

**Arizona State University**  
**Sun Devil Athletics**  
**Student-Athlete Eligibility Audit**  
**September 13, 2016**

This page left blank intentionally.

Arizona State University  
Sun Devil Athletics  
Student-Athlete Eligibility Audit  
September 13, 2016

**Summary**

The Sun Devil Athletics (SDA) 2016 Student-Athlete Eligibility audit was included in the Arizona State University (ASU) annual audit plan for Fiscal Year (FY) 2016. This audit is completed on a cyclical basis, and is deemed to be of strategic importance given the reputational risk posed to the University for non-compliance with NCAA regulations and bylaws.

**Background:** Approximately five hundred fifty student-athletes at ASU compete in ten men's programs and thirteen women's programs in one of the most competitive conferences in the country, the Pac-12. Men compete in baseball, basketball, football, golf, swimming & diving, indoor track & field, outdoor track & field, cross country, wrestling, and ice hockey; women compete in basketball, golf, gymnastics, soccer, softball, swimming & diving, tennis, indoor track & field, outdoor track & field, cross country, volleyball, beach volleyball, and water polo. The University's Athletics Compliance Office (Athletics Compliance) is responsible for administering and monitoring sports program compliance with National Collegiate Athletic Association (NCAA) regulations and bylaws. The major institutional risks the University seeks to mitigate include regulatory and reputational risk.

The Faculty Athletic Representative (FAR) is responsible for ensuring that student-athletes meet all NCAA, conference and institutional requirements for eligibility for practice, financial aid and intercollegiate competition. This should include continuing academic eligibility requirements for both freshmen and transfer student-athletes. These certifications should be performed by the FAR, performed under the direction of the FAR or, at a minimum, periodically reviewed and audited by the FAR. Initial eligibility certification is completed by the NCAA Eligibility Center. Academic eligibility certifications should be performed by persons outside of SDA.

**Audit Objectives:** The objectives of the engagement were to evaluate the effectiveness of the Sun Devil Athletics, Athletics Compliance, and FAR processes to ensure compliance with NCAA bylaws regarding Student-Athlete Eligibility and pertinent Arizona Board of Regents and Arizona State University policies and procedures.

**Scope:** The scope of this engagement was to review and evaluate the University's compliance with the NCAA rules and bylaws pertaining to Student-Athlete Eligibility for academic year 2016. This audit was conducted at the request of Athletics Compliance, which is responsible for administering and monitoring sports program compliance with NCAA regulations and bylaws.

Arizona State University  
Sun Devil Athletics  
Student-Athlete Eligibility Audit  
September 13, 2016

**Methodology:** University Audit assessed Athletics Compliance, individual team, and FAR compliance with applicable NCAA bylaws, Arizona Board of Regents, and Arizona State University policies and procedures. Supporting documentation was provided by Athletics Compliance and the FAR Office for the sports programs under review.

All twenty-three of the ASU sponsored teams were included in the scope of the audit, and University Audit selected a sample size of twenty-five percent of the sponsored teams for inclusion in the audit test work. Student-athletes were selected from squad lists which may include students participating in multiple sports or student-athletes who are not currently active team participants. The breakdown of the audit sample by sponsored team is as follows:

<b>Sport</b>	<b>Number of Student-Athletes Included on Squad List</b>	<b>Number of Student-Athletes Sampled</b>
Baseball	38	10
Football	133	34
Men's Basketball	16	4
Men's Cross Country	20	5
Men's Golf	9	3
Men's Ice Hockey	33	9
Men's Swimming	30	8
Men's Track, Indoor	51	13
Men's Track, Outdoor	52	13
Men's Wrestling	48	12
Women's Basketball	15	4
Women's Cross Country	20	5
Women's Golf	9	3
Women's Gymnastics	14	4
Women's Beach Volleyball	24	6
Women's Soccer	34	9
Softball	27	7
Women's Swimming	19	5
Women's Tennis	9	3
Women's Track, Indoor	49	13
Women's Track, Outdoor	50	13
Women's Volleyball	20	5
Women's Water Polo	22	6
<b>Total</b>	<b>742</b>	<b>194</b>

