

**INTERCOLLEGIATE ATHELETICS HIGH-RISK COMPLIANCE GROUP
INFRACTIONS MONITORING PLAN**

Category / High-risk Area: Institutional Control / Infractions

Responsible Party: Director of Athletics

Source:

Risk: The lack of procedures to handle infractions and failure to implement corrective actions could result in the Athletic Department being placed on probation.

Specific Risk	Operating Control	Evidence of Control	Supervisory Control	Evidence of Control	Oversight Controls	Evidence of Control
Lack of procedures to handle infractions.	<p>Written procedures for investigating and reporting infractions included in the departmental policies and procedures manual and/or compliance manual.</p> <p>Distribution of written policy regarding reporting infractions to all athletic staff members during educational meetings or on a one-on-one basis.</p> <p>(See Rules Education Monitoring Plan for additional distribution).</p>	<p>Departmental policies and procedures and/or compliance manual(s).</p> <p>Receipt acknowledgment of the manual(s).</p>	Athletic Compliance Director evaluates the departmental policy and procedures manual for inclusion of investigating and reporting infractions. Reviews for appropriateness and ensures distribution.	<p>Agenda for the distribution meeting.</p> <p>List of attendees.</p>	Someone selects a sample of Athletic Staff and verifies receipt of policies and procedures and/or compliance manual(s).	Memorandum sent to Athletic Director, Athletic Compliance Office, and the Institutional Compliance Office detailing results of the oversight controls on a quarterly basis.
Failure to implement corrective actions for major violations.	Compliance Coordinator develops plan of corrective action approved by senior management and conference office.	Written plan of corrective action.	Athletic Director oversees implementation of corrective action plan.	Athletic Director signs off on corrective action plan.	Reviews by Institutional Compliance Office, NCAA and Conference Office.	Memorandum sent to Athletic Director, Athletic Compliance Office, and the Institutional Compliance Office detailing results of the oversight controls on a quarterly basis.

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Failure to implement corrective actions for secondary violations.	Maintain a tracking system of all violations. Compliance Coordinator determines the penalty per NCAA secondary penalty schedule.	The tracking System. Memo from Compliance Coordinator to Conference office indicating use of NCAA penalty schedule.	The Athletic Director writes letter of admonishment and copies in the Athletic Compliance Coordinator.	Letter of admonishment in the employees file.	Someone selects a sample or all violations to determine if the appropriate actions were taken.	Memorandum sent to Athletic Director, Athletic Compliance Office, and the Institutional Compliance Office detailing results of the oversight controls on a quarterly basis.