BOARD OF REGENTS

Agenda Book

December 10, 2019
9:00 AM
Roberts Room, Scholes Hall
Main Campus
AGENDA

I. Call to Order and Confirmation of a Quorum, Regent President Douglas M. Brown

II. Vote to Adopt the Agenda

III. Vote to close the meeting and proceed in Executive Session (Roll Call Vote)
   1. Discussions subject to attorney-client privilege pertaining to threatened or pending litigation as permitted by Section 10-15-1(7), NMSA (1978)

IV. Vote to re-open the meeting and certification that only those matters described in Agenda Item III. were discussed in Closed Session and if necessary, final action with regard to those matters will be taken in Open Session.

• 9:00 AM Open Session:

V. Approval of Minutes: .................................................................................................................. 1
   1. October 15, 2019 regular meeting
   2. November 20, 2019 special meeting

Public Comment – comments related to items on the agenda (limit 3 min.)
Comments from Regent Advisors – comments related to items on the agenda (limit 3 min.)
Comments from Regents

VI. The President’s Administrative Report, President Garnett S. Stokes .............................................. 2
   ○ Enrollment Update, Dan D. Garcia, VP for Enrollment Management

VII. Information Item: Accessology - Americans with Disabilities Act - UNM Transition Plan.............. 3
   Francie Cordova, Interim Chief Compliance Officer; Kristi Avalos, Founder & CEO, Accessology

VIII. Information Item: UNM Foundation, Changing Worlds Campaign Update................................. 4
   Jeff Todd, President & CEO, UNM Foundation

IX. Regent Committee Reports

Approval of the Consent Docket
(Action items on Regent’s Committee agendas may move to the Board of Regents’ agenda as consent items; the below items are placed on the consent docket by the respective committee chairs; items on the consent docket received unanimous approval in committee; per Regents’ Policy 1.2, “Any member of the Board of Regents shall have the right upon request to remove any item from the Board’s consent agenda and place the item on the Board’s regular agenda for discussion.”)

   Academic/Student Affairs and Research Committee - Consent Items
   1. AS Health Information Technology (UNM-Valencia) (delete)......................................................C-1
   2. Certificate in Race and Social Justice .........................................................................................C-2
   3. Approval of New UNM-Los Alamos Programs: .................................................................C-3
a. Certificate in Radiation Control Technology
b. Certificate Nuclear Waste Operator
c. Certificate Nuclear Enterprise Science & Technology
d. AAS Nuclear Enterprise Science & Technology

Finance and Facilities Committee - Consent Items
4. Approval of Disposition of Surplus Property for Main Campus for the months of September, October, and November 2019..........................................................C-4
5. Approval of Contract: College of University Libraries and Learning Sciences and the UNM Health Sciences Library and Informatics Center – License Renewal for Elsevier ............C-5
6. Approval of Requests for Project Construction: .........................................................C-6
   a. Phase 2 Renovations at Clark Hall Chemistry Building
   b. Center for the Arts – Fire Alarm Upgrade
   c. Economics Building #57: Infrastructure Upgrades
   d. Clark Hall #22: Riebsomer Wing Lab Waste System Replacement
   e. UNM Popejoy Hall Artist Support Spaces Renovation
   f. Renovate Cube Area, South Wing, Information Technology Building #153
   g. Santa Ana Star Baseball Field Bleacher Expansion
   h. ASUNM Main Campus Photovoltaic System
   i. Student Union Building #60: Partial Roof Replacement
7. Approval of Real Estate Items: ..................................................................................C-7
   a. Real Property Acquisition – 1790 Grande Blvd. SE, Rio Rancho, New Mexico
   b. Long-Term Ground Lease – Proposed City of Rio Rancho Senior Center at the UNM Health Sciences Rio Rancho Campus

Health Sciences Center Committee - Consent Items
(Contingent on approval at the December 9, 2019 HSC Committee meeting, actions items may be placed on the Consent Docket.)

Academic/Student Affairs and Research Committee, Regents Henry and Sanchez Rael, Co-Chairs
Action Items
1. Approval of Fall 2019 Degree Candidates, Finny Coleman, Faculty Senate President .................. 5
2. Approval of Honorary Degrees....................................................................................... 6
   [This item will be discussed in closed session to keep names confidential until prospective candidates have accepted the honor.]

Audit and Compliance Committee, Regent Doug Brown, Chair
Information Item
1. Meeting Summary Report – October 17 Meeting, Victor Griego, Interim Director, Internal Audit ....... 7

Finance and Facilities Committee, Regent Sandra Begay, Chair
Action Items
1. Approval of the STC.UNM FY 2019 Annual Report and the FY 2019 Audit Results ................. 8
   Lisa Kuuttila, CEO & Chief Economic Development Officer, STC.UNM
2. Appointments of Frank H. Martinez and Kelly D. Hammett to the STC.UNM Board of Directors, Lisa Kuuttila, CEO & Chief Economic Development Officer, STC.UNM ................................................................. 9

Information Item
   Nicole Dopson, Dir. Financial Operations; Ryan Berryman, Athletics Financial Operations Director; Eddie Nunez, AD
Health Sciences Center Committee, Regent Robert Schwartz, Chair

(Contingent on approval at the Dec. 9, 2019 HSC Committee meeting; items may be placed on the Consent Docket.)

Action Items

1. Request for Contract Approval for New Mexico Cancer Alliance, Bruce Cherrin, CPO ............ 11
2. Request for Project/Program Approval for Health Sciences Rio Rancho Campus Orthopedic Surgery and Rehabilitation Center of Excellence, Jamie Silva-Steele, CEO, SRMC ...... 12
3. Request for Approval of Appointment of New UNMMG Board of Directors (2) and Renewal of Existing Board Members (2), Jill Klar, CEO, UNMMG........................................... 13
4. Request for Approval of Appointment of New UNMH Board of Trustee Member ........ 14
   Kate Becker
5. Request for Approval of 5ACC Clinic Renovations ($2,000,000), Bonnie White, CFO, HSC ......... 15
6. Request for Approval of UH-Main Lands West Curb and Gutter Improvements ($626,000), Bonnie White, Chief Financial Officer, HSC ......................................................... 16
7. Request for Approval of the UNM Health Sciences Center Fall 2019 Graduates ............ 17
   Amy Lev, Vice Chancellor, College of Nursing

Information Item

8. Update on Homelessness Partnerships................................................................. 18
   Chamiza Pacheco de Alas, Chief of Staff, EVP Office; Carol Pierce, Director of Family & Community Services, City of Albuquerque

X. Vote to Adjourn the Board of Regents meeting in order to conduct the Meetings of the Member:

   1. Lobo Development Corporation - Meeting of the Member, Regent Marron Lee, Chair, LDC Board .... 19
      a. Approval of Minutes of the May 9, 2019 Meeting of the Member
      b. Acceptance of the FY 2018-19 External Audit
   2. Lobo Energy, Inc. - Meeting of the Member, Regent Marron Lee, Regent Member, LEI Board ............. 20
      a. Approval of Minutes of the May 9, 2019 Meeting of the Member
      b. Acceptance of the FY 2018-19 External Audit

XI. Vote to Reconvene the Board of Regents Meeting

Public Comment – comments not related to items on the agenda (limit 3 min. per speaker)

XII. Advisors’ Comments/Reports (limit 3 min.) ................................................................. 21

XIII. Vote to close the meeting and proceed in Executive Session (Roll Call Vote)

   A. Honorary Degree Candidates – discussion
   B. Discussions of bargaining strategy preliminary to collective bargaining and collective bargaining between a policymaking body and an employee bargaining unit, as permitted by Section 10-15-1.H(5), NMSA (1978)
   C. Discussion of “limited personnel matters” as defined in and permitted by Section 10-15-1.H(2), NMSA (1978) regarding: employee appeal; President’s Goals
   D. Discussion of personally identifiable information about a student, as permitted by Section 10-15-1.H(4), NMSA (1978), as amended
   E. Discussion and determination where appropriate of potential purchase, acquisition, or disposal of real property, as permitted by Section 10-15-1.H(8), NMSA (1978)
   F. Discussions subject to attorney-client privilege pertaining to threatened or pending litigation as permitted by Section 10-15-1(7), NMSA (1978)

XIV. Vote to re-open the meeting and certification that only those matters described in Agenda Item XIII. were discussed in Closed Session and if necessary, final action with regard to those matters will be taken in Open Session.

XV. Adjourn
Minutes of the Regular Meeting of
The Board of Regents of the University of New Mexico
October 15, 2019
Open Session - Ballroom C, Student Union Building (SUB)
Executive Session – Cherry Silver Room, SUB
Main Campus

Members present
Douglas Brown, President; Kim Sanchez Rael, Vice President (telephonically); Robert Doughty; Melissa Henry; Marron Lee; Robert Schwartz

Members not present
Sandra Begay

Administration present
Garnett S. Stokes, President; James Holloway, Provost and EVP for Academic Affairs; Richard Larson, Executive Vice Chancellor for Health Sciences Center; Teresa Costantinidis, SVP for Finance and Administration; Loretta Martinez, Chief Legal Counsel; Francie Cordova, Interim Chief Compliance Officer; Ava Lovell, Executive Officer for Finance & Administration, HSC; Michael Richards, Vice Chancellor for Clinical Affairs; Eliseo ‘Cheo’ Torres, VP Student Affairs; Eddie Nunez, Athletic Director; Assata Zerai, VP for Equity and Inclusion; Dan D. Garcia, VP for Enrollment Management; Kate Becker, CEO, UNM Hospitals; Liz Metzger, University Controller; Dana Allen, VP Alumni Relations; Terry Babitt, President's Chief of Staff; Cinnamon Blair, Chief Marketing and Communications Officer

Advisors present
Alexis Tappan, Alumni Association Board President; Finnie Coleman, Faculty Senate President; Ryan Gregg, Staff Council President; Muhammad Afzaal Hussain, GPSA President; Adam Biederwolf, ASUNM President; Beverly Kloeppel, Retiree Association President

Presenters in attendance
George Williford, Hilltop Securities and UNM Financial Advisor; Chris Muirhead, Modrall Sperling Law; Vahid Staples, Budget Officer; Norma Allen, Director University Budget Operations; Nicole Dopson, Director Financial Operations

Others in attendance
Members of administration, faculty, staff, students, the media and others.

CALL TO ORDER, CONFIRMATION OF A QUORUM, ADOPTION OF THE AGENDA
Regent President Douglas M. Brown called the meeting to order at 9:06 AM and confirmed a quorum with five members present in person and one member joining the meeting telephonically. Regent Sandra Begay was not able to join the meeting.

The motion to adopt the agenda passed with a unanimous vote in favor (1st Henry; 2nd Lee).

APPROVAL OF MINUTES
The motion to approve the minutes of the September 17, 2019 regular meeting passed with a unanimous vote in favor (1st Schwartz; 2nd Henry).

APPROVAL OF NAMING THE, “NENE AND JAMIE KOCH MOVEMENT DISORDERS CLINIC”
Kate Becker, CEO of UNM Hospitals, presented the item and requested the Regents approve the naming of the comprehensive center for movement disorders at the hospital in honor of Nene and Jamie Koch, both of whom have a long history with the University of New Mexico. Jamie Koch has been a state legislator and a UNM Regent, and both he and Nene brought Project Search to New Mexico, which provides an opportunity for young people with disabilities to move from school to work in an internship program. As part of the UNM naming policy, letters of support were solicited. The state Legislative Finance Committee wrote, “Jamie’s extraordinary record of public service to both the state of New Mexico and to The University of New Mexico is unmatched. His leadership as a legislator and as a member of the UNM Board of Regents has been instrumental in obtaining state support for several initiatives including the comprehensive center for movement disorders.” Governor Michelle Lujan-Grisham wrote, “Jamie has been unyielding in his commitment to the cause of movement disorders. He has marshalled the support of legislators and community advocates to advance the center, last year
securing a $3.5 million capital appropriation, which I was delighted to support. Thanks to Jamie’s leadership and commitment, thousands of individuals living with movement disorders now and in the future will benefit by accessing state of the art care close to home.”

Regent Marron Lee said UNM is the perfect home for this center and she looks forward to the great work that can be done for those diagnosed with Parkinson’s and other neurological disorders.

Regent Doug Brown acknowledged a proud moment for the University and the community and recognized Jamie’s work for this initiative and also all the work he has done for the University and the community and the state.

Jamie Koch said, "I am humbled by the movement disorders center being named for me. I always pictured the center serving New Mexicans all over the state who have movement disorders. Now my dream is coming true. Thank you.”

The motion to approve the naming of the Movement Disorders Clinic to the, “Nene and Jamie Koch Movement Disorders Clinic”, passed with a unanimous vote in favor (1st Lee; 2nd Schwartz).

PRESIDENT’S ADMINISTRATIVE REPORT
President Garnett S. Stokes opened her report with information about recent University successes and upcoming happenings. A second NSF grant has been awarded for the Environmental Data Initiative, of which UNM is a member, for the continuation of gathering and storing ecological data. The University will be allocated $1.4 million of the total $3 million grant. The New Mexico Hospital Association named UNM Hospital as a top hospital for quality standards, one of five hospitals in the state to receive this award. As New Mexico’s only Level I Trauma Center, UNM Hospital earned the Hospital Improvement Innovation Network Award, one of the association’s premier honors for hospital quality. UNM is now one of the 17 nodes of the National Institute for Drug Abuse (NIDA) Clinical Trials Network (CTN), a nationwide collaborative uniting treatment providers, researchers, and patients in conducting multi-site clinical trials to prevent and treat substance abuse disorder. In athletics, Women’s Cross Country ranked fourth in the latest NCAA poll, and UNM’s Weini Kelati was named National Cross Country Athlete of the Week after winning the prestigious Notre Dame Invitations. UNM will host the 20th Anniversary Imagining America National Gathering which will bring together over 500 people from U.S. higher education institutions and community organizations to celebrate public scholarship in the arts, humanities, and design. This year’s homecoming celebrates all things cherry & silver and will include events, lectures, reunions, tours, open houses, tailgates and football set for October 21 through 26.

President Stokes provided information on the upcoming faculty unionization vote. There will be two days of voting, with 5 polling sites on Main and the Branch Campuses. Each polling location will be open for voting 8 AM to 10 PM on October 16-17. The American Arbitration Association (AAA) will run the election with oversight by the Labor Board. Votes will be tallied on Friday, October 18 in Albuquerque by the Labor Board.

President Stokes reported on University initiatives. Graduation rates continue to show success with the University’s 4-Year graduation steadily increasing over the past four years, from below 20% for the 2010 cohort to just over 34% for the 2014 cohort. On the Grand Challenges, five general education instructors will be selected and supported in incorporating one or more of the UNM Grand Challenges topics into their general education courses. The Provost’s Office, Teaching Fellows’ communities of practice, and the three Grand Challenge research teams will assist the instructors in developing curricular enhancements throughout the spring semester. Fellows will teach enhanced general education courses in the Fall 2020 semester and will receive small summer stipends and financial support for supplies and materials. To raise awareness and support for UNM’s Army ROTC, the elite U.S. Army’s Golden Knight Parachute Team landed on Johnson Field on October 1 after an aerial parachute demonstration. President Stokes spoke about other activities and initiatives on Heroes Day when the Lobo football team will play Air Force. The Division of Equity and Inclusion is leading a campus committee effort to develop a new UNM seal design that represents the traditions, culture, and aspirations for the future. Campus Safety is still a top priority, and with the month of October being Domestic Violence Awareness Month, the LoboRESPECT Advocacy Center is focusing on raising awareness of healthy relationship habits.
Regent Brown said President Stokes’ report was incomplete without adding that she also jumped with the elite Golden Knight Parachute Team on October 1!

PUBLIC COMMENT
Andrew Schuler, Professor, Civil Engineering, spoke against the unionization vote. Dr. Schuler started out ambivalent about the vote and is personally pro-union, and is supportive of the adjunct vote, but not for the other bargaining unit that includes lecturers, research professors, tenure and tenure-track professors, making for an untenable group for forming any kind of a coalition. This is not a good fit for a Research I institutions, and there are very few that are unionized. Also spoke about deceitful pro-union tactics with online and poster communications.

Michael Gonzalez, Lecturer II, Civil Engineering, twelve years teaching in the department and a first generation student, fears the unionization will stifle a lot of ambitions and growth by putting constraints on faculty. Good faculty need to be attracted and retained, and be given the freedom to do good things for UNM’s students. Unions have not demonstrated why a Tier I Research University should unionize. A faculty member who will consider leaving the University if the faculty unionizes.

Yemane Asmerom, Professor of Geochemistry, Earth and Planetary Sciences, a faculty member at UNM for 25 years, has stayed at UNM not because of lack of options but to be able to teach students from diverse backgrounds and to be able to have a certain amount of flexibility that has been threatened by this whole unionization effort. State leaders came out in favor of unionization. This is the wrong choice for tenure-track faculty. UNM will always exist, but the question remains on whether it will exist as a credible Research I university. The Regents as having fiduciary responsibility need to ensure there is a credible counterpoint to this effort as it is detrimental to the University.

Mahmoud Taha, Distinguished Professor and Regents Lecturer and Chair, Department of Civil Engineering, has worked at UNM for 16 years, said that a significant level of potential at UNM will be lost with the union vote; very concerned and against the union, his department will lose its bargaining capabilities to attract and retain faculty. Right now, there are other universities getting ready to recruit top faculty here, the minute the union happens. Not against the union for adjunct faculty, but against the other collective bargaining unit, and yet he has been told he cannot vote because he is a department chair. The process is flawed and incorrect.

Abhaya Datye, Distinguished Professor, Regents’ Professor, and Chair of the department of Chemical and Biological Engineering, has been at UNM for 35 years and has seen the University from many perspectives. The whole unionization effort caught them blindsided, many did not know details until recently. Dr. Datye talked about his role as a mentor and coach, not a supervisor, and he spoke about how this will affect how the department can bring on research faculty and be able to retain existing faculty.

Greg Taylor, Distinguished Professor, Physics Astronomy Department and Director of the Long Wavelength Array Radio Telescope that operates for researchers worldwide, is not allowed to vote in the union election even though he is not an administrator and his center has no other employees. There are about 40 faculty with the title as director but have no administrative duties and are disenfranchised. The definition of the bargaining units is flawed. It doesn’t make sense to have tenured faculty lumped in with research faculty. Dr. Taylor urged his fellow faculty to vote no.

Ylva Pihlstrom, Professor, Physics Astronomy Department, has multiple concerns about the unionization, and one is being pushed into a situation that might limit self-governance and autonomy and goes against what university professors teach students, to be responsible and accountable members of society, and contradicts the purpose and goals of university professors. Second, there has been little discussion on how the proposed unionization will affect the students at the University. Trying to force a one-size-fits-all model across all departments and job titles is very likely going to hamper research activity and productivity. One thing that has been mentioned is an increased teaching load, and this will lead to less research and less time available outside of the classroom to work with students. One outcome will be that UNM will produce fewer PhD’s.
Martin Kirk, Distinguished Professor, Chemistry and Chemical Biology, has been a professor at UNM for 26 years, has had many opportunities to leave for more lucrative financial situations and research opportunities, but has stayed at UNM for a number of reasons, one of them being from a poor state like NM. There is little evidence a union can engender any type of success for tenure-track faculty – this is well known at peer institutions, and unions are not common at research universities. The union will use students as a vulnerable victim to leverage influence against the administration, and the students will suffer.

Lisa Whalen, Principal Lecturer III, Chemistry and Chemical Biology, an alumna, has grave concerns the collective bargaining units can address the current issues. Lecturers are very different from tenured and tenure-track faculty. Dr. Whalen talked about the importance of the tenured faculty maintaining UNM’s research RI rating, attracting and retaining graduate students, and how those students are critical as graduate assistants in undergraduate laboratories.

Ernesto Longa, Professor, Law Library, spoke in favor of the upcoming faculty unionization vote; has worked with United Academics Union for over four years. There are other RI public universities that have unions; private RI universities do not allow their faculty to unionize. Directors and Chairs of Departments were excluded from the vote by the insistence of administration. Other universities have similar-type bargaining units as those proposed. We have not spent four years working on a faculty union so to increase faculty workloads without increased compensation. No agreement will become effective without the support of the majority vote of union members. Will vote yes on unionization.

Meeko Oishi, Associate Professor, Electrical & Computer Engineering, has been at UNM since 2011, teaches graduate and undergraduate classes. Stated her concerns about the proposed unionization and its possible adverse effects potentially on UNM’s educational mission in the School of Engineering. Research is an integral part of the graduate education process and has trickle-down effect on undergraduates. Dr. Oishi spoke about concerns with huge differences across fields, faculty workloads vs research, and how the heterogeneity among different types of faculty as well as across fields will be managed. How will a solution that claims to be a one-size-fits-all address the diverse needs?

Ivan Deutsch, Regents’ Professor, Physics and Astronomy, Director for the Center of Quantum Information and Control, and received the University’s annual research lectureship, has been at UNM for almost 25 years, spoke about concerns of how the union would change the environment at UNM, creating a division. In particular, has concerns for the autonomy to pursue academic freedom. Dr. Deutsch is for equity in terms of pay, gender, and other issues unions fight for, but there are mechanisms to deal with those in current structure of shared governance.

Mala Htun, Professor, Political Science, and a native of New Mexico, agreed with everything her colleagues said, and there are more people who agree but they are too scared to share their views publicly. Spoke about the process through which this vote is being carried out. This vote is crucial to everyone’s future – to designate the union as the faculty’s exclusive representative in discussions over wages, benefits, working conditions, and other important matters. This is a vote that affects all faculty but the process is flawed, it is not free and fair. There is selective disenfranchisement of many faculty members whose fate is affected by this vote. Faculty members with titles that include chair or director, but who teach, are excluded. There is a lack of access of absentee ballots for those faculty who are currently out of state or abroad; there are violations and potential violations of ballot secrecy. The process to challenge ballots violates ballot secrecy. There is a climate of intimidation, misinformation, and fear of retaliation, and a lack of open debate.

REGENT ADVISORS’ COMMENTS
Finnie Coleman, Faculty Senate President, said there are compelling arguments both for and against faculty unionization, and whether there is unionization or not, the University needs to address the issues and concerns that led to this point.

COMMENTS FROM REGENTS (no comments)

REGENT COMMITTEE REPORTS
CONSENT DOCKET
Regent Brown addressed the consent docket. No items were removed for discussion.
Finance and Facilities Committee (F&F) Consent Items
   a. Approval of Quarterly Financial Actions Report and Certification through September 30, 2019
   b. Approval of Request for Project Construction:
      i. Campus Security Cameras (PA)
      ii. Center for High Technology Materials Chiller Installation
      iii. Chilled Water Capacity Addition
      iv. Re-Approval of KNME-TV ADA Stand Alone Exterior Elevator

Health Sciences Center Committee (HSCC) Consent Items
   a. Approval of Disposition of Assets
   b. Approval of UNMMG Bylaw Changes and Appointment of New Board Directors
      [see ATTACHMENT A]
   c. Approval of Renovation of HSSB Third Floor HVAC, Electrical and Offices
   d. Approval of $1.1M Contract for Architecture and Design Services – Center for Orthopedic Excellence UNM HSC Rio Rancho Campus

The motion to approve the items on the Finance and Facilities consent docket passed with a unanimous vote in favor (1st Henry; 2nd Doughty).

The motion to approve the items on the Health Sciences Center consent docket passed with a unanimous vote in favor (1st Henry; 2nd Lee).

FINANCE AND FACILITIES COMMITTEE
Approval of Authorizing Resolution of Advanced Refunding of UNM Series 2012 Bonds
Budget Officer, Vahid Staples, presented the item; George Williford, University’s municipal advisor, and Chris Muirhead, University’s bond counsel, were also present to answer questions. The request is for approval of the authorizing resolution to refund the UNM 2012 bonds. Regarding UNM’s bond portfolio, 30-year debt is typically issued, and the University currently has (excluding the hospital’s separate debt service) a little over $387 million in principal outstanding - this is over a period of FY20 to FY47. The portfolio covers eleven bond issues. This year’s principal and interest payment is a little over $37 million, and debt service does fluctuate from year to year. Potential bond refunding opportunities are evaluated on an ongoing basis utilizing a fiscal threshold that any refunding needs to be above a 3% net present value (NPV). The current interest rate environment now lends itself to an attractive savings for the University. Mr. Staples drew attention to information provided to the Regents, tables showing year-by-year outstanding debt service for the Series 2012 bonds. The estimated net present value savings from potentially refunded bonds would be a little over $2 million, an 8.239% present value savings as a percent of refunded principal.

Bond refunding is a three-step process. After obtaining Regents’ approval, this will go to HED in November and the State Board of Finance in December. The bonds could be resold in December or January, depending upon what is going on with the market.

Chris Muirhead talked about the delegation of authority for pricing the bonds. The resolution as a whole is consistent with what the Regents have seen in the past. The one material difference is the delegation of authority. In 2017, the state statutes changed to permit a delegate of the authorizing body, the issuer, to approve the pricing terms. The basis of this is to provide maximum flexibility to the underwriter and the financial advisors about when to enter the market. This resolution authorizes the delegates to be the University President and the Senior Vice President for Finance and Administration.

Regent Brown commented this is a great move with significant savings to the University, something that is relatively painless, and he thanked the advisors for being alert to this opportunity.

The motion to approve the authorizing resolution as presented passed with a unanimous vote in favor (1st Doughty; 2nd Schwartz).

Approval of Athletics’ Enhanced Fiscal Oversight Program Report and Certification
Eddie Nunez and Nicole Dopson presented the item. This quarterly report is an HED requirement, and this one is for the first quarter of the fiscal year, July through September. Revenues for first quarter
were $10 million, slightly higher than last year due to ticket sales driven by the new ticketing system. All revenue components are trending in line with budget. Total expenses in the first quarter were $9.2 million, trending slightly higher than last year, but within budget, and primarily driven by salaries and benefits. There was a compensation increase that makes for higher numbers than last year. Travel expenses are the only expenses that are higher than budgeted, and those are being looked into for ways to backfill those additional costs.

Regent Doughty asked about the multi-media rights contract. AD Nunez responded the media rights agreement is currently under a bridge contract, and he hoped the final contract would be brought to the regents for approval at the December meeting.

The motion to approve the quarterly athletics' enhanced fiscal oversight program report and certification passed with a unanimous vote in favor (1st Henry; 2nd Schwartz).

Categorization of Reserves Report – Main and Branch Campuses, FY19 (information item)
Senior Vice President, Teresa Costantinidis, said the categorization of reserves reports are done at the end of the fiscal year and are information items not requiring a vote. Norma Allen presented the Main Campus and Branch Campus reports and referred to slides made available in the eBook. Reserves provide a source of liquidity and are a foundational element of the University Bond Rating. Reserves also mitigate unplanned budget reductions and should be used only for one-time, versus recurring, expenditures. The University has a categorization of reserves process where balances are identified to fall into one of three categories: committed, for funds earmarked against formal, legally binding obligations; dedicated, for those funds with clear, focused purpose and documented description that identifies the entity or individual initiating the dedication; and discretionary, for those remaining funds after accounting for all committed and dedicated funds and do not have a planned purpose. The FY19 reserve balance grew by 3.31% over last year’s total reserves for Main and Branch Campuses, the increase primarily driven by increased I&G and additional land grant income and lower utilities expenditures. For reserves as a percentage of expenditures, a healthy target is 16% to 50% of total operating expenditures. Main Campus has approximately 17%, and has been at the lower limit for the past four years. The Branches have around 52%, slightly exceeding the healthy range. Of the total $531 million reserves, $407 million are committed, $89 million are dedicated, and $35 million are discretionary. Ms. Allen discussed details comprising each of the reserve categories. For committed reserves, the largest amounts come from capital initiatives and plant funds.

Regent Brown asked Ms. Allen to explain further, regarding the dedicated reserves breakdown, the line item titled, deficit reduction plan, in the amount of $14 million to the negative. Ms. Allen responded the bulk of it is UNM Press and Athletics, together about $11 million, along with other deficits carried in departments.

Regent Brown commented in general these reserve balances are large numbers; however, there is only a small sliver of the total that are discretionary balances, available to meet contingency needs.

HEALTH SCIENCES CENTER COMMITTEE
Categorization of Reserves Report – Health Sciences Center, FY19 (information item)
Ava Lovell presented the HSC reserves report referring to slides available in the eBook. These are not cash balances, but are unrestricted net assets, after removing such things as pension liabilities. Ms. Lovell explained the importance of operating reserves. Business is different at the Health Sciences Center in that it is 94% self-supporting, so reserve balances are critical to cover unforeseen changes in things like billings or reimbursement rules. The appropriate level is about 25% of the self-supporting (non-state) revenues for the academic side, and closer to 50% of clinical side. The primary reserve ratio is used: taking the reserves amount and dividing it by the total operating expenses. Right now, the academic side is 12% and the clinical side has 23%, both below the ideal level. Total balances have gone up, but the reserve ratio has not kept up with the increase operating expenses over time. Ms. Lovell discussed details of the reserve balances. There are five areas that have deficit balances, two of those, Surgery and Dermatology, have deficit balances that grew over the past year. Surgery’s deficit will be eliminated within the next two years; dermatology’s this year. The other departments, Internal Medicine, the Office of Medical Investigator, and Radiopharmacy, are bringing down their deficit balances.
Regent Brown asked how these numbers compare to those nationwide. Ms. Lovell responded the national numbers are closer to the 25% and 50% targets mentioned earlier.

**ADVISORS REPORTS**

Adam Biederwolf, ASUNM President, spoke about ASUNM initiatives for the month, including Hispanic Heritage Month, student wellness, Fall Frenzy, and ASUNM Lobo Spirit, and gave an update on the Student Fee Review Board activity.

Alexis Tappan, Alumni Association Board President, spoke about the upcoming Homecoming week activities, Nine regional chapter chili roasts nationwide, and an upcoming Lobo Living Room to celebrate the 90th anniversary of UNM Press.

Muhammad Afaa Hussain, GPSA President, spoke about GPSA’s efforts reaching out to students and the organization’s contributions in developing future leaders; the upcoming GPSA 50-year anniversary celebration; and regarding the faculty unionization vote, GPSA will support the whatever the outcome of the vote will be so to support the success of the University.

Ryan Gregg, Staff Council President, spoke about Staff in Action, including the Outstanding Supervisor Award Reception, PAWS award winners, and the ‘ASK ME’ initiative which took place over the first two days of the Fall semester and created 596 touchpoints.

**Vote to Close the Meeting and Proceed in Executive Session**

Regent Brown asked for a motion to close the meeting and clarified he would take a roll call vote; Student Regent Henry motioned; Regent Schwartz seconded; the following votes were taken: Regent Doughty–yes; Regent Lee–yes; Regent Schwartz–yes; Regent Brown–yes; Regent Henry–yes; Regent Sanchez Rael–yes vote; motion passed. The meeting closed at 11:25 AM.

Members relocated to the Cherry Silver Room. Five members were present in person and Regent Sanchez Rael attended by phone.

**Executive Session Agenda**

1. Discussions subject to attorney-client privilege pertaining to threatened or pending litigation as permitted by Section 10-15-1(7), NMSA (1978)
2. Discussion of “limited personnel matters” as defined in and permitted by Section 10-15-1.H(2), NMSA (1978), regarding: Employee Appeal; President’s Goals

**Vote to re-open the meeting and certification that only those matters described in the Closed Session Agenda were discussed in Closed Session, and if necessary, final action with regard to those matters will be taken in Open Session**

The meeting re-opened at 1:10 PM; the doors to the Cherry Silver Room were opened. Regent Brown certified that only those matters described in the closed session agenda were discussed; the following actions were taken in open session:

**The motion was to accept the statement: “Per the order of the Board of Regents at its December 11, 2018 meeting relating to a student appeal, the Board accepts the hearing officer’s decision dated October 2, 2019.” Motion passed unanimously with six members voting (1st Doughty; 2nd Lee).**

**The motion was to accept the statement: “Be it resolved that the Board of Regents is fully committed to adherence with federal law relating to Title IX and University and Regent Policy regarding the same, as well as the expeditious resolution of all cases, and a university free of all discrimination.” The motion passed unanimously with six members voting (1st Brown; 2nd Doughty).**

**The motion was for the Board of Regents to decline to hear the appeal, dated August 5, 2019, of an OEO determination. The motion passed with a unanimous vote (1st Doughty; 2nd Lee).**

**ADJOURN**

There being no further business, Regent Brown asked for a motion to adjourn; Regent Doughty motioned; Regent Henry seconded; motion passed unanimously; the meeting adjourned at 1:14 PM.

**Approved: Attest:**
BOARD OF REGENTS OF
THE UNIVERSITY OF NEW MEXICO

RESOLUTIONS APPROVING FOURTH AMENDED AND
RESTATE BYLAWS OF UNM MEDICAL GROUP, INC.

WHEREAS, in accordance with the requirements of Article IX of the Third Amended
and Restated Bylaws (the “UNMMG Bylaws”) of UNM Medical Group, Inc., a New Mexico
non-profit and University Research Park and Economic Development Act corporation (the
“Corporation”), the Board of Directors (the “UNMMG Board”) of the Corporation reviewed and
considered certain amendments and modifications to the UNMMG Bylaws to further the
governance of the Corporation;

WHEREAS, the UNMMG Board, having considered the proposed changes to the
UNMMG Bylaws and the best interests of the Corporation in revising the leadership structure
and the board membership for the organization, found and concluded such changes to the
UNMMG Bylaws are in the best interests of the Corporation and, based thereon, voted to
approve such amendments and modifications and to recommend to the Board of Regents of the
University of New Mexico (the “Board of Regents”) the approval of such amendments as
provided in the Fourth Amended and Restated Bylaws attached to these Resolutions as Exhibit
A; and

WHEREAS, the Board of Regents are the sole member of the Corporation and the
Corporation is considered an affiliated supporting organization of the University of New Mexico
as provided in NMSA 1978, Section 6-5A-1 and Regents Policy 7.18;

WHEREAS, the Board of Regents, finds and concludes that the changes to the UNMMG
Bylaws as set forth in Exhibit A attached hereto are in the best interests of the Corporation and,
based thereon, desires to approve such amendments and modifications.

NOW, THEREFORE, BE IT RESOLVED that the attached Fourth Amended and
Restated Bylaws of UNM Medical Group, Inc. be, and they hereby are, approved and shall
replace, in their entirety, the Third Amended and Restated Bylaws of UNM Medical Group, Inc.,
and shall become the governing bylaws for the Corporation.

ADOPTED BY VOTE OF THE BOARD OF REGENTS IN A DULY CALLED MEETING
THEREOF ON OCTOBER 15, 2019.

By: ___________________________
Douglas Brown
President of the Board of Regents
BOARD OF REGENTS OF THE UNIVERSITY OF NEW MEXICO

RESOLUTIONS APPROVING ELECTION OF UNM MEDICAL GROUP, INC. DIRECTORS

WHEREAS, UNM Medical Group, Inc., a New Mexico non-profit and University Research Park and Economic Development Act corporation (the “Corporation”) is in the process of obtaining the approval of its Fourth Amended and Restated Bylaws under which the Corporation has, among other things, restructured the composition of its Board of Directors and restated the terms of office for such Directors;

WHEREAS, UNMMG seeks the election and appointment of certain Directors to align with the Fourth Amended and Restated Bylaws, and to fill certain vacancies, as identified in Exhibit A attached to these Resolutions and incorporated herein by reference (each, a “Nominee” and, collectively, the “Nominees”);

WHEREAS, pursuant to the requirements of the University Research Park and Economic Development Act, NMSA 1978, Section 21-28-1 et seq., and the Corporation’s Fourth Amended and Restated Bylaws, the Board of Regents must appoint and elect the Board of Directors of the Corporation and, therefore, pursuant to Regents Policy 3.5, the nominees to the Board of Directors of the Corporation must be presented for consideration to the Board of Regents for approval;

WHEREAS, the HSC Committee, having considered Exhibit A and the presentations made to the Committee in respect of the nominees to the Corporation’s Board of Directors, recommends each of the Nominees for approval to the Board of Regents.

NOW, THEREFORE, BE IT RESOLVED THAT:

Each of the Nominees identified in Exhibit A be, and they hereby are, elected as Directors of the Corporation, effective immediately, to serve in the capacity indicated in Exhibit A, and for the terms indicated in Exhibit A.


By: Douglas Brown
President of the Board of Regents
EXHIBIT A

Nominations to the UNM Medical Group, Inc. Board of Directors

Class A Director (Term ending December 31, 2020)

*Positional Director:
   Eve Espey, MD, Chair, Department of Obstetrics & Gynecology, UNM School of Medicine

Class B Directors (Term ending December 31, 2021)

*Positional Director:
   David Rakel, MD, Chair, Department of Family & Community Medicine, UNM School of Medicine
   Selina Silva, MD, Vice Chair, Physician Advisory Group, Department of Orthopaedics, UNM School of Medicine

Class C Director (Term ending December 31, 2019)

*Positional Director:
   Alexander Rankin, MD, Chair, Physician Advisory Group, Department of Family & Community Medicine, UNM School of Medicine

*These members serve as Directors due to their position, in accordance with Article III, Sections 8(c)-(d) of the Third Amended and Restated Bylaws of the UNM Medical Group, Inc. These appointments would also align with Article III, Sections 8(b)-(c) of the proposed Fourth Amended and Restated Bylaws of the UNM Medical Group, Inc., which the UNM Medical Group, Inc. Board of Directors has resolved to adopt, and which are before the HSC Committee for review and approval. The terms of office reflect the terms set forth in the proposed Fourth Amended and Restated Bylaws of the UNM Medical Group, Inc.
Minutes of the Special Meeting of the Board of Regents of the University of New Mexico
November 20, 2019
Roberts Room, Scholes Hall, Main Campus

Members present
Douglas M. Brown, President; Kim Sanchez Rael, Vice President; Robert Doughty; Melissa Henry; Marron Lee; Robert Schwartz (telephonically)

Members not present
Sandra Begay

Administration present
Garnett S. Stokes, President; Loretta Martinez, Chief Legal Counsel; Paul Roth, EVP and Chancellor for Health Sciences Center; James Holloway, Provost and EVP for Academic Affairs; Teresa Costantinidis, SVP for Finance and Administration; Dorothy Anderson, VP HR; Eddie Nunez, AD; Kate Becker, CEO, UNM Hospitals; Terry Babbitt, President’s Chief of Staff

CALL TO ORDER, CONFIRMATION OF A QUORUM AND ADOPTION OF THE AGENDA
Regent President Doug Brown called the special meeting to order at 3:01 PM. A quorum was confirmed and the agenda was adopted.

VOTE TO CLOSE THE MEETING (ROLL CALL VOTE)
Regent President Brown asked for a motion to go into closed session; Regent Marron Lee motioned to close the meeting; Regent Kim Sanchez Rael seconded; a roll call vote was taken and all members voted yes.

EXECUTIVE SESSION
  a. Discussion and determination where appropriate of potential purchase, acquisition, or disposal of real property, as permitted by Section 10-15-1.H(8), NMSA (1978)
  b. Discussions subject to attorney-client privilege pertaining to threatened or pending litigation, as permitted by Section 10-15-1(7), NMSA (1978)
  c. Discussion of limited personnel matters, as permitted by Section 10-15-1.H(2), NMSA (1978)
  d. Discussion and determination where appropriate of strategic and long-range business plans or trade secrets of public hospitals, as permitted by Section 10-15-1.H(9), NMSA (1978), as amended

VOTE TO OPEN THE MEETING AND CERTIFICATION THAT ONLY THE MATTERS DESCRIBED IN THE EXECUTIVE SESSION AGENDA WERE DISCUSSED IN CLOSED SESSION, AND IF NECESSARY, FINAL ACTION WITH REGARDS TO THOSE MATTERS WILL BE TAKEN IN OPEN SESSION
The meeting re-opened at 6:04 PM; the doors to Roberts Room were opened. Regent Brown certified that only those matters described in the closed session agenda were discussed, and there were no items upon which action would be taken.

ADJOURN
Regent Brown asked for a motion to adjourn. Student Regent Henry motioned; Regent Rob Doughty seconded; all were in favor. The meeting adjourned at 6:05 PM.

Approved: Attest:
____________________________________  _____________________________________________
Douglas M. Brown, President        Sandra K. Begay, Secretary/Treasurer

Minutes originated and finalized by Mallory Reviere
The President’s Administrative Report

Garnett S. Stokes

President Stokes’ report will be presented at the meeting.
Board of Regents
December 10, 2019

Enrollment Update

Dan D. Garcia, VP Enrollment Management

(Materials may be presented at the meeting.)
Information Item:

Accessology - Americans with Disabilities Act - UNM Transition Plan

*Presentation by Francie Cordova, Interim Chief Compliance Officer and Kristi Avalos, Founder & CEO, Accessology*

*(Supporting documentation may be provided prior to or during the meeting.)*
Changing Worlds 2020: The Campaign for UNM

In 2006, The University of New Mexico launched Changing Worlds: The Campaign for UNM. This campaign is the third campaign in the University’s history and set out with an audacious goal of raising $675 million in private support. The campaign’s goal was exceeded before the December 2014 conclusion. Based on the campaign’s success and momentum, it was refreshed and extended in Fiscal Year 2014-2015 to align with the UNM 2020 goals.

Folding in the previous results, the goal of Changing Worlds 2020: The Campaign for UNM is to raise a cumulative $1 billion in private support by the end of 2020. As of December 4, 2019, 78,413 generous donors have given $1,152,825,446 in gifts supporting student success and opportunity, faculty support and research, campus programs, and capital projects and facilities.

With the goal being exceeded well before the campaign’s conclusion, Changing Worlds 2020: The Campaign for UNM is the largest fundraising campaign in the University’s history. The campaign, which is set to conclude in 2020, continues to energize alumni, donors, and friends to make meaningful and impactful gifts supporting the University’s mission.

Specific fundraising highlights:

UNM School of Engineering, students who work at Popejoy Hall and students enrolled in Earth and Planetary Science received a gift of $1.7 million for scholarships.

UNM University Libraries received a gift of $300,000 to benefit historic preservation.

UNM School of Engineering received a gift of $1.2 million to benefit engineering students in Honors.

UNM HSC School of Medicine received a gift of $196,000 for scholarships and $180,000 for fourth year medical students.

UNM HSC Comprehensive Cancer Center received $16,722 for breast cancer research.

UNM Foundation’s Strategic Planning Process
The Foundation has recently embarked on a comprehensive strategic planning process. The ultimate goal of this process is to create an ambitious yet achievable five-year strategic plan that can be implemented by the Foundation to guide its work in support of The University. During the course of the project, the Foundation will engage the Regents, University leadership, Foundation Trustees and staff, donors and others to assure that the strategic plan is aligned with the priorities of the University. The Foundation anticipates the strategic plan will be completed by June 2020.
CONSENT DOCKET

(Action items on Regent’s Committee agendas may move to the Board of Regents’ agenda as consent items; the below items are placed on the consent docket by the respective committee chairs; items on the consent docket received unanimous approval in committee; per Regents’ Policy 1.2, “Any member of the Board of Regents shall have the right upon request to remove any item from the Board’s consent agenda and place the item on the Board’s regular agenda for discussion.”)

Academic/Student Affairs and Research Committee - Consent Items
1. AS Health Information Technology (UNM-Valencia) (delete) ....................... C-1
2. Certificate in Race and Social Justice .............................................................. C-2
3. Approval of New UNM-Los Alamos Programs................................................. C-3
   a. Certificate in Radiation Control Technology
   b. Certificate Nuclear Waste Operator
   c. Certificate Nuclear Enterprise Science & Technology
   d. AAS Nuclear Enterprise Science & Technology

Finance and Facilities Committee - Consent Items
4. Approval of Disposition of Surplus Property for Main Campus for the months of September, October, and November 2019................................. C-4
5. Approval of Contract: College of University Libraries and Learning Sciences and the UNM Health Sciences Library and Informatics Center – License Renewal for Elsevier ........................................................................................................ C-5
6. Approval of Request for Project Construction: ............................................. C-6
   a. Phase 2 Renovations at Clark Hall Chemistry Building
   b. Center for the Arts – Fire Alarm Upgrade
   c. Economics Building #57: Infrastructure Upgrades
   d. Clark Hall #22: Riebsomer Wing Lab Waste System Replacement
   e. UNM Popejoy Hall Artist Support Spaces Renovation
   f. Renovate Cube Area, South Wing, Information Technology Building #153
   g. Santa Ana Star Baseball Field Bleacher Expansion
   h. ASUNM Main Campus Photovoltaic System
   i. Student Union Building #60: Partial Roof Replacement

Health Sciences Center Committee - Consent Items
(Contingent on approval at the December 9, 2019 HSC Committee meeting, actions items may be placed on the Consent Docket.)
Rationale for Deletion of the Associate of Science in Health Information Technology at UNM Valencia

This program was developed with SUN PATH grant funds, which enabled us to hire a full-time faculty member to develop the program and work towards accreditation. Due to budgetary and other implications, we did not pursue the accreditation process through the Commission on Accreditation for Health Informatics and Information Management (CAHIIM) that is necessary for students completing the program to sit for the nationally recognized industry credential RHIT (registered health information technician).

Currently, students who wish to complete and sit for the exam have to transfer to an accredited Health Information Technology program. This will allow them to sit for the industry credential and gain employment in a hospital setting.

From AY 2016 – AY 2020 there have only been thirteen students seeking their degree in Health Information Technology. Unfortunately, these students will be required to transfer to another institution and graduate from there in order to be eligible to sit for the RHIT exam.

Deleting the associate degree in HIT and adopting the certificate in HIT will allow more students the opportunity to complete more quickly and gain employment in an entry-level position as a medical insurance biller and coder – positions that do not require students to sit for the RHIT credentialing exam. This change will also increase the likelihood of gaining more students in the program as they will complete more quickly with the certificate. Having the associate’s degree without the ability to sit for the exam is doing students a disservice.

At this time, there are only three students left at UNM-Valencia who have declared this major. As all of the classes are online, they will be able to finish the program through UNM-Gallup. (Our original full-time instructor has moved to UNM-Gallup and teaches many of these courses.) Of course, if a student needs a course that is a part of UNM-Valencia’s requested HIT certificate program, they can take that course through UNM-Valencia. UNM-Valencia will be able to run the certificate program with adjunct instructors only.
FSCC FORM C 2402:

“Race & Social Justice Undergraduate Certificate”
4 classes/3 different departments, B or better
12-credit transcripted interdisciplinary certificate through the
Institute for the Study of “Race”& Social Justice (More info: race.unm.edu)
Special thanks to Dr. Scarlet Higgins, Chair and Farah Nousheen, Academic Advisor,
UNM Women Studies Program for providing Curricular Administrative/Advising Home

Visit and join our listserv: race.unm.edu; First in the country!!!
Race and Social Justice Graduate Certificate Approved in 2016: 27 admissions; 6 graduates in 3 years!
12-credit Undergraduate Certificate

- Transcripted credential for 4 undergraduate level courses in three different disciplines (already offered); 50% upper division 300/400-level
- Recruiting tool, attracts graduate students, increases student credit hours, research shows these types of courses advance student success
- Gives graduates a workforce advantage
- Race and Social Justice is an established expertise at UNM and the certificate allows us to stand out among our peers
- The certificate is available only to students admitted to an undergraduate degree program, and may not stand alone.
- No budget implications as courses already exist
- Deans, Colleges, Universities across the country trying to mimic our own success: 27 admissions and 6 graduates in three years for graduate certificate first in the country) –
- IF APPROVED WE WILL AGAIN BE FIRST IN THE COUNTRY!

Visit: race.unm.edu
STUDENT LEARNING OUTCOMES

• investigating and interpreting the social construction of race in a given socio-historical context
• reflecting on the premises, concepts and categories used in different disciplines to conceptualize race, institutional/structural racism.
• cross-disciplinary critical appraisals, investigations and applications of theories of race, racialization, decolonization and social justice across a variety of social domains and institutions.
• expose students to a vibrant interdisciplinary community of scholars at the University of New Mexico doing research, teaching and service in the area of race and social justice.
THANK YOU! FOR MORE INFO & TO SUPPORT THE INSTITUTE VISIT: race.unm.edu
TEN YEAR ANNIVERSARY
INSTITUTE ACTIVITIES (2009-2019)

- 2009 Study Group (20 scholars)
- 2010 Working Group (15 scholars including doctoral students developed transdisciplinary guidelines on race research)
- 2009-2010 Lecture Series - cutting edge conceptualizations of race in econ, genetics, history, typically attracted 70-audience participants from community, students scholars
- 2011 Census Symposium 2011 (150 participants including former director of the Census and current staff at OMB as well as researchers); Evaluations were that this was the best symposium that they had attended, need more time
- 2012-2014: Co-sponsored lectures with Centro de la Raza
- 2014 NM Statewide Race, Gender, Class Data Policy Consortium
- 2018 Hosted Critical Race Studies in Education Association
- 2016 Race and Social Justice: Interdisciplinary Insights Project
  - Faculty Working Group (18 scholars)
  - Lecture Series (4/21/16@4pm, Dr. Nana Osei-Kofi, #FightRacism: Teaching for Social Justice)

INVITE: Next Meeting W 2/19, 12-1pm, SSC1 1061, Race and Social Justice Across the Disciplines: Academic Justice, Academic Rights for Students, Faculty and Staff (Lunch Provided-No RSVP Required; Everyone is always welcome!)
2016 Race & Social Justice Interdisciplinary Insights Faculty Collective (over 20 faculty)
Deliverable: SLO & Collective Syllabi; visit race.unm.edu)

Special Thanks to Teaching Allocation Grant (TAG) 2016
Division of Equity and Inclusion
Next Mtg: 2/19, 12-1pm SSCI 1061, Lunch provided. Everyone Welcome!
*STRATEGIC OPPORTUNITY*

The proposed certificate formally recognizes the specialized knowledge that many current undergraduate students are already completing at UNM but lack any official mechanism for certifying this specialization and expertise on their transcripts.

Visit: race.unm.edu
STUDENT LEARNING OUTCOMES

(1) Students will illustrate and interpret the historical, political, social, psychological, cultural, and/or economic dimensions of race, racialization, difference and power, integrating these into an interdisciplinary perspective;

(2) Students will read write about, discuss, and engage in critical scholarly inquiry, problem-solving and public presentations related to race and social justice;

(3) Students will acquire a basic level of knowledge about U.S. and/or local, global social justice movements that are anchored in racial justice;

(4) Students will be aware of opportunities to go from theory to practice by exposure to community-engaged research and teaching opportunities as well as career and post-graduate opportunities their certificate makes possible.
Partial List Classes (more than 80 classes already exist. More info: race.unm.edu)

***FOUR CLASSES/3 DIFFERENT DEPARTMENTS/GRADE OF B OR BETTER; 50% UPPER DIVISION***

<table>
<thead>
<tr>
<th>Course</th>
<th>Number</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>AFST</td>
<td>307</td>
<td>Blacks in the Southwest</td>
</tr>
<tr>
<td>AMST</td>
<td>185</td>
<td>Race, Class, Ethnicity</td>
</tr>
<tr>
<td>ARTH</td>
<td>429</td>
<td>Colonial Art of the Hapsburg Period</td>
</tr>
<tr>
<td>ENGL</td>
<td>479</td>
<td>Postcolonial Literature</td>
</tr>
<tr>
<td>CCS</td>
<td>342</td>
<td>Race, Culture, Class in New Mexico History</td>
</tr>
<tr>
<td>CJ</td>
<td>393</td>
<td>Multiculturalism, Gender and Media</td>
</tr>
<tr>
<td>HIST</td>
<td>474</td>
<td>Slavery and Race Relations in the Americas</td>
</tr>
<tr>
<td>LLSS</td>
<td>393</td>
<td>Anti-racist Education</td>
</tr>
<tr>
<td>NAS</td>
<td>322</td>
<td>Principles of Native American Law</td>
</tr>
<tr>
<td>POLI</td>
<td>309</td>
<td>Black Politics</td>
</tr>
<tr>
<td>SOC</td>
<td>420</td>
<td>Race and Inequality</td>
</tr>
<tr>
<td>SOC</td>
<td>430*</td>
<td>Intersectionality: Race, Gender, Class for Social Policy *=available for grad credit</td>
</tr>
<tr>
<td>WMST</td>
<td>325</td>
<td>Race, Class and Feminism</td>
</tr>
</tbody>
</table>

Visit: race.unm.edu
THE BENEFITS

- Encourages and attracts **interdisciplinary research collaborations and community partnerships** across colleges and departments that can lead to enhanced research funding and training for graduate students.

- **Enhances UNM’s profile as a destination university** for cutting edge scholarship, teaching and praxis on race and social justice. Other universities trying to replicate...
Reconsidering Student Evaluations (EvalKit)

STATEMENT FROM THE AMERICAN SOCIOLOGICAL ASSOCIATION (ASA)
September 9, 2019 (endorsed by 17 other Scholarly Associations)

• describes the current use of student evaluations of teaching as “problematic”
• identifies ways to use student feedback appropriately as one part of holistic assessment of teaching effectiveness in institutions of higher education.
• Preponderance of research has demonstrated that student evaluations of teaching (SETs) are weakly related to student learning
• biased against women and people of color.
• consequences for who gets hired, who gets tenure, and whose contracts are renewed.

ACCOUNTABILITY & ASSESSMENT

- Student and Alumni Evaluation (Exit Survey)
- Assessment of Student Learning Outcomes (2019-2020 Assessment Pilot underway for U.S. Global Diversity will be modified for race courses-Email nlopez@unm.edu or neely@unm.edu, if you want to volunteer)
- Examine dept.-level and college-level impact of this certificate on undergraduate applicant pool, enrollments, student credit hours and matriculation;
- Assess short-term and long-term impact on student success and reduction of complex inequalities by retention and graduation (e.g., complex social locations: Race-gender-first generation college status; examine reductions in complex inequalities/intersectionality)
- Create a community of practice around student success and race and social justice interdisciplinary learning outcomes
- Academic program review every 7-10 years
LOGISTICS

- Interdisciplinary Certificate housed in College of Arts and Sciences and Staffed by Women Studies Undergraduate Coordinator (Farah Nousheen, Administrative Staff)
- Course resource/advising worksheet guide for undergraduate students
- Faculty Advisor (Dr. Nancy López)

Institute webpage: race.unm.edu

Thank you!
FORM C PROPOSAL TO CREATE A 12-CREDIT “RACE & SOCIAL JUSTICE INTERDISCIPLINARY UNDERGRADUATE CERTIFICATE” (TRANSCRIPTED)
Last updated October 31, 2018

EXECUTIVE SUMMARY
The 12-credit transcribed interdisciplinary “Race & Social Justice” Undergraduate Certificate is designed as an area of specialization for students pursuing a bachelor’s degree in disciplines in the humanities, social sciences, fine arts, or the professional schools at the University of New Mexico. Against the backdrop of contemporary and ongoing historic racial inequities in housing, health, education, employment and criminal justice, the certificate provides students the opportunity to become part of a vibrant interdisciplinary community as they complete an education program that is anchored in a critical examination of normative understandings of contemporary and historic racial inequalities. It is important to underscore the word interdisciplinary as this would one of the few certificates that intentionally leverages multiple disciplines for advancing knowledge in race and social justice. This will be particularly attractive to both U.S. and international students seeking the benefits of cross-disciplinary dialogues, reflection and collective insights that are facilitated when faculty and students from different disciplines converge to explore the contours of race and social justice in the U.S and global context.
While other universities and colleges offer trans- or cross-disciplinary undergraduate certificates in race, human rights, ethnicity or social justice (e.g., Arizona State University, University of Colorado, Denver, University of Texas, Austin), we were the first to establish an interdisciplinary graduate certificate in “Race & Social Justice.” In two years we have admitted 19 students and we have had 5 graduates of the graduate certificate. If approved, we would also be the first in the country to establish the interdisciplinary “Race & Social Justice” Undergraduate Certificate. A google search on 10/31/18 revealed that no other university in the U.S. and beyond has an undergraduate certificate entitled “Race and Social Justice.” Several universities including the University of Texas-Austin Generation Equity Initiative have inquired about how we established this certificate as they are also considering instituting a similar opportunity for their students. If approved UNM would be the only university to offer an undergraduate certificate in race and social justice.

The following are key student learning outcomes:

(1) Students will illustrate and interpret the historical, political, legal, social, psychological, cultural, and/or economic dimensions of race, racialization, difference and power, integrating these into an interdisciplinary perspective;
(2) Students will read, write about, discuss, and engage in critical scholarly inquiry, problem-solving and public presentations related to race and social justice; 

(3) Students will acquire a basic level of knowledge about U.S. and/or local, global social justice movements that are anchored in racial justice; 

(4) Students will be aware of opportunities to go from theory to practice by exposure to community-engaged research and teaching opportunities as well as career and post-graduate opportunities their certificate makes possible. 

The transcripted certificate positions our undergraduates to stand out among potential applicants for academic, policy and other social service employment. The critical thinking and analytical skills that students will develop will prepare them to compete in the multicultural workforce and international and global job markets that increasing values interdisciplinary approaches. A Google search for jobs in "racial justice jobs" found over 987 hits; about half of these jobs were entry level (Last accessed 10/31/18 at http://www.indeed.com/q-Racial-Justice-jobs.html). A common theme in these job postings is a demand for professionals in the non-profit and government sectors that have the ability to understand, do research and influence social and public policy to promote social justice for racially marginalized groups. The city of Seattle, WA has launched a race and social initiative that seeks employees with training in race and social justice. Similarly job searches positions in public policy, urban planning, human relations, criminal justice, social work, K-12 and higher education administration, seek applicants that demonstrate this expertise. The City of Albuquerque opened and office for equity and inclusion in 2018. 

*The proposed certificate formally recognizes the specialized knowledge that many undergraduate students are already completing at UNM but lack any official mechanism for certifying this specialization and expertise on their transcripts.* Students are very interested in having a specialization that helps them stand out in the job market. We have a list of undergraduate students that have expressed an interest in this specialization and we have gathered email and contact information at a number of recent UNM events including the 2018 Critical Race Studies in Education Association Conference that we hosted at UNM. 

It is important to highlight that the proposed certificate does not duplicate any existing undergraduate certificate and all of the courses that have been identified as meeting the student learning outcomes for the certificate already exist in a variety of graduate programs across diverse disciplines, departments and colleges at UNM. We have identified over two-dozen courses that meet the learning outcomes for the undergraduate certificate. For a complete list of courses see appendix. We anticipate being able to offer the proposed graduate certificate as early as Fall 2019 (if approved). Students who are graduating in Spring 2020 may apply for this certificate provided that they have completed the application and required coursework. It is important to underscore that this is not a stand-alone certificate; it is only open to currently enrolled undergraduate
students at UNM. We have met with University Advising are we have secured administrative support for the certificate from the Director of University Advising (See letter from Laura Valdez). We hope that this certificate will help improve UNM’s enrollment challenges as more students seeking these types of learning opportunities will consider UNM an attractive place to do their undergraduate studies. Most importantly there is a wide interdisciplinary evidence base of research that shows that exposure to courses on race, power and social justice enhance critical thinking, engagement and student success for all students and especially for those students that have traditionally been underrepresented in higher education. Many campus leaders across the university have endorsed the potential transformative potential of these courses. We have also appended letters of support from the chairs/directors/program Diversity Council, Office of the VP for Equity and Inclusion, Center for Teaching and Learning, Health Sciences VP Office for Diversity, Equity and Inclusion, VP for Research and the Health Inclusion Vibrancy Equity (HIVE) collective.

The interdisciplinary “Race & Social Justice” Undergraduate Certificate will contribute to the development of critical and analytical thinking and praxis (dialogue, reflection and action) that can have a transformative and lasting impact on society. The certificate provides students the opportunity to become part of a vibrant interdisciplinary community as they complete an education program that is anchored in a critical examination of normative understandings of contemporary and historic racial inequalities. A common thread in critical approaches to the study of race and social justice is the deep commitment to scholarship that examines alternatives to the status quo, and illuminates potential for social change that creates a more perfect union for all. The overarching aim of the program is to provide a coherent, interdisciplinary grounding in race and social justice scholarship that enhances their knowledge and analytical abilities and simultaneously creates an intellectual community among faculty and graduate students sharing similar scholarly interests. Ten years from now we will know that we have been successful because our certificate earning graduates will be engaged in advancing innovative solutions to entrenched racial inequities in their respective diverse professions across a variety of fields including education, housing, employment, law enforcement and health.

INSTITUTE FOR THE STUDY OF “RACE” & SOCIAL JUSTICE

PROPOSAL FOR 12-CREDIT INTERDISCIPLINARY “RACE & SOCIAL JUSTICE” UNDERGRADUATE CERTIFICATE

1. Program Description and Purpose

1. What is the program and why should we offer it? Include the program’s major goals.

The 12-credit interdisciplinary “Race & Social Justice” Undergraduate Certificate is a transcripted certificate that recognizes advanced cross-disciplinary undergraduate
expertise and training in the area of race and social justice. The key student learning outcome includes investigating and interpreting the social construction of race in a given sociohistorical context as well as reflecting on the premises, concepts and categories used in different disciplines to conceptualize race and racism. Other major student learning outcomes include critical appraisals, investigations and applications of theories of race, racialization, decolonization and social justice across a variety of social domains and institutions.

There are several reasons why the proposed undergraduate certificate adds value to UNM’s portfolio of innovative, interdisciplinary, community engaged scholarship and praxis:

1. **Transcripted Certificate Formally Acknowledges Student Specialization**

   The proposed certificate formally recognizes the work that many undergraduate students are already completing but lack any formal mechanism for certifying this specialization and expertise on their official transcripts or on their curriculum vitae. It is important to highlight that the proposed certificate does not duplicate any existing undergraduate certificate and all of the courses that have been identified for the certificate already exist across a variety of undergraduate programs across diverse disciplines, departments and colleges at UNM. These courses exist in several colleges spanning the College of Education, College of Arts and Science, Business School, Community and Regional Planning, and the College of Fine Arts. An array of departments are represented in the list of courses identified for the certificate including: Anthropology, Political Science, Sociology, American Studies, Communication and Journalism, Language Literacy and Sociocultural Studies, among many other departments. I have also emailed all the chairs of departments and programs that have courses on the list of potential courses to confirm they are interested in having their courses listed. Again we hope that this certificate will enhance enrollment in all departments that offer courses on race and social justice.

2. **Enhances UNM Brand as a World Class University: First Interdisciplinary “Race and Social Justice” Undergraduate Certificate in the Country**

   Innovation and forward-thinking strategic programs are the hallmark of twenty-first century universities. As a research one university in majority minority state with one of the most diverse student populations in the country, UNM has a strategic opportunity to serve as an incubator for high quality interdisciplinary, research, teaching and praxis in the area of race and social justice. An undergraduate certificate in this area will allow UNM to establish a national and international reputation for this specialization. While other universities and colleges offer interdisciplinary undergraduate certificates in related areas, our proposed certificate will brand UNM as a leader and cutting edge hub of interdisciplinary research in this area (See Appendix A: List of
Undergraduate Certificates in Other Universities). The Institute for the Study of “Race” & Social Justice is the first in the country to be dedicated to both establishing empirical, conceptual and methodological clarity about race that is also explicitly interdisciplinary and committed to engaging issues of policy, pedagogy and praxis. Indeed our Internet search of similar programs has yet to uncover any other Institutes graduate or undergraduate certificate entitled, “Race & Social Justice,” making UNM the first in the country to establish this brand. As director and co-founder of the Institute I receive frequent inquires from other universities seeking to establish a similar opportunity for their students. I am proud that in only two years of existence we have admitted 19 students in the 15 credit graduate certificate and we have graduated 5 certificate earners. We expect similar number for the undergraduate certificate.

