Compliance Manual
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Chapter I
Admissions
1.1 Admission Process

1.1.1 Monitoring Admissions. To assure a Prospective Student Athlete (PSA) is admitted to WSU, the correct information must be sent to the correct people. Different records and information are required for freshmen, transfers and international students. Coaches are encouraged to keep a checklist for each prospect.

1.1.2 Relationship with Admissions Office. The Student Athlete Services and Compliance Office will act as the liaison between the Admissions Office and Coaching Staffs. Coaches shall ensure any communication with the Admissions Office concerning the admissions of prospects goes through the Compliance Office.

1.1.3 PSA Database. The PSA Database is essential to the admissions process. Without a student listed on the PSA Database, the Compliance Office is unaware that a PSA is being recruited and cannot monitor a PSA’s admissions status. For each PSA, Coaches should email the applicable information (First Name, Last Name, City, and State) to PSA@winona.edu. In the email subject line, include Activate and Sport at WSU (ex. Activate Softball).

1.1.4 Timing of Admissions. WSU has a rolling admission process. Therefore, if a PSA is admissible per WSU’s standard admissions policy, he or she will be immediately admitted. WSU starts accepting admissions applications on September 1st at 8:00 am each year.

1.1.5 Admissions Report. Once a coach has identified a PSA through the PSA@winona.edu email, the coach can track the PSA admission status using Student Athlete Services & Compliance Coaches Report. In the event the PSA is no longer being recruited by a WSU Coaching staff, the coaching staff shall email PSA@winona.edu the following PSA First Name and Last Name in an email to PSA@winona.edu to deactivate the PSA. Include Deactivate and the specific Sports Team in the email subject line.

1.1.5.1 Minimum Information. An admissions report shall at a minimum indicate if the student has submitted the proper materials or accomplished the following tasks (refer to 5.2.2):

- Application Date to WSU
- Application Status (Complete, Pending)
- Application Result (Accepted, Accepted on Appeal, Denied)
- Official Test Score Received
- High School Transcript Received
- Paid Application Fee
- Academic Scholarships Offered
- Application Housing Date Received
- Housing Fee Received

1.1.6 Application Fees. The admissions application fee of $20.00 may be waived for those PSA’s experiencing financial hardship.
1.1.6.1 Waving the Application Fee. A PSA’s application fee may be waived through the following steps:

1. A PSA submits an application via mail or online.
2. The PSA asks his or her guidance office to mail a brief letter on high school letterhead sent to WSU Admissions Office requesting the application fee be waived due to a financial hardship for the PSA.

1.2 Freshman Applicants

1.2.1 Freshmen. For purposes of this policy, freshmen are considered to be PSA’s whose initial full-time enrollment at WSU will be his or her first full-time enrollment at any collegiate institution. The following is required of all freshmen:

1. Application - Freshmen must submit an application to WSU along with the applicable application fee. The Admissions Office will not process the PSA’s application until the application fee is received.
   a. Applications may be submitted online or by mail.

2. Test Score - The PSA must request that ACT or SAT scores be sent directly to WSU Admissions from the testing agency.
   a. If the test score appears as an official score on an official high school transcript, it is acceptable for admission purposes.
   b. If a PSA uses a code (ACT 2162, SAT 6680) when taking the test, their scores will be sent free of charge to WSU.

3. Transcripts - The PSA must request that the high school send an official transcript in a sealed envelope directly to the WSU Admissions Office.

4. The Admissions Office will determine the PSA’s admission in accordance with standard WSU admissions policies on ACT/SAT, Class Rank, and 16 Units of high school preparation.

**ACT Admission Requirements:**

- 21 ACT or higher and top 67% class rank or higher
- 18, 19, or 20 ACT score and top 50% class rank

If the high school does not calculate class rank the following is used (4.0 scale):

- 21 ACT or higher and a 2.75 GPA or higher.
- 18, 19 or 20 ACT scores and a 3.0 GPA or higher.
SAT Requirements:
SAT scores will be matched equivalently to ACT test scores by the Admissions office.
- (860-890) and top half of class.
- (980-1010) and in top 2/3 of class

16 High School Preparation Requirements

<table>
<thead>
<tr>
<th>Years</th>
<th>Class</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>English</td>
</tr>
<tr>
<td>3</td>
<td>Mathematics (2 years algebra; 1 year geometry)</td>
</tr>
<tr>
<td>3</td>
<td>Science (1 year biological science; 1 year chemistry or physics; all should include labs)</td>
</tr>
<tr>
<td>3</td>
<td>Social Studies (including 1 year U.S. history)</td>
</tr>
<tr>
<td>2</td>
<td>Same World Language (American Sign Language accepted; no sampler/review courses)</td>
</tr>
<tr>
<td>1</td>
<td>Specified Electives (World Cultures, Computer Science, Arts, Music)</td>
</tr>
</tbody>
</table>

1.2.2 Freshmen Appeals Process. First-year applicants coming directly from high school who do not meet the admission requirements because of special and unique circumstances may be considered for admission by special appeal. If unusual circumstances exist, the student should first complete the regular application process. Then, if the student is denied admission to the University, he/she should write a letter of appeal to the Director of Admissions. This letter should outline the unique circumstance and should be supported by appropriate documentation and two letters of recommendation from high school faculty. The admissions appeals committee will review cases as they become complete and submit a recommendation to the Director of Admissions. The appeals process will take about four weeks.

1.3 Transfer Applicants

1.3.1 Transfers. For purposes of this policy, transfers are considered those prospects transferring to WSU from a two-year or four-year college or university where he or she was enrolled as a full-time student. The following is required of such transfers.

1. Application - Transfers must submit an application to WSU along with the applicable application fee. The Admissions Office will not process the transfer's application until the application fee is received.

2. Transcripts - The PSA must request his or her official college transcripts from each college attended be sent in a sealed envelope to WSU (all MnSCU schools admissions can obtain official transcripts online). Even if the PSA has not completed a full term (e.g., withdraws before completing a term at the transfer institution), he/she must have that institution send transcripts to WSU. If the PSA has completed fewer than 24 semester credits of transferable coursework at the time of application, the PSA also must request an official final high school transcript be sent to WSU.
3. The Admissions Office will determine the PSA’s admission in accordance with standard WSU transfer admissions policies.

4. Application deadline is 45 days before the start of each term.

1.3.2 Transfer Admission Requirements. PSA’s who have completed at least 24 semester credits after high school graduation at a nationally accredited college or university with a 2.40 GPA or higher will generally be admitted. If cumulative college GPA is between 2.2 and 2.39, a transfer specialist will conduct a personal interview and review the application with the PSA.

PSA’s with fewer than 24 semester credits completed also must submit a final high school transcript and ACT score (ACT 2162, SAT 6680). If a PSA has an ACT score of 18 or higher and was in the top half of her/his graduating class; or, if a PSA has an ACT score of 21 or higher and was in the top two-thirds of her/his graduating class, he/she will generally be admitted as long as the transfer GPA is 2.40 or higher.

1.3.3 Transfer Appeals Process. If a PSA wishes to appeal denial of admission, he/she must submit an appeal packet to WSU including a personal statement, explaining factors that affected school performance, and two letters of recommendation from college or university faculty members attesting to the PSA’s ability to succeed at WSU. Any other evidence to support the appeal also may be included. The admissions appeals committee will review cases as they become complete and submit a recommendation to the Director of Admissions. The appeals process may take up to four weeks.

1.4 International Prospects

1.4.1 International prospects follow the Standard Admission Policies for freshmen and transfers but have a higher level of complexity with each case. Coaches need to immediately notify the compliance staff when working with international PSA’s.

1.4.1.1 First Year International PSA’s need to complete the following:

- WSU International Application
- Application fee of $20.00 USD
- Original Academic Records (High School certificates or ECE Evaluation Report – General)
- Original Financial documents (bank statement)
- Affidavit of Support (not needed if financial documents are in the applicant’s name)
- Official TOEFL or IELTS or SAT or TOEIC or ACT
- Photocopy of passport (biographic)

1.4.1.2 International Transfer Students who have attended an institution(s) in the US need to complete the following:

- WSU International Application
- Application fee of $20.00 USD
• Original Academic Records (College/University Transcripts)
• Original Financial documents (bank statement)
• Affidavit of Support (not needed if financial documents are in the applicant’s name)
• Photocopy of passport (biographic)

1.4.1.3 International Transfer Students who have not attended an institution(s) in the US must provide:
• Original Academic Records (College/University Transcripts or ECE Evaluation Reports – Catalog Match)
• Official TOEFL or IELTS or SAT or TOEIC or ACT.
Chapter II
Initial Eligibility
2.1 Certifying Eligibility

2.1 Certifying Eligibility. The academic records and other pertinent information of all student-athletes new to WSU (freshmen and transfers) shall be evaluated to determine eligibility status under NSIC/WIAC and NCAA rules and regulations. The Compliance Office shall coordinate the eligibility process for each student-athlete in conjunction with the representatives from various offices, including Admissions and Student Record Services, and the Faculty Athletics Representative.

2.2 NCAA Eligibility Center Certification Process

2.2 NCAA Eligibility Center Certification Process. All student-athletes new to WSU will complete applicable certifications provided through the NCAA Eligibility Center. The necessary certifications will depend upon a PSA’s circumstances prior to enrollment at WSU. The Compliance Office shall indicate to the Head Coach or her/his designee, which certifications must be completed by individual PSA’s. As a general rule, incoming freshmen will complete the Academic and Amateurism Certifications, while transfer student-athletes only need to complete the Amateurism Certification.

2.2.1 Academic Certification. To complete the NCAA Eligibility Center Academic Certification, the PSA must submit standardized test scores (ACT or SAT) and all transcripts documenting coursework completed during or after 9th Grade. The materials must be submitted directly to the Eligibility Center, which means that test scores need to be sent directly from the applicable testing agency and transcripts need to be sent directly from the originator of the transcript. Transcripts must be sent via mail or electronically, but cannot be faxed or emailed.

2.2.2 Qualifier Status. Once all materials have been submitted, the Eligibility Center shall determine the Qualification Status of the PSA. All PSA’s will be classified as a Qualifier, Partial Qualifier or Non-Qualifier. To be declared a Qualifier, a PSA must have a satisfactory test score (ACT = 68, SAT = 820) and a 2.000 Core GPA in 16 specific core credits (for more information on core credits, a PSA should be referred to his High School Guidance Office). To be declared a Partial Qualifier, a PSA must meet one of the criteria described above. To be declared a Non-Qualifier, a PSA must meet neither of the criteria described above.

2.2.2.1 Full Qualifier. A Qualifier is eligible to receive athletic aid, practice, travel and compete in her/his first year of enrollment.

2.2.2.2 Partial Qualifier. A Partial Qualifier is eligible to receive athletic aid and practice, but cannot travel or compete in her/his first year of enrollment.

2.2.2.3 Non-Qualifier. A Non-Qualifier is not eligible to receive athletic aid, practice, travel or compete in her/his first year of enrollment.
2.2.3 Academic Year in Residence. A Partial or Non-Qualifier must serve an academic year in residence (enrolled two full-time semesters) before he/she can compete for WSU.

2.2.2 Amateurism Certification. All PSA’s new to WSU must complete the NCAA Eligibility Center Amateurism Certification. The PSA will complete this process by logging into her/his account on the Eligibility Center website and answering questions related to her/his participation in a given sport. Upon completion of this step, a PSA may receive Preliminary Amateurism Certification. Beginning with April 1 of a PSA’s Senior Year of High School, he/she may request Final Amateurism Certification. Only student-athletes who have received Final Amateurism Certification will be permitted to represent WSU in competition. A PSA will need to complete Amateurism Certification for each sport that he/she wishes to participate in at WSU. For example, a PSA would need to complete the Amateurism Certification for both Cross Country and Track & Field, should he/she wish to participate in both programs at WSU.

2.2.3 Tracking of Academic and Amateurism Certifications. Each May, the Compliance Office shall compile a list of expected incoming PSA’s for each program using the existing Institutional Request List (IRL), the PSA Database and information from Head Coaches or her/his designee. The Compliance Office will then track the progress of these PSA’s throughout the summer and will keep the Head Coach, or her/his designee, of each program apprised of progress made through regular email notifications. Throughout the process, PSA’s may contact the Compliance Office for assistance.

When each incoming PSA has completed all necessary certifications, the Head Coach will receive a final IRL documenting that the overall process has been completed. The Head Coach also will receive a final IRL at least 48 hours before her/his first competition. These reports should be kept by the Head Coach for her/his records.

2.3 Temporary Certification Period

2.3 Monitoring Temporary Certification Period Process. A student-athlete may practice, but not travel or compete, for 45 days (beginning with the program’s first day of countable athletically related activity) while her/his Academic and Amateurism Certifications are processed. The Compliance Office will track the student-athlete during this “grace period” and keep the Head Coach apprised of progress made and time remaining until the grace period has concluded. Following the expiration of the grace period, the student-athlete may not participate until the certification is complete.

2.4 Transfers

2.4.1 Initial Eligibility of a Transfer. In addition to the Eligibility Center process, the academic records of all 2-year and 4-year transfer student-athletes at WSU must be evaluated before eligibility can be certified. The Compliance Office shall work in conjunction with the Admissions and Student Record Services Offices to determine if transfer student-athletes meet
The applicable NSIC/WIAC and NCAA requirements for transfer student-athletes. The Compliance Office also will rely on materials provided by the NCAA Eligibility Center, the transfer PSA’s previous institution(s) and the transfer PSA when certifying eligibility at WSU.

2.4.2 Transfer Evaluation Procedure. The following process is established for all Transfer PSA’s:

1. Prospective Student-Athlete (PSA) contacts a Winona State University representative and requests more information regarding a potential transfer to Winona State University.

2. University representative contacts the Winona State University Compliance Office. If PSA is transferring from a four-year institution, the Winona State University Compliance Office emphasizes to said representative and all other involved parties that no Winona State University representative is permitted to speak with the PSA until permission has been granted by the previous institution.

3. The Winona State University Compliance Office sends appropriate eligibility tracking form to PSA’s previous institution(s) and secures permission for Winona State University representatives to communicate with the PSA.

4. If permission is granted to speak with PSA, the Winona State University Compliance Office requests that the PSA provide a transcript for evaluation.

5. PSA is added to Winona State University’s Institutional Request List and the relevant factors provided therein (i.e. amateurism, qualifier status, etc.) are immediately considered.

6. When the eligibility tracking form and transcript are received, the following analysis occurs:
   a. The Winona State University Compliance Office determines if PSA left the previous institution in good standing and with athletic eligibility intact.
   b. The Winona State University Compliance Office evaluates materials to determine factors influencing athletic eligibility including, but not limited to, the number of full-time semesters used by the PSA, the number of seasons of competition used by the PSA, and whether or not the PSA has been granted a release by the previous institution(s).
   c. A Winona State University Transfer Admissions Counselor determines the number of transferrable credits and the PSA’s Transfer Grade Point Average (TGPA).

7. The Winona State University Compliance Office determines if PSA meets any exceptions to the mandatory academic year in residence and if the PSA is eligible for any or all of the following: practice, athletic financial assistance, travel and competition.

8. The Winona State University Compliance Office shares the results of the analysis with relevant personnel within the Athletic Department including, but not limited to, the Head
Coach, Faculty Athletic Representative, and the Athletic Director. The Faculty Athletic Representative / Certification Officer independently analyzes the conclusions made by the Compliance Office to ensure their veracity.

9. If PSA chooses to enroll at Winona State University, the Winona State University Compliance Office confirms with previous institution(s) that all information provided by said institution(s) on official documents (e.g. eligibility tracking form, official transcript) is current and accurate.

10. Upon enrollment, PSA is added to Compliance Assistant (NCAA Compliance Tracking Software) and is required to complete all relevant procedures and paperwork pertaining to student-athletes at Winona State University.

2.4.3 Preliminary Evaluations. To aid the Coaching Staff during the recruitment of a transfer student-athlete, any member of the Coaching Staff may request a preliminary evaluation of a transfer PSA. To request a preliminary evaluation, simply email the Compliance Office and include the following:

- PSA’s First and Last Name
- PSA’s Phone Number
- PSA’s High School and Hometown
- All institutions previously attended by PSA
- Any transcripts (Official or Unofficial) from institutions previously attended by the PSA
- Any other relevant information

2.4.3.1 Preliminary Evaluations Report. The Compliance Office then will prepare a preliminary evaluation (distributed via email) advising the requesting coach as to the various factors surrounding the transfer PSA’s eligibility (seasons of competition remaining, immediate eligibility, potential concerns, etc.). This report will aid the Coaching Staff during the recruitment process, but all involved must remember that the report is preliminary and subject to change.

2.4.4 Final Eligibility Certifications. Following completion of enrollment at the previous institution, and upon receipt of all requested academic records, the Compliance Office shall notify each Head Coach via email of the eligibility decision for each transfer PSA.

2.4.4.1 Transfer from NSIC Member Institution. If a transfer PSA is transferring from another NSIC member institution and appeared on said institution’s squad list the previous year, the transfer PSA may need to complete an academic year in residence (2 full-time semesters; eligible for receipt of athletic aid and practice, but not travel or competition) at WSU.

2.4.4.2 Transfer Does Not Meet NCAA Requirements. If a transfer PSA does not meet NCAA requirements, he/she must complete an academic year in residence at WSU. The transfer PSA’s eligibility in regards to receipt of athletic aid and practice is governed by the transfer PSA’s initial NCAA Eligibility Center qualification determination (i.e.
Qualifiers and Partial Qualifiers may receive athletic aid and practice, while Non-Qualifiers may not receive athletic aid or practice.

