

Evaluation and plan for Improvement

Given the responses to the self-study items on the previous pages, complete the responses below to: (1) indicate (with a yes or no) whether each part of the operating principle exists in the athletics program, and (2) evaluate whether the activities of the athletics program are in substantial conformity with the operating principle as a whole. [Note: In completing this assessment, make sure that all relevant information from the other three certification areas is considered, given that some overlap does exist.]

Where the institution concludes in its evaluation that it does not conform to the operating principle as a whole or to any particular element(s) of the operating principle [as indicated by a "Currently No" response to the element(s)] or that problems or deficiencies exist in this area, outline the institution's specific plans for improvement, which include/meet the following required elements: (a) in writing, (b) developed through broad-based campus participation, (c) issues/problems identified in the self-study, (d) measurable goals the institution intends to attain to address the issues/problems, (e) step(s) to achieve the goals, (f) the specific timetable for completing the work, (g) individuals/offices responsible for carrying out the actions, (h) institutional approval, and (i) means for funding. [Note: Please see Appendix A, Page 51 for an example format outlining all required elements of a plan.]

(please see following page)

3.1 Financial Practices.

	Currently Yes	Found on Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicate Improvement Number
Does the institution demonstrate that: a. All funds raised for and expended on athletics are subject to institutionally defined practices of documentation, review and oversight?	X	7 – 10		A plan for improvement has been developed for this self-study item. Those specific items are 1.1, 1.2, and 1.3 on the Fiscal Integrity Plan for Improvement.
b. All expenditures from any source for athletics are approved by the institution?	X	7 – 10		A plan for improvement has been developed for this self-study item. Those specific items are 1.1, 1.2, and 1.3 on the Fiscal Integrity Plan for Improvement.
c. Budget and audit procedures for athletics are consistent with those followed by the institution generally and with the provisions of NCAA Constitution 6.2?	X	9 – 11		
(1) The institution's annual budget for athletics is approved by the institution's chief executive officer or designee from outside the athletics department?	X	7 – 9		
(2) An annual financial audit is performed by a qualified auditor who is not a staff member of the institution and who is selected by the chief executive officer or designee from outside the athletics department?	X	10 – 11		A plan for improvement has been developed for this self-study item. Those specific items are 1.1, and 1.3 on the Fiscal Integrity Plan for Improvement.

(please see following page)

3.1 Financial Practices (continued).

On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 3.1 (Financial Practices)?

Yes	No
X	

[Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has below a plan to address any “Currently No” response to any element(s) of the operating principle.]

3.2 Fiscal Management and Stability.

Does the institution provide evidence that the management and fiscal practices of the institution assure the financial stability necessary for providing all student-athletes with relatively full and stable opportunities for athletics participation?

Currently Yes	Found on Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicate Improvement Number
X	11 – 19		A plan for improvement has been developed for this self-study item. Those specific items are 1.1, 1.2, and 1.3 on the Fiscal Integrity Plan for Improvement.

On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 3.2 (Fiscal Management and Stability)?

Yes	No
X	

[Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has below a plan to address any “Currently No” response to any element(s) of the operating principle.]

(please see following page)

3.3 Established Fiscal Policies and Procedures.

	Currently Yes	Found on Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicate Improvement Number
Does the institution demonstrate that it has in place fiscal policies and standard operating procedures to ensure that:				A plan for improvement has been developed for this self-study item.
a. Prospective student-athletes are not provided with impermissible recruiting inducements?	X	19 – 22		Those specific items are 1.1, 1.2, and 1.3 on the Fiscal Integrity Plan for Improvement.
b. Enrolled student-athletes are not provided with benefits that are expressly prohibited by NCAA legislation?	X	20 – 22		A plan for improvement has been developed for this self-study item. Those specific items are 1.1, 1.2, and 1.3 on the Fiscal Integrity Plan for Improvement.
c. All expenditures for athletics are handled consistently in accordance with NCAA, conference and institutional rules?	X	19 – 22		

	Yes	No
On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 3.3 (Established Fiscal Policies and Procedures)?	X	

[Note: The institution should not indicate “yes” regarding conformity with the operating principle as a whole unless it has indicated “Currently Yes” for each element of the operating principle or has below a plan to address any “Currently No” response to any element(s) of the operating principle.]

