

Evaluation and plan for Improvement

Given the responses to the self-study items on the previous page, complete the responses below to: (1) indicate (with a yes or no) whether each part of the operating principle exist 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 confirm 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 should include/meet the following required elements: (a) in writing, (b) developed through broad based 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, (d) the specific timetable for completing the work, and (f) 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 requirement elements of plans.]

(please see following page)

1.1 Mission of the Athletics Program and the Institution.

	Currently Yes	Found On Page(s)	If Currently No	No or If Deficiencies Exist, Indicate Plan For Improvement Number
a. Does the institution demonstrate that the mission and goals of the athletics program:				
(1) Relate clearly to the mission and goals of the institution?	X	4, 5		
(2) Support the educational objectives, academic progress and general welfare of student-athletes?	X	4, 5; 6		
(3) Support equitable opportunity for all students and staff, including women?	X	6		
(4) Support equitable opportunity for all students and staff who are minorities?	X	6		
(5) Embrace the Association's principles of sportsmanship and ethical conduct?	X	6		
(6) Are widely circulated among the institution's internal and external constituencies?	X	5		A plan for improvement has been developed for this self-study item. That specific item is 1.1 on the Governance and Compliance Plan for Improvement.
b. Does the institution demonstrate that the actual practices of the institution's athletics program are consistent with the athletics program mission and goals?	X	5, 6		

(please see following page)

On the basis of the yes/no
answers above and the plans for
correcting deficiencies below, is the
institution in substantial conformity
with Operating Principle 1.1
(Mission of time Athletics Program
and the Institution)?

Yes	No
Yes	

[Note: The institution should not indicate "yes" regarding conformity with the operating principle as a whole unless it has indicated "Currently Yes" (or 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)

1.2 Institutional Control, Presidential Authority and Shared Responsibilities.

	Currently Yes	Found On Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicate Plan For Improvement Number
Does the institution demonstrate that: a. The institution's governing board provides oversight and broad policy formulation for intercollegiate athletics in a manner consistent with other units of the institution?	X	7		
b. The chief executive officer is assigned ultimate responsibility and authority for the operation and personnel of the athletics program?	X	7, 8		
c. Appropriate campus constituencies have the opportunity, under the purview of the chief executive officer, to provide input into the formulation of policies relating to the conduct of the athletics program and to review periodically the implementation of such policies?	X	8-11		A plan for improvement has been developed for this self-study item. That specific item is 1.2 on the Governance and Compliance Plan for Improvement.
	Yes	No		

On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 1.2 (Institutional Control, Presidential Authority and Shared Responsibilities)?

Yes	
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[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)

1.3 Rules Compliance.

	Currently Yes	Found on Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicate Plan for Improvement Number
Does the institution demonstrate that: a. It has in place a set of written policies and procedures that assign specific responsibilities in the areas of rules compliance, including assignment of direct accountability for rules compliance to the individual the chief executive officer assigns overall responsibility for the athletics program?	X	14 – 18		
b. In critical and sensitive areas, institutional compliance procedures provide for the regular participation of persons outside of the athletics department?	X	21 – 22		
c. Rules compliance is the subject of an ongoing educational effort?	X	18 – 20		A plan for improvement has been developed for this self-study item. That specific item is 1.3 on the Governance and Compliance Plan for Improvement
d. A clear and unambiguous commitment to rules compliance is a central element in all personnel matters for individuals involved in the intercollegiate athletics program?	X	20 – 21		

(please see following page)

Currently Yes	Found On Page(s)	Currently No	If Currently No or If Deficiencies Exist, Indicate Plan For Improvement Number
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e. At least once every three years, its rules-compliance program is the subject of evaluation by an authority outside of the athletics department?

X	22		A plan for improvement has been developed for this self-study item. That specific item is 1.4 on the Governance and Compliance Plan for Improvement
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Yes

No

On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 1.3 (Rules Compliance)?