Arizona State University  
Sun Devil Athletics  
Student-Athlete Eligibility Audit  
September 13, 2016

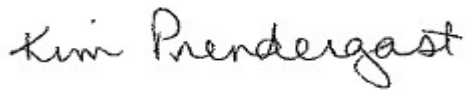
**Conclusion:** Based on the audit test work performed, University Audit noted no instances of non-compliance with the NCAA bylaws and Arizona State University policies and procedures related to Student-Athlete Eligibility.

The NCAA Bylaws reviewed are listed in Appendix A, while the NCAA Compliance rules are listed in Appendix B.

The control standards University Audit considered during this audit and the status of the related control environment are provided in the following table.

<b>General Control Standard</b> (The bulleted items are internal control objectives that apply to the general control standards, and will differ for each audit.)	<b>Control Environment</b>	<b>Finding No.</b>	<b>Page No.</b>
<b>Reliability and Integrity of Financial and Operational Information</b>	Not Applicable		
<b>Effectiveness and Efficiency of Operations</b>	Not Applicable		
<b>Safeguarding of Assets</b>	Not Applicable		
<b>Compliance with Laws and Regulations</b> <ul style="list-style-type: none"> <li>• Compliance with NCAA Bylaws, ABOR and ASU Policies and Procedures</li> </ul>	Reasonable to Strong Controls in Place		

We appreciate the assistance of the Athletics Compliance and the Faculty Athletic Representative staff during the audit.




---

Kim Prendergast, CPA, CIA, CFE  
Internal Auditor Senior




---

Lisa Grace, CPA, CIA, CISA, CISSP  
Chief Audit Executive

Arizona State University  
Sun Devil Athletics  
Student-Athlete Eligibility Audit  
September 13, 2016

**Distribution:**

Audit Committee, Arizona Board of Regents

Michael M. Crow, President

Mark S. Searle, Interim University Provost

Morgan R. Olsen, Executive Vice President, Treasurer and Chief Financial Officer

José A. Cárdenas, Senior Vice President and General Counsel

Christine K. Wilkinson, Senior Vice President and Secretary of the University

Joanne Wamsley, Vice President for Finance

Ray Anderson, Vice President for University Athletics and Athletic Director

Jeffrey Wilson, Faculty Athletic Representative

Cynthia Jewett, Senior Associate General Counsel

Stephen T. Webb, Executive Director Athletic Compliance

Lori Briese, Assistant to the Senior Vice President and Secretary of the University

Internal Audit Review Board

Arizona State University  
Sun Devil Athletics  
Student-Athlete Eligibility Audit  
September 13, 2016

## Appendix A – NCAA Bylaws Reviewed

The following NCAA Bylaws were selected for inclusion in the SDA – 2016 Student-Athlete Eligibility audit:

**12.7.2.1 Content and Purpose.** Prior to participation in intercollegiate competition each academic year, a student-athlete shall sign a statement in a form prescribed by the Council in which the student-athlete submits information related to eligibility, recruitment, financial aid, amateur status, previous positive-drug tests administered by any other athletics organization and involvement in organized gambling activities related to intercollegiate or professional athletics competition under the Association's governing legislation. Failure to complete and sign the statement shall result in the student-athlete's ineligibility for participation in all intercollegiate competition. Violations of this bylaw do not affect a student-athlete's eligibility if the violation occurred due to an institutional administrative error or oversight, and the student-athlete subsequently signs the form; however, the violation shall be considered an institutional violation per Constitution 2.8.1. *(Revised: 1/10/92 effective 8/1/92, 1/14/97, 2/19/97, 4/24/03, 11/1/07 effective 8/1/08, 7/31/14, 8/7/14)*

**12.7.2.2 Administration.** The following procedures shall be used in administering the form: *(Revised: 8/4/89, 1/9/06 effective 8/1/06, 7/30/10, 7/31/14)*

(a) The statement shall be administered individually to each student-athlete by the athletics director or the athletics director's designee prior to the student's participation in intercollegiate competition each academic year; and

(b) The statement shall be kept on file by the athletics director and shall be available for examination upon request by an authorized representative of the NCAA.

