

BOARD of REGENTS



AUDIT AND COMPLIANCE COMMITTEE MEETING

*Friday, April 28, 2017 1:00 pm
Scholes Hall, Roberts Room*

The University of New Mexico
Board of Regents' Audit and Compliance Committee
April 28, 2017 – 1:00 PM
Roberts Room
Agenda

ACTION ITEMS

1. Confirmation of a Quorum and Adoption of Agenda
2. Approval of Meeting Minutes from March 31, 2017 and April 13, 2017
3. Audit and Compliance Committee Meeting dates for Calendar Year 2017. The following proposed meeting dates are being presented for Committee approval. The Committee meets in the Roberts Room. This schedule accommodates entrance and exit conferences for the FY17 External Financial Statements Audit.

August 3, 2017 - Start at 9:00 AM

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

INFORMATION ITEMS

4. Advisors' Comments
5. Fiscal Year 2017 Financial Statements External Audit, Entrance Conference (*Timothy Keller, State Auditor, Moss Adams, KPMG, and Elizabeth Metzger, University Controller*)
6. Main Campus Chief Compliance Officer Status Report (*Libby Washburn, UNM Main Campus Chief Compliance Officer and Francie Cordova, Director, Office of Equal Opportunity*)
7. Director of Internal Audit Status Report (*Manu Patel, Internal Audit Director*)
8. Status of Audit Recommendations (*Chien-chih Yeh, Internal Audit Manager*)
Implemented
Pending

EXECUTIVE SESSION

9. 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 FY17 Audit Work plan, pursuant to RPM 1.2;
 - d. Vote to re-open the meeting.
10. Certification that only those matters described in Agenda item #9 were discussed in Executive Session and if necessary ratification of action, if any, taken in Executive Session.
11. Adjournment

THE UNIVERSITY OF NEW MEXICO
Board of Regents' Audit and Compliance Committee Special Meeting
March 31, 2017 – Draft Meeting Minutes

Members Present: Chairman Jack Fortner, Tom Clifford, Garrett Adcock (quorum).

Other Attendees: Chaouki Abdallah, Liz Metzger, Ava Lovell, Craig White, Amy Wohlert, Bruce Cherrin, Libby Washburn, Eileen Sanchez, Carla Domenici, Che Nyamboli, Wayne Sullivan, Ella Watt, Richard Schuetz, Melanie Sparks, Manu Patel, Chien-chih Yeh, Lisa Wauneka, Avedona Lucero, Lola Neudecker, Victor Griego, Mallory Reviere, Amy O'Donnell.

Chairman Fortner called the meeting to order at 12:58 PM in ROBERTS ROOM, Scholes Hall, UNM.

ACTION ITEMS:

- Regent Clifford moved to amend the agenda as pertains to the order of items. Internal Audit Director Patel noted that the Executive Session will move forward and the open session items will continue following that session. The Committee unanimously approved the agenda as amended.
- Chairman Fortner reiterated that Regent Adcock can participate as a regular voting member as he fills a vacancy on the Board due to a resignation.
- The Committee unanimously approved the minutes from the meeting of March 2, 2017.
- Chairman Fortner stated he cannot attend the proposed date for the next meeting – April 28, 2017. Following continued discussion, the preferred date that works according to the Committee members is the afternoon of April 26, 2017. The Chairman stated he would know by Tuesday if April 26th works for him. The State Auditor's Office needs to approve the selection of the external audit contractor and that contractor needs to prepare for the entrance conference scheduled for this next meeting date; therefore the finalized date hinges on those items being completed. New future proposed dates for the remainder of 2017 are August 3, 2017 at 9:00 AM, and October 20, 2017 at 9:00 AM. The Committee approved these dates with April 26th being tentative.

By unanimous consent, the meeting went into Executive Session for the reasons stated in the agenda. The meeting went in to closed session at 1:04 PM.

The meeting returned to open session at 2:45 PM, with certification that only those matters described above were discussed in Executive Session.

The Committee unanimously approved the award of the external financial audit contract to Ricci and Company with RSM.

The Committee unanimously approved the following UNM Audits:

- The University of New Mexico Press Audit of Business Practices and Processes, Report #2016-08
- Audit of the Stairwell Project by Remodel Division, Report #2017-03

INFORMATION ITEMS:

- Chairman Fortner asked for advisor comments. There were no comments.

- Audit Manager Yeh discussed previous audit follow-up items with the Committee. There are two reports, each with one page summaries: a list of implemented items, and items still pending. The follow-up reports were not discussed at the previous meeting because we ran short on time. Therefore, some pending items may have progressed, but that progress is not reflected on these reports from early March. Regent Clifford asked for discussion of the Payroll audit items first.

Liz Metzger, University Controller discussed the Payroll items. She confirmed some information is updated since the last meeting, and some hinge on the implementation of the Talent Management System. The first piece of implementation, applicant tracking, is set to go live on Monday, April 3rd. The implementation team is hoping that integration with Banner will happen sometime in May. The first recommendation is regarding processing of adjustments outside of the normal cycle and ways to determine what is causing the adjustments. Rather than spending a lot of time with the old system and programming there, the thought was to build it into the implementation of the new system. Work has begun on that, but it is a little complex, because it is not a simple process to determine the root cause of each adjustment.

Regent Clifford asked when we talk about "HR," is that the main HR department, or HR staff within the departments that are entering the information? Ms. Metzger responded that Dorothy Anderson is the Vice President of HR. Across campus, there are multiple data centers, i.e., Faculty Contracts, Student Employment, HR for staff hires, and the Health Sciences Center. Departments can do some HR functions and may or may not have a specialized HR person in the department. But someone is assigned to do the tasks that feed into the system. Regent Clifford asked if we know who is doing it and if they have been trained. Director Patel responded that when Internal Audit looked into the detail of an adjustment, they traced back all the way down to the department level to see if the department is where the information did not get entered on a timely basis. If not, the centralized function will have no way of knowing the information.

Regent Clifford added that the recommendations have a lot to do with training. The people at the department level who perform HR tasks report to their department, not to HR. Acting President Abdallah stated that the people do go through training. Regent Clifford added that if the people do not report to HR, they are reporting to people who do not understand what they do. HR staff are the ones who understand this system, and now we are getting a new one. That will put more pressure on this process because there is a new set of things to learn. There is a whole HR rule book that these people need to know but they do not report to HR. Acting President Abdallah stated it does filter up.

Regent Clifford stated he would like Dorothy Anderson to come to the next meeting to get a diagram of how this works, what the new system does, and how they ensure that people are knowledgeable and doing what they should be doing. It worries him that HR is telling people to do things that do not report to them. Amy Wohlert, Chief of Staff, stated that each unit has an HR Consultant that must be consulted and approve particular actions. Also, individuals who enter data into the system are required to have Banner Authorization role approval. In order to get the role approval, you have to complete training. Ms. Metzger added the point of implementing the new system is to make these processes easier and so that less things are missed and less mistakes happen. The hope is once the system is fully implemented and there are less manual parts, it will fix many of these things. Ms. Metzger stated they do run a payroll almost every day due to

adjustments and perhaps they could use more discretion as to whether or not to make somebody wait a little longer on an adjustment.

Carla Domenici and Che Nyamboli addressed the Committee regarding chemical purchases. They have upgraded their tracking system for hazardous materials. When Ms. Domenici came to UNM in 2011, the campus did not have a chemical inventory. Her predecessor had a staff member build a database called ICID, and people would voluntarily submit chemical inventories to that database. But it was probably less than five percent complete.

Safety and Risk Services worked with Purchasing. They found a SciQuest product called Enterprise Reagent Manager (ERM), and they hired six advanced-level students called Chemical Inventory Specialists. These specialists have gone into every lab on all areas of campus, as well as branches, and manually implemented everything. Each lab is visited at least once a year, some more frequently. They continually go in and update the inventory. They work with the Physical Plant to obtain quarterly data and also work with Chem Stores, providing them with bar codes. They code the chemicals and provide an Excel spreadsheet that is downloaded into the software. Because ERM is a SciQuest product, it communicates with LoboMart. The Provost's Office has asked academic departments to purchase through ERM. If they do that, inventory automatically updates. There is some resistance because some areas prefer other vendors not inside the software due to things such as pricing or delays in availability. If chemicals or other hazardous materials are purchased outside of LoboMart, there is an additional form that must be filled out. Ms. Domenici noted that full time staff are certified and receive extensive training. The students are trained in personal protective equipment, how to handle chemicals, and radiation safety. Regent Clifford asked if UNM has an educational program for that. Acting President Abdallah stated he is not aware of one. Regent Clifford replied that might be useful as it is a job track at the labs.

There is an additional finding similar to the purchase of chemicals that Ms. Domenici stated is really the next phase. The finding was directed to the EVP for Administration, the Provost's Office, and the Chancellor for the Health Sciences Center. The portion assigned to the Provost has been cleared. The portion assigned to the EVP for Administration that remains open is a central receiving area. Safety is partnering with Bruce Cherrin, Chief Procurement Officer, who has stated he would like to take responsibility for central receiving because he oversees mail services that has a type of central receiving. If they receive all the chemicals ordered through CRLS or LoboMart, they can bar code those and close that loop. The portion remaining that is assigned to the Chancellor is not something Ms. Dominguez would be working with on the HSC side. Director Patel stated that Dr. Richard Larson oversees their labs. Internal Audit is updating that portion and can get back to the Committee at the next meeting with more information.

Regent Clifford stated he had a couple of questions about pending research items. Mr. Yeh informed the Committee that one finding regarding program requirements under the review of College of Education operations was recently implemented but not yet updated to the implemented list. Acting President Abdallah verified that they did decrease the requirement for amount of hours. Regent Clifford asked for information on the Brain Safe project. Mr. Yeh responded that Internal Audit has not been provided the evidence to verify the data to close the recommendation. Regent Clifford asked Mr. Yeh and Mr. Patel to let them know if Internal Audit cannot get a response. Maybe there needs to be an inquiry from the Chairman. Chairman Fortner asked Regent Adcock if he was involved in that study. He replied that he was; he had two scans and was provided DVD copies of the information.

Regent Clifford inquired about an Arts and Sciences process to track research activities. He has been wondering how we track research activities campus-wide. Acting President Abdallah stated that Dr. Heileman, Associate Provost, has been overseeing work to collect information on research activities. UNM looked at commercial products but that was going to be very expensive, so it was determined that information could be collected internally. They are working with the Vice President for Research to develop the application that will become UNM software that could potentially be sold to other institutions. UNM has developed other tracking systems that became available for outside use. Regent Clifford stated he would like a demonstration of it when it is ready – either in this committee or ASAR. He added that the recommendation should remain open, because even if the system is developed, there is still the question of implementation.

- Libby Washburn, Chief Compliance Officer, provided the Committee with a status update on the compliance area. The Department of Justice (DOJ) agreement is the biggest thing that is touching the Compliance Office at the moment. There are quite a few tasks to be done, particularly in 2017 where there is a great deal of infrastructure to get up and running. After that time, it will be mostly about maintaining what we are doing. Ms. Washburn passed out an implementation plan to the Committee members. This plan lists every task in the DOJ agreement. It includes who is responsible for each task, the due date, and where UNM is at in the process. Ms. Washburn stated there are a lot of tasks that have been approved by the DOJ. There is still a lot to do, but UNM is getting to a better place. Since Ms. Washburn last met with this Committee, the Compliance Office has filed three status reports with the DOJ. Two included hundreds of pages of documentation. The most recent one was filed February 1, 2017. A major task in that report that the Compliance Office has identified as the most difficult was a blueprint of how UNM is going to provide in person training for all students. There are 27,000 students. They identified a plan, submitted the plan, and the DOJ is thrilled with it. Training has already begun, with the majority of it starting in August and September.

Chairman Fortner asked about terminology used for faculty and staff that UNM designates as responsible employees. Another document, a status update, mentions that according to policy all UNM employees are designated. Ms. Washburn answered that is correct the way it stands now. UNM is revisiting that. Once they rewrite the policy, that could change, and some categories of employees may be removed from the requirement. Regent Clifford asked Ms. Washburn about participation rates and who that covers. Ms. Washburn stated that covers the on line employee training. At the end of calendar year 2016, the Compliance Office had to provide the DOJ with the compliance for employees. UNM hit it out of the park, and the DOJ was shocked that we had such a high compliance rate. The President was emailing people weekly and it was a very aggressive campaign. Unfortunately, the DOJ adamantly mandated that the first student training has to be in person. UNM tried unsuccessfully to push back on that. Every subsequent year, students will do an on line training. Regent Adcock asked for explanation of the waiver of training. Ms. Washburn replied there are certain reasons a waiver can be accepted, such as medical, religious, and if someone has experienced a sexual assault and the training would be a trigger. The trainers have a form for those stating they cannot do the training, or students can fill out the form ahead of time.

