

BOARD of REGENTS



THE UNIVERSITY OF
NEW MEXICO.

AUDIT AND COMPLIANCE COMMITTEE MEETING

*Thursday, May 23, 2019 9:00 am
Scholes Hall, Roberts Room*

The University of New Mexico
Board of Regents' Audit and Compliance Committee
May 23, 2019 – 9:00 AM
Roberts Room
Agenda

ACTION ITEMS

1. Confirmation of a Quorum and Adoption of Agenda
2. Approval of Meeting Minutes from April 11, 2019
3. Audit and Compliance Committee Meeting dates for Calendar Year 2019. The following proposed meeting dates are being presented for Committee approval. The Committee meets in the Roberts Room. This schedule accommodates exit conference for the FY19 External Financial Statements Audit.

August 15, 2019

October 17, 2019 (Exit Conference for FY19 External Audit)

INFORMATION ITEMS

4. Advisors' Comments
5. Fiscal Year 2019 Financial Statements External Audit, Entrance Conference (*Moss Adams, KPMG, and Elizabeth Metzger, University Controller*)
6. Director of Internal Audit Status Report (*Victor Griego, Interim Internal Audit Director*)
7. Main Campus Chief Compliance Officer Status Report (*Francie Cordova, Interim Chief Compliance Officer; and Rob Burford, Director of Compliance*)
8. Health Sciences Center Chief Compliance Officer Status Report (*Arthur Culpepper, HSC Chief Compliance Officer*)
9. Status of Audit Recommendations (*Victor Griego, Interim Internal Audit Director*)
Implemented
Pending

EXECUTIVE SESSION

10. Vote to close the meeting and to proceed in Executive Session as follows:
 - a. Discussion of draft Internal Audit Reports, and discussions of information subject to attorney-client privilege pursuant RPM 1.2;
 - b. Discussion of limited personnel matters pursuant to exception at Section 10-15-1.H(2) NMSA (1978);
 - c. Schedule of Audits in Process and FY19 Audit Work plan, pursuant to RPM 1.2;
 - d. Vote to re-open the meeting.
11. Certification that only those matters described in Agenda item #10 were discussed in Executive Session and if necessary ratification of action, if any, taken in Executive Session.
12. Adjournment

THE UNIVERSITY OF NEW MEXICO
Board of Regents' Audit and Compliance Committee Special Meeting
April 11, 2019 – Draft Meeting Minutes

Members Present: Douglas Brown, Chair, Marron Lee, Vice Chair, Robert Doughty (quorum).

Other Attendees: Garnett Stokes, Liz Metzger, Ava Lovell, Terry Babbitt, Francie Cordova, Dorothy Anderson, Loretta Martinez, Craig White, Paul Roth, Purvi Mody, Arthur Culpepper, Jamie Silva-Steele, Victor Griego, Manu Patel, Chien-chih Yeh, Lisa Wauneka, William Cottrell, Avedona Lucero, Gonzalo Olivias, Mallory Reviere, Amy O'Donnell.

Chairman Brown called the meeting to order at 9:05 AM in the Roberts Room, Scholes Hall, UNM.

ACTION ITEMS:

- The Committee approved the meeting agenda.
- The Committee approved the prior meeting minutes from December 6, 2018.
- The Committee approved the next meeting date of May 23, 2019 (Entrance Conference for FY19 Financial Statements Audit).
- Liz Metzger, University Controller provided the committee with an overview of the external audit contract. This year covers the fiscal year 2019 external financial audit of UNM, and is the final year of a three-year award. Although it is a three-year award, the University is required to get the approval of this Committee each year.

The total fees will not exceed the amount included in the information provided to the Committee; the university always tries to get the best price if anything can be negotiated. The contract will not be created and executed until the University receives Committee approval. Last year's fully executed contract was provided to the Committee members as part of the meeting materials. Once this year is approved, UNM will start entering the numbers in to the State Auditor's online portal.

Chairman Brown asked members of UNM's financial areas if they were satisfied with the service and timeliness provided by these contracted firms. Ava Lovell, HSC Senior Executive Officer for Finance and Administration stated she would prefer for the external auditors to provide an in-state partner, because it is difficult to schedule with out of state people. Regent Lee asked why we did not go with someone local. Ms. Lovell replied that the Audit Committee Chair last year felt that the local partner had been on the audit for multiple years, and that it should be someone else. They didn't have anyone else local, so they provided a partner from California.

Ms. Lovell stated if that cannot be accomplished, they will deal with it but, it would be the preference. Ms. Metzger stated she has reached out to Lisa Todd, Moss Adams' Audit Manager. Moss Adams subcontracts with KPMG, so Ms. Metzger has indicated the desire for a local partner. Otherwise, there are no issues with continuing the work with the external auditors currently under contract.

Regent Lee noted it is an issue for the Regents each time this comes up, about whether we need fresh eyes. We end up rotating the two firms between Main Campus and HSC's work. The problem is the huge size of HSC and being able to get someone who can handle that work.

Chairman Brown stated there are two dimensions of fresh eyes, one is rotating the manager, and the other is rotating the firm. He asked Ms. Metzger and Ms. Lovell how long it has been that we have had this team of firms in place. They replied it has been many years. Ms. Metzger stated that this being the third year of the award, it will go out for RFP for the FY20 audit. Chairman Brown asked if there are any objections for this year to continue the third year of the contract. There were no objections. The Committee moved approval of the FY19 audit contract.

INFORMATION ITEMS:

- Victor Griego, UNM Interim Internal Audit Director introduced the Committee to the audit and compliance staff. Purvi Mody, UNM Health System Chief Compliance and Internal Audit Officer supplied the Committee with an information packet regarding her area and staff. Dr. Arthur Culpepper, HSC Chief Compliance Officer provided his background to the Committee as well.

- Advisors' Comments: None

By unanimous consent, the meeting went into Executive Session at 9:18 AM per the agenda.

- a. Discussion of limited personnel matters (Director of Internal Audit Department) pursuant to exception at Section 10-15-1.H(2) NMSA (1978);
- b. Schedule of Audits in Process and FY19 Audit Work plan, pursuant to RPM 1.2;
- c. Vote to re-open the meeting.

The meeting returned to open session at 9:28 AM, with certification that only those matters described above were discussed in Executive Session.

The meeting adjourned at 9:29 AM.

Approved:

Audit and Compliance Committee Chairman

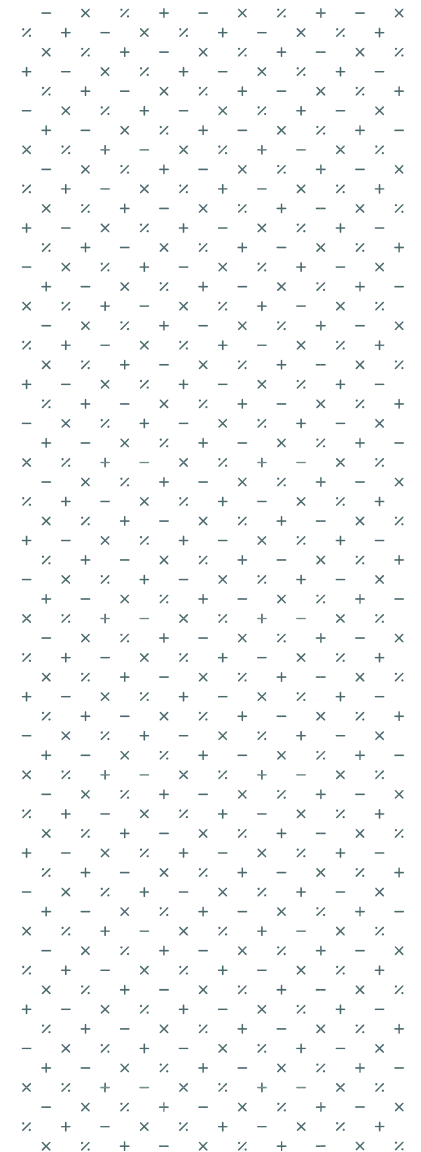
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this item



University of New Mexico

Entrance Conference Presentation to Audit Committee
May 23, 2019



Agenda

Audit Plan

- Your service team
- Scope
- Summary of audits to be performed
- Materiality

Other Items

Appendix A (for your reference)

Your Service Team

Moss Adams – Main Campus and Non-Clinical Operations:

- Lisa Todd, Partner
(UNM financial statement audit, single audit and component units)
- Scott Simpson, Concurring Partner
- Sujan Bhandari and Chris Noyes, Managers (UNM financial statement audit, UNM Single Audit)
- Sheila Herrera, Senior Manager
(STC.UNM, Lobo Development, Innovate ABQ, KNME, KUNM, and NCAA)
- Corrine Zajac-Clarkson, Senior Manager
(UNM Foundation and Anderson Schools of Management Foundation)

KPMG–Clinical Operations (UNM Hospital, UNM Behavioral Health, UNM Medical Group, Sandoval Regional Medical Center:

- Mark McComb, Partner
- Karissa Marker, Concurring Partner
- Suzette Longfellow, Managing Director
- Jaime Cavin, Senior Manager
- Ruth Senior, Manager



Scope

Risk-based Audit Approach:

- Specifically, significant risks of material misstatement whether due to error or fraud
- Based on our experience, discussions with management and those charged with governance

Audit Phases:

- Internal Controls
 - Conduct testing during the year to conclude on the proper design and implementation of controls
 - Test controls for purposes of assisting us to form an opinion on the financial statements
 - IT controls testing
- Compliance and controls over Federal grant requirements
- Final Audit Testing and Reporting
 - Testing of June 30, 2019 balances
 - Testing and review of financial statement disclosures

Summary of Audits

Financial Statement Audits:

- Opinion on the Government-wide financial statements of the University, includes the main campus, branches, health sciences center, hospitals, and all component units
- Moss Adams – responsible for the main campus and branches, Health Sciences Center and all components except clinical operations
- KPMG– responsible for the UNM Hospitals, Behavioral Health, UNMMG, SRMC

Single Audit:

- Moss Adams– responsible for the federal program compliance audit
- KPMG– assist in the testing of the federal program compliance audit (if needed) UNM Hospital and SRMC
- Professional Requirements:
 - Governmental Auditing Standards issued by the Comptroller General of the United States
 - Uniform Guidance
 - New Mexico Office of the State Auditor – 2019 Audit Rule



Other Items

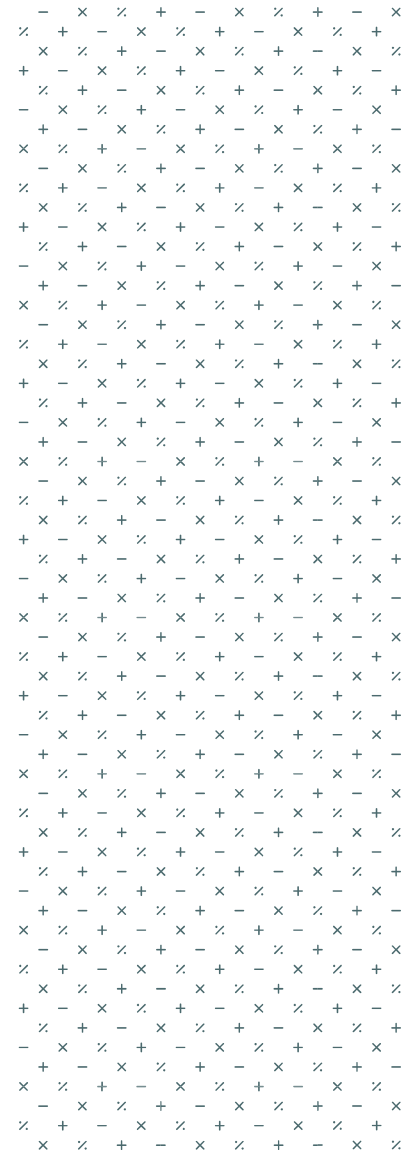
Communication

- Moss Adams and KPMG schedule weekly status meetings with applicable management teams through the issuance of the audit reports
- Moss Adams to work with OSA as needed regarding their follow up work to be conducted on athletics audit





Thank you!



Appendix A

- Timeline, Required Communications and Audit Areas

Timeline for UNM Main Campus (Includes HSC Academic Units), Component and Other Reporting Units

Entity	Planning	Interim Fieldwork	Final Fieldwork	Review Draft Financial Statement	Deliver Drafts to UNM
Moss Adams					
UNM	May 13 1 week	May 20 2 weeks	August 5 6 weeks	September 23 3 weeks	October 14
UNM Foundation	June 24 1 week	June 24 1 week	July 29 & August 12 2 weeks	August 12 1 week	September 13
UNM Anderson Foundation	June 10 1 week	July 8 1 week	August 26 1 week	August 26 1 week	September 13
Lobo Development	July 8 1 week	N/A	August 12 1 week	August 12 1 week	September 13
Innovate ABQ	July 8 1 week	N/A	August 12 1 week	August 12 1 week	September 13
Lobo Club	July 8 1 week	N/A	August 26 1 week	August 26 1 week	September 13
Lobo Energy	July 8 1 week	N/A	August 5 1 week	August 5 1 week	September 13
Alumni	July 8 1 week	N/A	August 26 1 week	August 26 1 week	September 13
STC	July 8 1 week	N/A	August 5 2 weeks	August 12 1 week	September 13
KUNM	June 24 1 week	June 24 1 week	October 14 1 week	October 14 1 week	N/A
KNME	June 24 1 week	June 24 1 week	September 23 1 week	September 23 1 week	N/A
NCAA	N/A	N/A	November 18 1 week	November 18 1 week	N/A

Timeline Healthcare Reporting Units

Entity	Planning	Interim Fieldwork	Final Fieldwork	Review Draft Financial Statement	Deliver Drafts to UNM
KPMG					
UNM Hospital	April 15 1 week	May 13 2 weeks	August 5 6 weeks	September 2 2 weeks	September 13
Behavioral Health	April 15 1 week	May 13 2 weeks	August 5 6 weeks	September 2 2 weeks	September 13
UNM Medical Group	April 15 1 week	May 13 2 weeks	August 5 5 weeks	September 2 2 weeks	September 13
Sandoval Regional	April 15 1 week	May 13 2 weeks	August 5 5 weeks	September 2 2 weeks	September 13

Purpose of Audit Committee Communication

The Auditor's Communication with Those Charged with Governance, requires:

- Communication with Audit Committee
- Pre and Post Audit communication
- Planned scope and timing
- Significant issues and findings

Audit Responsibilities

Management is responsible for:

- Adopting sound accounting policies
- Fairly presenting the financial statements, including disclosures, in conformity with GAAP
- Establishing and maintaining effective internal control over financial reporting (ICFR), including programs and controls to prevent, deter, and detect fraud
- Identifying and ensuring that the Company complies with laws and regulations applicable to its activities, and for informing the auditor of any known material violations of such laws and regulations
- Making all financial records and related information available to the auditor
- Providing unrestricted access to personnel within the entity from whom the auditor determines it necessary to obtain audit evidence
- Adjusting the financial statements to correct material misstatements
- Providing the auditor with a letter confirming certain representations made during the audit that includes, but is not limited to, management's:
 - Disclosure of all significant deficiencies, including material weaknesses, in the design or operation of internal controls that could adversely affect the Company's financial reporting
 - Acknowledgement of their responsibility for the design and implementation of programs and controls to prevent, deter, and detect fraud
 - Affirmation that the effects of any uncorrected misstatements aggregated by the auditor are immaterial, both individually and in the aggregate, to the financial statements taken as a whole

Audit Responsibilities

The Audit Committee is responsible for:

- Oversight of the financial reporting process
- Oversight of the establishment and maintenance by management of programs and internal controls designed to prevent, deter, and detect fraud

Management and the Audit Committee are responsible for:

- Setting the proper tone and creating and maintaining a culture of integrity and high ethical standards

The audit of the financial statements does not relieve management or the Audit Committee of their responsibilities.

Audit Responsibilities

Auditor is responsible for:

- Forming and expressing an opinion about whether the financial statements that have been prepared by management, with the oversight of the Audit Committee, are presented fairly, in all material respects, in conformity with GAAP.
- Planning and performing our audit with an attitude of professional skepticism to obtain reasonable—not absolute—assurance about whether the financial statements are free of material misstatement, whether caused by fraud or error. Because of the nature of audit evidence and the characteristics of fraud, we are able to obtain reasonable, but not absolute, assurance that material misstatements will be detected. Our audit is not designed to detect error or fraud that is immaterial to the financial statements.
- Conducting the audit in accordance with professional standards and complying with the Code of Professional Conduct of the American Institute of Certified Public Accountants, and the ethical standards of relevant CPA societies and relevant state boards of accountancy.
- Evaluating internal controls as a basis for designing audit procedures, but not for the purpose of expressing an opinion on the effectiveness of the entity’s internal controls.
- Communicating to management and the Audit Committee all required information, including significant matters.
- Communicating to management and the Audit Committee in writing all significant deficiencies and material weaknesses in internal control identified during the audit and reporting to management all deficiencies noted during our audit that are of sufficient importance to merit management’s attention. The objective of our audit of the financial statements is not to report on the Company’s internal control and we are not obligated to search for material weaknesses or significant deficiencies as part of our audit of the financial statements.

Audit Responsibilities – Other Information In Documents Containing Audited Financial Statements

The auditors' report on the financial statements does not extend to other information in documents containing the audited financial statements, excluding required supplementary information.

We are required to:

- Read the other information to identify material inconsistencies with the audited financial statements or material misstatements of fact, and
- Make appropriate arrangements with management or the Audit Committee to obtain the other information prior to the report release date

Any material inconsistencies or misstatements of fact that are not resolved prior to the report release date, and that require revision of the other information, may result in Moss Adams or KPMG modifying or withholding the auditors' report or withdrawing from the engagement.



Limitations to the Audit

- The audit of the financial statements does not relieve management or those charged with governance of their responsibilities
- Audit of financial statements includes consideration of internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control over financial reporting
- We design our audit to detect material misstatements, whether due to error or fraud
- Materiality is based on auditor judgment
- Considers both quantitative and qualitative factors

Use of Materiality in the Audits

- Professional standards require that we exercise professional judgment when we consider materiality and its relationship with audit risk when determining the nature, timing, and extent of our audit procedures, and when evaluating the effect of misstatements.
- Information is material if its misstatement or omission could reasonably be expected to influence the economic decisions of users taken on the basis of the financial statements.

Audit Approach – Main Campus (Includes HSC Academic Units) (Moss Adams)

Internal controls key areas of focus:

- Cash receipting transaction cycle
- Investments
- Payroll expenditures
- Non-payroll expenditures (procurement expenditures)
- Completeness and accuracy of census data (pension and OPEB liabilities)
- Contract and grants transaction cycle
- Journal entry approval
- Financial close process
- Banner system controls
 - Test both information technology and manual controls – incorporate use of IT specialists in the audits

Audit Approach – Main Campus (continued) (Includes HSC Academic Units) (Moss Adams)

Substantive Audit work key areas of focus:

- Compliance with Federal Grants and contracts
- Alternative investments valuation (UNM and UNMF)
- Accounts receivable and related revenues (student tuition and fees, Lottery scholarships, and other)
- Patient revenues (UNM Cancer Center, etc.)
- Valuation allowance for patient receivables and determination of uncompensated care
- Non-routine transactions
- Measurement of OPEB and related disclosures – updated current year valuation
- Recording of ERB net pension liability - updated current year valuation
- Measurement of Pension and related disclosures
- Derivatives valuation (UNM)
- VEBA plan
- Bonds payable, including compliance and financial statement presentation
- Compliance with bond and HUD loan guarantee covenants
- Accounting for transactions with affiliates (UNM Hospitals, UNMMG, SRMC, and other UNM component units)
- Operating expenses
- Non-operating revenues and expenses
- Follow up on prior year findings
- Financial statement presentation
- State audit rule testing

Audit Approach – Clinical Operations (KPMG)

Internal Controls and Substantive Audit Procedures

Key areas of focus:

- Patient revenue cycle
- Valuation allowance for contractual discounts and uncollectible patient receivables and determination of uncompensated care
- Estimated third-party payor settlements
- Payroll
- Recognition of purchased services (physician clinical effort)
- General expenditures
- Non-operating revenues/grants and expenses
- Cash and investments
- Evaluate the design and implementation of information technology and certain manual controls
- Related party transactions between UNM, UNM Hospitals, UNMMG and SRMC
- Contingencies (malpractice, payor disputes, etc.)
- Financial reporting and presentation
- Debt covenant compliance
- State Audit Rule compliance test for Healthcare entities



Key Areas – Other Component Units

Other Component Units

- Revenue recognition (patient revenue, investment income, contributions and other revenue sources)
- Expenditures
- Transactions with UNM
- Financial reporting and presentation
- NCAA Intercollegiate Athletics Agreed-upon procedures report
- KNME-TV and KUNM-FM Attestation reports

**Interim Internal Audit Director’s Status Report
Audit and Compliance Committee Meeting
May 23, 2019**

INFORMATION ITEMS

Audit Committee Meeting Calendar. The Committee meets at 9:00 AM in the Roberts Room. This approved schedule will accommodate the exit conference for the FY19 External Financial Statements Audit. The following are future proposed dates for the remainder of calendar year 2019 for the Committee’s consideration.

