



# F.A.C.T. INVESTIGATIONS

FAIR • ACCURATE • COLLABORATIVE • TIMELY

The enforcement staff supports schools and individuals who play by the rules and are committed to integrity. NCAA investigations protect the common interests of schools and the Association's enduring values. When potential violations are discovered, schools and individuals are obliged to cooperate by disclosing all relevant information to enforcement staff or committee representatives.

## BYLAWS

NCAA members propose and adopt bylaws.

## INVESTIGATION & PROCESSING

The enforcement staff investigates alleged violations of those bylaws and presents its findings to the Committee on Infractions (COI).

## OUTCOME & APPEAL

The COI, made up of qualified individuals from NCAA schools and the public, concludes whether violations occurred and whether penalties are appropriate. The COI decision is reviewed by the Infractions Appeals Committee, also made up of qualified individuals from NCAA schools and the public.



## COMPLIANCE

Each NCAA school has an obligation to monitor and control its athletics programs, its representatives and its student-athletes to assure compliance with the Constitution and bylaws of the Association.

## NON-COMPLIANCE

Each NCAA school has an obligation to report all instances of noncompliance to the Association in a timely manner.

## EXEMPLARY COOPERATION

Exemplary cooperation by an NCAA school or involved individual may be a mitigating factor when determining any penalties. Exemplary cooperation may include identifying individuals, documents and other information pertinent to the investigation; expending institutional resources to expedite a thorough and fair collection and disclosure of information; or bringing additional violations to the attention of the enforcement staff.

## FAILURE TO COOPERATE

Failing to cooperate with the NCAA enforcement staff, Committee on Infractions (COI) or Infractions Appeals Committee may result in an independent allegation and be considered an aggravating factor when determining any penalties. Institutional representatives or involved individuals may be asked to appear before a hearing panel of the COI at the time the allegation is considered.

