

NCAA Division I Committee on Athletics Certification
Governance and Commitment to Rules Compliance
(Third Cycle, Class One)

The NCAA Division I Committee on Athletics Certification developed these measurable standards to clarify expectations for each operating principle and to bring more consistency to the athletics certification process for institutions, peer-review teams and the committee.

~ Measurable Standards for Operating Principle 1.2 ~
Rules Compliance

1. The institution must provide written evidence that all individuals inside the athletics department (e.g., staff, coaches) have statements regarding the importance of rules compliance in all of the following documents: contracts or letters of appointment, performance evaluations and job descriptions.
2. The institution must provide written evidence that all individuals outside the athletics department who are involved or associated with athletics (including, but not limited to, individuals who have responsibility for admission, certification of academic standing, evaluation of academic performance and administration of financial aid for student-athletes) have statements regarding the importance of rules compliance in all of the following documents: contracts or letters of appointment, performance evaluations and job descriptions.
3. The institution must demonstrate that the responsibility for admission, certification of academic standing and evaluation of academic performance of student-athletes is vested in the same agencies that have authority in these matters for students generally.
4. The institution must assign direct accountability for rules compliance to the individual the chancellor or president assigns overall responsibility for the athletics program (e.g., athletics director, vice president for athletics).
5. The institution must identify individuals who have rules compliance-related responsibilities and the reporting lines of these individuals.
6. The institution must demonstrate that individuals external to the athletics program (including, but not limited to, financial aid personnel, registrar, faculty athletics representative) are engaged in the critical and sensitive areas of rules compliance. Examples of critical and sensitive areas of rules compliance include, but are not limited to,

eligibility certification, investigation and self-reporting of rules violations, monitoring financial aid and academic performance program.

7. The institution must provide evidence that written compliance policies and procedures exist and demonstrate that they are engaged and functioning in the following areas:
 - a. Initial-eligibility certification;
 - b. Continuing-eligibility certification;
 - c. Transfer-eligibility certification;
 - d. Academic performance program (e.g., data collection process, penalty implementation process);
 - e. Financial aid administration, including individual and team limits;
 - f. Recruiting (e.g., official and unofficial visits, hosts, entertainment, contacts, phone calls);
 - g. Camps and clinics;
 - h. Investigations and self-reporting rules violations;
 - i. Rules education;
 - j. Extra benefits;
 - k. Playing and practice seasons;
 - l. Student-athlete employment;
 - m. Amateurism.

8. The institution must demonstrate that its written compliance policies and procedures are clearly communicated on an annual basis to athletics department staff and individuals outside the athletics department with rules compliance responsibilities.

9. The institution must provide evidence that it has a continuous and comprehensive rules education program for all individuals associated with the athletics program including boosters, student-athletes, athletics department staff, coaches, faculty and institutional staff outside the athletics department.
10. The institution must demonstrate that its rules-compliance program is subject to a comprehensive, external rules-compliance evaluation at least once every four years and is conducted by an individual(s) external to athletics who is knowledgeable of NCAA compliance and who does not have day-to-day responsibilities in the areas under review.
11. The institution must provide evidence that the comprehensive, external rules-compliance evaluation demonstrates that the rules-compliance program is engaged and functioning. Further, the institution must review the written, comprehensive evaluation as part of the self-study process and determine if appropriate corrective actions are necessary in response to the written report.
12. The institution must provide evidence that the comprehensive, external rules-compliance evaluation includes, at a minimum, the following areas;
 - a. Governance and organization (e.g., governing board policies related to athletics, responsibilities and duties of compliance personnel);
 - b. Initial-eligibility certification;
 - c. Continuing-eligibility certification;
 - d. Transfer-eligibility certification;
 - e. Academic performance program (e.g., data collection process, penalty implementation process);
 - f. Financial aid administration, including individual and team limits;
 - g. Recruiting (e.g., official and unofficial visits, hosts, entertainment, contacts, phone calls);
 - h. Camps and clinics;
 - i. Investigations and self-reporting of rules violations;

- j. Rules education;
 - k. Extra benefits;
 - l. Playing and practice seasons;
 - m. Student-athlete employment;
 - n. Amateurism;
 - o. Commitment of personnel to rules-compliance activities.
13. The institution must submit a copy of the written evaluation from its comprehensive, external rules-compliance evaluation.