August 8, 2019 Start at 9:00 AM
October 17, 2019 Start at 9:00 AM (Exit Conference for FY19 Financial Statements Audit)

Audit Plan Status. The project status and hours report for the plan is at Tab #10c. The status of the proposed plan as of April 30, 2019 is:

Completed	7
Committee Presentation	2
Report Writing	1
Planning/Fieldwork	7
Subtotal	17
Assigned	5
Closed	1
Total	23

The Fiscal Year 2019 (FY19) draft audit plan includes four (4) audits carried over from FY18.

Complaints Status. The status of complaints assigned to Internal Audit for FY 2019, as of May 15, 2019 is:

Completed/Closed	21
Planning/Fieldwork	12
Unassigned	3
Total	36

Department Financial Report. At Tab #6 is the Internal Audit Department’s budget status report for your review. The FY19 adjusted budget is \$875,043, of which \$822,543 is from the general pooled account, \$4,000 is reimbursements of expenditures from the University of New Mexico Hospital for sharing audit software, and \$48,500 from the departmental reserve. As of April 30, 2019, the department’s actual expenditures are \$627,213 and encumbrances are \$106,193. The department estimates to have a reserve balance of \$165,000 at the end of fiscal year 2019.

Interim Internal Audit Director's Status Report
Audit and Compliance Committee Meeting
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Staffing

Internal Audit completed the interview process and selected a candidate for the vacant Auditor 3 position. The Department has also completed the interview process for vacant student intern positions and will be hiring two (2) student interns.

Internal Audit Quality Assessment Review

The Institute of Internal Audit Standards require a Quality Assurance Review (QAR) every five years by a qualified independent reviewer (team) from an outside organization. The last Quality Assurance Review (QAR) report was issued on February 8, 2013. Internal Audit has initiated a QAR for FY 2020. A team of three will conduct our peer review and we have tentatively selected a retired Audit Supervisor from Oklahoma State University as the Lead Reviewer. Estimated cost for the review is \$10,000, which will include QAR fees and travel costs for QAR team members. Fieldwork is planned for the week of October 14, 2019, with the final report expected to be issued by mid December 2019 and presented during the February 2020 Audit and Compliance Committee meeting.

FY 2020 Risk Assessment

Internal Audit completes a University-Wide Risk Assessment every three years. The last University-Wide Risk Assessment was in FY 2017. Internal Audit will be working in collaboration with the Main Campus Compliance Officer, HSC Chief Compliance Officer, and Health System Internal Auditor to plan, develop, and complete the 2020 Risk Assessment. As a collaborative effort, our goal is to complete the most efficient risk assessment by avoiding duplication, and developing effective work plans for the Internal Audit and Compliance departments.

Considering the existing risk and urgency of firewall security, Internal Audit is considering the use of an external IT consultant to assist our IT Auditor in prioritizing and completing the firewall audit, which was included on the FY 2019 audit plan.

Financial Statements External Audit RFP

The University's FY 2019 external audit is the final year of the three-year contract with KPMG and Moss Adams. The University will once again initiate the RFP process in the fall of 2019 for a three-year external audit proposal. The Controller's office will lead a selection committee in the effort for the upcoming RFP process. The selection will likely be early 2020, after the committee review of the proposals, and presentations by the firms chosen as finalists.

External Audits and Reviews

At Tab #6 is the summary information as of March 31, 2019 regarding the external audits and reviews (third party financial audits) of various grants, contracts, and programs by various grantor agencies. There are currently nine (9) reviews underway. The National Science Foundation contracted with the WithumSmith + Brown firm to conduct a financial audit of various grants, totaling \$79 million. The University received a draft report on April 20, 2018 with about \$49 thousand in questioned costs, which is very insignificant compared to overall

Interim Internal Audit Director's Status Report
Audit and Compliance Committee Meeting
May 23, 2019

grant amounts. As of March 25, 2019, the NSF Grant & Contract Cost Analyst has allowed \$29 thousand and disallowed \$20 thousand of previously questioned costs. 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 University has provided requested information, and as of May 2019, is awaiting final review by sponsor. The Office of Justice is auditing ten (10) program awards totaling \$5.7 million. At the exit conference on March 14, 2019, the grant auditors identified salary/fringe benefits costs as unsupported (effort certification); however, the University Contract and Grant Accounting communicated to the grant auditor that effort certifications will be completed during the required effort certification period resulting from timing issues in their sample selection. The Dallas County Hospital District is auditing the \$750,000 grant for the project Extension for Community Healthcare Outcomes (ECHO). The City of Albuquerque has completed their site visit of the Family and Community Medicine program, but has not scheduled an exit conference yet.

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 68 records related to patient billings, totaling \$1.1 million, from November 2018 through March 31, 2019. Of these, approximately \$59,000 has been repaid to CMS and three (3) claims totaling \$27,000 are pending further review.

990 Review

The Department has started a process to capture Internal Revenue Services required Form 990 information for fiscal year 2018. A summary memorandum will be completed and presented to the Audit and Compliance Committee during the August 2019 meeting.

Index: 676000 - 113280-AUDIT DEPARTME-General Activ

Account Description	Budget (FYTD) Adopted	Budget (FYTD) Adjustments	Budget (FYTD) Accumulated	Actuals Current Month	Actuals Pct	Actuals Fiscal YTD	Actuals Pct	Encumbrances	Balance Available	Balance Pct
Revenue										
0340 - University Hospital Re!	\$4,000.00	\$0.00	\$4,000.00	\$0.00	.00%	\$3,639.50	90.99%	\$0.00	\$360.50	9.01%
1640 - Allocations Pooled Allo!	\$822,543.00	\$0.00	\$822,543.00	\$0.00	.00%	\$822,543.00	100.00%	\$0.00	\$0.00	.00%
1900 - Reserves	\$0.00	\$0.00	\$0.00	\$0.00	.00%	\$102,655.88	.00%	\$0.00	(\$102,655.88)	.00%
1901 - Budgeted Use of Rese!	\$48,500.00	\$0.00	\$48,500.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$48,500.00	100.00%
1903 - Change in Reserves	\$0.00	\$0.00	\$0.00	\$0.00	.00%	(\$20,000.00)	.00%	\$0.00	\$20,000.00	.00%
*TOTAL Revenue	\$875,043.00	\$0.00	\$875,043.00	\$0.00	.00%	\$908,838.38	103.86%	\$0.00	(\$33,795.38)	(3.86%)
Expense										
2020 - Administrative Profess!	\$683,716.00	\$51,500.00	\$735,216.00	\$47,945.58	6.52%	\$531,391.99	72.28%	\$96,192.16	\$107,631.85	14.64%
2060 - Support Staff Salary D!	\$47,184.00	\$0.00	\$47,184.00	\$3,632.94	7.70%	\$37,213.34	78.87%	\$9,981.24	(\$10.58)	(.02%)
20J0 - Student Salaries Gen	\$18,000.00	\$0.00	\$18,000.00	\$131.00	.73%	\$4,676.56	25.98%	\$0.00	\$13,323.44	74.02%
20P0 - Temporary Salary Gen	\$5,000.00	\$0.00	\$5,000.00	\$0.00	.00%	\$1,135.75	22.71%	\$0.00	\$3,864.25	77.28%
20SA - Salary Adjustments	\$51,500.00	(\$51,500.00)	\$0.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$0.00	.00%
3100 - Office Supplies Gener!	\$672.00	\$0.00	\$672.00	\$0.00	.00%	\$256.95	38.24%	\$19.95	\$395.10	58.79%
3110 - Books Periodicals Gen	\$50.00	\$0.00	\$50.00	\$0.00	.00%	\$69.99	139.98%	\$0.00	(\$19.99)	(39.98%)
3140 - Computer Software G!	\$150.00	\$0.00	\$150.00	\$280.00	186.67%	\$734.00	489.33%	\$0.00	(\$584.00)	(389.33%)
3150 - Computer Supplies <\$!	\$100.00	\$0.00	\$100.00	\$0.00	.00%	\$13.60	13.60%	\$0.00	\$86.40	86.40%
3180 - Non Capital Equipmen!	\$0.00	\$0.00	\$0.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$0.00	.00%
3189 - Computers & Servers !	\$2,000.00	\$0.00	\$2,000.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$2,000.00	100.00%
31A0 - Business Food - Local	\$800.00	\$0.00	\$800.00	\$129.00	16.13%	\$653.50	81.69%	\$0.00	\$146.50	18.31%
31B0 - Food F&A Unallowabl!	\$0.00	\$0.00	\$0.00	\$0.00	.00%	\$203.00	.00%	\$0.00	(\$203.00)	.00%
31C0 - Dues Memberships G!	\$4,000.00	\$0.00	\$4,000.00	\$0.00	.00%	\$4,672.00	116.80%	\$0.00	(\$672.00)	(16.80%)
31J0 - Parking Permits Gen	\$250.00	\$0.00	\$250.00	\$0.00	.00%	\$444.00	177.60%	\$0.00	(\$194.00)	(77.60%)
31K0 - Postage Gen	\$40.00	\$0.00	\$40.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$40.00	100.00%
31P0 - Training Materials Sup!	\$200.00	\$0.00	\$200.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$200.00	100.00%
3800 - In State Travel Gen	\$1,190.00	\$0.00	\$1,190.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$1,190.00	100.00%
3805 - Instate Travel-Per Die!	\$0.00	\$0.00	\$0.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$0.00	.00%
3810 - Instate Travel-Per Die!	\$0.00	\$0.00	\$0.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$0.00	.00%
6000 - Telecom Charges Gen	\$3,500.00	\$0.00	\$3,500.00	\$292.50	8.36%	\$3,195.00	91.29%	\$0.00	\$305.00	8.71%
6020 - Long Distance Gen	\$50.00	\$0.00	\$50.00	\$6.82	13.64%	\$17.16	34.32%	\$0.00	\$32.84	65.68%
6060 - Voice Mail Box Gen	\$634.00	\$0.00	\$634.00	\$50.00	7.89%	\$485.00	76.50%	\$0.00	\$149.00	23.50%
6300 - Alarm System Gen	\$200.00	\$0.00	\$200.00	\$11.25	5.63%	\$137.50	68.75%	\$0.00	\$62.50	31.25%
6315 - Electronic Databases	\$1,200.00	\$0.00	\$1,200.00	\$126.00	10.50%	\$1,260.00	105.00%	\$0.00	(\$60.00)	(5.00%)
6370 - Printing/Copying/Bindi!	\$0.00	\$0.00	\$0.00	\$0.00	.00%	\$61.49	.00%	\$0.00	(\$61.49)	.00%

Index: 676000 - 113280-AUDIT DEPARTME-General Activ

Account Description	Budget (FYTD) Adopted	Budget (FYTD) Adjustments	Budget (FYTD) Accumulated	Actuals Current Month	Actuals Pct	Actuals Fiscal YTD	Actuals Pct	Encumbrances	Balance Available	Balance Pct
63A0 - Conference Fees Gen	\$1,000.00	\$0.00	\$1,000.00	\$3,075.00	307.50%	\$3,075.00	307.50%	\$0.00	(\$2,075.00)	(207.50%)
63A2 - Seminars/Training Fe!	\$6,900.00	\$0.00	\$6,900.00	\$1,675.00	24.28%	\$3,568.61	51.72%	\$0.00	\$3,331.39	48.28%
63C0 - Copying Gen	\$100.00	\$0.00	\$100.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$100.00	100.00%
63J0 - Legal Services Gen	\$0.00	\$0.00	\$0.00	\$0.00	.00%	\$5,264.93	.00%	\$0.00	(\$5,264.93)	.00%
63V0 - Consultant Fees Gen	\$15,000.00	\$0.00	\$15,000.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$15,000.00	100.00%
69Z0 - Other Professional Ser!	\$13,500.00	\$0.00	\$13,500.00	\$739.34	5.48%	\$11,545.36	85.52%	\$0.00	\$1,954.64	14.48%
7000 - Plant Repairs Mainten!	\$200.00	\$0.00	\$200.00	\$0.00	.00%	\$377.82	188.91%	\$0.00	(\$177.82)	(88.91%)
70E0 - Computer Hardware !	\$600.00	\$0.00	\$600.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$600.00	100.00%
70E1 - Computer Software M!	\$11,500.00	\$0.00	\$11,500.00	\$0.00	.00%	\$11,090.67	96.44%	\$0.00	\$409.33	3.56%
70F0 - Equipment Rent Expe!	\$2,400.00	\$0.00	\$2,400.00	\$196.10	8.17%	\$2,040.19	85.01%	\$0.00	\$359.81	14.99%
75Z0 - Other Repairs Mainten!	\$0.00	\$0.00	\$0.00	\$0.00	.00%	\$20.00	.00%	\$0.00	(\$20.00)	.00%
80K0 - Banner Tax	\$607.00	\$0.00	\$607.00	\$65.81	10.84%	\$491.87	81.03%	\$0.00	\$115.13	18.97%
80K2 - Foundation Surcharge	\$2,800.00	\$0.00	\$2,800.00	\$291.45	10.41%	\$3,118.02	111.36%	\$0.00	(\$318.02)	(11.36%)
*TOTAL Expense	\$875,043.00	\$0.00	\$875,043.00	\$58,647.79	6.70%	\$627,213.30	71.68%	\$106,193.35	\$141,636.35	16.19%
Total Revenue:	\$875,043.00	\$0.00	\$875,043.00	\$0.00	.00%	\$908,838.38	103.86%	\$0.00	(\$33,795.38)	(3.86%)
Total Expense:	\$875,043.00	\$0.00	\$875,043.00	\$58,647.79	6.70%	\$627,213.30	71.68%	\$106,193.35	\$141,636.35	16.19%
Net:	\$0.00	\$0.00	\$0.00	(\$58,647.79)	.00%	\$281,625.08	.00%	(\$106,193.35)	\$175,431.73	.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 March 31, 2019**

Granting Agency/Entity	National Science Foundation (NSF)	Dallas County Hospital District	HRSA	HRSA	OJP	OJP	Sandia	City of Albuquerque	CMS (Patient Billings) - RAC Requests as of March 31, 2019 (for the Period November 1, 2018- March 31, 2019)
Contract/Grant/Program Title	Various; 92 total awards tested	3RZ07	3RY66	3RX49	Various; 6 total awards selected	Various; 4 total awards tested	Various; 118 total POs tested	3RFB8	Medicare
Contract/Grant Period	Various; Audit covers FY14-FY16	2016-2017	8/1/15 - 7/31/17	4/1/15 - 3/31/17	Various; Perform Routine Grant Financial Monitoring on six active awards through December 31, 2018	Various; Financial and programmatic on-site review	Various; Audit covers FY16-FY18	10/1/18-9/30/19	Various
Contract/Grant Total Amount	Various; 92 awards in totaling \$79 million tested by OIG-Contract auditor	\$750,000.00	\$945,256.00	\$1,465,732.00	\$3,069,500.00	\$2,635,502.00	Various; 118 PO's	\$750,000.00	N/A
Contract/Grant Amount - Current FY									N/A
Principal Investigator	Various	Sanjeev Arora	Steven Williams	Steven Williams	Various	Various	Various	Arthur Kaufman	N/A
Department	Various	ECHO	Infectious Diseases	Infectious Diseases	Various	Various	Various	FCM	Hospital RAC Audits
Agency Audit/Review Notification Date	7/14/2016	Dallas County Hospital District	HRSA	HRSA	OJP 2/7/2019	OJP 4/12/2018	SNL 10/24/2018	3/25/2019	Various
Audit/Review Entrance/Visit Date(s)	7/27/16 Entrance Call 3/27/17 - 4/7/17 On-Site	TBD	6/13/2017	6/13/2017	3/12/2019	8/13/2018	TBD	4/30-5/2/19	Remote
Audit/Exit/Final Report Issued	Final OIG Report Issued on 8/22/18. Final Management Decision Letter received on 3/25/19	6/28/2017			Exit Conference held on 3/14/2019; Final report TBD	TBD	TBD	TBD	Continuous
Questioned Cost, if any	The audit report identified \$48,842 in questioned costs. As a result of its resolution efforts, NSF has determined that \$28,733 will be allowed and that \$20,109 will be disallowed.				N/A	N/A			N/A
Audit/Review Major Finding, if any	\$16,775 in unreasonable transactions and \$3,334 in unreasonable travel								See Comments
Corrective Action Plan, if any									In Process
Planned Implementation Date									N/A
Campus	Main/HSC	HSC	HSC	HSC	Main/HSC	Main/HSC	Main/HSC	HSC	Hospital RAC Audits
Auditor if Different than Grantor	WithumSmith+Brown (WSB)								Cotiviti
Comments	NSF, OIG Audit Received Formal Draft Report from Withum-Smith+Brown on April 20, 2018. UNM provided a response letter to WithumSmith+Brown on May 2, 2018. Had a conference call with Chris Andall, NSF Grant & Contract Cost Analyst on October 24, 2018. We went through the future timeline for further NSF Review. Final Management Decision Letter received on 3/25/19. UNM already repaid \$13,879 of \$20,109 disallowed costs from NSF's ACM \$. The remaining balance of \$6,230 will be processed through pay.gov based on guidance from NSF. This has been processed by UNM CGA office, but we are awaiting on confirmation and receipt of final refund.	On-site review, pending draft report. Communication via email with Edward Davila in March, May and August of 2018; no report provided to date.	Initial Response Letter sent November 2017. Revised report submitted May 2018 and waiting for response from Sponsor. Final site visit comment response under review by HRSA per January 2019 conference call. Sponsor had questions on responses to comments, we have clarified and returned for sponsor review May 3, 2019.	Initial Response Letter sent November 2017. Revised report submitted May 2018 and waiting for response from Sponsor. Final site visit comment response under review by HRSA per January 2019 conference call. Sponsor had questions on responses to comments, we have clarified and returned for sponsor review May 3, 2019.	Received site visit confirmation letter on 2/7/19. Site visit by OJP staff accountant on March 12-14, 2019. Exit conference was held on 3/14/19, and there was disagreement between CGA offices and auditor on unsupported salary/fringe costs identified by auditor. The unsupported costs were in regards to effort certifications that had not yet been completed due to the effort period not yet kicked off for the samples selected. This was communicated as a timing issue, and not unsupported.	UNM completed all follow-up actions required from site visit. We are still awaiting OJP approval of GANs submitted.	Received audit engagement letter on 10/24/18. General ledger and payroll detail provided to auditor for preliminary analysis. TBD on further review or fieldwork, if necessary.	Completed site visit, no items noted during on site review and still pending communication on planned exit.	68 Claims were reviewed with reimbursement of \$1.1 Million from 11/1/2018 - 3/31/19. Repayment in the amount of \$59 Thousand was made. Three (3) claims are pending review with original reimbursement of \$27 Thousand.

The University of New Mexico – DOJ Agreement One-Year Progress Report

October 17, 2016 – October 16, 2017

Annual Progress Report on UNM’s Actions to Advance Anti-Harassment and Sexual Misconduct Efforts



The U.S. Department of Justice, the United States Attorney’s Office for the District of New Mexico, and The University of New Mexico (UNM), entered into a three-year 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. As part of the effort to ensure a safe campus, UNM is committed to preventing sexual misconduct and gender discrimination, conducting fair processes for all, and providing a secure and caring environment for the entire community. Regardless of changes made to Title IX compliance nationally, UNM is continuing to provide the training and resources needed to combat these serious issues. The university has taken significant steps to address a number of concerns but has more work to do in attempting to change attitudes and behaviors.

In the past year, UNM has made significant progress in complying with the delineated tasks and implementing improvements. This Progress Report details the tasks UNM has completed during the first year of the three-year agreement.

UNM Training:

- 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. This across-the-board training makes the campus safer for everyone.
- For the 2016 calendar year, UNM’s employee training had broad participation by our faculty, staff, and student employees. **Of the 13,649 UNM faculty, staff, and student employees, 12,321 individuals (90.3%) completed the required “Intersections: Preventing Discrimination and Harassment” training in 2016.**
- Our regular staff and faculty had impressive completion rates.

<u>Regular Staff</u>	<u>% Complete</u>
Contract Staff	99.4%
CWA Bargaining Unit	97.7%
Exempt Staff	99.6%
Non-Exempt Staff	99.1%
Police Bargaining Unit	97.6%
USUNM Bargaining Unit	98.7%
Total Regular Staff	99.1%

<u>Regular Faculty</u>	<u>% Complete</u>
12 Month Faculty	97.9%
9 Month Faculty	95.4%
Executive Faculty	100.0%
Post Doctoral and Fellows	97.3%
Total Regular Faculty	96.9%

- This all-employee training effort has continued into 2017. The due date for completion of the 2017 employee training is December 1.
- Pursuant to the agreement, UNM is providing interactive and intensive *in-person* training on the prevention of sexual harassment and misconduct, and our policies and procedures regarding Title IX complaints, to thousands of students on the campus. In March 2017, all UNM students were notified by email about the mandatory training requirement. The

notice was also disseminated through UNM's website and social media outlets.

