



INDEPENDENT  
ACCOUNTABILITY  
RESOLUTION PROCESS

# Secure Filing System

## External User Guide

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## Terminology, Acronyms and Descriptions

<b>Box.com</b>	Box.com is a secure file sharing, storing and collaboration system used to manage case files and adjudicate cases.
<b>Complex Case Unit (CCU)</b>	The CCU includes both external investigators and advocates with no school or conference affiliations as well as one member of the enforcement staff. Independent investigators and advocates are a vital part of the new process. When a case is referred to the independent structure, the CCU will assess whether further investigation of the facts is needed. The unit then will conduct any additional investigation and shepherd the case through its review by the Independent Resolution Panel.
<b>Independent Resolution Panel (IRP)</b>	The IRP reviews the allegations issued by the CCU and the school's response to those allegations. It then conducts a hearing, decides whether violations occurred and prescribes penalties. The panel consists of 15 members with legal, higher education and/or sports backgrounds. Once a case is referred to the independent accountability resolution process (IARP), a hearing panel consisting of five IRP members is generated.
<b>Independent Accountability Oversight Committee (IAOC)</b>	<p>The IAOC oversees the independent process. It consists of the chair and vice chair of the NCAA Division I Board of Directors and three of the newly appointed independent members of the NCAA Board of Governors.</p> <p>In addition to overseeing all operational matters, the committee appoints independent external investigators and advocates on the CCU, selects members of the Infractions Referral Committee, and nominates members of the IRP.</p>
<b>Chief Panel Member (CPM)</b>	Individual responsible for presiding over cases, resolving procedural matters, scheduling deadlines, granting limited immunity, overseeing hearing logistics and other duties related to the processing of a case.
<b>Internal Operating Procedures (IOPs)</b>	Administrative procedures pertaining to the processing of an IARP case. There are separate procedures for the CCU, IRP and IAOC.
<b>Legislative Services Database (LSDBi)</b>	Database that contains information related to NCAA legislation, proposals, interpretations, education columns and infractions cases.
<b>Collaborator</b>	An individual invited to share a folder on Box.com. Collaborators are invited to folders at different access levels.

## Terminology, Acronyms and Descriptions

<b>'Previewer' access</b>	Collaborator access level on Box.com. Collaborators with this access level can preview items in the folder but cannot share, download, upload, edit or delete any content.
<b>'Viewer' access</b>	Collaborator access level on Box.com. Collaborators with this access level can view and download files.
<b>'Viewer Uploader' access</b>	Collaborator access level on Box.com. Collaborators with this access level can view, upload and download files.
<b>Notice of Inquiry (NOI)</b>	Notice to an institution's president, chancellor or designee that the enforcement staff will conduct an inquiry on the institution's campus. The notice tolls the statute of limitations.
<b>Notice of Allegations (NOA)</b>	Charging document issued to the institution and any involved individuals when the CCU believes there is sufficient information for the IRP to conclude that a Level I or II violation occurred.
<b>Factual Information (FI)</b>	Pertinent case information that supports or rebuts an allegation.
<b>Written Reply (WR)</b>	Document containing the CCU's written reply to involved parties' responses to the NOA.
<b>Statement of the Case (SOC)</b>	Document prepared by the CCU that provides a brief history of the case, summary of parties' positions and list of remaining disagreements.

## **Purpose**

The purpose of this guide is to provide guidance to the membership, involved parties and their representatives on how to navigate the secure filing system.

## **What is the Secure Filing System?**

- ✚ Principal platform for parties to electronically submit and access case information once a case proceeds past investigation.
- ✚ System with information that constitutes the electronic case file containing the record, submission history and official actions.
- ✚ Platform designed to:
  - Enhance the collaborative and efficient review of the case record and communication of information between the parties and IRP.
  - Better utilize technology in the processing of cases, including through hyperlinking to the most pertinent factual information and guiding authority, while maintaining high information security standards.
  - Further facilitate a fully digital, paperless review of the case record.
- ✚ System that maintains confidentiality of information. Parties are only permitted to communicate information to individuals who have executed the terms of service agreement, unless disclosure is required by state law. The CCU does not have the ability to view work product, strategies or mental impressions of a party or its counsel/representative. The IRP does not have the ability to view access or login information.

