PROJECT SUMMARY

Overview

In the Department of Recreational Sports at Texas A&M University significant improvements are needed in the processes and controls that ensure the safety of students travelling with sport clubs and youth event participants.

Required driver training and automobile insurance documentation were not consistently available for sport club trips tested. Detailed participant rosters and required forms were also not available for certain youth events sponsored by the Department. The Department had 316 organized student trips, including 266 for sport clubs events, and sponsored eight youth events that hosted over 3,100 participants under the age of eighteen during fiscal year 2012.

Controls reviewed within the Department for cash receipts and procurement card transactions provide reasonable assurance that these processes are operating effectively and in compliance with laws and policies.

Summary of Significant Results

Student Travel

Processes and controls for sport clubs are not in compliance with various student travel safety rules and procedures. All six (100%) sport club trips tested that used large capacity vans were missing documentation of required driver training for these vehicles. In addition, fourteen (61%) of twenty-three sport club trips tested that had student drivers were either missing required insurance information or it could not be readily determined if insurance was current at the time of the trip. Lack of compliance with safety rules and procedures increases the risk of injury to students and corresponding liability to the University.

Youth Event Safety

Documentation for youth events hosted by the Department was not adequate to facilitate monitoring and ensure compliance with
youth safety requirements. One large tournament tested had no detailed roster of participants or staff/volunteers to verify the completion of required safety requirements. Another large tournament tested did not have required liability waivers and medical treatment authorization forms for four (13%) of thirty participants tested. Without adequate safety documentation and oversight there is an increased risk of injury to youth event participants and corresponding liability to the University.

Summary of Management’s Response

The Department of Recreational Sports’ mission is to provide high quality programs, facilities, and services to the University community. Implementation of the recommendations detailed in the audit report will further enhance administrative processes and controls in regards to student travel and youth safety. Additional detail is provided within the individual audit responses.

Scope

The review of the Department of Recreational Sports at Texas A&M University focused on safety processes and controls related to student travel and youth events, cash receipts, and procurement card transactions. The audit period focused primarily on activities from September 1, 2011 to August 31, 2012. Fieldwork was conducted from October to November, 2012.
OBSERVATIONS, RECOMMENDATIONS, AND RESPONSES

1. Student Travel

Observation

Processes and controls over student travel need improvement to ensure compliance with various University safety rules and procedures. Thirty student trips were selected for testing including twenty-five for sport clubs, four for outdoor adventures, and one for intramurals. The following weaknesses were noted:

- The liability waivers used by Sports Clubs are not the official University form. University Standard Administrative Procedure 13.04.99.M1.01, Student Travel Procedures requires use of the Office of General Counsel approved Waiver, Indemnification, and Medical Treatment Authorization form.

- Completed liability waiver forms for student travel are retained by the Department up to ten years in some cases which is not in accordance with the current A&M System Records Retention Schedule.

- All six (100%) sport club trips tested that used large capacity vans were missing required driver training documentation for some or all drivers of these vehicles. University Standard Administrative Procedure 24.01.01.M0.01, Van Safety Procedures requires that drivers receive large capacity van operation instruction as provided by Transportation Services or some other form of certification documenting completion of appropriate training. The current Sport Clubs Guidebook requires drivers to complete large capacity vehicle training, but does not address maintaining documented evidence of the training to verify that drivers receive this training prior to operating a large capacity van.

- Fourteen (61%) of twenty-three sport club trips tested that had student drivers contained instances where the student driver did not provide required automobile insurance information or it could not be readily determined from documentation that insurance was in place at the time of the trip. University Standard Administrative Procedure 13.04.99.M1.01, Student Travel Procedures requires that students operating university-owned or leased vehicles or privately owned vehicles for
organized student travel possess personal automobile insurance coverage as mandated by the State of Texas. Drivers on student trips are required to complete an annual driver agreement but all sections of the agreements were not consistently completed, including personal automobile insurance coverage, and there is not a sufficient process to ensure the insurance information provided is current at the time of the student trip. In addition, annual driver agreements could not be located for 11 (8%) of 143 student drivers for the 25 sport club student trips tested.

- The Review of Travel Listing document was not consistently filled out according to the document instructions for sports club trips. More than 80% of the student trips listed on this document, all of which were for sport club travel, were missing either the initials or date of the individual certifying that waivers had been received from all travel participants and all travel documentation had been sent to the Critical Incident Response Team (CIRT) prior to the departure date as required.