(please see following page)

Fiscal Integrity Institutional Plan for Improvement

Plan #	Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/ Officer Responsible for Implementation	Specific Timetable for Completing Work	Approval of goal from Institutional Authority
3.1	Formalize the involvement of Internal Audit in the Division of Athletics annual review of the rules compliance program per NCAA bylaw 22.2.1.3(a). Note: A similar plan for improvement is noted in Governance and Commitment to Rules Compliance	Documentation of compliance with & recommendations for improvement to policies and procedures related to NCAA compliance.	The Division of Athletics Chief Financial Officer and Director of Internal Operations and the Associate Athletic Director for Compliance and Student Services will meet with the Director of Internal Audit to identify compliance areas to be tested. The Director of Internal Audit will propose a plan detailing a broad range of areas to be tested and timetable for completion. Internal Audit staff will continue to receive training to ensure an understanding and proper application of NCAA legislation. Internal Audit will issue a report at the completion of each review detailing their observations and recommendations. Internal Audit will perform follow-up reviews on the implementation of the recommendations.	<ol style="list-style-type: none"> 1. Division of Athletics Chief Financial Officer and Director of Internal Operations 2. Associate Athletic Director for Compliance and Student Services 3. Director of Internal Audit 	<p>Three year plan during fiscal years 2001/02, 2002/03, and 2003/04.</p> <p>See Attachment 23 for the areas to be tested in each fiscal year.</p>	Director of Athletics, President's designee
3.2	Formalize a schedule of review to ensure that all internal Division of Athletics policies and procedures are current and up-to-date. This formalized schedule of review should also include a determination as to whether new policies are necessary to address emerging needs or areas not currently documented. As each policy is reviewed, the "reviewed on (current date)" should be noted, so that readers are informed that the policies are current.	Current and well-documented internal Division of Athletics policies and procedures that address all appropriate and necessary aspects of the Division of Athletics operations. Policies and procedures that are posted to the Division of Athletics internal web site with accurate links in working order. All appropriate individuals within the Division of Athletics (and others as deemed necessary) informed about the availability of the policies and procedures and given access to the Athletics internal website.	The Director of Business Operations will develop a schedule to review all internal Division of Athletics policies and procedures to ensure that they are current and up-to-date. This review will result in revised policies to address changing circumstances or new policies, if necessary. The Director of Business Operations will work with the Director of Technology to ensure that all policies and procedures are accurately posted to the Division of Athletics internal web site. Appropriate individuals will be informed of the location of the policies and procedures and given access to the web site.	Division of Athletics Chief Financial Officer/Director of Internal Operations, the Director of Business Operations, and the Director of Technology	June 2003	Director of Athletics

(please see following page)

Fiscal Integrity Institutional Plan for Improvement continued

Plan #	Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/ Officer Responsible for Implementation	Specific Timetable for Completing Work	Approval of goal from Institutional Authority
3.3	Title IX has identified eleven gender equity program areas to be reviewed for compliance.	<p>To ensure compliance with Title IX requirements in the following eleven program areas (“Laundry List”):</p> <ul style="list-style-type: none"> ● Equipment and supplies; ● Scheduling of games and practice time; ● Travel and per diem allowance; ● Tutors; ● Coaches; ● Locker rooms, practice, and competitive facilities; ● Medical and training facilities and services; ● Housing and dining facilities and services; ● Publicity; ● Support services; ● Recruitment of student-athletes. 	<p>The Division of Athletics Chief Financial Officer / Director of Internal Operations and the Senior Woman Administrator will develop measurable criteria to determine compliance with the eleven Title IX gender equity program areas. The measurable criteria will be reviewed annually during preparation of the EADA report. A report detailing compliance with the gender equity program requirements will be presented to the Intercollegiate Athletics Board. Note: The measurable criteria for athletics scholarships and accommodation of interests and abilities have been clearly articulated.</p>	<p>Division of Athletics Chief Financial Officer/Director of Internal Operations and the Senior Woman Administrator</p>	<p>September 2002</p>	<p>Director of Athletics</p>