- The in-person training program, entitled "*The Grey Area*," is approximately 1.5 - 2 hours in length and is comprised of two sessions – a large group session and a smaller, interactive session. In the sessions, students examine the interconnected issues of dating and domestic violence, sexual violence, bystander intervention, and consent, through a variety of discussions and supportive materials.

In the spring of 2017, UNM began providing the mandatory, in-person, interactive training to all students at UNM. This includes freshmen, new graduate students, and incoming transfer students. UNM also started providing training to existing students. These trainings are being offered across campus at varying times and locations.

A summary of our student training efforts to date:

- **Since March 24, 2017, 76 undergraduate training sessions have been completed and 13,982 undergraduates have been trained (including New Student Orientation for 2015, 2016, 2017, spring and summer 2017).**
- **Sessions for "*The Grey Area for Graduate and Professional Students*" training programs began in June 2017. Since then, 50 graduate and professional training sessions have been completed and 1,954 graduate and professional students trained.**
- Sixty (60) sessions are scheduled for fall 2017 through mid-November. More sessions are currently being scheduled.
- Attendance tracking is currently being completed via an automated LoboCard system for students who have a LoboCard ID. All others use a sign-in process to check in. For example, HSC does not use the LoboCard system for their IDs.
- **To date, 1,527 students have received the "*The Grey Area*" training at Gallup, Los Alamos, Taos and Valencia.**
- All students who received "*The Grey Area*" in-person training in the summers 2015 and 2016, and are still enrolled at the university, will take "*Campus Clarity: Think About It*" online training modules during the 2017-2018 academic year.
- The agreement requires that UNM personnel involved in processing, investigating, or resolving complaints of sexual misconduct receive additional training. This includes intensive and specialized training for Office of Equal Opportunity staff members, UNM Police Officers, and Dean of Students Office personnel who are likely to receive reports,

investigate, and handle discipline involving sexual harassment and misconduct.

- **Staff members at the UNM Police Department, Office of Equal Opportunity, and Dean of Students Office, have collectively participated in more than 1,500 hours of training focused on Title IX, Trauma Informed Investigation, Inherent Bias, and Rape Crisis.**
- In January 2017, UNM engaged Dr. Chris Wilson, a nationally known professional trainer, to conduct an intensive, multi-day training session relating to *Forensic Experiential Trauma Interview (FETI) within the Sexual Assault Investigation Response*, for numerous university employees. This training enables response staff to gather evidence more effectively and better understand the traumatized person’s experience.
- In October 2017, UNM provided a “Neurobiology of Trauma” training by Dr. David Lisak. For the past 30 years, Dr. Lisak has been the premier researcher in the area of sexual and gender-based violence on college campuses, having conducted his research out of the Psychology Department at University of Massachusetts. Dr. Lisak also offered a condensed version of the “Neurobiology of Trauma” training for Interim President Chaouki Abdallah, Vice Provost Rich Wood, a member of the board of regents, and several staff members from the Office of the Provost.
- On November 1, 2016, the UNM Police Department adopted a written protocol, for all police officers who respond to or investigate allegations of sexual assault, requiring training at least annually.
- UNM’s Ombuds Services for Staff, which is a university office dedicated to supporting efforts of UNM employees to improve communication and collaboration in the workplace, has developed a workshop for responsible employees on listening and responding constructively when approached with a report of sexual misconduct. The workshop entitled “Responsible Listening” is approximately three (3) hours in length and is provided in-person.

Policies, Procedures & Practices:

- The agreement requires changes to several of UNM’s policies, procedures, and practices relating to sexual harassment and misconduct. Prior to the start of the Department of Justice investigation, UNM drafted a new comprehensive policy on sexual violence, which was issued as University Administrative Policy (UAP) 2740: Sexual Violence and Sexual Misconduct, on May 15, 2015. UNM has been working on revisions to UAP 2740. The Office of Equal Opportunity also made significant edits to UAP 2720: Equal Opportunity, Non-Discrimination, and Affirmative Action, to address the Department of Justice and other concerns. These policies (UAP 2720 and UAP 2740) will go out for comment in late fall or early spring and at that time, UAP 2730: Sexual Harassment will be rescinded.

- UNM’s interim president has convened a Presidential Task Force related specifically to identifying responsible employees at UNM and the requirements, under policy, of those employees who end up not being identified as responsible employees. This task force may suggest changes to UAP 2740.
- **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.**
- The Office of Equal Opportunity’s revised procedures and guidance documents are clear and effective, and intended to streamline the manner in which the office investigates claims that are raised. This better aligns the university’s procedures with the recommendations from the Department of Justice. Newly adopted (in June 2016) Office of Equal Opportunity procedures include:
 - Discrimination Claims Procedure;
 - Checklist for Formal Investigation Process – Individual; and,
 - Checklist for Formal Investigation Process – Departmental.
- Dean of Students Office procedures adopted in 2017 include:
 - Supportive measures, such as academic and administrative measures; and,
 - Safety measures, such as interim bans and no contact directives.
- New guidance documents improve regular communication between UNM Units.
 - The UNM Police Department and the Office of Equal Opportunity finalized a Memorandum of Understanding detailing how they will work together on sexual harassment and misconduct cases;
 - The Dean of Students Office and the Office of Equal Opportunity finalized a Memorandum of Understanding describing how they will work together on sexual harassment and misconduct cases; and,
 - The UNM Police Department has developed a system for consistent referrals of sexual harassment and misconduct cases to UNM’s Title IX Coordinator.
- UNM has started to implement new internal reporting systems to record crucial information involving the investigation of sexual harassment and misconduct matters.

Staffing:

- UNM has a Title IX Coordinator and five (5) Civil Rights Investigators who work in the Office of Equal Opportunity on sexual harassment and misconduct matters. Although two of the investigator positions were temporary, UNM established permanent funding in next year’s budget for these positions. In addition, a new Administrative Assistant was hired in the

Office of Equal Opportunity to assist with data collection and input, quality assurance of data, and administrative tasks to support investigators.

- In 2017, UNM’s Dean of Students Office hired two (2) Trainers/Advocates to assist with “*The Grey Area*” in-person student training effort and to provide support and advocacy through the LoboRESPECT office. With this addition, the Dean of Students Office now utilizes seven (7) Advocates – five (5) in LoboRESPECT and two (2) in the Women’s Resource Center.
- In 2017, UNM’s Women’s Resource Center hired a new director. The center is a place of advocacy, support, and safety for all members of UNM and the greater community. The Women’s Resource Center also hired a gendered violence program coordinator who, in collaboration with the Education Coordinator at LoboRESPECT, designed a program to provide peer educators with tools, knowledge, and skills-based workshops on the following topics: sexual violence prevention, hate, bias and discrimination prevention, alcohol and substance abuse, suicide prevention, and bystander intervention. In addition, the center added an academic advisor one (1) day a week so students can receive academic support in the same safe space they are receiving other support services.
- Respondent Support Services (RSP)- The University of New Mexico aims to create a safe learning environment for all students. Should the Office of Equal Opportunity identify a student as a respondent during an investigation, respondents are encouraged to contact the Dean of Students Office to inquire about Respondent Support Services. The RSP’s are a trained resource person at the University of New Mexico. These individuals undergo extensive training to be able to assist respondents with navigating the investigation process. These individuals are able to offer near equivalent services to respondents in order to alleviate the impact of an investigation on their educational experience at UNM. These individuals undergo FETI training, as well as Title IX procedure, DOS conduct procedure, and student rights training. Services an RSP might offer include:
 - Attend meetings (investigative conversations, housing removal/relocation discussions, resolution agreement discussions, e.g.) as a support person;
 - Review documents and materials from investigation, final report, and sanctioning decisions as requested;
 - Manage academic, housing, access to dining facilities and interim safety measures as requested by respondent;
 - Provide information and referral to university and community based resources for additional support needs;
 - Supporting and connecting respondents with on-campus and off-campus resources;
 - Assist with Academic Supportive Measures;
 - Provide general support and a safe listening space.

- Campus-wide deputy Title IX coordinators were established in 2017, in order to formalize the work being done in Title IX Compliance and ensure that each area on campus is being served fully. The new deputy Title IX coordinators are found in Human Resources, the Office of the Provost, Athletics, and Residence Life and Student Housing. UNM’s interim president provided the catalyst and support for these leaders to be recognized formally across campus.

Campus-wide Efforts:

- UNM receives suggestions on improving the campus climate through climate surveys:
 - During Spring Semester 2016, UNM conducted a Main Campus campus-wide climate survey to make sure that UNM is serving the student population regarding campus climate. The results are located at <http://oeo.unm.edu/title-ix/campus-climate-survey.html>. In particular, the results of this climate survey concluded that a majority of students generally knew that UNM had a policy prohibiting sexual misconduct and recognized where to get help on campus.
 - During Spring Semester 2017, UNM conducted two campus climate surveys.
 - At UNM’s branch campuses, the National Campus Climate Survey (NCCS) was utilized, through a vendor, SoundRocket. The survey ran for approximately four (4) weeks, with five (5) 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.
 - Also during Spring Semester 2017, for UNM’s main campus, OEO, in collaboration with a UNM faculty principal investigator and the University of Kentucky, used the Multi College Bystander Efficacy Evaluation (McBee). The survey ran for approximately four (4) weeks with one (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.
- On February 1, 2017, UNM implemented 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. These efforts include continued campus climate surveys on sexual misconduct, evaluations of student and staff/faculty trainings, and focus groups with students to qualitatively assess how UNM can improve reporting and responding to incidents of sexual misconduct and retaliation.

- In August 2017, UNM updated the LoboRESPECT website. This website includes comprehensive information on UNM's prevention education efforts and programs, services and support for victims of sexual misconduct, and policies.
- Starting in the summer of 2017, all LoboCard IDs now display the contact information for the UNM Police Escort Service and the LoboRESPECT Advocacy Center on the back of each card.
- In September 2017, during Campus Safety Week, UNM's interim president issued a campus-wide message focused on preventing sexual misconduct on the campus. In addition, the interim president participated in the Annual Campus Safety Walk.
- In September 2017, UNM hosted national speaker, Kate Harding, for a campus-wide talk. Harding addressed the myths of rape culture in her lecture, "Taking Down Rape Culture." Her lecture came during UNM's Campus Safety Week and National Campus Safety Awareness Month.

Faculty Efforts:

- **UNM faculty has been very engaged in improving the campus environment. In the fall of 2016, UNM faculty members created Faculty for a Sexual Assault Free Environment at UNM to focus on the execution of the DOJ agreement and/or prevention of sexual harassment and misconduct at UNM. Faculty SAFE UNM has a core group of approximately 20 faculty members and more than 60 others, who monitor the work of the group.**
- In February 2017, Faculty SAFE UNM, in cooperation with the Feminist Research Institute, the Health Sciences Center Faculty Council, and OEO, hosted Dr. Jennifer Freyd from the University of Oregon for a keynote lecture. Dr. Freyd met with faculty, administrators, staff, and police engaged with Title IX compliance, as part of Faculty SAFE UNM's efforts to strengthen research-based responses to sexual harassment and violence at UNM.
- Faculty offer a variety of courses that directly address topics of relationship violence and/or sexual misconduct, including undergraduate and graduate level courses, across the UNM campus, including the Health Sciences Center and the School of Law.
- Representatives of Faculty SAFE serve on both Policy Office and Title IX committees, where

they play an active and collaborative role in the development of UNM policies on sexual harassment and misconduct.

- Faculty have spearheaded efforts to increase research on sexual violence and gender inequality at UNM, by bringing the CDC-funded University of Kentucky Multi-College Bystander Efficacy Evaluation study to UNM from 2017 to 2019.
- In October 2017, UNM Professor Elizabeth Hutchison presented a talk at Columbia University as part of a forum titled “Beyond Prevalence: The Next Generation of Research on Campus Sexual Assault” as part of the “Reframing Gendered Violence” series hosted by CU’s Center for the Study of Social Difference. The Center is grounded in the idea that a consensus has emerged that campus sexual assault is a serious public health problem, and that innovative and effective prevention requires research that both includes and extends beyond simply measuring the scope of the problem.
- In November 2016, the Faculty Senate passed a Resolution Regarding Faculty Reporting Obligations at The University of New Mexico, found at <https://facgov.unm.edu/ResolutionsList.html>. This resolution affirmed the faculty’s role in fostering awareness of sexual violence and supporting students and other members of the campus community impacted by sexual violence, recommending that most faculty and staff be exempted from the obligation to report.

Web Resources:

- LoboRESPECT is the name of UNM’s comprehensive approach to preventing and responding to sexual violence in the campus community. The LoboRESPECT website includes information on UNM’s prevention education efforts and programs, services, and support for victims of sexual violence, our policies and sanctions, and much more. The website can be found at: <http://loborespect.unm.edu/about.html>
- Information about “*The Grey Area*” in-person student training program for the prevention of sexual harassment and misconduct and policies and procedures regarding Title IX complaints is located at: <http://thegreyarea.unm.edu>. Additional dates and times will be listed, as they become available. Many departments and colleges across campus will be hosting additional training sessions.
- Newly adopted Office of Equal Opportunity procedures can be found at: <https://oeo.unm.edu/index.html>
- Notices and information about UNM’s Title IX Coordinator have been widely disseminated to the university community. Additional information regarding the Title IX Coordinator is located at: <https://oeo.unm.edu/title-ix/index.html>

- Additional information about Faculty SAFE UNM can be found at:
<https://facultysafeunm.wordpress.com/about/>

Conclusion:

At UNM, “each of us defines all of us.” That means each of us must support, respect and acknowledge one another in our differences and in our challenges. The culture of contrasts that we embrace gives us the tools we need to make changes that make a difference. Together, we will protect the pack.

-Chaouki Abdallah, Interim President

For additional information, please contact:

UNM Office of Equal Opportunity

Francie Cordova, JD, Director, Email: oeounm@unm.edu

Heather Cowan, UNM Title IX Coordinator, Email: hbcowan@unm.edu

MSC05 3150 1 University of New Mexico Albuquerque, NM 87131

Phone: (505) 277-5251 Fax: (505) 277-1356

UNM Police Department

Kevin McCabe, Chief of Police

MSC02 1540 2500 Campus Blvd. NE Albuquerque, NM 87131

For Emergencies: 911

For all other calls: UNM PD dispatch (505) 277-2241

Safety Escorts: (505) 277-2241

UNM Dean of Students Office

Nasha Torrez, Dean of Students

Lisa Lindquist, Director of the LoboRESPECT Advocacy Center

Jessica Hidalgo Holland, Director of the Women’s Resource Center

MSC 06 3600 1 University of New Mexico Albuquerque, NM 87131

Phone: (505) 277-3361 Fax: (505) 277-0370

Email: doso@unm.edu

UNM Policy Office

Pamina Deutsch, Director, Email: pdeutsch@unm.edu

MSC05 3357 1 University of New Mexico Albuquerque, NM 87131

Phone: (505) 277-2069

Faculty SAFE UNM

Elizabeth Hutchison

MSC06 3760, 1 University of New Mexico, Albuquerque, NM 87131

Phone: (505) 277-2266

Email: ehutch@unm.edu

Main Campus Compliance Office

Libby Washburn, Chief Compliance Officer, Email: ewashburn@unm.edu

MSC05-3150 1 University of New Mexico Albuquerque, NM 87131

Phone: (505) 277-3979

The University of New Mexico – DOJ Agreement Two-Year Progress Report

October 16, 2016 – October 5, 2018

Annual Progress Report on UNM’s Actions to Advance Anti-Harassment and Sexual Misconduct Efforts



The U.S. Department of Justice, the United States Attorney’s Office for the District of New Mexico, and The University of New Mexico (UNM), entered into a three-year 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. As part of the effort to ensure a safe campus, UNM is committed to preventing sexual misconduct and gender discrimination, conducting fair processes for all and providing a secure and caring environment for the entire community. Regardless of changes made to Title IX compliance nationally, UNM is continuing to provide the training and resources needed to combat these serious issues. The university has taken significant steps to address a number of concerns but has more work to do in attempting to change attitudes and behaviors.

In the past two years, UNM has made significant progress in complying with the delineated tasks and implementing improvements. This Progress Report details the tasks UNM has completed during the first two years of the three-year agreement.

UNM Training 2016 and 2017:

- 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. This across-the-board training makes the campus safer for everyone.
- For the 2016 calendar year, UNM’s employee training had broad participation by our faculty, staff, and student employees. **Of the 13,649 UNM faculty, staff and student employees, 12,321 individuals (90.3%) completed the required “Intersections: Preventing Discrimination and Harassment” training in 2016.**
- Our regular staff and faculty had impressive completion rates **2016.**

2016 Calendar Year (Staff and Faculty Training)

Regular Staff	% Completions
Contract Staff	99.4
CWA Bargaining Unit	97.7
Exempt Staff	99.6
Non-Exempt Staff	99.1
Police Bargaining Unit	97.6
USUNM Bargaining Unit	98.7
Total Regular Staff	99.1% = Total Completion Percentage

Regular Faculty	% Completion
12 Month Faculty	97.9%
9 Month Faculty	95.4%
Executive Faculty	100%
Post Doc and Fellows	97.3%
Totally Regular Faculty	96.9% = Total Completion Percentage

- For the 2017 calendar year, UNM’s employee training continued to have broad participation by our faculty, staff, and student employees. **Of the 12,923 UNM faculty, staff, and student employees, 12,321 individuals (94.9%) completed the required “Intersections: Preventing Discrimination and Harassment” training in 2017.**

- Our regular staff and faculty continued to improve upon their impressive completion rates for the 2017 Calendar Year.

2017 Calendar Year (Staff and Faculty Training)

Regular Staff	% Completions
Contract Staff	100%
CWA Bargaining Unit	99.6%
Exempt Staff	99.9
Non-Exempt Staff	99.7
Police Bargaining Unit	100%
USUNM Bargaining Unit	99.7
Total Regular Staff	99.8% = Total Completion Percentage

Regular Faculty	% Completion
12 Month Faculty	96.6%
9 Month Faculty	97.6%
Executive Faculty	100%
Post Doc and Fellows	100%
Totally Regular Faculty	98.5% = Total Completion Percentage

- Our final totals for the 2018 calendar year will not be completed until early spring 2019, as our deadline for our faculty and staff to take this course, is December 31, 2018.
- Pursuant to the agreement, UNM is providing interactive and intensive in-person training on the prevention of sexual harassment and misconduct, and our policies and procedures regarding Title IX complaints, to thousands of students on the campus. In March 2017, all UNM students were notified by email about the mandatory training requirement. The notice was also disseminated through UNM’s website and social media outlets.
- The in-person training program, entitled “*The Grey Area*,” is approximately 1.5 - 2 hours in length and is comprised of two sessions – a large group session and a smaller, interactive session. In the sessions, students examine the interconnected issues of dating and domestic violence, sexual violence, bystander intervention and consent, through a variety of discussions and supportive materials.
- In the spring of 2017, UNM began providing the mandatory, in-person, interactive training to all students at UNM. This includes freshmen, new graduate students and incoming transfer students. UNM also started providing training to existing students. These trainings are being offered across campus at varying times and locations.
- This has continued into 2018 for all new freshmen, new graduate students and incoming

transfer students.

A summary of our student training efforts to date (*see note below):

- (First Year Training Efforts) Since March 24, 2017 and October 16, 2017, 76 undergraduate training sessions were completed and 13,982 undergraduates have been trained (including New Student Orientation for 2015, 2016, 2017, spring and summer 2017).
- (Second Year Training Efforts) Since October 16, 2017, 111 undergraduate training sessions have been completed with 7,661 undergraduates being trained (including New Student Orientation for spring and summer 2018).
- (First Year Training Efforts) Sessions for “*The Grey Area for Graduate and Professional Students*” training programs began in June 2017. Between June 2017 and October 16, 2017, 50 graduate and professional training sessions have been completed and 1,954 graduate and professional students trained.
- (Second Year Training Efforts) Since October 16, 2017, 101 graduate and professional training sessions have been completed and 3,700 graduate and professional students trained.
- (Third Year Training Efforts) Thirty-eight (38) sessions are scheduled for fall 2018.
- (First Year Training Efforts) From spring 2017 to October 2017, 1,527 students had received the “*The Grey Area*” training at Gallup, Los Alamos, Taos and Valencia (UNM Branch Campuses).
- (Second Year Training Efforts) Since October 2017, 1,372 students have received the “*The Grey Area*” training at our UNM Branch Campuses.
- Attendance tracking is currently being tracked through a manual sign-in process for all in person training.

