

BOARD of REGENTS



AUDIT AND COMPLIANCE COMMITTEE MEETING

*Friday, August 25, 2017 1:00 pm
Scholes Hall, Roberts Room*

The University of New Mexico
Board of Regents' Audit and Compliance Committee
August 25, 2017 – 1:00PM
Roberts Room
Agenda

ACTION ITEMS

1. Confirmation of a Quorum and Adoption of Agenda
2. Approval of Meeting Minutes from April 28, 2017
3. Audit and Compliance Committee Meeting remaining date for Calendar Year 2017. The following proposed meeting date is presented for Committee approval. The Committee meets in the Roberts Room. This schedule accommodates an exit conference for the FY17 External Financial Statements Audit.

October 20, 2017 - Start at 9:00 AM (Exit Conference for FY17 External Audit)

INFORMATION ITEMS

4. Advisors' Comments
5. Main Campus Chief Compliance Officer Status Report (*Libby Washburn, UNM Main Campus Chief Compliance Officer*)
6. Director of Internal Audit Status Report (*Manu Patel, Internal Audit Director*)
7. Status of Audit Recommendations (*Chien-chih Yeh, Internal Audit Manager*)
Implemented
Pending

EXECUTIVE SESSION

8. Vote to close the meeting and to proceed in Executive Session as follows:
 - a. FY17 External Audit Status Report pursuant to exceptions at Section 10-15-1H NMSA (1978) and Section 12-6-5 NMSA (1978) (*State Auditor's Office, Moss Adams, and KPMG*);
 - b. Discussion of draft Internal Audit Reports, and discussions of information subject to attorney-client privilege pursuant 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 FY18 Audit Work plan, pursuant to RPM 1.2;
 - e. Vote to re-open the meeting.
9. Certification that only those matters described in Agenda item #8 were discussed in Executive Session and if necessary ratification of action, if any, taken in Executive Session.
10. Adjournment

THE UNIVERSITY OF NEW MEXICO
Board of Regents' Audit and Compliance Committee Meeting
April 28, 2017 – Draft Meeting Minutes

Members Present: Tom Clifford, acting as Chair in Regent Fortner's absence, Garrett Adcock (quorum).

Other Attendees: Chaouki Abdallah, David Harris, Craig White, Liz Metzger, Bruce Cherrin, Craig White, Amy Wohlert, Chris Vallejos, Dorothy Anderson, Francie Cordova, Heather Cowan, Elsa Cole, Peggy Davis, Nicole Dopson, Mike Brown, Kevin Gick, Carla Domenici, Che Shu-Nyamboli, Dianne Anderson, Pamina Deutsch, Ava Lovell, Ella Watt, Mallory Reviere, Tim Keller (State Auditor's Office), Sanjay Bhakta (State Auditor's Office), Lynette Kennard (State Auditor's Office), Shannon Sanders (State Auditor's Office), Steve Keene (Moss Adams), Amy Carter (Moss Adams), Lisa Todd (Moss Adams), Sheila Herrera (Moss Adams), John Kennedy (KPMG), Manu Patel, Chien-chih Yeh, Victor Griego, Lola Neudecker, Amy O'Donnell.

Regent Clifford informed the audience that Regent Fortner had contacted him and asked him to preside as chair in his absence.

Regent Clifford called the meeting to order at 1:03 PM in ROBERTS ROOM, Scholes Hall, UNM.

ACTION ITEMS:

- The Committee unanimously approved the meeting agenda and the minutes from March 31, 2017 and April 13, 2017.
- There were no changes to the proposed meeting dates.

INFORMATION ITEMS:

- Regent Clifford asked for Advisor Comments. There were none.
- Moss Adams, KPMG, and the State Auditor's Office presented the FY17 Financial Statements Audit Entrance Conference. Internal Audit Director Patel stated that this year's audit will be unusual in the sense that the State Auditor's Office will be performing portions of the audit. He added that the State Auditor has the first right to refuse the audit work or decide they want to do the work. However, they do not have the "horse power" to audit all of UNM, UNMH, and component units, so they chose specific areas.

Lisa Todd, Partner, Moss Adams began the entrance conference discussion. She walked the Committee through the process, including the required communications, introduction of team members, scope of the audit, and responsibilities. Regent Clifford asked why the entrance conference is not an action item as it is part of the required steps of the audit process per the audit rule. Director Patel replied that it is an information item at this meeting because the action item comes at the end of the process where the Committee votes to approve the audit report. Ms. Todd continued describing the process, including the various audits being performed, and who is doing what. There will be discussion on materiality and how that works. Additionally, they would like to do training on higher education benchmarking, accounting, auditing, and audit committees. There will be discussion on the State Land Grant issue.

Ms. Todd introduced the Moss Adams team members. She stated she is local and will be overseeing all of the educational components. Scott Simpson is the concurring review partner. He is based in Oregon but has a great deal of higher education experience and was the concurring partner on the UNM audit years ago. He has also served as concurring partner for NMSU. He will do the quality control review. Amy Carter, Senior Manager at Moss Adams has performed governmental audits for more than 20 years, including at UNM. Sheila Herrera and Corrine Zajac-Clarkson will also serve as on site managers for the component units that Moss Adams is auditing, as well as the KUNM and KNME portions.

John Kennedy introduced the KPMG team members. Mark McComb heads up their healthcare practice on the west coast. He is their concurring partner. Jaime Clark will be the manager on the engagement.

Regent Clifford asked the external auditors, including the State Auditor's Office, to provide team member bios to Director Patel to be forwarded to the Committee members.

Ms. Todd informed the Committee that there is a significant amount of required communications to the Audit Committee and there is a lot of detail to those communications. The detail includes what their responsibility is, the responsibility of this Committee, and Management's responsibility. The documentation provided to the Committee at this meeting includes what their scope is in general terms, how they do an audit, and a little bit about the risks. As the external auditors, their auditing standards require that they do a risk-based approach. They are auditing to provide reasonable, but not absolute, assurance that the financial statements are materially correct. As part of that, they utilize materiality. They do not audit every item, every account. They look at risky areas as well as significant balances and transactions. It is both a quantitative and qualitative analysis. They will also have discussions with Management and a two-way dialog with this Committee about any concerns. Mr. Kennedy stated they will have a similar risk-based approach and meetings with Management on the healthcare side.

Regent Clifford noted that it would be helpful for him as a non-CPA to have citations with relation to where a standard is coming from, i.e. Audit Rule, GAAP, GASB, etc., specifically with regards to materiality as there are different materiality standards. He asked them to note where there is no materiality, where everything matters. Ms. Todd reiterated they do also want to have that educational seminar with the Committee. Regent Clifford wants to reach out to the rest of the Board and senior staff to help identify areas of risk. He asked for review of discussions in Committee meetings for issues that surfaced. There are probably some lingering issues. Ms. Todd asked the Committee if there is anything of concern currently that they would like to discuss. Regent Clifford replied that was his way of stating he is not prepared to do that at this time. He would also like to give Regent Adcock some time on this issue.

Ms. Todd informed the Committee that the audit will go in several phases. They will start by looking at all the internal controls. They are required by audit standards to understand internal controls. They test the controls to see how much they can rely upon. IT risk is a big one so they do significant testing in that area. Compliance audit testing is required for all federal funding, or for the single audit portion. They will be looking at processes related to grants,

contracts, student financial aid, etc. Then they look at substantive balances and the final balances as of the end of the fiscal year, testing those transactions and balances to provide the audit opinion. They had the concurring partner do a first pass on the prior year of the University's financials as a whole and identify any improvement opportunities early and quickly. Regent Clifford added that it would be good to know if the areas are doing a good job of addressing prior concerns.

Mr. Kennedy stated they will be identifying the controls they wish to rely upon. They will walk patient transactions from the beginning of the process through the end of the process. They also have their IT specialists lined up to test the systems the healthcare side uses. They have a list of the systems and are familiar with most of them. They want to have the right individuals involved to help assess the risks. Ella Watt, CFO for UNMH stated there are at least three systems: Lawson for their general ledger system, Soarian for billing, and Cerner for electronic medical records. Regent Clifford asked if these software packages are standardized or customized. Ms. Watt replied they are mostly remote hosted, which means you cannot customize a lot of things. Cerner does have some customization in the registration. The remote hosting does make for easier review, and Mr. Kennedy noted the interfaces on this end are somewhat less risky. Regent Clifford asked if the IT scope includes security of patient information. Mr. Kennedy replied they will look at general controls such as access, firewalls, and change management, but mostly that would be outside the scope of an audit of financial statements. Regent Clifford stated it is helpful to know what is in the scope of these audits versus other things we should be doing. Director Patel stated as far as HIPAA/patient data security, the Hospital and HSC contract out; lately it has been with CliftonLarsonAllen (CLA). They do the specific security audit for HIPAA compliance. Ms. Watt confirmed that is done every year. Regent Clifford asked if that is a requirement. Ms. Watt stated she did not know if it is a requirement but they do it every year as a best practice.

Ms. Todd directed the Committee to a list of audits they will be engaged to do. The first one relates to the government-wide financial statements. That includes main campus, branches, the Health Sciences Center, hospitals, and all of the component units. As part of that, it is then split up into pieces. For fiscal year 2017, Moss Adams will be responsible for the main campus portion and the branches, as well as component units - except for clinical operations and those units chosen for audit by the State Auditor's Office. KPMG is responsible for the healthcare operations as well as the Medical Group. As in the past, they will issue separate opinions on those. They will be shared with the University and rolled into the consolidated statements. The State Auditor's Office will audit separately Lobo Energy, Lobo Club, and the Alumni Association. They will issue separate audit opinions on those component units. All the information will roll up into the government-wide financial statement. Moss Adams will be responsible for federal compliance over the main campus. Mr. Kennedy said that portion is lighter on the clinical side but there is some ongoing reporting.

Regent Clifford asked the external auditors to explain why CMS is not included in the scope of the single audit. Mr. Kennedy replied that it is at the state level. Regent Clifford stated the State is preparing a Comprehensive Annual Financial Report (CAFR) and they need input from UNM in order to be able to do that. He would like any issues or questions raised by the State to be included in the scope.

Regent Clifford asked the State Auditor's Office to introduce their team members, and to talk about their scope and why they chose these particular UNM units to audit. Also, he is curious about if the State Auditor's Office is comfortable within their rule to have the external auditors continue performing the audit in this rotation. Tim Keller, State Auditor addressed the Committee. He stated they have a revenue requirement, meaning they have to do audits on their own. There are not a great deal of options that meet the revenue requirement as well as the capabilities of their staff in terms of its size and geography. The irony is they used to pick far flung entities but now they have no travel budget. Now they almost exclusively do Albuquerque and Santa Fe, because that is where their team lives.

They also want to match up the diversity of experience so they are not always auditing cities or state agencies, etc. Also, they have a lot of Lobos, and people were really excited about being a part of the UNM audit. There are pieces their team will be focused on. They were picked based on size and interest by the staff. In general in the auditing world things can be a little plain vanilla. But these UNM units are not plain vanilla for their junior auditors. At a high level, of course, they sort of audit UNM anyway every year, through a contractor.

There are things the State Auditor's Office would be having conversations with UNM about regardless. For instance, they will look at the Land Grant issue, clean up from the mill levy with the county, follow-up on the internal audit of Athletics, financial rubs between UNMH and UNM, and indigent care. They worked really well with UNMH on a special audit with Moss Adams, and they now have a way to account for how indigent care spending happens. It was great that UNM stepped up and agreed to do it, because it was so helpful they are rolling out to all hospitals in New Mexico.

Mr. Keller stated in reference to the rotation, that they absolutely looked at it. They do frankly have some concerns about it, but they could not look at it in a vacuum. He would agree that on paper, the auditors switching from the Hospital to UNM and back and forth, does not sound like the best idea for prolonged rotation. However, when they look at the capabilities of other firms, and conflicts of interest, especially with what is going on with the Land Grant Permanent Fund, you might not want to hire entities on the other side of that issue. When all of that flushed out, Mr. Keller thinks this is the best setup for the State and for UNM, and they have no objection to it. Academically and technically it is not something they are a huge fan of. The only other alternative is probably a brand new auditor from out of state with no presence here, and both of those are problematic. A firm that has never touched UNM in any way is probably not going to be very helpful and they try to use firms that have an investment here in New Mexico.

Regent Clifford stated if we reward experience in a subject matter there is a tendency to use the same firms year, after year, after year. We want to be careful that we are honoring within our procurement the knowledge base and skills we need and not just longevity. He hopes UNM balances those as it goes forward. He plans to continue working on that because he thinks the rotation concept is an excellent one. Mr. Keller noted that even though it is a three-year contract, it is an annually renewed contract. The Regents are always the decisions makers (subject to a veto) and it is within the Regents' purview to make changes. According to Mr. Keller, this particular State Auditor's Office has been stricter on the rotation rule than any other in recent memory. It has cost firms tens of millions of dollars. They do have a track

record of standing up against that kind of legacy setup. To their credit, the accounting industry recognizes the value of rotation as well. As long as it is fair and everyone is treated the same, everyone believes in it.

Regent Clifford asked if the audit rule has guidance about the scoring of the external audit RFP responses and how to evaluate experience. Sanjay Bhakta, Deputy State Auditor, responded that there is a requirement in the rule that you cannot give over a certain percentage rating to the price criteria. Other than that, there is no other requirement except to follow the procurement code. They do not really monitor it unless there is a complaint. They do sometimes receive complaints but they have not received anything thus far on this. Regent Clifford stated they have a responsibility as a governing board, and he really wants our procurement management to look very carefully at these issues going forward.

Mr. Bhakta stated he feels certain that Moss Adams and KPMG did a good job explaining the scope and they wouldn't really have anything more to add. The audit manager on their audit portions is Shannon Sanders. Lynette Kennard is their Financial Audit Director. Ms. Kennard addressed the Committee. She noted that planning starts in June. Beginning in July, they will start fieldwork. They will draft the financials in September. They will deliver the draft to management by September 15, 2017. This will give them enough time to review and approve or make any changes. Reports will be submitted to their office by October 13, 2017.

Ms. Todd continued with the external auditor presentation. She stated Governmental Auditing Standards govern the audits that they do. On the single audit side, they have the Uniform Grant Guidance. They are the federal requirements they must follow. In New Mexico there is also the State Audit Rule. There are items they must review to make sure UNM is in compliance with that rule, such as purchasing cards and vendor compliance. Regent Clifford asked if updates to the audit rule are complete. Mr. Bhakta stated they are. Regent Clifford said that it might be helpful to have a guide that shows what is new. Mr. Keller stated they will send him the relevant PowerPoint slides. They actually cut 30 pages of it. So even though the due date deadlines have moved way up, the red tape should be less. The date used to be December 15th, then it moved to December 1st, and now everything must be submitted to their office by November 1st. There is a different deadline of mid-October for audits of component units when the auditor is different from the primary auditor. In this case, that earlier deadline will apply to the State Auditor's Office themselves. KPMG has offered to work with the State Auditor's Office in the transition of auditing the component units.

Ms. Todd asked about the Audit Committee schedules and what would be a good time to do a training session and identify topics they want included. Regent Clifford stated it will be challenging and some might have to be done over the phone. Ms. Todd stated they can work with their schedules and also can focus on what is most critical.

Regent Clifford asked David Harris who the leads are on the UNM management side. Mr. Harris replied that it is Liz Metzger, UNM Controller on the main campus, Ella Watt, CFO for UNMH on the Hospital side, and Ava Lovell, Senior Executive Officer of Finance and Administration for the Health Sciences Center.

Regent Clifford informed the external auditors that the Regents need a full report on the Land Grant issue. Mr. Keller asked if the Regents received the letter that went to the President.

Regent Clifford replied he does not think so. (President Abdallah provided copies at this point in the meeting.) They summarized it in seven pages. Regent Clifford asked how it affects the scope of the audit. Ms. Todd replied they do not know yet what the resolution of the accounting status will be. Depending on the conclusion, it may or may not affect what the financial statements look like going forward at UNM. Mr. Bhakta added that the statewide CAFR would probably be the beginning point to reflect where the State Controller is going with this because there are a couple of options. The fiscal year 2016 CAFR was due by the end of April. They received a letter a couple of days prior to this meeting that because of the Land Grant issue, the State Controller needs some more time. He is requesting a submission date of May 30th. The Controller thinks there may be another option and he wants to make a phone call to GASB. The State Auditor's Office will be listening on that call. Depending on the decision by the Controller, KPMG will need to make a decision and may need to restate last year's financial statements. If it goes the other way, they will probably have to restate the CAFR from last year. Mr. Bhakta stated he does not think it will be a matter of scope, just a matter of presentation. It would certainly require more work, but not to the point of a contract amendment. Chairman Clifford stated he thinks they need a brief Finance and Facilities meeting on this. Mr. Harris stated it has a material impact on the institutions and less so on the CAFRs. Mr. Keller added that their timeline is dependent on the CAFR so they have asked the Governor, through the Controller, to make a decision on it as soon as possible. The fallback is that the State Auditor is probably going to have to reject a CAFR if this issue is not resolved.

Regent Clifford asked Ms. Todd if they can do some work in preparation for that to avoid missing deadlines because of it. Ms. Todd replied that they are already on board and they understand the accounting issues and methodologies being presented. They are fine from a financial statement presentation perspective either way. They will not have to do a lot of work to get comfortable with whatever decision is made. Ms. Metzger agreed that it should not delay this audit if FY16 has to be restated and consequently FY17 is presented in the same fashion. Mr. Kennedy stated there are some steps and related costs. They would have to withdraw the opinion and the financial statement. There would have to be a public notice that the financial statements must be withdrawn because they are not to be relied upon, and then there would be a reissuance. It is not a painless process and involves attorneys. Mr. Harris stated the real impact will be the other bond disclosures UNM would be required to make. Regent Clifford asked Mr. Harris if he has had any discussions about it with the bond agencies. Mr. Harris replied not yet. Regent Clifford asked Mr. Harris to seek the advice of the financial advisor regarding what the consequences might be, and report back to the Finance and Facilities Committee. Regent Clifford explained to the room that UNM is one of the beneficiaries of the income from the Land Grant. At issue is if the asset value is being reported in the right place. UNM has been reporting that asset as part of the University. The Controller may decide it is an asset of the State and that UNM is a component that shares that asset.

Ms. Todd reported there are some new accounting standards that will be implemented this year. Currently the component units are reported discretely, so they are seen separately in the notes and schedules. GASB 80 will require that the University do an analysis of those units to determine if they should be blended or discretely presented. The blended criteria has now changed. From a high level perspective, it depends on if a unit is a sole corporate member of an organization that is there to benefit a University, such as a Foundation. Regent Clifford stated he would like to know a lot more about that. He would like a description of the changes

and maybe a sketch of what it does to the financials. He also inquired as a governing body, what they do as an entity to keep track of those. Mr. Bhakta replied there will still be a separately issued report, but when it comes to the primary financial statement it will be blended. GASB 74 relates to the governing of the accounting of the benefit plan in the financial statements. The liability information associated with that plan is obtained from the actuary. It will be incorporated into the financial statements.

Regent Clifford asked what UNM's obligation is regarding the unfunded ERB liability. Who owns that liability? Mr. Kennedy stated from an accounting standpoint, UNM owns its share of that liability. Ultimately, ERB is obligated to make those payments to the beneficiaries. But from an accounting standpoint, the source of the funds is thought to be the entities participating in the plan. Three years ago, UNM started reporting that liability on their books, where previously they had not.

Ms. Todd reviewed the full timeline with the Committee. Interim work and advance compliance testing will take place in May and June. She stated final fieldwork will be in August and September. Mr. Kennedy reported interim fieldwork will take place in June on their portion, and they will be able to make the earlier deadline for component units. Regent Clifford noted there is a meeting of this Committee on August 3rd. The auditors should plan to provide an update on status for that meeting, including if everything is running on time and if they are seeing initial findings.

Ms. Todd asked Committee members to delve into the appendix information to help guide them in developing questions and preparing for the training. Regent Clifford told the auditors he is looking forward to working with them and he is glad the State Auditor's Office is involved. This process is very important to him and he does not feel that it is just an important technical exercise.

- Libby Washburn, Chief Compliance Officer updated the Committee regarding the status of the Department of Justice (DOJ) recommendations. Her office has updated the implementation plan. Ms. Washburn informed the Committee that most of the persons involved in implementing the plan are present at this meeting if there are any technical questions they would like to ask. Regent Clifford noted it is unfortunate that Regent Fortner was unable to attend because he did have some questions.

Ms. Washburn stated that in this cycle they have been sending the DOJ documents two or three times a week, so there is some movement in the implementation. She did try to condense the plan to make it more user friendly. It is down to seven pages from thirteen; it is hard to get it any shorter than that because there are so many requirements. She provided a six month progress report. Regent Clifford asked about the status of campus feedback. Ms. Washburn stated there are two surveys currently out. They are surveying the branch campuses. There is also a new main campus survey that went out last week. Her office should have the results for the August meeting.

Francie Cordova, Director of the Office of Equal Opportunity (OEO) provided a presentation to the Committee regarding Title IX. Ms. Cordova stated that the Committee had asked her to present regarding laws that inform the OEO policies at UNM. The first one they asked for is Title IX. Title IX of the Education Amendments Act of 1972 is a federal law prohibiting

sexual discrimination in educational institutions that receive federal funding. Sexual discrimination is pretty uniformly defined amongst the civil rights statutes. It is similar to Title VII which applies to employment versus education.

There are several different types of discrimination. One is differential treatment, which relates to being treated differently due to sex. There is sexual harassment, which has subtypes such as quid pro quo, the utilization of leverage of sexual favors for benefit. UNM does not often see these types. Most of UNM's numbers (as is common with campuses) come from the type of sexual harassment that is unwanted conduct of a sexual nature that is severe or pervasive, and creates a hostile environment or denies an individual an educational benefit or opportunity. It can be anything from severe or pervasive jokes, looks or actions, all the way to unwanted sexual touching, sexual assault, and at the most severe, rape.

In 1972, when Title IX was first passed, the conversation at the time was about differential treatment and looking at equality in sports. There were hallmarks that came out of those regulations. One of those was a requirement to have a grievance process and that it be prompt, fair and equitable; another that there is one or more appointed employees responsible for overseeing Title IX complaints. That name is now Title IX Coordinator. Here at UNM, that is Heather Cowan. Title IX is overseen by the Department of Education Office of Civil Rights. There were not a lot of regulations that came after that, but a lot of guidance in the form of handbooks and guidance letters. Educational institutions were told they had to have a policy that says sexual discrimination is prohibited. The policy has to be distributed so people know it exists. The handbooks described a Title IX Coordinator's responsibilities and responsible employees. In 2011, the "Dear Colleague letter" came out. It was further guidance from the Department of Education and really started to focus more on the issue of sexual violence. It was important guidance on the preponderance of evidence standard. It informed that both parties have the opportunity to appeal.

Regent Clifford asked about the legal reliability of the guidance, and if UNM can be taken to court for not complying with guidelines. Ms. Cordova replied that Title IX is just one piece of the framework. Another important piece is the Campus Sexual Violence Elimination (SaVE) Act, because that amended the Clery Act and higher education amendments. It said campuses have to focus on other things besides just the sexual violence, such as stalking, domestic violence, prevention and outreach. Kevin Gick from University Counsel stated that the DOJ acts as the enforcement arm of many executive agencies, including the Department of Education. With regards to Title IX, the Office of Civil Rights focuses on individuals whose civil rights have been violated. Generally speaking, the DOJ comes into play when there is a general allegation that a Title IV funding recipient institution like UNM is not compliant with policies and procedures. The DOJ performed what was in essence an audit; UNM was the second one they did. The first was at the University of Montana and was a joint operation between the DOJ and the Office of Civil Rights. UNM was the first that was only the DOJ. They looked at individual cases as part of the process of their review, but not for the purpose of adjudicating individuals' rights. It can affect funding. Regent Clifford stated he would like more information regarding definitions.

Ms. Cordova directed the Committee to the numbers at the end of her handout. The numbers are from 2016 and demonstrate how differential treatment is a very small piece as compared to many categories of sexual harassment. Numbers have gone up tremendously, which her office

sees as a good thing because more people are reporting. All people who report that can be identified get a reach out from their office, providing information and resources so they may make informed choices about what they want to do. They can also reach out to OEO if they want to participate in their process. There is a breakdown provided as to what is actually under formal investigation and where they use the informal educational conference process. There are also numbers for general outcomes. There are reports that are no longer jurisdictional to OEO. For what they do have jurisdiction over, the more serious cases receive formal investigations.

Regent Clifford stated the numbers are helpful but he would like to see benchmarking against other campuses if the DOE produces that information. Ms. Washburn replied that she has not seen any but can report back on availability of that information at the next meeting. Ms. Cowan stated that some universities, such as University of Michigan, publish an annual report. She can look at those to compare. Mr. Gick stated that looking at Clery reports (crime statistics reports that campuses are required to produce) may provide some information if there is a Clery crossover. Jeanne Clery was a college student who was raped and murdered on her campus. The act that followed was a requirement that universities report specific crimes, and forcible and non-forcible sex offenses are part of those crimes. They also report stalking and domestic violence. The Clery report is required to come out by October 1st every year. However, UNM is close to being ready with that report now. Mr. Gick noted that Clery is focused solely on crimes, as opposed to harassment or discrimination reports that may be a civil issue.

