

# **Athletics NCAA Bylaws**

*Intercollegiate Athletics*

*June 2021*



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**The University of Texas at Austin**  
**Office of Internal Audits**  
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June 25, 2021

President Jay C. Hartzell  
The University of Texas at Austin  
Office of the President  
P.O. Box T  
Austin, Texas 78713

Dear President Hartzell,

We have completed our audit of National Collegiate Athletic Association (NCAA) Bylaws as part of our Fiscal Year 2021 Audit Plan. The objective of the audit was to determine whether Intercollegiate Athletics (Athletics) complies with NCAA Bylaw 17, Playing and Practice Seasons, and applicable University of Texas at Austin (UT Austin) policies. The report is attached for your review.

Overall, Athletics complies with NCAA Bylaw 17, Playing and Practice Seasons, and applicable UT Austin policies. However, there is an opportunity to improve compliance education requirements and monitoring.

Please let me know if you have questions or comments regarding this audit.

Sincerely,

A handwritten signature in blue ink that reads "Sandy Jansen".

Sandy Jansen, CIA, CCSA, CRMA  
Chief Audit Executive

cc: Ms. Nancy Brazzil, Deputy to the President  
Mr. Chris Del Conte, Vice President and Athletics Director  
Ms. Lori Hammond, Senior Associate Athletics Director  
Ms. Monica Horvat, Director of Administration, Office of the President  
Ms. Lisa Mabry, Associate Director, Athletics Risk Mgmt. and Compliance Services  
Ms. Christine Plonsky, Chief of Staff & Executive Senior Associate Athletics Director



## Contents

Executive Summary .....	1
Audit Results .....	2
Observation #1 Compliance Education Requirements and Monitoring.....	2
Additional Risk Consideration .....	3
Background .....	3
Scope, Objectives, and Methodology.....	3
Observation Risk Ranking .....	5
Report Distribution.....	5



# Executive Summary

## Athletics NCAA Bylaws

Intercollegiate Athletics

Project Number: 21.010

### Audit Objective

The objective of the audit was to determine whether Intercollegiate Athletics (Athletics) complies with National Collegiate Athletic Association (NCAA) Bylaw 17, Playing and Practice Seasons, and applicable University of Texas at Austin (UT Austin) policies.

### Conclusion

Overall, Athletics complies with NCAA Bylaw 17, Playing and Practice Seasons, and applicable UT Austin policies. However, there is an opportunity to improve compliance education requirements and monitoring.

### Audit Observations<sup>1</sup>

Recommendation	Risk Level	Estimated Implementation Date
Compliance Education Requirements and Monitoring	Medium	September 2021

### Engagement Team

Mr. Jason Boone, CFE, Internal Auditor III

Mr. Myles Johnson, Internal Auditor I

Mr. Patrick McKinney, CIA, Assistant Director

<sup>1</sup> Each observation has been ranked according to The University of Texas System Administration (UT System) Audit Risk Ranking guidelines. Please see the last page of the report for ranking definitions.



## Audit Results

Overall, Athletics complies with NCAA Bylaw 17, Playing and Practice Seasons, and applicable UT Austin policies, and has implemented effective internal controls to help ensure compliance. However, there is an opportunity to improve compliance education requirements and monitoring.

Athletics ensures sport teams' declarations of playing seasons and time management plans are completed timely and within Bylaw 17 requirements. Athletics uses Teamworks to maintain these documents and to track countable athletically-related activities throughout each sport's season. Head coaches submit practice and competition logs through Teamworks, where student-athletes and Athletics Risk Management and Compliance Services review them to confirm accuracy and compliance with time management restrictions.

Athletics evaluates compliance with NCAA time management requirements for athletically-related activities and days off as part of the required end-of-year review. The annual review includes surveys and meetings with student-athletes, head coaches, the faculty representative, and Athletics leadership to discuss findings and propose future enhancements.

Sport-specific personnel and student-athletes are regularly educated on NCAA rules and regulations related to practice and competition time limit restrictions. Athletics provides information through meetings, infographics, and compliance presentations that include NCAA and institutional policies on time management.

