

Compliance Rules Education



November 2012





LEVEL I: SEVERE BREACH: Infractions that seriously undermine or threaten the integrity of the NCAA collegiate model as set forth in the Constitution and bylaws, including any violation that provides or is intended to provide a substantial or extensive recruiting, competitive or other advantage, or a substantial or extensive impermissible benefit.

LEVEL II: SIGNIFICANT BREACH: Violations that provide or are intended to provide more than a minimal but less than a substantial or extensive recruiting, competitive or other advantage; includes more than a minimal but less than a substantial or extensive impermissible benefit; or involves conduct that may compromise the integrity of the NCAA collegiate model.

LEVEL III: BREACH: Violations that are isolated or limited in nature; provide no more than a minimal recruiting, competitive or other advantage; and do not include more than a minimal impermissible benefit. Multiple Level IV violations may collectively be considered a breach of conduct.

LEVEL IV: INCIDENTAL: Minor infractions that are inadvertent and isolated, technical in nature and result in a negligible, if any, competitive advantage

Major Concepts

- Removes the “risk-reward” analysis by coaches
- Enhances head coach responsibility and consequences
- Harsher consequences (postseason, GIA’s, suspensions)
 - **Suspensions 10% up to a year**
- Emphasizes maintaining culture of compliance WITHIN each program.

When?

- Conduct breaches that occurred before Oct. 30, 2012 and are processed before Aug. 1, 2013 will be subject to the current process and penalties.
- Conduct breaches that occurred before Oct. 30, 2012 but are processed after Aug. 1, 2013 would be subject to the new process but would incur the more lenient of the two penalty structures (current and revised).
- Conduct breaches that occurred during a span that includes both before and after Oct. 30, 2012 and are processed after Aug. 1, 2013 will be subject to new process and the revised penalties as long as most of the violations occurred after Oct. 30, 2012.
- Conduct breaches that occur after Oct. 30, 2012 and are processed after Aug. 1, 2013 will be subject to both the new process and the revised penalty structure

Basketball & Football

August 1, 2013, head coaches may be suspended for identified Level III violations committed by assistant coaches. The assistant coach or staff member who commits the violation also would face suspension.

Examples:

- In-person, off-campus contacts during a **dead period** [particularly during the National Letter of Intent (NLI) signing dead period].
- Exceeding the permissible **number of contacts** with a prospective student-athlete.
- Intentional or significant **game-day simulations** and/or **impermissible recruiting aids** (balloons, banners, candy, flowers, etc.).
- Providing **team gear** or other **inducements** to prospective student-athletes.
- Violations that occur as a result of engaging non-scholastic third parties (boosters, AAU coaches, etc.) in the recruiting process.

Basketball & Football Cont'd

- Collective recruiting violations and/or other intentional recruiting violations (e.g., multiple impermissible early phone calls, multiple impermissible contacts, providing inducements).
- Impermissible benefits to student-athletes or inducements to prospective student-athletes by third parties that the coaching staff knows about or is involved with.
- Providing a written offer of athletically related financial aid to a prospective student-athlete prior to August 1 of the prospect's senior year in high school (WBB & FB Only).

All Other Sports

- In-person, off-campus contacts during a dead period (particularly during the NLI signing dead period).
- Exceeding the permissible number of contacts with a prospective student-athlete.
- Intentional or significant game-day simulations and/or impermissible recruiting aids.
- Providing team gear or other inducements to prospective student-athletes.
- Violations that occur as a result of engaging non-scholastic third parties in the recruiting process (e.g., prescheduled unofficial visits that are impermissibly funded, etc.).
- Collective recruiting violations and/or other intentional recruiting violations (e.g., multiple impermissible early phone calls, multiple impermissible contacts, providing inducements).
- Impermissible benefits to student-athletes or inducements to prospective student-athletes by third parties that the coaching staff knows about or is involved with.
- Providing a written offer of athletically related financial aid to a prospective student-athlete prior to August 1 of the prospect's senior year in high school.

Action Plan

Three Main Areas – “Atmosphere of Compliance”

- *Communication*
- *Monitoring*
- *Document, document, document*

