

The University of Texas at San Antonio

# UTSA Auditing & Consulting Services

## Athletics Risk Audit

Project# 2022-11

May 2, 2022

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# Executive Summary

## Conclusion

For the academic years 2021 and 2022, drivers operating vehicles for team travel were not always in compliance with travel and insurance policies.

### Observation Rating

Priority
High
Medium
Low
Satisfactory

## Background

In 2020, Auditing and Consulting Services changed their role for auditing athletics from an athletics compliance basis to an athletics risk basis. Due to senior athletic management concerns, new processes and new facilities, critical risk in the overall risk plan for expansion of athletic activities and heightened pandemic awareness, Auditing and Consulting Services was steered toward auditing student athlete safety.

## Audit Objective

- Ensure drivers operating vehicles for team travel are appropriately insured, authorized and university trained.

## Scope

- Individuals who drive vehicles for athletic team travel by van/car in FY21 and FY22.
- Team travel for Men & Women's Golf, Men & Women's Tennis and Women's Volleyball.

## Out of Scope

- UTSA HOP 5.18 Travel policy for all drivers
- Courtesy vehicles
- Travel by air or bus
- Athletes going to local practice

## Audit Observations, ratings, and planned implementation dates:

- |   |   |            |
|---|---|------------|
| 1 | Unchartered team travel incurred instances of non-compliance with UT System and/or UTSA Athletics policies. | 08/01/2022 |
|---|---|------------|

# Audit Observations

## Unchartered team travel incurred instances of non-compliance with UT System and/or UTSA Athletics policies.

Observation	Impact	Management Action Plan
<p><u>Condition</u> UTSA Athletics does not comply with applicable policies:</p> <ol style="list-style-type: none"> <li>1. W Golf - A DR-1 report was not pulled for an assistant coach and she was listed as not eligible to drive, yet circumstantial evidence indicated she drove the team van from 10-9 through 10-12-21.</li> <li>2. W Golf – Head coach drove 12 passenger van from 9-11 to 9-15-21 when her Behind-the Wheel Training expired on 4-8-18.</li> <li>3. M Golf - No documented evidence of approvals regarding 2 trips exceeding 5 hours.</li> </ol> <p><u>Criteria</u> UT system and UTSA Athletics policy state:</p> <ol style="list-style-type: none"> <li>1. Per UTS157, sec. 4.3(a), Before employing an authorized driver, a Motor Vehicle Report should be pulled going back 36 months.</li> <li>2. Per UTS157, sec. 5.1(a), Authorized 12 and 15 passenger van drivers should have van specific training, including behind-the-wheel and on road training.</li> <li>3. Per UTSA Athletics Policy 12.1.7.5, Travel more than 5 hours should not be by car or van unless approved.</li> </ol>	<p>UTSA not following UTS157 policies puts UTSA and other UT institutions at greater financial and reputational risk. More specifically:</p> <ul style="list-style-type: none"> <li>• UTS157 may be changed to be more restrictive for all institutions.</li> <li>• Greater costs to all institutions due to: a) changes in premium allocation models, b) insurance renewals and c) different carriers.</li> <li>• Reputational risk to UTSA among other UT Institutions due to non-compliance.</li> </ul> <p>Non-compliance with UTSA Athletic policies will make financial risk lower but UTSA still susceptible to reputational risk.</p> <p>Driving over 5 hours after coaching may result in driver fatigue leading to an increase risk in team safety.</p>	<ol style="list-style-type: none"> <li>1. Athletics will review that coaches and staff members have a current DR-1 form on file and have completed the Defensive Driving Awareness training (SA0505) before being able to drive university vehicles.</li> <li>2. Athletics will work with Risk Management to develop Behind-the-Wheel training opportunities for coaches and staff that possibly may use 12-passenger vans for team travel. Use of 12-passenger vans for team travel will be prohibited until training is completed. Athletics will keep a list of eligible drivers for 12-passenger vans.</li> <li>3. Athletics will develop a process to give and document prior approval for trips over 5 hours when a team decides to drive.</li> </ol> <p><b>Responsible Party:</b> Associate Athletics Director/Business Operations</p> <p><b>Planned Implementation Date:</b> August 1, 2022</p>
<p><u>Cause</u></p> <ol style="list-style-type: none"> <li>1. Driver overlooked her responsibility for maintaining her eligibility to drive.</li> <li>2. COVID pandemic halted the Behind-the-Wheel training program.</li> <li>3. Athletics officials overlooked the need to retain approval documentation for trips by car or van exceeding 5 hours.</li> </ol>		

### Condition

UTSA Athletics does not comply with applicable policies:

1. W Golf - A DR-1 report was not pulled for an assistant coach and she was listed as not eligible to drive, yet circumstantial evidence indicated she drove the team van from 10-9 through 10-12-21.
2. W Golf – Head coach drove 12 passenger van from 9-11 to 9-15-21 when her Behind-the Wheel Training expired on 4-8-18.
3. M Golf - No documented evidence of approvals regarding 2 trips exceeding 5 hours.

### Criteria

UT system and UTSA Athletics policy state:

1. Per UTS157, sec. 4.3(a), Before employing an authorized driver, a Motor Vehicle Report should be pulled going back 36 months.
2. Per UTS157, sec. 5.1(a), Authorized 12 and 15 passenger van drivers should have van specific training, including behind-the-wheel and on road training.
3. Per UTSA Athletics Policy 12.1.7.5, Travel more than 5 hours should not be by car or van unless approved.

### Cause

1. Driver overlooked her responsibility for maintaining her eligibility to drive.
2. COVID pandemic halted the Behind-the-Wheel training program.
3. Athletics officials overlooked the need to retain approval documentation for trips by car or van exceeding 5 hours.



We conducted this performance 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 based on our audit objectives.

Auditors communicated other, less significant issues separately in writing to university management.