Yes	
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[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)

Governance and Commitment to Rules Compliance Institutional Plan for Improvement

Imp. Plan #	Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/Officer Responsible for Implementation	Specific Timetable for Completing the Work	Approval of goal from Institutional Authority
1.1	To raise the awareness of the Mission of the Division of Athletics amongst our Student-Athletes.	This can be measured through the evaluative feedback that the student-athletes provide through our evaluation process	<ol style="list-style-type: none"> 1. Identify methods to more effectively communicate the Division's mission to the SA population. 2. Implement communication plan to the SA population and directly to the SAAC committee. 3. Amend the SA evaluation form to include the question requesting feedback on the understanding of the Division's mission. 	Student-Athlete Services Coordinator, Athletics Directors' Staff and the Coaching staff	Measurable results in the understanding of the mission will be evident in the responses from the 03-04 student-athlete evaluations.	The plan will need to receive approval from the Athletics Director.
1.2	To establish a standing subcommittee of the IAB to serve as an oversight body for institutional rules compliance policies and standards.	The creation of a compliance subcommittee is included in the bylaws revision in the Spring of 2002 and is subject to Presidential approval.	<ol style="list-style-type: none"> 1. Director of Athletics proposes the subcommittee to the IAB Chair. 2. IAB Chair reviews motion with board and refers the issue to the University President. 3. Standing subcommittee receives Presidential approval. 	Director of Athletics and Chief Compliance Officer	Completion by summer 2002	Subcommittee has received approval from the IAB and is awaiting Presidential approval.

(please see following page)

Governance and Commitment to Rules Compliance Institutional Plan for Improvement – cont.

Imp. Plan #	Issues in the Self-Study	Measurable Goals	Steps to Achieve Goals	Individuals/Officer Responsible for Implementation	Specific Timetable for Completing the Work	Approval of goal from Institutional Authority
1.3	To improve the communication and level of NCAA rules familiarity with the Blue & White Club and its Board of Directors	To engage the Blue & White Club in continuous learning opportunities of NCAA Legislation applicable to Representatives of Athletics Interest on at least four occasions annually in a seminar setting and on an ongoing basis via electronic mail. The Blue & White Club will have the rules education topic as a standing agenda item at all regularly scheduled meetings of the Board of Directors as well as any general sessions.	1. Include the Blue & White Club as a standing group in the annual rules education syllabus preparation. 2. Continue to contact club members via e-mail with examples of issues involving Representatives of Athletics Interests and NCAA Legislation at other institutions.	Associate Director of Athletics for Compliance, Compliance Coordinators, Director of the Blue & White Club	Approval of Rules Education Syllabus by August 2002. Rules Education sessions for this group have already been scheduled for the balance of the 2001-2002 academic year.	Approval of plan must receive endorsement of the Athletics Director and the President of the Blue & White club.
1.4	To formalize the involvement of the Office of Internal Audit in the University's annual review of the rules compliance program per NCAA bylaw 22.2.1.3 (a). This plan for improvement mirrors the same issue raised in the Fiscal Integrity plan for improvement.	Establishment of a written program of an annual rotation that ensures each area of NCAA rules compliance is reviewed once in every three-year period. As noted in the correspondence from the Office of Internal Audit included in Attachment 1-21 , The Office of Internal Audit will conduct an exit meeting and present the Division with a written report of their findings.	Receive approval of the program from the Director of Internal Audit and the Athletics Director. Coordinate continuous education of the audit staff to ensure an understanding and proper application of NCAA legislation. Ensure annual completion of the approved schedule of review. Implement continuous feedback received through the audit process.	Internal Audit Staff, University Compliance Staff.	Approval of plan and review of first audit cycle in the fall of 2002 NOTE – The schedule and initial correspondence for this program is included in Attachment 1-21 .	Approval of plan must receive endorsement of the Athletics Director and Vice Presidential office overseeing the Office of Internal Audit.