2.4.4.3 **Storage of Transfer Paperwork.** The Compliance Office will store all documents related to a transfer PSA or a potential transfer PSA on the Athletics Server.

2.5 **Initial Eligibility & Transfer Waivers**

2.5.1 **Waivers and Appeals of Initial Eligibility Certifications.** In special circumstances, a PSA may qualify for a waiver to certain NSIC/WIAC or NCAA requirements regarding initial eligibility. In this case, the Compliance Office shall notify the PSA and the applicable Head Coach of the PSA’s potential eligibility for a waiver and will coordinate the process.

2.5.2 **Waivers and Appeals of Transfer Eligibility Certifications.** In special circumstances, the Compliance Office may conclude that although a transfer PSA does not meet NSIC/WIAC or NCAA requirements related to the eligibility of transfer student-athletes, he/she may be a candidate for an appeal of the eligibility decision. If this is the case, the Compliance Office shall notify the PSA and the applicable Head Coach of the possibility of an appeal and will coordinate the process. If a PSA or Head Coach feels that a PSA may qualify for consideration of an appeal, he/she also may contact the Compliance Office directly.

2.6 **Communicating Eligibility**

2.6.1 **Eligibility Report.** The Compliance Office shall prepare and print an eligibility report accurately reflecting the eligibility status of each student-athlete within a particular program prior to each sport’s first competition. Updates to the eligibility report will be made as needed when there are changes in eligibility status. A student-athlete should not compete at WSU unless he or she is listed as eligible on an eligibility report filed with the NSIC.

2.6.2 **Filing Eligibility Reports.** The Registrar’s Office shall sign for accuracy and deliver eligibility reports and eligibility report updates to the Compliance Office. The Compliance Office is responsible for obtaining the remaining required signatures of the Head Coach, Director of Athletics (or designee) and Faculty Athletics Representative. The Compliance Office shall submit completed eligibility reports to the NSIC prior to the sport’s first contest and updates to the eligibility report prior to an individual student-athlete’s first competition.

2.6.3 **Eligibility Memo.** The Compliance Office shall complete an eligibility memo for each program. This memo will outline the program’s roster and the current eligibility status of each student-athlete. Specifically, the memo will indicate whether or not the student-athlete can compete and/or practice.

2.6.4 **Updating the Eligibility Memo.** The Compliance Office is responsible for updating a team’s eligibility memo every time a student-athlete’s eligibility changes. This includes any time temporary certification for recruited or non-recruited student-athletes expire.
2.6.5 Distributing Eligibility Memos. The Compliance Office is responsible for distributing an eligibility memo prior to the start of each particular team’s practice for the academic year. Updates to eligibility memos shall occur as outlined in provision 4.4.4. Eligibility memos shall be sent to the following individuals (or designees within the group).

1. Head Coach
2. Athletic Training
3. Sports Information
4. Strength & Conditioning
5. Registrar’s Office
6. Financial Aid Office
7. Athletic Academic Services
8. Student Conduct Office – Only contacted for Add or Removal from Roster

2.6.6 Active Roster. The current active roster is located under Student Information Reports in the athletics report database.

2.6.7 Coaches’ Responsibility for Eligibility Reports and Memos. Head Coaches are responsible for reviewing eligibility reports and eligibility memos for accuracy. Head Coaches also are responsible for disseminating the information on the reports and memos to her/his coaching staff. Any inaccuracy found by the Head Coach shall be reported to the Compliance Office. A Head Coach shall adhere to eligibility report and eligibility memos.

2.6.8 Registrar’s Responsibility for Eligibility Memos. The Registrar’s Office is responsible for reviewing eligibility memos issued by the Compliance Office for any errors. If errors are recognized, the Registrar’s Office will notify the Compliance Office immediately.

2.6.9 Participation Rosters – Active Roster. The Compliance Office will update the participation rosters for monitoring purposes based on the eligibility memos (see provision 9.5.1).
Chapter III
Recruiting
3.1 Recruiting Process

3.1.1 Recruiting a Prospective Student-Athlete (PSA). As defined by the NCAA Division II Manual, recruiting is any solicitation of a PSA or a PSA’s relatives [or legal guardian(s)] by an institutional staff member or by a representative of the institution’s athletics interest for the purpose of securing the PSA’s enrollment and ultimate participation in the institution’s intercollegiate athletics program.

NOTE: All Department of Intercollegiate Athletics Staff members should be aware that institutional employees may not discuss the recruitment of a PSA until a PSA signs a National Letter of Intent, Financial Aid Agreement or pays WSU’s housing deposit.

3.1.2 PSA Database. The PSA Database is essential to the admissions process. Without a student listed on the PSA Database, the Compliance Office is unaware that a PSA is being recruited and cannot monitor a PSA’s admissions status. For each PSA, a Head Coach or her/his designee should email the applicable information (First Name, Last Name, City, and State) to PSA@winona.edu. In the email subject line, include Activate and Sport at WSU (ex. Activate Softball).

3.2 Institutional Request List (IRL)

3.2.1 Institutional Request List (IRL). The IRL places a PSA on a list and notifies the Eligibility Center the PSA is being recruited.

3.2.2. IRL Activation. Coaches are responsible for adding a PSA to the IRL. The following steps need to be taken to activate a PSA to Winona State IRL.

1. Log into NCAA.org.
2. Click on LSDBi. This takes you to the Eligibility Center Member Institutional Portal.
3. Click on Eligibility Center tab.
4. Hover over the IRL tab, then click on IRL Activation.
5. Enter information that you know about the PSA. First Name, Last Name, and State work the best.
6. Click Go Search.
7. Check Sel box. Select one Sport. Select Recruitment Cycle (The year the PSA will be attending college. Ex. Fall 2014 Freshmen is 1415 PSA).
8. Click Activate.
3.2.3. **IRL Deactivation.** Coaches under no circumstances may deactivate a PSA from the IRL. If a coaching staff member deactivates a PSA from the WSU IRL, her/his IRL rights will be revoked. If a coach makes a mistake, (e.g. adding a PSA to the wrong recruitment cycle) the coach must email WarriorCompliance@winona.edu with the PSA name and error. Include IRL Deactivation in the subject line. A member of the Compliance Office will make the change.

3.2.3.1 **IRL Update.** At the end of May the Compliance Office will update the IRL list to actively show who is expected to be on the athletic roster for the following academic year.

3.2.4. **IRL Reports.** The IRL Reports allow coaches to view what information the PSA has submitted to the Eligibility Center. Examples are contact information, ACT/SAT scores, high school transcripts and amateurism information. Reports can be viewed only after a PSA has been added to WSU IRL. Steps to view IRL Reports:

1. Logo into the Eligibility Center Member Institution Portal.
2. Hover over Reports Tab and click Search Student Details.
3. Select Sport and Recruitment Cycle.
4. Click Go Search.
5. More detailed view of a PSA check Sel on PSA.
6. Click Get PSA Details.
7. Click on PSA Name.

**3.3 Official Visits**

3.3.1 **Documents Required for a Visit.** WSU requires the following documents for a PSA to come on an official visit.

1. Test score – WSU accept a print-off from testing agency, a score located on a transcript, a score appearing on the Eligibility Center’s institutional request list or a score already reported to the WSU Admissions Office; and

2. A completed official visit notification form (see provision 3.3.3).

3.3.2 **Timing.** The Compliance Office must have all required paperwork prior to a PSA departing from home for the visit.

3.3.2.1 **Arrangements.** A program may take the necessary steps to make flight and travel arrangements (including purchases) prior to compliance approval. However, if the
official visit is denied, the program accepts responsibility for any non-refundable costs because each Staff is expected to know all official visit requirements.

### 3.3.3 Official Visit Approval Process

The following process shall be followed for approving all official visits.

(a) PSA presents a score from a PSAT, an SAT, a PLAN or an ACT test taken on a national testing date under national testing conditions or an ACT test taken on a state testing date under state testing conditions. The score must be presented in writing through a testing agency document or on a high school (or college) academic transcript (official or unofficial) or through the use of the applicable testing agency’s automated-voice system.

An international or learning-disabled PSA who requires a special administration of the PSAT, SAT, PLAN or ACT may present such a score on the approval of the appropriate academic requirements committee;

(b) Registers with the NCAA Eligibility Center; and

(c) Is placed on the institution’s IRL with the NCAA Eligibility Center. (13.6.2)

1. A member of the Coaching Staff is responsible for completing the official visit notification form (Appendix P). The following information shall be entered by a member of the Coaching Staff on the top of the form:

   a. Name of the PSA

   b. City & State

   c. Sport

   d. PSA’s Eligibility Center ID number

   e. Projected date of the PSA’s visit to campus

   f. Projected host’s name

   g. List the name of the PSA’s previous institution(s) and select the appropriate box for high school, junior college or 4-year institution

2. A Coaching Staff member is responsible for completing the section of requirements for official visit, which are as follows:

   a. Registered with the Eligibility Center

   b. Added to the sports IRL
c. Have met one of the following test score requirements:
   - Test score on file with Eligibility Center, or
   - Test score on file with Winona State Admissions Office, or
   - Test score sent to Department on national testing agency document, or
   - Test score record on official or unofficial high school transcript.

3. A coach forwards the Official Visit Form to the Compliance Office.

4. The Compliance Office will complete the “clearance for visit” section, approving the form by verifying the following:
   a. The PSA has taken a required test;
   b. The PSA is registered with the Eligibility Center and has been added to the IRL;
   c. A projected host is listed and the host is a permissible host per NCAA legislation; and
   d. The PSA is visiting during a period allowed by the sport’s NCAA recruiting calendar.

5. Once the Compliance Office has approved the Official Visit form, the Coaching Staff will be contacted through email of clearance for visit.

6. A coach or sport specific employee will make hotel arrangements for an official visit. The person making hotel arrangements is responsible for making sure official visit hotel rooms are standard hotel rooms. No suites or special amenities are allowed.

7. Within five working days of completion of the on campus recruiting visit, the coaching staff must submit the official visit record form (Appendix Q) to the Compliance Office.

3.3.4 Transportation. In accordance with NCAA legislation, any WSU athletics employee (e.g. paid or volunteer) may transport a PSA and a PSA’s parents during an official visit. A University vehicle should be used for transportation.

   3.3.4.1 General Restrictions. A member institution may pay the PSA’s actual round–trip transportation costs for the PSA’s official visit to its campus, provided a direct route between the PSA’s home and the institution’s campus is used. Use of a limousine or helicopter for such transportation is prohibited. (13.5.2)

3.3.5 Requesting Complimentary Admission for PSA’s – Official Visits. The process for requesting and obtaining complimentary admissions for PSA’s is as follows:
1. During an unofficial visit, the institution may not pay any expenses or provide any entertainment except a maximum of three complimentary admissions to a campus athletics event in which the institution’s intercollegiate team practices or competes. Such complimentary admissions are for the exclusive use of the PSA and those accompanying the PSA on the visit and must be issued on an individual game basis.

2. Requests for complimentary tickets for recruits can be made on the Recruit Ticket Request Form (yellow) (Appendix O) and submitted to the Assistant AD for Events at least 24 hours prior to the starting time of the home event. Please list only one PSA and her/his guests per form.

3. Complimentary tickets will be picked up at will call and will require a photo ID to match the name of the PSA and PSA’s guests.

3.3.6 Student Hosts. A student host is responsible for understanding and abiding by WSU, NSIC/WIAC and NCAA regulations governing official visits. Student hosts are responsible for representing WSU in a professional manner and are accountable for their actions in the presence of a PSA. Student hosts shall not take part in any activities or events at any location that may cause even a perception of impropriety. The following regulations apply to student hosts:

1. Only one student-athlete per day from WSU per official visitor can serve as an official host. Other students may assist with hosting the prospect but shall pay for their own entertainment and meals.

   a. If the student host is unavailable for a meal, the sport may pay for a different student-athlete to eat at the meal. Such an occurrence must be properly reported (see provision 3.2.3).

2. A maximum of $30 for each day of the visit may be provided to cover all actual costs of entertaining the host and the PSA (and the PSA’s parents, legal guardians or spouse) excluding the cost of meals and admission to campus athletic events. These funds may not be used to purchase souvenirs such as t-shirts or other institutional mementos. A student host may be provided an additional $15 per day for each additional PSA the host entertains.

3. No cash may be given to the visiting PSA or anyone else accompanying the PSA.

4. Student hosts may not use vehicles provided or arranged for by any coach, institutional staff member or booster of the university.

5. Student hosts may not allow a PSA to use the host’s personal vehicle.

6. Student hosts may not transport the PSA or anyone accompanying the PSA beyond a 30 mile radius of campus.
7. Student hosts shall not allow recruiting conversations to occur on or off campus between the PSA and a booster of the athletic program. (If an unplanned meeting occurs, only an exchange of a greeting is permissible.)

8. A visiting PSA may engage in recreational or workout activities as long as the activity is not arranged or observed by a coach.

9. A student host may not provide a PSA with alcohol or drugs or use alcohol or drugs in the presence of a PSA.

10. A student host shall not provide a PSA with an escort or exotic dancer or bring a PSA to a party where exotic dancers are present. Further, student hosts shall not bring a PSA to a bar or gentleman’s club or adult entertainment venue.

11. Former student-athletes cannot serve as a host.

3.3.6.1 Student Host Form (Appendix R). In order for a current student-athlete to serve as a student host, the student needs to meet with a member of the coaching staff and review the policies surrounding hosting a PSA. The student host will need to sign, the Student Host Form.

3.4 Unofficial Visits

3.4.1 Unofficial Visit Log. When a coach has face-to-face contact beyond a greeting with a PSA during an unofficial visit, an unofficial visit entry must be completed and submitted to the Compliance Office by the fifth day of the following month. The Excel document log includes the following:
   a. Date of visit - Month/Day/YR
   b. First & Last Name
   c. Home Town & State
   d. On or off campus meal (On or Off)
   e. Names or Relationship of family members who received meals
   f. Off campus transportation (Yes or No)
   g. Number of complimentary admissions to home contest (max of 3 tickets)
   h. Name of contest
   i. If student is staying overnight on campus or off campus or N/A
   j. Lodging Host

3.4.2. Dining with Prospects during Unofficial Visits. An institution may provide a PSA (and the PSA’s relatives or legal guardians) with one meal in the institution’s on-campus dining facility during an unofficial visit. When all on-campus dining facilities are closed, an institution may provide a meal in an off-campus dining facility.

   3.4.2.1 Dining with Current Student-Athletes during Unofficial Visits. A current student-athlete may not receive a meal during an unofficial visit paid for by the University or
representatives of the University. If a current student-athlete accompanies a recruit to a meal on an unofficial visit, he/she needs to pay her/his own expenses.

3.4.3 Transportation. Any Institutional Staff member that has passed the NCAA recruiting certification test may transport a PSA and those accompanying the PSA in accordance with NCAA legislation during an unofficial visit.

3.4.3.1 Student-Athletes Transporting Prospect during Unofficial Visits. Student-athletes may not transport PSA on or off campus during an unofficial visit.

3.4.4 Complimentary Admissions.

3.4.4.1 Sports Requesting Complimentary Admission for Prospects – Unofficial Visits. The process for requesting and obtaining complimentary admissions for PSA’s is as follows:

1. During an unofficial visit, the institution may not pay any expenses or provide any entertainment except a maximum of three complimentary admissions to a campus athletics event in which the institution’s intercollegiate team practices or competes. Such complimentary admissions are for the exclusive use of the PSA and those accompanying the PSA on the visit and must be issued on an individual game basis.

2. Requests for complimentary tickets for recruits can be made on the Recruit Ticket Request Form (yellow) (Appendix O) and submitted to the Assistant AD for Events at least 24 hours prior to the starting time of the home event. Please list only one PSA and her/his guests per form.

3. Complimentary tickets will be picked up at will call and will require a photo ID to match the name of the PSA and PSA’s guests.

3.5 Recruiting Materials

3.5.1 Permissible Materials. Permissible recruiting materials are outlined in the NCAA Manual. A Staff member may provide permissible materials to PSA’s as outlined within the manual.

3.5.2 Verification of Grade Level. Before a Coaching Staff member sends permissible recruiting materials to a PSA or a PSA’s parents, the coach must verify through one source the grade level of the PSA. Such verification may come from a PSA completing a questionnaire, from a coach or high school official or from a high school document (e.g. transcript).

3.5.3 Recruiting Presentations. A Coaching Staff may use recruiting presentations as outlined by the NCAA Manual. All recruiting presentations must be preapproved by the Compliance Office prior to being used by a Coaching Staff.
3.5.3.1 Recruiting Presentation Approval Process. The following process shall be followed for the approval of recruiting presentations:

1. A Coaching Staff develops a presentation in accordance with NCAA legislation.

2. The Coaching Staff delivers a copy of the presentation to the Compliance Office.

3. The Compliance Office reviews the presentation and determines if the presentation is permissible per NCAA legislation.

4. The Compliance Office emails the Coaching Staff its determination whether the presentation is permissible or not.
   a. If the presentation is deemed permissible, the Coaching Staff may use it for recruiting purposes as outlined within the NCAA Manual.
   b. If the presentation is deemed impermissible, the Coaching Staff may make any corrections to the presentations and restart the approval process from step one.

