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ENFORCEMENT: DIVISION II INTERNAL OPERATING PROCEDURES

Introduction.

This document contains the Internal Operating Procedures (IOPs) of the NCAA enforcement department. The primary purpose of this document is to provide member institutions and involved individuals with basic information regarding the enforcement staff's investigation and processing functions in connection with alleged violations of NCAA bylaws. The provisions are designed to reflect the obligations of all parties to cooperate during investigations in order to discover accurate facts in a timely manner. This document does not articulate all of the enforcement staff's activities, nor does it apply to Divisions I and III.

These procedures are not contractual in nature, do not create any independent right, do not have the force of NCAA bylaws and may be amended in accordance with NCAA Bylaw 19.4.5. Current procedures and notice of amendments will be available on the NCAA website.

Chapter 1 – Investigations.

1-1. Information Gathering. If the enforcement staff receives or develops information indicating a potential NCAA violation and that information is believed to be reliable, the staff may conduct an investigation pursuant to Bylaw 19.6 and these procedures. The enforcement staff has a responsibility to gather information regarding possible violations. In doing so, the staff may employ the following investigative tools:

a. Letter of inquiry to the institution;

b. Interviews with prospective student-athletes, enrolled student-athletes, current and former institutional staff members, third parties or other individuals who may have relevant knowledge;

c. Review (including machine assisted review) of requested documents, records, accounts, communication devices or other items or materials;

d. Review of publicly available information;

e. Observation of public places (on or off campus);

f. Research;

g. Communications between departments of the NCAA national office;

h. Communications with regulatory groups, sport governing bodies or other entities with potentially relevant information; and

i. Communications with sources.

If an enforcement staff member intends to use any other investigative tool, they shall first obtain written approval from the vice president of enforcement and the NCAA's general

counsel, or their designees. *(Effective August 1, 2023, Revised October 22, 2025)*

1-2. Misrepresentation of Identity. In no case shall enforcement staff members misrepresent their identity or title to an individual who may provide information relevant to an investigation. *(Effective August 1, 2023)*

1-3. Sharing Information. There are instances when the enforcement staff has information that, if shared immediately with the institution or an involved individual, could compromise the integrity of the investigation, even without malicious intent by the institution or involved individual. In those instances, during an active investigation, and after consulting with the managing director of enforcement (investigations and processing) or the vice president of enforcement, the investigative team shall: (a) inform an institution that it has information it will not immediately share; and (b) share the information in a timely manner after concluding that disclosure will not materially jeopardize the investigation. *(Effective August 1, 2023)*

1-4. Request Deadlines. When the enforcement staff requests information from either a member institution, an individual who is subject to NCAA bylaws or third parties, the enforcement staff may identify a reasonable deadline for the submission of the requested materials. The enforcement staff may, in its discretion, seek agreement of the parties when identifying response deadlines. *(Effective August 1, 2023, Revised October 22, 2025)*

1-5. Interview Record and Attendance.

1-5-1. Recordings. It is preferable that an interview conducted by the enforcement staff be recorded through the use of a mechanical device. If an interviewee objects to being recorded, or if the enforcement staff believes the use of a recording device would have an inhibiting effect on the interviewee, a summary of the information reported should be prepared pursuant to enforcement IOP 1-5-2. *(Effective August 1, 2023)*

1-5-1-1. Recording of an Interview by the Interviewee. The interviewee may record their interview subject to the conditions set forth in Bylaw 19.6.3.5 (Statement of Confidentiality) and provided the interviewee gives advanced notice of their intent to record the interview. If the interviewee does not record the interview, they may request a copy of the recording and the interview transcript, if one has been completed, subject to the confidentiality provisions of Bylaw 19.6.3.5. Copies of interview summaries prepared by the enforcement staff are confidential and will only be provided to interviewees (and their institutions) in accordance with Bylaw 19 and the procedures set forth herein. *(Effective August 1, 2023)*

