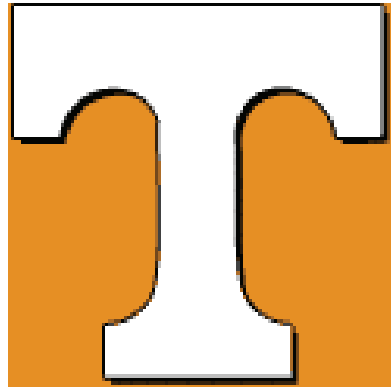


NEW
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ETHICAL CONDUCT

GAMBLING

- Do Not participate in gambling activities inside or outside of the athletics department involving sports sponsored by the NCAA - College or Professional.
- Do Not provide any information (e.g., injuries, eligibility concerns) to non-authorized individuals.
- Do Not participate in NCAA tournament bracket contests that involve money or other benefits.

ACADEMIC HONESTY

- Student-athletes must complete their own work. You cannot complete a student-athlete's work for them.
- Do not arrange for another individual to complete a student-athlete's academic work (e.g., tutor, classmate).

INVESTIGATIONS

- If you are involved with an investigation by the institution, the conference or the NCAA, you must provide 100% truthful answers to all questions and provide all relevant information to the matter.

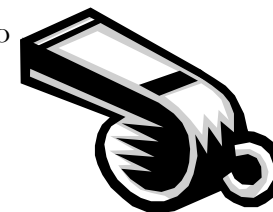
AGENTS

- You may not receive any benefits for facilitating or arranging a meeting between a student-athlete and an agent, financial advisor or any of their representatives (e.g., a runner).

COACHING LIMITATIONS

CATEGORIES & DUTIES

- You must be designated as either a Head, Assistant, Volunteer, Student Assistant or Graduate Assistant Coach (football only) to be involved in coaching activities.
- The Compliance Staff will review the scope of your permissible duties based on your sport and classification.
- Volunteer Coaches are not permitted to receive pay or remuneration from the institution, boosters or coaching staff.
- Volunteer Coaches are not permitted to be involved in off-campus recruiting activities.
- Administrative Assistants, Non-Coaching Graduate Assistants, and Managers are not permitted to be involved in any coaching or off-campus recruiting activities. These staff members can only be involved with administrative functions or traditional managerial duties.
- Volunteer Coaches may receive team meals and meals during official visits and year end banquets.



OUTSIDE INCOME

- All athletics department staff members must declare any athletically related outside income to the Athletics Director on a yearly basis.

AMATEURISM

PROMOTIONAL ACTIVITIES

- Do Not permit student-athletes to endorse a commercial service or product.
- All promotional activity requests for charities, schools, institutional departments must first be approved through the Champs/Life-Skills Program (or for football, through the Director of Football Community Relations) by completing the *Promotional Activities Request* form.
- Student-athletes may not miss class to be involved with such activities.
- Student-athletes may accept legitimate and normal expenses (e.g., meals, mileage) for their participation.

AMATEUR STANDING

- You must be aware of the amateur standing of all prospects you are recruiting.
- For international prospective student-athletes, you must have them complete the *International Prospect* form as early as possible in the recruiting process. Male international prospects making official visits must meet with the Compliance Office to complete this form.
- Pay close attention to the following situations: international students living with host families, prospects living with individuals other than their parents (e.g., high school/AAU coach) and international participation in professional leagues or tournaments.

AMATEURISM

AGENTS

- Warn your student-athletes about the dangers of accepting benefits from agents or runners for agents.
- Agents must be registered with the State of Tennessee prior to contacting student-athletes.
- Student-athletes may obtain advice regarding agents through the institution's professional sports counseling panel. Contact the Compliance Office for further information on the services offered by the panel.



RECRUITING

PERMISSIBLE RECRUITERS

- Only designated coaches may be involved in recruiting prospects off campus.
- Coaches must pass the NCAA recruiting examination prior to recruiting off campus. The test is administered on campus by the Southeastern Conference.
- Boosters are not permitted to be involved in recruiting activities on or off-campus. **This includes contact with prospects at tailgate parties, institutional contests and in the community.**
- You may not speak to media members or the public about prospective student-athletes.

RECRUITING PERIODS & CALENDARS

- You must review the definitions (of dead, quiet, contact and evaluation periods) as found in NCAA Bylaw 13.
- You are required to review and know the recruiting calendar for your particular sport.