3.5.4 Videos. A Coaching Staff may use videos in the recruiting process as outlined by the NCAA Manual. All videos used for recruiting must be preapproved by the Compliance Office.

3.5.4.1 Recruiting Video Approval Process. The following process shall be followed for the approval of recruiting videos:

1. A Coaching Staff sends a copy of the video to the Compliance Office.

2. The Compliance Office views the video, determining if the video is permissible to use for recruiting purposes per NCAA legislation.

3. The Compliance Office emails the Coaching Staff its determination as to whether the video is permissible to use for recruiting or not.
   a. If the video is deemed permissible, the Coaching Staff may use it for recruiting purposes as outlined within the NCAA Manual.
   b. If the video is deemed impermissible, the Coaching Staff may not use the video for recruiting purposes.

4. The Compliance Office saves a copy of all approved videos.
3.6 Telephone Calls

3.6.1 Permissible Telephone Calls. Department Staff shall adhere to all legislation outlined within the NCAA Manual pertaining to telephone calls.

3.6.2 Coaches Reporting Telephone Calls. The Coaching Staff shall record telephone calls as follows.

3.6.2.1 Recording Telephone Calls. The Coaching Staff must record the first and second calls and the date when athletic aid was offered.

3.6.3 Triggering Recruited Status. The Coaching Staff triggers NCAA defined “recruited status” for a PSA by making multiple phone calls to the PSA or the PSA’s parents.

3.7 Contacts and Evaluations

3.7.1 Permissible Contacts and Evaluations. Department Staff shall adhere to all legislation outlined within the NCAA manual pertaining to contacts and evaluations.

3.7.2. Reporting Contacts and Evaluations with Expense Reports. A coach is required to print and sign a Travel Request Form (Appendix C) prior to leaving campus. A coach will not be reimbursed for any off campus travel if a travel request form has not been submitted prior to departure.

3.7.3. Expenses Incurred while Recruiting. A coach may only use WSU funds to recruit PSA’s. Any expenses used from sources outside of WSU must be preapproved by the Compliance Office. Preapproval must come through written email correspondence between the coach and the Compliance Office. A coach should seek preapproval at least a week prior to travel.

3.8 Recruiting and Scouting Services

3.8.1 Permissible Recruiting and Scouting Services. WSU may subscribe to recruiting and scouting services as outlined by the NCAA Manual.

3.8.2 Preapproval for Purchasing a Recruiting or Scouting Service. All subscriptions for recruiting or scouting services must be preapproved by the Compliance Office prior to purchase.

3.9 National Letters of Intent and Financial Aid Agreements (Appendix S)

3.9.1 National Letter of Intent. WSU is a member of the National Letter of Intent (NLI) program. Staff members will abide by all rules governing the NLI program.
3.9.1.1 A Coaching Staff is responsible for making sure the NLI requirements are met before submitting the NLI and Financial Aid Agreements (FAA) to the Compliance Office. The following NLI requirements need to be met before sending an NLI:

1. PSA has to be registered with the Eligibility Center.

2. PSA has to be placed on the WSU IRL.

3. PSA has to have a transcript on record at one of the following places:
   - WSU Admissions Office – Coaches can verify by using the Student Athlete Services and Compliance Admissions Report.
   - Eligibility Center – Verify under student details.
   - Official or Unofficial transcript sent to WSU Athletics – Need to include a copy when bringing documents to the Compliance Office for 3.9.4 step #3.

3.9.2 Preparing a National Letter of Intent. The Coaching Staff is responsible for preparing its own NLI’s and FAA. An FAA must accompany all NLIs. An NLI is invalid without an FAA.

3.9.2.1 Creating NLI. The following steps should be used for a member of a coaching staff to create an NLI:

1. Log into NCAA.org.

2. Click on LSDBi. This takes you to Eligibility Center Member Institutional Portal.

3. Hover over NLI and click NLI Signing.

4. Select Sport and Recruitment Cycle.

5. Check Sel box for any PSA to be issued a NLI.

6. Enter Issuance Date. If an NLI is prepared prior to the initial signing date for a sport, the date of issuance on the NLI should read as the first permissible signing day. (Hint if NLI will not be sent out for a couple of days, adjust the Issuance Date accordingly. The PSA has 14 days from date of issuance to return a signed NLI and FAA agreement to WSU.)

7. Answer Two-year college transfer Yes or No. The 2yr transfer must not have ever signed NLI before.

8. Click Create NLI (Provision and Signing Page).

3.9.3 Preparing Financial Aid Agreements (FAA). An FAA must accompany all NLIs. It is the responsibility of the Head Coach (or designee) to get the signature of the Director of Student Financial Aid or that of her/his designee on the FAA.
3.9.3.1 Creating Financial Aid Agreements (FAA). The following steps should be used by a Coaching Staff member to create an FAA:

1. Typeable PDF version of the FAA is available under Athletic Department Forms on the S Drive under Financial Aid Agreement Folder.

2. Open In-State or Out-of-State Financial Aid Agreement Form depending on permanent address of the PSA.

3. Enter PSA Full Name.

4. Enter PSA Address located in Student Athlete Services Coaches Report or IRL Reports 3.2.2.

5. Enter Date Issued: This date needs to match the Issuance Date on the NLI. The earliest date a PSA can be issued an NLI is the first day of the initial signing date for a given sport. If an NLI is prepared prior to the initial signing date for a sport, the date of issuance on the NLI should read as the first permissible signing day. The PSA has 14 days from date of issuance to return a signed NLI and FAA agreement to WSU.

6. Under Type of Assistance choose from the following categories: Athletics Grant-In-Aid, Athletic In-State, Athletic OGDEN.

7. Under Amount of Assistance enter the amount for each of the types of assistance. Amounts of Athletic In-State and Athletic OGDEN will be emailed annually to the coaching staff by the Compliance Office. The FAA should be stated in dollar amounts ($3,000) except for cases of offering a “full ride”, in which case the FAA should be written as a 1.0 equivalency.

3.9.4 Steps to Process NLI. When possible, all NLI’s and FAA’s should be processed together to create a more efficient process.

1. A member of the Coaching Staff processes NLI and FAA (refer to 3.9.2.1 and 3.9.3.1 respectively).

2. Head coach reviews and signs the FAA.

3. NLI and FAA are submitted to the Compliance Office. The NLI and FAA are reviewed for any errors and are recorded in the PSA database. If NLI and FAA are complete the documents will be signed and the Coaching Staff will be notified to pick up the NLI and FAA within one business day.
4. FAA needs to be signed by Financial Aid Athletics Liaison and needs to be dropped off at the Warrior Hub for Financial Aid liaison signature. Financial Aid will have FAA signed within one business day to be picked up by a member of the Coaching Staff at the Warrior Hub.

5. Coaching Staff can mail, fax or email the NLI and FAA to the PSA.

3.9.5 Returning the NLI to the Compliance Office. The Coaching Staff is responsible for forwarding all returned NLI’s and FAA’s to the Compliance Office (all copies, including originals and faxed or emailed). The Compliance Office will then process the NLI as follows:

1. Review the NLI to determine if it is valid or invalid, including verifying:
   a. The date of issuance is correct;
   b. All required signatures and dates are on the NLI; and
   c. The dates inputted by a prospect and a prospect’s parents are correct and the time/date inputted was during a period that makes the NLI valid.

2. If the NLI is valid, the Compliance Office shall take the following steps:
   a. Update the PSA Database to record valid NLI. Email the following individuals/departments informing them that an NLI is valid:
      • The applicable Coaching Staff; and
      • Sports Information Office.
   b. File the NLI and FAA with the NSIC by scanning and attaching it to an email.
   c. Create a hard file to be kept for the PSA.

3. After the Sports Information Office receives an email indicating an NLI is valid, it may issue any media release as outlined within the NCAA Manual.

4. If the NLI is invalid, the Compliance Office shall take the following steps:
   a. Notify the Coaching Staff through an email;
   b. Notify the PSA through an email; and
   c. If the NSIC is not already aware, notify the conference via email.

5. All NLI’s and FAA’s shall be kept on file with the Compliance Office.
3.10 WSU Letter of Intent

3.10.1 WSU Letter of Intent. The WSU Letter of Intent is a non-binding document that PSA’s can sign stating they will be attending WSU.

3.10.1.1 Preparing a WSU Letter of Intent (Appendix NN). The Coaching Staff is responsible for preparing its own WSU Letters of Intent. The Coaching Staff will utilize the WSU Letter of Intent template for all non-scholarship signees.

3.10.1.2 Processing a WSU Letter of Intent. The Coaching Staff is responsible for forwarding all returned WSU Letters of Intent to the Compliance Office and Sports Information Fact Sheet (Appendix OO) to Sports Information Office. The Compliance Office will then process the WSU Letter of Intent as follows:

1. Review the WSU Letter of Intent to determine if it is valid or invalid by reviewing signatures of the PSA and the PSA’s parents and the date;

2. Record the valid WSU Letter of Intent into the PSA Database;

3. Review if the PSA has been accepted to WSU; and

4. Notify the Sports Information Office, who then may produce a press release in accordance with applicable NCAA rules and regulations.

3.11 Tryouts

3.11.1 Prospective Student Athlete Tryout. A member institution may conduct a tryout of a PSA only on its campus or at a site at which it normally conducts practice or competition beginning June 15 immediately preceding the PSA’s junior year in high school and only under the following conditions:

- No more than one tryout per PSA per institution per sport shall be permitted;
- The tryout may be conducted only for high school PSA’s who are enrolled in a term other than the term(s) in which the PSA’s high school’s traditional season in the sport occurs or who have completed her/his high school’s traditional season in the sport; for a two-year college student, after the conclusion of the sport season or anytime, provided the student has exhausted her/his two-year college eligibility in the sport; and for a four-year college student, after the conclusion of the sport season, provided written permission to contact the PSA has been obtained;
- Prior to participation in a tryout, a PSA is required to undergo a medical examination or evaluation administered or supervised by a physician (e.g., family physician, team physician). The examination or evaluation shall include a Sickle Cell Solubility Test, unless documented results of a prior test are provided to the institution or the PSA declines the test and signs a written release. The
examination or evaluation must be administered within six months prior to participation in the tryout. A medical examination conducted by a physician within six months prior to practice, competition or out-of-season conditioning activities during a PSA’s junior or senior year in high school that was accepted by the PSA’s high school for her/his participation in athletics during the academic year in which the tryout is conducted may be used to satisfy the requirement. The medical examination or evaluation may be conducted by an institution’s regular team physician or other designated physician as a part of the tryout;

• The tryout may include tests to evaluate the PSA’s strength, speed, agility and sport skills. Except in the sports of football, ice hockey, lacrosse and wrestling, the tryout may include competition. In the sport of football, the prospects shall not wear helmets or pads;

• Competition against the member institution’s team is permissible, provided such competition occurs during the academic year and is considered a countable athletically related activity per Bylaw 17.02.1.1;

• The time of the tryout activities (other than the physical examination) shall be limited to the length of the institution’s normal practice period in the sport but in no event shall it be longer than two hours; and

• The institution may provide equipment and clothing on an issuance-and-retrieval basis to a PSA during the period of the tryout.

3.11.1.1 Prospective Student Athlete Tryout Form (Appendix T). Prior to conducting a tryout, the following must take place:

1. The Completed Tryout Form, along with a copy of the PSA’s insurance card, proof of medical exam and Sickly Cell Solubility Test or signed waiver (Appendix MM) must be submitted by the Head Coach to that sport’s Athletic Trainer, to verify information on documents and approve the tryout.

2. The Athletic Trainer then submits the Tryout Form, copy of insurance card, proof of medical exam and Sickly Cell Solubility Test or Signed waiver to the Compliance Office for approval. The Compliance Office will then notify the Head Coach if he/she may proceed with the tryout.

3.11.2 Currently Enrolled Student Tryout. A member institution may conduct a tryout of a full-time student currently enrolled at the institution only on its campus or at a site at which the institution normally conducts practice or competition during the regular academic year. The following conditions shall apply to a tryout of an enrolled student:

• One-Tryout Limitation. Not more than one tryout per student per sport shall be permitted during any academic year.

• Academic Requirement. The student must be in good academic standing;

• Health and Safety Requirements—Medical Examination and Sickle Cell Solubility Test. Prior to participation in a tryout, a student is required to undergo a medical examination or evaluation administered or supervised by a physician (e.g., family physician, team physician). The examination or evaluation shall
include a Sickle Cell Solubility Test, unless documented results of a prior test are provided to the institution or the PSA declines the test and signs a written release. The examination or evaluation must be administered within six months prior to participation in the tryout. The medical examination or evaluation may be conducted by an institution’s regular team physician or other designated physician as a part of the tryout;

- Length of Tryout. The time of the tryout activities (other than the physical examination) shall be limited to 14-consecutive calendar days from the first date the student engages in countable athletically related activities;
- Time Limits for Tryout. During the 14-consecutive calendar-day period of a tryout, an enrolled student shall not exceed the daily and weekly hour limitations as set forth in Bylaws 17.1.6.1 and 17.1.6.2;
- Competition during Tryout. Competition against the member institution’s team (e.g., scrimmage) is permissible, provided such competition occurs during the academic year and is considered a countable athletically related activity per Bylaw 17.02.1; and
- Issuance of Equipment and Clothing. The institution may provide equipment and clothing on an issuance and-retrieval basis to a student during the period of the tryout.

3.11.2.1 Currently Enrolled Student Tryout Form (Appendix U). Prior to conducting a tryout, the following must take place:

1. The Completed Tryout Form, along with a copy of the PSA’s insurance card, proof of medical exam and Sickly Cell Solubility Test or signed waiver (Appendix MM) must be submitted by the Head Coach to that sport’s Athletic Trainer, to verify information on documents and approve the tryout.

2. The Athletic Trainer then submits the Tryout Form, copy of insurance card, proof of medical exam and Sickly Cell Solubility Test or signed waiver to the Compliance Office for approval. The Compliance Office will then notify the Head Coach if he/she may proceed with the tryout.
Chapter IV
Continuing Eligibility
4.1 Continuing Eligibility

4.1.1 Relationship with the Registrar’s Office. The Compliance Office will act as co-liaison with Academic Services, between the Registrar’s Office and the specific coaching staff. The Compliance Office will provide the Registrar’s Office with interpretations of NSIC/WIAC and NCAA rules and regulations and, upon request or as needed, will submit to the NSIC/WIAC or NCAA any inquiry concerning applicable legislation. Coaching staffs shall ensure any communication with the Registrar’s Office concerning the eligibility of student-athletes goes through the Compliance Office or Academic Services.

4.1.2 Head Coach’s Responsibility. The Head Coach is responsible for knowing the eligibility status of her/his student-athletes. A Head Coach shall not at any time allow an ineligible student-athlete to compete while representing WSU.

4.2 Certifying Continuing Eligibility

4.2.1 Certifying Responsibility. The Registrar’s Office is solely responsible for the academic certification of student-athletes. The Registrar’s Office will follow NSIC/WIAC and NCAA guidelines when certifying student-athletes for practice and competition. The University Registrar shall designate an individual within the Registrar’s Office as the Certifying Officer. The Certifying Officer certifies eligibility.

4.2.1.1 Loss of Eligibility for Non-academic Reasons. The Compliance Office is responsible for monitoring all non-academic areas that could cause a student-athlete to lose eligibility (e.g., beginning of the year forms, violations). The Compliance Office will immediately notify the Registrar’s Office of any non-academic situation that causes a student-athlete to be ineligible.

4.2.2 Eligibility Spreadsheets. The Registrar’s Office shall keep an Eligibility Spreadsheet for each sport, detailing the eligibility status of each student-athlete within the sport. The Eligibility Spreadsheet for each sport will contain the official up-to-date eligibility status for all student-athletes.

4.2.2.1 Eligibility Spreadsheets Access. The Registrar’s Office will have full access to all eligibility spreadsheets. The Compliance Office will have “read only” access to the spreadsheets.

4.2.2.2 Eligibility Spreadsheet. This spreadsheet contains two tabs per sport for each semester. A separate spreadsheet is kept for each sport except Track and Cross Country, which are combined.

1. The first tab (“problems”) lists all student-athletes that have potential Progress Toward Degree (PTD) problems and any student-athlete enrolled less than full-time. This tab outlines any potential eligibility issues with each PSA and indicates if he/she meets amateurism legislation, qualifying status, and/or PTD
requirements. Problems may be identified prior to occurring (see provision 4.2.3,2.a).

2. The second tab (“PTD”) details every student-athlete’s PTD progression.

**4.2.2.3 Eligibility Spreadsheet Cert.** This spreadsheet is used to generate the eligibility report (see provision 4.4.1). A separate spreadsheet is kept for each sport except Track and Cross Country, which are combined.

**4.2.3 Certifying Process.** The following process will be adhered to when certifying continuing eligibility:

1. The Compliance Office shall ensure the Registrar’s Office has an up-to-date roster of incoming student-athletes for the next academic year by June 1 of each year. The Compliance Office is responsible for immediately notifying the Registrar’s Office of any changes.
   
   a. The Compliance Office should notify the Registrar’s Office at the earliest opportunity of any PSA’s that will start mid-year.

2. The Certifying Officer will review a degree audit for each student-athlete at the end of each semester, following the release of grades. The Certifying Officer will examine the degree audit according to NCAA PTD legislation to make a determination if the student-athlete is eligible for the next semester.
   
   a. The Certifying Officer runs degree audits for the current semester after the fourth week of classes of that term. The Certifying Officer begins an initial review of these audits at that time to begin projecting student-athletes’ PTD status.

