

BOARD of REGENTS



AUDIT AND COMPLIANCE COMMITTEE MEETING

*Thursday, March 3, 2016 at 9:00 am
Scholes Hall, Roberts Room*

The University of New Mexico
Board of Regents' Audit and Compliance Committee
March 3, 2016 – 9:00 AM
Roberts Room
Agenda

ACTION ITEMS

1. Confirmation of a Quorum and Adoption of Agenda
2. Approval of Meeting Minutes from November 5, 2015
3. The following 2016 calendar year meeting dates are being presented for Committee approval. The Committee meets at 9:00 AM in the Roberts Room. This schedule will accommodate both entrance and exit conferences for the FY16 Financial Statements audit.

May 5, 2016 (Entrance Conference for FY16 External Audit)

August 4, 2016

October 20, 2016 (Exit Conference for FY16 External Audit)

4. Discussion and Approval of Regents' Policy, Section 8.8 – Harwood Foundation and Regents Resolution Regarding the Governing Board of the Harwood Foundation (*Amy Wohlert, Chief of Staff, President's Office*)
5. Approval of the Contract for UNM FY16 Annual Financial Statements Audit (*Elizabeth Metzger, University Controller*)

INFORMATION ITEMS

6. Advisors' Comments
7. Follow-Up Items from November 5, 2015 Meeting
8. Main Campus Chief Compliance Officer Status Report (*Helen Gonzales, UNM Main Campus Chief Compliance Officer*)
9. Health Sciences Center Chief Compliance Officer Status Report (*Stuart Freedman, HSC Chief Compliance Officer*)
10. Status of Audit Recommendations (*Chien-chih Yeh, Internal Audit Manager*)
Implemented
Pending
11. Director of Internal Audit Status Report (*Manu Patel, Internal Audit Director*)

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EXECUTIVE SESSION

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

- a. Discussion of draft Internal Audit Reports, and discussions of information subject to attorney-client privilege pursuant RPM 1.2
- b. Discussion of limited personnel matters pursuant to exception at Section 10-15-1.H(2) NMSA (1978);
- c. Schedule of Audits in Process and FY16 Audit Work plan, pursuant to RPM 1.2
- d. 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

THE UNIVERSITY OF NEW MEXICO
Board of Regents' Audit and Compliance Committee Meeting
November 5, 2015 – Draft Meeting Minutes

Members Present: Chairman Lt. Gen. Bradley Hosmer, Vice Chair Suzanne Quillen; Member Regent Fortner (Quorum) attended Executive Session via FaceTime.

Other Attendees: Chaouki Abdallah, Helen Gonzales, Amy Wohlert, Liz Metzger, Kim Bell, Mike Schwantes, Gil Gonzales, John Reindorp, Robert Burford, Purvi Mody, Erin Doles, Carla Dominici, Mike Tuttle, Texana Martin, Crystal Davis, Manu Patel, Chien-chih Yeh, Lisa Wauneka, William Cottrell, Avedona Lucero, Eileen Sanchez, Mallory Reviere, Amy O'Donnell.

Chairman Hosmer called the meeting to order at 8:57 AM in ROBERTS ROOM, Scholes Hall, UNM.

ACTION ITEMS:

- The Committee unanimously approved the meeting agenda and the minutes from the meeting of August 18, 2015.
- The Committee will check their calendars and advise the Internal Audit Director regarding the next proposed meeting dates of March 3, 2016 and May 5, 2016. The meeting will start at 9:00 AM, to precede ASAR.

By unanimous consent, the meeting went into Executive Session for the reasons stated in the agenda.

- a) Presentation of FY15 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 draft Internal Audit Reports, and discussions of information subject to attorney-client privilege pursuant to RPM 1.2
- c) Discussion of limited personnel matters pursuant to exception at Section 10-15-1.H(2) NMSA (1978);
- d) Schedule of Audits in Process and Proposed FY16 Audit Work plan, pursuant to RPM 1.2
- e) Vote to re-open the meeting.

The meeting returned to open session at 12:05 PM, with certification that only those matters described above were discussed in Executive Session.

The Committee unanimously approved the following UNMH audits:

- UNM Hospitals Controlled Substances Audit Report #2014-03
- UNM Cancer Center Controlled Substances Audit Report #2014-03A
- Sandoval Regional Medical Controlled Substances Audit Report #2014-04

The Committee unanimously approved the following UNM audits:

- Safety and Risk Services Audit Report #2015-05
- Audit of Public Events – Popejoy Hall Audit Report #2015-11

INFORMATION ITEMS:

- The Chairman asked for Advisors' Comments. Texanna Martin addressed the Committee regarding GPSA activity. She is currently working on items for the Student Fee Review Board. They are having an emergency meeting and will have comments for the Regents soon. GPSA will be going to Santa Fe on November 13th to talk to HED. UNM Day is January 25th in Santa Fe. November 19th is the official Great American Smokeout Day. ASUNM and GPSA will have tables around campus to promote smoking cessation. Physics and Astronomy recently had a big open house with 75-100 high school students.
- Follow-Up Items from June 29, 2015 and August 18, 2015 Meetings – Director Patel stated there are three items, but two of those will need to wait until the Health Sciences Center Compliance Office is in attendance to report on them. The third one is regarding the location of the hotline number. Helen Gonzales, Main Campus Chief Compliance Officer informed the Committee that she is working on a solution to this with Cinnamon Blair at University Communication and Marketing. Ms. Blair noted that they do not want the home page to be more cluttered and for the number to just be lost on the page. Ms. Blair will also assist in looking at metrics of how people get to the hotline. The page can be found by typing "hotline" in to the search function on UNM's home page. Ms. Gonzales stated her office is looking at other sites, such as the Safety page, where it might be added.
- Ms. Gonzales provided the Committee with her quarterly report. One thing she wants to focus on in the report for this meeting is the risk area of lack of policies and procedures for minors on campus. The University now has a draft policy that is out for campus comment. There is a committee that has worked on this for the past year. They have also developed waiver forms and are in the process of developing training. The policy has attracted a fair amount of comment. Ms. Gonzales stated her office is collecting that comment and will meet with the committee to incorporate the information. UNM is now a part of a collaborative group of about 50 universities across the country. Eileen Sanchez, Compliance Specialist, has been doing a lot of legwork in this area. Minors on campus has become an enormous issue for universities. Many universities are actually hiring a full time Protection of Minors Coordinator. Chairman Hosmer asked how minors are defined. Ms. Gonzales replied that minors are individuals under 18 years of age who are not University of New Mexico students. If an enrolled student is under 18, the policy does not apply to them. Included in the policy are guidelines around employees bringing their minor children to the workplace, and students bringing their minor children to the classroom. Hopefully the policy will be implemented by the next meeting of this Committee.

Ms. Gonzales informed the Committee that there are also some significant changes being proposed to the Whistleblower policy. That policy is also out for campus comment, but there are no comments on that one yet. The new policy includes more options for how to address issues.

Ms. Sanchez is spending a large amount of time on the continuing enhancement and management of the Ethics Point case management/hotline system. The Compliance Office has introduced tips of the week for the investigators entered in the system. They are also spending time with the Office of Equal Opportunity to see if this system will meet their needs as well.

During the last quarter, they had 34 new hotline complaints. That is down a little, but it was summer. The 34 cases included a total of 42 issues. Of those cases, 19 were for main campus and branch campuses, and 15 were for the health system. One interesting thing to note is that 22 were filed by employees, six were anonymous, five were student cases, and one was a patient complaint. This quarter there are already a couple of other patient issues, so patients are also finding the hotline and submitting concerns. Follow up is especially critical in this area. The Compliance Office is trying to figure out how to manage this since they do the triage and send them out to the proper investigative bodies. The Compliance Office is requesting feedback on what was done and asks them to communicate back to the reporter.

Chairman Hosmer asked about the Department of Justice. Ms. Gonzales reported that in September, the Department of Justice issued a memo to all their attorneys, including all US attorneys across the country, announcing a new policy to increasingly target individuals involved in corporate crimes. The new directive is intended to send a message that says while they generally focus on and fine an organization, they do not intend to give credit to the compliance programs unless the individuals involved are identified as well. It remains to be seen if this would affect a state university but it is a best practice anyway for accountability, responsibility, and cooperation. The Assistant Attorney General says if you choose to cooperate with them, they expect that you will provide facts, whether good or bad, including individuals responsible for the misconduct no matter their rank. Also significant is that the Department of Justice just hired a compliance expert. They did not have that position previously.

Crystal Davis, Staff Council President, inquired about background checks in the new Minors on Campus policy. If there will be additional requirements for the background checks, is there a way for the cost to be reduced? Secondly, she indicated there is also campus concern about credit checks being included in this process. Ms. Gonzales stated the cost issue was addressed through campus comment. Pamina Deutsch, Policy Office Director had stated she would forward that question on to Human Resources. Human Resources has the contract with the background check provider. Ms. Gonzales added that she is not aware of these specific background checks including financial background inquiries. If Ms. Davis has any specific information about that, Ms. Gonzales would like her to direct that person to her office. If that happened, they would certainly like to know about it. Ms. Davis stated the concern was that staff were not aware that this would be part of the background check. If a credit check is part of the background check, people should be notified of that when they apply. It is Ms. Gonzales's understanding that the Fair Credit Reporting Act requires notification.

- Chien-chih Yeh, Internal Audit Manager, updated the Committee on the status of audit recommendations. The first two pages are implemented items. A few more items are reported as completed by the auditees but Internal Audit has not verified the paperwork prior to the report cycle for this meeting. Other items are progressing as expected. Chairman Hosmer and Regent Quillen thanked Internal Audit for providing more status updates.
- Mr. Patel reviewed his Director's Report. He noted that we need to finalize the next meeting dates (as noted above in these minutes under Action Items). The department financial report is attached to the Director's Report. The Department's FY16 budget is \$812,000. \$802,000 comes from the general pool and \$10,000 is from Department reserves. Administration withheld 5% from the general pool, approximately \$40,000. Mr. Patel reported he expects to end the fiscal year with approximately \$25,000 in reserves.

Mr. Patel provided the Committee with a summary list of current external audits being performed on the University. Regarding the Center for Medicaid and Medicare Services, they started the contract with Connolly on a contingency fee basis to perform billing reviews. They requested 300 patient billing records totaling \$9.8 million. Chairman Hosmer asked if Connolly was the original contractor. Mr. Patel replied they were the contractor, but there was about a six month period that they didn't have a contract. Regent Quillen added that CMS suspended them all because they couldn't catch up because everyone was going to court over it.

The Department has one auditor vacancy and two student interns will start next week. The budget picture will determine how long the audit position remains vacant. Director Patel provided a copy of the Department's Annual Report for the Committee's information. He requested that Committee members respond with any feedback.

The meeting adjourned at 12:36 PM (Motion: Regent Quillen; Second: Chairman Hosmer).

Approved:

Audit and Compliance Committee Chairman

There is no
handout
required for
this item



MEMORANDUM

TO: Board of Regents' Internal Audit and Compliance Committee

FROM: Amy Wohlert, Chief of Staff and Harwood Board Member
 Pamina M. Deutsch, Director, UNM Policy Office

A Wohlert
pmo

RE: Harwood Foundation Governance

DATE: March 3, 2016

In Recommendation 1 of Internal Audit Report 2015-03 (May 29, 2015), Internal Audit suggested the following changes to clarify the roles and responsibilities of the parties involved in the governance of the Harwood Foundation of the University of New Mexico, which is known as the Harwood Museum of Art:

Recommendation 1: *Ensuring the adequacy and effectiveness of the Harwood Museum's governance process is ultimately a responsibility of the UNM Provost, President, and Board of Regents. The Office of the Provost should review the current Resolution, RPM, and UAPP policies, and provide the Harwood Board, the President, and the Board of Regents with the recommended changes to the Resolution and both policies to clarify roles and responsibilities of these parties. This will create an effective and efficient governance structure that will provide for operational and financial accountability for the Museum, and clear reporting and supervisory responsibilities for the Director.*

To comply with Recommendation 1, the Board of Regents' Resolution on Harwood was revised to clarify the roles and responsibilities of the parties; a proposed new Regents' Policy on Harwood was drafted; and a University Administrative Policy on museums and collections was revised. On January 20, 2016, the Harwood Foundation Board approved the revised Resolution.

At this time, we are asking for you to review, approve, and forward to the full Board of Regents for approval the following two documents:

1. The revised Board of Regents Resolution Regarding the Governing Board of the Harwood Foundation of the University of New Mexico
2. A proposed new Regents' Policy on the Harwood

For your information only, we also are attaching the proposed revisions to UAP 6410 ("Museums and Collections"), which will be submitted to the University President for approval.

Attachments:

- Board of Regents of the University of New Mexico Resolution Regarding the Governing Board of the Harwood Foundation of the University of New Mexico
 - Revised Resolution (with and without track changes)
 - Original 2007 Resolution
- Proposed new Regents' Policy 8.8 ("Harwood")
- UAP 6410 ("Museums and Collections")

REVISED RESOLUTION WITH TRACK
CHANGES

**BOARD OF REGENTS OF THE UNIVERSITY OF NEW MEXICO
RESOLUTION REGARDING
THE GOVERNING BOARD OF THE HARWOOD FOUNDATION OF THE
UNIVERSITY OF NEW MEXICO**

Preamble

WHEREAS, the Harwood Foundation of the University of New Mexico (“Harwood Museum” or “Museum”), established pursuant to a deed of gift (“Deed”) from Mrs. Lucy Case Harwood to the University of New Mexico in 1935, is an educational, cultural and art center of the University.

WHEREAS, the Museum is owned by and subject to the full authority of the Regents of the University of New Mexico (the “University” or “UNM”), a body corporate, and its Board of Regents (the “Regents”).

WHEREAS, in May 2005, the Regents adopted that certain Resolution Affirming the Governing Board of the Harwood Foundation of the University of New Mexico, Harwood Museum of Art (the “2005 Resolution”), which delegated certain authority for the governance, management and operation of the Museum to the Provost and the Governing Board of the Harwood Foundation of the University of New Mexico (the “Harwood Board”).

WHEREAS, in May 2007, the Regents adopted a Resolution delegating to the Harwood Board certain responsibility for the governance, oversight, management, and operation of the Museum.

WHEREAS, the Regents wish to revise the delegated authority for governance, management and operations of the Museum as hereinafter stated in these resolutions.

NOW, THEREFORE, BE IT RESOLVED:

1. Authority Retained by the Regents

The purpose of the resolutions (collectively, this “Delegation Resolution”) hereby adopted shall be to delegate to the Harwood Board authority and responsibility to oversee and manage the operations of

the Harwood Museum. All authority not expressly delegated by this Delegation Resolution is retained by the Regents, including but not limited to the ownership, control, acquisition, disposition and the use of all property and rights of the Regents. All decisions of the Harwood Board shall be subject to review and action by the Regents.

2II. Name

Pursuant to the Deed, the name of the Museum is the “Harwood Foundation of the University of New Mexico” and the full name of the Harwood Board is the “Governing Board of the Harwood Foundation of the University of New Mexico.” For marketing and publicity purposes, the Museum itself is referred to as “The Harwood Museum of Art” or “Harwood Museum.” ~~The Harwood Board shall ensure that all communications on behalf of the Harwood Board and the Museum use such full names.~~ The Harwood Board shall make clear to members of the community, potential donors and grantors the ownership of all funds granted or gifted to the Museum by the Board of Regents.

3III. The Harwood Board

A. Establishment of Harwood Board; Composition

Pursuant to the Deed, the Regents ~~hereby~~ established a committee to known as the “Governing Board of the Harwood Foundation of the University of New Mexico” (herein the “Harwood Board”). The Harwood Board shall consist of nine members all of whom shall be appointed by the Regents. Six members of the Harwood Board may be appointed based on recommendations of the Harwood Board. Three members of the Harwood Board may be appointed based on recommendations of the President of the University (the term “President” as used herein means President or his or her designee), at least one of whom shall be an administrator of the University. The term of each member shall be three years. Members shall be appointed to serve staggered terms. The Regents shall make appointments to fill any vacancy occurring on the Harwood Board according to the same process.

Each member of the Harwood Board shall be expected to:

- a) 1. Attend and actively participate in all meetings of the Harwood Board and committees to which he or she is assigned;
- b) 2. Become a member of the Museum;
- c) 3. Become familiar with applicable UNM policies, procedures and operations;
- d) 4. Be a strong advocate for the University and the Museum; and
- e) 5. Participate in and encourage members of the community to participate in museum activities whenever possible.

The Regents may, by majority vote, remove a member of the Harwood Board for cause. For cause may include missing two or more consecutive meetings of the Harwood Board.

B. Responsibilities of the Harwood Board

The Harwood Board shall be responsible for the governance, oversight, management and operation of the Harwood Museum of Art. In pursuit of this responsibility, the Harwood Board will:

1. Manage and direct the operations of the Museum in a manner that ensures compliance with UNM policies, adherence to and accountability for the operating budget, and coordination with UNM administrative offices.
2. Manage and oversee the operational use of all Museum property, ~~promptly attending to the inventory, protection and security of the collections and other property~~ assuring the collections and other property are inventoried, secured, protected, and insured.
 - a) Ensure the Director c~~Conducts~~ and maintains a complete inventory of all property in accord with UNM Policy 7710: Property Management and

Control and UNM Policy 6410: Museums and Collections;

- b) ~~Prepare~~ Ensure the Director prepares and ~~submit~~ maintains ~~for the Regents' approval a proposed~~ an approved policy for accessioning and deaccessioning certain categories of tangible gifts that meets the requirements of UNM Policy ~~7710~~1030: Gifts to the University and UNM Policy 6410: Museums and Collections ~~of Tangible Personal Property~~; and
- c) Deposit all funds received on behalf of the Museum and the Harwood Board in appropriate UNM accounts established by the UNM Controller and report all gifts to the Development Office. All investment assets for the benefit of the Harwood Museum of Art shall be invested in the Consolidated Investment Funds in accordance with University policies.

3. Oversee and supervise the work of the Director of the Harwood Museum of Art.

~~a)~~ The Director and the other employees of the Harwood Museum shall be employees of the University, subject to all of the policies of the University.

a)

b) The Director of the Harwood Museum shall report to the Harwood Board regarding the operations of the museum. The Harwood Board is responsible for all employment decisions regarding the Museum Director, including decisions to hire, evaluate, recommend raises, discipline and terminate the Director.

~~b)c)~~ The One of the Harwood Board UNM President's three Board appointees, ~~shall appoint a Board member~~ who is a UNM employee ~~to, shall act~~ serve as the administrative supervisor of the Director ("Supervisor"). The President shall designate an Executive Vice President, to whom the Supervisor

reports, as the Museum's administrative unit, per UNM Policy 6410: Museums and Collections. The Supervisor will implement the decisions of the Harwood Board with respect to the Director, and ~~in consultation with the UNM Human Resource Department~~, shall ensure that the Harwood Board's actions with respect to the Director are consistent with UNM personnel policies and practices. The Supervisor will also represent University management and ensure that the operations of the Museum are in compliance with UNM administrative policies and practices.

e)d) ___ Museum staff shall be supervised by and report to the Director of the Museum. Members of the Harwood Board shall communicate concerns about staff performance, priorities, and activities through the Supervisor and Director.

- ~~4. Establish and implement, in coordination with the Harwood Museum Alliance, Inc., a non-profit corporation (the "Alliance"), fund-raising strategies for the Harwood Museum, including raising funds from individuals, corporations, foundations and other private sources, sufficient to support the total annual budget for the complete operations of the Harwood.~~
- ~~5. Oversee the work of the Harwood Alliance in accordance with any Memorandum of Understanding between the Regents of the University of New Mexico and the Harwood Alliance.~~
- ~~6. Appoint, from time to time, up to twelve (12) individuals to serve as Advisory Members to the Harwood Board, such Advisory Members to attend meetings of the Board and to provide advice about fundraising and matters of interest to the community.~~

~~7.4.~~ Establish and periodically review and approve a mission statement for the Museum and strategic and long-range plans as appropriate. Such mission statement and long range plans shall conform to any directives from the Regents and the purposes of the Museum described in the Deed.

~~8.5.~~ In consultation with the UNM Policy Office, adopt necessary policies concerning the Museum operations.

~~9.6.~~ Annually approve and submit to the President of the University a budget request for University operating and general funds to support the operating budget of the Museum. The request to the President must meet UNM's established timelines governing the submission of proposed budget requests and any process governing the adoption of the UNM Annual Budget.

~~10.7.~~ Annually submit an operating budget and an annual report of activities for the Museum to the Regents. The operating budget is to identify all operating, capital and program expenses, the source of all funds, including but not limited to University budgeted and allocated funds and private donations (including those to be made by the Alliance, gift shop revenue, endowment expenditures and special events revenue).

C. Compliance with Public Laws and University Policies

As a part of the University of New Mexico, the Harwood Board must ensure that all decisions and actions taken are in conformance with all the public laws governing UNM, including but not limited to the following: Open Meetings Act, the New Mexico Public Records Act, eligibility requirements for travel reimbursement, adherence to the Regent Code of Conduct and Conflicts of Interest Policy.

As required by UNM policies, all contracts, grants and other agreements entered into for the benefit of the Museum shall conform with UNM's policies on contracts and shall refer to the

contracting party as the “Regents of the University of New Mexico on behalf of and acting through the Governing Board of the Harwood Foundation of the University of New Mexico.”

~~The~~ Upon obtaining written endorsement from the Chair of the Harwood Board and the Supervisor, the Director has authority to sign contracts for the Museum in accord with UNM’s signature authority procedures, with a value not to exceed Twenty-Five Thousand Dollars (\$25,000), except for contracts reserved to the Regents, President, or Director of Purchasing pursuant to UNM Policy 2210; Contract Signature Authority and Review.

All title to any assets currently owned, gifted to or purchased by the Museum, including any and all improvements placed on the Harwood property shall be in the name of the Regents regardless of the source of the funds used in the acquisition.

The operations of the Museum shall be subject to audit by UNM internal and external auditors as provided by University policies. The Harwood Board shall ensure compliance with audit recommendations of such auditors.

4. Actions Requiring Regent Approval

Except with the prior approval of the Regents or their authorized delegates, the Harwood Board may not:

- a) Purchase, acquire, lease, sell, license or otherwise dispose of any real, personal or intangible property, except as otherwise provided in Section 3.B.2
- b) Place or construct any improvements on Museum property.
- c) Make legislative requests for funding related to the Museum to any governmental body;
- d) Establish any endowments for the benefit of the Harwood Museum of Art;
- e) Accept or defend any legal proceeding, except in emergency situations with the prior approval of the President;
- f) Expend any funds from established endowed funds for the benefit of the Harwood Board or the Museum. Regents’

approval may be requested as part of the proposed Museum operating budget.

5. Bylaws

The Harwood Board shall adopt bylaws providing for other aspects of governance of the Harwood Board. Such bylaws shall conform to the provisions of this Delegation Resolution. No bylaws or any amendments thereto shall become effective unless and until approved by the Regents.

6. Effective Date

This Delegation Resolution shall be effective as of the date ~~of the first appointment by the Regents of the first Harwood Board members ("Initial Harwood Board members") pursuant to Section 3.A. of adoption.~~ This Delegation Resolution supersedes the ~~2005-2007 Resolution and the Governing Board, as described therein, will be replaced with the~~ Initial Harwood Board members.

