

## NCAA DIVISION I COMMITTEES ON INFRACTIONS

### GUIDELINES FOR COMPLETING AND SUBMITTING PRELIMINARY AND ANNUAL COMPLIANCE REPORTS

(June 2020)

The Committee on Infractions (COI)'s authority to prescribe penalties includes the requirement to submit compliance reports. The institution shall electronically upload preliminary and annual compliance reports to the Office of the Committees on Infractions (OCOI) in accordance with the below instructions. Please submit the reports by the date specified in the infractions decision. If the institution needs additional time to complete the report, it should contact the OCOI prior to the due date of the report.

The purpose of compliance reports is threefold:

1. To allow the OCOI on behalf of the committee to evaluate the institution's monitoring during the period of probation following an institution's infractions case.
2. To provide documentation and information confirming compliance with the penalties both adopted and prescribed by the COI.
3. To allow the OCOI on behalf of the committee to evaluate the institution's compliance education program.

#### **Preliminary Report**

The preliminary report should contain the following: (1) Documentation proving compliance with penalties that require immediate implementation. Examples of such penalties include the requirement to publicize the infractions case information on the "landing page" of institution's athletics website and payment of any fines prescribed by the COI; (2) An outline of the institution's schedule for implementing or continuing a compliance and educational program; (3) If the decision included a percentage of sport(s) budget financial penalty, sports budget information for the affected sport(s); and (4) Any other specific information the COI may have requested to be included in the preliminary compliance report, either in the infractions decision or through other communication.

With regard to compliance education, the preliminary report should contain information on the institution's plans to enhance current programs and to implement additional compliance activities. Information in this report should include a description of plans for educating staff members, student-athletes and representatives of the institution's athletics interests and, if feasible, a schedule of compliance meetings and tentative agendas. The institution may also include recent changes and any other relevant activities. With the exceptions noted above, complete penalty fulfillment documentation is not required in the preliminary report.

#### **Annual Compliance Reports**

The annual report should be more detailed than the preliminary report and identify the institution's compliance and educational activities related to the violations found and the problem areas the committee identified. It should also contain documentation relating to fulfillment of penalties. Following the first annual compliance report, subsequent reports should focus on updated information regarding the institution's compliance and educational activities since submission of the previous report. Documentation of any penalties that remain should also be included.

The institution shall structure the annual compliance report in the following manner:

- A. Cover Letter** A cover letter from the institution's president/chancellor or director of athletics should accompany the report. At a minimum, the cover letter should provide a brief overview of the institution's actions in response to the infractions case. The institution may include any other information in the cover letter it deems appropriate.
- B. Table of Contents** Reports must contain a table of contents outlining the sections of the reports and indexed to the applicable pages in the report. Ideally, the table of contents should be "hyperlinked" to the pertinent sections of the report.
- C. Introduction**

  - 1. Brief overview of the violations in the case.
  - 2. Brief review of the penalties, both those self-imposed and prescribed by the COI.
- D. Enhancements** Improvements or enhancements in the compliance program since the release of the infractions decision or since the previous report (if any).
- E. Areas of Emphasis** The committee on infractions typically identifies areas of emphasis in the penalty section of the infractions decision. The institution should list these areas.
- F. Compliance Monitoring** Review of compliance activities:

  - 1. Specific to the violations and areas of emphasis identified by the committee.
  - 2. Any other monitoring activities the institution has undertaken.
- G. Penalties** The report should include a section listing the prescribed and adopted penalties along with documentation proving fulfillment of the penalties. When addressing penalty fulfillment, please reference exhibits or attachments proving fulfillment of each penalty. If a penalty or requirement has been fulfilled in previous years and has been properly documented in past compliance reports, please note that in subsequent compliance reports and identify where that documentation is located in earlier report(s), *e.g.* "2014 annual report, Exhibit M."
- H. Education** Include information on compliance education sessions conducted during the reporting period. Address education efforts in the following categories:

  - 1. Education pertinent to the violations in the case and the areas of emphasis identified in the infractions decision.
  - 2. Other compliance education efforts.
- I. Attachments/Exhibits** The institution should include as attachments/exhibits any supporting information that it believes will assist the OCOI in evaluating the compliance and educational program. The exhibits should be listed and clearly indexed for ease of reference. The following are examples of what could be included in exhibits/attachments:

1. Samples of forms referenced in the compliance report.
2. Training session agendas, handouts and other pertinent materials *e.g.* Power Point and Prezi presentations, session attendance sheets and other pertinent training materials.
3. Documentation of compliance with penalties, *e.g.* squad lists in the event of a financial aid penalty, recruiting calendars, examples of notification letters to recruits, media guide pages, "screen shots" of webpages or hyperlinks and any other similar confirming documentation.
4. Compliance manuals or guides (for coaches, student-athletes, athletics representatives and other individuals.)
5. Any other documentation the institution deems appropriate.

### **Report Submission Date**

The committee specifies the due dates for compliance reports in the penalty section of the infractions decision. If the institution needs additional time to complete the report, it should contact the OCOI prior to the due date of the report.

### **Format**

The text of the actual report must be searchable and in one of the following formats: Microsoft Word, Word PDF or Adobe Acrobat Pro (preferred). Attachments and/or exhibits can be in any PDF format (including "reduced size" PDF.) Formats that allow hyperlinking within the document are preferred (e.g. Adobe Acrobat Pro).

### **Submission instructions**

Effective June 15, 2020, the NCAA requests that institutions submit preliminary and annual progress reports through uploading to the secure filing system. The compliance officer and director of athletics will be given access to the upload folder to upload the compliance reports.

### **Review of report**

After receipt of the report, the OCOI will send an acknowledgement email. Following the OCOI's review of the report, the staff of the OCOI will send a letter reflecting the results of that review. The letter will either reflect approval or request that the institution submit additional information. If the OCOI requests additional information, the OCOI and/or the COI will re-review the report. Once approved, the OCOI will notify the institution. Please note that if an institution has a second infractions case during the period of probation, the COI may hold compliance reports in abeyance pending resolution of the second case.

Please contact the OCOI by email at [COI@ncaa.org](mailto:COI@ncaa.org) or by telephone (317-917-6014), if you have any questions regarding compliance reports and/or their submission.