## **What are Expectations for Use of the Secure Filing System?**

- ✚ Expectation is for parties to use the system to submit information, make requests, access the case file and receive information from the IRP. Unless good cause is shown, parties shall not submit information to the IRP via email, facsimile, other electronic medium or paper.
- ✚ Expectation is for parties to identify and hyperlink to the most relevant and material information and guiding authority in a case. Without good cause shown, the IRP will reject party submissions for failure to comply and issue of resubmission will be addressed with the CPM.
  - At the beginning of a written submission, parties shall identify the most relevant and material factual information in a key record list. The key record list shall be comprised of a key factual information list (i.e., the most persuasive factual information relied on by the

submitting party) and index of authorities (i.e., past cases and interpretations) with hyperlinks to the secure filing system and LSDBi.

- Within the body of the written submission, parties shall cite to the most relevant and material factual information as identified in the key factual information list and index of authorities with hyperlinks to the secure filing system and LSDBi.

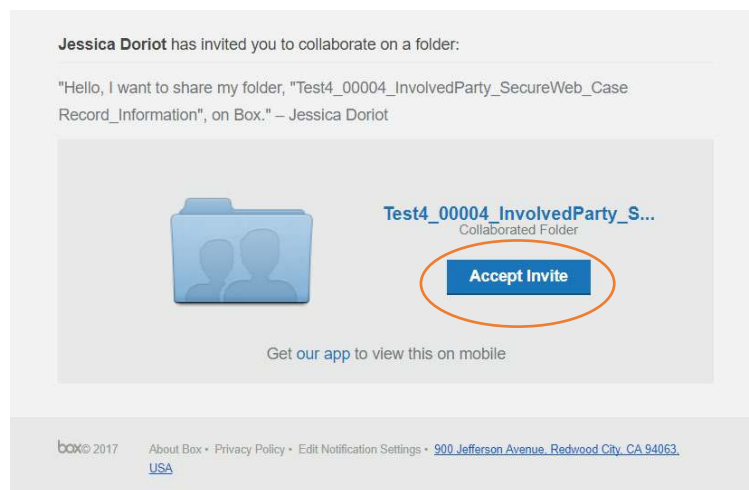
See IRP IOP 3-4-3 for further instruction.

## Getting Started

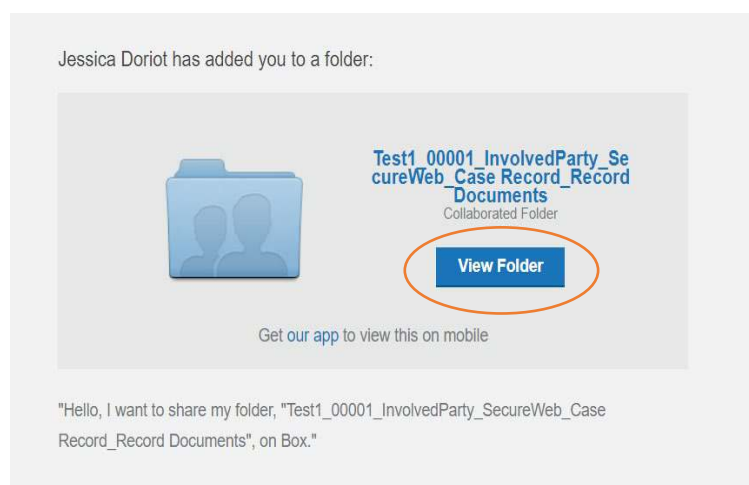
In accordance with Bylaw 19.11.4.7, the CCU will invite all involved parties to the secure filing system.