Adopted this ~~8th~~ _____ day of ~~May~~ _____, ~~2007~~2016

Attest: _____

By the _____ (Title)
Board of Regents of the University of New Mexico

~~BOARD OF REGENTS OF THE UNIVERSITY OF NEW MEXICO~~

~~Resolutions Regarding Appointment of Members Harwood Board~~

~~WHEREAS, on May 8, 2007 the Board of Regents of the University of New Mexico (the "Regents") adopted resolutions (the "Delegation Resolution") delegating to the Harwood Board (as that term is defined~~

~~in paragraph 3.A of the Delegation Resolution) certain responsibility for the governance, oversight, management and operation of the University of New Mexico's (the "University" or "UNM") Harwood Museum, located in Taos, New Mexico;~~

~~WHEREAS, the Delegation Resolution provides that the Regents shall appoint the members of the Harwood Board and that the Harwood Board shall consist of nine (9) members, six (6) of whom may be appointed based on recommendations of the Harwood Board, and three (3) of whom may be appointed based on recommendations of the President of the University or his designee (at least one of whom shall be an administrator of the University);~~

~~WHEREAS, the term of each member shall be three (3) years, but members shall be appointed to serve staggered terms;~~

~~WHEREAS, the Harwood Board, as constituted by the Delegation Resolution, will upon appointment of its initial members, replace the existing Governing Board constituted pursuant to the 2005 Resolution (as that term is defined in the third "Whereas" clause of the Delegation Resolution);~~

~~WHEREAS, the Governing Board has recommended six (6) individuals for appointment to the Harwood Board and the President of the University has recommended three (3) individuals for appointment (all currently University administrators), and each such nominee is willing to serve as a member of the Harwood Board;~~

~~WHEREAS, having determined that each individual recommended by the Governing Board or the President of the University for appointment is qualified to serve as a member of the Harwood Board and that the appointment of each is in the best interest of the University and the Harwood Museum, the Regents wish to appoint such nominees to the Harwood Board;~~

~~**NOW, THEREFORE, BE IT RESOLVED:**~~

- ~~1. The following individuals are hereby appointed to serve as members of the Harwood Board for an initial term ending on the date indicated opposite his or her name:~~

<u>NAME</u>	<u>EXPIRATION DATE OF INITIAL TERM</u>
Michael Sudbury (Governing Board nominee)	June 30, 2008
Lawrence Berkowitz (Governing Board nominee)	June 30, 2008
Charles Strong (Governing Board nominee)	June 30, 2009
Linda Warning (Governing Board nominee)	June 30, 2009
Deborah McLean (Governing Board nominee)	June 30, 2010
Gus Foster (Governing Board nominee)	June 30, 2010
David W. Harris, Executive Vice President for Administration, COO and CFO, UNM (UNM President nominee)	June 30, 2008
Kate M. O'Neill, Ed.D., Interim Executive Director, UNM-Taos Branch Campus (UNM President nominee)	June 30, 2009
Wynn M. Goering, Associate Provost Academic Affairs, UNM (UNM President nominee)	June 30, 2010

- ~~2. The foregoing appointments shall be effective immediately. The effective date of the Delegation Resolution contemplated by Section 6 therein shall be the date set forth below:~~

~~PASSED, APPROVED AND ADOPTED BY THE VOTE OF THE BOARD OF
REGENTS ON JUNE 12, 2007~~

By: _____

Its: _____

REVISED RESOLUTION WITHOUT TRACK
CHANGES

**BOARD OF REGENTS OF THE UNIVERSITY OF NEW MEXICO
RESOLUTION REGARDING
THE GOVERNING BOARD OF THE HARWOOD FOUNDATION OF THE
UNIVERSITY OF NEW MEXICO**

Preamble

WHEREAS, the Harwood Foundation of the University of New Mexico (“The Harwood Museum of Art,” or “Museum”), established pursuant to a deed of gift (“Deed”) from Mrs. Lucy Case Harwood to the University of New Mexico in 1935, is an educational, cultural and art center of the University.

WHEREAS, the Museum is owned by and subject to the full authority of the Regents of the University of New Mexico (the “University” or “UNM”), a body corporate, and its Board of Regents (the “Regents”).

WHEREAS, in May 2005, the Regents adopted that certain Resolution Affirming the Governing Board of the Harwood Foundation of the University of New Mexico, Harwood Museum of Art (the “2005 Resolution”), which delegated certain authority for the governance, management and operation of the Museum to the Provost and the Governing Board of the Harwood Foundation of the University of New Mexico (the “Harwood Board”).

WHEREAS, in May 2007, the Regents adopted a Resolution delegating to the Harwood Board certain responsibility for the governance, oversight, management and operation of the Museum.

WHEREAS, the Regents wish to revise the delegated authority for governance, management and operations of the Museum as hereinafter stated in these resolutions.

NOW, THEREFORE, BE IT RESOLVED:

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the Harwood Museum of Art. All authority not expressly delegated by this Delegation Resolution is retained by the Regents, including but not limited to the ownership, control, acquisition, disposition and the use of all property and rights of the Regents. All decisions of the Harwood Board shall be subject to review and action by the Regents.

II. Name

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III. The Harwood Board

A. Establishment of Harwood Board; Composition

Pursuant to the Deed, the Regents established a committee known as the "Governing Board of the Harwood Foundation of the University of New Mexico" (herein the "Harwood Board"). The Harwood Board shall consist of nine members all of whom shall be appointed by the Regents. Six members of the Harwood Board may be appointed based on recommendations of the Harwood Board. Three members of the Harwood Board may be appointed based on recommendations of the President of the University (the term "President" as used herein means President or his or her designee), at least one of whom shall be an administrator of the University. The term of each member shall be three years. Members shall be appointed to serve staggered terms. The Regents shall make appointments to fill any vacancy occurring on the Harwood Board according to the same process.

Each member of the Harwood Board shall be expected to:

1. Attend and actively participate in all meetings of the Harwood Board and committees to which he or she is assigned;
2. Become a member of the Museum;
3. Become familiar with applicable UNM policies, procedures and operations;
4. Be a strong advocate for the University and the Museum; and
5. Participate in and encourage members of the community to participate in museum activities whenever possible.

The Regents may, by majority vote, remove a member of the Harwood Board for cause. For cause may include missing two or more consecutive meetings of the Harwood Board.

B. Responsibilities of the Harwood Board

The Harwood Board shall be responsible for the governance, oversight, management and operation of The Harwood Museum of Art. In pursuit of this responsibility, the Harwood Board will:

1. Manage and direct the operations of the Museum in a manner that ensures compliance with UNM policies, adherence to and accountability for the operating budget and coordination with UNM administrative offices.
2. Manage and oversee the operational use of all Museum property, assuring the collections and other property are inventoried, secured, protected and insured.
 - a) Ensure the Director conducts and maintains a complete inventory of all property in accord with UNM Policy 7710: Property Management and Control and UNM Policy 6410: Museums and Collections;
 - b) Ensure the Director prepares and maintains an approved policy for accessioning and deaccessioning certain categories of tangible gifts that meets the requirements of UNM Policy 1030:

Gifts to the University and UNM Policy 6410:
Museums and Collections; and

- c) Deposit all funds received on behalf of the Museum and the Harwood Board in appropriate UNM accounts established by the UNM Controller and report all gifts to the Development Office. All investment assets for the benefit of The Harwood Museum of Art shall be invested in the Consolidated Investment Funds in accordance with University policies.

3. Oversee and supervise the work of the Director of The Harwood Museum of Art.

- a) The Director and the other employees of the Museum shall be employees of the University, subject to all of the policies of the University.
- b) The Director of the Museum shall report to the Harwood Board regarding the operations of the Museum. The Harwood Board is responsible for all employment decisions regarding the Museum Director, including decisions to hire, evaluate, recommend raises, discipline and terminate the Director.
- c) One of the UNM President's three Board appointees, who is a UNM employee, shall serve as the administrative supervisor of the Director ("Supervisor"). The President shall designate an Executive Vice President, to whom the Supervisor reports, as the Museum's administrative unit, per UNM Policy 6410: Museums and Collections. The Supervisor will implement the decisions of the Harwood Board with respect to the Director, and shall ensure that the Harwood Board actions with respect to the Director are consistent with UNM personnel policies and practices. The Supervisor will also represent University management and ensure that the operations of the Museum are in

compliance with UNM administrative policies and practices.

d) Museum staff shall be supervised by and report to the Director of the Museum. Members of the Harwood Board shall communicate concerns about staff performance, priorities, and activities through the Supervisor and Director.

4. Establish and periodically review and approve a mission statement for the Museum and strategic and long-range plans as appropriate. Such mission statement and long range plans shall conform to any directives from the Regents and the purposes of the Museum described in the Deed.
5. In consultation with the UNM Policy Office, adopt necessary policies concerning the Museum operations.
6. Annually approve and submit to the President of the University a budget request for University operating and general funds to support the operating budget of the Museum. The request to the President must meet UNM's established timelines governing the submission of proposed budget requests and any process governing the adoption of the UNM Annual Budget.
7. Annually submit an operating budget and an annual report of activities for the Museum to the Regents. The operating budget is to identify all operating, capital and program expenses, the source of all funds, including but not limited to University budgeted and allocated funds and private donations (including gift shop revenue, endowment expenditures and special events revenue).

C. Compliance with Public Laws and University Policies

As a part of the University of New Mexico, the Harwood Board must ensure that all decisions and actions taken are in conformance with all the public laws governing UNM, including but not limited to the following: Open Meetings Act, the New

Mexico Public Records Act, eligibility requirements for travel reimbursement, adherence to the Regent Code of Conduct and Conflicts of Interest Policy.

As required by UNM policies, all contracts, grants and other agreements entered into for the benefit of the Museum shall conform with UNM's policies on contracts and shall refer to the contracting party as the "Regents of the University of New Mexico on behalf of and acting through the Governing Board of the Harwood Foundation of the University of New Mexico."

Upon obtaining written endorsement from the Chair of the Harwood Board and the Supervisor, the Director will be delegated authority to sign contracts for the Museum in accord with UNM's signature authority procedures, with a value not to exceed Twenty-Five Thousand Dollars (\$25,000), except for contracts reserved to the Regents, President or Director of Purchasing pursuant to UNM Policy 2010: Contract Signature Authority and Review.

All title to any assets currently owned, gifted to or purchased by the Museum, including any and all improvements placed on the Harwood property shall be in the name of the Regents regardless of the source of the funds used in the acquisition.

The operations of the Museum shall be subject to audit by UNM internal and external auditors as provided by University policies. The Harwood Board shall ensure compliance with audit recommendations of such auditors.

IV. Actions Requiring Regent Approval

Except with the prior approval of the Regents or their authorized delegates, the Harwood Board may not:

- a) Purchase, acquire, lease, sell, license or otherwise dispose of any real, personal or intangible property, except as otherwise provided in Section III.B.2.
- b) Place or construct any improvements on Museum property.

- c) Make legislative requests for funding related to the Museum to any governmental body;
- d) Establish any endowments for the benefit of the Harwood Museum of Art;
- e) Accept or defend any legal proceeding, except in emergency situations with the prior approval of the President;
- f) Expend any funds from established endowed funds for the benefit of the Harwood Board or the Museum. Regents' approval may be requested as part of the proposed Museum operating budget.

V. Bylaws

The Harwood Board shall adopt bylaws providing for other aspects of governance of the Harwood Board. Such bylaws shall conform to the provisions of this Delegation Resolution. No bylaws or any amendments thereto shall become effective unless and until approved by the Regents.

VI. Effective Date

This Delegation Resolution shall be effective as of the date of the first appointment by the Regents of the first Harwood Board members ("Initial Harwood Board members") pursuant to Section III.A. This Delegation Resolution supersedes the 2007 Resolution.

Adopted this ___ day of _____ 20__

Attest: _____

By the _____ (Title)
Board of Regents of the University of New Mexico

ORIGINAL 2007 RESOLUTION

**BOARD OF REGENTS OF THE UNIVERSITY OF NEW MEXICO
RESOLUTION REGARDING
THE GOVERNING BOARD OF THE HARWOOD FOUNDATION OF THE
UNIVERSITY OF NEW MEXICO**

Preamble

WHEREAS, the Harwood Foundation of the University of New Mexico ("Harwood Museum" or "Museum"), established pursuant to a deed of gift ("Deed") from Mrs. Lucy Case Harwood to the University of New Mexico in 1935, is an educational, cultural and art center of the University.

WHEREAS, the Museum is owned by and subject to the full authority of the Regents of the University of New Mexico (the "University" or "UNM"), a body corporate, and its Board of Regents (the "Regents").

WHEREAS, in May 2005, the Regents adopted that certain Resolution Affirming the Governing Board of the Harwood Foundation of the University of New Mexico, Harwood Museum of Art (the "2005 Resolution"), which delegated certain authority for the governance, management and operation of the Museum to the Provost and the Governing Board of the Harwood Foundation of the University of New Mexico (the "Harwood Board").

WHEREAS, the Regents wish to revise the delegated authority for governance, management and operations of the Museum as hereinafter stated in these resolutions.

NOW, THEREFORE, BE IT RESOLVED:

1. Authority Retained by the Regents

The purpose of the resolutions (collectively, this "Delegation Resolution") hereby adopted shall be to delegate to the Harwood Board authority and responsibility to oversee and manage the operations of the Harwood Museum. All authority not expressly delegated by this Delegation Resolution is retained by the Regents, including but not limited to the ownership, control, acquisition, disposition and use of all property and rights of the Museum. All decisions of the Harwood Board shall be subject to review and action by the Regents.

2. Name

Pursuant to the Deed, the name of the Museum is the "Harwood Foundation of the University of New Mexico" and the full name of the Harwood Board is the "Governing Board of the Harwood Foundation of the University of New Mexico." The Harwood Board shall ensure that all communications on behalf of the Harwood Board and the Museum use such full names. The Harwood Board shall make clear to members of the community, potential donors and grantors the ownership of all funds granted or gifted to the Museum by the Board of Regents.

3. The Harwood Board

A. Establishment of Harwood Board; Composition

Pursuant to the Deed, the Regents hereby establish a committee to be known as the "Governing Board of the Harwood Foundation of the University of New Mexico" (herein the "Harwood Board"). The Harwood Board shall consist of nine members all of whom shall be appointed by the Regents. Six members of the Harwood Board may be appointed based on recommendation of the Harwood Board. Three members of the Harwood Board may be appointed based on recommendations of the President of the University (the term "President" as used herein means the President or his or her designee), at least one of whom shall be an administrator of the University. The term of each member shall be three years. Members shall be appointed to serve staggered terms. The Regents shall make appointments to fill any vacancy occurring on the Harwood Board according to the same process.

Each member of the Harwood Board shall be expected to:

- a) Attend and actively participate in all meetings of the Harwood Board and committees to which he or she is assigned;
- b) Become a member of the Museum;
- c) Become familiar with applicable UNM policies, procedures and operations;
- d) Be a strong advocate for the University and the Museum; and
- e) Participate in and encourage members of the community to participate in museum activities whenever possible.

The Regents may, by majority vote, remove a member of the Harwood Board for cause. For cause may include missing two or more consecutive meetings of the Harwood Board.

B. Responsibilities of the Harwood Board

The Harwood Board shall be responsible for the governance, oversight, management and operation of the Harwood Museum. In pursuit of this responsibility, the Harwood Board will:

1. Manage and direct the operations of the Museum in a manner that ensures compliance with UNM policies, adherence to and accountability for the operating budget, and coordination with UNM administrative offices.
2. Manage and oversee the operational use of all Museum property. promptly attending to the inventory, protection and security of the collections and other property.
 - a) Conduct a complete inventory of all property in accord with UNM Policy 7710 Property Management and Control;
 - b) Prepare and submit for the Regents' approval a proposed policy for accessioning and deaccessioning certain categories of tangible gifts that

meets the requirements of UNM Policy 7710: Gifts of Tangible Personal Property; and

c) Deposit all funds received on behalf of the Museum and the Harwood Board in appropriate UNM accounts established by the UNM Controller and report all gifts to the Development Office. All investment assets for the benefit of the Harwood Museum shall be invested in the Consolidated Investment Funds in accordance with University policies.

3. Oversee and supervise the work of the Director of the Harwood Museum.
 - a) The Director and other employees of the Harwood Museum shall be employees of the University, subject to all of the policies of the University.
 - b) The Director of the Harwood Museum shall report to the Harwood Board regarding the operations of the museum. The Harwood Board is responsible for all employment decisions regarding the Museum Director, including decisions to hire, evaluate, recommend raises, discipline and terminate the Director. The Harwood Board shall appoint a Board member who is a UNM employee to act as the supervisor of the Director ("Supervisor"). The Supervisor will implement the decisions of the Harwood Board with respect to the Director, and in consultation with the UNM Human Resource Department, shall ensure that the Harwood Board actions with respect to the Director are consistent with UNM personnel policies and practices.
 - c) Museum staff shall be supervised by and report to the Director of the Museum. Members of the Harwood Board shall communicate concerns about staff performance, priorities, and activities through the Supervisor and Director.
4. Establish and implement, in coordination with the Harwood Museum Alliance, Inc., a non-profit corporation (the "Alliance"), fund-raising strategies for the Harwood Museum, including raising funds from individuals, corporations, foundations and other private sources, sufficient to support the total annual budget for the complete operations of the Harwood.
5. Oversee the work of the Harwood Alliance in accordance with any Memorandum of Understanding between the Regents of the University of New Mexico and the Harwood Alliance.
6. Appoint, from time to time, up to twelve (12) individuals to serve as Advisory Members to the Harwood Board, such Advisory Members to attend meetings of the Board and to provide advice about fundraising and matters of interest to the community.

7. Establish and periodically review and approve a mission statement for the Museum and strategic and long-range plans as appropriate. Such mission statement and long range plans shall conform to any directives from the Regents and the purposes of the Museum described in the Deed.
8. In consultation with the UNM Policy Office, adopt necessary policies concerning the Museum operations.
9. Annually approve and submit to the President of the University a budget request for University operating and general funds to support the operating budget of the Museum. The request to the President must meet UNM's established timelines governing the submission of proposed budget requests and any process governing the adoption of the UNM Annual Budget.
10. Annually submit an operating budget and an annual report of activities for the Museum to the Regents. The operating budget is to identify all operating, capital and program expenses, the source of all funds, including but not limited to University budgeted and allocated funds and private donations (including those to be made by the Alliance, gift shop revenue, endowment expenditures and special events revenue).

C. Compliance with Public Laws and University Policies

As a part of the University of New Mexico, the Harwood Board must ensure that all decisions and actions taken are in conformance with all the public laws governing UNM, including but not limited to the following: Open Meetings Act, the New Mexico Public Records Act, eligibility requirements for travel reimbursement, adherence to the Regent Code of Conduct and Conflicts of Interest Policy.

As required by UNM policies, all contracts, grants and other agreements entered into for the benefit of the Museum shall conform with UNM's policies on contracts and shall refer to the contracting party as the "Regents of the University of New Mexico on behalf of and acting through the Governing Board of the Harwood Foundation of the University of New Mexico."

The Chair of the Harwood Board has authority to sign contracts for the Museum with a value not to exceed Twenty-Five Thousand Dollars (\$25,000), except for contracts reserved to the Regents, President, or Director of Purchasing pursuant to UNM Policy 2210.

All title to any assets currently owned, gifted to or purchased by the Museum, including any and all improvements placed on the Harwood property shall be in the name of the Regents regardless of the source of funds used in the acquisition.

The operations of the Museum shall be subject to audit by UNM internal and external auditors as provided by University policies. The Harwood Board shall ensure compliance with audit recommendations of such auditors.

4. Actions Requiring Regent Approval

Except with the prior approval of the Regents, the Harwood Board may not:

- a) Purchase, acquire, lease, sell, license or otherwise dispose of any real, personal or intangible property, except as otherwise provided in Section 3.B.2.;
- b) Place or construct any improvements on Museum property;
- c) Make legislative requests for funding related to the Museum to any governmental body;
- d) Establish any endowments for the benefit of the Harwood Museum;
- e) Accept or defend any legal proceeding, except in emergency situations with the prior approval of the President;
- f) Expend any funds from established endowed funds for the benefit of the Harwood Board or the Museum. Regents' approval may be requested as part of the proposed Museum operating budget.

5. Bylaws

The Harwood Board shall adopt bylaws providing for other aspects of governance of the Harwood Board. Such bylaws shall conform to the provisions of this Delegation Resolution. No bylaws or any amendments thereto shall become effective unless and until approved by the Regents.

6. Effective Date

This Delegation Resolution shall be effective as of the date of the first appointment by the Regents of the first Harwood Board members ("Initial Harwood Board members") pursuant to Section 3.A. This Delegation Resolution supersedes the 2005 Resolution and the Governing Board, as described therein, will be replaced with the Initial Harwood Board members.

Adopted this 8th day of May, 2007

Attest: [Signature]

By the Secretary-Treasurer (Title)
Board of Regents of the University of New Mexico

BOARD OF REGENTS OF THE UNIVERSITY OF NEW MEXICO

Resolutions Regarding Appointment of Members of Harwood Board

WHEREAS, on May 8, 2007 the Board of Regents of the University of New Mexico (the "Regents") adopted resolutions (the "Delegation Resolution") delegating to the Harwood Board (as that term is defined in paragraph 3.A of the Delegation Resolution) certain responsibility for the governance, oversight, management and operation of the University of New Mexico's (the "University" or "UNM") Harwood Museum, located in Taos, New Mexico;

WHEREAS, the Delegation Resolution provides that the Regents shall appoint the members of the Harwood Board and that the Harwood Board shall consist of nine (9) members, six (6) of whom may be appointed based on recommendations of the Harwood Board, and three (3) of whom may be appointed based on recommendations of the President of the University or his designee (at least one of whom shall be an administrator of the University);

WHEREAS, the term of each member shall be three (3) years, but members shall be appointed to serve staggered terms;

WHEREAS, the Harwood Board, as constituted by the Delegation Resolution, will upon appointment of its initial members, replace the existing Governing Board constituted pursuant to the 2005 Resolution (as that term is defined in the third "Whereas" clause of the Delegation Resolution);

WHEREAS, the Governing Board has recommended six (6) individuals for appointment to the Harwood Board and the President of the University has recommended three (3) individuals for appointment (all currently University administrators), and each such nominee is willing to serve as a member of the Harwood Board;

WHEREAS, having determined that each individual recommended by the Governing Board or the President of the University for appointment is qualified to serve as a member of the Harwood Board and that the appointment of each is in the best interest of the University and the Harwood Museum, the Regents wish to appoint such nominees to the Harwood Board;

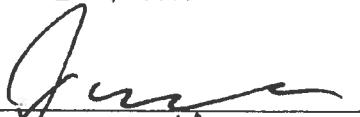
NOW, THEREFORE, BE IT RESOLVED:

1. The following individuals are hereby appointed to serve as members of the Harwood Board for an initial term ending on the date indicated opposite his or her name:

<u>NAME</u>	<u>EXPIRATION DATE OF INITIAL TERM</u>
Michael Sudbury (Governing Board nominee)	June 30, 2008
Lawrence Berkowitz (Governing Board nominee)	June 30, 2008
Charles Strong (Governing Board nominee)	June 30, 2009
Linda Warning (Governing Board nominee)	June 30, 2009
Deborah McLean (Governing Board nominee)	June 30, 2010
Gus Foster (Governing Board nominee)	June 30, 2010
David W. Harris, Executive Vice President for Administration, COO and CFO, UNM (UNM President nominee)	June 30, 2008
Kate M. O'Neill, Ed.D. Interim Executive Director, UNM-Taos Branch Campus (UNM President nominee)	June 30, 2009
Wynn M. Goering Associate Provost Academic Affairs, UNM (UNM President nominee)	June 30, 2010

2. The foregoing appointments shall be effective immediately. The effective date of the Delegation Resolution contemplated by Section 6 therein shall be the date set forth below.