- Director Patel provided a brief update on the Internal Audit Department, because the Committee met and received an update only a couple of weeks prior to this meeting. The department is still projecting a surplus of approximately \$65,000 at the end of the fiscal year. Regent Clifford asked about vacancies. Director Patel replied that there are no regular staff vacancies currently, but that is because the department permanently lost one full time audit position. Since the position was removed, it is not technically "vacant." There are vacant student positions.
- Chien-chih Yeh, Internal Audit Manager provided a status update on prior audit recommendations. The Committee had requested more information regarding the Talent Management System (TMS) implementation. Dorothy Anderson, Vice President, Human Resources and Ms. Metzger provided a status update. The TMS system provides onboarding and applicant tracking. Prior to the first phase of the implementation that occurred approximately a month ago, UNM was using an outdated application. There was a great deal of manual entry required, which ultimately could negatively affect some efficiencies in payroll processing. When a person was hired into a position, the hiring documentation would go to an individual in HR, and the individual would input the information. They are still testing the automation piece of the new system but they are expecting that to go live June 4, 2017. Applicant tracking is live and jobs are posted and applicants can apply to the postings. When the automation portion is live, a department selects a candidate, and the system triggers an offer letter. The new hire enters their direct deposit information and tax deductions, etc. in to the system. Ms. Metzger confirmed it will make processes more efficient. She believes the new system will help alleviate issues identified in an earlier internal audit that was classified as a human resources/payroll audit.

The initial estimated implementation of six months became two years because of the complexity of UNM, the various employment areas, and the branch campuses. Ms. Metzger added another delay came from the fact that the group of people who were the core implementation people were the same people who had to step away and work on the implementation of the new FLSA rules (which were actually not implemented because the government halted them). If there is a compliance issue that arises that has a deadline, these are the people who need to address it because they are the subject matter experts. Ms. Anderson stated the software vendor does not specialize in higher education so there was a learning curve there as well. UNM has many types of employees and many ways that we pay individuals.

Ms. Anderson informed the Committee they have made good progress on items that are pending. There is one item addressed to Ms. Anderson regarding OneSource and if that should be the appropriate mechanism with all the employment areas for training and storing data. They determined a new platform called Confluence would be more appropriate. Data has been migrated. It was a collaborative effort among employment areas. Mr. Yeh indicated that the review of the completion of that has not occurred. That is also the case for the completion of ePAF email notifications. Once Internal Audit has completed the review of these items, the follow-up status will be updated.

By unanimous consent, the meeting went into Executive Session at 2:50 PM for the reasons stated in the agenda.

- 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 FY17 Audit Work plan, pursuant to RPM 1.2;
- d. Vote to re-open the meeting.

The meeting returned to open session at 3:21 PM, with certification that only those matters described above were discussed in Executive Session.

The meeting adjourned at 3:22 PM.

Approved:

Audit and Compliance Committee Chairman

There is no
handout
required for
this item

There is no
handout
required for
this item



Compliance Office - Main Campus

AUGUST 2017 AUDIT & COMPLIANCE COMMITTEE MEETING
UNM Compliance Office – Main Campus Update

The UNM Compliance Office – Main Campus has been focusing on the following matters since the last update to the Audit & Compliance Committee.

SAFETY AND SECURITY

DOJ Follow Up

The University of New Mexico is committed to preventing sexual misconduct and harassment on all of our campuses, conducting fair processes for all, and providing a caring and safe environment. We have a lot of work to do as we increase our efforts to change the culture here. We entered into a three-year agreement with the U.S. Department of Justice to address sexual misconduct on the campus. We are 10 months into the three-year agreement and continue to improve our climate, actions and responses every single day.

In the past 10 months, UNM has made significant progress in complying with the delineated tasks and implementing improvements. UNM has filed four Status Reports and a Six-Month Progress Report with DOJ since the agreement was implemented. On June 30, 2017, UNM submitted its fourth status report with substantial updates on our campus-wide Monitoring Plan. A significant number of tasks are due in September.

See Attachment A - June 30 Status Report to DOJ, Attachment B - DOJ Implementation Plan & Attachment C - DOJ Deadlines

Student and Employee Training Updates: UNM has trained thousands of employees about workplace harassment, including sexual harassment, various types of discrimination, Title IX, and the Campus SaVE Act. UNM currently requires *all* faculty, staff, and student employees to take an online training course, “*Intersections: Preventing Discrimination and Harassment*,” on an annual basis. In March 2017, UNM uploaded this year’s version of Intersections to UNM’s Learning Central portal. Human Resources has also developed a comprehensive training communications schedule. We have shifted the due date for completion of the employee training from December 31 to December 1. This will enable us to better meet our December 31 training deadline for DOJ.

Pursuant to the agreement, UNM requires interactive and intensive *in-person* training regarding the prevention of sexual harassment and misconduct and our policies and procedures for thousands of students on the campus. In March 2017, all UNM students were notified by email

about this training requirement. The notice was also disseminated through UNM's website and social media outlets. UNM's LoboRESPECT Advocacy Center has completed the following training initiatives:

- "The Grey-Area" in-person training sessions for upperclassmen undergraduate students began in March 2017 and are being offered across campus at varying times and locations. Since March 24, 2017, forty-nine (49) undergraduate training sessions have been completed on main campus. Fourteen (14) main campus sessions are scheduled prior to the beginning of Fall 2017 semester classes.
- To date, 12,489 students have received "The Grey-Area" training on Main Campus and 704 students have received the training at UNM West, Gallup, Los Alamos, Taos and Valencia. In total, 13,193 students have received the required in-person training.
- Sessions for "The Grey-Area for Graduate and Professional Students" training programs began in June 2017. Since then, nine (9) graduate and professional training sessions have been completed and 461 graduate and professional students have been trained. Twenty-one (21) sessions are scheduled prior to the start of Fall 2017 semester classes.
- Attendance tracking is currently being completed via an automated LoboCard system for students who have a Lobo ID. For all others, such as HSC which does not use the LoboCard system, we use a sign-in process to track attendance.

Climate Surveys: For Spring 2017, UNM partnered with University of Kentucky to conduct a Main Campus climate survey study called McBEE. McBEE is the Multi-College Bystander Efficacy Evaluation funded by the Centers for Disease Control. This survey was launched April 21, 2017. It was scheduled to close May 5, but, due to low response rate, the survey remained open until additional reminders could be sent to students. Additional email reminders and social media messaging occurred the week of May 22. UNM's final response rate for McBEE was 10%. UNM seeks greater participation in our climate surveys and we have started brainstorming how to increase participation and response rate for Spring 2018. Spring 2017 also saw a repeat of the climate survey tool conducted by National Campus Climate Survey (NCCS). This tool was used for main campus students in Spring 2016 and targeted UNM's branch campus students for Spring 2017. The survey tool was updated to include suggestions provided by DOJ on January 30, 2017. The survey ran from April 19 through May 10, with a final response rate of 17%. Given that the branch campuses are commuter campuses only, NCCS was pleased with the response rate and noted that other commuter campus schools have also had response rates around 15%. As of August 1, 2017, we have not received a summary of the surveys from McBEE or NCCS. We expect to provide the regents with the final reports for both of these surveys in September 2017.

Presidential Task Force: For the last year, we have engaged in active dialogue regarding who should serve as mandatory Responsible Employees for reporting sexual misconduct to appropriate authorities. In July, President Abdallah created a 10-person *Presidential Task Force on Sexual Misconduct Reporting*. Libby Washburn is co-chairing the task force with a faculty member. The task force is charged with suggesting changes to produce a more effective policy governing

reporting and supporting requirements for UNM employees. The task force has been meeting twice a month in an effort to find a workable solution. Because of the various positions held by stake holders, a workable solution will require compromise.

Minors on Campus

In April and July of 2017, we convened the *Minors on Campus Taskforce* to discuss Phase Two of implementation of the Minors on Campus Policy.

On July 5 and 10, 2017, we scheduled four (4) OEO trainings for summer camp counselors with the College of Education, Recreation Services, and Continuing Education. Each training was 30-45 minutes in length and covered the following issues regarding working with minors:

- Boundaries
- Professionalism
- Touching
- Gift Giving
- Perceptions
- Bathroom/locker room conduct
- Swimming and horseplay

On July 7, 2017, President Abdallah asked 22 Departments and Units to certify that they were complying with the Minors on Campus Policy UAP 2205 for their summer camp programs.

On July 26, 2017, we distributed the UNM Minors on Campus Survey to more than 250 Department heads, Unit directors, and supervisors on the UNM campus to help us ascertain how many programs, camps, and activities are currently operating on the UNM Campus.

See Attachment D - Minors on Campus Survey

We also created a plan for 2017/2018, to ensure compliance with the policy. This includes:

- July/August 2017 - Drafting standard procedures for camps on the UNM Campus. This will include the Administration's expectations regarding the check-in/check-out protocols for camps, headcounts, mandatory in-person training for counselors prior to camp starting, bathroom breaks, etc. (In Process)
- August 2017 - Creating a database of all programs for minors on the UNM campus using the survey results. (In Process)
- August 2017 – Creating a formal Camp Counselor Training Session to be conducted by OEO at all camps involving physical contact between counselors and campers. (In Process)
- August 2017 – Creating an internal system for HR to track and provide information regarding background checks conducted on behalf of UNM Departments and Units. (Complete)

- September 2017- Providing Internal Audit with information regarding Departments and Units conducting camps.
- September 2017 – Scheduling another Minors on Campus Task Force meeting. (Complete)
- September 2017 - Determining whether revisions need to be made to the Minors on Campus Policy. (In Process)
- September 2017 – Scheduling a meeting with President Abdallah and the Deans, Chairs and heads of all Departments and Units operating camps to discuss UNM camps going forward.
- October 2017 – Spot-checking programs for compliance with the Minors on Campus Policy.
- January 2018 – Starting in early 2018, President Abdallah will require all UNM entities operating camps, programs and activities involving minors to provide formal certification that they are prepared for the annual camps, programs and activities and that they are complying with the policy and protocols. (Certification Form In Process)
- February 2018 – Spot-checking programs for compliance with the Minors on Campus Policy.
- March 2018 – The President’s Weekly Perspective (PWP) will include a reminder about the Minors on Campus Policy.
- April 2018 – Ordering t-shirts for all summer camp counselors color-coded to the specific camp. These shirts will clearly identify the Department/Unit conducting the camps.
- April/May 2018 – Spot-checking programs for compliance with the Minors on Campus Policy.

UNM COMPLIANCE HOTLINE

Due to the retirement of Eileen Sanchez, Peggy Davis has taken over administration of the UNM Compliance Hotline. She has been a quick study, learning how to triage and assign cases and troubleshoot issues with the Hotline, all while maintaining her previously assigned duties.

Increase Awareness about the UNM Compliance Hotline

In June, with the assistance of UCAM, we created several inexpensive communication materials to distribute throughout the campus. In addition, starting in June, we distributed the inaugural issue of a newsletter entitled *In Compliance*.

See Attachment E – Communication Materials and Attachment F - *In Compliance* Newsletter

Short Form

In August, we implemented an “Incident Report Form.” This form is intended for escalating and/or documenting any report or question that involves actual or potential misconduct of policies, laws, or regulations. Investigators have been requesting a “short form” to add cases to the UNM Compliance Hotline that do not require a full-blown investigation. The form has a URL and can be used in the field to capture information that will be reviewed in the UNM Compliance Hotline.

See Attachment G - Incident Report Form Template

Internal Investigations

In May 2017, Libby Washburn conducted an E110 Faculty Handbook investigation, at the request of Provost White.

ADA TASK FORCE

In May 2017, the Office of Equal Opportunity and the Compliance Office reconvened UNM's *Americans with Disabilities Act (ADA) Task Force*. The task force will review UNM's responsibilities under Title II of the ADA, which prohibits discrimination against individuals with disabilities by public entities. The task force will meet monthly and focus on UNM's requirements to conduct a self-evaluation and develop a transition plan.

PEER HEARING

In May 2017, the Compliance Office took over administration of the peer hearing process for staff from the Ombuds Office. If a peer hearing is requested, the Compliance Office will now be responsible for coordinating the administrative arrangements for the hearing, identifying potential Peer Review Panel members, and corresponding with the parties. We revised the University's Dispute Resolution Hearing Procedures to reflect the change from the Ombuds Office to the Compliance Office. There is currently one (1) peer hearing in process.

WHISTLEBLOWER POLICY

On May 10, 2017, President Abdallah signed the updated Whistleblower Policy. UNM relies on each member of the community to comply with applicable laws, regulations, University policies, and ethical and professional standards. The University also relies on members of the University community to conduct themselves with honesty, integrity, and good judgment. Members of the University community are expected, and in some cases required, to report suspected misconduct that comes to their attention. Persons who report suspected misconduct, in good faith, are afforded whistleblower protection from retaliation by the University for such reporting. Here is a link to UAP 2200 on UNM's Policy Office website: <http://policy.unm.edu/university-policies/2000/2200.html>.

INSTITUTIONAL COMPLIANCE COMMITTEE

In September 2017, we will convene a regular meeting of the Institutional Compliance Committee.

BENCHMARKING REPORT

The Compliance Office has compiled a benchmarking report that covers EthicsPoint Hotline statistics for UNM Main Campus, UNM Health Sciences Center, UNM Hospital, UNM Medical

Group, Sandoval Regional Medical Center, and Branch Campuses. Peggy Davis will present the report to the Audit & Compliance Committee.

See Attachment H – UNM Compliance Hotline Report for Jan. 1, 2017 – June 30, 2017

ONGOING

The Main Campus Compliance Office will continue to evaluate emerging compliance trends in higher education and government and recommend best practices for UNM.

**STATUS REPORT TO THE U.S. DEPARTMENT OF JUSTICE
SUBMITTED BY THE UNIVERSITY OF NEW MEXICO
June 28, 2017**

I. INTRODUCTION

The United States Department of Justice, Civil Rights Division, Educational Opportunities Section, the United States Attorney's Office for the District of New Mexico and The University of New Mexico entered into an Agreement on October 17, 2016, to address the University's obligations under federal civil rights laws to prevent and address sexual harassment, including sexual violence, and to provide clear and consistent policies and procedures for reporting, investigating and responding to such conduct. The Department of Justice (DOJ) recognized that throughout the investigation into the matter, the University has taken significant and proactive steps to strengthen its prevention of and response to sexual harassment and assault on the campus. The DOJ also acknowledged that the University has, in good faith, initiated many of the actions prior to execution of the Agreement.

UNM agreed to comply with the requirements of the Agreement starting on October 17, 2016, and to maintain compliance for the duration of the Agreement. This June 28, 2017, submission represents the University's fourth formal status report filed under the Agreement.

II. DELIVERABLE

Task: Sec. VI.C. – Monitoring Program Assessment

Due Date: June 30, 2017

By February 1, 2017, the University will implement a monitoring program to assess the effectiveness of its efforts to prevent and address sexual harassment and retaliation and to promote a non-discriminatory school climate. The monitoring program should include an assessment of the effectiveness of its prevention and response efforts as they relate to the University's diverse population, e.g. Limited English Proficiency, LGBTQ, and Native American students. By February 1, 2017, the University will submit a monitoring plan to the Department for review. The monitoring program shall include an annual assessment of the effectiveness of its anti-harassment efforts and submission of the assessment to the Department as required by Section VII.E. The assessment will be completed by June 30, 2017, and then at the conclusion of each academic year for the life of this Agreement.

The below information and attached tabs represent what UNM has learned from its monitoring program implemented on February 1, 2017, what information we are still anticipating, and what we plan to accomplish in our monitoring program in the next academic year.

Section 1

A review of student climate surveys (see Section V1.B) to determine:

For Spring 2017, UNM partnered with University of Kentucky to conduct a climate survey study called McBEE. McBEE is the Multi-College Bystander Efficacy Evaluation funded by the Centers for Disease Control. This survey was launched April 21, 2017. It was scheduled to close May 5th but due to low response rate, the survey remained open until additional reminders could be sent to students. Additional email reminders and social media messaging occurred the week of May 22nd. UNM's final response rate for McBEE was 10%. UNM wants greater participation in our climate surveys and we have begun brainstorming in the Title IX Committee how to increase participation and response rate for Spring 2018.

Spring 2017 also saw a repeat of the climate survey tool conducted by National Campus Climate Survey (NCCS). This tool was used for main campus students in Spring 2016 and targeted UNM's branch campus students for Spring 2017. The survey tool was updated to include suggestions provided by DOJ on January 30, 2017. The survey ran April 19th through May 10th with a final response rate of 17%. Given their status as commuter campuses only, NCCS was confident in that response rate and noted that other commuter campus schools have also had response rates around 15%.

Additional information regarding these survey tools can be found here:

<http://news.unm.edu/news/unm-joins-national-survey-on-sexual-violence-on-campus>. As of June 30, 2017 we have not received a summary of the surveys yet from McBEE or NCCS. UNM will provide DOJ with the final reports for both of these surveys in September 2017.

See Tab 4.1 for the final report on the Attitudes and Beliefs Survey conducted by OEO in Fall 2016.

Section 1.a

Where and when sex-based harassment occurs.

Spring 2016 NCCS survey results showed some of the following; for those students who experience sex-based harassment but do not make an official report to the University, this information has been obtained and will continue to be obtained through anonymous climate surveys conducted by NCCS. Spring 2016 survey results showed us that 32.3% of unwanted sexual behavior experienced by our students is perpetrated by someone affiliated with UNM. The survey showed that male students experience sexual assault on or near campus more than female students who have experienced sexual assault. For female students who experienced sexual assault, it occurred off campus more often. We will continue to analyze our climate survey data as well to determine more precisely where and when harassment occurs.

UNM has not yet received the data or feedback from either survey conducted in spring 2017 and we look forward to reading those reports and incorporating the new information into our policies, procedures and training efforts for the next academic year.

See Tab 4.2 for the finalized NCCS Survey conducted at UNM’s Branch Campuses in Spring 2017.

See Tab 4.3 for the finalized McBEE survey conducted at UNM’s Main Campus targeting undergraduate students age 18-24 in Spring 2017.

Section 1.b

Deficits in students’ knowledge of what constitutes sexual harassment that violates University Policy.

Spring 2016 NCCS results showed that 64.8% of students know that UNM has a policy regarding sexual harassment but 50-60% of students do not know where to find the policy and don’t know where to get help on campus if sexual misconduct occurs. This shows a deficit in students’ knowledge that UNM needs to increase our training to students in these areas. A follow up climate survey conducted in Fall 2016 to main campus students showed that 68.2% of students have an average understanding of what consent is for sexual activity with 15.8% having an above average understanding of consent. Our follow up surveys will ask the specific question as to whether students understand when unwanted conduct of a sexual nature violates university policy. We will also include knowledge based questions in our evaluation of the “Grey Area” training that students receive to further ascertain any deficits in students’ knowledge.

UNM has not yet received the data or feedback from either survey conducted in Spring 2017 and we look forward to reading those reports and incorporating the new information into our policies, procedures and training efforts for the next academic year.

Section 1.c

Where to report it, and the results of reporting to different resources.

Spring 2016 survey showed that only 5.1% of the 11.1% of students who had experienced unwanted sexual behavior reported it to the University, the majority of those who did report it to the university told a variety of offices such as Student Health and Counseling, their Residence Advisor, advisor or other University staff or faculty member. Two percent reported to the police and less than one percent reported to our primary advocacy center (LoboRESPECT). Given that this advocacy center is new and less well-known across campus, we believe that reporting numbers will increase with our increased marketing and training. We will also include knowledge based questions in our evaluation of the “Grey Area” training that students receive to further ascertain any deficits in students’ knowledge.

UNM has not yet received the data or feedback from either survey conducted in Spring 2017, and we look forward to reading those reports and incorporating the new information into our policies, procedures and training efforts for the next academic year.

Section 1.d

(Updated 6 27, 2017)

Barriers to report sexual harassment.

Spring 2016 survey showed that UNM students who experienced unwanted sexual behavior responded that they did not report the incident primarily because they did not think it was serious enough to report or because they felt embarrassed or ashamed. We believe this also reflects a lack of full understanding of what constitutes sexual misconduct and a violation of policy. We anticipate that with our increased marketing and training on these issues, this barrier will be removed and we look forward to seeing the results of our next survey to be conducted in 2017.

UNM has not yet received the data or feedback from either survey conducted in Spring 2017 and we look forward to reading those reports and incorporating the new information into our policies, procedures and training efforts for the next academic year.

Section 1.e

Recommendations for how the University can better encourage reporting of and improve its response to complaints. (Complete)

Recommendations for how the University can better encourage reporting of incidents of sexual misconduct and violence and improve its response to complaints include surveying UNM's population on a regular basis. It is recommended that all UNM staff, faculty and students are trained on what constitutes sexual misconduct and violence. Raising awareness and utilizing resources to help address reporting concerns and responses to complaints can be accomplished through amplified marketing plans and increased community outreach to include enhanced training. This will give a better understanding of the effectiveness of the recommendations.

Retaliation must also be addressed. The recommendation is to train UNM's faculty, staff and students on what retaliation means and what retaliation does to those who experience it. UNM's Whistleblower Policy has been rewritten and defines "Retaliation" as a discriminatory or adverse action against a whistleblower for submitting reports of suspected misconduct or cooperating with or participating in an investigation. Persons who report suspected misconduct, in good faith, are afforded whistleblower protection from retaliation by the University for such reporting. Awareness of this updated policy will be a key recommendation for UNM employees and students. UNM has made several attempts to create outreach materials specific to retaliation for distribution across campus, however, we have not been successful in creating something that captures the necessary information in a captivating format. We will continue to develop such materials, particularly with the help of student leaders, to create the most appropriate materials for our students.

Other recommendations include believing the reporter when they report sexual violence or misconduct and to have an understanding of the trauma they are experiencing. All current OEO investigators who work with victims of sexual violence and misconduct who are dealing with trauma, have been given the FETI/Neurobiology of Training that deals with this subject. UNM's Ombuds office has developed and piloted a training on "Responsible Listening" for staff and

faculty who may receive a report of sexual violence or misconduct; this training will provide skills and practice to minimize retraumatization or revictimization.

Recommendations also include understanding investigative timelines. All sexual misconduct and sexual violence cases will be reviewed using improved data tracking to identify timelines, communication and average days to close for these cases. Cases will be reviewed monthly to identify trends. Analysis will provide a better understanding of trends and will give the university insight into the resources needed to ensure the recommendations for investigative timelines are met. In order to meet this requirement, OEO has created an internal position, Compliance Manager, who will oversee case management and investigative timelines. Since the implementation of our new Discrimination Claims Procedure, we have tightened our timelines and learned where additional gaps lie. We are currently working on process improvements and internal training to further improve our investigative timeliness. The Compliance Manager officially begins her duties July 1, 2017.

UNM notes that given our current financial challenges with the state's overall economy and the cuts made in our budget by the state government, creating additional positions will not be achievable and there are additional financial concerns related to ongoing training of current staff. Any new programs will also be subject to review within the overall budget of the University.

Section 2

A review of reports of sexual harassment and University's responses to such reports, particularly with respect to the following:

Process Improvement

OEO began using the EthicsPoint Incident Management System in 2016. Data fields have been customized within EthicsPoint to accommodate the required information needing to be captured, monitored and reported on. Investigators have been trained on using the system and data entry for each individual case received by OEO is ongoing. OEO has made updating the system a priority process improvement.

OEO has also identified the following process improvements for reviewing the reports of sexual harassment and responses to those reports with respect to Section 2 of the monitoring plan. The Title IX Coordinator will receive monthly updated reports from EthicsPoint to identify report patterns and to monitor cases of sexual harassment to ensure their timely conclusion.

Section 2.a

Whether such reports were adequately, reliably, promptly and impartially resolved.

An MOU has been completed between the UNM Police (UNMPD) and OEO requesting that all reports of sexual harassment be received by OEO. The MOU's state that UNMPD will respond promptly to OEO inquiries for past reports on anyone accused of sexual misconduct and that OEO and UNMPD will work together with the Dean of Students (DOS) to implement interim

safety measures.

Cases will be reviewed monthly to identify any challenges to ensuring reports are adequately, reliably, promptly and impartially resolved. Annually, through the SMART meeting, one case study will be reviewed (as has occurred the past two years) for areas of improvement in an OEO investigation, UNMPD investigation and coordination of communication and services across campus.

The MOU between OEO and the Dean of Students office commits both offices to efficient and consistent communication regarding reports received, ensures that all sanctions occur in compliance with campus-wide past practice, and meet our obligations to stop the misconduct, prevent its recurrence and remedy its effects. As in the MOU with UNMPD, OEO requests history on respondents through a conduct check through the Dean of Students office. OEO and the Dean of Students agree to partner on all projects, programming, training and other prevention efforts in the realm of sexual harassment and/or gender discrimination and/or retaliation. There is also language in the MOU that ensures that interim safety measures and support measures provided to complainants and respondents are documented appropriately and communicated to OEO.

The MOUs between OEO and UNMPD, and OEO and the Dean of Students, have been successful for these few months since they have been implemented. There is greater consistency in OEO receiving reports from across campus that may have sexual harassment and/or gender discrimination and/or retaliation components. OEO receives timely responses to the requests for past information and is able to incorporate that information when making jurisdictional decisions as well as decisions on next steps related to interim measures. OEO is confident that reports are adequately, reliably and impartially resolved. As mentioned above, OEO is still working on improving investigative timelines to meet the “prompt” requirement. UNM is working to support OEO in this and all endeavors, but resources are considerably scarce given our state’s financial landscape.

In addition, OEO and the Dean of Students have again implemented monthly case management meetings to improve communication and processing between informal and formal processes as well as ensure sanctioning decisions can be fully discussed.