The undergraduate certificate will require minimal staff time as no application will be necessary. Students who express interest will simply indicate this interest to their advisor so that they can receive the designation on their transcript. The Institute for the Study of “Race” & Social Justice will hold information sessions for interested student once a year to explain the benefits of the certificate. We are proud that Dean Ochoa at the College of Education has agreed to designate advisors to assist with the production of a facts sheet that can be made available to all undergraduate via a listserv and on our website.

3. Cumulative Deep Interdisciplinary Learning and Long-term Value-Added for both Students and Faculty Success; Nurtures Diverse Scholarly Communities of Solutions-Oriented Practice

We believe that the value-added by the proposed undergraduate certificate is cumulative and multifaceted as both prospective and current undergraduate students as well as prospective, current junior and senior faculty will not only be attracted to UNM but they will thrive in a vibrant and innovative community that embraces engaged and solutions-oriented scholarship that builds on interdisciplinary knowledge, teaching and practice in race and social justice. Both domestic and international students and faculty will find the proposed undergraduate certificate in race and social justice particularly appealing because it is anchored in leveraging the interdisciplinary insights on race and social justice and the value-added via the convergence of scholarship, teaching and community engagement.

Ten and twenty years from now we will know that we have been successful because we will observe an increase in the work that are alumni will be engaged in. This certificate also reflects our commitment to inclusive excellence-namely the idea that excellence and inclusion are interdependent (For definition of inclusive excellence visit diverse.unm.edu as well as http://www.du.edu/cme/resources/inclusive-excellence.html). Most importantly, because it is an interdisciplinary certificate, the proposed undergraduate certificate in race and social justice has the potential to create a welcoming scholarly home and community for diverse undergraduate students and faculty who will be attracted to UNM because our public face will
demonstrate that we value innovative interdisciplinary research, teaching and service in the area of race and social justice. This brand will be particularly attractive to those students and faculty interested in community engaged research as well as those students and faculty that come from racial and ethnic as well as other communities that continue to experience historic and on-going racialized inequities in education and other policy arenas. The certificate will create the structural conditions for innovation and simultaneously enhance the retention of students who may lack a community of scholars and researchers interested in race and social justice within traditional discipline-specific departments. Unless deliberate programs are developed that attract diverse undergraduate students and expose them to the potential to engage in academia, we will continue to see little progress in reducing the racial achievement gap in six-year graduation.

The Value-Added for the New Mexico Context: Challenges & Opportunities for Race & Social Justice Scholarship & Praxis
The overall focus of the certificate is to address pressing concerns regarding racial inequities and social justice in the 21st Century. This certificate is of particular relevance to New Mexico. As a majority minority state we face multiple challenges and opportunities for ameliorating contemporary and historic inequalities among racial and ethnic marginalized communities. According to the New Mexico Kids Count 2015 Report, New Mexico has the 2nd highest poverty rate in the nation with 21% of children living at or below the poverty rate. We also have the 2nd highest rate of working families who are low income (42%). Not surprisingly, New Mexico also ranks 49th in child wellbeing. Data from the Population Reference Bureau from the U.S. Census 2008-2013 found disturbing patterns of racial and ethnic inequities for children growing up in concentrated poverty. Specifically, 59% of Native American, 25% of Hispanic, 20% of Black and 10% of White children grow up in concentrated poverty (See: http://www.nmvoices.org/wp-content/uploads/2015/09/LHHS-Presentation-9-21-15.pdf). Moreover the 2014 Mission Graduate Report finds that while 4% of Whites living in the state have less than a high school education, for Hispanics this figure is 24% (see 2013 Charting Our Course Report, Website: missiongraduate.org). These challenges can be opportunities for innovation via high quality research and practice that builds on connecting scholarship on race and social justice across the disciplines.

This certificate can serve as a catalyst for change in policies, programs, and practices in our state and beyond. We anticipate that students that complete this certificate will be part and parcel of empowering local communities and improving measurable outcomes for diverse communities vis-à-vis P-20 education, health, criminal justice, housing, employment and wealth. It is our hope that this certificate program can fill an urgent need for an incubator for new ideas, policies and practices that will benefit the people of the state of New Mexico and beyond.
4. How does the program fit within the participating unit's future plans?

The Institute for the Study of "Race" and Social Justice was established in January 2009 with seed funding from the RWJF Center for Health Policy. On April 1, 2015 with the anticipated sunset of the RWJF Center for Health Policy, which reported to the Office of the Vice President for Research, the RWJF Center transitioned to the College of Arts and Sciences and the Institute also transitioned to the College of Arts and Sciences but was no longer a part of the RWJF Center for Health Policy. The Institute currently operates an innovative unfunded intercollege, interdisciplinary Institute with faculty from a variety of colleges and disciplines (Note: From January 2009-March 2015 the Institute existed as an initiative under the RWJF Center for Health Policy. We never had our own index and all funds were run through existing indexes for the RWJF Center for Health Policy. With the move of the RWJF Center for Health Policy, we created our index created on April 1, 2015. This Index has always been administered in Sociology because that is the tenure home of Dr. Nancy López, Director and Co-founder of the Institute. This is no way should be interpreted as representing an initiative of the Sociology Department).

The Institute currently includes ten voting members of our advisory board. The duties of the advisory board include functioning as the executive committee for Institute operations and membership and budget oversight. The Institute also has over twenty non-voting affiliated faculty that participate in general meetings on race and pedagogy, race and interdisciplinary insights as well as seminars, lectures and activities, potlucks organized by the institute. It is important to note that the Director and co-founder of the Institute does not have any operating or research funds or course release.

The Institute mission is to promote the establishment of empirical, theoretical and methodological clarity about "race" that draws on cutting-edge thinking from multiple disciplines and diverse empirical traditions. The Institute seeks to develop ways of empirically measuring "race" and assessing racialization processes in order to develop strategies for ameliorating race-based inequality. We place "race" in quotes to underscore its nature as a socially constructed category of social status in particular historical contexts, rather than as a reified category that is essential or fixed. Despite the fact that "race" is neither rooted in biology (or genetics) or fixed in time and space, racial inequality persists and often remains at the root of socioeconomic inequality, education and health disparities and other measurements of social stratification in the United States (More info included in the 2010 transdisciplinary guidelines for researching race available on Institute webpage available at: race.unm.edu).

Over the last nine years the Institute has sponsored a study group, speakers series, transdisciplinary working group that came to a consensus and produced
“Transdisciplinary Guidelines for Researching ‘Race,’” among other activities. We have also been active in ongoing national debates regarding how racial and ethnic measurements will be counted for the 2020 census and sponsored an interdisciplinary symposium at UNM in September 2011 that included the former director of the Census and key personnel in the Office of Management and Budget, current staff at the Census as well as diverse leading scholars across the disciplines with expertise on underrepresented groups, such as Native Americans, Latinas and Latinos and Asian Americans, etc.. We also convened an American Sociological Association Working Group (2012) that forwarded a memo to the Census offering recommendations on the on-going tests in questionnaire formats for the race and ethnicity questions that included major proposed changes to the Census.

With support from the National Institutes of Health we convened an interdisciplinary workshop with leading scholars on health disparities on the topic of conceptualizing race across the biological, health and social sciences in 2012. Part of the deliverables of this conference included a peer-reviewed co-edited volume entitled, “Mapping ‘Race’: Critical Approaches to Health Disparities Research (2013),” which was recently reviewed in the American Journal of Sociology (2015) and described as “necessary reading” and “masterful” precisely because the interdisciplinary contributions in the volume included innovative models for measuring and conceptualizing race that are only possible through the convening of scholars across the disciplines. In 2018 we hosted the Critical Race Studies in Education Association Conference entitled: “Land and Knowledge: Indigeneity, Survivance and Healing.” We are also partnering with North Carolina Central University, a Historically Black College that is offering a undergraduate fellowship that involves an 8-week training in NCCU as well as year long mentoring in critical race theory and education. The objective of this fellowship is to create the next generation of diverse scholars that advance Research to improve academic outcomes of PK-20 African American, Latina/o, Native American and other underrepresented Youth and Young Adults.

Building on these interdisciplinary initiatives in July 2014, the Institute applied for Agency for Health Research Quality (AHRQ) National Institutes of Health (NIH) grant to harmonize race, gender, and class data collection in the state for equity-based policy. Although the proposal was not funded, in July 2014 we launched the New Mexico Statewide Race, Gender, Class Data Policy Consortium in July 2014, the first of its kind in the nation. Although the Consortium has only been in existence for just over four years, in partnership with a number of UNM and statewide research centers, we have already improved the collection of detailed parental educational attainment on all UNM applications beginning Fall 2015. We have also been working with LGBTQ Resource Center on improving data on these communities. We have also produced a study on race-gender-class gaps in NM higher education that revealed the complex inequalities in a large public university in NM that we presented to UNM administration (peer-reviewed article published in Race, Ethnicity and Education, 2017). It is our hope to
advance the harmonization of race, gender, class, LGBTQ data collection for equity-based policy and practice in education, health and beyond. Because all Institute and Consortium faculty are volunteers, we have also established a UNM Fund with the UNM Foundation so that we can enhance the sustainability of the Institute and Consortium and provide fellowships, awards and activities to students (April 1, 2015). See attached Form D for the previously approved “Race and Social Justice Graduate Certificate” and appendices with information and flyers and other Institute/Consortium deliverables and publications or visit: race.unm.edu.

Through support from the Center for Teaching Allocation, the Institute hosted a lecture on fighting racism in Spring 2016. The Institute for the Study of “Race” & Social Justice convened the faculty collective several times over the Spring 2016 and Fall 2016 for Working Lunch Meetings with support from Teaching Allocation Committee and the Deans Office in the College of Arts and Sciences. Members of the Working Group represented a broad cross-section of colleges and departments including American Studies, Architecture and Planning, Communication and Journalism, Political Science, Sociology, Education, Peace Studies, Women Studies, Medicine, etc. We actively working to solidify our portfolio of advisory board members, affiliated faculty, students, staff and community members.

When the Institute transitioned to the College of Arts and Sciences it was considered an unfunded tier-one research Institute with an Index that was administered by Sociology. In Fall 2015 the Institute submitted a form C to create the race and social justice interdisciplinary graduate certificate, which was approved in Spring 2016. We began accepting applications in Fall 2016. To date we have admitted 19 applicants and we have graduated 5 certificate earners as Fall 2018.

Our future plans for the Institute include continuing our lecture series on cutting edge approaches to researching race and obtaining research grants for undergraduate students to conduct interdisciplinary research on race and social justice. Another major goal of the Institute is to connect undergraduate students with faculty mentors that can guide interdisciplinary workshops on race and social justice. To that end with support from the Division of Equity and Inclusion our next Institute general meeting for affiliated faculty, students and community is 11/8/18@12-1pm in SSCO 1061. Everyone is welcome!

How does the program fit within the UNM mission and strategic plan? Does this program address particular research priorities?

The interdisciplinary strength of the proposed undergraduate certificate strategically positions UNM as a convergence space for innovation and discovery in addressing the ongoing racial inequalities in housing, health, education, employment and criminal justice, etc. The New Mexico context is ripe for innovation in high quality research and praxis in the area of race and social justice. Among the challenges that remain are historic
and contemporary gaps in educational attainment, income and wealth among racial and ethnic minority groups such as Native Americans, Hispanics and Blacks. The proposed certificate will provide a meeting space for innovations and solutions-oriented approaches to multiple inequities experienced by entire categories of people; it also adds to the portfolio of work already underway in the Innovation Academy. We intend to apply for the Grand Challenge opportunity and participate in the 2020 Redesign discussions already underway.

The high-quality and innovative curriculum along with potential research synergies that emerge from this proposed certificate will contribute to UNM’s brand as a destination university and leader in interdisciplinary teaching and research. More importantly, this certificate will provide students with the tools to engage in creative solutions to entrenched and long-lasting racial inequities that have the potential to inform policies and practice that advance transformations in historic and contemporary inequalities. It is our hope that the interdisciplinary certificate will create bridges of understanding and dialogue among race scholars across disciplines and create scholarly homes for both students and faculty, who would not otherwise engage in regular interdisciplinary conversations.

2. Does the program overlap or duplicate any existing program within UNM? In the state and/or region?

Currently there is no overlap with any other undergraduate certificates in at UNM or any of the other certificates at universities in the state. While there are other undergraduate certificates in Race or Social Justice, if this proposed certificate is established at UNM we would be the first in the country.

5. What is the governance structure of the program?

The Institute for the Study of “Race” and Social Justice Advisory Board will govern the certificate. The director of the Institute will serve as the director of the program. As previously mentioned, for any given academic year (Fall 2019-Spring 2020, one Institute Advisory member will be appointed as the Faculty Advisor. Each Spring a new advisor will be appointed by the Institute Advisory Board for a term beginning in July of that year through June of the following year. All past and current faculty and staff advisors will be posted on the Institute website: race.unm.edu.

The criteria for appointing members of the Institute for the Study of “Race” and Social Justice Advisory Board as well as a number of affiliated faculty across the colleges at the University of New Mexico is that the nominated faculty member have a record of accomplishments in race and social justice in their research, teaching and service and participate in Institute activities. Many of these faculty also offer courses that contribute to the interdisciplinary “Race & Social Justice” Undergraduate and Graduate Certificate.” The advisory board functions as the executive committee with voting rights. Terms are for three years and renewable.
The Institute for the Study of “Race” and Social Justice consists faculty with a record of scholarship, research, publications, teaching and service in the area of race and social justice. These members are: Dr. Ricky Lee Allen, Associate Professor, Language, Literacy, Sociocultural Studies, College of Education; Dr. Lisa Cacari-Stone, Associate Professor, Family and Community Medicine Department, School of Medicine; Dr. Shiv Desai, Assistant Professor, Teacher Education and Educational Leadership and Policy, College of Education; Dr. Shinsuke Eguchi, Associate Professor, Communication and Journalism; Dr. Kiran Katira, Director, Community Engagement Center and Instructor, Peace Studies, College of Arts and Sciences; Dr. Karla Kingsley, Associate Professor, Teacher Education and Educational Leadership and Policy, College of Education; Dr. Jamal Martin, Director, Peace Studies; Lecturer III, Africana Studies, College of Arts and Sciences; Clinical Assistant Professor Family and Community Medicine Department, School of Medicine; Dr. Nancy López, Professor, Sociology, College of Arts and Science; Director & Co-founder, Institute for the Study of Race and Social Justice, RWJF Center for Health Policy; Founding Coordinator, New Mexico Statewide Race, Gender, Class Data Policy Consortium; Dr. Glenabah Martinez, Associate Professor, Language, Literacy and Sociocultural Studies; Dr. Steven Venney, Associate Professor, Psychology, College of Arts and Sciences. Emeritus Advisory Board Members include: Dr. Anne Simpson, Professor, Internal Medicine, Geriatrics; Vice Chancellor for African American Health; Director, Institute for Ethics, School of Medicine.

Through a grant from the Teaching Allocation Committee in Spring 2016 and Fall 2016 we convened a group of affiliated faculty from multiple disciplines and developed a cross-disciplinary syllabi that included readings with enduring insights for race and social justice from over 20 disciplines. For a complete list of affiliated faculty visit: race.unm.edu.

6. For interdisciplinary programs, describe the responsibilities of each participating unit?

The 12-credit transcripted interdisciplinary “Race & Social Justice” Undergraduate Certificate will not require formal responsibilities from participating units. As previously mentioned, University Advising in the College of Arts and Sciences, and specifically the advisor in charge of the interdisciplinary undergraduate certificates has agreed to provide administrative support by alerting all advisors about the certificate and providing each of them with a fact sheet regarding the requirements for the certificate. No application will be required for any student that has taken courses on the approved list available at: race.unm.edu.

7. What is the program development and implementation timeline?
Conceived as an interdisciplinary experience a total of 12 of undergraduate level credits will be required (e.g., a total of four classes in three different departments/disciplines). No more than six (6) credits can be completed in the same department, including the student’s home department. If a student is interested in applying three (3) independent study credits including field courses, the student should seek approval from the faculty advisor before initiating the independent study. While students can request that independent study courses count toward the certificate, it will be subject to the approval by the faculty advisor. It is important that students meet with the faculty and staff advisor at the beginning of the certificate program of study so that they can design a coordinated course of study for the student.

Who may participate?

The 12-credit transcripted interdisciplinary “Race & Social Justice” Undergraduate Certificate is open to all undergraduate students currently enrolled in any college or school at the University of New Mexico in any degree program. It is not a stand-alone undergraduate certificate and therefore not open to nonmatriculated students. Please keep in mind that for some of the preprofessional undergraduate programs, there may be prerequisites and/or restrictions on enrollment for specific courses. For more information about course enrollment restrictions by individual programs, please consult the course catalog and class schedule.

APPLYING FOR THE CERTIFICATE

The certificate is only available to current undergraduate students already matriculated in an undergraduate degree-granting program (e.g. bachelors degree program) at the University of New Mexico, regardless of field of study. No application is necessary. Just meet with your advisor and they can certify that you have taken four courses from the approved list (most be in three different departments). Only courses with a grade of B or better will count towards the certificate credits. For a current listing of the faculty and staff advisor, please visit: race.unm.edu. You are strongly encouraged to complete this process before you have completed more than three (3) credits toward the certificate.

2. Student Impact
   1. How many students are projected to enroll?

      We expect 15-20 students to enroll in any given year.

   2. From where will these students be drawn?

      Undergraduate students from a variety of undergraduate programs have expressed interest in applying for the transcripted interdisciplinary “Race & Social Justice” Undergraduate Certificate. These students span the social sciences including, anthropology, economics, sociology,
psychology, as well as the fine arts and professional schools including business, public health, nursing, law, etc. After completing this certificate, students will have a firm foundation in understanding race as a social construction and a relationship of power. Students will be better prepared to compete for academic positions and/or work that require these skill sets.

3. What are the demographic characteristics and educational goals of the target students?

We expect this certificate will be of interest to an array of students from diverse racial, ethnic, class, sexual orientation and other backgrounds; this certificate will be particularly attractive to students from traditionally racially and ethnically underrepresented backgrounds, particularly for undergraduate students who may be the first in their families to have access to higher education. This is particularly relevant in New Mexico as over the last several decades our six-year graduation rates have been less than 50% when you look at aggregate figures (See recent study on race-gender-class gaps in NM published by Nancy López, Christopher Erwin, Melissa Binder and Mario Chavez in Race, Ethnicity and Education 2017). This figure goes down dramatically when we look at graduation rates for racial and ethnic minority students; specifically Native American, Hispanic and Black Students have substantially lower graduation rates. This undergraduate certificate would help engage those students interested in conducting collaborative, participatory, community-engaged research that may inform the local community, policy makers and equity-oriented research and praxis in a variety of fields. Furthermore there is a broad based evidence-based literature that provides evidence that courses focused on race, racism and social justice are more successful in graduating students than course that talk about culture but do not directly address racism, power, inequality and social justice.

4. What are the employment goals of the typical target student?

This certificate will be attractive to future scholars, journalists, policy makers, social workers, teachers, lawyers, and teachers alike. It may be particularly attractive to those seeking public office and careers in public service who hope to arrive at large scale solutions to entrenched historic and contemporary inequalities in many policy arena such as early childhood and education, health and housing as well as employment and criminal justice.

We also expect that many of these students will seek to work in professions that are directly serving underrepresented racial and ethnic communities and particularly those that are planning to engage in policy-relevant research on inequities in education, health, housing, criminal justice as well as public service.
3. Curriculum Plan

1. Describe the curriculum and its impact on existing courses, including courses in other departments. NOTE: Certificates with new courses must be reviewed by the HED.

As previously mentioned, all of the courses for the certificate already exist in the UNM catalog. We include a list of courses that we have identified as meeting the requirement (See Appendix).

RESTRICTIONS: We strongly believe in the power of interdisciplinary insights for advancing deep understanding and critical thinking about race and social justice. Students that are traditionally siloed in a given field such as social sciences, education, ethnic studies, health sciences, humanities, and professional schools, benefit from exposure to other disciplines, epistemologies, ontologies, research methods, praxis and vis-a-versa. In order to ensure meaningful interdisciplinary experience, students will have to take four courses in three different departments/disciplines. No more than six (6) credits of the total twelve (12) credits toward the certificate may be from the same department. This includes a maximum of three (3) credits of independent study and/or field experience. Please keep in mind that each department may have restrictions on student enrollment form other departments. Students may transfer up to three (3) credits from a previous undergraduate program; however the restrictions mentioned above will still apply.

2. What instructional model(s) will be used in delivering the program?

The interdisciplinary list of courses cover a variety of instructional modes for delivery the program. The gamut spans from seminar with a focus on reading, critical dialogue and research papers to praxis oriented workshops that focus on community-based action research. Because no more than six of the twelve credits, including an independent study, required for the certificate can be in one department we will ensure that students have exposure to all types of instructional modes including pedagogies anchored in on-going critical reflection, dialogue and action.

3. What are the expected student learning outcomes for the program? How will the learning outcomes be measured?

A major goal of the certificate is to provide students with the opportunity to critically interrogate the relationship between race and social justice theory and practice, while coming to broader understandings of how to connect research on racial inequities to inform research and practice that can be translated into their communities. This can be the beginning steps toward self-reflexivity that encourages students to reconsider/rethink the
relationship between race and social justice and how communities are affected by inequities related to race across a variety of policy arenas.

The program consists of several student learning outcomes:

(1) Students will illustrate and interpret the historical, political, legal, social, psychological, cultural, and/or economic dimensions of race, racialization, difference and power, integrating these into an interdisciplinary perspective;

(2) Students will be able to critically read/write about, discuss, and engage in scholarly inquiry, problem-solving and public presentations related to race and social justice;

(3) Students will acquire a basic level of knowledge about U.S. and/or local, global social justice movements that are anchored in racial justice;

(4) Students will be aware of community-engaged research and teaching opportunities as well as career and post-graduate opportunities their certificate makes possible.

4. Budgetary Impact

1. How many faculty are necessary for program delivery and what are their qualifications?

   It is important to highlight that the proposed certificate does not duplicate any existing undergraduate certificate and all of the courses that have been identified as meeting the student learning outcomes for the certificate already exist in a variety of undergraduate programs across diverse disciplines, departments and colleges at UNM.

2. How will this program affect the workload of current faculty and support staff?

   Again, all of the courses already exist so it will not require any new courses. We anticipate 15-20 students seeking this certificate every year. No application will be necessary. Students who express an interest will meet with the staff advisor and declare their interest in the transcripted certificate. The advisor will consult the approved course list on race.unm.edu. Since there is no application the amount of work for staff advisor to certify that students have taken four courses on the list of approved courses is minimal. While the faculty advisor assigned to respond to questions about the certificate in any given year will experience a modest increase in advising load, this responsibility will rotate yearly among members of the Institute Advisory board and the volume of work would fall in the realm of regular advising duties.
3. Will additional faculty or staff be required? What is the cost?

No additional faculty will be required. No application is required for the certificate. Minimal staff support for advising will be required. Interested students will only need to identify the courses that they believe meet the certificate requirements and their advisor can certify that they have met the requirements and note this on their transcript upon graduation (e.g. taken four classes on the list of approved courses and that they are in three different disciplines).

4. What faculty and staff development services will be needed?

No additional faculty will be required. Members of the Institute Advisory will serve as the faculty advisors.

5. What impact will enrollments in the certificate program have on student support (GA & TA positions, scholarships, etc.)?

This certificate will not have any impact on student support, GA or TA positions.

6. What technology, media, equipment and instructional supplies are needed to reach these learning outcomes? Are these resources available? What is the estimated cost?

Again, since all of these courses already exist, we do not anticipate that any of these courses will require any additional equipment or instructional supplies. We do provide information on videos that students can access for free via YouTube or on our website: race.unm.edu.

7. Are there any needs for additional or renovated space?

No.

8. What student support services are likely to be needed and to what extent (tutoring, library, IT, advising, etc.)? What is the estimated cost?

There will not be any need for additional student support services beyond those already available to undergraduate students in the student resource center and libraries will be necessary.

9. Provide a rationale for any course fees or other expenses (in addition to tuition) that students will be expected to cover.

Not applicable.
5. Accreditation Plan
   1. How does the program affect any existing accreditation and licensure requirements?

      Not applicable.

   2. If new accreditation is required, describe the accreditation process and the expenses involved

      Not applicable.

6. Additional Information

a. Provide any additional information needed to make the case for development of a full proposal. *(For full proposal, provide any additional information to support the request for the proposed degree program.)*

**EVALUATION AND ASSESSMENT**

Every three years we will send the four student learning outcomes to all instructors teaching courses listed as part of the certificate. We will ask them to voluntarily include questions on EvalKit on these learning outcomes. In addition, every five years the Institute will designate an assessment committee to assess the long-term impact of the certificate program by tracking the types of job placement and substantive work pursued by certificate earners five years after the certificate has been earned. In order to ensure quality control, the student learning outcomes for the certificate will be continually assessed and updated to build on the lesson learned from previous assessments with the overall goal of creating improvements in student success.

**PROPOSED CATALOG NARRATIVE**

Updated 10/31/18

The Race and Social Justice Certificate aims to expose students to a vibrant interdisciplinary community of scholars at the University of New Mexico doing research, teaching and service in the area of race and social justice.

The key student learning outcomes include investigating and interpreting the social construction of race in a given socio-historical context as well as reflecting on the premises, concepts and categories used in different disciplines to conceptualize race and racism. Other major student learning outcomes include cross-disciplinary critical appraisals, investigations and applications of theories of race, racialization, decolonization and social justice across a variety of social domains and institutions.

The certificate is available only to students admitted to an undergraduate degree program, and may not stand alone.
The certificate requires completion of 12 credit hours from a list of approved courses. Up to 6 credit hours may be completed in one department, including a maximum of 3 credit hours of independent study. Courses may double-count with major or elective requirements.

A list of approved courses, and information for the Race and Social Justice faculty and staff advisors, may be found at the Institute for the Study of “Race” and Social Justice Website: race.unm.edu.
The Race and Social Justice Certificate aims to expose students to a vibrant interdisciplinary community of scholars at the University of New Mexico doing research, teaching and service in the area of race and social justice. All students are invited to apply (e.g., STEM, Humanities and Arts, Social Sciences, Health Sciences and all preprofessional programs).

The key student learning outcomes include investigating and interpreting the social construction of race and power in a given socio-historical context as well as reflecting on the premises, concepts and categories used in different disciplines to conceptualize race and institutional/structural racism. Other major student learning outcomes include cross-disciplinary critical appraisals, investigations and applications of theories of race, racialization, decolonization, resistance and social justice across a variety of social domains and institutions.

The certificate is available only to students admitted to an undergraduate degree program, and may not stand alone.

The certificate requires completion of 12 credit hours from a list of approved courses. Up to six credit hours may be completed in one department, including a maximum of three credit hours of independent study. A minimum of six credits must be completed at the upper division (300-level or above). No more than six credits may be lower division classes. Courses may double-count with major or elective requirements.

A list of approved courses, and information for the Race and Social Justice faculty and staff advisors, may be found at the Institute for the Study of “Race” and Social Justice Website: race.unm.edu.
UNM-Los Alamos

- Commitment to serve workforce needs of local and regional community

- Two large employers in the community
  - Los Alamos National Laboratory (LANL)
  - Newport News Nuclear BWX Technologies (N3B)

- Employers interested in providing educational opportunities for both new and incumbent employees
Proposed New Programs

Working with both LANL and N3B, the following programs have been proposed:

- Radiation Control Technician (RCT), Certificate
- Waste Operator Technician, Certificate
- Nuclear Enterprise Science and Technology (NEST), Certificate
- Nuclear Enterprise Science and Technology (NEST), Associate of Applied Science

Note: All three certificate programs can be stacked with the AAS degree.

Radiation Control Technician (RCT) Certificate

- **Rationale:**
  - Provides trained technicians for N3B to meet employment needs
  - Provides students with a university credential and training for a career

- **Potential Students and Expected Workforce Outcomes:**
  - Residents of Northern New Mexico looking to obtain certification in a high demand field
  - Forty trained RCTs within one year

- **Budget Impact:**
  - No impact on department budget
  - No specialized equipment required
  - Workforce Innovation and Opportunity Act (WIOA) and N3B paying tuition
**Waste Operator Technician Certificate**

- **Rationale:**
  - Provides trained technicians for N3B to meet employment needs
  - Provides students with a university credential and training for a career

- **Potential Students and Expected Workforce Outcomes:**
  - Residents of Northern New Mexico looking to obtain qualification in a high demand field
  - Forty trained waste operators within one year

- **Budget Impact:**
  - No impact on department budget
  - No specialized equipment required
  - Workforce Innovation and Opportunity Act (WIOA) and N3B paying tuition

---

**Nuclear Enterprise Science and Technology Certificate**

- **Rationale**
  - Provides trained technicians for LANL to meet anticipated employment needs
  - Provides students with a university credential and training for a career

- **Potential Students and Expected Workforce Outcomes**
  - Residents of Northern New Mexico seeking education and training in Nuclear Enterprise Science and Technology
  - 800 trained nuclear workers within five years, fulfilling local need

- **Budget Impact**
  - No impact on department budget
  - No specialized equipment required
  - LANL has tentatively discussed $125,000 and $150,000 program support for NEST Certificate and Associate programs
  - Tuition reimbursement for employees
Nuclear Enterprise Science and Technology
Associate of Applied Science

• Rationale
  • Stackable credentials from technician certificates (RCT, Waste Operator, and NEST).
  • Provides trained technicians for LANL and N3B to meet anticipated employment needs.
  • Provides students with a university credential and training for a career.

• Potential Students and Expected Workforce Outcomes
  • Residents of Northern New Mexico seeking education and training beyond certificate programs.
  • Employment with LANL, N3B and other local contractors.
  • Job opportunities throughout Department of Energy sites.

• Budget Impact
  • No impact on department budget.
  • No specialized equipment required.
  • LANL has tentatively discussed $125,000 and $150,000 program support for NEST Certificate and Associate programs.
  • Tuition reimbursement for employees.
Nuclear Enterprise Science & Technology
Associate of Applied Science Degree (60 cr)

General Ed & Technical Electives (22)
- Communications (3)
- Mathematics (3)
- Social & Behavioral Sci (3)
- Humanities (3)
- Additional Gen (3)
- Electives (7)

Technical Core (18)
- NFFW 1110 Nucl Facility Fundamentals (5)
- ASFD 1110 Intro to Actinide Sci (5)
- CHEM 1215 General Chem I (3)
- CHEM 1225L General Chem II Lab (1)
- PHYS 1115 Survey of Physics (3)
- PHYS 1115L Survey of Phys Lab (1)

Nucl Material Handler Technician Concentration (LANL)

Nucl Material Handler Technician (20)
- NEST Certificate (also includes NFFW and ASFD from above)
- NFFW 1120: Fissionable Mater. Handler (5)
- NFFW 1120L: Fissionable Mater. Handler Lab (5)
- ASFD 1120: Nucl Mater Process Techniques (5)
- ASFD 1120L: Nucl Mater. Process Lab (5)

= NEST Certificate (30 cr)
= N3B Certificate (10 cr)
= UNM Courses (30-50 cr)

Haz Mat Mngt & Waste Technol Technician Concentration (N3B)

Hazardous Matl Mngt & Waste Technol Technician (20)
- RCT Certificate
- RCTB 1110: Rad Control Tech (9)
- RCTB 1110L Rad Control Tech Lab (1)
- OR
- Nuclear Waste Operator Certificate
- NWOB 1110: Nucl Waste Operator (9)
- NWOB 1110L: Nucl Waste Operator Lab (1)

= BIOL 1140: Biol for Health Sciences (3)
= GEOL 1120: Environmental Geology (3)
= GEOL 1120L: Environmental Geology Lab (1)
= BSTC 1113: Intro to Project Management (1)
= BSTC 1118: Conflict Resolution for Workplace (1)
Form C: Certificate in Radiation Control Technology

UNM Los Alamos is asking permission to create a Certificate in Radiation Control Technology.

Program Description: The UNM-Los Alamos Boot Camp is an intensive twelve-week boot camp non-registered apprenticeship/certificate program training Radiation Control Technicians. As designed, this is a 10-credit hour program that allows students to obtain an academic credential to enter the workforce after twelve intensive weeks of coursework and on-the-job training. The program was designed in partnership with local agencies. Program curriculum is based upon the Department of Energy (DOE) Radiological Control Technician Handbook. Graduates are prepared to take the DOE certification exam in Radiological Control.

Catalog Description: The Certificate in Radiation Control Technology is designed for students who would like to obtain a credential in Radiation Control Technology and are seeking qualification for entry-level work in Radiation Control Technology or plan to continue on to obtain a higher credential in radiation control. The program prepares students to monitor environmental radioactivity levels, respond in emergencies, and to perform decontamination procedures. This is an apprenticeship program. Enrollment into the program is dependent upon acceptance into an approved RCT apprenticeship program with local employers.

Certificate Requirements: This is a technician certificate, focusing upon skills needed to enter the workforce in the Radiation Control field. The program requires: a minimum of 10-credit hours (9-credit hours of coursework and a 1-credit hour lab with field experience). The field experience includes approximately 100 hours of on-the-job training with local radiation control technicians and experts. Program content is based upon Department of Energy Radiological Control Technician Training Handbook. Students completing the program are prepared to take the DOE certification exam and will be prepared to work as radiation control technicians at national facilities. Students should earn a cumulative grade point average of 2.5. Minimum grade of C (not C-) in each Technical Core course.

Specific Degree Requirements:

<table>
<thead>
<tr>
<th>Course Code</th>
<th>Course Title</th>
<th>Credit Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td>RCTB 101</td>
<td>Radiation Control Technician Boot Camp (9 credit hours)</td>
<td>9</td>
</tr>
<tr>
<td>RCTB 101L</td>
<td>Radiation Control Technician Boot Camp Lab/Field Experience (1 credit hour)</td>
<td>1</td>
</tr>
</tbody>
</table>

Total Credit Hours 10 Credit Hours

Program Learning Goals: The Radiation Control Technician Boot Camp program provides students with quality instruction in preparation for successful employment in entry-level radiation control technician positions. The course syllabi include course-learning objectives indicating the skills and behaviors the student should know and be able to perform upon successful completion of the boot camp program. Upon successful completion of the required courses for the RCT boot camp certificate, students will demonstrate:
1. Workplace skills specific to RCT careers.

2. Knowledge of industry standards including monitoring radioactivity levels, and performing decontamination processes.

3. Basic knowledge of rules and procedures to ensure community, personal, and workplace safety.

4. Team-building and communications skills; the basics of a good work ethic; and successful job-seeking strategies.

5. Students will be prepared for the certification exams specific to the industry.

**Assessment:** UNM Los Alamos participates in course assessment, program assessment and program reviews. This certificate program will be subject to course assessments, program assessment and academic program review, along with all other programs at UNM Los Alamos. These program reviews are conducted on a rotating 5-year basis. The in-depth reviews include the annual program assessments but also include financial review, examination of courses, faculty credentials, course rotation schedules and relevancy of the program and courses to current workforce demands and transfer programs. Courses and programs are realigned, eliminated or revised to meet market demand. We will conduct the first review in the second year of the certificate to make initial determinations on the effectiveness of the program. Additionally, instructors in the above listed courses are asked to complete annual course assessment of their learning objectives. We will work with our Assessment coordinator, Dr. Irina Alvestad, to conduct academic program assessment on this program.

**Long-term Planning and Budgetary Impact:** Due to the apprenticeship style program, enrollment will be limited initially to the number of students N3B is able to train and employ. Initially the enrollment will be limited to 5 to 10 students. As the program grows and we identify additional apprenticeship opportunities, we anticipate enrollment increasing. The RCT certificate will be under the Applied Sciences index at UNM-LA. The overall budget for Applied Sciences currently includes salaries for two .5 FTE continuing faculty, one .5 FTE in welding and one in Robotics, one term contract faculty in welding, a welding lab supervisor and adjunct faculty as needed. The budget for this area will be increased to provide additional adjunct faculty as needed to cover any additional courses as the program evolves.
Justification for Adding Certificate in Radiation Control Technology
UNM-Los Alamos Campus

Executive Summary: The proposed certificate program in Radiation Control Technology (RCT) is designed to provide students wishing to enter the workforce in the field of Radiation Control Technology with an academic certificate in the field. This certificate will allow students to enter the workforce as beginning RC technicians after twelve weeks of intensive university level courses (10 credit hours) and on-the job training. The curriculum, designed by the Department of Energy (DOE), as training for all RCTs working in DOE facilities, will also allow students wishing to pursue additional coursework to ladder their credentials and pursue an Associate’s degree in related programs.

Program Description: In response to a request from N3B, the Legacy Cleanup Contractor assigned to Los Alamos, UNM-Los Alamos (in partnership with N3B) has developed an intensive twelve week boot camp non-registered apprenticeship/certificate program training entry-level Radiation Control Technicians. As designed, this is a 10-credit hour program that allows students to obtain an academic credential to enter the workforce after twelve intensive weeks of coursework and on the job training. The program was designed in partnership with N3B and is based upon the urgent need to fill entry level positions for radiation control technicians in northern New Mexico. Both N3B and Los Alamos National Laboratory have expressed urgent needs to fill positions in radiation control. Letters of support from both N3B and Los Alamos National Laboratory are attached.

The academic program curriculum is based upon the U.S. Department of Energy Radiation Control Technician Training modules and consists of meeting in a classroom four days a week for twelve weeks and one day a week on the job training at N3B facilities and job sites for the laboratory portion of the program. Students leave the boot camp style program trained to enter the workforce as entry level radiation control technicians and are prepared to take the DOE RCT certification exam. Additionally, in partnership with N3B, this boot camp is considered a nonregistered apprenticeship program. In consultation with New Mexico State Cabinet Secretary Bill McCamley, UNM-Los Alamos and N3B are pursuing state funding for this apprenticeship program, including WIOA funding for those who qualify. As part of this program, participants are employed by N3B and will receive a wage (greater than $18.50 per hour) to complete this boot camp program. Upon completion of the program, participants begin full-time employment with N3B as entry level RCTs. This students will be paid a living wage while in the program and will see increase in wages when they have completed the program and passed the DOE certification exam. Students in this boot camp commit to one year of employment with N3B in Los Alamos. This program addresses an employment gap in Northern New Mexico at multiple DOE facilities and with N3B. Students who complete the program will be trained for environmental management and cleanup. The program does not require previous nuclear experience.

This program aligns to UNM-LA’s mission to provide “innovative, rigorous, and affordable education opportunities to build essential foundations for transfer, leading-edge career programs, and life-long learning opportunities . . . “ by providing a pathway for a career.
Not every student is ready or desirous to obtain a full associates’ or bachelors’ degree. This certificate will provide an opportunity to obtain an academic credential after only twelve weeks of RCT boot camp and on the job training for those students whose need is to enter the workforce in a more efficient time-frame. This program aligns to UNM Los Alamos’ strategic plan by helping to facilitate progress toward educational objectives (Student Excellence), and developing a program to aid in workforce development (Community Excellence). These goals align with UNM’s mission to provide students with . . . “knowledge and skills that they need to be enlightened citizens, to contribute to the state and national economies and to lead satisfying lives”.

This certificate program is designed to provide students with hands-on skills-based learning techniques in the field of radiation control. This certificate will allow students to enter the workforce as professional RCTs and to complete the national RCT certification exam. This certificate will also allow students wishing to pursue additional coursework to ladder their credentials and pursue an Associate’s degree in related programs, such as Nuclear Technicians. The major goal of the program is to fulfill an urgent community need to fill job vacancies in radiation control.

Catalog Description: The Certificate in Radiation Control Technology is designed for students who would like to obtain a certificate in radiation control technology and are seeking qualification for entry level work in Radiation Control Technology or plan to continue on to obtain a higher degree in radiation control. The program prepares students to monitor environmental radioactivity levels, respond in emergencies, and to perform decontamination procedures.

Program Content: This is a technician certificate, focusing upon skills needed to enter the workforce in the Radiation Control field. The program requires: a minimum of 10 credit hours (Nine credit hours of coursework and one credit hour lab with field experience). The field experience includes approximately 100 hours on the job training with local radiation control technicians and experts. Program content is based upon Department of Energy Radiological Control Technician Training Handbook. Students completing the program are prepared to take the DOE certification exam and will be prepared to work as radiation control technicians at national facilities.

RCTB 101 Radiation Control Technician Boot Camp (9 credit hours)
RCTB 101L Radiation Control Technician Boot Camp Lab (1 credit hour)

Total Credit Hours 10 Credit Hours

Program Learning Goals: The Radiation Control Technician Boot Camp program provides students with quality instruction in preparation for successful employment in entry-level radiation control technician positions. The course syllabi include course-learning objectives indicating the skills and behaviors the student should know and be able to perform upon
successful completion of the boot camp program. Upon successful completion of the required courses for the RCT boot camp certificate, students will demonstrate:

1. Workplace skills specific to RCT careers.
2. Knowledge of industry standards including monitoring radioactivity levels, and performing decontamination processes.
3. Basic knowledge of rules and procedures to ensure community, personal, and workplace safety.
4. Team-building and communications skills; the basics of a good work ethic; and successful job-seeking strategies.
5. Students will be prepared for the certification exams specific to the industry.

**Evidence of Need:** This program is designed to develop skills that will assist students in gaining employment within the State of New Mexico, and nationally, at various DOE facilities and with DOE contractors and subcontractors such as N3B, Los Alamos National Laboratory and Sandia National Laboratory. N3B is planning to hire five to ten RCTs immediately, and indicated a need to hire over forty RCTs for the Los Alamos operations. A routine search for RCT job postings in New Mexico indicates Los Alamos National Laboratory, has job postings for level 2 RCTs (some work experience) at a minimum starting salary of $46,400 to maximum starting salary of $71,400 and level 3 or 4 RCTs needed at a beginning salary between $55,400 and $88,000. Compa Industries (Sub contractor for Los Alamos National Laboratory) is advertising job openings for Radiological Control Technicians; Nuclear Waste Partnership in Carlsbad, New Mexico has active job posting for RCTs. Nationally, postings for RCTs include Richland, Washington, Oak Ridge, Tennessee, Grantsville, Utah, and Idaho Falls, Idaho.

UNM LA has many non-traditional students; the average age of our students is 27. Often, these students are first generation college students, trying to work full or part time while attending school; these students may not have the time or energy to devote to two years of full time course work to obtain an Associate’s degree. A certificate in Radiation Control Technology will allow students to enter the workforce after twelve weeks of intensive college courses and still obtain an academic credential. Adding this certificate will help fulfill the state initiative of increasing the number of citizens with post-secondary awards and will fill an employment gap currently existing in Northern New Mexico. Increasing the number of graduates with a post-secondary certificate will also aid in the Mission: Graduate Program (goal of 60,000 additional graduates by the year 2020)\(^1\). This certificate will provide students with an option to earn a certificate and enter the workforce with a credential; this will allow for higher paying employment and reduce the need to leave the state for job opportunities. Many of our students are adults who have already earned other degrees, but who want to add the credentials that are specific to Radiation Control Technology.

UNM Los Alamos has partnered with N3B, to develop this non-registered apprenticeship/certificate program. Additionally, UNM-Los Alamos works closely with recruiters and managers at Los Alamos National Laboratory to determine regional workforce

---

needs. This program will address the needs of students to maintain income while attending school and trains the students with an employable skill. The program benefits the greater Northern New Mexico region by providing much needed Radiation Control Technicians to meet the employment needs of national labs and DOE contractors.

**Other Programs:** No other HEI within commuting/driving distance of Los Alamos offers a boot camp style non-registered apprenticeship certificate program in Radiation Control Technology. Northern New Mexico College offers a 30 credit hour year-long certificate in Radiation Control Technology and a two-year Associate of Applied Science in Radiation Control Technology. One other institution in New Mexico (New Mexico Junior College), offers an RCT program. However, this institution is not within commuting distance of Los Alamos. Nationally, College of Eastern Idaho, Aiken Community College and Lakeshore Community college also offer RCT training programs.

**Rationale:** The rationale for offering a Radiation Control Technician certificate program at UNM-Los Alamos is multi-faceted. First, we are a community college that strives to meet the needs of our students and our local community. Our community partners, N3B and Los Alamos National Laboratory, have indicated an urgent need for trained radiation control technicians in this area. Adding an apprenticeship/ boot camp style certificate program provides an opportunity for students to obtain an academic credential while learning an employable skill and a pathway for entry into the workforce. This program also addresses basic financial needs of students by paying them a living wage (N3B) while they attend class.

The average age of UNM-LA students is 27, and eighty percent of our students are part-time, with employment and family obligations that prevent them from relocating for educational purposes. These students are looking for education and employment within their own community. By offering the certificate locally, we meet the needs of our student and local populations. Our students need programs in the local area that will allow them to pursue educational objectives while working. Workforce training programs such as this will help retain talent in the local community.

An additional rationale for offering a Radiation Control Technician program in Los Alamos is our connection to Los Alamos National Lab and N3B. The UNM- Los Alamos RCT Boot camp program is unique in the state due to our connection with N3B. The course instructor is a certified Radiation Control Technician, currently working with N3B. Our students will graduate with skills that meet national radiation control specifications and will be prepared to take the national DOE certification exam. These additional skills will increase the graduates’ knowledge and therefore increase the probability of employment in the local area.

This program also aligns with New Mexico Workforce Solutions Secretary Bill McCamley’s initiatives to design and implement apprenticeship type programs in the state of New Mexico.
Finally, the State of New Mexico has insufficient supply of trained Radiation Control Technicians to meet the employer demand for these positions. The number of job openings around the state indicates that the supply of trained RCTs is insufficient to meet demand. However, adding this certificate will enable those students to meet their educational and workforce goals.

**Institutional Readiness:** UNM Los Alamos has partnered with N3B to create this boot camp certificate program. Students will focus on the academic/classroom portion of the program on UNM-LA campus, four days per week, for twelve weeks. Students will spend one day per week of the twelve week program with N3B mentors, working one on one at the N3B facilities, in an apprenticeship type program. No other university resources will be required. Instructors will be teaching from the DOE Radiation Control Technician Handbook, using materials prepared by the DOE for the purpose of training Radiation Control Technicians to work in DOE facilities. The Handbook includes basic math and communication skills as well as technical training for the field work.

**Facilities:** All field work/laboratory training will occur off site during the apprenticeship portion of the program. No lab facilities will be needed on campus. Standard classroom facilities and supplies will be provided to the class instructor. We do not anticipate the need for additional equipment or space in the first five years of the program, as we plan to use the facilities currently in place. The class will not be using consumable supplies, therefore, no course fees are anticipated.

**Evaluation and Assessment:** UNM Los Alamos participates in course assessment, program assessment and program reviews. This certificate program will be subject to course assessments, program assessment and academic program review, along with all other programs at UNM Los Alamos. These program reviews are conducted on a rotating 5-year basis. The in-depth reviews include the annual program assessments but also include financial review, examination of courses, faculty credentials, course rotation schedules and relevancy of the program and courses to current workforce demands and transfer programs. Courses and programs are realigned, eliminated or revised to meet market demand. We will conduct the first review in the second year of the certificate to make initial determinations on the effectiveness of the program. Additionally, instructors in the above listed courses are asked to complete annual course assessment of their learning objectives. We will work with our Assessment coordinator, Dr. Irina Alvestad, to conduct academic program assessment on this program.

**Required Resources:** Adding this program will not require additional resources from UNM Los Alamos. As part of the partnership agreement with N3B, N3B will be covering the cost of the instructor.

**Projected Enrollment and Costs:** Due to the apprenticeship style program, enrollment will be limited initially to the number of students N3B is able to train and employ. Initially the enrollment will be limited to five to ten students. As the program grows and we identify additional apprenticeship opportunities, we anticipate enrollment increasing.
The RCT certificate will be housed under the Applied Sciences index at UNM-LA. The overall budget for Applied Sciences currently includes salaries for two .5 FTE continuing faculty, one .5 FTE in Welding and one in Robotics, one term contract faculty in welding, a welding lab supervisor and adjunct faculty as needed. The budget for this area will be increased to provide additional adjunct faculty as needed to cover any additional courses.
RCT Boot Camp Program Proposal, Addendum
Program Alignment with DOE Standards

In designing this RCT Boot camp program, Department Of Energy guidelines/standards were considered and incorporated into the program design. This program is a partnership between N3B and UNM-Los Alamos.

Primary standards as set forth by the DOE are listed and addressed below.

*DOE standard requires "Instructor Training and Qualification"; instructors are to be appropriately qualified.*

N3B will provide qualified, experienced Radiation Control Technicians as instructors, subject to approval by Dean of Instruction at UNM-Los Alamos. The Dean of Instruction will review the resumes, work experience, education, certifications, and background of suggested instructors and verify the appropriate qualifications. If the instructor meets qualifications for teaching in the RCT program, a Letter of Academic Title will be issued to the instructor.

*The DOE curriculum is divided into phases. The Academic phase is "phase I". The academic part of the training typically requires 240 hours of classroom instruction.*

Minimum Math Skills required: Prior to being accepted into the program, applicants will take the Accuplacer and must test to at least the Intermediate Algebra level to be admitted into the program.

The proposed boot camp program is a 10 credit hour program, with 1 credit hour lab/field experience and 9 credit hours of classroom work. However, the actual contact hours in the classroom and on the job training far exceed the academic credit hours.

The 9 credit hour in-class portion meets four days a week for eight hours a day for twelve weeks. This schedule creates 384 hours of actual in-class instruction on the topic of Radiation Control. Additionally, students are assigned two hours of out of class work for each credit hour per week, or a minimum of eighteen hours of out of class/homework/reading etc per week for the twelve weeks, or 216 hours of out of class assignments in the subject matter. Combined, this creates 600 hours of exposure to the content.

*Phase II is practical training*
The field experience/on the job training is also significantly higher for actual hours than academic credit hours. For the field experience/on the job training portion of this program, participants will train at N3B for one week (40 hours) prior to class beginning and eight hours per week for the next twelve weeks for a minimum of 136 hours of on the job training.

*Phase III consists of Oral Boards*
This phase will occur after students have completed their academic coursework and first twelve weeks of on the job training. After they complete the program, students will work with their employer, N3B to participate in the oral boards.
The required examinations are specified by the DOE. LANL has a system of examinations that meet the DOE standards.

N3B has an agreement with LANL to share materials, including exams. N3B will verify that their employees are tested appropriately.
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating Expenses</td>
<td>$550</td>
<td>$550</td>
<td>$550</td>
<td>$550</td>
<td>$550</td>
</tr>
<tr>
<td>Faculty Salaries</td>
<td>$50,245.60 total for department $0 of this amount is for RCT faculty. Program is partnership with N3B. N3B providing faculty.</td>
<td>$50,245.60 total for department $0 of this amount is for RCT faculty. Program is partnership with N3B. N3B providing faculty.</td>
<td>$50,245.60 total for department $0 of this amount is for RCT faculty. Program is partnership with N3B. N3B providing faculty.</td>
<td>$50,245.60 total for department $0 of this amount is for RCT faculty. Program is partnership with N3B. N3B providing faculty.</td>
<td>$50,245.60 total for department $0 of this amount is for RCT faculty. Program is partnership with N3B. N3B providing faculty.</td>
</tr>
<tr>
<td>Staff Salary</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>TPT Salaries</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>Total I&amp;G Budget</td>
<td>$50,245.60</td>
<td>$50,245.60</td>
<td>$50,245.60</td>
<td>$50,245.60</td>
<td>$50,245.60</td>
</tr>
<tr>
<td>Changes to current allocation of funds</td>
<td>N3B is partnering with UNM-LA to provide faculty and on-the job training for these students. Currently this program is part of an unregistered apprenticeship program. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students.</td>
<td>N3B is partnering with UNM-LA to provide faculty and on-the job training for these students. Currently this program is part of an unregistered apprenticeship program. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students.</td>
<td>N3B is partnering with UNM-LA to provide faculty and on-the job training for these students. Currently this program is part of an unregistered apprenticeship program. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students.</td>
<td>N3B is partnering with UNM-LA to provide faculty and on-the job training for these students. Currently this program is part of an unregistered apprenticeship program. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students.</td>
<td>N3B is partnering with UNM-LA to provide faculty and on-the job training for these students. Currently this program is part of an unregistered apprenticeship program. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students.</td>
</tr>
<tr>
<td>External resources/funds</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Anticipated tuition</td>
<td>To be determined. Current UNM –LA tuition for 10 credit hours is $875.</td>
<td>To be determined. Current UNM –LA tuition for 10 credit hours is $875.</td>
<td>To be determined. Current UNM –LA tuition for 10 credit hours is $875.</td>
<td>To be determined. Current UNM –LA tuition for 10 credit hours is $875.</td>
<td>To be determined. Current UNM –LA tuition for 10 credit hours is $875.</td>
</tr>
<tr>
<td>Anticipated course fees (with rationale)</td>
<td>N/A Course fees typically cover consumable materials for the class. At this point, no consumable materials are required.</td>
<td>N/A Course fees typically cover consumable materials for the class. At this point, no consumable materials are required.</td>
<td>N/A Course fees typically cover consumable materials for the class. At this point, no consumable materials are required.</td>
<td>N/A Course fees typically cover consumable materials for the class. At this point, no consumable materials are required.</td>
<td>Requesting Certificate to be added Fall 2019.</td>
</tr>
</tbody>
</table>
Form C: Certificate in Nuclear Waste Operator

Program Description: The UNM-Los Alamos Boot Camp certificate program is an intensive twelve-week boot camp non-registered apprenticeship/qualification program training Nuclear Waste Operators. As designed, this is a 10-credit hour certificate program that allows students to obtain an academic credential to enter the workforce after completion of coursework and on-the-job training. The program was designed in partnership with local agencies to fulfill a local workforce need. Program curriculum is designed to meet the training and qualification requirements for positions at nuclear facilities in accordance with DOE Hazard Category 2 Nuclear Facilities Order 426.2.

Graduates are prepared to take a comprehensive exam for qualified operators. This credential represents successful completion of a course of studies related to the field of Nuclear Waste Operations. It may be used as a terminal credential with subsequent entrance into the work force, or it may form the basis for additional course work leading to an Associate of Applied Science degree in Nuclear Enterprise Science and Technology that is currently being developed, or in other fields.

Catalog Description: The Certificate in Nuclear Waste Operators is designed for students who are seeking to obtain the skills necessary to qualify as entry-level Nuclear Waste Operators or plan to continue on to obtain a higher degree in nuclear waste operations. This apprenticeship program also prepares participants to work in disposing of hazardous materials. Enrollment into the program is dependent upon acceptance into an approved Nuclear Waste Operators apprenticeship program with local employers.

Certificate Requirements: A minimum of 10 credit hours (Nine credit hours of coursework and one credit hour lab with field experience) with a minimum grade point average of 2.7. Students must earn a minimum grade of B- (not C) in each Technical Core course. The field experience includes approximately 100 hours of on-the-job training with local nuclear waste operators and experts.

Technical Course Requirements:
NWOB 1110 Nuclear Waste Operator Boot Camp (9 credit hours)
NWOB 1110L Nuclear Waste Operator Boot Camp Lab/Field Experience (1 credit hour)

Total Credit Hours 10 Credit Hours

Program Learning Goals: The Nuclear Waste Operator Boot Camp program provides students with quality instruction in preparation for successful employment in entry-level nuclear waste operator positions. The course syllabi include course-learning objectives indicating the skills and behaviors the student should know and be able to perform upon successful completion of the boot camp program. Upon successful completion of the required courses for the Nuclear Waste Operators boot camp certificate, students will demonstrate:
1. Workplace skills specific to Nuclear Waste Operators careers.
2. Knowledge of industry standards including handling and disposing of hazardous materials.
3. Basic knowledge of rules and procedures to ensure community, personal, and workplace safety.
4. Team-building and communications skills; the basics of a good work ethic; and successful job-seeking strategies.
5. Students will be prepared for a comprehensive exam specific to the industry.

Assessment: UNM-Los Alamos (UNM-LA) participates in course assessment, program assessment and program reviews. This certificate program will be subject to course assessments, program assessment, and academic program review, along with all other programs at UNM-LA. These program reviews are conducted on a rotating 5-year basis. The in-depth reviews include the annual program assessments but also include financial review, examination of courses, faculty credentials, course rotation schedules and relevancy of the program and courses to current workforce demands and transfer programs. Courses and programs are realigned, eliminated or revised to meet market demand. We will conduct the first review in the second year of the certificate to make initial determinations on the effectiveness of the program. Additionally, instructors in the above listed courses are asked to complete annual course assessment of their learning objectives. We will work with our Assessment Coordinator to conduct academic program assessment on this program.

Long-term Planning and Budgetary Impact: Due to the apprenticeship style program, enrollment will be limited initially to the number of students Newport News Nuclear BWX Technologies (N3B) is able to train and employ. Initially the enrollment will be limited to 5 to 10 students. As the program grows and we identify additional apprenticeship opportunities, we anticipate enrollment increasing. The Nuclear Waste Operators certificate will be housed under the Applied Sciences index at UNM-LA. The overall budget for Applied Sciences currently includes salaries for two .5 FTE continuing faculty, one .5 FTE in welding and one in Robotics, a shop supervisor and adjunct faculty as needed. The budget for this area will be increased to provide additional adjunct faculty as needed to cover any additional courses.
Justification for Adding Certificate in Nuclear Waste Operator
UNM-Los Alamos Campus

Executive Summary: The proposed certificate program in Nuclear Waste Operator (NWO) is designed to provide students wishing to enter the workforce in the field of Nuclear Waste Operations with a technical-vocational certificate in the field from an academic institution. This certificate will allow students to enter the workforce as beginning nuclear waste operators after twelve weeks of intensive university level courses (10 credit hours) and on-the-job training (OJT). The academic program curriculum is designed to meet the training and qualification requirements for positions at nuclear facilities in accordance with DOE Hazard Category 2 Nuclear Facilities Order 426.2.

This program may be used as a terminal credential with subsequent entrance into the workforce, or it may form the basis for additional coursework leading to an Associate of Applied Science degree in Nuclear Enterprise Science and Technology that is currently being developed or in other fields.

Program Description: In response to a request from the legacy cleanup contractor, Newport News Nuclear BWX Technologies LLC (N3B) assigned to Los Alamos, partnered with UNM-Los Alamos (UNM-LA) to develop an intensive twelve-week boot camp non-registered apprenticeship/certificate program training entry-level Nuclear Waste Operators. As designed, this is a 10-credit hour program that allows students to obtain an academic credential to enter the workforce after twelve intensive weeks of coursework and OJT. The program is based upon the urgent need to fill entry-level positions for nuclear waste operators in northern New Mexico. Both N3B and Los Alamos National Laboratory (LANL) have expressed urgent needs to fill positions in nuclear waste operations. A letter of support from N3B is included in the full justification. Upon completion of the program, students will be qualified to work as waste operators under DOE Order 426.2 “Personnel Selection, Training, Qualification, and Certification Requirements for DOE Nuclear Facilities.”

The academic program curriculum is designed to meet the training and qualification requirements for positions at nuclear facilities in accordance with DOE Hazard Category 2 nuclear facilities Order 426.2.

The course structure consists of meeting in a classroom 32 hours per week for twelve weeks and 8 hours a week for OJT at N3B facilities and job sites for the laboratory portion of the program. Students leave the boot camp style program trained to enter the workforce as entry-level nuclear waste operators and are prepared to take a comprehensive exam for qualified operators. Additionally, in partnership with N3B, this boot camp is considered a nonregistered apprenticeship program. In consultation with New Mexico State Cabinet Secretary Bill McCamley, UNM-LA and N3B are pursuing state funding for this apprenticeship program, including Workforce Innovation and Opportunity Act (WIOA) funding for those who qualify. As part of this program, participants are employed by N3B and will receive a wage (greater than $18.50 per hour) to complete this boot camp program. Upon successful completion of the
program, participants continue full-time employment with N3B as entry level NWOs. These students will be paid a living wage while in the program and will see increase in wages when they have completed the program and passed a comprehensive exam for qualified operators. Students in this boot camp commit to one year of employment with N3B in Los Alamos. This program addresses an employment gap in Northern New Mexico at multiple DOE facilities and with N3B. Students who complete the program will be trained to handle and dispose of hazardous materials. The program does not require previous nuclear experience.

This program aligns to UNM-LA’s mission to provide “innovative, rigorous, and affordable education opportunities to build essential foundations for transfer, leading-edge career programs, and life-long learning opportunities . . . “ by offering a pathway for a career.

Not every student is ready or desirous to obtain a full associates’ or bachelors’ degree. This certificate will provide an opportunity to obtain an academic credential after only twelve weeks of Nuclear Waste Operator boot camp and OJT for those students whose need is to enter the workforce in a more efficient time frame. This program aligns with UNM-LA’s strategic plan by helping to facilitate progress toward educational objectives (Student Excellence), and developing a program to aid in workforce development (Community Excellence). These goals align with UNM’s mission to provide students with . . . “knowledge and skills that they need to be enlightened citizens, to contribute to the state and national economies and to lead satisfying lives.”

This certificate program is designed to provide students with hands-on skills-based learning techniques in the field of Nuclear Waste Operations. This certificate will allow students wishing to pursue additional coursework to ladder their credentials and pursue an Associate’s degree in related programs, such as Nuclear Technicians. The major goal of the program is to fulfill an urgent community need to fill job vacancies in nuclear waste operations.

**Catalog Description:** The Certificate in Nuclear Waste Operators is designed for students who are seeking to obtain the skills necessary to qualify as entry-level Nuclear Waste Operators or plan to continue on to obtain a higher degree in nuclear waste operations. This apprenticeship program also prepares participants to work in disposing of hazardous materials. Enrollment into the program is dependent upon acceptance into an approved Nuclear Waste Operators apprenticeship program with local employers.

**Program Content:** This is a technician certificate, focusing upon skills needed to enter the workforce in the Nuclear Waste Operations field. The program requires: a minimum of 10 credit hours (Nine credit hours of coursework and one credit hour lab with field experience) with a minimum grade point average of 2.7. Students must earn a minimum grade of B- (not C) in each Technical Core course. The field experience includes approximately 100 hours of on the job training with local nuclear waste operators and experts.

**Technical Course Requirements:**
NWOB 1110 Nuclear Waste Operator Boot Camp (9 credit hours)
NWOB 1110L Nuclear Waste Operator Boot Camp Lab/Field Experience (1 credit hour)

Total Credit Hours 10 Credit Hours

The Nuclear Waste Operator Boot Camp program provides students with quality instruction in preparation for successful employment in entry-level nuclear waste operator positions. The course syllabi include course-learning objectives indicating the skills and behaviors the student should know and be able to perform upon successful completion of the boot camp program.