PASSED, APPROVED AND ADOPTED BY VOTE OF THE BOARD OF REGENTS
ON JUNE 12, 2007.

By: 
 Its: JAMES H. KOCH
 6/7/07 BOARD OF REGENT PRESIDENT

REGENTS' POLICY 8.8 ("HARWOOD")

Regents' Policy Manual - Section 8.8: Harwood



Adopted Date:

Applicability

This policy applies to the Harwood Foundation of the University of New Mexico ("Harwood Foundation"), the Governing Board of the Harwood Foundation, and the Harwood Museum of Art.

Policy

The Harwood Foundation is an educational, cultural, and art center of the University of New Mexico, established on November 8, 1935 pursuant to a deed from Lucy Case Harwood. The deed conveyed certain property in Taos, New Mexico to the Regents of the University of New Mexico, including what is now known as the Harwood Museum of Art. Under the deed, the Regents must administer the property by operating through the Governing Board of the Harwood Foundation.

In May 2005, May 2007, and _____ 2016, the Board of Regents adopted resolutions delegating certain authority to the Governing Board of the Harwood Foundation for the governance, oversight, management, and operation of the Harwood Museum of Art.

References

Regents' Resolutions Regarding the Governing Board of the Harwood Foundation of the University of New Mexico

UAP 6410 ("Museums and Collections")

UAP 6410 ("MUSEUMS AND COLLECTIONS")

DRAFT OF 2-24-16

Administrative Policies and Procedures Manual - Policy 6410: Museums and Collections

Date Originally Issued: 01-15-2010

Authorized by UNM Regents' [Policy 8.5 "Museums"](#)

Process Owner: Director of Safety and Risk Services

1. General

University of New Mexico (UNM) museums and collections increase knowledge, understanding, and appreciation of the physical, cultural, and biological world by collecting, maintaining, researching, and interpreting material objects and the contextual data associated with them. They are essential to UNM's mission based on the recognition that material objects represent a tangible and irreplaceable source of information for teaching, research, and public appreciation. Each museum or collection maintains its own unique items, purpose, character, and role and represent a diverse range of materials and disciplines. They preserve the past, increase our understanding of society and the natural world in which we live, and support the research that expands human knowledge in the arts, humanities, and sciences. The scope, depth, and unparalleled quality of these collections make it imperative that they are properly preserved and made accessible for current and future generations to behold, enjoy, and study in accordance with this policy which is applicable to all UNM museums and collections, including but not limited to:

- [Harwood Foundation of the University of New Mexico \(Harwood Museum of Art\)](#)
- Health Sciences Center Art Program
- Maxwell Museum of Anthropology
- Meteorite Museum
- Museum of Southwestern Biology
- University of New Mexico Art Museum
- UNM's Public Art Collection

2. Governance

The Board of Regents is the governing authority for all UNM Museums and Collections. Each museum or collection at UNM is administered through the

appropriate UNM [administrative unit](#). [The governance of the Harwood Museum is specified in RPM 8.8 \("Harwood"\); the other listed museums and collections reside in a college or school.](#) Museum directors and collection administrators report to the appropriate dean [or assigned supervisor](#) and are responsible for implementing policies and procedures to ensure protection and enhancement of collections and related programs. The UNM Museum Council is responsible for reviewing museum and collection policies, and procedures to ensure compliance with the specific standards of their respective academic disciplines. The Museum Council may raise any concerns with the Provost and the University President, including recommendations for funding to ensure UNM's museums and collections can fulfill their mission and are adequately protected. The UNM Museum Council membership shall include the museum directors or their designees, a member from UNM's Department of Safety and Risk Services, a member representing Art in Public Places, and two faculty members, one each from the College of Fine Arts and the College of Arts and Sciences who are appointed by their respective deans.

3. Operating Principles

UNM museums and collections are operated in accordance with applicable laws and regulations; professional ethics, guidelines, and standards; UNM policies; and individual museum or collection procedures and processes.

3.1. Codes of Ethics

All UNM museums and collections endorse and operate in accordance with the American Association of Museums (AAM) "Code of Ethics for Museums." All UNM museum and collection employees, volunteers, and contractors must adhere to the AAM Code of Ethics and any additional guidelines specific to the museum's or collection's academic discipline and adopted by museum directors or collection administrators.

3.2. Standards and Collections Stewardship

Each UNM museum director or collection administrator is responsible for maintaining written operating standards and procedures appropriate to their discipline that specify how to care for and grow museum collections and make them available for research and public education and enjoyment. These standards must specify individual roles and responsibilities pertaining to acquisition, accession, deaccession, disposal, loan, registration, security, storage, use and other collections-related activities.

3.3. Public Access

Each UNM museum or collection will provide reasonable public access to its collection items and collections information consistent with its stewardship responsibilities and available funding. Physical and intellectual access to the collection items must be balanced with the need for preservation and protection. Museum and collection staff will control, monitor, and document all access to, and use of, its collections. Each

museum and collection will provide the following information to the public:

- a description of the range and types of objects in the museum or collection,
- specific programs relevant to the museum or collection, and
- information on any public exhibits, including how to visit and the days and hours the exhibit is open to the public.

4. Acquisition, Disposal, Donation, or Loan of Collection Items

The acquisition, disposal, donation, or loan of UNM collection items must comply with the following principles:

- the transaction must be relevant to the mission and goals of the individual museum or collection;
- written evaluation criteria must be used;
- written delegation of authority to conduct the applicable transaction must be in place;
- the transaction must comply with appropriate methods as authorized by museum standards;
- the transaction must adhere to professional ethics and all applicable laws and regulations relating to collections; and
- the transaction must be approved and documented in writing, including legal title or authorization.

4.1. Acquisition and Accessioning

As a general rule, collection items are acquired for UNM museums and collections only when there exists a good faith intention to retain the material in perpetuity. Accessioning is the formal process used to acquire legally and catalog the accessioned collection item or group of items into a UNM museum or collection. Museums or collections may acquire items by a variety of methods including but not limited to gift, bequest, purchase, exchange, transfer, and field collecting.

4.2. Deaccessioning and Disposal

Accessioned items are retained as long as they continue to serve the goals and objectives of the individual museum or collection and can be properly maintained and used. Deaccessioning is the process used to formally approve and record the removal of a collection item or group of items from a museum or collection. Disposal of collection items is a legitimate part of responsible collections management and occurs for a variety of reasons, such as deterioration beyond usefulness, duplication or redundancy, insufficient relationship of collection items to the mission and goals, selection for consumptive research, or educational use. Museums or collections may dispose of items by a variety of methods including, but not limited to, donation,

transfer, exchange, sale, repatriation, and destruction.

4.3. Loans

A loan is a temporary transfer of possession of collection items for an agreed purpose and on the condition that the item is returned at a specified time. Loans do not result in a change of ownership. Lending and borrowing collection items for public exhibition, research, and education is an integral part of the mission of UNM museums and collections. UNM collection items will not be loaned for commercial purposes or private pecuniary gain. Loans may be between UNM museums or collections or to and from other educational and scientific organizations. All loans of collection items will adhere to the "Guidelines for Exhibiting Borrowed Objects" issued by the AAM. Items on loan to a UNM museum or collection or UNM items on loan to or in the custody of others will be insured as stipulated by an authorized loan agreement.

5. Collections Information

Collections information is the documentation of the intellectual significance, physical characteristics, and legal status of collection items, as well as the collections management processes and transactions they undergo. Collections information must support and meet individual museum and collection missions and public access goals subject to available funding. UNM museums and collections will seek to provide the widest dissemination of collections information consistent with the stewardship responsibilities for its collections, associated documentation, and intellectual property rights. UNM museum directors and collection administrators are responsible for maintaining policies and procedures for addressing collections data development, maintenance, preservation, and retention. All media containing collections information are maintained for long-term use and must be preserved according to current archival policies and standards.

6. Security and Preservation of Collections

Museum directors and collection administrators are responsible for maintaining proper procedures and processes for securing and preserving UNM collections and ensuring their appropriate use. The President is responsible for providing adequate resources for museum directors and collection administrators to meet these responsibilities. Museum and collection staff are responsible for implementing these procedures and processes and notifying museum directors and collection administrators of any security concerns. The resources required to ensure collections are secured and preserved should be identified by museum directors and collection administrators and submitted to the appropriate dean and the Museum Council.

6.1. Preservation

Museum and collection staff are responsible for preserving, protecting, and securing all collections acquired, borrowed, and in the custody of the individual institution, including

their associated information. Each museum and collection will balance current research and educational use with the preservation requirements of items to ensure that collections are maintained for future generations and rightfully serve their intended purpose. Any conservation intervention, restoration, destructive sampling, or consumptive use of collection items must be authorized, documented, and justified by professional standards of the applicable discipline for the purpose of preservation or professional scholarship in accordance with [Section 3.2.](#) herein.

6.2. Risk Management and Security

The programmatic activities of UNM's museums and collections naturally involve an exposure of collections to risks of damage or loss. Museum directors and collection administrators will maintain formal operating standards and procedures that assure sufficient control and individual accountability designed to minimize and control the level of risk of loss or damage to collections. These standards and procedures must:

- ensure collections are maintained in controlled areas that are adequately protected against fire, theft, vandalism, and natural disaster;
- include a written disaster preparedness plan and program;
- establish a security plan that protects collections during both normal and high-risk activities; and
- establish procedures for immediately reporting and documenting any damage, loss, or possible theft of collection items.

6.2.1. Inventory

Effective collections management requires a continuous inventory system to support decisions regarding collections use, growth, storage, and security. In addition to facilitating research, documentation, and storage, an ongoing inventory system is an essential security device to deter and detect theft. Full inventory control requires creating and maintaining reliable information about the identification, location, and accessibility of collection items. In order to safeguard assets, assure compliance with applicable laws and regulations, and promote efficient use of resources, museum directors and collection administrators must determine the level of inventory, cycle, and methods most appropriate for their collection items. Museum and collection staff members are responsible for conducting inventories and maintaining accurate and current inventory records.

7. Related Website

[American Alliance of Museums](#)

**INFORMATION
TO
BE
SUPPLIED
AT
MEETING**

There is no
handout
required for
this item

**INFORMATION
TO
BE
SUPPLIED
AT
MEETING**

**Main Campus Chief Compliance Officer Report
UNM/EthicsPoint Benchmark Data
April 1, 2015- December 31, 2015**

Report Volume per 100 employees

UNM April 1, 2015 to December 31, 2015

123 cases

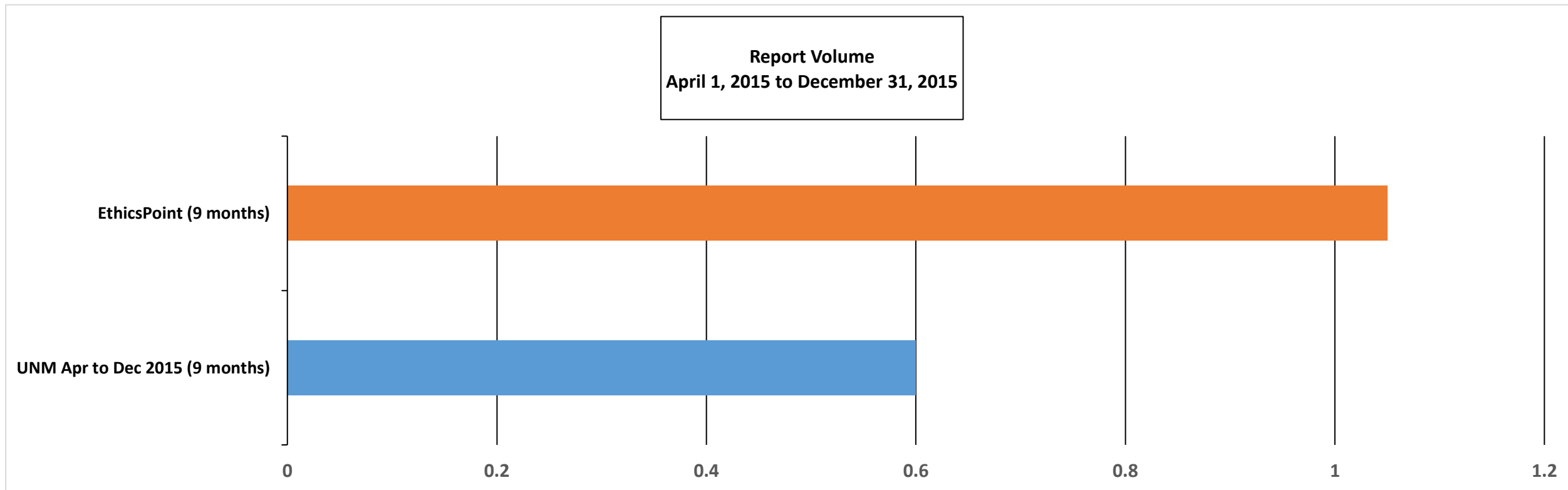
Employees=89, Students=8, Other/Anonymous=22,
Patients=4

15416 UNM Employees (based on 2014-2015 information,
Institutional Analytics)

UNM Report Volume = 0.6 per 100 employees

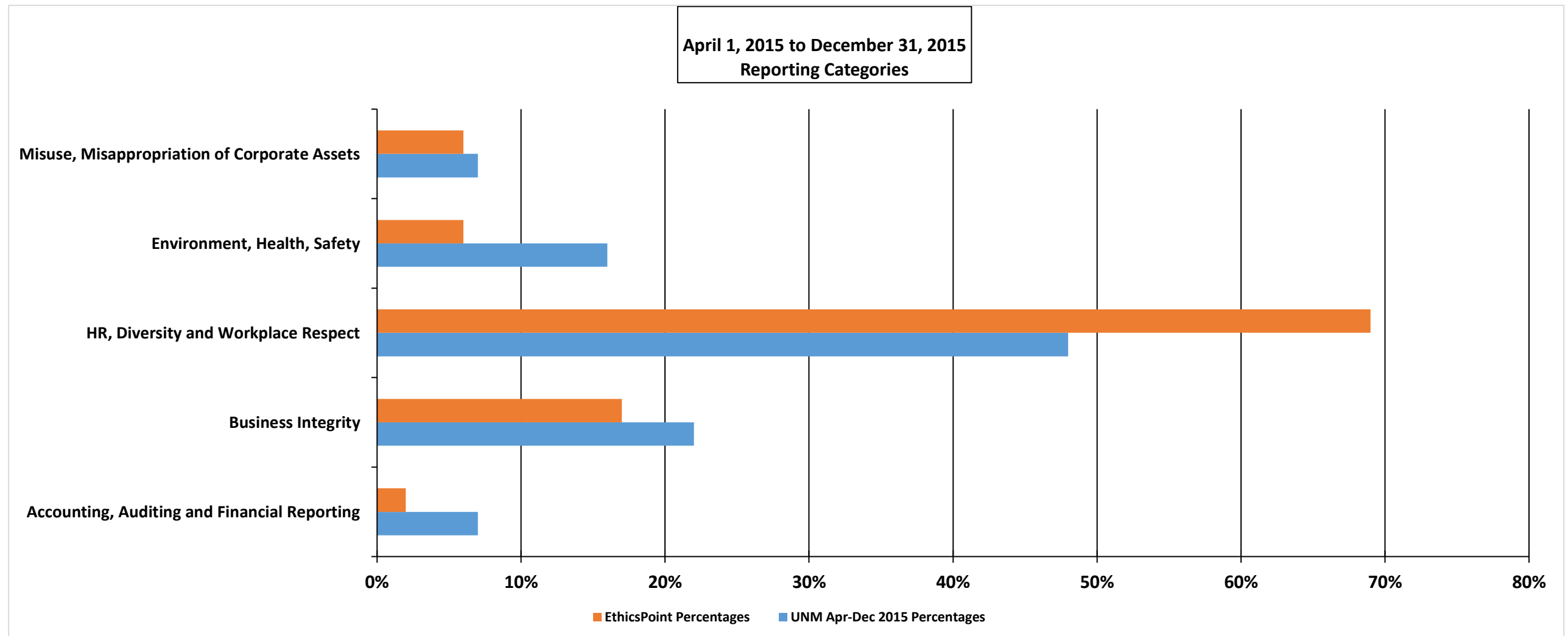
UNM Apr to Dec 2015 (9 months)	EthicsPoint (9 months)
0.6	1.05

Report Volume is a volume metric that enables organizations to compare their total number of unique contacts from all reporting channels. UNM's data points can be part of an organization's overall scorecard to ensure they are effectively defining and implementing program initiatives, as well as moving toward the ultimate goal of taking proactive, rather than reactive, actions to help strengthen the organizations' culture of ethics and respect.



Reporting Categories	UNM Apr-Dec 2015 Percentages	EthicsPoint Percentages	UNM Apr-Dec 2015 Total Reporting Categories
Accounting, Auditing and Financial Reporting	7%	2%	9
Business Integrity	22%	17%	27
HR, Diversity and Workplace Respect	48%	69%	59
Environment, Health, Safety	16%	6%	20
Misuse, Misappropriation of Corporate Assets	7%	6%	8
	100%	100%	123

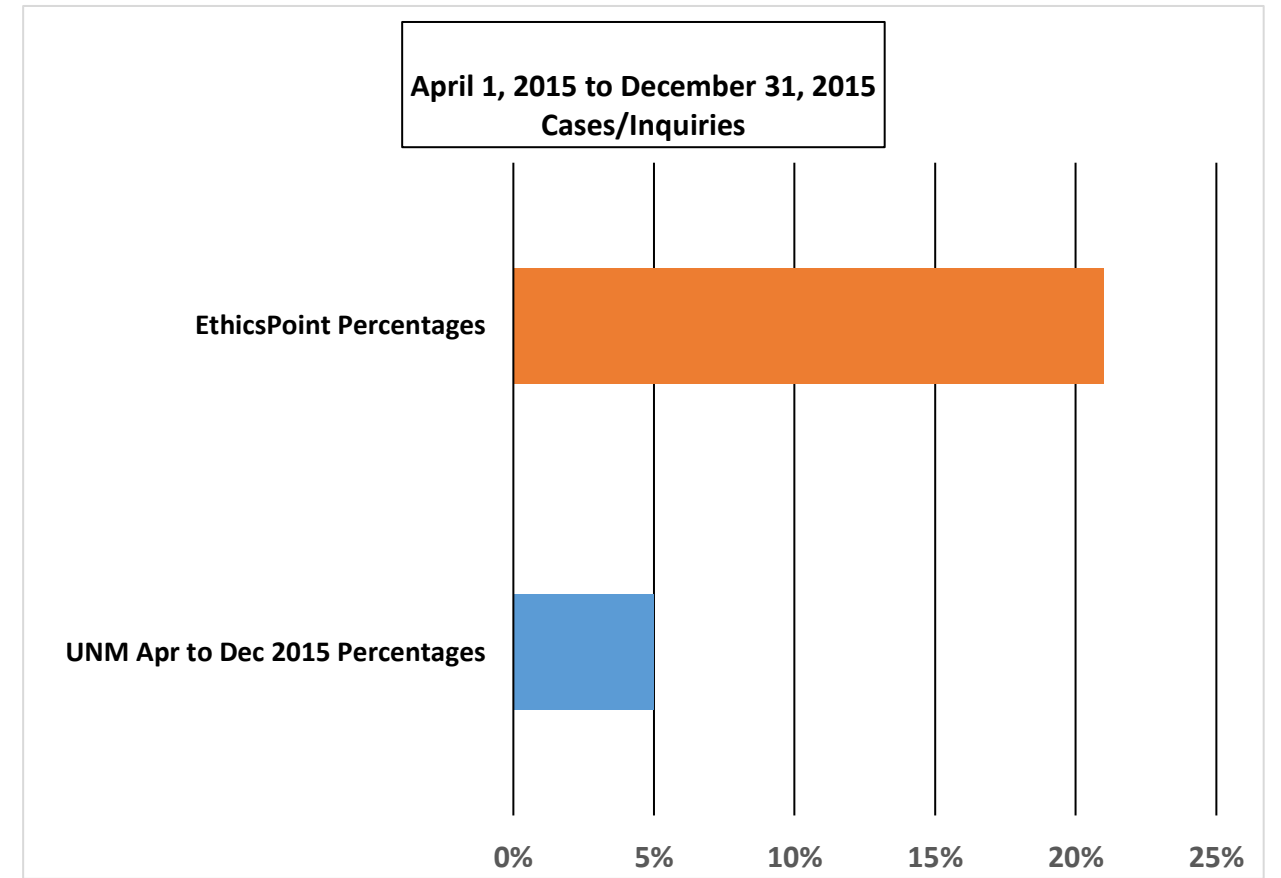
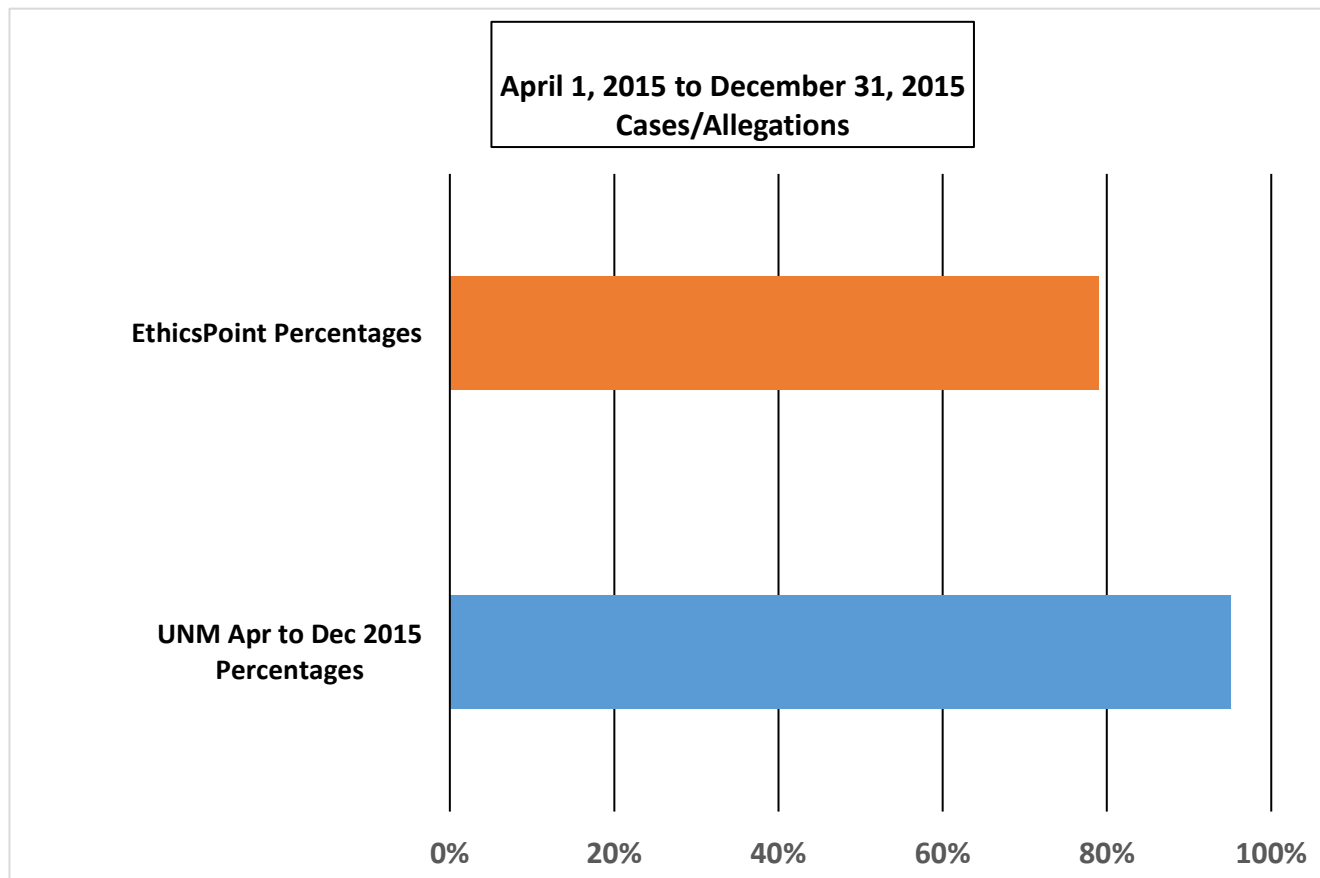
The kinds of reports an organization receives helps provide insight into how well the company is doing in educating employees about what should be reported and when. Hotline data that is carefully tracked, reviewed, benchmarked and presented with sufficient context often provides the early warning signs needed to detect, prevent and resolve problems.



