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 obligated to cooperate by disclosing all relevant information to enforcement staff or committee representatives.

### OUTCOME and APPEAL

The COI, made up of individuals from NCAA schools and the public, concludes whether violations occurred and whether penalties are appropriate. If appealed, the Infractions Appeals Committee, also made up of individuals from NCAA schools and the public, reviews COI decisions.

### MEMBERSHIP

BYLAWS

NCAA members propose and adopt bylaws.

INVESTIGATION and PROCESSING

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

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### 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 bylaws of the Association.

### NONCOMPLIANCE

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 volunteering all pertinent information; identifying individuals or documents; expending substantial resources to expedite a thorough and fair collection and disclosure of information; or bringing additional violations to the attention of the enforcement staff in a timely manner.

### 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. The COI may also view a failure to cooperate as support that a violation occurred.
National Office Enforcement Staff

The NCAA enforcement staff is divided into specialty teams shown below:

- **Development staff** provides sport and issue specific subject matter expertise in various areas, including basketball; football; name, image and likeness; and sports wagering. It also certifies non-scholastic basketball events, scouting services and agents.

- **Investigations and processing staff** reviews potential violations to determine the facts of a case and whether to bring formal allegations.

- **Secondary/Level III staff** processes thousands of infractions reported each year by member schools.

- **Quality and operations staff** works with all the teams and provides resources to promote and protect procedural compliance, effective processes, consistent decisions and accurate data collection and reporting.

Many members of the enforcement staff are attorneys with varied backgrounds in criminal law, civil practice or government service. Many also are former student-athletes, coaches, scouts, academic advisors, compliance officers or other athletics administrators.

Each member receives intense orientation when hired and regular training on rules, interview skills and other professional development. The enforcement department strives to attract, hire and train mature staff members who will provide excellent and efficient service to NCAA member schools.
The infractions process is designed to ensure fair play and integrity among NCAA schools. Here is a look at how the process works and the options available to reach a fair resolution.

### POTENTIAL RESOLUTION METHODS

#### NEGOTIATED RESOLUTION
- Parties agree on the facts, violations, level and classification, and penalties.
- A COI panel reviews and approves a report compiled by the parties.
- There is no opportunity to appeal.

#### SUMMARY DISPOSITION
- Parties agree to the facts and level but not classification or penalties.
- Parties submit the report to a COI panel, which issues penalties and a decision.
- Parties can request an expedited hearing about penalties. Those penalties may be appealed.

#### WRITTEN RECORD HEARING
- Parties have limited disagreement on the facts, violations and/or level of an allegation.
- Parties submit allegations, including the level of agreement and remaining issues, and written submissions to a COI panel.
- The COI focuses on the contested portions of the case and decides violations and penalties on the written record.

#### FULL HEARING
- Reserved for limited cases based on defined factors.
- Parties submit allegations and written submissions to a COI panel.
- All parties review the allegations at a hearing with a COI panel.
- The COI decides violations and penalties.
INSIDE THE INFRACTIONS PROCESS:

Paths for Incoming Information and Potential Violations

INCOMING INFORMATION
Enforcement receives information on potential violations in several ways, such as membership self-reports, public or member submissions and source development.

CASES OPENED
Information that is credible, specific and potentially violative of NCAA rules warrants case opening, review and may result in a formal inquiry and investigation.

NO RULES VIOLATIONS
- Enforcement does not substantiate reported facts with attributable information.
- Facts discovered do not constitute an NCAA rules violation.
- Enforcement communicates information privately with involved institution.

LEVEL III OR SECONDARY
- Enforcement resolves the case as a Level III or Secondary violation.
- School may appeal the decision to the Committee on Infractions.

ELIGIBILITY ISSUES
- Enforcement routes information internally.
- Enrolled student-athletes: NCAA Student-Athlete Reinstatement staff issues decision and reinstatement conditions.
- Prospects: NCAA Eligibility Center staff makes amateurism and academics certification determinations.
- School may appeal the decision to the appropriate membership committee.

COI RESOLUTION
- Enforcement, involved schools and individuals submit substantiated violations to the Committee on Infractions (COI) through negotiated resolution, summary disposition, written record hearing or full hearing. Contested decisions may be appealed to the Infractions Appeals Committee.
## INSIDE THE DIVISION I INFRACTIONS PROCESS: Violation Structure and Levels

### Violation Structure and Levels

<table>
<thead>
<tr>
<th>Level</th>
<th>Violations that:</th>
<th>Can include:</th>
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</table>
| **Level I** | - Seriously undermine or threaten the integrity of college sports.  
- Provide or are intended to provide a substantial or extensive recruiting, competitive or other advantage.  
- Are a substantial or extensive impermissible benefit. | - Lack of institutional control.  
- Academic integrity.  
- Failure to cooperate with an NCAA investigation.  
- Providing or attempting to influence others to provide false or misleading information.  
- Violation of head coach responsibility rules.  
- Cash payment or benefits for recruiting.  
- Third-party or booster involvement in recruiting with member knowledge.  
- Intentional violations.  
- Reckless indifference to NCAA bylaws.  
- Collective Level II and/or Level III violations. |
| **Level II** | - Provide or are intended to provide more than a minimal but less than a substantial or extensive recruiting, competitive or other advantage.  
- Include more than a minimal but less than a substantial or extensive impermissible benefit.  
- Involve conduct that may compromise the integrity of college sports. | - Failure to monitor.  
- Systemic violations that do not amount to lack of institutional control.  
- Multiple recruiting, financial aid or eligibility violations.  
- Violation of head coach responsibility rules.  
- Impermissible contact with a student-athlete or prospect.  
- Collective Level III violations. |
| **Level III** | - Are inadvertent and isolated or limited in nature.  
- Provide no more than a minimal recruiting, competitive or other advantage.  
- Provide no more than a minimal impermissible benefit. | - Inadvertent violations that are limited in nature.  
- Extra benefit, financial aid, academic eligibility and recruiting violations, provided they do not create more than minimal advantages. |