Ms. Washburn stated that she anticipates by the end of 2017 they will file three additional status reports. A significant deadline at the end of the year is when UNM has to notify the DOJ how many students have completed the training and any plan to capture remaining students. Regent

Adcock asked Ms. Washburn if the training is something that is going to be incorporated into freshman orientation. Ms. Washburn replied yes, and if the student has done the training at freshman orientation, they do not have to do in person again. But they have to use this certain training module. Ms. Washburn stated she thinks UNM has 8,000 students trained thus far. The incoming class of freshman will also receive the training. They are kind of a captive audience.

Regent Clifford noted there are several items that say the Compliance Office is coordinating with IT. Ms. Washburn replied that all the internal references with outdated information on UNM's website have been updated; however there are external sites such as the Rape Crisis Center, etc., that UNM does not have control over. They had incorrect Title IX Coordinator contact information and they asked IT to help get these external sites fixed.

Chairman Fortner asked about the monitoring program to assess effectiveness of efforts. He noted that historically, most sexual assaults occur in dorms or among athletes and that is where the education should be focused. Ms. Washburn replied they did implement a monitoring program involving training evaluation forms and a climate survey. UNM is paying a professional organization to compile the statistics from the survey. Additionally, focus is on athletics, Greek life, and the dorms, where they are doing some specialized things in addition to the broad, campus-wide effort. The DOJ felt like there were pockets of the population such as graduate students that didn't know where to go for resources.

Regent Clifford stated "to monitor the effectiveness" is a loaded phrase that requires program evaluation methodology. He wanted to know if Compliance is working with anyone on that. Ms. Washburn replied that they are teaching themselves. They are planning to ask the DOJ to assist them with examples from other institutions that have it in place. Regent Clifford responded that the DOJ says to invent your own. If UNM does their own, it shows good faith effort and there might be the ability to have more control, but Compliance needs help from somewhere internally. Acting President Abdallah responded there are social programs that have program evaluations. Regent Clifford added that UNM needs to be careful about presenting naïve statistics. There are important steps that you would take in any evaluation like this. UNM has people who can do this. Director Patel suggested Paul Guerin at the Institute for Social Research. Eileen Sanchez, Compliance Specialist, stated they are going to have Institutional Analytics assist with the raw data that comes in. The Compliance Office has also done some work in Ethics Point (where Title IX cases are captured) running reports the DOJ is requesting. They have informed the DOJ that they will run reports monthly and look for trends and patterns in Title IX cases to see if they come from any certain area on campus.

Chairman Fortner asked for clarification on academic accommodations, and if that includes when a victim says they need for certain things to be done. Acting President Abdallah replied that there is a place on campus where students go to get tested for things like test anxiety or learning disabilities. Ms. Wohlert stated the Dean of Students can also make determinations due to ongoing needs to perhaps separate someone from the campus community but not interfere with their ability to continue their education. That could also include if an alleged assaulter and alleged victim are in the same classroom.

Ms. Washburn concluded the DOJ discussion and began discussion of Minors of Campus. There is a new policy regarding this subject and the Minors on Campus task force has reconvened. The President is going to send out a reminder to the campus community that summer camps are

coming up. The Compliance Office is working with IT and will be sending out a questionnaire to get data on where these camps are on campus and how many minors there are. This data can be populated and stored in a database.

Internal protocols for the hotline are finalized. The Compliance Office is working on a communications plan to try to get the word out about the hotline. They currently have a poster and a website but are working on more ways to spread the word. Acting President Abdallah noted that the problem with direct emails is there are already a lot of communications that go out and people do not read them. Ms. Sanchez has also been working on a short form for the hotline for quick-notify items. It should roll out in the next month or so.

- Ms. Sanchez provided the Committee with an update on the hotline statistics. She is running the benchmark report every quarter. The benchmark is against Navex Global clients, the owners of Ethics Point. There are more than 2,300 organizations in the system. Approximately 800 higher education institutions use Ethics Point. The benchmarking provides a good way to spot trends and patterns to possibly mitigate potential risk.

The first benchmark is reporting volume; it is extremely low compared to other Ethics Point institutions: 0.64 compared to 1.90. As communicated earlier, one of the Compliance Office's goals is to increase employees' knowledge of reporting channels. One of the tools is the open door report form. It is a URL that anybody can click on. There are a few questions to answer, then that goes into the hotline and will be reviewed to see if it warrants investigation. They are going to try to roll it out in baby steps, because if they send out the URL to everyone at once, UNM might get inundated. They are also considering a quarterly newsletter.

The anonymous reporting rate has actually gone down a little. That is helpful because they can contact the reporter if they need additional information. Regent Clifford asked if we contact the ones who identify themselves with how the case was resolved. Ms. Sanchez stated there is a follow-up section where there is just a general notice that the case has been resolved. Specific information may occur within the department.

As mentioned, the substantiated rate is very low and that is a concern. Most of the time they are not frivolous, as the reporter really does feel there is an issue, but the investigator goes out and it is not substantiated. The Compliance Office hopes the internal procedures for investigators will help. Regent Adcock asked if the Compliance Office is doing anything to educate people on what constitutes a substantial report. Ms. Sanchez replied they have links to policies as well as FAQs, but it is difficult. Sometimes the hotline can be used as an inquiry. If someone observes something and wonders if it violates policy, the person can put in a question.

The case closure time has been creeping up, from 80 days to 82 days. The benchmark in Ethics Point is 46 days. There can be a number of reasons. There are some very complex cases with multiple areas working them. Sometimes this number is skewed by a few lengthy items. Ms. Sanchez reviews cases monthly to make sure they are updated and being worked, and she sends reminders to the investigators through the system to make sure they are working the cases and providing status updates.

Reports of retaliation are starting to go up. This is a new benchmark report through Ethics Point. It was four percent in 2016, and now it is up to eight percent. Regent Clifford asked if people feel like they are being retaliated against for the particular reported incident, or in general. Ms. Sanchez replied it is mostly for a case they reported, but not always. Regent Clifford stated this is an important training issue for managers and employees. He asked if these retaliation complaints are more from students or employees. Ms. Sanchez stated she did not try to separate that information out but feels it is mostly employees. Acting President Abdallah said he hears often that people are afraid of retaliation and he is always surprised. At the town hall people expressed they were glad for a way to report anonymously because of the fear of retaliation. Ms. Sanchez stated from what she can recall most of the retaliation reports are found to be unsubstantiated. Also, the reporter has to choose Retaliation as the issue for it to show in that category. Sometimes they just select, for instance, HR Other Matters. Regent Clifford told President Abdallah he would like to see some follow up on retaliation because it seems like an issue.

There does appear to be a trend of an uptick in cases that at the end of the semesters. Case numbers picked up in 2016. Overall, the hotline is becoming more known. UNM Main has the most cases. Regent Clifford stated that would be the case because of the population size; per capita information would be helpful. Regent Clifford stated that it would be good for the President to distribute information when these issues arise.

Ms. Sanchez informed the Committee that she is retiring from the University. At UNM, she started in HR. She has been at UNM for 13 years, and in Higher Ed for 27 years total.

- Ms. Washburn informed the Committee that the Risk Assessment process has started. Electronic survey questionnaires will go out in the next week or so. Compliance and Internal Audit should have some preliminary response information at the next meeting of this Committee. Information will be compiled over the summer.
- Director Patel addressed the Committee regarding his Director's report. At the end of this fiscal year, the department should have a carry forward balance of approximately \$65,000. The National Science Foundation is going to be on campus next week auditing UNM and Director Patel will be meeting with them. There will likely be focus on IT security and research functions. UNM is just one of the entities they have chosen to audit.

The meeting adjourned at 4:13 PM.

Approved:

Audit and Compliance Committee Chairman

THE UNIVERSITY OF NEW MEXICO
Board of Regents' Audit and Compliance Committee Special Meeting
April 13, 2017 – Draft Meeting Minutes

Members Present: Chairman Jack Fortner, Tom Clifford, Garrett Adcock (quorum).

Other Attendees: Liz Metzger, Bruce Cherrin, Craig White, Amy Wohlert, Ella Watt, Mallory Reviere, Manu Patel, Amy O'Donnell.

Chairman Fortner called the meeting to order at 9:36 AM in ROBERTS ROOM, Scholes Hall, UNM.

ACTION ITEM:

- The Committee unanimously approved the meeting agenda.

By unanimous consent, the meeting went into Executive Session for the reasons stated in the agenda. The meeting went in to closed session at 9:37AM.

- a. Discussion of procurement in excess of \$2,500 pursuant to Section 10-15-1(H)(6).

The meeting returned to open session at 9:47 AM, with certification that only those matters described above were discussed in Executive Session.

ACTION ITEM:

- Chairman Fortner asked for a motion to approve the contract for the FY17 Annual Financial Statements Audit. Regent Clifford asked Bruce Cherrin, Chief Procurement Officer, for a summary of the revised recommendation based on additional review following the prior meeting of this Committee. Mr. Cherrin stated there is a recommendation for award of the audit contract to Moss Adams and KPMG, based upon due diligence of the Request for Proposal respondents. Regent Clifford added that is based on additional review following the previous meeting related to references. Mr. Cherrin stated it was contingent upon obtaining good references, and that key members are acceptable to this Committee. Because that was found to not be the case with the first bidder, they then went to the second bidder, negotiated price, and recommended the second bidder for approval. The Committee unanimously approved the award of the UNM FY17 Annual Financial Statements Audit contract to Moss Adams for Main Campus and KPMG for the Health Sciences Center.

The meeting adjourned at 9:48 AM.

Approved:

Audit and Compliance Committee Chairman

There is no
handout
required for
this item

There is no
handout
required for
this item

**INFORMATION
TO
BE
SUPPLIED
AT
MEETING**

The University of New Mexico – DOJ Agreement Six-Month Progress Report

October 17, 2016 – April 16, 2017

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 entered into an Agreement on October 17, 2016, involving UNM’s obligations under federal civil rights laws to prevent and address sexual misconduct, and to provide clear and consistent policies and procedures for reporting, investigating, and responding to such conduct. UNM agreed to undertake certain actions during the three-year Agreement. In the past six months, UNM has made significant progress in complying with the delineated tasks and implementing improvements. This Progress Report details the tasks UNM has completed in the first six months under the 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 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.

<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%

<u>Student Employees</u>	<u>% Complete</u>
Students - Monthly	100.0%
Students Bi-weekly	91.6%
Graduate Student Bi-Weekly	84.9%
Graduate Student Monthly	94.3%
Total Student Employees	92.5%

<u>Temporary and On Call Staff</u>	<u>% Complete</u>
Exempt Temporary Staff	71.4%
On Call Staff	74.9%
Teaching Non-Credit	31.4%
Temporary Faculty	66.7%
Temporary Staff Bi-Weekly	93.5%
Total Temporary/On Call	61.6%

- **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.**

- UNM will continue this all-employee training effort in 2017 and beyond.
- Pursuant to the Agreement, UNM is providing interactive and intensive *in-person* training regarding 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 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 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.
- UNM’s LoboRESPECT Advocacy Center has completed the following training initiatives:
 - Prior to March 2017, 8,015 students were trained through new student orientation sessions;
 - **“The Grey Area” in-person training sessions for upperclassmen started in March 2017 and are being offered across the campus at varying times and locations. Since March 24, 2017, 16 training sessions have been completed and 11 training sessions have been scheduled for the remainder of Spring 2017 (anticipating more than 1500 students will be trained by the end of the Spring semester);**
 - Train-the-Trainer workshops have been completed at Valencia, Los Alamos, Taos and Gallup Branches;
 - Attendance tracking automated through the LoboCard system is being developed and will be in use by mid-April; and,
 - “*The Grey Area for Graduate and Professional Students*” training programs are being developed and will begin in mid-May 2017.
- 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 1,200 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 to better understand the traumatized person's experience.

- 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.

