions, he or she must have written permission from the HSU Team Physician, providing medical clearance for activity and indicating all stipulations of his/her participation.

- **Tryouts**

For sports where open try-outs are held, students may participate in limited contact activities only after completing the “Try-Out Release Form”. If the student is a minor, a parent or legal guardian must sign the form. The form will only be effective for one (1) week. After this time the student must complete a pre-participation physical exam in order to participate in any team activities (practice, weights, running, games, competition, etc). The Try-Out Release Form is not to be used to replace the pre-participation physical exam.

- **Athlete Medical Readiness**

Decisions regarding an athlete’s medical readiness for participation will be the responsibility of the HSU Team Physician and HSU certified athletic trainers. In the absence of the HSU Team Physician, this decision becomes the responsibility of the assigned certified athletic trainer who serves under the direction of the team physician. **A student-athlete’s private physician does not have jurisdiction regarding participation status of any HSU student-athlete.** Any student-athlete that is evaluated by a physician other than the HSU Team Physician must return to the athletic training room to acquire final clearance for participation in HSU Intercollegiate Athletics. If a student-athlete is under the care of a personal/family physician for an injury or illness and the physician’s treatment precludes or alters activity in intercollegiate athletics, the student-athlete must provide, **in writing**, a release to reinstate the student-athlete to full participation. No student-athlete will be allowed to return to participation until the appropriate certified athletic trainer has received a release from the student athlete’s personal physician. The HSU medical staff will make all final decisions regarding the treatment, rehabilitation and return to play of HSU student-athletes.

- **Medical Second Opinions**

If student-athletes or their parents desire a second opinion regarding an injury/illness, the HSU athletic training faculty/staff can assist in making arrangements to see another physician. There is a vast network of health care professionals in the Texarkana and Little Rock, Arkansas area. If a student-athlete is evaluated by a physician or other health care professional and undergoes a diagnostic test **WITHOUT** prior written authorization or referral from the HSU medical staff, the student-athlete will be financially responsible for any and all medical bills incurred. **Second opinions are at the expense of the student-athletes and/or their parent(s)/guardian(s).** Once again, the HSU team physician and/or certified athletic trainer will make the final decision regarding medical readiness for all HSU student-athletes.

- **Medical Referral Policy**

Medical referral forms are documents the athletic training faculty/staff send with injured/ill student-athletes when they are referred to a health care provider. This document has important confidential information on it such as the student-athlete's social security number, date of birth, diagnosis, insurance information, doctor's notes, etc. The faculty/staff athletic trainer must initially fill out this document. The physician will then chart his/her diagnosis and any additional treatment or rehabilitation orders. The student-athlete is to bring this document back to the appropriate athletic training faculty/staff person. The certified athletic trainers will carry out the orders as directed by the Team Physician and place all documentation in the student-athlete's medical file. Student-athletes will not be allowed to return to activity until they provide the appropriate certified athletic trainer with the completed medical referral form. The physician's orders are vital information which the certified athletic trainers may use to decide on student-athlete readiness and return to play.

Please note the following when deciding on whether a student-athlete needs to see a physician for an injury/illness.

1. All physician referrals must be pre-approved by a certified athletic trainer. If a coach feels a student-athlete needs to see a doctor, this must be discussed with the certified athletic trainer with that sport. In the event a team does not have a certified athletic trainer working directly with them, this referral can be discussed with any faculty/staff athletic trainer. No coach is to refer a student-athlete to any healthcare provider without approval from a faculty/staff athletic trainer unless it is an emergency situation.
2. A medical referral form must accompany each student-athlete to any medical appointments.

3. All medical referral forms **must include the athlete's primary insurance and HSU's secondary athletic insurance information.** If a student-athlete does not have primary insurance, secondary athletic insurance will act as the primary insurance.

NOTE: Student-athletes with Health Maintenance Organization (HMO) or Preferred Provider Organization (PPO) insurance coverage must get pre-approval for services or procedures that will incur expenses (except for emergency treatment). The student-athlete's parents should be notified if surgery or costly diagnostic procedures are necessary. It is the responsibility of the student-athlete to notify the athletic training faculty/staff of any change to their medical insurance status.