✚ Parties will receive an email from Box.com with the invitation to the secure filing system.

- ✚ If the party receiving the invite does not have a Box.com account or has an account that does not automatically accept invites, select the **Accept Invite** button to create an account or view the folder in your Box.com account.



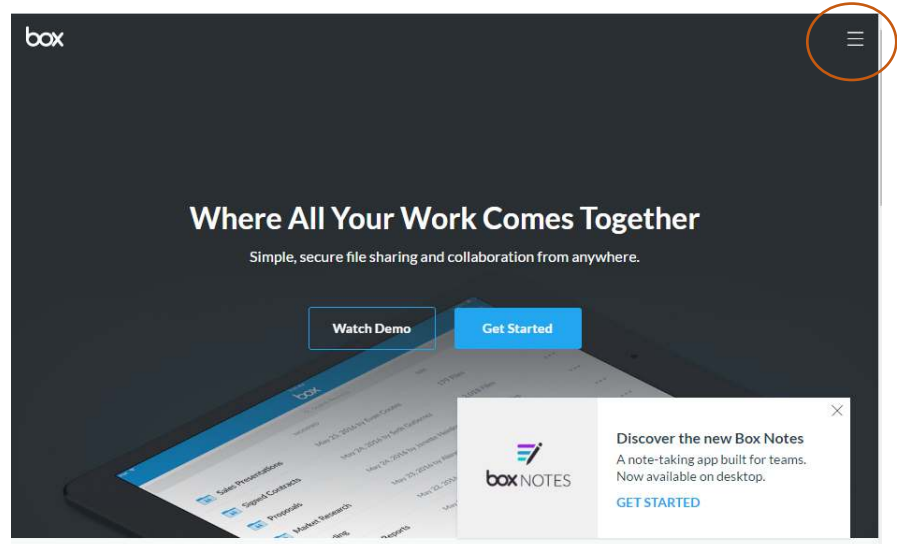
- ✚ If the party receiving the invite has a Box.com account, select the **View Folder** button to view the folder in your Box.com account.



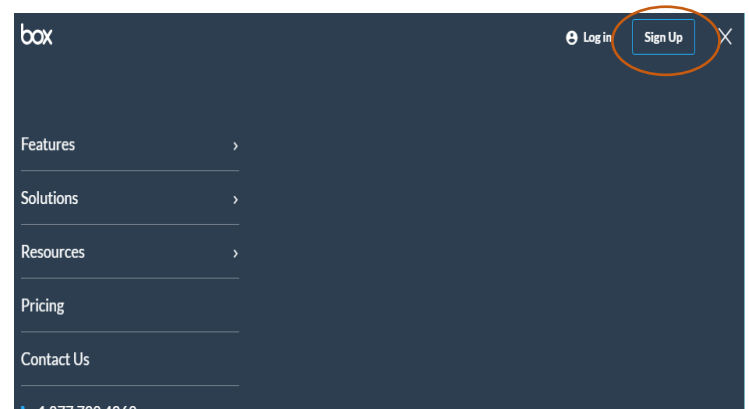
## Creating an Account

To gain access to the secure filing system, a party must register on Box.com with the email address provided to the CCU.