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 on May 15, 2015. In the fall of 2016, UNM's Policy Office convened the Sexual Harassment Policy Committee to discuss revising several University Administrative Policies to make further refinements. The Committee has representation from the major campus constituency groups (administrators, faculty, staff, and students), as well as from the Albuquerque Rape Crisis Center and SANE – Sexual Assault Nurse Examiners. The Committee's final drafts will be vetted with the entire UNM community as well as the Department of Justice.
- **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, intended to streamline the manner in which the Office of Equal Opportunity investigates claims that are raised. This better aligns the University's procedures with the recommendations from the Department of Justice. Newly adopted Office of Equal Opportunity procedures include:
 - Discrimination Claims Procedure;
 - Checklist for Formal Investigation Process – Individual; and,
 - Checklist for Formal Investigation Process – Departmental.
- Newly adopted Dean of Students Office procedures 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 recently established permanent funding in next year's budget for these positions. In addition, a new Administrative Assistant was recently hired in the Office of Equal Opportunity to assist with data collection and input, quality assurance of data, and administrative tasks to support investigators.
- UNM's Dean of Students Office recently 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 addition, the Dean of Students Office is in the process of hiring additional staff to create more consistency of service.
- **UNM's Women's Resource Center recently 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.

Campus-wide Efforts:

- UNM receives suggestions on improving the campus climate through climate surveys:
 - **In the Spring semester of 2016, UNM conducted a Main Campus-wide climate survey to assess the campus climate and make sure that UNM is serving the student population. 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.

- In April 2017, UNM launched additional climate surveys at UNM's Branch Campus locations. These surveys will 1) assess students' attitudes and knowledge regarding what constitutes prohibited sexual harassment and retaliation; 2) gather information regarding students' experience with sexual harassment while attending the University; 3) determine whether students know when and how to report such harassment; 4) gauge students' comfort level with reporting sexual harassment; 5) identify barriers to reporting; and 6) assess students' familiarity with the University's outreach, education, and prevention efforts to identify which strategies are effective.
- UNM recently partnered with the University of Kentucky as part of a CDC grant to provide the Multi-College Bystander Efficacy Evaluation study at UNM that will facilitate Main Campus climate surveys from 2017 to 2019.
- 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 assess qualitatively how UNM can improve reporting and responding to incidents of sexual misconduct and retaliation.
- In April 2017, numerous UNM campus activities are centered around *Sexual Assault Awareness Month*, including:
 - LGBTQ Resource Center sponsored event, "Let's Talk About Sex;"
 - Sexual assault awareness rally organized by the Office of Equal Opportunity;
 - UNM Police Department sponsored event, "Coffee with a Cop;"
 - Women's Resource Center conducted educational outreach at four events, launched a "Dear Survivor" campaign and hosted "I Heart Female Orgasm", a national program focused on consent, sex positivity and healthy communication.

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 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 the Office of Equal Opportunity, hosted Dr. Jennifer Freyd from the University of Oregon for a keynote lecture and to meet with faculty,

administrators, staff, and police engaged with Title IX compliance on the UNM campus, as part of Faculty SAFE UNM's efforts to collaborate in strengthening 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 in 2017 to 2019.

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>. More dates and times will be added 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:

UNM has made significant changes that will, over time, make positive and sustainable improvements in the campus climate around these important issues. The University will continue to promote and maintain a caring and safe educational environment with fair processes for all. 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

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

OFFICE of EQUAL OPPORTUNITY

Title IX

The U.S. Department of Education's Office for Civil Rights (OCR) enforces, among other statutes, Title IX of the Education Amendments of 1972. Title IX is a federal civil rights law that prohibits sex discrimination based on sex in federally funded education programs and activities. Title IX states that:

No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance.

Scope of Title IX

Title IX applies to institutions that receive federal financial assistance from the federal government, including UNM. Educational programs and activities that receive federal funds must operate in a nondiscriminatory manner. Some key issue areas in which recipients have Title IX obligations are: recruitment, admissions, and counseling; financial assistance; athletics; sex-based harassment; treatment of pregnant and parenting students; discipline; single-sex education; and employment. Also, a recipient may not retaliate against any person for opposing an unlawful educational practice or policy, or made charges, testified or participated in any complaint action under Title IX. For a recipient to retaliate in any way is considered a violation of Title IX. The Department of Education Regulations (Volume 34, Code of Federal Regulations, Part 106) provide additional information about the forms of discrimination prohibited by Title IX and what a recipient institution must do to remedy discrimination. For example, Volume 34 provides that a covered entity must designate at least one employee to coordinate Title IX efforts (Title IX Coordinator) and create a grievance procedure for resolution of civil rights complaints.

In 2011 and 2014, the OCR issued *Dear Colleague Letters* that further explains a recipient institutions' responsibility to respond promptly and effectively to sexual harassment and sexual violence (SH/SV) claims.

Responsibilities

- When the institution knows or reasonably knows of possible SH/SV, it must take immediate and appropriate steps to determine if the conduct occurred.
- If SH/SV occurred, the institution must take prompt and effective steps to end the conduct, eliminate the hostile environment, prevent its recurrence, remedy its effects.
- Must protect the safety of the complainant and ensure his or her safety as necessary, including interim measures before the outcome of the investigation (interim bans, academic and housing adjustments, counseling and resources).
- The institution must disseminate a notice of nondiscrimination.
- Designate a Title IX Coordinator.

- Adopt and publish grievance procedures that are prompt (reasonable time frames) and equitable to both parties and utilize the Preponderance of the Evidence Standard.
- Adequately train investigators.
- Identify “responsible employees” that are obligated to report incidents of alleged SH/SV to the Title IX Coordinator (those with authority to take action or whom a student would reasonably believe has this authority).
- Ensure that retaliation for filing complaints is prohibited.
- Utilize campus climate surveys as a means to generate data on the nature and extent of sexual assault on campus.

At UNM

- Nondiscrimination policy is published.
- Heather Cowan has been designated as Title IX Coordinator.
- Deputy Title IX Coordinators in Athletics, Human Sources, Provost’s Office, Dean of Students and Residence Life have been identified.
- The Office of Equal Opportunity (OEO) is the designated civil rights investigatory entity on campus.
- OEO is neutral and impartial. Fact finder only. Has no sanctioning authority.
- OEO has adopted and published a civil rights grievance and investigation process with time lines (60 day goal for completion from date both parties certify their response and complaint), definitions, procedures, retaliation prohibitions and appeal rights.
- OEO investigators and staff have participated and received hundreds of hours of training on Title IX, sexual harassment, discrimination, and trauma informed investigations.
- OEO has conducted a climate survey of UNM Main Campus (Spring 2016) and branch campuses are currently underway.
- UNM has trained thousands of employees on Title IX via the Intersections: Preventing Discrimination and Harassment online training course and via interactive and in-person training.
- The in-person program, entitled *The Grey Area* will be provided to UNM students.

Discrimination Claims Procedure

- OEO is neutral.
- OEO meets with parties and witnesses to explain rights and responsibilities.
- Both parties receive resources.
- Both parties are allowed to provide statements and witnesses.
- Both parties see each other’s statements and evidence.
- Both parties have equal response time frames.
- OEO issues several formal investigative reports.
- Both parties have appeal rights.

Flowchart Attached.

Resources and Advocacy

	ON CAMPUS	OFF CAMPUS
Confidentiality is maintained and no disclosure is required	<u>Student Health and Counseling (SHAC)</u> <u>Counseling and Referral Services (CARS)</u> Other licensed medical providers	Rape Crisis Center of Central New Mexico Sexual Assault Nurse Examiner (SANE)
Confidentiality is maintained, but an anonymous record is made for statistical reporting only	UNM Advocacy centers: Such as the <u>LoboRESPECT Advocacy Center</u> , <u>Women’s Resource Center (WRC)</u> and the <u>LGBTQ Resource Center</u> .	

Complainant Advocates (LoboRESPECT, Women’s Resource Center, LGBTQ Center, and Community Partners)

- Confidential Reporting and Resources. (All)
- Advocacy through investigative process (attend investigative meetings, assist in preparation of responses and evidence). LoboRESPECT, LGBTQ, WRC)
- Review documents and materials from investigation, final report, and sanctioning decisions as requested. (LR, WRC, LGBTQ)
- Manage academic, housing, access to dining facilities and interim safety measures as requested by complainant. (LR, Dean of Students)
- Provide information and referral to university and community based resources for additional support needs. (All)
- Supporting and connecting complainants with on-campus and off-campus resources.(All)
- Assist with Academic Supportive Measures. (Dean of Students)
- Provide general support. (All)

Respondent Support (LoboRespect)

- Attend investigative process. (LR, WRD, LGBTQ)
Review documents and materials from investigation, final report, and sanctioning decisions as requested. (LR, WRC, LGBTQ)
- Manage academic, housing, access to dining facilities and interim safety measures as requested by complainant. (LR, Dean of Students)

- Provide information and referral to university and community based resources for additional support needs. (ALL)
- Supporting and connecting complainants with on-campus and off-campus resources. (All)
- Assist with Academic Supportive Measures. (Dean of Students)
- Provide general support. (All)

Other Resources

- SANE
- Rape Crisis Center
- Dean of Students
- UNM-PD
- Agora Crisis Center
- Manzanita Counseling

Responsible Employee

Pursuant to University Administrative Policy 2740, all UNM employees who receive information about SH/SV must report the information to OEO within 24 hours, or as soon as reasonably practicable. The only exceptions are confidential reporting entities as described above or health practitioners that learn the information via a clinical health relationship.

Currently, the definition and scope of responsible employee is being debated and decided by the SH/SV policy committee.

Title IX 2016 Numbers

Title IX Inquiries by Category	Total
Dating/Intimate Partner Violence	42
Differential Treatment	2
Sexual Assault	54
Sexual Exploitation	3
Sexual Harassment	96
Stalking	21
Grand Total	218

Formal Investigations	
Case Status	Total
Closed	31
In Process	18
Grand Total	49

Informal Cases	
Case Status	Total
Closed	16
In Process	9
Grand Total	25

Formal Investigation Outcomes	
No Policy Violation	9
Not Jurisdiction	1
Policy Violation	10
Withdrawn	11
Grand Total	31

Non-case Inquiries Outcomes	
Primary Case Outcome	Total
Inquiry Resolved	5
Insufficient Information	11
No Response to Follow-Up	57
Not in Jurisdiction	31
Reported to outside entity	1
Withdrawn	39
Grand Total	144

DISCRIMINATION CLAIMS PROCEDURE

I. NOTICE OF COMPLAINT

Any student, staff, faculty member, or applicant who believes that he or she has experienced an action that violates his or her civil rights or that he or she believes to be discriminatory may bring concerns

II. OEO MEETS WITH COMPLAINANT

A Claimant may choose to pursue one of the three (3) options

Withdraw Complaint

Educational Conference

Formal Investigation

III. OEO DETERMINES JURISDICTION

VI. COMPLAINANT & RESPONDENT ARE NOTIFIED IF CASE IS JURISDICTIONAL

V. COMPLAINANT & RESPONDENT ARE INTERVIEWED

VI. OEO CONDUCTS the INVESTIGATION

VII. OEO will provide a Draft Report to Complainant(s) and Respondent(s)

VIII. The Complainant (s) and Respondent(s) will have 5 business days to respond and provide new factual information

IX.

OEO will write the Preliminary Letter of Determination (PLOD)

X.

Parties will have 2 business days to review the PLOD

XI.

OEO will write the Final Letter of Determination (FLOD)

XII.

After the conclusion of any appeals to the President OEO will close the investigative file and send notice to the parties.

**Internal Audit Director's Status Report
Audit and Compliance Committee Meeting
April 28, 2017**

INFORMATION ITEMS

Audit Committee Meeting Calendar. Below are approved meeting dates for the remainder of calendar year 2017. The Committee meets in the Roberts Room. This schedule will accommodate the exit conference for the FY17 External Financial Statements Audit.

August 3, 2017 Start at 9:00 AM

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

Fiscal Year 2017 Financial Statements External Audit, Entrance Conference. The State Auditor's Office and the external auditors in conjunction with the University Controller will present the Entrance Conference to the Committee.

Main Campus Chief Compliance Officer Status Report. Libby Washburn, UNM Main Campus Chief Compliance Officer will present the Committee with a Department of Justice progress report, and Francie Cordova, Director, Office of Equal Opportunity will make a brief presentation regarding Title IX.