4. When the prescribed treatment is available in the athletic training room, the student-athlete should be treated under the supervision of the athletic training faculty/staff. Treatment at other medical facilities must have prior approval from a HSU certified athletic trainer.

5. A certified athletic trainer must approve any miscellaneous medical expenses. (i.e. braces, orthotics, medication, etc.) Failure to notify the appropriate certified athletic trainer of these expenses may place financial burden on the student-athlete or the individual sport.

- **Transportation of Athletes for Medical Care**

At no time is an athletic training student allowed to transport an injured or ill student-athlete. Doing so places the University and the athletic training student at risk of liability. A full time HSU employee such as a coach, graduate assistant, police officer, or certified athletic trainer must transport the student-athlete. Severely injured/ill student-athletes should always be transported by ambulance. It will be the responsibility of the student-athletes to see they have appropriate transportation for all doctor appointments, scheduled surgery and prescription pickup.

- **Drug Testing Policy**

The Athletics Department, NCAA, and the Conference believe in the promotion of good physical health and safety of all student-athletes. As a consequence, the Athletic Department's Substance Abuse and Education Program will consist of a two-fold process: (1) student-athlete education, and (2) illegal drug and substance abuse testing. The purpose of the educational program is to assist student-athletes by ensuring they are well informed about illegal drugs, dietary supplements, and the abuse of legal drugs. The education program attempts to promote a healthy student-athlete lifestyle, as well as, a fair competitive environment. The purpose of the drug and substance abuse testing program is to deter the use of illegal drugs, and discourage the abuse of legal drugs and dietary supplements by student-athletes. The screening program involves periodic testing designed to identify those student-athletes who use any substances banned by HSU, the Conference and NCAA. **Please refer to the complete policy on drug testing in the next section.**

- **Medication Policy**

1. Certified athletic trainers must approve the use of all over-the-counter (OTC) medications given to student-athletes and coaches.
2. Any medication given out must be recorded along with the student-athlete's name, date, and the dosage given on the chemical distribution form located in the medicine cabinet.
3. In the athletic training room the only medications given to student-athletes are OTC medications.
4. Under **NO** circumstances are certified athletic trainers and athletic training students to dispense prescription medication. Only team physicians are qualified to prescribe and dispense prescription medications.

- **Equipment Issue and Return**

Athletic training equipment such as neoprene sleeves, ankle braces, elastic wraps, etc. are given to those student-athletes with a medical need for the equipment. The release of equipment will be documented and signed by the student-athlete and the athletic trainer checking out the equipment. At the end of the sport season all equipment should be turned in within seven (7) days. The student-athlete is subject to grades being flagged or fines if equipment is lost or not turned in.

- **Outside Medical Care and Financial Liability**

Henderson State University provides the best possible medical coverage for all student-athletes. HSU provides secondary medical coverage for athletic injuries that have been reported and documented. **Injuries must clearly be a direct result of participation in a scheduled and organized practice/conditioning session or game/competition which is under the direct supervision of a representative of the HSU Athletic Department.**

In the event of an athletic injury:

1. The athlete must report to a certified athletic trainer within seven (7) days from the occurrence of an athletic injury. If the injury is not reported, HSU may not be held financially responsible for the cost of providing definitive care for the injury. Athletic injuries may include, but are not limited to trauma to bone, joint, muscle, teeth etc.
2. All student-athletes are expected to report for daily treatment of injuries as directed by the certified athletic trainer. If requested, coaches can be provided an injury report identifying student-athletes who have received care and those student-athletes who have not reported for required treatment. Student-athletes who do not comply with the treatment plan prolong their condition and increase the likelihood of complications to their injury. It is not the responsibility of the certified athletic trainer to discipline a student-athlete for non-compliance with treatment or

rehabilitation. However, the certified athletic trainer may choose to remove a student-athlete from participation if said participation could cause further harm.