Process Improvement

Data has been and will continue to be collected in the EthicsPoint system and will identify, among other things, any police reports associated with sexual harassment cases. The Title IX Coordinator will monitor trends and patterns associated with these cases. In conjunction with the Clery Act Compliance Officer and UNMPD, there is an additional layer of review for police reports that may have a sexual misconduct or gender discrimination component at the time they are reviewed for possible Clery violations. These internal reviews of police reports happen quarterly. OEO continues to review cases, timelines, inquiries and investigations in order to ensure all reports of gender discrimination and/or sexual misconduct are addressed and no individual impacted by such reports “falls through the cracks.”

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OEO has internally been working with UNM's Employee Organizational Development department to facilitate discussion and process improvements regarding our multitude of mission-critical roles and tasks throughout campus. These process improvement discussions will assist the OEO management team, OEO investigators and the entire staff in communication, efficiency and prioritization. We anticipate that these process and communication improvements will assist in investigative and case processing as well as performance management and improvement and identify gaps in OEO staffing, training or process.

Section 2.b

How many reports resulted in a finding of violation of University Policy and (where applicable) the disciplinary action taken.

See Tab 4.4 regarding the numbers of cases where a policy violation was found and the disciplinary action taken.

OEO has drafted MOU's to be implemented with Human Resources (HR), Provost's office and DOS in order to ensure that all sanctions are vetted with the Title IX Coordinator prior to implementation to ensure that these sanctions stop the conduct, prevent its recurrence and remedy its effects, whenever possible. OEO has been working with all three offices to ensure that sanctioning information is delivered timely, is compliant with Title IX and University policy and that proper notification is provided to all parties involved.

For every case that has resulted in a policy violation since the signing of the agreement, communication with OEO and the Title IX Coordinator has occurred with the departments responsible for sanctioning. This spring, UNM has also created Deputy Title IX Coordinators in the areas of the Provost, HR, Dean of Students, Residence Life and Housing and Athletics. The persons designated in each of these positions ensure that this timely communication occurs.

See Tab 4.5 Attached internal job description.

See Tab 4.6 Memorandum of Understanding.

See Tab 4.7 Letter from UNM's Interim President regarding the importance of these new positions. These have been fully executed with HR, the Provost and Athletics. Discussions regarding these roles in Housing and Dean of Students are ongoing to ensure the most effective implementation.

Process Improvement

Data for closed cases in EthicsPoint along with outcomes, disciplinary actions and sanctions will be captured and monitored by the Title IX Coordinator to identify trends and patterns and be monitored for the sanctions and/or disciplinary action taken for each case.

See above Tabs 4.5 through 4.7 for information regarding communication between

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departments and OEO and Deputy Title IX Coordinators.

Section 2.c

The University's action to remedy the effects of any hostile environment and retaliation that occurred.

Actions taken to remedy the effects of any hostile environment and retaliation that occur at UNM may take many forms. The majority of the actions UNM takes in this regard is one or more of the following: academic accommodations, supportive measures such as referrals to resources, assistance with financial aid, campus housing relocations, interim safety measures such as no contact directives and campus bans, training/education and sanctioning. This list of examples is not all-inclusive as every case and student are different and UNM makes every attempt to assist every student who has experienced sex discrimination in the way that works for him or her.

UNM tracks these actions primarily through the Advocacy by Symplicity system. DOS, Residence Life and Student Housing (RLSH) and the confidential advocates use this system to enter any interim or supportive measures and communications taken for or on behalf of a student seeking support. The Title IX Coordinator has access to this system and will review these measures for individual cases as well as pulling reports on these measures to track trends and look for process improvement possibilities. UNM notes that per Policy 2740 and the NotAlone report put out by the White House's Task Force on Sexual Violence on Campus as well as the Department of Education's "Dear Colleague Letter" from 2014, "Questions and Answers on Title IX and Sexual Violence", that any student who requests assistance through a confidential advocate but does not wish to report their concerns to the University will not have their supportive measures tracked in this manner in order to allow for complete confidentiality as promised by our advocates and University policy. The advocates will still track the measures they take for students but will not provide this information to OEO or the Title IX Coordinator.

Sanctions and other actions taken at the conclusion of an OEO formal investigation that results in a finding that policy has been violated are tracked in Ethics Point given that only students are in the Advocate system, EthicsPoint allows for this information tracking whether the Respondent is student, staff or faculty. Any supportive or interim measures taken on behalf of a staff or faculty complainant or respondent will also be tracked by OEO in EthicsPoint.

In cases where the remedying of the effects impacts the greater campus community or multiple individuals, any actions taken to remedy this will be tracked by OEO in EthicsPoint.

Process Improvement

OEO is working with the DOS to ensure the Advocate Offices are tracking this information within the Advocate System so that the Title IX Coordinator is aware of the effects of any hostile environment and retaliation that occur. Departments at UNM that may take action related to a student's environment have begun entering into the Advocate System all actions taken on behalf of a student reporting or responding to disclosures of gender discrimination

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and/or sexual misconduct. These departments include the Dean of Students office (both conduct, safety measures and Respondent support actions), the confidential Advocates (LoboRESPECT Advocacy Center, Women's Resource Center and LGBTQ Resource Center), and OEO. Standard Operating Procedures have been drafted and have been put into practice. UNM has been utilizing these new procedures since February 1, 2017. As gaps are identified, UNM will improve them to ensure communication is efficient and all actions taken to address a student's environment are judiciously captured.

Section 2.d

Collects how many reports involved particular groups of students or staff (e.g. drug related or alcohol-facilitated assault).

New fields have been created in the EthicsPoint Incident Management System (UNM's Compliance Hotline) so that groups of students or staff can be collected. This new information is in the Participant Section and these fields started to be used on January 1, 2017. Since the dropdown choices do not appear on the EthicsPoint print out for the Participant Section, we have included the choices for all the dropdown fields for the Participant section below:

Relationship to Organization - Dropdown Choices

- Employee, Faculty, Staff, Staff/Faculty, Graduate Assistant/Teaching Assistant (GA/TA), Former Employee, Former Student, Applicant, Compliance Area, Affective Party, Patient, Vendor, Contractor, Supplier, Agent, Spouse/Relative of Employee, Student, Parent/Relative of Student, Other

Participant's Role - Dropdown Choices

- Reporter, Complainant, Investigator, Respondent, Implicated Person, Affected Party, Witness, Victim, Source, Interviewee, Information Resource, Manager

Supervisory Responsibilities - Dropdown Choices

- Yes, No

Chose to Participate - Dropdown Choices

- Yes, No

Results - Dropdown Choices

- No Action Necessary, No Action Taken-Not Enough Information, No Probable Cause, Policy Violation, No Policy Violation, Cleared of Involvement, Withdrawn, Training Required, Verbal Feedback/Coaching, Verbal Warning, Written Warning, Final Written Warning, Demotion, Suspension w/pay, Suspension w/o pay, Suspension of Student, Probation of Student, Expulsion of Student, Termination, Resignation in Lieu of Termination, Reassignment/Transfer, Performance Improvement Plan, Formal Referral to Employee Assistance Program, ADA Accommodation

New fields have also been created in the Synopsis Section of EthicsPoint that will address the

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requirement to determine whether alcohol or drugs were involved. See Section 3.4c that shows all the fields in the Synopsis Section including the new fields. Since the dropdown choices do not appear on the EthicsPoint print out we have included the choices for all the dropdown fields below:

Primary Outcome, Secondary Outcome 1,2 – Dropdown Choices

- Substantiated, Partially Substantiated, Unsubstantiated, Policy Violation, No Policy Violation, Insufficient Information, Not in Jurisdiction, Not Legal/Policy/Ethics Violation, Duplicate Case, Inquiry Resolved, Reported to Outside Entity, Allegation Resolved, Case Withdrawn by Reporter, Withdrawn, Executive Resolution, No Response to Follow-Up, Faculty Handbook Matter

Action Taken, Action Taken 1,2 – Dropdown Choices

- No Action Taken, No Action Necessary, Correction of Policy Violations, Ombuds/Faculty, Ombuds/Staff, Policy/Process Review, Training, Discipline, Termination, Executive Resolution

Allegation - Dropdown Choices 1,2,3

- Title IX¹, Differential Treatment, Failure to Accommodate, Hiring Challenge, Hostile Work Environment, Hostile Learning Environment, ADA, ADA Appeal, Other Non-Jurisdictional

Basis - Dropdown Choices 1,2,3

- Age, Ancestry, Disability, Gender/Sex, Medical Conditions, National Origin, Race, Religion, Retaliation, Sexual Harassment, Sexual Orientation, Gender, Identity, Pregnancy, Color, Spousal Affiliation, Veteran Status, Other Non-Jurisdictional

Outcome – Dropdown Choices 1,2,3

- Policy Violation, No Policy Violation, Not Jurisdiction, Withdrawn

Approximate Time of Incident – Dropdown Choices

- 6 AM to Noon, Noon to 6 PM, 6 PM to Midnight, Midnight to 6 AM, Not Known, Not Applicable

ADA or Religious Accommodation– Dropdown Choices

- Yes, No

Title IX Category – Dropdown Choices

- Sexual Assault, Stalking, Dating/Intimate Partner Violence, Sexual Exploitation, Differential Treatment, Disparate Impact, Retaliation, Failure to Accommodate

¹ Please note that Title IX in this dropdown is an internal signifier to mark those that are also Title IX in addition to differential treatment or hostile environment, etc. The specific allegation will be marked in the second allegation choice.

Pregnancy/Lactation, Sexual Harassment²

Drug or Alcohol Related – Dropdown Choices

- Yes, No

Title IX/Clery Location

- On-Campus, Off-Campus, Non-Campus, Public Property

OEO Status – Dropdown Choices

- Awaiting Appeal Request, Appeal in Progress, Council in Progress, Closed, Finding Review, Hearing Pending, Investigation in Process, Informal Procedure, Letter of Determination in Progress, Review in Progress, Settlement Negotiation, Summary Review, Training Required

Appeal – Dropdown Choices

- Yes, No

Appeal Outcome – Dropdown Choices

- Denied President, Denied Regents, Overturned President, Overturned Regents, Upheld President, Upheld Regents

OEO Case Investigation Type

- Informal
- Formal

Extension – Dropdown Choices

- Yes, No

Evidence Preservation – Dropdown Choices

- Yes, No

Process Improvement

Data in new fields began to be collected as of February 1, 2017. This data is analyzed by the Title IX Coordinator to include identifying groups of staff and students involved in sexual harassment and whether alcohol and drugs facilitated an assault. Patterns and trends will be identified and reviewed. Given that only three months of data have been analyzed at this point, no trends were yet identified.

Section 2.e

Whether any individuals are engaged in repeat misconduct and if so; the University's action

² Please note that internally, we use sexual harassment in this dropdown to signify sexual harassment that does not include allegations of any of the previous choices. We recognize that sexual assault, stalking, dating violence, exploitation, etc. could all be forms of sexual harassment.

to prevent the repeated misconduct and remedy its efforts.

OEO has implemented an internal system where the investigator inquires about potential past misconduct on every case that is opened. For example, when a case involving sexual violence is opened and the Respondent is a student, the investigator searches OEO's internal files, requests any past police reports involving that person and requests any misconduct records on that person from the Dean of Students office. OEO believes that conducting this search on every respondent's history will ensure OEO takes all possible relevant information into consideration when investigating concerns. OEO also cross-references cases in EthicsPoint to identify individuals who are engaged in repeat misconduct. OEO has been capturing this information in our paper files and have now added an additional field to EthicsPoint to mark digitally on each case whether a pattern of behavior was found.

Section 3

Detailed data on the number of sexual harassment reports received by the University.

Process Improvement

OEO has identified the following process improvement to provide detailed data on the number of sexual harassment reports received by the University. Data fields have been identified and customized within the EthicsPoint Incident Management System to accommodate the information needed to be captured, monitored and reported on. The Title IX Coordinator will receive monthly updated reports to identify patterns and trends and to monitor cases of sexual harassment to ensure their timely conclusion.

Given that only three months of data have been analyzed at this point, no trends were yet identified. This detailed data will be provided to DOJ in spreadsheet format in the next 2017 status report per the UNM-DOJ agreement.

Section 3.a.

Whether the University investigated each report.

Process Improvement

Each sexual harassment case within EthicsPoint has multiple fields to collect data on for that case. OEO will ensure the Title IX Coordinator has the necessary data and will run monthly reports which identify each sexual harassment investigation, and whether the case is being or has been investigated.

OEO captures each concern of sexual harassment and its process outcome. See Tab 4.8.

Section 3.b

If investigated, the findings, the sanctions imposed (if applicable) and the dates of all relevant events in each report.

Process Improvement

Each sexual harassment case within EthicsPoint can capture data for the findings within the case, such as Allegation, Basis, Outcome and Title IX sanctions and the ability to capture dates of relevant events in each report, such as Preliminary Letters of Determination, and Final Letters of Determination. Please see the attached sample EthicsPoint reports in Section 3.4b and Section 3.4c that shows a complete list of customized fields. OEO will have the ability to pull any number of reports from EthicsPoint for the Title IX Coordinator to review all cases received regarding sexual harassment.

See Tab 4.4 for the findings and sanctions (if applicable). The dates of all relevant events in each report will be provided to DOJ in spreadsheet format in the next status report per the UNM-DOJ agreement.

Section 3.c

Including but not limited to the date of the complaint.

Process Improvement

Multiple dates can be identified in EthicsPoint regarding individual cases including the date of the complaint/incident. OEO will have the ability to run monthly reports based on specific date criteria. Trends and patterns can be determined month to month and year to year to include identifying if more complaints are received during a specific time period than within other time periods. OEO will also review the dates of incidents to the dates of reports to identify any patterns in the amount of time for students to decide to make a report to the University.

Given that only three months of data have been analyzed at this point, no trends were yet identified. This detailed data will be provided to DOJ in spreadsheet format in the next status report per the UNM-DOJ agreement.

Section 3.d

The date findings were communicated to the complainant and respondent.

Process Improvement

Date fields have been customized within EthicsPoint to identify when findings were communicated to the complainant and respondent. These are the OEO Letter Dates and can be seen on the sample EthicsPoint report in Section 3.4.c. OEO currently sends out several communications throughout an investigation. Communications regarding findings from OEO are sent contemporaneously to the parties and the date of that correspondence is the same date it is emailed. These are the dates captured in EthicsPoint and on which reports may be generated. OEO can run reports based on these dates to ensure the complainant and respondent have received appropriate communication regarding the findings.

Given that only three months of data have been analyzed at this point, no trends were yet identified. This detailed data will be provided to DOJ in spreadsheet format in the next status report per the UNM-DOJ agreement.

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Section 4

Evaluation and analysis of the data collected

Section 4.a

An assessment of any changes in the number or severity of reported incidents of sexual harassment, particularly among subgroups of students or staff (e.g., first-year students, athletes, members of fraternities or sororities, or academic advisors).

This data is not currently being tracked. Fields were added to EthicsPoint so that this information can begin to be captured. The data entry for these fields began January 1, 2017. See Section 2.d above for the list of additional categories for data captured in EthicsPoint.

Given that only three months of data have been analyzed at this point, no trends were yet identified. This detailed data will be provided to DOJ in spreadsheet format in the next status report per the UNM-DOJ agreement.

Section 5

Conclusions derived from the monitoring program implemented.

UNM's efforts to prevent and respond to sexual misconduct as well as our training efforts to our campus community have provided some initial conclusions and recommendations. Some of these conclusions are as follows:

- Some populations (such as LGBTQ and persons with disabilities) are at greater risk of experiencing sexual violence nationally. Our survey showed that these populations are also at increased risk at UNM. UNM needs to increase our prevention efforts to our LGBTQ students and our students living with disabilities. Particularly, UNM needs to be sure that our marketing campaign, "Protect the Pack" to ensure these unique populations are included and that their needs are addressed by UNM. We have noted that we are not receiving equal numbers of reports from these populations even though they experience sexual violence at a higher rate, therefore, OEO needs to develop an understanding of the barriers to reporting that these students have. See Tab 4.9 for a report on focus groups UNM ran in Spring 2017 and the plan for additional focus groups in Fall 2017.
- UNM has a high rate of Intimate Partner Violence compared to the rest of the nation. UNM will have to develop marketing campaigns and other prevention efforts geared towards healthy relationships and recognizing unhealthy vs. abusive relationships. An effort to increase training on healthy relationships will also positively impact rates of sexual violence, according to the CDC (<https://www.cdc.gov/violenceprevention/pdf/sv-prevention-technical-package.pdf>).
- Increase training efforts to our students that live in on-campus housing because our climate survey showed those students were at increased risk for sexual violence. See Tab 4.10 for a draft plan for training and programming for residence hall residents.
- NM, overall, has high rates of sexual violence due to a number of factors, therefore,

high numbers of our students report being victims of sexual violence prior to attending UNM. UNM may need to partner with state government agencies to not only support our students who have experienced sexual violence but also to work together to prevent sexual violence in all areas of our state. This may come through research done by our faculty and within our partnerships with government relations as well as our partnerships with Community Based Organizations and other non-profit groups.

Future conclusions will be assessed from a multi-disciplinary approach, survey data and evaluation data from trainings will be shared among internal and external stakeholders. These groups (which currently meet monthly) will identify the areas of greatest concern and need and strategize to develop programs to target these issues. Assessment of all ongoing efforts will take place in tandem to ensure that any efforts that do not produce results will be discontinued in favor of programs that benefit the campus community and our student body.

UNM also began evaluating all trainings related to sexual misconduct. See Tab 4.11 for a draft evaluation of OEO's in person trainings. A specific evaluation on the student Grey Area training were previously submitted and approved by DOJ. A specific evaluation on the Staff/Faculty Intersections training was previously submitted and approved by DOJ. See Tab 4.12 regarding the outcome of UNM's evaluation efforts to date which includes Grey Area evaluation results, FETI evaluation results and discusses the implementation plan for the Intersections training.

Section 6 and 7

Any recommendations received from community members and stakeholders, including members of law enforcement that are gathered for the annual assessment.

Any recommendations by the University for improvement of its sexual harassment response and prevention programs and timelines for the implementation of the recommendations.

The University of New Mexico's Sexual Misconduct and Assault Response Team (SMART) is a multi-disciplinary unit providing competent and comprehensive coordinated and immediate victim-centered response to incidents of sexual violence. Compassionate responders offer an array of support and services available at UNM and in the community, including both anonymous and confidential locations. SMART aims to facilitate healing and mitigate trauma, as well as hold offenders accountable. SMART includes members of UNM, members of law enforcement and members of the community.

UNM holds a monthly Title IX Committee meeting that includes faculty and staff from multiple disciplines across campus. Representatives from student government, faculty governance and staff council have also been invited and occasionally send representatives. The committee's purpose is twofold; to solicit feedback from various campus partners on Title IX related procedures and policies and to inform these partners of the work UNM is currently engaged in on Title IX related concerns and issues.

Both of the above meetings, Title IX Committee and SMART, directly inform the work OEO does

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in processing cases, investigating and responding to concerns as well as inform potential solutions to challenges as they arise in Title IX related concerns. From the work of the Title IX Committee and the SMART team, the following improvements have been made: we created an internal process for soliciting and reviewing victim impact statements prior to implementation of sanctioning/discipline, we clarified the appeals process, we troubleshoot mandatory training issues, we have solicited members for a sexual misconduct conference committee and we have conducted case studies of OEO investigations to reveal gaps in process and improve internal communication and support for reporting students. These examples are not all-inclusive of the amazing work SMART and Title IX Committees have achieved. UNM anticipates that these teams will continue to inform the work we are doing as it relates to sexual misconduct.

III. CONCLUSION

This document represents UNM's fourth formal status report in accordance with the October 17, 2016, Agreement. UNM staff members are available to discuss this status report and the attached documentation with the DOJ at any time. We look forward to a cooperative relationship in ensuring that UNM promotes and maintains a caring and safe educational environment with fair processes for all.

AGREEMENT BETWEEN THE U.S. DEPARTMENT OF JUSTICE AND THE UNIVERSITY OF NEW MEXICO

IMPLEMENTATION PLAN

On October 17, 2016, the U.S. Department of Justice and University of New Mexico entered in an Agreement to address obligations under various federal civil rights laws. UNM agreed to comply with the requirements starting on October 17 and to maintain compliance through September 2019.

Policies & Procedures

Section Number	Task & Deliverable Action	Responsible Parties	Due Date	In Progress	Complete	DOJ Approval Pending	Approved
Sec. II.A.	Review all relevant policies, procedures and attendant materials for consistency and clarity	LEAD: Policy, DOS, OEO	Ongoing	✓			
	Other policies, procedures and materials still need to be identified (faculty, student, etc.).	Faculty, DOS, Other		✓ D175, Student Grievance HB			✓ Whistle blower, Campus Violence
Sec. II.B.	Ensure procedures provide adequate, reliable, prompt and impartial investigation, adjudication and appeal of all complaints of sexual harassment.	LEAD: OEO	Ongoing				
	II.B.1. – Revise DCP	LEAD: OEO					✓ Feb. 1, 2017
	II.B.2. – Revise DCP - detailed information regarding rights under OEO processes	LEAD: OEO					✓ Feb. 1, 2017
	II.B.3.- Revise DCP - provide a statement that OEO investigates without intervention by administrators	LEAD: OEO					✓ Feb. 1, 2017
	II.B.4. – Revise the DCP to provide a prompt and reasonable timeframe for any appeals process	LEAD: OEO					✓ Feb. 1, 2017
	II.B.5. – Review Student Grievance Procedures against the DCP to ensure they are clear/consistent	LEAD: DoS and OEO		✓			
Sec. II.C.	Develop protocols for implementation of DCP	LEAD: OEO	Dec. 1, 2016				
	II.C.1. – Require OEO to conduct in-person interviews with witnesses	LEAD: OEO					✓ Feb. 1, 2017

	II.C.2. – Establish a timeframe after interviews for follow up on collecting relevant evidence	LEAD: OEO					✓ Feb. 1, 2017
	II.C.3. – Define parameter for granting for denying an extension of time during an investigation	LEAD: OEO					✓ Feb. 1, 2017
	II.C.4. – Establish when and how OEO must consider additional complaints of sexual harassment	LEAD: OEO					✓ Feb. 1, 2017
	II.C.5. – Establish how OEO considers power dynamics in complaints by students vs faculty/staff	LEAD: OEO					✓ Feb. 1, 2017
	II.C.6. – Investigators equally assess the credibility of all witnesses and explain basis for assessment	LEAD: OEO					✓ Feb. 1, 2017
	II.C.7. – Process OEO will receive relevant information from UNMPD, APD, Sheriff and DA	LEAD: OEO and UNMPD					✓ Feb. 1, 2017
	II.C.8. –Procedure for investigators to report/office to respond to contact made by administrators	LEAD: OEO					✓ Feb. 1, 2017
	II.C.9. –Time frame for OEO investigators to communicate with complainants and respondents	LEAD: OEO					✓ Feb. 1, 2017
Sec. II.D.	Establish written internal protocols regarding:	LEAD: OEO/DoS	Dec. 1, 2016				
	II.D.1. – OEO/DoS will respond to/share information regarding complaints of 3rd party retaliation	LEAD: OEO/DoS					✓ Feb. 1, 2017
	II.D.2. - Criteria for/process by which OEO and DoS determine appropriate supportive measures	LEAD: OEO/DoS					✓ Feb. 1, 2017
	II.D.3. - Process OEO/DoS will convey information to campus entities	LEAD: OEO/DoS					✓ Feb. 1, 2017
Sec. II.E.	To ensure prompt response to allegations:	LEAD: OEO					
	II.E.1. - Revise procedures for tracking all alleged incidents by using a spreadsheet.	LEAD: OEO					✓ Feb. 1, 2017
	II.E.2. - Ensure OEO retains records and supporting documentation for duration of Agreement	LEAD: OEO	Provide within 30 days of request	✓			
	II.E.3. - Process for Title IX Coordinator to review reports and files related misconduct	LEAD: OEO					✓

							Feb. 1, 2017
Sec. II.F.	Submit to DOJ for review and approval any proposed revisions of its policies, procedures and attendant materials	LEAD: Compliance		✓ Still finalizing materials			✓ Finalized docs noted above
Sec. II.G.	After revision, UNM will not substantively modify documents without approval of DOJ.	LEAD: Policy/OUC	Ongoing				
Sec. II.H.	UNM will submit the spreadsheet identified in Sec. II.E.1. for review.	LEAD: OEO/DoS	Aug. 1, 2017 Aug. 1, 2018 Aug. 1, 2019	✓			

Notice of Policies & Procedures

Section	Task & Deliverable Action	Responsible Parties	Due Date	In Progress	Complete	DOJ Approval Pending	Approved
Sec. III.A.	Provide all students and employees with written notice on revised policies or procedures regarding sexual harassment and the grievance procedures	LEAD: Policy Office/UCAM/DOS	TBD (30 days after final execution)	✓			
Sec. III.B.	Update LoboRESPECT website to ensure information is consistent with revised policies and procedures	LEAD: Adv Ctr	Aug. 1, 2017 Aug. 1, 2018 Aug. 1, 2019	✓			

