

**INTERCOLLEGIATE ATHLETICS HIGH-RISK COMPLIANCE GROUP
CONFERENCE’S OPERATING CODE MONITORING PLAN**

Category / High-risk Area: Departmental Management / Conference Operating Code

Responsible Party: Athletic Director

Source: NCAA Bylaw 3.3

Risk: Non-compliance can result in sanctions and penalties.

| Operating Control | Specific Risk | Evidence of Control | Monitoring Control | Evidence of Control | Oversight Control | Evidence of Control |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Checklist for pre-event procedures is completed by Game Manager and approved by Assistant AD for Operations. | Sanctions by the Conference can occur if conference regulations for events are not complied with resulting in negative publicity. | Checklist with signature denoting approval of event. | Every nth event is selected to ensure checklist is completed and approved. | Sign off on event checklist. | Every nth event is selected to ensure checklist is completed and approved. | Sign off on event checklist and report to Compliance Committee. |
| Conference regulations (note constitution, by-laws and operating code number per specific conference manual – by-law) on unsportsmanlike conduct are documented in an updated conference manual annually and discussed in staff meetings. | Conference regulations for administration of sports programs are not followed. | - Staff meeting minutes. - Signature of each athletics staff member for receipt of conference manual and meeting attendance. | -Review of every nth meeting minutes. -Review of every nth employee noting receipt of current conference manual. | Sign off on minutes and other conference manual checklist. | -Conference Commissioner or conference office staff attend events and might issue a summary report. -Supervisor of Officials or officials might issue a summary report. | Summary reports from Conference Commissioner or officials regarding violations, suspensions, reprimands and possible sanctions with report being made to Compliance Committee. |