1-5-1-2. Recording of an Interview by an Institution – Access to Recordings and Transcripts. Interviews conducted by the institution in accordance with Bylaw 19.6.3 or with the enforcement staff at any location may be

recorded by the institution under inquiry, provided the institution gives notice of its intent to record the interview. If the institution is unable or chooses not to record such an interview, the institution may request a copy of the enforcement staff's recording of the interview and/or a copy of the interview transcript if one has been completed. *(Effective August 1, 2023)*

1-5-1-3. Access to Recordings and Transcripts by Conference. For interviews conducted in accordance with Bylaw 19.6.3 or by the institution and enforcement staff, and with consent of the institution, a conference may request a copy of the interview recording and/or transcript, if one has been completed by the enforcement staff or the institution. *(Effective August 1, 2023)*

1-5-2. Nonrecorded Interviews. When an interview is not recorded, or if the recording device malfunctions, the enforcement staff shall prepare a written interview summary of the information and, to the extent possible, attempt to obtain a signed affirmation of its accuracy from the interviewee. The interviewee will be permitted to make nonsubstantive corrections to the memorandum before affirming its accuracy. If an interviewee wants to make additions or corrections that materially alter the substance of the memorandum, they may do so and the new information shall be treated as a separate interview. In order to obtain the interviewee's signature, the enforcement staff may provide a copy of the unsigned interview summary to the interviewee and their counsel provided the interviewee agrees not to release the summary to a third party. After the summary is signed, the interviewee and their counsel, upon request, may make or receive a signed copy. The substance of an unrecorded interview for which a signed affirmation was not obtained may be considered by the NCAA Committee on Infractions to the extent the Committee on Infractions determines the information to be reliable. *(Effective August 1, 2023)*

1-5-3. Note-taking during Interview. It is permissible for individuals being interviewed to take notes of the proceedings. These notes are the personal notes of the person interviewed and do not need to be provided to any party in the investigation unless the note-taker gives their consent. These notes are not considered part of the case file. *(Effective August 1, 2023)*

1-5-4. Presence of Parents, Legal Guardians or Institutionally Appointed Advisors during Interview. Bylaw 19.6.3 identifies individuals who may be present during certain interviews. In addition, by request, a parent or legal guardian (duly appointed by a court of competent jurisdiction) of a prospective student-athlete or current student-athlete who is under the age of 18 may be present during the individual's interview with the enforcement staff or may participate by remote connection or through other available technologies. The enforcement staff reserves the ability to schedule the order of interviews if the parent or legal guardian is also interviewed or to decline the request of a parent or legal

guardian to be present in order to, among other things, protect the integrity of the investigation, simplify logistics, preserve confidentiality and/or minimize scheduling conflicts. If a student-athlete's parent or legal guardian is not reasonably available, the student-athlete's institution may appoint from its staff an advisor to be present during the interview, regardless of the student-athlete's age. *(Effective August 1, 2023)*

1-5-5. Interview Participation. If the enforcement staff conducts an interview with an enrolled student-athlete or current institutional staff member and the subject matter to be discussed in the interview does not relate to that institution or would not affect the interviewee's eligibility or employment at that institution, notification to the institution's president or chancellor is not necessary. However, in such a circumstance, the enforcement staff shall contact the director of athletics (or their designee) to offer an opportunity to discuss procedures relating to the enforcement staff's interview(s) . In addition, if information is raised at any point during such an interview that relates to that institution or could affect the interviewee's eligibility or employment at that institution, the enforcement staff shall pause the interview. The enforcement staff shall notify the institution's director of athletics, president or chancellor and allow the institution's involvement in the interview before the interview resumes or before any additional interviews are conducted. *(Effective August 1, 2023, Revised October 22, 2025)*

1-6. Enforcement Staff's Responsibility to Maintain Case File. The enforcement staff is responsible for maintaining case materials obtained during its investigation, including recorded interviews, interview summaries, interview transcripts and other relevant information. Such materials will be retained consistent with the NCAA's document retention/destruction policy. Personal notes, impressions or communications of the enforcement staff do not become part of the case file. *(Effective August 1, 2023)*

1-7. Time-Sensitive Investigations. All investigations shall be conducted as promptly and as efficiently as possible, without sacrificing fairness or accuracy. In instances where the eligibility of a student-athlete or a prospective student-athlete may be impacted, the enforcement staff shall work to complete as much of the investigation as reasonably possible 10 calendar days before the first competition of the season. If the staff cannot complete the investigation before the first competition, or if the investigation relates to in-season eligibility issues, the enforcement staff shall communicate with the institution about: (a) the status of the investigation; (b) the information still needed; and (c) the potential impact, if any, on the student-athlete's or the prospective student-athlete's eligibility. *(Effective August 1, 2023)*

1-8. Communications.