Upon successful completion of the required courses for the Nuclear Waste Operator boot camp certificate, students will demonstrate:
1. Workplace skills specific to Nuclear Waste Operators careers.
2. Knowledge of industry standards including identifying and disposing of hazardous materials.
3. Basic knowledge of rules and procedures to ensure community, personal, and workplace safety.
4. Team-building and communications skills; the basics of a good work ethic; and successful job-seeking strategies.
5. Students will be prepared for a comprehensive exam specific to the industry.

Evidence of Need: This program is designed to develop skills that will assist students in gaining employment within the State of New Mexico, and nationally at various DOE facilities, and with DOE contractors and subcontractors such as N3B, LANL, and Sandia National Laboratory. There is a high demand for NWOs at DOE Environmental Management and National Nuclear Security Administration sites like Los Alamos. N3B needs 40 trained NWOs over the next 20 months, and, with attrition and expanding mission, will need even more as time progresses.

Someone with this qualification can expect to obtain employment as Waste Handler Technician, Waste Handler, Waste Operator, Waste Specialist, and any variation of a Hazardous Waste Technician in a nuclear or radiological environment. All Department of Energy facilities that generate, handle, or dispose of nuclear waste need these skills. This apprentice will start at $18.90 an hour ($39,312.00 annually) with the possibility of increasing to ~$23.00 an hour ($46,800.00 annually) when fully qualified.

UNM-LA has many non-traditional students; the average age of our students is 27. Often, these students are first-generation college students, trying to work full or part time while attending school; these students may not have the time or energy to devote to two years of full-time course work to obtain an Associate’s degree. A certificate in Nuclear Waste Operators will allow students to enter the workforce after twelve weeks of intensive college courses and still obtain an academic credential. Adding this certificate will help fulfill the state’s initiative of increasing the number of citizens with post-secondary awards and will fill an employment gap currently existing in Northern New Mexico. Increasing the number of graduates with a post-
secondary certificate will also aid in the *Mission: Graduate Program* (goal of 60,000 additional graduates by the year 2020)\(^1\). This certificate will provide students with an option to earn a certificate and enter the workforce with a credential; this will allow for higher paying employment and reduce the need to leave the state for job opportunities. Many of our students are adults who have already earned other degrees, but who want to add the credentials that are specific to Nuclear Waste Operators.

UNM-LA has partnered with N3B, to develop this non-registered apprenticeship/certificate program. Additionally, UNM-LA works closely with recruiters and managers at LANL to determine regional workforce needs, which is a provision in the UNM Catalog for offering certificate program of this type that require fewer than 30 credit hours. This program will address the needs of students to maintain income while attending school and trains the students with employable skills. The program benefits the greater Northern New Mexico region by providing much-needed Nuclear Waste Operators to meet the employment needs of national labs and DOE contractors.

**Other Programs:** No other HEI within commuting/driving distance of Los Alamos offers a boot-camp-style non-registered apprenticeship/certificate program for NWOs. Northern New Mexico College offers programs in Radiation Protection (certificate and AAS) as well as an AAS and BS in Environmental Science. The certificate in Radiation Protection is a 32-hour program that does not specifically cover nuclear waste processing or handling.

ENMU-Roswell offers two programs in related fields: a Certificate of Employability for Certified Occupational Safety and Environmental Technician and an Occupational Safety Engineering and Environmental Management Technologies A.A.S. The 16-hour Certificate of Employability for Certified Occupational Safety and Environmental Technician focuses on “the knowledge and experience workers have in running a health and safety program with the inclusion of environmental management duties. This course of study includes practical applications to regulatory problems and real-world experience in working within a team to complete environmental studies.” The Occupational Safety Engineering and Environmental Management Technologies A.A.S. has defined outcomes of “(a) Demonstrate that they can utilize research and evidence based practice to drive problem solving and integrate value-added practical solutions into organizational goals while meeting OSH performance measures for effective / continual improvement; (b) Apply Professional Communication through effective interaction through training of stakeholders, fellow students, and or faculty, fostering mutual respect, responsible business practices, and shared decision-making to enhance worker health and safety; (c) Demonstrate the ability to identify, apply, and integrate responsible business practices utilizing risk management techniques while conserving asset resources; (d) Demonstrate the ability to develop, articulate and execute a business case for protecting the company’s internal and external assets, employees, stakeholders and the community; (e) Utilize

---

Informatics and Data Analysis techniques to make informed data-driven decisions about occupational safety and health threats and hazards; (f) Display the ability to lead and influence the behaviors of individuals, systems, and workgroups in a way that facilitates the achievement of shared corporate goals; and, (g) Identify and distinguish legal, moral, and sustainability principles relevant to the OSH profession.

Neither New Mexico college/university offers a program that is the same as that proposed by UNM-LA and N3B.

**Rationale:** The rationale for offering a Nuclear Waste Operator certificate program at UNM-LA is multi-faceted. First, we are a community college that strives to meet the needs of our students and our local community. The UNM Catalog provides for certificate programs of this type that require fewer than 30 credit hours, to fulfill a local workforce need. Our community partners, N3B and LANL, have indicated an urgent need for trained nuclear waste operators in this area. Adding an apprenticeship/boot camp-style certificate program provides an opportunity for students to obtain an academic credential while learning employable skills and a pathway for entry into the workforce. This program also addresses basic financial needs of students by paying them a living wage (N3B) while they attend class.

The average age of UNM-LA students is 27, and eighty percent of our students are part-time, with employment and family obligations that prevent them from relocating for educational purposes. These students are looking for education and employment within their own community. By offering the certificate locally, we meet the needs of our student and local populations. Our students need programs in the local area that will allow them to pursue educational objectives while working. Workforce training programs such as this will help retain talent in the local community.

An additional rationale for offering a Nuclear Waste Operator program in Los Alamos is our connection to LANL and N3B. The UNM-LA Nuclear Waste Operators Boot camp program is unique in the state due to our connection with N3B. The course instructors will be N3B employees and SMEs in their fields and will have the qualifications to serve as instructors to teach the material. Students will graduate with skills that meet national nuclear waste specifications and will be prepared to take a comprehensive exam for qualified operators. These additional skills will increase the graduates' knowledge and therefore increase the probability of employment in the local area.

This program also aligns with New Mexico Workforce Solutions Secretary Bill McCamley's initiatives to design and implement apprenticeship type programs in the state of New Mexico. The State of New Mexico has insufficient supply of trained Nuclear Waste Operators to meet the employer demand for these positions. The number of job openings around the state indicates that the supply of trained Nuclear Waste Operators is insufficient to meet demand. However, adding this certificate will enable those students to meet their educational and workforce goals.
**Institutional Readiness:** UNM-LA has partnered with N3B to create this boot camp certificate program. Students will focus on the academic/classroom portion of the program on UNM-LA campus, 32 hours per week, for twelve weeks. Students will spend 8 hours a week of the twelve-week program with N3B mentors, working one on one at the N3B facilities, in an apprenticeship type program. No other university resources will be required. Instructors will be teaching using materials designed to meet the training and qualification requirements for the Waste Operator position in accordance with DOE Hazard Category 2 Nuclear Facilities Order 426.2.

**Facilities:** All field work/laboratory training will occur off site during the apprenticeship portion of the program. No lab facilities will be needed on campus. Standard classroom facilities and supplies will be provided to the class instructor. We do not anticipate the need for additional equipment or space in the first five years of the program, as we plan to use the facilities currently in place. The class will not be using consumable supplies, therefore, no course fees are anticipated.

**Evaluation and Assessment:** UNM Los Alamos participates in course assessment, program assessment and program reviews. This certificate program will be subject to course assessments, program assessment, and academic program review, along with all other programs at UNM-LA. These program reviews are conducted on a rotating 5-year basis. The in-depth reviews include the annual program assessments but also include financial review, examination of courses, faculty credentials, course rotation schedules, and relevancy of the program and courses to current workforce demands and transfer programs. Courses and programs are realigned, eliminated, or revised to meet market demand. We will conduct the first review in the second year of the certificate to make initial determinations on the effectiveness of the program. Additionally, instructors in the above listed courses are asked to complete annual course assessment of their learning objectives. We will work with our Assessment Coordinator to conduct academic program assessment on this program.

**Required Resources:** Adding this program will not require additional courses to be offered at from UNM-LA. As part of the partnership agreement with N3B, N3B will be covering the cost of the instructor.

**Projected Enrollment and Costs:** Due to the apprenticeship style program, enrollment will be limited initially to the number of students N3B is able to train and employ. Initially the enrollment will be limited to five to ten students. As the program grows and we identify additional apprenticeship opportunities, we anticipate enrollment increasing.

The Nuclear Waste Operators certificate will be housed under the Applied Sciences index at UNM-LA. The overall budget for Applied Sciences currently includes salaries for two .5 FTE continuing faculty, one .5 FTE in Welding and one in Robotics, a shop supervisor and adjunct faculty as needed. The budget for this area will be increased to provide additional adjunct faculty as needed to cover any additional courses.
Date: OCT 03 2019

Sharon K. Hurley, Ph.D., CPA
Dean of Instruction
UNM-Los Alamos
4000 University Drive
Los Alamos, NM 87544

Subject: Workforce Development and Job Training Opportunities

Dear Dr. Hurley:

I am writing to express my appreciation to the University of New Mexico-Los Alamos (UNM-LA) for its participation in the new, innovative waste processing operator certification program during calendar year 2020.

Newport News Nuclear BWXT-Los Alamos, LLC (N3B), a limited liability company owned by HII Nuclear (a division of Huntington Ingalls Industries [HII]) and BWXT Technologies, Inc., brings operational discipline, proven approaches, and predictable results to the $1.38 billion, 10-year Los Alamos Legacy Cleanup Contract at Los Alamos National Laboratory.

N3B needs a fast-track method to qualify waste processing operators (WPOs) to meet legacy cleanup commitments under our contract. N3B’s primary focus is to recruit candidates for the WPO certification program from the northern New Mexico region. Our partnership with UNM-LA is uniquely positioned to create jobs benefitting local communities. The 12-week program will become a repeatable, sustainable way to meet the high demand for WPOs on a recurring basis.

We look forward to working with UNM-LA on this essential certificate program and to collaborating further on meaningful workforce development and job training opportunities.

If you have any questions or need additional information, please contact me at (505) 551-2900 (dorian.newton@em-la.doe.gov).

Sincerely,

[Signature]

Dorian G. Newton, DEng
Director, Technical Services

cc: (date-stamped letter mailed)
Lee Bishop, EM-LA
Selena Fox, EM-LA
Sarah Eli Gilbertson, EM-LA
Cristopher Hall, EM-LA
Kara Hetrick, EM-LA
Jessica Moseley, EM-LA
<table>
<thead>
<tr>
<th>Name of Program: Certificate in Nuclear Waste Operator: UNM Los Alamos</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Operating Expenses</strong></td>
</tr>
<tr>
<td><strong>2019-2020 YEAR 1</strong></td>
</tr>
<tr>
<td>Operating Expenses</td>
</tr>
<tr>
<td>Faculty Salaries</td>
</tr>
<tr>
<td>Staff Salary</td>
</tr>
<tr>
<td>TPT Salaries</td>
</tr>
<tr>
<td><strong>Total I&amp;G Budget</strong></td>
</tr>
<tr>
<td><strong>Changes to current allocation of funds</strong></td>
</tr>
<tr>
<td><strong>External resources/funds</strong></td>
</tr>
<tr>
<td>Anticipated course fees (with rationale)</td>
</tr>
<tr>
<td>-----------------------------------------</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

Requesting Certificate to be added Fall 2019.
Form C: Certificate in Nuclear Enterprise Science and Technology

UNM Los Alamos proposes the creation of a Certificate in Nuclear Enterprise Science and Technology.

**Program Description:** The UNM-Los Alamos Nuclear Enterprise Science and Technology (NEST) program is an intensive thirty-two-week certificate program training technicians and technologists in fissionable material handling and glove box operation. As designed, this is a 30-credit hour program that allows students to obtain an academic credential to enter the workforce after one year of coursework and on-the-job training (OJT). The program was designed in partnership with Los Alamos National Laboratory. Program curriculum is based upon various Department of Energy (DOE) documents that address glovebox use and the handling of fissionable materials.

**Catalog Description:** This certificate program is designed to provide students with the skills and experience to qualify for entry-level positions in nuclear facilities as Fissionable Material Handlers and/or Glovebox Operators. This certificate will also allow students wishing to pursue further education to ladder their credentials with additional coursework to acquire an Associate of Applied Science degree in an advanced program. The goal of the program is to provide for a technically qualified workforce who can execute a variety of programmatic work in modern nuclear materials handling and processing facilities.

**Certificate Requirements:** This is a technician or technologist certificate, focusing upon skills needed to work within a nuclear materials handling and processing facility as a Fissionable Materials Handler and/or a Glovebox Operator with the ability to work with radioactive materials, particularly plutonium, in support of manufacturing missions in the national security interest. The courses can be completed over the course of two full-time semesters for a combined 30 credit hours.

The program requires: a minimum of 30-credit hours (20-credit hours of coursework and 10-credit hours of Laboratory on-the-job-training courses with nuclear facility experience). The laboratory experience includes approximately 256 hours (16 hrs/week for 16 weeks) of on-the-job training with local fissionable material operators and LANL nuclear material subject matter experts. The program content is based upon various Department of Energy (DOE) documents that address glovebox use and the handling of fissionable materials. Students must earn a cumulative grade point average of 2.5. Minimum grade of C (not C-) in each Technical Core course.

**Pre-requisite**
Satisfactory score on placement tests for writing, reading, and mathematics or completion of ENGL 1110X and Math 012 with a grade of CR.
Instructor permission
Specific Degree Requirements:

_Nuclear Facility Work (15 credits)_
NFFW 1110: Nuclear Facility Fundamentals (5 Credit Hours)
NFFW 1120: Fissionable Material Handler (5 Credit Hours)
NFFW 1120L: Nuclear Facility Lab (5)

_Actinide Science Fundamentals (15 credits)_
ASFD 1110: Introduction to Actinide Science (5 Credit Hours)
ASFD 1120: Nuclear Materials Process Techniques (5 Credit Hours)
ASFD 1120L: Nuclear Materials Processing Lab (5)

Total Credit Hours 30 Credit Hours

Program Learning Goals: The Nuclear Enterprise Science and Technology program provides students with quality instruction in preparation for successful employment in entry-level technician and technologist positions working as a fissionable material handler and/or a glovebox operator in a nuclear materials handling and processing facility. Certificate holders may expect to find employment opportunities with the national laboratories working with radioactive nuclear materials in support of programmatic manufacturing missions that support U.S. national security.

Upon successful completion of the required courses for the NEST certificate, students will demonstrate:

1) Workplace skills specific to radioactive and nuclear materials handling and processing;
2) Knowledge of industry regulations and requirements as part of the nuclear enterprise;
3) Basic knowledge of processes, procedures and formality of operations required to safely and securely work with radioactive nuclear materials;
4) Team building and communication skills necessary to work in a multidisciplinary high-hazard environment.

Assessment: UNM Los Alamos participates in course assessment, program assessment and program reviews. This certificate program will be subject to course assessments, program assessment and academic program review, along with all other programs at UNM Los Alamos. These program reviews are conducted on a rotating 5-year basis. The in-depth reviews include the annual program assessments but also include financial review, examination of courses, faculty credentials, course rotation schedules and relevancy of the program and courses to current workforce demands and transfer programs. Courses and programs are realigned, eliminated or revised to meet market demand. The first review will be conducted in the second year of the certificate to make initial determinations on the effectiveness of the program. Additionally, instructors in the above listed courses are asked to complete annual course assessment of their learning objectives. We will work with the Assessment coordinator to conduct academic program assessment on this program.

Long-term Planning and Budgetary Impact: Due to the apprenticeship style program, enrollment will be limited to cohorts of 30-40 students per semester. The NEST certificate will be under the Applied Sciences index at UNM-LA. The faculty members necessary to teach the
courses will be provided by Los Alamos National Laboratory. Courses will be taught in UNM-LA or Los Alamos National Laboratory classrooms, and on-the-job Laboratory experience will be fulfilled in Los Alamos National Laboratory nuclear facilities.
Justification for Adding Certificate Degree in Nuclear Enterprise Science and Technology (NEST) University of New Mexico – Los Alamos Campus

Executive Summary
The proposed certificate program in Nuclear Enterprise Science and Technology (NEST) is developed to enhance the training and education of technicians, technologists and other technical staff in the handling of special nuclear materials, specifically plutonium, within the physical and regulatory envelope required to safely and securely perform manufacturing as well as research and development activities in DOE nuclear facilities. The program is designed to provide students with the skills and experience to qualify for entry-level positions in nuclear facilities as Fissile Material Handlers and/or Glovebox Operators after one year (two semesters) of university level courses (30 credit hours). This certificate will also allow students wishing to pursue further education to ladder their credentials with additional coursework to acquire an Associates of Applied Science degree in Nuclear Enterprise Science and Technology or related field. The 30 credit hours in this certificate program are embedded in the 60 credit hour AAS degree. A flow chart prepared by Los Alamos National Laboratory is attached at the end of this document to illustrate how the certificate is embedded into the Associate degree.

The goal of the program is to provide for a technically qualified workforce who can execute a variety of programmatic work in modern nuclear materials handling and processing facilities.

Program Description
The proposed program will serve the needs of both students interested in pursuing a career working with radioactive nuclear materials and of nearby employers by providing a pool of candidates who have demonstrated the skills necessary to qualify as fissile material handlers and/or glovebox operators within operating nuclear materials handling and processing facilities. Thus, this program will simultaneously benefit both the local communities and regional employers at the U.S. national laboratories. This program aligns well with UNM-Los Alamos’ mission to provide for career options using “innovative, rigorous, and affordable education opportunities to build essential foundations for transfer, leading-edge career programs, and lifelong learning opportunities.”

This certificate program can serve as an introduction to the field of nuclear materials handling and processing while also providing a stepping stone on the path to a further education leading to an Associates or Bachelor’s degree. This certificate will provide an opportunity for the student to obtain an academic credential after only a nominal one year of college level coursework and allow them to enter the workforce in a relatively rapid time frame. This program aligns with UNM-Los Alamos’ strategic plan by helping facilitate progress toward educational objectives (student excellence), and developing a program to aid in workforce development and availability (community excellence). This program also has goals which align with UNM’s broader mission to provide students with “knowledge and skills that they need to be enlightened citizens, to contribute to the state and national economies, and to lead satisfying lives.”

The proposed program has been developed with two major objectives. It provides the student with the skills needed to relatively quickly establish the qualifications needed to work as a Fissile
Material Handler or a Glovebox Operator within a nuclear materials handling and processing facility. It also provides a mechanism to consistently and effectively transfer captured knowledge about the nuclear enterprise to a new cadre of potential workers.

Catalog Description
This certificate program is designed to provide students with the skills and experience to qualify for entry-level positions in nuclear facilities as Fissile Material Handlers and/or Glovebox Operators. This certificate will also allow students wishing to pursue further education to ladder their credentials with additional coursework to acquire an Associates of Applied Science degree in an advanced program. The goal of the program is to provide for a technically qualified workforce who can execute a variety of programmatic work in modern nuclear materials handling and processing facilities.

Program Content
This Certificate will serve to concurrently qualify the successful candidate for work within a nuclear materials handling and processing facility as a fissile materials handler and/or a glovebox operator with the ability to work with radioactive materials, particularly plutonium, in support of manufacturing missions in the national security interest. The courses can be completed over the course of two full-time semesters for a combined 30 credit hours.

The program content, in part, is based on DOE training requirements, and will also incorporate teaching students to work to Los Alamos National Laboratory requirements. Courses include a host of nuclear enterprise specific capabilities established to allow for performing safe and secure work in national laboratory facilities.

Pre-requisite
Satisfactory score on placement tests for writing, reading, and mathematics or completion of ENGL 1110X and Math 012 with a grade of ‘CR
Instructor permission

Nuclear Facility Work (15 credits)
NFFW 1110: Nuclear Facility Fundamentals (5)
NFFW 1120: Fissionable Material Handler (5)
NFFW 1120L: Nuclear Facility Lab (5)

Actinide Science Fundamentals (15 credits)
ASFD 1110: Introduction to Actinide Science (5)
ASFD 1120: Nuclear Materials Process Techniques (5)
ASFD 1120L: Nuclear Materials Processing Lab (5)

Program Learning Goals
The NEST program provides students with quality instruction in preparation for successful employment in entry level technician and technologist positions working as a fissile material handler and/or a glovebox operator in a nuclear materials handling and processing facility. Certificate holders may expect to find employment opportunities with the national laboratories
working with radioactive nuclear materials in support of programmatic manufacturing missions that support U.S. national security.

Upon successful completion of the required courses for the NEST certificate, students will demonstrate:

1) Workplace skills specific to radioactive and nuclear materials handling and processing
2) Knowledge of industry regulations and requirements as part of the nuclear enterprise
3) Basic knowledge of processes, procedures and formality of operations required to safely and securely work with nuclear materials
4) Team building and communication skills necessary to work in a multidisciplinary high-hazard environment

Evidence of Need
Regional and local demand for nuclear process operators is currently growing as missions, and increased staffing to support them, are increasing in both number and scope at the national laboratories. The regional demand for nuclear facility workers is growing. Over the next five years, Los Alamos National Laboratory anticipates hiring over 800 employees into nuclear process operator positions working in their nuclear facilities. The starting median salaries for entry-level technicians at Los Alamos is $42,000 per year. A letter of support from Los Alamos National Laboratory is attached to this submission.

Other Related Programs
The NEST program is the first of its kind anywhere in the nation and will potentially serve as a template for similar programs at other nuclear sites around the country.

Institutional Readiness
UNM-Los Alamos is uniquely located in close proximity to the Los Alamos National Laboratory (LANL). UNM and LANL entered into a formal Joint Faculty Appointment Agreement (IA-181) to allow LANL staff to have faculty appointments and teach accredited courses through the university, including UNM-LA. Classes may be offered throughout the day and into the evening to accommodate workforce demands. The number of courses and sessions offered can be adapted to support student needs as well as collaborative positions provided at the national laboratories in support of mission work.

Facilities and Required Resources
Course content may be delivered on the UNM-Los Alamos campus, at Los Alamos facilities, or via synchronous or asynchronous distance learning at both institutions. The core technical courses in support of the fissile material handler and/or glovebox operator qualifications will be taught by LANL adjunct or joint appointment faculty at a combination of UNM-LA (classroom) and LANL (nuclear laboratory) facilities. LANL authorized adjunct faculty will be available to teach the necessary technical courses.

Evaluation and Assessment
UNM-Los Alamos participates in course assessment, program assessment and program reviews. This certificate program will be subject to course assessments, program assessment and academic program review, along with all other programs at UNM-Los Alamos. These program reviews are conducted on a rotating 5-year basis. The in-depth reviews include the annual program assessments but also include a financial review, an examination of courses, faculty credentials, course rotations schedules and relevancy of the program, and courses to current workforce demands as well as relevant transfer or bridging programs. Courses and programs are realigned, eliminated or revised to meet market demand. Instructors and content owners of the above listed courses will be asked to complete annual course assessments of their learning objectives. An annual academic program assessment will be conducted to identify opportunities for improvement in the program.

**Required Resources**
Few additional resources will be required by UNM-Los Alamos, but a significant commitment will be made by LANL to assure the success of this program. LANL has distance learning classrooms at the National Security Education Center (NSEC), and the White Rock Training Center. LANL has training glove boxes at the LANL TA-55 training center, and working nuclear gloveboxes and other nuclear infrastructure at its TA-55 nuclear facilities for hosting the Laboratory OJT portion of the program.

**Projected Enrollment and Costs**
LANL anticipates enrolling students in cohorts of 30 students two times per year.

No significant additional costs are anticipated to be incurred by UNM- Los Alamos for this program.
**Nuclear Enterprise Science & Technology**

**Associate of Applied Science Degree (60 cr)**

<table>
<thead>
<tr>
<th>General Ed &amp; Technical Electives (22)</th>
<th>Technical Core (18)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Communications (3)</td>
<td>NFFW 1110: Nucl Facility Fundamentals (5)</td>
</tr>
<tr>
<td>Mathematics (3)</td>
<td>ASFD 1110: Intro to Actinide Sci (5)</td>
</tr>
<tr>
<td>Social &amp; Behavioral Sci (3)</td>
<td>CHEM 1215: General Chem I (3)</td>
</tr>
<tr>
<td>Humanities (3)</td>
<td>CHEM 1225L: General Chem II Lab (1)</td>
</tr>
<tr>
<td>Additional Gen (3)</td>
<td>PHYS 1115: Survey of Physics (3)</td>
</tr>
<tr>
<td>Electives (7)</td>
<td>PHYS 1115L: Survey of Phys Lab (1)</td>
</tr>
</tbody>
</table>

---

**Nucl Material Handler Technician Concentration (LANL)**

<table>
<thead>
<tr>
<th>Nucl Material Handler Technician (20)</th>
</tr>
</thead>
<tbody>
<tr>
<td>NFFW 1120: Fissile Mater. Handler (5)</td>
</tr>
<tr>
<td>NFFW 1120L: Fissile Mater. Handler Lab (5)</td>
</tr>
<tr>
<td>ASFD 1120: Nucl Mater. Process Techniques (5)</td>
</tr>
<tr>
<td>ASFD 1120L: Nucl Mater. Process Lab (5)</td>
</tr>
</tbody>
</table>

---

**Haz Mat Mngt & Waste Technol Technician Concentration (N3B)**

<table>
<thead>
<tr>
<th>Hazardous Mat Mngt &amp; Waste Technol Technician (20)</th>
</tr>
</thead>
<tbody>
<tr>
<td>RCTB 1110: Rad Control Tech (5)</td>
</tr>
<tr>
<td>RCTB 1110L: Rad Control Tech Lab (1)</td>
</tr>
<tr>
<td>OR</td>
</tr>
<tr>
<td>NWOB 1110: Nucl Waste Operator (5)</td>
</tr>
<tr>
<td>NWOB 1110L: Nucl Waste Operator Lab (1)</td>
</tr>
</tbody>
</table>

---

**NEST Certificate (30 cr)**

**N3B Certificate (10 cr)**

**UNM Courses (30-50 cr)**
Name of Program: Certificate in Nuclear Enterprise Science and Technology: UNM- Los Alamos

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Operating Expenses</strong></td>
<td>$550</td>
<td>$550</td>
<td>$550</td>
<td>$550</td>
<td>$550</td>
</tr>
<tr>
<td><strong>Faculty Salaries</strong></td>
<td>$50,245.60 total for department</td>
<td>$50,245.60 total for department</td>
<td>$50,245.60 total for department</td>
<td>$50,245.60 total for department</td>
<td>$50,245.60 total for department</td>
</tr>
<tr>
<td></td>
<td>$0 of this amount is for NEST faculty. Program is partnership with LANL. LANL providing faculty.</td>
<td>$0 of this amount is for NEST faculty. Program is partnership with LANL. LANL providing faculty.</td>
<td>$0 of this amount is for NEST faculty. Program is partnership with LANL. LANL providing faculty.</td>
<td>$0 of this amount is for NEST faculty. Program is partnership with LANL. LANL providing faculty.</td>
<td>$0 of this amount is for NEST faculty. Program is partnership with LANL. LANL providing faculty.</td>
</tr>
<tr>
<td><strong>Staff Salary</strong></td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td><strong>TPT Salaries</strong></td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td><strong>Total I&amp;G Budget</strong></td>
<td>$50,245.60</td>
<td>$50,245.60</td>
<td>$50,245.60</td>
<td>$50,245.60</td>
<td>$50,245.60</td>
</tr>
<tr>
<td><strong>Changes to current allocation of funds</strong></td>
<td>Los Alamos National Lab (LANL) and N3B are partnering with UNM-LA to provide faculty and on-the-job training for these students. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students. UNM-LA is currently negotiating with LANL for additional funding. LANL has tentatively discussed between $125,000 and $150,000 in external funds to support this program, plus tuition reimbursement for</td>
<td>Los Alamos National Lab (LANL) and N3B are partnering with UNM-LA to provide faculty and on-the-job training for these students. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students. UNM-LA is currently negotiating with LANL for additional funding. LANL has tentatively discussed between $125,000 and $150,000 in external funds to support this program, plus tuition reimbursement for</td>
<td>Los Alamos National Lab (LANL) and N3B are partnering with UNM-LA to provide faculty and on-the-job training for these students. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students. UNM-LA is currently negotiating with LANL for additional funding. LANL has tentatively discussed between $125,000 and $150,000 in external funds to support this program, plus tuition reimbursement for</td>
<td>Los Alamos National Lab (LANL) and N3B are partnering with UNM-LA to provide faculty and on-the-job training for these students. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students. UNM-LA is currently negotiating with LANL for additional funding. LANL has tentatively discussed between $125,000 and $150,000 in external funds to support this program, plus tuition reimbursement for</td>
<td>Los Alamos National Lab (LANL) and N3B are partnering with UNM-LA to provide faculty and on-the-job training for these students. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students. UNM-LA is currently negotiating with LANL for additional funding. LANL has tentatively discussed between $125,000 and $150,000 in external funds to support this program, plus tuition reimbursement for</td>
</tr>
<tr>
<td><strong>Anticipated tuition</strong></td>
<td>program, plus tuition reimbursement for employees continuing beyond the certificate program to the associate degree.</td>
<td>reimbursement for employees continuing beyond the certificate program to the associate degree.</td>
<td>employees continuing beyond the certificate program to the associate degree.</td>
<td>employees continuing beyond the certificate program to the associate degree.</td>
<td></td>
</tr>
<tr>
<td>------------------------</td>
<td>-------------------------------------------------</td>
<td>-------------------------------------------------</td>
<td>-------------------------------------------------</td>
<td>-------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td><strong>To be determined.</strong></td>
<td>Current UNM –LA tuition for 60 credit hours is $1,048 per semester for four semesters, assuming full time enrollment at 15 credit hours per semester for a total of $4,192 in tuition and fees at current rates.</td>
<td>To be determined. Current UNM –LA tuition for 60 credit hours is $1,048 per semester for four semesters, assuming full time enrollment at 15 credit hours per semester for a total of $4,192 in tuition and fees at current rates.</td>
<td>To be determined. Current UNM –LA tuition for 60 credit hours is $1,048 per semester for four semesters, assuming full time enrollment at 15 credit hours per semester for a total of $4,192 in tuition and fees at current rates.</td>
<td>To be determined. Current UNM –LA tuition for 60 credit hours is $1,048 per semester for four semesters, assuming full time enrollment at 15 credit hours per semester for a total of $4,192 in tuition and fees at current rates.</td>
<td></td>
</tr>
<tr>
<td><strong>Anticipated course fees (with rationale)</strong></td>
<td>N/A Course fees typically cover consumable materials for classes. At this point, no consumable materials are required.</td>
<td>N/A Course fees typically cover consumable materials for classes. At this point, no consumable materials are required.</td>
<td>N/A Course fees typically cover consumable materials for classes. At this point, no consumable materials are required.</td>
<td>N/A Course fees typically cover consumable materials for classes. At this point, no consumable materials are required.</td>
<td></td>
</tr>
</tbody>
</table>
Form C: Associate of Applied Science in Nuclear Enterprise Science and Technology

UNM Los Alamos is proposing the creation of an Associate of Applied Science (AAS) degree in Nuclear Enterprise Science and Technology.

Program Description: The UNM-Los Alamos Nuclear Enterprise Science and Technology (NEST) program is a two-year Associate of Applied Science (AAS) degree for technicians and technologists in nuclear science materials and handling. The 60-credit hour program was designed in partnership with Los Alamos National Laboratory (LANL) and Newport News Nuclear BWX Technologies (N3B). Program curriculum is based upon various Department of Energy (DOE) documents that address glovebox use and the handling of fissionable materials and waste operator qualification, and DOE Radiation Control Technician requirements. This program provides training and formal education for those entering the nuclear technician fields. The degree has concentrations in Nuclear Materials Handling Technology or Hazardous Materials Management and Waste Technology. Students select a concentration based upon current employment, previous coursework, and work experience. Participants in the program must be able to obtain a security clearance through DOE and have instructor permission to enroll in the technical courses.

Catalog Description: The AAS in Nuclear Enterprise Science and Technology program is designed to provide students with the skills and experience to qualify for entry-level positions in nuclear facilities, in positions such as Fissionable Material Handlers, Glovebox Operators, and Materials Management Technicians. This degree will also allow students wishing to pursue further education to ladder their credentials with additional coursework to acquire a Bachelor’s Degree in Engineering Technology or related field. The goal of the program is to provide for a technically qualified workforce who can execute a variety of programmatic work in modern nuclear materials handling and processing facilities, and to expand participants’ reasoning skills, communication skills and critical thinking skills to not just understand what to do on the job, but to understand the chemical, physical and biological implications of action and inaction related to their job duties. The degree has concentrations in both Nuclear Materials Handling Technology and Hazardous Materials Management and Waste Technology. Students select a concentration based upon current employment, previous coursework, and work experience. Participants in the program must be able to obtain a security clearance through the Department Of Energy and have instructor permission to enroll in the technical courses.

Degree Requirements: The program requires a minimum of 60-credit hours with a combination of General Education requirements, technical coursework and laboratory experiences of on-the-job training (OJT) with subject matter experts from Los Alamos National Laboratory and N3B. Technical program curriculum is based upon various Department of Energy (DOE) documents that address glovebox use and the handling of fissionable materials and waste operator qualification, and DOE Radiation Control Technician requirements. Additional course work includes physics, chemistry and biology courses. Students completing the program are prepared to take the DOE certification exams and will be prepared to work in nuclear facilities throughout New Mexico.
The program includes courses taken in one of three certificate programs, the Radiation Control Technician Bootcamp, the Nuclear Waste Operators Bootcamp, or the Nuclear Enterprise Science Technician certificate program. Pre-requisites for the certificate programs include a satisfactory score on placement tests for writing, reading, and mathematics or completion of ENGL 1110X and Math 012 with a grade of 'CR', and instructor permission. Participants in the program must be able to obtain a security clearance through DOE.

The Associate of Applied Science in Nuclear Enterprise Science and Technology has concentrations in Nuclear Materials Handling Technology or Hazardous Materials Management and Waste Technology. This program expands upon the skills developed in the certificate programs and adds additional education for participants including general education and courses related to the field in areas such as physics, chemistry, biology and environmental science. By pursuing the associate degree beyond the certificate programs, student expand their reasoning skills, their communication skills and their critical thinking skills to not just understand what to on the job but to understand why they are doing it and the chemical, physical and biological implications of action and inaction related to their job duties.

Program Requirements

General Education Requirements

Communications (3 Credit Hours)
Select three credit hours from UNM Core Curriculum courses in this area.

Mathematics (3 Credit Hours)
Select three credit hours from UNM Core Curriculum courses in this area.

Social and Behavioral Sciences (3 Credit Hours)
Select three credit hours from UNM Core Curriculum courses in this area.

Humanities or Creative and Fine Arts (3 Credit Hours)
Select three hours from UNM Core Curriculum courses in this area.

Additional General Education Credit Hours (3 Credit Hours)
Students should select an additional three credit hours from the UNM General Education Core Curriculum. The additional three hours are distributed by student choice in any area above.

Total General Education Requirements 15 Credit Hours

Technical Core Requirements

Technical Core Courses Common to Both Concentrations 18 Credit Hours

NFFW 1110: Nuclear Facility Fundamentals (5)*
ASFD 1110: Introduction to Actinide Science (5)*
CHEM 1215: General Chemistry I for STEM Majors. (3)
CHEM 1225L: General Chemistry II for STEM Majors Laboratory. (1)
PHYS 1115: Survey of Physics. (3)
PHYS 1115L: Survey of Physics Laboratory. (1)
Total Technical Core Courses Common to Both Concentrations 18 Credit Hours
Additional Technical Courses by Concentration 20 Credit Hours

HAZARDOUS MATERIALS MANAGEMENT AND WASTE TECHNOLOGY TECHNICIAN CONCENTRATION 20 CREDIT HOURS

BIOL 1140: Biology for Health Sciences. (3)
BIOL 1140L: Biology for Sciences Laboratory. (1)
GEOL 1120: Environmental Geology. (3)
GEOL 1120L: Environmental Geology Laboratory. (1)
BSTC 113: Introduction to Project Management. (1)
BSTC 118: Conflict Resolution for the Workplace. (1)

Additional 10 credit hours from either Radiation Control Technology or Nuclear Waste Operation Technology

RCTB 1110: Radiation Control Technician (9)*
And RCTB 1110 L Radiation Control Technician Laboratory (1)*
OR
NWOB 1110: Nuclear Waste Operator (9)*
And NWOB 1110L: Nuclear Waste Operator Laboratory (1)*

Total Technical Credit Hours Hazardous Materials Management and Waste Technology Technician Concentration 20 Credit Hours

NUCLEAR MATERIALS HANDLER TECHNICIAN CONCENTRATION 20 CREDIT HOURS

NFFW 1120: Fissionable Material Handler (5)*
NFFW 1120L: Nuclear Facility Lab (5)*
ASFD 1120: Nuclear Materials Process Techniques (5)*
ASFD 1120L: Nuclear Materials Processing Lab (5)*
Total Nuclear Materials Handler Technician Concentration 20 Credit Hours

ELECTIVES
TECHNICAL ELECTIVES FOR BOTH CONCENTRATIONS (7 credit hours)

Please consult with your concentration advisor to determine which courses are most appropriate.

SELECT 7 CREDIT HOURS NOT PREVIOUSLY APPLIED TO THE DEGREE.

FYEX 1110 (Seminar: On Course), BIOL 2110 (Principles of Biology: Cellular and Molecular Lecture and Laboratory), BIOL 2110L (Principles of Biology: Cellular and Molecular Lecture and Laboratory), BSTC 113 (Introduction to Project Management), BSTC 114 (Customer Service
and Relations), BSTC 115 (Time Management), BSTC 116 (Stress Management for the Workplace), BSTC 117 (Organization Skills for the Workplace), BSTC 118 (Conflict Resolution for the Workplace), BSTC 218 (Business Law), CHEM 1225 (General Chemistry II for STEM Majors), CHEM 1225L (General Chemistry II for STEM Majors Lab), COMM 1130 (Public Speaking), CT 102 (Introduction to Microcomputers on the PC), CT 111 (Introduction to Computer Aided Design and Drafting), DRFT 103 (Introduction to Drafting), ELCT 101L (DC Circuit Analysis), ELCT 102L (AC Circuit Analysis), ELCT 137 (Digital Electronics I (Combinational Logic)), ELCT 162 (Robotics), ELCT 163 (Advanced Robotics), ENG 116 (Introduction to Engineering), MGMT 158 (Ethics in Organizations), PBST 102 (Principles of Emergency Management), PBST 109 (Public Safety Interview and Report Writing), PHYS 1115 (Survey of Physics), PHYS 1115L (Survey of Physics Laboratory), PHYS 1230 (Algebra-based Physics I), PHYS 1230L (Algebra-based Physics I Lab), PSYC 2120 (Developmental Psychology).

**TOTAL ELECTIVES**

7 CREDIT HOURS

**TOTAL CREDIT HOURS**

60 CREDIT HOURS

*INSTRUCTOR PERMISSION REQUIRED FOR ENTRY INTO THESE COURSES.

Program Learning Goals: The Nuclear Enterprise Science and Technology program provides students with quality instruction in preparation for successful employment in entry level technician and technologist positions working as a fissile material handlers, glovebox operators, and hazardous materials handlers in a nuclear materials handling and processing facility. Associate degree holders may expect to find employment opportunities with the national laboratories working with radioactive nuclear materials in support of programmatic manufacturing missions that support U.S. national security and other Department of Energy facilities and sub-contractors.

Upon successful completion of the required courses for the NEST degree, students will demonstrate:

1) Workplace skills specific to radioactive and nuclear materials handling and processing
2) Knowledge of industry regulations and requirements as part of the nuclear enterprise
3) Basic knowledge of processes, procedures and formality of operations required to safely and securely work with radioactive nuclear materials
4) Team building and communication skills necessary to work in a multidisciplinary high-hazard environment
5) Understand the chemical, physical, and biological implications of working with nuclear materials and appropriate use of the materials.

Assessment: UNM Los Alamos participates in course assessment, program assessment and program reviews. This AAS program will be subject to course assessments, program assessment and academic program review, along with all other programs at UNM Los Alamos. These program reviews are conducted on a rotating 5-year basis. The in-depth reviews include the annual program assessments but also include financial review, examination of courses, faculty credentials, course rotation schedules and relevancy of the program and courses to current
workforce demands and transfer programs. Courses and programs are realigned, eliminated or revised to meet market demand. We will conduct the first review in the second year of the degree program to make initial determinations on the effectiveness of the program. Additionally, instructors in the above listed courses are asked to complete annual course assessment of their learning objectives. We will work with our Assessment coordinator, Dr. Reuben Sanchez, to conduct academic program assessment on this program.

**Long-term Planning and Budgetary Impact:** Due to the apprenticeship style of the certificate programs that form the foundation for the AAS degree, program enrollment will be limited to cohorts of 30-40 students per semester. The NEST Degree will be under the Applied Sciences index at UNM-LA. The faculty members necessary to teach the courses will be provided by Los Alamos National Laboratory and N3B. Courses will be taught in UNM-LA, Los Alamos National Laboratory classrooms, N3B facilities, and include on-the-job Laboratory experience at either Los Alamos National Laboratory nuclear facilities or N3B facilities and field assignments.
Justification for Adding Associate of Applied Science Degree in Nuclear Enterprise Science and Technology (NEST) University of New Mexico – Los Alamos Campus

Executive Summary

The proposed Associate of Applied Science (AAS) degree program in Nuclear Enterprise Science and Technology (NEST) is developed to enhance the training and education of technicians, technologists and other technical staff in the handling of special nuclear materials, specifically plutonium, within the physical and regulatory envelope required to safely and securely perform manufacturing as well as research and development activities in Department Of Energy (DOE) nuclear facilities and subcontractor locations. The program is designed to provide students with the skills and experience to qualify for entry-level positions in nuclear facilities and for subcontractors as Fissile Material Handlers, Glovebox Operators and Materials Handlers after two years (four semesters) of university level courses (60 credit hours). The degree will also allow students holding certificates in Radiation Control Technology, Nuclear Waste Operator Technology, or Nuclear Enterprise Science Technology to pursue further education and ladder their credentials with additional coursework to acquire an Associates of Applied Science degree in this advanced program. The goal of the program is to provide for a technically-qualified workforce who can execute a variety of programmatic work in modern nuclear materials handling and processing facilities, and to expand their reasoning skills, communication skills and their critical thinking skills to not just understand what to do on the job, but to understand why they are doing it, and to understand the chemical, physical and biological implications of action and inaction related to their job duties. The Associate of Applied Science in Nuclear Enterprise Science and Technology has concentrations in both Nuclear Materials Handling Technology and Hazardous Materials Management and Waste Technology. A flow chart prepared by Los Alamos National Laboratory is attached at the end of this document to illustrate the two concentrations. Students select a concentration based upon current employment, previous coursework, and work experience. Participants in the program must be able to obtain a security clearance through DOE and have instructor permission to enroll in the technical courses.

Program Description

The proposed program will serve the needs of both students interested in pursuing a career working with radioactive nuclear materials and of regional employers by providing a pool of candidates who have demonstrated the skills necessary to qualify as fissionable material handlers, glovebox operators and materials handlers within operating nuclear materials handling and processing facilities and for DOE subcontractors. A letter of support from Los Alamos National Laboratory (LANL) for the creation of this program is attached to this justification. This program will simultaneously benefit both the local communities and regional employers at the U.S. national laboratories and related facilities. This program aligns well with UNM-Los Alamos’ mission to provide for career options using “innovative, rigorous, and affordable education opportunities to build essential foundations for transfer, leading-edge career programs, and life-long learning opportunities.”

This AAS degree program can serve as an introduction to the field of nuclear materials handling and processing while also providing a stepping stone on the path to further education leading to a Bachelor’s degree. This degree will provide an opportunity for the student to obtain
a degree after only two years of college-level coursework and allow them to enter the workforce in a relatively rapid time frame. This program aligns with UNM-Los Alamos’ strategic plan by helping facilitate progress toward educational objectives (student excellence), and developing a program to aid in workforce development and availability (community excellence). This program also has goals which align with UNM’s broader mission to provide students with “knowledge and skills that they need to be enlightened citizens, to contribute to the state and national economies, and to lead satisfying lives.”

The proposed program has been developed with two major objectives. It provides the student with the skills needed to quickly establish the qualifications needed to work as a Fissionable Materials Handler, a Glovebox Operator or a materials handler within a nuclear materials handling and processing facility or for a Department of Energy subcontractor. It also provides a mechanism to consistently and effectively transfer captured knowledge about the nuclear enterprise to a new cadre of potential workers and helps to create an environment of personal responsibility, where technicians understand not only the tasks required to successfully complete a job assignment, but also understand the chemical, physical and biological reasons for why they are doing those tasks.

Catalog Description

The AAS in Nuclear Enterprise Science and Technology program is designed to provide students with the skills and experience to qualify for entry-level positions in nuclear facilities, in positions such as Fissionable Material Handlers, Glovebox Operators, and Materials Management Technicians. This degree will also allow students wishing to pursue further education to ladder their credentials with additional coursework to acquire a Bachelor’s Degree in Engineering Technology or related field. The goal of the program is to provide for a technically-qualified workforce who can execute a variety of programmatic work in modern nuclear materials handling and processing facilities, and to expand participants’ reasoning skills, communication skills and critical thinking skills to not just understand what to do on the job, but to understand the chemical, physical and biological implications of action and inaction related to their job duties. The Associate of Applied Science in Nuclear Enterprise Science and Technology has concentrations in both Nuclear Materials Handling Technology and Hazardous Materials Management and Waste Technology. Students select a concentration based upon current employment, previous coursework, and work experience. Participants in the program must be able to obtain a security clearance through the Department of Energy (DOE) and have instructor permission to enroll in the technical courses.

Program Content

This is a technician or technologist Associate of Applied Science degree, expanding upon skills needed to work within a nuclear materials handling and processing facility as a Fissionable Materials Handler, Glovebox Operator, or Hazardous Materials Handler, with the ability to work with radioactive materials, particularly plutonium, in support of manufacturing missions in the national security interest. The courses can be completed over the course of four full-time semesters for a combined 60 credit hours.

The program requires a minimum of 60-credit hours with a combination of General Education requirements, technical coursework and laboratory experiences of on-the-job training with subject matter experts from Los Alamos National Laboratory and Newport News Nuclear BWX Technologies (N3B). Technical program curriculum is based upon various Department of
Energy (DOE) documents that address glovebox use and the handling of fissionable materials and waste operator qualification, and DOE Radiation Control Technician requirements. Additional course work includes physics, chemistry and biology courses. Students completing the program are prepared to take any applicable DOE certification exams and will be prepared to work in nuclear facilities throughout New Mexico.

The program includes courses taken in one of three certificate programs, the Radiation Control Technician Bootcamp, the Nuclear Waste Operators Bootcamp, or the Nuclear Enterprise Science Technician certificate program. Pre-requisites for the certificate programs include a satisfactory score on placement tests for writing, reading, and mathematics or completion of ENGL 1110X and Math 012 with a grade of 'CR', and instructor permission. Participants in the program must be able to obtain a security clearance through DOE.

The Associate of Applied Science in Nuclear Enterprise Science and Technology has concentrations in Nuclear Materials Handling Technology or Hazardous Materials Management and Waste Technology. This program expands upon the skills developed in the certificate programs and adds additional education for participants including general education and courses related to the field in areas such as physics, chemistry, biology and environmental science. By pursuing the associate degree beyond the certificate programs, student expand their reasoning skills, their communication skills and their critical thinking skills to not just understand what to do on the job but to understand why they are doing it and the chemical, physical and biological implications of action and inaction related to their job duties.

Program Requirements

General Education Requirements

Communications (3 Credit Hours)
Select three credit hours from UNM Core Curriculum courses in this area.

Mathematics (3 Credit Hours)
Select three credit hours from UNM Core Curriculum courses in this area.

Social and Behavioral Sciences (3 Credit Hours)
Select four credit hours from UNM Core Curriculum courses in this area.

Humanities or Creative and Fine Arts (3 Credit Hours)
Select three hours from UNM Core Curriculum courses in this area.

Additional General Education Credit Hours (3 Credit Hours)
Students should select additional three credit hours from the UNM General Education Core Curriculum. The additional three hours are distributed by student choice in any area above.

Total General Education Requirements 15 Credit Hours

Technical Core Requirements

Technical Core Courses Common to Both Concentrations 18 Credit Hours
NFFW 1110: Nuclear Facility Fundamentals (5)*
ASFD 1110: Introduction to Actinide Science (5)*
CHEM 1215: General Chemistry I for STEM Majors. (3)
CHEM 1225L: General Chemistry II for STEM Majors Laboratory. (1)
PHYS 1115: Survey of Physics. (3)
PHYS 1115L: Survey of Physics Laboratory. (1)
Additional Technical Courses by Concentration 20 Credit Hours

HAZARDOUS MATERIALS MANAGEMENT AND WASTE TECHNOLOGY
TECHNICIAN CONCENTRATION 20 CREDIT HOURS

BIOL 1140: Biology for Health Sciences. (3)
BIOL 1140L: Biology for Sciences Laboratory. (1)
GEOL 1120: Environmental Geology. (3)
GEOL 1120L: Environmental Geology Laboratory. (1)
BSTC 113: Introduction to Project Management. (1)
BSTC 118: Conflict Resolution for the Workplace. (1)

Additional 10 credit hours from either Radiation Control Technology or Nuclear Waste Operation Technology

RCTB 1110: Radiation Control Technician (9)*
And RCTB 1110 L Radiation Control Technician Laboratory (1)*
OR
NWOB 1110: Nuclear Waste Operator (9)*
And NWOB 1110L: Nuclear Waste Operator Laboratory (1) *

Total Technical Credit Hours Hazardous Materials Management and Waste Technology Technician Concentration 20 Credit Hours

NUCLEAR MATERIALS HANDLER TECHNICIAN CONCENTRATION 20 CREDIT HOURS

NFFW 1120: Fissionable Material Handler (5)*
NFFW 1120L: Nuclear Facility Lab (5)*
ASFD 1120: Nuclear Materials Process Techniques (5)*
ASFD 1120L: Nuclear Materials Processing Lab (5)*
Total Nuclear Materials Handler Technician Concentration 20 Credit Hours

ELECTIVES

TECHNICAL ELECTIVES FOR BOTH CONCENTRATIONS (7 credit hours)

Please consult with your concentration advisor to determine which courses are most appropriate.
SELECT 7 CREDIT HOURS NOT PREVIOUSLY APPLIED TO THE DEGREE.
FYEX 1110, BIOL 2110, BIOL 2110L, BSTC 113, BSTC 114, BSTC 115, BSTC 116, BSTC 117, BSTC 118, BSTC 218, CHEM 1225, CHEM 1225L, COMM 1130, CT 102, CT 111, DRFT 103, ELCT 101L, ELCT 102L, ELCT 137, ELCT 162, ELCT 163, ENG 116, MGMT 158, PBST 102, PBST 109, PHYS 1115, PHYS 1115L, PHYS 1230, PHYS 1230L, PSYC 2120.

TOTAL ELECTIVES 7 CREDIT HOURS

TOTAL CREDIT HOURS 60 CREDIT HOURS

*INSTRUCTOR PERMISSION REQUIRED FOR ENTRY INTO THESE COURSES.

Program Learning Goals
The Nuclear Enterprise Science and Technology program provides students with quality instruction in preparation for successful employment in entry-level technician and technologist positions working as a fissionable material handlers, glovebox operators, and hazardous materials handlers in a nuclear materials handling and processing facility or a DOE subcontractor. Associate degree holders may expect to find employment opportunities with the national laboratories or subcontractors working with radioactive nuclear materials in support of programmatic manufacturing missions that support U.S. national security and other Department of Energy facilities.

Upon successful completion of the required courses for the NEST degree, students will demonstrate:

1) Workplace skills specific to radioactive and nuclear materials handling and processing
2) Knowledge of industry regulations and requirements as part of the nuclear enterprise
3) Basic knowledge of processes, procedures and formality of operations required to safely and securely work with radioactive nuclear materials
4) Team building and communication skills necessary to work in a multidisciplinary high-hazard environment
5) Understanding of the chemical, physical, and biological implications of working with nuclear materials and appropriate use of the materials.

Evidence of Need
Regional and local demand for nuclear process operators is currently growing as missions, and increased staffing to support them, are increasing in both number and scope at the national laboratories. The regional demand for nuclear facility workers is growing. Over the next five years, Los Alamos National Laboratory anticipates hiring over 800 employees into nuclear process operator positions working in their nuclear facilities. The starting median salary for entry-level technicians at Los Alamos and N3B is around $42,000 per year.

Other Related Programs
The NEST program is the first of its kind anywhere in the nation and will potentially serve as a template for similar programs at other nuclear sites around the country.

Institutional Readiness
UNM-Los Alamos is uniquely located in close proximity to the Los Alamos National Laboratory (LANL) and N3B facilities. UNM and LANL entered into a formal Joint Faculty Appointment Agreement (IA-181) to allow LANL staff to have faculty appointments and teach accredited courses through the university, including UNM-LA. Similarly, N3B staff also have faculty appointments via Letters of Academic Title. All faculty credentials are verified by the Dean of Instruction at UNM-Los Alamos. Classes may be offered throughout the day and into the evening to accommodate workforce demands. The number of courses and sessions offered can be adapted to support student needs as well as collaborative positions provided at the national laboratories in support of mission work.

Facilities and Required Resources

Course content may be delivered on the UNM-Los Alamos campus, at Los Alamos National Lab facilities, N3B facilities or via synchronous or asynchronous distance learning at both institutions. The core technical courses in support of the fissionable material handler and/or glovebox operator qualifications will be taught by LANL adjunct or joint appointment faculty at a combination of UNM-LA (classroom) and LANL (nuclear laboratory) facilities. LANL authorized adjunct faculty will be available to teach the necessary technical courses. The Radiation control and waste operator classes are taught by authorized faculty from N3B organization who are either adjunct faculty at UNM-LA or who hold a Letter of Academic title.

Evaluation and Assessment

UNM-Los Alamos participates in course assessment, program assessment and program reviews. This AAS program will be subject to course assessments, program assessment and academic program review, along with all other programs at UNM-Los Alamos. These program reviews are conducted on a rotating 5-year basis. The in-depth reviews include the annual program assessments but also include a financial review, an examination of courses, faculty credentials, course rotations schedules and relevancy of the program, and courses to current workforce demands as well as relevant transfer or bridging programs. Courses and programs are realigned, eliminated or revised to meet market demand. Instructors and content owners of the above listed courses will be asked to complete annual course assessments of their learning objectives. An annual academic program assessment will be conducted to identify opportunities for improvement in the program.

Required Resources

Few additional resources will be required by UNM-Los Alamos, but a significant commitment will be made by LANL to assure the success of this program. LANL has distance learning classrooms at the National Security Education Center (NSEC), and the White Rock Training Center. LANL has training glove boxes at the LANL TA-55 training center, and working nuclear gloveboxes and other nuclear infrastructure at its TA-55 nuclear facilities for hosting the Laboratory OJT portion of the program. N3B conducts field training and offers on the job training at both their Los Alamos offices and at various field assignments throughout the region.

Projected Enrollment and Costs

LANL anticipates enrolling students in cohorts of 30 students two times per year. N3B anticipates enrolling cohorts of 10 to 20 students two times per year. No significant additional
costs are anticipated to be incurred by UNM- Los Alamos for this program. No class fees are anticipated at this time.

**Nuclear Enterprise Science & Technology**

**Associate of Applied Science Degree (60 cr)**

**General Ed & Technical Electives (22)**
- Communications (3)
- Mathematics (3)
- Social & Behavioral Sci (3)
- Humanities (3)
- Additional Gen (3)
- Electives (7)

**Technical Core (18)**
- NFFW 1110 Nucl Facility Fundamentals (5)
- ASFD 1110 Intro to Actinide Sci (5)
- CHEM 1215 General Chem I (3)
- CHEM 1225L General Chem II Lab (1)
- PHYS 1115 Survey of Physics (3)
- PHYS 1115L Survey of Phys Lab (1)

---

**Nucl Material Handler Technician Concentration (LANL)**

- **Nucl Material Handler Technician (20)**
  - NFFW 1120: Fissionable Mater. Handler (5)
  - NFFW 1120L: Fissionable Mater. Handler Lab (5)
  - ASFD 1120: Nucl Mater. Process Techniques (5)
  - ASFD 1120L: Nucl Mater. Process Lab (5)

**Haz Mat Mgmt & Waste Technol Technician Concentration (N3B)**

- **Haz Mat Mgmt & Waste Technol Technician (20)**
  - RCTB 1110: Rad Control Tech (9)*
  - RCTB 1110 L Rad Control Tech Lab (1)*
  - OR
  - NWOB 1110: Nucl Waste Operator (9)
  - NWOB 1110 L: Nucl Waste Operator Lab (1)

---

**NEST Certificate (30 cr)**

**N3B Certificate (10 cr)**

**UNM Courses (30-50 cr)**
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty Salaries</td>
<td>$50,245.60 total for department $0 of this amount is for NEST faculty. Program is partnership with LANL. LANL providing faculty.</td>
<td>$50,245.60 total for department $0 of this amount is for NEST faculty. Program is partnership with LANL. LANL providing faculty.</td>
<td>$50,245.60 total for department $0 of this amount is for NEST faculty. Program is partnership with LANL. LANL providing faculty.</td>
<td>$50,245.60 total for department $0 of this amount is for NEST faculty. Program is partnership with LANL. LANL providing faculty.</td>
<td>$50,245.60 total for department $0 of this amount is for NEST faculty. Program is partnership with LANL. LANL providing faculty.</td>
</tr>
<tr>
<td>Staff Salary –</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>TPT Salaries</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>Total I&amp;G Budget</td>
<td>$50,245.60</td>
<td>$50,245.60</td>
<td>$50,245.60</td>
<td>$50,245.60</td>
<td>$50,245.60</td>
</tr>
<tr>
<td>Changes to current allocation of funds</td>
<td>Los Alamos National Lab (LANL) and N3B are partnering with UNM-LA to provide faculty and on-the-job training for these students. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students. UNM-LA is currently negotiating with LANL for additional funding. LANL has tentatively discussed between $125,000 and $150,000 in external funds to support this program. Los Alamos National Lab (LANL) and N3B are partnering with UNM-LA to provide faculty and on-the-job training for these students. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students. UNM-LA is currently negotiating with LANL for additional funding. LANL has tentatively discussed between $125,000 and $150,000 in external funds to support this program, plus tuition reimbursement for Los Alamos National Lab (LANL) and N3B are partnering with UNM-LA to provide faculty and on-the-job training for these students. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students. UNM-LA is currently negotiating with LANL for additional funding. LANL has tentatively discussed between $125,000 and $150,000 in external funds to support this program. Los Alamos National Lab (LANL) and N3B are partnering with UNM-LA to provide faculty and on-the-job training for these students. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students. UNM-LA is currently negotiating with LANL for additional funding. LANL has tentatively discussed between $125,000 and $150,000 in external funds to support this program, plus tuition reimbursement for</td>
<td>Los Alamos National Lab (LANL) and N3B are partnering with UNM-LA to provide faculty and on-the-job training for these students. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students. UNM-LA is currently negotiating with LANL for additional funding. LANL has tentatively discussed between $125,000 and $150,000 in external funds to support this program, plus tuition reimbursement for</td>
<td>Los Alamos National Lab (LANL) and N3B are partnering with UNM-LA to provide faculty and on-the-job training for these students. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students. UNM-LA is currently negotiating with LANL for additional funding. LANL has tentatively discussed between $125,000 and $150,000 in external funds to support this program, plus tuition reimbursement for</td>
<td>Los Alamos National Lab (LANL) and N3B are partnering with UNM-LA to provide faculty and on-the-job training for these students. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students. UNM-LA is currently negotiating with LANL for additional funding. LANL has tentatively discussed between $125,000 and $150,000 in external funds to support this program, plus tuition reimbursement for</td>
<td></td>
</tr>
<tr>
<td></td>
<td>program, plus tuition reimbursement for employees continuing beyond the certificate program to the associate degree.</td>
<td>reimbursement for employees continuing beyond the certificate program to the associate degree.</td>
<td>employees continuing beyond the certificate program to the associate degree.</td>
<td>reimbursement for employees continuing beyond the certificate program to the associate degree.</td>
<td>employees continuing beyond the certificate program to the associate degree.</td>
</tr>
<tr>
<td>--------------------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Anticipated tuition</strong></td>
<td>To be determined. Current UNM – LA tuition for 60 credit hours is $1,048 per semester for four semesters, assuming full time enrollment at 15 credit hours per semester for a total of $4,192 in tuition and fees at current rates.</td>
<td>To be determined. Current UNM – LA tuition for 60 credit hours is $1,048 per semester for four semesters, assuming full time enrollment at 15 credit hours per semester for a total of $4,192 in tuition and fees at current rates.</td>
<td>To be determined. Current UNM – LA tuition for 60 credit hours is $1,048 per semester for four semesters, assuming full time enrollment at 15 credit hours per semester for a total of $4,192 in tuition and fees at current rates.</td>
<td>To be determined. Current UNM – LA tuition for 60 credit hours is $1,048 per semester for four semesters, assuming full time enrollment at 15 credit hours per semester for a total of $4,192 in tuition and fees at current rates.</td>
<td>To be determined. Current UNM – LA tuition for 60 credit hours is $1,048 per semester for four semesters, assuming full time enrollment at 15 credit hours per semester for a total of $4,192 in tuition and fees at current rates.</td>
</tr>
<tr>
<td><strong>Anticipated course fees</strong></td>
<td>N/A Course fees typically cover consumable materials for classes. At this point, no consumable materials are required.</td>
<td>N/A Course fees typically cover consumable materials for classes. At this point, no consumable materials are required.</td>
<td>N/A Course fees typically cover consumable materials for classes. At this point, no consumable materials are required.</td>
<td>N/A Course fees typically cover consumable materials for classes. At this point, no consumable materials are required.</td>
<td>N/A Course fees typically cover consumable materials for classes. At this point, no consumable materials are required.</td>
</tr>
<tr>
<td><strong>(with rationale)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
programs at UNM-Los Alamos. These program reviews are conducted on a rotating 5-year basis. The in-depth reviews include the annual program assessments but also include a financial review, an examination of courses, faculty credentials, course rotations schedules and relevancy of the program, and courses to current workforce demands as well as relevant transfer or bridging programs. Courses and programs are realigned, eliminated or revised to meet market demand. Instructors and content owners of the above listed courses will be asked to complete annual course assessments of their learning objectives. An annual academic program assessment will be conducted to identify opportunities for improvement in the program. We will work with our Assessment coordinator, Dr. Reuben Sanchez, to conduct academic program assessment on this program annually.

D. Need.
The proposed program must meet one or more specified needs within the state or region. Clear and convincing evidence must be provided of the reality and extent of such need. Max 500 words.

*Evidence of need might include results of employer surveys, current labor market analyses and projections, or long-term need projections prepared by a relevant professional organization.*

Regional and local demand for nuclear process operators is currently growing as missions, and increased staffing to support them, are increasing in both number and scope at the national laboratories. The regional demand for nuclear facility workers is growing. Over the next five years, Los Alamos National Laboratory anticipates hiring over 800 employees into nuclear process operator positions working in their nuclear facilities. N3B anticipates hiring dozens of these qualified individuals over the same time period. The starting median salaries for entry-level technicians at Los Alamos and N3B is around $42,000 per year. A letter of support from Los Alamos National Laboratory is attached to this document.