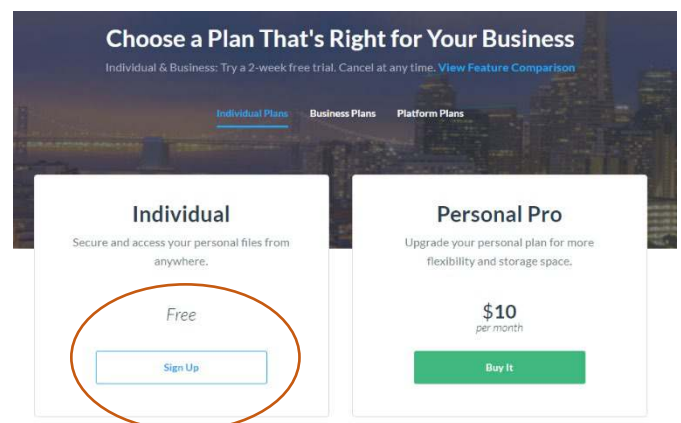
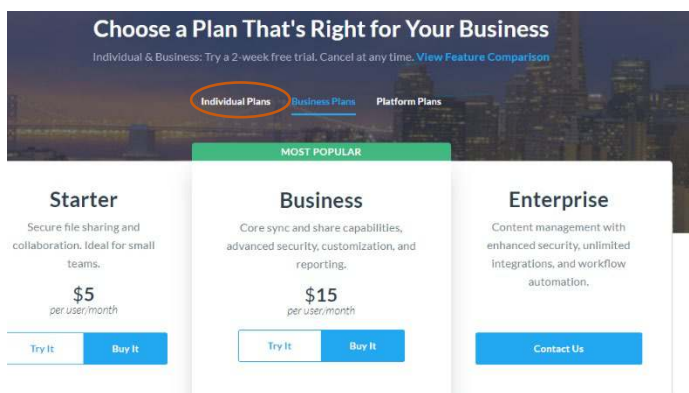
- Visit [www.Box.com](http://www.Box.com). On the Welcome Screen, click on the three horizontal lines at the top right-hand corner of the page.



- Click the **Sign Up** button found in the top right-hand corner.



- For a free Box.com account, click **Individual Plans** and click the **Sign Up** button.



- ✚ Complete the information found on the sign-up screen. **Remember, to access the Secure Filing System, the email address provided to the CCU must be the one used to sign up on Box.com.**
- ✚ Once sign up is completed and the **Submit** button is clicked, check email to verify Box.com account.

## Accessing Secure Filing System Folders and Files

- ✚ All users must accept the [secure filing system confidentiality agreement](#) for access to folders and files in the secure filing system.
- ✚ The following is an example of what you will see in the secure filing system when you accept your invitations and log into your Box.com account.





- External users involved in multiple cases will have access to each case's secure website via their Box.com account dashboard.

Name ▾
Test_00000_SecureWeb_Upload Area
Test_00000_SecureWeb_Other Information
Test_00000_SecureWeb_Case Record_Record Documents
Test_00000_SecureWeb_Case Record_Information
Test2_00002_SecureWeb_Upload Area
Test2_00002_SecureWeb_Other Information
Test2_00002_SecureWeb_Case Record_Record Documents
Test2_00002_SecureWeb_Case Record_Information

## Setting up Email Notifications

- Setting up email notifications can assist in alerting you when changes are made to Box folders to which you have access.
- To setup email notifications, click on the ellipsis next to any Box folder you have access to and click 'Settings'.

All Files > ☆ STATEU\_00187\_Hearing

Name ▾	Updated	Size	
STATEU_00187_SecureWeb_Upload Area	Oct 24, 2017 by Someone	1 File	
STATEU_00187_SecureWeb_Case Record	Oct 16, 2019 by Someone	17 Files	⋮ Share

- Share
- Download
- Add to Favorites
- Move or Copy
- Settings
- More Actions
- Integrations

- In 'Settings' scroll to the bottom of the page and modify email notification settings to your preference.

## Email and Notifications

### Notifications

Control the frequency and type of email updates generated from this folder.