1-8-1. Communications with President or Chancellor. After providing a notice of inquiry pursuant to Bylaw 19.6.2 and upon request, the enforcement staff will meet personally with the president or chancellor or a designated representative

of the involved institution to discuss the investigation. Thereafter, the enforcement staff will be available as needed to discuss the investigation with the president, chancellor or designated representative of the institution. *(Effective August 1, 2023)*

1-8-2. Expansion of an Investigation. If, after commencing an investigation, the enforcement staff obtains information indicating possible additional types of violations or prompting a significant change in the focus of the investigation, it shall give written or oral notice to the institution that it has expanded the investigation. *(Effective August 1, 2023)*

1-8-3. Contacting the Enforcement Staff. Communications with the enforcement staff about a matter under investigation are encouraged and should first be directed to the lead investigator or the supervising director. Unresolved concerns, or communications about matters not assigned to an investigative team, may be presented to a managing director or the vice president of enforcement. *(Effective August 1, 2023)*

1-8-4. Disclosures. The parties shall not disclose information about an investigation in violation of Bylaws 19.2.1, 19.3, or 19.6.3.5. If a party improperly discloses information, the enforcement staff may investigate the source of leaked or disclosed information and bring appropriate allegations if the Committee on Infractions could conclude from the information discovered that a party violated confidentiality legislation. *(Effective August 1, 2023)*

1-9. Projected Duration and Scheduling Conference. When the enforcement staff begins an active investigation, it shall project the anticipated duration of the investigative and charging phases. The staff shall notify the institution and any involved individual(s) of the projected duration, and all parties shall work to satisfy the proposed timeline. The enforcement staff shall also notify the Committee on Infractions of active investigations as provided in enforcement IOP 1-10. Should the parties encounter difficulties in investigating and/or charging a case in a timely manner, one or more parties may request a status conference with the chair of the Committee on Infractions pursuant to Bylaw 19.4.6-(f) to convene a scheduling conference to discuss why the timeline was not satisfied, a plan for completing the investigation and other matters designed to assure timely disposition of the case. The scheduling conference is not designed to address the merits of potential allegations or other substantive issues. *(Effective August 1, 2023, Revised October 22, 2025)*

1-10. Case Readiness Report. The enforcement staff will provide to the committee a monthly report of active investigations that are likely to yield a notice of allegations, summary disposition report or negotiated resolution. For each active investigation, the report will include, among other information, a summary of the potential infractions and the anticipated duration of the investigation and/or charging phases. *(Effective August 1, 2023, Revised October 22, 2025)*

1-11. Limited Immunity. Pursuant to Bylaws 19.4.6-(d) and 19.4.6–(e), limited immunity is an investigative tool that allows information to be elicited from a prospective, current or former student-athlete and a current or former institutional staff member (individual) concerning their potential involvement in or knowledge of NCAA violations, with the understanding that the NCAA will not put the individual at risk in the infractions process by bringing identified allegations against the individual. *(Effective August 1, 2023)*

1-11-1. When to Request. The enforcement staff may request limited immunity for an individual at any time during the pendency of an investigation or during the processing of the case. *(Effective August 1, 2023)*

1-11-2. Protections. If an individual satisfies all conditions prescribed by the Committee on Infractions, limited immunity means that the enforcement staff will not allege bylaw violations against the individual for disclosed conduct predating the grant of immunity. Limited immunity does not prevent the enforcement staff from alleging identified violations of NCAA legislation when:

a. The grant of immunity has been revoked by the Committee on Infractions;

b. The individual fails to report violations; or

c. The individual commits future violations (including the provision of false or misleading information).