3. If an injury is significant enough to require **medical referral**:
 - a. Student-athletes will be required to get a signed medical referral form from the HSU certified athletic trainer. This form must be taken to the attending physician, completed and signed by the physician, and returned to the certified athletic trainer. In the case of an emergency the athletic trainer will handle the required initial documentation.
 - b. HSU athletes requiring any special services including, but not limited to: medication, MRI, braces, outside treatment, second opinion, or surgery must return to the athletic training faculty/staff to get approval from the certified athletic trainer for each special need. Coaches and student-athletes are not to make this decision. A HSU athletic trainer or team physician must first approve additional diagnostic tests, medication, etc.
 - c. All student-athletes under the care of a physician for an injury are expected to attend treatments and rehabilitation as prescribed. Failure of a student-athlete to comply with treatment or rehabilitation plans will be reported to the coach.
 - d. Student-athletes seeking medical care on their own without prior notification of a HSU certified athletic trainer may be denied secondary insurance coverage for the expenses incurred. Student-athletes must provide a detailed written report if they are evaluated by a doctor other than a designated HSU physician. The HSU team physician may also have to provide medical clearance before the student-athlete can return to sport activity. In the written report from a non-HSU physician, orders/directions regarding any follow-up care must be provided.
4. Non-athletic related injuries:

Student-athletes will be referred to a physician or the HSU student health service if an injury/illness is not athletic related. Students must take a HSU medical referral form with them and return a copy of the completed form to the appropriate certified athletic trainer. This will be required before a certified athletic trainer initiates any treatment or rehabilitation. HSU athletic secondary insurance does not cover non-athletic related injuries.
5. HSU graduates and former student-athletes:

Follow-up care of athletic injuries after an athlete graduates or discontinues participation must be approved and arranged by the Head Athletic Trainer.

III. HSU INTERCOLLEGIATE ATHLETICS MEDICAL INSURANCE POLICIES

- All student-athletes must present proof of insurance coverage before participation in HSU athletics.
- Should a student athlete not have primary insurance coverage the head coach of a sport may elect to have HSU purchase a primary, temporary policy for the student-athlete. This cost of this policy will come out of the insurance budget for the specific sport.
- Personal primary insurance must cover the student-athlete in Arkansas and be a true primary insurance. ARkids (or other form of Medicaid) is not an acceptable form of coverage because of non-coverage with a secondary insurance provider in place. HMO based insurances can be accepted but the athlete MUST follow the rules of their insurance company for care. This can lead to extended times for diagnostic studies and more complex care as the athlete will have to return to where the HMO is for care. The cost of transport for such care is at the expense of the student athlete.

- **Insurance And Athletic Injury Claims Process:**

1. In the event a student-athlete sustains an injury which requires medical attention, the certified athletic trainer working with that student-athlete will complete the secondary insurance claim form. Claims are only filed on injuries or illnesses related to athletic participation. The claim will then be given to the athletic insurance coordinator to be sent to the HSU Intercollegiate Athletics secondary insurance company.
2. It will be the HSU Insurance Coordinator's responsibility to see that all bills and explanations of benefits (EOB) are collected and appropriately filed.
3. The HSU Insurance Coordinator will communicate with the primary insurance company for the student-athlete and all medical providers who provided care to the student-athlete. It is the Claims Coordinator's responsibility to see that all medical bills which should be covered by secondary insurance are paid in a timely manner.
4. Questions about coverage for a condition will be directed to the certified athletic trainer assigned to the sport of the athlete in question.

- **Insurance Payments For Athletic Injuries:**

1. Student-athletes with family or personal health insurance are responsible for submitting all claims to their primary insurance company for payment of allowable charges. It is the responsibility of the student-athlete to handle any primary insurance requirements and to follow up with their primary insurance on any bills. Student-athletes are required to submit any unpaid portion of medical expenses and any explanation of benefits (EOB) provided by their primary insurance to the appropriate HSU certified athletic trainer. At that time the medical expenses will be filed with the HSU Intercollegiate Athletics secondary insurance company.
2. Failure to comply with the above steps could mean bills go without being paid and can be turned over to collection agencies by the medical providers. This action can cause student-athletes and/or parents credit rating to be placed in jeopardy.