☒ Use my default notification settings

☐ Override default settings for this folder and all subfolders

#### Notify me when someone

☐ Previews

☐ Downloads

☐ Uploads

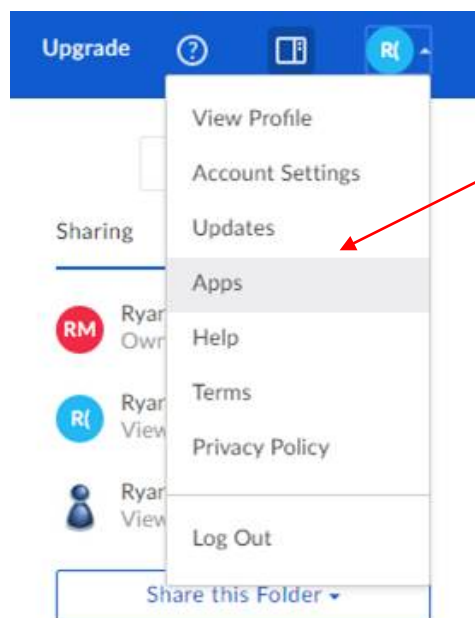
☐ Deletes

☐ Adds a comment

## Adding Box Excel Online Previewer

*Note: Users should add the Box Excel Online Previewer to increase Excel document functionality in the system. Box Excel Online Previewer is important for accessing Excel files, using the FI chart and hyperlinking documents.*

1. While logged into Box, click the drop-down arrow next to name/initials in top right-hand corner and select Apps.



2. Click the **My Applications** hyperlink found on the right-hand side of the page.


[My Applications](#)


### Official Box Apps

#### Platform


<a href="#">Android Phone</a>	<a href="#">Mobile</a>
<a href="#">Android Tablet</a>	<a href="#">Other mobile</a>
<a href="#">BlackBerry</a>	<a href="#">Printing</a>
<a href="#">Desktop</a>	<a href="#">Web</a>
<a href="#">iPad</a>	<a href="#">webOS</a>
<a href="#">iPhone</a>	<a href="#">Widgets</a>
<a href="#">Mac</a>	<a href="#">Windows</a>

3. Confirm that the Box Excel Online Previewer app is listed.


 My Applications




**Adobe Sign: formerly EchoSign (e-sign, e-signature)** ✕  
Get your documents signed electronically with Adobe Sign




**Autodesk A360 Viewer** ✕  
View 2D & 3D designs with A360 Viewer: View design files right in your browser. No download needed




**Box DICOM Viewer** ✕  
Box DICOM Viewer opens DICOM images such as X-rays, CAT scans, MRI's, and more.




**Box Edit** ✕  
Edit content directly on Box using native applications installed on your computer.




**Box Excel Online Previewer** ✕  
The Box Excel Online Previewer allows you to preview your excel spreadsheets directly within Box.




**Box for Chatter** ✕  
Post content from Box directly to your company's Chatter feed.




**Box for Office Online** ✕



**DocuSign** ✕  
A digital e-signature service that allows users to send documents to be electronically signed.



**Gmail** ✕  
Send any of your content as a Gmail attachment directly from your Box account.



**Google Docs** ✕  
Create Google Docs and Spreadsheets in your Box account and edit them in real time.

4. If the app is not listed, in the **Search Application** box at the top of the page type in "Box Excel Online Previewer."
5. Click the **Box Excel Online Previewer** box that appears.
6. Click the **Add** button.

## Downloading Documents from the Secure Filing System

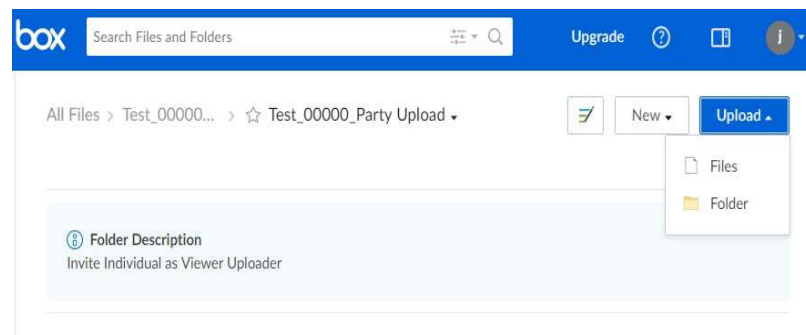
*Note: In the secure filing system, external users will only be able to download documents from the **Case Record\_Record Documents** and **Upload Area** folders. The two other folders located in the system are preview access only.*

- ✚ Double click the file in Box to open the document in the preview window.
- ✚ Click the **Download** button located in the upper right-hand corner.