If the program fills a regional workforce need, describe collaboration between your institution and regional employers in program development. Max 500 words.

See above discussion.

Regional and local demand for nuclear process operators is currently growing as missions, and increased staffing to support them, are increasing in both number and scope at the national laboratories. The regional demand for nuclear facility workers is growing. Over the next five years, Los Alamos National Laboratory anticipates hiring over 800 employees into nuclear process operator positions working in their nuclear facilities. N3B anticipates hiring dozens of these qualified individuals over the same time period. The starting median salaries for entry-level technicians at Los Alamos and N3B is around $42,000 per year.

E. Duplication.
Identify where similar degree programs are offered by other public higher education institutions in New Mexico in the box below. Max 500 words.

The NEST program is the first of its kind anywhere in the nation and will potentially serve as a template for similar programs at other nuclear sites around the country.

If similar programs are offered at other public higher education institutions in New Mexico, provide a rationale for offering an additional program in the box below. Max 500 words.

Program is not offered at other institutions in New Mexico.

F. Enrollment and Graduation Projections. Establish realistic enrollment, retention, and graduation targets for this program.

<table>
<thead>
<tr>
<th></th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 4</th>
<th>Year 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Students</td>
<td>40</td>
<td>40</td>
<td>40</td>
<td>40</td>
<td>40</td>
</tr>
<tr>
<td>Continuing Students</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Graduates</td>
<td>n/a</td>
<td>30</td>
<td>33</td>
<td>36</td>
<td>40</td>
</tr>
<tr>
<td>-----------</td>
<td>-----</td>
<td>----</td>
<td>----</td>
<td>----</td>
<td>----</td>
</tr>
<tr>
<td>Annual Retention Rate Target (%)</td>
<td>75%</td>
<td>75%</td>
<td>90%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Target 100% Graduation Rate (%)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Target Job Placement Rate (%)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

G. Institutional Readiness.
Describe the faculty resources that are needed to initiate the program. Will any additional faculty be needed? Max 500 words.

UNM-Los Alamos is uniquely located in close proximity to the Los Alamos National Laboratory (LANL) and N3B facilities. UNM and LANL entered into a formal Joint Faculty Appointment Agreement (IA-181) to allow LANL staff to have faculty appointments and teach accredited courses through the university, including UNM-LA. Similarly, N3B staff also have faculty appointments via Letters of Academic Title. All faculty credentials are verified by the Dean of Instruction at UNM-Los Alamos. Classes may be offered throughout the day and into the evening to accommodate workforce demands. The number of courses and sessions offered can be adapted to support student needs as well as collaborative positions provided at the national laboratories in support of mission work.

Describe the academic support resources that are needed to initiate the program. What, if any, additional resources will be needed? Max 500 words.

UNM LA has an Applied Technologies department, with two half-time continuing faculty positions. Additional faculty will be adjunct faculty or faculty appointed either through the Joint appointment process or through Letters of Academic Title. We do not anticipate additional academic support resources.

Describe the physical facilities of the institution that will be used for the first five years of the program. Will additional space or modifications of existing space be required within the first five years of program operation? Max 500 words.

Course content may be delivered on the UNM-Los Alamos campus, at Los Alamos National Lab facilities, N3B facilities or via synchronous or asynchronous distance learning at both institutions. The core technical courses in support of the fissile material handler and/or glovebox operator qualifications will be taught by LANL adjunct or joint appointment faculty at a combination of UNM-LA (classroom) and LANL (nuclear laboratory) facilities. LANL authorized adjunct faculty will be available to teach the necessary technical courses. The Radiation control and waste operator classes are taught by authorized faculty from N3B organization who are either adjunct faculty at UNM-LA or who hold a Letter of Academic title.

Describe the institution's equipment and technological resources needed for the first five years of the program? What, if any, additional equipment will be needed? Max 500 words.

No additional equipment will be needed. Lab and field work are conducted off site at either Los Alamos National Laboratory facilities, N3B facilities or in the actual field.

Describe any other operating resources needed to initiate the program. Max 500 words.

No other resources are needed for this program.

Are there existing external facilities that will be used? Have agreements been established to ensure use of those facilities? For example, if you are offering a nursing or allied health program have you established a partnership with local hospital(s) and other clinical settings? Max 500 words.

N3B and Los Alamos National Laboratory will offer on the job training/laboratory classes at their facilities for students in the lab courses.

H. Projected Budget.
Provide a clear analysis of the projected cost of the proposed program and the sources of funding that will support it for the first five years that the program will be offered. Include a discussion how any of the needed
resources discussed in Section G will be addressed. Section H should be completed in collaboration with your institution’s financial office.

We do not anticipate significant changes to the budget. Additional adjunct faculty will be hired to help with the increased teaching load if necessary. UNM Los Alamos anticipates funding from Los Alamos National Laboratory to support this program.

Requesting AAS Degree to be added Spring 2020.
<table>
<thead>
<tr>
<th>Operating Expenses</th>
<th>2019-2020 ( YEAR 1 )</th>
<th>2020-2021 ( YEAR 2 )</th>
<th>2021-2022 ( YEAR 3 )</th>
<th>2022-2023 ( YEAR 4 )</th>
<th>2023-2024 ( YEAR 5 )</th>
<th>2023-2024 ( YEAR 6 )</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty Salaries</td>
<td>$50,245.60 total for department</td>
<td>$50,245.60 total for department</td>
<td>$50,245.60 total for department</td>
<td>$50,245.60 total for department</td>
<td>$50,245.60 total for department</td>
<td>$50,245.60 total for department</td>
</tr>
<tr>
<td></td>
<td>$0 of this amount is for NEST faculty. Program is partnership with LANL. LANL providing faculty.</td>
<td>$0 of this amount is for NEST faculty. Program is partnership with LANL. LANL providing faculty.</td>
<td>$0 of this amount is for NEST faculty. Program is partnership with LANL. LANL providing faculty.</td>
<td>$0 of this amount is for NEST faculty. Program is partnership with LANL. LANL providing faculty.</td>
<td>$0 of this amount is for NEST faculty. Program is partnership with LANL. LANL providing faculty.</td>
<td>$0 of this amount is for NEST faculty. Program is partnership with LANL. LANL providing faculty.</td>
</tr>
<tr>
<td>Staff Salary –</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>TPT Salaries</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>Total I&amp;G Budget</td>
<td>$50,245.60</td>
<td>$50,245.60</td>
<td>$50,245.60</td>
<td>$50,245.60</td>
<td>$50,245.60</td>
<td>$50,245.60</td>
</tr>
<tr>
<td>Changes to current allocation of funds</td>
<td>Los Alamos National Lab (LANL) and N3B are partnering with UNM-LA to provide faculty and on-the-job training for these students. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students. UNM-LA is currently negotiating with LANL for additional funding. LANL has tentatively discussed between $125,000 and $150,000 in external funds to support this.</td>
<td>Los Alamos National Lab (LANL) and N3B are partnering with UNM-LA to provide faculty and on-the-job training for these students. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students. UNM-LA is currently negotiating with LANL for additional funding. LANL has tentatively discussed between $125,000 and $150,000 in external funds to support this.</td>
<td>Los Alamos National Lab (LANL) and N3B are partnering with UNM-LA to provide faculty and on-the-job training for these students. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students. UNM-LA is currently negotiating with LANL for additional funding. LANL has tentatively discussed between $125,000 and $150,000 in external funds to support this.</td>
<td>Los Alamos National Lab (LANL) and N3B are partnering with UNM-LA to provide faculty and on-the-job training for these students. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students. UNM-LA is currently negotiating with LANL for additional funding. LANL has tentatively discussed between $125,000 and $150,000 in external funds to support this.</td>
<td>Los Alamos National Lab (LANL) and N3B are partnering with UNM-LA to provide faculty and on-the-job training for these students. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students. UNM-LA is currently negotiating with LANL for additional funding. LANL has tentatively discussed between $125,000 and $150,000 in external funds to support this.</td>
<td>Los Alamos National Lab (LANL) and N3B are partnering with UNM-LA to provide faculty and on-the-job training for these students. We anticipate funding from the State of New Mexico Workforce Solutions and through the WIOA program to help cover the cost of the program for students. UNM-LA is currently negotiating with LANL for additional funding. LANL has tentatively discussed between $125,000 and $150,000 in external funds to support this.</td>
</tr>
<tr>
<td><strong>Anticipated tuition</strong></td>
<td>support this program, plus tuition reimbursement for employees continuing beyond the certificate program to the associate degree.</td>
<td>$150,000 in external funds to support this program, plus tuition reimbursement for employees continuing beyond the certificate program to the associate degree.</td>
<td>support this program, plus tuition reimbursement for employees continuing beyond the certificate program to the associate degree.</td>
<td>support this program, plus tuition reimbursement for employees continuing beyond the certificate program to the associate degree.</td>
<td>support this program, plus tuition reimbursement for employees continuing beyond the certificate program to the associate degree.</td>
<td></td>
</tr>
<tr>
<td>-------------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td><strong>Anticipated course fees (with rationale)</strong></td>
<td>To be determined. UNM LA tuition has a price break at 12-18 credit hours. Current UNM –LA tuition for 60 credit hours is $1,048 per semester for four semesters, assuming full time enrollment at 15 credit hours per semester for a total of $4,192 in tuition and fees at current rates.</td>
<td>To be determined. UNM LA tuition has a price break at 12-18 credit hours. Current UNM –LA tuition for 60 credit hours is $1,048 per semester for four semesters, assuming full time enrollment at 15 credit hours per semester for a total of $4,192 in tuition and fees at current rates.</td>
<td>To be determined. UNM LA tuition has a price break at 12-18 credit hours. Current UNM –LA tuition for 60 credit hours is $1,048 per semester for four semesters, assuming full time enrollment at 15 credit hours per semester for a total of $4,192 in tuition and fees at current rates.</td>
<td>To be determined. UNM LA tuition has a price break at 12-18 credit hours. Current UNM –LA tuition for 60 credit hours is $1,048 per semester for four semesters, assuming full time enrollment at 15 credit hours per semester for a total of $4,192 in tuition and fees at current rates.</td>
<td>To be determined. UNM LA tuition has a price break at 12-18 credit hours. Current UNM –LA tuition for 60 credit hours is $1,048 per semester for four semesters, assuming full time enrollment at 15 credit hours per semester for a total of $4,192 in tuition and fees at current rates.</td>
<td></td>
</tr>
<tr>
<td><strong>Anticipated course fees (with rationale)</strong></td>
<td>N/A Course fees typically cover consumable materials for classes. At this point, no consumable materials are required.</td>
<td>N/A Course fees typically cover consumable materials for classes. At this point, no consumable materials are required.</td>
<td>N/A Course fees typically cover consumable materials for classes. At this point, no consumable materials are required.</td>
<td>N/A Course fees typically cover consumable materials for classes. At this point, no consumable materials are required.</td>
<td>N/A Course fees typically cover consumable materials for classes. At this point, no consumable materials are required.</td>
<td></td>
</tr>
</tbody>
</table>
Nuclear Enterprise Science & Technology
Associate of Applied Science Degree (60 cr)

General Ed & Technical Electives (22)
- Communications (3)
- Mathematics (3)
- Social & Behavioral Sci (3)
- Humanities (3)
- Additional Gen (3)
- Electives (7)

Technical Core (18)
- NFFW 1110: Nucl Facility Fundamentals (5)
- ASFD 1110: Intro to Actinide Sci (5)
- CHEM 1215: General Chem I (3)
- CHEM 1225L: General Chem II Lab (1)
- PHYS 1115: Survey of Physics (3)
- PHYS 1115L: Survey of Phys Lab (1)

Nucl Material Handler Technician Concentration (LANL)

Nucl Material Handler Technician (20)
- NFFW 1120: Fissionable Mater. Handler (5)
- NFFW 1120L: Fissionable Mater. Handler Lab (5)
- ASFD 1120: Nucl Mater. Process Techniques (5)
- ASFD 1120L: Nucl Mater. Process Lab (5)

Haz Mat Mngr & Waste Technol Technician Concentration (N3B)

Hazardous Matl Mngr & Waste Technol Technician (20)
- RCTB 1110: Rad Control Tech (9)
- RCTB 1110L: Rad Control Tech Lab (1)
- OR
- NWOB 1110: Nucl Waste Operator (9)
- NWOB 1110L: Nucl Waste Operator Lab (1)

= NEST Certificate (30 cr)
= N3B Certificate (10 cr)
= UNM Courses (30-50 cr)

= BIOL 1140: Biol for Health Sciences (3)
- BIOL 1140L: Biology for Sciences Lab (1)
- GEOL 1120: Environmental Geology (3)
- GEOL 1120L: Environmental Geology Lab (1)
- BSTC 113: Intro to Project Management (1)
- BSTC 118: Conflict Resolution for Workplace (1)
Disposition of Surplus Property Approval
September/October/November 2019

Date: November 19, 2019

To: Bruce Cherrin
Chief Procurement Officer
Purchasing Department

From: Marcos Roybal
Associate Director
University Services
Purchasing Department

Attached for your review and submission to the Board of Regents is the Surplus Property Disposition detail list for the month of September, October and November 2019.

Consistent with UNM Board of Regents Policy 7.9 and the NM Disposition of Surplus Property Act, 13-6-1, NMSA 1978, and based upon documentation submitted by the UNM departments responsible for the equipment, I certify that the equipment identified on the monthly list is worn-out, unusable or obsolete to the extent that the items are no longer economical or safe for continued use by the University. I recommend that the items be deleted from UNM’s inventory and disposed of in accordance with the above noted Regents Policy and NM Surplus Property Act.
<table>
<thead>
<tr>
<th>Memo</th>
<th>Asset Tag</th>
<th>Department</th>
<th>Description</th>
<th>Manufacturer</th>
<th>Purchased</th>
<th>Total Cost ($)</th>
<th>NBV ($)</th>
<th>Disposal Method</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>N00006532</td>
<td>KNME Operations</td>
<td>Automation Package</td>
<td>Beck</td>
<td>01/01/2006</td>
<td>$287,307.58</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>1</td>
<td>197839</td>
<td>KNME Operations</td>
<td>TRANSMITTER TV SYSTE</td>
<td>Harris</td>
<td>11/24/1993</td>
<td>$172,144.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>1</td>
<td>N00007987</td>
<td>KNME PI #5</td>
<td>Automation Package</td>
<td>Sundance</td>
<td>06/29/2006</td>
<td>$164,685.60</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>1</td>
<td>N00041033</td>
<td>KNME Administration</td>
<td>ArchiveSystem/Custom</td>
<td>Sony</td>
<td>02/01/2013</td>
<td>$109,200.31</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>2</td>
<td>N00030656</td>
<td>CULLS</td>
<td>Server</td>
<td>EMC2</td>
<td>04/08/2011</td>
<td>$77,455.64</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>2</td>
<td>N00030658</td>
<td>CULLS</td>
<td>Server</td>
<td>EMC2</td>
<td>06/02/2011</td>
<td>$77,455.62</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>3</td>
<td>N00019351</td>
<td>Project ECHO</td>
<td>Video Conferencing System</td>
<td>BTConf</td>
<td>01/10/2009</td>
<td>$75,270.78</td>
<td>$0.00</td>
<td>Beyond Repair</td>
</tr>
<tr>
<td>1</td>
<td>N00004214</td>
<td>KNME PI #5</td>
<td>Video Cassette Recorder</td>
<td>Sony</td>
<td>02/04/2005</td>
<td>$49,426.74</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>1</td>
<td>N00034973</td>
<td>KNME Administration</td>
<td>HDGraphicsEditor</td>
<td>Avid</td>
<td>12/14/2011</td>
<td>$48,349.74</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>3</td>
<td>N00029528</td>
<td>Project ECHO</td>
<td>Video Conference Equipment</td>
<td>Polycom</td>
<td>03/01/2011</td>
<td>$31,799.00</td>
<td>$0.00</td>
<td>Beyond Repair</td>
</tr>
<tr>
<td>1</td>
<td>265761</td>
<td>KNME Operations</td>
<td>PSIP Generator</td>
<td>Triveni</td>
<td>04/09/2004</td>
<td>$24,683.52</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>4</td>
<td>219921</td>
<td>Center for High Tech Materials CHTM</td>
<td>DETECTOR LEAK</td>
<td>Balzers</td>
<td>07/02/1996</td>
<td>$19,903.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>5</td>
<td>N00044094</td>
<td>NMTR Faculty #1</td>
<td>SlotTapeLibrary</td>
<td>CondorStor</td>
<td>10/28/2013</td>
<td>$15,565.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>1</td>
<td>N00005196</td>
<td>KNME Engineering Local State Wide</td>
<td>GuideBuilder</td>
<td>Triveni</td>
<td>08/29/2005</td>
<td>$13,819.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>6</td>
<td>N00024310</td>
<td>NMTR Faculty #1</td>
<td>Encryption Hardware</td>
<td>AdvPresent</td>
<td>01/01/2010</td>
<td>$13,815.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>1</td>
<td>N00004412</td>
<td>KNME PI #5</td>
<td>Compact Disc Recorder</td>
<td>Sony</td>
<td>12/02/2004</td>
<td>$13,200.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>1</td>
<td>240587</td>
<td>KNME Operations</td>
<td>CLOCK TIME</td>
<td>DVMIA</td>
<td>02/22/2000</td>
<td>$12,258.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>3</td>
<td>N00022640</td>
<td>Project ECHO</td>
<td>Video Rec. &amp; Streaming Eq.</td>
<td>Polycom</td>
<td>09/10/2009</td>
<td>$10,656.25</td>
<td>$0.00</td>
<td>Beyond Repair</td>
</tr>
<tr>
<td>1</td>
<td>N00010970</td>
<td>CREST General Admin</td>
<td>Server</td>
<td>Dell</td>
<td>03/01/2007</td>
<td>$9,777.41</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>1</td>
<td>N00007937</td>
<td>KNME PI #5</td>
<td>Raritan Cat 5 Matrix Switch</td>
<td>Raritan</td>
<td>06/21/2000</td>
<td>$9,701.06</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>Memo</td>
<td>Asset Tag</td>
<td>Department</td>
<td>Description</td>
<td>Manufacturer</td>
<td>Purchased</td>
<td>Total Cost ($)</td>
<td>NBV ($)</td>
<td>Disposal Method</td>
</tr>
<tr>
<td>-------</td>
<td>-----------</td>
<td>---------------------------</td>
<td>---------------------</td>
<td>--------------</td>
<td>---------------</td>
<td>----------------</td>
<td>---------</td>
<td>-----------------</td>
</tr>
<tr>
<td>R</td>
<td>258901</td>
<td>Biology Department</td>
<td>FREEZER</td>
<td>ThermoForm</td>
<td>11/25/2002</td>
<td>$7,163.00</td>
<td>$0.00</td>
<td>Beyond Repair</td>
</tr>
<tr>
<td>N</td>
<td>N00042048</td>
<td>NMTR Faculty #1</td>
<td>Firewall Appliance</td>
<td>Checkpoint</td>
<td>06/30/2013</td>
<td>$7,125.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>N</td>
<td>N00042049</td>
<td>NMTR Faculty #1</td>
<td>Firewall Appliance</td>
<td>Checkpoint</td>
<td>06/30/2013</td>
<td>$7,125.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>N</td>
<td>N00019545</td>
<td>Emerg Med Faculty #031</td>
<td>Presentation System Bundle</td>
<td>Samsung</td>
<td>01/29/2009</td>
<td>$7,008.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>R</td>
<td>N00007927</td>
<td>KNME PI #5</td>
<td>NEC 46” LCD Flat Panel</td>
<td>Avitech</td>
<td>11/10/2005</td>
<td>$6,956.52</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>R</td>
<td>N00007928</td>
<td>KNME PI #5</td>
<td>NEC 46” LCD Flat Panel</td>
<td>Avitech</td>
<td>11/10/2005</td>
<td>$6,956.52</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>R</td>
<td>N00007929</td>
<td>KNME PI #5</td>
<td>NEC 46” LCD Flat Panel</td>
<td>Avitech</td>
<td>11/10/2005</td>
<td>$6,956.52</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>R</td>
<td>243338</td>
<td>KNME Operations</td>
<td>ENCODER</td>
<td>EEG</td>
<td>08/22/2000</td>
<td>$6,455.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>R</td>
<td>265889</td>
<td>KNME Operations</td>
<td>MONITOR</td>
<td>Panasonic</td>
<td>04/29/2004</td>
<td>$6,016.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>R</td>
<td>259853</td>
<td>Earth and Planetary Sciences Dept</td>
<td>COMPUTER CPU/SYSTEM</td>
<td>Dell</td>
<td>03/03/2003</td>
<td>$5,283.00</td>
<td>$0.00</td>
<td>Beyond Repair</td>
</tr>
<tr>
<td>R</td>
<td>183682</td>
<td>UNM Public Events</td>
<td>DIMMER</td>
<td>TTI</td>
<td>06/27/1988</td>
<td>$5,100.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>R</td>
<td>183683</td>
<td>UNM Public Events</td>
<td>DIMMER</td>
<td>TTI</td>
<td>06/27/1988</td>
<td>$5,100.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>R</td>
<td>183684</td>
<td>UNM Public Events</td>
<td>DIMMER</td>
<td>TTI</td>
<td>06/27/1988</td>
<td>$5,100.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>R</td>
<td>183685</td>
<td>UNM Public Events</td>
<td>DIMMER</td>
<td>TTI</td>
<td>06/27/1988</td>
<td>$5,100.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
</tbody>
</table>

**Total Asset Disposition ($)** | 0
**Total Capitalization ($)** | $1,323,917.81
**Total Net Book Value ($)** | $0.00

Board of Regents' Finance & Facilities Committee
To: University Services
From: Karen Allen, Sr. Fiscal Services Tech, KNME-TV
CC: Susan Rhymer, Director-Finance and Administration, KNME-TV
Date: September 6, 2019
Re: Revised Memo to original 8/13/19 Memo with additional information regarding Surplus of Items over $10,000 and over $100,000.

Information noted below regarding request for justifying the disposal of assets that were picked up by Surplus Property on August 28, 2019

Tag N00004412 (adjusted cost $13,200.00/NBV $0.00) Compact Optical Disc Recorder. It was purchased in 2004. The equipment is 10 years past its useful life of 5 years and is obsolete.

Tag N00007987 (Adjusted Cost $164,685.60/NBV $0.00) Sundance Automation Package. This was the system that recorded, scheduled and played back programs for our on air TV station. It was replaced in 2018 by the Marina Broadcast System under Purchase Order #P0146656. It was purchased in 2006. The equipment is 8 years past its useful life of 5 years and is obsolete.

Tag 240587 (Adjusted Cost $12,258.00/NBV $0.00) DYMA/Leitch Clock Time. It was purchased in 2000. The equipment is 14 years past its useful life of 5 years and is obsolete.

Tag N00041033 (Adjusted Cost $109,200.31/NBV $0.00) Sony ArchiveSystem/Custom. It was purchased in 2013. This equipment is a database server to be used for tracking and archiving our video assets. The server died, it was out of warranty and is now obsolete. Will be using Cloud and Digital storage in the future. The equipment is 1 year past its useful life of 5 years and is obsolete.

Tag N00005196 (Adjusted Cost $13,819.00/NBV $0.00) Triveni GuideBuilder. It was purchased in 2005. The equipment is 9 years past its useful life of 5 years and is obsolete.

Tag 265761 (Adjusted Cost $24,683.52/NBV $0.00) Triveni PSIP Generator. It was purchased in 2004. The equipment is 10 years past its useful life of 5 years and is obsolete.
Tag N00004214 (Adjusted Cost $49,426.74/NBV $0.00) Sony HB Digital Video Cassette Recorder. It was purchased in 2005. The equipment is 9 years past its useful life of 5 years and is obsolete.

Tag N00007973 (Adjusted Cost $3,017.13/NBV $0.00) Signal Conversion Digital Syncronizer. It was purchased in 2006. The equipment is 8 years past its useful life of 5 years and is obsolete.

Tag N00034973 (Adjusted Cost $48,349.74/NBV $0.00) Avid HD Graphics Editor. It was purchased in 2011. The equipment is 3 years past its useful life of 5 years and is obsolete.

Tag N00006532 (Adjusted Cost $287,307.58/NBV $0.00) Beck Server Automation Package (part of Sundance). This was the system that recorded, scheduled and played back programs for our on air TV station. It was replaced in 2018 by the Marina Broadcast System under Purchase Order #P0146656. It was purchased in 2006. The equipment is 8 years past its useful life of 5 years and is obsolete.

Please feel free to contact Karen Allen at 277-1215 or kallen@nmpbs.org or Susan Rhymer at 277-1221 or srhymere@nmpbs.org, if you have any questions.
Memo

To: University Services

From: Karen Allen, Sr. Fiscal Services Tech – KNME-TV

CC: Susan Rhymer, Director of Finance and Administration – KNME TV

Date: August 13, 2019

Re: Additional information regarding Surplus of Items over $10,000.00 (forms dated 6/26/19; forms sent 7/12/19)

Information noted below regarding request for justifying the disposal of assets.

- Tag 197839 (Adjusted Cost $172,144.00/NBV $0.00) Harris TV Transmitter System-Analog. Model: HT10LS. It was purchased in 1993. The equipment is 21 years past its useful life of 5 years and is obsolete. Not a grant purchase.

<table>
<thead>
<tr>
<th>Asset #</th>
<th>Description</th>
<th>Adj. Cost</th>
<th>NBV</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>N00004412</td>
<td>Optical Disc Recorder</td>
<td>$13,200.00</td>
<td>$0</td>
<td>12/15/2004</td>
</tr>
<tr>
<td>N00007987</td>
<td>Automation Package</td>
<td>$164,685.60</td>
<td>$0</td>
<td>6/13/2006</td>
</tr>
<tr>
<td>240587</td>
<td>Clock Time</td>
<td>$12,258.00</td>
<td>$0</td>
<td>2/22/2000</td>
</tr>
<tr>
<td>N00041033</td>
<td>Archive System</td>
<td>$109,200.31</td>
<td>$0</td>
<td>2/18/2013</td>
</tr>
<tr>
<td>N00005196</td>
<td>Guide Builder</td>
<td>$13,819.00</td>
<td>$0</td>
<td>8/30/2005</td>
</tr>
<tr>
<td>265761</td>
<td>PSIP Generator</td>
<td>$24,683.52</td>
<td>$0</td>
<td>4/09/2004</td>
</tr>
<tr>
<td>N00004214</td>
<td>Video Cassette Recorder</td>
<td>$49,426.74</td>
<td>$0</td>
<td>2/04/2005</td>
</tr>
<tr>
<td>N00034973</td>
<td>HD Graphics Editor</td>
<td>$48,349.74</td>
<td>$0</td>
<td>11/23/2011</td>
</tr>
<tr>
<td>N00006532</td>
<td>Automation Package</td>
<td>$287,307.58</td>
<td>$0</td>
<td>1/19/2006</td>
</tr>
<tr>
<td>197839</td>
<td>Transmitter TV System</td>
<td>$172,144.00</td>
<td>$0</td>
<td>11/24/1993</td>
</tr>
</tbody>
</table>

Thank you for your attention to this matter. If you should have any further questions please feel free to contact Karen Allen at 7-1215 (kallen@nmpbs.org) or Susan Rhymer at 7-1221 (srhymer@nmpbs.org).

1130 University Blvd. NE Albuquerque, NM 87102  Tel 505 277 2121  Fax 505 277 2191  nmpbs.org

A community service of the University of New Mexico and Albuquerque Public Schools
Disposition of Surplus Properties – UNM Tag #N00030656 and #N00030658

Date: August 5, 2019

To: University Services

Re: Surplus Servers with an Acquisition cost greater than $10,000

UNM Tag #N00030656 with serial number APM00110902511 and UNM Tag #N00030658 with serial number APM00111302593 were purchases on April 25, 2011. The acquisition cost were $13,423.20 for item #N00030656 and $54,730.00 for item #N00030658. The net book value (NBV) for both servers is $0. The adjusted cost for #N00030656 is $77,455.64 and the adjusted cost for #N00030658 is $77,455.62. These servers have been out of service for over a year. The software could not be updated anymore and rendered them obsolete. They use to be used for our Libros files but the University Libraries have purchased new servers to replace these with current up to date software and hardware.

Sincerely,

Bonifacio Anglada Jr.
Facilities Services Manager

<table>
<thead>
<tr>
<th>Asset #</th>
<th>Description</th>
<th>Adj. Cost</th>
<th>NBV</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>N00030656</td>
<td>Server</td>
<td>$77,455.64</td>
<td>$0</td>
<td>4/25/2011</td>
</tr>
<tr>
<td>N00030658</td>
<td>Server</td>
<td>$77,455.62</td>
<td>$0</td>
<td>4/25/2011</td>
</tr>
</tbody>
</table>
Memo - #3

Project ECHO® (Extension for Community Healthcare Outcomes)

Disposition of Surplus Property – UNM Tag #N00022640, N00029528 & N00019351

MEMO

August 6, 2019

To: Marcos Roybal
From: Project ECHO
Subject: Polycom Disposition

Dear Mr. Roybal:

UNM Tag #N00022640 (Polycom RMX2000) purchased on 9/10/09 by Project ECHO for $10,656.25, N00029528 (Polycom RMX2000) purchased on 1/3/11 by Project ECHO for $31,799 & N00019351 (Polycom CMA5000) purchased by Project ECHO for $75,270.78. The Polycoms were our video conferencing bridge. It was used to bridge H.323 devices together in a video conferencing meeting. The systems are almost if not over 10 years old and are out of warranty, and do not have a current maintenance contract tied to them. The systems are currently not working and we would need to purchase a maintenance contract to get them up and running. Last quote we got was 25-30k, so we decided not to go this route since they are older outdated systems. In its current state and age, I would say these systems are not worth much but it is hard to say. IT looked online to see what similar systems in this state are running and it was $100-$1,500.

Should you have any additional questions please feel free to contact Angela Zamora (505) 272-9893.

Thank you,

Sanjeev Arora, MD
Director
Project ECHO

<table>
<thead>
<tr>
<th>Asset #</th>
<th>Description</th>
<th>Adj. Cost</th>
<th>NBV</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>N00022640</td>
<td>Network Video Recording</td>
<td>$10,656.25</td>
<td>$0</td>
<td>9/10/2009</td>
</tr>
<tr>
<td>N00029528</td>
<td>Video Conferencing Equipment</td>
<td>$31,799.00</td>
<td>$0</td>
<td>3/02/2011</td>
</tr>
<tr>
<td>N00019351</td>
<td>Video Conferencing System</td>
<td>$75,270.78</td>
<td>$0</td>
<td>1/08/2009</td>
</tr>
</tbody>
</table>
August 6, 2019
To: UNM Surplus Property
From: Center for High Tech Materials
Subject: Asset 219921

To whom it may concern,

We at CHTM, request to surplus asset 219921 (original cost: $19,903, NBV: 0.00). This Helium Leak Detector has not been used for several years as we do not use Helium for experiments currently. The detector is outdated technology (acquisition date 7/02/1996) and occupies too much space in the labs. We are requesting that the detector be taken out of convenience for our professors. Thank you.

Sincerely,

Nina Morales (CHTM Inventory Specialist)

[Signature]

Arash Male, Director of CHTM

<table>
<thead>
<tr>
<th>Asset#</th>
<th>Description</th>
<th>Adj. Cost</th>
<th>NBV</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>219921</td>
<td>Detector Leak</td>
<td>$19,903.00</td>
<td>$0</td>
<td>7/2/1996</td>
</tr>
</tbody>
</table>
August 7, 2019

Disposition of Surplus Property – UNM Tag # N00044094

TO: Surplus Property Department
FROM: Derek Brown
        Systems Network Analyst
        New Mexico Tumor Registry, IT Department
SUBJECT: Surplus hardware

The New Mexico Tumor Registry provides its own server, computer, IT support.
We currently hold UNM Tag #N00044094 (Qualstar – Tape Library) and was originally purchased for $15,565.00 on 10/25/2013 and currently has a net book value (NBV) of $0. This device was used to back up our servers to tape. Since then this has become obsolete, as the backup system went to a hosted solution. As such, NMTR is requesting your assistance with surplussing this item. Please contact our office with the procedure needed to complete this request.

I can be reached at 272-5167 or if I am not available, call our main office line at 272-5541.

<table>
<thead>
<tr>
<th>Asset #</th>
<th>Description</th>
<th>Adj. Cost</th>
<th>NBV</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>N00044094</td>
<td>Slot Tape Library</td>
<td>$15,565.00</td>
<td>$0</td>
<td>10/31/2013</td>
</tr>
</tbody>
</table>
August 7, 2019

Disposition of Surplus Property – UNM Tag # N00024310

TO: Surplus Property Department
FROM: Derek Brown
Systems Network Analyst
New Mexico Tumor Registry, IT Department

SUBJECT: Surplus hardware

The New Mexico Tumor Registry provides its own server, computer, IT support.
We currently hold UNM Tag #N00024310 (Decru - encryption appliance) and was originally purchased for $13,815.00 on 01/29/2010 and currently has a net book value (NBV) of $0. This device was used to encrypt and decrypt data in transmission for SEER DMS. Since then this has become obsolete, as the system went to a hosted solution. As such, NMTR is requesting your assistance with surplussing this item. Please contact our office with the procedure needed to complete this request.

I can be reached at 272-5167 or if I am not available, call our main office line at 272-5541.

<table>
<thead>
<tr>
<th>Asset #</th>
<th>Description</th>
<th>Adj. Cost</th>
<th>NBV</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>N00024310</td>
<td>Encryption Hardware</td>
<td>$13,815.00</td>
<td>$0</td>
<td>1/27/2010</td>
</tr>
<tr>
<td>Memo</td>
<td>Asset Tag</td>
<td>Department</td>
<td>Description</td>
<td>Manufacturer</td>
</tr>
<tr>
<td>------</td>
<td>-----------</td>
<td>------------</td>
<td>-------------</td>
<td>--------------</td>
</tr>
<tr>
<td>1</td>
<td>265815</td>
<td>Biology Department</td>
<td>SEQUENCE DETECTOR</td>
<td>ApplBioSys</td>
</tr>
<tr>
<td>2</td>
<td>N00004353</td>
<td>KNME PI #5</td>
<td>STUDIO EDITING RECORDER</td>
<td>Sony</td>
</tr>
<tr>
<td>3</td>
<td>264537</td>
<td>IT Computing Platforms</td>
<td>Computer Network Hardware</td>
<td>Analytical</td>
</tr>
<tr>
<td>4</td>
<td>N00004349</td>
<td>Valencia Dean of Instruction Admin</td>
<td>Personal3DPrinter</td>
<td>RedRocks</td>
</tr>
<tr>
<td>5</td>
<td>200782</td>
<td>Biology Department</td>
<td>SYNTHESIZER</td>
<td>Beckman</td>
</tr>
<tr>
<td>6</td>
<td>N00017881</td>
<td>Valencia Dean of Instruction</td>
<td>Mediasite ML Recorder</td>
<td>AdvPresent</td>
</tr>
<tr>
<td>7</td>
<td>N00016829</td>
<td>Center for Advanced Studies Pl#179</td>
<td>High Finesse Cavity</td>
<td>N/A</td>
</tr>
<tr>
<td>8</td>
<td>N00020734</td>
<td>Valencia Dean of Instruction Admin</td>
<td>223-1044-PowerVault</td>
<td>Deli</td>
</tr>
<tr>
<td>9</td>
<td>194616</td>
<td>Pathology Department</td>
<td>INCUBATOR</td>
<td>Forma</td>
</tr>
<tr>
<td>10</td>
<td>254343</td>
<td>KNME Operations</td>
<td>DECODER</td>
<td>Ross</td>
</tr>
<tr>
<td>11</td>
<td>254345</td>
<td>KNME Operations</td>
<td>DECODER</td>
<td>Ross</td>
</tr>
<tr>
<td>12</td>
<td>N00020244</td>
<td>Valencia Dean of Instruction Admin</td>
<td>Sonic Foundry RL Recorder</td>
<td>AdvPresent</td>
</tr>
<tr>
<td>13</td>
<td>N00020261</td>
<td>Valencia Dean of Instruction Admin</td>
<td>Sonic Foundry RL Recorder</td>
<td>AdvPresent</td>
</tr>
<tr>
<td>14</td>
<td>N00020262</td>
<td>Valencia Dean of Instruction Admin</td>
<td>Sonic Foundry RL Recorder</td>
<td>AdvPresent</td>
</tr>
<tr>
<td>15</td>
<td>N00025185</td>
<td>Valencia Dean of Instruction</td>
<td>Media Site Recorder</td>
<td>AdvPresent</td>
</tr>
</tbody>
</table>
### Surplus Property Disposition - October FY20

<table>
<thead>
<tr>
<th>Memo</th>
<th>Asset Tag</th>
<th>Department</th>
<th>Description</th>
<th>Manufacturer</th>
<th>Purchased</th>
<th>Total Cost ($)</th>
<th>NBV ($)</th>
<th>Disposal Method</th>
</tr>
</thead>
<tbody>
<tr>
<td>P</td>
<td>215579</td>
<td>Biology Department</td>
<td>GENE AMP PCR SYSTEM</td>
<td>PerkinElmer</td>
<td>03/26/1996</td>
<td>$8,112.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>P</td>
<td>243104</td>
<td>Valencia County Branch</td>
<td>LASERJET PRINTER</td>
<td>HewlettPackard</td>
<td>08/07/2000</td>
<td>$7,403.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>N00015003</td>
<td>SOL Deans Office Gen Admin</td>
<td>Digital Signage Bundle</td>
<td>Samsung</td>
<td>02/15/2008</td>
<td>$6,771.15</td>
<td>$0.00</td>
<td>Obsolete</td>
<td></td>
</tr>
<tr>
<td>N00009510</td>
<td>Accessibility Services AS</td>
<td>Duplex Scanner</td>
<td>Canon</td>
<td>10/01/2006</td>
<td>$6,598.84</td>
<td>$0.00</td>
<td>Cannibalized</td>
<td></td>
</tr>
<tr>
<td>N00012467</td>
<td>Valencia Social Cultural Studies</td>
<td>Server</td>
<td>Dell</td>
<td>07/03/2007</td>
<td>$6,558.10</td>
<td>$0.00</td>
<td>Obsolete</td>
<td></td>
</tr>
<tr>
<td>N00012469</td>
<td>Valencia Social Cultural Studies</td>
<td>Server</td>
<td>Dell</td>
<td>07/03/2007</td>
<td>$6,558.10</td>
<td>$0.00</td>
<td>Obsolete</td>
<td></td>
</tr>
<tr>
<td>N00019532</td>
<td>KNME Administration</td>
<td>HD/SD Cross Converter</td>
<td>SnellWilco</td>
<td>01/26/2009</td>
<td>$5,822.50</td>
<td>$0.00</td>
<td>Obsolete</td>
<td></td>
</tr>
<tr>
<td>N00019327</td>
<td>Valencia Dean of Instruction Admin</td>
<td>Computer</td>
<td>Apple</td>
<td>01/05/2009</td>
<td>$5,675.90</td>
<td>$0.00</td>
<td>Obsolete</td>
<td></td>
</tr>
<tr>
<td>N00019328</td>
<td>Valencia Dean of Instruction Admin</td>
<td>Computer</td>
<td>Apple</td>
<td>01/18/2009</td>
<td>$5,675.90</td>
<td>$0.00</td>
<td>Obsolete</td>
<td></td>
</tr>
<tr>
<td>N00019334</td>
<td>Valencia Dean of Instruction Admin</td>
<td>Computer</td>
<td>Apple</td>
<td>01/18/2009</td>
<td>$5,675.90</td>
<td>$0.00</td>
<td>Obsolete</td>
<td></td>
</tr>
<tr>
<td>N00012855</td>
<td>Valencia Off Business Technology</td>
<td>Computer</td>
<td>Apple</td>
<td>08/17/2007</td>
<td>$5,045.00</td>
<td>$0.00</td>
<td>Obsolete</td>
<td></td>
</tr>
</tbody>
</table>

**Total Asset Disposition (#):** 26

**Total Capitalization ($):** $310,655.54

**Total Net Book Value ($):** $0.00
Dr. Melissa Sanchez  
Senior Research Scientist 1  
Molecular Biology Facility  
Department of Biology  
University of New Mexico  
Castetter Hall 229  
Albuquerque, New Mexico 87131  

10 September 2019  

Dear Surplus Department:  

The Biology Department has an instrument that needs to be surplused. Instrument specifications:  
UNM Asset Tag #: 265815  S/N: 270002739  
Asset Description: Sequence Detector  
Model: Prism 7000  
Total Cost: $47,702.00  NBV: $0  
Add Date: 04/22/2004  Adj. Cost: $47,702.00  
The instrument no longer functioned and needed repairs and ultimately was cannibalized for parts. The Biology Department has since replaced the instrument with another working model. Instrument specifications: UNM Asset Tag #: 261833, S/N: 270002230, Add Date: 06/30/03.  

Please let me know if you require any other information concerning the instrument.  

Yours sincerely,  

Dr. Melissa Sanchez  
Senior Research Scientist 1  

William T. Pockman, Ph.D.  
Chair, Department of Biology, UNM  
pockman@unm.edu  

<table>
<thead>
<tr>
<th>Asset#</th>
<th>Description</th>
<th>Adj. Cost</th>
<th>NBV</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>265815</td>
<td>Sequence Detector</td>
<td>$47,702.00</td>
<td>$0</td>
<td>4/22/2004</td>
</tr>
</tbody>
</table>
To: University Services  
From: Karen Allen, Sr. Fiscal Services Tech, KNME-TV  
CC: Susan Rhymer, Director-Finance and Administration, KNME-TV  
Date: September 19, 2019  
Re: Additional information regarding 9/18/19 Request for Disposal of Surplus of Items

Information noted below regarding request for justifying the disposal of assets.

Tag 254343 (adjusted cost $10,130.00/NBV $0.00) Ross Decoder. This equipment was used for Analog signal monitoring and distribution. It was purchased in 2002. The equipment is 12 years past its useful life of 5 years and is obsolete.

Tag 254345 (adjusted cost $10,129.00/NBV $0.00) Ross Decoder. This equipment was used for Analog signal monitoring and distribution. It was purchased in 2002. The equipment is 12 years past its useful life of 5 years and is obsolete.

Tag N00004353 (adjusted cost $25,403.10/NBV $0.00) Sony Studio Editing Recorder/Player, Model DNWA75. This was an Analog Betacam VCR. It was purchased in 2005. The equipment is 9 years past its useful life of 5 years and is obsolete.

Tag N00033594 (adjusted cost $19,229.00/NBV $0.00) Sony Disc Recorder, Model PDW-HD 1500. This equipment was used to record programming on a disc. It was purchased in 2011. The equipment is 3 years past its useful life of 5 years and is obsolete.

Tag N00033595 (adjusted cost $19,229.00/NBV $0.00) Sony Disc Recorder, Model PDW-HD 1500. This equipment was used to record programming on a disc. It was purchased in 2011. The equipment is 3 years past its useful life of 5 years and is obsolete.

Tag N00033596 (adjusted cost $19,229.00/NBV $0.00) Sony Disc Recorder, Model PDW-HD 1500. This equipment was used to record programming on a disc. It was purchased in 2011. The equipment is 3 years past its useful life of 5 years and is obsolete.

Tag N00033597 (adjusted cost $19,229.00/NBV $0.00) Sony Disc Recorder, Model PDW-HD 1500. This equipment was used to record programming on a disc. It was purchased in 2011. The equipment is 3 years past its useful life of 5 years and is obsolete.

Please feel free to contact Karen Allen at 277-1215 or kallen@nmpbs.org or Susan Rhymer at 277-1221 or srhymer@nmpbs.org if you have any questions.
<table>
<thead>
<tr>
<th>Asset #</th>
<th>Description</th>
<th>Adj. Cost</th>
<th>NBV</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>254343</td>
<td>DECODER</td>
<td>$10,130.00</td>
<td>$0.00</td>
<td>2002</td>
</tr>
<tr>
<td>254345</td>
<td>DECODER</td>
<td>$10,129.00</td>
<td>$0.00</td>
<td>2002</td>
</tr>
<tr>
<td>N00004353</td>
<td>STUDIO EDITING RECORDER/PLAYER</td>
<td>$25,403.10</td>
<td>$0.00</td>
<td>2005</td>
</tr>
</tbody>
</table>
TO: UNM Inventory Control

FROM: Kirsten Martinez, IT Fiscal Operations Director

DATE: October 16, 2019

SUBJECT: Request to Surplus Asset Tag 264537

This memo responds to a request dated 10/8/19, for additional information and approval for the surplus of the high dollar asset listed below. The Director of Fiscal Operations is requesting to surplus the following asset. This asset was the load balancer for web traffic. The hardware reached end of life and was replaced by newer hardware.

<table>
<thead>
<tr>
<th>UNM Tag#</th>
<th>Acquisition Date</th>
<th>UNM Serial #</th>
<th>Asset Desc</th>
<th>MFG</th>
<th>Model</th>
<th>Acquisition Cost</th>
<th>Net Book Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>264537</td>
<td>1/9/04</td>
<td>BIP050232S</td>
<td>Computer Network Hardware</td>
<td>Analytical</td>
<td>Redundant BIGIP</td>
<td>$21,375.00</td>
<td>0.00</td>
</tr>
</tbody>
</table>

Thank you.

Kirsten Martinez, Fiscal Operations Director
Memo

To: University Services
From: Amanda Thompson, Fiscal Services Tech.
Date: September 25, 2019
Subject: Disposal Justification

UNM tag #’s N00020244, N00020261, and N00020262 were all purchased on 03/24/2009 by UNM-Valencia for $10,000. These are all mediasite recorders and all have a net book value of $0.

These mediasite recorders were used to capture classroom content in a verity of subjects. They are past their useful life cycle and have no value as a trade-in. The University has replaced the old recorders with new ones with updated technology functions.

UNM tag #’s N00019328, N00019327, N00019334, and N00019328 were all purchased on 01/18/2009 by UNM-Valencia for $5,675.90. These are all Dell computers and all have a net book value of $0.

These computers were used in various classrooms for teaching purposes. They are past their useful life cycle and have no value as a trade-in. The University has replaced the old computers with newer ones with updated technology functions.

UNM tag #’s N00012854 and N00012855 were both purchased on 08/15/2007 by UNM-Valencia for $4246.00. These are both Dell computers and both have a net book value of $0 and adjusted cost of $5,045.00.

These computers were used in various classrooms for teaching purposes. They are past their useful life cycle and have no value as a trade-in. The University has replaced the old computers with newer ones with updated technology functions.

UNM tag # N00020734 was purchased on 05/01/2009 by UNM-Valencia for $11,633.40. This is a Dell Server with a net book value of $0.

This server was used in our server room where we store many UNM-Valencia networks. This item is past its useful life cycle and has no value as a trade-in. The University has replaced this item with a new server with updated technology functions.

UNM tag # N00041349 was purchased on 05/16/2013 by UNM-Valencia for $12,594.41. This is a 3D printer with a net book value of $0 and adjusted cost of $19,009.92.
This printer was used in our 3D lab by students and faculty. This printer is past its useful life cycle and has no value as a trade-in. The University has replaced the printer with a newer model.

UNM tag # N00017881 was purchased on 09/05/2008 by UNM-Valencia for $14,500. This is a mediasite recorder and has a net book value of $0.

This mediasite recorder was used to capture classroom content in a variety of subjects. It is past its useful life cycle and has no value as a trade-in. The University has replaced the old recorder with a new one with updated technology functions.

UNM tag # N00025185 was purchased on 04/13/2010 by UNM-Valencia for $10,000. This is a mediasite recorder and has a net book value of $0.

This mediasite recorder was used to capture classroom content in a variety of subjects. It is past its useful life cycle and has no value as a trade-in. The University has replaced the old recorder with a new one with updated technology functions.

<table>
<thead>
<tr>
<th>Asset #</th>
<th>Description</th>
<th>Adj. Cost</th>
<th>NBV</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>N00020734</td>
<td>PowerVault</td>
<td>$11,663.40</td>
<td>$0</td>
<td>05/01/2009</td>
</tr>
<tr>
<td>N00020244</td>
<td>Computer Hardware</td>
<td>$10,000.00</td>
<td>$0</td>
<td>03/24/2009</td>
</tr>
<tr>
<td>N00020261</td>
<td>Computer Hardware</td>
<td>$10,000.00</td>
<td>$0</td>
<td>03/24/2009</td>
</tr>
<tr>
<td>N00020262</td>
<td>Computer Hardware</td>
<td>$10,000.00</td>
<td>$0</td>
<td>03/24/2009</td>
</tr>
<tr>
<td>N00041349</td>
<td>3D Printer ProJet</td>
<td>$19,009.92</td>
<td>$0</td>
<td>05/16/2013</td>
</tr>
<tr>
<td>N00017881</td>
<td>Mediasite ML Recorder</td>
<td>$14,500.00</td>
<td>$0</td>
<td>09/05/2008</td>
</tr>
<tr>
<td>N00025185</td>
<td>Mediasite Recorder</td>
<td>$10,000.00</td>
<td>$0</td>
<td>04/13/2010</td>
</tr>
</tbody>
</table>
Dr. Melissa Sanchez  
Senior Research Scientist 1  
Molecular Biology Facility  
Department of Biology  
University of New Mexico  
Castetter Hall 229  
Albuquerque, New Mexico 87131

09 September 2019

Dear Surplus Department:

The MBF has an instrument that needs to be surplused. Instrument specifications:  
UNM Asset Tag #: 200782  S/N: 7070030  
Asset Description: Synthesizer  
Model: Oligo 1000  
Total Cost: $17,450.00  NBV: $0  
Add Date: 09/27/1993  Adj. Cost: $17,450.00

The instrument no longer functioned and needed repairs and no longer met the needs of the MBF. The MBF has since replaced the instrument with a newer more efficient and high throughput working model, Instrument specifications: UNM Asset Tag #: N00008744, S/N: 1DG5Q31, Add Date: 8/15/06.

Please let me know if you require any other information concerning the instrument.

Yours sincerely,  

[Signature]

Dr. Melissa Sanchez  
Senior Research Scientist 1

[Signature]

William T. Pockman, Ph.D.  
Chair, Department of Biology, UNM  
pockman@unm.edu

<table>
<thead>
<tr>
<th>Asset#</th>
<th>Description</th>
<th>Adj. Cost</th>
<th>NBV</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>200782</td>
<td>Synthesizer</td>
<td>$17,450.00</td>
<td>$0</td>
<td>9/27/1993</td>
</tr>
</tbody>
</table>
October 1, 2019

To: Marcos Roybal, Associate Director, University Services

Re: Surplus of UNM Assets #’s: N00016829

Dear Mr. Roybal,

UNM Asset # N00016829 is a UNM item belonging to Dr. F. Becerra. This item is a Dell Computer server and the serial number is: 3Y9TLF1. This item is not being used because it is outdated/obsolete. We are in the process of making the department lean in preparation for the move to our new building currently under way. Although this machine was once valuable equipment, it is of no further use to our department. We would like to send this item to Surplus Property. The adjusted cost of this item is $13,139.73 but has a book value of $0. Please accept this memo and approve disposal to Surplus Property.

Sincerely,

Richard Rand

Professor & Chair: rjr@unm.edu

277-1517

<table>
<thead>
<tr>
<th>Asset#</th>
<th>Description</th>
<th>Adj. Cost</th>
<th>NBV</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>N00016829</td>
<td>High Finesse Server</td>
<td>$13,139.73</td>
<td>$0</td>
<td>6/30/2008</td>
</tr>
</tbody>
</table>
MEMORANDUM

To: Inventory Control
From: Kyla Sorensen, Accountant
Date: October 3, 2019
Re: Request for Deletion of Asset # Asset # 194616

The department of Pathology is requesting that asset tag number 194616 be surplused and deleted from our inventory records. This incubator was purchased almost 30 years ago in 1991 for conducting research in a pathology lab and is no longer needed by any of our researchers. The asset has an adjusted cost of $10,257.00 with no net book value.

We request that this asset be removed from our inventory. Should you have any further questions please feel free to contact me.

Sincerely,

[Signature]
Kyla Sorensen
Accountant 2

<table>
<thead>
<tr>
<th>Asset#</th>
<th>Description</th>
<th>Adj. Cost</th>
<th>NBV</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>194616</td>
<td>Incubator</td>
<td>$10,257.00</td>
<td>$0</td>
<td>09/20/1991</td>
</tr>
</tbody>
</table>
UNIVERSITY SERVICES – DISPOSITION OF SURPLUS PROPERTY

NOVEMBER 2019
<table>
<thead>
<tr>
<th>Memo</th>
<th>Asset Tag</th>
<th>Department</th>
<th>Description</th>
<th>Manufacturer</th>
<th>Purchased</th>
<th>Total Cost ($)</th>
<th>NBV ($)</th>
<th>Disposal Method</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>N00015876</td>
<td>Chemistry Department</td>
<td>Mass Spectrometer</td>
<td>AppiBioSys</td>
<td>04/29/2008</td>
<td>$305,249.24</td>
<td>$0.00</td>
<td>Beyond Repair</td>
</tr>
<tr>
<td>2</td>
<td>N00020818</td>
<td>IT Academic Technologies</td>
<td>Scanner Hardware</td>
<td>Scantron</td>
<td>05/04/2009</td>
<td>$61,392.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>3</td>
<td>N00016584</td>
<td>Athletics Mens Golf</td>
<td>Ball Flight Monitor</td>
<td>Trackman</td>
<td>06/09/2008</td>
<td>$40,065.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>4</td>
<td>Z66902</td>
<td>Earth Data Analysis Center</td>
<td>COMPUTER DISK SYSTEM</td>
<td>Dell</td>
<td>07/02/2004</td>
<td>$11,342.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>5</td>
<td>N00019851</td>
<td>EDAC Staff #6</td>
<td>Tape Library</td>
<td>InfoStruc</td>
<td>02/16/2009</td>
<td>$10,972.85</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td>6</td>
<td>N00006543</td>
<td>EDAC Staff #4</td>
<td>Data Storage Server</td>
<td>SiliconMec</td>
<td>01/01/2006</td>
<td>$10,194.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td></td>
<td>N00033649</td>
<td>Gallup</td>
<td>MediaSite Media Recorder</td>
<td>SonicFound</td>
<td>11/08/2011</td>
<td>$9,900.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td></td>
<td>N00033650</td>
<td>Gallup</td>
<td>MediaSite Media Recorder</td>
<td>SonicFound</td>
<td>11/08/2011</td>
<td>$9,900.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td></td>
<td>N00033651</td>
<td>Gallup</td>
<td>MediaSite Media Recorder</td>
<td>SonicFound</td>
<td>11/08/2011</td>
<td>$9,900.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td></td>
<td>N00033653</td>
<td>Gallup</td>
<td>MediaSite Media Recorder</td>
<td>MediaSite</td>
<td>11/08/2011</td>
<td>$9,900.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td></td>
<td>Z63793</td>
<td>UME-ETS Educational Tech Support</td>
<td>LASERET PRINTER</td>
<td>Epson</td>
<td>04/15/2004</td>
<td>$8,691.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td></td>
<td>N00030532</td>
<td>UNM Public Events Gen Admin</td>
<td>Design Jet - 42 inch printer</td>
<td>HewlettPack</td>
<td>05/03/2011</td>
<td>$7,644.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td></td>
<td>N00008745</td>
<td>Pathology Faculty #R10</td>
<td>Digital Camera</td>
<td>LeedsPrec</td>
<td>08/14/2006</td>
<td>$7,102.41</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td></td>
<td>N00008746</td>
<td>Pathology Faculty #R10</td>
<td>Digital Camera</td>
<td>LeedsPrec</td>
<td>08/14/2006</td>
<td>$7,102.41</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td></td>
<td>N00012790</td>
<td>Gallup Nursing Administration</td>
<td>Laser Camera</td>
<td>CompRay</td>
<td>08/01/2007</td>
<td>$6,000.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td></td>
<td>N0001308</td>
<td>Psych General Administrative</td>
<td>Telehealth Unit</td>
<td>OneVision</td>
<td>10/04/2007</td>
<td>$5,899.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td></td>
<td>N0001309</td>
<td>Psych General Administrative</td>
<td>Telehealth Unit</td>
<td>OneVision</td>
<td>10/04/2007</td>
<td>$5,899.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td></td>
<td>N00007268</td>
<td>EDAC Staff #4</td>
<td>Server</td>
<td>SiliconMec</td>
<td>04/10/2006</td>
<td>$5,199.00</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
<tr>
<td></td>
<td>N00002513</td>
<td>Earth Data Analysis Center</td>
<td>Computer Server</td>
<td>Dell</td>
<td>12/08/2004</td>
<td>$5,038.10</td>
<td>$0.00</td>
<td>Obsolete</td>
</tr>
</tbody>
</table>

**Total Asset Disposition (#):** 19
**Total Capitalization ($):** $535,390.01
**Total Net Book Value ($):** $0.00
To: Inventory Control

From: Fred Fuchs  
Research Engineer  
Department of Chemistry and Chemical Biology

To whom it may concern,

We have submitted a surplus form for an old piece of equipment that we have no more use for. UNM tag#N00015876 it is a Mass Spectrometer from Applied Bio Systems, purchased in April 2008, for $473,400. It was used to analyze chemical samples for the MassSpec facility in this department. It does not currently work and the cost of repairs to bring it back are more than a new instrument with better capabilities. Total cost 473,416.79 NBV $0, Adjusted cost 303,249.24.

Thank you
Fred Fuchs

Signed by:

Department Chair

<table>
<thead>
<tr>
<th>Asset #</th>
<th>Description</th>
<th>Total cost</th>
<th>Adj. cost</th>
<th>NBV</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>N00006543</td>
<td>Mass Spectrometer</td>
<td>473,416.79</td>
<td>303,249.24</td>
<td>0</td>
<td>4/29/08</td>
</tr>
</tbody>
</table>
TO: UNM Inventory Control
FROM: Kirsten Martinez, IT Fiscal Operations Director
DATE: October 18, 2019
SUBJECT: Request to Surplus Asset N00020818, Org 321A

The IT Fiscal Operations Director is requesting to surplus the high dollar asset listed below. The OpScan 70 scanner scans forms and creates PDF files with the data read from the forms. We are requesting the disposal of this asset because it is now obsolete and no longer works.

<table>
<thead>
<tr>
<th>UNM Tag#</th>
<th>Acquisition Date</th>
<th>UNM Serial #</th>
<th>Asset Desc</th>
<th>MFG</th>
<th>Model</th>
<th>Acquisition Cost</th>
<th>Acquisition Cost</th>
<th>Net Book Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>N00020818</td>
<td>5/26/09</td>
<td>5400121</td>
<td>Scanner Hardware- IN70; iNSIGHT 70 Image</td>
<td>Scantron</td>
<td>Optical Insight 70 Scanner</td>
<td>$61,392.00</td>
<td>$61,392.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

Thank you.

Kirsten Martinez, Fiscal Operations Director

Asset# Description Adj. Cost NBV Date
N00020818 Scantron $61,392.00 $0 5/26/09
November 11, 2019

To: Marcos Roybal  
From: UNM Athletics  
Subject: Equipment Disposition – Women's Golf

Dear Mr. Roybal:

UNM Tag #N00016584, purchased cost $26,995.00, adjusted cost $40,065.00, NBV $0, Trackman TMII Pro Ball Flight Monitor (Serial #8053037) is being presented for disposition. This equipment was purchased in 2011 for use in the indoor hitting bay located at the UNM Championship Golf Course. The equipment was utilized for training and instructional benefits for the men’s and women’s golf program from 2011-2019. The equipment no longer serves a benefit to the golf programs as it has become dated.

The device will have some salvage value when presented to public auction. As a result of the sale, the University will no longer be responsible for maintenance and operational costs of the system. If you have any further questions, please feel free to contact us.

Best,

Ryan Berryman  
Associate Athletics Director  
Business & Operations  
rcdb8@unm.edu

<table>
<thead>
<tr>
<th>Asset #</th>
<th>Description</th>
<th>Adj. cost</th>
<th>Total Cost</th>
<th>NBV</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>N00016584</td>
<td>Ball Flight Monitor</td>
<td>$40,065.00</td>
<td>$26,995.00</td>
<td>$0</td>
<td>6/3/08</td>
</tr>
</tbody>
</table>

CC: Glen Millican, Jill Trujillo  
Men's/Women's Golf Coaches
Disposition of Surplus Property – UNM Tag 266902

October 28, 2019

To: Norris Cain
From: Earth Data Analysis Center
Subject: IT Equipment Disposition

Dear Mr. Cain:

UNM Tag 266902 (Dell PowerVault 132T) was purchased on July 2, 2004 by the Earth Data Analysis Center for $11,342.00. This device was used for backing up EDAC data to tape storage but is now obsolete and has been replaced with newer equipment. Its net book value (NBV) is $0.

Transferring this device to UNM Surplus Property will free up space in our work areas and make better use of EDAC and UNM facilities. Thank you for your attention to this.

Sincerely,

Harrison Meyer
Systems/Network Analyst and Inventory Contact, EDAC

<table>
<thead>
<tr>
<th>Asset #</th>
<th>Description</th>
<th>Purchase cost</th>
<th>Adj cost</th>
<th>NBV</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>266902</td>
<td>Server</td>
<td>$11,342.00</td>
<td>11,342.00</td>
<td>$0</td>
<td>7/2/04</td>
</tr>
</tbody>
</table>
Disposition of Surplus Property – UNM Tag N00019851

October 29, 2019

To: Norris Cain
From: Earth Data Analysis Center
Subject: IT Equipment Disposition

Dear Mr. Cain:

UNM Tag N00019851 (Overland ARCVault) was purchased on February 10, 2009 by the Earth Data Analysis Center for $9,822.85. The adjusted cost is $10,972.85. This device was used for backing up EDAC data to tape storage but is now obsolete and has been replaced with newer equipment. Its net book value (NBV) is $0.

Transferring this device to UNM Surplus Property will free up space in our work areas and make better use of EDAC and UNM facilities. Thank you for your attention to this.

Sincerely,

[Signature]

Harrison Meyer
Systems/Network Analyst and Inventory Contact, EDAC

<table>
<thead>
<tr>
<th>Asset #</th>
<th>Description</th>
<th>Purchasing cost</th>
<th>Adj. cost</th>
<th>NBV</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>N00019851</td>
<td>Tape Library</td>
<td>$9,822.85</td>
<td>$10,972.85</td>
<td>$0.00</td>
<td>2/10/18</td>
</tr>
</tbody>
</table>
Disposition of Surplus Property – UNM Tag N00006543

October 28, 2019

To: Norris Cain
From: Earth Data Analysis Center
Subject: IT Equipment Disposition

Dear Mr. Cain:

UNM Tag N00006543 (Silicon Mechanics IServ Q300) was purchased January 5, 2006 by the Earth Data Analysis Center for $10,194.00. This device was used for data storage but is now obsolete and no longer in use. Its net book value (NBV) is $0.