Reporter Allegations vs. Inquiries

	UNM Apr to Dec 2015 Percentages	EthicsPoint Percentages	UNM Apr-Dec 2015
Inquiries	5%	21%	6
Allegations	95%	79%	117

These numbers provide a baseline percentage of employees using their hotline for informational purposes. This is an opportunity to encourage employees to see their hotline as a resource for information, rather than just a channel for reporting.



Anonymous Reporting Rate

123 Cases Opened

Anonymous

UNM Percentages Apr-
Dec 2015

46%

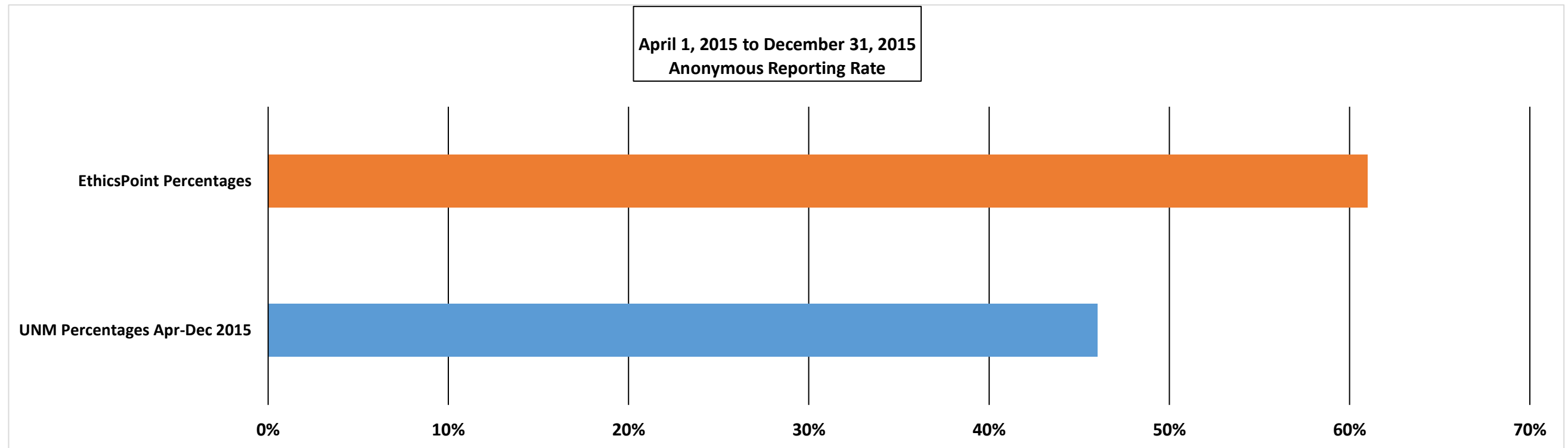
EthicsPoint
Percentages

61%

UNM Apr-Dec 2015

56

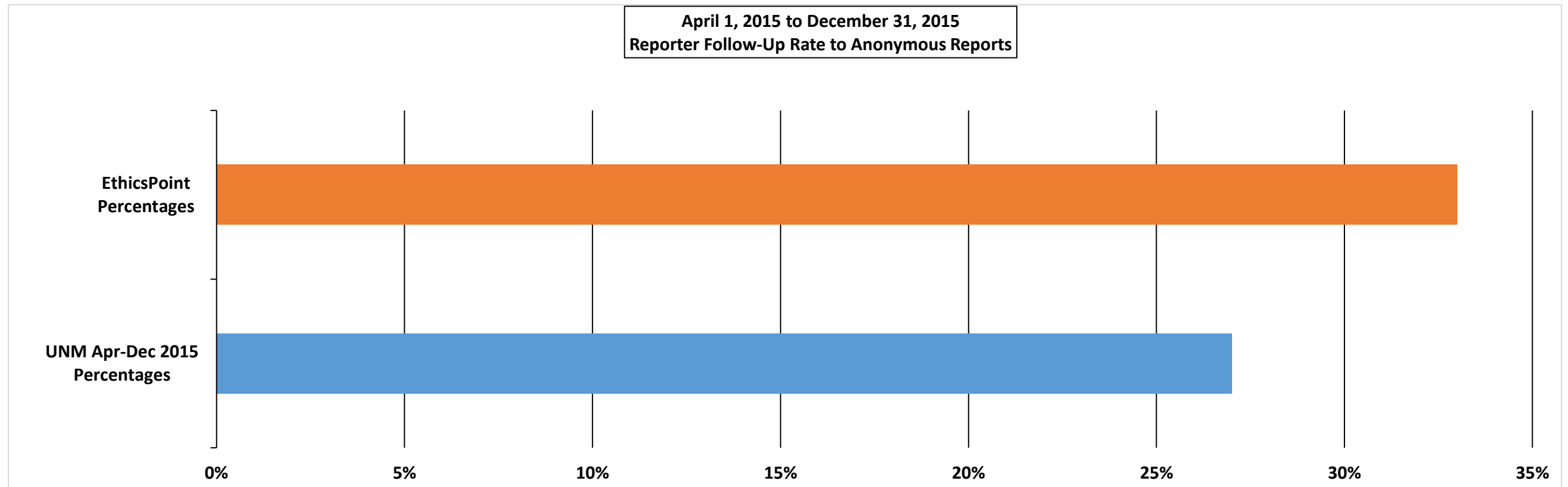
Anonymous Reporting Rate shows the percentage of all contacts submitted by individuals who chose to withhold their identity.



Reporter Follow-Up Rate to Anonymous Reports

Anonymous Reports	Reporter Follow-ups	UNM Apr-Dec 2015 Percentages	EthicsPoint Percentages
56	15	27%	33%

This report indicates the percentage of reports that were submitted anonymously and that were subsequently followed-up on by the reporter. Employees need to understand that part of making an anonymous report includes the critical responsibility to check back in on progress, if they don't, they miss an investigator's request for more information so that an issue can be resolved. Lack of reporter follow-up could be a culture red-flag indicator.

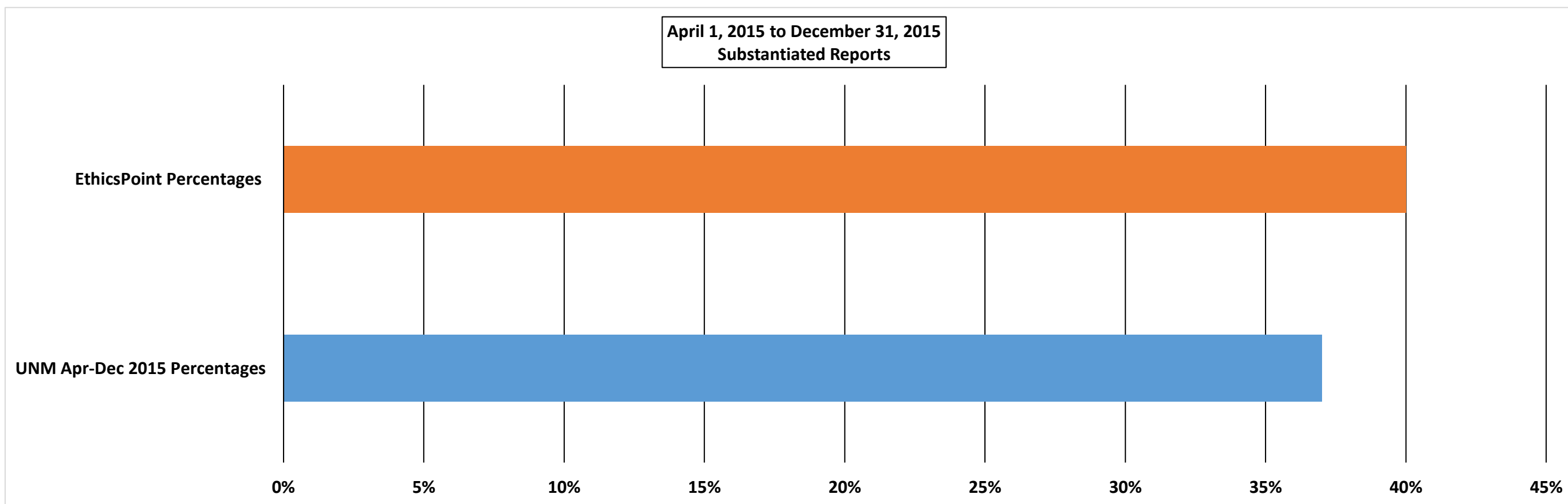


Substantiated Reports

84 closed cases
65 cases - Substantiated, Unsubstantiated, Partially Substantiated;
24 cases were Fully or Partially Substantiated

Substantiation Rate is a metric that reflects the rate of allegations made which were determined to have at least some merit (substantiated or partially substantiated). A high Substantiation Rate is reflective of a well-informed employee base making high-quality reports coupled with high-quality investigation processes.

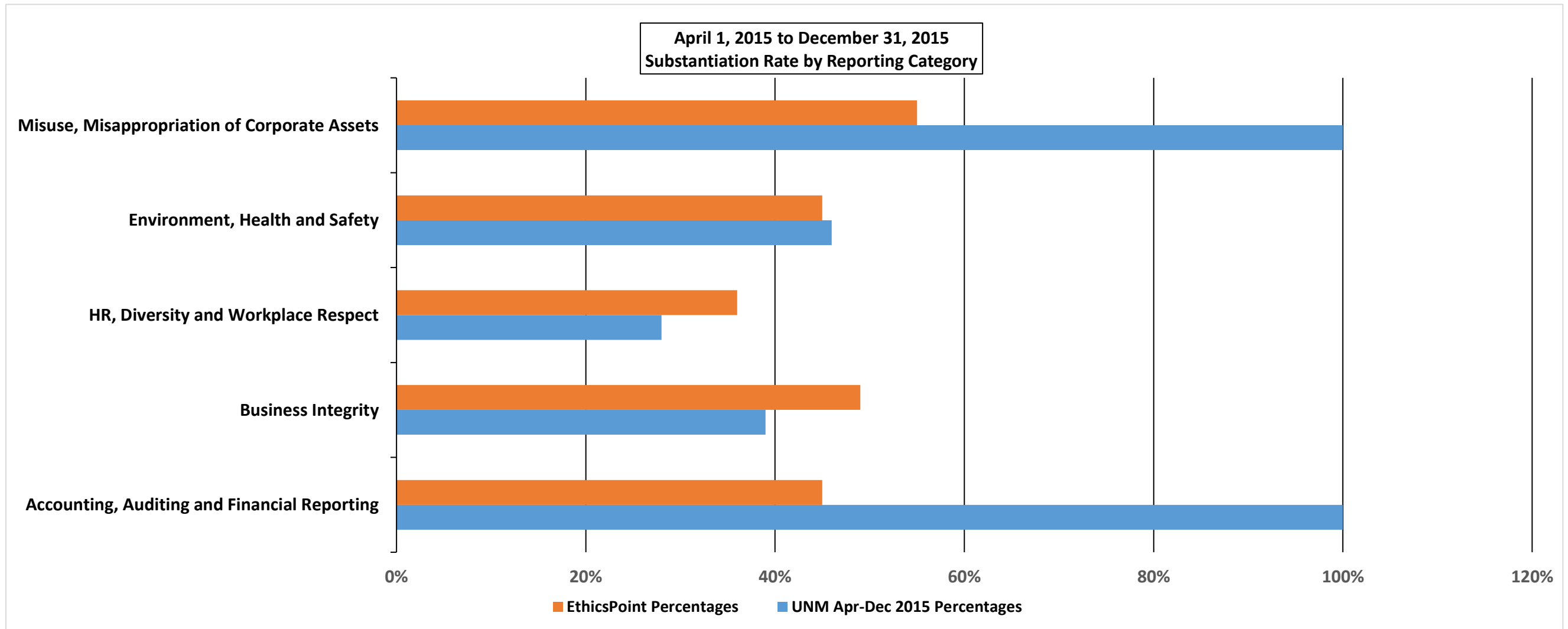
UNM Apr-Dec 2015 Percentages	EthicsPoint Percentages	Reports closed, Fully or Partially Substantiated	Reports closed, Substantiated, Partially Substantiated, Unsubstantiated
37%	40%	24	65



Substantiation Rate by Reporting Category

84 closed cases
65 cases - Substantiated, Unsubstantiated, Partially Substantiated;
24 cases were Fully or Partially Substantiated

	UNM Apr-Dec 2015 Percentages	EthicsPoint Percentages	Cases Closed Substantiated, Partially Substantiated, Unsubstantiated	Fully or Partially Substantiated Cases
Accounting, Auditing and Financial Reporting	100%	45%	1	1
Business Integrity	39%	49%	18	7
HR, Diversity and Workplace Respect	28%	36%	32	9
Environment, Health and Safety	46%	45%	13	6
Misuse, Misappropriation of Corporate Assets	100%	55%	1	1
			65	24

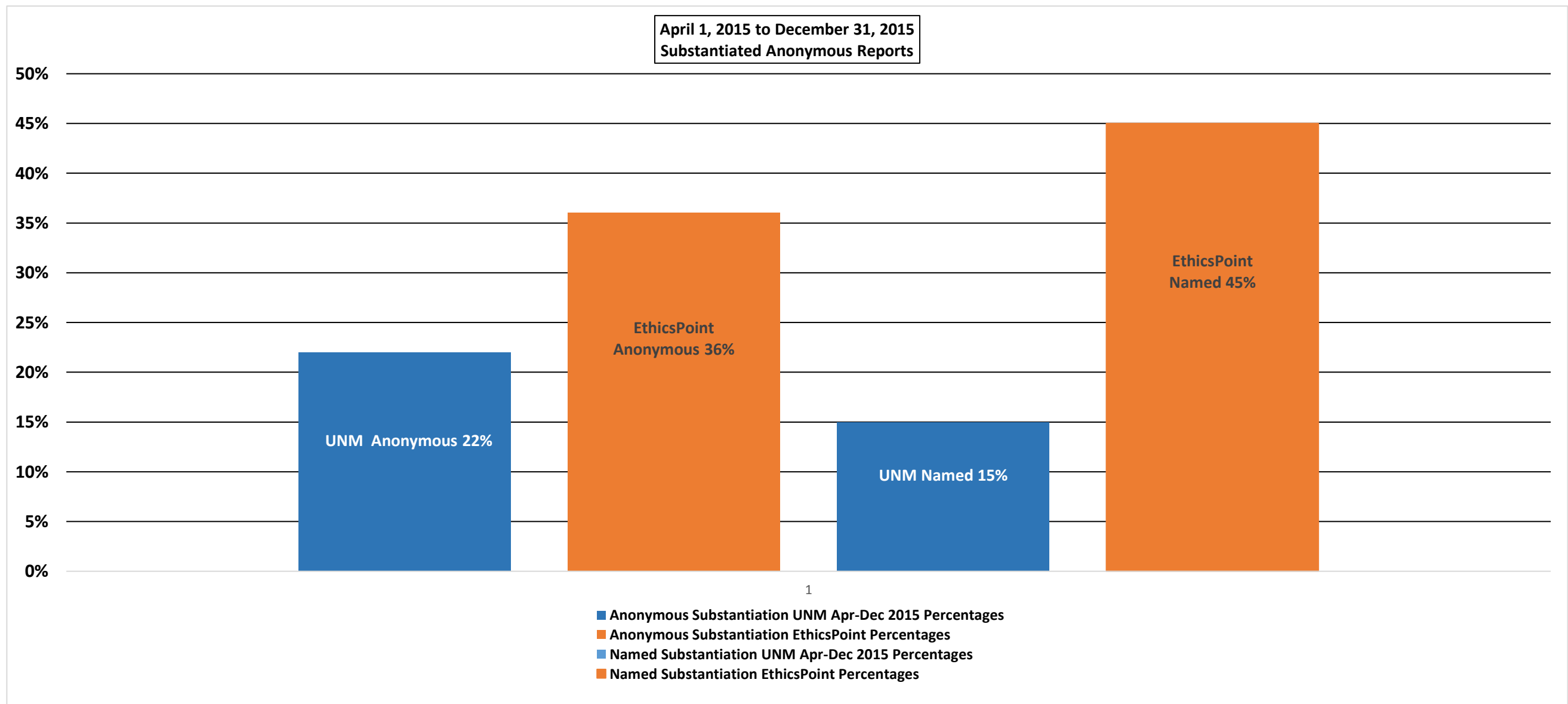


Substantiated Anonymous Reports

84 = Cases closed Apr to Dec 2015
 65 = Cases Closed with Substantiated, Partially Substantiated or Unsubstantiated.
 24 = Cases Closed that were Substantiated or Partially Substantiated.
 14 = Cases Closed that were anonymous.
 10 = Cases Closed that were named.

Anonymous reports are a foundational element of an organization's reporting system. Names are withheld typically out of fear of retaliation or a desire to not be involved, not because the issue reported is deliberately false or frivolous. Continued focus on increasing follow-ups to anonymous reports could increase the Substantiation Rate of anonymous reports because investigators would have a higher probability of obtaining responses to posted questions.

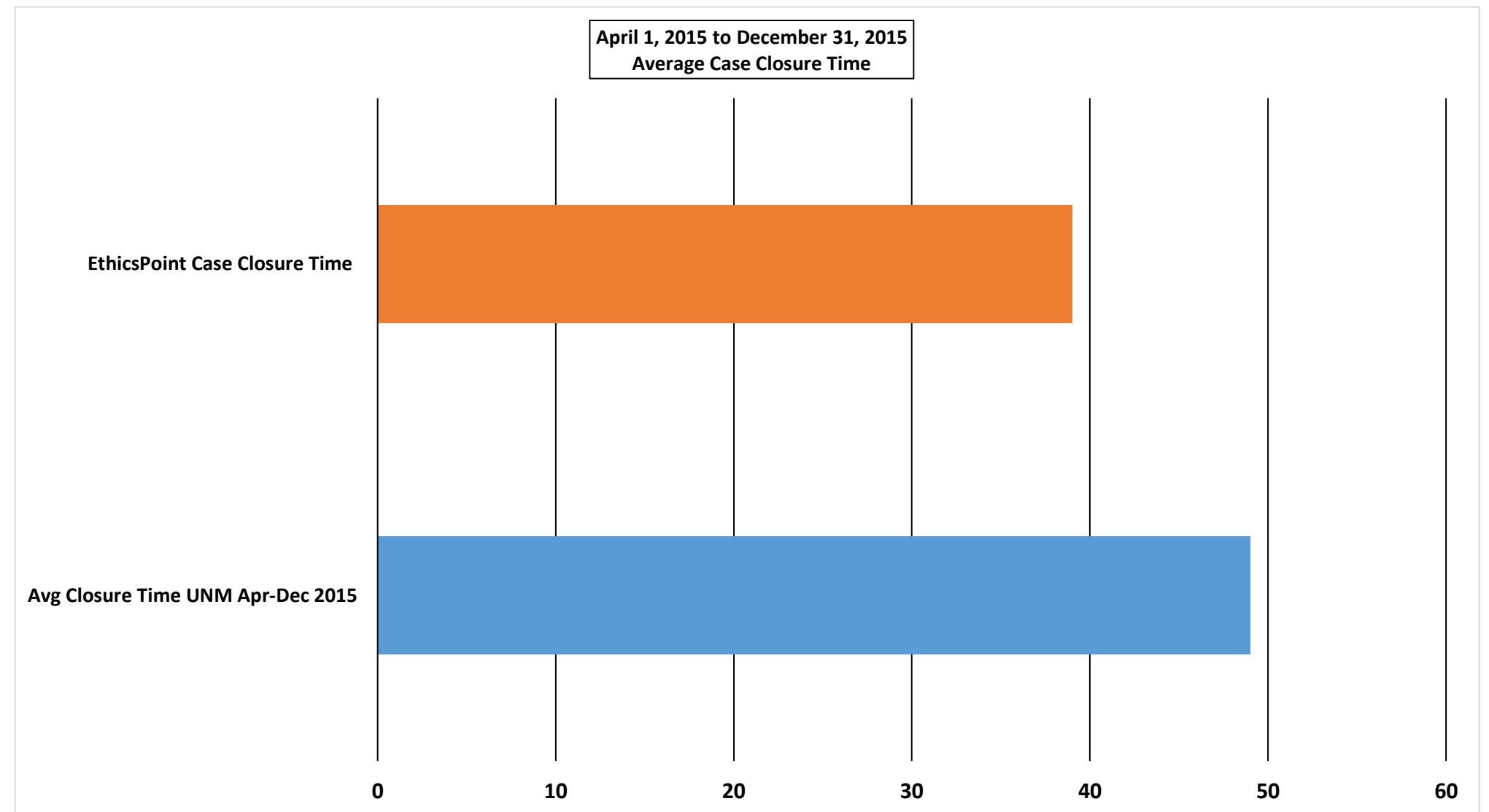
Anonymous Substantiation UNM Apr-Dec 2015 Percentages	Anonymous Substantiation EthicsPoint Percentages	Named Substantiation UNM Apr-Dec 2015 Percentages	Named Substantiation EthicsPoint Percentages
22%	36%	15%	45%
UNM Anonymous Substantiation 14		UNM Named Substantiation 10	



Case Closure Time

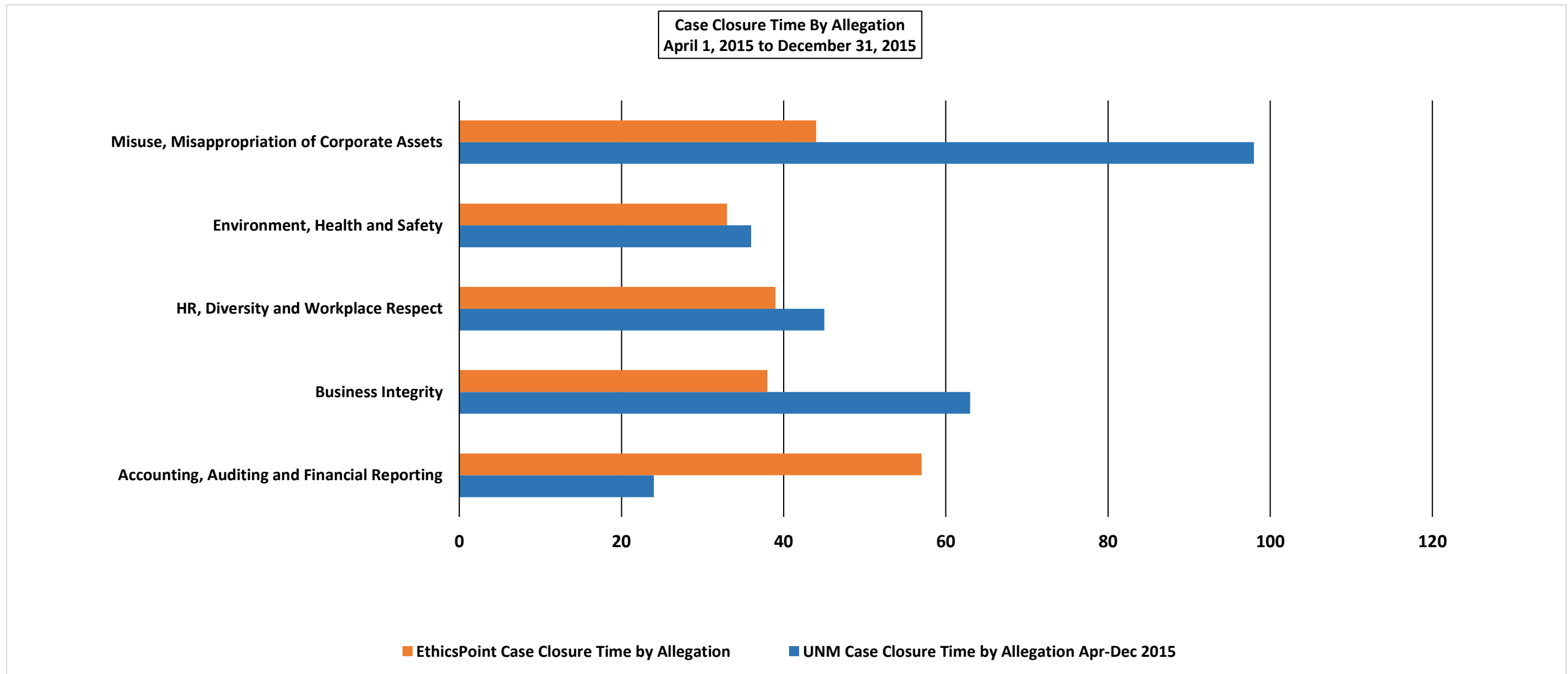
Case Closure Time is the average number days it takes an organization to complete an investigation and close a case. To earn employees' trust, and ensure that they know their concerns are important and are being seriously considered, it is vital that organizations complete investigations in a timely fashion. If months go by without a case being resolved, many reporters will conclude that the company is not listening and not taking action. This belief could be detrimental to an organization on a number of levels.

