

Procedures for Reporting NCAA or Big Ten Violations

The University of Minnesota is committed to operating its athletic programs in a manner which is consistent with the letter and the spirit of The National Collegiate Athletic Association (NCAA), Big Ten Conference, and the University rules and regulations.

In accordance with NCAA rules and regulations, all suspected or alleged violations of NCAA rules are investigated. If the Director of Athletic Compliance determines that a violation has occurred, the Director of Athletic Compliance or designee will report the violation (or possible violation) to the NCAA and/or Big Ten Conference.

It is our philosophy that all violations, even those which appear to be minor or secondary, will be investigated and reported to the appropriate authority. In responding to rule violations, we will look at such factors as whether the violation was intentional, whether any advantage is gained (e.g., recruiting, competitive, or for the student-athlete involved), whether a student athlete's eligibility is affected, and whether violations are recurring. Our goal in responding will be to encourage communication, to seek consistency, and accountability, and above all to send a strong message that the University of Minnesota is serious about rules compliance.

A. Reporting a Violation

1. Above all else, the University of Minnesota affirms that all athletic department staff members, student-athletes, or university employees are obligated to report any violations or possible violations of which they are aware.
2. Any individual (e.g., athletic department staff member, student-athlete, university employee, representative of the University's athletic interests, member of the community) may report an alleged, rumored, or suspected violation.
3. The individual may report the alleged, rumored, or suspected violation verbally or in writing. They may report an alleged violation utilizing the U Report web link at:
https://secure.ethicspoint.com/domain/en/report_custom.asp?DB_OEM_ID=8400&clientid=9167
4. Any University staff member who in good faith reports an alleged, rumored, or suspected violation may not suffer retaliation from any part of the University.

B. Communicating Alleged Violations to Appropriate Individuals.

1. If an alleged or rumored violation is communicated to any athletic department staff member, the staff member has an obligation to notify the Athletic Compliance Office violation in a timely manner.

2. Individuals other than athletic department staff members (e.g., student-athletes, university employees, representative of athletic interests, or community members) may report an alleged violation to any or all of the following persons:
 - a. The Director of Athletic Compliance
 - b. The Director of Athletics.
 - c. The Faculty Athletics Representative

C. Conducting an Investigation of an Alleged Violation.

1. The Athletic Compliance Office (in conjunction with the Office of the General Counsel) is responsible for conducting all compliance investigations.
2. The Athletic Compliance Office will maintain a written record of all violations.
 - a. If a violation has occurred, the Director of Athletic Compliance will keep on file a copy of the report of the violation and subsequent correspondence with the Conference and/or the NCAA staff. Copies of the self-report will be sent to the following:
 - Vice President and Chief of Staff
 - Director of Athletics
 - Faculty Athletics Representative
 - Office of the General Counsel
 - Conference Office
 - Involved staff member(s)
 - b. Self-reports of violations involving student-athletes are not copied to the involved student-athlete because of the nature of all of the information in the report.
 - c. The Office of the Athletic Compliance will maintain the reports, and violations will be maintained in the office's files, according to its document retention policy.

D. Finding that a Violation Occurred

The Director of Athletic Compliance in conjunction with the Office of the General Counsel shall determine whether a violation has occurred whenever the preponderance of the evidence, considered as whole, establishes the occurrence of the violation. It shall be the responsibility of

the Director of Athletic Compliance in assessing the evidence to determine the weight and credibility given to any particular evidence.

E. Including Appropriate Information in the University's Self-Report.

In accordance with the NCAA Enforcement staff recommendation, the University's self-report will include but not be limited to the following information:

1. The date and location of the violation.
2. The identities of involved student-athletes, coaches, staff members and any other individuals involved in the violation.
3. The means by which the institution became aware of this information.
4. The cause of the violation (e.g., lack of knowledge, human error, etc.), an explanation of the circumstances surrounding the violation, and any mitigating circumstances that may exist.
5. A list of corrective and/or disciplinary actions taken by the institution in response to the violation to be determined by the Director of Athletics and the Director of Athletic Compliance with consultation with the Office of the General Counsel and the Vice President as necessary.
6. The institution's position regarding the violation and surrounding circumstance. The institution will indicate whether it believes a violation occurred and the specific legislation it believes was violated.

F. Reporting Alleged Violations Involving Other NCAA Institutions

1. If an individual has knowledge of an alleged violation that involves another NCAA member institution, he/she shall report the alleged violation(s) in writing to the Director of Athletic and/or the Director of Athletics. If reported to the Director of Athletics, s/he must immediately notify the Director of Athletic Compliance.
2. The Director of Athletic Compliance will discuss the violation and desired plan of action to address the situation with the Director of Athletics and the appropriate coaching staff members who have lodged the accusation. The Office of Athletic Compliance may then contact the Athletics Director or the Athletic Compliance Office at the accused member institutions to request that the alleged violation be investigated. The Director of Athletic Compliance in conjunction with the Director of Athletics may contact the Big Ten Conference or the NCAA staff and request that

the Conference office or NCAA staff contact the accused institution or that institution's conference.