Audit Plan Status. The project status and hours report for the plan is at Tab #9C. The status of the proposed plan as of March 30, 2017 is:

Completed	7
Fieldwork	9
Subtotal	16
Assigned	3
Unassigned/Deferred	6
Total	25

The Fiscal Year 2017 (FY17) audit plan includes nine audits carried over from FY16. The Department will adjust the FY17 audit plan based on input from the Audit and Compliance Committee and the Executive leadership.

Department Financial Report. At Tab 7 is the Internal Audit Department's budget status report for your review. The FY17 adjusted budget is \$856,100, of which \$806,100 is from the general pooled account, and \$50,000 from the departmental reserve. As of March 30, 2017, the department's actual expenditures are \$582,288, and encumbrances are \$177,564. The department will have projected reserves of \$65,000 as of June 30, 2017.

Student Internship. The Internal Audit department currently has two student interns. These two interns have employment outside the University for the summer term. The Department is working on hiring summer interns to fill the temporary vacancies.

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Account Description	Budget (FYTD) Adopted	Budget (FYTD) Adjustments	Budget (FYTD) Accumulated	Actuals Current Month	Actuals Pct	Actuals Fiscal YTD	Actuals Pct	Encumbrances	Balance Available	Balance Pct
Revenue										
0340 - University Hospital Revenue!	\$0.00	\$0.00	\$0.00	\$2,962.75	.00%	\$2,962.75	.00%	\$0.00	(\$2,962.75)	.00%
07ZZ - Reimbursement Holding	\$0.00	\$0.00	\$0.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$0.00	.00%
1640 - Allocations Pooled Allocatio!	\$802,250.00	\$0.00	\$802,250.00	\$0.00	.00%	\$802,250.00	100.00%	\$0.00	\$0.00	.00%
1660 - Allocations Other Gen	\$0.00	\$3,850.00	\$3,850.00	\$0.00	.00%	\$3,850.00	100.00%	\$0.00	\$0.00	.00%
1900 - Reserves	\$0.00	\$0.00	\$0.00	\$0.00	.00%	\$74,012.35	.00%	\$0.00	(\$74,012.35)	.00%
1901 - Budgeted Use of Reserves	\$50,000.00	\$0.00	\$50,000.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$50,000.00	100.00%
1903 - Change in Reserves	\$0.00	\$0.00	\$0.00	\$0.00	.00%	(\$3,231.02)	.00%	\$0.00	\$3,231.02	.00%
*TOTAL Revenue	\$852,250.00	\$3,850.00	\$856,100.00	\$2,962.75	.35%	\$879,844.08	102.77%	\$0.00	(\$23,744.08)	(2.77%)
Expense										
2020 - Administrative Professional !	\$643,931.00	\$0.00	\$643,931.00	\$54,620.40	8.48%	\$474,753.01	73.73%	\$164,088.15	\$5,089.84	.79%
2060 - Support Staff Salary Detail !	\$38,932.00	\$0.00	\$38,932.00	\$3,598.09	9.24%	\$33,996.32	87.32%	\$13,476.00	(\$8,540.32)	(21.94%)
20J0 - Student Salaries Gen	\$32,000.00	\$0.00	\$32,000.00	\$1,344.00	4.20%	\$22,993.00	71.85%	\$0.00	\$9,007.00	28.15%
20P0 - Temporary Salary Gen	\$30,550.00	\$0.00	\$30,550.00	\$979.78	3.21%	\$3,560.32	11.65%	\$0.00	\$26,989.68	88.35%
20SA - Salary Adjustments	\$42,800.00	\$3,850.00	\$46,650.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$46,650.00	100.00%
3100 - Office Supplies General	\$1,500.00	\$0.00	\$1,500.00	\$78.02	5.20%	\$613.56	40.90%	\$0.00	\$886.44	59.10%
3110 - Books Periodicals Gen	\$250.00	\$0.00	\$250.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$250.00	100.00%
3140 - Computer Software Gen	\$200.00	\$0.00	\$200.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$200.00	100.00%
3150 - Computer Supplies <\$5,001	\$200.00	\$0.00	\$200.00	\$0.00	.00%	\$112.46	56.23%	\$0.00	\$87.54	43.77%
3189 - Computers & Servers <\$5,0!	\$0.00	\$0.00	\$0.00	\$2,104.88	.00%	\$969.42	.00%	\$0.00	(\$969.42)	.00%
31A0 - Business Food - Local	\$1,007.00	\$0.00	\$1,007.00	\$0.00	.00%	\$410.00	40.71%	\$0.00	\$597.00	59.29%
31C0 - Dues Memberships Gen	\$4,500.00	\$0.00	\$4,500.00	\$1,680.00	37.33%	\$4,440.00	98.67%	\$0.00	\$60.00	1.33%
31J0 - Parking Permits Gen	\$500.00	\$0.00	\$500.00	\$0.00	.00%	\$400.00	80.00%	\$0.00	\$100.00	20.00%
31K0 - Postage Gen	\$80.00	\$0.00	\$80.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$80.00	100.00%
31P0 - Training Materials Supplies !	\$0.00	\$0.00	\$0.00	\$0.00	.00%	\$109.00	.00%	\$0.00	(\$109.00)	.00%
3800 - In State Travel Gen	\$2,000.00	\$0.00	\$2,000.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$2,000.00	100.00%
3805 - Instate Travel-Per Diem Sta!	\$500.00	\$0.00	\$500.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$500.00	100.00%
3810 - Instate Travel-Per Diem No!	\$200.00	\$0.00	\$200.00	\$0.00	.00%	\$0.00	.00%	\$0.00	\$200.00	100.00%
3820 - Out Of State Travel Gen	\$2,500.00	\$0.00	\$2,500.00	\$0.00	.00%	\$1,418.24	56.73%	\$0.00	\$1,081.76	43.27%
3825 - Out State Travel-Per Diem !	\$500.00	\$0.00	\$500.00	\$0.00	.00%	\$189.00	37.80%	\$0.00	\$311.00	62.20%
3830 - Out State Trvl-Per Diem No!	\$200.00	\$0.00	\$200.00	\$0.00	.00%	\$79.80	39.90%	\$0.00	\$120.20	60.10%
6000 - Telecom Charges Gen	\$4,000.00	\$0.00	\$4,000.00	\$292.50	7.31%	\$2,632.50	65.81%	\$0.00	\$1,367.50	34.19%
6020 - Long Distance Gen	\$100.00	\$0.00	\$100.00	\$1.32	1.32%	\$36.17	36.17%	\$0.00	\$63.83	63.83%

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Account Description	Budget (FYTD) Adopted	Budget (FYTD) Adjustments	Budget (FYTD) Accumulated	Actuals Current Month	Actuals Pct	Actuals Fiscal YTD	Actuals Pct	Encumbrances	Balance Available	Balance Pct
6060 - Voice Mail Box Gen	\$700.00	\$0.00	\$700.00	\$45.00	6.43%	\$405.00	57.86%	\$0.00	\$295.00	42.14%
6300 - Alarm System Gen	\$300.00	\$0.00	\$300.00	\$11.25	3.75%	\$162.74	54.25%	\$0.00	\$137.26	45.75%
6315 - Electronic Databases	\$0.00	\$0.00	\$0.00	\$95.00	.00%	\$860.00	.00%	\$0.00	(\$860.00)	.00%
63A0 - Conference Fees Gen	\$4,000.00	\$0.00	\$4,000.00	\$0.00	.00%	\$990.00	24.75%	\$0.00	\$3,010.00	75.25%
63A2 - Seminars/Training Fees	\$4,000.00	\$0.00	\$4,000.00	\$420.00	10.50%	\$4,280.00	107.00%	\$0.00	(\$280.00)	(7.00%)
63C0 - Copying Gen	\$100.00	\$0.00	\$100.00	\$0.00	.00%	\$6.00	6.00%	\$0.00	\$94.00	94.00%
69Z0 - Other Professional Services!	\$20,000.00	\$0.00	\$20,000.00	\$716.59	3.58%	\$11,306.54	56.53%	\$0.00	\$8,693.46	43.47%
70E0 - Computer Hardware Mainte!	\$0.00	\$0.00	\$0.00	\$12.50	.00%	\$700.00	.00%	\$0.00	(\$700.00)	.00%
70E1 - Computer Software Mainten!	\$8,500.00	\$0.00	\$8,500.00	\$520.62	6.12%	\$11,471.62	134.96%	\$0.00	(\$2,971.62)	(34.96%)
70F0 - Equipment Rent Expense G!	\$3,000.00	\$0.00	\$3,000.00	\$223.33	7.44%	\$2,062.11	68.74%	\$0.00	\$937.89	31.26%
80K0 - Banner Tax	\$700.00	\$0.00	\$700.00	\$62.01	8.86%	\$436.55	62.36%	\$0.00	\$263.45	37.64%
80K2 - Foundation Surcharge	\$4,500.00	\$0.00	\$4,500.00	\$333.72	7.42%	\$2,894.78	64.33%	\$0.00	\$1,605.22	35.67%
*TOTAL Expense	\$852,250.00	\$3,850.00	\$856,100.00	\$67,139.01	7.84%	\$582,288.14	68.02%	\$177,564.15	\$96,247.71	11.24%

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Account Description	Budget (FYTD) Adopted	Budget (FYTD) Adjustments	Budget (FYTD) Accumulated	Actuals Current Month	Actuals Pct	Actuals Fiscal YTD	Actuals Pct	Encumbrances	Balance Available	Balance Pct
Total Revenue:	\$852,250.00	\$3,850.00	\$856,100.00	\$2,962.75	.35%	\$879,844.08	102.77%	\$0.00	(\$23,744.08)	(2.77%)
Total Expense:	\$852,250.00	\$3,850.00	\$856,100.00	\$67,139.01	7.84%	\$582,288.14	68.02%	\$177,564.15	\$96,247.71	11.24%
Net:	\$0.00	\$0.00	\$0.00	(\$64,176.26)	.00%	\$297,555.94	.00%	(\$177,564.15)	\$119,991.79	.00%

Parameters:

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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.

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

No	Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Recommendation Action	Responsible Party
1	<u>Review of College of Education Operations</u>	06/11/14	<u>Recommendation 3 - Time to acquire a degree at UNM COE</u>	The Dean of the College of Education should work with Office of the Provost to ensure any redesign of the College addresses the Provost's recommendation for reducing minimum credit hours for degree programs.	A college-wide Curriculum Review has been underway since 2013; one objective of the review is to reduce the required number of credit hours in each bachelor degree program to 120 hours, or close to it. The NM PED requires 57 credit hours in core courses for teacher preparation programs. The PED is reviewing this requirement. The Early Childhood Education program (ECE) is well under way to restructuring the program into a 5 year degree program, and in compliance with regulatory and accreditation agencies.	12/31/2017	College of Education has made changes to all five educator preparation programs (early childhood, elementary education, secondary education, special education and physical education) to meet current state standards and new national INTASC standards, as well to incorporate NMTEACH. As a result of these three requirements and Senate Bill 329, the COE has completed its redesign of its curriculum.	Salvador Hector Ochoa, Dean
2	<u>Continuing Education Employee Reimbursements</u>	03/02/17	<u>Recommendation 3 - University-Wide Travel and Other Reimbursements</u>	The Executive Vice President for Administration, Provost, and Chancellor for Health Sciences Center should direct departments under their purview to ensure all expenses incurred are timely reimbursed and accounted for, as required.	Corrective Action Planned: In order to effectively communicate UAPPM 4030 and 4320, the Office of the Executive Vice President for Administration, the Office of the Provost, and the Office of the Chancellor for Health Sciences Center will send out email communication reminding all employees under our purview of the policy, stating that it is the unit's responsibility to be compliant with the University's policies and procedures. An email will be sent out to the following list-serves: 1. All Faculty and Staff 2. Deans' Council/Department Chairs 3. Provost Cabinet/Branch Campuses 4. Fiscal Agent. From these email communications we will request that each unit send out this information to their internal list-serves.	3/31/2017	Email communication has been sent out by each responsible office. The recommendation is cleared.	David Harris, Executive Vice President; Paul Roth, Chancellor for HSC; Craig White, Acting Provost