**First year = October 2016 – October 2017, Second Year = October 2017 – October 2018 and Third year = October 2018 – October 2019*

- All students who received “*The Grey Area*” in-person training in the summers 2015 - 2018 and are still enrolled at the university, will take “*Campus Clarity: Think About It*” online training modules during the 2018-2019 academic year.

UNM Specialized Training (2016 – 2018):

- The agreement requires that UNM personnel involved in processing, investigating, or resolving complaints of sexual misconduct receive additional training. This includes intensive and specialized training for Office of Equal Opportunity staff members, UNM Police Officers, and Dean of Students Office personnel who are likely to receive reports, investigate, and handle discipline involving sexual harassment and misconduct.
- Staff members at the UNM Police Department, Office of Equal Opportunity, and Dean of Students Office, have collectively participated in thousands of hours of training focused on Title IX, Trauma Informed Investigation, Inherent Bias, and Rape Crisis.
- In January 2017, UNM engaged Dr. Chris Wilson, a nationally known professional trainer, to conduct an intensive, multi-day training session relating to *Forensic Experiential Trauma Interview (FETI) within the Sexual Assault Investigation Response*, for numerous university employees. This training enables response staff to gather evidence more effectively and better understand the traumatized person’s experience.
- In early 2017, the UNM Ombuds Office developed a Supportive Listening Presentation for UNM Faculty and Staff. Supportive Listening 101:

Listening and Responding Supportively to Accounts of Sexual Misconduct - In this 30 minute presentation, you'll learn the essential DOs and DON'Ts for listening supportively without causing unintentional harm. Supportive Listening 101 is an introduction to basic tools to help you foster a safe and supportive environment for those speaking up about sexual violence and misconduct.

Since its development, the Ombuds Office has done 32 presentations for 695 people on the UNM Campus

- In October 2017, UNM provided a “Neurobiology of Trauma” training by Dr. David Lisak. For the past 30 years, Dr. Lisak has been the premier researcher in the area of sexual and gender-based violence on college campuses, having conducted his research out of the Psychology Department at University of Massachusetts. Dr. Lisak also offered a condensed version of the “Neurobiology of Trauma” training for Interim President Chaouki Abdallah, Vice Provost Rich Wood, a member of the board of regents, and several staff members from the Office of the Provost.
- In October 2017, UNM provided a workshop on Addressing Ableism in Anti-Violence Prevention. A workshop to address how to assist either individuals who have hidden or visible disabilities.

- In November of 2017, UNM Hosted a Clery Training Conference. This conference informed participants on how to fully comply with the federal Clery Act.
- In November of 2017, UNM hosted a training held by (Sheehan and Sheehan Law Firm) on Workplace Investigations. This workshop taught UNM Deans, Faculty and Staff on how to properly investigate workplace incidents.
- In January of 2018, UNM Hosted a Respondent Training Session. This session allowed participants to understand how to properly and fairly work with respondents (those whom the concerns have been lodged against) in cases of sexual misconduct.
- Helen Grant (Title IX Consultant) February 2018 – contracted out by UNM Athletics to assess compliance with Title IX.
- During the late spring of 2018, the UNM Ombuds Office Developed a presentation on So, I have to report. So, I have to Report is:

In this 30-minute presentation, you will learn what to say to let someone disclosing sexual misconduct know that you are a Responsible Employee (RE). According to the Dept. of Education, REs include UNM Faculty, Staff, Teaching Assistants, and Graduate Assistants. This designation requires that any report of sexual misconduct made must be reported to the Office of Equal Opportunity.

Since it has been developed, the Ombuds Office has delivered five presentations to 86 staff members.

- Athletics Compliance Office (August 2018) – Spoke with all teams about UNM's Hazing Policy. Additionally, all athletes are required to sign Hazing Policy Forms prior to participation
- Alan Berkowitz Bystander Training (September 5, 2018) – Mr. Berkowitz trained approximately 60 people on bystander intervention theory and practice.
- Speak About It Bystander Training (September 6, 2018) – The LoboRESPECT Advocacy Center hosted Speak About It - a college touring performance group whose show centers around true stories about sex, sexuality, healthy relationships, consent and boundaries - several topics discussed through the Grey Area.
- Dan Beebee Group (September 2018) – Spoke to all student athletes about prevention of harassment, discrimination, retaliation and sexual misconduct.

- UNM’s Ombuds Services for Staff, which is a university office dedicated to supporting efforts of UNM employees to improve communication and collaboration in the workplace, has developed a workshop for responsible employees on listening and responding constructively when approached with a report of sexual misconduct. The workshop entitled “Responsible Listening” is approximately three (3) hours in length and is provided in-person.
- In the past year (October 2017 to present) The Office of Equal Opportunity did 19 trainings for 470 (Students, Faculty and Staff)

Policies, Procedures & Practices (2016 – 2018):

- The agreement requires changes to several of UNM’s policies, procedures, and practices relating to sexual harassment and misconduct. Prior to the start of the Department of Justice investigation, UNM drafted a new comprehensive policy on sexual violence, which was issued as University Administrative Policy (UAP) 2740: Sexual Violence and Sexual Misconduct, on May 15, 2015. UNM has been working on revisions to UAP 2740. The Office of Equal Opportunity also made significant edits to UAP 2720: Equal Opportunity, Non-Discrimination, and Affirmative Action, to address the Department of Justice and other concerns. These policies (UAP 2720 and UAP 2740) will go out for comment in late fall or early spring and at that time, UAP 2730: Sexual Harassment will be rescinded. **Update:** UAP 2720 and 2740 were revised effective 2/26/2018 to reflect needed changes.
- UNM’s interim president had convened a Presidential Task Force related specifically to identifying responsible employees at UNM and the requirements, under policy, of those employees who end up not being identified as responsible employees. This task force may suggest changes to UAP 2740, with the input of faculty, staff and students. **Update:** In January of 2018, this task force recommended that the policy be changed to indicate a shorter list of responsible employees and require all other employees to support individuals and provide them with resources; and proposed a timetable for policy changes and corresponding training. President Stokes is pursuing what the potential next steps may be, based on these recommendations.
- 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.
- The Office of Equal Opportunity’s revised procedures and guidance documents are clear and effective, and intended to streamline the manner in which the office investigates claims that are raised. This better aligns the university’s procedures with the recommendations from the Department of Justice. Newly adopted (in June 2016) Office of Equal Opportunity procedures include:

- Discrimination Claims Procedure;
 - Checklist for Formal Investigation Process – Individual; and,
 - Checklist for Formal Investigation Process – Departmental.
- On November 1, 2016, the UNM Police Department adopted a written protocol, for all police officers who respond to or investigate allegations of sexual assault, requiring training at least annually.
 - Dean of Students Office procedures adopted in 2017 include:
 - Supportive measures, such as academic and administrative measures; and,
 - Safety measures, such as interim bans and no contact directives.
 - New guidance documents improve regular communication between UNM Units.
 - The UNM Police Department and the Office of Equal Opportunity finalized a Memorandum of Understanding detailing how they will work together on sexual harassment and misconduct cases;
 - The Dean of Students Office and the Office of Equal Opportunity finalized a Memorandum of Understanding describing how they will work together on sexual harassment and misconduct cases; and,
 - The UNM Police Department has developed a system for consistent referrals of sexual harassment and misconduct cases to UNM’s Title IX Coordinator.
 - UNM has started to implement new internal reporting systems to record crucial information involving the investigation of sexual harassment and misconduct matters.

Staffing Changes/Updates (2016 – 2018):

- UNM has a Title IX Coordinator and five (5) Civil Rights Investigators who work in the Office of Equal Opportunity on sexual harassment and misconduct matters. Although two of the investigator positions were temporary, UNM established permanent funding in next year’s budget for these positions. In addition, a new Administrative Assistant was hired in the Office of Equal Opportunity to assist with data collection and input, quality assurance of data, and administrative tasks to support investigators.
- In 2017, UNM’s Dean of Students Office hired two (2) Trainers/Advocates to assist with “*The Grey Area*” in-person student training effort and to provide support and advocacy through the LoboRESPECT Advocacy Center. With this addition, the Dean of Students Office now utilizes seven (5) Advocates – five (5) in LoboRESPECT.
- In 2017, UNM’s Women’s Resource Center (WRC) hired a new director, and in 2018, the Center was moved to report directly to an Associate VP in Student Affairs, rather than the

Dean of Students Office. The center is a place of advocacy, support, and safety for all members of UNM and the greater community. The Women’s Resource Center also hired a gendered violence program coordinator who, in collaboration with the Education Coordinator at the LoboRESPECT Advocacy Center, designed a program to provide peer educators with tools, knowledge, and skills-based workshops on the following topics: sexual violence prevention, hate, bias and discrimination prevention, alcohol and substance abuse, suicide prevention, and bystander intervention. In addition, the center added an academic advisor one (1) day a week so students can receive academic support in the same safe space they are receiving other support services.

- Respondent Support Services (RSP) - The University of New Mexico aims to create a safe learning environment for all students. Should the Office of Equal Opportunity identify a student as a respondent during an investigation, respondents are encouraged to contact the Dean of Students Office to inquire about Respondent Support Services. The RSP’s are a trained resource person at the University of New Mexico. These individuals undergo extensive training to be able to assist respondents with navigating the investigation process. These individuals are able to offer near equivalent services to respondents in order to alleviate the impact of an investigation on their educational experience at UNM. These individuals undergo FETI training, as well as Title IX procedure, DOS conduct procedure, and student rights training. Services an RSP might offer include:
 - Attend meetings (investigative conversations, housing removal/relocation discussions, resolution agreement discussions, e.g.) as a support person;
 - Review documents and materials from investigation, final report, and sanctioning decisions as requested;
 - Manage academic, housing, access to dining facilities and interim safety measures as requested by respondent;
 - Provide information and referral to university and community based resources for additional support needs;
 - Supporting and connecting respondents with on-campus and off-campus resources;
 - Assist with Academic Supportive Measures;
 - Provide general support and a safe listening space.

- Complainant and Respondent Support Services – The same supportive services mentioned above have been available for a number of years for both complainants and respondents, although the respondent support has recently become more formalized to add advocates for respondents.

- Campus-wide deputy Title IX coordinators were established in 2017, in order to formalize the work being done in Title IX Compliance and ensure that each area on campus is being served fully. The new deputy Title IX coordinators are found in Human Resources, the Office of the Provost, Athletics, and Residence Life and Student Housing. UNM's interim president provided the catalyst and support for these leaders to be recognized formally across campus.
- During the summer of 2018, a new HSC Compliance Director was selected.
- During the summer of 2018, the Office of Equal Opportunity (OEO) was given permission to do an office reorganization, due to the significant rise in intakes this office receives. OEO has added an Associate Director and another compliance Manager, to assist in their responsibilities to campus.

Campus-wide Efforts (2016 – 2018):

- UNM receives suggestions on improving the campus climate through climate surveys:
 - During Spring Semester 2016, UNM conducted a Main Campus campus-wide climate survey to make sure that UNM is serving the student population regarding campus climate. The results are located at http://oee.unm.edu/title-ix/campus_climate_survey.html. In particular, the results of this climate survey concluded that a majority of students generally knew that UNM had a policy prohibiting sexual misconduct and recognized where to get help on campus.
 - During Spring Semester 2017, UNM conducted two campus climate surveys.
 - At UNM's branch campuses, the National Campus Climate Survey (NCCS) was utilized, through a vendor, SoundRocket. The survey ran for approximately four (4) weeks, with five (5) 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.
 - Also during Spring Semester 2017, for UNM's main campus, OEO, in collaboration with a UNM faculty principal investigator and the University of Kentucky, used the Multi College Bystander Efficacy Evaluation (McBee). The survey ran for approximately four (4) weeks with one (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.

- In spring of 2018, UNM UNM did a McBee Climate Survey, to survey the campus climate on the UNM Campus for 2017 – 2018 Academic Year. This survey was sent to 5,556 undergraduate students. There were 786 eligible students and 81% completed or partially completed the survey. Some highlights include:

Receipt and Helpfulness of Primary Bystander Programs

Program	Heard of It	Received It	Helpful
University Specific	557 (87%)	472	200
Green Dot	31 (5%)	10	2
Haven	24 (4%)	10	4
It's On Us	148 (23%)	62	23
Step Up	95 (15%)	32	14
Think About It	76 (12%)	50	22
Another Bystander Program	9 (1%)	9	7

○ **Sexual Violence and Dating Violence Experiences Academic Year 2017 - 2018**

For this academic year, reported rates of perpetration involving physically forced sex, sex when the person was unable to consent and harm or threats of harm to a n intimate or dating partner were low (less than 2%).

- In February 1, 2017, UNM implemented 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. These efforts include continued campus climate surveys on sexual misconduct, evaluations of student and staff/faculty trainings, and focus groups with students to qualitatively assess how UNM can improve reporting and responding to incidents of sexual misconduct and retaliation.
- In August 2017, UNM updated the LoboRESPECT website. This website includes comprehensive information on UNM's prevention education efforts and programs, services and support for victims of sexual misconduct, and policies.
- Starting in the summer of 2017, all LoboCard IDs now display the contact information for the UNM Police Escort Service and the LoboRESPECT Advocacy Center on the back of each card.

- In September 2017, during Campus Safety Week, UNM’s interim president issued a campus-wide message focused on preventing sexual misconduct on the campus. In addition, the interim president participated in the Annual Campus Safety Walk.
- In September 2017, UNM hosted national speaker, Kate Harding, for a campus-wide talk. Harding addressed the myths of rape culture in her lecture, “Taking Down Rape Culture.” Her lecture came during UNM’s Campus Safety Week and National Campus Safety Awareness Month.
- For Domestic Violence awareness (2017 – 2018), the LoboRESPECT Advocacy Center hosted the following events:
 - Apples for Awareness 10/10/17
 - Paint the Campus Purple chalking event 10/18/17
 - Volunteer for Valencia 11/1/17
 - Taking Strides to End Domestic Violence w/ Alpha Chi Omega 11/18/17
 - The Pack Goes Purple Basketball Games, Women’s 1/17/18 and Men’s 1/20/18
- For Sexual Assault Awareness Month Social Media Outreach (2018), the LoboRespect created the following:
 - SAAM Teaser Week Packet 3/16/18
 - March into SAAM Packet 3/23/18
 - Consent Packet 3/30/18
 - Supporting Survivors Packet 4/6/18
 - Active Bystander Packet 4/13/18
 - On & Off Campus Resources Packet 4/20/18
- For Sexual Assault Awareness Month Events (2018), LoboRESPECT hosted the following:
 - Farm Worker’s Awareness Month SAAM collaboration with UNM CAMP, Film showing: “Rape in the Fields” and subsequent panel, 4/2/18
 - Sheer Empowerment event in collaboration with ASUNM 4/13/18
 - UNM Baseball SAAM Awareness Game 4/21/18
 - Tabling at SHAC Condom-Mint Event 4/26/18
- In September 2018 – the new UNM President assisted with the Annual Campus Safety Walk and other Safety Week events.

Faculty Efforts:

- Faculty offer a variety of courses that directly address topics of relationship violence and/or

sexual misconduct, including undergraduate and graduate level courses, across the UNM campus, including the Health Sciences Center and the School of Law.

- UNM faculty has been very engaged in improving the campus environment. In the fall of 2016, UNM faculty members created Faculty for a Sexual Assault Free Environment at UNM (Faculty SAFE UNM) to focus on the execution of the DOJ agreement and/or prevention of sexual harassment and misconduct at UNM. Faculty SAFE UNM has a core group of approximately 20 faculty members and more than 60 others, who monitor the work of the group.
- Representatives of Faculty SAFE serve on both Policy Office and Title IX committees, where they play an active and collaborative role in the development of UNM policies on sexual harassment and misconduct.
- In November 2016, the Faculty Senate passed a Resolution Regarding Faculty Reporting Obligations at The University of New Mexico, found at <https://facgov.unm.edu/ResolutionsList.html> . This resolution affirmed the faculty’s role in fostering awareness of sexual violence and supporting students and other members of the campus community impacted by sexual violence, recommending that most faculty and staff be exempted from the obligation to report.
- In February 2017, Faculty SAFE UNM, in cooperation with the Feminist Research Institute, the Health Sciences Center Faculty Council, and OEO, hosted Dr. Jennifer Freyd from the University of Oregon for a keynote lecture. Dr. Freyd met with faculty, administrators, staff, and police engaged with Title IX compliance, as part of Faculty SAFE UNM’s efforts to strengthen research-based responses to sexual harassment and violence at UNM.
- In October 2017, UNM Professor Elizabeth Hutchison presented a talk at Columbia University as part of a forum titled “Beyond Prevalence: The Next Generation of Research on Campus Sexual Assault” as part of the “Reframing Gendered Violence” series hosted by CU’s Center for the Study of Social Difference. The Center is grounded in the idea that a consensus has emerged that campus sexual assault is a serious public health problem, and that innovative and effective prevention requires research that both includes and extends beyond simply measuring the scope of the problem.
- Faculty have spearheaded efforts to increase research on sexual violence and gender inequality at UNM, by bringing the CDC-funded University of Kentucky Multi-College Bystander Efficacy Evaluation study to UNM from 2017 to 2019. A second study, funded with seed money from the Office of the VP for Research and led by a faculty PI in Political Science, examines the effects of the Grey Area training on student awareness of sexual

assault and gender norms. As part of the training study, in February of 2018, researchers held a Campus Research Workshop on Sexual Assault and Harassment on College Campuses: Problems, Solutions, Analyses and Participants. The workshop included public presentation by the UNM Group as well as invited researchers – Leila Wood (UT Austin), David Singer (MIT), Justin Tinkler (U. of Georgia) and Francesca Jensenius (NUPI).

Web Resources:

- LoboRESPECT is the name of UNM’s comprehensive approach to preventing and responding to sexual violence in the campus community. The LoboRESPECT website includes information on UNM’s prevention education efforts and programs, services, and support for victims of sexual violence, our policies and sanctions, and much more. The website can be found at: <http://loborespect.unm.edu/about.html>
- Information about “*The Grey Area*” in-person student training program for the prevention of sexual harassment and misconduct and policies and procedures regarding Title IX complaints is located at: <http://thegreyarea.unm.edu>. Additional dates and times will be listed, as they become available. Many departments and colleges across campus will be hosting additional training sessions.
- Newly adopted Office of Equal Opportunity procedures can be found at: <https://oeo.unm.edu/index.html>
- Notices and information about UNM’s Title IX Coordinator have been widely disseminated to the university community. Additional information regarding the Title IX Coordinator is located at: <https://oeo.unm.edu/title-ix/index.html>
- Additional information about Faculty SAFE UNM can be found at: <https://facultysafeunm.wordpress.com/about/>

Conclusion:

“We take pride in seeking, discovering, and creating better ways to understand and respond to our world but our efforts will only be successful if everyone participates. What we say and do, and what we represent as a university, transcends any individual or group, and becomes a true and long-lasting part of who we are as an institution.”