3. If the Certifying Officer determines a student-athlete is ineligible for an upcoming semester, he/she shall immediately notify the Compliance Office. The Compliance Office is responsible for notifying the student-athlete’s Head Coach and Academic Services. The Head Coach shall notify the student-athlete.

4. The Certifying Officer will record the eligibility status of each student-athlete with the corresponding sport’s eligibility spreadsheet (see provision 4.2.2).

5. The Registrar’s Office will update the eligibility spreadsheets periodically as needed. The Compliance Office shall notify the Registrar’s Office should it become aware that a student-athlete’s eligibility is certified incorrectly.

6. The Registrar’s Office is responsible for printing and signing an eligibility report that accurately reflects student-athletes’ eligibility status within a particular sport prior to each sport’s first competition. Updates to the eligibility report will be made when there are changes in eligibility status. A student-athlete should not compete at WSU unless he or she is listed as eligible on an eligibility report filed with the NSIC.
7. The Compliance Office will obtain the additional required signatures and file the Eligibility Report with the NSIC prior to a sport’s first contest. The following individuals are required to review for accuracy and sign the Eligibility Report: the Head Coach, Director of Athletics (or designee) and Faculty Athletics Representative.

4.3 Roster Additions and Deletions

4.3.1 Roster Additions. Roster additions may occur by a PSA signing a National Letter of Intent or Financial Aid Agreement or through written communication by the Head Coach or her/his designee. Once a student-athlete is added to the roster, the student-athlete must be placed on the sport’s roster, eligibility checklist, placed in athletic cohort, squad list and Compliance Assistant.

4.3.1.1 Responsibility of Updating Rosters. The Compliance Office is responsible for any needed updates to the eligibility memo, and Compliance Assistant. The Registrar’s Office is responsible for updating the eligibility report and eligibility spreadsheet.

4.3.2 National Letter of Intent and Financial Aid Agreement. A prospect that signs a National Letter of Intent and/or a Financial Aid Agreement will automatically be added to the next year’s (or semester’s) roster by the Compliance Office.

4.3.3 Roster Deletion. To officially remove a student-athlete from a sport’s roster, the Head Coach or her/his designee must complete a roster change form (Appendix V).

4.3.3.1 Roster Change Form (Appendix V). A Head Coach or her/his designee is responsible for completing a roster change form and filing the form with the Compliance Office. Roster change forms should be completed and filed with the Compliance Office within one week of the student-athlete leaving the team.

4.3.3.2 Process for Removing a Student-Athlete from a Sport Roster. After receiving a roster change form, the Compliance Office will complete the following:

1. Notify concerned parties of the roster change through an updated eligibility memo (see provision 4.4.4).

2. Update Compliance Assistant and any affected rosters.

4.4 Communicating Eligibility

4.4.1 Eligibility Report (Appendix W). The Compliance Office shall prepare and print an eligibility report accurately reflecting the eligibility status of each student-athlete within a particular sport prior to each sport’s first competition. Updates to the eligibility report will be
made as needed when there are changes in eligibility status. A student-athlete should not compete at WSU unless he or she is listed as eligible on an eligibility report filed with the NSIC.

4.4.2 Filing Eligibility Reports. The Registrar’s Office shall sign for accuracy and deliver eligibility reports and eligibility report updates to the Compliance Office. The Compliance Office is responsible for obtaining the remaining required signatures of the Head Coach, Director of Athletics (or designee), and Faculty Athletics Representative. The Compliance Office shall submit completed eligibility reports to the NSIC prior to the sport’s first contest and updates to the eligibility report prior to an individual student-athlete’s first competition.

4.4.3 Eligibility Memo. The Compliance Office shall complete an eligibility memo for each sport. This memo will outline the sport’s roster and the current eligibility status of each student-athlete. Specifically, the memo will indicate whether or not the student-athlete can compete and/or practice.

4.4.4 Updating the Eligibility Memo. The Compliance Office is responsible for updating a team’s eligibility memo every time a student-athlete’s eligibility changes. This includes any time temporary certification for recruited or non-recruited student-athletes expire.

4.4.5 Distributing Eligibility Memos. The Compliance Office is responsible for distributing an eligibility memo prior to the start of each particular team’s practice for the academic year. Updates to eligibility memos shall occur as outlined in provision 4.4.4. Eligibility memos shall be sent to the following individuals (or designees within the group):

1. Head Coach
2. Athletic Training
3. Sports Information
4. Strength & Conditioning
5. Registrar’s Office
6. Financial Aid Office
7. Athletic Academic Services
8. Student Conduct Office – Only contacted for Add or Removal from Roster

4.4.6 Active Roster. The current active roster is located under Student Information Reports in the athletics report database.

4.4.7 Coaches’ Responsibility for Eligibility Reports and Memos. Head Coaches are responsible for reviewing eligibility reports and eligibility memos for accuracy. Head Coaches also are responsible for disseminating the information on the reports and memos to his or her
coaching staff. Any inaccuracy found by the Head Coach shall be reported to the Compliance Office. A Head Coach shall adhere to eligibility report and eligibility memos.

4.4.8 Registrar’s Responsibility for Eligibility Memos. The Registrar’s Office is responsible for reviewing eligibility memos issued by the Compliance Office for any errors. If errors are recognized, the Registrar’s Office will notify the Compliance Office immediately.

4.4.9 Participation Rosters – Active Roster. The Compliance Office will update the participation rosters for monitoring purposes based on the eligibility memos (see provision 9.5.1).

4.5 Academic Advising

4.5.1 Enrolling in Classes. Academic Services shall ensure each student-athlete meets with her/his campus academic advisor, reviews a degree audit and enrolls in classes required for her/his declared degree program. In addition, Academic Services will personally meet with selected student-athletes to assist the student-athlete in choosing specific classes and times based on athletic schedule.

4.5.2 Reviewing Academic Schedules. Academic Services shall review all student-athletes’ class schedules at the beginning of each semester to identify potential PTD issues. If a PTD issue is identified, the following process shall occur:

1. Academic Services employees shall report all PTD issues immediately to the Director of Academic Services.

2. The Associate Athletic Director of Academic Services (or designee) shall communicate identified PTD issues to the Registrar’s Office, the student-athlete’s campus academic advisor and the Compliance Office to see if a resolution can be found.

4.6 Progress towards Degree Waivers

4.6.1 Responsibility for Writing and Filing PTD Waivers. The Compliance and Academic Services Office is responsible for writing and filing all PTD waivers with the NCAA in accordance with NCAA policies.

4.6.2 Notification of PTD Waivers. The Registrar’s Office and Academic Services are responsible for notifying the Compliance Office of any needed PTD waivers.

4.6.3 Notification of Outcome of PTD Waivers. The Compliance Office is responsible for communicating official rulings of PTD waivers to the Registrar’s Office, Head Coach, Director of Athletics (or designee) and Academic Services.
4.7 Medical Hardship Waivers

4.7.1 Responsibility for Hardship Waivers. The Compliance Office is responsible for writing and filing all hardship waivers with the NSIC in accordance with NSIC policies.

4.7.2 Writing and Filing Hardship Waivers. The process for writing and filing medical hardship waivers is:

1. At the conclusion of each season, the Compliance Office will ask coaches for a list of student-athletes who may meet hardship waiver requirements.

2. Upon receiving the names of the student-athletes, the Compliance Office will obtain all necessary medical documentation from the Athletic Training Office.

3. The Compliance Office also will obtain any other necessary documentation that will help in the completion of the waiver (e.g., documentation of psychological counseling).

4. The Compliance Office will complete the waiver and submit it to the NSIC Office.

5. Upon receiving notification of the waiver’s approval or denial from the NSIC, the Compliance Office will communicate the result to the Head Coach and Registrar’s Office.
Chapter V
SAS Coaches Report
5.1 Student Athlete Services and Compliance Report

5.1.1 Student Athlete Services and Compliance Report. The report is generated by the Compliance Office so that coaches can track a PSA as the PSA completes various tasks associated with admission to and enrollment at WSU.

- **Activate a PSA** - Coaches are responsible for emailing PSA@winona.edu for all PSAs that plan to attend WSU. The Information that is required is First Name, Last Name, City, State, and Sport at WSU. Include Activate and specific **Sports Team** in the email subject line.

- **Deactivate a PSA** – The information that is required when a PSA is no longer being recruited by WSU Coaching staff is PSA First Name and Last Name in an email to PSA@winona.edu to deactivate the PSA. Include Deactivate and specific **Sports Team** in the email subject line.

5.1.2 Reports. The following reports need to be used by all coaches:
- Admission & Housing
- Student Record
- Official Visits
- National Letter of Intent
- WSU Letter of Intent
- Transfers
- Eligibility Center

5.1.3 Coaches Filters. Coaches will be able to access information specific to their team only. The following filters are used and will need to be checked to properly filter the correct information:
- Term = Term the PSA will first enroll. Example 20153 = Fall of 2014
- PSA Status = Freshmen or Transfer
- Sports Team = Defaults to the team the coach is assigned too.
- List View = Pick from the different list from 5.1.2.
- Active/Inactive
  - Active = Currently being recruited
  - Inactive = No longer being recruited

5.1.4 Website. Coaches need to use their WSU issued laptops or tablets. If off-campus, Coaches need to use VPN to access the WSU Network. [https://reports.winona.edu/Reports/Pages/Report.aspx?ItemPath=%2fAthletic+Department%2fStudent+Athlete+Services+Coach+Report](https://reports.winona.edu/Reports/Pages/Report.aspx?ItemPath=%2fAthletic+Department%2fStudent+Athlete+Services+Coach+Report)

5.1.5 PSA Information Columns. The following columns are used through each report:
- Row Number
- PSA Status (Freshmen or Transfer)
- Active (Yes or No)
5.2 Admissions & Housing Report

5.2.1 Admissions & Housing. PSA Database is essential to the admissions process. Without a student listed on the PSA Database, the Compliance Office is unaware a PSA is being recruited and cannot monitor a PSA’s admissions status.

5.2.2 Admissions & Housing Report. The Admissions and Housing Report shall at minimum indicate if the student has submitted the proper materials or accomplished the following tasks:

- Columns before Admissions Notes (see provision 5.1.4)
- Admissions Notes – Notes about the PSA written by admissions office
- Application Date to WSU
- Application Status (Complete, Pending)
- Application Result (Accepted, Accepted on Appeal, Denied, Pending)
- Official ACT Received (Y or Blank = No)
- High School Transcript Received; (Y or Blank = No)
- Application Fee Owed (Blank = Paid or Amount = What they owe)
- Academic Scholarships Offered:
  - Academic In-State (AIS) (High Achiev Student MN Rate)
  - If a PSA receives an Academic In-State we cannot offer them Athletic In-State.
- Scholarship Codes:
  - Top Code is Academic Award amount and date of award.
  - Bottom Code is Award Accepted amount and date the award was accepted. If PSA has not accepted the amount, notify them to contact admissions to accept the amount.
- Housing Rsrv Date Received – Date Housing has received the PSA housing application
- Housing Cancelled
- Housing Fee Paid (Y or N)
- Registration Day – Date PSA is assigned to register for classes and attend new student orientation
- Registration Group – Group number PSA is assigned for registration
- Major(s)

5.2.3 Contact with Admissions & Housing. All contact with the Admissions and Housing Offices may be made through the Compliance Office and Academic Services only. Coaches must contact individuals in Compliance and Academic services office with questions.

5.3 Student Record Report

5.3.1 Student Record. The report indicates contact and academic information for Coaches to evaluate the academic background of the PSA.

5.3.2 Student Record Report. Student Record report shall indicate the following:
- Columns before Admissions Notes (see provision 5.1.4)
- Admissions Notes – Notes about the PSA written by admissions office
- HS GPA
- Top X % of Class (1% means top of class and 99% means bottom of class)
- Rank in Class = If blank high school does not provide class rank
- Admissions ACT Composite – Best Composite ACT Score
- ACT Math – Best ACT Math Sub Score
- ACT English – Best ACT English Sub Score
- ACT Reading – Best ACT Reading Sub Score
- ACT Science – Best ACT Science Sub Score
- SAS Rankings – Student Athlete Services Department rankings for academic grouping

5.4 Official Visits Report

5.4.1 Official Visits. The report will show the process of when paperwork was completed for official visit and who took official visits.

5.4.2 Official Visits Report. The Official Visits Report shall provide the following:
- Columns before IRL Activation (see provision 5.1.4)
- IRL Activation – PSA has been added to the WSU sport specific IRL list (Y or N)
- ACT Verified – How did Coach / Compliance verify that ACT has been taken
  - No = ACT was not verified and PSA is unable to take an official visit
  - Yes EC = ACT was verified using the Eligibility Center student details
5.5 National Letter of Intent Report

5.5.1 National Letter of Intent Report. The report tracks the status of the NLI and FAA process.

5.5.2 National Letter of Intent Report. The NLI report shall indicate the following:

- Columns before Academic In-State Tuition Waiver Amt (see provision 5.1.4)
- Academic Scholarships Offered:
  - Academic In-State (AIS) (High Achv Student MN Rate).
  - If a PSA receives an Academic In-State we cannot offer them Athletic In-State.
- Scholarship Codes:
  - Top Code is Academic Award amount and date of award.
  - Bottom Code is Award Accepted amount and date the award was accepted. If PSA has not accepted the amount notify them to contact admissions to accept the amount.
- GIA Amount – Amount provided by the Head Coach
- Athletic In State Tuition Waiver Amount – Head Coach is providing an Out of State PSA with In State Tuition
- OG DEN – Amount of Housing Scholarship
- NLI GIA Issue Date – Date NLI was issued; cannot be before first day of signing period
- NLI GIA Sent – Date NLI was sent to PSA
- NLI GIA Received – Date NLI was received by WSU
- NLI GIA Sent to NSIC – Date NLI was sent to NSIC Office for recording
- NSIC Confirmed NLI – Date which Compliance Office checked to see if NSIC processed NLI correctly

5.6 WSU Letter of Intent Report


5.6.2 WSU Letter of Intent Report. The WSU Letter of Intent Report shall indicate the following:

- Columns before Housing Rsrv Date Received (see provision 5.1.4)
5.6.3 WSU Letter of Intent Administration. In order for a PSA to be included in any WSU media release, a PSA has to be accepted through the standard Winona State Admissions process and have accomplished one of the following:
1. Signed a WSU letter of Intent
2. Paid a deposit on their housing

5.7 Transfer Report

5.7.1 Transfer. PSA Database is essential when confirming that the appropriate steps have been completed regarding transfer students.

5.7.2 Transfer Report. The Transfer report shall at minimum indicate if the student has submitted the proper materials or accomplished the following tasks:
- Columns before EC Qualification Status (see provision 5.1.4)
- EC Qualification Status
- Permission to Speak (Yes or No)
- 2yr or 4yr
- Unofficial Transcripts Received Date – Used in preliminary evaluation of transfer student with Admission and Compliance Office
- Previous Institutions Attended – Listing of all 2yr and 4yr institutions the PSA has attended
- Tracer Received Date
- Transfer Status
  - Eligible = Practice and Compete.
  - Residence Requirement = Needs to serve one year residence requirement. Can practice but cannot travel or compete.
  - Other = See transfer notes.
- Transfer Notes – Any notes that Compliance Office includes

5.8 Eligibility Center Report

5.8.1 Eligibility Center. PSA Database in conjunction with the Eligibility Center tracks the status of incoming student-athletes.

5.8.2 Eligibility Center Report. The Eligibility Center Report shall at minimum indicate if the student has submitted the proper materials or accomplished the following tasks:
- Columns before EC Qualification Status (see provision 5.1.4)
- EC Qualification Status
  o Qualifier = Practice, Compete, and receive athletic aid
  o Partial Qualifier = Practice and receive athletic aid
  o Non-Qualifier = Cannot practice, compete, or receive athletic aid
- EC Certified Date – Date PSA was certified by the eligibility center
- EC Registered – Registered with the eligibility center
- EC Final Transcript - (Yes Received or No)
- EC Final Amateurism
  o Final: Certified
  o Incomplete Web Entry
  o Preliminary Certified
- EC Notes - Any notes that Compliance Office includes
- EC Note History – Which Compliance Officer input the data

5.8.3 Eligibility Center Administration. In addition to the EC Report, coaches will receive emails from the Compliance Office with information that it needs from the PSA to complete the process. Coaches also may view EC using LSDBI under NCAA.org.
Chapter VI

Memorabilia Donations

&

Appearance Requests
6.1 Memorabilia

6.1.1 Memorabilia Definition. The definition of memorabilia for purposes of this manual is any item donated to a fan, charity, nonprofit, commercial establishment or any other individual or group. Such items include but are not limited to:

- Equipment
- Posters
- Pictures
- Tickets

6.1.2 Donation of Memorabilia. Any WSU Department of Intercollegiate Athletics Staff member who receives a request for memorabilia (regardless of the reason), shall direct the requestor to the Autographed Item and Donation Request form.

6.1.3 Processing Autographed Item and Donation Request Forms (Appendix X). Associate AD for Internal Operations will be designated to handle memorabilia requests. The Associate AD for Internal Operations shall adhere to the following process.

