

NCAA Enforcement Overview

The enforcement staff supports schools and individuals who play by the rules and are committed to integrity. NCAA investigations and the infractions process protect the common interests of schools and the Association’s enduring values.



BYLAWS

NCAA members propose and adopt bylaws.

INVESTIGATION and PROCESSING

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

RESOLUTION and APPEAL

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

COMPLIANCE

Each NCAA school has an obligation to monitor and control its athletics programs, its representatives and its student-athletes to assure compliance.

NONCOMPLIANCE

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

RESPONSIBILITY TO COOPERATE

The membership and NCAA Committees on Infractions have identified the responsibility to cooperate as paramount to the infractions process. Schools, individuals and their representatives are obligated to cooperate with the enforcement staff and committee representatives. NCAA bylaws outline potential consequences if a school, individual or their representatives do not satisfy the responsibility to cooperate. In some cases, exemplary cooperation may reduce the range of applicable penalties.



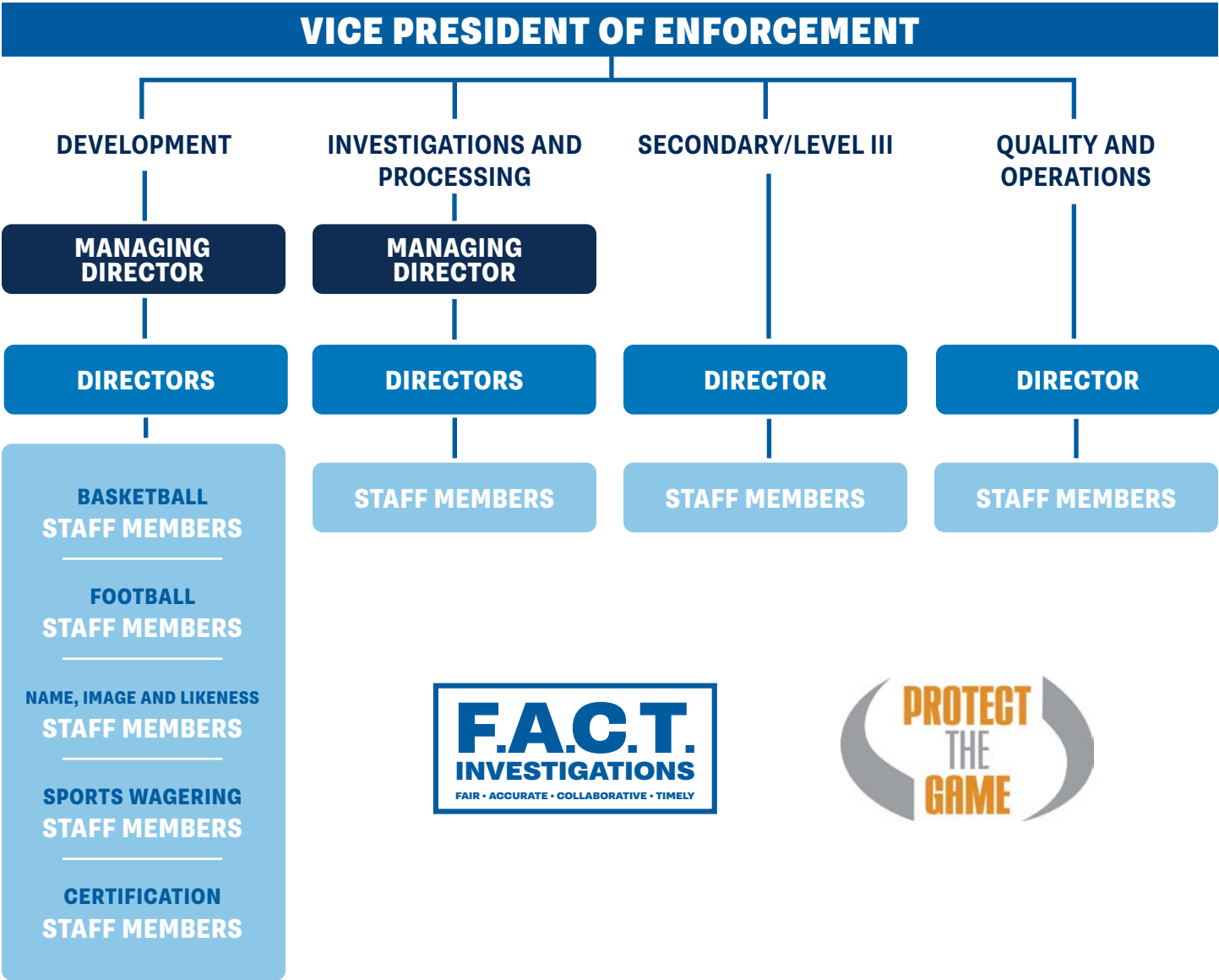
National Office Enforcement Staff

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.