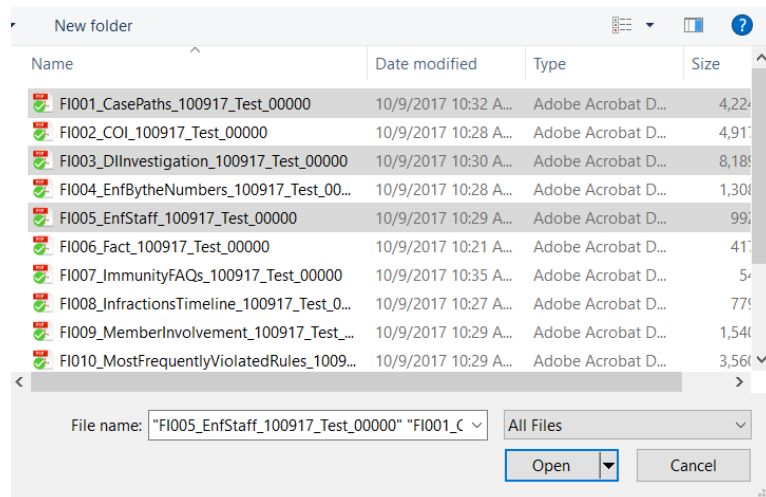
## Uploading Documents to the Upload Area

- ✚ Navigate to the **Upload Area** folder and click the folder to open.
- ✚ Click the **Upload** button in the upper right-hand corner.
- ✚ Select **Files** or **Folders** depending on how you want to upload your documents.



- You can select multiple files for upload when selecting files. However, you can only upload one folder at a time.

Click **Open** or **Upload**.



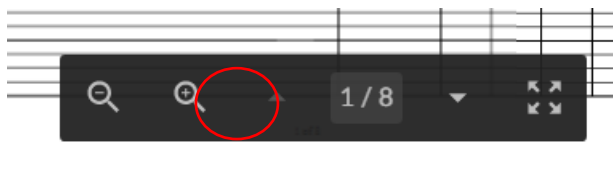
## Hyperlinking Documents

Per IRP IOP 3-4-3, all written responses to the NOA and any other written submission (e.g., supplemental brief) shall include a key record list comprised of a key factual information list and index of authorities with hyperlinks to the secure filing system and LSDBi. In addition, within the body of the response to the NOA and any other written submission, parties shall cite to the information identified in the key factual information list and index of authorities with hyperlinks to the system and LSDBi. As a reminder, reference or quotation of transcripts or other documents in the response to the NOA shall include the corresponding citation, FI number for reference and relevant page numbers. These citations should refer to those identified in the party's key factual information list. The following steps will help you hyperlink.

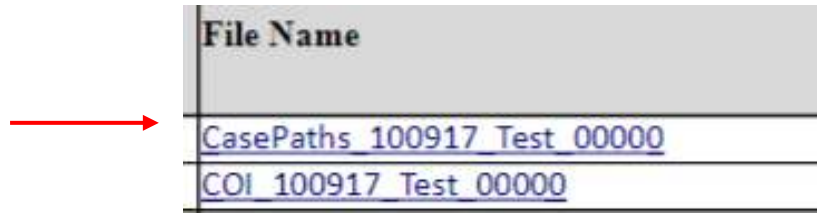
### Hyperlinking to Factual Information

1. Navigate to the FI Chart located in the **Factual Information** folder found within the **Case Record Information** folder. Click to open the chart. *Note: If an alert Box appears regarding using Excel Previewer, click yes.*

Note: To view the document, you will likely need to zoom in; to zoom, click the magnifying glass with the + at the bottom of the page.



2. Locate the document you want to hyperlink within the FI Chart and click on the File Name. This will open the document in another window.