1. Once the Donation Coordinator receives an Autographed Item and Donation Request Form, he/she will review the form to see if the donation is permissible per NCAA legislation. If the Associate AD for Internal Operations is unsure how WSU, NSIC/WIAC and/or NCAA rules may apply toward a particular donation request, he/she will contact the Compliance Office for an interpretation. Such contact may occur in-person or via email.

2. If the Associate AD for Internal Operations receives a request without the proper paperwork, he/she shall contact the requestor through email or telephone to explain the process. Donation requests will not be processed without the correct paperwork.

3. Approved Requests:
   a. The Associate AD for Internal Operations process the request, contacting any particular sport’s coach, or athletics employee for help in obtaining memorabilia, autographs, etc.
   
   b. The Associate AD for Internal Operations logs the request in the donation request spreadsheet and scans and saves all donation request paperwork.

4. Denied Requests:
   a. The Associate AD for Internal Operations notifies requestor of denial.
b. The Associate AD for Internal Operations logs the request in the donation request spreadsheet and scans and saves all donation request paperwork.

6.1.3.1 Department Staff Member Coordinating Donation Request. A Department Staff member desiring to coordinate a request shall work with the Associate AD for Internal Operations to get the donation request approved.

6.1.4 Personal Donations. Department Staff must complete the proper paperwork before donating personal WSU memorabilia or tickets to any individual or organization.

6.2 Appearance Requests

6.2.1 Student-Athlete Appearance Requests. A student-athlete may make an appearance benefiting an individual or group as outlined within NCAA legislation.

6.2.2 Student-Athlete Appearance Process. The following process shall be followed to approve all appearance requests:

1. An individual or organization desiring to obtain the appearance of a student-athlete must complete the Student-Athlete Appearance Request Form (Appendix Y).

2. All Student-Athlete Appearance Request Forms shall be forwarded to the Compliance Office.

3. The Compliance Office will review Student-Athlete Appearance Request Forms regarding compliance with NCAA legislation. The Compliance Office will approve or deny such forms by checking the corresponding box and signing the form.

4. Approved Form - The Compliance Office will notify the applicable Head Coach and the Associate AD for Internal Operations of all approved appearance requests. The applicable Head Coach or the Associate AD for Internal Operations is responsible for coordinating any appearances by student-athletes.

   a. If a student-athlete(s) makes an appearance, the applicable Head Coach or the Associate AD for Internal Operations (whoever helped to coordinate the appearance) shall ensure any participating student-athlete(s) has read and signed the Student-Athlete Appearance Request Form. Such signatures must be obtained prior to the appearance occurring.

   b. If a student-athlete(s) makes an appearance, the applicable Head Coach or the Associate AD for Internal Operations (whoever helped to coordinate the appearance) shall forward the signed Student-Athlete Appearance Request Form to the Compliance Office.
5. Denied Form – The Compliance Office will notify any requestor of denied appearance requests.

6. The Compliance Office will save a copy of all Student-Athlete Appearance Request Forms.

6.2.3 Coaching and Support Staff Appearance Request. Any Department Staff member who has been invited to appear at an event benefiting or comprised only of Prospective Student-Athletes shall secure clearance from the Compliance Office prior to making such an appearance. Approval of such appearances shall come in the form of an email.
Chapter VII
Transferring from WSU
7.1 General Transfer Policy

7.1.1 General Transfer Policy. WSU has an open transfer policy for all student-athletes other than exceptions outlined within this provision.

7.1.2 Permission to Contact. WSU will grant a student-athlete permission to contact another institution during the course of a semester if the student-athlete has been regularly eligible preceding the transfer request and appears to be on track to stay eligible. The student-athlete will only receive permission to contact at this time and will not receive permission to utilize the One-Time Transfer Exception until the conclusion of the semester. If the transferring student-athlete is ineligible when leaving Winona State University, the student-athlete will not be eligible to use the One-Time Transfer Exception.

7.1.2.1 Head Coach’s Objection. If a Head Coach objects to a student-athlete receiving permission to contact other institutions, the Head Coach shall notify the Compliance Office in writing as to why he or she objects. The Compliance Office will discuss any objections with the Director of Athletics.

7.1.2.1.1 Director of Athletics Decision. The Director of Athletics shall have the final decision on whether or not to support a Head Coach’s objection. The final decision by the Director of Athletics shall be communicated by email to the Head Coach and the Compliance Office. The Director of Athletics may:

1. Uphold WSU’s transfer policy as is; or

2. Alter WSU’s transfer policy for extenuating circumstances by
   a. Denying the release of the student-athlete to all institutions; or
   b. Denying the release of the student-athlete to select institutions.

7.1.3 The Release. For purposes of this compliance manual, WSU’s decision to waive its right to object to a transferring student-athlete’s use of the One Time Transfer Exception (14.5.5.3.9 b) shall be referred to as a “release.” Granting a release allows student-athletes in particular sports to transfer to institutions without having to serve a year in residence. WSU will grant a student-athlete a release in his or her respective sport upon request except in the following situations.

7.1.3.1 Head Coach’s Objection. If a Head Coach objects to a student-athlete receiving a release, the Head Coach shall notify the Compliance Office and Director of Athletics. The Compliance Office shall discuss any objections with the Director of Athletics.

7.1.3.1.1 Director of Athletics Decision. The Director of Athletics shall have the final decision on whether or not to support a Head Coach’s objection. The final decision by the Director of Athletics shall be communicated by the Director of
Athletics through email to the Head Coach and the Compliance Office. The Director of Athletics may:

1. Uphold WSU’s transfer policy as is; or

2. Alter WSU’s transfer policy for extenuating circumstances by
   a. Denying the release of the student-athlete to all institutions; or
   b. Denying the release of the student-athlete to select institutions.

7.2 Transfer Process

7.2.1 Compliance Notification. To initiate the transfer process, the Compliance Office must be notified of a student-athlete’s desire to transfer. This notification may come from a WSU coach, a student-athlete or another institution’s coach or administrator. Such notification may be in writing or verbal.

7.2.2 Processing the Transfer. Following compliance notification, the following steps shall be taken.

1. The Compliance Office will e-mail the student-athlete’s Head Coach regarding the transfer policy. This e-mail will:
   a. Inform the Head Coach of the student-athlete’s interest in transferring.
   b. Ask the Head Coach if the student-athlete is continuing on the team while looking into other opportunities or if the student-athlete is leaving the team permanently at this time.

   i. If the student-athlete is leaving the team permanently, the Head Coach or her/his designee is responsible for completing a Change In Roster Form (see provision 7.4.1).

   ii. The Head Coach or her/his designee is responsible for instructing the student-athlete to schedule an appointment with the Compliance Office to discuss issues surrounding a potential transfer.

2. If a Head Coach objects to the permission to contact or release, or both, the Compliance Office will withhold from processing the release until receiving written notification from the Director of Athletics (see provisions 7.1.3.1 & 7.1.3.1.1).

   a. The Compliance Office shall notify the student-athlete that her/his request has been denied and shall refer the student-athlete to the WSU Appellant Procedure outlined below (see provision 7.3.1).
3. The Compliance Office shall meet with the student-athlete to review all legislation related to the transfer and also shall complete any necessary paperwork at this time, including:

   a. Transfer eligibility issues, including those related to NSIC/WIAC or NCAA legislation;

   b. Scholarship legislation;

   c. The Voluntary Withdrawal From Sport Form, if applicable;

   d. The NSIC Intraconference transfer form; and

   e. The Appellant Procedure, if applicable because a request was denied.

4. If permission to contact and/or a release is given to the student-athlete, the Compliance Office will develop a permission to contact/release letter for the student-athlete. The Compliance Office may either send such communication directly to the institution(s) requested by the student-athlete or deliver the letter to the student-athlete to deliver to institutions.

7.3 Denied Transfer Request

7.3.1 Appellant Procedure. Whenever WSU denies a student-athlete request for permission to contact or release, WSU, upon request and in accordance with NCAA bylaws, shall provide that student-athlete with a prompt hearing by a committee outside of the athletics department. In the case of a denied request, the following procedure shall be followed:

1. The Compliance Office shall notify the student-athlete of the denial and provide the student-athlete with the Appellant Procedure through email. The Compliance Office also will notify the Faculty Athletics Representative (FAR) of the denial.

2. The student-athlete has the sole responsibility to contact the FAR to schedule an appeal hearing.

3. Upon being contacted directly by the student-athlete, the FAR has the responsibility of scheduling the hearing and assembling the committee to hear the appeal. The appeal shall be heard within 30 calendar days of the student-athlete’s request for a hearing. The FAR also will provide the student-athlete with the Appellant Procedure and answer any questions about the process.

4. The Transfer Appeals Committee shall be comprised of the following individuals, or a designee chosen by the individual to stand in his or her place due to scheduling conflicts:
a. Member of Athletics Review Committee;
b. Dean of Students;
c. Faculty Athletics Representative;
d. Director of Student Financial Aid; and
e. President of the Student-Athlete Advisory Committee (in the case that the SAAC President participates in the same sport as the individual requesting the hearing, the SAAC President shall designate a student-athlete that does not participate in the same sport to serve on the committee).

5. The FAR shall serve as Chair of the Transfer Appeals Committee.

6. The FAR is responsible for providing written notification of the committee’s decision to the student-athlete within 14 calendar days of the student-athlete’s request for a hearing. The decision of the Transfer Appeals Committee shall be final.

7.4 Removing a Student-Athlete from a Roster

7.4.1 Change in Roster Form (Appendix V). A Head Coach or her/his designee is responsible for completing a Roster Change Form and submitting the form to the Compliance Office. Roster Change Forms should be completed and submitted to the Compliance Office within one week of the student-athlete leaving the team.

7.4.2 Process for Removing a Student-Athlete from a Sport Roster. After receiving a change in status form, the Compliance Office will complete the following:

1. Email the following departments, or department designee (depending on sport), notification of the roster change through an eligibility memo:
   - Athletics Communications
   - Academic Services
   - Athletic Training
   - Financial Aid Office
   - Registrar’s Office
   - Strength and Conditioning
   - Student Conduct Officer
2. Update Compliance Assistant and any applicable squad lists.
Chapter VIII
Financial Aid
8.1 Financial Aid Process

8.1.1 Monitoring Financial Aid. Financial aid information is monitored throughout each semester to ensure student-athletes receive appropriate aid, and neither individual student-athletes nor teams exceed financial aid limitations prescribed by NSIC and NCAA legislation. The Financial Aid Services Office has the primary responsibility of monitoring student-athlete financial aid and will also ensure that all NSIC, NCAA and federal rules and regulations are followed. The Compliance Office and Faculty Athletics Representative assist in monitoring the financial aid process.

8.1.2 Relationship with the Financial Aid Office. The Compliance Office will act as the liaison between the Office of Student Financial Aid and other Department of Intercollegiate Athletics Staff members. All communication between the Department and the Financial Aid Services Office shall be coordinated by the Compliance Office.

8.1.3 Financial Aid Primary Contact. The Director of Financial Aid shall designate a Financial Aid Athletics Liaison within the Financial Aid Services Office. This liaison will serve as the primary contact for the Compliance Office concerning student-athlete financial aid queries.

8.1.4 University System. The Financial Aid Athletics Liaison is responsible for updating the university system (ISRS) that tracks and releases student aid and for allocating all applicable financial aid to the individual student-athlete accounts.

8.1.5 NCAA Compliance Assistant. The Compliance Office will use NCAA Compliance Assistant (CA) to assist in monitoring financial aid. The Financial Aid Services Office is responsible for inputting all financial aid data into CA. Such data is obtained from ISRS. Any errors or irregularities discovered by the Compliance Office shall be immediately reported to the Financial Aid Athletics Liaison.

8.1.6 Reconciliation Reports. Each month, the Compliance Office compares the financial aid information within the University's databases with CA, using a Reconciliation Report. All discrepancies between the two databases are noted in the report, and the Compliance Office then verifies the discrepancies and enters the correct information in Compliance Assistant and works with the Financial Aid Athletics Liaison to correct any errors. Completing reconciliation reports gives the Compliance Office an accurate look at individual and team scholarship data.

8.2 Financial Aid from Outside Sources

8.2.1 Determining Outside Sources of Financial Aid Awards. The Financial Aid Services Office shall make the sole determination whether or not the award can be classified as a non-countable award against team or individual limits per NCAA legislation.

8.2.2. Steps to Verifying Outside Sources of Financial Aid. All student-athletes are required to report all outside aid to the Compliance Office and will do so via the following process:
1. Student-Athletes complete the Outside Sources of Financial Aid Form during their team compliance meeting prior to the start of practice.

2. Compliance Office notes all student-athletes who have indicated that they have received outside aid and provides a list to the Financial Aid Athletics Liaison.

3. The Financial Aid Athletics Liaison certifies which awards are countable and non-countable per NCAA legislation. The Financial Aid Athletics Liaison may ask for more detailed information on any award. The Compliance Office and the student-athlete will work together to collect the proper documentation needed for the Financial Aid Athletics Liaison to make a decision.

8.3 Institutional Academic Honor Awards

8.3.1 Determining Academic Honor Awards. Academic honor awards are based solely on a prospect’s academic record prior to attending WSU. The Financial Aid Office shall make the sole determination whether or not a WSU award can be classified as an Academic Honor Award per NCAA legislation.

8.3.2 Determining Recipients of Academic Honor Awards. The WSU Admissions Office shall determine which student-athletes qualify for institutional academic honor awards based on academic standing (i.e. GPA, test scores, courses taken in high school, etc.) as set by the University.

8.3.2.1 Verifying Exempt Status of University Academic Honor Awards. In order for an award to be exempt, it must meet NCAA legislation. WSU shall certify awards as exempt through the following process:

1. The Compliance Office and Financial Aid Athletics Liaison annually review the NCAA legislation regarding standards related to academic scholarships.

2. With a “yes” response the Financial Aid Athletics Liaison notes in CA that the award is certified exempt. With a “no” response from the Financial Aid Athletics Liaison notes in CA that the award is certified not exempt.

8.4 Honorary Academic Awards

8.4.1 Award Process. Honorary academic awards are distinct from academic honor awards. Honorary academic awards may be based on the student-athlete’s collegiate academic record only. The Financial Aid Services Office shall make the sole determination whether or not a WSU award can be classified as an honorary academic award per NCAA legislation. The Financial Aid Services Office initiates the process of determining honorary academic awards and possible exemption through the following process:
1. The Financial Aid Services Office sends an honorary academic award form to the Department issuing an award.

2. The Departmental Scholarship Administrator signs and affirms all requirements of NCAA legislation have been met, including:
   a. The award or grant is a standing scholarship award or an established research grant;
   b. The basis for the award or grant was based on the candidate’s academic record at WSU and is not based on high school academic performance; and
   c. The award or grant was determined by competition among the students of a particular class or college at WSU.

3. The Director of Financial (or designee) signs and affirms the above criteria have been met and the award or grant is included in determining the student-athlete’s cost-of-attendance limitation.

8.5 National Letters of Intent and Financial Aid Agreements

8.5.1 National Letter of Intent. WSU is a member of the National Letter of Intent (NLI) program. Staff members will abide by all rules governing the NLI program. Refer to sections 3.9 for complete instructions on preparing and processing NLIs.

8.5.2 Preparing Financial Aid Agreements (FAA) (Appendix S). An FAA must accompany all NLIs. It is the responsibility of the Head Coach (or designee) to get the signature of the Director of Student Financial Aid or that of her/his designee on the FAA. Refer to sections 3.9.3 for instructions on creating an FFA.

8.6 Renewals and Non-Renewals of FAAs

8.6.1 Procedure for Renewing FAA. The Compliance Office, Head Coach, and the Financial Aid Services Office shall work together to renew FAAs. The following process shall be followed:

1. The Compliance Office provides each head coach with a financial aid renewal spreadsheet. The renewal spreadsheet will contain the following columns:
   a. Student-Athlete First and Last Names
   b. Warrior ID
c. Sport  
d. New or Returning Student-Athlete  
e. Aid Received in Current Academic Year  
f. Non-Renewal or Reduction Amount  

2. The renewal spreadsheet is completed by a Coaching Staff member from each team and submitted to the Compliance Office. A program must submit all information requested by the last Friday in May.

3. The Compliance Office will review the spreadsheets. Upon verifying the renewals are consistent with WSU Scholarship Limits and NCAA legislation, the Compliance Office will upload the information into Warrior Conference Tenders System. The Compliance Office will then start the workflow of necessary approvals to the Head Coach, Director of Athletics (or designee) and Director of Financial Aid (or designee).

8.6.2 Procedure for Non-voluntary, Non-Renewals and Reductions during Period of Award. Non-renewals and reductions other than voluntary reductions shall be processed as follows:

1. Complete a Change in Status Form indicating a reduction or non-renewal. If the request to reduce or cancel is during the period of the award, the request shall contain specific reasons for the action requested and specific references to NCAA legislation that permits the action.

2. The Compliance Office will review each reduction and nonrenewal to see if the stated rationale is appropriate to submit to the Director of Financial Aid. The Director of Compliance shall notify the Director of Athletics of all potential non-renewals. If questions exist regarding the rationale or lack of rationale, the Head Coach will be contacted.

3. If the Compliance Office and the Director of Athletics concur with the Head Coach that the financial aid awards of a student-athlete should be reduced, cancelled or not renewed, the Compliance Office will forward the Roster Change Form and the Cancellation of Aid Notification Report to the Financial Aid Athletics Liaison take that action.