**Follow Up Report - Pending (sort by project)
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No	Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Last Status Update	Responsible Party
1	<u>Review of College of Arts and Sciences Operations</u>	4/18/13	<u>Implementation of Process to Track Research Activities</u>	A process should be implemented that enables colleges to effectively track and monitor time that faculty members spend on research activities to help management determine if faculty members are meeting academic load requirements and workload guidelines.	To track faculty research activities, an RFP was created for the purchase of a scholarly productivity subscription service, which will have the ability to track faculty research activities. The products of three vendors responding to the RFP are being evaluated Fall 2014, and a decision on purchase is expected to be made by January 1, 2015. Actual implementation of the software is expected to be completed by December 15, 2015.	6/30/2017	Internal Audit observed the Faculty Research web-based application developed by the UNM Provost's Office. Internal Audit received Administrative access to the application and was able to browse the application and generate an "Annual Faculty Activity Report" for Dr. Greg Heileman, which presented his research activity. The application will soon be available for UNM faculty to begin populating the database with research activity.	Greg Heileman, Associate Provost; Provost
2	<u>Safeguards for Protecting Private Data-Service Providers and Contractors</u>	10/25/13	<u>Recommendation 1 - UNM Information Security Program</u>	The CIO needs to implement the UNM Information Security Program University-wide.	Concur. The CIO will continue implementation of the Information Security Program with the advisory structure approved by the President. The CIO submitted a recommendation to the IT Governance Council UNM Policy 2560 (President, EVPs, and Chancellor) to create a University wide security council. The existing and operational UNM Information Security Program will be assigned to the appropriate advisory structure.	4/1/2017	IA is in receipt of a memo outlining how the proposed UNM Security Program compares to benchmark institutions. The Interim CIO and ISO will continue to conduct conversations with ISOs and contacts at University of Illinois, Temple University, and Texas Tech University to compare programs and look for additional opportunities for improvement. In addition, the Deputy CIO will also review the Security Program for the State of NM. We will compile the details of our request and modify the outline of our approach and submit for review. The current, completed Information Security Program are available here: http://it.unm.edu/security/information%20security%20program.html . Internal Audit is in the process of reviewing the program.	Duane Ej Arruti, INT Chief Information Officer

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No	Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Last Status Update	Responsible Party
2	<u>Safeguards for Protecting Private Data—Service Providers and Contractors</u>	10/25/13	<u>Recommendation 2 - University Information Security Function</u>	The President should give the CIO the explicit authority and responsibility to manage information security University-wide, including the decentralized computing services. The President should also ensure that the CIO has the budget to develop, implement, and enforce security policies.	Concur. The President's Office is working with the EVP for Administration, the Provost and EVP for Academic Affairs, and the Chancellor for Health Sciences on the appointment of an appropriate advisory structure. We will work with the EVP for Administration and the CIO to evaluate whether this office has sufficient budget and authority to develop, implement, and enforce security policies. The Information Security Office, through the CIO, has established a security management reporting mechanism and makes quarterly reports to senior management on the status of information security at UNM.	7/31/2017	In response to recommendations released by Technology Integration Group in September 2016, IT has identified 8 Information Technology Officers in several areas across campus. In our continued efforts to examine efficiency and effectiveness, the ITOs will be reviewing several campus wide initiatives over the course of the next year, including an improved approach to security management. Information Security Management will be a key area of focus. The TIG recommendations have also resulted in the formation of the IT Governance Council and four advisory Boards (Administrative, Academic, Research and Finance) charged with assisting IT in prioritizing and authorizing IT initiatives on campus. We anticipate having a plan in place by 7/31/17. Copies of the Governance Council and Advisory Board charters have been provided to Internal Audit.	Duane Ej Arruti, INT Chief Information Officer
3	<u>Cancer Center Portable Devices</u>	10/16/14	<u>Recommendation 5 - Archived PHI</u>	The Chief Financial Officer of the CC should explore the feasibility of using the PACS system for archiving information.	UNM Cancer Center will investigate the possibility of utilizing a PACS system for archiving ongoing treatment and planning data. In regards to existing archived storage on portable CDs, UNM Cancer Center is currently in the process of moving this data from the CD archives to a shared network folder. The transition of this data to the network folder to be completed by April 30, 2015. In regards to archived storage on tape media, an RFP to be issued for the permanent archive of this media from tape to a networked server/folder. To be completed by June 30, 2015.	7/31/2017	Cancer Center is working to implement new PHI Archiving system and train all staff by July 2017. Requested and granted extension to 7/31/17.	RODNEY MARTINEZ, Chief Financial Officer

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No	Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Last Status Update	Responsible Party
4	<u>UNM Taos</u>	04/22/15	<u>Recommendation 8 - Develop General IT Security Policies and Procedures</u>	UNM-Taos IT Department should document IT security policies and procedures, which enforce procedures for regular back-up and off-site storage of IT systems, developing a disaster recovery plan, and encrypting computers issued to employees.	UNM-Taos IT will develop an operations manual documenting IT security policies and procedures. Procedures will be modeled on those implemented at UNM-Valencia and Gallup. The IT department has already started developing the process for backups and offsite storage, and will identify disaster recovery procedures, test them regularly once the backups are working as expected. Encryption will be implemented on an ongoing basis for laptops assigned to faculty and staff.	12/31/2016	UNM Taos management stated that UNM Taos has the networking infrastructure in place to do back-ups between the Klauer Campus and downtown campus. However, due to understaffing they have not been able to develop written processes and implement back ups and a disaster recovery plan. Management believes they will finalize written procedures and implement back-up and the disaster recovery plans by May 1, 2017.	Mario Suazo, Dir,Business Opns/Sm Branch
5	<u>Harwood Museum</u>	06/29/15	<u>Recommendation 7 - Art Collection Record Keeping</u>	Harwood should (1) complete data entry of art collection items that are missing critical information, such as value and loaned items from other museums; (2) clean up duplicate data resulting from the database migration; (3) ensure the collection records are reviewed by the Director periodically; (4) report accurate value for fine art insurance coverage to UNM Safety and Risk Services based on data generated from the complete and accurate database.	Incoming and outgoing loans have been tracked in the new database since its August 1, 2014 launch. The previous database did not have that capability. By November 1, 2015, all data entry of collection items missing critical information, including value, when that information is available and clean-up of duplicate data entry items will be complete. Beginning immediately, the director will review collection records on a quarterly basis. A current, accurate valuation of the Harwood's entire collection will require the engagement of a professional appraiser. This is a significant expense that the Harwood's operating budget cannot currently support. The timeline for completing the collection valuation will be informed by the Harwood Board's fundraising strategies to address operating revenue shortfalls.	7/31/2017	Management stated that the art collection database is being updated simultaneously as they conduct the physical inventory. Collection data including historical values are being entered in the system as the inventory counts are conducted. Management believes that the value of the art collection will be available for insurance reporting purposes once the physical count is complete and the database is updated. Management also believes its full physical inventory will be completed prior to the deadline. Harwood's new Director who is overseeing this process received a slight extension to July 2017 to implement this recommendation.	Richard Tobin, Dir,Harwood Museum

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No	Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Last Status Update	Responsible Party
5	<u>Harwood Museum</u>	06/29/15	<u>Recommendation 8 - Art Collections Inventory</u>	Harwood should complete a formal physical inventory for its collection items, maintain current inventory records, and notify Inventory Control of its certified inventory results within a year.	In keeping with professional best practices, the director will create a narrative description of protocol and timelines for inventory control. This information will be incorporated into the Harwood's Collections Management Policy. The new protocol and policy will be implemented by November 1, 2015. A formal physical inventory of the museum's 4,900 object collection will require additional funding, in order to support two temporary Curatorial Assistants who will conduct the inventory under the guidance of the Curator of Collections and Exhibitions. If new funding is identified by the Harwood Board, the inventory will be completed by May 1, 2017, in keeping with the American Alliance of Museums' recommendation that formal inventories take place every ten years. In the event additional funding to hire two new temporary employees is not forthcoming in FY16, the Director will work with UNM Human Resources to undertake a staffing analysis to ascertain whether a staffing reorganization could shift existing staff resources to the task of completing an inventory within one year as recommended.	7/31/2017	Harwood recently hired a new Director and the Museum is currently conducting its physical inventory (art collection). Management believes the full inventory will be completed by July 2017 and received a slight extension from the previous deadline of May 1, 2017 to July 31, 2017. Management also stated that the art collection database (TMS) is being simultaneously updated as they conduct the physical inventory.	Richard Tobin, Dir, Harwood Museum
6	<u>Payroll Follow-Up Audit</u>	08/18/15	<u>Recommendation 1 - Payroll Adjustment Codes</u>	The University Controller's Office should revise the adjustment code forms and explanations of the causes of the adjustments to clarify the causes, conditions, and responsible parties creating the adjustments.	Payroll will work with HR and EDCs to identify the needed enhancements. Payroll will work with FSMIT to add the enhancements to the report. Payroll will assess options for notifying departments of their adjustments.	6/30/2017	4/5/2017 – Only the front end hiring application of the Talent Management Suite went live on 4/3/17. The automated integration of hired employees into Banner is not yet live and such integration is a required component to improve current business processes and gaps identified in the audit. Implementation date extended to June 30, 2017.	Elizabeth Metzger, University Controller; Julian Sandoval, Chief Financial Svcs Officer
6	<u>Payroll Follow-Up Audit</u>	08/18/15	<u>Recommendation 2 - Payroll Adjustment Late Paperwork Training</u>	The University Controller's Office should develop mandatory training on business practices, required processes, and meeting deadlines aimed at reducing late filing of employment paperwork, EPAFs, payroll adjustments, and employee accounts receivable.	Payroll will work with HR and EDCs to improve communication and training. Adjustments are very heavily tied to the initial job setup. HR and the EDCs will need to partner with Payroll to provide the applicable training for each step of the required processes, and support from the University Provost will be needed to include Deans and Chairs in the mandatory training.	6/30/2017	4/5/2017 – Only the front end hiring application of the Talent Management Suite went live on 4/3/17. The automated integration of hired employees into Banner is not yet live and such integration is a required component to improve current business processes and gaps identified in the audit. Implementation date extended to June 30, 2017.	Elizabeth Metzger, University Controller

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No	Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Last Status Update	Responsible Party
6	<u>Payroll Follow-Up Audit</u>	08/18/15	<u>Recommendation 3 - Administrative Fee</u>	The University Controller's Office should consider charging an administrative fee to departments that submit late EPAFs or other employment documents, as well as for causing unnecessary payroll adjustments.	Payroll will assess options for a fee structure but would like to first determine the successful implementation of the remaining recommendations within this document, especially to identify the root causes of adjustments. Payroll also needs to see how the Talent Management Suite implementation impacts processes. The fee structure will be applied accordingly to departments, HR, and EDCs as applicable.	9/30/2017	10/11/2016 - Implementation of the Talent Management System (TMS) has been delayed until Spring, 2017. Implementation of the audit recommendations depended upon the full functioning of the TMS and has therefore also been delayed.	Elizabeth Metzger, University Controller
6	<u>Payroll Follow-Up Audit</u>	08/18/15	<u>Recommendation 6 - Assess One Source Portal</u>	UNM HR should work with OFAS to assess the impact of new processes being implemented, especially Talent Management, on the hiring process instructions detailed in the One Source Information portal.	HR IT will work with the various Employment Data Centers (EDCs) to determine the current usage of the OneSource personnel action portal and to review the current content for accuracy of information. The EDC Team will then determine if it is appropriate to continue with the maintenance of the OneSource Portal and if so, develop an action plan for updating the OneSource content to reflect changes in hiring processes to coincide with the TMS implementation. If it is determined that OneSource should not be maintained then the EDCs will provide a recommendation to Administration on the appropriate mechanism to convey the hiring processes to departments.	6/30/2017	4/5/2017 - HR is proceeding with transitioning from OneSource to Confluence Employment Knowledge Base for storage of SOPs for the various hiring actions. Implementation date extended to June 30, 2017.	Dorothy Terese Anderson, Vice President, Human Resources
6	<u>Payroll Follow-Up Audit</u>	08/18/15	<u>Recommendation 7 - OFAS Adjustment Email Notification</u>	OFAS should work with UNM IT to adopt an EPAF email notification system similar to the one developed by HR IT for UNM Staff.	OFAS will take the lead in soliciting IT's support to implement email notifications for faculty EPAFs before the end of the fall semester. OFAS will not implement all email notifications given their lack of resources and time to do so until the staff process is fully tested, implemented and assessed. OFAS will work with HSC and SOM Faculty Employment Areas.	6/30/2017	Implementation of the Talent Management System (TMS) is delayed until July 1, 2016. OFAS is working with IT to develop and test the EPAF notification system, but will not have a go-live date until after TMS is fully implemented. 10/6/2016 - As of September of 2016, IT will create an ePAF team that will include participation of all employment areas to manage ongoing development of ePAFs that will be inclusive of all employee types and similar processed to improve automation across campus. By June 30, 2017, OFAS will continue to work with IT to build three remaining ePAFs that have been identified and consider any others that HR or HSC Faculty Contract office find necessary.	Theresa Ramos, Dir, Faculty Employment & Svcs; Carol Parker, Sr. Vice Provost