Cases Closed	Sum of all case closure times	Avg Closure Time UNM Apr-Dec 2015	EthicsPoint Case Closure Time
84	4094	49	39



Case Closure Time by Report Allegation
 Total=4094 days (sum of all case closure days)

	UNM Case Closure Time by Allegation Apr-Dec 2015	EthicsPoint Case Closure Time by Allegation	Cases by Allegation UNM Apr-Dec 2015	Sum of all case closure days by Allegation
Accounting, Auditing and Financial Reporting	24	57	2	48
Business Integrity	63	38	23	1441
HR, Diversity and Workplace Respect	45	39	42	1873
Environment, Health and Safety	36	33	15	537
Misuse, Misappropriation of Corporate Assets	98	44	2	195
			84	4094



Report Intake Method 123 cases
 48 Hotline Phone 28 Hotline Web 47 Other

Hotline Phone UNM,
 Apr-Dec 2015

Hotline Phone
 EthicsPoint

Hotline Web UNM
 Apr-Dec 2015

Hotline Web
 EthicsPoint

All Other
 Methods UNM
 Apr-Dec 2015

All Other
 Methods
 Ethics
 Point

39%

32%

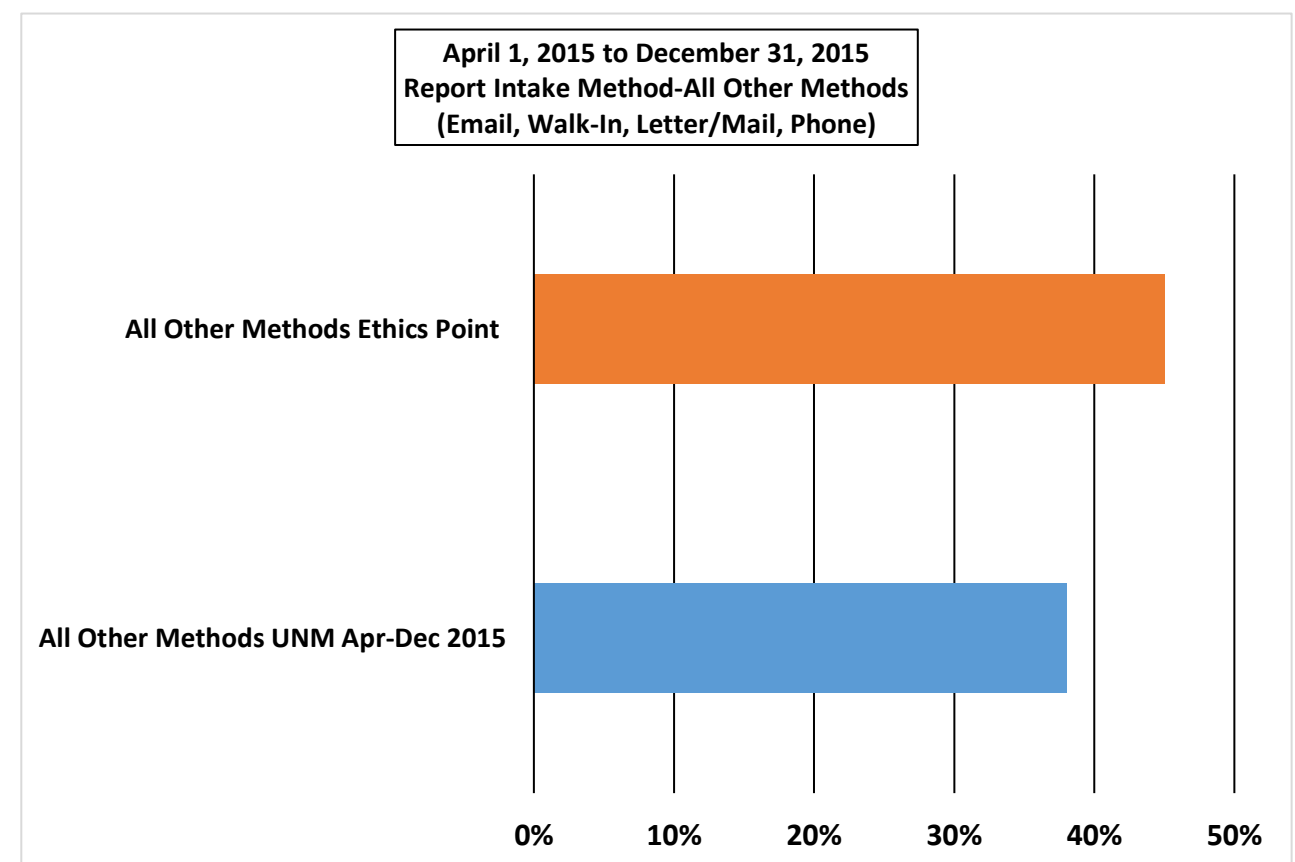
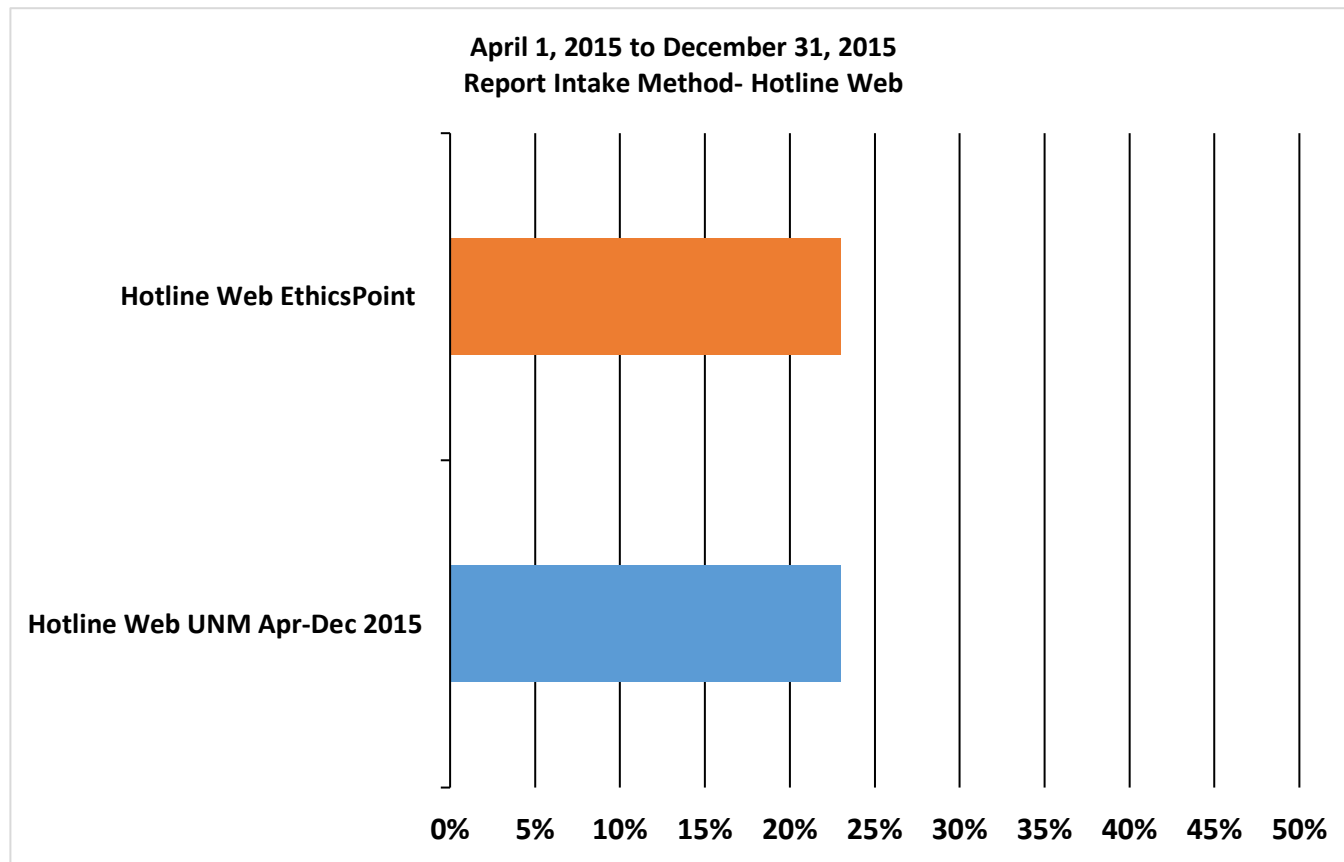
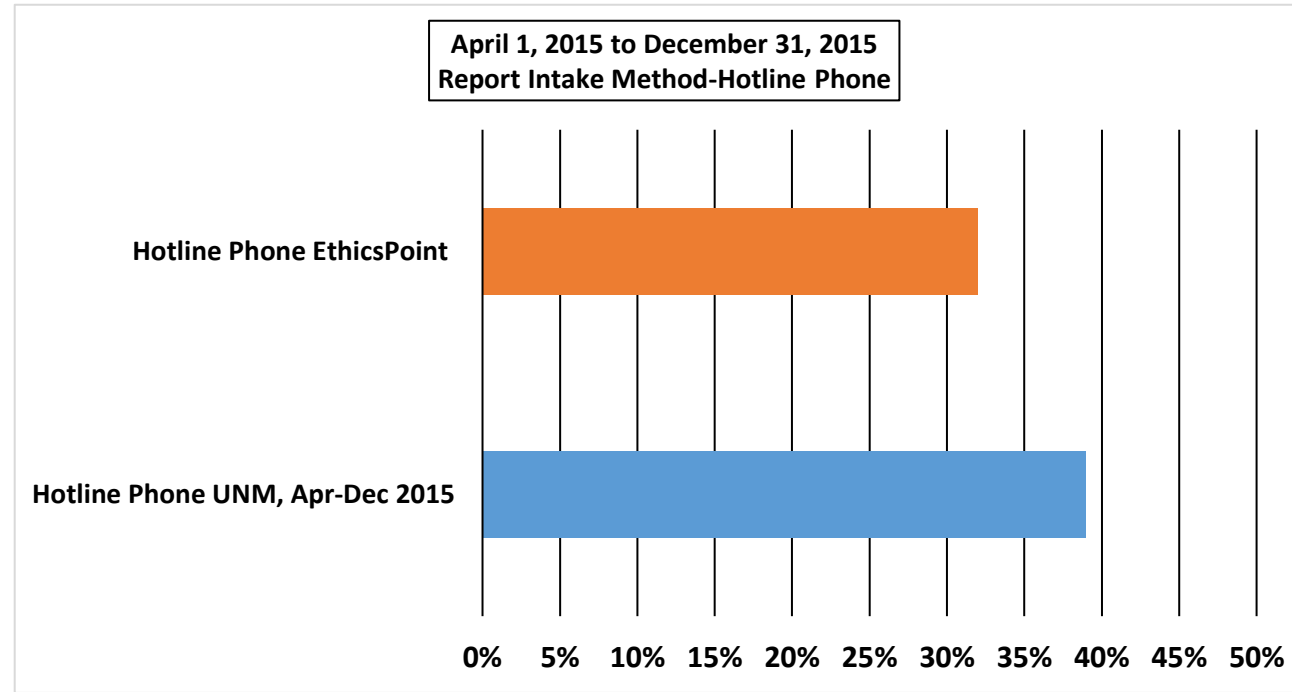
23%

23%

38%

45%

Capturing reports through a variety of intake methods can encourage more reporters to come forward, and therefore provide a more complete picture of risks. Keeping an eye on the mix of reporting methods employees choose to use can provide insight into how well employees know of their different reporting options. 1.) Reporting channels have to be made available to employees; 2.) Those channels need to be easily accessible by employees; 3.) Employees need awareness of all the channels available to them so that when they have a reporting need they know where to go, what to do and they can do it in a manner with which they feel comfortable.



Building a Culture of Compliance

Stuart Freedman, HSC Chief Compliance Officer
HSC Compliance Office

March 3, 2016



UNM

HEALTH SCIENCES CENTER

Compliance Office

WHAT IS COMPLIANCE ?

A person in a blue sweater is holding a large, dark blue question mark sign. The background is a plain, light-colored wall.

- **Following the rules**
- **Doing the right thing**



Doing the Right Thing



Doing the Wrong Thing



Employee Retaliation

At VA medical centers, whistleblowers say they still face retaliation.

Troy Thompson, a food service manager with the Philadelphia VA Medical Center, reported to his supervisor in 2012 that the hospital was not taking action on disciplinary issues and several violations of VA sanitation and safety policies, including a fly and pest infestation in the facility kitchen. That day, his boss put him on a detail of the pathology lab and began investigating him for eating and giving away four sandwiches that were to be thrown out because they were stale. (The sandwiches were worth a total of \$5.)

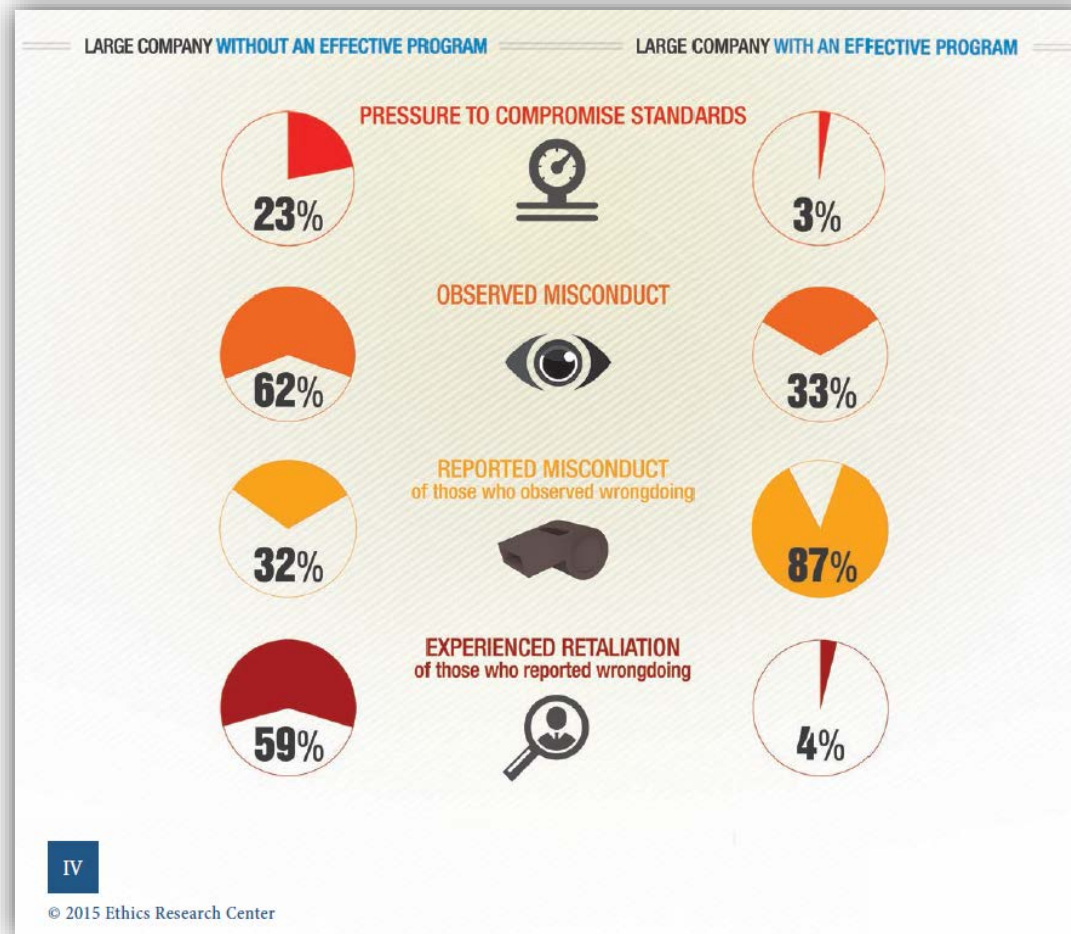
As a result of the Office of Special Counsel investigation into multiple whistleblower complaints the Department of Veterans Affairs took the following actions with Mr. Thompson.

Thompson spent two years in the pathology lab. The VA eventually returned him to his job and rescinded the proposed firing. The VA has agreed to compensatory damages for Mr. Thompson.

VA whistleblowers, punished for revealing excessive opiate use and infestation, are finally exonerated. July 24, 2015. The Washington Post.



Why is a Culture of Compliance So Important?



Large organizations with effective programs:

1. Feel less pressure to compromise standards
2. Observe misconduct at lower rates
3. Report misconduct at higher rates
4. Experience less retaliation for reporting misconduct

The State of Ethics in Large Companies, National Business Ethics Survey, Ethics Research Center, 2015

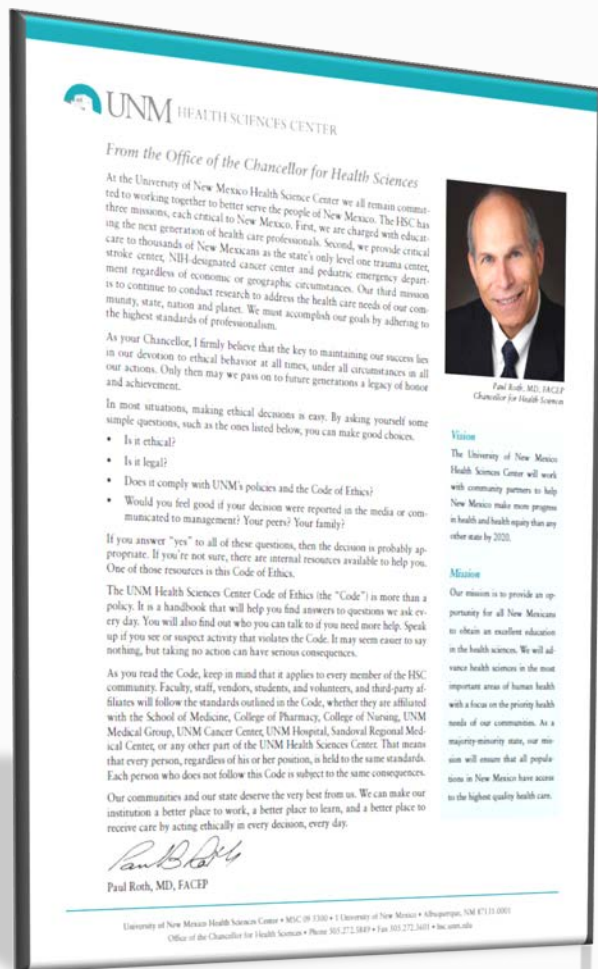
What Has HSC Compliance Done?

Projects identified by the AAMC Compliance Peer Review as National Best Practice:

- HSC Code of Ethics
- Health System Provider Compliance Committee

Other Major Projects:

- Compliance Customer Satisfaction Survey
- Community Engagement
 - Presentations/Events
 - Hotline Poster
 - Online Training Focus Group



HSC Compliance 2015 Work Plan

- ✓ **Update the HSC Compliance Code of Ethics**
- ✓ **Standardize Compliance Training for New Employees**
- ✓ **Establish a Front Line Supervisor and Clinician Competency Training Program on Professional and Business Ethics – Tone at the Middle**
- ✓ **Provide in Person Compliance Training for Faculty and Staff Including the Use of the Hotline**
- ✓ **Review and Enhance the HSC Compliance Metric Report for Senior Executives and the HSC Board**



What is Tone at the Middle?