Training

Section	Task & Deliverable Action	Responsible Parties	Due Date	In Progress	Complete	DOJ Approval Pending	Approved
Sec. IV.A.1.	Revise and enhance training programming to provide in-person interactive training to all students	LEAD: DoS	Close of monitoring period	✓			
Sec. IV.A.2.	Establish necessary infrastructure to provide in-person interactive training on an ongoing basis	LEAD: DoS	Feb. 1, 2017				✓ Feb. 2017
Sec. IV.A.3.	Issue notices to students who have not taken in-person training that they will be required to take the training by the end of the 2017 academic semester	LEAD: DoS	Feb. 1, 2017 (Issue Notices)				✓ March 2017
Sec. IV.A.3. a.	UNM will ensure all students enrolled in graduate programs will have received training	LEAD: DoS	Dec. 31, 2017 (Training will be complete)	✓ Training in progress. Will be completed			✓ Grad module approved

				by 12/31/17			
Sec. IV.A.3. b.	UNM may exempt students from training who are graduating at the end of the spring 2017 semester.	LEAD: DoS					✓ March 2017
Sec. IV.A.4.	UNM will provide mandatory, in-person interactive training to all students new to the university (freshmen, graduate students, incoming transfer students)	LEAD: DoS	Starting in 2017-2018 and provide every semester thereafter	✓ Student training will be completed by 12/31/17			✓ Undergrad training approved and started March 2017
Sec. IV.A.5.	All continuing students will receive annual online interactive training on sexual harassment	LEAD: DoS	Starting in 2017-2018 and provide every semester thereafter	✓ Beginning of the 17-18 academic year			✓ Campus Clarity training module approved in January 2017
Sec. IV.A.6.	Develop a system whereby individuals may request a waiver of the training requirement	LEAD: DoS					✓
Sec. IV.A.7.	Training will include participant evaluations and a system for monitoring training	LEAD: OEO/DoS	Ongoing	✓ Students are given evaluations at end of Grey Area Training			✓ Eval questions approved February 2017
Sec. IV.B.1.	UNM will provide training to all responsible employees	LEAD: HR	Dec. 31, 2016				✓ Feb. 1, 2017
Sec. IV.B.2.	Each responsible employee required to complete annual training/UNM will monitoring training.	LEAD: HR	Dec. 31, 2017 Dec. 31, 2018 Aug. 31, 2019	✓ '17 Training Module uploaded			
IV.B.3.	Training includes participant evaluations and UNM will analyze for ongoing effectiveness of the training	LEAD: OEO	Ongoing	✓ Working with EOD to upload to training module			✓ Eval questions approved February 2017

Sec. IV.B.4.	UNM will ensure that all employees directly involved in processing, investigating, adjudicating, responding to appeals, and/or sanctioning complaints of violations will receive in-person Title IX training	LEAD: OEO	Dec. 1, 2017 Dec. 1, 2018 Aug. 31, 2019				✓ T9 Training approved
Sec. IV.B.5.	New employees listed in Sections B.1 & 4 complete training within 30 days of employment start date	LEAD: HR/Provost (OFAS)	Ongoing		✓ Currently up to date		
Sec. IV.B.6.	For employee training, develop a plan to evaluate and monitor the effectiveness of the training	LEAD: OEO	Ongoing				✓
Sec. IV.C.1.	Officers who respond to/investigate sexual assault and domestic violence have received FETI training	LEAD: UNMPD	Dec. 1, 2016				✓ January 2017
Sec. IV.C.2.	UNMPD establish protocol for officers who respond to/investigate assault to receive annual training	LEAD: UNMPD	Dec. 1, 2016				✓ January 2017
Sec. IV.C.3.	All training for UNMPD will include participant evaluations to determine ongoing effectiveness	LEAD: UNMPD	Ongoing	✓			

Title IX Coordinator

Section	Task & Deliverable Action	Responsible Parties	Due Date	In Progress	Complete	DOJ Approval Pending	Approved
Sec. V.	UNM will review all policies, procedures and related materials to ensure it consistently identifies the Title IX Coordinator's name, office address, email address, and telephone number.	LEAD: OEO/UCAM/IT	Dec. 1, 2016 and Ongoing	✓			
Sec. V.	Ensure all published notices of nondiscrimination with the Title IX Coordinator's information are consistent with the requirements of Title IX.	LEAD: OEO/UCAM/IT	Dec. 1, 2016 and Ongoing	✓			

Educational Climate

Section	Task & Deliverable Action	Responsible Parties	Due Date	In Progress	Complete	DOJ Approval Pending	Approved
Sec. VI.A.	OEO will document on its internal spreadsheet any steps it takes to address a student's environment.	LEAD: OEO	End of Semester (June 2017)	✓			

Sec. VI.B.	UNM will continue to conduct one or more annual Climate Surveys for all students. UNM will submit its proposed climate survey and assessment methodology to DOJ for review Annual Climate Surveys will be administered in the fall semesters of 2017 and 2018 and will allow for respondents to answer the survey anonymously.	LEAD: OEO	Dec. 1, 2016 for Spring 2016 survey Fall Semester 2017 and 2018	✓ Branch and Main Campus Surveys distributed April 2017			✓ DOJ approved the climate survey questions for branch campuses and main campus Spring 2017
Sec. VI.C.	UNM will submit a Monitoring Plan to DOJ for review UNM will implement a Monitoring Program to assess the effectiveness of its efforts to prevent and address sexual harassment and promote a non-discriminatory school climate By 6/30/17, the Monitoring Program assessment will be completed. Additional assessments required at the conclusion of each school year	LEAD: OEO/OUC	Feb. 1, 2017 Feb. 1, 2017 June 30, 2017 June 2018 June 2019			✓ ✓ ✓	✓ ✓

Reporting Requirements

Section	Task & Deliverable Action	Responsible Parties	Due Date	In Progress	Complete	DOJ Approval Pending	Approved
Sec. VII.A.	Policies, Procedures and Protocols UNM will provide DOJ with all documents and information identified in provisions II.A-F in accordance with the timelines set forth above.	Lead: Compliance Office	On or before Dec. 1, 2016, submit proposed revisions Ongoing	✓ Policies in progress			✓ Procedures Finalized
Sec. VII.B.	Notice of Revised Policies and Procedures Provide DOJ with documentation that it has implemented Sec. III	Lead: Compliance Office	Within 45 days				

Sec. VII.C.	<p>Training Provide DOJ the training materials and agendas to be used in trainings for review and approval.</p> <p>UNM will provide information regarding the content and recipients of each student training.</p> <p>Provide DOJ with a list of employees who missed training required by Sec. IV.B. and C. and information on how that employee will receive training.</p>	Lead: Compliance Office	<p>Dec. 1, 2016</p> <p>Sept. 30, 2017 June 30, 2018 June 30, 2019</p> <p>Sept. 30, 2017 June 30, 2018 June 30, 2019</p>	✓			<p>✓ Approved in Jan. 2017</p> <p>✓ '16 Employee training stats provided to DOJ Feb. 1, 2017</p>
Sec. VII.D.	<p>Title IX Coordinator/Notice of Nondiscrimination By Dec. 1, 2016, provide DOJ with a report documenting actions taken to comply with Sec. V.</p>	Lead: Compliance Office	Dec. 1, 2016				✓
Sec. VII.E.	<p>Educational Climate UNM will provide DOJ with a report documenting its follow up efforts with complainants as required by Sec. VI.A.</p> <p>UNM will provide DOJ with a report documenting that the annual climate survey has been conducted and include the cumulative information.</p> <p>UNM will provide DOJ with a copy of annual assessment of the effectiveness of its sexual harassment response and prevention programs, including recommendations for improving the programs. On June 30 of each following year covered by this Agreement, UNM will provide DOJ with a copy of its annual assessment of the effectiveness.</p>	Lead: Compliance Office	<p>Sept. 30, 2017 June 30, 2018 June 30, 2019</p> <p>Sept. 30, 2017 Sept. 30, 2018 Sept. 30, 2019</p> <p>Sept. 30, 2017 June 30, 2018 June 30, 2019</p>	<p>✓</p> <p>✓</p> <p>✓</p>			

AGREEMENT BETWEEN THE U.S. DEPARTMENT OF JUSTICE AND THE UNIVERSITY OF NEW MEXICO

DELIVERABLES BY DATE

Due Date	Task & Deliverable Action	Transmitted on:	Transmitted by:
Dec. 1, 2016	Sec. II.A. Review all relevant policies, procedures and attendant materials for consistency and clarity and amend, rescind or insert cross references as necessary.	Early 2016 and Nov. 15, 2016	Libby Washburn
Dec. 1, 2016	Sec. II.B. Ensure procedures provide for adequate, reliable, prompt and impartial investigation, adjudication and appeal of all complaints of sexual harassment.	Early 2016 and Nov. 15, 2016	Libby Washburn
Dec. 1, 2016	Sec. II.C. Develop written internal protocols for the implementation of the DCP.	Early 2016 and Nov. 15, 2016	Libby Washburn
Dec. 1, 2016	Sec. II.D. Establish written internal protocols regarding communications about response to allegations for sexual harassment.	Early 2016 and Nov. 15, 2016	Libby Washburn
Dec. 1, 2016	Sec. II.E. UNM will: II.E.1. Revise procedures for tracking electronically all alleged harassment incidents (written and verbal) by using a spreadsheet; II.E.2. Ensure OEO retains all records and supporting written documentation related to any incident alleging sexual harassment for the duration of this Agreement; II.E.3. Establish a process for the Title IX Coordinator to regularly review all reports of conduct that may constitute sexual harassment	Early 2016 and Nov. 15, 2016	Libby Washburn
Dec. 1, 2016	Sec. II.F. Submit to DOJ for review and approval any initial proposed revisions of its policies, procedures and attendant materials related to sexual harassment	Early 2016 and Nov. 15, 2016	Libby Washburn
2016-17 Academic Year	Sec. IV.B.5. UNM will ensure that all new employees listed in Sections B.1 and 4 complete the training within 30 days of their employment start date	Nov. 15, 2016	Libby Washburn
Dec. 1, 2016	Sec. IV.C.1. UNMPD will ensure that all officers who respond to or investigate allegations of sexual assault receive training on evidence based, trauma informed investigative techniques	Nov. 15, 2016	Libby Washburn
Dec. 1, 2016	Sec. IV.C.2. UNMPD will establish a written protocol for all officers who respond to or investigate allegations of sexual assault to receive training at least annually	Nov. 15, 2016	Libby Washburn
Dec. 1, 2016	Sec. IV.C.3. All training for UNMPD will include participant evaluations and UNM will analyze these evaluations to determine ongoing effectiveness of the training	Nov. 15, 2016	Libby Washburn

Dec. 1, 2016	Sec. V. UNM will review all policies, procedures and related materials to ensure it consistently identifies the Title IX Coordinator's name, office address, email address, and telephone number.	Nov. 15, 2016	Libby Washburn
Dec. 1, 2016	Sec. V. UNM will ensure that all published notices of nondiscrimination with the Title IX Coordinator's information are consistent with the requirements of Title IX. _____	Nov. 15, 2016	Libby Washburn
Dec. 1, 2016	Sec. VII.D. Title IX Coordinator/Notice of Nondiscrimination By Dec. 1, 2016, UNM will provide DOJ with a report documenting the actions it has taken to comply with the provisions of Sec. V.	Nov. 15, 2016	Libby Washburn
Dec. 1, 2016	Sec. VI.B. UNM will continue to conduct one or more annual Climate Surveys for all students. UNM will submit its proposed climate survey and assessment methodology to DOJ for review	Early 2016 and Nov. 15, 2016	Libby Washburn
Dec. 1, 2016	Sec. VII.C. Training By Dec. 1, 2016, UNM will provide DOJ the training materials and agendas to be used in trainings conducted pursuant to Sections IV.A and B. for review and approval.	Nov. 15, 2016	Libby Washburn
Dec. 31, 2016	Sec. IV.B.1. UNM will provide training to all staff and faculty that it designates as responsible employees, including members of the UNMPD	Dec. 31, 2016	Libby Washburn
Dec. 31, 2016	Sec. IV.B.6. For all training provided to employees, UNM will develop a plan to evaluate and monitor the effectiveness of the training	Nov. 15, 2016	Libby Washburn
Dec. 31, 2016	Sec. VI.A. Each semester, OEO will document on its internal spreadsheet any steps it takes to address a student's environment. Provide DOJ with a draft internal spreadsheet for review.	Nov. 15, 2016	Libby Washburn
2017	2017	2017	2017
Feb. 1, 2017	Sec. IV.A.2. Establish infrastructure to provide in-person interactive training on an ongoing basis	Feb. 1, 2016	Kevin Gick
Feb. 1, 2017	Sec. IV.A.3. Issue notices to all current students who have not taken in-person training that they will be required to take the training by the end of the Fall 2017 academic semester	Feb. 1, 2016	Kevin Gick
Feb. 1, 2017	Sec. VI.C. UNM will submit a Monitoring Plan to DOJ for review	Feb. 1, 2016	Kevin Gick
Feb. 1, 2017	Sec. VI.C. UNM will implement a Monitoring Program to assess the effectiveness of its efforts to prevent and address sexual harassment and promote a non-discriminatory school climate	Feb. 1, 2016	Kevin Gick
June 30, 2017	Sec. VI.A. Each semester, OEO will document on its internal spreadsheet any steps it takes to address a student's environment.	June 25, 2017	Libby Washburn
June 30, 2017	Sec. VI.C. By June 30, 2017, the Monitoring Program assessment will be completed. Additional assessments are required at the conclusion of each school year for the life of this Agreement.	June 25, 2017	Libby Washburn

August 1, 2017	Sec. II.E. To ensure UNM consistently responds promptly and equitably to allegations of sexual harassment, UNM will: II.E.1. - Revise procedures for tracking electronically all alleged harassment incidents (written and verbal) by using a spreadsheet. Deliver to DOJ on August 1 of every year.		
August 2017	Sec. III.B. Review and update the LoboRESPECT website to ensure it provides information consistent with any revised policies and procedures, and contains clear and consistent information		
Fall 2017 Semester	Sec. IV.A.4. UNM will provide mandatory, in-person interactive training to all students new to the university (freshmen, graduate students, incoming transfer students)		
Fall 2017 Semester	Sec. VI.B. Annual Climate Surveys will be administered in the fall semesters of 2017 and 2018 and will allow for respondents to answer the survey anonymously.		
2017-18 academic year	Sec. IV.A.5. All continuing students will receive annual online interactive training on sexual harassment		
2017-18 academic year	Sec. IV.B.5. UNM will ensure that all new employees listed in Sections B.1 and 4 complete the training within 30 days of their employment start date		
Sept. 30, 2017	Sec. VII.C. UNM will provide information regarding the content and recipients of each student training.		
Sept. 30, 2017	Sec. VII.C. UNM will provide DOJ with a list of UNM employees who missed training required by Sec. IV.B. and C. and information on how that employee will receive training.		
Sept. 30, 2017	Sec. VII.E. Educational Climate - UNM will provide DOJ with a report documenting its follow up efforts with complainants as required by Sec. VI.A.		
Sept. 30, 2017	Sec. VII.E. Educational Climate - UNM will provide DOJ with a report documenting that the annual climate survey has been conducted and include the cumulative results of the survey questions, summaries of comments provided in the survey, UNM's analysis		
Sept. 30, 2017	Sec. VII.E. Educational Climate - UNM will provide DOJ with a copy of its annual assessment of the effectiveness of its sexual harassment response and prevention programs, including proposed recommendations for improving the programs.		
Dec. 1, 2017	Sec. IV.B.4. UNM will ensure that the Title IX Coordinator and all employees directly involved in processing, investigating, adjudicating, responding to appeals, and/or sanctioning complaints of violations will receive in-person Title IX training		
Dec. 1, 2017	Sec. V. UNM will review all policies, procedures and related materials to ensure it consistently identifies the Title IX Coordinator's name, office address, email address, and telephone number.		
Dec. 1, 2017	Sec. V. UNM will ensure that all published notices of nondiscrimination with the Title IX Coordinator's information are consistent with the requirements of Title IX.		

Dec. 31, 2017	Sec. IV.A.3. Complete in-person training for all current students by the end of the Fall 2017 academic semester		
Dec. 31, 2017	Sec. IV.A.3.a. UNM will ensure all students enrolled in graduate programs will have received in-person training		
Dec. 31, 2017 and Ongoing	Sec. IV.A.7. The student training will include participant evaluations and a system for monitoring training		
Dec. 31, 2017	Sec. IV.B.2. Each responsible party identified employee will be required to complete training annually. UNM will maintain a system for monitoring training.		
Dec. 31, 2017	Sec. VI.A. Each semester, OEO will document on its internal spreadsheet any steps it takes to address a student's environment.		
2018	2018	2018	2018
Spring 2018 Semester	Sec. IV.A.4. UNM will provide mandatory, in-person interactive training to all students new to the university (freshmen, graduate students, incoming transfer students)		
May 31, 2018	Sec. VI.A. Each semester, OEO will document on its internal spreadsheet any steps it takes to address a student's environment.		
June 2018	Sec. VI.C. Additional Monitoring Program assessments are required at the conclusion of each school year for the life of this Agreement.		
June 30, 2018	Sec. VII.C. UNM will provide information regarding the content and recipients of each student training.		
June 30, 2018	Sec. VII.C. UNM will provide DOJ with a list of UNM employees who missed training required by Sec. IV.B. and C. and information on how that employee will receive training.		
June 30, 2018	Sec. VII.E. Educational Climate - UNM will provide DOJ with a report documenting its follow up efforts with complainants as required by Sec. VI.A.		
June 30, 2018	Sec. VII.E. Educational Climate - UNM will provide DOJ with a copy of its annual assessment of the effectiveness of its sexual harassment response and prevention programs including proposed recommendations for improving the programs.		
August 1, 2018	Sec. II.E. To ensure UNM consistently responds promptly and equitably to allegations of sexual harassment, UNM will: II.E.1. - Revise procedures for tracking electronically all alleged harassment incidents (written and verbal) by using a spreadsheet.		
August 2018	Sec. III.B. Review and update the LoboRESPECT website to ensure it provides information consistent with any revised policies and procedures, and contains clear and consistent information		
Fall 2018 Semester	Sec. IV.A.4. UNM will provide mandatory, in-person interactive training to all students new to the university (freshmen, graduate students, incoming transfer students)		

Fall 2018 Semester	Sec. VI.B. Annual Climate Surveys will be administered in the fall semesters of 2017 and 2018 and will allow for respondents to answer the survey anonymously.		
2018-2019 academic year	Sec. IV.A.5. All continuing students will receive annual online interactive training on sexual harassment		
2018-2019 academic year	Sec. IV.B.5. UNM will ensure that all new employees listed in Sections B.1 and 4 complete the training within 30 days of their employment start date		
Sept. 30, 2018	Sec. VII.E. Educational Climate - UNM will provide DOJ with a report documenting that the annual climate survey has been conducted and include the cumulative results of the survey questions, summaries of comments provided in the survey, UNM's analysis.		
Dec. 1, 2018	Sec. IV.B.4. UNM will ensure that the Title IX Coordinator and all employees directly involved in processing, investigating, adjudicating, responding to appeals, and/or sanctioning complaints of violations will receive in-person Title IX training		
Dec. 1, 2018	Sec. V. UNM will review all policies, procedures and related materials to ensure it consistently identifies the Title IX Coordinator's name, office address, email address, and telephone number.		
Dec. 1, 2018	Sec. V. UNM will ensure that all published notices of nondiscrimination with the Title IX Coordinator's information are consistent with the requirements of Title IX.		
Dec. 31, 2018	Sec. IV.B.2. Each responsible party identified employee will be required to complete training annually. UNM will maintain a system for monitoring training.		
Dec. 31, 2018	Sec. VI.A. Each semester, OEO will document on its internal spreadsheet any steps it takes to address a student's environment.		
2019	2019	2019	2019
Spring 2019 Semester	Sec. IV.A.4. UNM will provide mandatory, in-person interactive training to all students new to the university (freshmen, graduate students, incoming transfer students)		
May 31, 2019	Sec. VI.A. Each semester, OEO will document on its internal spreadsheet any steps it takes to address a student's environment.		
June 2019	Sec. VI.C. Additional Monitoring Program assessments are required at the conclusion of each school year for the life of this Agreement.		
June 30, 2019	Sec. VII.C. UNM will provide information regarding the content and recipients of each student training		
June 30, 2019	Sec. VII.C. UNM will provide DOJ with a list of UNM employees who missed training required by Sec. IV.B. and C. and information on how that employee will receive training.		
June 30, 2019	Sec. VII.E. Educational Climate - UNM will provide DOJ with a report documenting its follow up efforts with complainants		

June 30, 2019	Sec. VII.E. Educational Climate - UNM will provide DOJ with a copy of its annual assessment of the effectiveness of its sexual harassment response and prevention programs including proposed recommendations for improving the programs.		
August 1, 2019	Sec. II.E. To ensure UNM consistently responds promptly and equitably to allegations of sexual harassment, UNM will: II.E.1. - Revise procedures for tracking electronically all alleged harassment incidents (written and verbal) by using a spreadsheet.		
August 1, 2019	Sec. IV.B.4. UNM will ensure that the Title IX Coordinator and all employees directly involved in processing, investigating, adjudicating, responding to appeals, and/or sanctioning complaints of violations will receive in-person Title IX training		
August 1, 2019	Sec. V. UNM will review all policies, procedures and related materials to ensure it consistently identifies the Title IX Coordinator's name, office address, email address, and telephone number.		
August 1, 2019	Sec. V. UNM will ensure that all published notices of nondiscrimination with the Title IX Coordinator's information are consistent with the requirements of Title IX.		
August 1, 2019	Sec. VI.A. Each semester, OEO will document on its internal spreadsheet any steps it takes to address a student's environment.		
August 2019	Sec. III.B. Review and update the LoboRESPECT website to ensure it provides information consistent with policies and procedures, and contains clear and consistent information		
Fall 2019 Semester	Sec. IV.A.4. UNM will provide mandatory, in-person interactive training to all students new to the university (freshmen, graduate students, incoming transfer students)		
2019-20 academic year	Sec. IV.A.5. All continuing students will receive annual online interactive training		
2019-20 academic year	Sec. IV.B.5. UNM will ensure that all new employees listed in Sections B.1 and 4 complete the training within 30 days of their employment start date		
August 19, 2019	Sec. IV.B.2. Each responsible party identified employee will be required to complete training annually. UNM will maintain a system for monitoring training.		
Sept. 30, 2019	Sec. VII.E. Educational Climate - UNM will provide DOJ with a report documenting annual climate survey has been conducted and include the results of the survey questions, summaries of comments provided, UNM's analysis		

Attachment D

Minors on Campus – Cover Email

Dear Recipient,

The UNM Main Campus Compliance Office is conducting the 2017 Survey of UNM Minors on Campus Programs, Camps and Activities. Your participation is extremely important. Please read the message from President Abdallah below and go to the Opinio survey link to participate.

If you feel you have received this notice in error, please contact Elizabeth Albright at (505) 277-2626, ealbright@unm.edu.

Thank you in advance for your assistance.

Link:

<https://esurvey.unm.edu/opinio/>

Message from President Abdallah

July 25, 2017

The University of New Mexico is committed to the safety of all members of its community. UNM has particular concern for potentially vulnerable populations, including minors, who may require special consideration and attention. In the Spring of 2016, UNM enacted University Administrative Policy (UAP) 2205, establishing general standards for minors participating in university programs and visiting campus workplaces and classrooms.

In order to ascertain how many programs, camps, and activities are currently operating on the UNM Campus, we need you to complete the 2017 Survey of UNM Minors on Campus Programs, Camps and Activities. If you host Minors on Campus programs, camps, or activities within your College/Department/Unit or work with such a program that is hosted on UNM's campus by an External Organization, please complete the survey. If you host multiple programs (UNM sponsored programs and/or programs offered through an External Organization), please fill out the survey once but note that you offer multiple programs for minors.

This questionnaire is due on August 10, 2017, using the Opinio link provided in this email. The results of the survey will be presented to the Board of Regents.

We trust you understand that monitoring minors on our campus is of the utmost importance. It will help us reduce potential risk to vulnerable populations. We expect you to take this survey seriously and complete it by the due date. We may follow up with you for additional information about your programs after all of the data is received and reviewed.

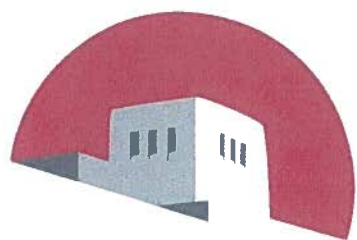
For additional information about UAP 2205, please visit <http://compliance.unm.edu/minors-on-campus/index.html>. If you have any questions, please contact Libby Washburn via email at ewashburn@unm.edu or call 505.277.2626.

Thank you in advance for your assistance.

Sincerely,



Chaouki Abdallah
Interim President



THE UNIVERSITY *of* NEW MEXICO

UNM Minors on Campus

UNM Minors on Campus Survey

Link to UNM policy 2205: Minors on Campus

<https://policy.unm.edu/university-policies/2000/2205.html>

The University of New Mexico is committed to the safety of all members of its community. UNM has particular concern for potentially vulnerable populations, including minors, who may require special consideration and attention. In the Spring of 2016, UNM enacted a policy establishing general standards for minors participating in university programs and visiting campus workplaces and classrooms.

If you host a Minors on Campus Program within your Department/Unit or work with a program that is hosted on UNM's campus by an External Organization, please complete the questionnaire below. If you host multiple programs (UNM sponsored or offered through an External Organization), please fill out the questionnaire just once but note that you offer multiple programs for minors.

Please review the UNM policy 2205 prior to filling out the survey and note that Minors on Campus Programs do not include:

- Activities in which minors are supervised by parents, guardians, chaperones, or third parties
- Kindergarten through 12th grade groups visiting campus as members of campus tours
- Patrons of educational or entertainment events or activities, such as at Popejoy or the Duck Pond
- Human subjects research involving minors conducted under the oversight of an institutional review board

This questionnaire is due on August 10, 2017. If you have any questions, please contact Libby Washburn at ewashburn@unm.edu or 505.277.2626.

