

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 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 entire 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) or that problems or deficiencies exist in this area, outline the institution's specific plan 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) steps to achieve the goals, (f) the specific timetable for completing the work, (g) individuals/offices responsible for carrying out the actions, and (h) institutional approval.

3.1 Financial Practices

	Currently Yes	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	#1
b. All expenditures from any source for athletics are approved by the institution?		X	#2
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		

d. The institution's annual budget for athletics is approved by the institution's chief executive designee from outside the athletics department?	X		
e. 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 the athletics department?	X		
	YES	NO	
On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 3.1 (Financial Practices)?	X		

3.2 Fiscal Management and Stability

	Currently Yes	Currently No	If Currently No or If Deficiencies Exist, Indicate Improvement Number
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?	X		
	YES	NO	
On the basis of the yes/no answers above, is the institution in substantial conformity with Operating Principle 3.2 (Fiscal Management and Stability)?	X		

3.3 Established Fiscal Policies and Procedures

	Currently Yes	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. Prospective student-athletes are not provided with impermissible recruiting inducements?	X		
b. Enrolled student-athletes are not provided with benefits that are expressly prohibited by NCAA legislation?	X		
c. All expenditures for athletics are handled consistently in accordance with NCAA, conference, and institutional rules?	X		
	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		