UNM President Garnett Stokes

For additional information, please contact:

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Kevin McCabe, Chief of Police

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Safety Escorts: (505) 277-2241

UNM Dean of Students Office

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AGREEMENT BETWEEN THE UNITED STATES OF AMERICA 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 UNM's obligations under various federal civil rights laws. UNM has agreed to comply with the requirements of the Agreement stated below starting on October 17, 2016, and to maintain compliance for the duration of the Agreement 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 and amend, rescind or insert cross references as necessary.	Policy, OUC, OEO, DoS LEAD: Policy, DOS, OEO	Dec. 1, 2016 for initial proposed revisions; otherwise ongoing	✓			
	II.A.1. – Make sure policies, procedures and related materials consistently and accurately define sexual harassment, and	LEAD: Policy, DOS & OEO		✓			
	II.A.2. – Provide clear and detailed information on reporting	LEAD: OEO		✓			
	Other policies, procedures and materials still need to be identified (faculty, student, etc.). Different entities will be designated to guide revision efforts.						
Sec. II.B.	Ensure procedures provide for adequate, reliable, prompt and impartial investigation, adjudication and appeal of all complaints of sexual harassment.	DoS, OEO OUC LEAD: OEO	Dec. 1, 2016 for initial proposed revisions; otherwise ongoing	✓			

	II.B.1. – Revise DCP to provide explanation of what OEO considers in making a final determination of whether complaint violates policies	LEAD: OEO			✓		
	II.B.2. – Revise the DCP to provide detailed information regarding rights under OEO processes	LEAD: OEO			✓		
	II.B.3.- Revise the DCP to provide a statement that OEO will independently and impartially investigate and adjudicate complaints without intervention and involvement by administrators	LEAD: OEO			✓		
	II.B.4. – Revise the DCP to provide a prompt and reasonable timeframe for any appeals process	LEAD: OEO			✓		
	II.B.5. – Review Student Grievance Procedures against the DCP to ensure they are clear/ consistent	LEAD: DoS and OEO		✓			
Sec. II.C.	Develop written internal protocols for the implementation of the DCP. These protocols will:	OEO, DoS, OUC, UNMPD, HR, Provost, HSC Contracts/Vice Chancellor LEAD: OEO	Dec. 1, 2016 for initial proposed revisions; otherwise ongoing	✓			
	II.C.1. – Require OEO investigators to conduct in-person interviews with materials witnesses	LEAD: OEO			✓		
	II.C.2. – Establish a timeframe after interviews for investigators to follow up on collecting relevant evidence	LEAD: OEO		✓			
	II.C.3. – Define parameter for granting for denying an extension of time during an investigation	LEAD: OEO			✓		
	II.C.4. – Establish when and how OEO must consider additional complaints of sexual harassment	LEAD: OEO			✓		
	II.C.5. – Establish how OEO will consider power dynamics in complaints by students against faculty and staff	LEAD: OEO			✓		

	II.C.6. – Require investigators to equally assess the credibility of all witnesses and explain basis for assessment	LEAD: OEO			✓		
	II.C.7. – Establish a process OEO will receive relevant information from UNMPD, APD, Bernalillo Sheriff and DA	LEAD: OEO and UNMPD			✓		
	II.C.8. – Establish a procedure for investigators to report and an office to respond to contact made by administrators and other non-OEO offices during pendency of an investigation	LEAD: OEO			✓		
	II.C.9. – Establish a time frame for OEO investigators to communicate with complainants and respondents to keep them informed about investigations, adjudications, appeals	LEAD: OEO			✓		
Sec. II.D.	Establish written internal protocols regarding communications about response to allegations for sexual harassment, including:	OEO, DoS, OUC, UNMPD, Athletics, Advocacy Ctr, HR, Provost, HSC Contracts/Vice Chancellor LEAD: OEO/DoS	Dec. 1, 2016 for initial proposed revisions; otherwise ongoing	✓			
	II.D.1. - Process by which OEO and DoS will respond to and share information regarding complaints of third party retaliation and respond	LEAD: OEO/DoS			✓		
	II.D.2. - Criteria for and a process by which OEO and DoS will determine appropriate supportive measures during the grievance and adjudication process	LEAD: OEO/DoS			✓		
	II.D.3. - A process by which OEO and DoS will convey information on pending investigations, supportive measures or findings of violation of policy to necessary campus entities	LEAD: OEO/DoS		✓			

Sec. II.E.	To ensure UNM consistently responds promptly and equitably to allegations of sexual harassment, UNM will:	OEO, OUC, DoS, UNMPD LEAD: OEO			✓		
	II.E.1. - Revise procedures for tracking electronically all alleged harassment incidents (written and verbal) by using a spreadsheet	LEAD: OEO	Aug. 1 of each year		✓		
	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	LEAD: OEO	DOJ within 30 days of request		✓		
	II.E.3. - Establish a process for the Title IX Coordinator to regularly review all reports of conduct that may constitute sexual harassment and all files and reports related to investigations, adjudications, appeals and sanctions	LEAD: OEO			✓		
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 and, if necessary, review of any subsequent changes after the policies and procedures have gone through notice and comment process.	Policy Office, OUC, OEO, DoS, UNMPD, Compliance Office LEAD: Policy/OUC/Compliance Office	On or before Dec. 1, 2016				
Sec. II.G.	After revision, UNM will not substantively modify the policies, procedures or protocols during the period of the Agreement without approval of DOJ.	Policy Office, OUC LEAD: Policy/OUC					
Sec. II.H.	UNM will submit the spreadsheet identified in Sec. II.E.1. for review, and will maintain all other documents identified in E.1. to be produced to DOJ for review within 30 days of a request.	OUC, OEO, Compliance Office LEAD: OUC/OEO/Compliance Office	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.	No later than 30 days after final execution of each revised or new policy or procedure, UNM will provide all students and employees with written notice regarding the policies or procedures regarding sexual harassment and the grievance procedures for resolving sexual harassment complaints required under Sec. II.A-B. [Must be published on Policy Office website, UNM News Minute and links included in Student Pathfinder Handbook]	Policy Office, OUC, OEO, DoS, UCAM, IT, Compliance Office, HR, HSC, Provost LEAD: Policy Office/UCAM/DOS	TBD (30 days after final execution)				
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	DoS, Advocacy Ctr, UCAM, IT, OUC, OEO, Policy LEAD: Adv Ctr	Aug. 2017 Aug. 2018 Aug. 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 by the close of the monitoring period	DoS, Graduate Studies, OEO, OUC, Advocacy Ctr, Colleges and Schools LEAD: DoS	Close of monitoring period	✓			

Sec. IV.A.2.	UNM will establish necessary infrastructure to allow it to provide in-person interactive training on an ongoing basis	DoS, Graduate Studies, OEO, OUC, Advocacy Ctr, Colleges and Schools LEAD: DoS	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	DoS, Graduate Studies, OEO, OUC, Advocacy Ctr, Colleges and Schools LEAD: DoS	Feb. 1, 2017 (Issue Notices) Dec. 31, 2017 (Training Complete)				
Sec. IV.A.3. a.	UNM will ensure all students enrolled in graduate programs will have received training	DoS, Graduate Studies, OEO, OUC, Advocacy Ctr, Colleges and Schools LEAD: DoS	Dec. 31, 2017				
Sec. IV.A.3. b.	UNM may exempt students from training who are graduating at the end of the spring 2017 semester. If these students will be starting a new degree program for six credits or more they must take in-person training prior to starting or at the beginning of the graduate program	DoS, Graduate Studies, OEO, OUC, Advocacy Ctr, Colleges and Schools LEAD: DoS	Ongoing Basis				
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)	DoS, Graduate Studies, OEO, OUC, Advocacy Ctr, Colleges and Schools	Starting in 2017-2018 academic year				

		LEAD: DoS	(every semester, rolling admission)				
Sec. IV.A.5.	All continuing students will receive annual online interactive training on sexual harassment	DoS, Graduate Studies, OEO, OUC, Advocacy Ctr, Colleges and Schools LEAD: DoS	Starting in 2017-2018 academic year (every semester, rolling admission)				
Sec. IV.A.6.	UNM may develop a system whereby individuals may request a waiver of the training requirement	DoS, Graduate Studies, OEO, OUC, Advocacy Ctr, Colleges and Schools LEAD: DoS	Ongoing				
Sec. IV.A.7.	Training will include participant evaluations and a system for monitoring training	LEAD: OEO/DoS	Ongoing				
Sec. IV.B.1.	UNM will provide training to all staff and faculty that it designates as responsible employees, including members of the UNMPD	HR, OEO, UNMPD, Provost, HSC, OUC LEAD: HR/Provost/HSC Contracts/Vice Chancellor	Dec. 31, 2016	✓			
Sec. IV.B.2.	Each responsible party identified in B.1. will be required to complete training annually. UNM will maintain a system for monitoring training.	HR, OEO, Provost, HSC, UNMPD, OUC	Dec. 31, 2017 Dec. 31, 2018				

		LEAD: HR/Provost/HSC Contracts/Vice Chancellor	Aug. 31, 2019				
IV.B.3.	Training will include participant evaluations and UNM will analyze to determine ongoing effectiveness of the training	HR, OEO, Provost, HSC, UNMPD, OUC LEAD: OEO	Ongoing				
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	OEO, DoS, HR, Provost, HSC Contracts/Vice Chancellor, OUC, President's Office, UNMPD LEAD: OEO	Dec. 1, 2017 Dec. 1, 2018 Aug. 31, 2019	✓			
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	HR, OEO, OUC, UNMPD, Provost (OFAS), HSC Contracts/Vice Chancellor, President's Office LEAD: HR/Provost (OFAS)	Starting in the 2016- 2017 academic year	✓			
Sec. IV.B.6.	For all training provided to employees, UNM will develop a plan to evaluate and monitor the effectiveness of the training	HR, OEO, Provost, HSC Contracts/Vice Chancellor, OUC LEAD: OEO	Ongoing				
Sec. IV.C.1.	UNMPD will ensure that all officers who respond to or investigate allegations of	UNMPD, HR, OEO, OUC	Dec. 1, 2016	✓			

	sexual assault and domestic violence have received training on evidence-based, trauma-informed investigative techniques	LEAD: UNMPD					
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	UNMPD, HR, OEO, OUC LEAD: UNMPD	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	UNMPD, HR, OEO, OUC 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.	Policy Office, OUC, OEO, Advocacy Ctr, UCAM, IT LEAD: OEO/UCAM/IT	Dec. 1, 2016 and Ongoing	✓			
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.	OUC, OEO, Advocacy Ctr, UCAM, IT 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.	UNM will take steps to eliminate any hostile environment that it identifies for students reporting sexual harassment.	OUC, OEO, DoS LEAD: OEO	Ongoing basis	✓			
Sec. VI.A.	Each semester, OEO will document on its internal spreadsheet any steps it takes to address a student's environment.	OEO, DoS, OUC, Advocacy Ctr LEAD: OEO	Each Semester				
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.	OEO, DoS, OUC, UCAM, Advocacy Ctr LEAD: OEO	Dec. 1, 2016 for Spring 2016 survey Fall Semester 2017 and 2018	✓			
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 June 30, 2017, the Monitoring Program assessment will be completed. Additional assessments are required at the conclusion of each school year	OEO, DoS, OUC 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.	<p>Policies, Procedures and Protocols</p> <p>UNM will provide DOJ with all documents and information identified in provisions II.A-F in accordance with the timelines set forth above.</p>	<p>Policy Office, OEO, DoS, OUC and Compliance Office</p> <p>Lead: Compliance Office</p>	<p>On or before Dec. 1, 2016, submit initial proposed revisions; otherwise ongoing</p>	✓			
Sec. VII.B.	<p>Notice of Revised Policies and Procedures</p> <p>Within 45 calendar days after providing notice to students and employees of newly amended or revised policies and grievance procedures, UNM will provide DOJ with documentation that it has implemented Sec. III of the Agreement</p>	<p>Policy Office, OEO, DoS, OUC and Compliance Office</p> <p>Lead: Compliance Office</p>	<p>Within 45 days after notice to students and employees of newly revised policies and procedures</p>				
Sec. VII.C.	<p>Training</p> <p>By Dec. 1, 2016, UNM will provide DOJ the training materials and agendas to be used in trainings conducted pursuant to Sec. IV.B. for review and approval. UNM will also provide information describing the expertise and experience with regard to</p>	<p>OUC, Compliance Office, OEO, DoS</p> <p>Lead: Compliance Office</p>	<p>Dec. 1, 2016</p>				

	<p>Title IX of the person or persons conducting training pursuant to Secs. IV.B. and IV.C.</p> <p>By Sept. 30, 2017, and June 30 of 2018 and 2019, UNM will provide information regarding the content and recipients of each student training (copies of agendas, training materials, electronic access to training through other media, dates/duration of student training session, number of students yet to participate in online/in-person training by Sec. III.A. with explanation on how they receive training).</p> <p>By Sept. 30, 2017, and June 30 of 2018 and 2019, 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.</p>		<p>Sept. 30, 2017 June 30, 2018 June 30, 2019</p> <p>Sept. 30, 2017 June 30, 2018 June 30, 2019</p>				
Sec. VII.D.	<p>Title IX Coordinator/Notice of Nondiscrimination</p> <p>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.</p>	<p>OEO, OUC and Compliance Office</p> <p>Lead: Compliance Office</p>	<p>Dec. 1, 2016</p>				
Sec. VII.E.	<p>Educational Climate</p> <p>By Sept. 30, 2017, and June 30 of 2018 and 2019, UNM will provide DOJ with a report</p>	<p>OEO, Advocacy Ctr, UNMPD, OUC and Compliance Office</p>	<p>Sept. 30, 2017</p>				

<p>documenting its follow up efforts with complainants as required by Sec. VI.A.</p> <p>By Sept. 30, 2017, and September 30 of 2018 and 2019, 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 of the survey results, and proposed actions.</p> <p>By September 30, 2017, 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.</p> <p>On June 30 of each [subsequent] year covered by this Agreement, 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.</p> <p>If UNM seeks to improve its sexual harassment programs in ways that contradict a term in the Agreement, it will provide DOJ with written notice of the improvements immediately.</p>	<p>Lead: Compliance Office</p>	<p>June 30, 2018 and 2019</p> <p>Sept. 30, 2017 September 30, 2018 September 30, 2019</p> <p>Sept. 30, 2017</p> <p>June 30, 2018 June 30, 2019</p>				
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Enforcement

Section	Task & Deliverable Action	Responsible Party	Due Date
Sec. VII.B.	If UNM, despite good faith efforts, anticipates it will be unable to meet any timeline set forth, it will <u>immediately notify</u> DOJ of the delay and the reason for it.	OUC	Immediately upon discovery of delay

Terms & Termination

Section	Task & Deliverable Action	Responsible Parties	Due Date
Sec. VIII.A.	The Agreement is in effect for three full academic years and will not terminate until at least 60 days after DOJ has received all reporting related to the 2018-2019 school year in the fall of the 2019-2020 school year.	All Parties	October 17, 2016 through at least 60 days after DOJ has received all reporting relating to the 2018-2019 academic year
Sec. VII.B.	For the duration of the agreement, UNM, including OEO and UNMPD, is expected to preserve documents, including electronically stored information, used to compile the above referenced reports and agrees to make the documentation available for inspected by DOJ upon request.	All Parties	October 17, 2016 through end of 2018-2019 AY

The University of New Mexico Main Campus Compliance Office

Project Blueprint

2019-2020

In the next two years, the University of New Mexico's Compliance Office will build upon existing compliance programs and pursue new programs that impact UNM campus-wide. This blueprint outlines ongoing initiatives and introduces priorities for 2019 and 2020.

ONGOING PROJECTS

Project Name	Description	Due Date	In Compliance with Deadlines
Compliance Hotline	Administers the EthicsPoint Hotline, including monitoring assignments and progress, and benchmarking with peers.	Ongoing	Ongoing
DOJ Compliance	Ensures compliance with the three year agreement between the US Department of Justice and UNM related to Title IX.	Ongoing	✓
Clery Act	The Compliance Office ensures annual compliance with the Clery Act in accordance with federal law.	Oct 2019	✓
Institutional Compliance Committee	The Compliance Office convenes the compliance partners across the campus several times per year to discuss compliance related matters.	Ongoing	Ongoing
ADA Transition Plan	UNM is required to comply with the federal law, Americans with Disabilities Act (ADA).	Oct 2019	In Progress
Minors on Campus	The Compliance Office monitors the MOC program.	Ongoing	✓
Vehicle Program	The Compliance Office helps monitor the Athletics Department's vehicle program with other partners.	June 2019	Annual Review
Training Needs	The Compliance Office monitors training needs on the campus	Ongoing	Ongoing
Coordination with Counterparts	The Compliance Office coordinates regularly with Athletics, Research and HSC.	Ongoing	Ongoing
Peer Hearings	Guides the administrative process for staff peer hearings.	Ongoing	As needed
Information Initiatives	The Compliance Office is the functional owner of the CUI effort on campus. Includes GDPR, FERPA, HIPPA, GBLA.	Ongoing	✓

PRIORITIES for 2019-2020 and Beyond

Project Name	Description	Target Date
Ethics Task Force	Review best practices and charge task force with reviewing the UNM ethics processes.	July 2019
DOJ Final Report	Prepare a final report for the conclusion of the 3-year agreement with DOJ.	August 2019
Sexual Misconduct Protocol	Create a protocol for handling failures to report sexual misconduct on the UNM campus.	August 2019
Clear Reporting and Investigative SOPS	Write standard operating procedures for reporting and investigating sexual misconduct.	July 2019
Task Force on Title IX Compliance	Task force focused on compliance and the creation of interim measures protocols for faculty, staff and students.	August 2019
#MeToo Best Practices	Benchmark best practices in higher education institutions & private practice.	Sept 2019
Annual Policy Notification Schedule and Draft Emails	Create an annual notification schedule and template emails messages for dissemination to the campus.	May 2019
Minors on Campus Amplification to the Branch Campuses	Amplify existing minors on campus requirements at the branch campuses.	July 2019
Minors on Campus - Additional Measures	Review best practices to determine if additional measures should be put in place.	Sept 2019
Background Check Protocol	Coordinate with HR to establish a protocol on handling background check information.	July 2019
Threat Assessment	Coordinate with HR/UNMPD to review protocol for handling threat situations.	July 2019
Guidance for Policies and Violations	Create a guide that details who investigates alleged violations of various UNM policies.	May 2019
Volunteer Policy	Review existing policies to determine if UNM needs to create a university policy for volunteers on the campus.	October 2019
Conflict of Interest Monitoring	Review the existing UNM conflict of interest policies.	July 2019
Risk Assessment with Internal Audit	Coordinate with Internal Audit to conduct a campus-wide risk assessment in 2020.	January 2020
Professional Boundaries	Best practices review and creation of training module for faculty and staff.	Sept 2019

PROJECT DEADLINES AND DATES

Project	Apr-Jun 2019	Jul-Sept 2019	Oct-Dec 2019	Jan-Mar 2020	Apr-Jun 2020	Jul-Sept 2020	Oct-Dec 2020	Complete
DOJ Comp								
Clery Act								
ADA Trans Plan								
MOC								
Vehicle Prog								
CUI								
Ethics Taskforce								
Protocols								
Reporting/ Inv SOPS								
Task force on Title IX Comp								
#MeToo								
Annual Policy Notification								
MOC Amplification								
MOC Additional Measures								
Background Check Protocol								
Threat Assessment								
Guidance for Policies & Violations								
Volunteer Policy								
Conflict of Interest Monitoring								
Risk Assessment								

Professional Boundaries								
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Annual Policy Notifications Communications Schedule 2019-2020

Message #	Date	Policies*	Sender	Audience**
1	January 2020	UAP 2050 - Governmental Relations and Legislative Action UAP 2060 - Political Activity	Provost VP Human Resources	All employees (Faculty and Staff) Students Vet with Dorothy, Connie, Bonnie L before sending
2	February 2020	Description of EthicsPoint RPM 2.18 "Guiding Principles" 2200 Whistleblower Policy	Chief Compliance Officer Main	All Employees (Faculty and Staff) Students Vet with Dorothy and Bonnie L
3	March 2020	Non Discrimination UAP 2720 Equal Opp and Affirmative Action UAP 3110 Reasonable Accommodation	Provost VP Human Resources Chief Compliance Officer Main	All employees (Faculty and Staff) Students
4	April 2020	UAP 2500 Acceptable Computer Use UAP UAP 2520 Computer Security Controls and Access to Sensitive and Protected Information	Provost VP Human Resources IT Main and HSC	All employees (Faculty and Staff) Students Vet with Dorothy and Bonnie L
5	Early May 2019	UAP 2205 Minors on Campus	Chief Compliance Officer Main	All employees (Faculty and staff) Students employees
6	August 2019	FERPA Requirements RPM 4.4 (Student Records) UNM Pathfinder "Student Records Policy"	Provost	All employees and students Vet with Registrar/Record

				s, Nasha, Bonnie L
7	September 2019	UAP 2210 Campus Violence UAP 2740 Sexual Misconduct UAP 2215 Consensual Relationships	Provost VP Human Resources Chief Compliance Officer Main	All employees (Faculty and Staff) Students
8	October 1, 2019	UAP 2745 Clery Act Clery Act Report	Compliance Office	All employees Students Vet with Rob Burford
9	November 2020	Pathfinder Policy on Illegal Drugs and Alcohol UAP 2140 Alcohol Regents' Policy Manual - Section 2.6: Drug Free Environment	Provost VP Human Resources	All employees (Faculty and Staff) Students Vet with Nasha, Prof McCrady, and Bonnie L
	TBD by UCAM	Story for UNM Newsroom - Respectful Campus UAP 2240 and Faculty Equivalent		Vet with Dorothy and the Provost
	TBD by UCAM	Story for UNM Newsroom - Family and Medical Leave UAP 3440		Vet with Dorothy

*Some campus notifications will contain reference to multiple policies grouped by subject matter.

*Notifications will be vetted with HR, the Provost's Office, Terry Babbitt, UCAM and HSC when appropriate. They will need to approve before sending most of these out.

**The Annual Policy Notification Schedule and distributed messages will be saved on the Main Campus Compliance Office webpage for reference.