1. Name of person completing the survey

2. Title for person completing this survey

3. Email Address**4. Phone Number****5. Department/Unit Name****6. What is the name of the program that minors will be participating in?****7. Provide a detailed description of the program.****8. What are the dates, times, and location of the program? Please identify if this program occurs during the summer, fall break, winter break, spring break, year-round, or at other times.****9. Is this an annually recurring program?****10. What is the anticipated number of minor participants?**

11. What is the minimum and maximum age of the participants?

12. Please list the UNM Department/Unit or the External Organization responsible for care, custody or control of the minors registering for the program.

13. Does the program include one-on-one contact with minors?

14. Does the program include overnight stays?

15. What is the number of authorized adults, including program leaders paid or unpaid, who interact with, supervise, chaperone, mentor or otherwise oversee minors in the program?

16. Please list the program leader and/or person primarily responsible for the management and implementation of the program.

17. If the program occurs during the summer, please explain if you coordinate activities with other UNM campus programs to allow minors, to participate in more than one camp concurrently.

[Save](#)[Finish](#)

Powered by:



DO THE RIGHT THING.



**REPORT FRAUD, THEFT OR
OTHER UNETHICAL BEHAVIOR
TO THE UNM COMPLIANCE HOTLINE**

Toll-free Phone
1.888.899.6092

Online
unm.ethicspoint.com

24/7 CONFIDENTIAL & ANONYMOUS

TYPES OF ISSUES TO REPORT TO THE UNM COMPLIANCE HOTLINE

- » THEFT
- » ABUSE
- » IRREGULARITIES
- » DISCRIMINATION
- » HARASSMENT
- » POLICY VIOLATIONS
- » CLERY ACT
- » FRAUD
- » FINANCIAL MISCONDUCT
- » CONFLICT OF INTEREST
- » SECURITY
- » RETALIATION
- » INAPPROPRIATE USE OF RESOURCES
- » NCAA COMPLIANCE

YOU CAN ALSO REPORT CONCERNS TO:

THE UNIVERSITY OF NEW MEXICO COMPLIANCE OFFICE - MAIN CAMPUS

Phone
505.277.2943

Web
compliance.unm.edu

Email
compliance@unm.edu

**REPORT FRAUD, THEFT OR OTHER
UNETHICAL BEHAVIOR TO THE
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**DO THE
RIGHT
THING.**

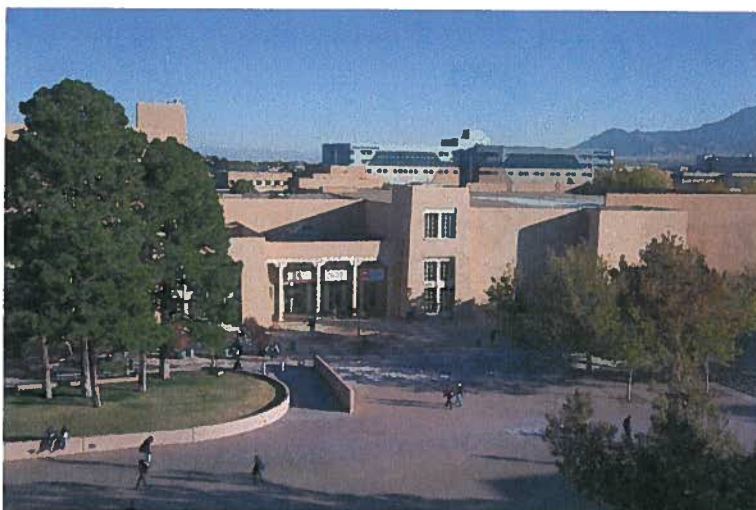


Compliance News

In Compliance is a newsletter published by the UNM Main Campus Compliance Office. It is distributed quarterly and provides updates about top news regarding compliance, risk management, equal opportunity, and other important matters.

The U.S. Sentencing Commission's Federal Sentencing Guidelines for Organizations were originally published in 1991 with the

goal of preventing organizations from committing wrongdoing or misconduct. The Guidelines also provide incentives for organizations to implement comprehensive compliance programs.



In accordance with the Guidelines, there are seven delineated criteria for establishing a successful compliance program:

1. Standards and procedures should be created to detect criminal and unethical conduct.
2. Leadership has to be knowledgeable on compliance topics and involved in oversight activities.
3. Discretionary authority must be carefully delegated.
4. Compliance standards and procedures should be effectively communicated to employees.
5. Reasonable steps have to be taken to achieve compliance by establishing strong monitoring, and auditing, and reporting systems.
6. Compliance and ethics programs should be promoted and enforced.
7. Violations must receive appropriate internal and external responses to prevent similar conduct in the future.

UNM Compliance Hotline

1-888-899-6092

or

unm.ethicspoint.com

24/7

Anonymous &
Confidential

The University of New Mexico Main Campus Compliance Office

Libby Washburn, Chief
Compliance Officer

Peggy Davis, Administrative
Officer

Address:
MSC05 3300
Scholes Hall Suite 144
1 University of New Mexico
Albuquerque, NM 87131

Phone: 505-277-2943

Email:
compliance@unm.edu

Website:
<http://compliance.unm.edu>

Did you know...

Since its inception in 2015, the EthicsPoint Hotline has received, and UNM has reviewed and investigated, more than 1200 cases

In January 2013, using these Guidelines as a roadmap and evaluating peer institutions and best practices, UNM created a Main Campus Compliance Program. Regents' Policy Manual (RPM) 7.2 was amended in September 2014 to ensure that University activities are conducted in compliance with applicable federal and state laws and regulations and with the highest ethical standards.

The University of New Mexico is committed to the highest standards of integrity, controls, risk management, and ethics in pursuit of its mission of comprehensive education, research, and service programs. The University seeks to comply with all applicable laws, regulations, and policies. UNM faculty, staff, students, and members of the greater community are encouraged to report good faith concerns about suspected misconduct and possible violations of law, regulations, or policies to their respective supervisors, departments, and units.

There is often apprehension about whether adequate steps are being taken to resolve allegations or a fear of retaliation for reporting concerns. Individuals may make inquiries and file complaints and allegations through the Main Campus Compliance Office. Inquiries, complaints, and allegations may arrive through many channels: phone call, letter, email, hotline submission, etc. UNM takes all reports of misconduct or wrongdoing seriously.

UNM's Compliance Hotline

The UNM Compliance Hotline is the main reporting system for the UNM community to make inquiries, file complaints, and report alleged misconduct and violations of laws, regulations, and policies. The Compliance Hotline operates 24 hours a day, seven days a week. In March 2015, the Main Campus Compliance Office took over the Compliance Hotline from the UNM Internal Audit Department when a new vendor was chosen and the current system was implemented.

The Compliance Hotline uses EthicsPoint, a case management system provided by Navex Global that has the capability to accommodate allegations and document information gathered from an investigation. This operating system is used by numerous colleges and universities who are peer institutions to UNM. The Main Campus Compliance Office administers the Compliance Hotline for UNM Main and Branch Campuses, UNM Health Sciences Center, UNM Hospital, UNM Medical Group, and Sandoval Regional Medical Center.

Compliance in the news...

Graham Spanier, 2 Other Ex-Penn State Officials Get Jail Time in Sandusky Case
<http://www.chronicle.com/blog/s/ticker/graham-spanier-2-other-ex-penn-state-officials-get-jail-time-in-sandusky-case/118771>

Title IX sets a positive path for higher education; compliance should not be feared
<https://www.dallasnews.com/opinion/commentary/2017/01/23/title-ix-sets-positive-path-higher-education-compliance-feared>

Baylor Regents Announce Structural Completion of the 105 Recommendations, Updates Governance Leadership and Structure
<http://www.baylor.edu/mediacommunications/news.php?action=story&story=181484>

UNM's Main Campus Institutional Compliance Committee

The Main Campus Compliance Program structure includes an oversight committee. The Institutional Compliance Committee provides university-wide support for the Main Campus Compliance Program. Compliance Partners, including high-level personnel from 18 different departments and offices across the campus, are represented on the Committee. Administrative partners on the Committee have responsibility and expertise in the major compliance areas, including athletics, human resources, research, student affairs, facilities, and finance. The Committee meets and is chaired by the Chief Compliance Officer.

Compliance Issues

U.S. Department of Justice Agreement

The U.S. Department of Justice, the United States Attorney's Office for the Federal District of New Mexico, and the University entered into an Agreement on October 17, 2016, involving UNM's obligations under federal civil rights laws to prevent and address sexual misconduct, and to provide clear and consistent policies and procedures for reporting, investigating, and responding to such conduct. UNM agreed to undertake certain actions during the three-year Agreement.

Compliance with the DOJ agreement will constitute a significant campus-wide effort over the next three academic years. The Main Campus Compliance Office is overseeing the process to confirm that UNM is meeting its requirements and deadlines under the agreement. In the past six months, UNM has made significant progress in complying with the delineated tasks and implementing improvements.

Some highlights include:

- UNM has trained thousands of employees about workplace harassment including sexual harassment, various types of discrimination, Title IX, and the Campus SaVE Act.
- Staff members at the UNM Police Department, Office of Equal Opportunity, and Dean of Students Office have collectively participated in more than 1,200 hours of training focused on Title IX, Trauma Informed Investigation, Inherent Bias, and Rape Crisis.
- As part of the Agreement, UNM has improved its procedures to provide reliable, prompt, and impartial investigation, adjudication, and appeal of all complaints of sexual harassment and misconduct.

UNM Compliance Training Opportunities

There is a wide-range of Compliance related courses available through UNM's Learning Central system. Information on these courses and a link to Learning Central is available on the Compliance Office website.

Minors on Campus

UNM programs involving youth exist in multiple units across the campus. The safety of minors on campus who are involved in campus-sponsored



functions is a serious concern. In March 2016, UNM Policy 2205 was adopted regarding Minors on Campus to help protect the many thousands of children who visit the campus each year.

When the policy was implemented, a waiver form and checklist were also created and distributed. A Minors on Campus training, available through UNM's Learning Central, was developed for employees who work with minors. In 2017, Minors on Campus Taskforce will continue to work on additional important issues impacting youth on the campus. Additional information regarding Minors on Campus can be found at: <http://compliance.unm.edu/minors-on-campus/index.html>.

Updated Whistleblower Policy

On May 10, 2017, President Abdallah signed the updated UNM Whistleblower Policy. UNM relies on each member of the community to comply with laws, regulations, University policies, and ethical and professional standards. The University also relies on members of the University community to conduct themselves with honesty, integrity, and good judgment. Members of the University community are expected, and in some cases required, to report suspected misconduct that comes to their attention.

Persons who report suspected misconduct, in good faith, are afforded whistleblower protection from retaliation by the University for such reporting. Here is a link to UAP 2200 on UNM's Policy Office website: <http://policy.unm.edu/university-policies/2000/2200.html>

Incident Report Form

Page 1 of 2

Date
Format: mm/dd/yyyy

Details ♦ Provide all details regarding the alleged violation, including the locations of witnesses and any other information that could be valuable in the evaluation and ultimate resolution of this situation.

Previously Reported ♦ Has this issue/incident been previously reported?
☐ Yes ☐ No ☐ Unknown
Select One

Participants ♦ Were any "Participants" involved in this incident?
☐ Yes ☐ No
Select One

Cancel

Print

Submit

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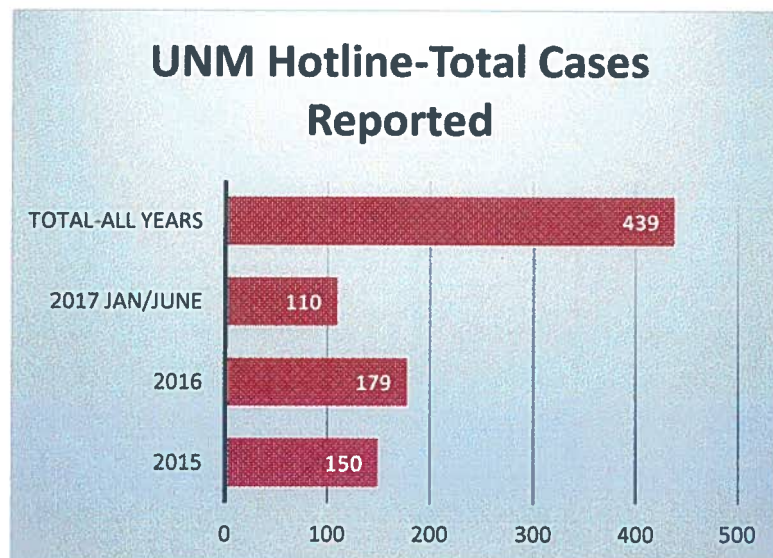




Compliance Office - Main Campus

Attachment H

**UNM Compliance Hotline Report
Presented to the
UNM Board Of Regents Internal Audit and
Compliance Committee
January 1, 2017-June 30, 2017 Hotline Activity**



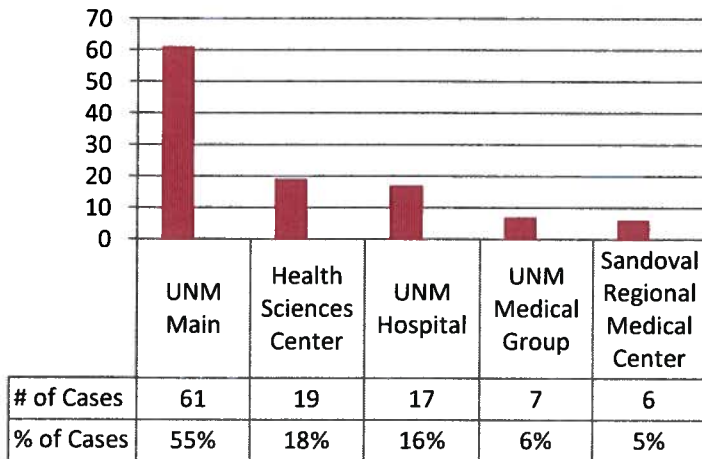
This report covers EthicsPoint Hotline statistics for UNM Main Campus, UNM Health Sciences Center, UNM Hospital, UNM Medical Group, Branch Campuses and Sandoval Regional Medical Center. Statistics for the Office of Equal Opportunity will be reported separately by OEO.

Submitted by Peggy Davis
Administrative Officer
Compliance Office-Main Campus
August 25, 2017

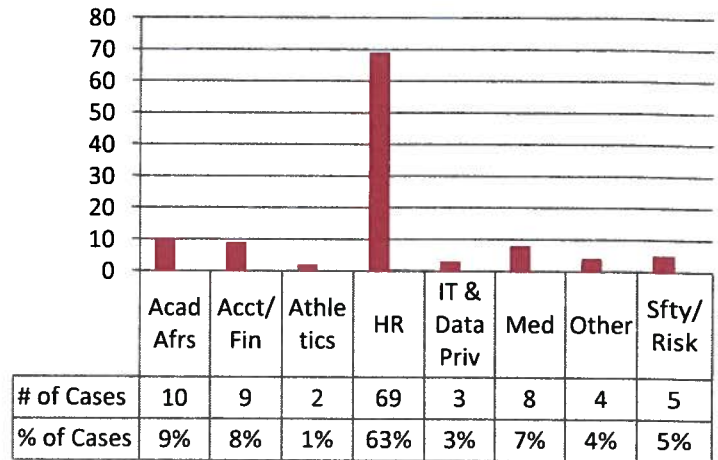
Hotline Case Summary – January 1, 2017 thru June 30, 2017

In the first six months of 2017, there have been 110 cases reported to the Hotline. This is a 9% increase over the same reporting period of 2016. The majority of cases reported to date in 2017 originate from UNM Main Campus, with most of the issues falling within Human Resources related categories. The preferred method of reporting is the hotline (web or phone platforms) and the overwhelming percent of reporters prefer to remain anonymous.

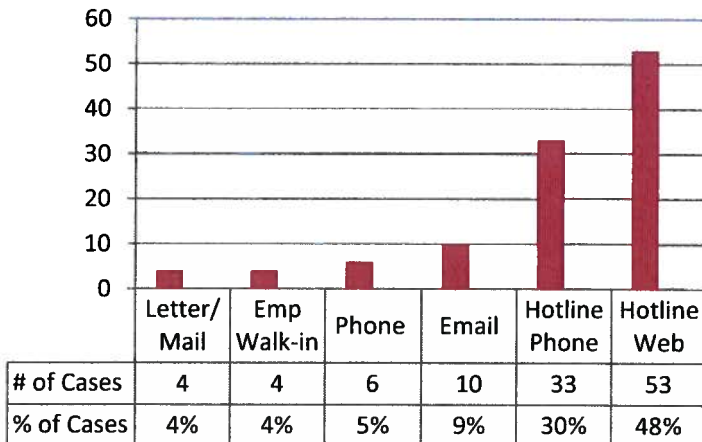
2017 Hotline Case Locations



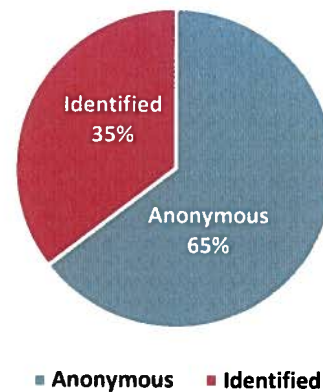
2017 Hotline Case Volume by Issue



2017 Hotline Intake Methods



2017 Anonymous vs. Identified Hotline Reporters

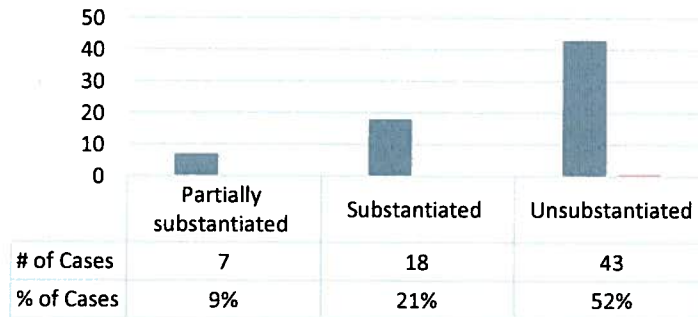


Reported	# of Cases Reported	% of Cases Reported
Anonymous	71	64%
Employee	29	26%
Former Employee	2	2%
Student	2	2%
Vendor	1	1%
Patient	3	3%
Other	2	2%
TOTAL	110	100%

Summary of Substantiated, Partially Substantiated and Unsubstantiated Cases and Additional Outcomes

Of the 110 cases reported to the UNM Hotline during this reporting period, 82 cases have been investigated and closed, resulting in a 75% closure rate. The information below highlights the outcomes and actions taken on these closed cases. EthicsPoint reported an average of 41% for unsubstantiated cases reported for 2016. It is important to note, UNM's unsubstantiated rate for the first half of 2017 is 52%.

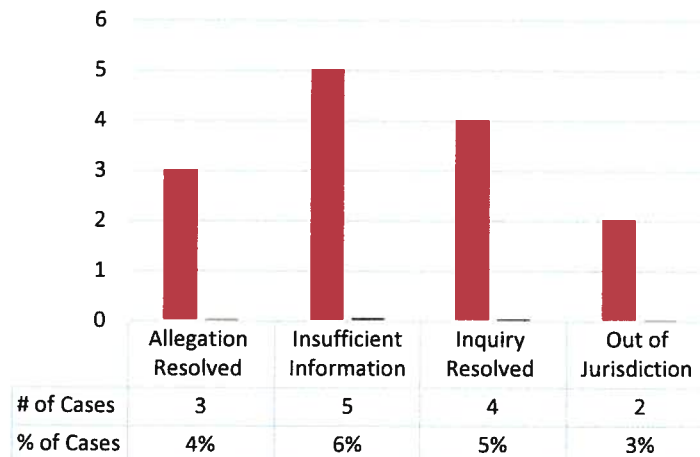
2017 Substantiated, Partially Substantiated and Unsubstantiated Closed Cases



2017 Actions Taken on Substantiated and Partially Substantiated Case Outcomes 18 Substantiated/7 Partially Substantiated

Outcome	Summary of Action Taken
Substantiated	10 - Discipline 5 - Correction of Policy/Policy Review 2 - Executive Resolution 1 - Training
Partially Substantiated	2 - Discipline 2 - Correction of Policy/Policy Review 1 - Training 1 - Executive Resolution 1 - No Further Action Necessary

2017 Additional Case Outcomes

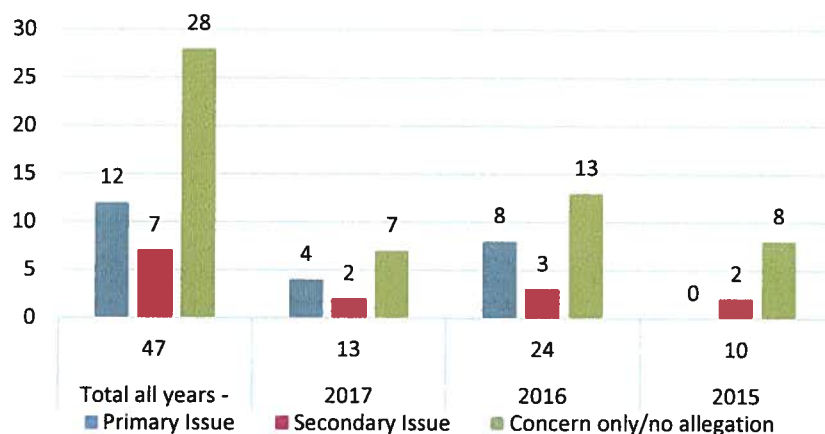


Reported Claims of Retaliation

With the adoption of the updated ***UAP Policy 2200:Reporting Suspect Misconduct and Whistleblower Protection from Retaliation*** in May, 2017, UNM reinforced its commitment to ensuring the highest ethical and professional standards for all members of the UNM community. In doing so, UNM has signified its full commitment to protecting members of the university community who report suspected misconduct or who cooperate with an investigation from acts of retaliation.

The information below focuses on retaliation claims submitted to the EthicsPoint Hotline, with attention to cases that state a primary or secondary issue of retaliation. It also distinguishes between actual claims of retaliation and reporters who only note a concern or fear of retaliation for filing a complaint. Due to the importance of this issue, the information below summarizes retaliation claims on all 439 cases that have been received at the EthicsPoint Hotline since April 2015.

Cases Indicating Retaliation - 2015-2017



Outcome of 47 Cases Reporting Retaliation

	Substantiated	Partially Substantiated	Unsubstantiated	Insufficient Info	Withdrawn	Resolved	In Process
Primary Issue	1	2	6	0	0	1	2
Secondary	0	0	7	0	0	0	0
Concern/Fear	0	0	23	1	2	0	2
Total	1 or 2%	2 or 4%	36 or 77%	1 or 2%	2 or 4%	1 or 3%	4 or 8%

Action Taken on Substantiated and Partially Substantiated Claims of Retaliation

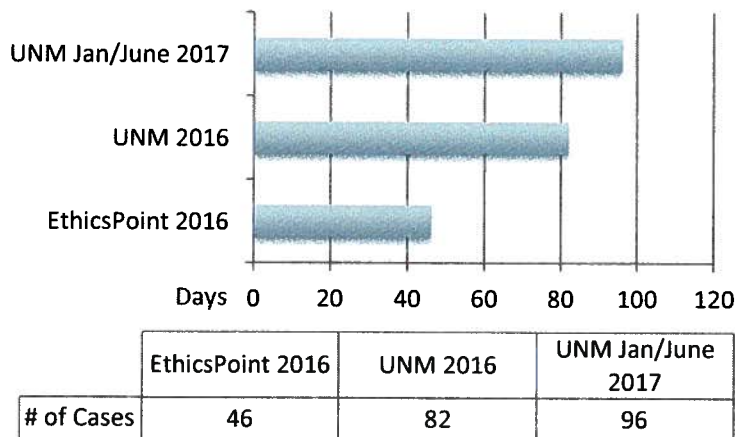
Substantiated – 1 case	1- Correction of Policy Violation-no further action necessary
Partially Substantiated – 2 cases	2- Correction of Policy Violation-no further action necessary

The information provided above indicates that while there are 47 total current cases noting retaliation, only 19 of those cases represent primary or secondary claims of retaliation and a total of 3 determined to be substantiated or partially substantiated. This is an important issue that will be monitored closely and updated fully in future reports.

Average Case Closure Rates

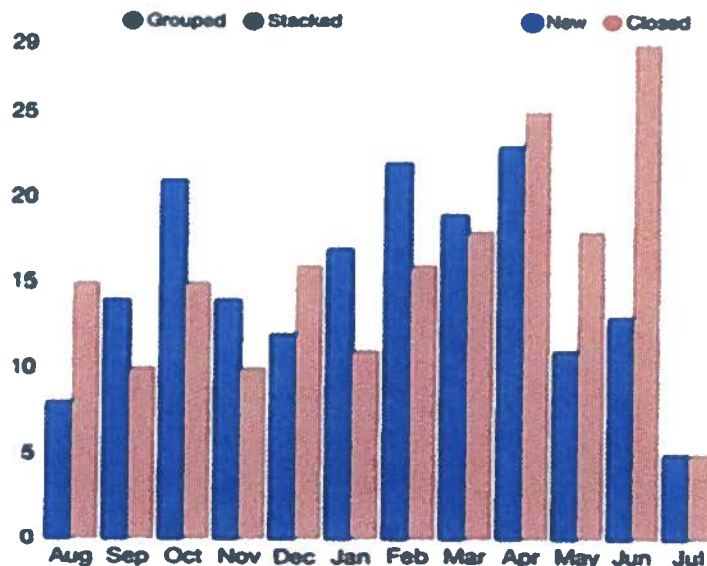
The chart below reflects the average number of days it has taken to close a case in 2017, compared to the UNM 2016 total average and the average rate reported by EthicsPoint 2016 statistics. There are many factors that can contribute to high closure rates, including a high rate of report volume, and cases with complex issues involving multiple departments with limited resources. However, the statistics below indicate that UNM's number of days to close rate exceeds the average rate reported by other organizations using EthicsPoint and continues to rise. This will be monitored closely in the months ahead to ascertain what factors are contributing to our high case closure rate and possible solutions.