Additionally, limited immunity does not protect the individual from action taken by the institution or any other entity. Finally, limited immunity does not render a student-athlete retroactively eligible for the purpose of assessing ineligible competition. *(Effective August 1, 2023, Revised October 22, 2025)*

1-11-3. Representation by Legal Counsel. Recipients of or candidates for limited immunity may be represented by personal legal counsel or another advisor throughout the process. *(Effective August 1, 2023)*

1-11-3-1. Student-Athletes. For recipients of or candidates for limited immunity who are student-athletes, when feasible, the enforcement staff will communicate with the institution where the student-athlete is enrolled about securing personal legal counsel or other advisor unaffiliated with the institution's athletics department, for the student-athlete. *(Effective August 1, 2023)*

1-11-3-2. Prospective Student-Athletes. For recipients of or candidates for limited immunity who are prospective student-athletes, when feasible, the enforcement staff will communicate with the prospective student-athlete about the opportunity to secure personal legal counsel or other advisor. *(Effective August 1, 2023)*

1-11-4. Factors to Consider. In determining whether to seek limited immunity, the enforcement staff may consider the following factors:

a. Whether the individual is a prospective student-athlete, current or former student-athlete, or a current or former staff member.

b. Whether the individual received limited immunity in the past, and if so, the value of the information reported to the enforcement staff.

c. Whether the individual has information that will assist the investigation or otherwise support or refute allegations.

d. The likelihood of obtaining relevant information with or without the grant of limited immunity.

e. The nature of the potential allegations involved in the case.

f. The position of the individual's institution on the request for limited immunity.

g. The impact on the timeliness of an investigation.

h. Any other circumstances supporting or refuting a grant of limited immunity. *(Effective August 1, 2023)*

1-11-5. Process for Requesting. Limited immunity may be requested only by the vice president of enforcement, managing director of enforcement for investigations and processing or the vice president's designee. The request for limited immunity shall be made in writing, addressed to the chair or vice chair of the Committee on Infractions and shall contain a brief summary of the relevant facts that support a grant of limited immunity. The request shall also identify the involved parties and state whether the involved parties are represented by legal counsel or other advisor. *(Effective August 1, 2023)*

1-11-6. Acknowledgement. The enforcement staff shall prepare an appropriate document outlining the terms and conditions of the limited immunity agreement. The acknowledgment shall be signed by all parties subject to the limited immunity agreement, with a copy of the acknowledgment being provided to all signatories. *(Effective August 1, 2023)*

1-11-7. **Record Keeping (Pertaining to Limited Immunity).** The enforcement staff shall maintain copies of approvals and denials of applications for limited immunity in the case file and make those records available to the appropriate parties via the secure filing system. The presumption is that all parties will have access to all approvals and denials of applications for limited immunity. *(Effective August 1, 2023)*

1-11-8. **Revocation.** The enforcement staff will seek revocation of limited immunity only when it reasonably determines that the Committee on Infractions could conclude that an individual violated the terms of their limited immunity agreement. *(Effective August 1, 2023)*

1-11-9. **Revocation Process.** The enforcement staff may request that a grant of limited immunity be revoked by submitting a petition to the chair of the Committee on Infractions, or if the chair is unavailable, the petition shall be submitted to the vice chair. The petition shall state the basis for the revocation and shall be forwarded to all appropriate parties. *(Effective August 1, 2023)*

1-11-10. **Process Following Revocation.** If the Committee on Infractions revokes a grant of limited immunity, the enforcement staff may name the individual in the underlying allegation(s) pursuant to Bylaw 19.7 and, where appropriate, may also allege an unethical-conduct violation pursuant to Bylaw 10.1. *(Effective August 1, 2023)*

Chapter 2 - Charging.