- *Restricted Insurance Policy Per Provider*

If a student-athlete's primary insurance is a restricted insurance policy with designated providers (e.g. HMO, PPO), student-athletes are strongly encouraged to change the primary care physician (PCP) to a HSU Team Physician or to a local physician. This will allow the student-athlete to have quicker access to care within a network of physicians in the area. A HSU certified athletic trainer can assist with this process.

- *Compliance With Insurance Company Requests*

It is the student-athletes and parents responsibility to understand the conditions that apply to their medical insurance policy and comply with any requests from their primary insurance company. Any delinquent bills resulting in bad credit due to non-compliance with the insurance company's requests will be the responsibility of the student-athletes and their parents/legal guardian. In the event a student-athlete or a parent receives payment/reimbursement directly from the insurance company for an athletic-related injury/illness claim, **until such time as the provider receives payment, the full account balance becomes the responsibility of the student-athlete or the parent.**

- *Medical Bills*

When a student-athlete or parent receives a bill/statement for an injury/illness that occurred as a direct result of participation in intercollegiate athletics at HSU, the student-athlete or parent must submit the bill (HCFA 1500) to the appropriate certified athletic trainer within **20 business days** of receipt. Bills received after 20 business days will be the responsibility of the student-athlete or the parent.

Submit all correspondence to:

Henderson State University
Attn: Athletic Insurance Coordinator – Kim Jackson
Box 7894
1100 Henderson St.
Arkadelphia, AR 71923

- *Exclusions and Limitations for HSU Intercollegiate Athletics Secondary Insurance*

HSU Athletics Department's secondary coverage does **NOT** apply to any of the following situations. This list is not all-inclusive.

1. Injuries/illnesses that are not the direct result of participation in intercollegiate athletics during the dates of the primary competitive season and designated off-season activities as approved by the Director of Athletics and in accordance with NCAA regulations.
2. Experimental procedures
3. Cosmetic surgery or procedures, unless directly related to an athletics injury.

4. Hospital room and board charges in excess of the semi-private room rate unless hospitalized in an intensive care unit.
5. Injuries/illnesses which are a result of intramural, club sports and recreational activities (non-intercollegiate activities), as well as, training/conditioning activities which occur outside the primary competitive season and designated off-season periods.
6. Injuries/illnesses which are recurrences of old injuries/illnesses that were sustained before participation in the intercollegiate sports program without prior physician clearance.
7. Any tests / consultations needed to gain approval for participation in the intercollegiate athletic program.
8. Expenses for athletic injuries incurred after completion of the student-athlete's intercollegiate athletic eligibility.
9. Medical expenses beyond the limitations and exclusions of, or not covered by the HSU Intercollegiate Athletics Department insurance policy.

The importance of having some form of personal health insurance coverage cannot be overemphasized. Medical bills resulting from the aforementioned activities will be submitted to the student-athlete's primary medical insurance. **Any unpaid balances are the responsibility of the student-athlete or the parent.** The master policy on file at the University contains all the provisions, limitations, exclusions, and qualifications of the HSU Intercollegiate Athletics Department's insurance policy, some of which may not be included in this information unless HSU is self-insured. If any discrepancy exists between this information and the policy, the master policy will govern and control the payment of benefits.

IV. MEDICAL COVERAGE POLICIES

- **Medical Policy Statement**

Priority for medical coverage is based upon risk of injury, in-season vs. out-of-season and the availability of a HSU certified athletic trainer. It is necessary that attention be given to student-athletes of all sports whether they are out-of-season, pre-season, or in-season. Sports which are in-season have priority during all pre-practice preparation periods. Athletic training students cannot cover practices, conditioning, or the athletic training room without direct supervision by a certified athletic trainer. In many instances athletic training students will accompany certified athletic trainers in the athletic training rooms and at practices and game events.

SECTION 9: COMPLIANCE FORMS

Compliance forms are available online under the Compliance Section at Henderson State University Athletic web page. Visit us at www.hsu.edu

- Go to COMPLIANCE.
- Go to COACHES FORMS.

Compliance forms are also available in HARDCOPY form in the Athletics office in Wells Gymnasium.