Case Closure Rate Comparison



It's not all bad news for case closure rates. The closure rate for 2017, documented on page 3 of this report, reflects a 75% closure rate for 2017 cases through June 30, 2017. There is also an increased closure rate of cases that have carried forward from earlier reporting years as indicated by the chart below that was captured directly from the UNM EthicsPoint website. The chart indicates that beginning in April of this year there have been far more cases closed than opened during the second quarter of 2017.

New and Closed Cases by Month
EthicsPoint Incident Management



Note: Information provided by Navex Global 2016 Ethics Compliance Hotline Benchmark Report and EthicsPoint Incident Management Systems.

Multi College Bystander Efficacy Evaluation – Spring 2017

University of New Mexico, Main campus data results

As was previously reported to the Audit and Compliance committee in April 2017, UNM, through the Office of Equal Opportunity (OEO), conducted two climate surveys in Spring 2017. On main campus, OEO in collaboration with UNM faculty and the University of Kentucky used the Multi College Bystander Efficacy Evaluation (McBee). The survey ran for approximately 4 weeks with 1 email reminder and multiple incentives for participation provided by the University of Kentucky. The response rate total for this survey was 10% which is less than ideal for a survey of this kind. Given the low response rate and narrow parameters of the study itself (main campus students, aged 18-24, only taking on campus classes), it is important to review the results of this survey through that lens.

The results were received from McBee on August 22, 2017, as such, we have not had a full opportunity to analyze these results with last year's results or benchmark them to other universities.

The national rate of students experiencing nonconsensual sexual activity ranges from 17%-23% depending on the research study reviewed. Approximately 8 percent (8.6%) of main campus students reported experiencing nonconsensual sexual activity since since Fall 2016. In spring 2016, 11% of UNM main campus students reported experiencing nonconsensual sexual activity in the previous 12 months. McBee provided some benchmark numbers to compare rates to the other colleges that utilized this survey and UNM's rate of 7% of seniors who reported nonconsensual sexual activity appears to be in line with these other colleges. Most notably, at all colleges who participated in McBee, approximately 4% of students reported experiencing nonconsensual sexual activity in the previous year.

Approximately 29% of main campus students reported experiencing sexual harassment since they became students at UNM. Of the 29.3% students who reported experiencing sexual harassment, 80.9% responded that they had experienced sexual harassment by a fellow student. Rates of dating or intimate partner violence were relatively the same from last spring to Spring 2017; around 23% for both surveys.

This year, given the level of concern and involvement regarding UNM's policy related to reporting of sexual misconduct, OEO asked on this survey if students were aware of our reporting policy¹ and their opinion regarding it. Almost seventy percent (69.7%) of students reported being familiar with our current policy and 10.8% reported that they had a "negative" (7.5%) or "very negative" (3.3%) opinion of the current reporting policy. What is particularly concerning is that of those students who reported speaking with staff or faculty² related to an incident of sexual harassment or sexual violence, half (50%) responded that they were "not at all satisfied" with that interaction.

¹ The question described our current policy that unless otherwise exempt from reporting, all staff and faculty are required to report instances of sexual misconduct to OEO within 24 hours. The question also asked if they were aware of this policy **prior** to taking this survey.

² The survey did not clarify between professional sexual misconduct staff such as advocates or investigators and other staff or faculty.

Another positive, however, is that our main campus students reported high belief in self-efficacy to participate in bystander intervention and additionally reported observing a potential problem and taking action to intervene³. Bystander Intervention is one of the top methods identified by the Centers for Disease Control to lower incidents of sexual violence in a community.

OEO will continue to analyze the results of this climate survey and has implemented, through the Title IX Committee, a smaller working group to further analyze the results as well as create programming and influence marketing for the next Academic Year as a result of this information. This is also one of the requirements of the DOJ agreement.

³ McBee survey did not provide the same data regarding bystander behavior as was received by NCCS and therefore, a specific percentage of students is not provided as was provided in the NCCS summary.

National Campus Climate Survey – Spring 2017

University of New Mexico, Branch Campuses data results

As was previously reported to the Audit and Compliance committee in April 2017, UNM, through the Office of Equal Opportunity (OEO), conducted two climate surveys in Spring 2017. At our branch campuses, we used the National Campus Climate Survey (NCCS) through a vendor, SoundRocket. The survey ran for approximately 4 weeks with 4 email reminders and assistance from each branch campus to promote the survey and provide incentives for participation. The response rate total for all campuses was 17% which is slightly above the national average (15%) for commuter campuses.

The results were received by NCCS on August 17, 2017, as such, we have not had a full opportunity to analyze these results with last year's results or benchmark them to other universities.

Overall, our branch campus students generally know UNM has a policy and procedure regarding sexual misconduct (82.5%) and they know where to get help on their campus (63.2%). They also answered positively that UNM is taking strides to prevent sexual misconduct (78-87%) and 94.3% of branch campus students say they feel safe from sexual misconduct at their campus.

The national rate of students experiencing nonconsensual sexual activity ranges from 17%-23% depending on the research study reviewed. Seven percent (7%) of UNM Branch campus students reported experiencing nonconsensual sexual activity in the 12 months prior to the climate survey response. In spring 2016, 11% of UNM main campus students reported experiencing nonconsensual sexual activity in the previous 12 months. Approximately 14% of branch campus students reported experiencing sexual harassment in the previous 12 months compared to 23% of main campus students from the 2016 survey. Of the 14.4% of branch campus students who reported experiencing sexual harassment, 54.1% responded that they had experienced multiple incidents of sexual harassment by the same person.

For all unwanted sexual experiences, students were asked if the perpetrator was affiliated with UNM in some way and of those perpetrators who were affiliated, 25% of the perpetrators were faculty. This is obviously concerning and UNM will need to take measures to increase training and prevention approaches specifically to faculty at our branch campuses.

Reporting remains a concern with only 4.2% of those who experienced nonconsensual sexual activity (7% of all students) reporting to a university official or the police. More concerning is that of those 7%, only 44.2% reported telling anyone about the incident including a friend, family or other trusted person. This was remarkably similar to UNM main campus in spring 2016; that over 50% of our students who experience sexual assault are dealing with it completely alone is concerning and UNM will need to address this.

Another positive, however, is that 43.6% of UNM Branch Campus students reported participating in bystander intervention behavior. Bystander Intervention is one of the top methods identified by the Centers for Disease Control to lower incidents of sexual violence in a community.

OEO will continue to analyze the results of this climate survey and has implemented, through the Title IX Committee, a smaller working group to further analyze the results as well as create programming and influence marketing for the next Academic Year as a result of this information. This is also one of the requirements of the DOJ agreement.

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- » HARASSMENT
- » POLICY VIOLATIONS
- » CLERY ACT
- » FRAUD
- » FINANCIAL MISCONDUCT
- » CONFLICT OF INTEREST
- » SECURITY
- » RETALIATION
- » INAPPROPRIATE USE OF RESOURCES
- » NCAA COMPLIANCE

YOU CAN ALSO REPORT CONCERNS TO:

**THE UNIVERSITY OF NEW MEXICO
COMPLIANCE OFFICE - MAIN CAMPUS**

Phone
505.277.2943

Web
compliance.unm.edu

Email
compliance@unm.edu

**Internal Audit Director's Status Report
Audit and Compliance Committee Meeting
August 25, 2017**

INFORMATION ITEMS

Audit Committee Meeting Calendar. Below is the proposed meeting date (approved by the prior committee) for the remainder of calendar year 2017. The Committee meets in the Roberts Room. This schedule will accommodate the exit conference for the FY17 External Financial Statements Audit.

October 20, 2017 Start at 9:00 AM (Exit Conference for FY17 External Audit)

The followings are future proposed dates in FY18 for the Committee's consideration:

February 15, 2018
May 17, 2018

Fiscal Year 2017 Financial Statements External Audit Status Report. The State Auditor's Office and the external auditors in conjunction with the University Controller will present an update on the status of the audit to the Committee.

Main Campus Chief Compliance Officer Status Report. Libby Washburn, UNM Main Campus Chief Compliance Officer will present the Committee with a status report and Department of Justice progress report.

Audit Plan Status. The project status and hours report for the plan is at Tab #8d. The status of the proposed plan as of July 31, 2017 is:

Completed	11
Report Writing	1
Fieldwork	5
Subtotal	17
Assigned	2
Unassigned/Deferred	4
Total	23

The Fiscal Year 2017 (FY17) audit plan included nine (9) audits carried over from FY16.

The Fiscal Year 2018 (FY18) draft audit plan includes eight (8) audits carried over from FY17. The draft FY18 audit plan will be finalized based on the University wide risk assessment survey and input from the Executive leadership and the Audit and Compliance Committee.

Department Financial Report. At Tab 6 is the Internal Audit Department's budget status report for your review. The FY18 adjusted budget is \$824,922, of which \$790,922 is from the general pooled account, and \$34,000 from the departmental reserve. The department ended FY17 with the reserve balance of \$85,356. As of July 31, 2017, the department's actual expenditures are \$59,441, and encumbrances are \$645,678.

Internal Audit Director's Status Report
Audit and Compliance Committee Meeting
August 25, 2017

External Audits and Reviews. At Tab 6 is the summary information as of July 31, 2017 regarding the external audits and reviews (third party audits) of various grants, contracts, and programs by various federal and state government agencies. There are currently six (6) reviews underway. The Health Resources and Services Administration is auditing two grants totaling \$2.4 million from grant period August 1, 2015 through July 31, 2017. The Dallas County Hospital District is auditing the \$750 thousand grant for the project Extension for Community Healthcare Outcomes (ECHO). The Children, Youth and Family Department, State of New Mexico is auditing various grants and contracts of unspecified dollar amounts.

The Center for Medicaid and Medicare Services (CMS) has contracted with Conifer to conduct billing reviews. The University of New Mexico Hospital and Sandoval Regional Medical Center have received requests from the Recovery Audit Contractor (RAC) to provide seven (7) records related to patient billings, totaling \$160 thousand from January 2017 through June 30, 2017. The RAC auditors have not provided any findings to the University Health System as of July 31, 2017.

Student Internships. The Internal Audit department currently has three student interns. Two interns had employment outside the University for the summer term and are now returning back to work in the department.

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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!	\$790,922.00	\$.00	\$790,922.00	\$790,922.00	100.00%	\$790,922.00	100.00%	\$.00	\$.00	.00%
1900 - Reserves	\$.00	\$.00	\$.00	\$85,355.86	.00%	\$85,355.86	.00%	\$.00	(\$85,355.86)	.00%
1901 - Budgeted Use of Reserves	\$34,000.00	\$.00	\$34,000.00	\$.00	.00%	\$.00	.00%	\$.00	\$34,000.00	100.00%
*TOTAL Revenue										
	\$824,922.00	\$.00	\$824,922.00	\$876,277.86	106.23%	\$876,277.86	106.23%	\$.00	(\$51,355.86)	(6.23%)
Expense										
2020 - Administrative Professional !	\$656,354.00	\$.00	\$656,354.00	\$52,862.31	8.05%	\$52,862.31	8.05%	\$601,656.55	\$1,835.14	.28%
2060 - Support Staff Salary Detail !	\$46,717.00	\$.00	\$46,717.00	\$2,698.57	5.78%	\$2,698.57	5.78%	\$44,021.60	(\$3.17)	(.01%)
20J0 - Student Salaries Gen	\$25,000.00	\$.00	\$25,000.00	\$1,358.00	5.43%	\$1,358.00	5.43%	\$.00	\$23,642.00	94.57%
20P0 - Temporary Salary Gen	\$7,500.00	\$.00	\$7,500.00	\$152.72	2.04%	\$152.72	2.04%	\$.00	\$7,347.28	97.96%
3100 - Office Supplies General	\$1,500.00	\$.00	\$1,500.00	\$16.97	1.13%	\$16.97	1.13%	\$.00	\$1,483.03	98.87%
3110 - Books Periodicals Gen	\$250.00	\$.00	\$250.00	\$.00	.00%	\$.00	.00%	\$.00	\$250.00	100.00%
3140 - Computer Software Gen	\$200.00	\$.00	\$200.00	\$.00	.00%	\$.00	.00%	\$.00	\$200.00	100.00%
3150 - Computer Supplies <\$5,001	\$200.00	\$.00	\$200.00	\$50.97	25.49%	\$50.97	25.49%	\$.00	\$149.03	74.52%
31A0 - Business Food - Local	\$1,200.00	\$.00	\$1,200.00	\$.00	.00%	\$.00	.00%	\$.00	\$1,200.00	100.00%
31C0 - Dues Memberships Gen	\$4,500.00	\$.00	\$4,500.00	\$265.00	5.89%	\$265.00	5.89%	\$.00	\$4,235.00	94.11%
31J0 - Parking Permits Gen	\$500.00	\$.00	\$500.00	\$61.00	12.20%	\$61.00	12.20%	\$.00	\$439.00	87.80%
31K0 - Postage Gen	\$80.00	\$.00	\$80.00	\$.00	.00%	\$.00	.00%	\$.00	\$80.00	100.00%
31P0 - Training Materials Supplies !	\$200.00	\$.00	\$200.00	\$.00	.00%	\$.00	.00%	\$.00	\$200.00	100.00%
3800 - In State Travel Gen	\$2,000.00	\$.00	\$2,000.00	\$.00	.00%	\$.00	.00%	\$.00	\$2,000.00	100.00%
3805 - Instate Travel-Per Diem Sta!	\$500.00	\$.00	\$500.00	\$.00	.00%	\$.00	.00%	\$.00	\$500.00	100.00%
3810 - Instate Travel-Per Diem No!	\$200.00	\$.00	\$200.00	\$.00	.00%	\$.00	.00%	\$.00	\$200.00	100.00%
3820 - Out Of State Travel Gen	\$2,500.00	\$.00	\$2,500.00	\$.00	.00%	\$.00	.00%	\$.00	\$2,500.00	100.00%
3825 - Out State Travel-Per Diem !	\$500.00	\$.00	\$500.00	\$.00	.00%	\$.00	.00%	\$.00	\$500.00	100.00%
3830 - Out State Trvl-Per Diem No!	\$200.00	\$.00	\$200.00	\$.00	.00%	\$.00	.00%	\$.00	\$200.00	100.00%
6000 - Telecom Charges Gen	\$4,000.00	\$.00	\$4,000.00	\$292.50	7.31%	\$292.50	7.31%	\$.00	\$3,707.50	92.69%
6020 - Long Distance Gen	\$100.00	\$.00	\$100.00	\$.33	.33%	\$.33	.33%	\$.00	\$99.67	99.67%
6060 - Voice Mail Box Gen	\$700.00	\$.00	\$700.00	\$45.00	6.43%	\$45.00	6.43%	\$.00	\$655.00	93.57%
6300 - Alarm System Gen	\$300.00	\$.00	\$300.00	\$179.64	59.88%	\$179.64	59.88%	\$.00	\$120.36	40.12%
6315 - Electronic Databases	\$1,200.00	\$.00	\$1,200.00	\$.00	.00%	\$.00	.00%	\$.00	\$1,200.00	100.00%
63A0 - Conference Fees Gen	\$4,000.00	\$.00	\$4,000.00	\$.00	.00%	\$.00	.00%	\$.00	\$4,000.00	100.00%
63A2 - Seminars/Training Fees	\$4,000.00	\$.00	\$4,000.00	\$225.00	5.63%	\$225.00	5.63%	\$.00	\$3,775.00	94.38%
63C0 - Copying Gen	\$100.00	\$.00	\$100.00	\$.00	.00%	\$.00	.00%	\$.00	\$100.00	100.00%

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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
63V0 - Consultant Fees Gen	\$25,451.00	\$.00	\$25,451.00	\$.00	.00%	\$.00	.00%	\$.00	\$25,451.00	100.00%
69Z0 - Other Professional Services!	\$15,100.00	\$.00	\$15,100.00	\$716.59	4.75%	\$716.59	4.75%	\$.00	\$14,383.41	95.25%
70E0 - Computer Hardware Mainte!	\$1,200.00	\$.00	\$1,200.00	\$.00	.00%	\$.00	.00%	\$.00	\$1,200.00	100.00%
70E1 - Computer Software Mainten!	\$10,400.00	\$.00	\$10,400.00	\$.00	.00%	\$.00	.00%	\$.00	\$10,400.00	100.00%
70F0 - Equipment Rent Expense G!	\$3,000.00	\$.00	\$3,000.00	\$200.56	6.69%	\$200.56	6.69%	\$.00	\$2,799.44	93.31%
80K0 - Banner Tax	\$770.00	\$.00	\$770.00	\$20.54	2.67%	\$20.54	2.67%	\$.00	\$749.46	97.33%
80K2 - Foundation Surcharge	\$4,500.00	\$.00	\$4,500.00	\$295.63	6.57%	\$295.63	6.57%	\$.00	\$4,204.37	93.43%
*TOTAL Expense	\$824,922.00	\$.00	\$824,922.00	\$59,441.33	7.21%	\$59,441.33	7.21%	\$645,678.15	\$119,802.52	14.52%
Total Revenue:	\$824,922.00	\$.00	\$824,922.00	\$876,277.86	106.23%	\$876,277.86	106.23%	\$.00	(\$51,355.86)	(6.23%)
Total Expense:	\$824,922.00	\$.00	\$824,922.00	\$59,441.33	7.21%	\$59,441.33	7.21%	\$645,678.15	\$119,802.52	14.52%
Net:	\$.00	\$.00	\$.00	\$816,836.53	.00%	\$816,836.53	.00%	(\$645,678.15)	\$171,158.38	.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.

External Audits and Reviews
As of July 31, 2017

Granting Agency/Entity	National Science Foundation (NSF)	Dallas County Hospital District	HRSA	HRSA	Carnegie Mellon	CYFD	CMS (Patient Billings) - RAC Requests as of July 31, 2017
Contract/Grant/Program Title	Various	3RZ07	3RY66	3RX49	3RY09	Various	Medicare
Contract/Grant Period	Various	2016-2017	8/1/15 - 7/31/17	4/1/15 - 3/31/17	4/1/15 - 3/31/16	Various	Various
Contract/Grant Total Amount	TBD	750000.00	945,256.00	1,465,732.00	319263.00	TBD	N/A
Contract/Grant Amount - Current FY							N/A
Principal Investigator	Various	Sanjeev Arora	Steven Williams	Steven Williams	Diane Lidke	Various	N/A
Department	Various	ECHO	Infectious Diseases	Infectious Diseases	Pathology	Various	Hospital RAC Audits
Agency Audit/Review Notification Date	TBD	District	HRSA	HRSA	Carnegie Mellon	TBD	Various
Audit/Review Entrance/Visit Date(s)	7/14/2016	TBD	6/13/2017	6/13/2017	4.27.17	TBD	Remote
Audit/Exit/Final Report Issued	TBD	6.28.17				TBD	Continuous
Question Cost, if any	TBD					TBD	N/A
Audit/Review Major Finding, if any	TBD					TBD	See Comments
Corrective Action Plan, if any	TBD					TBD	In Process
Planned Implementation Date	TBD					TBD	N/A
Campus	Main/HSC	HSC	HSC	HSC	HSC	Main/HSC	Hospital RAC Audits
Auditor if Different than Grantor	WithumSmith+Brown (WSB)						Conifer
Comments	NSF, OIG Audit	On site review					The Recovery Audit Contract (RAC) auditors have requested 7 records totaling \$160 thousand as of July 31, 2017.

**Follow Up Report - Implemented
August 2017 Open Session**

Agenda Item #7

Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Recommendation Action	Responsible Party
<u>Cancer Center Portable Devices</u>	10/16/14	<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.	7/31/2017	UNM Cancer Center implemented a program called Velocity that archives information. IA verified its use, employee log on, and IT security.	RODNEY MARTINEZ, Chief Financial Officer
<u>UNM Taos</u>	04/22/15	<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.	12/31/2016	UNM-Taos IT department has fully implemented IT security policies and procedures, which include procedures for regular back-up and off-site storage of IT systems, a disaster recovery plan, and encrypting computers issued to employees. UNM Taos has contracted with a third-party vendor for off site storage and data recovery.	Mario Suazo, Dir, Business Opns/Sm Branch
<u>Payroll Follow-Up Audit</u>	08/18/15	<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.	6/30/2017	UNM Human Resources has transitioned from the OneSource portal to Confluence Employment Knowledge Base for accessing SOPs for the various hiring actions. The knowledge base SOPs have been created in Confluence and system users are required to complete training prior to obtaining a Hiring Coordinator BAR role.	Dorothy Terese Anderson, Vice President, Human Resources

Follow Up Report - Implemented August 2017 Open Session

Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Recommendation Action	Responsible Party
<u>Payroll Follow-Up Audit</u>	08/18/15	<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.	<p>June 30, 2016: OFAS will work with IT and HSC Faculty Employment Areas to develop additional EPAFs to automate existing paper employment transactions.</p> <p>July 1, 2015: The paperless contract renewals was implemented Main and Branch Campus Faculty.</p> <p>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.</p>	6/30/2017	OFAS has automated the system for processing faculty contracts, including paperless processing of existing contract renewals, and new faculty hires. OFAS also automated hiring for Summer Research, Summer Admin, Teaching Overloads, and has demonstrated a commitment to continued improvement of automated faculty employment updates.	Theresa Ramos,Dir,Faculty Employment & Svcs; Richard Wood, Interim Sr. Vice Provost
<u>Payroll Follow-Up Audit</u>	08/18/15	<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.	6/30/2017	OFAS and the Payroll Department have demonstrated their commitment toward optimizing efficiencies through regularly scheduled meetings and exchange of worksheets that address problems and implement improvements of processes.	Theresa Ramos,Dir,Faculty Employment & Svcs; Richard Wood, Interim Sr. Vice Provost
<u>Payroll Follow-Up Audit</u>	08/18/15	<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.	6/30/2017	Numerous EPAFs/workflows have been developed for TMS (UNMJobs 2.0), called the EOS (Employee Onboarding System) which automates the creation of the Banner person record, payroll and faculty forms. The EOS eliminates current manual duplicate data entry and the successful outcome will result in decreased Payroll errors when setting up new employees across all employment types. The Employment Data Centers responsible for data entry will shift to data validation.	Michael Schwantes,Dir,F in Syst & Rstr Acctg

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<u>Safety and Risk Services</u>	11/05/15	<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.	6/30/2017	SRS attends all meetings prior to construction, including pre-bid meeting and retains sign-in documentation. IA verified that SRS: attended pre-bid meeting, obtained signed CSSP and that the CSSP was executed prior to the Notice-To-Proceed for the McKinnon Center for Management construction project. In addition, review of SRS construction documentation monitoring system is sufficient to conclude that SRS has a satisfactory method of tracking projects to ensure involvement and safety.	Chemanji Shu-Nyamboli, Environmental Hlth Manager; Carla Domenici, Dir, Safety & Risk Services
<u>Safety and Risk Services</u>	11/05/15	<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.	6/30/2017	IA received summary of peer review data analysis by SRS and source documentation from review group, CSHEMA.	Carla Domenici, Dir, Safety & Risk Services
<u>Brain Safe Project</u>	09/02/16	<u>Recommendation 4 - Non-Compliance with IRB Process</u>	MRN should be required to securely transfer all data collected and results generated from the Brain Safe project to the University. MRN should provide certification and assurance that all data collected and results generated from the project have been securely deleted and are unrecoverable.	On March 10, 2015, the HSC IRB determined that the conduct of the Brain Safe Project without IRB review and approval by MRN researcher Kent Kiehl, PhD, represented serious noncompliance with the federal regulations and UNM HSC Faculty Handbook Policy E90. The IRB determination of serious noncompliance was filed with OHRP on March 23, 2015. As a result of its investigation into the conduct of the Brain Safe Project, the IRB, in ensuring the protection of human subjects, required that MRN forfeit custody of any and all Brain Safe data to UNMHSC. MRN complied with the directive on July 27, 2015. Prior to taking this action, the IRB consulted with an outside firm whose expertise lies in human subjects research compliance. On July 6, 2015, they issued their report acknowledging the actions taken by the IRB, and confirmed that the corrective action suggested by the IRB, including the transfer of data custody from MRN to UNMHSC, was appropriate.	12/31/2015	Internal Audit reviewed a formal letter from MRN stating that doctors involved in the Brain Safe program have been permanently removed from the MRN Data Repository. Internal Audit reviewed attestation from these doctors stating that they will not access or use data and/or information obtained from the Brain Safe program. The letter further stated that neuroradiology reports and structural images are securely retained at MRN and will only be accessible to the MRN Medical Director for the purposes of providing the scan and/or radiology review to the Brain Safe participant (student athlete) upon request. Internal audit considers the action taken by HSC and MRN sufficient to implement this recommendation.	UNM President; Paul Roth; Richard Larson, Executive Vice Chancellor
<u>Continuing Education Employee Reimbursements</u>	03/02/17	<u>Recommendation 1 - Untimely Reimbursement Submission and Approval</u>	The UNM Continuing Education should work with its employees, program field supervisors, program management, and business office to ensure its employees submit and applicable program field supervisor and Business Office approve their DPA forms within the timeline in accordance with UAP 4030.	The Executive Director concurs with the recommendation and will convene the above-mentioned panel to implement a monitoring plan to assure that employees are submitting travel reimbursements on a timely basis and that they are reviewed and approved and submitted to core accounting offices by the Provost's Business Office as required by the 20th business day in accordance with University business policy.	6/30/2017	IA tested a sample of reimbursements from April through June 2017 for Continuing Education and verified that the reimbursements were processed in a timely manner as required by the UNM Policy. The recommendation is cleared.	Joe Miera, Executive Director