Transferring this device to UNM Surplus Property will free up space in our work areas and make better use of EDAC and UNM facilities. Thank you for your attention to this.

Sincerely,

[Signature]

Harrison Meyer
Systems/Network Analyst and Inventory Contact, EDAC

<table>
<thead>
<tr>
<th>Asset #</th>
<th>Description</th>
<th>Purchasing cost</th>
<th>Adj. cost</th>
<th>NBV</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>N00006543</td>
<td>Server</td>
<td>$10,194.00</td>
<td>$10,194.00</td>
<td>$0.00</td>
<td>1/5/2006</td>
</tr>
</tbody>
</table>
13-6-1. Disposition of obsolete, worn-out or unusable tangible personal property.

A. The governing authority of each state agency, local public body, school district and state educational institution may dispose of any item of tangible personal property belonging to that authority and delete the item from its public inventory upon a specific finding by the authority that the item of property is:

   1. of a current resale value of five thousand dollars ($5,000) or less; and
   2. worn out, unusable or obsolete to the extent that the item is no longer economical or safe for continued use by the body.

B. The governing authority shall, as a prerequisite to the disposition of any items of tangible personal property:

   1. designate a committee of at least three officials of the governing authority to approve and oversee the disposition; and
   2. give notification at least thirty days prior to its action making the deletion by sending a copy of its official finding and the proposed disposition of the property to the state auditor and the appropriate approval authority designated in Section 13-6-2 NMSA 1978, duly sworn and subscribed under oath by each member of the authority approving the action.

C. A copy of the official finding and proposed disposition of the property sought to be disposed of shall be made a permanent part of the official minutes of the governing authority and maintained as a public record subject to the Inspection of Public Records Act [Chapter 14, Article 2 NMSA 1978].

D. The governing authority shall dispose of the tangible personal property by negotiated sale to any governmental unit of an Indian nation, tribe or pueblo in New Mexico or by negotiated sale or donation to other state agencies, local public bodies, school districts, state educational institutions or municipalities or through the central purchasing office of the governing authority by means of competitive sealed bid or public auction or, if a state agency, through the surplus property bureau of the transportation services division of the general services department.

E. A state agency shall give the surplus property bureau of the transportation services division of the general services department the right of first refusal when disposing of obsolete, worn-out or unusable tangible personal property of the state agency.

F. If the governing authority is unable to dispose of the tangible personal property pursuant to Subsection D or E of this section, the governing authority may sell or, if the property has no value, donate the property to any organization described in Section 501(c)(3) of the Internal Revenue Code of 1986.
G. If the governing authority is unable to dispose of the tangible personal property pursuant to Subsection D, E or F of this section, it may order that the property be destroyed or otherwise permanently disposed of in accordance with applicable laws.

H. If the governing authority determines that the tangible personal property is hazardous or contains hazardous materials and may not be used safely under any circumstances, the property shall be destroyed and disposed of pursuant to Subsection G of this section.

I. No tangible personal property shall be donated to an employee or relative of an employee of a state agency, local public body, school district or state educational institution; provided that nothing in this subsection precludes an employee from participating and bidding for public property at a public auction.

J. This section shall not apply to any property acquired by a museum through abandonment procedures pursuant to the Abandoned Cultural Properties Act [18-10-1 to 18-10-5 NMSA 1978].

K. Notwithstanding the provisions of Subsection A of this section, the department of transportation may sell through public auction or dispose of surplus tangible personal property used to manage, maintain or build roads that exceeds five thousand dollars ($5,000) in value. Proceeds from sales shall be credited to the state road fund. The department of transportation shall notify the department of finance and administration regarding the disposition of all property.

L. If the secretary of public safety finds that the K-9 dog presents no threat to public safety, the K-9 dog shall be released from public ownership as provided in this subsection. The K-9 dog shall first be offered to its trainer or handler free of charge. If the trainer or handler does not want to accept ownership of the K-9 dog, then the K-9 dog shall be offered to an organization described in Section 501(c)(3) of the Internal Revenue Code of 1986 free of charge. If both of the above fail, the K-9 dog shall only be sold to a qualified individual found capable of providing a good home to the animal.

MEMORANDUM

To: Teresa Costantinidis, Sr. Vice President for Finance & Administration

From: Bruce Cherrin, Chief Procurement Officer

Subject: Contract Approval

Date: November 20, 2019

The following is being submitted for approval per Regent Policy 7.4. This will need to proceed to the full Board of Regents.

1) College of University Libraries and Learning Sciences and the UNM Health Sciences Library and Informatics Center – license renewal for Elsevier

The College of University Libraries and Learning Sciences and the UNM Health Sciences Library and Informatics Center are in the process of renewing their previous five-year license with Elsevier for electronic journal access from ScienceDirect and the ScienceDirect Freedom electronic journal collection, for a new three-year license for 2020-2022. Elsevier publishes almost one-quarter of the world's peer-reviewed full-text scientific, technical and medical content; with many of its journals among the most highly rated scientific journals in the world. Over 15 million researchers, health care professionals, teachers, students and information professionals around the globe rely on ScienceDirect as a trusted source of more than 2,500 journals and more than 26,000 book titles. In the past the ScienceDirect Freedom collection was requested and supported for purchase by the UNM Faculty Senate Library Committee and the UNM Office of the Vice President for Research.

The three-year license will give UNM access to over 2,500 electronic journals with articles dating back to at least 1995. The journals included in the License are essential for the educational and research mission of the University of New Mexico. Elsevier's ScienceDirect is the primary publisher of the journals provided in this License, and as such they are not available from another provider with the same level of depth and coverage. The License is being renewed due to the Universities high usage of the material contained in the License. College of University Libraries and Learning Sciences and the UNM Health Sciences Library and Informatics Center will fund the purchase from each Library’s Acquisition Budgets.

The total cost for both libraries is just over $1 million/per year. The three-year agreement keeps annual increases lower than current journal inflation rates, reduces the annual content access fee, and caps the total cost of the license lower per year than a one-year license that is renewed annually.
MEMORANDUM TO ADVANCE COMMITTEE AGENDA ITEM TO THE BOARD OF REGENTS
THE UNIVERSITY OF NEW MEXICO

DATE: November 20, 2019

TO: Teresa Costantinidis, Sr. VP Finance & Administration

FROM: Chris Vallejos, AVP Institutional Support Services
Lisa Marbury, Executive Director, Institutional Support Services

RE: Requested Approval

RECOMMENDED ACTION:

Recommend to the Board of Regents Finance and Facilities Committee the following requests for Project Construction Approval:

1. Phase 2 Renovations at Clark Hall Chemistry Building
2. Center for the Arts – Fire Alarm Upgrade
3. Economics Building # 57: Infrastructure Upgrades
4. Clark Hall # 22: Riebsomer Lab Waste System Replacement
5. UNM Popejoy Hall Artist Support Spaces Renovation
6. Renovate Cube Area, South Wing, Information Technology Building (#153)
7. Santa Ana Star Baseball Field Bleacher Expansion
8. ASUNM Main Campus Photovoltaic System
9. Student Union Building # 60: Partial Roof Replacement

cc: A. Coburn, M. Dion, C. Carian, B. Scharmer, T. Silva, S. Rodgers, C. Martinez – PDC
A. Sena, L. Schuster, H. Barsun, R. Notary, D. Penasa, J. Hart, R. Garcia – FM
REQUEST FOR CAPITAL CONSTRUCTION PROJECT APPROVAL for
PHASE 2 RENOVATIONS AT CLARK HALL CHEMISTRY BUILDING
THE UNIVERSITY OF NEW MEXICO
December 10, 2019

REQUESTED ACTION:
In accordance with Section 7.12 of the Board of Regents Policy Manual and as required by the New Mexico Higher Education Department and New Mexico State Board of Finance, project approval is requested for Phase 2 Renovations at Clark Hall Chemistry Building, on UNM’s Main Campus.

PROJECT DESCRIPTION:
The Clark Hall Chemistry building contains 81,339 gross square feet (GSF). The Phase 2 renovations include heavy demolition and renovation to the existing Clark Hall North Wing of 31,215 GSF and demolition and renovations to some spaces within the Clark Hall (Riebsomer) South Wing of 12,773 GSF. The entire project renovates a total of 43,998 GSF and also includes new entrance improvements. Primary renovations will be focused on safety and code compliance including mechanical, electrical, and plumbing (MEP), and information technology (IT) system upgrades. Portions of the Clark Wing of the building will be reconstructed into new teaching laboratory facilities, administrative and staff offices. Within the Riebsomer wing, the project will include renovations to more research space not renovated in Phase 1. The project will achieve LEED Silver Certification.

PROJECT RATIONALE:
This project includes the design, construction and equipping of offices, research and teaching labs, and support spaces for the Department of Chemistry and Chemical Biology (CCB) that will support the department’s research, educational mission and provide staff and students with a healthy flexible working environment. CCB serves over 6,000 undergraduate and graduate students from more than twenty different degree-granting programs and generated over 20,000 student credit hours in Academic Year 2018. Many of the students enrolled in CCB courses apply to UNM Health Sciences programs. Virtually all students in the College of Engineering take two or more semesters of chemistry, and chemistry courses are required for STEM majors in the College of Arts & Sciences including Physics & Astronomy, Earth & Planetary Sciences, Biochemistry and Biology. Chemistry has 15 tenure-track and tenured faculty members representing the traditional disciplines of organic, inorganic, physical, and biological chemistry. Average research Grants obtained for the UNM Department of Chemistry and Chemical Biology (CCB) has exceeded $2,500,000 for the past 3 years. Failure to renovate Clark Hall will interrupt planned faculty hiring, disrupt developing research programs of current faculty, and prevent the modernization of upper divisional teaching labs taken by undergraduates majoring in the chemical sciences.

FUNDING: The project budget is $16,000,000.

- The funding source is $16,000,000 in 2018 General Obligation Bonds.
The University of New Mexico - Albuquerque: Central Campus

CLARK HALL CHEMISTRY BUILDING

CAMPUS MAP
PHASE 2 RENOVATIONS AT CLARK HALL CHEMISTRY BUILDING
SITE MAP
PHASE 2 RENOVATIONS AT CLARK HALL CHEMISTRY BUILDING
PHASE 2 RENOVATIONS AT CLARK HALL CHEMISTRY BUILDING
FIRST FLOOR PLAN
1" = 20'-0"

LEGEND
- AREA OF GENERAL RENOVATION
- AREA OF LAB RENOVATION
- AREA OF NO WORK

PHASE 2 RENOVATIONS AT CLARK HALL CHEMISTRY BUILDING
LEGEND

AREA OF GENERAL RENOVATION

AREA OF LAB RENOVATION

AREA OF NO WORK

SECOND FLOOR PLAN

PHASE 2 RENOVATIONS AT CLARK HALL CHEMISTRY BUILDING

McCLAIN + YU
ARCHITECTURE & DESIGN
THIRD FLOOR PLAN

AREA OF GENERAL RENOVATION
AREA OF LAB RENOVATION
AREA OF NO WORK

LEGEND

1" = 20'-0"}

PHASE 2 RENOVATIONS AT CLARK HALL CHEMISTRY BUILDING
NORTHWEST ENTRY
PHASE 2 RENOVATIONS AT CLARK HALL CHEMISTRY BUILDING
REQUEST FOR CAPITAL PROJECT CONSTRUCTION APPROVAL for
CENTER FOR THE ARTS – FIRE ALARM UPGRADE
UNIVERSITY OF NEW MEXICO
December 10, 2019

REQUESTED ACTION:
In accordance with Section 7.12 of the Board of Regents Policy Manual and as required by the New Mexico Higher Education Department and New Mexico State Board of Finance, project approval is requested for the Center for the Arts – Fire Alarm Upgrade, at the Main Campus.

PROJECT DESCRIPTION:

The Center for the Arts is the supreme destination for cultural arts within the State of New Mexico. The approximate 374,779 gross square feet (GSF) facility houses performance spaces, a museum quality art gallery, multiple rehearsal spaces, as well as numerous classroom and office spaces.

This project will entail renovations to the existing building fire alarm system. The entire fire alarm system will be replaced with a new addressable fire voice evacuation emergency communication system that will integrate all portions of the facility. The existing building fire alarm system will remain operational while the new fire alarm system is installed and tested.

PROJECT RATIONALE:

A primary university initiative is to update building life safety systems for all facilities. There are many institutional groups, such as the Department of Art, Department of Cinematic Arts, Department of Music, Department of Theatre & Dance, and the UNM Art Museum which occupy The Center for the Arts. Additionally, the facility hosts local grade school students, community organizations, and various national traveling companies throughout the calendar year.

Without this project the facility is at extreme risk during an emergency fire scenario. It is vital that notification and detection appliances and devices are correctly installed to meet all applicable code and standard language. Currently the fire alarm system is deficient in both accounts. Additionally, the current fire alarm panel is obsolete based on the manufacture’s product lines, there is no local support, and any replacement parts would have to be of a refurbished variety.

FUNDING:
The total estimated Project Budget is $1,887,813:

- $1,887,813 is funded from 2019 General Fund Appropriation
FIRE ALARM UPGRADE TO ENCOMPASS WORK THROUGHOUT ALL LEVELS OF THE BUILDING FOR COMPLETE NOTIFICATION AND DETECTION COVERAGE

BASEMENT

SCALE: NOT TO SCALE

CENTER FOR THE ARTS
BASEMENT
203 CORNELL DR NE

FACILITIES MANAGEMENT
SPACE MANAGEMENT
THE UNIVERSITY OF NEW MEXICO
FIRE ALARM UPGRADE TO ENCOMPASS WORK THROUGHOUT ALL LEVELS OF THE BUILDING FOR COMPLETE NOTIFICATION AND DETECTION COVERAGE.

CENTER FOR THE ARTS
FIRST FLOOR
203 CORNELL DR NE
SECOND FLOOR

FIRE ALARM UPGRADE TO ENCOMPASS WORK THROUGHOUT ALL LEVELS OF THE BUILDING FOR COMPLETE NOTIFICATION AND DETECTION COVERAGE.

CENTER FOR THE ARTS
SECOND FLOOR
203 CORNELL DR NE

FACILITIES MANAGEMENT
SPACE MANAGEMENT

THE UNIVERSITY OF NEW MEXICO

FLOOR:
GROSS SQUARE FEET:
SCALE: NOT TO SCALE
TOTAL GROSS SQUARE FEET:
TOTAL FLOORS:
SECOND FLOOR
SECONDARY ENTRANCE
MAIN ENTRANCE
062-00-02
#062
3 OF 6
FIRE ALARM UPGRADE TO ENCOMPASS WORK THROUGHOUT ALL LEVELS OF THE BUILDING FOR COMPLETE NOTIFICATION AND DETECTION COVERAGE.
FIRE ALARM UPGRADE TO ENCOMPASS WORK THROUGHOUT ALL LEVELS OF THE BUILDING FOR COMPLETE NOTIFICATION AND DETECTION COVERAGE
REQUEST FOR CAPITAL PROJECT CONSTRUCTION APPROVAL for
ECOMINCS BUILDING # 57: Infrastructure Upgrades
UNIVERSITY OF NEW MEXICO
December 10, 2019

REQUESTED ACTION:
In accordance with Section 7.12 of the Board of Regents Policy Manual and as required by the New Mexico Higher Education Department and New Mexico State Board of Finance, project approval is requested for Economics Building #057: Infrastructure Upgrades

PROJECT DESCRIPTION:
The Economics building (# 57) is 21,415 gross square foot (GSF), 2 story building built in 1952; consisting of primarily office and classroom space. The Economics building houses the Department of Economics, the Water Resources Program, and the Master in Public Policy Program. This project will upgrade the HVAC and controls and lighting systems in order to reduce energy consumption and improve occupant comfort, indoor air quality, and overall enhance the learning environments. Other, minor upgrades will include creating a learning commons space for graduate students, an interdisciplinary suite for the Water Resources Program and the Master in Public Policy Program, and a gathering/study space for undergraduates. In addition, life safety improvements will also be included which will upgrade the building’s fire alarm system and will add a fire sprinkler system.

PROJECT RATIONALE:
Due to the age and type of systems, occupant comfort is difficult to control and maintain, as a result the learning environments suffer. Bringing the HVAC and lighting systems up to modern day standards will improve occupant comfort and enhance the learning environments all while reducing energy usage. A learning commons space for graduate students and an interdisciplinary suite for the Water Resources Program and the Master in Public Policy Program will bolster collaboration among students and researchers as well as a gathering space for undergraduate students. Life safety deficiencies will be addressed so as to minimize the need to disrupt the building and its occupants in the future.

If the project does not receive approval, the building will continue to operate inefficiently and require constant maintenance in order to mitigate a subpar indoor environment. Collaboration among students will be hindered as spaces and programs are currently disjointed and separated by the current architecture of the building. Life safety systems will continue to be deficient and receive maintenance as necessary to keep the systems functioning.

FUNDING:
The total estimated Project Budget is $2,500,000:

- $2,300,000 is funded from Sustainability Surcharge
- $200,000 is funded from Provost Office FY20 BR&R
Entire floor to have a full HVAC, lighting, and fire alarm replacement as well as the addition of a fire protection sprinkler system. Additional architectural scope items are noted below.
 Entire floor to have a full HVAC, lighting, and fire alarm replacement as well as the addition of a fire protection sprinkler system. Additional architectural scope items are noted below.

**Create Learning Commons for Graduate Students:**
- Remove Walls
- Remove Storage Rooms 2017 & 2019
- Patch and paint walls
- Paint ceiling
- Replace ME in read power

**Create Graduate Student Shared Office Space - Room 2021:**
- Patch and paint walls
- Patch and replace carpet
- Power/data add as needed to accommodate 8 students as shared office
REQUEST FOR CAPITAL PROJECT CONSTRUCTION APPROVAL for
CLARK HALL # 22: Riebsomer Wing Lab Waste System Replacement
UNIVERSITY OF NEW MEXICO
December 10, 2019

REQUESTED ACTION:
In accordance with Section 7.12 of the Board of Regents Policy Manual and as required by the New Mexico Higher Education Department and New Mexico State Board of Finance, project approval is requested for Clark Hall Riebsomer Wing Lab Waste System Replacement on Main Campus.

PROJECT DESCRIPTION:
Clark Hall is an 81,353 gross square foot (GSF) multi-story building, built in 1952 with an expansion in 1969. The Riebsomer wing was renovated in 2016. It is a mixed use building comprised of offices, classrooms, teaching and research laboratories. Clark Hall houses the Department of Chemistry and Chemical Biology. The Riebsomer wing is comprised of research labs and support spaces. The project will replace the entire lab drainage system piping in the Riebsomer wing. The replacement will consist of all of the drainage system piping from every lab sink to the main drain exiting the building. Approximately 41 labs and 160 sinks will receive new drain piping.

PROJECT RATIONALE:
The Riebsomer wing received a new lab drainage piping system during the 2016 renovation project. Within a year the piping system began to exhibit failures. The system had minor repairs performed over the years to address the failures. It was recently discovered that the failures have progressed across the entire drainage system. A replacement drainage system is required to allow on-going and future research to continue.

If the project does not receive approval, the existing drainage system will continue to fail and jeopardize millions of dollars of research equipment to potential damage as well as hinder ongoing and future research.

FUNDING:
The total estimated Project Budget is $970,000:

- $350,000 is funded from Facilities Management Reserves
- $620,000 is funded from Minor Capital Reserves
REQUEST FOR CAPITAL PROJECT CONSTRUCTION APPROVAL for
UNM POPEJOY HALL ARTIST SUPPORT SPACES RENOVATION
UNIVERSITY OF NEW MEXICO
December 10, 2019

REQUESTED ACTION:
In accordance with Section 7.12 of the Board of Regents Policy Manual and as required by the New Mexico Higher Education Department and New Mexico State Board of Finance, project approval is requested for **UNM Popejoy Hall Artist Support Spaces Renovation, Central Campus, Building # 62.**

PROJECT DESCRIPTION:
UNM’s Popejoy Hall is located in the Center for the Arts building # 62. Popejoy Hall and support spaces include 47,723 square feet in the Center for the Arts; the Artist Space Renovation project renovates 4,260 square feet in the basement, first, and second floors. These spaces support the needs of visiting artists who perform in Popejoy Hall. The project includes the interior finish renovation of the basement corridor, dressing rooms, the catering room, women’s chorus dressing room, and associated restrooms.

PROJECT RATIONALE:
Since opening its doors in October 1966, Popejoy Hall has staged over 4,000 events. In just one season, Popejoy hosts more than a thousand individual artists who are touring with the various companies using the Hall. While at Popejoy Hall the green rooms and dressing rooms are the spaces where the artists spend the majority of their time, setting up, prepping, and relaxing before and after performances. The artist dressing rooms and green rooms were built in the 1990’s and are in desperate need of renovation. The New Mexico Philharmonic has complained publicly of the condition of the dressing rooms and their own ability to attract artists to perform at Popejoy Hall. These spaces are an integral part in the artists experience and making them more comfortable and functional will maintain Popejoy’s reputation as an exemplary venue.

FUNDING:
The total estimated Project Budget is $786,558

- $786,558 is funded from 2019 General Fund Appropriation
The University of New Mexico – Albuquerque: Central Campus

Center for the Arts Popejoy Hall, Building # 62

The University of New Mexico, Albuquerque, NM
REQUEST FOR CAPITAL PROJECT CONSTRUCTION APPROVAL for
RENOVATE CUBE AREA, SOUTH WING, INFORMATION TECHNOLOGY
BUILDING (# 153)
UNIVERSITY OF NEW MEXICO
December 10, 2019

REQUESTED ACTION:
In accordance with Section 7.12 of the Board of Regents Policy Manual and as required by the New Mexico Higher Education Department and New Mexico State Board of Finance, project approval is requested for Renovate Cube Area Project, South Wing, Information Technology Building, # 153.

PROJECT DESCRIPTION:
The Information Technologies Building (ITB) #153 is 47,243 Gross Square Feet (GSF). This project will renovate approximately 4,781 (GSF) of existing modular office spaces on the first and second floor, in the south wing of ITB to improve the quality of the workspace for existing employees and create an environment to improve recruitment of new employees. The existing modular office space is dated and worn.

The project includes modular office space renovation, new collaboration spaces and shelving systems. Construction includes new doors in the existing perimeter hardwall offices, LED lighting upgrades, ceiling tile replacement, new mechanical diffusers, correction of above-ceiling electrical code issues, fresh paint, and new carpet. It also includes refurbishment of existing modular office components, and new furniture for collaboration spaces and shelving.

PROJECT RATIONALE:
The project provides much needed upgrades to a critical staff work area in the ITB. This area was last renovated in 1989, and is a tired, dated low-quality space, which does not reflect the culture or the mission of the UNM IT Department.

ITB is one of the older buildings on campus, built in 1949. It is considered to be one of the poorest condition buildings on campus. The majority of IT employees, approximately 125 full-time staff and 35 student employees, are located in ITB, along with UNM’s data center. UNM IT delivers services spanning many technologies and provide essential support for UNM’s academic, administrative and research missions. This renovation will improve safety, employee well-being, and collaboration opportunities for the affected employees. If this project is not approved, employee morale will decline, and it will be more difficult for IT to recruit new employees in the future.

FUNDING:
The total estimated Project Budget is $700,000:

- $700,000 is funded from Department Funds
The University of New Mexico - Albuquerque: Central Campus

Bldg. 153, ITB Cube Area Project (south wing)
PROJECT SCOPE

THE SCOPE OF WORK WILL BE LIMITED TO THE EXISTING SPACE IN SUITE 1104 AND 2154. THE SURROUNDING OFFICE WILL NOT BE AFFECTED OTHER THAN TO REPLACE THE DOORS WITH A FULL GLASS DOOR TO PROVIDE MORE DAYLIGHT TO THE CUBICLE AREA.
THE SCOPE OF WORK WILL BE LIMITED TO THE EXISTING SPACE IN SUITE 1104 AND 2154. THE SURROUNDING OFFICE WILL NOT BE AFFECTED OTHER THAN TO REPLACE THE DOORS WITH A FULL GLASS DOOR TO PROVIDE MORE DAYLIGHT TO THE CUBICLE AREA.
The scope of work will be limited to the existing space in Suite 1104 and 2154. The surrounding office will not be affected other than to replace the doors with a full glass door to provide more daylight to the cubicle area.
REQUEST FOR CAPITAL PROJECT CONSTRUCTION APPROVAL for
SANTA ANA STAR BASEBALL FIELD BLEACHER EXPANSION
UNIVERSITY OF NEW MEXICO
December 10, 2019

REQUESTED ACTION:
In accordance with Section 7.12 of the Board of Regents Policy Manual and as required by the
New Mexico Higher Education Department and New Mexico State Board of Finance, project
approval is requested for Santa Ana Star Baseball Field Bleacher Expansion, Albuquerque
South Campus.

PROJECT DESCRIPTION:
Santa Ana Star Baseball Field is located on the University of New Mexico South Campus in
Albuquerque. This project will provide and install an additional two grandstand bleachers
totaling 1,250 seats to the existing stadium seating of 1,000 fans. These additional 1,250 seats
will be installed behind home plate adjacent to the existing grandstands increasing the total
grandstand seating to 2,250.

PROJECT RATIONALE:
Expanding the grandstand at Santa Ana Star Baseball Field will improve the fan experience
through the addition of field vantage points, bring in larger events and allow UNM to meet
National Collegiate Athletic Association (NCAA) requirements for hosting NCAA Regionals.
Additionally, this will allow us to increase of attendance at UNM Baseball games. The current
stadium seating of 1,000 limits the size of events which can be held there. For example, we are
unable to host New Mexico Activities Association and NCAA Regional championships due to
the limitation of seating. The ability to host NCAA Championships improves our chances of
winning as the home team, rewards our fan base with a championship competition and brings
visitors to campus and to New Mexico.

Groups that will use the facility are the UNM Baseball program, New Mexico Activities
Association (NMAA), and local high schools. NMAA currently rents the facility for small
school state tournaments and preliminary round large school state tournaments. However,
NMAA cannot use our field for large attendance state championships games and instead uses
Isotopes Park. The ability to host larger attendance games would bring additional revenue
through rental fees and concession sales. Additional events will also bring prospective students
and community members onto campus.

If project does not receive approval, UNM will not be able to host baseball NCAA Regionals or
attract other larger events. Seating capacity would continue to be limited.

FUNDING:
The total estimated Project Budget is $631,603:

- $631,603 is funded from 2019 General Fund Appropriation
OPTION 1 - ADD-ON TO THE BASELINES
OPTION 2 - FUTURE PRESS BOX
REQUEST FOR CAPITAL PROJECT CONSTRUCTION APPROVAL for
ASUNM MAIN CAMPUS PHOTOVOLTAIC SYSTEM
UNIVERSITY OF NEW MEXICO
December 10, 2019

REQUESTED ACTION:
In accordance with Section 7.12 of the Board of Regents Policy Manual and as required by the New Mexico Higher Education Department and New Mexico State Board of Finance, project approval is requested for the ASUNM Main Campus Photovoltaic System.

PROJECT DESCRIPTION:
The Associated Students of the University of New Mexico (ASUNM) have secured legislative funding to improve the UNM main campus as well as reduce carbon footprint for the institution. ASUNM has coordinated with UNM Facilities Management (FM) to produce the most advantageous use of the funding and develop the most feasible and beneficial plan. This plan includes making the system visible to all UNM students and future students, hoping to encourage students to seek ways to improve their campus.

A solar photo-voltaic (PV) system will be installed at Zimmerman Library and connected into the UNM electric system through the building switchboard. A request for proposal (RFP) has been issued and the contractor selected based on qualifications; system size, and expected output. Based on recent UNM PV projects this effort is expected to result in a 200 kW PV system to generate approximately 340 MWh per year of renewable energy.

PROJECT RATIONALE:
ASUNM secured legislative funding to be spent on renewable energy at the UNM main campus. UNM FM-Utilities Division contributed additional funding for the project. This project is being done as part of a student-driven initiative to reduce UNM’s carbon footprint. This PV system will reduce campus electrical costs by approximately $25,000 annually and further reduce the UNM carbon footprint by approximately 15 metric tons carbon dioxide equivalent (MTCDE) per year.

FUNDING:
The total estimated Project Budget is $400,000:

- $250,000 is funded from 2019 General Fund Appropriation for ASUNM
- $150,000 is funded from UNM FM-UT capital reserves
The University of New Mexico - Albuquerque: Central Campus

Project Location: Zimmerman Library
PV ARRAY
Approx. 15,000 ft²
REQUEST FOR CAPITAL PROJECT CONSTRUCTION APPROVAL for
STUDENT UNION BUILDING # 60: PARTIAL ROOF REPLACEMENT
UNIVERSITY OF NEW MEXICO
December 10, 2019

REQUESTED ACTION:
In accordance with Section 7.12 of the Board of Regents Policy Manual and as required by the New Mexico Higher Education Department and New Mexico State Board of Finance, project approval is requested for Student Union Building Partial Roof Replacement, Main Campus, Albuquerque, New Mexico.

PROJECT DESCRIPTION:
This project will provide and install a new roof system for the Student Union Building (SUB) #60 including tear off of existing membrane roofing, insulation and associated flashings, installation of new 80mil PVC, seal all drains and any other roof penetrations with PVC flashing materials. This will also include the manufacturer’s 20-year system warranty and Contractor’s 2-year workmanship warranty. The disposal of roofing demolition materials, including asbestos abatement, is included in the project. This project will replace approximately 19,700 square feet of roof.

PROJECT RATIONALE:
The SUB serves as a campus community center offering many programs and services to the university community as well as the greater Albuquerque area with over 10,000 visitors daily.

The existing roof was installed in 1959, making it 60 years old and in very poor condition, consistently leaking and causing damage to the interior of the building. This portion of the roof is beyond its useful life and must be replaced. The SUB event staff market our facility as a premier venue to promote UNM for conferences and events. If our facility is not properly maintained, it impacts our ability to market UNM as a premier venue for events and makes us less competitive with other venues in the Albuquerque area. If this project is not approved the facility will continue to leak and will continue to cause damage. UNM students, faculty and staff, as well as the community who use the SUB, will be impacted by less than adequate facilities for the programs and services we offer.

FUNDING:
The total estimated Project Budget is $387,372:

- $200,000.00 is funded from Provost Office BR&R
- $187,372.00 is funded from SUB Revenue
Memo

To: Teresa Costantinidis, Senior Vice President for Finance and Administration

From: Thomas M. Neale, Director of Real Estate

Date: November 22, 2019

Re: Real Property Acquisition – 1790 Grande Boulevard SE, Rio Rancho, New Mexico

On behalf of the University of New Mexico Medical Group (UNMMG), the Real Estate Department is seeking Regent’s approval to acquire the real property located at 1790 Grande Boulevard SE in Rio Rancho, New Mexico. The property is improved with a one-story medical office building containing a gross building area of 6,050 square feet. The floorplan includes 16 exam rooms, physician and administrative offices, a conference room, and reception area. The improvements were constructed in 2015.

The 1.0-acre site is situated on the east side of Grande Boulevard SE, just north of 19th Avenue SE, and west of NM Highway 528 (aka Rio Rancho Boulevard). The property is located in the Gateway North Business Park, directly across from the Intel Plant; one of the largest private industrial employers in New Mexico. The site plan allows for expansion of an additional 3,000 square feet of building area.

The building is being purchased to establish a primary care clinic to be operated by the UNM Medical Group in support of the Sandoval Regional Medical Center. The contract price is $1,300,000, or $215 per square foot. The contract price is supported by a third-party appraisal with an independent review and approval by the New Mexico Taxation and Revenue Department. The acquisition cost will be funded by the UNM Medical Group and title to the property will be held by the Regents of the University of New Mexico.

Please refer to the attached exhibits for location and orientation.
Memo

To: Teresa Costantinidis, Senior Vice President for Finance and Administration

From: Thomas M. Neale, Director of Real Estate

Date: November 22, 2019

Re: Long-Term Ground Lease – Proposed City of Rio Rancho Senior Center at the UNM Health Sciences Rio Rancho Campus

On behalf of the University of New Mexico Health Sciences Center, the Real Estate Department is seeking Regent’s approval of a long-term ground lease to the City of Rio Rancho for the development of a 7,600-square-foot Senior Center. The facility will contain a large multipurpose room, two classrooms, a lounge, conference room, a commercial kitchen and a demonstration residential kitchen. This partnership with the City of Rio Rancho will enable the establishment of synergistic HSC programs for the benefit of the aging population in the community.

The proposed ground lease area is 4.0 acres of vacant land located on the west side of Broadmoor Boulevard, approximately 1,500 feet north of Pasco Del Vulcan at the future intersection of a to be named road connecting the UNM HSC Rio Rancho Campus to the City Center. Simultaneous with construction of the proposed Senior Center, the City will construct one-half of the Broadmoor Boulevard right-of-way. The remaining one-half of the right-of-way will be constructed by third parties as development occurs on the east side of Broadmoor Boulevard.

The proposed term of the ground lease is fifty (50) years with annual rent payments of one dollar ($1.00) per year. Please refer to the attached exhibits for location and orientation.
November 27, 2019

TO: Board of Regents Academic Student Affairs and Research Committee
FROM: Rick Holmes, Office of the University Secretary
SUBJECT: Fall 2019 Degree Candidates

The Faculty Senate approved the Fall 2019 Degree Candidates at their November 26, 2019 Faculty Senate meeting.

Included is the list of the Fall 2019 Degree Candidates. Please do not publish the candidates that are on the privacy flag list.

<table>
<thead>
<tr>
<th>campus</th>
<th>Degree Type</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>ABQ</td>
<td>Baccalaureate Degree</td>
<td>1408</td>
</tr>
<tr>
<td>ABQ</td>
<td>Doctoral Degree</td>
<td>76</td>
</tr>
<tr>
<td>ABQ</td>
<td>First-Professional Degree (Medicine)</td>
<td>13</td>
</tr>
<tr>
<td>ABQ</td>
<td>Masters Degree</td>
<td>391</td>
</tr>
<tr>
<td>ABQ</td>
<td>Post Second. Cert/Dipl &gt;1 &lt; 2 (Ugrad)</td>
<td>5</td>
</tr>
<tr>
<td>ABQ</td>
<td>Post-Masters Cert</td>
<td>16</td>
</tr>
<tr>
<td>GA</td>
<td>Associate Degree</td>
<td>107</td>
</tr>
<tr>
<td>GA</td>
<td>Post Second. Cert/Dipl &lt;1 yr.</td>
<td>23</td>
</tr>
<tr>
<td>GA</td>
<td>Post Second. Cert/Dipl &gt;1 &lt; 2</td>
<td>45</td>
</tr>
<tr>
<td>TA</td>
<td>Associate Degree</td>
<td>12</td>
</tr>
<tr>
<td>TA</td>
<td>Post Second. Cert/Dipl &lt;1 yr.</td>
<td>13</td>
</tr>
<tr>
<td>TA</td>
<td>Post Second. Cert/Dipl &gt;1 &lt; 2</td>
<td>6</td>
</tr>
<tr>
<td>VA</td>
<td>Associate Degree</td>
<td>34</td>
</tr>
<tr>
<td>VA</td>
<td>Post Second. Cert/Dipl &lt;1 yr.</td>
<td>17</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>2166*</td>
</tr>
</tbody>
</table>

*Final number of conferred degrees will be slightly lower due to changes in student degree status that occur until the end of the semester.
Approval of Honorary Degrees

[This item will be discussed in closed session to keep names confidential until prospective candidates have accepted the honor.]
Summary Meeting Report (Not Approved Minutes)
Regents’ Audit and Compliance Committee
Meeting on October 17, 2019

ACTION ITEMS:

- The Committee approved the prior meeting minutes from August 15, 2019.
- The Committee approved the next meeting dates of February 6, 2020 and May 7, 2020 (Entrance Conference for the FY20 Financial Statements Audit).

By unanimous consent, the meeting went into Executive Session at 9:01 AM per the agenda.

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

The meeting returned to open session with certification that only those matters described above were discussed in Executive Session.

The Committee approved submittal of the FY19 external financial audit to the New Mexico State Auditor’s Office.

The Committee unanimously approved the following UNM reports:

- 2019-08 University President’s Travel, Entertainment, and Other Expenses
- 2019-12 Review of Purchasing Department Operations
- 2019-15 Audit of Travel Activity in the Department of Family and Community Medicine

The Committee accepted the annual audit report for the Main Campus Internal Audit Department.

INFORMATION ITEMS:

- Victor Griego, UNM Interim Internal Audit Director presented his Director’s Report. The upcoming meeting dates in February, 2020 and May, 2020 were chosen to coincide with the full Board meetings at the request of Chairman Brown. This is the last year of the current three-year external audit contract. The proposal for the next contract should be completed by the end of October and the plan is to select the external audit firms early in the year in 2020.

Three recent internal audits were presented and approved in today’s meeting. Five audits are in planning or fieldwork. For FY19, nine audits were completed; three of those audits were initiated from complaints and two came in as management requests.
For FY19, the department completed and closed 23 complaints. This far in FY20, six complaints have been closed. There are 14 in planning and fieldwork and five that are unassigned. During that time the department received 48 complaints for review. According to the quality assessment review, that number is high. The department is looking at ways to control the number of hours related to complaints. Director Griego stated he had a conversation about that subject with the team lead of the quality assessment review team. The team lead stated that most audit shops spend 10-20% of their hours on complaints, and we are at approximately 50%.

The Internal Audit Department’s budget allocation is approximately 95% dedicated to salaries.

An independent quality assessment team has been in the department all week. Director Griego thanked everyone who participated in the process. Their report should be completed by mid-December. Director Griego will present the report information to this Committee at the February, 2020 meeting.

The University-Wide risk assessment team finalized the survey that will be distributed. Launch date for the survey should be early January, 2020. UNM Institutional Analytics will be assisting with that process.

The department launched a new website last month.

There are currently four external audits underway. The Health Resources and Services Administration is auditing two grants totaling 2.4 million with no reported issues so far. Rio Grande Valley requested backup documentation for invoices from September 1st through June 30th on a total of $282 thousand. Four external grant audits totaling 4.1 million were closed without any cost payback and five minor audit recommendations. The Centers for Medicaid and Medicare Services contracted with an external entity to conduct a billing review. UNMH and SRMC have provided 49 claims reimbursements, of which, six (6) claims were from July 1, 2019 through September 30, 2019. No repayment was made.

- Dr. Culpepper, HSC Chief Compliance Officer, presented the Committee with an update on his area and the analytics of the hotline. If there is something they feel has been escalated inappropriately, they will call that supervisor directly. The hotline web system is the most popular avenue for complainants, and most of the information received is allegations on things like contract management, asset use, etc.

They have a workgroup working with policies and procedures. A significant amount of complaints are still anonymous, despite the effort to communicate the efforts in place to address retaliation. Most are still HR-related but there has been an uptick in things that are patient care-related, such as payment processing.

Ethics and Compliance Week is coming up. They are also almost done with their risk assessment preparation.
Dr. Culpepper updated the Committee regarding the exclusion list process. The file transfer process has been automated. Files are sent to their vendor on the 25th of every month. The vendor’s Compliance Resource Center utilizes HHS, OIG, LEI, etc. There are also additional databases they can access if they want to do a deeper dive.

HSC Compliance is coordinating closely with Main Campus to work with minors on campus. Mr. Burford informed the Committee that he has been working with IT to centralize data for minors on campus.

- The Main Campus Compliance Office (Francie Cordova) provided a presentation to the Committee. The Ethics Task Force has had two extremely productive meetings. There were overarching themes that members felt are important. For example, they felt it should be student-focused and transparent. Also, there should be accountability across the board for ethical behavior and consistency no matter who the person is. There should be improvements in communication to the campus community. During the second meeting, they broke into several subcommittees. The most popular is the Campus Culture, Civility, Respect and Professional Boundaries. The second committee is on research and academic ethics. The third committee is conflict of interest. The fourth committee is finance and resource misuse. And the fifth committee is sexual harassment and consensual relationships. They are shooting for the beginning of the year for the roll-up report to the President.

Every committee is going to do literature review, policy review, best practice review, identify issues, identify solutions, and look at training. Then they will roll up the information from all committees into a report to President Stokes.

Ms. Cordova updated the Committee regarding the Americans with Disabilities Act Transition Plan. The plan is required by law for any person or university that takes federal money. There has been a lot of work with regards to Americans with Disabilities Act accessibility. They hired a vendor to help scope the scope. Their report is to be done in January, 2020. Ms. Cordova asked the Committee who they should present to - should it be the full Board, this committee, or Finance and Facilities? Every committee seems like they would be interested. Chairman Brown replied he believes it should be presented to the full Board of Regents.

They are working on shoring up SOPs so everyone is doing the Hotline work consistently. They will take into consideration what this committee’s chair advised about addressing it at the lowest level before it is elevated into a full investigation. They will schedule a planning meeting soon with all the Ethics Point users with regard to that.

Rob Burford, Director, University Compliance updated the Committee regarding the recent Clery report. Motor vehicle thefts declined by 40 percent due to the efforts of President Stokes and things we have done with safety and security. There was also a big drop in referrals for alcohol and drugs within residence halls.

There was an increase in domestic violence cases; there were a few more issues within the Hospital area with families together in high stress situations getting into altercations within the Hospital. Feedback from the Clery Center that UNM continues to receive is lack of support measures for faculty and staff.
Mr. Burford presented the Ethics Point data for the first six months of 2019. There are 115 cases so far this year of data from non-Office of Equal Opportunity (OEO). OEO has a lot of cases and these are housed separately. The number of cases is trending upward so they feel they have been doing a good job of letting people know. UNM Main is most prevalent, followed by UNM HSC. Branch campuses can also enter information and may be tracked separately if requested. Those numbers are fairly small. Complainants self-identifying versus staying anonymous has slightly increased. Retaliation claim data is tracked. The case closure rate (number of days) has increased due mainly to higher caseload without more investigators, and some very complicated and lengthy investigations.

- Chien-chih Yeh, Internal Audit Manager updated the Committee with the status of audit recommendations. Several recommendations are implemented but Internal Audit is leaving them open pending further review and verification. There are 10 pages of recommendations that are still open. Many are not due yet; others have a very recent due date and were not processed in time for this reporting cycle.

The meeting adjourned at 10:57 AM.
December 3, 2019

TO: The University of New Mexico Board of Regents
Finance & Facilities Committee Meeting

FROM: STC.UNM Board of Directors

DATE: December 3, 2019

RE: Agenda Item: STC.UNM FY2019 Annual Report and FY2019 Audit Results
Agenda Item: Approval of Appointments of Frank H. Martinez and Kelly D. Hammett to the
STC.UNM Board of Directors

_____________________________________________________________________________________________

STC.UNM CEO & Economic Development Officer Lisa Kuuttila presents the STC.UNM FY2019 Annual Report and FY2019 Audit Results to the Board of Regents F & F Committee.

The STC.UNM Board of Directors submits for approval the appointments of Frank H. Martinez and Kelly D. Hammett to its Board of Directors for a four-year term, beginning upon approval by the Board of Regents and ending June 30, 2024. These board members were recommended for appointment by the STC.UNM Nominations Committee and approved by the STC.UNM Board of Directors at its October 25, 2019 board meeting, subject to the Regents’ approval.

Frank H. Martinez  bio attached
Kelly D. Hammett  bio attached
STC.UNM CEO’S REPORT

Presentation Outline

- FY 2019 STC.UNM Audit Results
- STC Board of Directors & Staff
- FY 2019 STC.UNM Building a Rainforest in the Desert
- FY 2019 STC.UNM Data, Income Analysis and Forecast
FY 2019 STC.UNM AUDIT RESULTS
STC STUDENT INTERNS

FY 2019

CURRENT:

- Payton Fowler (College of Arts & Sciences)
  - Working on BA in Economics and Psychology
- Meghan Garvey (School of Management)
  - Working on BA in Marketing Management
- Lourdes Osman (School of Engineering)
  - Working on BS in Computer Science
- Bhavya Pandey (School of Management)
  - Received BS in Biotechnology
  - Working on MBA
- Andrew Pascoe (School of Management)
  - Working on MBA in Accounting
- Shane Pulsifer (School of Management)
  - Working on BA in Business Administration
- Brady Spears (College of Arts and Sciences)
  - Working on BS in Physics and Earth & Planetary Science, Minor in Mathematics
- Dharish Totiger (School of Management)
  - Working on MBA and Master of Science in Information Systems and Assurance
- Achyut Warrier (School of Engineering)
  - Working on MS in Biomedical Engineering

FORMER:

- Sarina Baldoni (School of Management)
  - Received a BS in Biochemistry
  - Working on MBA in Administration
- Patrick Bethoney (School of Engineering)
  - Working on BS in Aerospace and a Minor in Engineering Mathematics
- Cheyenne Davis (School of Management)
  - Working on BBA in Human Resources Management
- Symon Majewski (School of Engineering)
  - Working on BS in Environmental Engineering and East Asian Studies
- Isabella Obermeier (School of Engineering)
  - Working on BS in Computer Engineering
- Yoojin Park (School of Engineering)
  - Working on BS in Electrical Engineering
- Madisyn Rue (College of Nursing)
  - Working towards a BS in Nursing
- Hannah Russert (School of Engineering) – now STC Staff
  - Received BS in Biochemistry
  - Working on MS in Biomedical Engineering and MBA
- Jenn Tran (School of Management)
  - Working on BA in MIS and Marketing

December 3, 2019
Since 2002, over 140 UNM students have been a part of STC’s student intern program.

Here is a sample of former interns’ current positions:

- Nicolai Archuleta, Millennial Methods (local start-up)
- Alexandra (Andrego) Adams, Resilient Solutions 21
- Elizabeth Champion, Bernalillo County
- Monique Chavez, German & Associates, LLC
- Athena Christodoulou, Udorami (local start-up)
- Max De Azevedo, LANL
- Isaac Estrada, Office of Technology Transfer, University of Miami
- Mark Horlbeck, Cause Labs
- Sierra Hunter, Kirtland Credit Union
- Kameron Kramer, Kramer Law Firm, PC
- Dorian (McKenzie) Rader, NMA Ventures
- Amy Patterson, Sandia
- Paulina San Millian, Newmark Knight Frank
- Michael Sanchez, Entrepreneur
- Rachel Timmins, Gentry Law Firm
- Nikolas Torres, Sandia
- Kymbra Williams, UNM and LANL
- Julia Wise, NM SBA, LANL
- Nick Wolf, Wolf Patent Services
- Ergin Yildiz, Wells Fargo
- Laura Meurer, LANL
- Jessica Moose, Santa Fe Business Incubator

STC Staff who were interns:

- Cara Michaliszyn
- Eri Hoshi
- Matthew Davis
- Savannah Romero
- Alex Roerick
- Gabe Wilkinson
- Cecilia Pacheco
- Jessica Peabody
- Hannah Russert

Where are they now? December 3, 2019
BUILDING A RAINFOREST IN THE DESERT FY 2019

FY 2019 ACCOMPLISHMENTS
BUILDING A RAINFOREST IN THE DESERT FY 2019

METRICS
<table>
<thead>
<tr>
<th>METRICS</th>
<th>FY 2016</th>
<th>FY 2017</th>
<th>FY 2018</th>
<th>FY 2019 (Goal)</th>
<th>FY 2019 (Actual)</th>
<th>% of Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Disclosures</td>
<td>102</td>
<td>114</td>
<td>107</td>
<td>110</td>
<td>124</td>
<td>113%</td>
</tr>
<tr>
<td>New U.S. Patent Applications Filed</td>
<td>77</td>
<td>68</td>
<td>93</td>
<td>---</td>
<td>102</td>
<td>---</td>
</tr>
<tr>
<td>Issued U.S. Patents</td>
<td>69</td>
<td>73</td>
<td>51</td>
<td>---</td>
<td>59</td>
<td>---</td>
</tr>
<tr>
<td>Option/License Agreements</td>
<td>54</td>
<td>58</td>
<td>52</td>
<td>50</td>
<td>53</td>
<td>106%</td>
</tr>
<tr>
<td>Start-up Companies</td>
<td>12</td>
<td>12</td>
<td>11</td>
<td>10</td>
<td>11</td>
<td>110%</td>
</tr>
<tr>
<td>Patent Expenses</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Licensee Initiated</td>
<td>$580,294</td>
<td>$690,153</td>
<td>$557,531</td>
<td>$545,000</td>
<td>$645,111</td>
<td>118%</td>
</tr>
<tr>
<td>• STC Initiated</td>
<td>$1,080,511</td>
<td>$845,506</td>
<td>$885,030</td>
<td>$841,670</td>
<td>$877,027</td>
<td>104%</td>
</tr>
<tr>
<td>License Revenues</td>
<td>$1,927,045</td>
<td>$1,335,632</td>
<td>$1,470,078</td>
<td>$1,710,000</td>
<td>$1,307,637</td>
<td>77%</td>
</tr>
<tr>
<td>Patent Cost Reimbursement Revenues</td>
<td>$623,677</td>
<td>$714,805</td>
<td>$621,413</td>
<td>$580,000</td>
<td>$600,737</td>
<td>104%</td>
</tr>
<tr>
<td>Combined License &amp; Patent Cost Reimbursement Revenues</td>
<td>$2,550,722</td>
<td>$2,050,437</td>
<td>$2,091,491</td>
<td>$2,290,000</td>
<td>$1,908,374</td>
<td>83%</td>
</tr>
<tr>
<td>Total Income</td>
<td>$2,937,450</td>
<td>$2,192,568</td>
<td>$2,490,951</td>
<td>$2,587,963</td>
<td>$3,362,269</td>
<td>130%</td>
</tr>
</tbody>
</table>
BUILDING A RAINFOREST IN THE DESERT FY 2019

SUPPORTING UNM
UNM RESEARCH

Sponsored Agreements Assistance Provided to UNM – FY 2019

✓ Innovation Staff
  ● Arlene Mirabal, Director of Commercialization
  ● Gregg Banninger, Innovation Manager – Life Sciences
  ● Alex Roerick, Innovation Associate – PS & Engineering

✓ UNM Main Campus Agreements
  ● Present Assignments (All)
  ● NDA with HoloLens (Moreau)
  ● NDA with Lovelace BioMed (Armijo)
  ● SRA with Emera (Peng)
  ● NDA with UNM, STC and Sandia (Hanson)
  ● SRA with Honeywell (Peng)
  ● CISTAR Membership Agreement (Datye)
  ● GA with ARPA-E (Garzon)
  ● STTR AOR (Moreu)
  ● STTR AOR (Sheik-Bahae)
  ● ARPA-E (Hanson)
  ● SRA with Oxy, Inc. (Jiang)
  ● MRA with Facebook (Christodoulou)

✓ UNM Health Sciences Center Agreements
  ● Present Assignments (All)
  ● NDA with KSL Biomedical (Harvey)
  ● MTA with i2 Pharma (Wilson)
  ● MTA with Pretoria (Muttil)
  ● NDA with Henry M. Jackson Foundation (Hurwitz)
  ● NDA with Loyola and Clarke (Hurwitz)
  ● 4-Way NDA with STC, HSC, Loyola, and Clarke (Durvasula)
  ● MOU with Cures Within Reach (Larson)
  ● MTA with Harker Bio and NAU (Chackerian)
  ● IIA with DCI (Prossnitz)
  ● UBMTA (Norenberg)
  ● NDA with Radiance Bio (High)
  ● SRA wit Exhalix (Kanagy)

GA = Grant Award
MOU = Memorandum of Understanding
MTA = Materials Transfer Agreement
NDA = Non-Disclosure Agreement
MRA = Master Research Agreement

MSA/PSA = Master/Professional Services Agreement
SA = Services Agreement
SFA = Subcontract Form of Agreement
SRA = Sponsored Research Agreement
STTR AOR= Small Business Technology Transfer Allocation of Rights

December 3, 2019
INVENTORS SELECTED FOR 2019 STC CALENDAR

- Hongyou Fan
- Aaron Neumann
- Randall Starling
- Heather Canavan
- Terry Wu
- Francesca Cavallo
- Edwin Nemoto
- Fernando Moreu
- Rita Serda
- Gennady Smolyakov
- Justin Baca
- Peter Simons

December 3, 2019
2019 STC.UNM INNOVATION AWARDS

- **April 24, 2019**
  Celebrating University of New Mexico faculty, staff, and students who have received U.S. issued patents and registered copyrights/trademarks from March 1, 2018 through February 28, 2019.

- **2019 STC.UNM Innovation Fellow Award presented to:**
  **Angela Wandinger-Ness, PhD**
  Professor, Department of Pathology
  Victor and Ruby Hansen Surface Endowed Professor in Cancer Cell Biology & Clinical Translation
  Associate Director of Education, Training & Mentoring
  UNM Comprehensive Cancer Center, The University of New Mexico

- **Keynote Speaker:**
  **Sanjeev Arora, MD, FACC, MACP**
  Founder & Director, Project ECHO®
  Professor, Department of Internal Medicine, The University of New Mexico
Dr. Angela Wandinger-Ness has been chosen by the STC.UNM Board of Directors to receive the 2019 STC.UNM Innovation Fellow Award in recognition of her achievements as a leading innovator at the University of New Mexico.

An expert in cell biology and protein biochemistry, Dr. Wandinger-Ness has been studying enzymes called GTPases for nearly 30 years. GTPases are molecular switches that control cell behavior, regulating how cells break down, organize, move around and attach to one another. GTPases have long been recognized as important targets for developing new drugs. Her technology is being developed by startup Revere Pharmaceuticals as a new drug to treat ovarian cancer.
## 2019 STC.UNM INNOVATION AWARDS

<table>
<thead>
<tr>
<th></th>
<th>UNM inventors received patents</th>
</tr>
</thead>
<tbody>
<tr>
<td>58</td>
<td>U.S. patents and trademark issued</td>
</tr>
<tr>
<td>36</td>
<td>patents from UNM main campus</td>
</tr>
<tr>
<td>17</td>
<td>patents from HSC</td>
</tr>
<tr>
<td>4</td>
<td>patents from collaborations from both campuses</td>
</tr>
</tbody>
</table>

### Feedback

“My husband and I want to thank you, Lisa and all involved for a magnificent event last night. We were so inspired by all the speakers, patent winners, and the food was wonderful too. As vegetarians we appreciated it. We are honored to be a part of this rainforest board and all involved. Kindly share this with Lisa and all.”

Leba Freed Pierce and Dr. Elliot Pierce

“I would like to express my sincerest thanks to you and the whole STC team who worked countless hours to make last night’s event happen. My family and colleagues shared with me how great everything was from the food to all of the presentations—every detail taken care of. I appreciate all of the support I received throughout the process in submitting my materials, getting the video made and even updated at the last moment. You all make STC.UNM great and for that I am most grateful! Additionally, the gorgeous wine cooler and glasses handmade by a local artist is truly a most special commemorative of the event.”

Angela Wandinger-Ness, Ph.D.
2019 STC.UNM INNOVATION AWARDS
UNM makes list of top 100 worldwide universities with largest number of issued US patents for the fifth year in a row.

Recognized by National Academy of Inventors (NAI) and the Intellectual Property Owners Association (IPO)

Ranked 51 in 2018
2015 Fellow
C. Jeffrey Brinker, Ph.D.
Distinguished and Regents’ Professor, Department of Chemical & Biological Engineering
Professor, Department of Molecular Genetics & Microbiology
Member, UNM Cancer Center
The University of New Mexico

2016 Fellow
Gabriel P. López, Ph.D.
Vice President for Research
Professor, Department of Chemical & Biological Engineering
Founding Director and Member, Center for Biomedical Engineering
The University of New Mexico

2017 Fellow
Cheryl L. Willman, M.D.
Distinguished Professor of Pathology
Director & CEO of the UNM Comprehensive Cancer Center

2017 Fellow
Plamen B. Atanassov, Ph.D.
Distinguished Professor of Chemical and Biological Engineering
Director of the UNM Center for Micro-Engineered Materials

2015 Fellow
Steven R. J. Brueck, Ph.D.
Distinguished & Professor Emeritus
Department of Electrical & Computer Engineering
Department Physics & Astronomy
Center for High Technology Materials
The University of New Mexico
MARKETING ACTIVITIES

FY 2019

❖ **Novelty Searches**
  ● Performed 121 for technologies

❖ **Information Disclosure Statements**
  ● 684 references collected in-house

❖ **Non-Confidential Summaries (NCSs)**
  ● Drafted 132 NCSs

❖ **Marketing/Event Campaigns**
  ● Executed 90 email campaigns for technologies
    ○ Approx. 350 technologies marketed
  ● Executed 65 email campaigns for outreach/events
MARKETING DATA

FY 2019

❖ Of the 90 email campaigns executed
  ● 2,792 marketing interactions from email campaigns
  ● 231 interactions from targeted emails

❖ Interactions accounted for approx. 86 serious leads in which companies requested more information about technologies

❖ Sophia Knowledge Management System
  ● 343 current inventor users

STC UNM
SUPPORTING TECHNOLOGY TRANSFER AND CATALYZING ECONOMIC DEVELOPMENT AT THE UNIVERSITY OF NEW MEXICO

December 3, 2019
MARKETING DATA CHART

FY 2019
STC SOCIAL MEDIA ACTIVITIES

Followers

- YouTube
- Instagram
- Pinterest
- Facebook
- CVL LinkedIn
- LinkedIn
- Twitter

December 3, 2019
CECCHI VENTURELAB ACTIVITIES

FY 2019

CVL Program Participants

● CVL provided services to 12 physical tenants and 13 virtual program participants in FY 2019

● Physical Tenants
  ○ Active (7 companies): BioSafe Defense; Enthentica/InnoBright Technologies; Osazda Energy; GPER-G1 Development Company; Los Alamos National Laboratory – Feynman Center; Shutter Bombs; SipaVax
  ○ Inactive (5 companies): Yedoma Consultants; OptiPulse, Inc.; MyLens; Blanchfield CO.; Pencil-In

● Co-Working Program Participants
  ○ Active (8 companies): Verus Research; Kansai TLO; Adaptive Biomedical Design; ShearIT; Mnemosyne Informatics, LLC; Tramway Venture Partners; MyLens, Inc.; BlueCom Systems
  ○ Inactive (5 companies): Kristina Trujillo; Inclusive Research; Yedoma Consultants; Mimic Biosolutions; Chuck Holman

● Prospective Participants
  ○ Nob Hill Therapeutics; BennuBio; Spinceutica; Care.IT; Bravian; DeBot; Rio Grande Eco Corp; IC-Safety, LLC
NEW START-UP OPTIONS/LICENSES SIGNED

FY 2019

- Aeneas Technology Limited
  - Option signed
- BennuBio, Inc.
  - License signed
- GPER G-1 Development Company, LLC
  - Option signed
- Mimic Biosolutions, LLC
  - Option signed
- Chris Adams
  - Option signed
- DryFiber, LLC
  - Option signed
- Mesopore Technologies, LLC
  - Option signed
- John Elling
  - Option signed
- SipaVax, LLC
  - Option signed
- Rio Grande Eco Corp.
  - Option signed
- Concardia BV
  - Option signed
- Dermatec, LLC
  - Option signed
- Revere Pharmaceuticals
  - License signed
START-UP COMPANIES

New Mexico vs. Out-of-State

December 3, 2019
FY 2019 E-NEWSLETTERS

EDA University Center Kicking Off this Spring

Building a Rainforest in the Desert

NM Rainforest University Center Program Launches in January

The new team at UNM’s main and branch campuses is off to a great start with the launch of a new initiative program that promotes economic entomology diversity in entrepreneurship across the state.

The NM Rainforest University Center Program is funded by a grant from the federal National Alliance for Informed Economic Development (NAED) and will provide entrepreneurial training and technical assistance for students and startups.

STC 2019 Spring Seminar Series

STC/UNM, the University of New Mexico, technology-transfer and economic development office, is hosting its 2019 spring seminar series. These sessions are free and open to the UNM community and the public, but registration is required.

Ton: The Netherlands and the U.S. — A Partnership that Works
February 15, 1:30 pm to 3:30 pm
Spokesmen: Sirte Els and Rick Laban
Lobo Rainforest Building - Seminar Room

Startup Mentoring Opportunities at the Lobo Rainforest - Open Office Hours

The Albuquerque Small Business Development Center (SBDC), Albuquerque Small Business Development Center (SBDC), and STC hold office hours offering free business mentoring programs at the Lobo Rainforest Building.

Japanese University Students Pitch Their Ideas at the Lobo Rainforest Building

Two groups of students from Japanese universities visited NBC in February as participants in its International Academy.

New Mexico Startup Receives $1.2 Million Grant from DOE for Solar Cell Technology

Local startup Osazda Energy, commercializing solar cell technology jointly developed at UNM and ANU by UNM’s Grantor: Professor Sang. Hee and his team. has received $1.2 million in funding from the DOE.

READ FULL PRESS RELEASE

Rainforest Pitch Competition

Do you have an innovative idea for a product, service, app, or technology? Transform that idea into a reality!

Pitch your idea in 90 seconds for a chance to win $1,000.

$5,000 prize pool.

Open to all college students from New Mexico institutions currently enrolled in the Spring 2019 semester.

APPLICATION DEADLINE: MARCH 19, 2019
APPLY ONLINE: STC/UNM. EDU/EPC

EVENTS

NM Rainforest University Center Seminar Series

Spring 2019 Environments Training Program

The NM Rainforest University Center is pleased to announce the Spring 2019 Environments Training Program. This program is designed to provide comprehensive, hands-on training in the latest environmental technologies.

The seminar series will cover a variety of topics, including environmental policy, regulation, and compliance.

STC Welcomes New Member Group: Energy

With the addition of its new member group, STC is now serving even more organizations and industries. The Energy Group is dedicated to fostering innovation and growth in the energy sector.

Do not forget to register for our upcoming events and seminars to stay informed and connected with the latest developments in technology transfer and economic development.