Lack of compliance with safety rules and procedures related to student travel especially driver safety training and insurance increases the risk of injury to students and corresponding liability to the University.

**Recommendation**

- Use the University’s official Waiver, Indemnification, and Medical Treatment Authorization form as required for all student travel.

- Require all student drivers to provide documentation to support successful completion of required driver training prior to operating a university-owned, leased, or rented vehicle including large capacity vans. Verify that this information has been provided prior to the trip as required.

- Enhance monitoring to ensure all sections of the Driver Agreement form are completed including personal automobile insurance coverage. Ensure that all driver agreement forms are received and reviewed prior to student trips to ensure personal automobile insurance coverage is current at the time of the travel.

- Reinforce the need for sport club personnel to include both their initials and the date when certifying that waivers have been received and travel documentation has been sent to CIRT on the Review of Travel Listing document.
1. Student Travel (cont.)

Reassess the current method of organizing and storing student travel documentation to better facilitate monitoring of this documentation for compliance with student travel requirements. Consider maintaining this documentation in an electronic format for greater organization and efficiency. Ensure compliance with the A&M System Records Retention Schedule and dispose of student travel documentation being maintained beyond the stated record retention period.

Management’s Response

Rec Sports will submit their Sport Clubs Travel Waiver to the Office of General Counsel for review and written approval for use in lieu of the standard university form. Use of an approved waiver is expected to be in place by July 31, 2013.

Implementation Date: July 31, 2013

To ensure drivers have received training for the operation of large capacity vans for requested rentals or unanticipated substitutions of vans, all Sport Clubs will be required to have four current members who have completed the training. A copy of the training completion certificate will be maintained by Sport Clubs. The file used to monitor drivers has been modified to include information on members eligible to drive large vans. Prior to each trip, the required trip request form will be reviewed to ensure there are enough eligible drivers available to operate large vans. Additionally, a list of eligible drivers for large vans will be provided to Enterprise Rentals with instructions to not rent large passenger vehicles to club members who are not on the provided list. Sport Clubs will provide Enterprise Rentals with an updated list of the eligible drivers every other week.

Implementation Date: April 30, 2013

Monitoring of driver agreements and personal automobile coverage will be increased. All driver agreement forms will be reviewed for completeness upon submission. Additionally, club members will be required to submit a copy of their current insurance with the form. The Driver Agreement electronic file used to monitor status will be updated based on submitted information. The Driver Agreement electronic file will be reviewed on or before the 10th of each month to identify individuals whose insurance information is expired or will expire within the month and request updated information. Sports Club members without a complete agreement or current personal automobile insurance will not be approved to drive on student trips.

Implementation Date: March 31, 2013
1. Student Travel (cont.)

Sport Clubs staff have been made aware of the importance of certifying the receipt of waivers and submission of CIRT information. Beginning fall 2012, every trip is initialed and dated by our Sport Clubs staff once information has been entered and submitted to the CIRT program and waivers have been received. Additionally, we will continue to work with Student Activities on the distribution of automated notifications that confirm receipt of CIRT submissions.

**Implementation Date: July 31, 2013**

The staff will research new opportunities for electronic filing and storage for travel documentation to better facilitate monitoring of this documentation for compliance with student travel requirements. In addition, we will research the feasibility of adding a time/date feature to assist in deleting records once they have passed the required A&M System Records Retention date. A filing and storage method will be determined and an implementation plan developed by July 31, 2013.

**Implementation Date: July 31, 2013**

2. Youth Event Safety

**Observation**

The Department’s documentation related to youth safety at department sponsored youth events is inadequate to facilitate monitoring and ensure the safety of youth participants. Four youth events were selected for testing including two large tournaments and two smaller events. The following weaknesses in youth event safety documentation and processes were noted:

- One large youth tournament tested (volleyball) which had approximately 680 youth participants, did not have liability waivers and medical treatment authorization forms for four (13%) of 30 participants tested for this event. The filing cabinets where youth program documentation is maintained were not secured resulting in potentially missing or misfiled documents.

- One large youth tournament selected (men’s lacrosse) which had approximately 800 youth participants did not have a roster of the participants or staff/volunteers available. As a result, no testing could be performed to verify that all required forms, training, and background checks were completed for this event.
2. Youth Event Safety (cont.)

