

**AUDIT OF HSC SCHOOL OF MEDICINE  
EMERGENCY MEDICINE DEPARTMENT  
CONTRACT AND GRANT BUSINESS PROCESSES**

**THE UNIVERSITY OF NEW MEXICO**

**Report 2011-07  
May 23, 2012**



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## ABBREVIATIONS

CDM.....	Center for Disaster Medicine
CIPRE.....	Center for Injury Prevention Research
EMD.....	Emergency Medicine Department
EMS.....	Emergency Medicine Services
EMSA.....	Emergency Medicine Services Academy
HSC.....	Health Sciences Center
PI.....	Principle Investigator
UBPP.....	University Business Policies and Procedures
UNM.....	The University of New Mexico

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## **EXECUTIVE SUMMARY**

As part of the fiscal year 2011 audit plan, the Internal Audit Department conducted an audit of the University of New Mexico's (UNM) Emergency Medicine Department (EMD) Contract and Grant business processes. EMD is a division of the Health Sciences Center (HSC) School of Medicine and reports to the Chancellor for Health Sciences. The purpose of the audit was to review EMD's business processes for administration of their Contracts and Grants - from proposal, to account set-up and administration, to award close-out. The audit procedures required review of daily EMD processes and the life span of Contract and Grant awards for compliance with University Business Policy and Procedures (UBPP), applicable Contract and Grant rules and regulations, and specific award requirements.

## **CONCLUSION**

EMD Contract and Grant business processes are in compliance with UBPP, and Contract and Grant awards are properly administered from inception to close. EMD administration works closely with the assigned Principle Investigator (PI) to ensure that Contract and Grant award proposals are complete. HSC Contracts and Grants have adequate processes to ensure awards are set up in a timely manner, expenditures are appropriately reviewed, award files are complete, and awards are efficiently and timely closed.

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## INTRODUCTION

### BACKGROUND

EMD, which offers a 3 year Residency Program through the UNM School of Medicine, is responsible for the medical direction of the UNM Hospitals Emergency Center, the Emergency Medical Services Academy, the New Mexico Poison Control Center, the Albuquerque Job Corps, the Lifeguard Air Emergency Services, the Center for Injury Prevention Research and Education (CIPRE), the Center for Disaster Medicine (CDM), and city and county rescue units.

The Emergency Medical Services Academy trains men and women in the field of pre-hospital emergency medicine. They are recognized as the lead agency in curriculum development for pre-hospital emergency medical services by the state EMS Bureau.

The New Mexico Poison and Drug Information Center coordinates statewide public education programs in order to reduce the incidence of unintentional poisonings and increase awareness of the New Mexico Poison and Drug Information Center's services.

Lifeguard Air Emergency Services consists of experienced pilots and highly-trained flight nurses and paramedics. Lifeguard crews provide the finest critical care possible by the fastest means available. Crews maintain close radio contact with a dispatcher and a medical control emergency physician before and during a flight. In addition, Lifeguard provides an emergency physician to accompany a crew when a patient's condition warrants such care. Finally, Lifeguard crews are complemented by the full support services of University Hospital.

CIPRE is deeply involved in improving awareness of injury prevention throughout the state. It provides support, information, and guidance to local groups, medical professionals, and other individuals working to build safer communities. Through these efforts, CIPRE encourages proactive steps to reduce injury at the local level. As a teaching institution, UNM also has the opportunity to disseminate information on prevention to doctors, nurses, and other medical professionals.

Since 1989, CDM has supported community disaster preparedness through applied disaster research, healthcare disaster planning, emergency preparedness training for responders, and disaster field services.

EMD's FY11 Operating Budget was \$15,988,087. EMD had thirty-nine active Contract and Grant awards in FY11, with a total budget amount of \$8,944,631.

