DIVISION I
LEVEL III/IV VIOLATIONS AND REQUESTS/SELF-REPORTS ONLINE (ADVANCED APPLICATION)

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Overview

- Level III and Level IV Review
- Reporting Trends
- Today’s Case
- RSRO Best Practices
  - Application
  - System
  - What’s New in RSRO?

LEVEL III AND LEVEL IV REVIEW
Level III - Breach of Conduct

- Violations that:
  - are isolated or limited in nature;
  - provide no more than a minimal recruiting, competitive or other advantage; and,
  - do not include more than a minimal impermissible benefit

- Reported through RSRO

Level IV – Incidental Infractions

- Violations that:
  - are inadvertent and isolated, technical in nature and result in a negligible, if any, competitive advantage.
  - generally will not affect eligibility for intercollegiate athletics

- General Rule = Conference
- Exceptions

- List of Level IV violations:

RSRO REPORTING TRENDS
Reporting Trends

- May 2013 to May 2014 in RSRO
  - 4,161 cases received
  - 3,806 processed
  - 355 in progress

- Highest Volume
  - 2013 November - 496
  - 2014 February - 468

Reporting Trends: Top Violations

- Electronic communications – 410
- Extra benefits – 334
- Impermissible expenses – 251
- Impermissible recruiting materials – 210
- Time period for permissible phone calls – 188
- Publicity before commitment – 138
- Advertising and promotion – 103

Reporting Trends

Top Level III Violations (May 2013 – May 2014)
Factors affecting processing time:
- Volume
- Timing (cyclical nature of reporting)
- Case assessment
- Staff review

Average Number of Business Days: Submitted to Decision (June 2013 - March 2014)

NCAA Constitution 2.8.1
- Principles of rules compliance:
  - shall comply
  - shall monitor
  - shall cooperate fully
  - shall take appropriate corrective actions
Appropriate institution actions are:
- Corrective and
- Punitive

Standard penalties

Reporting Trends

![Bar chart showing reporting trends]

TODAY'S CASE
Women's soccer student-athlete Sarah Kicker (SA), competed in two contests prior to having her academic or amateur status certified.

SA was not on the squad list.

Tim Forgetful, head women's soccer coach, did not make compliance aware that the SA was on the team.

SA was allowed to compete for remainder of season without being reinstated.

And ... a NEW compliance staff person!

Today's Case

What else do you need to know?

Today's Case: Additional Information

Violation Discovered:
Sports information director (SID) saw SA's name in newspaper and did not recall entering her name on the website roster. SID discussed with new compliance director.

Institution Action:
Rules education and review of certification procedures. Involved coach suspended for one day of competition. Institution will pay a fine.

Conference Action:
None (as entered by institution)
RSRO BEST PRACTICES
Application Tips

Application Tips: Adding (P)SA and Involved Individual

- (P)SA
  - Eligibility impacted?
  - Searchable data point
  - Don't know NCAA ID?
  - Create temporary ID
  - Add up to 10

- Involved Individual
  - Remains on drop down
Application Tips: Identifying Sub-Case Types

- Check all applicable sub-case types

Application Tips: Combined Level III/Level IV Violations

- Choose all applicable bylaws
- Today's Case affected NCAA Bylaws:
  - 12.1.1.3. Eligibility for Practice or Competition
  - 14.3.1. Eligibility for Financial Aid, Practice or Competition
  - 14.3.5.1 Participation Prior to Certification
  - 14.9.3 Squad List Form
  - 14.10.1 Obligation to Withhold
  - 16.8.1 Permissible expenses

Application Tips: Violation Summary and Facts

- One sentence summary of each violation should:
  - Be concise
  - Reference the language of the bylaw
- Today's Case: Institution permitted SA to compete in 2 contests without academic or amateur certification and without being on squad list. Institution failed to withhold SA from competition after discovering violation.
Application Tips: Facts

- **Description of Facts**
  - Be complete
  - Provide dates and titles
  - No PDFs. Please!

RSRO BEST PRACTICES

System Tips

System Tips: Creating a Related SAR Case

- From Request/Self-Reports tab

Make a Request or Self-Report

Select from the options below to begin a case:

Saved and Recently Submitted Applications

<table>
<thead>
<tr>
<th>Date</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>04/04/11</td>
<td>Request for Officer</td>
</tr>
<tr>
<td>04/04/11</td>
<td>Request for Criminal</td>
</tr>
<tr>
<td>04/04/11</td>
<td>Request for Vehicle</td>
</tr>
</tbody>
</table>
System Tips: Paying a Fine

- For Invoice and/or Credit Card Payments
  - Contact NCAA Accounts Receivable 317-917-6481
- Check payments
  - Include Case Number
  - Mail to: NCAA
    Attention: Accounts Receivable
    P.O. Box 6222
    Indianapolis, Indiana 46206

System Tips: Access

- System administrator
- Update membership database
- Then give access to RSRO
  - Use same email address
- Determine level of access
  - Application Administrator
  - Signatory
WHAT’S NEW IN RSRO?

What’s New?
Conference Edit Function

- Optional feature
- Must include conference electronic signature
- Institution electronic signature
- Process map

What’s New?
Conference Edit Function

- Types of Edits
  - Edits made
  - Edits only to “conference action” section
- Identifying Type of Edit
  - Conference: check box on application
  - Institution: Step 4 of application
- Cannot Edit
  - Eligibility question
From Today’s Case:
- Conference Action: Institution should be required to have a conference compliance review.
- Minor grammatical changes to fact section.
What Else is New?

- System message email
- Signature notification
- Upgraded search functions
- Conference reports
- Level IV application

Questions?

Thank you