4. If the request from the Department is to reduce or cancel the financial aid award of a student-athlete during the period of the award, the Financial Aid Office shall review the reasoning ensuring it complies with NCAA legislation. The Financial Aid Services Office will not reduce or cancel financial aid of a student-athlete during the period of the award for reasons that do not comply with NCAA legislation.

5. When the financial aid of a student-athlete is to be reduced, cancelled or not renewed, the Director of Financial Aid shall notify the student-athlete by providing a formal written
notice of reduction, cancellation or non-renewal of financial aid award. This notice shall advise the student-athlete of his or her right to appeal the decision.

8.6.2.1 Appealing Non-renewals and Reductions during Period of Award. All appeals of non-renewals and reductions of financial aid shall be heard by an appeals committee consisting of three WSU Faculty or Staff members outside of the Department. The Athletic Financial Aid Review Committee (AFARC) shall consist of the following permanent members: the University’s Assistant Director of Financial Aid (Chair), the Chief Student Conduct Officer and Faculty Athletics Representative.

8.6.3 Procedure for Non-voluntary Non-Renewals and Reductions for Next Academic Year. The following process shall be followed for appealing non-renewals and reductions in financial aid.

1. If any portion of a student-athlete’s athletically related financial aid is to be reduced, terminated or not renewed, the Department of Intercollegiate Athletics shall notify the Financial Aid Services Office. Such notice from the Department shall contain a plain statement of the reason for the action and a copy of the notice is to be sent to the Compliance Office.

2. The Financial Aid Services Office will then formally notify the student-athlete of the action and shall inform the student-athlete of her/his right to a hearing. The notice from the Financial Aid Services Office shall be sent via email to the student-athlete’s institutional email.

3. Within 10 days of receipt of the official notification, the student-athlete may submit a written statement requesting a hearing on the proposed action. The request shall be made via email to the Assistant Director of Financial Aid (ADFA), who will serve as the hearing official.

4. Upon receipt of such notice the ADFA shall notify the Athletic Financial Aid Review Committee (AFARC) and shall establish a time, date and place for the hearing at a location on the University campus.

5. The ADFA will then notify the petitioning student-athlete via email in regards to the arrangements made for the hearing. A copy of this message will be sent to the student-athlete’s Head Coach, the Compliance Office and the Director of Athletics. The hearing must be held within 30 consecutive calendar days of receipt of the student-athlete’s written request by the ADFA. The AFARC may continue to review the matter beyond this 30-day period if deemed necessary in order to secure relevant evidence concerning the matter or for such other reasonable cause as the AFARC may determine.

6. The hearing shall be informal and the rules of evidence shall not apply. The AFARC shall consist of the following permanent members: the University’s Assistant Director of Financial Aid, the Chief Student Conduct Officer and Faculty Athletics Representative.
The student-athlete may be represented by a person of her/his choice and may present such information that he/she believes is relevant to the matter.

7. The student-athlete, the Head Coach and the Director of Athletics will be interviewed separately and independently from each other by the AFARC. If an interviewee is unable to make the meeting, a written letter or phone conference may be used.

8. The hearing shall not be open to the public and only the permanent members of the AFARC shall be present for each portion of the hearing.

9. After the hearing has been adjourned, the AFARC shall come to a resolution via a vote subject to the majority rule. Within 10 days of the hearing’s adjournment, the AFARC shall render a written decision, which shall include not only the AFARC’s decision but also the rationale for said decision, to all involved parties. The decision of the AFARC is final.

8.6.3.1 Appealing Non-renewals and Reductions for Next Academic Year. All appeals of non-voluntary, non-renewals and reductions of financial aid shall be heard by an appeals committee consisting of three WSU Faculty or Staff members outside of the Department. The Athletic Financial Aid Review Committee (AFARC) shall consist of the following permanent members: the University’s Assistant Director of Financial Aid (Chair), the Chief Student Conduct Officer, and Faculty Athletics Representative.

8.7.4 FAA Renewals for One Semester. Requests to have a student-athlete’s aid renewed for only one semester will be reviewed by the Compliance Office and Financial Aid Athletics Liaison to ensure that all NCAA requirements are met. Formal documentation must be kept on file proving NCAA requirements have been met (e.g., an email from Registrars Athletics Liaison stating the student-athlete is enrolled in all remaining courses required for graduation).

8.8 Summer School

8.8.1 Attending Summer School. All Student-Athletes that receive an Athletic Instate Scholarship during the academic year are eligible to receive it during summer sessions as well. The Compliance Office will compile a list of all student-athletes who receive an Athletic Instate Scholarship, are in Good Academic Standing and are enrolled in summer courses. Student-athletes who are identified will receive this particular type of aid for summer classes on the WSU campus only.
Chapter IX
Monitoring
9.1 Playing and Practice Seasons

9.1.1 Playing Season. The playing (practice and competition) season for a particular sport is the period of time between the date of an institution’s first officially recognized practice session and the date of the institution’s last practice session or date of competition, whichever occurs later.

9.1.1.1 Declaration of Playing and Practice Season. Each program will declare its playing season prior to the beginning of the playing season for that sport. The declaration process shall be completed as follows:

1. In June, the Compliance Office sends each program a Declaration of Playing and Practice Season Form.

2. The Head Coach will fill out the required sections on the Declaration of Playing and Practice Season Form, including:
   a. The date off-season (8 hours/week) practice begins;
   b. The date in-season (20 hours/week) practice begins;
   c. The date of the team’s first competition;
   d. The date of the team’s last competition;
   e. The number of contests the team is participating in; and
   f. The dates of any preseason exhibitions or scrimmages (if allowed by NCAA legislation).

3. Along with this form, the Head Coach must attach copies of the sport’s competition and practice schedules, as well as a calendar outlining the dates a sport will be “in season” for those sports that have a set number of days.

4. The Head Coach returns the declaration form and schedules to the Compliance Office by July 15.

5. The Compliance Office reviews the playing and practice schedule for adherence to NSIC/WIAC rules and NCAA bylaws.

6. If there are no issues with the declaration and schedule, the Compliance Office will record the season in the NCAA Compliance Assistant and file the forms in the Compliance Office.

7. If there are issues with the declaration and schedule, the Compliance Office will discuss them with the Head Coach. The Head Coach shall make any necessary changes and resubmit to the Compliance Office.
9.1.2 First Date of Practice for Fall Sports. The Compliance Office will communicate information regarding the first permissible date of practice for all fall sports after the third week in December, but no later than February 15.

9.1.3 Spring Non-Championship Seasons. Sports with non-championship seasons in the spring are required to submit to the Compliance Office its upcoming spring calendar prior to February 15 each year. This calendar shall include the following:

1. Outlining mandatory discretion time for spring semester; and

2. Designating the weeks and days that will be used for spring practice.

9.1.4 Scheduling Contests. See Department of Intercollegiate Athletics Policies and Procedures Manual section 4.1.7.

9.2 Designated Coaches

9.2.1 Designation of Coaching Category. Any individual that partakes in coaching duties shall be designated as a coach and also will be assigned one of the following titles:

- Head coach
- Assistant coach
- Volunteer assistant coach
- Graduate assistant coach
- Student assistant coach

9.2.2 Designated Coaches Email. Each program will declare its designated coaches in all coaching categories prior to the beginning of the playing season for that sport. The designation process is as follows.

1. In June, the Compliance Office emails each Head Coach and requests that he/she designate all personnel within her/his coaching staff.

2. The Head Coach will fill out the required information on the email, listing the designation of the head coach, assistant coaches, any volunteer, graduate assistant, or student assistant coaches and managers.

3. The Head Coach replies to the email to the Compliance Office by July 15.

4. The Compliance Office reviews the list of coaches and managers.
5. All individuals except managers listed on the Designated Coaches email must take the NCAA Coaches Certification Exams. This will be set up by the Compliance Office (see provision 9.2.3).

6. All individuals will be required to be certified in Adult CPR, AED, and First Aid.

7. If there are no issues, the Compliance Office will update the program’s information and file the email in the Compliance Office.

8. If there are issues with the designation, the Compliance Office will discuss them with the Head Coach. The Head Coach shall make any necessary changes and resubmit to the Compliance Office.

9.2.3 Coaches Certification Exams. All Coaching Staff members must pass the NCAA Coaches Certification Exam with a minimum score of 80 percent. The process for implementing and monitoring the exam is as follows:

1. The Compliance Office gives one group exam the first Tuesday in August.

2. The exams are proctored by the Compliance Office and the Faculty Athletics Representative.

3. Review sessions for the exams are held by the Compliance Office immediately prior to the exams.

4. The NCAA Coaches Certification Exam is scored automatically through the NCAA website.

5. Scores are reported to the NSIC/WIAC by the Compliance Office.

6. The Compliance Office monitors those individuals that pass the exam.
   a. Coaches must pass the NCAA exam with a score of 80% or higher prior to beginning off campus recruitment.

7. Make-ups or retakes are scheduled with the FAR as needed.

9.3 Countable Athletically Related Activities

9.3.1 Defining Countable Athletically Related Activities. As defined by the NCAA, Countable Athletically Related Activities (CARA) includes any required activity with an athletics purpose involving student-athletes and at the discretion of, or supervised by, one or more coaches. The following are considered countable athletically related activities and must be counted in the
weekly or daily time limitations specified in the NCAA Manual (Refer to Figure 17-3 in NCAA Manual):

- Practice, which is defined as any meeting, activity or instruction involving sports-related information and having an athletics purpose, held for one or more student-athletes at the direction of, or supervised by, any member or members of an institution’s coaching staff. Practice is considered to have occurred if one or more coaches and one or more student-athletes engage in any of the following activities:
  - Field, floor, or on-court activity;
  - Setting up offensive or defensive alignment;
  - Chalk talk;
  - Lecture on or discussion of strategy related to the sport;
  - Activities using equipment related to the sport;
  - Discussions of or review of game films, motion pictures, or videotapes related to the sport; or
  - Activities conducted under the guise of physical education class work (e.g., any class composed of or including primarily members of an intercollegiate team on a required attendance basis or where the class utilizes equipment for the sport);

- Competition (counts as 3 hours regardless of actual length);

- Required weight-training and conditioning activities held at the discretion of or supervised by an institutional staff member;

- Participation in a physical fitness class (including summer classes) conducted by a member of the athletics staff, unless such a class is a regular physical education class listed in the institution’s catalog and open to all students;

- Required participation in camps, clinics, or workshops;

- Individual workouts required or supervised by a member of the coaching staff, except for those workouts subject to the safety exception, if applicable;

- Visiting the competition site in the sports of cross country & golf;

- Use of an institution’s athletics facilities when such activities are supervised by or held at the direction of any member of an institution’s coaching staff; or
• Involvement of an institution’s strength and conditioning staff with enrolled student-athletes in required conditioning programs.

9.3.1.1 Daily and Weekly Hour Limitations – Playing Season. A student-athlete’s participation in countable athletically related activities (see Bylaw 17.02.1) shall be limited to a maximum of four hours per day and twenty (20) hours per week.

9.3.1.2 Weekly Hour Limitations—Outside of Playing Season. Outside of the playing season during the academic year, only a student-athlete’s participation in weight-training, conditioning, individual skill instruction and, in football, review of game film shall be permitted. A student-athlete’s participation in such activities shall be limited to a maximum of eight (8) hours per week, of which not more than two hours per week may be spent on individual skill workouts set forth in Bylaw 17.1.6.2.1 and, in football, review of game film. 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 examinations. 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.

9.3.2 Defining Non Countable Athletically Related Activities. As defined by the NCAA, Non Countable Athletic Related Activities includes the following activities and are not subject to the weekly CARA requirements (Refer to Figure 17-3 in NCAA Manual):

• Compliance meetings;
• Meetings with a coach that are initiated by the student-athlete;
• Drug/alcohol educational meetings or CHAMPS/Life Skills meetings;
• Study Tables, tutoring or academic meetings;
• Student-Athlete Advisory Committee (SAAC) meetings;
• Voluntary weight training not conducted by a coach;
• Voluntary sport-related activities (no attendance taken, no coach present; refer to Voluntary Athletically Related Activities, NCAA manual 17.02.1);
• Traveling to/from the site of competition;
• Training room activities;
• Recruiting activities (e.g., student host);
• Attending banquets; and
• Fund-raising activities or public relations/promotional activities or community service project.

9.3.3 Monitoring CARA. The Compliance Office shall monitor CARA in a number of ways.

9.3.3.1 Coaches’ CARA Reports (Appendix Z-CC). Each Coaching Staff will be required to track CARA and report the hours spent on such activities to the Compliance Office. WSU practice week is defined as Sunday through Saturday. The procedure for reporting CARA is as follows:

1. Programs will be issued specific CARA forms from the Compliance Office.

2. Coaches indicate how much time was spent on different countable activities each day, and what the activities were (i.e. practice, conditioning, meetings). In team sports, if hours vary with in positions, hours need to be recorded in a student-athlete specific manner. For individual sports, all hours need to be recorded in a student-athlete specific manner.

3. Coaches sign the CARA forms and submit them to the Compliance Office weekly by the Tuesday after the reported week.

4. The Compliance Office reviews the CARA forms to ensure the weekly and daily maximum hour limitations are not exceeded, as well as verifying student-athletes received one day off per week or two days off per week outside of playing season.

5. The Compliance Office records the CARA data in their Practice Logs spreadsheet, and the forms are scanned and saved.

9.3.3.2 Countable Hours Audit. The Compliance Office will select one to three sports on a weekly basis to audit countable hours. Generally, sports will be selected at random. The auditing process is as follows:

1. A small, random sample of student-athletes from the selected sports will be emailed, inquiring about countable hours for that week.

   a. The Compliance Office will email selected student-athletes prior to the beginning of practice for that week and again at the conclusion of the week.

   b. This email will include a definition and examples of countable hours, and will ask student-athletes to list the number of hours spent on CARA for that particular week.

   c. The Compliance Office shall protect the anonymity of selected student-athletes to the best of its ability.
2. The Compliance Office will compare practice logs submitted by coaching staffs to the email reports received by student-athletes. Any potential violation or severe irregularities will be investigated by the Compliance Office.

**9.3.3.3 Practice Monitoring.** The Compliance Office will monitor practices on a weekly basis. One sport or several sports will be selected to monitor during each week of the calendar year. The Compliance Office will then keep a log of practices viewed and record observations made.

**9.3.4 Monitoring Through Athletic Training.** The Athletic Training/Medical Staff will be copied on all eligibility memos and are responsible for monitoring student-athlete participation according to the memo (see provision 4.4.5).

**9.4 Team Travel**

**9.4.1 Travel Party Responsibility.** All travel party members are expected to adhere to the transportation and safety regulations of the company providing the mode of transportation (e.g., Winona State University Fleet Vehicle, charter plane, bus company, etc.).

**9.4.2 Head Coach’s Responsibility.** The Head Coach is responsible for ensuring that her/his sport administrator or designee has immediate access to the most current and accurate travel itinerary.

**9.4.3 Itinerary Approval.** The following process for submitting travel itineraries will be used;

1. The Head Coach, or an individual designated by the Head Coach, develops a travel itinerary for every away contest (or any other event that necessitates a departure from Winona). Travel itineraries may be in any format, but must include the following information:
   
   a. Dates of event;
   
   b. Dates and times of departure and return to campus;
   
   c. Cities and states the team will visit;
   
   d. Hotel name, address and phone number;
   
   e. Bus or air charter name and contact information;
   
   f. Flight and/or bus schedule;
   
   g. Dates/times of all organized team activities;
   
   h. Team travel coordinator (must be in travel party) name and cell phone number;
i. Names of every individual traveling on a particular trip. This list must include all traveling, including guests and family members and also must indicate if any members of the party are traveling separately.

2. The Head Coach or her/his designee must email travel itineraries and copies of the Student-Athlete Class Absence Form at least 48 hours before the team’s departure to:
   a. Associate AD for Internal Operations
   b. Warrior Club Student-Athlete Success Center Team Advisor
   c. Travel party
   d. Others at the discretion of the specific sport (radio/TV announcers, team athletic trainer, hotel personnel, Bus Company, ticket office, etc.)

3. Any change to the travel party roster must be communicated to the Associate AD for Internal Operations as soon as possible via email or cell phone.

9.4.3 Student-Athlete Class Absence Form (Appendix DD). Coaches are required to provide Student-Athlete Class Absence Form to all student-athletes who are traveling. Only the student-athletes who are traveling may be listed on this form. Student-athletes must submit this form to all applicable instructors at least one class period before departure.

9.5 Competition Reports

9.5.1 Competition Reports. The Compliance Office will track participation using game reports from the Sports Information Office & Coaches Reports for individual sports. The procedure for reporting participation is as follows:

1. Each week the Compliance Office will track game/meet participation using a competition log.

2. The Compliance Office records the date of each individual competition and any opponent(s) involved. Each new opponent faced or new day in a multi-day event receives its own log.

3. At the conclusion of the sports season, the Compliance Office will provide the Competition Report to the Coaching Staff to review for any discrepancies.

4. If there are discrepancies between what the Head Coach thinks should be noted and what has been indicated by the Compliance Office, the Head Coach will take note of these discrepancies and return the form to the Compliance Office.
a. In the case of noted discrepancies, the Compliance Office will review the coaches’ participation logs, athletics communications statistics, competition results and possibly game film to determine whether or not a given student-athlete participated.

b. Any necessary changes will be made and the form will be returned to the Head Coach for a second review with an explanation as to why changes were or were not made.

c. The Head Coach will sign the new certificate and return it to the Compliance Office.