3. Once the document is opened, copy the URL found in your web browser. ([Continue to the section "Creating a hyperlink within a document."](#))



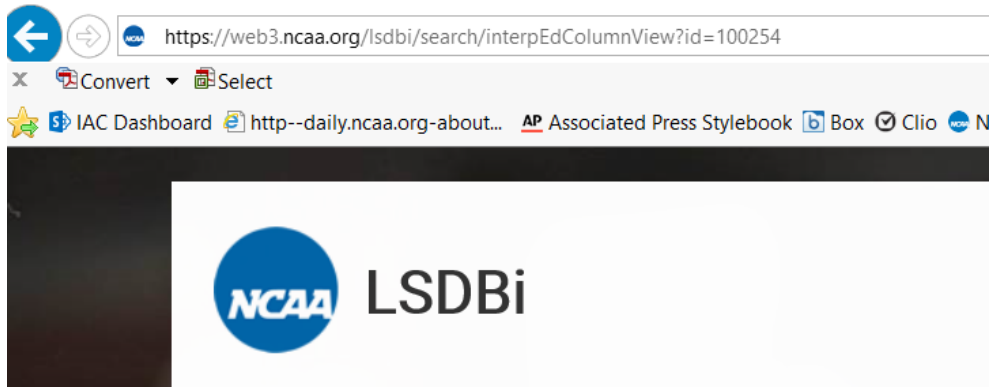
## [Hyperlinking to LSDBi](#)

1. Navigate to LSDBi.

Note: To gain access to LSDBi, an Access Request Form must be completed. This form can be obtained through the managing director of enforcement, investigation and processing. Once the form is completed, it is reviewed and approved through a regulatory affairs process.


2. Search for the document you would like to hyperlink (i.e., interpretation, infractions case, education column, etc.).


3. Once the document is opened, copy the URL found in your web browser.

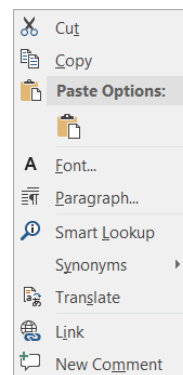


### Creating a Hyperlink within a Document

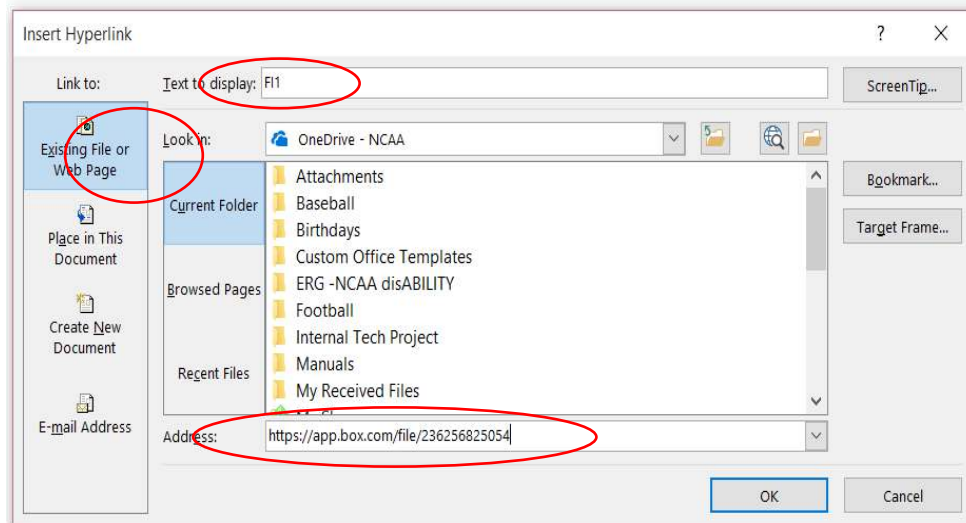
1. Follow the instructions of the document software you use to create a hyperlink within a document. The following instructions are for Microsoft Word.

 Select the text you wish to hyperlink (e.g. FI1).

 Right click and select Link.