Developing Tone at the Middle

Four key competencies for supervisors:

1. Identify ethical dilemmas
2. Listen to concerns
3. Access resources
4. Communicate about ethics



Follow Up Report - Recommendation Implemented (March 2016 Open Session)

Project Code	Project Name	Recommendation Title	Executive Recommendation	Response	Estimated Implementation Date	Recommendation Action	Actual Implementation Date	Responsible Party
2013-29	<u>Review of College of Education Operations</u>	<u>Recommendation 11 - Required University Training</u>	The Dean of the College of Education should work with the Office of the Provost and the Human Resources Department to ensure that all faculty and staff take the University's required annual training.	The new dean with the help of the COE Academic Operations Officer will request regular reports from HR of mandatory training completion statistics and then implement regular communications with Faculty and Staff to ensure that all faculty and staff comply with the required annual University training. Consequences will be implemented for those faculty and staff within the COE that do not comply.	12/31/2014	College of Education is in compliance with the University's mandatory training policy.	2/17/2016	Salvador Hector Ochoa, Dean; Susan Rhymer, Finance Officer
2014-12	<u>Office of Vice-President for Research</u>	<u>Recommendation 2 - Sevilleta - Future Funding</u>	The University President should consider working with the Dean of Arts and Sciences to assess the viability of funding for Sevilleta, and to determine how best to address funding availability for the aging facility if they are in need of emergency repairs.	The President will direct the Provost to work with the A&S Dean to develop a plan by March 1, 2015 that addresses both deficit reduction and viability for the Sevilleta Field Station.	11/30/2015	IA received a copy of the signed deficit reduction plan. The plan states a \$25,000 payment will be made each year with the expectation of the deficit to be paid in 16 years. Verified that payments are being made by JV.	1/22/2016	Mark Peceny, Dean; Chaouki Tanios Abdallah, Provost
2015-02	<u>UNM Taos</u>	<u>Recommendation 1 - Develop a Comprehensive Business Operations Manual</u>	Develop and implement a comprehensive business operations manual that outlines policies and procedures for specific business functions. Consider adding resources to the business office to strengthen internal controls within the accounting function.	Develop comprehensive business and IT security policies and procedures modeled in part on branch operations for UNM Valencia and Gallup. Training of Business Office staff will also be part of the implementation. The addition of a full-time employee will be implemented with the start of the new fiscal year of July 1, 2015.	12/15/2015	UNM Taos developed and approved a Business Office Procedures Manual for key accounting processes including Cashiering, Purchasing, P-Card, and Journal Vouchering. Internal Audit reviewed UNM Taos's final Business Office Procedures Manual effective November 30, 2015.	2/5/2016	Mario Suazo, Dir, Business Opns/Sm Branch; Thomas Duran, Business Manager; Unit IT Support Manager
2015-03	<u>Harwood Museum</u>	<u>Recommendation 1 - Governance</u>	The Office of the Provost should review the current Resolution, RPM, and UAPP policies, and provide the Harwood Board, the President, and Board of Regents with the recommended changes to the Resolution and both policies to clarify roles and responsibilities of these parties. This will create an effective and efficient governance structure that will provide for operational and financial accountability for the Museum, and clear reporting and supervisory responsibilities for the Director.	The Provost will work with the Office of the President and the Director of the Policy Office to draft revisions to UAPP that provide an effective and efficient governance structure for Harwood Museum that will provide for operational and financial accountability for the Museum, and clear reporting and supervisory responsibilities for the Director.	12/31/2015	The President's Office has amended UNM policies and revised the resolution for Harwood Governance. Internal Audit reviewed RPM 8.8: Harwood, UAP 6410: Museums and Collections, and the revised resolution and noted they sufficiently address the governance structure of Harwood, as recommended.	2/19/2016	Amy Wohler, Chief Of Staff/Office Of Pres; Chaouki Tanios Abdallah, Provost /Exec VP for AA
2015-03	<u>Harwood Museum</u>	<u>Recommendation 9 - Museum Security</u>	Harwood should develop and enforce a written security plan and work with UNM Human Resources to ensure that the existing employee who is authorized to work in the controlled area receives an appropriate background check.	In keeping with appropriate security protocol for museums, the director will develop and enforce a security plan that will include, among other things, policy and procedures relating to a schedule of keys. Harwood is currently working with Human Resources to clarify and streamline procedures relating to background checks for Harwood Museum of Art employees. Our preference is that a background check be a condition of employment for every museum position.	9/30/2015	A written security plan has been developed by the Harwood Foundation, which addresses required background checks for hired employees that have access to sensitive areas. Internal Audit reviewed the written security plan and noted background check requirements. In addition, Internal Audit verified the employee that did not have a background check, and had access to sensitive data, terminated employment on September 30, 2015.	2/11/2016	Dir, Harwood Museum

Follow Up Report - Recommendation Implemented (March 2016 Open Session)

Project Code	Project Name	Recommendation Title	Executive Recommendation	Response	Estimated Implementation Date	Recommendation Action	Actual Implementation Date	Responsible Party
2015-03	<u>Harwood Museum</u>	<u>Recommendation 11 - Collections Management Policy</u>	Harwood should ensure its Governing Board obtains the UNM Board of Regents' approval for the permanent collections, and its management obtains the Harwood Collections Committee's approval for the study collections. Harwood should place a duplicate copy of its database with the Registrar of the University of New Mexico as required by the established policy.	These inconsistencies will be addressed by revising the Harwood's Collections Management Policy. The UNM Board of Regents Resolution establishing the Harwood's Governing Board delegates authority to that Governing Board for "the governance, oversight, management and operation of the Harwood Museum." Since objects accepted into the Harwood's Study Collection are not accessioned or part of the Harwood's permanent collection, they do not require Collections Committee or Governing Board approval. A duplicate copy of the Harwood's collections management database is stored off-site. Beginning June 1, 2015 we will also store a copy of that database with the Registrar of the University of New Mexico.	12/31/2015	Harwood management revised the Collections Management policy removing a portion of Section B.2 stating "The Governing Board will then recommend the accession(s) to the University of New Mexico Board of Regents, which has the final authority." In addition, the revised Collections Management Policy removed the requirement for submitting a copy of the collection database to UNM Registrars. Internal Audit reviewed the revised Collections Management policy and Governing Board's resolution approving the revisions.	2/23/2016	Dir,Harwood Museum
2015-03	<u>Harwood Museum</u>	<u>Recommendation 16 - Required Annual Training</u>	All Museum employees should take the required annual training courses.	On October 1 of each year, the Director or her/his designee will request a report from Human Resources on individuals who have not yet completed their annual training and then track and enforce completion with the goal of 100% compliance by December of 2015 and each year thereafter.	10/1/2015	Internal Audit performed follow-up test work for the 2015 Basic Safety and Sexual Harassment required trainings and noted all full-time Harwood employees completed the trainings, as required.	2/15/2016	Dir,Harwood Museum
2015-11	<u>Public Events - Popejoy</u>	<u>Recommendation 1 - Review and Revise By-Laws</u>	Popejoy Hall management should review and revise the By-laws to more clearly reflect the terms served by Board members.	We concur and will review and revise the Board bylaws to more clearly reflect the rules and terms served by Board Members.	12/31/2015	11/18/2015 - Popejoy management has reviewed and revised the Popejoy Hall Board bylaws to align them with actual positions, terms, and practices of the Board.	11/18/2015	Dir, Public Events, Tom Tkach,
2015-05	<u>Safety and Risk Services</u>	<u>Recommendation 3 - Cash Management - Timely Deposits</u>	SRS does have accounting procedures that comply with University policy. They should work to adhere to them in order to avert untimely deposits and the risk of loss of investment funds should the undeposited funds be of substantial amounts, larger than \$100,000.	SRS hired a Manager, Administrative Operations, a Financial Analyst, an Accountant III and an Administrative Assistant II to oversee all financial transactions at SRS. All cash transactions are now handled by this group. Further, this group drafted a robust cash management standard operating procedure that is strictly adhered to.	9/30/2015	IA reviewed four money lists dated November and December 2015, and verified that the checks supporting the money list (deposit) were made timely, in accordance with UAPP. No exceptions noted, recommendation cleared.	2/12/2016	Arthur Bishop,Mgr,Administrative Opns; Carla Domenici, Dir,Safety & Risk Services
2015-05	<u>Safety and Risk Services</u>	<u>Recommendation 10 - Standard Operating Procedures</u>	The Director of Safety and Risk Services should finalize, document, and communicate thorough building inspection SOPs with SRS staff.	SRS will prepare an SOP for Loss Prevention and Control Inspections.	12/31/2015	SRS completed the SOP for Loss Prevention and Control inspections. The SOP includes notification of inspection results to appropriate personnel after inspection.	2/15/2016	Arthur Bishop,Mgr,Administrative Opns; Carla Domenici, Dir,Safety & Risk Services
2015-05	<u>Safety and Risk Services</u>	<u>Recommendation 12 - Building Evacuation Maps</u>	The Executive Vice President for Finance and Administration should ensure that the SRS Director completes the comprehensive set of building evacuation plans by December 31, 2015 as per the 2011 internal audit response. In addition, SRS should provide the Planning and Campus Development Office with a copy of the plans upon completion.	SRS will meet this deadline and provide the maps to the Planning and Campus Development Office.	12/31/2015	SRS completed a comprehensive set of building evacuation maps. IA visited SRS and verified a judgmental sample of maps. The sample contained one building assumed to be populated with a large number of students from each of the areas and branch campuses. An electronic copy of the complete set of evacuation maps was sent to the Office of Planning and Development.	1/27/2016	Arthur Bishop,Mgr,Administrative Opns; Carla Domenici, Dir,Safety & Risk Services

Follow Up Report - Recommendation Implemented (March 2016 Open Session)

Project Code	Project Name	Recommendation Title	Executive Recommendation	Response	Estimated Implementation Date	Recommendation Action	Actual Implementation Date	Responsible Party
2015-05	Safety and Risk Services	<u>Recommendations 14 & 15 - Insurance Claim Proceeds</u>	<p>A. The Director of Safety and Risk Services should ensure that SOPs related to insurance claim receipts are updated to reflect a standardized process for receipt and distribution of warrants related to SRMC, UNMH and UNMMG claims.</p> <p>B. The Director of Safety and Risk Services should ensure that all insurance claim warrants are processed according to the updated SRS SOPs. In the case where the proceeds relate to UNM, the warrants should be received at SRS, deposited in the designated index within 24 hours of receipt, and distributed via internal journal entry to the appropriate UNM claimant/department within five business days.</p>	A. and B. SRS developed the appropriate SOP and will insure compliance to its requirements.	12/31/2015	A. - CLEARED. SRS completed the SOP for processing insurance proceeds for UNMH, SRMC, and UNMMG; B. - CLEARED. SRS received one check issued to UNMH in a period of November and December 2015. They provided a copy for the log and the sign-off for hand delivery of the check.	2/15/2016	Arthur Bishop, Mgr, Administrative Opns; Carla Domenici, Dir, Safety & Risk Services

Follow Up Report - Recommendation Pending (March 2016 Open Session)

Project Code	Project Name	Recommendation Title	Executive Recommendation	Response	Estimated Implementation Date	Last Status Update	Actual Implementation Date	Responsible Party
2013-10	<u>P-Card</u>	<u>Recommendation 2 - Implementation of new system to record and track hazardous chemicals and radioactive materials</u>	The Purchasing department and SRS should implement a system which effectively records the purchase of hazardous materials and radioactive materials, and provides all relevant information to SRS for tracking.	SRS purchased the Enterprise Re-Agent Manager (ERM) software and is implementing this software in five UNM Departments effective August 2013. This ERM software will replace ICID. ERM is a SciQuest Product that communicates with Banner. Purchasing and SRS are working as a team to populate the ERM software with data from Chemical and Research Laboratory Supplies (CRLS). SRS established a main campus Chemical and Laboratory Safety Committee and is working with the committee to attempt to implement ERM campus-wide. SRS needs the support of UNM management to promulgate policies to require the use of ERM software and the inventory of chemical and radioactive materials.	12/31/2016	The recommendation can be closed upon full implementation of Recommendation #18 in a Safety & Risk Services follow up audit (2015-15).		Carla Domenici, Dir, Safety & Risk Services
2013-01	<u>Review of College of Arts and Sciences Operations</u>	<u>Implementation of Process to Track Research Activities</u>	A process should be implemented that enables colleges to effectively track and monitor time that faculty members spend on research activities to help management determine if faculty members are meeting academic load requirements and workload guidelines.	To track faculty research activities, an RFP was created for the purchase of a scholarly productivity subscription service, which will have the ability to track faculty research activities. The products of three vendors responding to the RFP are being evaluated Fall 2014, and a decision on purchase is expected to be made by January 1, 2015. Actual implementation of the software is expected to be completed by December 15, 2015.	5/31/2016	The Provost office has been fully engaged in completing the roll out of UNM's Cohort Analytics application for tracking Faculty Research. The Provost office believes they will have this completed by the end of February 2016, and they can start to investigate the ability to include some public data sets related to faculty productivity (probably Google Scholar) into the APR process. The Provost office has requested, and received approval, for an extension until May 31, 2016 for full implementation.		Greg Heileman, Associate Provost; Chaouki Tanios Abdallah
2013-15	<u>Safeguards for Protecting Private Data- Service Providers and Contractors</u>	<u>Recommendation 1 - UNM Information Security Program</u>	The CIO needs to implement the UNM Information Security Program University-wide.	Concur. The CIO will continue implementation of the Information Security Program with the advisory structure approved by the President. The CIO submitted a recommendation to the IT Governance Council UNM Policy 2560 (President, EVPs, and Chancellor) to create a University wide security council. The existing and operational UNM Information Security Program will be assigned to the appropriate advisory structure.	1/31/2017	The Chief Information Officer (CIO) is implementing an Information Security Management System (ISMS) program. He plans to use three peer institutions' policies as the ISMS framework. The peer institutions are University of Illinois, Temple University and Texas Tech University. Internal Audit (IA) intended to use the International Organization for Standardization (ISO) 27001 Information Security Management framework as criteria to evaluate the UNM ISMS, but the CIO would prefer IA use the peer Universities. The CIO will provide a comparison of the UNM ISMS to the peer institutions' ISMSs for IA review.		Gilbert Gonzales, Chief Information Officer

Follow Up Report - Recommendation Pending (March 2016 Open Session)

Project Code	Project Name	Recommendation Title	Executive Recommendation	Response	Estimated Implementation Date	Last Status Update	Actual Implementation Date	Responsible Party
2013-15	Safeguards for Protecting Private Data-- Service Providers and Contractors	Recommendation 2 - University Information Security Function	The President should give the CIO the explicit authority and responsibility to manage information security University-wide, including the decentralized computing services. The President should also ensure that the CIO has the budget to develop, implement, and enforce security policies.	Concur. The President's Office is working with the EVP for Administration, the Provost and EVP for Academic Affairs, and the Chancellor for Health Sciences on the appointment of an appropriate advisory structure. We will work with the EVP for Administration and the CIO to evaluate whether this office has sufficient budget and authority to develop, implement, and enforce security policies. The Information Security Office, through the CIO, has established a security management reporting mechanism and makes quarterly reports to senior management on the status of information security at UNM.	7/31/2016	KSA report submitted on June 22 acknowledged Security as an Enterprise concern. Budget, authority and advisory structures are yet to be assigned. Proposal to establish enterprise information security is being developed for presentation to IT Executive Governance in this fiscal year.		Gilbert Gonzales, Chief Information Officer
2013-29	Review of College of Education Operations	Recommendation 3 - Time to acquire a degree at UNM COE	The Dean of the College of Education should work with Office of the Provost to ensure any redesign of the College addresses the Provost's recommendation for reducing minimum credit hours for degree programs.	A college-wide Curriculum Review has been underway since 2013; one objective of the review is to reduce the required number of credit hours in each bachelor degree program to 120 hours, or close to it. The NM PED requires 57 credit hours in core courses for teacher preparation programs. The PED is reviewing this requirement. The Early Childhood Education program (ECE) is well under way to restructuring the program into a 5 year degree program, and in compliance with regulatory and accreditation agencies.	6/30/2016	02/18/2016 - No change in status on this recommendation. With the passage of SB 329 (Kernan's bill), the core requirements for college of education students has been reduced. While this provides additional flexibility with respect to our curriculum, it now requires a reworking of our initial licensure programs for submission to PED for approval. This will occur in fall 2015 for a spring submission for approval and implementation in fall 2016 in compliance with both this recommendation and SB 329.		Salvador Hector Ochoa, Dean
2013-29	Review of College of Education Operations	Recommendation 6 - Residency School	The Dean of the COE and the Provost office should consider developing a College of Education Teacher Preparation Residency School. Such a residency school could provide COE students with hands on training throughout their teacher preparation experience.	The College of Education will consider the Teacher Preparation Residency School as a part of the continuing re-imagining efforts and future direction of the College.	8/31/2016	02/18/2016 - With regard to establishing a residency school, in light of the current budgetary climate and current COE financial situation, funding is not available. However, COE remains committed to approximating this model by embedding faculty into neighboring school districts.		Salvador Hector Ochoa, Dean
2013-29	Review of College of Education Operations	Recommendation 7 - Field Services Assessments	The College should consider establishing a coordinated clinical field service assessment program to effectively provide feedback while teacher candidates are conducting field service and to follow up with them after graduation. Consider changes in programs to include student field service experience earlier in the program/student experience and establish a program to assess the effectiveness of traditional field service.	The College established a Field Services Portal (the first of its kind in NM) for feedback between teacher candidates and supervisors during the entire field service experience. This portal undergoes continuous improvement to facilitate and enhance feedback and communication with candidates, staff and supervisors. The College also utilizes the TK-20 assessment system to collect observations on students' learning and can be accessed by our alumni to store their teaching and learning dossiers. In addition, the Center for Education Policy Research is conducting a separate program evaluation of the Co-Teaching Collaborative model as part of its two-year pilot program (FY14 and FY15). FY14 is the first year for which this type of data is being gathered.	8/31/2016	2/18/2016 - No change in status on this recommendation. The college plans development of a Fitness to Teach model during FY16 to provide feedback to students who are meeting expectant standards while doing their field services. Additionally, the College is utilizing the TK-20 system to collect longitudinal data to analyze the effectiveness of our program and field service component. This is in accordance with the requirements of the national accreditation agency (CAEP) for the College of Education. The effectiveness of these efforts will be evaluated as part of the annual reporting requirements of our national accreditation agency.		Salvador Hector Ochoa, Dean

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2013-29	<u>Review of College of Education Operations</u>	<u>Recommendation 8 - Expand Field Service to Rural NM</u>	The Dean of the COE should work with the Provost's Office to develop a permanent funding model for field service, and explore expansion of the Co-Teaching Collaborative School model within the Teacher Education Department, to other departments within the College, and to rural areas of New Mexico.	The new COE Dean and the Provost will explore funding possibilities for Field Services, and further examine possibilities for expanding the Co-Teaching Collaborative School model in Teacher Education and other areas of the college. Rural areas of New Mexico will also be included.	8/31/2016	2/16/2016 - No change in status on this recommendation. A cost analysis of all field services models in effect for AY15-16 will be performed to serve as a focal point for conversations with the Provost and Budget offices.		Salvador Hector Ochoa,Dean
2015-14	<u>Cancer Center Portable Devices</u>	<u>Recommendation 5 - Archived PHI</u>	The Chief Financial Officer of the CC should explore the feasibility of using the PACS system for archiving information.	UNM Cancer Center will investigate the possibility of utilizing a PACS system for archiving ongoing treatment and planning data. In regards to existing archived storage on portable CDs, UNM Cancer Center is currently in the process of moving this data from the CD archives to a shared network folder. The transition of this data to the network folder to be completed by April 30, 2015. In regards to archived storage on tape media, an RFP to be issued for the permanent archive of this media from tape to a networked server/folder. To be completed by June 30, 2015.	3/31/2016	Cancer Center is in the RFI stage, testing two vendor products to verify ability to perform archive storage. In the meantime, items are no longer stored on CDs, rather on a Cancer Center drive that has limited access and is backed up regularly. Once the two vendors are tested, Cancer Center will move to retain one.		RODNEY MARTINEZ,Chief Financial Officer: UNM Cancer Center
2015-02	<u>UNM Taos</u>	<u>Recommendation 3 - Enforce Cash Management Training</u>	All UNM-Taos employees that handle, or have access to, cash should take Cash Management training.	Schedule training for regular employees and work studies involved in Cash Management functions as per UAP 7200.	3/31/2016	Two employees that handle cash, or have access to cash, still have not taken the cash management training. Management is working with these employees to complete the training.		Mario Suazo, Dir,Business Opns/Sm Branch; Thomas Duran, Business Manager
2015-02	<u>UNM Taos</u>	<u>Recommendation 6 - Develop Policies and Procedures for Employer Issued Smart Phones</u>	In addition to UAPP 7710, UNM-Taos should further develop policies and procedures that require smart phones to be tagged, monitored, and inventoried.	A detailed inventory will be conducted on employee issued cell phones, a property ID tag or other suitable identifier will be assigned to each phone and use levels monitored on a quarterly basis. The Process for identifying the phone hardware serial numbers will be developed by the Business Office and IT departments. The Business and IT Departments will coordinate a sign out process in which individuals issued phones will acknowledge receipt, and get a handout with basic security requirements for using the phones, and procedures for enabling remote wiping by the employee being issued equipment. The procedures developed will adhere to guidelines in UAPP 7710.	6/30/2016	UNM Taos hired a new IT Manager in November 2015 who has began drafting an IT security policies and procedures manual, which addresses employee-issued smart phones. The smart phone policy has been drafted, and will be part of the IT manual. In addition, UNM Taos is completing a review of employee-issued smart phones to ensure all smart phones are tagged. Management has requested and received an extension until June 30, 2016 for full implementation of this recommendation.		Mario Suazo, Dir,Business Opns/Sm Branch; Unit IT Support Manager
2015-02	<u>UNM Taos</u>	<u>Recommendation 8 - Develop General IT Security Policies and Procedures</u>	UNM-Taos IT Department should document IT security policies and procedures, which enforce procedures for regular back-up and off-site storage of IT systems, developing a disaster recovery plan, and encrypting computers issued to employees.	UNM-Taos IT will develop an operations manual documenting IT security policies and procedures. Procedures will be modeled on those implemented at UNM-Valencia and Gallup. The IT department has already started developing the process for backups and offsite storage, and will identify disaster recovery procedures, test them regularly once the backups are working as expected. Encryption will be implemented on an ongoing basis for laptops assigned to faculty and staff.	6/30/2016	UNM Taos hired a new IT Manager in November 2015 who has began drafting an IT security policies and procedures manual. The new IT Manager and UNM Taos management believe the IT manual will be completed and approved by June 2016. Management has requested and received an extension for this recommendation		Mario Suazo, Dir,Business Opns/Sm Branch; Unit IT Support Manager

