

Internal Audit Report

NCAA Recruiting Compliance Audit

September 2019

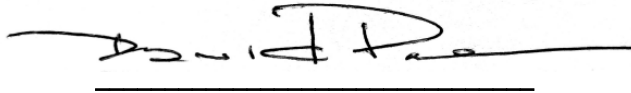
Distribution – NCAA Compliance Recruiting Audit

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Executive Summary & Background – NCAA Compliance Recruiting Audit

Executive Summary

The Office of Internal Audit completed the NCAA Compliance Recruiting audit. Overall, our review disclosed UTA has proper controls in place to monitor compliance regarding prospective student-athletes (PSA) recruiting activities. Additionally, UTA complies with NCAA regulations and management was effectively monitoring recruiting activities to mitigate the risks of violating NCAA Division I guidelines.

There were no reportable findings noted in this engagement.

Less significant opportunities for improvement were communicated to management separately.

Background

The University of Texas at Arlington (UTA) is a Division I member of the Sun Belt Conference. Members of the conference must abide by various rules provided in the National Collegiate Athletic Association (NCAA) Division I Manual. Article 13 of the Division I Manual, details the rules and regulations for recruiting PSA. The purpose of these rules and regulations are to balance the PSA's interest in being recruited and the NCAA members interest in gaining the PSA's enrollment.

The NCAA defines recruiting as any solicitation of a PSA or their parents by an institutional staff member or by a representative of the institution's athletics interests for the purpose of securing the PSA's enrollment and ultimate participation in the institution's intercollegiate athletics program.

We appreciate the courtesy and cooperation received from Athletics throughout this audit.

Audit Objective, Scope & Work Performed

Audit Objective

The objective of the NCAA Compliance Recruiting audit was to determine whether Athletics' recruiting processes and procedures were in compliance with NCAA bylaws.

Audit Scope

The scope of our audit included interviews, questionnaires, a review of documents, system reports, and supporting transactions that occurred during the 2019 school year.

Work Performed

Audit results were generated by:

- Identifying all responsible parties and efforts for monitoring compliance with NCAA legislation pertaining to Bylaw 13;
- Confirming that written policies and procedures concerning PSA's off-campus/on-campus recruiting activities, and representatives of athletics interest comply with NCAA Bylaw 13;
- Verifying that a sample of high school, two-year and four-year PSA's recruited during the fiscal year 2019 were permissible based on the limitations of NCAA Bylaw 13;
- Testing a sample of travel records to help ensure the appropriate documentation was submitted to the compliance officer in accordance with NCAA legislation;
- Testing a sample of initial telephone calls to help ensure those initiated by UTA occurred during regulated time periods and were within the NCAA prescribed limits for the number of calls for that sport, and those that were initiated by the PSA's met NCAA legislation;
- Verifying that a sample of recruiting materials was distributed within the permissible time period based on the limitations of NCAA Bylaw 13; and
- Verifying that a sample of official and unofficial visits that occurred during the fiscal year 2019 were permissible based on the limitations of NCAA Bylaw 13 and whether the UTA's Athletics Department maintained sufficient documentation.