2. The Insert Hyperlink pop-up box will appear.



3. The text selected to be hyperlinked should appear in **Text to display:** at the top of the box.
4. Make sure under **Link to:** Existing file or Web Page is selected.
5. Paste the copied URL in the **Address:** Box.
6. Click **OK** button.
7. The hyperlink is now inserted into your document.

## **Tips**

### **Opening Hyperlinks from FI chart or Processing Documents**

- ✚ When clicking on hyperlinks in a document using the **preview window** in Box.com, a new window/tab will be opened for each hyperlink/document. Therefore, you will not be able to use the back button on your browser to return to the hyperlinked document.
- ✚ When opening hyperlinks in a downloaded FI Chart or Processing Document, log into your Box.com account prior to opening the links and keep the window/tab that you logged in on open. If you do not login first, you will need to sign in for every hyperlink you open.



## Troubleshooting

This section identifies common issues that arise when using Box.com to access the secure filing system.

### Logging into Box Account

- ✚ Make sure to provide and use the correct email address. The CCU will use the email address provided to invite external users to the system.
- ✚ Make sure you use the correct password. The CCU cannot access your account or reset your password. If you cannot remember your Box.com password, please go to <https://app.Box.com/reset> to reset your password.
- ✚ Password resent links will expire three hours after they are sent.
- ✚ If you do not receive an email from Box.com for the requested password reset, first check your spam folder and then check to see if your account is associated with another email address.

### Uploading Documents

If you have problems uploading files, try the following:

- ✚ Ensure your web browser is the latest version and that the browser is supported by Box. See the hyperlink about [supported browsers](#).
- ✚ Clear your browser's cache.
- ✚ If using the **Upload Folders** option, you must have Java installed on your computer unless your browser is Chrome.
- ✚ Verify the file name is valid. File names can only be 255 characters or less and cannot contain non-printable ascii, "/" or "\", names with leading or trailing spaces, and the special character names "." and "..".
- ✚ Make sure you upload files smaller than the maximum for your account type. To determine your maximum, click the arrow next to your name in the upper right-hand corner of your screen and select **Account Settings**. Then, click on **Account** and your **Max file size** will be listed under **Account Information**.
- ✚ Try uploading using the **Upload Files** method instead of **Upload Folders**, or vice versa.

## Using the Find Feature within the Browser

- ✚ There are several factors that can impact the Find feature within your browser, including the selected browser and collaborator access level to the folder in Box.

### ✚ *Browser*

As with any webpage on the Internet, browsers function differently. Some browsers can interpret text on a webpage better than others. What may work in Chrome may not necessarily work in Internet Explorer. Additionally, results can vary across users because of personalized browser settings, the version of the browser, internet speed, readability of text within the document or webpage, third party app support, etc. Users of Box are free to use any browser they want; but ensure that the browser is an updated version and [compatible with Box](#) to appropriately access and read the electronic case material through the selected browser.

### ✚ *Collaborator Access Level*

With the new user interface update, Box improved the security so users with **Previewer** access are not only prevented from printing and downloading documents, but also prevented from copying and pasting text into an external document outside of Box. This improved security plays a role in your ability to use the Find feature. Additionally, for folders in which users have **Viewer** access (e.g., Processing Documents folder) the browser Find feature likely will work.

- ✚ In light of all this information, here are a couple suggestions:
  - ✚ Try Safari. Through testing, it was determined that this browser works well for using the Find feature with Previewer access.
  - ✚ Keyword search in Box. Box offers a keyword search that searches within document text, which allows you to identify documents that contain keywords searched, similar to using the Find feature.
  - ✚ Download the Box app on any smart phone or tablet. It was determined that the Find feature works well within the Box app.

## Additional Resources

- ✚ [Box COMMUNITY page](#)
- ✚ [IRP IOPs](#)
- ✚ [CCU IOPs](#)
- ✚ [NCAA Bylaw 19](#)
- ✚ [SFS Confidentiality Agreement](#)