

NCAA Compliance Report

Project # 2013-20

April 12, 2013

Reviewed by:



Ricardo Romo
President

EXECUTIVE SUMMARY

OBJECTIVES

Determine if the Athletics Department is able to ensure The University of Texas at San Antonio (UTSA) is in compliance with The National Collegiate Athletic Association (NCAA) requirements regarding:

- Financial Aid
- Academic Performance Program
- Playing and Practice Seasons
- Complimentary Admissions
- Investigations and Self-Reporting of Rules Violations

CONCLUSION

In our opinion, UTSA Athletics complies with NCAA requirements for Financial Aid, Academic Performance Program, Playing and Practice Seasons, Complimentary Admissions, and Investigations and Self-Reporting of Rules Violations.

We did identify opportunities to further strengthen University processes to ensure compliance with NCAA requirements regarding Football voluntary offseason workouts.

RECOMMENDATIONS

- Monitor the Football summer voluntary weight training and conditioning activities to ensure the student-athletes are not exceeding the eight hours per week limit.

SCOPE

The NCAA requires an evaluation (Bylaw 22.2.1.3(e)) of the entire Athletics Compliance program every four years. This year, we audited the areas of Financial Aid, Academic Performance Program, Playing and Practice Seasons, Complimentary Admissions, and Investigations and Self-Reporting of Rules Violations. We conducted interviews with the Athletics Compliance Office, Financial Aid Specialist, and the Associate Athletic Director - Academic Services. We reviewed organization charts, job descriptions, rules education manuals, and financial aid documentation, student-athlete records, practice logs, and complimentary ticket logs documentation.

AUDITING & CONSULTING SERVICES
NCAA COMPLIANCE
AUDIT REPORT # 2013-20

Background

The NCAA requires every Division I institution to have its athletic rules-compliance program evaluated at least every four years by an authority outside of the athletics department. A university's compliance area can be divided into several sections. Over a four-year period, all sections of the compliance area should be reviewed. (See appendix A for the entire four-year period audit schedule.) These audits will fulfill the requirement of the NCAA Bylaw 22.2.1.2(e).

Besides meeting the NCAA audit requirement, the purposes of a compliance audit are to:

- Advise institutional decision-makers whether the compliance program is functioning properly;
- Identify policies and procedures that may leave an institution vulnerable to possible inadvertent violations;
- Assist institutional decision-makers in recommending corrective measures to enhance compliance efforts;
- Reiterate the institution's commitment to institutional control through proactive measures; and
- Enhance administrative accountability by providing external oversight.

Three sections are considered to have the highest risk based on NCAA guidelines:

- Financial Aid,
- Student-Athlete Eligibility, and
- Recruiting.

This year, we reviewed *Financial Aid* along with the compliance areas of *Academic Performance Program, Extra Benefits – Complimentary Admissions, Playing and Practice Seasons and Investigations & Self Reporting Rules Violations*. Over a four-year period, internal audit will review all compliance areas in order to fulfill the requirement of NCAA Bylaw 22.2.1.2(e).

AUDIT RESULTS

Audit Objective: Determine if UTSA Athletics complies with NCAA requirements regarding Financial Aid.

Financial Aid

UTSA Athletics complies with the NCAA requirements regarding Financial Aid. The Athletics Compliance Office works closely with the Office of Student Financial Aid to assure adherence to applicable NCAA requirements. Both offices utilize the NCAA Compliance Assistant Software to prepare the NCAA Squad Lists and ensure that all funds that are awarded are in compliance with NCAA regulations.

The Financial Aid Compliance Specialist from the Office of Student Financial Aid assists in coordinating all financial assistance for student-athletes with the Assistant Athletic Director of Compliance to maintain compliance. The Financial Aid Compliance Specialist is responsible for assuring student-athletes receive financial aid for which they are eligible, and monitoring the maximization of financial aid available to UTSA student-athletes. All financial aid from any source outside of the University must be reported to the Athletics Compliance Office or the Office of Student Financial Aid. Any changes regarding a student-athletes award are submitted in writing from the Assistant Athletic Director of Compliance to the Financial Aid Compliance Specialist.