**12.7.2.3 Institutional Responsibility—Notification of Positive Test.** The institution shall promptly notify the NCAA's chief medical officer, in writing, regarding a student-athlete's disclosure of a previous positive test for banned substances administered by any other athletics organization. *(Adopted: 1/14/97 effective 8/1/97, Revised: 7/31/14)*

**12.7.3.1 Content and Purpose.** Each academic year, a student-athlete shall sign a form maintained by the Committee on Competitive Safeguards and Medical Aspects of Sports and approved by the Council in which the student consents to be tested for the use of drugs prohibited by NCAA legislation. Failure to complete and sign the consent form prior to practice or competition, or before the Monday of the fourth week of classes (whichever occurs first) shall result in the student-athlete's ineligibility for participation (practice and competition) in all intercollegiate athletics. *(Adopted: 1/10/92 effective 8/1/92, Revised: 1/16/93, 1/10/95 effective 8/1/95, 1/14/97, 4/24/03, 8/5/04, 11/1/07 effective 8/1/08, 7/30/10, 7/31/14, 8/7/14)*

**12.7.3.2 Administration.** The following procedures shall be used in administering the form (see Constitution 3.2.4.7): *(Adopted: 1/10/92 effective 8/1/92, Revised: 4/27/00, 7/30/10, 7/31/14)*

(a) The consent form shall be administered individually to each student-athlete by the athletics director or the athletics director's designee each academic year;

(b) The athletics director or the athletics director's designee shall disseminate the list of banned drug classes to all student-athletes and educate them about products that might contain banned drugs. All student-athletes are to be notified that the list may change during the academic year,

Arizona State University  
Sun Devil Athletics  
Student-Athlete Eligibility Audit  
September 13, 2016

that updates may be found on the NCAA website ([www.ncaa.org](http://www.ncaa.org)) and informed of the appropriate athletics department procedures for disseminating updates to the list; and  
(c) The consent form shall be kept on file by the athletics director and shall be available for examination upon request by an authorized representative of the NCAA.

**12.7.3.3 Exception—14-Day Grace Period.** A student-athlete who is “trying out” for a team is not required to complete the form until 14 days from the first date the student-athlete engages in countable athletically related activities or before the student-athlete participates in a competition, whichever occurs earlier. *(Adopted: 4/27/06 effective 8/1/06, Revised: 7/31/14)*

**12.7.3.4 Effect of Violation.** A violation of Bylaw 12.7.3 or its subsections shall be considered institutional violations per Constitution 2.8.1; however, a violation shall not affect the student-athlete’s eligibility, provided the student-athlete signs the consent form. *(Revised: 4/28/05 effective 8/1/05, 7/30/10, 7/31/14)*

**12.7.5 Eligibility Requirements for Male Students to Practice With Women’s Teams.** Male students may engage in practice sessions with women’s teams under the following conditions: *(Revised: 5/12/05, 5/29/08, 7/31/14)*

- (a) Male students who practice with an institution’s women’s team on an occasional basis must be verified as eligible for practice in accordance with Bylaw 14.2.1 and must have eligibility remaining under the five-year rule (see Bylaw 12.8.1);
- (b) Male students who practice with an institution’s women’s teams on a regular basis must be certified as eligible for practice in accordance with all applicable NCAA eligibility regulations (e.g., must be enrolled in a minimum full-time program of studies, must sign a drug-testing consent form, must be included on the institution’s squad list);
- (c) It is not permissible for an institution to provide male students financial assistance (room and board, tuition and fees, and books) in return for practicing with a women’s team. A male student who is receiving financial aid or any compensation for serving in any position in the athletics department may not practice with a women’s team. A male student-athlete who is a counter in a men’s sport may not engage in practice sessions with an institution’s women’s team in any sport;
- (d) It is not permissible for an institution to provide male students room and board to remain on campus during a vacation period to participate in practice sessions with a women’s team;
- (e) It is not permissible for a male student-athlete who is serving an academic year of residence as a nonqualifier to participate in practice sessions with a women’s team; and
- (f) It is permissible for an institution to provide practice apparel to male students for the purpose of practicing with a women’s team.