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2015-02	<u>UNM Taos</u>	<u>Recommendation 9 - All UNM Taos Employees Should Take Required Training</u>	All UNM Taos faculty, staff, and student employees should take the required annual training courses.	Determine which faculty, staff and students employees are required to take the training. Develop a communication mechanism to inform and remind those who need the training and provide notification to supervisors.	12/31/2016	100 of 109 full-time faculty and staff completed both Sexual Harassment and Basic Safety required trainings for 2015. However, the UNM Policy office has revised Policy 3290 to reflect that all UNM employees are now required to take certain mandatory training. The various operating units are still configuring the delivery and tracking systems. Implementation of this recommendation will be extended to December 31, 2016 due to policy revisions and configuration of tracking systems.		Catherine O'Neill, Executive Dir, Br Campus; Debra Martinez, HR Administrator 2
2015-03	<u>Harwood Museum</u>	<u>Recommendation 7 - Art Collection Record Keeping</u>	Harwood should (1) complete data entry of art collection items that are missing critical information, such as value and loaned items from other museums; (2) clean up duplicate data resulting from the database migration; (3) ensure the collection records are reviewed by the Director periodically; (4) report accurate value for fine art insurance coverage to UNM Safety and Risk Services based on data generated from the complete and accurate database.	Incoming and outgoing loans have been tracked in the new database since its August 1, 2014 launch. The previous database did not have that capability. By November 1, 2015, all data entry of collection items missing critical information, including value, when that information is available and clean-up of duplicate data entry items will be complete. Beginning immediately, the director will review collection records on a quarterly basis. A current, accurate valuation of the Harwood's entire collection will require the engagement of a professional appraiser. This is a significant expense that the Harwood's operating budget cannot currently support. The timeline for completing the collection valuation will be informed by the Harwood Board's fundraising strategies to address operating revenue shortfalls.	12/31/2016	Management indicated Harwood has completed updating the collection inventory database as recommended by Internal Audit. Internal Audit needs to verify implementation.		Dir, Harwood Museum
2015-03	<u>Harwood Museum</u>	<u>Recommendation 8 - Art Collections Inventory</u>	Harwood should complete a formal physical inventory for its collection items, maintain current inventory records, and notify Inventory Control of its certified inventory results within a year.	In keeping with professional best practices, the director will create a narrative description of protocol and timelines for inventory control. This information will be incorporated into the Harwood's Collections Management Policy. The new protocol and policy will be implemented by November 1, 2015. A formal physical inventory of the museum's 4,900 object collection will require additional funding, in order to support two temporary Curatorial Assistants who will conduct the inventory under the guidance of the Curator of Collections and Exhibitions. If new funding is identified by the Harwood Board, the inventory will be completed by May 1, 2017, in keeping with the American Alliance of Museums' recommendation that formal inventories take place every ten years. In the event additional funding to hire two new temporary employees is not forthcoming in FY16, the Director will work with UNM Human Resources to undertake a staffing analysis to ascertain whether a staffing reorganization could shift existing staff resources to the task of completing an inventory within one year as recommended.	5/1/2017	Management indicated that Harwood's physical inventory (art collection) has been completed and submitted to UNM Inventory Control. Internal Audit needs to review certification of inventory to verify inventory submitted to UNM Inventory Control.		Dir, Harwood Museum

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2015-01	<u>Payroll Follow-Up Audit</u>	<u>Recommendation 1 - Payroll Adjustment Codes</u>	The University Controller's Office should revise the adjustment code forms and explanations of the causes of the adjustments to clarify the causes, conditions, and responsible parties creating the adjustments.	Payroll will work with HR and EDCs to identify the needed enhancements. Payroll will work with FSMIT to add the enhancements to the report. Payroll will assess options for notifying departments of their adjustments.	4/1/2017	Implementation of the Talent Management System (TMS) has been delayed until July, 2016. Implementation of the audit recommendations depended upon the full functioning of the TMS and has therefore also been delayed.		Elizabeth Metzger, University Controller; Julian Sandoval, Chief Financial Svcs Officer
2015-01	<u>Payroll Follow-Up Audit</u>	<u>Recommendation 2 - Payroll Adjustment Late Paperwork Training</u>	The University Controller's Office should develop mandatory training on business practices, required processes, and meeting deadlines aimed at reducing late filing of employment paperwork, EPAFs, payroll adjustments, and employee accounts receivable.	Payroll will work with HR and EDCs to improve communication and training. Adjustments are very heavily tied to the initial job setup. HR and the EDCs will need to partner with Payroll to provide the applicable training for each step of the required processes, and support from the University Provost will be needed to include Deans and Chairs in the mandatory training.	4/1/2017	Implementation of the Talent Management System (TMS) has been delayed until July, 2016. Implementation of the audit recommendations depended upon the full functioning of the TMS and has therefore also been delayed.		Elizabeth Metzger, University Controller
2015-01	<u>Payroll Follow-Up Audit</u>	<u>Recommendation 3 - Administrative Fee</u>	The University Controller's Office should consider charging an administrative fee to departments that submit late EPAFs or other employment documents, as well as for causing unnecessary payroll adjustments.	Payroll will assess options for a fee structure but would like to first determine the successful implementation of the remaining recommendations within this document, especially to identify the root causes of adjustments. Payroll also needs to see how the Talent Management Suite implementation impacts processes. The fee structure will be applied accordingly to departments, HR, and EDCs as applicable.	1/1/2018	Implementation of the Talent Management System (TMS) has been delayed until July, 2016. Implementation of the audit recommendations depended upon the full functioning of the TMS and has therefore also been delayed.		Elizabeth Metzger, University Controller
2015-01	<u>Payroll Follow-Up Audit</u>	<u>Recommendation 4 - Develop a Policy to Ease the Administrative Burden</u>	The University Controller's Office should work with the UNM Policy Office to develop (or amend) a policy to allow de minimus write-offs in order to ease the administrative burden of collection when the cost of collection exceeds the amount to be collected.	Payroll will submit revisions to the Policy Office. These revisions will depend on the analysis and corresponding direction taken in Recommendation 5 below.	10/1/2016	Implementation of the Talent Management System (TMS) has been delayed until July, 2016. Implementation of the audit recommendations depended upon the full functioning of the TMS and has therefore also been delayed.		Elizabeth Metzger, University Controller
2015-01	<u>Payroll Follow-Up Audit</u>	<u>Recommendation 5 - Automated Tracking of Accounts Receivable</u>	The University Controller's Office should research tracking of overpayments in the Banner Accounts Receivable module as a means to ease the administrative burden of manually tracking employee receivables.	Stale dated receivables will be written off. The Banner Accounts Receivable module will be assessed for tracking overpayments and is then intended to be utilized to track overpayments that require repayment of at least 2 pay cycles for that employee.	10/1/2016	Implementation of the Talent Management System (TMS) has been delayed until July, 2016. Implementation of the audit recommendations depended upon the full functioning of the TMS and has therefore also been delayed.		Elizabeth Metzger, University Controller
2015-01	<u>Payroll Follow-Up Audit</u>	<u>Recommendation 6 - Assess One Source Portal</u>	UNM HR should work with OFAS to assess the impact of new processes being implemented, especially Talent Management, on the hiring process instructions detailed in the One Source Information portal.	HR IT will work with the various Employment Data Centers (EDCs) to determine the current usage of the OneSource personnel action portal and to review the current content for accuracy of information. The EDC Team will then determine if it is appropriate to continue with the maintenance of the OneSource Portal and if so, develop an action plan for updating the OneSource content to reflect changes in hiring processes to coincide with the TMS implementation. If it is determined that OneSource should not be maintained then the EDCs will provide a recommendation to Administration on the appropriate mechanism to convey the hiring processes to departments.	7/1/2016	Implementation of the Talent Management System (TMS) is delayed until July 1, 2016. HR has completed the update of the One-Source portal to reflect current processes, and will incorporate any further changes due to TMS by July 1, 2016.		Dorothy Terese Anderson, Vice President, Human Resources

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2015-01	Payroll Follow-Up Audit	<u>Recommendation 7 - OFAS Adjustment Email Notification</u>	OFAS should work with UNM IT to adopt an EPAF email notification system similar to the one developed by HR IT for UNM Staff.	OFAS will take the lead in soliciting IT's support to implement email notifications for faculty EPAFs before the end of the fall semester. OFAS will not implement all email notifications given their lack of resources and time to do so until the staff process is fully tested, implemented and assessed. OFAS will work with HSC and SOM Faculty Employment Areas.	3/31/2017	Implementation of the Talent Management System (TMS) is delayed until July 1, 2016. OFAS is working with IT to develop and test the EPAF notification system, but will not have a go-live date until after TMS is fully implemented.		Theresa Ramos,Dir, Faculty Employment & Svcs; Carol Parker, Sr. Vice Provost
2015-01	Payroll Follow-Up Audit	<u>Recommendation 8 - OFAS to Continue Automation of Processes</u>	OFAS should expedite the transition to automated processing of contract renewal processes, and develop a time line to coincide with implementation of Talent Management. OFAS should work with UNM IT to further develop EPAF processes for employment transactions that are not currently using EPAFs.	June 30, 2016: OFAS will work with IT and HSC Faculty Employment Areas to develop additional EPAFs to automate existing paper employment transactions. July 1, 2015: The paperless contract renewals was implemented Main and Branch Campus Faculty. January 30, 2016: OFAS will work with HSC and SOM Faculty Employment Areas to utilize Talent Management for automating onboarding process for new hires with an integration of employee information from TM to Banner. However, fall hiring activity for AY 2016-17 will have started prior to the implementation of TM for Main and Branch Campuses; therefore, there will be delays if fully utilizing TM for Main and Branch Campuses until Spring/Summer 2016. All three faculty employment areas are and will continue to participate in the TM project.	3/31/2017	Implementation of the Talent Management System (TMS) is delayed until July 1, 2016. OFAS has completed several new EPAFs, however, OFAS is working with HSC on their timeline schedule and will not complete all of the EPAFs until after the implementation of TMS.		Theresa Ramos,Dir, Faculty Employment & Svcs; Carol Parker, Sr. Vice Provost
2015-01	Payroll Follow-Up Audit	<u>Recommendation 9 - OFAS to Work with Payroll Department</u>	OFAS should work with the Payroll Department to integrate their new processes with payroll department processes, work out kinks, discuss issues, and solve potential problems with the rollout of the new system.	OFAS will continue to collaborate with Payroll to complete vital error reports related to employment transactions; continue to meet to address gaps in the understanding of faculty related projects and/or to request their support in testing automation as needed.	3/31/2017	Implementation of the Talent Management System (TMS) has been delayed until July, 2016. Implementation of the audit recommendations depended upon the full functioning of the TMS and has therefore also been delayed.		Theresa Ramos,Dir, Faculty Employment & Svcs; Carol Parker, Sr. Vice Provost
2015-01	Payroll Follow-Up Audit	<u>Recommendation 10 - HSC to Develop Additional EPAFs</u>	HSC should work with UNM IT and UNM HR to further develop EPAF processes for employment transactions that are not currently using EPAFs.	The HSC Faculty Contracts Office will help develop ideas and implement new EPAFs with UNM HR and UNM IT for faculty employment transactions not currently using EPAFs. This is dependent on UNM IT programming the EPAFs into Banner.	3/31/2017	Implementation of the Talent Management System (TMS) has been delayed until July, 2016. Implementation of the audit recommendations depended upon the full functioning of the TMS and has therefore also been delayed.		Michael Schwantes,Dir, Fin Syst & Rstr Acctg
2015-01	Payroll Follow-Up Audit	<u>Recommendation 1A - Required Training - 2015-01-A Stand Alone Report</u>	The University's President should direct the Human Resources Department, the Office of Faculty Affairs and Services, HSC Faculty Contracts, SOM Office of Academic Affairs, and Graduate Studies to work with the UNM Policy Office to revise Policy 3290, clarifying that all University employees and academic volunteers must take mandatory training courses.	The President will direct appropriate offices to identify a mechanism to provide and track mandatory training to all employees, and will develop a mechanism to hold employees and managers responsible for compliance. Once the feasibility of expanding training has been verified, these offices will work with the UNM Policy Office to make appropriate revisions to UAP 3290 to reflect these changes.	3/31/2016	The UNM Policy office has revised Policy 3290 to reflect that all UNM employees are now required to take certain mandatory training. This finding has been assigned by President Frank to a group that is tasked with reviewing university-wide required training. The group is comprised of the following offices: Human Resources Department, the Office of Faculty Affairs and Services, HSC Faculty Contracts, School of Medicine Office of Academic Affairs, the Office of Graduate Studies, and the Student Employment Office. The group is still configuring the training, delivery and tracking systems, and has not yet decided which training will be mandatory.		Robert George Frank,President; Kevin Stevenson, Strategic Planner

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2015-05	<u>Safety and Risk Services</u>	<u>Recommendation 1 - Fire Suppression Service and Sprinkler Repair</u>	The Director of Safety and Risk Services should ensure that all five year flushing services identified in the FY2012 and FY2013 FSCFRs are addressed.	The SRS Fire Safety Budgets attached to the FY 2012 and 2013 FSCFRs include the services SRS staff anticipated would be necessary for code compliance. It is important to note that at the five year mark suppression systems undergo obstruction investigation and if necessary flushing. NFPA 25 requires five year obstruction inspections. Based on the findings of the obstruction inspection the vendor either flushes the system or waits five more years. All UNM buildings have undergone the obstruction inspections. Only buildings requiring the flushing will undergo that costly process. SRS will forward documentation of obstruction investigations and flushing during the time frame in question. SRS is now going to approach the preparation of the FSCFR in a more comprehensive and deliberate manner by forming the SRS Fire Safety Committee. Instead of including the items that SRS staff found to be of high priority, the work of this committee will provide a forum for campus stakeholders to identify, discuss and vote on priorities.	6/30/2016	SRS is working to complete obstruction testing by end of FY16. SRS provided a copy of the FY14/15 FSCFR report. Due date is extended to 6/30/16.		Arthur Bishop, Mgr, Administrative Opns; Carla Domenici, Dir, Safety & Risk Services
2015-05	<u>Safety and Risk Services</u>	<u>Recommendation 2 - Annual Fire Safety Capital Funding Report</u>	The Director of Safety and Risk Services should ensure that FSCFRs are completed annually and presented to the Board of Regents per the commitment in the response to the prior audit finding.	The Director of Safety and Risk Services agrees to do so. Due to changes in the Fire Safety Program, SRS will be issuing a combined FY 2014-2015 report. Beginning in FY 2016, SRS has formed and will staff the SRS Fire Safety Capital Committee. The purpose of this committee is to involve campus stakeholders in the identification and prioritization of fire capital needs. This committee will identify and vote on priorities that will be included in future FSCFRs. Otherwise, the items included in the report are based solely on the SRS staff's opinions and observations. SRS will also obtain input from the PPD Asset Condition Evaluation project whose goal is to inspect assets and develop BR&R funding requests. SRS has a representative involved in the PPD project.	6/30/2016			Carla Domenici, Dir, Safety & Risk Services
2015-05	<u>Safety and Risk Services</u>	<u>Recommendation 4 - Monthly Review and Reconciliation</u>	The Director of SRS should review deposit, distribution, and expense reports on a monthly basis, preferably within fifteen days after end of month. The Director of SRS should initial and date these reports as evidence of review.	The Director will task the Financial Analyst to maintain a filing system containing the following monthly documents: PCARD reconciliation, Operating Ledger Summary, Operating Ledger Detail by Index and initial, payroll summary, bills processed. The Director will sign and date each month to confirm review. The managers will sign and date the reports for the indices each one manages.	10/30/2015	Per SRS, they have addressed the issue and revised monthly reconciliation reviews by the SRS Director. IA will work with SRS to review and verify monthly reconciliations.		Carla Domenici, Dir, Safety & Risk Services

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2015-05	Safety and Risk Services	<u>Recommendation 5 - Fire Extinguisher Reconciliation</u>	The Director of Safety and Risk Services should ensure that invoices provided by the fire extinguisher contractor are reconciled to the master fire extinguisher inventory list. Any discrepancies should be addressed and resolved.	For the past several months, SRS has been in the process of purchasing a fire extinguisher software. It has involved UNM IT in this process to insure success. This purchase will likely occur in the next few months. The software will provide for an accurate and current reconciliation. It may also allow SRS to conduct monthly inspections in-house and only use vendor services for annual inspections. SRS will install the software, complete a pilot area of buildings and begin to stagger annual inspections. IA will be invited to a demonstration of processes during the pilot phase.	6/30/2016			Arthur Bishop, Mgr, Administrative Opns; Carla Domenici, Dir, Safety & Risk Services
2015-05	Safety and Risk Services	<u>Recommendation 6 - Safety Concerns Reported to SRS</u>	The Director of Safety and Risk Services should develop and document a process for investigating safety concerns reported to SRS. The process should include detailed use of TMA or similar software to ensure that a clear audit trail from the date of report to final disposition is noted. The process should specifically include the requirement to notify the person who expressed concern about the final outcome.	SRS will work with PPD ISS to train and re-train its employees on TMA. Ideally, TMA can serve as the software for tracking the work and response of SRS staff. SRS will continue to use TMA through June 30, 2016. If the results are not improved, then it will consider the purchase of a software more specifically designed to occupational safety needs.	6/30/2016			Michael Tuttle, Mgr, Risk Mgmt, Ins & Claims; Carla Domenici, Dir, Safety & Risk Services
2015-05	Safety and Risk Services	<u>Recommendation 7 - Reporting Test Results</u>	SRS Director should ensure that the results of any monitoring tests for hazardous material levels performed are communicated according to OSHA 1910.1018(e)(5)(i). Documentation of report distribution should be kept with the report to facilitate a clear audit trail.	The SRS Environmental Health Manager will develop standard operating procedures to insure the results of air quality monitoring are communicated according to OSHA 1910.1018(e)(5)(i). Documentation of report distribution should be kept with the report to facilitate a clear audit trail.	6/30/2016			Chemanji Shu-Nyamboli, Environmental Health Manager; Carla Domenici, Dir, Safety & Risk Services
2015-05	Safety and Risk Services	<u>Recommendation 8 - Construction Safety</u>	The Director of Safety and Risk Services should require that SRS participate in all construction projects as directed by the Construction Safety Manual. As a documentary audit trail, SRS should collect and keep documentation that they attended the pre-bid meetings, approved the CSSP, and sent the Notice-To-Proceed after approving the CSSP.	SRS will insure that its staff attend all construction and remodel meetings. Further it will insure that the documentation requirements set forth in the Construction Safety Manual are adhered to by SRS staff.	6/30/2016			Chemanji Shu-Nyamboli, Environmental Health Manager; Carla Domenici, Dir, Safety & Risk Services
2015-05	Safety and Risk Services	<u>Recommendation 9 - Peer Review</u>	SRS should participate in regular peer reviews, including one in the next 12 months, in order to gain insight and efficiency through interaction with similar and/or peer institutions.	SRS will complete the peer review in the time-frame set forth.	12/30/2016			Carla Domenici, Dir, Safety & Risk Services
2015-05	Safety and Risk Services	<u>Recommendation 11 - Building Inspections - Corrective Action Responses</u>	The Director of Safety and Risk Services should ensure that concerns noted by LPC inspections are communicated to the supervisory person most immediately responsible for the operations, and that a corrective action response is received according to NMAC 1.6.4. SRS should document the follow up process to ensure that noted deficiencies are corrected as stated by the corrective action response.	The Loss Prevention Control Coordinator and two Co- Coordinators will insure that LPC inspection reports are communicated to stakeholders.	12/31/2015	Per SRS, they have revised the LPC inspection communication procedures. IA needs to verify the implementation.		Arthur Bishop, Mgr, Administrative Opns; Carla Domenici, Dir, Safety & Risk Services

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2015-05	Safety and Risk Services	<u>Recommendation 13 - Annual Chrystalline Sylica Tests</u>	The Director of Safety and Risk Services should work with chemical safety committees to identify areas of risk related to exposure and inhalation and determine what are the most appropriate annual monitoring tests to be conducted.	SRS will work with the HSC Chemical Safety Committee and Main Campus Chemical and Lab Safety Committee to review the risk and need for air quality and exposure testing.	6/30/2016			Chemanji Shu-Nyamboli, Environmental Health Manager; Carla Domenici, Dir, Safety & Risk Services
2015-05	Safety and Risk Services	<u>Recommendation 16 - SRS Training - ERM Training</u>	The Director of Safety and Risk Services should provide EOD with an annual list of (1) CSOs to ensure that CSO and ERM training becomes part of their required annual Learning Central training courses, and (2) PIs and PCard holders who make chemical purchases to ensure that ERM becomes part of their required annual Learning Central training courses.	The Environmental Health Manager will insure this information reaches Learning Central.	3/31/2016			Chemanji Shu-Nyamboli, Environmental Health Manager; Carla Domenici, Dir, Safety & Risk Services
2015-05	Safety and Risk Services	<u>Recommendation 17- SRS Training - CSO Training</u>	The University President should send a directive to CSOs, PIs, and PCard holders identified as persons who make chemical purchases to comply with their annual requirements to complete CSO and/or ERM training. They should be reminded of the importance to ensure lab safety and accurate chemical labeling and inventory.	In response to Internal Audit report 2015-01-1, the University President directed a group to address university-wide mandatory training for employees. As a component of that effort, the President will direct this group to also develop a mechanism to ensure position-specific mandatory training for CSOs, PIs, and Pcard holders that make chemical purchases.	3/31/2016			Dorothy Terese Anderson, Vice President, Human Resources; Chaouki Tanios Abdallah
2015-05	Safety and Risk Services	<u>Recommendation 18 - Chemical Purchases and Perpetual Inventory</u>	The Executive Vice President for Finance and Administration, Executive Vice President for Academic Affairs/Provost, and the Chancellor for Health Sciences should work with the Director of Safety and Risk Services to determine the best course of action to ensure that all chemicals purchased are properly and accurately inventoried via the ERM system. Two considerations might be that all chemical purchases are only allowed to be made via CRLS or LoboMart, or that SRS be the central receiving point for all chemical purchases made outside of CRLS.	<p>EVP for Finance and Administration: The departments that purchase chemicals that report to me include PPD and Student Housing. I will work with the Vice-President of Institutional Support Services to insure that those areas coordinate with SRS to insure that chemical purchases are recorded in ERM. I will also work with the Purchasing Department to secure their cooperation in working with SRS to make purchasing through ERM as streamlined as possible. Lastly, I will work with SRS to assist them in becoming the central receiving point for all chemical purchases made outside of CRLS. This may mean increased staffing and certainly the development of a storage area. EVP for Academic Affairs/Provost:</p> <p>With the Risk Management Division, Academic Affairs will issue a memo to all units that purchase chemicals within our organization by October 31, 2015. The memo will detail compliance requirements and a proposed schedule for appropriate training and implementation of the ERM system – it will prioritize the high impact units. This will require close coordination between SRS, the Chemical Safety Committee, Deans and Academic Affairs representatives.</p>	12/31/2016	IA received an informational update from SRS informing they have an ERM training schedule for main campus. Sent return email inquiring about ERM training schedule for HSC and a separate email to Provost inquiring about documentation to support that the interim due date of 10/2015 was met, and that the Provost sent a memo to the areas that report to him informing of ERM requirements to anyone that purchases chemicals.		David Harris, Executive Vice President; Paul Roth Chaouki Tanios Abdallah

Follow Up Report - Clery Act Recommendations (March 2016 Open Session)