INDUCEMENTS & PRE-COLLEGE EXPENSES

- Staff members are strictly prohibited from offering any benefits or inducements for a prospective student-athlete or their friends or relatives.
- You cannot provide benefits or reimburse expenses for a prospect's high school or two-year college coach.
- You cannot donate money, equipment, apparel or any other items to high schools or two-year colleges.

RECRUITING

OFFICIAL & UNOFFICIAL VISITS

- Official visits must be requested through the Compliance Office by submitting an *Official Visit Checklist* form at least 4 working days prior to the visit.
- Official visits must be approved by Compliance and the Thornton Center prior to the start of the visit.
- Coaches will send out an *Official Visits and NCAA Rules Sheet* and an *Itinerary* to the prospect and his/her parents prior to the visit.
- Student-hosts must sign the *Official Visit Student Host* form after the coach reviews the student-host NCAA rules prior to the visit.
- Prospects will be required to sign the *Prospect's Declaration* form at the completion of the official visit.
- Air transportation may be provided only to the student-athlete, not the parents.
- Lodging, travel, meals and entertainment expenses may not be provided to the prospect's friends, siblings or acquaintances.
- The coaching staff must submit a copy of the *Post Official Visit and Expense Forms* to the Compliance Office who, after review, will forward to the Athletics Business Office.
- Arranged unofficial visits must be tracked by submitting the *Unofficial Visit Summary* form to the Compliance Office.

RECRUITING (CONTINUED)

RECRUITING MATERIALS

- Only materials listed in NCAA Bylaw 13.4.1 may be sent to prospects.

CAMPS & CLINICS

- All camps and clinics must receive prior approval from Compliance. Complete the camp and clinic forms found in the Compliance Manual.



RECRUITING LOGS

- All coaches must record all contacts, telephone calls, visits and other recruiting activity. Recruiting Logs may be found in the Compliance Manual or online at www.utsports.com or www.utladyvols.com
- Compliance will conduct periodic spot reviews of coaches' recruiting logs.

FINANCIAL AID

NATIONAL/SEC LETTER OF INTENTS

- A sport wishing to offer scholarship and a NLI to a prospect must contact the Operations office to request the SEC scholarship agreement form. Once the SEC form is completed, the sport must also produce three (3) copies of the NLI for the Athletics Director, or designee, to sign prior to the NLI and SEC forms being sent to the prospect.
- The sport will send the NLI and SEC forms to the prospect and are responsible for getting all forms back to the Operations office.
- The Operations office will coordinate with the Financial Aid Office to send completed NLI's and SEC forms to Admissions, Sports Information, and the SEC office.

RENEWAL PROCESS

- Head Coaches must submit a list of their renewals and non-renewals during the month of May each year to the Operations office.
- The Operations office and the Financial Aid Office will review the forms to make sure NCAA limitations are being met.
- The Financial Aid Office will send out renewal/non-renewal letters prior to July 01.

NCAA OPPORTUNITY FUND

- Coaches should encourage all their student-athletes to complete the FAFSA to determine eligibility for Federal and university financial aid that may be available to them.
- Student-athletes that qualify for the Pell Grant should contact the Operations office to apply for funds from the NCAA Special Assistance Fund.
- The NCAA Student-Athlete Opportunity Fund is available for student-athletes to help with other educational, personal, medical, and emergency expenses. Please contact the Compliance office to find out more information about the Opportunity Fund.

ELIGIBILITY CENTER

INITIAL ELIGIBILITY/ELIGIBILITY CENTER

- Coaches should ensure that all recruits are registered with the Clearinghouse early in the recruiting process.
- Coaches need to submit names of prospects via the Thornton Center. Coaches should notify the Thornton Center to deactivate prospects they are no longer recruiting.
- Coaches are not permitted to contact the Eligibility Center. Contact the Thornton Center for assistance with issues.

CONTINUING ELIGIBILITY

- NCAA progress towards degree (PTD) and SEC GPA requirements for all student-athletes' eligibility for practice, financial aid and competition are certified by the Tennessee Athletics Certification Committee.
- Only student-athletes certified on a SEC Eligibility Report and submitted to the Conference Office prior to competition are eligible to compete.
- The Head Coach of each sport must review each student-athlete on the SEC Eligibility Report prior to its submissions to the conference office.
- The Thornton Center monitors the institutional, conference and NCAA eligibility of each student-athlete.