Audit Objective: Determine if UTSA Athletics complies with NCAA requirements regarding Academic Performance Program.

Academic Performance Program

UTSA Athletics complies with NCAA requirements regarding Academic Performance Program. Athletics Academic Services is directly responsible for overseeing the academic progress of each student-athlete.

The Athletics Compliance Office continually works with campus academic departments via the Registrar's Office to keep the advisors current on NCAA regulations and requirements.

Academic Progress Rate (APR)

A key component of the Academic Performance Program is the Academic Progress Rate (APR) that the NCAA established to measure the academic success of student-athletes. The student-athletes earn points for maintaining their academic eligibility and staying in school. If the APR for the team drops below the NCAA designated benchmark, the team may be subject to penalties such as loss of scholarships. For the academic year 2012-13, UTSA did not lose scholarships in any sport.

Additionally, all student-athletes are required to meet with their Athletics Academic Advisor. Student-athletes with high GPAs meet once a semester with the advisors while students with lower GPAs are required to meet with the advisors as often as daily. At the completion of 45 and 90 credit hours, the student-athlete must also meet with a campus academic advisor within their major. Student-athletes that fail to meet this requirement prior to their opportunity to register (priority registration) are unable to register for classes and forfeit their priority status. Fulltime academic advisors are available to assist students with their educational plans, course selections, degree requirements and other academic transactions.

The Athletics Department requests mid-semester grades and periodically requests progress reports throughout the semester on all student-athletes. This information is shared with the head coaches and the student-athletes.

The Assistant AD Academic Services meets with the Registrar's Office to ensure student grades are accurate. Prior to submission to the NCAA, the Assistant Registrar reviews the Academic Progress Rate to ensure its accuracy. After this review, the Assistant AD Academic Services submits the data for the Academic Progress Rate to the NCAA.

Audit Objective: Determine if UTSA Athletics complies with NCAA requirements regarding Playing and Practice Seasons.

Playing Season

In July and August of every year, coaches complete the declaration of the playing season where they plan the teams' activities for the year, including the days the team will practice. NCAA legislation details daily and weekly practice hour limitations for all sports during the playing season and outside the playing season. During the playing season, an athlete can practice no more than four hours per day and 20 hours per week. The Athletics Department uses the ACS software to track countable athletically related activity (CARA). Head coaches have the responsibility of monitoring the amount of CARA of the team and of each of their student-athletes during the academic year. This system consists of the following steps:

- The head coach reviews the summary of countable and non-countable activities and the rules specific to seasonal limitations.
- Time spent in countable activities is recorded on weekly

calendars on a daily and weekly basis. These activities must be recorded in ACS.

- Each week, the head coach, and one Student-Athlete must confirm the CARA report and submit it in ACS.

There were two occasions when the Men's Baseball team exceeded the CARA limitations during the playing season and notified the Athletics Compliance Office. Both occasions were reportable events and were properly reported to the NCAA.

Outside the Playing Season

Outside the playing season, there is a limit of eight hours per week for practice activities with no more than two hours per week spent on skill-related instruction. Outside the Playing Season CARA is monitored the same as the playing season.

Football Summer Voluntary Conditioning and Weight Training

Additionally, NCAA Bylaw 17.9.6.2 allows Football an eight week period of summer conditioning in which student-athletes may be involved in voluntary weight training and conditioning activities pursuant to Bylaw 17.1.6.2.1 and prospective student-athletes may be involved in voluntary weight training and conditioning activities pursuant to Bylaw 13.11.3.7. These voluntary weight training and conditioning activities are also limited to eight hours a week. The Athletics Compliance Office was not monitoring these football summer voluntary activities to ensure they were not exceeding the eight hour limit.