A&M System Regulation 24.01.06, Camp and Programs for Minors requires criminal conviction and sex offender background checks be conducted on all individuals hired or assigned to employee or volunteer positions involving contact with minors at a camp and program. In addition, University Standard Administrative Procedure 11.99.99.M1.01, Camp and Enrichment Program Procedures requires each camp or program participant to complete a medical treatment authorization form and a liability waiver. Without properly completed safety forms and detailed event rosters to facilitate monitoring, there is an increased risk of personal injury to a minor due to lack of medical treatment authorizations and inadequate screening of volunteers/staff for youth programs.

Recommendation

Ensure all youth participants complete a liability waiver and medical treatment authorization form prior to attending a Recreational Sports sponsored youth program. Ensure that detailed participant rosters and volunteer/staff listings are maintained for each youth event to facilitate monitoring for compliance with requirements related to camps and programs for minors.

Limit access to liability waivers, medical treatment authorizations, emergency contact information, and other youth program documents to ensure the files remain secure and organized to facilitate monitoring. Consider maintaining this documentation in an electronic format for greater organization and efficiency. Ensure compliance with the A&M System Records Retention Schedule and dispose of youth event safety documentation being maintained beyond the stated record retention period.

Management’s Response

For programs subject to Standard Administrative Procedure (SAP) 11.99.M1.01 (revised and renumbered to 24.01.06.M0.01), procedures will be reviewed and modified as necessary to ensure liability waiver and medical treatment authorization forms are collected prior to the program and participant rosters and volunteer/staff listings are maintained.

Under the revised SAP, certain tournaments such as the two referenced in the report, do not meet the requirements of SAP 24.01.06.M0.01. Procedures will be developed regarding Sport Clubs tournaments. These will include the following process to ensure liability waiver and medical treatment authorization forms have been completed for youth participants prior to their participation. Forms will be submitted by each participating
2. Youth Event Safety (cont.)

Team/group with an individual team roster to the Sport Clubs office at least 1 week prior to the event, along with a total number of participants. At the event site, prior to each team’s first game, participants must check in with the event supervisor to ensure the players and waivers match before participation. In addition, Sport Clubs must submit a roster of workers/volunteers and their child protection training certificates at least one week in advance of the event to the Sport Clubs office.

**Implementation Date:** March 31, 2013

To ensure the limited access to youth program and tournament documents, Sport Clubs will lock all documents in a filing cabinet that is located inside a locked storage area. As referenced in response 1-Student Travel above, the staff will research new opportunities for electronic filing and storage of documentation to better facilitate monitoring for compliance. In addition, we will research the feasibility of adding a time/date feature to assist in deleting records once they have passed the required A&M System records retention date. A filing and storage method will be determined and an implementation plan developed by July 31, 2013.

**Implementation Date:** July 31, 2013
BASIS OF REVIEW

Objective

The objective of the audit was to review controls at the Department of Recreational Sports to determine if processes related to cash receipts, procurement card transactions, and safety of students and youths are operating effectively and in compliance with laws and policies.

Criteria

Our audit was based upon standards as set forth in the System Policy and Regulation Manual of the Texas A&M University System; Rules and Standard Administrative Procedures of Texas A&M University; Department of Recreational Sports procedures; the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act; and other sound administrative practices. This audit was conducted in conformance with the Institute of Internal Auditors’ “International Standards for the Professional Practice of Internal Auditing.”

Additionally, 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.

Background

The Department of Recreational Sports falls under the Division of Student Affairs at Texas A&M University. The Department’s mission is to provide quality programs, services and facilities; encourage active healthy lifestyles; and enhance student development by providing leadership and employment opportunities. The Department recently reduced its staff from 65 to 35 permanent employees due to the outsourcing of the University’s facility and custodial functions as well as the University golf course. The Department also employs approximately 615 student workers who play an important role within the Department. Although originally established to organize intramural sports opportunities for students, the Department has developed a diverse offering of programs and services to meet the complex needs of today’s University
community. The seven major programming areas within the Department are Intramurals, Sport Clubs, Aquatics, Group Exercise, Personal Training, Massage Therapy, and Outdoor Adventures. In addition to the Student Recreation Center, departmental facilities include the Penberthy Rec Sports Complex, Polo Stable and Barn, East Campus Rugby Pitch, and Disc Golf Course.
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