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<u>Continuing Education Employee Reimbursements</u>	03/02/17	<u>Recommendation 2 - Reimbursement Policies and Procedures</u>	UNM Continuing Education should collaborate within its program management and Business Office to develop and approve clear and consistent departmental travel policies and procedures, which require reimbursements be processed within 60 days of end of travel, and ensure all employees in the process are continuously trained and aware of submission/review/approval timelines as stipulated in its approved departmental travel policies and procedures.	The Executive Director concurs with the recommendations and will convene the above-mentioned panel to rewrite and finalize the internal CE Policies and Procedures and implementation steps such as training and monitoring to assure compliance with timely submission of travel reimbursements.	6/30/2017	UNM Continuing Education (Cont. Ed) and Provost's Financial Office have worked together and completed internal guidelines for Cont. Ed's employees to comply with for their travel and other reimbursements. The recommendation is cleared.	Joe Miera, Executive Director
<u>UNM Press Business Processes</u>	03/31/17	<u>Recommendation 1 - Process for Discontinuation of Publication</u>	UNM Press should develop written procedures for discontinuing a publication. The procedures must include a summary of books printed, sold, left in inventory at the time of discontinuation, and the cost/profit summary of that publication. Also, key financial data such as sales, inventory, agreements, accounts payable, etc., including Reprint Committee decisions, should be retained for at least four (4) years.	UNM Press management agrees with the finding and will develop comprehensive written procedures for discontinuing a publication and maintaining financial data in accordance with UNM records management policies. Procedures will include decision authority for discontinuing a publication, factors to be taken into account when considering discontinuing a publication, and documenting decisions to discontinue a publication.	8/31/2017	IA has received a copy of the UNM Press Policy and Procedures for Reprinting, Discontinuing or Otherwise Changing the Status of a UNM press Title (Effective July 1, 2017). They address areas as per the corrective action plan and the recommendation has been cleared.	Richard Schuetz, Interim Dir, University Press
<u>UNM Press Business Processes</u>	03/31/17	<u>Recommendation 3 - Ongoing Debt</u>	The EVP for Finance and Administration should work with the Policy Office to review UAPP 7000 with regard to ongoing deficits. The policy should be revised to require departments to prepare a realistic deficit reduction plan for ongoing deficit rather than granting exceptions year after year.	The Policy Office is amending Section 4.2, Year-end deficits, of the policy 7000 to eliminate granting exception to the requirement to have a realistic deficit reduction plan.	7/31/2017	Policy 7000 was revised and no longer grants exceptions to having a deficit reduction plan.	David Harris, Executive Vice President

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<u>Audit of The Stairwell Project By Remodel Division</u>	03/31/17	<u>Recommendation 2 - UNM Policy Refresher Trainings</u>	The Chief Procurement Officer should provide a refresher session for University procurement, specifically UAP 4370: Receiving and Paying for Off Campus Purchases with a Purchase Order and UAP 7205: Dishonest or Fraudulent Activities.	We agree with the recommendation. For nearly a decade, the Purchasing department has offered an instructor-led Purchasing and Accounts Payable Policies and Procedures class for UNM employees through Employee and Organizational Development. The specific policies recommended by Internal Audit are already covered in our class and training materials. However, we will review and revise our class instruction and training materials to place additional emphasis on UAP 4370: Receiving and Paying for Off Campus Purchases with a Purchase Order and UAP 7205: Dishonest or Fraudulent Activities. Additionally, we will notify the director of PPD when the curriculum has been updated so their staff members can enroll in the class.	3/31/2017	Internal Audit verified Purchasing is offering a Purchasing policies and procedures refresher course and 11 PPD management and staff have taken the policy refresher course.	Bruce Cherrin, Chief Procurement Officer
<u>Audit of The Stairwell Project By Remodel Division</u>	03/31/17	<u>Recommendation 3 - Purchasing Guidelines</u>	The Chief Procurement Officer should review current Purchasing and Accounts Payable policies and procedures and ensure they align with New Mexico State Procurement Code. Purchasing should revise its purchasing matrix to require competition for the purchase of all goods and services exceeding \$10,000, and the practice should be consistent for all UNM departments.	We agree with the recommendation. We have reviewed all Purchasing and Accounts Payable policies and procedures and have concluded that they align with the New Mexico State Procurement code to the extent required by law. It should be noted, however, that unlike most State Agencies, the Procurement Code grants the UNM Purchasing department the authority to act as a central purchasing office. UNM Purchasing and Accounts Payable policies and procedures do, however, follow the State Procurement code in all matters required under State law. As a central Purchasing office, UNM's purchases below State bid limits are subject to UNM rules only and fall outside the jurisdiction of the Procurement code. Nevertheless, Purchasing will revise our matrix to follow State guidelines on purchases of goods and services below State bid limits but exceeding \$10,000. We will apply this new policy uniformly across campus and will revoke the exception that provided the PPD-Remodel group a set of less stringent rules.	2/28/2017	Internal Audit verified Purchasing established a revised purchasing matrix on 2/28/2017 requiring competitive bids for purchases exceeding \$10,000. The competitive bid threshold is set for all UNM units without exception. Current Purchasing policies and procedures align with the New Mexico State Procurement Code.	Bruce Cherrin, Chief Procurement Officer

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<u>Audit of The Stairwell Project By Remodel Division</u>	03/31/17	<u>Recommendation 4 - Compliance with Purchasing Policies and Procedures</u>	The UNM Purchasing Department should: Submit a notification to all University departments and programs that an approved purchase order is required prior to contracting and receiving goods or services. Require competition for purchases exceeding the revised \$10,000 threshold. Enforce competitive bid requirements for contracted services exceeding \$10,000 purchased with a P-Card.	We agree with the recommendation. We will distribute a memo to Banner Finance users that either a Purchase order or contract must be in place with the vendor before goods are received or services are rendered. We will also indicate that non-compliance is a violation of University policy and, at times, New Mexico State law. We will also communicate that disciplinary action may be taken in instances of non-compliance. We also agree to require competition as defined in the New Mexico State Procurement code for purchases below bid limits, but exceeding \$10,000 (as noted in the previous recommendation). We also agree to have our PCard department, as part of their routine audits, review for proof of competition for contracted services exceeding \$10,000 paid via PCard.	2/28/2017	1. Internal Audit verified memo sent from Bruce Cherrin, Chief Procurement Officer, on February 24, 2017 requiring an approved PO for all purchases made through the PO process. Memo states, "Individuals who fail to adhere to these measures could be subject to disciplinary action." 2. Internal Audit verified a revised purchasing matrix requiring a competitive bid threshold of \$10,000 applicable to all UNM units without exception. 3. Internal Audit reviewed e-mail sent to all purchasing agents and the P-Card Manager requiring competition for all purchases exceeding \$10,000.	Bruce Cherrin,Chief Procurement Officer
<u>Audit of The Stairwell Project By Remodel Division</u>	03/31/17	<u>Recommendation 5 - Conflict of Interest</u>	The Vice President for ISS should consult with Human Resources to address potential personnel issues regarding accepting gifts and gratuities, and consider appropriate disciplinary actions for the PPD Remodel Manager.	We will consult with Human Resources to address potential personnel issues regarding accepting gifts and gratuities and move forward with appropriate disciplinary action by March 15, 2017.	3/15/2017	The Vice President for Institutional Support Services terminated the PPD Remodel Manager on March 2, 2017 due to his actions regarding paying for contracted services not received, accepting gifts and gratuities, and making decisions not in the best interest of the University.	Chris Vallejos,Avp,Bs n Plng & Svcs/Iss
<u>Audit of The Stairwell Project By Remodel Division</u>	03/31/17	<u>Recommendation 5 - Conflict of Interest</u>	The Interim PPD Director should consult with Human Resources to address potential personnel issues regarding accepting gifts and gratuities, and consider appropriate disciplinary actions for the PPD Remodel Manager for violation of UAP 3715 and 3720 in accordance with UAP 3215, Performance Management.	We will consult with Human Resources to address potential personnel issues regarding accepting gifts and gratuities and move forward with appropriate disciplinary action by March 15, 2017.	3/15/2017	The Vice President for Institutional Support Services terminated the PPD Remodel Manager on March 2, 2017 due to his actions regarding paying for contracted services not received, accepting gifts and gratuities, and making decisions not in the best interest of the University.	Al Sena, Dir,Physical Plant; Shirley Mitchell,Assoc Dir,Finance & Admin

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<u>Audit of The Stairwell Project By Remodel Division</u>	03/31/17	<u>Recommendation 7 - Schedule of Values and Invoicing</u>	The PPD Interim Director should strengthen internal controls to prevent contractors from starting construction work prior to submitting a schedule of values assigned to the project and/or any other deliverables specified in the terms of the contract. This should require contractors to assign a value to each component of the project they intend on completing, reducing the risk of misunderstandings between the contractor and UNM project team regarding the scope of work. Project Managers should ensure invoices agree to the schedule of values for the billing period prior to approving payment.	PPD Interim Director will collaborate with Planning, Design, Construction, and Chief Procurement Officer to evaluate Standard Operating Procedures and, best practices for contractors submitting schedule of values of deliverables, issuing Purchasing Orders, and invoice processing by January 31, 2017. Written Standard Operating Procedures will be delivered by March 1, 2017.	3/15/2017	The Remodel Department was moved under Planning, Design, and Construction on February 1, 2017. PDC has established PDC guidelines for schedule of values, purchase orders, and invoice processing, which must now be followed by the PDC Remodel division.	Al Sena, Dir,Physical Plant; Shirley Mitchell,Assoc Dir,Finance & Admin
<u>Audit of The Stairwell Project By Remodel Division</u>	03/31/17	<u>Recommendation 8 - Payments for Work Not Accepted by UNM Customer</u>	The Vice President for ISS should consult with Human Resources to address personnel issues regarding paying for contracted services not received and making decisions that are not in the best interest of the University. Issue appropriate disciplinary action for the PPD Remodel Manager and PPD Facilities Maintenance Manager in accordance with UAP 3215: Performance Management.	The Vice President for ISS and Interim PPD Director will meet with Human Resources to determine the appropriate level of disciplinary actions to be delivered by March 15, 2017.	3/15/2017	The Vice President for Institutional Support Services terminated the PPD Remodel Manager on March 2, 2017 due to his actions regarding paying for contracted services not received, accepting gifts and gratuities, and making decisions not in the best interest of the University.	Chris Vallejos,Avp,Bs n Plng & Svcs/Iss
<u>Audit of The Stairwell Project By Remodel Division</u>	03/31/17	<u>Recommendation 8 - Payments for Work Not Accepted by UNM Customer</u>	The Interim PPD Director should consult with Human Resources to address personnel issues regarding paying for contracted services not received and making decisions that are not in the best interest of the University. Issue appropriate disciplinary action for the PPD Remodel Manager and PPD Facilities Maintenance Manager in accordance with UAP 3215: Performance Management.	The Vice President for ISS and Interim PPD Director will meet with Human Resources to determine the appropriate level of disciplinary actions to be delivered by March 15, 2017.	3/15/2017	The Vice President for Institutional Support Services terminated the PPD Remodel Manager on March 2, 2017 due to his actions regarding paying for contracted services not received, accepting gifts and gratuities, and making decisions not in the best interest of the University.	Al Sena, Dir,Physical Plant; Shirley Mitchell,Assoc Dir,Finance & Admin

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<u>Safety and Risk Services</u>	11/05/15	<u>Recommendaiton 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>A. 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.</p> <p>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.</p> <p>Lastly, I will work with SRS to assist them in becoming the central receiving point for all chemical purchases made outside of CRLS.</p> <p>B. EVP for Academic Affairs/Provost: 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.</p> <p>C. Chancellor for Health Sciences: The Health Sciences Center agrees with the Internal Audit finding and recommendation to work with SRS to accurately inventory chemical purchases in the ERM. The HSC will work with SRS to complete the installation of inventory control processes with bar codes which is being implemented at all HSC labs. The systems are being put in place at the request of SRS over the past year to address this issue.</p>	12/31/2016	<p>Item A - SRS has been conducting ongoing chemical inventory throughout main campus to ensure that chemicals are properly updated to ERM. In addition, CRLS has been consistently applying bar codes and sending a list to SRS of chemicals to ensure that ERM is properly updated. With regard to the portion of the response addressing a central receiving area at SRS, that has not been determined at this time.</p> <p>CLEARED item B - SRS sent a memo on behalf of the Provost to the Dean of each college informing them of the recommendation and requesting that they send a list of all persons that make chemical purchases to SRS.</p> <p>Item C - HSC labs have been inspected on an ongoing basis by SRS. IA accompanied SRS personnel on six of those inspections during fall 2016. IA took a chemical list for each of the labs and attempted to trace chemicals from the floor to the ERM list of chemicals and also from the ERM list of chemicals to the floor. IA also asked if lab personnel was aware of ERM and if they had completed ERM training. For three of the labs, IA was able to trace back and forth from the list and floor with no exception and noted bar codes on chemicals. The College of Nursing labs IA visited did not have bar codes and were not aware of ERM nor had they attended the training. They were more than willing to attend training. At this point it is difficult to say with complete assurance that HSC labs are ERM compliant. IA is committed to working with SRS to continue walk along during lab inspections on the HSC and main campus logs to monitor ERM implementation.</p>	David Harris, Executive Vice President; Paul Roth; Interim Provost

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<u>Continuing Education Employee Reimbursements</u>	03/02/17	<u>Recommendation 4 - Not Reporting to UNM Payroll</u>	UNM Unrestricted Accounting, Main, Contract and Grant Accounting, Main, Unrestricted Accounting, HSC and Contract and Grant Accounting, HSC must develop standard operating procedures to ensure all reimbursements not meeting the UNM accountable plan requirements are identified and reported to Payroll, as required.	Chrome River reporting will be utilized to identify the applicable transactions, using system parameters, compliance notifications, and comments as an automated reporting solution to report taxable transactions to Payroll so that the appropriate amount may be included as additional taxable compensation on the payee's paystub and W-2 form, per the requirements of the IRS accountable plan guidelines.	3/31/2017	8/2/2017 - The Controller's Office stated that they have been utilizing a query report developed in house to review and identify transactions for accountable plan according to UNM Policy. IA will work with them to verify the implementation by October 2017.	Elizabeth Metzger, University Controller; Ava Lovell, Sr. Exec. Officer of F&A HSC
<u>Review of College of Arts and Sciences Operations</u>	4/18/13	<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.	6/30/2017	Internal Audit has observed the Faculty Research web-based application developed by the UNM Provost Office. The application has been made available to faculty to begin populating the database with "Research" data.	Associate Provost; Provost
<u>Harwood Museum</u>	06/29/15	<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.	7/31/2017	Harwood management stated that data entry and clean-up for collection records in its collection management database were completed during physical inventory; it has developed a plan to determine the value in the collection and utilized the database for reporting value for fine art insurance coverage to UNM Safety and Risk Services. IA is in the process of verifying the implementation.	Richard Tobin, Dir, Harwood Museum

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<u>Harwood Museum</u>	06/29/15	<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.	7/31/2017	Partially implemented. A: Harwood management stated that a formal physical inventory of the collections was done by June 2017 in conjunction with review of database records; it is utilizing its database for maintaining the inventory records and reporting the inventory results to Inventory Control; Harwood museum was awarded accreditation by the American Alliance of Museums in March 2017 and will follow their inventory recommendation. IA is in the process of reviewing the implementation. B: Management believes that ongoing procedures will be added to Collection Management Policy upon completion of migration of the database to local.	Richard Tobin, Dir, Harwood Museum
<u>UNM Press Business Processes</u>	03/31/17	<u>Recommendation 4 - Failure to follow SOP regarding review of submitted works for publishing</u>	The UNM Press should update their procedures to include a documented log for all works submitted to the Press for publication consideration. The log should be reviewed on a regular basis to ensure that all publications submitted for consideration are reviewed timely and that final outcome is communicated to the author.	UNM Press management agrees with the recommendation to update procedures to include a documented log for all works submitted to the Press for publication consideration. The Press receives approximately 1,500 manuscript proposals annually of which fewer than 10% are considered for publication. Once a decision is made to consider a manuscript for publication, information regarding the manuscript, author, etc. will be logged into the Press's title management database and tracked through the publishing process. At the same time, in keeping with the practices at many other publishing houses, UNM Press will no longer respond to unsolicited manuscript submissions and this policy will be communicated through the UNM Press website and other appropriate venues.	7/31/2017	IA was able to verify item #2 - the website has been updated with the following statement: "Due to the high volume of submissions the University of New Mexico Press receives annually, we cannot respond to all unsolicited queries and proposals. If an author sends a query or proposal and the press is interested in the project, the author will be contacted. Otherwise the press will not respond." IA is in the process of working with UNM Press to verify the other two items stated in the corrective plan of action.	Nicole Dopson, Financial Officer; Craig White, Interim Provost

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<u>Safeguards for Protecting Private Data--Service Providers and Contractors</u>	10/25/13	<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.	8/31/2017	UNM IT has proposed charter for a UNM Security Council that will provide ongoing oversight of the Information Security Program. Internal Audit reviewed the UNM Security Council Charter, which is pending approval by President Abdallah. Once approved, audit will close this item.	Duane Ej Arruti, Chief Information Officer
<u>Safeguards for Protecting Private Data--Service Providers and Contractors</u>	10/25/13	<u>Recommendation 2 - University Information Security Function</u>	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.	8/31/2017	UNM IT has proposed a charter for a UNM Security Council that will provide ongoing oversight of the Information Security Program. Internal Audit reviewed the UNM Security Council Charter, which is pending approval by President Abdallah. Once approved, audit will close this item.	Duane Ej Arruti, Chief Information Officer

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<u>PPD Remodel and Two Bears Construction Contracts</u>	03/31/17	<u>Non-Compliance with UNM Policies - Recommendation 1</u>	The Vice President for ISS should: Consult with Human Resources to address personnel issues regarding paying for contracted services not received and making decisions that are not in the best interest of the University. Issue appropriate disciplinary actions for the PPD Remodel Manager and PPD Facilities Maintenance Manager in accordance with UAP 3215: Performance Management. Consult with University Counsel regarding payment of funds to Two Bears Construction for services not performed at RVA. The additional cost paid to BCH Construction for completing the stairwells at RVA was \$42,000.	We will consult with Human Resources to address the personnel issues and move forward with appropriate disciplinary actions by March 15, 2017. Additionally, we will consult with University Counsel regarding the payment of funds to Two Bears Construction for services not performed at RVA.	8/31/2017	Partially Implemented: a. Implemented: The Vice President for Institutional Support Services terminated the PPD Remodel Manager on March 2, 2017 due to his actions of paying for contracted services not received and making decisions that were not in the best interest of the University. The PPD Facilities Maintenance Manager was also issued a suspension on March 16, 2017 for approving the payment of contracted services not received and making decisions that were not in the best interest of the University. b. The VP for ISS had an initial meeting with University Counsel regarding the payment of funds to Two Bears Construction for service not performed at the Redondo Village Apartments. A follow up meeting has been scheduled for August 16, 2017 to develop a plan of action for recovering additional costs paid to BCH Construction to complete stairwells at RVA, which were not completed by Two Bears Construction. ISS Management believes corrective action will be implemented by August 31, 2017.	Chris Vallejos,Avp,Bsn Plng & Svcs/Iss
<u>PPD Remodel and Two Bears Construction Contracts</u>	03/31/17	<u>Recommendation 1 - Payment for Services Not Received</u>	The Interim PPD Director should: Consult with Human Resources to address personnel issues regarding paying for contracted services not received and making decisions that are not in the best interest of the University. Issue appropriate disciplinary actions for the PPD Remodel Manager and PPD Facilities Maintenance Manager in accordance with UAP 3215: Performance Management. Consult with University Counsel regarding payment of funds to Two Bears Construction for services not performed at RVA. The additional cost paid to BCH Construction for completing the stairwells at RVA was \$42,000.	We will consult with Human Resources to address the personnel issues and move forward with appropriate disciplinary actions by March 15, 2017.	8/31/2017	Partially Implemented: a. Implemented: The VP for ISS terminated the PPD Remodel Manager on March 2, 2017 due to his actions of paying for contracted services not received and making decisions that were not in the best interest of the University. The PPD Facilities Maintenance Manager was also issued a suspension on March 16, 2017 for approving the payment of contracted services not received and making decisions that were not in the best interest of the University. b. The VP for ISS had an initial meeting with University Counsel regarding the payment of funds to Two Bears Construction for service not performed at the Redondo Village Apartments. A follow up meeting has been scheduled for August 16, 2017 to develop a plan of action for recovering additional costs paid to BCH Construction to complete stairwells at RVA, which were not completed by Two Bears Construction. ISS Management believes corrective action will be implemented by August 31, 2017.	Shirley Mitchell,Assoc Dir,Finance & Admin

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Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Last Status Update	Responsible Party
<u>PPD Remodel and Two Bears Construction Contracts</u>	03/31/17	<u>Recommendation 6 - Contractor Warranties and Responsibilities</u>	The Vice President for ISS should contract with a third party consultant to test the application of the Sikaflex-15LM caulk against the manufacturer's recommended application for optimal results. If the consultant determines Two Bears Construction did not apply caulk according to recommended application, the PPD Remodel Manager should contact Two Bears Construction and request them to return and reapply caulk correctly to all stairwells.	We will contract with a third party consultant to test the application of the Sikaflex-15LM caulk against the manufacturer's recommended application. If the consultant determines that the caulk was not applied according to recommended application, we will contact Two Bears Construction and request that the caulk be re-applied to all stairwells.	8/31/2017	ISS Management indicated that a third party contractor was hired to evaluate the application of caulk by Two Bears Construction at the Student Residence Center and the assessment was completed in mid-July. ISS management also indicated that the contractor's report should be ready by mid-August. Based on the assessment report, the Vice President will then make a decision to contact Two Bears Construction, or not, to reapply the caulk. The completed report and decision is expected to be made by August 31, 2017.	Chris Vallejos,Avp,Bsn Plng & Svcs/Iss
<u>PPD Remodel and Two Bears Construction Contracts</u>	03/31/17	<u>Recommendation 6 - Contractor Warranties and Responsibilities</u>	The Vice President for ISS and Interim PPD Director should contract with a third party consultant to test the application of the Sikaflex-15LM caulk against the manufacturer's recommended application for optimal results. If the consultant determines Two Bears Construction did not apply caulk according to recommended application, the PPD Remodel Manager should contact Two Bears Construction and request them to return and reapply caulk correctly to all stairwells.	We will contract with a third party consultant to test the application of the Sikaflex-15LM caulk against the manufacturer's recommended application. Interim PPD Director will contact possible third party and schedule a site visit by January 10, 2017. If the consultant determines that the caulk was not applied according to recommended application, we will contact Two Bears Construction and request that the caulk be re-applied to all stairwells by January 31, 2017.	8/31/2017	The Interim PPD Director indicated that a third party contractor was hired to evaluate the application of caulk by Two Bears Construction at the Student Residence Center and the assessment was completed in mid-July. She also indicated that the contractor's report should be ready by mid-August and a decision will then be made to contact Two Bears Construction to reapply the caulk based on the assessment. The completed report and decision is expected to be made by August 31, 2017.	Al Sena, Dir,Physical Plant; Shirley Mitchell,Assoc Dir,Finance & Admin

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<u>PPD Remodel and Two Bears Construction Contracts</u>	03/31/17	<u>Recommendation 9 - PPD Remodel Operations</u>	Vice President for ISS should: Consider consolidating PDC and PPD Remodel into one reporting unit. Develop a Business Operations Manual that outlines and enhances processes for specific business functions including, but not limited to, contracting for services, invoice processing, and "Final Project Completion" signoff processes, etc. Review job descriptions, duties and responsibilities of the PPD Remodel division to assign job duties properly. Strengthen internal controls to ensure that the PPD division supervisors and/or managers reviews project's scope of work.	Associate Vice President for ISS and Executive Director for ISS will move forward with consolidating PPD Remodel with Planning, Design and Construction (PDC) by January 15, 2017. They will work with the PDC Directors and Interim PPD Director to successfully consolidate these two units. PDC already has operating procedures for specific business functions and processes and will need time to evaluate and determine which ones are applicable to the Remodel division. If necessary, they will create additional operating procedures to enhance the business processes of the Remodel division. Executive Director for ISS and PDC Directors will meet with Human Resources to review the organizational structure of the consolidated unit and review job descriptions of staff to ensure appropriate alignment. PDC Directors and management team will ensure that all staff have a clear understanding of their duties and responsibilities.	8/31/2017	a. Implemented: On 12/15/16, it was announced to the PPD Remodel group and PDC that the consolidation between the two groups would take place. A new org code (363A) was created for the Remodel group and employees were officially transferred over to PDC on 2/1/17. b. The Remodel Group has already been transferred to PDC, which already has an business operating procedures manual. ISS management indicated that PDC sees a need for creating a checklist of operating procedures to follow and be held accountable., which IA reviewed; however, PDC is in the process of finalizing the checklist. PDC and ISS management believe the checklist will be completed 8/31/17. c. The ED for ISS and PDC Directors have met with HR and HR Compensation to review the organizational structure and job descriptions of staff in the consolidated unit, which IA reviewed. PDC is now waiting on executive leadership approvals to proceed with the proposed changes so they can update staff and distribute the final organizational chart. The target date to complete this is 8/31/17.	Chris Vallejos,Avp,Bsn Plng & Svcs/Iss