Award Description	Budget Amount	Awarding Agency
Statewide Trauma Training	\$ 2,005	New Mexico Department of Health
Pedestrian Safety Workshop	\$ 2,500	University of North Carolina
NACCHO-MRC Capacity-Building Project	\$ 5,000	National Association of County & City Health Official
MRC Capacity Building 2010	\$ 5,000	National Association of County & City Health Official

NM-1 DMAT LEASE PAYMENT	\$ 7,619	Federal Emergency Management Agency
Emergency Department Emerging Infec	\$ 9,000	University of California Los Angeles
Emergency ID Net	\$ 9,000	University of California
Child Fatality Review Data Organize	\$ 16,802	New Mexico Department of Health
Statewide Trauma Training	\$ 20,059	New Mexico Department of Health
Attentional Dysfunction and Recovery	\$ 27,059	MIND Research Network
Urban Search and Rescue (USAR) Task	\$ 36,110	New Mexico Department of Homeland Security
NM-1 DMAT LEASE PAYMENT	\$ 42,783	Federal Emergency Management Agency
Phase III Clinical Trial	\$ 49,577	Denver Health and Hospital Authority
Medical Director Services & Ems	\$ 52,704	City of Albuquerque
State EMS/BHPP Medical Director Pre	\$ 56,055	New Mexico Department of Health
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NM State Fair EMS Coverage	\$ 56,940	NM State Fair
Provide Med Directorship For Bernal	\$ 63,053	Bernalillo County
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Clinical Trial Agreement - Phase II	\$ 73,710	CSL Behring
Domestic Violence Death	\$ 77,900	New Mexico Crime Victims Reparation Commission
UNM Emergency Management for Higher	\$ 88,171	Department of Education
NM Intimate Partner Violence Homicide	\$ 95,000	New Mexico Crime Victims Reparation Commission
Circumferential Abdominal-Pelvic	\$ 100,000	Gates (Bill and Melinda) Foundation
Hospital and Health Systems Prepare	\$ 110,000	New Mexico Department of Health
Clinical Trial	\$ 118,934	PPD Development
EMSC Partnership Program	\$ 126,093	Health Resources and Services Administration
Hospital and Health Systems Prepare	\$ 135,251	New Mexico Department of Health
Pedestrian Safety	\$ 150,000	New Mexico Department of Transportation
New Mexico Pedestrian Safety Initiative	\$ 150,000	New Mexico Department of Transportation
EMSC Partnership Program	\$ 155,271	Health Resources and Services Administration
Sustain Level 1 Trauma Center	\$ 158,135	
Sustain Level 1 Trauma Center	\$ 191,401	
The Immediate Trial	\$ 203,350	New England Medical Center
Creation of a strategic exotic snake anti- venom database	\$ 230,869	Health Resources and Services Administration
UNM Emergency Management for Higher	\$ 482,807	Department of Education
Clinical Trial Agreement-Phase III	\$ 541,218	CSL Behring
HR - 3R66Z Patient Costs Only	\$ 544,910	New England Medical Center
UNM Educational Services Agreement	\$ 4,313,394	Kirtland Air Force Base
	\$ 8,944,631	

## **PURPOSE**

The purpose of the audit is to review EMD's business processes and to determine compliance with UBPP and EMD's internal procedures for their Contract and Grant procedures and administration. The purpose of the Contract and Grant review is to verify compliance with applicable laws, rules, regulations, and the UBPP.

## **SCOPE**

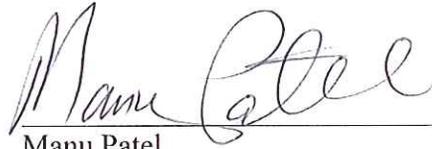
The scope of the audit includes review of EMD business processes for the administration of Contracts and Grants (active and closed) during fiscal year 2011. It did not include a review of any UNM Hospital Emergency Room operations or other UNM Hospital operations. The Internal Audit Department completed fieldwork on April 13, 2012.

Of the 39 EMD's Contract and Grant awards of \$8,944,631, nine awards with an award amount of \$6,821,994 were selected for review. Other EMD operating expenses and budgets were not included in the audit. Audit procedures included interviewing EMD and HSC Contracts and Grants personnel and reviewing Contract and Grant expenditure transactions. Internal Audit reviewed the following areas as they apply to EMD Contract and Grant awards:

- Leave request, approval and reconciliation
- Proper timesheet approval and timekeeping practices
- Long distance call review and reconciliation
- Contract and Grant deliverables
- Contract and Grant expenses
- Purchase Order processes
- Contract and Grant PCard Purchases and Reconciliation
- Contract and Grant labor expenses
- Contract and Grant file content
- Compliance with Contract and Grant Effort Reporting requirements

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**APPROVALS**



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Manu Patel  
Director, Internal Audit Department

Approved for Publication



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Chair, Audit Committee