

The University of New Mexico
Board of Regents' Audit and Compliance Committee
October 16, 2014 – 9:00 AM
Roberts Room
Agenda

ACTION ITEMS

1. Confirmation of a Quorum and Adoption of Agenda
2. Approval of Meeting Minutes from August 21, 2014
3. Amendments to Regents' Policy Manual (RPM) Policy 1.8 - Regent Code of Conduct and Conflict of Interest (*Paul Roth, Chancellor for Health Sciences; Scot Sauder, Deputy University Counsel for Health Sciences*).

INFORMATION ITEMS

4. Advisors' Comments
5. Annual Security & Fire Safety Report – 2014 (*Christine Chester, University Clery Coordinator*)
 - a. Follow-up Items from August 21, 2014 Meeting
6. Faculty Senate SAC/STC Policy and Data Analysis Report (*Chaouki Abdallah, Provost & Executive Vice President for Academic Affairs*)
7. Code of Ethics Update (*Melissa Bokovoy, Academic Leadership Fellow, President's Office; Pamina Deutsch, Director, Policy Office*)
8. Health Science Center Chief Compliance Officer Status Report (*Stuart Freedman, HSC Chief Compliance Officer*)
9. Main Campus Chief Compliance Officer Status Report (*Helen Gonzales, UNM Main Campus Chief Compliance Officer*)
10. Status of Audit Recommendations (*Chien-chih Yeh, Internal Audit Manager*)
 - Implemented
 - Open
 - Pending
11. Director of Internal Audit Status Report (*Manu Patel, Internal Audit Director*) and Working Lunch

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EXECUTIVE SESSION

12. Vote to close the meeting and to proceed in Executive Session as follows:

- a. Presentation of FY14 External Financial Audit pursuant to exceptions at Section 10-15-1H NMSA (1978) and Section 12-6-5 NMSA (1978) (*KPMG, Moss Adams, and Liz Metzger, University Controller*)
- b. Discussion of Final Internal Audit Reports, pursuant to limited personnel matters exception at Section 10-15-1.H(2) NMSA (1978), exception for matters subject to attorney-client privilege pertaining to threatened or pending litigation at Section 10-15-1.H(7), NMSA (1978).
- c. Discussion of limited personnel matters pursuant to exception at Section 10-15-1.H(2) NMSA (1978);
- d. Schedule of Audits in Process, pursuant to exceptions at Sections 10-15-1H(2 and 7), NMSA (1978);
- e. Proposed FY15 Audit Workplan exceptions at Sections 10-15-H(2 and 7), NMSA (1978); and
- f. Vote to re-open the meeting.

13. Certification that only those matters described in Agenda item # 12 were discussed in Executive Session and if necessary ratification of action, if any, taken in Executive Session

14. Adjournment