December 3, 2019
STC EVENTS

STC Hosts a Regular Seminar Series and Other Events, Looking for Ways to Enhance Networking Opportunities – FY 2019 Q1

- Office hours with SCORE, August 24, September 28, 2018
- UNM Economic Impact Report Announcement, August 28, 2018
- “Basics of Employee Benefits for Start-Ups,” presented by Jaimie Cox, Axcess Financial Group, September 12, 2018
STC EVENTS

STC Hosts a Regular Seminar Series and Other Events, Looking for Ways to Enhance Networking Opportunities – FY 2019 Q2

- “Pathways to Success, Small Business Ownership,” presented by Harsh Hariyani, CNM SBDC, October 9, 2018
- Office hours with SBDC, October 12, October 26, November 16, December 7, 2018
- Office hours with SCORE, October 26, November 30, 2018
- Rainforest Student Pitch Competition, November 5, 2018
- AFRL & STC Rainforest Showcase, November 8, 2018
- “Introduction to PTAC and Government Contracting,” presented by Steve Steward, PTAC Advisor, November 28, 2018
STC EVENTS

STC Hosts a Regular Seminar Series and Other Events, Looking for Ways to Enhance Networking Opportunities – FY 2019 Q3

- “How to Learn Online/Meet the Mentor,” presented by University Center Site Mentors, January 15-23, 2019, UNM Gallup, UNM Valencia, UNM Los Alamos, UNM Taos and Lobo Rainforest
- Office hours with SBDC, January 18, February 1, February 15, March 8, March 22, 2019
- Office hours with SCORE, January 25, February 22, March 29, 2019
- “101: The Netherlands and the US – A Partnership That Works,” presented by the Netherlands Embassy, February 12, 2019
- AFRL-UNM Agile Manufacturing Center Showcase, February 28, 2019
- “How to Generate a Business Idea”, presented by Sandra Begay, March 20, 2019, UNM Gallup
- Rainforest Student Pitch Competition, March 25, 2019
- “Pitching and Presenting Your Idea”, presented by Gavin Leach, March 29, 2019, UNM Valencia

December 3, 2019
STC EVENTS

STC Hosts a Regular Seminar Series and Other Events, Looking for Ways to Enhance Networking Opportunities – FY 2019 Q4

- Office hours with SBDC, April 12, April 26, June 14, and June 28, 2019
- Office hours with SCORE, April 26, May 31, and June 28, 2019
- “Market Analysis”, presented by Susan Cornelius, April 17, 2019, Lobo Rainforest Building
- Innovation Awards Dinner, April 23, 2019, UNM SUB
- “Creative Strategies to Produce Innovation and Value in Healthcare,” presented by Chuck Valauskas, JD, LLM, Valauskas Corder LLC, April 24, 2019, Lobo Rainforest Building
- “Law of Written Description: How USPTO limits the scope of patent claims,” presented by Christopher Gram, Mueting, Raasch & Gebhardt, P.A., April 25, 2019, UNM HSC Domenici North
- “Business Canvas”, presented by Susan Cornelius, May 2, 2019, UNM Los Alamos
- Innovate New Mexico Technology Showcase, May 7, 2019, Sandia Event Center
OFFICE HOURS AT THE LOBO RAINFOREST

SCORE
- Held on the last Friday of each month
- SCORE mentors meet with UNM students, faculty, and start-ups to discuss technology/business ideas

STC.UNM
- Held on the last Friday of each month
- STC staff members available to meet to answer questions related to the technology-transfer process. UNM faculty are also welcome and encouraged to stop by to get any documentation signed related to their intellectual property. Notary available as well.

Albuquerque Small Business Development Center (SBDC)
- Bi-weekly starting in October
- Provide one-on-one, confidential discussions and mentoring

Public Speaking/Pitch Coaching
- Individual pitch coaching office hours
LOBO RAINFOREST BUILDING

- First new building – Lobo Rainforest building held groundbreaking ceremony June 2016

- 158,830 square foot, Six story building

- Ground Floor – 29,485 square feet
  - STC.UNM
    - Cecchi VentureLab (CVL)
  - UNM Innovation Academy
  - Air Force Research Laboratory
  - Sandia National Labs
  - General Atomics
  - Nusenda Branch/Café

- Upper five floors
  - 155 apartments
    - 2 bedroom/2 bath units
  - Small fitness center – 2nd floor
LOBO RAINFOREST BUILDING

Events and Meetings FY 2019 Q1

- Economic and Rural Development Committee, New Mexico Legislature, July 13, 2018
- Sandia ThunderBird Cup, July 17-20, 2018
- Sandia/AFRL Rainforest Speaker Series, July 25, 2018
- AFRL First Friday, August 3, 2018
- National Lab Entrepreneurship Academy, August 9-11, 2018
- NMBIO – Spotlight on Intellicyt, August 16, 2018
- Lobo Rainforest Building Anniversary Mixer, August 24, 2018
- Sandia Labs Pitch Competition, September 13, 2018
- iA Dion’s Keep It Cool Challenge, September 20, 2018
- Sandia Meetings
- AFRL Meetings

- Innovation Academy Classes
  - Create, Sell, Bank Class, Fall 2018

- Several tours provided
LOBO RAINFOREST BUILDING

Events and Meetings FY 2019 Q2

- Navajo Nation, October 2, 2018
- AFRL RD & RV Recognition Award Ceremony, October 4, 2018
- NMSBA Leveraged Meeting, October 5, 2018
- Albuquerque Community Foundation, October 15, 2018
- AFRL SM Summit, October 16-17, 2018
- Science and Technology Legislative Interim Committee Meeting, October 18, 2018
- NMCANN, October 30, 2018
- NMSBA Leveraged Meeting, October 31, 2018
- Studio G Launch, November 12, 2018
- AFRL Hyperspace Challenge, November 13-16, 2018
- CyberForce Competition, November 29 – December 1, 2018
- President Stokes Holiday Networking Mixer, December 3, 2018
- AFRL Hour of Code, December 4, 2018
- Lens Launch Event, December 6, 2018
- Entrepreneur Awards for the Mayor’s Prize, December 12, 2018
- Sandia Meetings
- AFRL Meetings

- Innovation Academy Classes
  - Create, Sell, Bank Class, Fall 2018
  - Lobo Rainforest I-Corps program

December 3, 2019
LOBO RAINFOREST BUILDING

Events and Meetings FY 2019 Q3

- Sandia Supplier Open House, January 8, 2019
- NM CFO Leadership Meeting, January 15, 2019
- Agile Manufacturing Board Meeting, January 24, 2019
- NMBIO, January 24, 2019
- Sandia Research Spotlight Forum, January 29, 2019
- Imagining American 2019 National Conference Steering Committee, January 30, 2019
- Rainforest Speaker Series, February 13, 2019
- NMBIO, February 14, 2019
- Design Thinking Training, March 8, 2019
- ACF Entrepreneurial Expo, March 20, 2019
- Various Sandia Meetings
- Various AFRL Meetings

- Innovation Academy Classes
  - Create, Sell, Bank Class, Spring 2019
  - Lobo Rainforest I-Corps program
  - Tech Navigator Kickoff, March 27, 2019
  - Science Girls Fashion Show, March 29, 2019
LOBO RAINFOREST BUILDING

Events and Meetings FY 2019 Q4

- AFRL STEM Maker Mobile, April 4, 2019
- NMSU/Sandia MOU signing, April 10, 2019
- NMBIO, “Gene Editing: Advancing Science For a Better World,” April 10, 2019
- Sandia/UNM Research Spotlight, April 17, 2019
- Downtown Community Schools Collaborative Council, April 23, 2019
- iA/Sandia Design Dash, April 30, 2019
- Sandia Supplier Open House, May 14, 2019
- Senator Heinrich Roundtable, May 30, 2019
- Sandia/UNM Research Spotlight, June 4, 2019
- Studio G Showcase, June 12, 2019
- Space Blimp Coding Challenge, June 13, 2019
- E3 Entrepreneurs in Action, June 20, 2019
- Various Sandia Meetings
- Various AFRL Meetings
- Innovation Academy Classes and Events
  - Create, Sell, Bank Class, Spring 2019
  - Lobo Rainforest I-Corps program
  - Tech Navigator Finals, April 12, 2019
  - College Survival, May 4, 2019
  - New Student Orientation, May 15, 2019

December 3, 2019
BUILDING A RAINFOREST IN THE DESERT FY 2019

ECONOMIC DEVELOPMENT
ECONOMIC DEVELOPMENT ACTIVITIES

UNM Rainforest Forum

- Formerly the UNM Economic Development Forum
- Over 200 members from the business community
- Meetings beginning August 24, 2012, meetings now quarterly
- FY 2019 topics/presenters:

<table>
<thead>
<tr>
<th>Speaker</th>
<th>Date</th>
<th>Topic</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dr. Garnett Stokes, UNM President</td>
<td>8/28/2018</td>
<td>UNM Economic Impact Report Announcement</td>
</tr>
<tr>
<td>AFRL/STC Showcase</td>
<td>11/8/2018</td>
<td>Technology Presentations &amp; Start-up Companies Panel</td>
</tr>
<tr>
<td>Rob Delcampo, UNM, Bill Szaroletta, UNM and Lisa Kuuttila, STC.UNM</td>
<td>2/14/2019</td>
<td>New Mexico Rainforest EDA University Center</td>
</tr>
<tr>
<td>Stephen Takach, UNM Valencia; James Malm, CEO, UNM Gallup; Cynthia</td>
<td>5/9/2019</td>
<td>UNM Branch Campus Activities</td>
</tr>
<tr>
<td>Rooney, CEO, UNM Los Alamos; Patrick Valdez, CEO, UNM Taos - Moderated</td>
<td></td>
<td></td>
</tr>
<tr>
<td>by: Lisa Kuuttila, STC.UNM</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
ECONOMIC DEVELOPMENT ACTIVITIES

UNM Economic Development Council

- 42 members
- Meetings beginning June 26, 2013, will now be quarterly in FY2019
- EDC will be an advisory board for NM Rainforest University Center (EDA Grant)
- FY 2019 topics/presenters:

<table>
<thead>
<tr>
<th>Speaker</th>
<th>Date</th>
<th>Topic</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dr. Garnett Stokes, UNM President</td>
<td>8/28/2018</td>
<td>UNM Economic Impact Report Announcement</td>
</tr>
<tr>
<td>Myrriah Tomar, Director, Office Science &amp; Tech, NMEED</td>
<td>9/27/2018</td>
<td>Update on Office of Science &amp; Technology and Programs</td>
</tr>
<tr>
<td>Cara Michaliszyn, STC.UNM, and Achraf Noureddine, PhD and Rita Serda, PhD, UNM Health Sciences</td>
<td>1/24/2019</td>
<td>Lobo Rainforest I-Corps Program</td>
</tr>
</tbody>
</table>
**ECONOMIC DEVELOPMENT ACTIVITIES**

**UNM Economic Impact Report Announcement**

- Supported by a $50,000 grant from New Mexico Gas Company/Emera, Inc.
- The study was conducted by Kelly O’Donnell
- Report released on August 28, 2018
SPEAKING ENGAGEMENTS

STC Staff Invited to Present or Speak at Various Events, Meetings and Classes FY 2019

Presentations to Organizations Outside of UNM

- Sonora Round Table, 8/22/18 – presented by Lisa
- Federal Lab Consortium, 8/31/18 – presented by Cara
- NAIOP, 10/1/18 – presented by Lisa
- CISTAR, 10/3/18 – presented by Lisa
- Economic and Rural Development Committee, 10/12/18 – presented by Lisa
- Tech Transfer Working Group Panel, 10/16/18 – presented by Lisa
- NMBio Knowledge Fair, 10/29/18 – presented by Lisa and Jovan
- APLU, 11/11/18 – presented by Cara
- Chamber’s Technology and Innovation SAT, 11/14/18 – presented by Lisa
- STEM Boomerang, 12/20/18 – presented by Lisa
- Agile Manufacturing Board Meeting, IP 101, 1/24/19 – presented by Lisa
- APS Digital Learning Conference, 1/30/19 – presented by Lisa
- Leadership Albuquerque, 3/27/19 – presented by Lisa
- APLU Summer Meeting, 6/18/19 – presented by Lisa

December 3, 2019
University of New Mexico won the IEP Place award for exemplary initiatives resulting in social, cultural, or community development

Award application focused on the Lobo Rainforest

Winners of the awards were announced at the 2018 APLU Annual Meeting in New Orleans, LA in November 2018
Lisa Kuuttila, was invited to give opening remarks and introduce a session to chief economic and community engagement officers, vice presidents for research and other administrators who are responsible for planning, executing, and communicating their institution’s work in economic development and public engagement.

Spoke about the Lobo Rainforest EDA University Center entrepreneurial and training program expansion to UNM’s branch campuses this year and the importance of partnerships between universities and their EDOs.

June 18, 2019 at Penn State University, State College, PA
ECONOMIC DEVELOPMENT ACTIVITIES

Economic Development Surveys

- Conduct two economic development surveys
  - Internal UNM Community – October 2013, September 2014, October 2015

- Distributed next Internal UNM Community Survey in December 2018, closed January 31, 2019

- Distribute next External Business Community survey in May 2019 and close on July 31, 2019
Fall 2018

Distributed via the faculty list serv to over 3000 faculty emails; There were 143 complete responses.

- 92% of faculty believe economic development should be a priority of their college/school ("moderate to very high responses") (88% in 2015)
- 99% of faculty believe economic development should be a priority of UNM ("moderate to very high responses") (90% in 2015)
- 52% (60% in 2015) of faculty assess the support of economic development as “good or higher” for their school/college and 50% (65% in 2015) for UNM
- Approximately two-thirds of the faculty believe that UNM performs in the range good to excellent in the following economic development measures:
  - Ensure that University Activities Benefit the Public (increase from 2015)
  - Provide relevant education opportunities and programs
- Over half of the faculty believe that the University of New Mexico performs good or better in the following economic development measures:
  - Engage and assert institutional leadership
  - Create a Supportive Culture
  - Promote Openness, Accessibility and Responsiveness
  - Communicate Contributions, Successes, Achievements, that Benefit Region
To encourage and support entrepreneurs from all disciplines and backgrounds at UNM to commercialize their projects, create new start-up businesses, generate licensing agreements and business models, and submit fundable proposals to the I-Corps program.

Receive up to $3,000 to participate in the customer discovery process of a STEM-related innovation.

2 cohorts per year.

Program consists of workshops and meetings over 10 weeks, where teams work to validate the market size, value propositions, and customer segments of their innovations.

First Cohort started in October 2017, Next cohort will begin in Sept. 2019.

http://loborainforest.com/icorps/
A portable, pivoting, and stowable tray for chair and wheelchair use
A cleaning, and storage system for cosmetic sponges
AI friendly repository of current medicine practice guidelines
Additives to prevent rancidity (soapy taste) in breast milk
Silicified cancer cell vaccine (pathogen mimic)
New method of intubation
Prevents accidental opioid overdose by creating a wearable auto-injector
LOBO RAINFOREST I-CORPS SITE

Spring 2019 UNM Teams

- A software that acts as a tool for those who want to change their physical address across any product, service, or platform in under a minute.
- A digital platform allowing students to optimize their university’s resources through advanced customization and networking.
- Wheelchair armrest for stroke patients
- Arterial Pulse Oximetry
- Red-eye reflex in order to recognize change; consequently, this could help identify early stages of eye disease.
- Comprehensive at home blood testing device.
- Blanket Booster for hospitals, nursing homes and other medical applications (UNM Gallup)
- TaosWorks is a coworking space and a business creation lab. (UNM Taos)
- Developing Manufactured housing Site Development technology
- Biome Crosstalk to diagnose Inflammatory bowel disease (IBD) and develop personalized therapies and strategies for patients.
- Broad Spectrum HPV Antivirals that prevent infection and/or neoplastic progression.
- A new class of mini centrifuge for continuous, high-volume separation of solids from a liquid feed.
- Enterprise system that would improve employee productivity and efficiency within an organization.
- Non-destructive measurement of the absorption coefficient of the doped single-mode optical fibers.
- Development of Fully Autonomous Mobile Robotics using Deep Learning and Deep Reinforcement Learning
Reviewers of presentations:

- Robert Fisher, Principal, Fisher Leadership Strategy Execution
- Lisa Kuuttila, CEO, STC.UNM
- Myrriah Tomar, Director, Science and Technology Office, NMEEDD
- Chuck Wellborn, Wellborn Strategies LLC
Starting in Fall 2018, teams from both Sandia and AFRL-NM are participating in the National Labs Lobo Rainforest I-Corps Site.

Fall 2018 Teams
- Sandia Team - Cheap & Fast DNA sequencing
- AFRL Team - Mid-infrared light sources

Spring 2019
- AFRL Teams
  - Technology that allows user to image artificial satellites during the daytime.
  - Incorporate/prototype affordable adaptive optics (Fast Steering Mirror) for smaller telescopes

Labs are providing program support and team funding.

10 weeks of training and meetings.
EDA UNIVERSITY CENTER

New Mexico Rainforest

- 5-year grant, $564,250 from EDA
- STC and UNM, in a partnership with the Innovation Academy will expand the Rainforest model to the branch campuses.
- The program will be a blended model of training, support, and resources for emerging entrepreneurs provided by experts/mentors who will instruct onsite and through distance learning and teleconferencing that will build relationships and skills at all of the UNM sites (Main Campus, West, Taos, Valencia, Gallup and Los Alamos).
UNIVERSITY CENTER SITE MENTORS

FY2019

Sandra Begay
UNM Gallup Site Mentor

Stacy Sacco
UNM Taos Site Mentor

Alex Roerick
UNM Valencia Site Mentor

Susan Cornelius
UNM Los Alamos Site Mentor

Cecilia Pacheco
UNM Main Site Mentor
UNIVERSITY CENTER

FY 2019 Activities – Q2

- Visits to each of the branch campus in October-December
- NMRainforest.com page created
- Seminar Series planned:
  - March 20, 2019, 12:00pm – “How to Generate a Business Idea,” presented by Sandra Begay, Location: UNM Gallup
  - March 29, 2019, 10:00am – “Pitching/Presenting your Idea,” presented by Gavin Leach, Location: UNM Valencia
  - April 17, 2019, 12:00pm – “Market Analysis,” presented by Susan Cornelius, Location: Lobo Rainforest
  - May 2, 2019, 10:00am – “Business Canvas,” presented by Susan Cornelius, Location: UNM-Los Alamos
  - June 23, 2019, 12:00pm – “Design Thinking,” presented by Nancy Lewis, Location: Lobo Rainforest
- Assessments to follow seminars for credit for Entrepreneurial Capabilities Certificate
Create, Sell, Bank course offered online to all branch campuses and community members starting January 2019.

- Framework for eCommerce, affiliate marketing, how working online can inform your business/non-profit
- Class offered for credit via UNM Online or for certificate for community members

Instructor: Bill Szaroletta, P.E.

Enrollment for Spring 2019 – 25 students

<table>
<thead>
<tr>
<th>Branch</th>
<th>Subject</th>
<th>Number</th>
<th>Section</th>
<th>Enrollment</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNM Main</td>
<td>LAIS</td>
<td>309</td>
<td>014</td>
<td>1</td>
</tr>
<tr>
<td>Los Alamos</td>
<td>UNIV</td>
<td>101</td>
<td>302</td>
<td>8</td>
</tr>
<tr>
<td>Gallup</td>
<td>MGMT</td>
<td>190</td>
<td>470</td>
<td>9</td>
</tr>
<tr>
<td>Taos</td>
<td>MGMT</td>
<td>190</td>
<td>800</td>
<td>7</td>
</tr>
<tr>
<td>Valencia</td>
<td>MGMT</td>
<td>190</td>
<td>510</td>
<td>0</td>
</tr>
</tbody>
</table>
FY 2019 Activities – Q3 & Q4

Seminars Held

- March 20, 2019, 12:00pm – “How to Generate a Business Idea,” presented by Sandra Begay, Location: UNM Gallup
  - 61 Registrations
  - 9 completed assessments
- March 29, 2019, 10:00am – “Pitching/Presenting your Idea,” presented by Gavin Leach, Location: UNM Valencia
  - 21 Registrations
  - 7 completed assessments
- April 17, 2019, 12:00pm – “Market Analysis,” presented by Susan Cornelius, Location: Lobo Rainforest
  - 23 Registrations
  - 5 completed assessments
- May 2, 2019, 10:00am – “Business Canvas,” presented by Susan Cornelius, Location: UNM- Los Alamos
  - 10 Registrations
  - 2 completed assessments
- June 23, 2019, 12:00pm – “Design Thinking,” presented by Nancy Lewis, Location: Lobo Rainforest
  - 32 Registrations
  - 6 completed assessments
STEM BOOMERANG

December 18-20, 2018

- Connecting top STEM professionals with opportunities to grow and innovate in New Mexico
- Utilizing previously untapped resources, Operation Boomerang will connect New Mexico’s young, highly-educated STEM professionals with start-up, tech and biotech, and research career opportunities in New Mexico.
- Started by Maggie Werner-Washburn, PhD
- https://stemboomerang.org/
CONFERENCES IN JAPAN

FY 2019

Conferences

- UNITT Annual Conference 2018 at Ochanomizu Women’s University
- Wellspring session: presented “Flintbox inquiry success case at STC.UNM”
  Moderator: Wellspring, Panelists: STC.UNM, Todai TLO, Kobe University
- MEXT (Ministry of Education of Japan) meeting with University Academia
  Collaboration Director Mr. Murase: gave a presentation about STC
- Osaka City University, meeting with Director Orihara, Manager Shimohara,
  Professor Takui – they have received an AFRL grant
- AOARD/Ohio State University/UNM visit to KIT and JAIST
- Kyushu University - Presentation speaker at Kyushu University on March 13th & 14th
  - STC overview and internship program and international program to Kyushu
    University’s Office of Research admin staff. 2 other speakers were Taro
    Yaguchi, International Patent Attorney based on Philadelphia, but he is also a
    Origami Artist. Mitsu Yamamoto, managing director of Japan Technology
    Group.
- City of Sanda supporting program presentation on March 16th
  - Presentation to recruit Professional Internship Program in August 2019
GRANTS AND AGREEMENTS IN JAPAN

FY 2019

❖ Grants
  ● Osaka Prefecture University MEXT Leading Graduate Program – not awarded
  ● Japan Agency for Medical Research and Development (AMED) RFP: submitted with Earnest and Young Japan Team to conduct market research about bio-related start-up in US
    ○ Contract with E&Y for $10,000

❖ International Virtual Office Agreement
  ● Monthly Fee to access STC staff and interns for marketing and research
    ○ Kansai TLO
      – August 2018 to March 2019, $4,000 fee
      – Extended for 6 months, April 2019 – September 2019
    ○ Tech Manage Corporation (TBD)
UNM/AFRL VISIT IN JAPAN

- The Japan Aerospace Exploration Agency (JAXA)
- Waseda University
- AFOSR (Tokyo Office)
- Kansai TLO
- Kyoto University
- Osaka Prefecture University
Tech Manage Corporation (President Hara, Managing Director Usui, Managing Director Yamamoto) 1 week, $3,000 in September

Tech Manage Corporation is a private company specializing in technology transfer. They have partnerships with 13 national universities, main client is Osaka University.
PROFESSIONAL INTERNSHIP ACADEMY

February 2019

- Osaka Prefecture University Pitch
  - 5 PhD students and 1 professor
  - Engineering Department

- Mukogawa Women’s University Pitch
  - 8 undergraduate students
  - Health Sports Science Department
KYODAI ORIGINAL, INC VISIT

February 2019

- Shinji Ohnishi, Executive Director, Kyodai Original Inc. (Japan’s first economic development organization based on Kyoto University, 2nd largest national university in Japan)
- Shinji was former CEO of Kansai TLO, who signed MOU with STC
Meeting with Ms. Takeuchi, Consulate General of Japan in Denver and President Stokes to discuss relationship between Japan, State of New Mexico, and UNM.
Set up 2+2 program with Osaka Prefecture University (once they merge with Osaka City University)

Plan for summer program, aiming for May 2020 to bring UNM students to Japan.
INNOVATION ACADEMY VISIT

Yamanashi Gakuin University

- Meeting with President and Chairman, Furuya, Yamanashi Gakuin University
- Meeting with International College of Liberal Arts to set up 2+2 program in Computer Science
ATHLETIC/SPORTS CAMP AT UNM

- University of Tsukuba Swim Team
  - Term: 12/22/2018 to 1/5/2019
  - 16 swimmers
  - $9,164 - Income to UNM Rec

- University of Chukyo Swim Team
  - Term: 2/19/2019 to 3/15/2019
  - 6 swimmers and 2 staff
  - $10,775 - Income to UNM Rec
BUILDING A RAINFOREST IN THE DESERT FY 2019

PARTNERSHIPS
Program Data

900+
Students registered for IA as of June 1, 2017

54
Student-run companies currently in business

143
IA approved courses taught each semester

85
Students received academic credit for starting their business

$1.3 million
in venture funding for student-run businesses

Program progress:

- >50% female, >50% students of color, >65% first generation college students
- Pitch Competitions had over 190 companies/groups and over $50,000 in prize money
- 82 students enrolled in 2+1+2 Associates to MBA
INNOVATION ACADEMY – STC PARTNERSHIP

Activities

 Create, Sell, Bank Class continue in Spring 2019

 Grant(s) (IA & STC joint)
  ● Ongoing NSF I-Corps site
  ● Received EDA University Center grant
    o Dedicated site mentors at each of the UNM Branch Campuses
    o Entrepreneurial Certificate program through seminar series
    o CSB Class Online/Available to Branch Campuses

 Pitch Competition
  ● Finals on March 25, 2019
  ● Next competition – October 28, 2019

 Pitch Deck Competition (raised $30K)
  ● December 2, 2019
RAINFOREST STUDENT PITCH COMPETITION

This is a community initiative to help recognize our student entrepreneurs in the state!

- Hosted by STC.UNM and the UNM Innovation Academy
- Latest competition held on March 25, 2019, 5:30pm-7:30pm at Bow and Arrow.
- Student entrepreneurs present their innovative ideas for products, services or technologies in 60-90 second presentations before entrepreneurs, investors, and business professionals in the community.
- Competition open to students from any university in the state of New Mexico.
- Spring 2019 Competition sponsored by Nusenda Credit Union and New Mexico Gas Company.
RAINFOREST STUDENT PITCH COMPETITION

November 5, 2018

- 11 Finalists
- Audience choice ($1,000 prize)
  - Jonathan Yarmey, Trident Bionics, a completely redesigned intubation device
- Judges’ Choice ($750 each)
  - Audriana Stark and Franchesca Castillo, Wild Woman Kombucha Company, a healthy, fermented tea, known as kombucha
  - Mercedes Ortega-Kennedy, Tiny Touch Neonatal Vital Monitor, a noninvasive, reusable, durable medical device for monitoring neonatal vitals
  - Jason Boxum, Parental Values LLC, a commercial-grade, mobile-management app for parents, teachers and students
  - Ginger Wright and Lauren Martinez, Envision, a digital platform (app & website) for students to optimize their university resources through advanced customization
RAINFOREST STUDENT PITCH COMPETITION

March 25, 2019

10 Finalists

Audience choice ($1,000 prize)
- Molly Schmeltzer and Katherine Brunner, *E-merge Technologies*, software that integrates data from various financial and accounting software programs to eliminates repetitive tasks for grant writers (undergraduate students, Anderson, UNM main)

Judges’ Choice ($750 each)
- Breanna Gonzales, Wildland Women Co., clothing brand for women wildland fire fighters (undergraduate student, University College/Liberal Arts, UNM main)
- Luis G. Hernandez, The Kool Keeper, temperature-regulated shipping materials for the transport of temperature-sensitive products (undergraduate student, Business Administration, UNM main)
- Shelby Ramey, Healthy Pawz, fitbit for dogs that tracks their health concerns (undergraduate student, Business Administration, UNM main)
- Virginia Primozic, CoverJack, a product that relieves the weight and friction of bedding from the legs and feet of bedridden and long-term care patients (graduate student, Business Administration, UNM Gallup)

Remaining Finalists receive $250 per team
STUDENT BUSINESSES

*Pitch competition companies in business*

- BioSafe Defenses
- EcoPesticides
- Cornivore
- Armis
- $ave $quad
- Pencil-In
- Ale Republic
- Blossom Beauty
- TABS
- Back to Earth (raised over $1M in crowdfund campaign)

- Inde Beat
- Saavy
- CRAFTED ABQ
- RepUniversity
- Shutter Bombs, LLC
- Adaptive Biomedical Design
- Dipped by Dee
- Kaiser Music LLC
- Wild Woman Kombucha Company
- Parental Values
- SipaVax
PITCH DECK COMPETITION

In Partnership with Innovation Academy

- Raised $30K for Fall 2019 Competition
- Early-stage pitch competition bringing together university entrepreneurs from all over New Mexico for chance to win a prize pool of approximately $20,000
- 2 round competition
  - 1st round – 5 minute video delivering a pitch deck
  - 2nd round – 10 minute pitch deck presentation in front of a panel of judges
- Finals on December 2, 2019 at the Lobo Rainforest
-members: STC.UNM, New Mexico State University, New Mexico Tech, Sandia National Laboratories, Los Alamos National Laboratory, Air Force Research Laboratory, NASA

INNOVATE NEW MEXICO®
Discover The State of Innovation
Program details for May 7, 2019 event:

- Welcome:
  - Jon Clark, Deputy Secretary, New Mexico Economic Development Department

- Keynote Speaker:
  - Mara Aspinall, Co-Founder and Managing Director, BlueStone Venture Partners, LLC

- Startup Panel:
  - John Brown, CEO, Silent Falcon
  - Steve Graves, PhD, President & CEO, BennuBio, Inc.
  - Charles C. Harb, PhD, CEO & President, RingIR, Inc.
  - Federica Pericle, PhD, President & CEO, Agilvax, Inc.
  - David Smidt, Owner, Mother Road Mobile Canning

- Technology Presentations:
  - Adaptive Space Time Processing - Khanh Pham, PhD, AFRL
  - NASA Innovations in Battery Technologies - Walter Ugalde, NASA Johnson Space Center
  - Real-Time Measurement and Monitoring of Plant Water Status - David Hanson, PhD, UNM
  - Metasurface Technologies for Fast and Cheap DNA Sequencing - Adam Backer, PhD, Sandia
  - PYR LnESS: Rare Earth Starting Materials - Ross Beattie, PhD, Los Alamos National Laboratory
  - Circular RNAs for the Diagnosis and Treatment of Brain Disorders - Nikolaos Mellios, PhD and Alex Hafez, UNM
  - Observing Satellites in the Daytime - Scott Milster & Waid Schlaegel, AFRL
  - DynAmmo Gas Sensors: Less Ammonia, More Profit - Kannan Ramaiyan, PhD, Los Alamos National Laboratory
  - Bio-Inspired Deep Foundations Piles - Craig Newton, PhD, NMSU
  - Paraquat as an Adjuvant for Insecticidal Bednets - Cody Champion, PhD, NMSU
  - Innovation and Technologies at White Sands - Joe Bullington, NASA White Sands

Closing:
- Jennifer Sinsabaugh, CEO, New Mexico Manufacturing Extension Partnership
INNOVATE NEW MEXICO TECHNOLOGY SHOWCASE

May 7, 2019

- 120 investors, entrepreneurs, industry reps, and local business members in attendance.
- 15 New Mexico startup companies and business organizations exhibiting.
- NASA was a partner in the event for the first time.
- Companies/Venture Funds in attendance at the Innovate New Mexico Tech Showcase included:
  - BlueStone Venture Partners
  - New Mexico Angels
  - Sun Mountain Capital
  - Dow Chemical Company
  - Aspen Vista Capital
  - Tramway Venture Partners
INNOVATE NEW MEXICO

Website and Social Media

[Graph showing website and social media metrics]

InnovateNewMexico.com
Follow @InnovateNewMexico/@InnovateNM
CONNECTIONS

- NMBIO*
- New Mexico Angels*
- Greater Albuquerque Chamber of Commerce
- New Mexico Tech Council
- Coronado Ventures Forum
- Technology Research Collaborative*

*STC staff is a member of the board.
New Mexico Roadrunners

- New Mexico Roadrunners are goodwill ambassadors representing Albuquerque's business community who travel twice per year to different regions of the state to meet with local businesses, chambers of commerce, economic development organizations, elected and appointed officials, and community leaders.

- June 4-5, 2019 - More than 30 Albuquerque business leaders joined the overnight trip that included stops in Gallup, the Navajo Nation, Farmington, and Chaco Canyon.

- Meetings with influential local leaders, including mayors, state legislators, and the Navajo Nation President.
CONNECTIONS

Partnership Intermediary Agreement with AFRL through New Mexico Tech – FY 2019

- **STC Members Providing Support For AFRL:**
  - Arlene Mirabal, Director of Commercialization, AFRL PIA Project Manager
  - Gabe Wilkinson, Commercialization Assistant
  - Cecilia Pacheco, Economic Development & Project Specialist
  - Innovation Interns

- **FY 2019 Training Activities:**
  - Bi-weekly meetings including operations, Marketing, IP, and innovation
  - Training sessions for Wellspring Sophia Software System
  - Training seminars on Compliance
  - Training Seminar on STC Startup Venture Program

December 3, 2019
CONNECTIONS

Partnership Intermediary Agreement with AFRL through New Mexico Tech – FY 2019

❖ FY 2019 Marketing Activities:
  ● Bi-weekly marketing meetings
  ● Monthly Marketing Review Meetings
  ● Prior-art searches
    ○ 15 prior art searches conducted
  ● Targeted marketing campaigns
    ○ Of the 20 targeted email campaigns executed in FY2019
      – 520 marketing interactions from email campaigns
      – 72 serious leads/responses requesting more information
  ● Invention disclosures
    ○ 16 new invention disclosures
  ● Agreements
    ○ 3 NDAs signed
    ○ 2 PLAs in-process

❖ Additional Support:
  ● First AFRL Innovation Awards held October 2018
CONNECTIONS

Partnership Intermediary Agreement with AFRL through New Mexico Tech – FY 2019

FY 2019 Marketing Activities (continued):

- Development of Technology Reports:
  - Beam Combining – consisting 7 technologies
  - Cold Atom Technology – consisting 1 technology
  - Electromagnetic Radiation Reflectors – consisting 1 technology
  - Electron Beam/Nonlinear Transmission Lines – consisting 3 technologies
  - Fiber Lasers/Amplifiers – consisting 5 technologies
  - Magnetrons – consisting 3 technologies
  - Mesh Generation – consisting 1 technology
  - Permanent Magnets – consisting 1 technology
  - Raman Amplifiers – consisting 6 technologies
  - Thermal Management – consisting 3 technologies
  - Wave Front Control & Adaptive Optics – consisting 1 technology
  - Zoom Antennas – consisting 1 technology
  - Composite Structures – consisting 6 technologies
  - Deployable Structures – consisting 6 technologies
  - Electromagnetics/Photonics – consisting 2 technologies
  - Illumination Systems – consisting 1 technology
  - Manufacturing – consisting 1 technology
  - Material Testing – consisting 2 technologies
  - Sensors – consisting 4 technologies
  - Vibration Isolation – consisting 1 technology

December 3, 2019
CONNECTIONS

Partnership Intermediary Agreement with AFRL through New Mexico Tech – FY 2019

**FY 2019 Collaboration Activities:**

- **Rainforest Showcase**
  - Tech Flow
  - West Coast Solutions
  - Tosoh

- **Agile Manufacturing Showcase**
  - 3D Proven Systems/Root 9
  - IDEAS Engineering & Technology
  - Optomec
  - Silent Falcon UAS

- **Innovate New Mexico 2019**
  - Parsons Corporation
  - Solstar Space
  - ExoAnalytic Solutions
  - IDEAS Engineering & Technology, LLC
  - Optomec

**Technology Presentations**

- John Rockwell – July 12, 2018
- Tosoh – November 8, 2018
- STAR Cryoelectronics – November 14, 2018
- Novi LLC – November 27, 2018
- Sue Prelozni – December 3, 2018
- Matt Geisel – December 14, 2018
- Visual Working – January 31, 2019
- Phoenix Venture Partners – February 28, 2019
- Tech Flow – March 1, 2019
- Inkbit – March 5, 2019
- Novi – March 6, 2019
- 3D Proven Systems/Root 9 – March 8, 2019
- IDEAS Engineering and Technology – March 12, 2019
- Colorado Digital Labs – May 29, 2019
- Virgin Galactic – June 5, 2019
- Metis Technology – June 18, 2019

December 3, 2019
Keynote Speakers: Mary Lou Robinson, Division Chief, Air Force Research Laboratory, High Powered Electromagnetics Division and Christos Christodoulou, PhD, Dean, UNM School of Engineering

Lunchtime Panel - Startup Companies in New Mexico, featuring Lens, Enthentica and Optipulse

Technology Presentations:
- Matt Squires, PhD, AFRL, One Beam Mirror Magneto-Optical Trap Chamber
- Tito Busani, PhD, UNM, Ultra Wide Spectrum Photovoltaic-Thermoelectric Solar Cell
- Christopher Box, Capt., AFRL, Compliant Hinge for Membrane-Like Structures
- Francesca Cavallo, PhD, UNM, Radially Stacked Solar Cells Based on 2D Atomic Crystals
- Zachary Levin, PhD, AFRL, Flexible Optical Solar Reflector (FLOSR)
- Mansoor Sheik-Bahae, PhD, UNM, All-Solid-State Vibration-Free Optical Cryocoolers
Keynote Speakers: Mary Lou Robinson, Division Chief, Air Force Research Laboratory, High Powered Electromagnetics Division and Christos Christodoulou, PhD, Dean, UNM School of Engineering

Lunchtime Panel - Startup Companies in New Mexico, featuring Lens, Enthentica and Optipulse

Technology Presentations:
- Matt Squires, PhD, AFRL, One Beam Mirror Magneto-Optical Trap Chamber
- Tito Busani, PhD, UNM, Ultra Wide Spectrum Photovoltaic-Thermoelectric Solar Cell
- Christopher Box, Capt., AFRL, Compliant Hinge for Membrane-Like Structures
- Francesca Cavallo, PhD, UNM, Radially Stacked Solar Cells Based on 2D Atomic Crystals
- Zachary Levin, PhD, AFRL, Flexible Optical Solar Reflector (FLOSR)
- Mansoor Sheik-Bahae, PhD, UNM, All-Solid-State Vibration-Free Optical Cryocoolers
JOINTLY-OWNED INVENTIONS

Activity with Sandia and LANL

<table>
<thead>
<tr>
<th></th>
<th>Sandia</th>
<th>LANL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jointly-owned inventions</td>
<td>210</td>
<td>43</td>
</tr>
<tr>
<td>• Active</td>
<td>101</td>
<td>22</td>
</tr>
<tr>
<td>• Closed</td>
<td>109</td>
<td>21</td>
</tr>
<tr>
<td>Number of commercialization agreements</td>
<td>106</td>
<td>23</td>
</tr>
<tr>
<td>Number in which STC has taken lead</td>
<td>74</td>
<td>23</td>
</tr>
<tr>
<td>Number of option and license agreements executed with STC as lead</td>
<td>36</td>
<td>5</td>
</tr>
<tr>
<td>Number of option and license agreements executed with partners as lead</td>
<td>6</td>
<td>-</td>
</tr>
<tr>
<td>Income from option and license agreements with STC as lead</td>
<td>$10,197,120&lt;sup&gt;(a)&lt;/sup&gt;</td>
<td>$320,363</td>
</tr>
<tr>
<td>Start-ups from option and license agreements with STC as lead</td>
<td>8</td>
<td>2</td>
</tr>
<tr>
<td>Income from option and license agreements with partners as lead</td>
<td>$134,950</td>
<td>$-0-</td>
</tr>
<tr>
<td>Start-ups from option and license agreements with partners as lead</td>
<td>2</td>
<td>-</td>
</tr>
</tbody>
</table>

- Currently have 17 outstanding commercialization agreements with Sandia
- 5 new joint inventions with Sandia disclosed during FY 2019
- 7 commercialization agreements with Sandia executed during FY 2019

<sup>(a)</sup> Gross licensing income composed of pooled technologies that also include other non-jointly-owned technologies
BUILDING A RAINFOREST IN THE DESERT FY 2019

INCOME DIVERSIFICATION
REVENUE DIVERSIFICATION

FY2019

Licensing and Royalties 24.23%
Patent Cost Reimbursement 11.13%
Operational Funding from UNM 14.71%
Patent Funding from UNM 17.64%
Economic Development Funding from UNM 5.34%
Cecchi Venture Lab 0.84%
Professional Internship Academy 0.29%
Sponsorships/Other 19.76%
AFRL Activity 4.65%
EDA University Center 1.41%

December 3, 2019
DRIVING THE INNOVATION ECONOMY

Academic Technology Transfer in Numbers

From 1996 to 2015, up to...

- $1.3 trillion contributed to U.S. gross industrial output
- $591 billion contributed to U.S. gross domestic product
- 4.3 million jobs supported
- 380,000 inventions disclosed...
- 80,000 U.S. patents issued...
- 11,000 start-ups formed since 1995
- 70% of university licenses are to start-ups and small companies
- 200 drugs and vaccines developed through public-private partnership since Bayh-Dole Act enacted in 1980

Technology transfer professionals associated with universities and other academic institutions manage the complex process of transferring ideas from the lab to the marketplace — from evaluating and protecting discoveries to license agreements to inventions through translation and ending customers.

For more information visit www.autm.net

December 3, 2019

99
BUILDING A RAINFOREST IN THE DESERT FY 2018

FY 2019 Data, Income Analysis & Forecast
FY 2019 Data

- STC filed first-time patent applications on 90 of the 124 patent disclosures in FY2019 (73% in FY2019 vs. 71% in FY2018)
- STC generated $453,302 of new (agreements) license revenues in FY2019, representing 35% of total license revenues (vs. $671,367 of new revenues in FY2018 – 46% of total)
- Of the 124 total disclosures (patents & copyrights) received in FY2019, representing 95 lead inventors, 42 were first-time inventors (44% vs. 46% in FY2018)
DATA, INCOME ANALYSIS, & FORECAST

STC License Revenues - Actual & Forecast Assumptions (same assumptions as prior year projections)

- Minimum numbers for FY2020 through FY2022 represent minimum fees and payments from existing licenses.
- FY2020 mid-level represents approx. $500,000 of new license income. FY2020 upper end represents $750,000 of new license income.
- FY2021 mid-level represents $450,000 of new license income and/or minimums from deals closed in FY2020. FY2021 upper end represents $650,000 of new license income and/or minimums from deals closed in FY2020.
- FY2022 mid-level represents $400,000 of new license income and/or minimums from deals closed in FY2020 and FY2021. FY2022 upper end represents $575,000 of new license income and/or minimums from deals closed in FY2020 and FY2021.
- No equity liquidations included.
- No forecasted terminations of agreements included.
- No unknown substantial earned royalties forecasted.
STC LICENSE REVENUES

Updated 3-year Forecast


High

Actual & Mid-range

Minimum

December 3, 2019
## PATENT REIMBURSEMENT REVENUES

<table>
<thead>
<tr>
<th>Year</th>
<th>Fiscal Year</th>
<th>Revenues</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY2003</td>
<td>FY2004</td>
<td>FY2005</td>
</tr>
<tr>
<td>$87,969</td>
<td>$62,870</td>
<td>$97,531</td>
</tr>
<tr>
<td>FY2006</td>
<td>FY2007</td>
<td>FY2008</td>
</tr>
<tr>
<td>$188,721</td>
<td>$219,784</td>
<td>$270,882</td>
</tr>
<tr>
<td>FY2009</td>
<td>FY2010</td>
<td>FY2011</td>
</tr>
<tr>
<td>$198,510</td>
<td>$237,285</td>
<td>$487,391</td>
</tr>
<tr>
<td>FY2012</td>
<td>FY2013</td>
<td>FY2014</td>
</tr>
<tr>
<td>$377,454</td>
<td>$686,256</td>
<td>$714,805</td>
</tr>
<tr>
<td>FY2015</td>
<td>FY2016</td>
<td>FY2017</td>
</tr>
<tr>
<td>$621,413</td>
<td>$621,13</td>
<td>$600,737</td>
</tr>
<tr>
<td>FY2018</td>
<td>FY2019</td>
<td></td>
</tr>
</tbody>
</table>

*Graph showing the increase in patent reimbursement revenues from FY2003 to FY2019.*
TOTAL DOLLAR AMOUNT OF LICENSES/OPTIONS YIELDING REVENUES

- **Earned Royalties**
- **License Revenues**

<table>
<thead>
<tr>
<th>Year</th>
<th>Earned Royalties</th>
<th>License Revenues</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY2003</td>
<td>$500,000</td>
<td>$1,000,000</td>
</tr>
<tr>
<td>FY2004</td>
<td>$1,000,000</td>
<td>$1,500,000</td>
</tr>
<tr>
<td>FY2005</td>
<td>$1,500,000</td>
<td>$2,000,000</td>
</tr>
<tr>
<td>FY2006</td>
<td>$2,000,000</td>
<td>$2,500,000</td>
</tr>
<tr>
<td>FY2007</td>
<td>$2,500,000</td>
<td>$3,000,000</td>
</tr>
<tr>
<td>FY2008</td>
<td>$3,000,000</td>
<td>$3,500,000</td>
</tr>
<tr>
<td>FY2009</td>
<td>$3,500,000</td>
<td>$4,000,000</td>
</tr>
</tbody>
</table>

Date: December 3, 2019
A mature technology transfer program needs all 3 legs of the stool as transfer mechanisms.
STC HISTORY: BUILDING A TECHNOLOGY TRANSFER PROGRAM

- Awareness of technology transfer
- Stimulate disclosures
- Internal educational program
- Build a quality legal/patent infrastructure
- Marketing program in place
- Culture change at university embracing commercialization
- Start-up program in place
- Early earned royalties
- Increasing base of licenses
- Outreach to business community
- Visible economic development
- Substantial earned royalties
- Home-run
# Table of Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Official Roster (unaudited)</td>
<td>i</td>
</tr>
<tr>
<td>Report of Independent Auditors</td>
<td>1</td>
</tr>
<tr>
<td>Management’s Discussion and Analysis (unaudited)</td>
<td>3</td>
</tr>
<tr>
<td>Basic Financial Statements:</td>
<td></td>
</tr>
<tr>
<td>Statements of Net Position</td>
<td>6</td>
</tr>
<tr>
<td>Statements of Revenues, Expenses, and Changes in Net Position</td>
<td>7</td>
</tr>
<tr>
<td>Statements of Cash Flows</td>
<td>8</td>
</tr>
<tr>
<td>Notes to Financial Statements</td>
<td>9</td>
</tr>
<tr>
<td>Required Governmental Reporting:</td>
<td></td>
</tr>
<tr>
<td>Report of Independent Auditors on Internal Control over Financial</td>
<td>21</td>
</tr>
<tr>
<td>Reporting and on Compliance and Other Matters Based on an Audit of</td>
<td></td>
</tr>
<tr>
<td>Financial Statements Performed in Accordance with Government</td>
<td></td>
</tr>
<tr>
<td>Auditing Standards</td>
<td></td>
</tr>
<tr>
<td>Summary of Auditor’s Results</td>
<td>23</td>
</tr>
<tr>
<td>Schedule of Findings</td>
<td>24</td>
</tr>
<tr>
<td>Schedule of Prior Audit Findings</td>
<td>25</td>
</tr>
<tr>
<td>Exit Conference</td>
<td>26</td>
</tr>
</tbody>
</table>
STC.UNM
(A Blended Component Unit of the University of New Mexico)
Official Roster (unaudited)
June 30, 2019

Officers
Ms. Sandra Begay            Chair
Ms. Terri Cole              Vice Chair
Dr. Joseph L. Cecchi        Vice Chair
Dr. John H. Stichman        Secretary/Treasurer
Ms. Elizabeth Kuuttila      CEO & Chief Economic Development Officer
Ms. Denise M. Bissell       Assistant Secretary

Committee Chairs
Ms. Sandra Begay            Chair, Executive Committee and Nominating Committee
Dr. John H. Stichman        Chair, Finance and Compensation Committee
Ms. Maria Griego-Raby       Chair, Endowment Fund Committee
Mr. Chuck Wellborn          Chair, Co-Investment Fund Committee

Board Members
Ms. Sandra Begay            Mr. Richard Wood
Dr. Joseph L. Cecchi        Ms. Terri Cole
Dr. Robert H. Fisher        Ms. Elizabeth Kuuttila
Ms. Maria Griego-Raby       Mr. David W. Gibson
Mr. Jamie Koch              Dr. Julie E. Coonrod
Dr. Richard S. Larson       Dr. Gabriel P. Lopez
Ms. Cindy McGill            Mr. Robert H. Nath
Dr. Gregg L. Mayer          Dr. Eric R. Prossnitz
Dr. Paul B. Roth            Mr. Pedro F. Suarez
Dr. John H. Stichman        Mr. Chuck I. Wellborn
Mr. Gary Tonjes             Mr. J.E. (Gene) Gallegos
Dr. Craig G. White          Ms. Kimberly C. Sawyer
Dr. Alton D. Romig, Jr.     Dr. Garnett S. Stokes
Dr. John C. Stormont
Report of Independent Auditors

The Board of Directors
STC.UNM
And
Mr. Brian S. Colón, Esq.
New Mexico State Auditor

Report on the Financial Statements

We have audited the accompanying financial statements of STC.UNM, which comprise the statements of financial position as of June 30, 2019 and 2018, and the related statements of revenues, expenses, and changes in net position and cash flows for the years then ended, and the related notes to the financial statements.

Management’s Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor’s Responsibility

Our responsibility is to express opinions on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor’s judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity’s preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity’s internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinions.
Opinions

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of STC.UNM as of June 30, 2019 and 2018, and the changes in its net assets and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Other Matters

Required Supplementary Information

Accounting principles generally accepted in the United States of America require that the management's discussion and analysis on pages 3 through 5 be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Other Reporting Required by Government Auditing Standards

In accordance with Government Auditing Standards, we have also issued our report dated September 10, 2019 on our consideration of STC.UNM's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is solely to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of STC.UNM's internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with Government Auditing Standards in considering STC.UNM's internal control over financial reporting and compliance.

Mess Adams LLP

Albuquerque, New Mexico
September 10, 2019
This management’s discussion and analysis (MD&A) of the STC.UNM (formerly known as Science & Technology Corporation @ UNM) (the Corporation) provides an overview of the Corporation’s financial performance for the fiscal years ended June 30, 2019, 2018 and 2017.

Overview of the Financial Statements

The statements of net position of the Corporation provide both long-term and short-term information about the Corporation’s overall financial status. The statements of revenues, expenses, and changes in net position provide information about the operating revenues and expenses and nonoperating revenues and expenses of the Corporation. The statements of cash flows provide information about the sources and uses of cash by the Corporation.

Condensed Financial Information

<table>
<thead>
<tr>
<th></th>
<th>June 30</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2019</td>
<td>2018</td>
<td>2017</td>
</tr>
<tr>
<td>Current assets</td>
<td>$ 2,890,863</td>
<td>2,924,649</td>
<td>2,390,591</td>
</tr>
<tr>
<td>Capital assets, net</td>
<td>33,040</td>
<td>28,443</td>
<td>16,556</td>
</tr>
<tr>
<td>Investment in stock</td>
<td>1,519</td>
<td>1,519</td>
<td>20,371</td>
</tr>
<tr>
<td>Total assets</td>
<td>$ 2,925,422</td>
<td>2,954,611</td>
<td>2,427,518</td>
</tr>
<tr>
<td>Current liabilities</td>
<td>1,919,454</td>
<td>1,824,675</td>
<td>1,433,210</td>
</tr>
<tr>
<td>Net position</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment in capital assets</td>
<td>$ 33,040</td>
<td>28,443</td>
<td>16,556</td>
</tr>
<tr>
<td>Unrestricted</td>
<td>972,928</td>
<td>1,101,368</td>
<td>977,752</td>
</tr>
<tr>
<td>Total liabilities and net position</td>
<td>$ 2,925,422</td>
<td>2,954,486</td>
<td>2,427,518</td>
</tr>
<tr>
<td>Operating revenues</td>
<td>$ 4,441,927</td>
<td>4,524,951</td>
<td>4,226,568</td>
</tr>
<tr>
<td>Operating expenses</td>
<td>4,604,146</td>
<td>4,440,054</td>
<td>4,139,557</td>
</tr>
<tr>
<td>Operating (loss) income</td>
<td>(162,219)</td>
<td>84,897</td>
<td>87,011</td>
</tr>
<tr>
<td>Nonoperating revenues</td>
<td>38,376</td>
<td>50,606</td>
<td>64,009</td>
</tr>
<tr>
<td>Change in net position</td>
<td>(123,843)</td>
<td>135,503</td>
<td>151,020</td>
</tr>
<tr>
<td>Net position, beginning of year</td>
<td>1,129,811</td>
<td>994,308</td>
<td>843,288</td>
</tr>
<tr>
<td>Net position, end of year</td>
<td>$ 1,005,968</td>
<td>1,129,811</td>
<td>994,308</td>
</tr>
</tbody>
</table>
Financial Position

The Corporation’s current assets decreased by $33,786 as of June 30, 2019 to $2,890,863 compared to $2,924,649 as of June 30, 2018; and current assets increased by $534,058 as of June 30, 2018 to $2,924,649 compared to $2,390,591 as of June 30, 2017. The decrease from fiscal year 2018 to fiscal year 2019 was primarily attributable to increased current year operating costs offset by investment gains and increased accounts receivable from patent activity.

Current liabilities increased by $94,779 as of June 30, 2019 to $1,919,454 compared to $1,824,675 as of June 30, 2018; and increased by $391,465 as of June 30, 2018 to $1,824,675 compared to $1,433,210 as of June 30, 2017. The change from fiscal year 2018 to fiscal year 2019 is primarily attributable to an increase in Due to University of New Mexico associated with the timing of the payments for license and royalty income and increased accrued expenses associated with increased operating costs.

Capital Assets

Capital asset purchases during fiscal years 2019, 2018, and 2017 were $12,662, $21,520, and $3,922, respectively, for buildings, software, leasehold improvements, computer equipment, and furniture and had depreciation expense of $8,065, $8,995, and $8,413, respectively.

Comparison of Fiscal 2019 to Fiscal 2018 Results of Operations

Total operating revenues decreased by $83,024 from $4,524,951 in fiscal year 2018 to $4,441,927 for fiscal year 2019. The majority of the decrease is directly attributable to decreased licensing and royalty activity through the fiscal year. Licensing and royalty revenues, net decreased by $139,319 in fiscal year 2019 compared to fiscal year 2018. Additionally, other revenues increased by $85,896 in fiscal year 2019 compared to fiscal year 2018 which was primarily offset by decreased economic development funding of $50,000 associated with a grant award from New Mexico Gas Company.

Total operating expenses increased by $164,092 for fiscal year 2019 compared to fiscal year 2018. General and administrative expenses increased by $175,879 from the prior year due to increased personnel costs in an effort to expand technology transfer and economic development initiatives under the Air Force Research Laboratory (AFRL) and Economic Development Administration (EDA) grants and other income generating activities. Licensing distributions decreased by $92,624 and economic development initiative expenses decreased by $29,796 which were primarily offset by an increase in patent costs of $111,563 from the prior year.

Comparison of Fiscal 2018 to Fiscal 2017 Results of Operations

Total operating revenues increased by $298,383 from $4,226,568 in fiscal year 2017 to $4,524,951 for fiscal year 2018. The majority of the increase is directly attributable to increased licensing and royalty activity through the fiscal year. Licensing and royalty revenues, net increased by $235,275 in fiscal year 2018 compared to fiscal year 2017. Additionally, patent costs reimbursements decreased by $93,392 compared to fiscal year 2017 which was primarily offset by increased economic development funding associated with a grant award from New Mexico Gas Company and increased sponsorship funding associated with the Corporation’s subaward activities.
Total operating expenses increased by a net of $300,497 for fiscal year 2018 compared to fiscal year 2017. General and administrative expenses increased by $276,296 from the prior year due to increased rents and costs associated with the relocation of the Corporation. Licensing distributions increased by $58,327 and economic development initiative expenses increased by $58,391 which were primarily offset by a decrease in patent costs of $93,099 from the prior year.

Economic Conditions
The uncertainty of the general economic condition impacts university technology transfer offices such as the Corporation. The stability of the economy will be critical in the venture capital industry, which provides funding for start-up companies that may license university intellectual property.

Contacting the Company’s Management
This report is meant to accurately describe the financial condition and position of the Corporation.

If you have any questions about this report or need additional financial information, contact STC.UNM at 101 Broadway Blvd NE, Suite 1100, Albuquerque, New Mexico 87102.
## STC.UNM
(A Blended Component Unit of the University of New Mexico)

### Statements of Net Position

**June 30, 2019 and 2018**

<table>
<thead>
<tr>
<th>Assets</th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Current assets:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cash and cash equivalents</td>
<td>$1,052,063</td>
<td>1,174,759</td>
</tr>
<tr>
<td>Investments</td>
<td>761,791</td>
<td>729,741</td>
</tr>
<tr>
<td>Accounts receivable, net</td>
<td>1,077,009</td>
<td>1,020,149</td>
</tr>
<tr>
<td><strong>Total current assets</strong></td>
<td>2,890,863</td>
<td>2,924,649</td>
</tr>
<tr>
<td><strong>Capital assets:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Furniture and equipment</td>
<td>302,538</td>
<td>289,876</td>
</tr>
<tr>
<td>Accumulated depreciation</td>
<td>(269,498)</td>
<td>(261,433)</td>
</tr>
<tr>
<td><strong>Total capital assets, net</strong></td>
<td>33,040</td>
<td>28,443</td>
</tr>
<tr>
<td>Investment in stock</td>
<td>1,519</td>
<td>1,394</td>
</tr>
<tr>
<td><strong>Total assets</strong></td>
<td>$2,925,422</td>
<td>2,954,486</td>
</tr>
</tbody>
</table>

| Liabilities and Net Position |            |            |
| Current liabilities:        |            |            |
| Accounts payable            | $185,903   | 189,309    |
| Due to University of New Mexico | 474,193 | 412,050     |
| Accrued royalty sharing, net | 1,036,260 | 1,056,099  |
| Accrued expenses            | 223,098    | 167,217    |
| **Total current liabilities** | 1,919,454 | 1,824,675  |

| Net position:               |            |            |
| Investment in capital assets | 33,040     | 28,443     |
| Unrestricted                | 972,928    | 1,101,368  |
| **Total net position**      | 1,005,968  | 1,129,811  |
| **Total liabilities and net position** | $2,925,422 | 2,954,486 |

See accompanying notes to financial statements.
## STC.UNM
(A Blended Component Unit of the University of New Mexico)

**Statements of Revenues, Expenses, and Changes in Net Position**

Years ended June 30, 2019 and 2018

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Operating revenues:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Operational funding from UNM</td>
<td>$ 794,000</td>
<td>794,000</td>
</tr>
<tr>
<td>Patent funding from UNM</td>
<td>952,000</td>
<td>952,000</td>
</tr>
<tr>
<td>Economic development funding from UNM and others</td>
<td>288,000</td>
<td>338,000</td>
</tr>
<tr>
<td>Patent cost reimbursement, net</td>
<td>623,274</td>
<td>621,413</td>
</tr>
<tr>
<td>Licensing and royalties, net</td>
<td>1,330,759</td>
<td>1,470,078</td>
</tr>
<tr>
<td>Rental income</td>
<td>131,465</td>
<td>112,927</td>
</tr>
<tr>
<td>Other</td>
<td>322,429</td>
<td>236,533</td>
</tr>
<tr>
<td><strong>Total operating revenues</strong></td>
<td>4,441,927</td>
<td>4,524,951</td>
</tr>
<tr>
<td><strong>Operating expenses:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Patent costs incurred</td>
<td>1,554,123</td>
<td>1,442,560</td>
</tr>
<tr>
<td>Licensing distributions</td>
<td>770,075</td>
<td>862,699</td>
</tr>
<tr>
<td>Depreciation</td>
<td>8,065</td>
<td>8,995</td>
</tr>
<tr>
<td>Economic development initiative</td>
<td>373,623</td>
<td>403,419</td>
</tr>
<tr>
<td>General and administrative</td>
<td>1,898,260</td>
<td>1,722,381</td>
</tr>
<tr>
<td><strong>Total operating expenses</strong></td>
<td>4,604,146</td>
<td>4,440,054</td>
</tr>
<tr>
<td><strong>Operating (loss) income</strong></td>
<td>(162,219)</td>
<td>84,897</td>
</tr>
<tr>
<td><strong>Nonoperating revenues:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Interest income</td>
<td>24,612</td>
<td>18,394</td>
</tr>
<tr>
<td>Net increase in fair value of investments</td>
<td>13,764</td>
<td>32,212</td>
</tr>
<tr>
<td><strong>Total nonoperating revenues</strong></td>
<td>38,376</td>
<td>50,606</td>
</tr>
<tr>
<td><strong>Change in net position</strong></td>
<td>(123,843)</td>
<td>135,503</td>
</tr>
<tr>
<td><strong>Net position, beginning of year</strong></td>
<td>1,129,811</td>
<td>994,308</td>
</tr>
<tr>
<td><strong>Net position, end of year</strong></td>
<td>$ 1,005,968</td>
<td>1,129,811</td>
</tr>
</tbody>
</table>

See accompanying notes to financial statements.
STC.UNM  
(A Blended Component Unit of the University of New Mexico)  
Statements of Cash Flows  
Years ended June 30, 2019 and 2018

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash flows from operating activities:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Payments to suppliers and employees</td>
<td>$ (2,219,408)</td>
<td>(2,146,417)</td>
</tr>
<tr>
<td>Receipts for operational funding revenue from UNM</td>
<td>794,000</td>
<td>794,000</td>
</tr>
<tr>
<td>Receipts for patent funding revenue from UNM</td>
<td>952,000</td>
<td>952,000</td>
</tr>
<tr>
<td>Receipts for co-investment funding from UNM</td>
<td>-</td>
<td>100,000</td>
</tr>
<tr>
<td>Payment to start up companies for co-investment funding</td>
<td>-</td>
<td>(100,000)</td>
</tr>
<tr>
<td>Receipts for economic development initiatives funding revenue from UNM</td>
<td>288,000</td>
<td>338,000</td>
</tr>
<tr>
<td>Receipts from other</td>
<td>322,429</td>
<td>268,034</td>
</tr>
<tr>
<td>Payment for patent costs incurred</td>
<td>(1,554,123)</td>
<td>(1,442,560)</td>
</tr>
<tr>
<td>Receipts for patent cost reimbursements</td>
<td>623,274</td>
<td>656,993</td>
</tr>
<tr>
<td>Receipts from licensees</td>
<td>1,273,899</td>
<td>1,036,601</td>
</tr>
<tr>
<td>Payment for licensing distribution expense</td>
<td>(727,771)</td>
<td>(450,617)</td>
</tr>
<tr>
<td>Receipt of rental income</td>
<td>131,465</td>
<td>112,927</td>
</tr>
<tr>
<td><strong>Net cash (used in) provided by operating activities</strong></td>
<td>$(116,235)</td>
<td>118,961</td>
</tr>
</tbody>
</table>

Cash flows from capital and related financing activities:
- Acquisition of capital assets | (12,662) | (21,520) |
- Proceeds from sale of capital assets | - | 638 |
| **Net cash (used in) capital and related financing activities** | $(12,662) | (20,882) |

Cash flows from investing activities:
- Investments purchased | (349,664) | (257,510) |
- Investment proceeds | 355,990   | 261,476   |
- Investment in stock | (125)     | -         |
- Proceeds from sale of stock | - | 18,977 |
| **Net cash provided by investing activities** | 6,201     | 22,943    |

Net change in cash and cash equivalents | $(122,696) | 121,022    |

Cash and cash equivalents, beginning of year | 1,174,759  | 1,053,737  |
| **Cash and cash equivalents, end of year** | $1,052,063 | 1,174,759  |

Reconciliation of operating income to net cash (used in) provided by operating activities:
- Operating (loss) income | $ (162,219) | 84,897     |
- Adjustments to reconcile to net cash provided by (used in) operating activities:
  - Depreciation | 8,065     | 8,995     |
  - Bad debt expense | 52,486    | 116,188   |
- Changes in operating assets and liabilities:
  - Accounts receivable, net | (109,346) | (482,584) |
  - Accounts payable | (3,406)   | (40,271)  |
  - Due to University of New Mexico | 62,143    | 40,754    |
  - Accrued royalty sharing, net | (19,839)  | 371,328   |
  - Accrued expenses | 55,881    | 19,654    |
| **Net cash (used in) provided by operating activities** | $(116,235) | 118,961    |

See accompanying notes to financial statements.
(1) Organization

STC.UNM (the Corporation) is a component unit of The University of New Mexico (UNM). The Corporation was organized on April 26, 1993 to facilitate the commercialization of UNM faculty inventions and to manage UNM’s Science & Technology Park in Albuquerque, New Mexico. On December 14, 2004, UNM and STC.UNM entered into a revised Memorandum of Agreement (MOA) containing the expectations and performance obligations UNM is seeking from the Corporation. The MOA may be terminated at any time by either party, at which point all property of the Corporation shall be transferred to UNM or other successor organization designated by resolution of the UNM Board of Regents. The Corporation was incorporated under the State of New Mexico’s University Research Park and Economic Development Act. As of June 30, 2019, the governing board consisted of 27 members, including 11 members of certain officers and faculty of UNM, the President of the Corporation, and 16 members of the community. The Corporation has no component units.

