

The University of New Mexico
Board of Regents' Audit and Compliance Committee
October 17, 2019 – 9:00 AM
Roberts Room
Agenda

ACTION ITEMS

1. Confirmation of a Quorum and Adoption of Agenda
2. Approval of Meeting Minutes from August 15, 2019
3. Audit and Compliance Committee proposed meeting dates for Fiscal Year 2020. The Committee meets in the Roberts Room.
February 6, 2020
May 7, 2020 (Entrance Conference for FY20 Financial Statements Audit)

EXECUTIVE SESSION

4. Vote to close the meeting and to proceed in Executive Session as follows:
 - a. Presentation of FY19 External Financial Audit pursuant to exceptions at Section 10-15-1H NMSA (1978) and Section 12-6-5 NMSA (1978) (*Moss Adams, KPMG and Liz Metzger, University Controller*)
 - b. Discussion of draft Internal Audit Reports, and discussions of information subject to attorney-client privilege pursuant RPM 1.2
 - c. Discussion of limited personnel matters (Interim Director of Internal Audit Department) pursuant to exception at Section 10-15-1.H(2) NMSA (1978);
 - d. Schedule of Audits in Process and Proposed FY20 Audit Work plan, pursuant to RPM 1.2
 - e. Vote to re-open the meeting.
5. Certification that only those matters described in Agenda item # 4 were discussed in Executive Session and if necessary ratification of action, if any, taken in Executive Session.

INFORMATION ITEMS

6. Advisors' Comments
7. Director of Internal Audit Status Report (*Victor Griego, Interim Internal Audit Director*)
8. Main Campus Chief Compliance Officer Status Report and OEO Data Trend Analysis Report (*Francie Cordova, Interim Chief Compliance Officer and Rob Burford, Director of Compliance*)
9. Health Sciences Center Chief Compliance Officer Status Report (*Arthur Culpepper, HSC Chief Compliance Officer*)
10. Status of Audit Recommendations (*Chien-Chih Yeh, Internal Audit Manager*)
Implemented
Pending
11. Adjournment