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No	Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Last Status Update	Responsible Party
6	<u>Payroll Follow-Up Audit</u>	08/18/15	<u>Recommendation 8 - OFAS to Continue Automation of Processes</u>	OFAS should expedite the transition to automated processing of contract renewal processes, and develop a time line to coincide with implementation of Talent Management. OFAS should work with UNM IT to further develop EPAF processes for employment transactions that are not currently using EPAFs.	<p>June 30, 2016: OFAS will work with IT and HSC Faculty Employment Areas to develop additional EPAFs to automate existing paper employment transactions.</p> <p>July 1, 2015: The paperless contract renewals was implemented Main and Branch Campus Faculty.</p> <p>January 30, 2016: OFAS will work with HSC and SOM Faculty Employment Areas to utilize Talent Management for automating onboarding process for new hires with an integration of employee information from TM to Banner. However, fall hiring activity for AY 2016-17 will have started prior to the implementation of TM for Main and Branch Campuses; therefore, there will be delays if fully utilizing TM for Main and Branch Campuses until Spring/Summer 2016. All three faculty employment areas are and will continue to participate in the TM project.</p>	6/30/2017	Implementation of the Talent Management System (TMS) is delayed until July 1, 2016. OFAS has completed several new EPAFs; however, OFAS is working with HSC on their timeline schedule and will not complete all of the EPAFs until after the implementation of TMS. 10/6/2016 – OFAS is working with IT to develop and implement ePAFs for extending Research Faculty and Postdocs, as well as adding new Special Administrative Compensation to F9 faculty appointments. The goal is to have these completed prior to June 30, 2017.	Theresa Ramos,Dir, Faculty Employment & Svcs; Carol Parker, Sr. Vice Provost
6	<u>Payroll Follow-Up Audit</u>	08/18/15	<u>Recommendation 9 - OFAS to Work with Payroll Department</u>	OFAS should work with the Payroll Department to integrate their new processes with payroll department processes, work out kinks, discuss issues, and solve potential problems with the rollout of the new system.	OFAS will continue to collaborate with Payroll to complete vital error reports related to employment transactions; continue to meet to address gaps in the understanding of faculty related projects and/or to request their support in testing automation as needed.	6/30/2017	Implementation of the Talent Management System (TMS) has been delayed until July, 2016. Implementation of the audit recommendations depended upon the full functioning of the TMS and has therefore also been delayed. 10/6/2016 - OFAS is continuing to work with Payroll on vital errors and they continue to collaborate with OFAS regarding the TMS project. The two team meet as needed as they both move forward with internal process improvements.	Theresa Ramos,Dir, Faculty Employment & Svcs; Carol Parker, Sr. Vice Provost

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No	Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Last Status Update	Responsible Party
6	<u>Payroll Follow-Up Audit</u>	08/18/15	<u>Recommendation 10 - HSC to Develop Additional EPAFs</u>	HSC should work with UNM IT and UNM HR to further develop EPAF processes for employment transactions that are not currently using EPAFs.	The HSC Faculty Contracts Office will help develop ideas and implement new EPAFs with UNM HR and UNM IT for faculty employment transactions not currently using EPAFs. This is dependent on UNM IT programming the EPAFs into Banner.	6/30/2017	HSC is working with IT to develop and implement ePAFs, contingent upon full implementation of TMS (UNMJOBS 2.0), with ePAF implementation extended to June 30, 2017.	Michael Schwantes, Dir, Fin Syst & Rstr Acctg
7	<u>Safety and Risk Services</u>	11/05/15	<u>Recommendation 8 - Construction Safety</u>	The Director of Safety and Risk Services should require that SRS participate in all construction projects as directed by the Construction Safety Manual. As a documentary audit trail, SRS should collect and keep documentation that they attended the pre-bid meetings, approved the CSSP, and sent the Notice-To-Proceed after approving the CSSP.	SRS will insure that its staff attend all construction and remodel meetings. Further it will insure that the documentation requirements set forth in the Construction Safety Manual are adhered to by SRS staff.	6/30/2017	Extension requested and granted. SRS has made progress toward a standardized process to ensure documentation of each phase of SRS involvement in construction projects is completed. Currently IA is working with SRS to follow a current construction project through all phases.	Chemanji Shu-Nyamboli, Environ Hlth Manager; Carla Domenici, Dir, Safety & Risk Services
7	<u>Safety and Risk Services</u>	11/05/15	<u>Recommendation 9 - Peer Review</u>	SRS should participate in regular peer reviews, including one in the next 12 months, in order to gain insight and efficiency through interaction with similar and/or peer institutions.	SRS will complete the peer review in the time-frame set forth.	6/30/2017	Extension approved by IA Director.	Carla Domenici, Dir, Safety & Risk Services

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No	Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Last Status Update	Responsible Party
7	<u>Safety and Risk Services</u>	11/05/15	<u>Recommendaiton 18 - Chemical Purchases and Perpetual Inventory</u>	The Executive Vice President for Finance and Administration, Executive Vice President for Academic Affairs/Provost, and the Chancellor for Health Sciences should work with the Director of Safety and Risk Services to determine the best course of action to ensure that all chemicals purchased are properly and accurately inventoried via the ERM system. Two considerations might be that all chemical purchases are only allowed to be made via CRLS or LoboMart, or that SRS be the central receiving point for all chemical purchases made outside of CRLS.	<p>A. EVP for Finance and Administration: The departments that purchase chemicals that report to me include PPD and Student Housing. I will work with the Vice-President of Institutional Support Services to insure that those areas coordinate with SRS to insure that chemical purchases are recorded in ERM. I will also work with the Purchasing Department to secure their cooperation in working with SRS to make purchasing through ERM as streamlined as possible. Lastly, I will work with SRS to assist them in becoming the central receiving point for all chemical purchases made outside of CRLS.</p> <p>B. EVP for Academic Affairs/Provost: With the Risk Management Division, Academic Affairs will issue a memo to all units that purchase chemicals within our organization by October 31, 2015. The memo will detail compliance requirements and a proposed schedule for appropriate training and implementation of the ERM system.</p> <p>C. Chancellor for Health Sciences: The Health Sciences Center agrees with the Internal Audit finding and recommendation to work with SRS to accurately inventory chemical purchases in the ERM. The HSC will work with SRS to complete the installation of inventory control processes with bar codes which is being implemented at all HSC labs. The systems are being put in place at the request of SRS over the past year to address this issue.</p>	12/31/2016	<p>Item A - SRS has been conducting ongoing chemical inventory throughout main campus to ensure that chemicals are properly updated to ERM. In addition CRLS has been consistently applying bar codes and sending a list to SRS of chemicals to ensure that ERM is properly updated. With regard to the portion of the response addressing a central receiving area at SRS, that has not been determined at this time. CLEARED item B - SRS sent a memo on behalf of the Provost to the Dean of each college informing them of the recommendation and requesting that they send a list of all persons that make chemical purchases to SRS.</p> <p>Item C - HSC labs have been inspected on an ongoing basis by SRS. IA accompanied SRS personnel on six of those inspections during fall 2016. IA took a chemical list for each of the labs and attempted to trace chemicals from the floor to the ERM list of chemicals and also from the ERM list of chemicals to the floor. IA also asked if lab personnel was aware of ERM and if they had completed ERM training. For three of the labs, IA was able to trace back and forth from the list and floor with no exception and noted bar codes on chemicals. The College of Nursing labs IA visited did not have bar codes and were not aware of ERM nor had they attended the training. They were more than willing to attend training. At this point it is difficult to say with complete assurance that HSC labs are ERM compliant. IA is committed to work with SRS to continue walk along during lab inspections on the HSC and main campus logs to monitor ERM implementation.</p>	David Harris, Executive Vice President; Paul Roth; Provost

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No	Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Last Status Update	Responsible Party
8	<u>Brain Safe Project</u>	09/02/16	<u>Recommendation 4 - Non-Compliance with IRB Process</u>	MRN should be required to securely transfer all data collected and results generated from the Brain Safe project to the University. MRN should provide certification and assurance that all data collected and results generated from the project have been securely deleted and are unrecoverable.	On March 10, 2015, the HSC IRB determined that the conduct of the Brain Safe Project without IRB review and approval by MRN researcher Kent Kiehl, PhD, represented serious noncompliance with the federal regulations and UNM HSC Faculty Handbook Policy E90. The IRB determination of serious noncompliance was filed with OHRP on March 23, 2015. As a result of its investigation into the conduct of the Brain Safe Project, the IRB, in ensuring the protection of human subjects, required that MRN forfeit custody of any and all Brain Safe data to UNMHSC. MRN complied with the directive on July 27, 2015. Prior to taking this action, the IRB consulted with an outside firm whose expertise lies in human subjects research compliance. On July 6, 2015, they issued their report acknowledging the actions taken by the IRB, and confirmed that the corrective action suggested by the IRB, including the transfer of data custody from MRN to UNMHSC, was appropriate.	12/31/2015	HSC management indicated that all Brain Safe data and results has been securely transferred to the University. However, Internal Audit has not been provided evidence of a certification and assurance that all data collected and results generated from the project have been securely deleted and are unrecoverable.	UNM President; Paul Roth; Richard Larson, Executive Vice Chancellor
9	<u>Continuing Education Employee Reimbursements</u>	03/02/17	<u>Recommendation 1 - Untimely Reimbursement Submission and Approval</u>	The UNM Continuing Education should work with its employees, program field supervisors, program management, and business office to ensure its employees submit and applicable program field supervisor and Business Office approve their DPA forms within the timeline in accordance with UAP 4030.	The Executive Director concurs with the recommendation and will convene the above-mentioned panel to implement a monitoring plan to assure that employees are submitting travel reimbursements on a timely basis and that they are reviewed and approved and submitted to core accounting offices by the Provost's Business Office as required by the 20th business day in accordance with University business policy.	6/30/2017	UNM Continuing Education has worked with the Provost's Business Office to develop approval queues in Chrome River among the Senior Program Managers. This has greatly speeded up the approval process and the Provost's Business Office is turning around their approvals very quickly as well.	Joe Miera, Executive Director

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No	Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Last Status Update	Responsible Party
9	<u>Continuing Education Employee Reimbursements</u>	03/02/17	<u>Recommendation 2 - Reimbursement Policies and Procedures</u>	UNM Continuing Education should collaborate within its program management and Business Office to develop and approve clear and consistent departmental travel policies and procedures, which require reimbursements be processed within 60 days of end of travel, and ensure all employees in the process are continuously trained and aware of submission/review/approval timelines as stipulated in its approved departmental travel policies and procedures.	The Executive Director concurs with the recommendations and will convene the above-mentioned panel to rewrite and finalize the internal CE Policies and Procedures and implementation steps such as training and monitoring to assure compliance with timely submission of travel reimbursements.	6/30/2017	The UNM Continuing Education has not yet convened its first meeting.	Joe Miera, Executive Director
9	<u>Continuing Education Employee Reimbursements</u>	03/02/17	<u>Recommendation 4 - Not Reporting to UNM Payroll</u>	UNM Unrestricted Accounting, Main, Contract and Grant Accounting, Main, Unrestricted Accounting, HSC and Contract and Grant Accounting, HSC must develop standard operating procedures to ensure all reimbursements not meeting the UNM accountable plan requirements are identified and reported to Payroll, as required.	Chrome River reporting will be utilized to identify the applicable transactions, using system parameters, compliance notifications, and comments as an automated reporting solution to report taxable transactions to Payroll so that the appropriate amount may be included as additional taxable compensation on the payee's paystub and W-2 form, per the requirements of the IRS accountable plan guidelines.	3/31/2017	An inquiry email has been sent to both offices.	Elizabeth Metzger, University Controller; Ava Lovell, Sr. Exec. Officer of F&A HSC