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Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Last Status Update	Responsible Party
<u>PPD Remodel and Two Bears Construction Contracts</u>	03/31/17	<u>Recommendation 9 - PPD Remodel Operations</u>	Interim PPD Director should: Consider consolidating PDC and PPD Remodel into one reporting unit. Develop a Business Operations Manual that outlines and enhances processes for specific business functions including, but not limited to, contracting for services, invoice processing, and "Final Project Completion" signoff processes, etc. Review job descriptions, duties and responsibilities of the PPD Remodel division to assign job duties properly. Strengthen internal controls to ensure that the PPD division supervisors and/or managers reviews project's scope of work.	Associate Vice President for ISS and Executive Director for ISS will move forward with consolidating PPD Remodel with Planning, Design and Construction (PDC) by January 15, 2017. They will work with the PDC Directors and Interim PPD Director to successfully consolidate these two units. PDC already has operating procedures for specific business functions and processes and will need time to evaluate and determine which ones are applicable to the Remodel division. If necessary, they will create additional operating procedures to enhance the business processes of the Remodel division. The Executive Director for ISS and PDC Directors will meet with Human Resources to review the organizational structure of the consolidated unit and review job descriptions of staff to ensure appropriate alignment. PDC Directors and management team will ensure that all staff have a clear understanding of their duties and responsibilities.	8/31/2017	a. Implemented: On 12/15/16, it was announced to the PPD Remodel group and PDC that the consolidation between the two groups would take place. A new org code (363A) was created for the Remodel group and employees were officially transferred over to PDC on 2/1/17. b. The Remodel Group has already been transferred to PDC, which already has an business operating procedures manual. ISS management indicated that PDC sees a need for creating a checklist of operating procedures to follow and be held accountable, which IA reviewed; however, PDC is in the process of finalizing the checklist. PDC and ISS management believe the checklist will be completed 8/31/17. c. The ED for ISS and PDC Directors have met with HR and HR Compensation to review the organizational structure and job descriptions of staff in the consolidated unit, which IA reviewed. PDC is now waiting on executive leadership approvals to proceed with the proposed changes so they can update staff and distribute the final org chart. The target date to complete this is 8/31/17.	Al Sena, Dir,Physical Plant; Shirley Mitchell,Assoc Dir,Finance & Admin
<u>Payroll Follow-Up Audit</u>	08/18/15	<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.	9/30/2017	10/11/2016 - Implementation of the Talent Management System (TMS) has been delayed until Spring, 2017. Implementation of the audit recommendations depended upon the full functioning of TMS and has therefore also been delayed.	Elizabeth Metzger,University Controller

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Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Last Status Update	Responsible Party
<u>PPD Remodel and Two Bears Construction Contracts</u>	03/31/17	<u>Recommendation 2 - UNM Policy Refresher Trainings</u>	The Interim PPD Director should require that all PPD management and Project Managers attend the policy refresher session.	PPD Interim Director will coordinate with the Chief Procurement Officer to schedule a mandatory training by February 15, 2017.	11/30/2017	Internal Audit verified that 11 PPD management and staff have taken the required policy refresher course. However, the PPD Interim Director has identified a total of 46 PPD employees that need to take the refresher training and it is offered only once a month. She indicated that a notice will be sent to employees that have not taken the training to take it ASAP. She believes there will be full implementation of this recommendation by a revised target date of November 30, 2017.	Shirley Mitchell, Assoc Dir, Finance & Admin
<u>PPD Remodel and Two Bears Construction Contracts</u>	03/31/17	<u>Recommendation 8b - Payment for Services not Accepted by UNM</u>	The Interim PPD Director should conduct a General Conditions of the Contract for Construction refresher session, specifically section 9.10.1, and require attendance by all PPD Management.	The Interim PPD Director should conduct a General Conditions of the Contract for Construction refresher session by January 31, 2017 for PPD Management. PPD Interim Director will develop a formal written process for dispute resolution when issues arise concerning acceptance of work by February 15, 2017.	11/30/2017	Internal Audit verified that 11 PPD management and staff have taken the required policy refresher course, which includes General Conditions of the Contract for Construction. However, the PPD Interim Director has identified a total of 46 PPD employees that need to take the refresher training and it is offered only once a month. She indicated that a notice will be sent to employees that have not taken the training to take it ASAP. She believes there will be full implementation of this recommendation by a revised target date of November 30, 2017.	Al Sena, Dir, Physical Plant; Shirley Mitchell, Assoc Dir, Finance & Admin
<u>Payroll Follow-Up Audit</u>	08/18/15	<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.	12/31/2017	8/15/2017 - Payroll has implemented enhancements to address the reason codes for adjustments, and has improved communication to campus department timekeepers, approvers and employees of known un-entered or unapproved time for employees prior to the deadline. A policy change addressing missed payroll deadlines will be requested, and email notifications to department Chairs and/or Deans that addresses adjustments will be in place by 1/1/2018.	Elizabeth Metzger, University Controller; Julian Sandoval, Chief Financial Svcs Officer

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Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Last Status Update	Responsible Party
<u>Payroll Follow-Up Audit</u>	08/18/15	<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.	12/31/2017	Talent Management System went live on June 30, 2017. Additional time is need to assess the automated integration of the system given the short time period it has been live. During Fall 2017, Payroll will work closely with HR & Employment Areas to supplement current training and develop a more consistent training plan for campus that reflects the implementation of UNMJobs 2.0. Payroll will also request that Executive Leadership mandate a required annual training plan for supervisors regarding HR policies and timekeeping requirements.	Elizabeth Metzger, University Controller
<u>Payroll Follow-Up Audit</u>	08/18/15	<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.	12/31/2017	The EPAF email notification system has been implemented and notifications are being sent when an EPAF misses a deadline or is delayed in the processing or approval queue. A technical issue exists with the notification system in that the emails are not being sent to the appropriate recipient who can address late or delayed EPAFs. Recommendation 7 is extended so that the affected departments can collaboratively address the problems with the email notification system.	Theresa Ramos, Director, Faculty Employment & Svcs; Richard Wood, Interim Sr. Vice Provost
<u>UNM Press Business Processes</u>	03/31/17	<u>Recommendation 2 - Ongoing Debt</u>	The University Senior Leadership Team should provide stronger guidance as to how the Press is going to balance its budget and how much subsidy the University is going to provide, if any, to keep the UNM Press a viable entity; or, in the alternative, if the Press should continue to operate.	A subsidy budget proposal is currently under consideration by the BLT committee.	7/31/2018		David Harris, Executive Vice President

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Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Last Status Update	Responsible Party
<u>Review of College of Arts and Sciences Operations</u>	4/18/13	<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.	6/30/2017	Internal Audit has observed the Faculty Research web-based application developed by the UNM Provost Office. The application has been made available to faculty to begin populating the database with "Research" data.	Associate Provost; Provost
<u>Safeguards for Protecting Private Data—Service Providers and Contractors</u>	10/25/13	<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.	8/31/2017	UNM IT has proposed charter for a UNM Security Council that will provide ongoing oversight of the Information Security Program. Internal Audit reviewed the UNM Security Council Charter, which is pending approval by President Abdallah. Once approved, audit will close this item.	Duane Ej Arruti, Chief Information Officer
<u>Safeguards for Protecting Private Data—Service Providers and Contractors</u>	10/25/13	<u>Recommendation 2 - University Information Security Function</u>	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.	8/31/2017	UNM IT has proposed a charter for a UNM Security Council that will provide ongoing oversight of the Information Security Program. Internal Audit reviewed the UNM Security Council Charter, which is pending approval by President Abdallah. Once approved, audit will close this item.	Duane Ej Arruti, Chief Information Officer

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Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Last Status Update	Responsible Party
<u>Harwood Museum</u>	06/29/15	<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.	7/31/2017	Harwood management stated that data entry and clean-up for collection records in its collection management database were completed during physical inventory; it has developed a plan to determine the value in the collection and utilized the database for reporting value for fine art insurance coverage to UNM Safety and Risk Services. IA is in the process of verifying the implementation.	Richard Tobin, Dir,Harwood Museum
<u>Harwood Museum</u>	06/29/15	<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.	7/31/2017	Partially implemented. A: Harwood management stated that a formal physical inventory of the collections was done by June 2017 in conjunction with review of database records; it is utilizing its database for maintaining the inventory records and reporting the inventory results to Inventory Control; Harwood museum was awarded accreditation by the American Alliance of Museums in March 2017 and will follow their inventory recommendation. IA is in the process of reviewing the implementation. B: Management believes that ongoing procedures will be added to Collection Management Policy upon completion of migration of the database to local.	Richard Tobin, Dir,Harwood Museum

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<u>Payroll</u> <u>Follow-Up</u> <u>Audit</u>	08/18/15	<u>Recommendation 1 -</u> <u>Payroll Adjustment</u> <u>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.	12/31/2017	8/15/2017 - Payroll has implemented enhancements to address the reason codes for adjustments, and has improved communication to campus department timekeepers, approvers and employees of known un-entered or unapproved time for employees prior to the deadline. A policy change addressing missed payroll deadlines will be requested, and email notifications to department Chairs and/or Deans that addresses adjustments will be in place by 1/1/2018.	Elizabeth Metzger, University Controller; Julian Sandoval, Chief Financial Svcs Officer
<u>Payroll</u> <u>Follow-Up</u> <u>Audit</u>	08/18/15	<u>Recommendation 2 -</u> <u>Payroll Adjustment</u> <u>Late Paperwork</u> <u>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.	12/31/2017	Talent Management System went live on June 30, 2017. Additional time is need to assess the automated integration of the system given the short time period it has been live. During Fall 2017, Payroll will work closely with HR & Employment Areas to supplement current training and develop a more consistent training plan for campus that reflects the implementation of UNMJobs 2.0. Payroll will also request that Executive Leadership mandate a required annual training plan for supervisors regarding HR policies and timekeeping requirements.	Elizabeth Metzger, University Controller
<u>Payroll</u> <u>Follow-Up</u> <u>Audit</u>	08/18/15	<u>Recommendation 3 -</u> <u>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.	9/30/2017	10/11/2016 - Implementation of the Talent Management System (TMS) has been delayed until Spring, 2017. Implementation of the audit recommendations depended upon the full functioning of TMS and has therefore also been delayed.	Elizabeth Metzger, University Controller

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<u>Payroll Follow-Up Audit</u>	08/18/15	<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.	12/31/2017	The EPAF email notification system has been implemented and notifications are being sent when an EPAF misses a deadline or is delayed in the processing or approval queue. A technical issue exists with the notification system in that the emails are not being sent to the appropriate recipient who can address late or delayed EPAFs. Recommendation 7 is extended so that the affected departments can collaboratively address the problems with the email notification system.	Theresa Ramos,Dir,Faculty Employment & Svcs; Richard Wood, Interim Sr. Vice Provost
<u>Safety and Risk Services</u>	11/05/15	<u>Recommendaiton 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.	A. 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. B. EVP for Academic Affairs/Provost: 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.	12/31/2016	Item A - SRS has been conducting ongoing chemical inventory throughout main campus to ensure that chemicals are properly updated to ERM. In addition, CRLS has been consistently applying bar codes and sending a list to SRS of chemicals to ensure that ERM is properly updated. With regard to the portion of the response addressing a central receiving area at SRS, that has not been determined at this time. CLEARED item B - SRS sent a memo on behalf of the Provost to the Dean of each college informing them of the recommendation and requesting that they send a list of all persons that make chemical purchases to SRS.	David Harris,Executive Vice President; Paul Roth; Interim Provost

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				C. Chancellor for Health Sciences: The Health Sciences Center agrees with the Internal Audit finding and recommendation to work with SRS to accurately inventory chemical purchases in the ERM. The HSC will work with SRS to complete the installation of inventory control processes with bar codes which is being implemented at all HSC labs. The systems are being put in place at the request of SRS over the past year to address this issue.		Item C - HSC labs have been inspected on an ongoing basis by SRS. IA accompanied SRS personnel on six of those inspections during fall 2016. IA took a chemical list for each of the labs and attempted to trace chemicals from the floor to the ERM list of chemicals and also from the ERM list of chemicals to the floor. IA also asked if lab personnel was aware of ERM and if they had completed ERM training. For three of the labs, IA was able to trace back and forth from the list and floor with no exception and noted bar codes on chemicals. The College of Nursing labs IA visited did not have bar codes and were not aware of ERM nor had they attended the training. They were more than willing to attend training. At this point it is difficult to say with complete assurance that HSC labs are ERM compliant. IA is committed to working with SRS to continue walk along during lab inspections on the HSC and main campus logs to monitor ERM implementation.	
<u>Continuing Education Employee Reimbursements</u>	03/02/17	<u>Recommendation 4 - Not Reporting to UNM Payroll</u>	UNM Unrestricted Accounting, Main, Contract and Grant Accounting, Main, Unrestricted Accounting, HSC and Contract and Grant Accounting, HSC must develop standard operating procedures to ensure all reimbursements not meeting the UNM accountable plan requirements are identified and reported to Payroll, as required.	Chrome River reporting will be utilized to identify the applicable transactions, using system parameters, compliance notifications, and comments as an automated reporting solution to report taxable transactions to Payroll so that the appropriate amount may be included as additional taxable compensation on the payee's paystub and W-2 form, per the requirements of the IRS accountable plan guidelines.	3/31/2017	8/2/2017 - The Controller's Office stated that they have been utilizing a query report developed in house to review and identify transactions for accountable plan according to UNM Policy. IA will work with them to verify the implementation by October 2017.	Elizabeth Metzger, University Controller; Ava Lovell, Sr. Exec. Officer of F&A HSC
<u>UNM Press Business Processes</u>	03/31/17	<u>Recommendation 2 - Ongoing Debt</u>	The University Senior Leadership Team should provide stronger guidance as to how the Press is going to balance its budget and how much subsidy the University is going to provide, if any, to keep the UNM Press a viable entity; or, in the alternative, if the Press should continue to operate.	A subsidy budget proposal is currently under consideration by the BLT committee.	7/31/2018		David Harris, Executive Vice President

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<u>UNM Press Business Processes</u>	03/31/17	<u>Recommendation 4 - Failure to follow SOP regarding review of submitted works for publishing</u>	The UNM Press should update their procedures to include a documented log for all works submitted to the Press for publication consideration. The log should be reviewed on a regular basis to ensure that all publications submitted for consideration are reviewed timely and that final outcome is communicated to the author.	UNM Press management agrees with the recommendation to update procedures to include a documented log for all works submitted to the Press for publication consideration. The Press receives approximately 1,500 manuscript proposals annually of which fewer than 10% are considered for publication. Once a decision is made to consider a manuscript for publication, information regarding the manuscript, author, etc. will be logged into the Press's title management database and tracked through the publishing process. At the same time, in keeping with the practices at many other publishing houses, UNM Press will no longer respond to unsolicited manuscript submissions and this policy will be communicated through the UNM Press website and other appropriate venues.	7/31/2017	IA was able to verify item #2 - the website has been updated with the following statement: "Due to the high volume of submissions the University of New Mexico Press receives annually, we cannot respond to all unsolicited queries and proposals. If an author sends a query or proposal and the press is interested in the project, the author will be contacted. Otherwise the press will not respond." IA is in the process of working with UNM Press to verify the other two items stated in the corrective plan of action.	Nicole Dopson, Financial Officer; Craig White, Interim Provost
<u>PPD Remodel and Two Bears Construction Contracts</u>	03/31/17	<u>Non-Compliance with UNM Policies - Recommendation 1</u>	The Vice President for ISS should: Consult with Human Resources to address personnel issues regarding paying for contracted services not received and making decisions that are not in the best interest of the University. Issue appropriate disciplinary actions for the PPD Remodel Manager and PPD Facilities Maintenance Manager in accordance with UAP 3215: Performance Management. Consult with University Counsel regarding payment of funds to Two Bears Construction for services not performed at RVA. The additional cost paid to BCH Construction for completing the stairwells at RVA was \$42,000.	We will consult with Human Resources to address the personnel issues and move forward with appropriate disciplinary actions by March 15, 2017. Additionally, we will consult with University Counsel regarding the payment of funds to Two Bears Construction for services not performed at RVA.	8/31/2017	Partially Implemented: a. Implemented: The Vice President for Institutional Support Services terminated the PPD Remodel Manager on March 2, 2017 due to his actions of paying for contracted services not received and making decisions that were not in the best interest of the University. The PPD Facilities Maintenance Manager was also issued a suspension on March 16, 2017 for approving the payment of contracted services not received and making decisions that were not in the best interest of the University. b. The VP for ISS had an initial meeting with University Counsel regarding the payment of funds to Two Bears Construction for service not performed at the Redondo Village Apartments. A follow up meeting has been scheduled for August 16, 2017 to develop a plan of action for recovering additional costs paid to BCH Construction to complete stairwells at RVA, which were not completed by Two Bears Construction. ISS Management believes corrective action will be implemented by August 31, 2017.	Chris Vallejos,Avp,Bsn Plng & Svcs/Iss

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<u>PPD Remodel and Two Bears Construction Contracts</u>	03/31/17	<u>Recommendation 1 - Payment for Services Not Received</u>	The Interim PPD Director should: Consult with Human Resources to address personnel issues regarding paying for contracted services not received and making decisions that are not in the best interest of the University. Issue appropriate disciplinary actions for the PPD Remodel Manager and PPD Facilities Maintenance Manager in accordance with UAP 3215: Performance Management. Consult with University Counsel regarding payment of funds to Two Bears Construction for services not performed at RVA. The additional cost paid to BCH Construction for completing the stairwells at RVA was \$42,000.	We will consult with Human Resources to address the personnel issues and move forward with appropriate disciplinary actions by March 15, 2017.	8/31/2017	Partially Implemented: a. Implemented: The VP for ISS terminated the PPD Remodel Manager on March 2, 2017 due to his actions of paying for contracted services not received and making decisions that were not in the best interest of the University. The PPD Facilities Maintenance Manager was also issued a suspension on March 16, 2017 for approving the payment of contracted services not received and making decisions that were not in the best interest of the University. b. The VP for ISS had an initial meeting with University Counsel regarding the payment of funds to Two Bears Construction for service not performed at the Redondo Village Apartments. A follow up meeting has been scheduled for August 16, 2017 to develop a plan of action for recovering additional costs paid to BCH Construction to complete stairwells at RVA, which were not completed by Two Bears Construction. ISS Management believes corrective action will be implemented by August 31, 2017.	Shirley Mitchell, Assoc Dir, Finance & Admin
<u>PPD Remodel and Two Bears Construction Contracts</u>	03/31/17	<u>Recommendation 2 - UNM Policy Refresher Trainings</u>	The Interim PPD Director should require that all PPD management and Project Managers attend the policy refresher session.	PPD Interim Director will coordinate with the Chief Procurement Officer to schedule a mandatory training by February 15, 2017.	11/30/2017	Internal Audit verified that 11 PPD management and staff have taken the required policy refresher course. However, the PPD Interim Director has identified a total of 46 PPD employees that need to take the refresher training and it is offered only once a month. She indicated that a notice will be sent to employees that have not taken the training to take it ASAP. She believes there will be full implementation of this recommendation by a revised target date of November 30, 2017.	Shirley Mitchell, Assoc Dir, Finance & Admin

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<u>PPD Remodel and Two Bears Construction Contracts</u>	03/31/17	<u>Recommendation 6 - Contractor Warranties and Responsibilities</u>	The Vice President for ISS should contract with a third party consultant to test the application of the Sikaflex-15LM caulk against the manufacturer's recommended application for optimal results. If the consultant determines Two Bears Construction did not apply caulk according to recommended application, the PPD Remodel Manager should contact Two Bears Construction and request them to return and reapply caulk correctly to all stairwells.	We will contract with a third party consultant to test the application of the Sikaflex-15LM caulk against the manufacturer's recommended application. If the consultant determines that the caulk was not applied according to recommended application, we will contact Two Bears Construction and request that the caulk be re-applied to all stairwells.	8/31/2017	ISS Management indicated that a third party contractor was hired to evaluate the application of caulk by Two Bears Construction at the Student Residence Center and the assessment was completed in mid-July. ISS management also indicated that the contractor's report should be ready by mid-August. Based on the assessment report, the Vice President will then make a decision to contact Two Bears Construction, or not, to reapply the caulk. The completed report and decision is expected to be made by August 31, 2017.	Chris Vallejos,Avp,Bsn Plng & Svcs/Iss
<u>PPD Remodel and Two Bears Construction Contracts</u>	03/31/17	<u>Recommendation 6 - Contractor Warranties and Responsibilities</u>	The Vice President for ISS and Interim PPD Director should contract with a third party consultant to test the application of the Sikaflex-15LM caulk against the manufacturer's recommended application for optimal results. If the consultant determines Two Bears Construction did not apply caulk according to recommended application, the PPD Remodel Manager should contact Two Bears Construction and request them to return and reapply caulk correctly to all stairwells.	We will contract with a third party consultant to test the application of the Sikaflex-15LM caulk against the manufacturer's recommended application. Interim PPD Director will contact possible third party and schedule a site visit by January 10, 2017. If the consultant determines that the caulk was not applied according to recommended application, we will contact Two Bears Construction and request that the caulk be re-applied to all stairwells by January 31, 2017.	8/31/2017	The Interim PPD Director indicated that a third party contractor was hired to evaluate the application of caulk by Two Bears Construction at the Student Residence Center and the assessment was completed in mid-July. She also indicated that the contractor's report should be ready by mid-August and a decision will then be made to contact Two Bears Construction to reapply the caulk based on the assessment. The completed report and decision is expected to be made by August 31, 2017.	Al Sena, Dir,Physical Plant; Shirley Mitchell,Assoc Dir,Finance & Admin
<u>PPD Remodel and Two Bears Construction Contracts</u>	03/31/17	<u>Recommendation 8b - Payment for Services not Accepted by UNM</u>	The Interim PPD Director should conduct a General Conditions of the Contract for Construction refresher session, specifically section 9.10.1, and require attendance by all PPD Management.	The Interim PPD Director should conduct a General Conditions of the Contract for Construction refresher session by January 31, 2017 for PPD Management. PPD Interim Director will develop a formal written process for dispute resolution when issues arise concerning acceptance of work by February 15, 2017.	11/30/2017	Internal Audit verified that 11 PPD management and staff have taken the required policy refresher course, which includes General Conditions of the Contract for Construction. However, the PPD Interim Director has identified a total of 46 PPD employees that need to take the refresher training and it is offered only once a month. She indicated that a notice will be sent to employees that have not taken the training to take it ASAP. She believes there will be full implementation of this recommendation by a revised target date of November 30, 2017.	Al Sena, Dir,Physical Plant; Shirley Mitchell,Assoc Dir,Finance & Admin

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<u>PPD Remodel and Two Bears Construction Contracts</u>	03/31/17	<u>Recommendation 9 - PPD Remodel Operations</u>	Vice President for ISS should: Consider consolidating PDC and PPD Remodel into one reporting unit. Develop a Business Operations Manual that outlines and enhances processes for specific business functions including, but not limited to, contracting for services, invoice processing, and "Final Project Completion" signoff processes, etc. Review job descriptions, duties and responsibilities of the PPD Remodel division to assign job duties properly. Strengthen internal controls to ensure that the PPD division supervisors and/or managers reviews project's scope of work.	Associate Vice President for ISS and Executive Director for ISS will move forward with consolidating PPD Remodel with Planning, Design and Construction (PDC) by January 15, 2017. They will work with the PDC Directors and Interim PPD Director to successfully consolidate these two units. PDC already has operating procedures for specific business functions and processes and will need time to evaluate and determine which ones are applicable to the Remodel division. If necessary, they will create additional operating procedures to enhance the business processes of the Remodel division. Executive Director for ISS and PDC Directors will meet with Human Resources to review the organizational structure of the consolidated unit and review job descriptions of staff to ensure appropriate alignment. PDC Directors and management team will ensure that all staff have a clear understanding of their duties and responsibilities.	8/31/2017	a. Implemented: On 12/15/16, it was announced to the PPD Remodel group and PDC that the consolidation between the two groups would take place. A new org code (363A) was created for the Remodel group and employees were officially transferred over to PDC on 2/1/17. b. The Remodel Group has already been transferred to PDC, which already has an business operating procedures manual. ISS management indicated that PDC sees a need for creating a checklist of operating procedures to follow and be held accountable., which IA reviewed; however, PDC is in the process of finalizing the checklist. PDC and ISS management believe the checklist will be completed 8/31/17. c. The ED for ISS and PDC Directors have met with HR and HR Compensation to review the organizational structure and job descriptions of staff in the consolidated unit, which IA reviewed. PDC is now waiting on executive leadership approvals to proceed with the proposed changes so they can update staff and distribute the final organizational chart. The target date to complete this is 8/31/17.	Chris Vallejos,Avp,Bsn Plng & Svcs/Iss

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