NCAA COMMITTEES ON INFRACTIONS

GUIDELINES FOR COMPLETING AND SUBMITTING
PRELIMINARY AND ANNUAL COMPLIANCE REPORTS
(June 2015)

The Committee on Infractions (COI)'s authority to prescribe penalties includes the requirement for institutions on probation to submit compliance reports. The institution should electronically upload the preliminary and annual compliance reports to the Office of the Committees on Infractions (OCOI) using the attached instructions. Please submit the reports by the date specified in the infractions decision. If the institution needs additional time to complete the report, it should contact the OCOI prior to the due date of the report.

The purpose of compliance reports is threefold:

1. To allow the committee to evaluate the institution's monitoring during the period of probation following an institution’s infractions case.
2. To provide documentation and information confirming compliance with the penalties both adopted and prescribed by the COI.
3. To allow the committee to evaluate the institution’s compliance education program.

Preliminary Report
The preliminary report should outline the institution's schedule for implementing or continuing a compliance and educational program. This report should contain information on the institution's plans to enhance current programs and to implement additional compliance activities. Information in this report should include a description of plans for educating staff members, student-athletes and representatives of the institution's athletics interests and, if feasible, a schedule of compliance meetings and tentative agendas. The institution may also outline recent changes and any other relevant activities. Penalty compliance documentation is not required in the preliminary report.

Annual Progress Reports
The annual report should be more detailed than the preliminary report and identify the institution’s compliance and educational activities related to the violations and the problem areas the committee identified. It should also contain documentation relating to fulfillment of penalties. Following the first annual compliance report, subsequent reports should focus on updated information regarding the institution's compliance and educational activities since submission of the previous report. Documentation of any penalties that remain should also be included.

The institution is encouraged to structure the Annual Progress Report in the following manner:

A. Cover Letter A cover letter from the institution’s president/chancellor or director of athletics should accompany the report. At a minimum, the cover letter should provide a brief overview of the institution’s actions in response to the infractions case. The institution may include any other information in the cover letter it deems appropriate.
B. Table of Contents The reports must contain a table of contents outlining the sections of the reports and indexed to the applicable pages in the report. Ideally, the table of contents should be “hyperlinked” to the pertinent sections of the report.

C. Introduction

1. Brief overview of the violations in the case.
2. Brief review of the penalties, both those self-imposed by the institution and those prescribed by the COI.

D. Enhancements Improvements or enhancements in the compliance program since the release of the infractions decision or since the previous report (if any).

E. Areas of Emphasis The committee on infractions typically identifies areas of emphasis in the penalty section of the infractions decision. The institution should separately identify and discuss these areas.

F. Compliance Monitoring Review of compliance activities:

1. Specific to the violations and areas of emphasis identified by the committee.
2. Any other monitoring activities the institution has undertaken.

G. Penalties The report should include a section listing the prescribed and adopted penalties, along with documentation proving fulfillment of the penalties. When addressing penalty fulfillment, please reference exhibits or attachments proving fulfillment of each penalty. If a penalty or requirement has been fulfilled in previous years and has been properly documented in past compliance reports, please note that in subsequent compliance reports and identify where that documentation is located in earlier report(s), e.g., “2014 annual report, Exhibit M.”

H. Education Include information on compliance education sessions conducted during the reporting period. Address education efforts in the following categories:

1. Education pertinent to the violations in the case and the areas of emphasis identified in the infractions decision.
2. Other compliance education efforts.

I. Attachments/Exhibits The institution should include as attachments/exhibits any supporting information that it believes will assist the COI in evaluating the compliance and educational program. Please “strike a balance” and include only those documents that will assist the COI. Over-inclusion or under-inclusion of attachments/exhibits may result in follow-up questions and could delay the COI’s review and action on the report. The exhibits should be listed and clearly indexed for ease of reference. The following are examples of what could be included in exhibits/attachments:
1. Samples of forms referenced in the compliance report.
2. Training session agendas, handouts and other pertinent materials e.g., Power Point and Prezi presentations, session attendance sheets and other pertinent training materials.
3. Documentation of compliance with penalties, e.g., squad lists in the event of a financial aid penalty, recruiting calendars, examples of notification letters to recruits, media guide pages, screen shots of webpages or hyperlinks and any other similar confirming documentation. If there is a requirement for an institutional statement about the case and/or a hyperlink to the public infractions report, please ensure that these requirements are conspicuously placed (and not hidden or “buried”) on the “front page” of the institution’s athletics website.
4. Compliance manuals or guides (for coaches, student-athletes, athletics representatives and other individuals.)
5. Any other documentation the institution deems appropriate.

Report Submission Date
The COI specifies the due dates for compliance reports in the penalty section of the infractions decision. If the institution needs additional time to complete the report, it should contact the OCOI prior to the due date of the report.

Format
The text of the actual report must be searchable and in one of the following formats: Microsoft Word, Word PDF or Adobe Acrobat Pro (preferred). Attachments and/or exhibits can be in any PDF format (including “reduced size” PDF.) Formats that allow hyperlinking within the document are preferred (e.g. Adobe Acrobat Pro).

Submission instructions
Effective October 15, 2014, the NCAA and the OCOI requests that institutions submit preliminary and annual progress reports through uploading to Box, an online file sharing program. Please see the attached instructions for uploading compliance report documents to Box.

Review of report
After receipt of the report, the OCOI will send an acknowledgement letter. Following the COI’s review of the report, the OCOI staff will send a letter reflecting the results of that review. The letter will either reflect approval, or request that the institution submit additional information. If the COI requests additional information, it will re-review the report after the institution provides it. Once approved, the OCOI will notify the institution. Please note that, if an institution has a second infractions case during the period of probation, the COI may hold compliance reports in abeyance pending resolution of the second case.

You may contact the OCOI by email at COI@ncaa.org or by telephone (317/917-6014), if you have any questions regarding compliance reports and/or their submission.