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Agenda Item #8c

No	Project Name	Report Approval Date	Recommendation Title	Executive Recommendation	Management Response	Estimated Implementation Date	Last Status Update	Responsible Party
8	<u>Brain Safe Project</u>	09/02/16	<u>Recommendation 4 - Non-Compliance with IRB Process</u>	MRN should be required to securely transfer all data collected and results generated from the Brain Safe project to the University. MRN should provide certification and assurance that all data collected and results generated from the project have been securely deleted and are unrecoverable.	On March 10, 2015, the HSC IRB determined that the conduct of the Brain Safe Project without IRB review and approval by MRN researcher Kent Kiehl, PhD, represented serious noncompliance with the federal regulations and UNM HSC Faculty Handbook Policy E90. The IRB determination of serious noncompliance was filed with OHRP on March 23, 2015. As a result of its investigation into the conduct of the Brain Safe Project, the IRB, in ensuring the protection of human subjects, required that MRN forfeit custody of any and all Brain Safe data to UNMHSC. MRN complied with the directive on July 27, 2015. Prior to taking this action, the IRB consulted with an outside firm whose expertise lies in human subjects research compliance. On July 6, 2015, they issued their report acknowledging the actions taken by the IRB, and confirmed that the corrective action suggested by the IRB, including the transfer of data custody from MRN to UNMHSC, was appropriate.	12/31/2015	HSC management indicated that all Brain Safe data and results has been securely transferred to the University. However, Internal Audit has not been provided evidence of a certification and assurance that all data collected and results generated from the project have been securely deleted and are unrecoverable.	UNM President; Paul Roth; Richard Larson, Executive Vice Chancellor
4	<u>UNM Taos</u>	04/22/15	<u>Recommendation 8 - Develop General IT Security Policies and Procedures</u>	UNM-Taos IT Department should document IT security policies and procedures, which enforce procedures for regular back-up and off-site storage of IT systems, developing a disaster recovery plan, and encrypting computers issued to employees.	UNM-Taos IT will develop an operations manual documenting IT security policies and procedures. Procedures will be modeled on those implemented at UNM-Valencia and Gallup. The IT department has already started developing the process for backups and offsite storage, and will identify disaster recovery procedures, test them regularly once the backups are working as expected. Encryption will be implemented on an ongoing basis for laptops assigned to faculty and staff.	12/31/2016	UNM Taos management stated that UNM Taos has the networking infrastructure in place to do back-ups between the Klauer Campus and downtown campus. However, due to understaffing they have not been able to develop written processes and implement back ups and a disaster recovery plan. Management believes they will finalize written procedures and implement back-up and the disaster recovery plans by May 1, 2017.	Mario Suazo, Dir,Business Opns/Sm Branch

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7	<u>Safety and Risk Services</u>	11/05/15	<u>Recommendaiton 18 - Chemical Purchases and Perpetual Inventory</u>	The Executive Vice President for Finance and Administration, Executive Vice President for Academic Affairs/Provost, and the Chancellor for Health Sciences should work with the Director of Safety and Risk Services to determine the best course of action to ensure that all chemicals purchased are properly and accurately inventoried via the ERM system. Two considerations might be that all chemical purchases are only allowed to be made via CRLS or LoboMart, or that SRS be the central receiving point for all chemical purchases made outside of CRLS.	<p>A. EVP for Finance and Administration: The departments that purchase chemicals that report to me include PPD and Student Housing. I will work with the Vice-President of Institutional Support Services to insure that those areas coordinate with SRS to insure that chemical purchases are recorded in ERM. I will also work with the Purchasing Department to secure their cooperation in working with SRS to make purchasing through ERM as streamlined as possible. Lastly, I will work with SRS to assist them in becoming the central receiving point for all chemical purchases made outside of CRLS.</p> <p>B. EVP for Academic Affairs/Provost: With the Risk Management Division, Academic Affairs will issue a memo to all units that purchase chemicals within our organization by October 31, 2015. The memo will detail compliance requirements and a proposed schedule for appropriate training and implementation of the ERM system.</p> <p>C. Chancellor for Health Sciences: The Health Sciences Center agrees with the Internal Audit finding and recommendation to work with SRS to accurately inventory chemical purchases in the ERM. The HSC will work with SRS to complete the installation of inventory control processes with bar codes which is being implemented at all HSC labs. The systems are being put in place at the request of SRS over the past year to address this issue.</p>	12/31/2016	<p>Item A - SRS has been conducting ongoing chemical inventory throughout main campus to ensure that chemicals are properly updated to ERM. In addition CRLS has been consistently applying bar codes and sending a list to SRS of chemicals to ensure that ERM is properly updated. With regard to the portion of the response addressing a central receiving area at SRS, that has not been determined at this time. CLEARED item B - SRS sent a memo on behalf of the Provost to the Dean of each college informing them of the recommendation and requesting that they send a list of all persons that make chemical purchases to SRS.</p> <p>Item C - HSC labs have been inspected on an ongoing basis by SRS. IA accompanied SRS personnel on six of those inspections during fall 2016. IA took a chemical list for each of the labs and attempted to trace chemicals from the floor to the ERM list of chemicals and also from the ERM list of chemicals to the floor. IA also asked if lab personnel was aware of ERM and if they had completed ERM training. For three of the labs, IA was able to trace back and forth from the list and floor with no exception and noted bar codes on chemicals. The College of Nursing labs IA visited did not have bar codes and were not aware of ERM nor had they attended the training. They were more than willing to attend training. At this point it is difficult to say with complete assurance that HSC labs are ERM compliant. IA is committed to work with SRS to continue walk along during lab inspections on the HSC and main campus logs to monitor ERM implementation.</p>	David Harris, Executive Vice President; Paul Roth; Provost

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9	<u>Continuing Education Employee Reimbursements</u>	03/02/17	<u>Recommendation 4 - Not Reporting to UNM Payroll</u>	UNM Unrestricted Accounting, Main, Contract and Grant Accounting, Main, Unrestricted Accounting, HSC and Contract and Grant Accounting, HSC must develop standard operating procedures to ensure all reimbursements not meeting the UNM accountable plan requirements are identified and reported to Payroll, as required.	Chrome River reporting will be utilized to identify the applicable transactions, using system parameters, compliance notifications, and comments as an automated reporting solution to report taxable transactions to Payroll so that the appropriate amount may be included as additional taxable compensation on the payee's paystub and W-2 form, per the requirements of the IRS accountable plan guidelines.	3/31/2017	An inquiry email has been sent to both offices.	Elizabeth Metzger, University Controller; Ava Lovell, Sr. Exec. Officer of F&A HSC
2	<u>Safeguards for Protecting Private Data-Service Providers and Contractors</u>	10/25/13	<u>Recommendation 1 - UNM Information Security Program</u>	The CIO needs to implement the UNM Information Security Program University-wide.	Concur. The CIO will continue implementation of the Information Security Program with the advisory structure approved by the President. The CIO submitted a recommendation to the IT Governance Council UNM Policy 2560 (President, EVPs, and Chancellor) to create a University wide security council. The existing and operational UNM Information Security Program will be assigned to the appropriate advisory structure.	4/1/2017	IA is in receipt of a memo outlining how the proposed UNM Security Program compares to benchmark institutions. The Interim CIO and ISO will continue to conduct conversations with ISOs and contacts at University of Illinois, Temple University, and Texas Tech University to compare programs and look for additional opportunities for improvement. In addition, the Deputy CIO will also review the Security Program for the State of NM. We will compile the details of our request and modify the outline of our approach and submit for review. The current, completed Information Security Program are available here: http://it.unm.edu/security/information%20security%20program.html . Internal Audit is in the process of reviewing the program.	Duane Ej Arruti, INT Chief Information Officer
1	<u>Review of College of Arts and Sciences Operations</u>	4/18/13	<u>Implementation of Process to Track Research Activities</u>	A process should be implemented that enables colleges to effectively track and monitor time that faculty members spend on research activities to help management determine if faculty members are meeting academic load requirements and workload guidelines.	To track faculty research activities, an RFP was created for the purchase of a scholarly productivity subscription service, which will have the ability to track faculty research activities. The products of three vendors responding to the RFP are being evaluated Fall 2014, and a decision on purchase is expected to be made by January 1, 2015. Actual implementation of the software is expected to be completed by December 15, 2015.	6/30/2017	Internal Audit observed the Faculty Research web-based application developed by the UNM Provost's Office. Internal Audit received Administrative access to the application and was able to browse the application and generate an "Annual Faculty Activity Report" for Dr. Greg Heileman, which presented his research activity. The application will soon be available for UNM faculty to begin populating the database with research activity.	Greg Heileman, Associate Provost; Provost

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6	<u>Payroll Follow-Up Audit</u>	08/18/15	<u>Recommendation 1 - Payroll Adjustment Codes</u>	The University Controller's Office should revise the adjustment code forms and explanations of the causes of the adjustments to clarify the causes, conditions, and responsible parties creating the adjustments.	Payroll will work with HR and EDCs to identify the needed enhancements. Payroll will work with FSMIT to add the enhancements to the report. Payroll will assess options for notifying departments of their adjustments.	6/30/2017	4/5/2017 – Only the front end hiring application of the Talent Management Suite went live on 4/3/17. The automated integration of hired employees into Banner is not yet live and such integration is a required component to improve current business processes and gaps identified in the audit. Implementation date extended to June 30, 2017.	Elizabeth Metzger, University Controller; Julian Sandoval, Chief Financial Svcs Officer
6	<u>Payroll Follow-Up Audit</u>	08/18/15	<u>Recommendation 2 - Payroll Adjustment Late Paperwork Training</u>	The University Controller's Office should develop mandatory training on business practices, required processes, and meeting deadlines aimed at reducing late filing of employment paperwork, EPAFs, payroll adjustments, and employee accounts receivable.	Payroll will work with HR and EDCs to improve communication and training. Adjustments are very heavily tied to the initial job setup. HR and the EDCs will need to partner with Payroll to provide the applicable training for each step of the required processes, and support from the University Provost will be needed to include Deans and Chairs in the mandatory training.	6/30/2017	4/5/2017 – Only the front end hiring application of the Talent Management Suite went live on 4/3/17. The automated integration of hired employees into Banner is not yet live and such integration is a required component to improve current business processes and gaps identified in the audit. Implementation date extended to June 30, 2017.	Elizabeth Metzger, University Controller
6	<u>Payroll Follow-Up Audit</u>	08/18/15	<u>Recommendation 6 - Assess One Source Portal</u>	UNM HR should work with OFAS to assess the impact of new processes being implemented, especially Talent Management, on the hiring process instructions detailed in the One Source Information portal.	HR IT will work with the various Employment Data Centers (EDCs) to determine the current usage of the OneSource personnel action portal and to review the current content for accuracy of information. The EDC Team will then determine if it is appropriate to continue with the maintenance of the OneSource Portal and if so, develop an action plan for updating the OneSource content to reflect changes in hiring processes to coincide with the TMS implementation. If it is determined that OneSource should not be maintained then the EDCs will provide a recommendation to Administration on the appropriate mechanism to convey the hiring processes to departments.	6/30/2017	4/5/2017 - HR is proceeding with transitioning from OneSource to Confluence Employment Knowledge Base for storage of SOPs for the various hiring actions. Implementation date extended to June 30, 2017.	Dorothy Terese Anderson, Vice President, Human Resources

