



Attestation of Compliance Who, What, When, Where and Why

Who: Divisions I, II and III chancellors, presidents and directors of athletics.

What: An annual attestation of compliance.

Chancellors and presidents will attest that they understand the institutional obligations and personal responsibilities imposed by NCAA Constitution 2.1 (principle of institutional control and responsibility) and Constitution 2.8 (principle of rules compliance).

Directors of athletics will attest that the conditions for entry of individuals and teams in NCAA championship competition have been satisfied. The attestation will include that they understand the institutional obligations and personal responsibilities imposed by Constitution 2.1 and Constitution 2.8 and that all athletics department staff members (full time, part time, clerical, volunteer) are aware of the institutional obligations and personal responsibilities imposed by Constitution 2.1 and Constitution 2.8. Additionally, athletics directors will attest that the policies, procedures and practices of the institution, its staff members and representatives of athletics interests are in compliance with the Association's legislation.

Failure to complete the attestation will subject the institution to removal from and/or ineligibility of individuals to serve on an NCAA board, council or committee. The institution also will be *ineligible* to compete in individual and team NCAA championships.

When: The annual requirement went into effect Aug. 1, 2019. This year the attestation course (video and form) will be released Aug. 10. The course will need to be completed by Oct. 15.

Where: The courses will be completed through the NCAA Learning Portal. The NCAA Learning Portal is also known as Division I University, Division II University and Division III University. Your institution's Single-Source Sign-On administrator will give you access to the system and assign the course.

Why:

- Recommendation From the Commission on College Basketball. The annual attestation for chancellors, presidents and athletics directors was recommend by the Commission on College Basketball. The commission recommended an expansion in individual accountability for NCAA rules violations for chancellors, presidents and directors of athletics.
- Response to Commission Recommendation. The membership adopted legislation to specify that to enter a team or individual in an NCAA championship or for an individual to serve on an NCAA committee, presidents, chancellors and directors of athletics must attest annually that the obligations to control and monitor athletics programs have been met.

- Role of the Chancellor/President and Director of Athletics. After further review of the legislation adopted in August 2018 by all three divisions, the divisions adopted a proposal in April 2019 that appropriately shifts some certification requirements related to the athletics program from the president to the athletics director.
- Constitutional Principles 2.1 and 2.8. The proposal maintains the emphasis on the principle of institutional control and responsibility and the principle of rules compliance without the undue administrative requirement to have each individual staff member provide an attestation.
- Institutional Discretion. Institutions have the discretion to determine the best way to ensure their staffs are aware of their obligations.

NCAA Attestation of Compliance Requirement — Frequently Asked Questions

Question 1: What is the attestation of compliance requirement?

Answer: Presidents or chancellors must attest, on an annual basis, that they understand the institutional obligations and personal responsibilities imposed by NCAA Constitution 2.1 (principle of institutional control and responsibility) and Constitution 2.8 (principle of rules compliance).

Directors of athletics must attest that they understand the institutional obligations and personal responsibilities imposed by Constitution 2.1 and Constitution 2.8 and that all athletics department staff members (full time, part time, clerical, volunteer) are aware of the institutional obligations and personal responsibilities imposed by Constitution 2.1 and Constitution 2.8. Additionally, athletics directors must attest that the conditions for entry of individuals and teams in NCAA championship competition have been satisfied and that the policies, procedures and practices of the institution, its staff members and representatives of athletics interests are in compliance with the NCAA legislation.

Question 2: Why is there an attestation of compliance requirement?

Answer: The attestation of compliance requirement was a recommendation from the Commission on College Basketball. The commission recommended an expansion in individual accountability for NCAA rules violations for chancellors, presidents and directors of athletics.

Question 3: When did the attestation of compliance requirement go into effect?

Answer: The annual requirement went into effect Aug. 1, 2019. An attestation of compliance course and form will be released Aug. 9 this year. The course is completed online, and the attestation form must be signed electronically by Oct. 15.

Question 4: Can I sign the attestation form without completing the course?

Answer: No. To access the attestation form, the president or chancellor and director of athletics must first complete the course.

Question 5: How do the president/chancellor and director of athletics complete the course?

- Answer:** The course will be completed through the NCAA Learning Portal. The NCAA Learning Portal is also known as Division I University, Division II University and Division III University. Your school's Single-Source Sign-On administrator will give the president/chancellor and director of athletics access to the Learning Portal (if they don't already have access) and assign the course to them.
- Question 6:** Can the Single-Source Sign-On administrator assign the course to other individuals for viewing?
- Answer:** Yes. However, it will be the institution's responsibility to ensure that the president or chancellor and director of athletics complete the attestation requirement.
- Question 7:** How long will it take to complete the course?
- Answer:** The course for presidents and chancellors takes approximately six minutes, while the course for directors of athletics takes approximately 10 minutes.
- Question 8:** In the attestation of compliance course for directors of athletics, why are some of the certification of compliance requirements only applicable to directors of athletics from Divisions I and II colleges and universities?
- Answer:** There are specific certification of compliance requirements that are only required by legislation in Divisions I and II. Division III schools are not required to certify that those specific requirements have been met because they are not required by Division III legislation.
- Question 9:** What is the penalty if the president/chancellor or director of athletics fails to sign the attestation of compliance form by Oct. 15?
- Answer:** Failure to sign the attestation form by Oct. 15 will subject the school to removal from and/or ineligibility of individuals to serve on an NCAA board, council or committee. The school also will be ineligible to compete in individual and team NCAA championships for the current academic year.
- Question 10:** What if a college or university does not have a president or chancellor and/or director of athletics between the date that the attestation video and form are released for the year and Oct. 15?

- Answer:** If the school does not have a full-time individual in either position, the attestation would have to be signed by whoever is serving in that role (e.g., acting or interim).
- Question 11:** If a new president or chancellor and/or director of athletics is hired by the school after Oct. 15 to replace someone who served in that capacity on a full-time basis and signed the attestation form before that date, does the new president or chancellor and/or director of athletics have to sign the attestation of compliance form?
- Answer:** No. In that scenario, the institution has fulfilled the attestation requirements for that academic year.
- Question 12:** If a new president or chancellor and/or director of athletics is hired by the school after Oct. 15 and the school did not have an individual serving in that capacity on a full-time basis before that date, does the new president or chancellor and/or director of athletics have to sign the attestation of compliance form?
- Answer:** Yes. If the school did not have an individual serving full-time in either capacity before Oct. 15 (e.g., acting or interim), the individual hired would have to sign the attestation of compliance form within 30 days after starting in the new role.
- Question 13:** How long is the period of ineligibility for board, council or committee service and championships?
- Answer:** Oct. 16 through the end of the academic year. The period of ineligibility will continue into the next academic year until the attestation of compliance form is signed.
- Question 14:** Will the NCAA national office track the attestation of compliance signatures?
- Answer:** No. The attestation of compliance is an institutional obligation. If the attestation of compliance is not signed by Oct. 15, the college or university must report a violation to the NCAA enforcement staff.
- Question 15:** May an institution request a waiver of the attestation of compliance requirement?
- Answer:** Yes. However, the waiver must be filed on or before Oct. 15. Additionally, an institution requesting a waiver of the attestation of compliance requirement must follow the legislative relief waiver process of its division.