**Quick Reference Guide for Mandatory Reporting and Investigations
@ the University of New Mexico**

<p><u>Mandatory Reporting Requirements:</u> <i>Effective upon receiving a report or becoming aware of potential policy violations or criminal behavior in the course of an investigation involving faculty, staff and/or students. More than one reporting obligation may apply to any given set of circumstances</i></p>	
<p>Any sexual misconduct, including <i>sexual harassment, sexual assault, dating/domestic violence and stalking</i> involving employees and/or students, on or off campus</p>	<p>Office of Equal Opportunity (OEO)</p>
<p>Any potential discrimination by employees, students or visitors based upon protected class</p>	<p>Office of Equal Opportunity (OEO)</p>
<p>Any potential harassment by employees, students or visitors based upon protected class (<i>other than sexual misconduct as described above</i>)</p>	<p>Office of Equal Opportunity (OEO)</p>
<p>Any crimes occurring on campus: including <i>sexual assault (rape or touching), robbery, aggravated assault (with injury or involving a weapon), burglary, motor vehicle theft, arson</i></p>	<p>UNM Police Department</p>
<p>Any arrests and disciplinary referrals for weapons law violations, drug or liquor law violations by University employees or students, and any domestic violence, dating violence or stalking behaviors (including those off campus)</p>	<p>UNM Police Department</p>
<p>Criminal drug convictions or alleged sexual misconduct of/by employees involved with external grant funding</p>	<p>Office of the Vice President for Research Office of Equal Opportunity (OEO)</p>

Edited on April 9, 2019

Quick Reference Guide Regarding Mandatory Reporting and Investigations

<u>Primary Responsibility for Conducting Investigations</u>	
<i>Policy Area</i>	<i>Who Investigates a Complaint?</i>
Discrimination: UAP 3100	
Student	Office of Equal Opportunity (OEO)
Staff	Office of Equal Opportunity (OEO)
Faculty	Office of Equal Opportunity (OEO)
ADA Accommodation Issues: UAP 3110	
Office of Equal Opportunity (OEO)	
Sexual Harassment/Misconduct: UAP 2720 & 2740	
Student	Office of Equal Opportunity (OEO)
Staff	Office of Equal Opportunity (OEO)
Faculty	Office of Equal Opportunity (OEO)
Campus Violence: UAP 2210	
Student/Res Halls	Dean of Students
Staff	Human Resources

Quick Reference Guide Regarding Mandatory Reporting and Investigations

Faculty	Provost's Office
Whistleblower: UAP 2200	
Against a Student	Dean of Students Office of Equal Opportunity (civil rights)
Against a Staff Member	Internal Audit Human Resources Office of Equal Opportunity (civil rights) Compliance Office
Against a Faculty Member	Provost's Office Internal Audit Compliance Office Office of Equal Opportunity (civil rights)
Involves a Protected Class	Office of Equal Opportunity
Consensual Relationships and Conflicts of Interest: UAP 2215	
Student	Student Employment
Staff	Supervisor
Faculty	Dean

Quick Reference Guide Regarding Mandatory Reporting and Investigations

	Provost's Office
Respectful Campus: UAP 2240 and C09	
Student	Dean of Students
Staff	Supervisor Human Resources
Faculty	Provost's Office
Employee Code of Conduct and Conflicts of Interest: UAP 3720	Supervisors Human Resources Internal Audit
Dishonest or Fraudulent Activities: UAP 7205	Supervisors Internal Audit
Research Misconduct:	Research Integrity Office Main Campus Research Integrity Office HSC
Violations of Faculty Policies	Provost's Office Delegate if appropriate

Quick Reference Guide Regarding Mandatory Reporting and Investigations

Student Employment Issue	Supervisors Student Employment
FERPA	Dependent upon the issue - Consult with OUC

Effective June 1, 2019, the UNM Compliance Office is immediately:

- Increasing the ethical behavior marketing campaign by distributing EthicsPoint posters and brochures to facilities on ALL campuses to encourage employees to inspire and foster ethical behavior.
- Generating general awareness of ethics and ethical conduct through the UNM website and coordinating with UCAM on additions to the President's weekly message.
- Assisting faculty, staff and students in identifying and understanding their ethical obligations and commitments under the University policies. The Compliance Office staff will provide guidance on, and a framework for, ethical decision-making on the campus. The office will provide mechanisms through which ethics questions can be raised and addressed through the Compliance Office staff and website.
- Creating a toolkit focused on Ethics. This includes:
 - Information about the EthicsPoint Hotline
 - Contact information for Internal Audit and the Compliance Offices for UNM Main Campus, HSC and Athletics
 - Copies of the following:
 - UNM Employee Code of Conduct and Conflict of Interest Policy
 - Regents Policy on Ethics
 - Whistleblower Policy
 - Research Misconduct policies
 - Policy on Political Activity
 - HSC Code of Ethics
 - Other

President's Task Force on Institutional Ethics and Integrity

The President's Task Force on Institutional Ethics and Integrity will formulate a campus-wide proposal of ethics-related initiatives, training and best practices with the goal of creating and maintaining an ethically inspired environment at UNM based on strong moral conduct and compliance with applicable laws, rules, and guidance.

The Task Force will also serve as an advisory committee for the President on future issues concerning the University's ethical culture, values, and decision-making practices. The Task Force will make a formal recommendation to the President regarding ethics-related initiatives. The Task Force will continue to meet on a regular monthly basis as an advisory committee and will meet with the President 2-3 times per year.

The Task Force will:

- Explore offering Annual Ethics Training for all employees on the campus and identify online and live training opportunities.
- Review and determine if university policies and procedures regarding ethics, professional boundaries and conduct, conflicts of interest, should be amended or created.
- Explore best practices for enhancing ethical decision making at all levels on the campus using evidence based research.

The Task Force will be composed of faculty, staff, students, shared governance leaders, and representatives from the Institutional Compliance Committee.

Suggested Taskforce

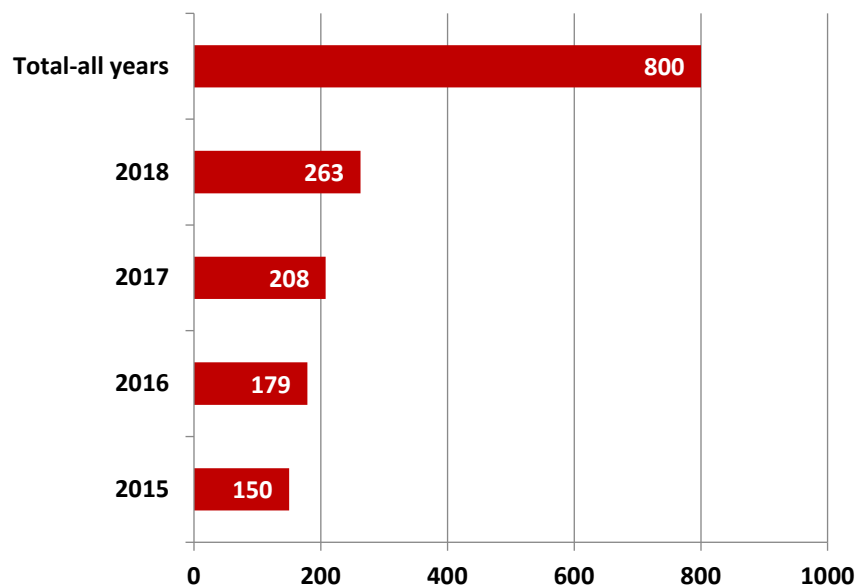
- Francie Cordova, Interim Chief Compliance Officer
- Rob Burford, Compliance Director
- Josh Kastenber, School of Law
- Representative from Faculty Senate (Cordova and Burford will seek name/s from Faculty Senate)
- Representative from Staff Council (Cordova and Burford will seek name/s from Staff Council)
- Representative from ASUNM (Cordova and Burford will seek name/s from ASUNM)
- Representative from GPSA (Cordova and Burford will seek name/s from GPSA)
- Patrick Hart, Office of University Counsel
- Dorothy Anderson, Human Resources
- Harry Van Buren, Anderson School of Management Professor
- Sarah Smith, Anderson School of Management
- Victor Griego, Internal Audit
- Ana Tomlinson, Research Compliance
- School of Law student (2L) (Cordova and Burford will seek name)
- Arthur Culpepper, HSC Compliance
- Janice Ruggerio, Athletics Department
- Bill Slease, Community Member



**UNM Compliance Hotline Report
Presented to the
UNM Board of Regents Internal Audit
and Compliance Committee**

January 1, 2018 – December 31, 2018 Hotline Activity

**UNM Hotline
Total Cases Reported**



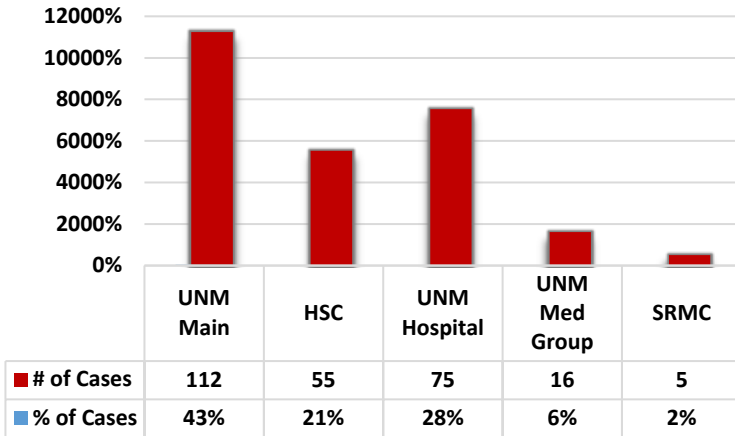
This report covers EthicsPoint Hotline statistics for UNM Main Campus, UNM Health Sciences Center, UNM Hospital, UNM Medical Group, Branch Campuses and Sandoval Regional Medical Center.

**Submitted by
Main Campus Compliance Office
May 23, 2019**

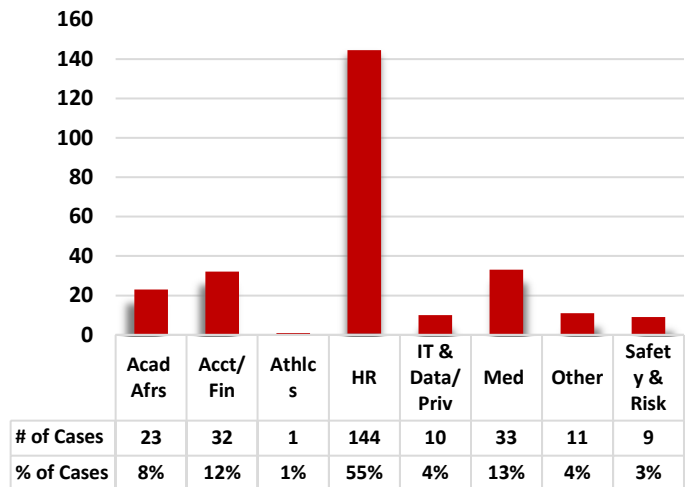
Hotline Case Summary – January 1, 2018 thru December 30, 2018

There has been a total of 263 cases reported to the Hotline on varying issues and locations. As a comparison, there were 208 cases reported in 2017. The information below indicates the majority of cases reported in 2018 originate from UNM Main Campus, with the majority of issues falling under Human Resources related categories. The chart at the bottom of the page indicates the variety of reported issues that represent the 144 HR cases.

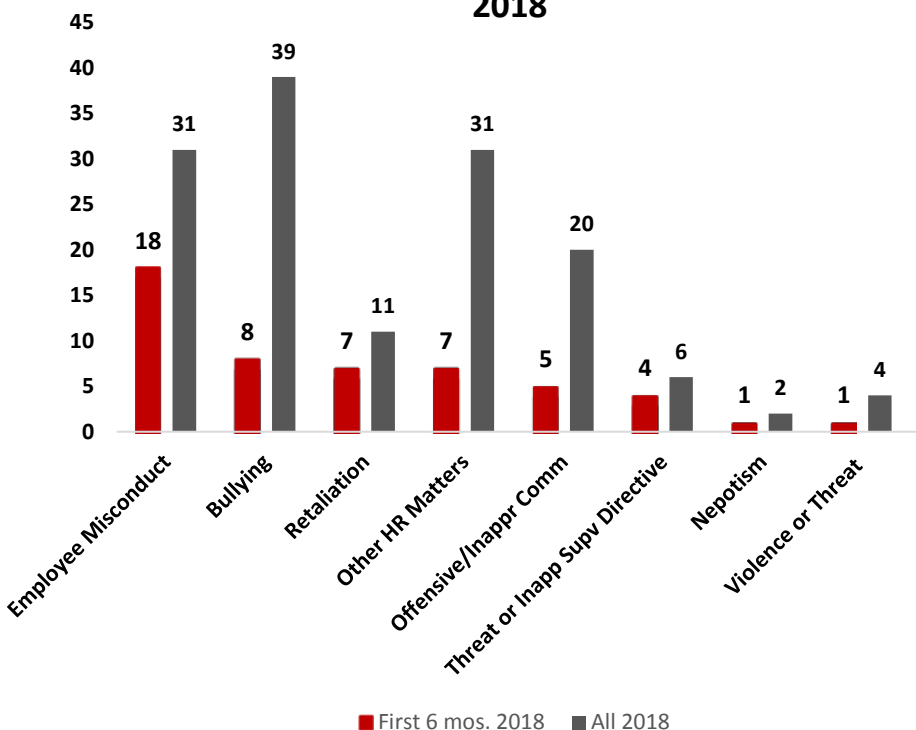
Hotline Case Locations - 2018



Hotline Case Volume by Issue - 2018



Summary of 52 HR Issues Reported 2018



Of the 144 cases with HR issues reported in 2018, the following statistics apply –

-104 cases or 72% are closed, 40 cases or 28% are currently being investigated.

-Findings of the 104 closed cases are –

- Unsubstantiated – 47 (44%)
- Substantiated – 12 (11%)
- Partially Substantiated – 15 (15%)
- Insufficient Info/No Response to Follow Up – 14 (14%)
- Other Findings – 16 (16%)

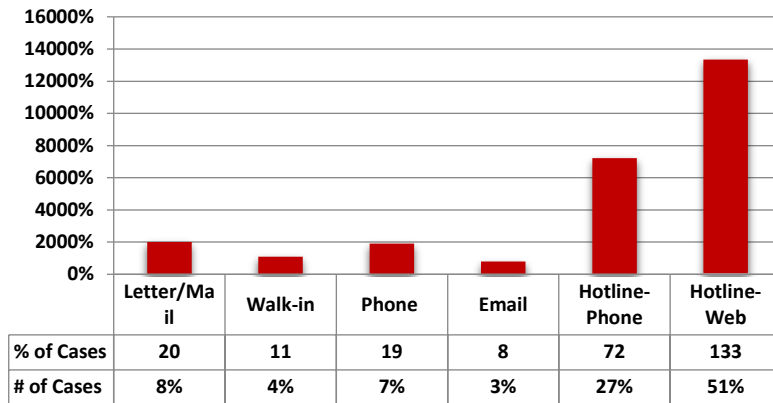
-Location of the 144 reported cases –

- Main Campus 44
- UNMH 37
- HSC 25
- Academic Units 19
- UNMMG 10
- Branch Campuses 5
- SRMC 4

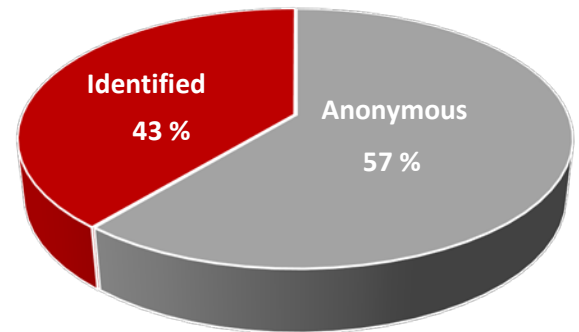
Hotline Case Summary – January 1, 2018 thru December 31, 2018 - *continued*

The preferred method of reporting is via the Hotline web or phone platforms, with the highest percentage of reporters continuing to prefer to remain anonymous. There has been a 4% shift toward identified reporting from 2017 statistics.

UNM Hotline Intake Method - 2018



Anonymous vs. Identified Reporting-2018



■ Anonymous ■ Identified

Reported	# of Cases Reported	% of Cases Reported
Anonymous	151	56.5%
Employee	79	30%
Student	12	5%
Patient/Advocate	12	5%
Former Employee	2	1%
Vendor	1	.5%
Other	6	2%
TOTAL	263	100%

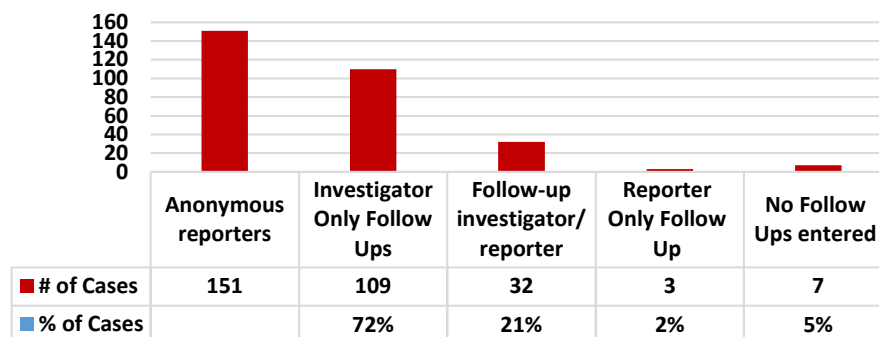


63 – Staff-Administrative
8 – Faculty
6 – Staff-Medical
2 – Staff-Technical/Trades

Anonymous Reporting and Follow-Up Rates

Of the 263 cases in 2018, 151 were reported anonymously. To ensure the successful use of any hotline program, especially anonymous reporting, organizations need to encourage and educate users on the importance of regularly checking up on complaints entered, and to follow up and respond to any questions that would aid in the investigations. The baseline follow-up rate for anonymous reporting in NAVEX statistics for 2017 is 32%. The summary below includes a review of follow ups by anonymous reporting and this review will continue in future reports to determine if it's an area that needs to be addressed.

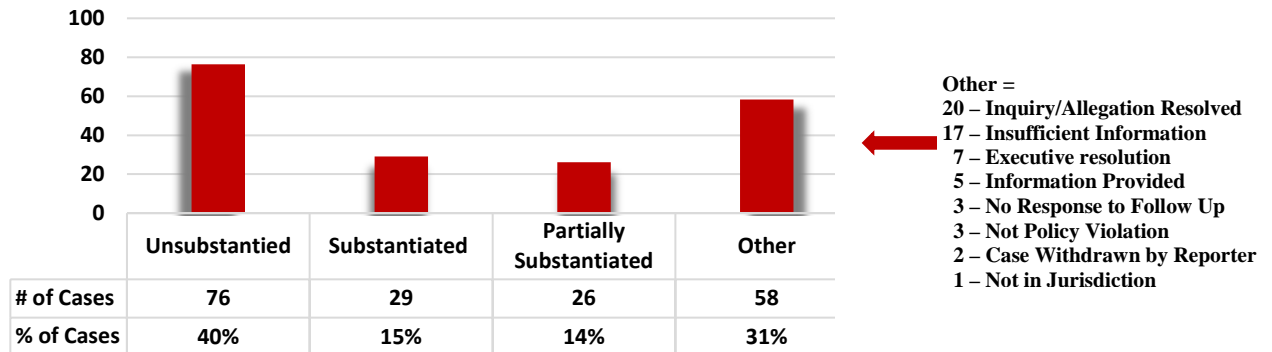
Summary of Anonymous Reporting Follow-Up Rate-2018



Summary of Case Outcomes – January 1, 2018 thru December 31, 2018

Of the 263 cases reported to the UNM Hotline in 2018, 189 cases have been investigated and closed, resulting in a 72% closure rate for cases during this reporting period. The information below highlights the outcomes on these closed cases. There are 74 cases for 2018 that are open and being investigated at the close of 2018.

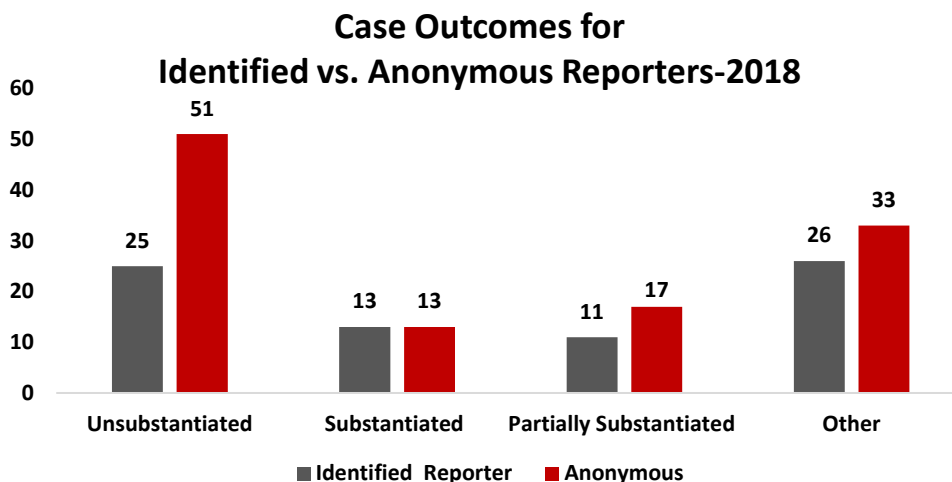
2018 Case Outcomes - 189 Closed Cases



Actions Taken on Substantiated and Partially Substantiated Cases - 2018

Outcome	Summary of Action Taken
Substantiated – 29 cases	5 - Policy Review 6 - Discipline 11 - Training 3 - Executive Resolution 4 - No Action Taken
Partially Substantiated – 26 cases	4 - Policy Review 5 - Discipline 7 - Training 6 - Executive Resolution 4 - No Action Taken

In response to an inquiry regarding the August 2017 Hotline report, an analysis is regularly conducted to see if there is a correlation between anonymous reporting and unsubstantiated cases. Based upon the 2018 review, while the statistics for substantiated cases are 50/50, and the differences for partially substantiated and other categories are noted, there is a marked increase in unsubstantiated cases that are reported anonymously. This will continue to be monitored.