Recommendation:	Monitor the Football summer voluntary weight training and conditioning activities to ensure the student-athletes are not exceeding the eight hours per week limit.
<i>Management's Response:</i>	The Athletics Compliance Office will look into ways of monitoring this voluntary activity during the summer. This may prove to be contrary to other NCAA legislation. The Compliance Office will work with Auditing and Consulting Services to develop an appropriate solution to this recommendation.
<i>Responsible Person:</i>	Assistant Athletics Director- Compliance
<i>Implementation Date:</i>	November 30, 2013

Audit Objective: Determine if UTSA Athletics complies with NCAA requirements regarding Complimentary Admissions.

Complimentary Admissions

UTSA Athletics complies with NCAA requirements regarding Complimentary Admissions. Tickets are sold for Football, Volleyball, Men's and Women's Basketball, Baseball, and Softball. An average of 100 complimentary tickets are given out to each home game (not including student tickets that are also free). The majority of complimentary tickets are given to UTSA student-athlete's guests who are allowed four tickets for each game. Other complimentary tickets are given to prospective student-athletes and high school coaches.

Complimentary ticket distribution is monitored by the Athletic Ticket Manager. Coaches enter prospective student-athletes and the tickets they need as official or unofficial visits in the ACS software. Student-Athletes enter the names of their guests in ACS; a pass list is created in ACS. These pass lists are then printed by the Ticket Manager prior to the event.

For football, high school coaches must request tickets ahead of time through the UTSA website. These requests are compiled by the Football Office and provided to the Ticket Manager on Thursday before a home game. For other sports, the high school coaches just show their THSCA ID at the game and are added to the pass list.

All pass list guests and high school coaches must show identification to obtain their complimentary admission. The tickets are torn prior to giving the tickets to the guests so that they cannot sell the tickets. Copies of these official visit forms and pass lists remain on file in the ticket office.

Audit Objective: Determine if UTSA Athletics complies with NCAA requirements regarding Investigations and Self-Reporting of Rules Violations.

Investigations and Self-Reporting of Rules Violations

The Athletics Compliance Office self-reported 14 NCAA rules violations in the last twelve months and appears to be in compliance with NCAA requirements regarding investigations and self-reporting of rules violations.

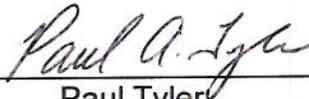
Conclusion

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J. Richard Dawson
Executive Director, Audit,
Compliance and Risk Services



Paul Tyler
Director



Jacob Sanchez
Senior Auditor



Jaime Fernandez
Auditor II

This engagement was conducted in accordance with The Institute of Internal Auditors' International Standards for the Professional Practice of Internal Auditing.

Appendix A - See chart below for the 21 possible areas of review from the ACUA NCAA Audit Guide.

	FY13	FY14	FY15	FY16
1. Governance and Organization		X		
2. Initial-Eligibility Certification			X	
3. Continuing- Eligibility Certification			X	
4. Transfer-Eligibility Certification			X	
5. Academic Performance Program	X			
6. Financial Aid Administration	X			X
7. Recruiting – Off Campus		X		
8. Recruiting – On Campus		X		
9. Camps and Clinics		X		
10. Investigations and Self-Reporting of Rules Violations	X			
11. Rules Education			X	
12. Extra Benefits – Athletic Apparel and Equipment			X	
13. Extra Benefits – Complimentary Admissions	X			
14. Extra Benefits – Student Athlete Vehicles		X		
15. Extra Benefits – Team Travel			X	
16. Extra Benefits – Representatives of the University’s Athletic Interests		X		
17. Playing and Practice Seasons	X			
18. Student – Athlete Employment				X
19. Amateurism				X
20. Commitment of Personnel				X
21. Commitment of Personnel to Rules – Compliance Activities – Coaching Staff Limits and Contracts				X