**12.8 Seasons of Competition: Five-Year Rule.**

A student-athlete shall not engage in more than four seasons of intercollegiate competition in any one sport (see Bylaws 17.02.8 and 14.3.3). An institution shall not permit a student-athlete to represent it in intercollegiate competition unless the individual completes all of his or her seasons of participation in all sports within the time periods specified below: *(Revised: 7/31/14)*

**12.8.1 Five-Year Rule.** A student-athlete shall complete his or her seasons of participation within five calendar years from the beginning of the semester or quarter in which the student-athlete first registered for a minimum full-time program of studies in a collegiate institution, with



Arizona State University  
Sun Devil Athletics  
Student-Athlete Eligibility Audit  
September 13, 2016

time spent in the armed services, on official religious missions or with recognized foreign aid services of the U.S. government being excepted. For international students, service in the armed forces or on an official religious mission of the student's home country is considered equivalent to such service in the United States. *(Revised: 4/2/10, 7/31/14)*

**14.2.2.1.3 Final Semester/Quarter.** A student-athlete may compete while enrolled in less than a minimum full-time program of studies, provided the student is enrolled in the final semester or quarter of the baccalaureate program and the institution certifies that the student is carrying (for credit) the courses necessary to complete degree requirements. The student granted eligibility under this provision shall be eligible for any postseason event that begins within 60 days following said semester or quarter, provided the student has not exhausted the five years for completion of the individual's maximum permissible number of seasons of eligibility (see Bylaw 12.8). Thereafter, the student shall forfeit eligibility in all sports, unless the student completes all degree requirements during that semester or quarter and is eligible to receive the baccalaureate diploma on the institution's next degree-granting date. *(Revised: 1/10/92, 1/16/93, 1/10/95, 2/1/05, 11/1/07 effective 8/1/08, 1/14/12, 8/21/12)*

**14.2.2.1.4 Graduate Program.** A student may compete while enrolled in a full-time graduate program as defined by the institution (see Bylaw 14.6). *(Revised: 1/9/06 effective 8/1/06)*

**14.3.1 Eligibility for Financial Aid, Practice and Competition.** A student-athlete who enrolls in a member institution as an entering freshman with no previous full-time college attendance shall meet the following academic requirements, as certified by the NCAA Eligibility Center, as approved by the Board of Governors, and any applicable institutional and conference regulations, to be considered a qualifier and thus be eligible for financial aid, practice and competition during the first academic year in residence. *(Revised: 1/16/93 effective 8/1/94, 1/9/96 effective 8/1/97, 3/22/06, 5/9/07, 10/30/14)*

**Delayed effective date. See specific date below.**

14.3.1 Eligibility for Financial Aid, Practice and Competition. A student-athlete who enrolls in a member institution as an entering freshman with no previous full-time college attendance shall meet the following academic requirements, as certified by the NCAA Eligibility Center, as approved by the Board of Governors, and any applicable institutional and conference regulations, to be considered a qualifier or an academic redshirt. *(Revised: 1/16/93 effective 8/1/94, 1/9/96 effective 8/1/97, 3/22/06, 5/9/07, 10/27/11, 4/26/12 effective 8/1/16; for student-athletes initially enrolling full time in a collegiate institution on or after 8/1/16, 10/30/14)*