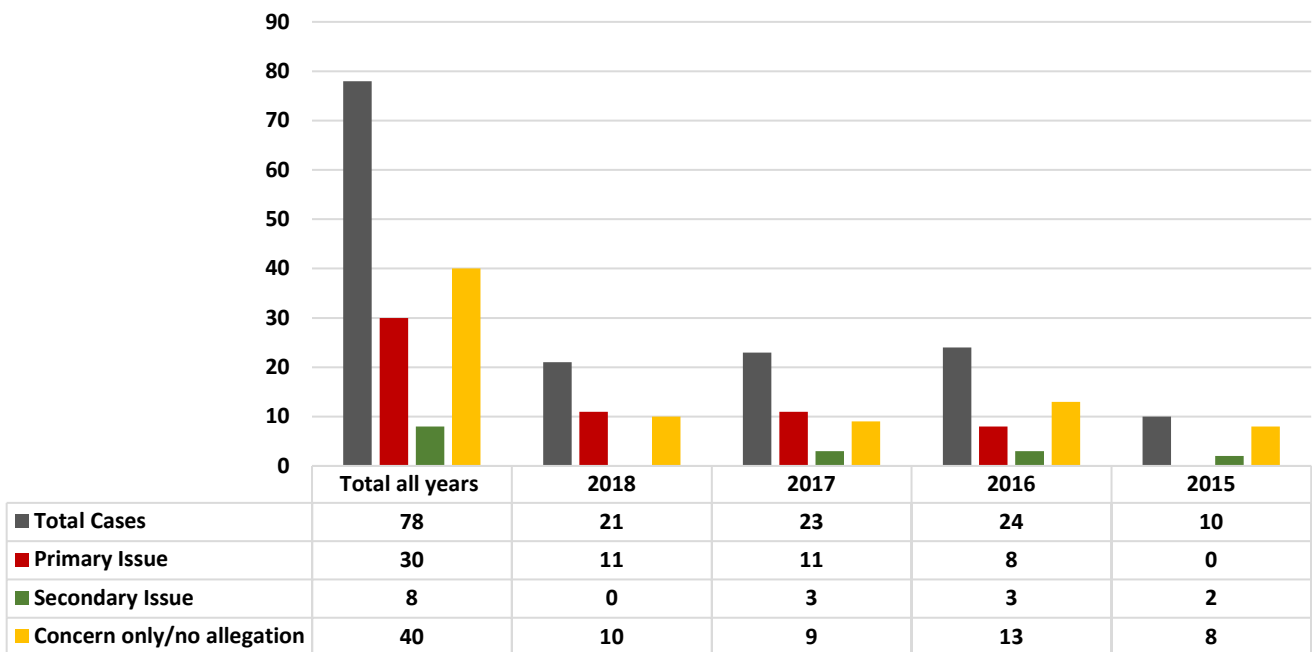


Reported Claims of Retaliation –

With the adoption of the updated *UAP Policy 2200: Reporting Suspected Misconduct and Whistleblower Protection from Retaliation* in May 2017, UNM reinforced its commitment to ensuring the highest ethical and professional standards. In doing so, UNM has placed its full commitment in protecting those 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. The chart also distinguishes between actual claims of retaliation and reporters who only note a concern or fear of retaliation for filing a complaint. The information below reflects retaliation claims on all 800 cases that have been received at the EthicsPoint Hotline since April 2015.

Cases Indicating Retaliation 2015 - December 31, 2018



Outcome of 78 Cases Reporting Retaliation

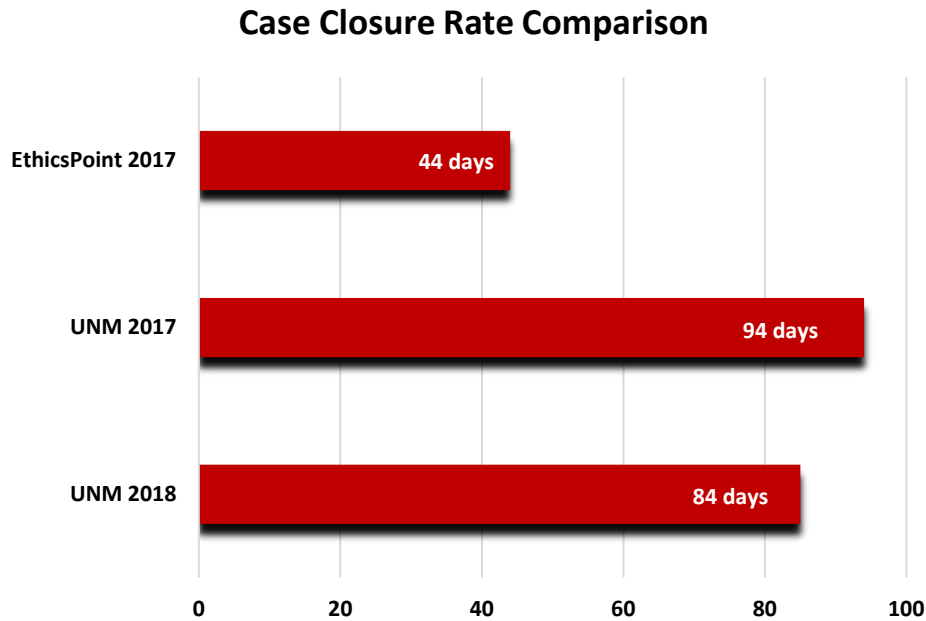
	Substantiated	Partially Substantiated	Unsubstantiated	Insufficient Info	Withdrawn	Resolved	In Process
Primary Issue	4	3	11	1	1	1	5
Secondary	0	1	7	0	0	0	0
Concern/Fear	0	1	28	2	2	0	10
Total	4 or 5%	5 or 6%	46 or 59%	3 or 4%	4 or 5%	1 or 1%	15 or 20%

The information provided above indicates that while there are 78 total cases noting retaliation since the introduction of the Hotline, only 38 of those represent primary or secondary claims of retaliation and a total of 9 were determined to be substantiated or partially substantiated. This is an important issue that will continue to be closely monitored and updated in future reports.

Overall Average Case Closure Rates

The chart below reflects the average number of days to close a case for 2018, compared to the UNM 2017 total average, and the average rate reported by NAVEX EthicsPoint 2017 statistics. There is a noted improvement of 10 days in 2018, when compared to the 2017 overall closure rate. However, UNM's closure rate remains high when compared to the NAVEX EthicsPoint average closure rate.

As noted in previous reports, there are some factors that contribute to case closure rates that should be taken into consideration when reviewing these statistics. A high rate of report volume and cases with complex issues involving multiple departments with limited resources can cause a case to remain open past the 45-day open-to-close goal.



**INFORMATION
TO
BE
SUPPLIED
AT
MEETING**

**Follow Up Report - Implemented (Non-Athletics)
May 2019 Open Session**

Project Name	Report Approval Date, # of Recommendations, Risk (H/M/L)	Recommendation Title	Executive Recommendation	Management Response	Original Estimated Implementation Date	Revised Estimated Implementation Date	Recommendation Action	Actual Implementation Date	Responsible Party
<u>Alumni Association Operations</u>	10/15/2018, 6, M	<u>Recommendation 1 - Alumni Association Business Operations Manual</u>	The Vice President for Alumni Relations/Association Executive Director should develop and implement a comprehensive Alumni Association business operations manual that outlines policies and procedures for specific business functions.	The Association agrees that it will benefit from more clearly established protocols on its financial operations. A financial operations policy is in the development stages, pending feedback and review by the leadership of the Alumni Association. This policy will establish protocol and process for the areas listed above.	12/1/2018		Financial policies and procedures were developed and approved for the Association's business operations. Internal Audit verified drafted policies and procedures were approved by the Association's Executive Committee on November 16, 2018.	2/4/2019	Dana Allen, VP, Alumni Relations
<u>Alumni Association Operations</u>	10/15/2018, 6, M	<u>Recommendation 6 - Cash Management</u>	The Vice President for Alumni Relations/Association Executive Director should establish internal controls to ensure all Alumni Relations employees that handle, or have access, to cash take the Cash Management training as soon as possible after being assigned cash handling duties. In addition, the Vice President for Alumni Relations/Association Executive Director should enforce cash management policies and procedures for timely deposit of cash receipts.	In order to ensure that all staff in the Alumni Relations Office are compliant with University policies, all staff will have documented completion of the Cash Management training course.	10/5/2018		The Vice President for Alumni Relations is enforcing compliance with UAP: 7200: Cash Management. Internal Audit verified every Alumni employee that handles, or has access to cash, has completed the cash management training in Learning Central.	2/8/2019	Dana Allen, VP, Alumni Relations
<u>UNM College of Nursing Dean's Scholars Award</u>	8/23/2018, 3, H	<u>Recommendation 1A - Review of CON Scholar Agreements - CON Scholars Awards Audit</u>	The CON should work with the UNM Counsel to revisit and revise the scholar award agreements to reflect the actual administration of the awards, to include a strong service requirement for awardees, and a repayment clause if the employee does not complete the service requirement.	Management concurs with the above audit finding. The CON will work with UNM Counsel to revise the Dean's Scholar Award agreements. Furthermore, working with UNM Counsel, the CON will revise the Dean's Scholar Award Program to establish, define, and explain the following: The remuneration service requirement. Potential tax implications of the award, if any. Guidelines for approved doctoral programs that contribute to the academic mission of the CON. As a result, the CON will not grant new awards or place a call for applications until the program is re-evaluated and revised. The CON will obtain legal advice and guidance from UNM Counsel and approval for the program revision by each respective University area.	1/31/2019	6/30/2019	The CON has implemented a revised Dean's Scholar Program for the College of Nursing, which includes a scholarship agreement to be signed by the awardee, and which contains provisions for taxability of the scholarship, term of service by recipient, and repayment provisions should term of service not be fulfilled.	5/8/2019	Christine Kasper, Dean of CON

**Follow Up Report - Pending (Non-Athletics)
May 2019 Open Session**

Project Name	Report Approval Date, # of Recommendations, Risk (H/M/L)	Recommendation Title	Executive Recommendation	Management Response	Original Estimated Implementation Date	Revised Estimated Implementation Date	% of Progress	Last Status Update	Responsible Party
<u>Review of College of Arts and Sciences Operations</u>	4/18/2013, 4, H	<u>Recommendation A: 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. Actual implementation of the software is expected to be completed by December 15, 2015.	6/30/2013	8/31/2019	50%	The Interim Provost indicated the Provost's Office is in the process of shared governance consultation with faculty and believes they are almost ready to go out for RFP for purchasing an external service for tracking faculty research activities.	Richard Wood, Interim Provost; Duane Arruti, IT; Gabriel Lopez, OVPR
<u>Chrome River Data Analysis</u>	5/17/2018, 10, H	<u>Recommendation 3 - Training Resources</u>	The leadership of UNM's CR committee should require all CR approvers complete CR Approver Training before they approve transactions in CR, and identify a central tracking mechanism to ensure all CR approvers complete the training.	Management acknowledges the recommendation. Management will review existing CR approver training and work with subject matter experts from respective core offices to develop relevant CR approver training content that supports effective approver training and will explore opportunities that support central tracking mechanisms to ensure required training is completed. Delivery of the training and tracking of who completes the training is contingent upon a functioning central training software system (currently Learning Central).	10/1/2018	3/31/2019	90%	The Chrome River Approver Training has been developed and is now available in the University's Learning Central. New approvers will be required to complete the training going forward. For all existing approvers, it is added to their learning plan currently as optional in the Learning Central, and an email was sent on May 10 to notify current approvers of the optional training.	Elizabeth Metzger, University Controller, Ava Lovell, Exec Ofcr Fin & Admin/HSC
<u>UNM College of Nursing Dean's Scholars Award</u>	8/23/2018, 3, H	<u>Recommendation 2A - Improper Tax Treatment - CON Scholars Award Audit</u>	The College of Nursing should implement and monitor a process to evaluate each course taken by an awardee at a University in a degree program to determine qualification as a working condition fringe benefit, including forwarding the transaction to UNM Taxation for review and determination of the tax treatment of the payments prior to disbursement.	Management concurs with the above audit finding. The CON will work to implement a selection methodology that asserts the education being pursued by prospective awardees maintains or improves the skills required in doing their present work. In addition, a process will be established to evaluate each course taken by an awardee at a University in a degree program. The CON will address this in conjunction with UNM Counsel and UNM Taxation as this process relates to the tax treatment on a course-by-course basis, with the caveat that awardees in PhD programs have had all courses vetted as part of their individual program of study through their respective Doctoral Committee.	1/31/2019	6/30/2019	90%	Implementation date was extended to June 30, 2019, to coordinate with UNM Tax Department implementation of Recommendation #7, in Audit Report 2018-02, Audit of HSC Advance Degree Tuition Payments for Employees. 04-25-2019 – CON has developed and is testing a process for routing transactions for review by UNM Taxation department and Unrestricted Accounting including any approvals associated with the Chrome River transaction documentation. These transactions, along with course information are also being sent for review by the Associate Deans who oversees the faculty's work.	Christine Kasper, Dean of CON

**Follow Up Report - Pending (Non-Athletics)
May 2019 Open Session**

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<u>UNM College of Nursing Dean's Scholars Award</u>	8/23/2018, 3, H	<u>Recommendation 3A - General Accounting Review of Tax Aspects of Awards - CON Scholars Award Audit</u>	The College of Nursing should work with the UNM General Accounting Taxation department to develop a formal process for routing the appropriate documentation for tax determination decisions prior to finalization of the Dean's Scholar Awards.	Management concurs with the above audit finding. The CON will work with UNM HSC Unrestricted Accounting and UNM Taxation to establish a process to formally route transactions and related documentation to HSC Unrestricted Accounting and UNM Taxation to determine the tax treatment of each transaction. Furthermore, the CON will not grant new awards or place a call for application until the program is re-evaluated and revised. The CON will obtain legal advice and guidance from UNM Counsel and approval for the program revision by each respective University area.	1/31/2019	6/30/2019	90%	Implementation date was extended to June 30, 2019, to coordinate with UNM Tax Department implementation of Recommendation #7, in Audit Report 2018-02, Audit of HSC Advance Degree Tuition Payments for Employees. 04-25-2019 – CON has developed and is testing a process for routing transactions for review by UNM Taxation department and Unrestricted Accounting including any approvals associated with the Chrome River transaction documentation. These transactions, along with course information are also being sent for review by the Associate Deans who oversees the faculty's work.	Christine Kasper, Dean of CON
<u>HSC Masters Degree Tuition Payments</u>	10/15/2018, 8, H	<u>Recommendation 1 - Revise Policy for Tuition Payments</u>	The University President should work the UNM Policy Office to develop a narrow exception to policy for extraordinary circumstances to allow University payment of tuition for employees to obtain outside degrees. Final approval should of any resulting tuition payments should rest with the University President.	The UNM President will work with the UNM Policy Office to re-draft UAPPM Policies 3260 and 3290 to address the University funding the payment of tuition to third-party educational institutions (and associated travel expenses) and to articulate certain criteria for approval for that funding: The substantive course underlying the degree in question must be one as to which the University will derive a benefit or value related to the employee's job function within the University; the substantive course curriculum is not offered at the University of New Mexico; and, the employee is responsible for any of the federal or state tax consequences of the University's funding of the tuition and related expenses.	3/31/2019		50%	May 9, 2019 - Policy revision are under way for UAP 3290 (Professional Development and Training), UAP 3700 (Education Benefits), and UAP 4000 (Allowable and Unallowable Expenditures). Draft policy revisions have been prepared, but have not been finalized.	Garnett Stokes, President
<u>HSC Masters Degree Tuition Payments</u>	10/15/2018, 8, H	<u>Recommendation 2 - Internal Guidelines</u>	For special circumstances where management decides to allow payment of tuition for employees, appropriate guidance should be developed and followed.	Any internal policy and internal guidance and/or processes will have University-wide application through the amendment and restatement of UAPPM Policies 3260 and 3290 and will be consistent with those revised policies. The HSC Chancellor will develop implementing internal guidance for administering at the HSC any programs where the University pays tuition for employees to obtain advanced degrees consistent with those amended and restated policies.	3/31/2019		50%	Development of internal guidelines for administering tuition payments for employees to obtain advance degrees is pending the resolution of policy revisions, and final determination of the tax consequences to the employees.	Paul Roth, Chancellor for HSC
<u>HSC Masters Degree Tuition Payments</u>	10/15/2018, 8, H	<u>Recommendation 3 - Neonatal Nurses Are Responsible for Travel Costs</u>	In accordance with the Neonatal Practice Trainee Agreements, HSC should recoup the cost of the travel expenses related to the Neonatal Practitioner Trainees obtaining advanced degrees.	The HSC Chancellor will work with University Counsel and the UNM Pediatrics Department to determine if University payment of travel costs should be allowable or not; and, if not allowable, HSC management will take steps to collect reimbursement to the University of such travel costs.	3/31/2019		50%	May 9, 2019 - Development of internal policy for travel costs associated with obtaining advance degrees is pending the resolution of policy revisions, and final determination of the tax consequences to the employees.	Paul Roth, Chancellor for HSC

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<u>HSC Masters Degree Tuition Payments</u>	10/15/2018, 8, H	<u>Recommendation 4 - Tuition Agreements</u>	Payment of tuition for employees to obtain outside degrees must only be allowed for narrow exceptions to University policy, if granted by the University President. In such cases, the University should establish a formal agreement with the employee whenever the University pays for tuition and other expenses for an employee to obtain a college degree at an outside institution.	The HSC Chancellor will work with University Counsel to establish formal agreements with employees where the University agrees to pay for tuition and other expenses for an employee to obtain a college degree at an outside institution: the employee must sign an agreement under which the employee agrees, in exchange for the University's funding of the tuition and related expenses, to continue his or her employment with the University for a specified period of time, and, in the event the employee, for any reason, separates from employment at the University, any unamortized amount will be repaid in a manner consistent with a pre-determined repayment plan; and the employee is responsible for any of the federal or state tax consequences of the University's funding of the tuition and related expenses.	3/31/2019		50%	May 9, 2019 - Assessment of the tuition agreements is underway. Development and finalization of standard agreements is pending the resolution of policy revisions, and final determination of the tax consequences to the employees.	Paul Roth, Chancellor for HSC
<u>HSC Masters Degree Tuition Payments</u>	10/15/2018, 8, H	<u>Recommendation 5 - Terminated Neonatal Nurse</u>	UNM Pediatrics department should work with Bursar's office to collect the amount owed the University, to include both tuition and travel costs, over a more reasonable time period, in accordance with the Neonatal Practice Trainee Agreement.	HSC Chancellor recognizes this deficiency in the current form of the Neonatal Practice Trainee Agreement, although the agreement does make the amounts immediately outstanding, and the University, if it chose to, could commence collection activities. Going forward, the University will amend the form of the Neonatal Practice Trainee Agreement, to provide that any amount that may be owed to the University be repaid over a specified period of time.	3/31/2019		50%	November 26, 2018 - Department of Pediatrics is working with HSC Financial Services to work out a repayment plan with the departed neonatology nurse practitioner who left after completing the program. Should this prove unfruitful, other collection options will be explored.	Paul Roth, Chancellor for HSC
<u>HSC Masters Degree Tuition Payments</u>	10/15/2018, 8, H	<u>Recommendation 6 - Neonatal Nurse Taxation</u>	The UNM School of Medicine Pediatrics department should work with the UNM Payroll department and all nurses participating in the advanced degree program to determine the appropriate process for rectifying the taxable treatment of the tuition benefit.	The UNM School of Medicine Department of Pediatrics, working with School of Medicine, HSC financial leadership, and the UNM Payroll Department will meet and confer to rectify the tax treatment consequences of the tuition benefit for all of the nurses participating in the advanced degree program.	3/31/2019		50%	May 9, 2019 - University Counsel (HSC) has sought and outside legal opinions on the potential strategies around using scholarships for the Neonatology Program as a means of avoiding taxability, and also on how HSC should treat and resolve the taxability of the previous tuition advanced for neonatology trainees.	Paul Roth, Chancellor for HSC

Follow Up Report - Pending (Non-Athletics)