2-1. **Guidelines for Allegations.** When determining whether there is credible and sufficient information (direct or circumstantial) that reasonably demonostrates a violation of NCAA legislation occurred (Bylaw 19.7.1), the enforcement staff must (a) use only attributable information and documentation and (b) evaluate relevant information in a fair and objective manner. In exercising its discretion to bring or not bring an allegation, the enforcement staff should also review relevant bylaw interpretations and prior similar cases as appropriate. Case-specific interpretations are addressed in enforcement IOP 2-2. Decisions on whether to bring allegations are made on a case-by-case basis. *(Effective August 1, 2023)*

2-1-1 **Sports Betting Violations.** As outlined in Bylaw 19.1.1.1, limited violations of Bylaw 10.3 may be processed at different classifications for the involved individual and the institution. When determining whether to allege sports betting violations at a lower classification for the institution, the enforcement staff may consider the following:

a. Whether the violations involve integrity concerns, including point shaving, sharing of information and/or the individual placing bets on their own team or institution; and/or

b. Whether there was institutional oversight of sports betting, including the institution providing education, taking action when learning about potential concerns and/or timely reporting violations. (*Effective February 3, 2025*)

2-2. Interpretation Requests. If an institution and the enforcement staff cannot reach agreement on whether facts and circumstances constitute a violation of NCAA legislation, the institution and the enforcement staff may submit a joint statement of agreed-upon facts to the NCAA governance and member services (GMS) staff for a formal interpretation. If the institution and the enforcement staff are unable to reach agreement on the facts, or if there is an unreasonable delay in reaching agreement on the facts, a party may submit an individual request for an interpretation. In either case, the GMS staff will render a decision based on the facts submitted and notify participating parties of the outcome. Participating parties may appeal a staff interpretation to a committee of representatives from member institutions as allowed by applicable legislation and GMS procedures. *(Effective August 1, 2023)*

2-3. GMS Audit. When the enforcement staff substantially completes draft allegations, the investigative team submits the draft allegations to the GMS staff for an audit of the cited bylaws. One or more of the GMS enforcement staff liaisons, in consultation with the appropriate team(s), will review the draft allegations to determine whether: (1) the allegations, as drafted, support that a violation occurred; (2) the cited bylaws are appropriate; (3) the appropriate versions of the bylaws are cited; and (4) additional bylaws should be cited. *(Effective August 1, 2023)*

2-4. Allegation Review Board. Before finalizing draft allegations, the investigative team shall submit the draft allegations to an allegation review board unless the team, in consultation with the managing director for investigations and processing, concludes that additional review would prevent timely resolution of the matter. The investigative team will advise the institution in writing in advance of the date of the review board. The investigative team will also advise in writing any involved party in advance of the date of the review board, provided that the involved party's status has been determined by the enforcement staff at the time the review board is scheduled. The review board, consisting of enforcement staff members who were not part of the investigative team, shall be appointed by the managing director for investigations and processing to analyze the following:

a. Information relied on to support the allegation(s);

b. Information refuting the allegation(s);

c. Proper level (major or secondary) and bylaw citation(s) for each allegation;

d. Appropriateness of any matters not alleged to be violations;

e. Potential resolution options for processing the matter, and if appropriate, appropriate penalties for negotiated resolution; and

f. Other issues unique to the case. *(Effective August 1, 2023)*

2-4-1. Submission of Information to the Allegation Review Board. There is no requirement that institutions or involved individuals submit material for the review board's consideration. However, if a party wishes to submit additional information, it must be received by the investigative team no less than three business days prior to the date of the review board meeting. *(Effective August 1, 2023)*

2-4-2. Page Limits. Submissions shall not exceed 10 pages, double-spaced, with no smaller than 11-point font and one-inch margins. With prior approval by the managing director of enforcement for investigations and processing, submissions may exceed the 10 pages limit upon a showing of good cause. *(Effective August 1, 2023)*

2-4-3. Good-Cause Exception. Except for good cause, as determined by the managing director of enforcement for investigations and processing, submissions that do not comply with this rule will be deemed untimely and may not be considered by the review board. *(Effective August 1, 2023)*

2-5. Pre-Resolution Conference. An institution or involved individual may request a conference with the enforcement staff before the staff issues a notice of allegations, summary disposition or negotiated resolution. If requested, representatives of the enforcement staff shall allow the institution or involved individual to provide information or positions regarding potential allegations. *(Effective August 1, 2023, Revised October 22, 2025)*

Chapter 3 – Processing of Violations.

