



**PROCEDURES FOR REPORTING AND PROCESSING POTENTIAL  
NCAA/SEC VIOLATIONS AT THE UNIVERSITY OF TENNESSEE**

*University staff is encouraged to review Article 32 of the NCAA Operating Bylaws, which details Enforcement Policies and Procedures.*

**Reporting Process**

- All student-athletes and regular employees of the Athletics Department, Registrar's Office, Undergraduate Admissions Office, Financial Aid Office, and Thornton Center are obligated to report any violations or possible violations to the Athletics Director (AD) or Compliance Office (CO).
- A University employee who in good faith reports a possible violation of NCAA or SEC rules will not suffer retaliation by the University.
- The CO shall immediately share preliminary information concerning a reported possible violation with the AD and the Faculty Athletics Representative (FAR). Based on the seriousness of the allegation or incident, the CO, AD and FAR will make an initial determination of whether the Chancellor, NCAA and SEC should be notified and whether additional University staff should be included in the deliberations (e.g., the General Counsel or her designee and a University spokesperson).
- Reporting of potential NCAA or SEC violations at another SEC institution shall be made to the SEC Commissioner by the AD. The Commissioner will contact the other institution. Coaches and other University employees shall not contact the SEC or another institution regarding potential violations at another institution.

**Internal Investigations**

- Unless otherwise directed by the Chancellor, initial investigative work will be conducted by the CO and findings will be reported to the AD, FAR, Chancellor and other appropriate University staff.
- In all cases, the CO in consultation with other staff, should immediately determine what steps must be taken to reduce the risk of a continuing or recurring violation (e.g., treatment of all eligibility matters before further competition and eliminate the potential for a reoccurrence of similar violations).
- If the initial investigation by the CO reveals no violation of NCAA or SEC regulations, the findings will be documented and shared with the AD, FAR, and Chancellor.

- If the initial investigation by the CO reveals that a secondary violation has occurred, the CO, AD and FAR will recommend to the Chancellor the imposition of appropriate penalties. If the Chancellor concurs in the recommended penalties, the AD shall make appropriate reports to the NCAA and the SEC. The Chancellor will be copied on all secondary, self-reported violations.
- If the initial investigation by the CO suggests that a possible violation could be classified as a major violation, the Chancellor, AD, FAR, General Counsel (or her designee), NCAA and SEC shall be immediately informed. The Chancellor will consult with the AD, General Counsel, CO, and FAR to determine whether outside counsel or other individuals should be employed to assist in the investigation. The Chancellor will determine in each case who will lead the investigation and reporting process. The party assigned to lead the investigation will assign and document specific responsibility for investigation/action by other members of the investigative team.
- Effective and regular communication among key University staff is essential throughout an investigation. The spirit of the investigative process is one of cooperation and trust among all involved University staff and regular communication with the NCAA and SEC.
- When appropriate, the Chancellor will designate a primary spokesperson to address media and public inquiries concerning an investigation. The University will stress to other employees involved in the investigation the importance of refraining from public comment on the investigation and of treating all matters related to the case, whether of a secondary or major nature, as confidential. The effectiveness and credibility of internal investigations will be damaged if this confidentiality is breached. The University spokesperson should anticipate open records requests and other inquiries from the public and the media and should review proposed responses with the General Counsel or her designee.
- The finding of a violation shall be based on the preponderance of the evidence, considered as a whole. The CO, in consultation with the AD, FAR, or the General Counsel (or her designee), will make an initial determination of whether the violation is major or secondary in nature. Final determination as to whether a violation is secondary or major in nature shall be made by the NCAA enforcement staff according to the guidelines in NCAA Bylaw 32.2.2.1.2.
- When the investigation has been completed, the University will submit a detailed report to the NCAA and the SEC, which shall include, where appropriate, self-imposed penalties. If the enforcement staff of the NCAA believes the reported violations are major in nature, the infractions case will be processed either through the summary-disposition process or through use of an official inquiry. The information in a self-report can be utilized either in the summary-disposition process or in the official-inquiry process. (Figure 32.1 in the NCAA Manual provides a graphic of the processing of a typical NCAA infractions case.) Copies

of the self-report will be sent to the following: Chancellor; AD; FAR; General Counsel (only in major cases); involved staff members; Head Coach (if applicable).

- If a violation has occurred, the CO will be responsible for maintaining a file of the self-report of the violation, subsequent correspondence with the SEC and/or NCAA, and all documentation of the investigation.
- The CO will keep a record of all self-reported NCAA and SEC violations and make a report to the FAR's Compliance Committee at the end of each academic year.

### **Self-Imposed Penalties**

- Self-imposed penalties for secondary violations will be determined by the CO, AD and FAR, in consultation with the Chancellor.
- Self-imposed penalties for major violations will be determined by the Chancellor, the AD and the FAR, in consultation with the General Counsel, the CO, SEC, and NCAA.
- The CO and AD will assure the implementation of any self-imposed penalties on any University staff members, representatives of the University's athletic interests, or student-athletes.