5. The Compliance Office will enter into Compliance Assistant the participation status of each student-athlete.

6. The Compliance Office will send the completed competition report to the NSIC/WIAC Office by the end of the academic year.

9.6 Team Awards

9.6.1 Championship Rings. The following policy and procedure applies to student-athletes, student managers and student trainers who are eligible to receive Championship Rings as a result of their participation in one of the following:

- Conference team championship,
- NCAA championship, and/or
- Individual NCAA championship.

1. The Head Coach shall determine who is eligible to receive each award.

2. The list of names that are recommended to receive awards must be approved by the Director of Athletics and the Compliance Office. The Head Coach shall include information regarding total cost of each ring, which must comply with applicable NCAA legislation.

3. The Director of Athletics will email the Head Coach regarding approval.

4. Upon approval by the Director of Athletics the Head Coach or her/his designee shall complete the Institutional Award Purchase Approval Form (Appendix EE) and submit the form to the Compliance Office.

5. The Compliance Office will scan the requests, save the files in the appropriate year folder and log each award into the Award Spreadsheet for that year.
9.6.2 Team Awards. The following procedure will be utilized for monitoring all other individual student-athlete and team awards.

1. Coaches will submit award requests to the Compliance Office using the Institutional Award Purchase Approval Form (Appendix EE).

2. The Compliance Office will review all recipients, the category of the award, the award gift and cost of the gift per recipient prior to the purchase of the award. The Compliance Office will immediately notify the program if an award request is impermissible.

3. The Compliance Office will scan the requests, save the files in the appropriate year folder and log each award into the award spreadsheet for that year.

9.7 Occasional Meals

9.7.1 Monitoring Occasional Meals. A student-athlete or an entire team may receive an occasional meal from an institutional staff member or representative of athletics interests (booster) in the locale of the institution on infrequent and special occasions. The Compliance Office will monitor occasional meals through the following process:

1. The institutional staff member or booster will complete the Occasional Meal Request Form (Appendix FF) and submit it to the Compliance Office. The required parts of this form are:

   a. The program involved with the meal;

   b. The date of the meal;

   c. The location where the meal will take place;

   d. Who is providing the meal;

   e. A list of student-athletes who will be in attendance; and

   f. The reason for the occasional meal.

2. The Compliance Office will review the request and will either approve or deny the meal based on a number of factors, including:

   a. How many occasional meals the team has already had this academic year;

   b. Who is providing the meal;

   c. The location where the meal will take place; and
d. Who will receive the meal.

3. The Compliance Office will inform both the Coaching Staff of the team involved and the Staff member or booster requesting the meal of their decision. This will be done either through email or phone.

4. In cases that an Occasional Meal Request Form is not filled out prior to approval the coach or Staff member will be required to turn in the Occasional Meal Request Form within two business days of the meal. If a violation is found to have occurred the violation shall be reported to the NSIC/WIAC and shall be recorded in the coach or Staff member’s personal record.

9.8 Media Activities

9.8.1 Responsibility for Media Activities. The Sports Information Office is responsible for ensuring that NCAA bylaws in relation to media activities are followed. This includes all legislation dealing with media and student-athletes, prospective student-athletes (PSA’s) and WSU Staff. Any potential or actual violations shall be reported to the Compliance Office.

9.9 SA Involvement with Educational Products

9.9.1 Student-Athlete Involvement with Educational Products Related to Sport-Skill Instruction. Per NCAA Division II Bylaw 12.5.1.5, it is permissible for a student-athlete’s name or picture to appear in books, articles and other publications, films, videotapes and other types of electronic reproduction related to sport-skill demonstration, analysis or instruction provided:
   a) Such print and electronic media productions are for educational purposes;
   b) There is no indication that the student-athlete expressly or implicitly endorses a commercial product or service;
   c) The student-athlete does not receive remuneration for such participation; however, the student-athlete may receive actual and necessary expenses related to his or her participation;
   d) The student-athlete does not miss class time to participate in the activity; and
   e) The student-athlete has signed a release statement ensuring that the student-athlete’s name or image is used in a manner consistent with the requirements of this section and has filed a copy of the statement with the student-athlete’s member institution.

9.9.2 Educational Products Related to Sport-Skill Instruction Form (Appendix GG). Specifically regarding student-athletes at Winona State University, the following procedure will govern student-athlete involvement with educational products related to sport-skill instruction:

1. Student-athlete will communicate in writing to the WSU Compliance Office her/his interest in participating in a given educational product related to sport-skill instruction.
2. Only after receiving preliminary approval from the WSU Compliance Office, the student-athlete may participate in the project.
3. Upon completion of participation, student-athlete will complete the Educational Products Related to Sport-Skill Instruction Waiver under the supervision of the WSU Compliance Office.
4. The WSU Compliance Office will review the waiver, investigate the matter further if necessary and file the waiver accordingly.

9.10 Male Practice Players

9.10.1 Male Practice Players. Male practice players may be used to practice with female teams as long as the practice players are eligible to do so under NCAA legislation. If a male practice player is a current student-athlete, his participation in the female sport and his participation in his own sport will be countable toward CARA. Please refer to the Male Practice Player Form (Appendix HH) for the requirements and steps involved when adding a male practice player to a women’s team.
Chapter X
Violations and Self Reporting
10.1 Institutional and Individual Responsibilities

10.1.1 Responsibility of Institutional Control. Winona State University is committed to the principle of institutional control and full compliance with all NSIC/WIAC and NCAA rules and regulations. The Director of Athletics, the Faculty Athletics Representative (FAR) and the Compliance Office are charged with providing primary oversight of institutional control.

10.1.2 Institutional Staff and Student-Athlete Responsibility. WSU Staff and student-athletes are expected to comply with NSIC/WIAC and NCAA rules and regulations at all times. Failure to comply with these rules and regulations could result in penalties (see provision 10.3). Penalties for intentional major violations could result in a Staff member being suspended, fined or terminated and a student-athlete being ruled ineligible.

10.2 Violations

10.2.1 Types of Violations. There are two primary types of violations: Secondary and Major.

10.2.1.1 Secondary 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. Secondary violations can be classified as Level I or Level II violations, as determined by NCAA legislation (see provision 10.3).

10.2.1.2 Major Violations. All violations other than secondary violations are major violations, specifically including those that provide an extensive recruiting or competitive advantage. Multiple secondary violations may collectively be considered a major violation.

10.2.2 Reporting Violations. WSU Staff and student-athletes are required to immediately report any alleged or suspected violations of NSIC/WIAC and NCAA rules and regulations.

10.2.2.1 Failure to Report Violations or Withhold Information Concerning Violations. Failure to report violations or withholding information concerning violations may result in disciplinary action of the Staff member or student-athlete. If a student-athlete knowingly furnishes WSU or the NCAA with false or misleading information about her/his involvement in or knowledge of a rules violation, the student-athlete shall be declared ineligible. A Staff member that knowingly furnishes WSU or the NCAA with false or misleading information about her/his involvement or knowledge of a rules violation may suffer severe penalties including suspension, fines or termination.

10.2.2.2 Internal Reporting Procedure. WSU Staff and student-athletes must report any alleged or suspected violations of NSIC/WIAC and NCAA rules and regulations to the Compliance Office or FAR.
10.2.2.3 External Reporting Procedure – Secondary Violations. The Compliance Office is responsible for reporting all secondary violations to the NSIC/WIAC and NCAA as required by the specific agencies. The Compliance Office shall take statements from individuals involved in the violation. The following information shall be included in the self-report:

- A description of the violation, including the bylaw citation;
- How the institution became aware of the violation(s);
- Date and location of the violation(s);
- The identity of the individuals involved;
- Background or circumstances that may have led to the violation(s); and
- A summary of any penalty or corrective action.

10.2.2.4 External Reporting Procedure – Major Violations. Major violations shall be reported by either the Compliance Office or an outside entity, if an outside entity has been retained. Self-reports for major violations shall, at minimum, contain the following information:

- A description of the violation, including the bylaw citation;
- How the institution became aware of the violation(s);
- Date and location of the violation(s);
- The identity of the individuals involved;
- Background or circumstances that may have led to the violation(s); and
- A summary of any penalty or corrective action.

10.2.3 Notification of Violations. The following process shall be followed to notify concerned parties of violations:

1. The FAR shall immediately notify the Compliance Office of any violations reported to her/him.

2. The Compliance Office shall notify the following individuals of violations:

   a. The FAR and Director of Athletics (or designee) of secondary violations within two weeks of determining a violation occurred. Notification shall be in the form of a completed self-report (see provision 10.2.2.3).
b. The FAR and Director of Athletics shall be notified of potential major violations immediately. Notification may be verbal or written.

3. The FAR or Director of Athletics shall immediately notify the President of any potential major violations.

10.2.4 Determining Magnitude of Violations. The process for determining the magnitude of a violation shall begin with the Compliance Office. The Compliance Office will review all reported violations with NSIC/WIAC and NCAA legislation. The Compliance Office has the authority to determine if a violation is secondary or major.

10.2.4.1 Review of Secondary Violations. Prior to filing the secondary violation with the NSIC/WIAC or NCAA, the FAR and Director of Athletics (or her/his designee) will have the opportunity to review the self-report. If the FAR or Director of Athletics concludes no further action is necessary regarding the secondary violation, the FAR and Director of Athletics shall sign the self-report. If the FAR or Director of Athletics concludes additional follow-up is necessary regarding the facts surrounding the secondary violation, the FAR shall notify the Compliance Office and Director of Athletics to determine appropriate follow-up actions.

10.2.4.2 Determining Major Violations. If the Compliance Office determines that a major violation has occurred, the Compliance Office shall immediately notify the Director of Athletics (or designee) and the FAR. The three individuals shall then determine how to properly investigate the alleged violation (see provision 10.4.1).

10.3 Penalties

10.3.1 Determining Appropriate Penalty. The determination of an appropriate penalty for violations will depend on the magnitude of the violation.

10.3.1.1 Determining Appropriate Penalty – Secondary Violations. The Compliance Office shall have the authority to determine the appropriate penalty for secondary violations. Penalties for secondary violations shall be determined by giving consideration to several factors, including, but not limited to prescribed penalties by the NCAA, culpability of the involved individuals, case precedent, any recruiting advantages gained and any competitive advantages gained. Prior to filing the secondary violation with the NCAA or NSIC/WIAC, the FAR and the Director of Athletics (or her/his designee) will have the opportunity to review the self-report and prescribed penalty. If the FAR or Director of Athletics concludes no further penalty is necessary, the FAR and Director of Athletics shall sign the self-report. If the FAR or Director of Athletics concludes additional penalties are necessary, the FAR shall notify the Compliance Office and Director of Athletics to determine appropriate follow-up actions.
10.3.1.2 Determining Appropriate Penalty – Major Violations. The Director of Athletics, FAR and the Compliance Office shall meet to determine the appropriate penalty for major violations. Penalties for major violations shall be determined by giving consideration to several factors, including culpability of the involved individuals, case precedent, any recruiting advantages gained and any competitive advantages gained.

10.3.2 Restoration of Eligibility. Should a violation affect a student-athlete’s eligibility, the Compliance Office is responsible for notifying the concerned parties at the University (through an eligibility memo, see provision 4.4.4), the NSIC/WIAC and the NCAA. Furthermore, the Compliance Office is responsible for taking any necessary steps in restoring a student-athlete’s eligibility prior to the student-athlete resuming competition.

10.4 Investigations

10.4.1 Investigating Potential Major Violations. The Director of Athletics, FAR, and the Compliance Office shall determine the proper way to investigate potential major violations.

10.4.1.1 Internal Investigation of Potential Major Violations. Internal investigations of potential major violations shall be a collaboration between the FAR and the Compliance Office.

10.4.1.1.1 Interviews during Internal Investigations. Prior to an interview, the FAR and/or the Compliance Office shall inform the interviewee that he/she has a responsibility to cooperate under NCAA rules. Specifically, violations of the principle of ethical conduct manifested either in incomplete disclosure, the provision of false or misleading information, or knowing involvement in a violation, may result in severe penalties up to and including:

- Termination of an employee;
- Disassociation with a booster; or
- Ineligibility of a student-athlete.

10.4.1.2 External Investigation of Potential Major Violations. WSU may retain an outside entity to investigate potential major violations. The University President, the Director of Athletics, the FAR and the Compliance Office shall determine if an outside entity shall be retained to assist in investigating a potential major violation.
Chapter XI
Sports Camps and Clinics
11.1 Camps and Clinics Operating Policies and Procedures

11.1.1 Camps and Clinics Approval Form (Appendix II). Winona State University has a set of forms specifically related to the operation of sports camps and clinics.

11.1.2 Department of Intercollegiate Athletics Policies & Procedures Manual. Refer to section 4.1.10 Sports Camps/Clinics in the Department of Intercollegiate Athletics Policy & Procedure Manual for additional information on payment of camp staff and processing camp funds.

11.2 Monitoring Camps and Clinics

11.2.1 Pre-camp and Clinic Approval, WSU Camps. The Camp Director is required to complete and submit several documents prior to hosting a camp or clinic. All of the following documents are to be completed by the Camp Director and submitted to the Associate AD for Internal Operations.

11.2.2 Camp Application. The camp application and all attachments shall be submitted to the Compliance Office prior to any advertising of the camp. The Compliance Office shall review the application ensuring the dates of the camp are permissible per NCAA legislation and all required documentation has been submitted. The Associate AD for Internal Operations will use the camp application checklist to verify all required documents have been submitted.

11.2.2.1 Camp Application Sections. The Camp Director must submit the following documents before advertisement of the camp:

1. Section 1 – Overview.
   a. A copy of the Release of Liability and Medical Treatment Authorization and Release Form;
   b. Copy of the brochure/advertisement must be submitted prior to any advertisement of the camp.

2. Section 2 – Written job descriptions for all staffing position for camps.

3. Section 3 – WSU Staff Compensation List. WSU employee compensation must go through their contract. It will be taxed and appear on their paycheck. The Associate AD for Internal Operations will make changes to the employee’s contract for the pay. Prior approval from the Director of Athletics is required one month prior to start of camp.
4. Section 4 - Student-Athlete List. All current student-athletes and Graduate Assistants will be paid through student payroll. They will receive a lump sum payment two weeks after they have concluded work.

Enrolled student-athletes are permitted to be employed in WSU’s camps and clinics under the following conditions:

- The student-athlete shall not participate in organized practice activities other than during the institution’s playing season in the sport.
- The Director of Athletics must give prior approval for the employment arrangement. This should be done through the Head Coach.
- The student-athlete must perform duties that are of a general supervisory nature character and any coaching or officiating assignments shall represent not more than ½ of the work time.
- Compensation shall be commensurate with the going rate for camp or clinic counselors of similar teaching ability and camp and clinic experience and may not be paid on the basis of the value that the student-athlete may have for the employer because of the athletics reputation or level of notoriety the student-athlete has achieved. It is not permissible to establish varying levels of compensation for a student-athlete employed in a sports camp or clinic based on the level of athletics skill.

5. Section 5 – Non WSU Employees or Non WSU Student Athletes. All non-affiliated WSU employees and students will be paid through the business office by a Services Performed Form (Appendix M). A 1400 form (Appendix A) must be completed to encumber the funds for the employees.

6. Section 6 – Financial Report Budget. The Head Coach must complete an estimated budget to hold the camp at Winona State including expenses and revenues.

11.2.3 Post-Camp Documents. The Camp Director is responsible for submitting the following information within three business days of the conclusion of the camp to the Associate AD for Internal Operations:

2. Section 8 – Registration List. Attach a final registration list that includes each camper’s name, address, fee paid, whether there was a discount given and grade in school.

3. A refund list.

4. At the conclusion of camp the non-WSU employees and students shall complete the Services Performed Form (Appendix M). The form must be an original copy (no fax or photocopies) and also must be signed by the head coach/camp coordinator. In the instance that the camp employee has never worked at WSU, a W-9 tax form (available in the Business Office) also should accompany the Services Performed Form.

11.2.4 Post-Camp Review. The Business Office, Associate AD for Internal Operations and the Compliance Office shall review financial documents at the conclusion of the fiscal year.

11.2.4.1 Business Office Review. The Business Office shall collect and review post-camp financial documents looking for any of the following irregularities and shall communicate said irregularities to the Associate AD for Internal Operations and the Compliance Office:

1. Any inconsistencies from prior years;

2. Any unusual amounts or descriptions;

3. Any inconsistencies in compensation; and

4. Any inconsistencies or unusual items with regard to camp registration fees paid by various participants.

11.2.4.2 Compliance Office Review. The Business Office shall forward the financial documents to the Compliance Office. The Compliance Office shall review the financial documents in regards to NCAA legislation, including but not limited to legislation concerning the following:

1. Sponsorship in relation to supplementing coaches’ salaries;

2. Eligibility of individual camp employees to work the camp;

3. Equitable compensation of camp employees; and

4. The permissibility of any refunds to participants.
11.2.5 Contemporaneous Camp Monitoring. The Compliance Office shall be responsible for monitoring camps on a contemporaneous basis. Such monitoring will occur by a Compliance Office employee at the camp site location. Camps to be monitored will be selected at random. The individual monitoring the camp shall record any important observations into the Camp Monitoring Spreadsheet.