**14.4.1 Progress-Toward-Degree Requirements.** To be eligible to represent an institution in intercollegiate athletics competition, a student-athlete shall maintain progress toward a baccalaureate or equivalent degree at that institution as determined by the regulations of that institution subject to controlling legislation of the conference(s) or similar association of which the institution is a member and applicable NCAA legislation. (See Constitution 3.2.4.13 regarding the obligations of members to publish their progress-toward-degree requirements for student-athletes.) *(Revised: 5/29/08, 4/15/09)*

Arizona State University  
Sun Devil Athletics  
Student-Athlete Eligibility Audit  
September 13, 2016

**14.4.3.1 Fulfillment of Credit-Hour Requirements.** Eligibility for competition shall be determined based on satisfactory completion of at least: (*Revised: 1/10/92, 10/31/02 effective 8/1/03, 3/10/04, 4/28/05*)

- (a) Twenty-four semester or 36 quarter hours of academic credit prior to the start of the student-athlete's second year of collegiate enrollment (third semester, fourth quarter);
- (b) Eighteen semester or 27 quarter hours of academic credit since the beginning of the previous fall term or since the beginning of the certifying institution's preceding regular two semesters or three quarters (hours earned during the summer may not be used to fulfill this requirement) (see Bylaw 14.4.3.1.4); and
- (c) Six semester or six quarter hours of academic credit during the preceding regular academic term (e.g., fall semester, winter quarter) in which the student-athlete has been enrolled full time at any collegiate institution (see Bylaw 14.4.3.4 for postseason certification).

**14.4.3.2 Fulfillment of Percentage of Degree Requirements.** A student-athlete who is entering his or her third year of collegiate enrollment shall have completed successfully at least 40 percent of the course requirements in the student's specific degree program. A student-athlete who is entering his or her fourth year of collegiate enrollment shall have completed successfully at least 60 percent of the course requirements in the student's specific degree program. A student-athlete who is entering his or her fifth year of collegiate enrollment shall have completed successfully at least 80 percent of the course requirements in the student's specific degree program. The course requirements must be in the student's specific degree program (as opposed to the student's major). (*Adopted: 1/10/92 effective 8/1/92, Revised: 1/9/96, 10/31/02 effective 8/1/03*)

Arizona State University  
Sun Devil Athletics  
Student-Athlete Eligibility Audit  
September 13, 2016

**Appendix B – NCAA Compliance**

**2.1 The Principle of Institutional Control and Responsibility. [\*]**

**2.1.1 Responsibility for Control. [\*]** It is the responsibility of each member institution to control its intercollegiate athletics program in compliance with the rules and regulations of the Association. The institution's president or chancellor is responsible for the administration of all aspects of the athletics program, including approval of the budget and audit of all expenditures. *(Revised: 3/8/06)*

**2.1.2 Scope of Responsibility. [\*]** The institution's responsibility for the conduct of its intercollegiate athletics program includes responsibility for the actions of its staff members and for the actions of any other individual or organization engaged in activities promoting the athletics interests of the institution.

**2.8 The Principle of Rules Compliance. [\*]**

**2.8.1 Responsibility of Institution. [\*]** Each institution shall comply with all applicable rules and regulations of the Association in the conduct of its intercollegiate athletics programs. It shall monitor its programs to assure compliance and to identify and report to the Association instances in which compliance has not been achieved. In any such instance, the institution shall cooperate fully with the Association and shall take appropriate corrective actions. Members of an institution's staff, student-athletes, and other individuals and groups representing the institution's athletics interests shall comply with the applicable Association rules, and the member institution shall be responsible for such compliance.

**2.8.2 Responsibility of Association. [\*]** The Association shall assist the institution in its efforts to achieve full compliance with all rules and regulations and shall afford the institution, its staff and student-athletes fair procedures in the consideration of an identified or alleged failure in compliance.

**2.8.3 Penalty for Noncompliance. [\*]** An institution found to have violated the Association's rules shall be subject to such disciplinary and corrective actions as may be determined by the Association.