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6	<u>Payroll Follow-Up Audit</u>	08/18/15	<u>Recommendation 7 - OFAS Adjustment Email Notification</u>	OFAS should work with UNM IT to adopt an EPAF email notification system similar to the one developed by HR IT for UNM Staff.	OFAS will take the lead in soliciting IT's support to implement email notifications for faculty EPAFs before the end of the fall semester. OFAS will not implement all email notifications given their lack of resources and time to do so until the staff process is fully tested, implemented and assessed. OFAS will work with HSC and SOM Faculty Employment Areas.	6/30/2017	Implementation of the Talent Management System (TMS) is delayed until July 1, 2016. OFAS is working with IT to develop and test the EPAF notification system, but will not have a go-live date until after TMS is fully implemented. 10/6/2016 - As of September of 2016, IT will create an ePAF team that will include participation of all employment areas to manage ongoing development of ePAFs that will be inclusive of all employee types and similar processed to improve automation across campus. By June 30, 2017, OFAS will continue to work with IT to build three remaining ePAFs that have been identified and consider any others that HR or HSC Faculty Contract office find necessary.	Theresa Ramos,Dir,Faculty Employment & Svcs; Carol Parker, Sr. Vice Provost
6	<u>Payroll Follow-Up Audit</u>	08/18/15	<u>Recommendation 8 - OFAS to Continue Automation of Processes</u>	OFAS should expedite the transition to automated processing of contract renewal processes, and develop a time line to coincide with implementation of Talent Management. OFAS should work with UNM IT to further develop EPAF processes for employment transactions that are not currently using EPAFs.	<p>June 30, 2016: OFAS will work with IT and HSC Faculty Employment Areas to develop additional EPAFs to automate existing paper employment transactions.</p> <p>July 1, 2015: The paperless contract renewals was implemented Main and Branch Campus Faculty.</p> <p>January 30, 2016: OFAS will work with HSC and SOM Faculty Employment Areas to utilize Talent Management for automating onboarding process for new hires with an integration of employee information from TM to Banner. However, fall hiring activity for AY 2016-17 will have started prior to the implementation of TM for Main and Branch Campuses; therefore, there will be delays if fully utilizing TM for Main and Branch Campuses until Spring/Summer 2016. All three faculty employment areas are and will continue to participate in the TM project.</p>	6/30/2017	Implementation of the Talent Management System (TMS) is delayed until July 1, 2016. OFAS has completed several new EPAFs; however, OFAS is working with HSC on their timeline schedule and will not complete all of the EPAFs until after the implementation of TMS. 10/6/2016 – OFAS is working with IT to develop and implement ePAFs for extending Research Faculty and Postdocs, as well as adding new Special Administrative Compensation to F9 faculty appointments. The goal is to have these completed prior to June 30, 2017.	Theresa Ramos,Dir,Faculty Employment & Svcs; Carol Parker, Sr. Vice Provost

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6	<u>Payroll Follow-Up Audit</u>	08/18/15	<u>Recommendation 9 - OFAS to Work with Payroll Department</u>	OFAS should work with the Payroll Department to integrate their new processes with payroll department processes, work out kinks, discuss issues, and solve potential problems with the rollout of the new system.	OFAS will continue to collaborate with Payroll to complete vital error reports related to employment transactions; continue to meet to address gaps in the understanding of faculty related projects and/or to request their support in testing automation as needed.	6/30/2017	Implementation of the Talent Management System (TMS) has been delayed until July, 2016. Implementation of the audit recommendations depended upon the full functioning of the TMS and has therefore also been delayed. 10/6/2016 - OFAS is continuing to work with Payroll on vital errors and they continue to collaborate with OFAS regarding the TMS project. The two team meet as needed as they both move forward with internal process improvements.	Theresa Ramos,Dir, Faculty Employment & Svcs; Carol Parker, Sr. Vice Provost
6	<u>Payroll Follow-Up Audit</u>	08/18/15	<u>Recommendation 10 - HSC to Develop Additional EPAFs</u>	HSC should work with UNM IT and UNM HR to further develop EPAF processes for employment transactions that are not currently using EPAFs.	The HSC Faculty Contracts Office will help develop ideas and implement new EPAFs with UNM HR and UNM IT for faculty employment transactions not currently using EPAFs. This is dependent on UNM IT programming the EPAFs into Banner.	6/30/2017	HSC is working with IT to develop and implement ePAFs, contingent upon full implementation of TMS (UNMJOBS 2.0), with ePAF implementation extended to June 30, 2017.	Michael Schwantes,Dir, Fin Syst & Rstr Acctg
7	<u>Safety and Risk Services</u>	11/05/15	<u>Recommendation 8 - Construction Safety</u>	The Director of Safety and Risk Services should require that SRS participate in all construction projects as directed by the Construction Safety Manual. As a documentary audit trail, SRS should collect and keep documentation that they attended the pre-bid meetings, approved the CSSP, and sent the Notice-To-Proceed after approving the CSSP.	SRS will insure that its staff attend all construction and remodel meetings. Further it will insure that the documentation requirements set forth in the Construction Safety Manual are adhered to by SRS staff.	6/30/2017	Extension requested and granted. SRS has made progress toward a standardized process to ensure documentation of each phase of SRS involvement in construction projects is completed. Currently IA is working with SRS to follow a current construction project through all phases.	Chemanji Shu-Nyamboli, Environ Hlth Manager; Carla Domenici, Dir, Safety & Risk Services
7	<u>Safety and Risk Services</u>	11/05/15	<u>Recommendation 9 - Peer Review</u>	SRS should participate in regular peer reviews, including one in the next 12 months, in order to gain insight and efficiency through interaction with similar and/or peer institutions.	SRS will complete the peer review in the time-frame set forth.	6/30/2017	Extension approved by IA Director.	Carla Domenici, Dir, Safety & Risk Services

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9	<u>Continuing Education Employee Reimbursements</u>	03/02/17	<u>Recommendation 1 - Untimely Reimbursement Submission and Approval</u>	The UNM Continuing Education should work with its employees, program field supervisors, program management, and business office to ensure its employees submit and applicable program field supervisor and Business Office approve their DPA forms within the timeline in accordance with UAP 4030.	The Executive Director concurs with the recommendation and will convene the above-mentioned panel to implement a monitoring plan to assure that employees are submitting travel reimbursements on a timely basis and that they are reviewed and approved and submitted to core accounting offices by the Provost's Business Office as required by the 20th business day in accordance with University business policy.	6/30/2017	UNM Continuing Education has worked with the Provost's Business Office to develop approval queues in Chrome River among the Senior Program Managers. This has greatly speeded up the approval process and the Provost's Business Office is turning around their approvals very quickly as well.	Joe Miera, Executive Director
9	<u>Continuing Education Employee Reimbursements</u>	03/02/17	<u>Recommendation 2 - Reimbursement Policies and Procedures</u>	UNM Continuing Education should collaborate within its program management and Business Office to develop and approve clear and consistent departmental travel policies and procedures, which require reimbursements be processed within 60 days of end of travel, and ensure all employees in the process are continuously trained and aware of submission/review/approval timelines as stipulated in its approved departmental travel policies and procedures.	The Executive Director concurs with the recommendations and will convene the above-mentioned panel to rewrite and finalize the internal CE Policies and Procedures and implementation steps such as training and monitoring to assure compliance with timely submission of travel reimbursements.	6/30/2017	The UNM Continuing Education has not yet convened its first meeting.	Joe Miera, Executive Director
2	<u>Safeguards for Protecting Private Data- Service Providers and Contractors</u>	10/25/13	<u>Recommendation 2 - University Information Security Function</u>	The President should give the CIO the explicit authority and responsibility to manage information security University-wide, including the decentralized computing services. The President should also ensure that the CIO has the budget to develop, implement, and enforce security policies.	Concur. The President's Office is working with the EVP for Administration, the Provost and EVP for Academic Affairs, and the Chancellor for Health Sciences on the appointment of an appropriate advisory structure. We will work with the EVP for Administration and the CIO to evaluate whether this office has sufficient budget and authority to develop, implement, and enforce security policies. The Information Security Office, through the CIO, has established a security management reporting mechanism and makes quarterly reports to senior management on the status of information security at UNM.	7/31/2017	In response to recommendations released by Technology Integration Group in September 2016, IT has identified 8 Information Technology Officers in several areas across campus. In our continued efforts to examine efficiency and effectiveness, the ITOs will be reviewing several campus wide initiatives over the course of the next year, including an improved approach to security management. Information Security Management will be a key area of focus. The TIG recommendations have also resulted in the formation of the IT Governance Council and four advisory Boards (Administrative, Academic, Research and Finance) charged with assisting IT in prioritizing and authorizing IT initiatives on campus. We anticipate having a plan in place by 7/31/17. Copies of the Governance Council and Advisory Board charters have been provided to Internal Audit.	Duane Ej Arruti, INT Chief Information Officer

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3	<u>Cancer Center Portable Devices</u>	10/16/14	<u>Recommendation 5 - Archived PHI</u>	The Chief Financial Officer of the CC should explore the feasibility of using the PACS system for archiving information.	UNM Cancer Center will investigate the possibility of utilizing a PACS system for archiving ongoing treatment and planning data. In regards to existing archived storage on portable CDs, UNM Cancer Center is currently in the process of moving this data from the CD archives to a shared network folder. The transition of this data to the network folder to be completed by April 30, 2015. In regards to archived storage on tape media, an RFP to be issued for the permanent archive of this media from tape to a networked server/folder. To be completed by June 30, 2015.	7/31/2017	Cancer Center is working to implement new PHI Archiving system and train all staff by July 2017. Requested and granted extension to 7/31/17.	RODNEY MARTINEZ, Chief Financial Officer
5	<u>Harwood Museum</u>	06/29/15	<u>Recommendation 7 - Art Collection Record Keeping</u>	Harwood should (1) complete data entry of art collection items that are missing critical information, such as value and loaned items from other museums; (2) clean up duplicate data resulting from the database migration; (3) ensure the collection records are reviewed by the Director periodically; (4) report accurate value for fine art insurance coverage to UNM Safety and Risk Services based on data generated from the complete and accurate database.	Incoming and outgoing loans have been tracked in the new database since its August 1, 2014 launch. The previous database did not have that capability. By November 1, 2015, all data entry of collection items missing critical information, including value, when that information is available and clean-up of duplicate data entry items will be complete. Beginning immediately, the director will review collection records on a quarterly basis. A current, accurate valuation of the Harwood's entire collection will require the engagement of a professional appraiser. This is a significant expense that the Harwood's operating budget cannot currently support. The timeline for completing the collection valuation will be informed by the Harwood Board's fundraising strategies to address operating revenue shortfalls.	7/31/2017	Management stated that the art collection database is being updated simultaneously as they conduct the physical inventory. Collection data including historical values are being entered in the system as the inventory counts are conducted. Management believes that the value of the art collection will be available for insurance reporting purposes once the physical count is complete and the database is updated. Management also believes its full physical inventory will be completed prior to the deadline. Harwood's new Director who is overseeing this process received a slight extension to July 2017 to implement this recommendation.	Richard Tobin, Dir, Harwood Museum

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5	<u>Harwood Museum</u>	06/29/15	<u>Recommendation 8 - Art Collections Inventory</u>	Harwood should complete a formal physical inventory for its collection items, maintain current inventory records, and notify Inventory Control of its certified inventory results within a year.	In keeping with professional best practices, the director will create a narrative description of protocol and timelines for inventory control. This information will be incorporated into the Harwood's Collections Management Policy. The new protocol and policy will be implemented by November 1, 2015. A formal physical inventory of the museum's 4,900 object collection will require additional funding, in order to support two temporary Curatorial Assistants who will conduct the inventory under the guidance of the Curator of Collections and Exhibitions. If new funding is identified by the Harwood Board, the inventory will be completed by May 1, 2017, in keeping with the American Alliance of Museums' recommendation that formal inventories take place every ten years. In the event additional funding to hire two new temporary employees is not forthcoming in FY16, the Director will work with UNM Human Resources to undertake a staffing analysis to ascertain whether a staffing reorganization could shift existing staff resources to the task of completing an inventory within one year as recommended.	7/31/2017	Harwood recently hired a new Director and the Museum is currently conducting its physical inventory (art collection). Management believes the full inventory will be completed by July 2017 and received a slight extension from the previous deadline of May 1, 2017 to July 31, 2017. Management also stated that the art collection database (TMS) is being simultaneously updated as they conduct the physical inventory.	Richard Tobin, Dir, Harwood Museum
6	<u>Payroll Follow-Up Audit</u>	08/18/15	<u>Recommendation 3 - Administrative Fee</u>	The University Controller's Office should consider charging an administrative fee to departments that submit late EPAFs or other employment documents, as well as for causing unnecessary payroll adjustments.	Payroll will assess options for a fee structure but would like to first determine the successful implementation of the remaining recommendations within this document, especially to identify the root causes of adjustments. Payroll also needs to see how the Talent Management Suite implementation impacts processes. The fee structure will be applied accordingly to departments, HR, and EDCs as applicable.	9/30/2017	10/11/2016 - Implementation of the Talent Management System (TMS) has been delayed until Spring, 2017. Implementation of the audit recommendations depended upon the full functioning of the TMS and has therefore also been delayed.	Elizabeth Metzger, University Controller

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