11.3 Non-WSU Camps and Clinics

11.3 Pre-Camp and Clinic Approval, Non-WSU Camps. Any Department Staff member who wishes to work a non-WSU camp/clinic must email the Compliance Office prior to working the camp. The Staff member must review NCAA legislation 13.12.2.5. The following questions need to be addressed in the email to the Compliance Office.

1. Date(s) and location of the camp or clinic?
2. What type of camp or clinic (coaches clinic, 6th grade basketball camp, etc..)?
3. What responsibility or position will the WSU employee have at the camp/clinic?
4. Is the camp open to any and all entrants?
5. Does the camp provide free or reduced admission to any individual who has started classes for the ninth grade?

The Compliance Office reviews the email for compliance with NCAA legislation and files the email for its records. The Compliance Office shall notify the employee by email that his or her employment in the non-WSU camp has been approved or denied. The employee will not work the camp or clinic prior to receiving approval from the Compliance Office.

11.4 WSU Student-Athlete Participation in Promotion of Summer Camps

11.4.1 Student-Athlete Involvement in WSU Sponsored Camp. When promoting or publicizing an institutionally sponsored camp, Winona State University may use the name or picture of any WSU student-athlete, regardless of whether or not the student-athlete is employed as a counselor for the camp. Additionally, WSU may use the name or picture of any student-athlete employed as a counselor at the camp, even if the student-athlete is not a student-athlete at WSU. In accordance with the conditions listed above, when publicizing or promoting an institutionally sponsored camp, WSU may use the name or picture of the student-athlete, including the use of the student-athlete’s name or picture in camp brochures or other advertising. (See NCAA Division II Bylaw 12.5.1.6.1)

11.4.2 Student-Athlete Involvement in Privately Owned Camp. A privately owned camp may use the name or picture of a WSU student-athlete employed as a counselor to publicize or
promote the camp, including the use of the student-athlete’s name or picture in camp brochures or other advertising. However, upon completion of a WSU student-athlete’s employment with a privately owned camp, the camp must immediately discontinue the production and distribution of any promotional materials related to the camp that include the name or picture of said student-athlete. (See NCAA Division II Bylaw 12.5.1.6.2)
Chapter XII
Personnel
12.1 Athletics Employees

12.1.1 Athletics Hiring Practices. The Department of Intercollegiate Athletics shall hire new employees within the general guidelines for hiring University employees. Any additional requirements are outlined within this chapter.

12.1.2 Athletics Employee Responsibility. Relevant University, NSIC/WIAC and NCAA rules and regulations may differ dependent upon the position. All Department Staff members are personally responsible for understanding their position as it relates to University, NSIC/WIAC and NCAA rules and regulations. A Department Staff member shall not intentionally violate any rule or regulation. In the event that a violation has occurred or is suspected to have occurred, a Department Staff member shall notify the Compliance Office immediately.

12.1.2.1 Extra Benefits. An extra benefit is defined as any benefit provided to a student-athlete that is not outlined as permissible per NCAA legislation or that is not available to the WSU student body as a whole. The Compliance Office shall educate all Department Staff members concerning rules and regulations related to extra benefits during new employee orientations and annual compliance meetings (see Chapter 13). All athletics employees are required to report a student-athlete’s potential receipt of an extra benefit to the Compliance Office.

12.2 Athletics Employees Contact Information & Emergency Contact

12.2.1 Athletics Employee Information. Employee contact information will be collected for use in the department directory.

12.2.2 Athletics Employee Emergency Contact Information. Emergency contact information will only be used in cases of emergency and will not be listed in the department directory.

12.2.2.1 Athletics Employee Emergency Contact Form (Appendix JJ). The Athletics Employee Emergency Contact Form will be collected when a new employee is hired. All Staff, including volunteers, will be required to submit two emergency contacts.

12.3 Volunteer Coaches and Staff Members

12.3.1 Volunteer Coaches and Staff Members Paperwork (Appendix KK). The Compliance Office will obtain a completed Volunteer Coach/Staff Member Agreement Form for each volunteer Coach/Staff member. Supervisors of a volunteer Coach/Staff member must include duties and expectations of the Coach/Staff member and the length of the appointment on the form.

12.3.1.1 Volunteer Coach/Staff Member Paperwork Process. The process for adding a volunteer Coach/Staff member is as follows:
1. The volunteer Coach/Staff member will complete and sign the Volunteer Coach/Staff Member Agreement Form, Athletics Employee Contact Form and Volunteer Coaching Release of Liability Form (Appendix LL).

2. The supervisor will complete and submit the Volunteer Coach/Staff Member Agreement Form to the Director of Athletics.

3. The Director of Athletics (or designee) will sign the Volunteer Coach/Staff Member Agreement Form.

4. All completed and signed forms will be submitted to the Compliance Office.

5. The Compliance Office will review all forms and sign the Volunteer Coach/Staff Member Agreement Form, affirming that the volunteer Coach/Staff member has taken the NCAA Coaches Certification Exams and is cleared to work under NCAA rules and regulations.

   a. If the volunteer Coach/Staff member has not yet taken the certification exam, the Compliance Office will arrange for the Faculty Athletics Representative to proctor the exam prior to signing the form.

6. The Compliance Office will make a copy of all forms related to the volunteer Coach/Staff member and will forward the original copies to the WSU Human Resources Office.

12.3.2 Certification Exams. Volunteer coaches will complete any necessary NSIC/WIAC and NCAA Coaches Certifications.

12.4 Graduate Assistant Coaches

12.4.1 Graduate Assistant Coaches Requirements. WSU may hire graduate assistant coaches as outlined within the NCAA manual. The Compliance Office is responsible for monitoring all requirements of a graduate assistant coach. Graduate assistant coaches will be added to the Registrar’s Office reports as needed. A Head Coach must list all graduate assistant coaches on a Designated Coaches Email (see provision 9.2.2).

12.5 Managers

12.5.1 Managers Requirements. An individual may be declared a manager if he/she meets all qualifications as outlined by NCAA legislation. The Compliance Office is responsible for monitoring all requirements for managers. Managers will be added to the Registrar’s Office reports as needed. A Head Coach must list all managers on a Designated Coaches Email (see provision 9.2.2).
12.6 Student Assistant Coaches

12.6.1 Student Assistant Coaches Requirements. An individual may be declared a student assistant coach if he or she meets all qualifications as outlined by NCAA legislation. The Compliance Office is responsible for monitoring all requirements for student assistant coaches. Student assistant coaches will be added to the Registrar’s Office reports as needed. A Head Coach must list all student assistant coaches on a Designated Coaches Email (see provision 9.2.2).
Chapter XIII
Education
13.1 Rules Education

13.1.1 Educating All Constituents. The WSU Department of Intercollegiate Athletics will strive to have a comprehensive educational program for all WSU constituents, including but not limited to: WSU staff, WSU student-athletes, fans and boosters.

13.2 Educating Athletics Department Staff

13.2.1 Educating Staff by Position. Education for Department Staff members will differ contingent upon the Staff member’s position at WSU.

13.2.1.1 Coaches. WSU Coaches will receive continual education while employed at WSU. The following educational initiatives will be conducted by the Compliance Office:

- Upon hire, all new coaches will go through a new coach’s orientation covering several key areas concerning WSU, NSIC/WIAC and NCAA compliance and will sign a document indicating they attended the orientation. These orientations shall occur within the first three weeks of an individual’s hire.

- The Compliance Office shall meet with all coaches in every sport eight times a year, generally on a monthly basis throughout the academic year. In these meetings, current WSU, NSIC/WIAC and NCAA rules and regulations are reviewed, along with new legislation relating to the sport, current cases in the sport and current trends in the industry.

- The Compliance Office shall email coaches and send memos as needed, reporting any new interpretations or information relating to their sport.

- All coaches are required to take the NCAA recruiting exam.

- Coaches shall receive monthly educational emails. These emails shall contain information about new legislation, rule interpretations, recent cases of violations throughout college athletics and general compliance information.

- The Compliance Office shall post informational flyers in common areas throughout the Department’s facilities. These flyers shall discuss new legislation, rule interpretations, recent cases of violations throughout college athletics and general information regarding institutional policies.

- The Compliance Office Staff shall be available to answer any questions about rule interpretations, hypothetical situations or any other issues that a coach may encounter on a day-to-day basis.
13.2.1.2 Athletics Staff – Non-sport Specific. All Non-Sport Specific Department Staff will receive continual education while employed at WSU.

13.2.1.2.1 Definition of Non-sport Specific. For the purposes of provision 13.2.1.2, Non-Sport Specific Department Staff shall include all Staff members that are not coaches and are not designated to one sport in particular.

13.2.1.2.2 Education for Non-sport Specific Athletics Staff. Non-Sport Specific Department Staff will receive continual education while employed at WSU. The following educational initiatives will be conducted by the Compliance Office:

- Upon hire, all Non-Sport Specific Department Staff will go through a new employee orientation covering several key areas concerning WSU, NSIC/WIAC, and NCAA compliance at it relates to their job and will sign a document indicating they attended the orientation. These orientations shall occur within the first three weeks of an individual’s hire.

- The Compliance Office shall email Non-Sport Specific Department Staff and send memos as needed, reporting any new interpretations or information relating to their areas of responsibility.

- Non-Sport Specific Department Staff members shall receive monthly emails. These emails contain information about new legislation, rule interpretations, recent cases of violations throughout college athletics and general compliance information.

- The Compliance Office shall post informational flyers in common areas throughout the Department’s facilities. These flyers shall discuss new legislation, rule interpretations, recent cases of violations throughout college athletics and general information regarding institutional policies.

- The Compliance Office Staff shall be available to answer any questions about rule interpretations, hypothetical situations or any other issues that a Non-Sport Specific Department Staff member may encounter on a day-to-day basis.

13.3 Educating WSU Staff Outside the Athletic Department

13.3.1 Educating Staff by Position. Education for WSU Faculty/Staff members outside the Department will differ contingent upon the Faculty/Staff member’s position at WSU.

13.3.1.1 Faculty. WSU faculty will receive continual education while employed at WSU. The following educational initiatives will be conducted by the Compliance Office:
The Compliance Office works closely with the Faculty Athletics Representative (FAR) on all matters related to the Department. The FAR is responsible for relaying any important compliance information and education to the Athletics Review Committee (4-8 times a year), the Faculty Senate (once a year) and to the University President (continued basis).

The Compliance Office shall hold an annual educational meeting with the institution’s faculty academic advisors to share information related to NSIC/WIAC and NCAA compliance issues and institutional regulations related to academics.

The Compliance Office Staff shall be available to answer any questions about rule interpretations, hypothetical situations or any other issues that a faculty member may encounter on a day-to-day basis.

13.3.1.2 WSU Non faculty. WSU Staff members will receive continual education while employed at WSU. The following educational initiatives will be conducted by the Compliance Office:

- Select WSU Staff members will receive monthly compliance emails. These emails contain information about new legislation, rule interpretations, recent cases of violations throughout college athletics and general compliance information. The following WSU departments/committees or representatives of departments shall receive the emails:
  - FAR
  - Admissions
  - Financial Aid Services Office
  - Registrar
  - Athletics Review Committee
- The Compliance Office will hold an educational workshop during the summer months for staff members from Financial Aid, Admissions, the Registrar’s Office and the FAR.
- The FAR and staff from Financial Aid, Admissions, the Registrar’s Office, Housing and Dining Services are emailed regularly as new interpretations and legislation relating to their areas are made available.
- The Compliance Office shall be available to answer any questions about rule interpretations, hypothetical situations or any other issues WSU staff may encounter.
13.4 Student-Athletes

13.4.1 Educating Student-Athletes. Student-athletes will receive continual education throughout their time at WSU. The following educational initiatives will be conducted by the Compliance Office:

- A member of the Compliance Office Staff shall meet with all student-athletes in every sport at the beginning and end of the academic year. At these informational meetings, general compliance information is discussed, and student-athletes are educated on the various WSU, NSIC/WIAC and NCAA rules and regulations governing their respective sport.

- Before any student-athlete will be certified eligible to compete, he/she is required to read through and fill out a compliance packet containing WSU, NSIC/WIAC and NCAA forms. Forms in the packet are:
  - Personal information questionnaires
  - Drug-testing consent forms and policies
  - Student host agreements
  - HIPAA and FERPA consent forms
  - The NCAA Student-Athlete Statement

- Student-athletes also are educated by the Compliance Office randomly throughout the year by email, Twitter updates and Facebook messages or posts.

- The Compliance Office shall post informational flyers in common areas throughout the Department’s facilities. These flyers shall discuss new legislation, rule interpretations, recent cases of violations throughout college athletics and general information regarding institutional policies.

- The Compliance Office shall be available to answer any questions about rule interpretations, hypothetical situations or any other issues that a WSU student-athlete may encounter.

13.5 Fans and Boosters

13.5.1 Educating Fans and Boosters. Fans and boosters will receive continual education throughout their affiliation with WSU. The following education initiatives will be conducted by the Compliance Office:
• The Compliance Office shall post flyers and notices throughout high-traffic public areas at home sport venues. These flyers will contain information about legislation relating to boosters and booster activities, and also answer many common questions about boosters and their relationship to the Department. They also will provide contact information for the Compliance Office.

• The Compliance Office annually shall email season ticket holders and local businesses an educational document containing general compliance information.

• The Compliance Office shall create educational videos for fans and boosters.

• The Compliance Office shall place booster brochures containing NSIC/WIAC and NCAA rules in donors’ suites during football games.

• An educational article shall be included in the quarterly Warrior Club newsletter guide for boosters.

• The Compliance Office shall maintain a Facebook and Twitter page that can be followed by fans and boosters.

• The Compliance Office shall be available to answer any questions about rule interpretations, hypothetical situations or any other issues that fans or boosters may encounter.

13.6 Interpretation Request

13.6.1 Interpretation Request Procedure. The Compliance Office prefers interpretation requests to come via email. However, the Compliance Office understands many situations occur when email is not the most viable option; in addition, verbal explanation is often needed. Most interpretations, regardless of the method used to propose the question, will be answered via email. Verbal interpretations will often be followed-up with an email. Any contradiction between a verbal interpretation and email should be pursued immediately by the requester. Otherwise, all emailed interpretations shall serve as the official interpretation.
Chapter XIV
Athletic Department
Surveys
14.1 Exit Interviews

14.1.1 Types of Exit Interviews. WSU will conduct written and oral exit interviews of student-athletes as outlined within this provision.

14.1.2 Anonymity. Exit interview administrators will maintain student-athlete confidentiality when providing responses to Department Staff.

14.2 Written Athletic Department Survey

14.2.1 Written Athletic Department Survey. The written Athletic Department Survey shall meet all NCAA requirements. A copy of the written survey will be emailed to all Department Staff prior to the administration of the survey to the first cohort each fall (Fall Seniors).

14.2.2 Cohort for Written Athletic Department Survey. All senior student-athletes at the conclusion of their season will complete a comprehensive survey. All non-senior team members will complete the survey electronically at the conclusion of the academic year in late April and early May.

14.2.3 Survey Administer Process. The following process shall be followed for completing and reviewing written exit interviews:

1. Administrators will administer the survey with no coaches present.
2. Surveys are administered electronically which requires student-athletes to bring their University laptops to their scheduled meeting.

14.2.4 Collecting Data for Written Exit Interviews. Academic Services is responsible for collecting all written survey data and preparing such data in an annual report.

14.3 Oral Exit Interviews

14.3.1 Oral Exit Interview Questions. The oral interview will be based off a student-athlete’s responses to the written survey and also will serve as an open forum for the student-athlete to express any thoughts pertaining to his or her experiences at WSU.

14.3.2 Cohort for Oral Interviews. Department Administrative Team members may choose individuals or teams, depending on survey results, to meet for oral interviews.

14.3.3 Collecting Data for Written Exit Interviews. The Department Administrative Team members who will be conducting the oral interviews are responsible for collecting all oral exit interview data and preparing such data in an annual report.

14.4 Reviewing Exit Interview Data
14.4.1 **Annual Review of Survey/Exit Interviews.** WSU shall have a committee that meets annually to analyze the exit interview annual reports. This exit interview committee shall consist of a minimum of the following people:

- Director of Athletics
- Associate AD for Internal Operations
- Associate AD for Student Development
Chapter XV
Compliance Committee
15.1 Compliance Committee

15.1.1 Compliance Committee Purpose. The Compliance Committee shall review current issues within the Department of Intercollegiate Athletics related to compliance with WSU, NSIC/WIAC and NCAA rules and regulations. The Compliance Committee shall provide recommendations and guidance to help improve compliance procedures at WSU.

15.1.2 Compliance Committee Composition. The Compliance Committee, at minimum, shall be comprised of the following individuals or designees of the listed individuals:

- Faculty Athletics Representative (Chair)
- Senior Women’s Administrator
- Associate AD for Internal Operations
- Associate AD for Student Development
- Vice President of Finance and Administrative Services
- Director of Admissions
- Director of Affirmative Action/Legal Affairs
- Certifying Officer
- Director of Financial Aid
- Financial Aid Athletics Liaison (appointed by the Director of Financial Aid)
- University Registrar
- A Representative of the Athletics Review Committee

15.1.3 Compliance Committee Meeting Schedule. The Compliance Committee will meet once a semester as scheduled by the Faculty Athletics Representative (FAR).

15.1.4 Reporting to the Compliance Committee. The FAR and the Compliance Office will prepare reports concerning compliance issues to the Compliance Committee. Items that shall be reported include but are not limited to:

- Violations
- Audit Reports
- Compliance Procedural Changes