

PART 185 APPENDIX 1

ASSESSMENT DETERMINATIONS MATRIX (Regulation 185.02.3(3))

[A] Assessment determination	0	1	2	3	4	5	Weight [A]+[B] 1	Severity score	Value (Weight x severity)
[B] Severity levels of violation	None	Low level	Medium- low level	Medium (moderate) level	High- medium level	High level			
Intent	None	Should have known	-	Non-malicious intent		Deliberate	5		
Likelihood of recurrence	None	Unlikely		Likely		Significant likelihood	5		
Hindrance	None	Low impact	Medium to low impact	Medium (moderate impact)	Highmedium impact	High impact	4		
Duration (after notification)	Zero/ immediate	2 weeks	One month	6 weeks	Two months	10 weeks	4		
Frequency	Zero	One violation	-	Two violations		Several violations	4		
Previous records / compliance history	None	Prior cautionary advices	Prior warning for similar violation	Minor case of prior warning for similar violation	Investigation launched for violation	Adverse finding on investigation outcome	3		
Continuation after notification/warning	No notification/warning received	Ceased immediately	Ceased within one weeks	Ceased within 2 weeks		Ceased within 3 weeks	4		
Informed NCAA about compliance delay	Immediately	Less than 24 hours	Less than two days	Not later than one week	Not later than two weeks	Not later than three weeks	4		
Cooperation with NCAA	Full timely cooperation &	Acceptable cooperation		Significant cooperation	Insignificant cooperation	Unacceptable cooperation	4		

[A] Assessment determination	0	1	2	3	4	5	Weight [A]+[B] 1	Severity score	Value (Weight x severity)
[B] Severity levels of violation	None	Low level	Medium- low level	Medium (moderate) level	High- medium level	High level			
	corrective action								
Benefits derived	None	Minimum benefit to participant	-	Moderate benefit		Significant benefit	3		
Level of negligence	Oblivious			Ignorant	Deviant	Negligent	4		
History of previous fines	None	Prior cautionary advices	Prior warn- ing for similar violations		More than two prior warn- ings for similar violation	More than three violations	3		
Operations & docu- ments usage abilities	Documentatio n inadequate	Documentatio n not available		Documentat ion defaced or breached		No reporting on docu- mentation lost/ misplaced/ no reporting	3		
Voluntary information to NCAA	Contravention observed / detected by NCAA	Contravention reported by 3 rd party		Delay in reporting violation		Comprehen sively informed NCAA; full facts disclosed	-3		
Cor- rective actions/ plans	None	Submitted one week beyond required deadline	Submitted two weeks beyond required deadline	Submitted two weeks late and incomplete	Not submitted within extended deadline period	Failure to submit despite warning issued to submit	-4		
Compliance program levels	None	Supportive information lacking	Supportive informatio n provided	Manuals in some respects complied with.	Manuals in many respects complied with	Manu- als fully complied with	-5		
TOTALS									

Assessment total score

TOTAL	
Divided by 4	
Grand total	

PART 185 APPENDIX 2

ADMINISTRATIVE FINE AMOUNTS
(Regulation 185.02.3(4))

Violations severity Points lower bound	Violations severity Points upper bound	Admin fine lower bound Max N\$	Admin fine upper bound Max N\$	Recommended ad- ministrative fine N\$
1-11	12-20	2001	20000	
21-41	42-60	20001	80000	
61-71	72-80	80001	100000	
81-91	82-90	100001	150000	
91-95	96-100	150001	200000	

Recommended:

Name	Signature and Stamp	Date
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Approved:

Ericsson M. Nengola INTERIM EXECUTIVE DIRECTOR	Signature and Stamp	Date
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