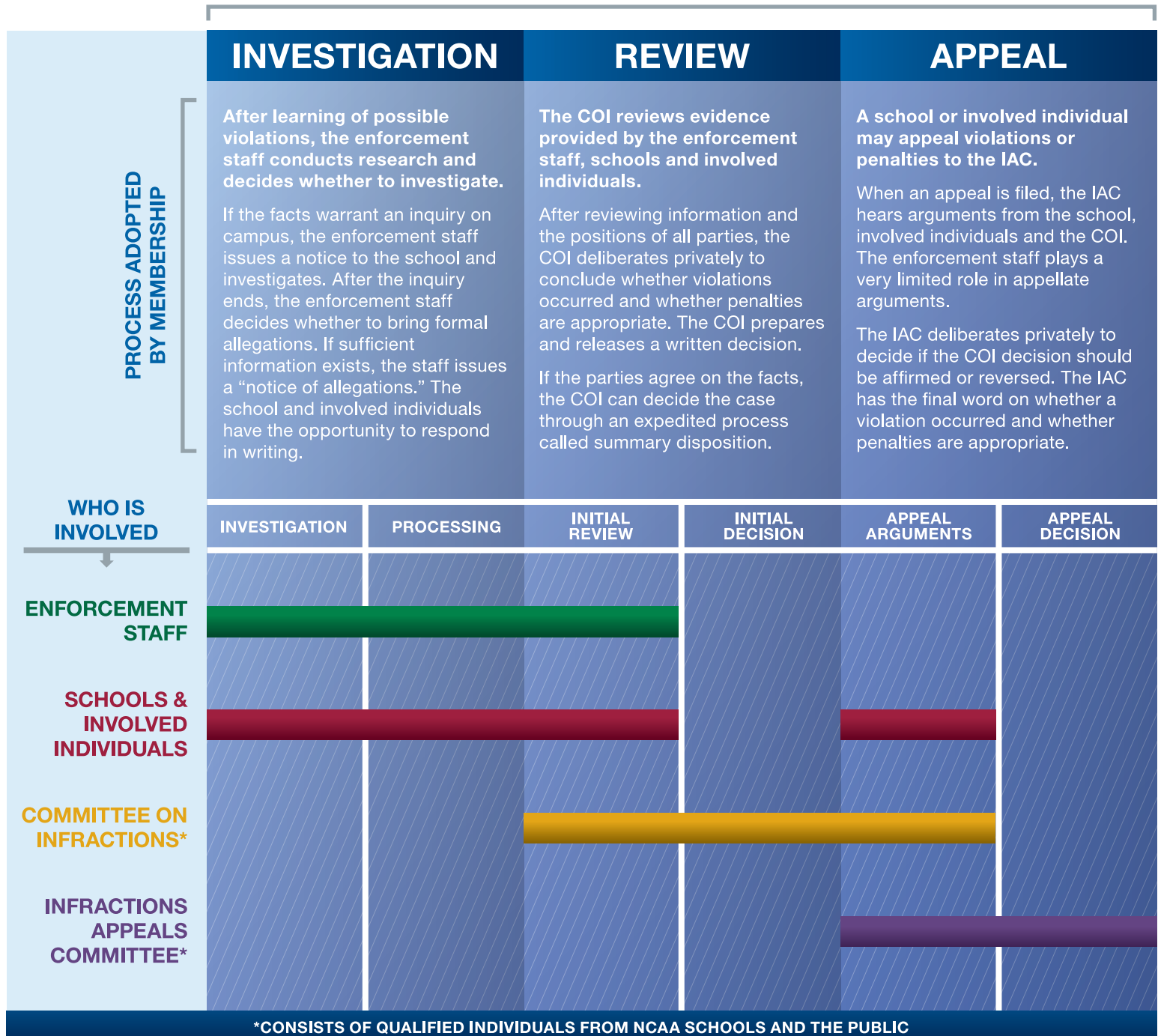


# RESOLVING ALLEGED MAJOR BYLAW VIOLATIONS

## NCAA INFRACTIONS PROCESS

The NCAA membership created the infractions process to ensure fair play and integrity among NCAA schools. Resolving a case of alleged violations includes distinct phases of fact-gathering, review and appeal. The NCAA enforcement staff works with schools and involved individuals – such as schools’ employees or student-athletes – to investigate the facts related to alleged violations. The independent Committee on Infractions (COI), made up of qualified individuals from NCAA schools and the public, reviews the facts to conclude whether violations occurred and whether penalties are appropriate. Schools or involved individuals may appeal the COI decision to the independent Infractions Appeals Committee (IAC), also made up of qualified individuals from NCAA schools and the public.

### INFRACTIONS PROCESS







# **MOST FREQUENTLY VIOLATED RULES**

## **DIVISION III INFRACTIONS PROCESS**

Across Divisions I, II and III, there are more than 5,800 rules. Obviously, the enforcement staff encounters violations of certain rules more than others. To aid compliance efforts at Division III member colleges and universities, frequently violated rules are noted below. This information highlights areas in which schools have been most likely to encounter violations in recent years. The information may also be used as a resource for schools looking to audit areas of potential noncompliance.

### **TOP 5 SECONDARY VIOLATIONS IN DIVISION III**

- 17.1.5** – Out-of-season athletically related activities
- 14.1.8.1** – Full-time enrollment
- 16.8.1.2** – Expenses provided during competition while representing the institution
- 13.02.11** – Electronic transmissions to prospective student-athletes
- 14.1.3.1** – Failure to complete the Student-Athlete Statement

### **TOP 5 MAJOR VIOLATIONS IN DIVISION III**

- 16.02.3** – Extra benefits
- 15.4.1-(a)** – Consistent financial aid: Athletics considered as a criterion
- 15.4.1-(c)** – Consistent financial aid: Clearly distinguishable pattern for student-athletes
- 15.4.5** – Athletics involvement in financial aid packaging
- 11.1.2.1** – Responsibility of head coach
- 14.01.2** – Academic status



# STUDENT-ATHLETE REINSTATEMENT

## NCAA INFRACTIONS PROCESS

Some rules violations adversely impact the eligibility of one or more student-athletes. Eligibility matters are not resolved through the infractions process. Rather, violations impacting a student-athlete's eligibility are resolved through the NCAA [academic and membership affairs \(AMA\) group](#).

At the close of an investigation, the enforcement staff presents any bylaw interpretation questions to the AMA staff, which provides an interpretation. If the school disagrees with the staff interpretation, it may appeal to the appropriate peer committee.

If it is determined a violation occurred, the school declares the impacted student-athlete ineligible and seeks his or her reinstatement from the AMA staff. If the school disagrees with the staff decision or the conditions of reinstatement, it may appeal to a peer body called the [Student-Athlete Reinstatement \(SAR\) Committee](#).

The school may advocate for its position throughout the interpretation and reinstatement process.

