

**INTERCOLLEGIATE ATHLETICS HIGH-RISK COMPLIANCE GROUP
DEPARTMENTAL MANAGEMENT MONITORING PLAN**

Category / High-risk Area: Departmental Management / *Athletic Department Certification, Annual Financial Audit, and Conference Certification Review*

Responsible Party: Athletic Director

Sources: NCAA Bylaws 23, 6.2.3, and Big 12 Conference Bylaw 1.3.3.3, respectively

Risk: Non-compliance results in unfavorable publicity, damage to the athletics departments' reputation, loss of certification status, restricted NCAA membership, and possible loss of membership.

Specific Risk	Operating Control	Evidence of Control	Supervisory Control	Evidence of Control	Oversight Control	Evidence of Control
<i>Athletic Department Certification</i> Athletic Department loses NCAA certification.	Complete Self Study once every 10 years (minimum).	Report generated.	Report Reviewed by Compliance Coordinator, Athletic Director(s), and President.	Report Signed and dated. Create an action plan to address recommendations of the report	Quarterly status report of implementation status	Report approved by appropriate individuals and sent to the ICC.
	External Peer Review.	Report generated	Report Reviewed by Compliance Coordinator, Athletic Director(s), and President.	Report Signed and dated. Create an action plan to address recommendations of the report.	Quarterly status report of implementation status	Report approved by appropriate individuals and sent to the ICC.
	Interim Status Report once every 5 years (between Self Studies).	Report generated.	Report Reviewed by Compliance Coordinator, Athletic Director(s), and President.	Report Signed and dated. Create an action plan to address recommendations of the report	Quarterly status report of implementation status	Report approved by appropriate individuals and sent to the ICC.
<i>Annual Financial Audit</i> Annual financial audit report jeopardizes NCAA certification.	Independent Auditor is retained for the purpose of reviewing the financial statements of the athletics departments.	The independent auditor creates a report detailing his or her findings.	Report Reviewed by Athletics' Business Manager, Athletic Director(s), and Vice President of Business Affairs.	Report signed and dated by Athletics' Business Mgr and Athletic Director and Vice President of Business Affairs. Create an action plan to address recommendations of the report.	Quarterly status report of implementations status.	Quarterly status report sent to the ICC.

**INTERCOLLEGIATE ATHLETICS HIGH-RISK COMPLIANCE GROUP
DEPARTMENTAL MANAGEMENT MONITORING PLAN**

Specific Risk	Operating Control	Evidence of Control	Supervisory Control	Evidence of Control	Oversight Control	Evidence of Control
<p><i>Conference Certification Review</i></p> <p>Conference certification review results in bad report.</p>	<p>Conference Certification Review every 3 years.</p>	<p>Report Generated.</p>	<p>Report Reviewed by Athletic Director(s) and the President.</p>	<p>Report signed and dated Athletic Director(s) President. Create an action plan to address recommendations of the report.</p>	<p>Quarterly status report of implementation status.</p>	<p>Quarterly report sent to the ICC.</p>