(2) Summary of Significant Accounting Policies

(a) Measurement Focus, Basis of Accounting, and Financial Statement Presentation

As a component unit of UNM, the Corporation prepared its financial statements in accordance with the accounting disclosure requirements under the Governmental Accounting Standards Board (GASB) pronouncements as the Corporation meets the criteria of a governmental not-for-profit. The accompanying financial statements have been prepared in conformity with accounting principles generally accepted in the United States of America. The significant accounting policies are summarized below.

The Corporation’s financial statements are reported using the flow of economic resources measurement focus and the full accrual basis of accounting. Accordingly, revenue is recognized when earned and expenses are recognized as soon as the liability is incurred.

Operating revenues and expenses are those incurred that primarily relate directly to facilitating commercialization of UNM faculty, staff, and student inventions, as well as economic development initiatives and venture development income. All other revenues and expenses are considered nonoperating.

(b) Use of Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect certain amounts and disclosures during the reporting period. Accordingly, actual results could differ from those estimates.
(c) **Cash and Cash Equivalents**

Cash and cash equivalents include deposits and funds invested in overnight repurchase securities. The Corporation is not subject to statutory or policy restrictions on the types of deposits held.

For purposes of the statements of cash flows, the Corporation considers all cash on hand and in banks and all highly liquid securities with original maturities less than 90 days to be cash equivalents.

(d) **Accounts Receivable**

Accounts receivable represent the amount earned based on existing terms under license agreements but uncollected on accrued royalties earned from customers.

Accounts receivable are carried at original amount billed less an estimate made for doubtful receivables based on a review of all outstanding amounts on a monthly basis. Management determines the allowance for doubtful accounts by identifying troubled accounts and by using historical experience applied to an aging of accounts. Accounts receivable are written off when deemed uncollectible. Recoveries of accounts receivable previously written off are recorded when received. There was an allowance for doubtful accounts of $52,486 and $92,867 recorded during 2019 and 2018.

An account receivable is considered to be past due if any portion of the receivable balance is outstanding for more than 90 days. Interest is not charged on past due accounts receivable.

(e) **Capital Assets**

Capital assets are carried at cost. Depreciation is provided on the straight-line method based on estimated useful lives of three to seven years, except for depreciation of buildings, which have a useful life of 30 years. Capital assets costing over $1,000 and with a useful life greater than a year are capitalized. Repairs and maintenance expenses are charged to expense as incurred.

(f) **Patent Costs**

UNM, a related party, provides annual funding for patent costs. The funding revenue is deferred on receipt. As patent costs are incurred, expense is recognized and an equal amount of the deferred revenue is recognized as income.

(g) **Revenue Recognition**

Upfront, nonrefundable licensing fees are recognized when earned. These fees are ordinarily earned when a license agreement is signed and the Corporation has no further obligations with respect to the license. Minimum annual royalty and license maintenance fee income is accrued as it is earned, if it is determined that collection is reasonably assured.

Operational and patent cost funding from UNM is recognized when all eligibility requirements have been met. Patent cost reimbursement is recognized when earned.
Economic development funding and other professional service income is on a cost-reimbursement basis and thus revenue is recognized equal to the amount of allowable expenses incurred.

Accounts receivable, net was $1,077,009 and $1,020,149 as of June 30, 2019 and 2018, respectively. As of June 30, 2019 and 2018 the Corporation had bad debt expense related to royalties and licenses of $25,123 and $69,699. As of June 30, 2019 and 2018, the Corporation had $27,363 and $46,489 of bad debt expense related to patent cost reimbursement. The Corporation netted bad debt expense with the corresponding revenue.

(h) Income Taxes

The Corporation has received a determination letter from the Internal Revenue Service (IRS) that it is an organization described in Internal Revenue Code Section 501(c)(3). As such, it would be exempt from federal income tax on income generated from activities related to its exempt function.

(i) Accrued Employee Benefits

The Corporation’s employees may accumulate paid personal time, which is payable to the employee upon termination or retirement. Personal time costs are recognized as a liability when earned by the employee.

(j) Investments

The investment portfolio is valued based on quoted market values. The portfolio primarily consists of mutual funds. Investments in stock consist of ownership interest in start-up companies and are carried at cost basis.

(k) Net Position

Net position is classified as follows:

Invested in capital assets (net of related debt) is intended to reflect the portion of net position that is associated with non-liquid, capital assets less outstanding capital asset-related debt. The Corporation does not have any debt related to its capital assets.

Restricted net position is the net position that has third-party (statutory or granting agency) limitations on its use. There was no restricted net position as of June 30, 2019 and 2018.

Unrestricted net position represents liquid assets available for use.
(l) Impact of Recently Issued Accounting Standards

GASB Statement No. 87 – Leases. This statement defines a lease as a contract that conveys control of the right to use another entity’s nonfinancial asset (e.g., buildings, land, vehicles, equipment) as specified in the contract for a period of time in an exchange or exchange-like transaction. This statement requires recognition of certain lease assets and liabilities for leases that previously were classified as operating leases and recognized as inflows of resources (revenues) or outflows of resources (expenses) based on the payment provisions of the contract. A lessee is required to recognize a lease liability, measured at the present value of payments expected to be made during the lease term, and an intangible right-to-use lease asset, measured at the amount of the initial measurement of the lease liability, plus any payments made to the lessor at or before the commencement of the lease term and certain direct costs. A lessor is required to recognize a lease receivable, measured at the present value of lease payments expected to be received during the lease term, and a deferred inflow of resources, measured at the value of the lease receivable plus any payments received at or before the commencement of the lease term that relate to future periods. This statement includes an exception for short-term leases (those with a maximum possible term of 12 months or less), contracts that transfer ownership, leases of assets that are investments, and certain regulated leases. GASB Statement No. 87 is effective for periods beginning after December 15, 2019 (fiscal year 2021), and earlier application is encouraged. The Corporation is currently evaluating the impact GASB Statement No. 87 will have on its financial statements.

(3) Cash, Cash Equivalents, and Investments

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash and cash equivalents:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cash on deposit at financial institution</td>
<td>$1,044,272</td>
<td>$1,167,331</td>
</tr>
<tr>
<td>Cash equivalents not considered deposits:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Money market accounts</td>
<td>7,691</td>
<td>7,328</td>
</tr>
<tr>
<td>Petty cash</td>
<td>100</td>
<td>100</td>
</tr>
<tr>
<td>Total cash and cash equivalents</td>
<td>$1,052,063</td>
<td>$1,174,759</td>
</tr>
<tr>
<td>Investments:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mutual funds:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Domestic fixed income</td>
<td>$80,914</td>
<td>70,365</td>
</tr>
<tr>
<td>International fixed income</td>
<td>-</td>
<td>20,681</td>
</tr>
<tr>
<td>Domestic equity</td>
<td>436,731</td>
<td>417,386</td>
</tr>
<tr>
<td>International equity</td>
<td>244,146</td>
<td>163,336</td>
</tr>
<tr>
<td>Real estate</td>
<td>-</td>
<td>57,973</td>
</tr>
<tr>
<td>Total investments</td>
<td>$761,791</td>
<td>729,741</td>
</tr>
</tbody>
</table>
(a) **Custodial Credit Risk**

Custodial credit risk is the risk that in the event of a bank failure, the entity’s deposits may not be returned to it. The Corporation maintains cash and cash equivalents in interest-bearing transaction accounts with financial institutions and, as such, the accounts are insured by the Federal Deposit Insurance Corporation up to $250,000. The Corporation does not believe there is any significant credit risk related to their deposits. The Corporation does not require collateral on its cash deposits in excess of $250,000.

As of June 30, the Corporation’s deposits were exposed to custodial credit risk as follows:

<table>
<thead>
<tr>
<th>Bank Name/Account</th>
<th>Account Type</th>
<th>Financial Statement Balance</th>
<th>Outstanding Checks</th>
<th>Bank Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bank of the West:</td>
<td>Operating</td>
<td>$1,044,272</td>
<td>344,601</td>
<td>$1,388,873</td>
</tr>
<tr>
<td></td>
<td>Money market account</td>
<td>7,691</td>
<td>—</td>
<td>7,691</td>
</tr>
<tr>
<td>Less FDIC insurance</td>
<td></td>
<td></td>
<td></td>
<td>(257,691)</td>
</tr>
<tr>
<td></td>
<td>Uninsured and uncollateralized at June 30, 2019</td>
<td></td>
<td>$1,138,873</td>
<td></td>
</tr>
</tbody>
</table>

The following schedule details the Corporation's deposit accounts at June 30, 2018:

<table>
<thead>
<tr>
<th>Bank Name/Account</th>
<th>Account Type</th>
<th>Financial Statement Balance</th>
<th>Outstanding Checks</th>
<th>Bank Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bank of the West:</td>
<td>Operating</td>
<td>$1,167,331</td>
<td>211,204</td>
<td>$1,378,535</td>
</tr>
<tr>
<td></td>
<td>Money market account</td>
<td>7,328</td>
<td>—</td>
<td>7,328</td>
</tr>
<tr>
<td>Less FDIC insurance</td>
<td></td>
<td></td>
<td></td>
<td>(257,328)</td>
</tr>
<tr>
<td></td>
<td>Uninsured and uncollateralized at June 30, 2018</td>
<td></td>
<td>$1,128,535</td>
<td></td>
</tr>
</tbody>
</table>

(b) **Investment Policy**

The Corporation’s investment objective option is to “Aggressive” under the “Passive Meet/Beat Market” TIAA Portfolio Advisor Investment Strategy. TIAA has a general investment account policy developed for the Corporation’s funds. The policy establishes an understanding as to the investment goals, objectives, and management policies for this specific portfolio. The objective of the fund is an emphasis on the total return of the portfolio with some consideration on additional customization options. Investments are primarily in equity securities and other asset classes, with growth as the primary objective. Fixed income securities are utilized for risk control. Real assets are utilized for diversification and complementary strategies may be utilized to improve the return/risk relationship of the portfolio. The risk of tolerance of the Corporation can currently be described as “aggressive/long-term”. The performance of the portfolio will be monitored, measured, and reported by TIAA to the Corporation.
(c) **Interest Rate Risk and Credit Risk**

Interest rate risk is the risk that changes in interest rates will adversely affect the fair value of an investment. Credit risk is the risk that the credit quality of investments fluctuates or downgrades from the time of purchase or the risk that an issuer of an investment will not fulfill its obligations. The Corporation’s investments subject to interest rate and credit risk are the fixed income mutual funds. The Corporation’s investment policy limits interest rate risk by limiting the percentage of assets invested in bond funds and by requiring the weighted average duration of its portfolio of bond funds to not exceed the duration of the Barclays Aggregate Bond Index by more than two years. The Corporation’s investment policy limits credit risk by requiring that domestic investment grade bond funds held have a credit rating of BBB or above at purchase, and by limiting the percentage of assets invested in bond funds.

The Corporation had the following investments and maturities at June 30, 2019 and 2018.

<table>
<thead>
<tr>
<th>Investment Type</th>
<th>June 30, 2019</th>
<th></th>
<th>Less Than 1</th>
<th>1 – 5</th>
<th>6 – 10</th>
<th>More Than 10</th>
<th>Not Available</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fixed income:</td>
<td>Fair Value</td>
<td>Weighted Average Investment Maturities (in Years)</td>
<td>$ 80,914</td>
<td>7,757</td>
<td>73,157</td>
<td>—</td>
<td>—</td>
</tr>
<tr>
<td>Domestic bond mutual funds</td>
<td>$ 80,914</td>
<td></td>
<td>7,757</td>
<td>73,157</td>
<td>—</td>
<td>—</td>
<td>—</td>
</tr>
<tr>
<td>International bond mutual funds</td>
<td>$ 80,914</td>
<td></td>
<td>7,757</td>
<td>73,157</td>
<td>—</td>
<td>—</td>
<td>—</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Investment Type</th>
<th>June 30, 2018</th>
<th></th>
<th>Less Than 1</th>
<th>1 – 5</th>
<th>6 – 10</th>
<th>More Than 10</th>
<th>Not Available</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fixed income:</td>
<td>Fair Value</td>
<td>Weighted Average Investment Maturities (in Years)</td>
<td>$ 70,365</td>
<td>—</td>
<td>70,365</td>
<td>—</td>
<td>—</td>
</tr>
<tr>
<td>Domestic bond mutual funds</td>
<td>$ 70,365</td>
<td></td>
<td>—</td>
<td>70,365</td>
<td>—</td>
<td>—</td>
<td>—</td>
</tr>
<tr>
<td>International bond mutual funds</td>
<td>$ 20,681</td>
<td></td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>20,681</td>
<td></td>
</tr>
<tr>
<td>$ 91,046</td>
<td>—</td>
<td></td>
<td>—</td>
<td>70,365</td>
<td>—</td>
<td>20,681</td>
<td></td>
</tr>
</tbody>
</table>
The following tables provide information on the credit ratings associated with the Corporation’s investments in debt securities at June 30, 2019 and 2018.

<table>
<thead>
<tr>
<th>Investment Type</th>
<th>June 30, 2019</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Fair Value</td>
<td>AAA</td>
<td>AA</td>
<td>A</td>
<td>BBB</td>
<td>BB</td>
<td>B</td>
<td>Below B</td>
<td>NR</td>
<td>Available</td>
<td></td>
</tr>
<tr>
<td>Domestic bond</td>
<td>$80,914</td>
<td>—</td>
<td>65,451</td>
<td>7,757</td>
<td>—</td>
<td>—</td>
<td>7,706</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
</tr>
<tr>
<td>International bond</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
</tr>
<tr>
<td>Total</td>
<td>$80,914</td>
<td>—</td>
<td>65,451</td>
<td>7,757</td>
<td>—</td>
<td>—</td>
<td>7,706</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Investment Type</th>
<th>June 30, 2018</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Fair Value</td>
<td>AAA</td>
<td>AA</td>
<td>A</td>
<td>BBB</td>
<td>BB</td>
<td>B</td>
<td>Below B</td>
<td>NR</td>
<td>Available</td>
<td></td>
</tr>
<tr>
<td>Domestic bond</td>
<td>$70,365</td>
<td>22,235</td>
<td>—</td>
<td>21,910</td>
<td>—</td>
<td>—</td>
<td>26,220</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
</tr>
<tr>
<td>International bond</td>
<td>20,681</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>20,681</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
</tr>
<tr>
<td>Total</td>
<td>$91,046</td>
<td>22,235</td>
<td>—</td>
<td>21,910</td>
<td>—</td>
<td>—</td>
<td>46,901</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
</tr>
</tbody>
</table>

(d) **Foreign Currency Risk**

Foreign currency risk is the risk that changes in exchange rates will adversely affect the fair value of an investment or a deposit. All foreign investments of the Corporation are in mutual funds, as disclosed elsewhere in this note.

(e) **Net Increase in Fair Value of Investments**

During the years ended June 30, the Corporation experienced realized gains and unrealized losses on investments held as follows:

2019:

- Realized losses $1,805
- Unrealized gains -

Net increase in fair value of investments $1,805

2018:

- Realized gains $(3,569)
- Unrealized gains 35,781

Net increase in fair value of investments $32,212
Fair Value Measurement

The Corporation categorizes its fair value measurements within the fair value hierarchy established by generally accepted accounting principles. The hierarchy is based on the valuation inputs used to measure the fair value of the asset.

- **Level 1** inputs are quoted prices (unadjusted) for identical assets in active markets, accessible at the measurement date. Level 1 inputs include exchange markets, dealer markets, brokered markets, and principal-to-principal markets.

- **Level 2** inputs are inputs, other than quoted prices included within Level 1, that are observable for an asset, either directly or indirectly. Level 2 inputs include quoted prices for similar assets in active markets and quoted prices for identical or similar assets in markets that are not active.

- **Level 3** inputs are unobservable inputs for an asset.

Investments that do not have a readily determinable fair value are recorded using net asset value (NAV). NAV is generally provided by the investment managers, but the Corporation considers the reasonableness of the NAV, based on market information, to arrive at the fair value estimates for each investment.

The Corporation has the following recurring fair value measurements as of June 30, 2019:

<table>
<thead>
<tr>
<th></th>
<th>Quote Prices in Active Markets for Identical Assets (Level 1)</th>
<th>Significant Other Observable Inputs (Level 2)</th>
<th>Significant Unobservable Inputs (Level 3)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investments:</td>
<td>Fair Value</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mutual funds:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Domestic fixed income</td>
<td>$80,914</td>
<td>80,914</td>
<td></td>
</tr>
<tr>
<td>Domestic equity</td>
<td>436,731</td>
<td>436,731</td>
<td></td>
</tr>
<tr>
<td>International equity</td>
<td>244,146</td>
<td>244,146</td>
<td></td>
</tr>
<tr>
<td>Total investments</td>
<td>$761,791</td>
<td>761,791</td>
<td></td>
</tr>
</tbody>
</table>
The Corporation has the following recurring fair value measurements as of June 30, 2018:

<table>
<thead>
<tr>
<th>Investments:</th>
<th>Quote Prices in Active Markets for Identical Assets (Level 1)</th>
<th>Significant Other Observable Inputs (Level 2)</th>
<th>Significant Unobservable Inputs (Level 3)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mutual funds:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Domestic fixed income</td>
<td>$ 70,365</td>
<td>70,365</td>
<td>—</td>
</tr>
<tr>
<td>International fixed income</td>
<td>20,681</td>
<td>20,681</td>
<td>—</td>
</tr>
<tr>
<td>Domestic equity</td>
<td>417,386</td>
<td>417,386</td>
<td>—</td>
</tr>
<tr>
<td>International equity</td>
<td>163,336</td>
<td>163,336</td>
<td>—</td>
</tr>
<tr>
<td>Real estate</td>
<td>57,973</td>
<td>57,973</td>
<td>—</td>
</tr>
<tr>
<td>Total investments</td>
<td>$ 729,741</td>
<td>729,741</td>
<td>—</td>
</tr>
</tbody>
</table>
(5) Commitments and Contingencies

(a) Occupancy Agreement

The Corporation entered into an occupancy agreement with UNM for lease of the new office facilities, effective August 15, 2017 with an end date of August 31, 2027. Future minimum payments required under the occupancy agreements are as follows:

<table>
<thead>
<tr>
<th>Year ending June 30</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>2020</td>
<td>$233,332</td>
</tr>
<tr>
<td>2021</td>
<td>233,332</td>
</tr>
<tr>
<td>2022</td>
<td>233,332</td>
</tr>
<tr>
<td>2023</td>
<td>252,776</td>
</tr>
<tr>
<td>2024</td>
<td>256,665</td>
</tr>
<tr>
<td>2025 to 2028</td>
<td>812,773</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$2,022,210</strong></td>
</tr>
</tbody>
</table>

Rent expense in fiscal years 2019 and 2018 was $233,332 and $214,186, respectively.

The Corporation entered into sublease agreement with a third party, effective September 1, 2017 through August 15, 2022. The future minimum receipts required under the sublease are $86,403 each fiscal year. The Corporation also enters into various short-term monthly agreements with venture lab tenants for virtual and physical space. The Corporation recorded $131,465 and $112,927 of rental/occupancy income associated with these agreements in fiscal years 2019 and 2018, respectively.

(b) Risk Management

The Corporation is exposed to various risks of loss from torts; theft of, damage to, and destruction of assets; business interruption; errors and omissions; and natural disasters. The Corporation is insured under the UNM’s Risk Management for liability and casualty insurance, and through a private carrier for director and officer liability insurance. There have been no significant reductions in coverage from the prior year and there have been no settlements in any of the past years.

(6) Defined Contribution Plan

The Corporation sponsors a defined contribution retirement plan for eligible employees. Employees may contribute up to the maximum allowed by the IRS. In fiscal years 2019 and 2018, the Corporation matched employee contributions below 7.975% commensurately; employee contributions that equaled or exceeded 7.975% were matched up to 12.4% of the employee’s base salary. There is no vesting period. The Corporation’s contributions were $114,999 and $78,397 in fiscal years 2019 and 2018, respectively. Employee contributions were $77,915 and $72,539 in fiscal years 2019 and 2018, respectively.
(7) Incentive Compensation Plan

The Corporation has an incentive compensation plan in which the finance and compensation committee of the Corporation’s Board of Directors (STC Board) has the discretion to provide a cash and/or equity incentive award based on performance. Cash bonuses awarded to employees were $105,170 and $65,876 in fiscal years 2019 and 2018, respectively. Equity incentive awards are provided to eligible employees in shares. The total shares awarded to employees for various companies during fiscal years 2019 and 2018 were 51,026 and 6,906, respectively.

(8) STC Quasi-Endowment

The STC Board approved, as amended, an internal STC.UNM endowment policy for management of large one-time license-fee related payments received by the Corporation. The endowment policy, as amended, states that if the Corporation’s net position balance exceeds $500,000 then the excess balance may be allocated as follows: 80% to the STC.UNM Quasi-Endowment, the interest from which could be used to fund STC operations; and 20% to the STC.UNM Strategic Initiatives Fund to be used for the inventor recognition awards program, the gap fund program, and other strategic initiatives of the Corporation, as determined by the STC Board’s Executive Committee. Reallocation of balances between the Quasi-Endowment, Strategic Initiatives Fund, and other net position balances may be made at the discretion of the STC.UNM Finance Committee. The STC Board designated endowment of $500,000 is accounted for and included under unrestricted net position.

(9) Co-Investment Fund

Based on a working relationship with the UNM Foundation, a related party, during fiscal year 2014, the STC Board approved the STC.UNM Policy on Investment from Co-Investment Fund. The UNM Foundation revised its Consolidated Investment Fund Policy (the Policy) to set aside $1,000,000 for their investment in private start-up companies, which were started based on technology transferred and licensed from the Corporation. Under the Policy, any positive returns realized and received by the Co-Investment Fund in the future shall be shared 10% by the Corporation and 90% by the UNM Foundation. The Policy agreement was amended on October 21, 2016 removing the $1,000,000 threshold.

During fiscal year 2019, the Corporation approved two proposals from start-up companies and provided successful co-investments totaling $200,000 based on direct pass-through funding from the UNM Foundation to the Corporation per the terms of the policy.

During fiscal year 2018, the Corporation approved one proposal from a start-up company and provided successful co-investments totaling $100,000 based on direct pass-through funding from the UNM Foundation to the Corporation per the terms of the policy.

(10) Subsequent Events

On July 12, 2019, the Corporation entered into a Patent Monetization Agreement and related documents with RSIP Licensing Series I, LLP, a Virginia limited partnership (the “RSIP
Agreements”) to fund expenses incurred by or on behalf of the Corporation in pursuing certain infringement claims as specified in the RSIP Agreements. The terms of the RSIP Agreements are subject to confidentiality provisions set out in the agreement. In addition, certain of the related agreements are subject to the Attorney-Client Privilege.

Subsequent events are evaluated by management through the date the accompanying financial statements are available to be issued, which is September 10, 2019.
Report of Independent Auditors on Internal Control Over Financial Reporting
and on Compliance and Other Matters Based on an Audit of Financial
Statements Performed in Accordance with Government Auditing Standards

The Board of Directors
STC.UNM
And
Mr. Brian S. Colón, Esq.
New Mexico State Auditor

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States, the financial statements of STC.UNM, which comprise the statement of financial position as of June 30, 2019, and the related statement of revenues, expenses, and changes in net position and cash flows for the year then ended, and the related notes to the financial statements, and have issued our report thereon dated September 10, 2019.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered STC.UNM’s internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of STC.UNM’s internal control. Accordingly, we do not express an opinion on the effectiveness of STC.UNM’s internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A material weakness is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected, on a timely basis. A significant deficiency is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.
Compliance and Other Matters

As part of obtaining reasonable assurance about whether STC.UNM's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under Government Auditing Standards.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with Government Auditing Standards in considering the entity’s internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

Albuquerque, New Mexico
September 10, 2019
STC.UNM  
(A Blended Component Unit of the University of New Mexico)  
Summary of Auditor’s Results (as Required by 2.2.2.10 NMAC L(1) f) 
June 30, 2019 and 2018

Financial Statements
Type of report the auditor issued on whether the financial statements audited were prepared in accordance with GAAP: Unmodified

Internal control over financial reporting:
- Material weakness(es) identified? □ Yes ☒ No
- Significant deficiency(ies) identified? □ Yes ☒ None reported

Compliance and other matters noted? □ Yes ☒ No
STC.UNM
(A Blended Component Unit of the University of New Mexico)
Schedule of Findings
Year ended June 30, 2019

No matters were reported.
STC.UNM  
(A Blended Component Unit of the University of New Mexico)  
Schedule of Prior Audit Findings  
Year ended June 30, 2019

No prior audit findings
An exit conference was held on September 10, 2019. During this meeting, the contents of this report were discussed with the following individuals:

**STC.UNM (a component unit of the University of New Mexico)**

Elizabeth Kuuttila, CEO and Chief Economic Development Officer

Sandra Begay, Board Chair

John Stichman, Board Secretary/Treasurer

Gregg Mayer, Board Member

Teresa Costantidnis, Board Member

Kimberly Peña, CFO

Preston Hendrix, Controller

**Moss Adams LLP**

Lisa Todd, Partner

Sheila Herrera, Senior Manager

STC.UNM (a component unit of the University of New Mexico) is responsible for the contents of the financial statements. Moss Adams LLP assisted with the preparation of the financial statements.
Bio

Mr. Frank H. Martinez

Education

BA – History, University of New Mexico
Loeb Fellow – Graduate School of Design, Harvard University
MA – Public Administration, University of New Mexico

Business/Research Background

Mr. Martinez retired in 2012 as a visiting research scholar in the Department of Architecture & Planning at the University of New Mexico. He formerly served as executive director of the Albuquerque Metropolitan Arroyo Flood Control Authority, was a member of the laboratory staff at Sandia National Labs, a supervisor at Mountain Bell, assistant to the City of Albuquerque CAO, executive director for the Albuquerque Urban Coalition, and was a private consultant for many years.

A life-long community volunteer and advocate, he helped form the Citizens Information Committee of Martineztown in 1971, created to protest the urban renewal condemnation of Martineztown, one of Albuquerque’s oldest neighborhoods on the northeast border of downtown. The committee developed a long-term community plan for the neighborhood. As a result of neighborhood involvement, over the years, Martineztown has maintained its residential, historic character. Mr. Martinez served as President of the organization for many years and remains the committee’s spokesperson. Mr. Martinez was an early and still committed supporter of the Innovate ABQ initiative and the construction of the Lobo Rainforest Building. He is a firm believer in entrepreneurship as the path to economic growth for the city of Albuquerque and its citizens.

Particular Knowledge and Skills

Mr. Martinez has served as chair and member on numerous boards and committees that concern social service, healthcare, urban planning, law enforcement and charitable endeavors at the University of New Mexico and at the city, state, and national level, including the Albuquerque City Council Redistricting Committee, Alta Mira Specialized Family Services, APD Intelligence Unit Task Force, United Way, National Council on Hospital Governing Boards, UNM Design and Planning Assistance Center, and the National Urban Coalition Steering Committee. His many honors and awards also reflect his dedication to the community, including recognition from the National Park Service, the White House Millennium Council, and many commendations and recognitions from the City of Albuquerque.
Bio

Dr. Kelly D. Hammett
Director, Directed Energy Directorate
Air Force Research Laboratory, Kirtland Air Force Base, New Mexico

Education

BS – Aerospace Engineering, University of Oklahoma
MS – Aeronautics/Astronautics, MIT
PhD – Optimal & Nonlinear Control and Estimation Theory, Air Force Institute of Technology

Business/Research Background

Dr. Kelly D. Hammett, a member of the Senior Executive Service, is Director, Directed Energy Directorate, Air Force Research Laboratory, Kirtland Air Force Base, N.M. Dr. Hammett leads the Air Force's center of expertise for directed energy technology, developing and transitioning research technologies into military systems. The directorate provides pervasive, world-class directed energy and imaging research technologies for users across the Air Force and the Department of Defense. He is responsible for more than 960 military and civilian scientists, engineers, contractors, and support people and an annual budget exceeding $267 million. He manages numerous state-of-the-art research laboratories and testing structures at Kirtland AFB, and several unique facilities, which include the Starfire Optical Range at Kirtland AFB; a testing site at the U.S. Army's White Sands Missile Range in Alamogordo, N.M.; and the Air Force Maui Optical and Supercomputing Site in Hawaii.

Particular Knowledge and Skills

Dr. Hammett has published more than 14 technical papers in national and international journals and conference proceedings, and has been directly responsible for the development and flight test of more than ten first-of-their-kind, world record-setting directed energy technologies. He is a member of the Acquisition Corps, having held multiple Critical Acquisition Positions over the last 12 years. He is also a level three Space Professional, and has commanded an operational space surveillance detachment. Throughout his career, he has led more than 30 successful field demonstrations of optical and directed energy technologies for space surveillance, missile defense, force protection, air superiority, and global precision attack mission needs.
Schedule A: (FY20 Budget and Actuals)- This schedule details out pooled revenues and directed revenues by sport for FY20 budget and actuals year-to-date through September 30, 2019. Please note that a majority of revenues are pooled centrally into Athletics and are not distributed by sport, however ticket sales and game guarantees are distributed by sport.

This report also compares FY20 budget to quarterly actuals, and FY20 year-to-date actuals to prior year-to-date actuals. Major variances are due to timing on when revenue accruals and expenses were posted in the prior year and differences in institutional transfers.

Schedule B: (Expenses by Sports)- This schedule details out the FY20 expense budget and year-to-date expense actuals through September 30, 2019. Please note grant-in-aid expenses have been budgeted based on prior year actuals, FY20 year-to-date actuals have been allocated to individual sports as expenses post throughout the fiscal year.
## FY20 Budget and Actuals by Exhibit P21

### Schedule A

#### Revenue/Expense Description (2)

<table>
<thead>
<tr>
<th>Revenue/Expense Description (2)</th>
<th>FY20 Original Budget</th>
<th>FY20 Revised Budget</th>
<th>Quarter 1 (7/1-9/30/19)</th>
<th>Quarter 2 (10/1-12/31/19)</th>
<th>Quarter 3 (1/1-3/31/20)</th>
<th>Quarter 4 (4/1-6/30/20)</th>
<th>FY20 YTD</th>
<th>FY20 Budget to Projected Actuals Variance</th>
<th>Actuals% of Revised Budget</th>
<th>FY19 YTD Actuals</th>
<th>FY20 YTD vs. FY19 YTD Actuals</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Pooled Revenues</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NCAA/Mountain West Conference</td>
<td>4,823,546</td>
<td>4,823,546</td>
<td>1,205,886</td>
<td></td>
<td></td>
<td>1,205,866</td>
<td>3,617,660</td>
<td>25.0%</td>
<td>1,187,500</td>
<td>18,386</td>
<td></td>
</tr>
<tr>
<td>Media Rights/Sponsorship/Licensing</td>
<td>4,000,000</td>
<td>4,000,000</td>
<td>1,000,002</td>
<td></td>
<td></td>
<td>4,000,000</td>
<td>2,999,998</td>
<td>25.0%</td>
<td>1,239,126</td>
<td>239,124</td>
<td></td>
</tr>
<tr>
<td>Commissions</td>
<td>680,000</td>
<td>680,000</td>
<td>203,333</td>
<td></td>
<td></td>
<td>203,333</td>
<td>476,667</td>
<td>29.9%</td>
<td>219,999</td>
<td>16,666</td>
<td></td>
</tr>
<tr>
<td>Naming Rights</td>
<td>700,000</td>
<td>700,000</td>
<td>175,000</td>
<td></td>
<td></td>
<td>175,000</td>
<td>525,000</td>
<td>25.0%</td>
<td>-</td>
<td>175,000</td>
<td></td>
</tr>
<tr>
<td>Student Fees</td>
<td>3,571,257</td>
<td>3,571,257</td>
<td>1,969,952</td>
<td></td>
<td></td>
<td>1,969,952</td>
<td>1,601,305</td>
<td>55.2%</td>
<td>1,936,355</td>
<td>33,597</td>
<td></td>
</tr>
<tr>
<td>Fundraising</td>
<td>4,000,000</td>
<td>4,000,000</td>
<td>1,205,886</td>
<td></td>
<td></td>
<td>1,205,886</td>
<td>(1,601,305)</td>
<td>62.2%</td>
<td>-</td>
<td>1,936,355</td>
<td></td>
</tr>
<tr>
<td>State Appropriation</td>
<td>3,793,000</td>
<td>3,793,000</td>
<td>986,800</td>
<td></td>
<td></td>
<td>986,800</td>
<td>2,806,200</td>
<td>26.0%</td>
<td>666,500</td>
<td>320,300</td>
<td></td>
</tr>
<tr>
<td>Facility Rental/Merchandise/GIK</td>
<td>2,076,900</td>
<td>2,076,900</td>
<td>473,070</td>
<td></td>
<td></td>
<td>473,070</td>
<td>1,630,830</td>
<td>22.8%</td>
<td>150,519</td>
<td>322,551</td>
<td></td>
</tr>
<tr>
<td>Special Events and Other Revenues</td>
<td>3,538,900</td>
<td>3,538,900</td>
<td>360,231</td>
<td></td>
<td></td>
<td>360,231</td>
<td>3,178,669</td>
<td>10.2%</td>
<td>101,968</td>
<td>258,263</td>
<td></td>
</tr>
<tr>
<td>Transfers to/from Campus</td>
<td>905,252</td>
<td>905,252</td>
<td>(15,022)</td>
<td></td>
<td>(15,022)</td>
<td>(15,022)</td>
<td>(19,092,276)</td>
<td>26.6%</td>
<td>7,059,703</td>
<td>(150,452)</td>
<td></td>
</tr>
<tr>
<td>Budgeted Use of Reserves</td>
<td>(487,328)</td>
<td>(487,328)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Sub-total</strong></td>
<td>26,001,527</td>
<td>26,001,527</td>
<td>6,909,251</td>
<td></td>
<td></td>
<td>6,909,251</td>
<td>19,092,276</td>
<td>26.6%</td>
<td>7,059,703</td>
<td>(150,452)</td>
<td></td>
</tr>
<tr>
<td><strong>Directed Revenues (by Sports)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Men's Basketball Tickets</td>
<td>3,626,000</td>
<td>3,626,000</td>
<td>2,219,523</td>
<td></td>
<td></td>
<td>2,219,523</td>
<td>1,406,477</td>
<td>61.2%</td>
<td>-</td>
<td>2,219,523</td>
<td></td>
</tr>
<tr>
<td>Football Tickets</td>
<td>955,000</td>
<td>955,000</td>
<td>694,175</td>
<td></td>
<td></td>
<td>694,175</td>
<td>260,825</td>
<td>72.7%</td>
<td>350,676</td>
<td>343,499</td>
<td></td>
</tr>
<tr>
<td>Women's Basketball Tickets</td>
<td>400,000</td>
<td>400,000</td>
<td>236,360</td>
<td></td>
<td></td>
<td>236,360</td>
<td>163,640</td>
<td>59.1%</td>
<td>236,360</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Sports Tickets (1)</td>
<td>47,300</td>
<td>47,300</td>
<td>12,506</td>
<td></td>
<td></td>
<td>12,506</td>
<td>34,794</td>
<td>26.4%</td>
<td>24,662</td>
<td>12,156</td>
<td></td>
</tr>
<tr>
<td>Football Game Guarantees</td>
<td>1,050,000</td>
<td>1,050,000</td>
<td>-</td>
<td></td>
<td></td>
<td>-</td>
<td>1,050,000</td>
<td>0.0%</td>
<td>1,100,000</td>
<td>(1,100,000)</td>
<td></td>
</tr>
<tr>
<td><strong>Sub-total</strong></td>
<td>6,078,300</td>
<td>6,078,300</td>
<td>3,162,565</td>
<td></td>
<td></td>
<td>3,162,565</td>
<td>2,915,735</td>
<td>52.0%</td>
<td>1,475,338</td>
<td>1,687,227</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>32,079,827</td>
<td>32,079,827</td>
<td>10,071,816</td>
<td></td>
<td></td>
<td>10,071,816</td>
<td>22,868,288</td>
<td>31.4%</td>
<td>8,535,041</td>
<td>1,536,775</td>
<td></td>
</tr>
<tr>
<td><strong>Net</strong></td>
<td>860,277</td>
<td>860,277</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>860,277</td>
<td>2.7%</td>
<td>(143,706)</td>
<td>1,003,983</td>
<td></td>
</tr>
</tbody>
</table>

(1) Other sports tickets include men's and women's soccer and track, baseball, softball, and volleyball
(2) Actuals through September 30, 2019
(3) Other Expense includes gift-in-kind. Gift-in-kind in FY19 was not accounted for until the 2nd quarter for the first half of the year; FY20 forward gift-in-kind will be accounted for on a quarterly basis.
### Schedule B

**FY20 Budgeted Expenses and Actuals by Sport Exhibit P21 (1)**

#### Football

<table>
<thead>
<tr>
<th>Expense Description</th>
<th>FY20 Original Budget</th>
<th>FY20 YTD Actuals</th>
<th>FY20 Budget to Actuals Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>2,641,948</td>
<td>654,183</td>
<td>1,987,765</td>
</tr>
<tr>
<td>Payroll Benefits</td>
<td>658,944</td>
<td>160,176</td>
<td>498,768</td>
</tr>
<tr>
<td>Communication Charges</td>
<td>28,550</td>
<td>6,257</td>
<td>22,293</td>
</tr>
<tr>
<td>Other Expense</td>
<td>82,586</td>
<td>24,322</td>
<td>58,264</td>
</tr>
<tr>
<td>Plant Maintenance</td>
<td>83,407</td>
<td>40,451</td>
<td>42,956</td>
</tr>
<tr>
<td>Services</td>
<td>780,100</td>
<td>389,807</td>
<td>390,293</td>
</tr>
<tr>
<td>Student Costs/Grant-in-Aid (2)</td>
<td>215,000</td>
<td>175,904</td>
<td>39,096</td>
</tr>
<tr>
<td>Supplies</td>
<td>305,350</td>
<td>76,423</td>
<td>228,927</td>
</tr>
<tr>
<td>Travel</td>
<td>1,276,550</td>
<td>728,447</td>
<td>548,103</td>
</tr>
<tr>
<td>Utilities</td>
<td>7,800</td>
<td></td>
<td>7,800</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>6,097,235</strong></td>
<td><strong>2,257,494</strong></td>
<td><strong>3,839,741</strong></td>
</tr>
</tbody>
</table>

#### Men's Baseball

<table>
<thead>
<tr>
<th>Expense Description</th>
<th>FY20 Original Budget</th>
<th>FY20 YTD Actuals</th>
<th>FY20 Budget to Actuals Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>394,672</td>
<td>92,167</td>
<td>302,505</td>
</tr>
<tr>
<td>Payroll Benefits</td>
<td>94,671</td>
<td>24,902</td>
<td>69,769</td>
</tr>
<tr>
<td>Communication Charges</td>
<td>-</td>
<td>135</td>
<td>(135)</td>
</tr>
<tr>
<td>Other Expense</td>
<td>7,920</td>
<td>1,011</td>
<td>6,909</td>
</tr>
<tr>
<td>Patient Care Costs</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Plant Maintenance</td>
<td>3,900</td>
<td>-</td>
<td>3,900</td>
</tr>
<tr>
<td>Services</td>
<td>51,200</td>
<td>403</td>
<td>47,797</td>
</tr>
<tr>
<td>Student Costs/Grant-in-Aid (2)</td>
<td>5,000</td>
<td>-</td>
<td>5,000</td>
</tr>
<tr>
<td>Supplies</td>
<td>75,155</td>
<td>17,129</td>
<td>58,026</td>
</tr>
<tr>
<td>Travel</td>
<td>185,675</td>
<td>10,741</td>
<td>174,934</td>
</tr>
<tr>
<td>Utilities</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>818,193</strong></td>
<td><strong>146,487</strong></td>
<td><strong>671,706</strong></td>
</tr>
</tbody>
</table>

#### Women's Softball

<table>
<thead>
<tr>
<th>Expense Description</th>
<th>FY20 Original Budget</th>
<th>FY20 YTD Actuals</th>
<th>FY20 Budget to Actuals Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>178,400</td>
<td>43,750</td>
<td>134,650</td>
</tr>
<tr>
<td>Payroll Benefits</td>
<td>51,120</td>
<td>16,420</td>
<td>34,700</td>
</tr>
<tr>
<td>Communication Charges</td>
<td>540</td>
<td>203</td>
<td>338</td>
</tr>
<tr>
<td>Other Expense</td>
<td>4,218</td>
<td>636</td>
<td>3,582</td>
</tr>
<tr>
<td>Patient Care Costs</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Plant Maintenance</td>
<td>2,422</td>
<td>-</td>
<td>2,422</td>
</tr>
<tr>
<td>Services</td>
<td>29,360</td>
<td>1,500</td>
<td>27,860</td>
</tr>
<tr>
<td>Student Costs/Grant-in-Aid (2)</td>
<td>2,000</td>
<td>456</td>
<td>1,544</td>
</tr>
<tr>
<td>Supplies</td>
<td>23,516</td>
<td>11,102</td>
<td>12,414</td>
</tr>
<tr>
<td>Travel</td>
<td>146,900</td>
<td>9,434</td>
<td>137,466</td>
</tr>
<tr>
<td>Utilities</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>438,476</strong></td>
<td><strong>83,499</strong></td>
<td><strong>354,977</strong></td>
</tr>
</tbody>
</table>

#### Men's Basketball

<table>
<thead>
<tr>
<th>Expense Description</th>
<th>FY20 Original Budget</th>
<th>FY20 YTD Actuals</th>
<th>FY20 Budget to Actuals Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>1,532,594</td>
<td>379,956</td>
<td>1,152,638</td>
</tr>
<tr>
<td>Payroll Benefits</td>
<td>312,177</td>
<td>72,209</td>
<td>239,968</td>
</tr>
<tr>
<td>Communication Charges</td>
<td>15,560</td>
<td>1,393</td>
<td>14,167</td>
</tr>
<tr>
<td>Other Expense</td>
<td>40,509</td>
<td>3,760</td>
<td>36,749</td>
</tr>
<tr>
<td>Patient Care Costs</td>
<td>7,500</td>
<td>1,025</td>
<td>6,475</td>
</tr>
<tr>
<td>Plant Maintenance</td>
<td>45,800</td>
<td>365</td>
<td>43,435</td>
</tr>
<tr>
<td>Services</td>
<td>748,740</td>
<td>24,232</td>
<td>724,508</td>
</tr>
<tr>
<td>Student Costs/Grant-in-Aid (2)</td>
<td>83,000</td>
<td>18,310</td>
<td>64,690</td>
</tr>
<tr>
<td>Supplies</td>
<td>103,850</td>
<td>26,715</td>
<td>77,135</td>
</tr>
<tr>
<td>Travel</td>
<td>498,500</td>
<td>40,998</td>
<td>457,902</td>
</tr>
<tr>
<td>Utilities</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>3,386,230</strong></td>
<td><strong>568,563</strong></td>
<td><strong>2,817,667</strong></td>
</tr>
</tbody>
</table>
### Women's Basketball

<table>
<thead>
<tr>
<th>Expense Description</th>
<th>FY20 Original Budget</th>
<th>FY20 YTD Actuals</th>
<th>FY20 Budget to Actuals Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>810,179</td>
<td>178,872</td>
<td>631,307</td>
</tr>
<tr>
<td>Payroll Benefits</td>
<td>220,524</td>
<td>54,871</td>
<td>165,653</td>
</tr>
<tr>
<td>Communication Charges</td>
<td>1,550</td>
<td>383</td>
<td>1,168</td>
</tr>
<tr>
<td>Other Expense</td>
<td>17,519</td>
<td>4,811</td>
<td>12,708</td>
</tr>
<tr>
<td>Patient Care Costs</td>
<td>15,700</td>
<td>-</td>
<td>15,700</td>
</tr>
<tr>
<td>Services</td>
<td>291,559</td>
<td>18,464</td>
<td>273,095</td>
</tr>
<tr>
<td>Student Costs/Grant-in-Aid (2)</td>
<td>42,000</td>
<td>4,995</td>
<td>37,005</td>
</tr>
<tr>
<td>Supplies</td>
<td>71,101</td>
<td>9,511</td>
<td>61,590</td>
</tr>
<tr>
<td>Travel</td>
<td>402,375</td>
<td>212,953</td>
<td>189,422</td>
</tr>
<tr>
<td>Utilities</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>1,872,507</td>
<td>484,860</td>
<td>1,387,647</td>
</tr>
</tbody>
</table>

### Women's Soccer

<table>
<thead>
<tr>
<th>Expense Description</th>
<th>FY20 Original Budget</th>
<th>FY20 YTD Actuals</th>
<th>FY20 Budget to Actuals Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>196,900</td>
<td>54,425</td>
<td>142,475</td>
</tr>
<tr>
<td>Payroll Benefits</td>
<td>57,271</td>
<td>18,339</td>
<td>38,932</td>
</tr>
<tr>
<td>Communication Charges</td>
<td>1,060</td>
<td>83</td>
<td>978</td>
</tr>
<tr>
<td>Other Expense</td>
<td>3,654</td>
<td>1,877</td>
<td>1,777</td>
</tr>
<tr>
<td>Patient Care Costs</td>
<td>-</td>
<td>1,049</td>
<td>(1,049)</td>
</tr>
<tr>
<td>Plant Maintenance</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Services</td>
<td>9,600</td>
<td>50</td>
<td>9,550</td>
</tr>
<tr>
<td>Student Costs/Grant-in-Aid (2)</td>
<td>6,500</td>
<td>4,740</td>
<td>1,760</td>
</tr>
<tr>
<td>Supplies</td>
<td>14,650</td>
<td>12,942</td>
<td>1,708</td>
</tr>
<tr>
<td>Travel</td>
<td>127,100</td>
<td>80,148</td>
<td>46,952</td>
</tr>
<tr>
<td>Utilities</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>416,735</td>
<td>173,652</td>
<td>243,083</td>
</tr>
</tbody>
</table>

### Men's Golf

<table>
<thead>
<tr>
<th>Expense Description</th>
<th>FY20 Original Budget</th>
<th>FY20 YTD Actuals</th>
<th>FY20 Budget to Actuals Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>163,410</td>
<td>42,021</td>
<td>121,389</td>
</tr>
<tr>
<td>Payroll Benefits</td>
<td>49,022</td>
<td>10,486</td>
<td>38,536</td>
</tr>
<tr>
<td>Communication Charges</td>
<td>-</td>
<td>68</td>
<td>(68)</td>
</tr>
<tr>
<td>Other Expense</td>
<td>2,121</td>
<td>908</td>
<td>1,213</td>
</tr>
<tr>
<td>Patient Care Costs</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Plant Maintenance</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Services</td>
<td>1,080</td>
<td>1,840</td>
<td>(760)</td>
</tr>
<tr>
<td>Student Costs/Grant-in-Aid (2)</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Supplies</td>
<td>-</td>
<td>167</td>
<td>(167)</td>
</tr>
<tr>
<td>Travel</td>
<td>69,568</td>
<td>11,662</td>
<td>57,906</td>
</tr>
<tr>
<td>Utilities</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>285,201</td>
<td>73,152</td>
<td>212,049</td>
</tr>
</tbody>
</table>

### Women's Golf

<table>
<thead>
<tr>
<th>Expense Description</th>
<th>FY20 Original Budget</th>
<th>FY20 YTD Actuals</th>
<th>FY20 Budget to Actuals Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>146,305</td>
<td>37,631</td>
<td>107,674</td>
</tr>
<tr>
<td>Payroll Benefits</td>
<td>43,591</td>
<td>15,149</td>
<td>28,443</td>
</tr>
<tr>
<td>Communication Charges</td>
<td>-</td>
<td>0</td>
<td>(0)</td>
</tr>
<tr>
<td>Other Expense</td>
<td>2,004</td>
<td>613</td>
<td>1,391</td>
</tr>
<tr>
<td>Patient Care Costs</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Plant Maintenance</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Services</td>
<td>12,080</td>
<td>1,000</td>
<td>11,080</td>
</tr>
<tr>
<td>Student Costs/Grant-in-Aid (2)</td>
<td>568</td>
<td>186</td>
<td>382</td>
</tr>
<tr>
<td>Supplies</td>
<td>6,150</td>
<td>9,981</td>
<td>(3,831)</td>
</tr>
<tr>
<td>Travel</td>
<td>51,850</td>
<td>11,455</td>
<td>40,395</td>
</tr>
<tr>
<td>Utilities</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>261,548</td>
<td>76,015</td>
<td>185,533</td>
</tr>
</tbody>
</table>
### Women's Tennis

<table>
<thead>
<tr>
<th>Expense Description</th>
<th>FY20 Original Budget</th>
<th>FY20 YTD Actuals</th>
<th>FY20 Budget to Actuals Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>105,000</td>
<td>16,400</td>
<td>88,600</td>
</tr>
<tr>
<td>Payroll Benefits</td>
<td>31,499</td>
<td>6,079</td>
<td>25,420</td>
</tr>
<tr>
<td>Communication Charges</td>
<td>610</td>
<td>165</td>
<td>445</td>
</tr>
<tr>
<td>Other Expense</td>
<td>1,877</td>
<td>247</td>
<td>1,630</td>
</tr>
<tr>
<td>Patient Care Costs</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Plant Maintenance</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Services</td>
<td>12,910</td>
<td>136</td>
<td>12,774</td>
</tr>
<tr>
<td>Student Costs/Grant-in-Aid (2)</td>
<td>2,000</td>
<td>-</td>
<td>2,000</td>
</tr>
<tr>
<td>Supplies</td>
<td>13,165</td>
<td>5,959</td>
<td>7,656</td>
</tr>
<tr>
<td>Travel</td>
<td>50,500</td>
<td>2,758</td>
<td>47,742</td>
</tr>
<tr>
<td>Utilities</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>218,011</td>
<td>31,744</td>
<td>186,267</td>
</tr>
</tbody>
</table>

### Cross Country (M/W) (3)

<table>
<thead>
<tr>
<th>Expense Description</th>
<th>FY20 Original Budget</th>
<th>FY20 YTD Actuals</th>
<th>FY20 Budget to Actuals Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>108,825</td>
<td>35,206</td>
<td>73,619</td>
</tr>
<tr>
<td>Payroll Benefits</td>
<td>32,647</td>
<td>13,004</td>
<td>21,543</td>
</tr>
<tr>
<td>Communication Charges</td>
<td>610</td>
<td>675</td>
<td>946</td>
</tr>
<tr>
<td>Other Expense</td>
<td>1,621</td>
<td>-</td>
<td>1,621</td>
</tr>
<tr>
<td>Patient Care Costs</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Plant Maintenance</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Services</td>
<td>3,314</td>
<td>-</td>
<td>3,314</td>
</tr>
<tr>
<td>Student Costs/Grant-in-Aid (2)</td>
<td>55</td>
<td>-</td>
<td>55</td>
</tr>
<tr>
<td>Supplies</td>
<td>1,855</td>
<td>-</td>
<td>1,855</td>
</tr>
<tr>
<td>Travel</td>
<td>55,060</td>
<td>29,604</td>
<td>25,456</td>
</tr>
<tr>
<td>Utilities</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>203,975</td>
<td>76,490</td>
<td>127,485</td>
</tr>
</tbody>
</table>

### Track (M/W) (3)

<table>
<thead>
<tr>
<th>Expense Description</th>
<th>FY20 Original Budget</th>
<th>FY20 YTD Actuals</th>
<th>FY20 Budget to Actuals Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>204,675</td>
<td>56,577</td>
<td>148,098</td>
</tr>
<tr>
<td>Payroll Benefits</td>
<td>55,823</td>
<td>23,102</td>
<td>32,721</td>
</tr>
<tr>
<td>Communication Charges</td>
<td>560</td>
<td>150</td>
<td>410</td>
</tr>
<tr>
<td>Other Expense</td>
<td>4,630</td>
<td>678</td>
<td>3,952</td>
</tr>
<tr>
<td>Patient Care Costs</td>
<td>-</td>
<td>20</td>
<td>(20)</td>
</tr>
<tr>
<td>Plant Maintenance</td>
<td>3,000</td>
<td>-</td>
<td>3,000</td>
</tr>
<tr>
<td>Services</td>
<td>3,750</td>
<td>468</td>
<td>3,282</td>
</tr>
<tr>
<td>Student Costs/Grant-in-Aid (2)</td>
<td>8,000</td>
<td>1,452</td>
<td>6,548</td>
</tr>
<tr>
<td>Supplies</td>
<td>17,813</td>
<td>1,943</td>
<td>15,870</td>
</tr>
<tr>
<td>Travel</td>
<td>227,950</td>
<td>15,648</td>
<td>212,302</td>
</tr>
<tr>
<td>Utilities</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>525,201</td>
<td>100,038</td>
<td>425,163</td>
</tr>
</tbody>
</table>
## Women’s Volleyball (4)

<table>
<thead>
<tr>
<th>Expense Description</th>
<th>FY20 Original Budget</th>
<th>FY20 YTD Actuals</th>
<th>FY20 Budget to Actuals Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>222,000</td>
<td>56,913</td>
<td>165,087</td>
</tr>
<tr>
<td>Payroll Benefits</td>
<td>66,599</td>
<td>20,949</td>
<td>45,650</td>
</tr>
<tr>
<td>Communication Charges</td>
<td>330</td>
<td>248</td>
<td>82</td>
</tr>
<tr>
<td>Other Expense</td>
<td>4,869</td>
<td>2,870</td>
<td>1,999</td>
</tr>
<tr>
<td>Patient Care Costs</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Plant Maintenance</td>
<td>23,300</td>
<td>-</td>
<td>22,200</td>
</tr>
<tr>
<td>Services</td>
<td>38,100</td>
<td>1,558</td>
<td>36,542</td>
</tr>
<tr>
<td>Student Costs/Grant-in-Aid</td>
<td>12,500</td>
<td>872</td>
<td>11,628</td>
</tr>
<tr>
<td>Supplies</td>
<td>42,900</td>
<td>8,614</td>
<td>34,286</td>
</tr>
<tr>
<td>Travel</td>
<td>111,253</td>
<td>39,730</td>
<td>71,523</td>
</tr>
<tr>
<td>Utilities</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>

**Total** 521,851 131,753 390,098

## Swimming/Diving

<table>
<thead>
<tr>
<th>Expense Description</th>
<th>FY20 Original Budget</th>
<th>FY20 YTD Actuals</th>
<th>FY20 Budget to Actuals Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>146,810</td>
<td>36,586</td>
<td>110,224</td>
</tr>
<tr>
<td>Payroll Benefits</td>
<td>44,043</td>
<td>12,211</td>
<td>31,832</td>
</tr>
<tr>
<td>Communication Charges</td>
<td>350</td>
<td>83</td>
<td>268</td>
</tr>
<tr>
<td>Other Expense</td>
<td>3,284</td>
<td>560</td>
<td>2,724</td>
</tr>
<tr>
<td>Patient Care Costs</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Plant Maintenance</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Services</td>
<td>300</td>
<td>70</td>
<td>230</td>
</tr>
<tr>
<td>Student Costs/Grant-in-Aid</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Supplies</td>
<td>26,400</td>
<td>3,858</td>
<td>22,542</td>
</tr>
<tr>
<td>Travel</td>
<td>107,900</td>
<td>17,116</td>
<td>90,784</td>
</tr>
<tr>
<td>Utilities</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>

**Total** 329,087 70,483 258,604

## Spirit

<table>
<thead>
<tr>
<th>Expense Description</th>
<th>FY20 Original Budget</th>
<th>FY20 YTD Actuals</th>
<th>FY20 Budget to Actuals Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Payroll Benefits</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Communication Charges</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Other Expense</td>
<td>576</td>
<td>514</td>
<td>62</td>
</tr>
<tr>
<td>Patient Care Costs</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Plant Maintenance</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Services</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Student Costs/Grant-in-Aid</td>
<td>38,400</td>
<td>2,925</td>
<td>35,475</td>
</tr>
<tr>
<td>Supplies</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Travel</td>
<td>-</td>
<td>31,369</td>
<td>(31,369)</td>
</tr>
<tr>
<td>Utilities</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>

**Total** 38,976 34,809 4,167

## Administration/Events/Other Operating (5)

<table>
<thead>
<tr>
<th>Expense Description</th>
<th>FY20 Original Budget</th>
<th>FY20 YTD Actuals</th>
<th>FY20 Budget to Actuals Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>4,422,193</td>
<td>824,526</td>
<td>2,597,665</td>
</tr>
<tr>
<td>Payroll Benefits</td>
<td>945,351</td>
<td>272,497</td>
<td>673,854</td>
</tr>
<tr>
<td>Communication Charges</td>
<td>42,008</td>
<td>9,881</td>
<td>32,127</td>
</tr>
<tr>
<td>Other Expense</td>
<td>2,802,890</td>
<td>652,414</td>
<td>2,150,476</td>
</tr>
<tr>
<td>Patient Care Costs</td>
<td>148,300</td>
<td>51,149</td>
<td>97,151</td>
</tr>
<tr>
<td>Plant Maintenance</td>
<td>82,700</td>
<td>31,107</td>
<td>51,593</td>
</tr>
<tr>
<td>Services</td>
<td>2,390,126</td>
<td>229,273</td>
<td>2,160,853</td>
</tr>
<tr>
<td>Student Costs/Grant-in-Aid</td>
<td>4,885,500</td>
<td>2,221,837</td>
<td>2,663,663</td>
</tr>
<tr>
<td>Supplies</td>
<td>907,543</td>
<td>395,116</td>
<td>512,427</td>
</tr>
<tr>
<td>Travel</td>
<td>283,522</td>
<td>50,731</td>
<td>232,791</td>
</tr>
<tr>
<td>Utilities</td>
<td>548,464</td>
<td>155,251</td>
<td>393,213</td>
</tr>
</tbody>
</table>

**Total** 16,458,599 4,852,782 11,605,813

**Total** 32,079,827 9,211,539 22,868,288

(1) Does not include special events and bowl games
(2) Grant-in-Aid was budgeted based on FY19 actuals, FY20 actuals will be allocated to individual sports as expenses post
(3) M/W track and cross-country coaches salaries split 50/50 between sports.
(4) Women’s volleyball and sand volleyball’s coaches salaries split 50/50 between sports.
(5) Includes Events Management, Special Events, Bowl Games, Championships, Gifts-in-Kind, Parking, Concessions, Ticket Office, Administration, Business Office, Leagues and Clubs, Compliance, Advisement, Facility Rentals, Sports Camps, Utilities, Student Assistance Funds, Life skills, Pre Season Training, Athletic Vans, Insurance, Marketing and Media Relations
MEMORANDUM

To: Ava Lovell, Senior Executive Officer for Finance & Administration

From: Bruce Cherrin, Chief Procurement Officer

Subject: Contract Approval

Date: November 20, 2019

The following is being submitted for approval per Regent Policy 7.4. This will need to proceed to the full Board of Regents.

New Mexico Cancer Care Alliance

The UNM Comprehensive Cancer Center has worked with The New Mexico Cancer Care Alliance over the past seventeen years providing local access to innovative clinical trials for the prevention, screening, diagnosing and treatment of cancer through a statewide partnership. NMCCA provides educational opportunities and raises awareness of the role of clinical trials to allow patients to receive cancer care, in their own communities.

Over these years, NMCCA has grown into a network of more than 100 physicians who work in private practice and in the major healthcare institutions in central, southern and northern New Mexico. The individual participants of the NMCCA network collaborate to find the most efficient and effective ways to bring the most promising cancer treatments available through cancer clinical trials to New Mexicans. Annual training of research staff in collaboration with the UNM Comprehensive Cancer Center Clinical Research Office and NMCCA requires all new research staff at sites to complete new employee orientation and an annual training of research staff on updates in clinical research, standard operating procedures and updates to the Velos clinical trial database.

To continue support of our component sites through the New Mexico Cancer Care Alliance (NMCCA), the NM NCORP will provide support for the NMCCA staff that manage the Protocol Review Monitoring Committee, coordinate regulatory duties, consent and enroll patients on NCI trials, as well as manage the distribution of funds to the component sites and provide ongoing awareness & education about clinical trials within the community.
Funds for each community/component site are provided exclusively for the support of staff members who are engaged in screening, enrolling and following subjects enrolled to NCI-sponsored treatment and prevention trials coordinated through the NM NCORP program.

Duties for the community/components site staff includes screening patients for eligibility, obtaining required pre-study information, explaining studies to patients, insuring proper documentation of protocol-specified data in primary records and working with investigators to schedule protocol-required assessments and assure protocol compliance. The community/component sites currently supported by this mechanism are listed below.

Albuquerque: Lovelace Health Systems
Albuquerque: Presbyterian Healthcare Services (sub-component in Rio Rancho, NM)
Albuquerque: Women’s Surgical Care, PC
Albuquerque: Southwest Gynecologic Oncology Associates (sub-component in Rio Rancho, NM)
Albuquerque: New Mexico Oncology Hematology Consultants (sub-component in Gallup, NM)
Las Cruces: Memorial Medical Center. This list may be updated during the course of the year if community/component sites are added.

The funding source for these services comes from NM NCORP Grant (2UG1CA189856-01).

**Total Cost:** $235,000.00 annually over six years. $1,110,000.00 Total noted on sole source.
Expanding the Vision in Sandoval County

HEALTH SCIENCES RIO RANCHO CAMPUS

SANDOVAL REGIONAL MEDICAL CENTER

City of Vision
History & Background

University of New Mexico - Rio Rancho – 1990s

- Regent Don Chalmers

City of Rio Rancho Higher Ed GRT - “the acquisition, construction, renovation or improvement of facilities of a four-year post-secondary public educational institution located in the municipality and acquisition of or improvements to land for those facilities.”