May 2019 Open Session

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<u>HSC Masters Degree Tuition Payments</u>	10/15/2018, 8, H	<u>Recommendation 7 - Tax Department</u>	HSC should work with the UNM Controller's Office to develop a formal process, prior to finalization of transactions, for routing of tax determination decisions to Taxation.	The HSC Chancellor will work with University Controller to develop a formal process for tax determinations. Tax treatment and taxation determinations should be made by the University's Taxation Department, in advance of any funding of tuition advances. However, even in the absence of that, the HSC Finance and Accounting Department should route its proposed tax treatment of tuition advances to the University's Taxation Department prior to any funding. In addition, because the funding of such tuition payments may have tax implications to the affected employees, UAPPM Policy 3290 should be amended to provide: The Taxation Department should develop and implement a standardized worksheet to be used by all Departments listing all facts and circumstances of the tuition payment to address tax impact.	3/31/2019	6/30/2019	50%	Implementation Date has been revised to June 30, 2019 in order to relieve the burden on UNM Controller's Tax division during W-2 filing season.	Paul Roth, Chancellor for HSC
<u>HSC Masters Degree Tuition Payments</u>	10/15/2018, 8, H	<u>Recommendation 8 - Obtain Anti-Donation Determination from NM AG</u>	The UNM President should work with the Office of University Counsel, and the New Mexico Attorney General to determine the effect of the anti-donation statute, and resolve any anti-donation issues inherent in the HSC tuition payments, including repayment of tuition costs, if any.	The President's office will coordinate with University Counsel to request a formal opinion on this issue. The New Mexico Attorney General will be asked to provide an opinion regarding use of Public Funds (UNM paid the tuition and travel costs for one or more UNM employees to receive degrees from non-UNM institutions that were not required for the employees' jobs with UNM).	6/30/2019		30%	February 4, 2019 - The President's Office has been appraised of the status and will work with University Counsel to facilitate communication with the AG.	Garnett Stokes, President
<u>Alumni Association Operations</u>	10/15/2018, 6, M	<u>Recommendation 2 - Financial Management</u>	The Vice President for Alumni Relations/Association Executive Director should: a) Work with the UNM President's Office to develop a proposal to reestablish its I&G funding to previous levels; b) Work with the Association Board to request permanent contribution to the Relations office; c) Perform a cost savings analysis to determine where management should control and reduce expenses.	The Association believes that the work of the Office of Alumni Relations is critical to the University and that UNM should reassess its current I & G allocation to the office, reinstating it to such a level that, at minimum, there is a commitment to salaries for positions as established in FY19 through FY24, including any such salary increases that are granted by the Board of Regents. For FY19, a strategy will be developed to address the current anticipated shortfalls. Assessment of expenses and analysis of potential savings will be ongoing, and the Association will participate as appropriate in providing feedback on measures designed to provide savings where possible without a significant reduction in programs or services to alumni. The Association will look to engage in dialogue with the President's office in the coming year to provide information which will help support the above request.	6/30/2019		75%	The Vice President for Alumni Relations indicated an agreement has been reached with the President's Office to address the needs for FY '19 and FY '20 which does not yet fully reinstate all of the funding of previous years, but addresses the needs in the immediate. This was done through allocations from both sides as well as operational savings which will be implemented. Both sides have agreed that during FY '20, longer-term plans will be discussed with the goal of filling needs by the FY '21 year/budget cycle. The Association has completed an initial analysis of FY '20 – FY '22 as a guidepost to use in their development of a longer-term strategy for resource allocation and investment account usage. The Vice President believes full corrective action to this recommendation will be implemented by the June 30, 2019 target deadline.	Dana Allen, VP, Alumni Relations

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<u>Alumni Association Operations</u>	10/15/2018, 6, M	<u>Recommendation 3 - Long-Term Budget Plan for Use of Investment Income</u>	The Vice President for Alumni Relations/Association Executive Director should work with the Alumni Board to develop a long-term strategic plan for the use of investment funds. The plan should include expectations of need and/or requests on a long-term basis, which will provide the Board with an advanced notice of expected need and/or use of funds for future years.	The Association believes that the strategy for the use of its endowment is embedded within its current investment policy. The Association also believes that its current process provides an appropriate level of discussion and implementation of the use of its investment funds. The Finance Committee serves as the primary team tasked with reviewing the Association's Investment Account, performance and the Investment Policy set forth by the Association. The Committee is currently engaged in a review of these areas, and has initiated the first steps required to make recommendations to the Board on updates and revisions.	6/30/2019	12/31/2019	80%	The Association Finance and Executive Committees established a process which included working with students on recommendations and planning to help advise Association leadership on a suggested path(s). This requires work during both Spring '19 and Fall '19 semesters. The initial recommendations from the students/class working in Spring '19 have been submitted to the Finance committee chair for review/feedback/edits and from there, next steps will be formulated over the summer with an eye towards working with a Fall '19 class on developing the final pieces of the recommendations. The Vice President for Alumni Relations believes corrective action will be fully implemented by the target date of December 31, 2019.	Dana Allen, VP, Alumni Relations
<u>Alumni Association Operations</u>	10/15/2018, 6, M	<u>Recommendation 4 - License Plate Royalties Agreement</u>	The Vice President for Alumni Relations/Association Executive Director should work with the President's office and UNM Legal Counsel to execute a signed agreement for the Association's rights to license plate royalties.	Although the Association feels that the resolution passed by the Regents in 2015 remains the primary source of codifying the designation of the License Plate royalties to the Association, the Association is in agreement that a more strongly defined agreement is needed to ensure the continued allocation of royalties from current and future license plate revenue to the Association. Leadership of the organization will work with University Counsel to produce a more formalized agreement.	12/1/2018	7/31/2019	75%	The Association will possibly redesign the UNM license plate and has met with representatives from University Communications and Marketing (which oversees the usage of the UNM logo) and Athletics (which oversees the licensing of athletic logos) to determine appropriate use of these marks. The Association is awaiting information from the MVD on what options are possible from their side in terms of production and such and once that is in place, the same group will meet again to determine what path to take from there. Management believes full implementation for this recommendation will be completed by July 31, 2019.	Dana Allen, VP, Alumni Relations

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May 2019 Open Session**

Project Name	Report Approval Date, # of Recommendations, Risk (H/M/L)	Recommendation Title	Executive Recommendation	Management Response	Original Estimated Implementation Date	Revised Estimated Implementation Date	% of Progress	Last Status Update	Responsible Party
<u>Alumni Association Operations</u>	10/15/2018, 6, M	<u>Recommendation 5 - Chapel and Hodgins Hall Rental Deposits</u>	The Vice President for Alumni Relations/Association Executive Director should revise the current processes for the collection and recording of Chapel and Hodgins Hall rental deposits. The Vice President for Alumni Relations/Association Executive Director should work with the UNM Cashier's office to set up a Touch Net account that will deposit funds directly in the Relation's UNM bank account.	The Alumni Chapel and Hodgins Hall serve as a connecting point for alumni, campus and the community as a whole and the Alumni Relations Office staff welcomes the opportunity to continue to provide the highest levels of service possible to ensure their continued accessibility to all. The Alumni Relations Office will work with the appropriate staff in the Cashier's Office, IT and any other offices deemed necessary to establish a more streamlined means for depositing revenue generated from the rental of these facilities directly into the appropriate University accounts, while still allowing for Alumni Relations Office staff to do the work needed to provide high levels of customer service.	2/1/2019	8/30/2019	50%	The Vice President for Alumni Relations indicated that the continued vacancy in the fiscal tech/accounting-related position has made this recommendation more challenging to implement. When the position was last filled, all funds in the for Hodgins Hall and Chapel rental deposits were appropriately deposited in the correlating UNM indexes, which was in December, 2018. Such deposits have not been made since. The Vice President for Alumni Relations believes corrective action for the proper deposit if rental deposits will be implemented by a revised target date of August 30, 2019.	Dana Allen, VP, Alumni Relations

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	Implemented:								
5/17/2018, 20, H	<u>Recommendation 2 - General Activities Financial Management</u>	The Fiscal Operations Director should conduct a thorough review of expenses throughout the year to ensure expenses, by budgeted line item, are within budget; and, conduct a cost savings analysis to determine where management controlled expenses can be reduced.	All budgets will be closely monitored throughout the year to ensure expenses are within budget at year end. This process will include: (1) a thorough review of expenses throughout the year to ensure expenses, by budgeted line item, are within budget; (2) budgeted expenses will be adjusted at least quarterly to reflect adjustments to actual revenues; and (3) a cost savings analysis will be conducted on a quarterly basis to determine where management-controlled expenses can be reduced.	9/1/2018		100%	The Fiscal Shared Service Center Director of Financial Operations indicated that expenses are monitored daily by them and reported to Athletics' leadership team; examples of cost efficiencies include the review of the ticketing operations, security and event staffing reductions, and the review and approval process for every vacant or new position. In addition, all contracts are discussed in detail to assure budget availability for the current year and accounted for in future years. The Director believes there has been identified saving in all these efforts detailed above. Internal Audit reviewed the Athletics budget vs. actual report for December 31, 2018 and the cost savings analysis for the proposed ticketing system prepared by the Fiscal Shared Service Center.	2/8/2019	Nicole Dopson, Dir, Financial Operations
5/17/2018, 20, H	<u>Recommendation 17 - Pit Suite and Club Seat Sales and Collection</u>	The Interim Executive Director of the Lobo Club should: A) continue to ensure formal documentation such as contracts or sales invoices is obtained for every Pit Suite and Club Seat sale; B) enforce implemented collection procedures; C) ensure receivables are reconciled on a regular basis to ensure balances are accurately reported; and, D) work with UNM's Legal Counsel and/or the Director of Intercollegiate Athletics to develop a formal agreement that clearly defines the roles and responsibilities pertaining to UNM and the Lobo Club for the sale and collection of Pit Suites and Club Seats.	Recommendations (A), (B), and (C) have been implemented. Recommendation (D) – The Interim Executive Director of the Lobo Club is currently working with UNM's Legal Counsel as well as the Director of Intercollegiate Athletics to develop a formal agreement that clearly defines the roles and responsibilities pertaining to UNM and the Lobo Club for the sale and collection of Pit Suites and Club Seats	8/1/2018	9/30/2018	100%	Internal Audit reviewed a newly developed suite agreement and invoice used for the 2017-2018 basketball season, and reviewed written processes for pit suite and club seat sales. Athletics sales and collection procedures resulted in 100% collection of sales for the 2018-2019 season. Internal Audit also reviewed a copy of a draft agreement between Lobo Club, the UNM Foundation, and Board of Regents. Athletics management indicated a recommendation for the restructuring of the Lobo Club has been presented to the President. Further action, including finalizing the MOA, will take place once an official decision has been made. Follow-up procedures to verify final signed MOU are being completed within Recommendation 4: Fundraising. Therefore, Internal Audit considers this recommendation "implemented."	1/18/2019	Jalen Ivan Dominguez, Assistant AD for Premium Seating

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Implemented by Athletics, but kept as Pending for additional monitoring by Internal Audit:									
5/17/2018, 20, H	<u>Recommendation 5 - Enhancement Funds</u>	The Athletics' Chief Financial Officer should ensure that sports enhancement fundraising and donor cultivation activity is charged to the enhancement funds within Lobo Club. Reserves remaining in the Sports Enhancement Funds recorded in Banner should be expended on goods or services that are not a fundraising or donor cultivation activity.	All sports enhancement fundraising and donor cultivation activity is currently charged to the enhancement funds within Lobo Club. Following the conclusion of each fundraising event, the net profits raised will only be transferred from the Lobo Club to Athletics for public use as funds are needed. Otherwise, monies generated from fundraising events will remain at the Lobo Club.	5/18/2018		100%	Internal Audit has verified fundraising and donor cultivation activities are now recorded using the Lobo Club sports enhancement funds. Internal Audit has also verified the remaining reserves in the UNM sports enhancement indices are being reduced with expenses for valid sports activities not related to fundraising and donor cultivation.	8/13/2018; 2/8/2019	Nicole Dopson, Dir, Financial Operations
5/17/2018, 20, H	<u>Recommendation 15 - Contract Execution and Compliance</u>	The Director of Intercollegiate Athletics should ensure all Athletics contracts are reviewed by a designated Contract Review Officer and ensure contracts/agreements are not entered by an Athletics employee who is not authorized to enter contracts/agreements.	All Athletics contracts are reviewed by a designated Contract Review Officer. In addition, all contracts initiated by the Director of Intercollegiate Athletics are reviewed and approved by the Purchasing Department and the President. All Athletics contracts/agreements are entered by an Athletics employee who is authorized to enter contracts/agreements.	5/17/2018		100%	Internal Audit reviewed four contracts entered during FY 2019 and noted they were all authorized by the UNM Purchasing department.	8/13/2018; 2/8/2019	Eduardo Nunez, Dir, Intercollegiate Athletics
5/17/2018, 20, H	<u>Recommendation 19 - Event Management Parking Fee Collections</u>	The Assistant Athletics Director for Events should enforce compliance with UAP 7200: Cash Management, ensure that cash deposits from parking fee collections are made by the next working day, and separate cash reconciliation and deposit duties.	The Events Planner is responsible for acquiring, counting, and reconciling all monies collected for each event. This individual will count all monies collected and then place the funds in the safe after each event. The following working day, the Assistant AD – Events will count the funds in the safe and initiate a deposit in accordance with UAP 7200. Thus, the Assistant AD – Events will be responsible for cash deposits to reduce the risk of misappropriation and/or lost cash.	7/1/2018		100%	Internal Audit completed additional reconciliation and deposit of parking fee cash collections for a men's basketball and football game. IA noted deposits were made timely, and responsibilities were adequately separated between cash reconciliation and deposits. Athletics has hired a new events manager who provides adequate oversight and review for the reconciliation and deposit of parking fee collections.	8/13/2018; 2/7/2019	Eduardo Nunez, Dir, Intercollegiate Athletics
5/17/2018, 20, H	<u>Recommendation 7 - Financial Reporting by Athletics Program</u>	The Athletics Chief Financial Officer should complete a thorough assessment of financial reporting in the Banner Accounting System and determine which transactions are not being recorded correctly by Athletics program.	A thorough assessment of financial reporting in the Banner Accounting System will be conducted to determine which transactions are not being recorded correctly by Athletics program. Following the completion of this assessment, Athletics accounts will be properly organized in Banner to ensure that transactions such as fundraising, payroll, and financial awards are recorded in the applicable Athletics program. Further, budgeted salaries for Athletics staff will be properly organized in the Banner index that corresponds to their Athletics program using the "Salary Planner" budget module. This measure will ensure salary and benefits are budgeted and recorded in the correct Athletics program as they occur.	9/1/2018		100%	The Fiscal Shared Service Center has completed a thorough assessment of Athletics financial reporting in the Banner Accounting System and organized Athletics indices to ensure all transactions are recorded in the applicable index, by Athletics program. The tracking of financial reporting of Athletics activity, by program is presented to the Board of Regents during scheduled meetings. Internal Audit has reviewed detailed spreadsheets and has verified that financial reports are being presented to the Board of Regents during scheduled meetings.	5/16/2019	Nicole Dopson, Dir, Financial Operations

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5/17/2018, 20, H	<u>Recommendation 3 - Deficit Reduction Plan</u>	The Director for Intercollegiate Athletics should ensure the approved deficit reduction plan is implemented .	The Athletics Department will work in conjunction with the Office of Planning, Budget and Analysis in implementing the approved deficit reduction plan.	5/18/2018		99%	Athletics has an approved ten-year Deficit Reduction Plan. Internal Audit will perform continued follow-up procedures to determine compliance with its deficit reduction plan.	7/30/2018	Eduardo Nunez, Dir, Intercollegiate Athletics
	Pending:								
5/17/2018, 20, H	<u>Recommendation 1 - Business Processes</u>	The Athletics Fiscal Operations Director should: A) consider adding resources to the business office, such as an additional full-time employee, to strengthen internal controls within the accounting function; B) closely monitor budgeted expenses on a regular basis and adjust to reflect actual revenues generated, thus decreasing the risk of inaccurate revenue accruals, over-expended budgets, and year-end deficits; C) amortize the \$500,000 additional investment received from Levy Restaurants over the term of the contract; and, D) record funds intended for specific purposes and their corresponding expenses in their own index.	A comprehensive business operations manual detailing policies and procedures for specific business functions, including, but not limited to: journal vouchers, accounts payable, purchasing, cashiering, payroll, financial award processes, compliance with endowment restrictions, etc., will be developed and implemented. In addition, a comprehensive assessment of the business operations within Athletics will be completed in order for a determination to be made as to the most efficient use of the current resources within the office. Account reconciliations will be performed on a regular basis throughout the year. In addition, revenue accruals will be adjusted on a quarterly basis to recognize actual revenues earned for the period. Further, budgeted expenses will also be closely monitored on a regular basis and adjusted to reflect actual revenues generated. The additional investments received from Levy Restaurants will be amortized over the term of the contract.	9/1/2018	6/30/2019	95%	The Provost's Office Director of Financial Operations indicated the Business Operations Manual is nearing completion and believes the manual will be completed by the June 30, 2019 target date. All other items of this recommendation have been implemented and verified by Internal Audit.		Nicole Dopson, Dir, Financial Operations
5/17/2018, 20, H	<u>Recommendation 4 - Fundraising</u>	The Director of Intercollegiate Activities should consult with the University of New Mexico Board of Regents and University Counsel to revise and update the May 17, 2015 Memorandum of Agreement between the Board of Regents, UNM Foundation, and the UNM Lobo Club to clearly define roles and responsibilities of all parties in the agreement.	Athletics is in the process of developing and executing a Memorandum of Agreement, which will clearly define the roles and responsibilities of the all parties in the agreement.	8/1/2018	9/30/2018	99%	The Lobo Club MOU has been completed and is pending executive signatures. The Director of Intercollegiate Athletics believes the MOU will be signed and finalized by May 31, 2019.		Eduardo Nunez, Dir, Intercollegiate Athletics

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5/17/2018, 20, H	<u>Recommendation 18 - NCAA and Mountain West Conference Tournament Tickets</u>	Athletics should purchase NCAA and MWC tournament tickets only for UNM officials with such a provision for tickets in their employment contract. The Director of Intercollegiate Athletics should require NCAA and MWC tournament tickets to be purchased through the Lobo Club.	Athletics purchases NCAA and MWC tournament tickets only for UNM officials who are attending to conduct official university business and/or have such a provision for tickets in their employment contract. The Director of Intercollegiate Athletics requires NCAA and MWC tournament tickets to be purchased through the Lobo Club, which may then sell or distribute tickets as it deems necessary.	6/4/2018	6/30/2019	95%	MWC tickets were purchased for FY19 and were only distributed to individuals attending the MWC tournament on official business, which include tickets allotted to student athletes and coaching staff per contract(s). Any other MWC and/or NCAA Tournament tickets that were purchased for non-business purposes are only purchased through the Lobo Club. A process has been put into place to monitor the ticket allotments. The department is also working on an internal policy regarding distribution of unused tickets, in order to ensure tickets are being used for a valid University business purpose. Internal Audit will perform audit procedures to ensure the purchase and distribution of MWC and NCAA tournament tickets is appropriate. Internal policy and Internal Audit's review will be completed by June 30, 2019.		Eduardo Nunez, Dir, Intercollegiate Athletics
5/17/2018, 20, H	<u>Recommendation 20 - Events Management Payroll Processing</u>	The Director of Intercollegiate Athletics should add additional resources to assist in the payroll process for part-time and on-call employees to ensure payroll processing is complete by the pay period deadline	The Senior Associate Athletics Director – Administration will work with the Assistant Athletics Director – Events to change the current payroll tracking process to include the final Friday of the payroll cycle. Individual timesheets with both employee and supervisor signatures will be used. The Senior Associate Athletics Director – Administration will key timesheets, and prior to approval by the Senior Associate Athletics Director - CFO, will send the list of all inputted employees on Monday morning of the payroll deadline to ensure all time has been keyed properly and in advance of the deadline. The Senior Associate Athletics Director – CFO will then approve time and submit for processing prior to the payroll deadline.	9/1/2018	7/31/2019	80%	Human Resources has a shared service agreement with Athletics and has continued to assume the time keeping responsibilities on behalf of Athletics. However, the Athletics department staff continues to be responsible for processing, approving, and maintaining accurate timekeeping records. Human Resources and Fiscal Shared Services continue to support the Athletics department in developing improved timekeeping protocols that are consistent with University policy and the Fair Labor Standards Act. Human Resources and the Athletics department are in the process of implementing LoboTime to replace the manual time keeping process. In collaboration with Fiscal Shared Services, Payroll, and Information Technology, a project plan is currently in development to implement the application to manage the time keeping process for all Athletics department non-exempt staff. The benefits of implementing LoboTime will increase the efficiencies and effectiveness for entering and processing timesheets for part-time and on-call Athletics employees. Human Resources believes the process will be implemented by July 31, 2019.		Eduardo Nunez, Dir, Intercollegiate Athletics

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