NCAA Responsibility to Cooperate

The membership and NCAA Committees on Infractions have identified the responsibility to cooperate as paramount to the infractions process. Schools, individuals and their representatives are obligated to cooperate with the NCAA enforcement staff and the NCAA Committees on Infractions.

WHAT IS COOPERATION?

Reporting instances of noncompliance to the NCAA national office in a timely manner.

Proactively preserving relevant materials, documentation and/or electronically stored information upon becoming aware, from any source, of potential violations.

Developing full information to determine whether possible violations of NCAA bylaws occurred.

Participating in interviews and providing complete and truthful responses.

Timely disclosing relevant information, including materials requested in the format requested.

Providing access to all relevant electronic devices, accounts, social media, messaging and other applications.

Preserving the integrity of an investigation and abiding by all applicable confidentiality bylaws and instructions.

Instructing and encouraging legal counsel, agents/spouses, family members, representatives and other associates to cooperate fully.



EXEMPLARY COOPERATION

Exemplary cooperation begins with school and athletics leadership embracing and exceeding the responsibility to cooperate. For Division I cases, exemplary cooperation by a school or involved individual may reduce the range of applicable penalties.

CONSEQUENCES FOR FAILURE OR REFUSAL TO COOPERATE

The enforcement staff could request a status conference with the Committee on Infractions for dispute resolution. [Division I Bylaw 19.4.7-(i) and Division II Bylaw 19.4.6-(f)]

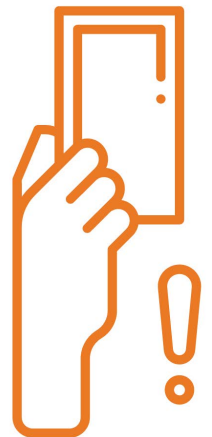
The enforcement staff could seek immediate penalties from the Committee on Infractions until an institution, individual or representatives cure any failure or refusal to cooperate. [Division I Bylaw 19.2.3]

The enforcement staff could allege a stand-alone violation for failure to cooperate. [Division I Bylaws 19.2.1 and 19.2.2, Division II Bylaws 19.2.1 and 10.1-(a), and Division III Bylaws 19.01.3 and 10.1-(a)]

Failure to cooperate may be viewed by the enforcement staff or the Committees on Infractions as support that an underlying violation occurred. [Division I Bylaw 19.7.5 and Division II Bylaw 19.2.2]

The enforcement staff could identify one or more aggravating factors for failure to cooperate, subjecting the institution or individual to a higher range of penalties. [Division I Bylaw 19.12.3 and Figure 19-1]

The institution or individual cannot receive the benefits of exemplary cooperation or select mitigating factors, reducing the range of penalties. [Division I Bylaw 19.12.4 and Figure 19-1]

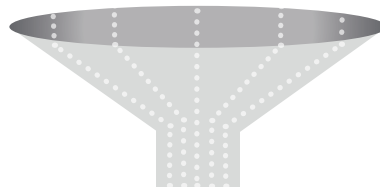


INSIDE THE INFRACTIONS PROCESS:

Paths for Incoming Information and Potential Violations

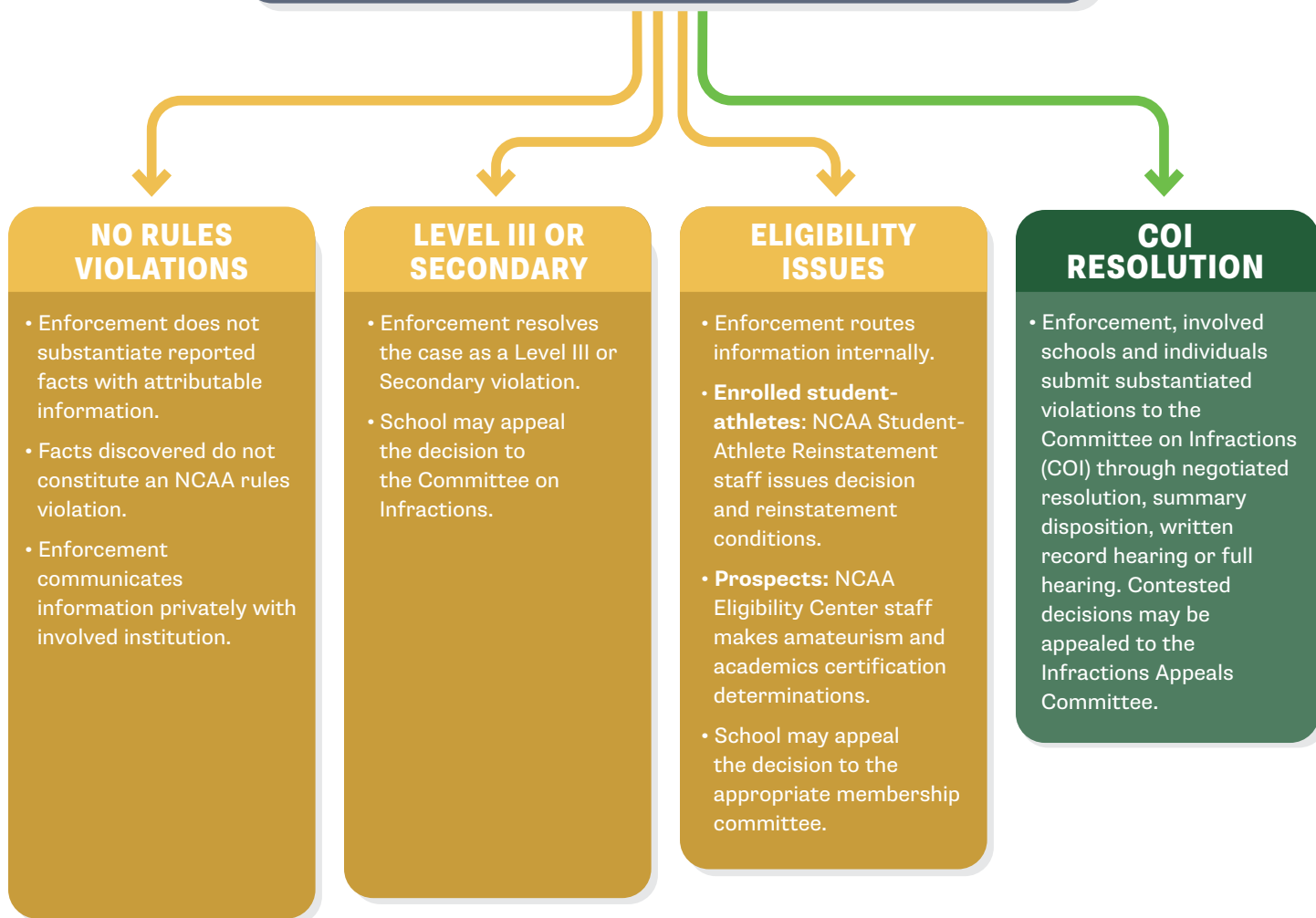
INCOMING INFORMATION

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



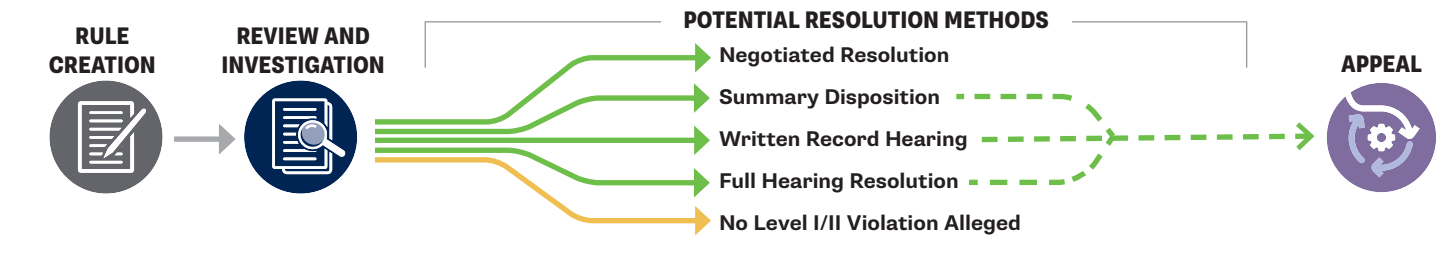
CASES OPENED

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

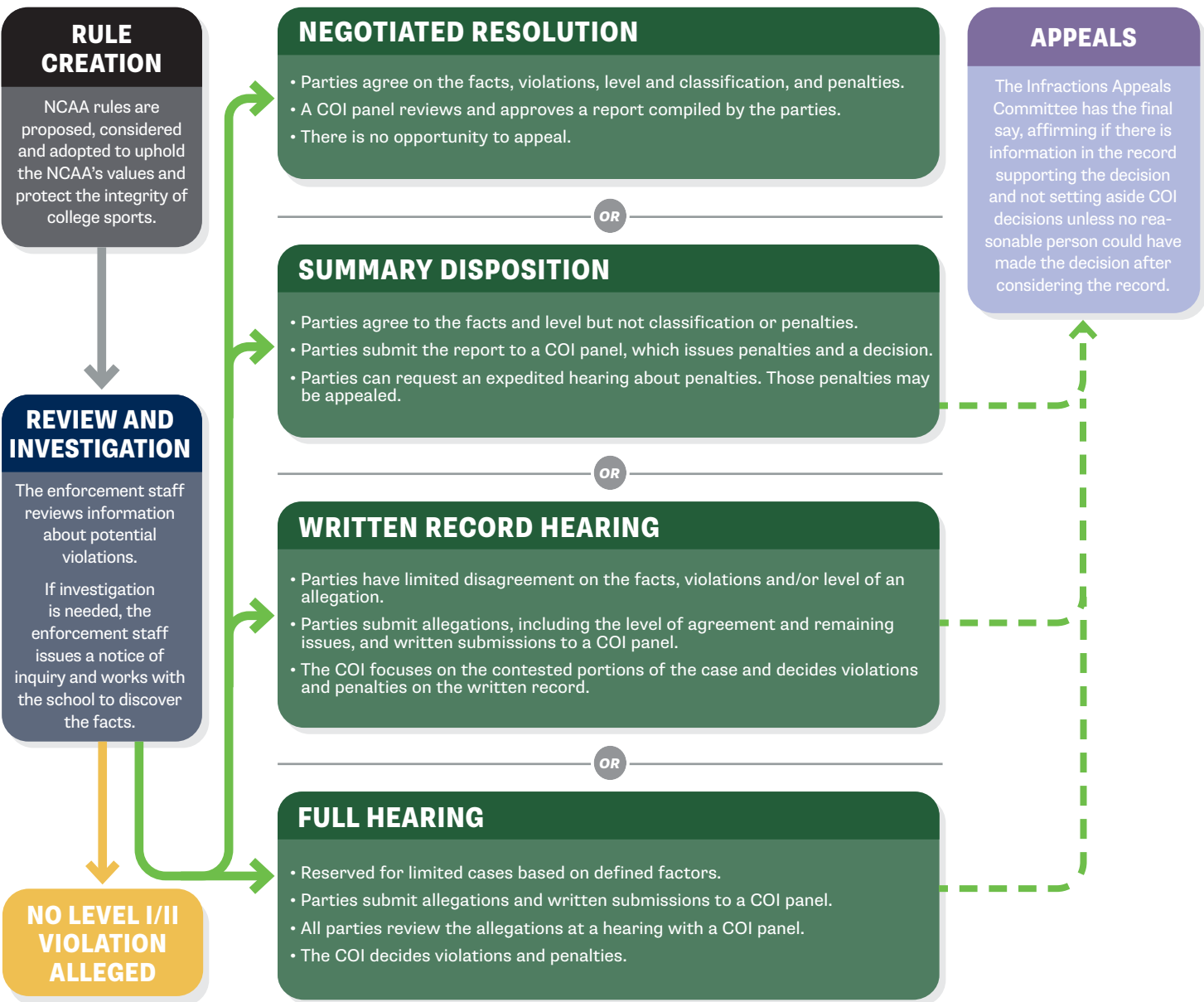


Infractions Process Overview

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



Violation Structure and Levels

VIOLATION STRUCTURE AND LEVELS

LEVEL I

Violations that:

- 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.

Can include:

- 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

Violations that:

- 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.

Can include:

- 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

Violations that:

- 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.

Can include:

- 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.