3-1 Resolution Selection Process. The enforcement staff will consult with the institution and all participating involved individuals in order for the enforcement staff to preliminarily determine which resolution method is appropriate for the matter. (*Effective October 22, 2025*)

3-2. Submission Process. The enforcement staff shall submit and share case materials electronically through the secure filing system, a secure website that serves as the principal platform for parties to electronically submit and access case information once a matter proceeds past investigation. The enforcement staff will provide instructions relating to the process for exchanging and submitting information electronically to involved individuals and institutions in a timely manner. *(Effective August 1, 2023)*

3-3. Distribution of Process and Resolution Documents. Processing and resolution documents prepared by the enforcement staff (e.g., notice of allegations, enforcement staff case summary, summary disposition, negotiated resolution) shall be shared with all parties unless, pursuant to Committee on Infractions IOP 4-5, there are portions of a processing

document not pertinent to a party that are not shared. *(Effective August 1, 2023, Revsed October 22, 2025)*

3-4 Hearing.

3-4-1. Access to Information through Secure Website. In matters to be presented to the Committee on Infractions, the institution and involved individuals shall have access to pertinent case materials as described in Bylaw 19.6.4 as soon as feasible after the issuance of the notice of allegations (or after the issuance of the summary disposition report or negotiated resolution). The information will be accessible through the secure filing system. All information contained in the secure filing system is governed by the rules of confidentiality, as set forth in Article 19 and the secure filing system's terms of service. The enforcement staff may add pertinent factual information to the secure filing system after the notice of allegations is issued and must provide prompt notice of the addition to the institution, involved individuals and the Committee on Infractions. *(Effective August 1, 2023)*

3-4-1-1. Access Restrictions. Pursuant to Committee on Infractions IOP 4-5, the presumption is that all pertinent case information and submissions will be made available to all parties. A party may request the enforcement staff to not share information with another party when the information is not pertinent to that other party. If the enforcement staff grants the request, it will provide notice to the Committee on Infractions and any impacted parties. *(Effective August 1, 2023)*

3-5 Summary Disposition.

3-5-1. Summary Disposition Report. Decisions about whether to use the summary disposition process are made on a case-by-case basis. While use of the summary disposition process is generally encouraged, the following are elements that suggest a case may not be appropriate for summary disposition:

a. The case involves an allegation of unethical conduct;

b. The case involves an allegation of lack of institutional control;

c. The case involves an alleged violation of failing to cooperate or related bylaws;

d. The institution or an involved individual has been involved in a separate major violation within the past five years;

e. The case involves significant disagreement on material facts, such that it may invite additional scrutiny by the Committee on Infractions;

f. The case involves a significant recruiting or extra-benefit allegation;

g. The case involves an academic misconduct allegation;

h. There are any unique issues in the case or any particular instances that the committee has not reviewed in the last 10 years; or

i. The case involves an allegation or instance of material enforcement staff misconduct. *(Effective August 1, 2023, Revised October 22, 2025)*

3-5-2. Abandoning the Summary Disposition Process. At its discretion, any party may withdraw its consent to the summary disposition process. If any party withdraws its consent, the enforcement staff shall issue a notice of allegations pursuant to Bylaw 19.8. *(Effective August 1, 2023)*

3-5-3. Completion of Summary Disposition Report. Pursuant to Bylaw 19.9, the enforcement staff, institution and any involved individual may prefer and agree to process a major case through the use of a summary disposition report. To complete the report, the enforcement staff may provide to the institution and any involved individual a template to use, which could include sections that each of the parties is asked to complete. For the purpose of completing this report efficiently, the enforcement staff may require as a condition for using this process an agreement on reasonable deadlines for completion of the report. The expected duration of the process shall not exceed 90 calendar days from the day the parties reach agreement to pursue the process to the date the final report is submitted to the Committee on Infractions. Failure by a party to adhere to the deadlines may serve as a basis for the other parties to withdraw their consent to the summary disposition process. Additionally, the chair of the Committee on Infractions or their designee, pursuant to Bylaw 19.4.6-(f), may in their discretion convene a scheduling conference to discuss why the report was not completed within the deadline and determine a plan for completing the processing of the case, which could include abandoning the summary disposition process and proceeding via a hearing. *(Effective August 1, 2023, Revised October 22, 2025)*

3-6. Negotiated Resolution.

