NCAA ATHLETIC DEPARTMENT
AUDIT OF STUDENT-ATHLETE ELIGIBILITY

THE UNIVERSITY OF NEW MEXICO

Report 2006-14
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# CONTENTS

EXECUTIVE SUMMARY .......................................................................................................... 1

INTRODUCTION .......................................................................................................................... 2
  BACKGROUND .......................................................................................................................... 2
  PURPOSE ................................................................................................................................. 2
  SCOPE ..................................................................................................................................... 2

OBSERVATIONS, RECOMMENDATIONS AND RESPONSES .................................................. 4
  JOB DESCRIPTION FOR THE REGISTRAR ............................................................................. 4

CONCLUSION ............................................................................................................................. 5

APPROVALS ................................................................................................................................ 5

# ABBREVIATIONS

FY ................................. Fiscal Year
NCAA .......................... National Collegiate Athletic Association
University .................... The University of New Mexico
EXECUTIVE SUMMARY

As part of the fiscal year (FY) 2005 audit plan, the Internal Audit Department conducted an audit of The University of New Mexico (University) Athletic Department and its compliance with the National Collegiate Athletic Association (NCAA) rules and regulations.

We audited Student-Athlete Eligibility. We found that the Athletic Department’s Compliance Office has developed processes that are adequate to assure compliance with NCAA rules and regulations. However, the Athletic Department needed to work with Human Resources to revise the job description for the NCAA duties and responsibilities of the Registrar.

The following summary provides management with an overview of condition that required attention.

JOB DESCRIPTION FOR THE REGISTRAR

The Registrar’s job description should include the responsibility for the NCAA certification of initial and continuing student-athlete eligibility. The Athletic Department worked with Human Resources to revise the job description.
INTRODUCTION

BACKGROUND

As part of the FY 2005 audit plan, the Internal Audit Department conducted an audit of the University Athletic Department and its compliance with the NCAA rules and regulations. The Athletic Department participates in the Division 1 category of the NCAA. The Athletic Department has ten men’s and eleven women’s competitive teams. The majority of the teams compete within the Mountain West Conference; however, the ski teams compete in the Rocky Mountain Intercollegiate Ski Association and the men’s soccer team competes in the Mountain Pacific Sports Federation.

Within the Athletic Department is a compliance office that is responsible for the University's compliance with all of the applicable policies and procedures. The office was established in 1993, and now consists of an Associate Athletic Director for Administration and Compliance, an Assistant Athletic Director for Compliance, and a student employee. They conduct training sessions for all of the student athletes, coaches, booster groups, Lobo Club Board of Directors, Athletic Department administrators, and other University administrators. They work closely with the Registrar's Office, Financial Aid Office, Housing, Athletic Marketing Department, academic advisors and recruiters to conduct trainings, offer advice, and ensure that the student athletes are eligible to compete. In addition, the Compliance Office is responsible for investigating and self-reporting any NCAA violations that it discovers or are reported to its office.

PURPOSE

The purpose of our audit was to perform a general review of the NCAA compliance issues regarding student-athlete eligibility and assure that the Athletic Department has processes in place so that the University complies with the NCAA rules and regulations.

SCOPE

The Internal Audit Department chose to perform a general audit using the basic audit program instead of the comprehensive audit program from the NCAA Compliance Audit Guide provided by the Association for College and University Auditors. The review plan included: General Compliance, Certification of Compliance, Representative of the University’s Athletics Interests, Student-Athlete Eligibility, Financial Aid, and Recruiting. Reports are being issued on each of these areas as they are completed. On November 4, 2005, we issued the NCAA Athletic Department Audit of General Compliance, Certification of Compliance, and Representative of University’s Athletics Interests report.

We have completed our review of Student-Athlete Eligibility. This report, the second report on NCAA compliance, is a summary of the information we found in a general audit of this section.
Our audit procedures included reviewing the NCAA Manual, interviewing employees, and examining University records. In relation to the areas reviewed, we looked at data from the Fall 2004 through the Spring 2005 semesters. The fieldwork was completed on June 28, 2006.
OBSERVATIONS, RECOMMENDATIONS AND RESPONSES

JOB DESCRIPTION FOR THE REGISTRAR

A job description should include the major responsibilities for the position, so that the employee understands his/her responsibilities. The NCAA certification of the student-athlete’s eligibility is an important part of the Registrar’s responsibilities and it should be included in the job description. The job description for the Registrar listed, “Knowledge of NCAA rules and certification of student athlete eligibility.” However, it did not list that the Registrar is responsible for the NCAA certification of initial and continuing student-athlete eligibility. Our recommendation that the Athletic Department work with Human Resources to revise the job description for the Registrar position was implemented on November 2, 2005. The job description now includes, “Oversees NCAA certification of incoming student-athletes entering the University’s various Division 1 interscholastic sports programs; ensures the on-going management of NCAA eligibility for existing student-athlete participants in these programs.”
CONCLUSION

We audited Student-Athlete Eligibility. We found that the Athletic Department’s Compliance Office has developed processes that are adequate to assure compliance with NCAA rules and regulations. However, the Athletic Department needed to work with Human Resources to revise the job description for the NCAA duties and responsibilities of the Registrar. The job description was revised in November 2005.

APPROVALS

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Approved for Publication

Vice Chair, Audit Committee