**RULES VIOLATIONS**

**NCAA Bylaw: 30.3 – Certification of Compliance**
VCU shall not be eligible to enter a team or individual competitors in an NCAA championship unless its president makes an annual institutional eligibility certification [see Bylaw 18.4.2.1-(d)] attesting that the conditions set forth in this section have been satisfied. The certification shall be completed not later than September 15.

**NCAA Bylaw: 30.3.1 – NCAA Rules Review**
The president or a designated representative has reviewed with all athletics department staff members the rules and regulations of the NCAA as they apply to the administration and conduct of intercollegiate athletics.

**NCAA Bylaw: 19.01.2 – Exemplary Conduct**
Individuals employed by or associated with member institutions for the administration, the conduct or the coaching of intercollegiate athletics are, in the final analysis, teachers of young people. Their responsibility is an affirmative one, and they must do more than avoid improper conduct or questionable acts. Their own moral values must be so certain and positive that those younger and more pliable will be influenced by a fine example. Much more is expected of them than of the less critically placed citizen.

**NCAA Bylaw: 19.02.2.1 – Violation, Secondary**
A secondary violation is a violation that is isolated or inadvertent in nature, provides or is intended to provide only a minimal recruiting, competitive or other advantage and does not include any significant recruiting inducement or extra benefit. Multiple secondary violations by a member institution may collectively be considered as a major violation.

**NCAA Bylaw: 19.02.2.2 – Violation, Major**
All violations other than secondary violations are major violations, specifically including those that provide an extensive recruiting or competitive advantage.

**Forms Used for Documentation:**
1. CAA Infractions Report
2. Infraction Cover Letter
3. Letter of Admonishment
4. Letter of Reprimand
5. Summary of Findings

**Individuals and Departments Involved:**
1. Compliance Office Staff
2. All Athletics Department Personnel
3. Faculty Athletics Representative
4. President
5. Student-Athletes or Prospects
6. Outside Constituents-Boosters, ETC.

**Policy:**

1. VCU strongly encourages all staff to take a proactive stance in reporting or communicating any instance where NCAA regulations may be in jeopardy of infraction.
2. VCU will make every effort to complete a speedy, objective and thorough investigation regarding any issue brought to the attention of the athletics department that may lead to a self-report of an infraction.

3. VCU will utilize all resources necessary to review thoroughly any allegation of infractions to the full satisfaction of the Colonial Athletic Association as well as the NCAA.

4. VCU holds the belief that self-reporting violations reflects a solid program of institutional control.

5. Self-reporting and investigation provides an opportunity for the department to correct a situation before it develops into a major infraction.

6. Immediate awareness identifies areas that may be addressed in departmental policy and/or continuing education programs.

7. The compliance office will administer the primary role of investigation and self-reporting rules infractions.

8. If, during the course of determining the legitimacy of an alleged violation, the compliance office determines the situation demands more in-depth investigation, an outside entity will handle the continuing process to avoid damaging the relationship that must be maintained between the coaches, the affected student-athletes, outside groups and the compliance office.

9. Should an allegation be initiated by the Colonial Athletic Association and/or NCAA enforcement staff, the Athletics Department, university staff, student-athletes and any representatives of athletics interest who may be involved or called on are expected to cooperate fully with investigators.

10. When appropriate, VCU will conduct its own investigation simultaneously and will turn in all pertinent findings to the conference or NCAA investigators.

**Procedures:**

1. A possible alleged violation (PAV) is brought to the attention of a Senior Athletics Administrator or directly to the Assistant Director of Athletics for Student Athlete Services.

2. The Senior Athletics Administrator notifies the Assistant Director of Athletics for Student Athlete Services of the PAV.

3. The Compliance Office notifies the Director of Athletics that a PAV inquiry has been initiated.

4. The Director of Athletics may, as warranted, notify the office of the President as well as Legal Counsel for the University.

5. The Assistant Director of Athletics for Student Athlete Services interviews the individuals implicated in the PAV to determine the validity of the complaint.

6. Based on the information gathered in the preliminary inquiries, the Assistant Director of Athletics for Student Athlete Services determines which NCAA regulations may have been violated. If a secondary violation has occurred it will be determined if it is a Level I or Level II violation and then reporting procedures and appropriate penalties will be administered.

7. The Assistant Director of Athletics for Student Athlete Services then reports the findings to the Director of Athletics, the Faculty Athletic Representative, Conference Office or university counsel.

8. Level I violations will be reported to the NCAA national office as they occur and are discovered, and will continue to be processed by the enforcement staff. Level I violations include:
   a) Specific Bylaws 10-16 cited on the NCAA Website, plus;
   b) Any violations of bylaws other than those contained in Bylaws 10-17;
   c) All intentional violations;
   d) Any violations not isolated or limited in scope; and
   e) Any violations that previously have occurred in the same sport during a four-year period.

9. Level II violations are processed and forwarded to the conference office. The conference office will present the NCAA with a violation report quarterly for review.

10. All inadvertent, isolated violations of the operating bylaws (Bylaws 10-17) not identified as Level I violations are considered to be Level II violations. Additionally, all Level II violations are either de minimus (do not affect eligibility) or restitution (repayment of value of impermissible benefit if $100 or less). Finally, level II violations require the imposition of specific penalties as outlined by the NCAA.
11. This report may carry any of the following recommendations:
   a) PAV is not substantiated and no further action is required.
   b) PAV is not substantiated but athletics policy or procedures need modification to prevent possible future violation. If departmental review of the situation is necessary, it is accompanied by continuing rules education sessions.
   c) PAV is substantiated and documented. No further investigation is necessary. Secondary violation occurred. Departmental corrective actions suggested. Possible policy or procedures modifications suggested preventing future violations.
   d) PAV is substantiated. More extensive investigation is required to discover exact nature and/or severity of the violation. A recommendation is made that the Director of Athletics, Faculty Athletic Representative, Conference Office or university counsel conduct the investigation.
12. The Assistant Director of Athletics for Student Athlete Services will notify the university President of the alleged violation and investigation status.
13. The Assistant Director of Athletics for Student Athlete Services will notify the Conference Office of the same.
14. Investigator(s) will review the report of the Compliance Office; determine whom they need to talk to and what information they need to substantiate the allegations.
15. All parties involved will be notified of the investigation, their connection and the nature of the inquiries that will be made of them.
16. Confidential interviews will be arranged.
17. Investigator(s) will assemble all information and documents (if any) and will present their findings to the Director of Athletics, Faculty Athletic Representative and the Assistant Director of Athletics for Student Athlete Services.
18. The non-substantiated alleged violations will be noted with any recommended actions to prevent their repetition.
19. The substantiated violation reports will be made to the Conference Office. The nature of the violation, the departmental precautions already in place and the proposed penalties will be noted.
20. Meetings will be held with all involved parties to reveal the findings and proposed penalties resulting from the investigation. Appeals of the penalties and/or findings will be heard at this time.
21. A final report, with findings and recommended penalties, will be forwarded to the NCAA, the conference office, the university President, Director of Athletics, the Faculty Athletics Representative, the sport administrator, applicable coach and university counsel (if applicable).
22. The Director of Athletics will implement any penalties called for in the final report. If applicable, a letter of information (admonishment or reprimand) will be kept in the file of all departmental staff involved.
23. The Compliance Office will implement any changes in policy or procedures called for in the final report.
24. The Compliance Office will work with the Conference Office to establish continuing education programs or workshops for all parties involved to ensure a sound and thorough understanding of NCAA regulations.