3-6-1. Negotiated Resolution Election. Decisions about whether to use the negotiated resolution process are made on a case-by-case basis. The following are factors that suggest a case may not be appropriate for negotiation:

a. Not all participating parties agree to negotiate a particular violation.

b. The case involves an alleged violation of a failure to cooperate or related bylaws.

c. The type of violation was present in a separate major case at the

institution that occurred within the past five years.

d. The case involves significant disagreement on material facts.

e. A hearing on the matter is scheduled to occur within 30 or fewer days.

f. There are unique issues or circumstances that may necessitate consideration by the Committee on Infractions.

g. The case involves an allegation or instance of material enforcement staff misconduct. *(Effective August 1, 2023)*

3-6-2. Written Agreement. Pursuant to Bylaw 19.10, the enforcement staff, an institution or an involved individual may propose to process a major case using the negotiated resolution process. If the parties propose to resolve a case via a negotiated resolution, the agreement shall be memorialized and comply with the provisions of Bylaw 19.10.3. *(Effective August 1, 2023)*

3-6-3. Preliminary Assessment of Penalties. Pursuant to Bylaw 19.10.5, parties included in the negotiated resolution may request in writing that a hearing panel of the Committee on Infractions preliminarily assess whether the agreed upon penalties are manifestly unreasonable pursuant to Bylaw 19.12. *(Effective August 1, 2023)*

3-6-4. Timeline for Completing the Agreement. For the purpose of completing the agreement efficiently, the enforcement staff may require, as a condition for using this process, an agreement on reasonable deadlines for completion of the report. *(Effective August 1, 2023)*

3-6-4-1. Failure to Complete the Agreement Within the Timeline. Failure by a party to adhere to the deadlines may serve as a basis for the other parties to withdraw their consent to the negotiated resolution process. *(Effective August 1, 2023)*

3-6-5. Abandoning the Negotiated Resolution Process. At its discretion, any party may withdraw its consent to the negotiated resolution process. If any party withdraws its consent, the enforcement staff shall issue a summary disposition report or notice of allegations for any allegations not resolved through the negotiated resolution process. If there are violations that include only institutional involvement, the institution and the enforcement staff may negotiate a resolution for those violations pursuant to Bylaw 19.10.2.2. *(Effective August 1, 2023)*

3-6-6. Rejection of Negotiated Resolution. In accordance with Bylaw 19.10.7, a rejected negotiated resolution shall be processed pursuant to Bylaw 19.8 or 19.9. *(Effective August 1, 2023)*

3-6-7. Return of Negotiated Resolution to the Parties. In accordance with Bylaw 19.10.7, if the Committee returns the negotiated resolution to the parties included in the negotiated resolution for additional information or clarification or to respond to issues that preclude approval of the negotiated resolution, the enforcement staff shall coordinate the response on behalf of the parties included in the negotiated resolution. If the requested additional information or clarification changes elements of the agreement, the parties shall submit an amended agreement to the Committee on Infractions. *(Effective August 1, 2023)*

3-6-8. Factual Information. A rejected negotiated resolution may not be considered as factual information and included in a subsequent notice of allegations or summary disposition report. *(Effective August 1, 2023)*

Chapter 4 - Secondary Violations.

4-1. Processing Secondary Violations. Matters the enforcement staff believes to involve only secondary violations ordinarily will be submitted and reviewed electronically through the Requests and Self-Reports Online (RSRO) system. Appeals from staff determinations regarding secondary violations may be presented to the Committee on Infractions pursuant to Bylaws 19.14.4. *(Effective August 1, 2023)*