Project Code	Project Name	Recommendation Title	Executive Recommendation	Response	Estimated Implementation Date	Last Status Update/Recommendation Action	Actual Implementation Date	Responsible Party
2014-04	Clery Act	<u>Recommendation 7 - Validation of Crime and Disciplinary Statistics</u>	The EVP for Finance and Administration should instruct the UNMPD Chief to develop adequate training for all housing facility personnel, and the Dean of Students' Conduct Officer to ensure adequate tracking and documenting of incidents.	The Lieutenant at UNMPD is developing a lesson plan that will be provided to all housing facility personnel and the Dean of Students' Conduct Officer on tracking and documenting reported incidents. The training will be accessible through the UNM Learning Central which will provide greater outreach to UNM personnel.	10/31/2015	Training was completed in October 2015. A copy of PowerPoint training material and sign-in sheet was provided.	2/9/2016	Kevin McCabe, Dir, Univ Scty/Chief of Police
2014-04	Clery Act	<u>Recommendation 15A Emergency Evacuation Plan</u>	The EVP for Finance and Administration should require that the Director of SRS complete the annual Campus-wide evacuation plan, communicate it to the Emergency Operations Committee (EOC), and test it annually. The EVP for Finance and Administration should require the Director of SRS have a comprehensive set of evacuation plans for every building on campus, review campus structure yearly to identify new buildings, and ensure that those buildings have an adequate evacuation plan.	Evacuation maps will be posted by April 30, 2015. Campus evacuations/fire drills will be organized and completed by December 31, 2015. SRS will be working to organize and implement fire drills for all buildings, including branch and satellite campuses, to insure that designated evacuation procedures are being followed. This should include timely and complete evacuation following the correct route to the designated muster point. SRS suggests that the task of evacuating every building on campus should be re-directed to UNM PD and EOC. SRS can support this effort in its role as an occupational safety partner, but it is not equipped to evacuate the campus for all situations. SRS has initiated the design and posting of evacuation plans in all buildings. SRS will strive to complete this project by the Target Completion Date. SRS is not currently staffed or trained to prepare or to lead the development of a campus-wide evacuation plan. SRS could, with the appropriate support and funding, hire an individual with the required background to lead this effort. Nonetheless, the preparation of campus-wide evacuation plans would require specialized assistance from vendors/contractors.	12/31/2015	SRS completed a comprehensive set of evacuation maps. IA verified by reviewing a judgmental sample of building evacuation maps.	1/27/2016	Carla Domenici, Int Dir, Safety & Risk Services
2014-04	Clery Act	<u>Recommendation 15B Emergency Evacuation Plan</u>	The Chancellor for Health Sciences should require the Chair of Emergency Medicine to instruct the Emergency Manager to communicate Emergency Response procedures annually to students, staff and faculty.	We met with the Employee and Occupational Development office of the UNM Human Resources Department to discuss the inclusion of Emergency Response Procedures in an annual training format. Using the Learning Central platform and the Basic Annual Safety Training (BAST) model, we feel that this would be the best way to deliver annual training and to quantify those efforts. We are meeting on August 13 with the Safety and Risk Services Department to assess their willingness to add these procedures to their already required BAST. This would be the most efficient way for us to implement this requirement for Staff and Faculty, with an implementation date of January 1, 2015. Students are not in the Learning Central platform, and could not be addressed in this manner. We believe that the Provost's Office should determine how to push this information out to them. We might suggest, however, that some type of "banner" be added to my.unm.edu which would require students upon their first login to acknowledge Emergency Response Procedures similar to a "Terms of Service" agreement.	3/31/2016	Per correspondence from the University Emergency Manager, emergency procedures are sent to all students, faculty and staff via email on a semester basis as part of the Lobo Alert Test.	2/9/2016	Byron Edward Piatt, University Emergency Manager; Melissa Vargas, Strategic Planner

Follow Up Report - Clery Act Recommendations (March 2016 Open Session)

Project Code	Project Name	Recommendation Title	Executive Recommendation	Response	Estimated Implementation Date	Last Status Update/Recommendation Action	Actual Implementation Date	Responsible Party
2014-04	Clery Act	<u>Recommendation 19 - Separate Campus Designation</u>	The University President should instruct the Special Assistant to the University President for Branch Affairs to require UNM West issue its own Annual Security Report and comply with all Clery Act requirements.	The President's Office has instructed the Branch Campus Director to complete the report.	6/30/2015	The 2015 Annual Safety Report was revised to report UNM West crimes via a separate table. The report can be viewed via a link from the UNMPD web page or the UNM Campus Safety web page. Per discussion with the Clery Coordinator, UNM West will be handled as a separate section of the Annual Safety Report from 2016 forward.	2/9/2016	Amy Wohlert, Chief Of Staff/Office Of Pres
2014-04	Clery Act	<u>Recommendation 1 - Organizational Structure and Administrative Function</u>	A. The University President should consider establishing the position of Clery Coordinator whose sole responsibility is Clery Act compliance and oversight. The Clery Coordinator should be empowered to enforce Clery Act compliance. B. The University President should establish a Clery Act Compliance Committee with appropriate representation from the campus community. Using the best practices provided earlier, the committee should be tasked with developing an organizational structure for compliance with, coordination, and communication of Clery Act requirements. C. The Clery Coordinator working with the Clery Act Compliance Committee should develop a formal UAPPM Clery Act Compliance policy. D. The University President should notify the entire campus community that Clery Act compliance is mandatory, and all are responsible for knowing their roles and responsibilities for reporting and keeping the campus safe.	A. An Interim Clery Coordinator at UNMPD has been assigned, effective August 1, 2014 for FY15. The Director of Office of Equal Opportunity (OEO) will develop a budget request for FY16 that includes Clery reporting to OEO by June 30, 2015. The Interim Coordinator will work with the UNM compliance office and the UNM policy office to develop policies and procedures (by June 30, 2015) in consultation with the Clery Compliance Steering Committee. B. A Clery Act Steering Committee was appointed August 1, 2014. C. The Steering Committee will work with the UNM policy office to develop a policy by June 30, 2015. A meeting was held with all individuals on the Audit "Clery Organization Chart" on May 7th in the President's conference room. Each of those supervisors agreed to communicate to their direct reports. In addition, after (C.) is completed, the policy will be included in the President's communication by June 30, 2015. The University President will issue a memo to notify the entire campus community that Clery Act compliance is mandatory- to be completed by September 15, 2014.	5/30/2016	A. Cleared - Hired the Clery Coordinator in August 2015. B. Cleared - the Clery Steering Committee is meeting, verified by review of meeting minutes. C. Revised due date to 05/30/16 - Per the Clery Coordinator, work is in progress with the Policy office. D. Cleared. The University President sent a campus wide memo informing the campus community of Clery duties and responsibilities.		Amy Wohlert, Chief Of Staff/Office Of Pres
2014-04	Clery Act	<u>Recommendation 2 - Geography - Clery Act Locations</u>	A. The University President must require the Clery Coordinator to assign the responsibility for determining the University's Clery geography. B. The University President should require that the Clery Coordinator ensure development of written policies and procedures that include adequate internal controls to accurately define, document, and update the Clery geography annually.	A. Delegated to the Provost's Office from the President's Office via email communication on August 12, 2014. B. Delegated to the Provost's Office. The Interim Clery Coordinator will work with the Provost's office and the UNM policy office to develop written policies by June 30, 2015.	5/30/2016	A. Partially cleared - the Clery Geography was assigned to Terry Babbit, Associate VP. However, to date it has not been completed. B. Received a copy of the draft Clery University Policy from the Clery Coordinator. The policy is still in draft form and does not address how study abroad programs will be addressed.		Melissa Vargas, Strategic Planner
2014-04	Clery Act	<u>Recommendation 4 - Campus Security Authorities</u>	The University President or Clery Coordinator should designate CSAs, the Clery Coordinator should incorporate CSA policy into Clery Act Policy, the policy should be included in the Student Activities Handbook, and the CSA should sign signifying awareness of policy.	The Interim Clery Coordinator will gather a confirmed response from each CSA for reporting and will obtain a signed form from each CSA stating they are aware of their responsibilities. The OEO website will include this list of CSAs by June 30, 2015. The policy developed will be included and coordinated in the Student Organization Handbook - to be completed by June 30, 2015.	5/30/2016	Portion 'A' is cleared; Interim Clery Coordinator worked to notify all CSA's of their responsibility to register as a CSA and complete the training. The training will only be available via the UNM Police web page. Portion 'B' is cleared; CSA list is posted to OEO web page. Portion 'C' is in progress; the Clery Coordinator provided a copy of the draft UAPP. It does address the points noted with regard to CSAs. The recommendation can be cleared when the UAPP is final and when it is included in the Student Organization Handbook.		Amy Wohlert, Chief Of Staff/Office Of Pres

Follow Up Report - Clery Act Recommendations (March 2016 Open Session)

Project Code	Project Name	Recommendation Title	Executive Recommendation	Response	Estimated Implementation Date	Last Status Update/Recommendation Action	Actual Implementation Date	Responsible Party
2014-04	Clery Act	<u>Recommendation 6 - Validation of Crime and Disciplinary Statistics</u>	The University President should require the Clery Coordinator to develop written policies and procedures, including adequate internal controls for documenting, tracking, and verifying and reporting crimes and disciplinary actions for all University reporting departments. Record retention requirements should also be included in the written policies and procedures.	The Interim Clery Coordinator will work with the UNM Policy Office to develop a policy on double counting and reporting. To be completed by June 30, 2015.	12/31/2015	Received draft SOP, need slight revision to address record retention requirements, then it can be cleared.		Amy Wohlert, Chief Of Staff/Office Of Pres
2014-04	Clery Act	<u>Recommendation 8 - Validation of Crime and Disciplinary Statistics</u>	The Provost should require that all student housing facility personnel responsible for Clery crime reporting and disciplinary incidents, and the Dean of Students' Student Conduct Officer: meet monthly with the UNMPD to reconcile statistics; receive proper training from UNMPD; and maintain adequate documentation to substantiate disciplinary statistics submitted to UNMPD and submitted to ED. The Provost should also require all Clery incidents occurring at student housing facilities be coordinated by the Dean of Students' Student Conduct Officer. Student housing facilities must still maintain adequate documentation for statistics submitted to UNMPD.	The Provost will direct the VP for Student Affairs, AVP for Student Life, and the Student Conduct Officer to work with the Clery Coordinator and ASFSR officials to develop an implementation plan to meet these requirements.	3/31/2016	Per discussion with the Clery Coordinator, reconciliation of 2015 (annual) statistics is underway. Once it is completed and reviewed, the recommendation can be cleared.		Melissa Vargas, Strategic Planner
2014-04	Clery Act	<u>Recommendation 9 - Validation of Crime and Disciplinary Statistics</u>	The Chancellor for Health Sciences should inform the Chief Executive Officer for Health Systems to require that the Chief of Security: meet monthly with the UNMPD to reconcile statistics; receive proper training from UNMPD on how to categorize a Clery crime; and adequately document the outcome of the incident.	The UNMH Chief of Security is working with UNMPD for Clery reporting and will be meeting quarterly to reconcile reports. As for the training, UNMPD is working on developing training that will be available via learning central.	3/31/2016	Per discussion with the Clery Coordinator, reconciliation of 2015 (annual) statistics is underway. Once it is completed and reviewed, the recommendation can be cleared.		Kevin McCabe, Dir, Univ Scty/Chief of Police
2014-04	Clery Act	<u>Recommendation 14 - Missing Student</u>	A. The EVP for Academic Affairs/Provost should publish the missing student policy, B. require UNM Residence Life & Student Housing to implement adequate internal controls and access to missing student contact, and C. require Casas del Rio and Lobo Village to receive training on missing student requirements.	A. The Provost will send a memo to VP for Student Affairs and Dean of Students to write a policy (if it does not already exist) and to publish it in a prominent place. B. The Provost will send a memo to the VP for Student Affairs and AVP for Student Life to meet these directives. C. The Provost will send a memo to VP for Student Affairs and AVP for Student Life to meet these directives.	3/31/2016	A. Cleared. B. Cleared - Met with Residence Life Manager and verified via inspection that missing student information is requested via online system and stored electronically. It is kept separately from emergency contact information and access is limited. C. Need confirmation that ACC, CASAS, and Lobo Village have been provided a copy of UNM's missing student policy. Need clarification regarding how emergency contact information is collected and stored at ACC, CASAS and Lobo Village.		Melissa Vargas, Strategic Planner

Follow Up Report - Clery Act Recommendations (March 2016 Open Session)

Project Code	Project Name	Recommendation Title	Executive Recommendation	Response	Estimated Implementation Date	Last Status Update/Recommendation Action	Actual Implementation Date	Responsible Party
2014-04	Clery Act	<u>Recommendation 16 - Fire Drills</u>	The EVP for Finance and Administration should instruct the Director of SRS to work with UNM Residence Life and Student Housing, Casas del Rio, and Lobo Village to ensure students are educated on safe and proper evacuation procedures. The Director of SRS should monitor all housing facilities to ensure facility managers are conducting required fire drills.	SRS will ensure that students are thoroughly educated on safe and proper evacuation procedures. SRS will continue to organize fire drills in cooperation with facility managers. SRS will work with the property managers for Casas del Rio and Lobo Village to collect their statistics and documentation for submission. SRS met with the Regional Vice President for American Campus Communities in March 2014 and was informed that the company would conduct fire drills and maintain documentation. It was agreed that SRS would collect the data for Clery Act reporting purposes. SRS does not have jurisdiction over the fraternity and sorority houses as they are private property.	3/31/2016	Safety and Risk Services did provide support via sign-in sheets for the campus housing units. However, the support provided for the CASAS and Lobo Village did not contain enough detail to support that residents were trained properly. The support/sheets do not consistently have signatures, and do not contain a heading or support that indicates the purpose of the sheets. IA is unable to clear the recommendation at this time. SRS was informed and given the option to provide a memo to link the information provided and attest that it supports that students were trained or the option to extend the due date of the recommendation so as to review support for the spring 2016 resident training.		Carla Domenici, Int Dir, Safety & Risk Services
2014-04	Clery Act	<u>Recommendation 20B - Branch Campus Reporting</u>	The University President should instruct the Special Assistant to the University President for Branch Affairs work with the Clery Coordinator to develop written policies and procedures for branch campus Clery Act reporting and oversight. In addition, branch campuses should be required to correct requisite statistics that are in error and branch campus personnel should be required to attend training.	The President has scheduled a meeting on August 25, 2014 with Branch campus directors. To be completed by June 30, 2015.	5/30/2016	Completion date was revised to 5/30/16 after discussion with the Clery Coordinator. The Clery Coordinator will hold a training session for all Branch Campus reporting persons and the Clery Coordinator will complete SOPs for branch campus reporting.		Amy Wohlert, Chief Of Staff/Office Of Pres
2014-04	Clery Act	<u>Recommendation 25 - IT Application Controls</u>	The EVP for Finance and Administration should require the UNMPD Chief to develop its own written policies and procedures. UNMPD should ensure their IT backups are stored in a secure off-site location.	Policies and procedures have been written to address the Department's Information Technology (IT Unit). Included in the policy is the issue of proper segregation of IT personnel duties and the storage of back-up data in secure off-site locations. (Policy Number 82.1.6) UNMPD is in the process of working with UNM IT to identify the place and means to back-up data. Policies and procedures have also been written regarding a disaster plan for the dispatch center. The plan provides direction to all personnel if the dispatch center goes down. (Policy Number 81.3.2a).	3/31/2016	Per update meeting with the Clery Coordinator, the person charged with back up location has been on extended leave.		Kevin McCabe, Dir, Univ Scty/Chief of Police
2014-04	Clery Act	<u>Recommendation 26 - IT Application Controls</u>	The EVP for Academic Affairs/Provost should require UNM Housing to develop its own written IT policies and procedures.	The Provost will send a memo to the VP for Student Affairs and AVP for Student Life to meet these directives.	6/30/2016	Met with Housing Manager to further discuss the requirements of information in IT policies. Extension requested and granted to 6/30/16.		Melissa Vargas, Strategic Planner

**INFORMATION
TO
BE
SUPPLIED
AT
MEETING**

Index: 676000 - 113280-AUDIT DEPARTME-General Activ

Account Description	Budget (FYTD) Adopted	Budget (FYTD) Adjustments	Budget (FYTD) Accumulated	Actuals Current Month	Actuals Pct	Actuals Fiscal YTD	Actuals Pct	Encumbrances	Balance Available	Balance Pct
Revenue										
1640 - Allocations Pooled Allocatio!	\$802,250.00	\$.00	\$802,250.00	\$.00	.00%	\$802,250.00	100.00%	\$.00	\$.00	.00%
1900 - Reserves	\$.00	\$.00	\$.00	\$.00	.00%	\$33,886.45	.00%	\$.00	(\$33,886.45)	.00%
1901 - Budgeted Use of Reserves	\$10,000.00	\$.00	\$10,000.00	\$.00	.00%	\$.00	.00%	\$.00	\$10,000.00	100.00%
*TOTAL Revenue	\$812,250.00	\$.00	\$812,250.00	\$.00	.00%	\$836,136.45	102.94%	\$.00	(\$23,886.45)	(2.94%)
Expense										
2020 - Administrative Professional !	\$697,764.00	\$.00	\$697,764.00	\$54,696.05	7.84%	\$381,796.34	54.72%	\$273,480.25	\$42,487.41	6.09%
2060 - Support Staff Salary Detail !	\$38,932.00	\$.00	\$38,932.00	\$2,994.77	7.69%	\$22,171.61	56.95%	\$17,070.25	(\$309.86)	(.80%)
20J0 - Student Salaries Gen	\$18,000.00	\$.00	\$18,000.00	\$756.00	4.20%	\$3,153.00	17.52%	\$.00	\$14,847.00	82.48%
20P0 - Temporary Salary Gen	\$7,000.00	\$.00	\$7,000.00	\$.00	.00%	\$306.00	4.37%	\$.00	\$6,694.00	95.63%
3100 - Office Supplies General	\$1,600.00	\$.00	\$1,600.00	\$.00	.00%	\$369.90	23.12%	\$.00	\$1,230.10	76.88%
3110 - Books Periodicals Gen	\$150.00	\$.00	\$150.00	\$.00	.00%	\$149.00	99.33%	\$.00	\$1.00	.67%
3140 - Computer Software Gen	\$100.00	\$.00	\$100.00	\$.00	.00%	\$423.00	423.00%	\$.00	(\$323.00)	(323.00%)
3150 - Computer Supplies <\$5,001	\$100.00	\$.00	\$100.00	\$.00	.00%	\$.00	.00%	\$.00	\$100.00	100.00%
3180 - Non Capital Equipment <\$5,!	\$.00	\$.00	\$.00	\$583.78	.00%	\$583.78	.00%	\$.00	(\$583.78)	.00%
31A0 - Business Food - Local	\$900.00	\$.00	\$900.00	\$.00	.00%	\$447.00	49.67%	\$.00	\$453.00	50.33%
31C0 - Dues Memberships Gen	\$3,000.00	\$.00	\$3,000.00	\$205.00	6.83%	\$3,330.00	111.00%	\$.00	(\$330.00)	(11.00%)
31J0 - Parking Permits Gen	\$500.00	\$.00	\$500.00	\$.00	.00%	\$400.00	80.00%	\$.00	\$100.00	20.00%
31K0 - Postage Gen	\$29.00	\$.00	\$29.00	\$.00	.00%	\$.00	.00%	\$.00	\$29.00	100.00%
3800 - In State Travel Gen	\$1,200.00	\$.00	\$1,200.00	\$.00	.00%	\$.00	.00%	\$.00	\$1,200.00	100.00%
3805 - Instate Travel-Per Diem Sta!	\$225.00	\$.00	\$225.00	\$.00	.00%	\$.00	.00%	\$.00	\$225.00	100.00%
3810 - Instate Travel-Per Diem No!	\$125.00	\$.00	\$125.00	\$.00	.00%	\$.00	.00%	\$.00	\$125.00	100.00%
3820 - Out Of State Travel Gen	\$1,950.00	\$.00	\$1,950.00	\$.00	.00%	\$.00	.00%	\$.00	\$1,950.00	100.00%
3825 - Out State Travel-Per Diem !	\$200.00	\$.00	\$200.00	\$.00	.00%	\$.00	.00%	\$.00	\$200.00	100.00%
3830 - Out State Trvl-Per Diem No!	\$125.00	\$.00	\$125.00	\$.00	.00%	\$.00	.00%	\$.00	\$125.00	100.00%
39Z1 - Travel Non UNM Emp-Non !	\$.00	\$.00	\$.00	\$.00	.00%	\$.00	.00%	\$.00	\$.00	.00%
6000 - Telecom Charges Gen	\$3,800.00	\$.00	\$3,800.00	\$292.50	7.70%	\$2,047.50	53.88%	\$.00	\$1,752.50	46.12%
6020 - Long Distance Gen	\$50.00	\$.00	\$50.00	\$.00	.00%	\$16.94	33.88%	\$.00	\$33.06	66.12%
6060 - Voice Mail Box Gen	\$600.00	\$.00	\$600.00	\$45.00	7.50%	\$337.83	56.31%	\$.00	\$262.17	43.70%
6300 - Alarm System Gen	\$300.00	\$.00	\$300.00	\$11.25	3.75%	\$78.75	26.25%	\$.00	\$221.25	73.75%
6315 - Electronic Databases	\$1,500.00	\$.00	\$1,500.00	\$.00	.00%	\$.00	.00%	\$.00	\$1,500.00	100.00%
63A0 - Conference Fees Gen	\$2,000.00	\$.00	\$2,000.00	\$.00	.00%	\$.00	.00%	\$.00	\$2,000.00	100.00%
63A2 - Seminars/Training Fees	\$3,000.00	\$.00	\$3,000.00	\$90.00	3.00%	\$540.00	18.00%	\$.00	\$2,460.00	82.00%

Index: 676000 - 113280-AUDIT DEPARTME-General Activ

Account Description	Budget (FYTD) Adopted	Budget (FYTD) Adjustments	Budget (FYTD) Accumulated	Actuals Current Month	Actuals Pct	Actuals Fiscal YTD	Actuals Pct	Encumbrances	Balance Available	Balance Pct
63C0 - Copying Gen	\$0.00	\$0.00	\$0.00	\$0.00	.00%	\$42.00	.00%	\$0.00	(\$42.00)	.00%
69Z0 - Other Professional Services!	\$10,000.00	\$0.00	\$10,000.00	\$6,682.92	66.83%	\$12,100.44	121.00%	\$0.00	(\$2,100.44)	(21.00%)
70E1 - Computer Software Mainten!	\$12,000.00	\$0.00	\$12,000.00	\$0.00	.00%	\$5,586.00	46.55%	\$0.00	\$6,414.00	53.45%
70F0 - Equipment Rent Expense G!	\$3,500.00	\$0.00	\$3,500.00	\$170.81	4.88%	\$2,234.13	63.83%	\$0.00	\$1,265.87	36.17%
80K0 - Banner Tax	\$600.00	\$0.00	\$600.00	\$80.81	13.47%	\$286.84	47.81%	\$0.00	\$313.16	52.19%
80K2 - Foundation Surcharge	\$3,000.00	\$0.00	\$3,000.00	\$332.64	11.09%	\$2,180.57	72.69%	\$0.00	\$819.43	27.31%
*TOTAL Expense	\$812,250.00	\$0.00	\$812,250.00	\$66,941.53	8.24%	\$438,580.63	54.00%	\$290,550.50	\$83,118.87	10.23%
Total Revenue:	\$812,250.00	\$0.00	\$812,250.00	\$0.00	.00%	\$836,136.45	102.94%	\$0.00	(\$23,886.45)	(2.94%)
Total Expense:	\$812,250.00	\$0.00	\$812,250.00	\$66,941.53	8.24%	\$438,580.63	54.00%	\$290,550.50	\$83,118.87	10.23%
Net:	\$0.00	\$0.00	\$0.00	(\$66,941.53)	.00%	\$397,555.82	.00%	(\$290,550.50)	\$107,005.32	.00%

Parameters:

Index: 676000 - 113280-AUDIT DEPARTME-General Activ

Groupings:

Warning: These reports will show fiscal year activity. For inception to date activity for Grants please use the FRRGLDS - Grant Ledger Detail Summary report.

EXECUTIVE SESSION