ELIGIBILITY

TRANSFER ELIGIBILITY

- Coaches must contact the Compliance Office to send a release prior to contacting a transfer prospect by any means at another institution.
- Coaches should contact the Thornton Center regarding the academic eligibility of a transfer student-athlete.
- Two-year college prospects cannot receive athletics aid until their NCAA/SEC transfer eligibility has been certified.



ELIGIBILITY (CONTINUED)

CHANGE OF STATUS

- Coaches must immediately submit a memo, or email, to the Operations office if a student-athlete is cut or quits the team. If it is a scholarship student-athlete, a Scholarship Change form must be submitted if there will be changes to the student-athlete's scholarship.
- The Compliance office will forward the information and coordinate with the Financial Aid Office and Registrar to make any changes to the NCAA Squad List.

WALK-ONS

- Walk-ons (who join the team after the fall team compliance meeting) must submit to Compliance the *Walk-On/Practice Compliance Review* form to Compliance prior to any participation.
- Walk-ons are not permitted to practice until the prospect completes the walk-on form and is provided a GREEN form to give to the coach.

TEAM COMPLIANCE MEETINGS

- Each team is required to meet with Compliance in the early fall and no later than their first practice to complete required institutional and NCAA paperwork.
- Student-athletes (including walk-ons) are not eligible to participate until the NCAA paperwork is completed and eligibility has been certified.
- Each team is required to meet with Compliance prior to the end of the academic year (usually in April) to discuss summer time compliance issues.

STUDENT-ATHLETE EMPLOYMENT

- All student-athletes must receive prior approval from Compliance prior to starting any employment (on or off campus) during the academic year.
- Student-athletes shall notify Compliance of summer and vacation period employment.
- Student-athletes, Employers and Compliance will complete required compliance forms found in the University of Tennessee Compliance Manual.



EXTRA BENEFITS

- No student-athlete may receive any benefit or service that is not available to students in general at Tennessee.
- Coaches cannot provide benefits to student-athletes, including permitting student-athletes to borrow items (e.g., borrow a car to run an errand).
- Coaches may host an occasional team dinner at their home or at a local restaurant (limit of one per month during the academic year and two in the summer—includes occasional meals with boosters).
- Coaches and staff may provide occasional local transportation to student-athletes.
- All equipment and apparel for student-athletes must be issued through the athletics department and must be used for competition or practice activities.
- All awards (e.g., trophy's, pictures, plaques, watches) for student-athletes must receive prior approval from the Compliance Office and must be within NCAA value limits.



PLAYING & PRACTICE SEASONS

DECLARATION OF PLAYING SEASON

- All Head Coaches must declare their team playing and practice season prior to the start of each academic year by submitting the *SEC Playing and Practice Season Declaration* form to Compliance.
- Coaches must turn in *Countable Hour* forms to Compliance each month.

OUT-OF-SEASON ACTIVITY

- Coaches are **STRICTLY PROHIBITED** from observing student-athletes participating in athletics activities outside of the playing and practice season (e.g., observation of pick-up games, summer activity) except for permissible conditioning and individual skill instruction.
- Coaches are prohibited from arranging athletics activities outside of the playing and practice season (e.g., summer practice).
- Expenses for student-athletes to compete in Olympic, National or World Championships must be approved by the Compliance/Operations Office.



COMPLIANCE PROCEDURES & RESOURCES

NOTES

REPORTING VIOLATIONS

- Coaches and Staff are required to report violations (including those that may have occurred at other NCAA institutions) of NCAA rules to the Compliance Office or to the Director of Athletics.
- Failure to report information or to cooperate in an investigation will subject the individual to possible NCAA unethical conduct violations.
- Do not contact other institutions or conferences regarding potential violations.

COMPLIANCE INFORMATION SOURCES & RULES EDUCATION

- **NCAA Manual** - Every coach will receive a current NCAA Manual.
- **The University of Tennessee Compliance Manual** - Every coach has access to a UT Compliance Manual that contains a monthly calendar for compliance responsibilities, required forms and compliance procedures.
- **University of Tennessee Compliance Web Site** - www.utsports.com or www.utladyvols.com contains the UT Compliance Manual, forms, procedures and other important compliance information.
- **The UT Compliance Chronicle and SEC Compliance Corner** - Monthly compliance newsletter that provides important and current compliance related information.
- All coaches are REQUIRED to attend regular rules education sessions with Compliance. Dates and times will be announced via email and in the Compliance Chronicle.