### Observation #1 Compliance Education Requirements and Monitoring

Athletics has not implemented a formal policy governing which sport-specific personnel must attend compliance meetings. As a result, Athletics could not definitively demonstrate who is required to attend for all sports. Although the majority of sport-specific personnel attended compliance meetings, we identified seven occurrences of coaches and staff who did not attend or make up a meeting. Furthermore, conflicting and incomplete supporting documentation created difficulties in determining actual attendance for some individuals. Missed meetings occurred in three of the six sports reviewed but were concentrated in Football. There is an increased risk of noncompliance with NCAA rules and regulations if required individuals do not fully participate in compliance educational efforts. Additionally, complete and accurate records may help demonstrate appropriate training in the event of an NCAA infraction or investigation.

**Recommendation:** Athletics should update and implement policies which include the personnel required to attend NCAA rules education. Additionally, Athletics should ensure that tracking of educational meetings is complete and accurate to verify appropriate personnel are attending.

**Management's Corrective Action Plan:** Athletics Risk Management and Compliance Services will enhance its rules education procedure to clearly outline compliance meeting attendance requirements for all full-time, sport-specific personnel. This procedure will include make-up



requirements for individuals who do not attend a required meeting. The updated procedure will be effective for educational meetings beginning in the 2021-2022 academic year.

**Responsible Person:** Senior Associate Athletics Director

**Planned Implementation Date:** Updated procedure will be effective September 1, 2021. Implementation of the procedure will occur for meetings occurring throughout the academic year.

## Additional Risk Consideration

Bylaw 17.1.7.7 prohibits countable athletic activity during one calendar day per week during the playing season. During one week in December 2019, Women's Basketball did not provide the required day off. Instead, the scheduled weekly day off included an hour of countable athletic activity. We did not identify any other infractions for any of the sports reviewed. Athletics self-reported the incident to the NCAA on June 10, 2021.

## Background

NCAA Bylaw 17, Playing and Practice Seasons, governs when, where, and how sports can conduct practices and competitions. The bylaw dictates student-athlete time management requirements, including hourly and weekly time limitations and days off. The legislation also defines countable athletically-related activities, required athletically-related activities, and voluntary activities, and how each activity impacts a student-athlete's daily and weekly time limitation.

## Scope, Objectives, and Methodology

This audit was conducted in conformance with The Institute of Internal Auditors' *International Standards for the Professional Practice of Internal Auditing*. Additionally, we conducted the audit in accordance with Generally Accepted Government Auditing Standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions on our audit objectives.

The scope of this review was NCAA Bylaw 17, Playing and Practice Seasons, during the 2019-2020 academic year. The audit objective was to determine whether Athletics complied with NCAA Bylaw 17 and applicable UT Austin policies. Specific audit objectives were to:



## OFFICE OF INTERNAL AUDITS REPORT: ATHLETICS NCAA BYLAWS

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- Determine whether proper documentation regarding the limits and restrictions on team and individual practice and competition activities is maintained and whether applicable NCAA standards are met
- Determine whether existing controls are effective in ensuring compliance with NCAA Bylaw 17

The following procedures were conducted:

- Reviewed the 2019–2020 NCAA Division I Manual and National Association for Athletics Compliance Reasonable Standards
- Identified and verified Athletics' internal controls to support compliance with Bylaw 17
- Tested a sample of in-season and out-of-season time logs, time management plans, and declarations of playing season
- Identified Athletics' educational efforts

The governing policies used as the criteria for this audit were:

- NCAA Bylaw 17: Playing and Practice Seasons
- UT Austin Athletics Time Management Plan Policy



## Observation Risk Ranking

Audit observations are ranked according to the following definitions, consistent with UT System Audit Office guidance.

Risk Level	Definition
Priority	If not addressed immediately, has a high probability to directly impact achievement of a strategic or important operational objective of The University of Texas at Austin (UT Austin) or the UT System as a whole.
High	Considered to have a medium to high probability of adverse effects to UT Austin either as a whole or to a significant college/school/unit level.
Medium	Considered to have a low to medium probability of adverse effects to UT Austin either as a whole or to a college/school/unit level.
Low	Considered to have minimal probability of adverse effects to UT Austin either as a whole or to a college/school/unit level.

In accordance with directives from UT System Board of Regents, Internal Audits will perform follow-up procedures to confirm that audit recommendations have been implemented.

## Report Distribution

The University of Texas at Austin Institutional Audit Committee

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