- 20 year tax
- Tax sunsets in 2028
Five Campus Initiatives

Broadmoor Blvd. Extension

“Linear Park” (Water Drainage) off the Campus

New Senior Center

Campus Park

Building 2 – Center of Excellence for Orthopedic Surgery and Rehabilitation
Planning for Building 2

CENTER OF EXCELLENCE FOR
ORTHOPAEDIC SURGERY AND REHABILITATION
Campus Site Plan
Project Site Plan

Extent of Current Orthopaedic Project
Center of Excellence for Orthopaedic Surgery and Rehabilitation – Building 2

Assumptions:

Free standing Academic building adjacent to SRMC
- Academic Faculty
- Research offices and labs
- Clinic and Rehabilitation

Addresses the shortage of clinical sites for future healthcare professionals

Shared clinical services with SRMC avoids costly duplication

Enhances patient access and operational efficiencies

Innovation Room invites community participation and future partnerships

Increases jobs that promote economic development

City of Rio Rancho GRT funds bricks and mortar, infrastructure
- Excludes equipment, furniture and operating costs
## Center of Excellence for Orthopaedic Surgery and Rehabilitation – Building 2

<table>
<thead>
<tr>
<th>Space Summary</th>
<th>% of Total</th>
<th>Area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Area (offices + education + research)</td>
<td>20%</td>
<td>6,572 nsf</td>
</tr>
<tr>
<td>Rehabilitation</td>
<td>21%</td>
<td>6,614 nsf</td>
</tr>
<tr>
<td>Clinic</td>
<td>38%</td>
<td>12,280 nsf</td>
</tr>
<tr>
<td>Research</td>
<td>21%</td>
<td>6,700 nsf</td>
</tr>
<tr>
<td><strong>Building</strong></td>
<td></td>
<td>1,428 nsf</td>
</tr>
<tr>
<td><strong>Total Net Square Feet</strong></td>
<td></td>
<td>33,594 nsf</td>
</tr>
<tr>
<td><strong>Grossing Factor</strong></td>
<td></td>
<td>0.7</td>
</tr>
<tr>
<td><strong>TOTAL ESTIMATED GROSS SQUARE FEET</strong></td>
<td></td>
<td>47,991 gsf</td>
</tr>
</tbody>
</table>

**PROJECT BUDGET** $21,000,000
Academic – Teaching

~6,572 NSF

**Proposed 10.5 providers:**
- 6 adult reconstruction, 1.5 Physical Medicine & Rehabilitation, 1 General Orthopedist, 1 Spine specialist, and 6 Advanced Practice Providers
- Spine and Sports Medicine as growth permits
- Internal Medicine on site

**Learner Spaces:**
- Dictation
- Shared conference/education
- Large Conference/education
- Innovation Center/Virtual Reality
- Learner Lockers/Lounge

**Summary of Learners Served in Proposed Facility:**

**Clinic:**
- 5 Medical Assistants
- 8 Radiology Techs
- 5 Residents and Fellows

**Research:**
- 20 undergraduate, Masters, PhD, and post-doctoral Bioengineering students
- 20-25/year medical students, residents, and Fellows

**Rehabilitation:**
- 18 students in varying programs, including Physical Therapy and Occupational Therapy students, Physical Therapy Techs and Physical Therapy Assistants, Doctor of Physical Therapy, and Speech and Language students.
Academic – Research

~6,700 NSF

Orthopaedic Biomechanics & Biomaterials Laboratory (OBBL) and Orthopaedic Tissue Engineering with Additive Manufacturing (Ortho TEAM)

- Projects fall into the following five categories: computational finite element modeling, synthetic and cadaveric bone experimental testing, biomedical device development, materials characterization, and tissue engineering
- Research currently in multiple locations, with shared space and equipment
- Building infrastructure included in costs; Equipment supplied by research

Spaces:
- Wet Lab, Freezer, Prep, Storage
- Microvascular surgery, Gross Anatomy, Experimental Testing
- Machine Shop
- Break Area

Gait Lab to be used by research, education, as well as by the Rehab Center

Learners: 20 undergraduate, masters, PhD and post-doctoral Bioengineering students, and 20-25 per year of medical students, residents, and Fellows.
Academic Orthopaedic Clinic

~12,280 NSF

Multiple specialty orthopaedic providers from UNM School of Medicine manage patient care and provide teaching opportunities

Spaces:
- 40 exam rooms (5 pods of 8 exams) configured to accommodate patients, learners, as well as the providers
- Cast room
- Digital radiology with tech support area
- Procedure Rooms with accommodations for Ultrasound and C-arm use
- Waiting (Registration consolidated at the building entry)

Learners: 5 residents and Fellows, 5 medical Assistants, 8 Radiology Techs
Rehabilitation Center

6,614 NSF

Configured to accommodate pre-habilitation and rehabilitation in a teaching environment

Spaces:
- Gym with track
- Therapy Pool with treadmill
- Patient Exam and Treatment Rooms
- Occupational Therapy with Activity of Daily Living accommodations
- Greeting/Waiting
- Workspace
- Break area
- Conference space shared with academic offices

Learners: 18 students in varying programs, including Physical Therapy and Occupational Therapy students, Physical Therapy Technician and Physical Therapy Assistant students, Doctor of Physical Therapy and Speech and Language Students
Cost
## Estimated Construction Costs

<table>
<thead>
<tr>
<th>Item</th>
<th>Area</th>
<th>Cost/S.F.</th>
<th>Item Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construction Cost (Fall 2020)</td>
<td>48,000 gsF</td>
<td>$340.00 /sf =</td>
<td>$16,320,000</td>
</tr>
<tr>
<td>Shell, Core and Interior Buildout</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sitework (included in work above)</td>
<td></td>
<td>$0.00 /sf =</td>
<td>$0</td>
</tr>
<tr>
<td>Construction Cost Subtotal</td>
<td></td>
<td>$340.00</td>
<td>$16,320,000</td>
</tr>
<tr>
<td>NMGRT (@ 7.6875% of A)</td>
<td></td>
<td></td>
<td>$1,254,600</td>
</tr>
<tr>
<td>5% Construction Contingency (on Items A. and B. above)</td>
<td></td>
<td></td>
<td>$878,730</td>
</tr>
<tr>
<td><strong>Total Probable Construction Costs w/ NMGRT</strong></td>
<td></td>
<td>$384.44 S/sF =</td>
<td>$18,453,330</td>
</tr>
</tbody>
</table>

## Estimated Other Owner Costs

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Modular Furniture Allowance</td>
<td>Provided through other funding sources</td>
</tr>
<tr>
<td>Medical/ Lab/ Administrative Equipment Allowance</td>
<td>Provided through other funding sources</td>
</tr>
<tr>
<td>Computer/Telephone/Television Equipment &amp; Wiring Allowance</td>
<td>Provided through other funding sources</td>
</tr>
<tr>
<td>Commissioning Allowance</td>
<td>$50,000</td>
</tr>
<tr>
<td>Architects/Engineer Fees</td>
<td>$1,230,557</td>
</tr>
<tr>
<td>Site Survey</td>
<td>$35,400</td>
</tr>
<tr>
<td>Geotechnical Investigation</td>
<td>$8,630</td>
</tr>
<tr>
<td>Taxes on E through M (@ 7.6875%)</td>
<td>$101,828</td>
</tr>
<tr>
<td>Owner Contingency (@ 5% of construction cost Item D total above)</td>
<td>$922,667</td>
</tr>
<tr>
<td><strong>Total Probable Other Owner Costs</strong></td>
<td>$48.94 /sF = $2,349,081</td>
</tr>
</tbody>
</table>

**Total Probable Project Cost** $433.38 /sF = $20,802,411

**Total Estimated Funding** $21,000,000

**Over/Under** $-197,589
New Mexico Finance Authority Financing Feasibility
City of Rio Rancho GRT Financing

Unencumbered Ending Fund Balance Beginning of FY 20 (July 1, 2019): $5,313,601

Projected Higher ED GRT Revenue Generation FY 20 – FY 28 (June 30, 2028)

FY 20: $2,408,340
FY 21: $2,416,359
FY 22: $2,574,943
FY 23: $2,659,184
FY 24: $2,744,450
FY 25: $2,881,435
FY 26: $2,973,827
FY 27: $3,069,182
FY 28: $3,167,594

Total: $24,895,314

*Tax sunsets June 30, 2028
NMFA Meeting Summary 11-15-19

City is the Lead with NMFA on the financing strategy

NMFA brings projects to their board every month

We will need to add NMFA Board Approval after the HED meeting.

- They meet the 4th Thursday of the month.
- NMFA presentation can be in the same month as HED (sequentially).
- NMFA will need materials the month before the meeting occurs

SBOF will follow after NMFA Board.

Once NMFA Board approves the project— it takes up to 75 days to get Bonds to Market and cash in hand. So for example, we go to NMFA in March – June would be the soonest we would have Cash in hand to begin construction in July.
Timeline
<table>
<thead>
<tr>
<th>ESTIMATED PROJECT SCHEDULE</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PROGRAMMING &amp; DESIGN</strong></td>
</tr>
<tr>
<td><strong>PRICING &amp; CONSTRUCTION</strong></td>
</tr>
<tr>
<td>UNM REGENT APPROVAL</td>
</tr>
<tr>
<td>CORR GOV. BODY APPROVAL</td>
</tr>
<tr>
<td>NMHED APPROVAL</td>
</tr>
<tr>
<td>NMMFA APPROVAL</td>
</tr>
<tr>
<td>NMSBOF APPROVAL</td>
</tr>
</tbody>
</table>
Next Steps

The City will update the GRT Revenue projections

City and HSC will meet with NMFA after the December meetings again – in person - for a presentation on the final project.

RFP out to pre-qualify CMAR

Finalize Organizational Structure/Design

Post Administrator COE position / Interim Assignment

Appoint Medical Director of COE
Questions?
MEMORANDUM

TO:       Regent Robert Schwartz, Chair, HSC Committee

FROM:     Dr. Paul Roth
          Executive Vice President and Chancellor for Health Sciences, CEO, UNM
          Health System, Dean, School of Medicine

DATE:     December 9, 2019

RE:       Board Appointments, UNM Medical Group, Inc. Board of Directors

The UNM Medical Group, Inc. (“UNMMG”) Board of Directors is resolved to extend the term of
those Class C Directors whose term is expiring on December 31, 2019 and to appoint a new
independent non-faculty Director. Pursuant to the UNMMG Fourth Amended and Restated Bylaws,
the Board of Regents must appoint the Board of Directors of UNMMG and, therefore, pursuant to
Regents Policy 3.5, the nominees to the Board of Directors of UNMMG must be presented for
consideration to this Committee and then to the Board of Regents with a recommendation for
approval.

Per the nominations of the Committee of Chairs, and in my capacity as the Dean for the UNM
School of Medicine, I recommend appointment of the following individuals to serve on the UNM
Medical Group, Inc. Board of Directors:

Nominations to the UNM Medical Group, Inc. Board of Directors

Class C Directors (Term ending December 31, 2022)

1. Robert Schenck, MD, Chair, Department of Orthopaedics & Rehabilitation, UNM School of
   Medicine (reclassification and extension)*
2. Gary Mlady, MD, Chair, Department of Radiology, UNM School of Medicine*
3. Robert DeFelice, independent non-faculty member**

* These Directors have been nominated by the Committee of Chairs, as set forth in Article III,
  Section 8(b) of the Fourth Amended and Restated Bylaws.
** This Director has been nominated by me, as the Dean of the UNM School of Medicine, as set
  forth in Article III, Section 8(d) of the Fourth Amended and Restated Bylaws.

I request that the HSC Committee approve these nominees, with final approval to be given by the
Board of Regents.
HSC COMMITTEE

RESOLUTIONS APPROVING AND RECOMMENDING APPOINTMENT OF UNM MEDICAL GROUP, INC. DIRECTORS

WHEREAS, UNM Medical Group, Inc. (“UNMMG”) seeks the appointment of certain Directors in accordance with the Fourth Amended and Restated Bylaws, and to fill certain vacancies;

WHEREAS, pursuant to the requirements of the University Research Park and Economic Development Act, Section 21-28-1 et seq., NMSA 1978, and the UNMMG Bylaws, the Board of Regents must appoint the Board of Directors of UNMMG and, therefore, pursuant to Regents Policy 3.5, the nominees to the Board of Directors of UNMMG must be presented for consideration to this Committee and then to the Board of Regents with a recommendation for approval; and

WHEREAS, the HSC Committee, having considered the nominees and the presentations made to the Committee in respect of the nominees to UNMMG Board of Directors, finds and concludes that such nominations and nominees are reasonable and approval of the same is in the best interest of UNMMG.

NOW, THEREFORE, BE IT RESOLVED THAT:

The HSC Committee hereby approves and recommends to the Board of Regents that the following individuals be appointed as Directors of UNMMG, effective immediately, to serve in the capacity indicated and for the terms indicated:

Class C Directors (Term ending December 31, 2022)

1. Robert Schenck, MD, Chair, Department of Orthopaedics & Rehabilitation, UNM School of Medicine
2. Gary Mlady, MD, Chair, Department of Radiology, UNM School of Medicine
3. Robert DeFelice, independent non-faculty member


By: ________________________________
    Regent Robert Schwartz
    HSC Committee Chair
RESOLUTION APPOINTING CERTAIN DIRECTORS
OF UNM MEDICAL GROUP, INC.

WHEREAS, the Regents of the University of New Mexico (the "Regents" or the "University") are the sole member of the UNM Medical Group, Inc., as a New Mexico Nonprofit and University Research Park and Economic Development Act corporation ("UNMMG");

WHEREAS, the Regents, having been advised that there are certain vacancies on the Board of Directors of UNMMG in respect to Committee of Chairs nominees, and the non-faculty, community member of the Board of Directors of UNMMG;

WHEREAS, pursuant to the requirements of the University Research Park and Economic Development Act, NMSA 1978, Section 21-28-1 et seq., and the UNMMG’s Fourth Amended and Restated Bylaws, the Board of Regents must appoint the Board of Directors of the UNMMG and, therefore, pursuant to Regents Policy 3.5, the nominees to the Board of Directors of UNMMG must be presented to the Board of Regents for approval; and

WHEREAS, the HSC Committee, having considered the nominees listed below and the presentations made to the Committee in respect to the nominees to the UNMMG Board of Directors, recommends each of the nominees for approval to the Board of Regents.

NOW, THEREFORE, BE IT:

RESOLVED, that the following individuals be, and they hereby are, appointed as Directors of UNMMG, effective immediately, to serve in such capacity for the term indicated below, and until their successors are appointed and qualified:

1. Robert Schenck, MD – Class C Director (term expires on December 31, 2022)
2. Gary Mlady, MD – Class C Director (term expires on December 31, 2022)
3. Robert DeFelice – Class C Director (term expires on December 31, 2022)

PASSED, APPROVED, AND ADOPTED BY VOTE OF THE BOARD OF REGENTS ON December 10, 2019.

By: ________________________________
Douglas M. Brown, President of the Board of Regents
Curriculum Vitae: Short Version

Updated 11/25/19

Robert C. Schenck, Jr., Doctor of Medicine
Department of Orthopaedics & Rehabilitation
MSC 10-5600, 1 University of New Mexico, Albuquerque, NM  87131-0001
RSchenck@salud.unm.edu

BIOGRAPHY

Dr. Schenck, currently Professor and Chair in the Department of Orthopaedics & Rehabilitation at The University of New Mexico in Albuquerque, has been a full-time academic physician since starting his orthopaedic career as an instructor at the University of Texas HSC in San Antonio. After his medical training at Johns Hopkins (MD ’84, Orthopaedic Residency ’89), he pursued a fellowship in sports medicine with subspecialty training in foot and ankle surgery. In addition to academic and clinical work, Dr. Schenck has served as an athletic team physician for most of his career. Bob has completed his 18th year as full professor with tenure at the University of New Mexico since his arrive in August of 2000.

Dr. Schenck loves being a clinician and, as chair, has maintained a clinical practice of sports medicine while allowing for growth of his faculty with referrals to junior colleagues and giving opportunities of leadership whenever possible. He especially enjoys caring for the complex patient, from all walks of life, who may be disenfranchised or needs a listening ear to help solve problems.

Dr. Schenck has enjoyed his 14 years as chair of UNM Orthopaedics, mentoring faculty and creating a department which has seen a three-fold growth in both faculty size, revenues with an eye to life balance and harmony. His success relies on interpersonal skills, effective business negotiations, and understanding the culture of UNM. The department has also excelled in professionalism of staff, residents, fellows, and faculty and has been recognized by Press Ganey Scores. Dr. Schenck credits the support of his wife and partner, Trish, and using strategies for departmental growth and excellence as outlined by Jim Collins in his book Good to Great and maintaining humility.

Dr. Schenck is a member of numerous Orthopaedic groups and associations but is most grateful for his years of service to the American Board of Orthopaedic Surgery as an Oral Examiner for Part II and Question Writing Task Force participant for Part I of the ABOS examinations. He has contributed 150 articles to medical publications and also enjoys writing both fiction and non-fiction. He recently published his first novella, Juárez, on Amazon and Kindle.

Dr. Schenck was selected by the American Orthopaedic Society for Sports Medicine to be an accompanying “godfather” for the 2017 Latin American Society of Knee Arthroscopy and Sports Medicine (SLARD) travelling fellowship which was a landmark experience with friends and fellowship in Orthopaedics and Sports Medicine. Bob has enjoyed his global travels and making such great friends around the world. A westerner by birth, he enjoys outdoor activities, especially skiing, fishing, hiking, and golf. Bob and Trish recently celebrated their 33rd year of marriage and greatly enjoy their five children Lillian, Gus, Helen, George and Marian.

LICENSE

<table>
<thead>
<tr>
<th>License</th>
<th>Number</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Mexico Medical Board</td>
<td>2000-286</td>
<td>07/01/2022</td>
</tr>
<tr>
<td>Drug Enforcement Administration Registration</td>
<td>BS1758347</td>
<td>02/28/2022</td>
</tr>
<tr>
<td>New Mexico Controlled Substance Registration</td>
<td>CS00206644</td>
<td>02/28/2022</td>
</tr>
</tbody>
</table>

CERTIFICATION

<table>
<thead>
<tr>
<th>Certification</th>
<th>Date Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>American Board of Orthopaedic Surgery Recertification</td>
<td>01/01/2003 – 12/31/2012</td>
</tr>
<tr>
<td>American Board of Orthopaedic Surgery Recertification</td>
<td>01/01/2013 – 12/31/2022</td>
</tr>
</tbody>
</table>
EDUCATION

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>7/1985 – 6/1989</td>
<td>Resident, Orthopaedics Johns Hopkins Hospital, Baltimore, Maryland</td>
</tr>
<tr>
<td>7/1984 – 6/1985</td>
<td>Intern, General Surgery Johns Hopkins Hospital, Baltimore, Maryland</td>
</tr>
<tr>
<td>9/1981 – 5/1984</td>
<td>M.D. Johns Hopkins University, Baltimore, Maryland</td>
</tr>
</tbody>
</table>

RECENT CONTINUING MEDICAL EDUCATION (3 years)

<table>
<thead>
<tr>
<th>Date</th>
<th>Credits</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>01/01/19</td>
<td>3</td>
<td>AJSM Reviewer</td>
</tr>
<tr>
<td>03/09/18 – 03/10/18</td>
<td>8</td>
<td>AAOS 2018 Annual Meeting</td>
</tr>
<tr>
<td>05/11/17 – 05/12/17</td>
<td>13.5</td>
<td>Knee Dislocation and MLK Reconstruction, Mayo Clinic, Rochester, MN</td>
</tr>
<tr>
<td>04/02/17</td>
<td>3</td>
<td>AJSM Reviewer</td>
</tr>
<tr>
<td>04/01/17</td>
<td>3</td>
<td>AJSM Reviewer</td>
</tr>
<tr>
<td>02/1/17</td>
<td>3</td>
<td>AJSM Reviewer</td>
</tr>
<tr>
<td>07/28/16</td>
<td>3</td>
<td>AJSM Reviewer</td>
</tr>
<tr>
<td>07/25/16</td>
<td>3</td>
<td>ASJM Reviewer</td>
</tr>
<tr>
<td>05/13/16 – 05/14/16</td>
<td>14</td>
<td>Southwest Orthopaedic Trauma Association: Symposium Update</td>
</tr>
<tr>
<td>04/18/16 - 4/22/16</td>
<td>30</td>
<td>2016 International Trauma Conference, Santa Cruz, Bolivia</td>
</tr>
<tr>
<td>04/21/16</td>
<td>10.0</td>
<td>ABOS Question Writing Task Force, Emory University School of Medicine</td>
</tr>
<tr>
<td>03/01/16 - 03/05/16</td>
<td>16</td>
<td>2016 AAOS Annual Meeting, Orlando, FL</td>
</tr>
<tr>
<td>01/22/16</td>
<td>7.25</td>
<td>46th Annual Carrie Tingley Hospital Winter Conference</td>
</tr>
<tr>
<td>07/20/15</td>
<td>3</td>
<td>AJSM Reviewer</td>
</tr>
<tr>
<td>07/01/15</td>
<td>3</td>
<td>AJSM Reviewer</td>
</tr>
<tr>
<td>06/01/15</td>
<td>3</td>
<td>AJSM Reviewer</td>
</tr>
<tr>
<td>01/21/15</td>
<td>3</td>
<td>AJSM Reviewer</td>
</tr>
<tr>
<td>01/01/15</td>
<td>3</td>
<td>AJSM Reviewer</td>
</tr>
</tbody>
</table>

ACADEMIC EMPLOYMENT

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>09/2000 – present</td>
<td>Professor &amp; Chair (12/2005) University of New Mexico</td>
</tr>
<tr>
<td></td>
<td>Department of Orthopaedics Albuquerque, New Mexico</td>
</tr>
<tr>
<td></td>
<td>(Tenured 07/2002)</td>
</tr>
<tr>
<td>07/1990 – 08/2000</td>
<td>Instructor, then Deputy Chairman University of Texas</td>
</tr>
<tr>
<td></td>
<td>Department of Orthopaedics San Antonio, Texas</td>
</tr>
</tbody>
</table>

RECENT PROFESSIONAL RECOGNITION & HONORS (20 years)

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>May 2010</td>
<td>Apple for the Teacher Award UNM Pre-Med</td>
</tr>
<tr>
<td>September 2009</td>
<td>Service Recognition UNM Athletics</td>
</tr>
<tr>
<td>March 2005</td>
<td>Support of UNMH Administration UNM Hospital</td>
</tr>
<tr>
<td>July 2003</td>
<td>Elected Faculty Member Alpha Omega Alpha Honor Medical Society</td>
</tr>
<tr>
<td>April 2000</td>
<td>Best Medical Staff Participation University Hospital, San Antonio, Texas</td>
</tr>
</tbody>
</table>

CURRENT PROFESSIONAL MEMBERSHIPS
OTHER PROFESSIONAL ACTIVITY

2016-present Editor in Chief, The Medical Muse, Univeristy of New Mexico
2013–present Reviewer, OJSM
2006, 09, 11-13, 15, 17, 18 Host, AOSSM ESSKA/SLARD Traveling Fellowship
2005–2006 President, New Mexico Orthopaedic Association
2004, 05, 09–present Member, Question Writing Taskforce, American Board of Orthopaedic Surgery
2004–present Reviewer, CORR
2004–2010 Member, Council of Delegates, American Orthopaedic Society for Sports Medicine
2002–present Oral Examiner, American Board of Orthopaedic Surgery
2001–present Reviewer, JBJS / JBJS Case Connector
2001–2008  President, New Mexico Orthopaedic Association
2001–present Editorial Advisory Board, WebMD/Medscape Orthopaedics
1990–present Reviewer, AJSM.

RECENT INVITED LECTURES (5 years)

(R=Regional, N=National, I=International)

2018 N Mechanism, Presentation, Injury Pattern and Associated Injuries for Multiple Ligament Knee 
Injuries: A Multicenter Study from the Surgical Timing and Rehabilitation (STaR) Trial for 
MLKIs Network, AAOS, New Orleans, LA, March 9, 2018
2018 N The Multi-ligamentous Injured Knee, Hospital for Special Surgery, NY, February 15, 2018
2017 N Complex Injuries of the Knee, Kinesio Tape International Course, Honolulu, HI, October 7, 2017
2017 N MLI of the Knee, Steadman Philippone Research Institute, Vail, CO, October 2, 2017
2017 N Posterolateral Corner, Desert Mountain/Arthrex Journal Club, Phoenix, AZ, August 28, 2017
2017 I OA in Master Athlete: Prevention & Timing, VIII Congresso Sociedade Brasileira de Artroscopia e 
Traumatologia do Sporbe (SBRATE), Curitiba, Brazil, August 19, 2017
2017 I PLC: Arciero vs LaPrade, VIII Congresso SBRATE, Curitiba, Brazil, August 18, 2017
2017 I 20 Years of Knee Dislocations, Sociedad de LatinoAmerican, Arthroscopia, Rodilla, y Deportes 
(SLARD), Sao Paulo, Brazil, August 15, 2017
2017 I Knee Dislocations and the MLK, SLARD/AAA, Buenos Aires, Argentina, August 9, 2017
2017 I 20 Years of Knee Dislocations, SLARD, Santiago, Chile, August 7, 2017
2017 I Knee H&P, SLARD, Lima, Peru, August 3, 2017
2017 I PLC: Arciero vs. LaPrade, SLARD, Bogota, Colombia, July 31, 2017
2017 I Posteromedial Approach for PCL Inlay, SLARD, Bogota, Colombia, July 29, 2017
2017 N MCL Reconstruction, Mayo Clinic KD Workshop, Rochester, MN, May 12, 2017
2017 N Knee Dislocations: Classification, Mayo Clinic KD Workshop, Rochester, MN, May 11, 2017
2016 N Complex knee injury presentations, 60th Edward T. Smith Orthopaedic Lectureship, Houston, TX, 
November 3, 2016
2016 I Knee Dislocations: Classification and Treatment Multiligamentous Knee Injury and Arthroscopic 
Rotator Cuff Repair, 3rd Ortho Trauma, Lima, Peru, October 24, 2016
2016 N ACL Revisions from A to Z, Grand Rounds at John Peter Smith, Fort Worth, TX, September 14, 2016
2016 R Radical Candor, Committee of Chairs at The University of New Mexico, August 31, 2016
2016 R Lateral Corner, Arciero vs LaPrade: A Cadaveric Study, AOSSM/Magellan, Taos, NM, July 4, 2016
2016 I Sports Medicine Presentations, Jornada Internacional Boliviana-Americana, Santa Cruz de la Sierra, 
Bolivia, April 22-24, 2016
RECENT SCHOLARLY PUBLICATIONS (5 years)

Books and book chapters (authored or co-authored)
7. *Surgery of the Knee, 2015*

Peer-reviewed journal articles


Fiction and non-fiction publications

Instructional course lectures

Other works

RECENT ABSTRACTS AT PROFESSIONAL MEETINGS (5 years)
ligament knee injuries (MLKIS): a multicenter study from the surgical timing and rehabilitation trial for MLKIS network. Paper presented at: AAOS 2018 Meeting; March 6-10 2018; New Orleans, LA.


12. Schenck, RC Jr: Didactic: Shoulder Examination Didactic and Demonstration at the Chronic Pain and Headache Management TeleECHO Clinic, University of New Mexico, Health Sciences Center Project ECHO (Extension for Community Healthcare Outcomes), April 30, 2015.


**RECENT GRANTS AND CONTRACT FUNDING**

Clinical Trial
University of Pittsburgh, DoD
*STaR Trial Investigator (Timing of Surgery and Rehabilitation to Optimize Outcomes for Patients with Multiple Ligament Knee Injuries: A Multicenter Clinical Trial)*
Pl: James Irving, MD; Local Pl: Robert Schenck, MD
9/30/2017 – 9/30/2021
~$77,000 per year

Clinical Trial
University of Pittsburgh
*Multicenter Clinical Trial to Assess Early Vs. Delayed Timing for Surgical Treatment of Multiple Lig*  
Pl: James Irving, MD; Local Pl: Robert Schenck, MD
9/27/2015 – 9/27/2017
~$7,000 per year

**RECENT COMMITTEES (5 years)**

**Department**
- 2005 – present Chair, Orthopaedics Leadership Committee
- 2000 – present Member, Residency Selection Committee, UNM, Department of Orthopaedics

**University**
- 2005 – present Member, Committee of Chairs
- 2005 – present Member, Medical Executive Committee
- 2004 – present Member, Operations Committee, Graduate Medical Education
- 2016 - present Editor in Chief, The Medical Muse, University of New Mexico

**Hospital**
- 2006 – present Member, Advisory Board, UNM Carrie Tingley Hospital, UNM
- 2007 - present Member, COI (Conflict of Interest) Committee, UNM
- 2004 - present Member, Surgical Services Product Standardization Committee (SSPSC), UNM
- 2004-2008 Interim Chief Medical Officer, Sandoval Regional Medical Center, Rio Rancho, NM

**Regional**
- 2003 – present Board Member (Secretary, 2003; President, 2005), NM Orthopaedic Association

**PATIENT SERVICE ACTIVITIES**

- 09/01/2000 - present Attending Orthopaedic Clinic, University Hospital
- 09/01/2000 – 09/01/2009 Team Physician, Lobo Athletic Clinic, Tow Diehm
- 07/01/1990 – 08/01/2000 Attending Hip and Knee Clinic
  Audie Murphy Veterans Administration Hospital, San Antonio, TX
  3 hours/week
- 07/01/1990 – 08/01/2000 Attending, Hip and Knee Surgery
  Audie Murphy Veterans Administration Hospital, San Antonio, TX
  8 hours/week
- 07/01/1990 – 08/31/2000 Attending, Knee Rehabilitation Clinic, Downtown
  University Clinic, San Antonio, TX
  3 hours/week
- 07/01/90 - 08/31/2000 Attending, Orthopaedic Green Service
  University Hospital, San Antonio, TX
  12 hours/week
- 07/01/90 - 08/31/2000 Attending, University Clinic, San Antonio, TX,
  12 hours/week
- 07/01/90 - 08/31/2000 Orthopaedic Trauma Call
  University of TX Health Science Center at San Antonio
  4-6 days/month

**RECENT COMMUNITY SERVICE**

- 2000–present New Mexico State Fair Rodeo Coverage, 2000-present
- 09/2000–09/2010 Lobos Head Team Physician, UNM, Department of Athletics, Albuquerque, NM
- 09/2010-present Lobos Associate Team Physician, UNM, Department of Athletics, Albuquerque, NM
Gary W. Mlady, MD

Chief, Musculoskeletal Radiology, Department of Radiology
Associate Professor, Department of Radiology

Medical School
St. Louis University School of Medicine (1999)
St. Louis, MO

Internship
University of New Mexico School of Medicine (2000)
Albuquerque, NM
Specialty in Rotating

Residency
University of New Mexico School of Medicine (2004)
Albuquerque, NM
Specialty in Radiology

Certifications
Am Bd Radiology (Sub: Diagnostic) (2004)

Gary W. Mlady, MD, was named chair of the Department of Radiology for the UNM School of Medicine, July 2015.

Mlady completed his radiology residency at UNM in 2004 and joined the department faculty as an assistant professor and chief of Musculoskeletal Radiology that same year. He earned a Bachelor of Arts Degree in neuroscience from the University of Colorado and his Doctor of Medicine Degree from St. Louis University Health Sciences Center in 1999.

“It’s an exciting time in health care with many new opportunities to create meaningful change,” Mlady says. “My focus will be on providing exceptional customer service to our patients and providers while building collaboration with other departments in our cutting-edge approach to patient care, research and education.”

The Department of Radiology provides nearly 300,000 procedures annually at UNM Hospital, Sandoval Regional Medical Center and the Albuquerque Veteran’s Affairs Medical Center. Radiology faculty members also serve as radiologic sciences educators while conducting important imaging research.

The UNM SOM radiology chair provides the key leadership as an advocate in all matters concerning imaging to improve the delivery of care through new technology and advance the science of imaging through continued research. Mlady will be responsible for developing strategic goals and obtaining, allocating, and managing the resources necessary to achieve those goals.

“I am delighted to have Gary Mlady as our new Department of Radiology chair,” says UNM Chancellor for Health Sciences Paul B. Roth, MD, who also serves as the School of Medicine dean. “His leadership in patient care, education, research and business is an essential asset to both our patients and students.”
CURRICULUM VITAE

DATE: January 10, 2017

NAME: GARY W. MLADY, MD

PROFESSIONAL ADDRESS: Department of Radiology
MSC10 5530
1 University of New Mexico
Albuquerque, NM 87131-0001
(505) 272-0011 (Phone)
(505) 272-5821 (Fax)

HOME

MEDICAL LICENSURE: State of New Mexico, License No. 2002-0449

CERTIFICATIONS: Diplomat American Board of Radiology – 2004; recertification 2014

EDUCATIONAL HISTORY:

Residency, Radiology
University of New Mexico
School of Medicine
Albuquerque, NM 87131-5336

Doctor of Medicine
Saint Louis University Health Sciences Center

BA in Neuroscience
University of Colorado

EMPLOYMENT HISTORY:

7/2015 – Present
Chair, Department of Radiology
University of New Mexico

Medical Director, Department of Radiology
University of New Mexico

7/2007 – 7/2015
Musculoskeletal Radiology – Fellowship Director
Department of Radiology
University of New Mexico

8/2004 – 7/2015
Chief, Musculoskeletal Radiology
Department of Radiology
University of New Mexico
7/2011 – Present
Associate Professor of Radiology
Department of Radiology
University of New Mexico

Assistant Professor of Radiology
Department of Radiology
University of New Mexico

Instructor
Department of Chemistry
University of Colorado

Research Assistant
Department of Pharmacology
University of Colorado Health Science Center

Research Assistant
Department of Chemistry
University of Colorado

PROFESSIONAL RECOGNITION AND HONORS:

2005 – 2006
UNM Dept of Radiology Teacher of the Year

2008 – 2009
Radiology Chairman's MVP Award

MEMBERSHIPS IN PROFESSIONAL SOCIETIES:

Society of Chairs of Academic Radiology Departments
Association of University Radiologists
American Roentgen Ray Society
Radiological Society of North America
American College of Radiology

OTHER EXTRAMURAL PROFESSIONAL ACTIVITIES:

Administrative work with professional societies
2016  American Association of Orthopedic Surgeons – Appropriate Use Criteria
      Voting Panel: Carpal Tunnel Syndrome
2014 – Present  American Board of Radiology – Exam Developer
2014 – 2015  American College of Radiology – Appropriateness Committee, Musculoskeletal
2014 – 2015  American Association of Orthopedic Surgeons – Clinical Practice Guideline
      Committee: Carpal Tunnel Syndrome

Miscellaneous Activities:

2014 – 2015  Fellow, America’s Essential Hospitals Fellows Program
March 2015  AEH Policy Assembly, Washington DC
April 2012 - Current  Reviewer, Journal of Hand Surgery
May 2009  Lobbyist, 2nd annual ACA (Amputee Coalition of America) lobby day,
      Washington D.C.

INVITED LECTURES:

1. Mlady, GW  Trauma Radiology: Pearls and Pitfalls. 36th Annual New Mexico Chapter of the
      American College of Emergency Physicians Emergency Medicine Symposium. Scheduled
      April 25, 2015.

2. Mlady, GW. Principles Course for Operating Room Personnel. Orthopaedic Trauma: Team

3. Mlady, GW. Emergency Radiology. 31st Annual New Mexico Chapter of the American

4. Mlady, GW. Bone Imaging for Infection. 31st Annual Advances in Primary Care “Imaging,
      Infectious Disease and Interactions” UNM Student Union Building, Albuquerque, NM,
      September 25, 2009

5. Mlady, GW. MRI of the Wrist – Diagnosing Ulnar-Sided Wrist Pain. 28th Annual University
      of New Mexico Orthopaedic Alumni Conference, Domenici Center for Health Sciences
      Education, Albuquerque, NM, June 5, 2009

      11, 2009


Original Research or Scholarly Articles in Refereed Journals:


Book chapters:
Abstracts/Posters:

National:


International:


**Resident Research:**


**TEACHING/EDUCATION**

**Undergraduate medical student teaching**

August 2004 – 2013; 2015 - current

January 2009 – 2012

Phase I medical student anatomy, UNM SOM

Phase III Radiology Clerkship Director, UNM SOM

Phase III Musculoskeletal Radiology Clerkship Director, UNM SOM

**Resident and fellow teaching and mentoring**

August 2004 – current

Resident didactic lectures

August 2004 – current

Resident case conferences

July 2007 – June 2015

Fellowship director

June 2007 – 2013

Emergency Medicine Residency radiology conference

June 2007 – 2013

2016 -

Rheumatology Fellowship radiology conference

August 2007 – current

Sports Medicine conference
April 2008 – current  Sarcoma Tumor Board

Fellow teaching and mentoring:

2007 – 2008  James McAnally, M.D
2008 – 2009  Samuel Southam, M.D.
             Jeremy Logan, M.D.
2009 – 2010  Joshua Robertson, M.D.
2011 – 2012  Jamie Elifritz, M.D.
2012 – 2013  Conor Simmons, M.D.
             Krynn Stegelmeier, M.D.
2016 – 2017  Jacob Becker, MD
             Steve Tandberg, MD

SERVICE

University, SOM, HSC administrative duties

July 2015 –  Chair, Dept of Radiology
January 2009 – 2015  Medical Director, Dept of Radiology
August 2004 - 2015  Chief, Musculoskeletal Radiology
July 2007 – 2015  Fellowship Director, Musculoskeletal Radiology

University, UNM, HSC, department committees

2015 – Current  Committee of Chairs
2015 – Current
Medical Executive Committee
University of New Mexico Hospital

2015 – Current
Strategic Resource Committee
University of New Mexico Health System

2007 – 2015
HRRC Member

Sept 2004 – Current
Radiology Residency Selection Committee

2008 – 2015
Radiology Resident Research Committee

January 2009 – 2014
Chair, Dept of Radiology QA committee

January 2009 – 2014
UNM HSC Provider Compliance Committee

January 2009 – 2015
Chair, Medical Group Radiology Team Meeting

2012 – Current
MRI Safety Committee

March 2009 – 2013
Trauma Program TCR/MDQI committee

2011 – 2012
Promotion and Tenure Committee

2008 – 2010
Chair, Radiology Faculty Search Committee

2008 – 2009
CPOE Committee

PACS Steering Committee
ROBERT L. DEFElice, M.P.H., M.B.A.

PROFESSIONAL OBJECTIVE

A challenging, responsible position offering opportunities to capitalize on the professional experience and expertise I have acquired over the past thirty (46) years in the fields of public health practice and health services program administration. I desire stimulating contact with staff, as well as with the community, in attempting to positively impact the health and welfare of a client population. I believe in shared leadership, individual responsibility, and personal commitment.

AREAS OF EXPERTISE

- Health services program administration
- Grant/contract/proposal development and management
- Community organization, health services planning and development
- Program planning, implementation and evaluation
- Public and interagency relations/community-based health boards and councils
- Rural health care services/health care shortage areas
- Entrepreneurship

EDUCATION

2003-2005 University of New Mexico, Robert O. Anderson Schools of Management
  • Executive Masters in Business Administration (EMBA)

1983-1984 University of California at Los Angeles (UCLA) School of Public Health
  • Departments of Behavioral Health and Health Care Administration. Course work towards completion of a Doctorate in Public Health (Dr.P.H.)

1971-1973 University of Michigan School of Public Health
  • Departments of Health Education/Behavioral Health and Population Planning. Masters in Public Health awarded both in Health Education and Population Planning (M.P.H.)

1966-1971 San Jose State University
  • Departments of Health Science and Sociology. Baccalaureate Degree awarded in Health Science with a minor in Sociology (B.A.) Scholarship Athlete (soccer).
PROFESSIONAL EXPERIENCE

1999-Present First Choice Community Healthcare, Chief Executive Officer
A Federally Qualified Health Center operating a system of eight (8) Community Health Centers and one (1) School-Based Health Center strategically located in the Mid Rio Grande Valley of central New Mexico.

1977-1999 Health Care Consultant, Independent Consultant
Over sixty (60) consultative assignments with federal, state, city, county and tribal governments and institutions.

1996-1999 Sandia Health Center, Pueblo of Sandia, Consultant and Acting Director
A model health center established in partnership with the Pueblo of Sandia, the University of New Mexico School of Medicine and the Indian Health Service.

1989-1992 Presbyterian Medical Services (Santa Fe), Vice President, Corporate Officer, and Director of Planning and Development
Note: During this tenure, one (1) year was spent as the Court Appointed Interim Executive Director for Albuquerque Family Health Center.

1982-1984 Navajo Division of Health Improvement Services, Navajo Tribe, Consultant to the Director, DHIS, and served as Director, Navajo Way, Inc.

1981-1982 New Mexico Cancer Control Program, University of New Mexico, School of Medicine, Director and Principal Investigator, NMCCP
A five (5) year, 13.5 million-dollar demonstration project sponsored jointly by the National Cancer Institute and the State of New Mexico.

1979-1980 New Mexico Cancer Control Program, University of New Mexico, School of Medicine, Associate Director, NMCCP

1976-1979 New Mexico Cancer Control Program, University of New Mexico, School of Medicine, Senior Program Director, Cancer Prevention Department, NMCCP

1973-1976 Navajo Health Authority, Navajo Tribe, Director, Division of Health Education
Joint project between the Navajo Tribe and the University of New Mexico School of Medicine.
Trained at the University of Michigan, School of Public Health and at the University of New Mexico, Robert O. Anderson School of Management, Served as a health services program administrator in New Mexico for the past forty-six (46) years. Entire career has centered on my interest in working with disenfranchised and vulnerable populations and communities. As a health planner, health behaviorist, and health services administrator, worked closely with the Navajo Nation, the Pueblos of Isleta and Sandia, and with the many Hispanic communities located throughout the vast Middle Rio Grande Valley of Central New Mexico. As co-founder of the Community Access Program of Central New Mexico (CAP-NM); built strong relationships with the University of New Mexico Health Sciences Center and Hospital, the State of New Mexico Department of Health, the Indian Health Service, City, County and State Government, and a myriad of other health and social services entities in an effort to maximize collective resources for the common good. Served as Chief Executive Officer for First Choice Community Healthcare since January of 1999.
MEMORANDUM

DATE: November 25, 2019

TO: HSC Committee and Board of Regents

FROM: Kate Becker
CEO, UNM Hospitals

SUBJECT: Board Appointment, UNM Hospital Board of Trustees

Mr. Kurt Riley, former Pueblo of Acoma Governor and former Pharmacist at the Indian Health Services, has been nominated to the UNM Hospitals Board of Trustees on behalf of the All Pueblo Council of Governors (APCG). UNM Hospitals requests the approval of the HSC Committee with final approval from the UNM Board of Regents.
November 22, 2019

Kate Becker, CEO
University of New Mexico Hospital
2211 Lomas Boulevard, NE
Albuquerque, NM 87106

Re: Recommendation of Kurt Riley to the UNM Hospital Board of Trustees

Dear Mrs. Becker,

Greetings. This letter responds to your letters of May 14th and June 10th, 2019, requesting the recommendation of a Pueblo Indian representative to serve on the University of New Mexico Hospital Board of Trustees, based on the June 18, 1952 Federal Contact; the January 24, 1978 Lease Agreement; and the July 1, 1999 Lease (amended in 2004).

Based on your request, at a duly called APCG mtg held on November 21, 2019, the APCG formally nominated Mr. Kurt Riley to recommend to serve in this role. Mr. Riley is a former Pharmacist at the Indian Health Services and former Pueblo of Acoma Governor. We are confident that his professional expertise, advocacy, and in-depth knowledge of our healthcare needs will ensure that the health and wellness of our communities continue to be ongoing top priorities for the UNM Hospital.

If you would like to discuss this nomination or next steps, please contact our APCG Executive Director, Alicia Ortega at (505) 212-7041. Thank you.

Respectfully,

[Signature]
E. Paul Torres, APCG Chairman
Kurt Riley is a 1983 Graduate of the University of New Mexico, College of Pharmacy. After graduation he worked in the private sector as a staff pharmacist and contract pharmacist for some local hospitals. In 1985 he was commissioned as an Officer in the United States Public Health Service as a Lieutenant (Junior Grade). Over the span of 25 years of service in the Department of Health and Human Services, Indian Health Service, Mr. Riley’s work experience included assignments as a Staff Pharmacist, Chief Pharmacist, Acting Area Pharmacy Officer, Health Center Director, Acting Administrative Officer, Performance Improvement Advisor and Acting Chief Executive Officer. Being given credit for 5 years of service in the United States Navy as a Hospital Corpsman, Mr. Riley retired in 2011 after 30 years of Government Service achieving the rank of a Capitan in the United States Public Health Service. For the next three years Mr. Riley operated a private consulting business, providing health system evaluation and improvement services to the Indian Health Service and a Pueblo Healthcare System.

In December of 2014 Mr. Riley was appointed to the position of 2nd Lieutenant Governor for the Pueblo of Acoma, functioning as the Traditional Chief Law Enforcement Officer of the Pueblo. In addition he provided oversight of various Pueblo Programs, providing support, direction and supervision of the following Pueblo Departments: Law Enforcement, Fire/Emergency Medical Services, Tribal Courts, Detention, Behavioral Health Services, Community Health Services, Social Services and Security of Acoma Sky City.

In December of 2015 Mr. Riley was appointed to the Position of Governor of the Pueblo, functioning as the Chief Executive Officer, the recognized Spokesperson and secular leader of the Pueblo of Acoma. He was responsible for the provision of services through the Pueblo’s Programs to its 5,000 members. On a daily basis he interacted with Federal, State, County and Private Organizations. He was responsible for the overall administration and financial wellbeing of the Pueblo. He was reappointed to the Governor’s position in 2016, 2017 and 2018. After four years of service to the community he was relieved of his duties in December 2018.

Mr. Riley since 2015 has served as a member of the All Pueblo Council of Governors Health Committee and is a Co-Chair of the Council’s Natural Resources Committee. These committees are assigned tasks by the Council of Governors on various topics. They are charged to gather information, attending various meetings, meeting with Federal, State and Local officials, providing reports and making recommendations for action by the Council of Governors. He has also served as the Chairman of the Southern Pueblo Council of Governors comprised of 10 of the 19 pueblos of New Mexico.
CAPITAL PROJECT APPROVAL
PROJECT NAME: CIP 2619 UNM Hospitals – 5 ACC Clinic Renovations
DATE: November 20, 2019

RECOMMENDED ACTION:
As required by Section 7.12 of Board of Regents Policy Manual, the New Mexico Higher Education Department and the New Mexico State Board of Finance, capital project approval is requested for the UNM Hospitals – 5 ACC Clinic Renovations. For the project described below, UNM Hospitals requests the following actions, with action requested only upon requisite sequential approval and recommendation by any and all committees and bodies:

- Board of Trustee Finance Committee approval of and recommendation of approval to the UNMH Board of Trustees.
- UNMH Board of Trustees approval of and recommendation of approval to the UNM Board of Regents HSC Committee.
- UNM Board of Regents HSC Committee approval and recommendation of approval to the UNM Board of Regents.
- UNM Board of Regents approval

PROJECT DESCRIPTION:
Remodel existing clinical space for multiple clinics to enable expansion of services which include cardiac care, suppressed immunology infusions, cystic fibrosis care and endocrine specialties.

RATIONALE:
The specialty care clinics provide continuing patient care as well as diagnostic services and pre and post-operative care. Many patients visiting these clinics see multiple providers each visit and have multiple appointments over months or even years. Collaboration and consultation across the clinical specialties is key to providing the best possible patient care. These clinics provide care to an extraordinary number of patients annually. This renovation will provide additional exam rooms to be shared across clinic disciplines as well as additional clinical support spaces to provide treatments and procedures. Clinic support spaces will be improved and/or added to increase efficiency of supply organization.

PURCHASING PROCESS:
The architectural firm Fanning Bard Tatum was hired to provide design utilizing professional services through a RFP awarded for design services. An RFP will be issued for qualified public contractors to competitively bid.

FUNDING:
Total project construction budget not to exceed at $2,000,000 from the UNM Hospital Capital Renovation Fund.
CAPITAL PROJECT APPROVAL
PROJECT NAME: CIP 3123 UH-Main Landswest – Curb & Gutter Improvements
DATE: November 20, 2019

RECOMMENDED ACTION:
As required by Section 7.12 of Board of Regents Policy Manual, the New Mexico Higher Education Department and the New Mexico State Board of Finance, capital project approval is requested for The UH-Main Landswest – Curb & Gutter Improvements. For the project described below, UNM Hospitals requests the following actions, with action requested only upon requisite sequential approval and recommendation by any and all committees and bodies:

- Board of Trustee Finance Committee approval of and recommendation of approval to the UNMH Board of Trustees.
- UNMH Board of Trustees approval of and recommendation of approval to the UNM Board of Regents HSC Committee.
- UNM Board of Regents HSC Committee approval and recommendation of approval to the UNM Board of Regents.
- UNM Board of Regents approval

PROJECT DESCRIPTION:
This project includes site improvements to Camino de Salud west of University which includes the following requirements per the City of Albuquerque Infrastructure Improvements Agreement (IIA):
1. Extension of curb, gutter, and sidewalk on north side of Camino de Salud near Cancer Center. Requiring removal and relocation of fence along Lands West north parking lot.
2. Extension of curb and gutter on south side of Camino de Salud near Lands West south parking lot requiring installation of a retaining wall.
3. Relocation of fire hydrant near entrance of Lands West north parking lot near Cancer Center to extend sidewalk.
4. Provide asphalt paving to required thickness, and striping.
5. Providing new concrete collars and adjusting man holes with new asphalt paving.

RATIONALE:
The University of New Mexico has deferred infrastructure requirements associated with the platting, planning, design, and construction of Camino de Salud west of University since 2007. Over the past twelve years, UNM has requested extension to defer improvements. Due to the length of time and changes in City of Albuquerque Ordinances no more extensions will be allowed, and a deadline of improvements has been set for March 20, 2020.

PURCHASING PROCESS:
The engineering firm, High Mesa Consulting Group was hired to provide design utilizing an on-call agreement with UNM. Construction shall be funded utilizing a Cooperative Educational Services (CES) contract with Bradbury Stamm Construction.

FUNDING:
Total project construction budget not to exceed at $626,000 from the Capital Renovation Fund in FY20.
December 3, 2019

University of New Mexico
Health Sciences Center Committee
Albuquerque, New Mexico 87131

Dear Members of the HSC Committee:

Please find attached the list of UNM Health Sciences Degree Candidates for the fall 2019 term for your approval.

<table>
<thead>
<tr>
<th>College/School</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>College of Nursing</strong></td>
<td></td>
</tr>
<tr>
<td>BS in Nursing</td>
<td>118</td>
</tr>
<tr>
<td>Doctor of Nursing Practice</td>
<td>1</td>
</tr>
<tr>
<td><strong>College of Pharmacy</strong></td>
<td></td>
</tr>
<tr>
<td>BS Pharmaceutical Science</td>
<td>47</td>
</tr>
<tr>
<td><strong>College of Population Health</strong></td>
<td></td>
</tr>
<tr>
<td>BS in Population Health</td>
<td>5</td>
</tr>
<tr>
<td><strong>Graduate Programs</strong></td>
<td></td>
</tr>
<tr>
<td>Master in Occupational Therapy</td>
<td>25</td>
</tr>
<tr>
<td>Master of Public Health</td>
<td>3</td>
</tr>
<tr>
<td>Master of Science – Biomedical Science</td>
<td>2</td>
</tr>
<tr>
<td>Master of Science – Dental Hygiene</td>
<td>1</td>
</tr>
<tr>
<td>Master of Science – Physicians Asst. Studies</td>
<td>1</td>
</tr>
<tr>
<td>Master of Science – Pharmaceutical Sciences</td>
<td>1</td>
</tr>
<tr>
<td>Doctor of Philosophy – Biomedical Sciences</td>
<td>6</td>
</tr>
<tr>
<td>Doctor of Philosophy – Nursing</td>
<td>1</td>
</tr>
<tr>
<td><strong>School of Medicine</strong></td>
<td></td>
</tr>
<tr>
<td>BS Emergency Medical Services</td>
<td>7</td>
</tr>
<tr>
<td>BS Radiologic Sciences</td>
<td>4</td>
</tr>
<tr>
<td>BS Dental Hygiene</td>
<td>1</td>
</tr>
<tr>
<td>BS in Medical Laboratory Sciences</td>
<td>14</td>
</tr>
<tr>
<td>Doctor of Medicine</td>
<td>12</td>
</tr>
<tr>
<td><strong>Grand Total</strong></td>
<td>249</td>
</tr>
</tbody>
</table>

Sincerely,

Amy Levi, Ph.D., CNM, WHNP-BC

Amy Levi, Ph.D., CNM, WHNP-BC
Vice Chancellor HSC Academic Affairs
Albers Endowed Professor of Midwifery
Update on Homelessness Partnerships

CHAMIZA PACHECO DE ALAS, CHIEF OF STAFF, OFFICE OF THE UNMHSC CHANCELLOR
JESSICA KELLY, MPA, DEPUTY CHIEF OF STAFF, OFFICE OF THE UNMHSC CHANCELLOR
DEC 9, 2019
Timeline

• Spring 2018: Dr. Roth named chair of the Albuquerque Chamber of Commerce subcommittee addressing homelessness.

• Summer/early Fall 2018: Site visits to other cities as well as local homeless shelters and service providers.
  • Sites visited: Haven for Hope, San Antonio; Saranam; HopeWorks; Heading Home; Steelbridge; Crossroads for Women; Good Shepherd Center; Healthcare for the Homeless; Resource Re-entry Center; APS Title I, MATS, VA

• August 2018: UNM Leadership met with Chamber consultant on homelessness, Scott Akerson

• Late Fall 2018: met with Mayor’s Office to discuss partnership potentials.


• February 2019: LOI addressing partnership signed between the City, County and UNM.

• Spring 2019: Meetings with HSC leadership and city officials around partnerships and coordination of health and behavioral health.

• Spring 2019: Office of Community Health began providing healthcare services at Westside Emergency Housing Center. Ongoing.
Current Healthcare Services

• Office of Community Health, along with the Office of Interpersonal Professional Education, provides services 1-2 nights a week at the Westside Emergency Housing Center. Average of 9 volunteers.

• Work in partnership with Healthcare for the Homeless, Department of Health Medical Reserve Corps; Presbyterian Health Care Services and Centro Savila to provide medical and behavioral health services.
  • Developed innovative patient-centered rounding model with Centro Savila
  • UNM Law students also provide legal services in a medical-legal model
Current State

• Ongoing commitment to provide healthcare services, including behavioral health.

• Bond passed for centrally located Gateway Center.

• Agreed to have UNM HSC property considered as one of many potential sites for Albuquerque community consideration https://www.cabq.gov/family/services/homeless-services/community-feedback-gateway-center.

• Continuing ongoing participation in subcommittees and community meetings.
THANK YOU

QUESTIONS?
December 2, 2019

President Doug Brown
Regents of the University of New Mexico
The University of New Mexico
Albuquerque NM 87131-0001

Dear President Brown:

Lobo Development Corporation requests that the Annual Meeting of the Members be held during the Board of Regents meeting on December 10, 2019. There are two action items to be presented.

A. Approval of the Summarized Minutes of the May 9, 2019 Meeting
B. Acceptance of the FY 2018-19 Audit

Please feel free to contact me or Keelie Garcia if you have any questions.

Sincerely,

Teresa Costantinidis
President, Lobo Development Corporation
Minutes of the Regular Meeting of the
Board of Regents of the University of New Mexico
May 9, 2019
Open Session - Ballroom C, Student Union Building (SUB)
Executive Session – Cherry Silver Room, SUB
Main Campus

Members present
Douglas M. Brown, President; Kim Sanchez Rael, Vice President; Sandra K. Begay, Secretary Treasurer; Rob Doughty; Melissa Henry; Marron Lee; Robert Schwartz

Administration present
Garnett S. Stokes, President; Paul Roth, EVP and Chancellor for Health Sciences Center; Craig White, Interim SVP for Finance and Administration; Rich Wood, Interim Provost and EVP for Academic Affairs; Loretta Martinez, Chief Legal Counsel; Richard Larson, Executive Vice Chancellor for HSC; Ava Lovell, Executive Officer for Finance & Administration, HSC; Lawrence Roybal, Interim VP for Equity and Inclusion; Eliseo ‘Cheo’ Torres, VP Student Affairs; Gabriel Lopez, VP Research; Dorothy Anderson, VP HR; Eddie Nuñez, Athletics Director; Dana Allen, VP Alumni Relations; Terry Babbitt, President’s Chief of Staff; Liz Metzger, University Controller

Advisors present
Rob Burford, Staff Council President; Steve Borbas, Retiree Association President; Pamela Pyle, Faculty Senate; Muhammad Afzaal Hussain, GPSA President; Adam Biederwolf, ASUNM President

Presenters in attendance
Norma Allen, Director, University Budget Operations; Lisa Marbury, Executive Director, Institutional Support Services

Others in attendance
Members of administration, faculty, staff, students, the media and others.

CALL TO ORDER, CONFIRMATION OF A QUORUM, ADOPTION OF THE AGENDA
Regent President Douglas M. Brown called the meeting to order at 9:05 AM and confirmed a quorum. All members were present in person. Before adoption of the agenda the following modifications were proposed:

1) Take off of the agenda, Finance & Facilities Committee (F&F) information item #3, Tab 7, Discussion of Regents’ Endowment Accounts – to be discussed at a later date

2) Move up on the agenda to after President’s Administrative Report, Academic/Student Affairs and Research Committee (ASAR) action item #1, Tab 4, Approval of Spring 2019 Degree Candidates. [There was clarification that no action was necessary on the Health Sciences Center Committee (HSCC) action item #3, because the degree candidates approved under ASAR Committee are to be the comprehensive listing of all UNM degree candidates, including HSC candidates.]

3) Combine presentations for Main Campus and HSC FY 2019-2020 Budget and FY 2018-1019 Budget Adjustment Requests (Tabs 5 & 8).

The motion to adopt the agenda with the proposed modifications passed with a unanimous vote in favor (1st Schwartz; 2nd Sanchez Rael).
Regent Brown thanked the Budget Leadership Team and the Capital Planning Leadership Team for the tremendous amount of effort and hard work put into the budget and capital planning process.

For the next item, Regent Brown clarified The Meeting of the Member is an annual event that needs to occur for Lobo Development Corporation and Lobo Energy, Incorporated. The Meeting of the Member is stipulated in the bylaws of each entity, the ‘Member’ being the Board of Regents.

**VOTE TO ADJOURN THE BOARD OF REGENTS FOR THE MEETINGS OF THE MEMBER**

The motion to adjourn the Board of Regents for the Board to be able to convene the annual Meeting of the Member of Lobo Development Corporation and of Lobo Energy, Inc. passed unanimously (1st Schwartz; 2nd Lee).

Regent Brown asked Regent Lee, Chair of Lobo Development Corporation and the regent member on the Lobo Energy board, to take the gavel. There was a question about why there were two external audits on the agendas for approval. It was explained there was not a meeting of the member last year for either Lobo Development or Lobo Energy, so the 2017 meeting minutes and the FY17 audits are on the agenda for approval.

**MEETING OF THE MEMBER – LOBO DEVELOPMENT CORPORATION (LDC)**

Regent Lee called to order the LDC Meeting of the Member at 10:30 AM. Regent Lee asked for a motion to approve the minutes of the 2017 LDC Meeting of the Member; Regent Begay motioned; Regent Brown seconded; the motion passed unanimously.

Regent Lee said the audits had been provided to Regents prior to the meeting for review; Regent Lee asked for a motion to accept the FY17 and FY18 external audits; Regent Sanchez Rael motioned; Regent Brown seconded; the motion passed unanimously.

There being no further business, Regent Lee asked for a motion to adjourn the LDC annual meeting of the member; Regent Sanchez Rael motioned; Regent Doughty seconded; the vote to adjourn was unanimous. The meeting adjourned at 10:31 AM.

**MEETING OF THE MEMBER – LOBO ENERGY, INC. (LEI)**

Regent Lee convened the LEI Meeting of the Member at 10:31 AM. Regent Lee asked for a motion to approve the minutes of the 2017 LEI Meeting of the Member; Regent Schwartz motioned; Regent Doughty seconded; the motion passed unanimously.

Regent Lee asked for a motion to accept the FY17 and FY18 external audit reports; Regent Doughty motioned; Regent Schwartz seconded; motion passed unanimously.

There being no further business, Regent Lee asked for a motion to adjourn; Regent Sanchez Rael motioned; Regent Brown seconded; the vote to adjourn was unanimous. The meeting adjourned at 10:32 AM.

Regent Lee handed the gavel to Regent Brown.

**VOTE TO RECONVENE BOARD OF REGENTS**

The vote to reconvene the Board of Regents passed unanimously (1st Brown; 2nd Lee).

**PUBLIC COMMENT** (no comments)

**Advisors’ Comments**
REPORT OF INDEPENDENT AUDITORS
AND FINANCIAL STATEMENTS

LOBO DEVELOPMENT CORPORATION
(A Blended Component Unit of the University of New Mexico)

June 30, 2019 and 2018
Table of Contents

Official Roster (unaudited) ................................................................. 1
Report of Independent Auditors ...................................................... 2–3
Management's Discussion and Analysis (unaudited) ......................... 4–7

Financial Statements
  Statements of net position .......................................................... 8
  Statements of revenues, expenses, and changes in net position ............ 9
  Statements of cash flows ............................................................. 10
  Notes to financial statements ....................................................... 11–17

Report of Independent Auditors on Internal Control over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with Government Auditing Standards .......................... 18–19

Other Information
  Schedule of findings and responses ................................................ 20
  Summary schedule of prior audit findings ....................................... 21
  Exit conference ........................................................................... 22
Lobo Development Corporation
(A Component Unit of the University of New Mexico)
Official Roster (unaudited)
June 30, 2019

OFFICERS
Stephen Ciepiela
Chris Vallejos

MEMBERS
Louis Abruzzo
Stephen J. Ciepiela
Maria Griego-Raby
Marron Lee
Eddie Nunez
Kim Sanchez Rael
Paul B. Roth, M.D.
Rick Siegel
Garnett Stokes, Ph.D.
Chris Vallejos
Craig White, Ph.D.
Report of Independent Auditors

The Board of Directors
Lobo Development Corporation
and Mr. Brian Colón, Esq., New Mexico State Auditor

Report on the Financial Statements

We have audited the accompanying financial statements of Lobo Development Corporation (Lobo Development), a component unit of the University of New Mexico, which comprise of the statements of net position as of June 30, 2019 and 2018, and the related statements of revenues, expenses, and changes in net position and cash flows for the years then ended, and the related notes to the financial statements, which collectively comprise Lobo Development’s financial statements as listed in the table of contents.

Management’s Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor’s Responsibility

Our responsibility is to express opinions on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor’s judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity’s preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity’s internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.
Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position Lobo Development Corporation as of June 30, 2019 and 2018, and the changes in its financial position and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Other Matters

Required Supplementary Information

Accounting principles generally accepted in the United States of America require that the management’s discussion and analysis on pages 4 through 7 be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management’s responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Other Reporting Required by Government Auditing Standards

In accordance with Government Auditing Standards, we have also issued our report dated September 16, 2019 on our consideration of Lobo Development’s internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is solely to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of Lobo Development’s internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with Government Auditing Standards in considering Lobo Development’s internal control over financial reporting and compliance.

Albuquerque, New Mexico
September 16, 2019
The following discussion and analysis provides an overview of the financial position and activities of Lobo Development Corporation (Lobo Development) as of and for the fiscal years ended June 30, 2019, 2018, and 2017. This discussion should be read in conjunction with the accompanying financial statements and notes. Management has prepared the basic financial statements and the related note disclosures along with this discussion and analysis. As such, the financial statements, notes, and this discussion are the responsibility of Lobo Development’s management.

Financial Highlights

Cash increased in 2019 by $209,041, resulting in cash on deposit with fiscal agent and cash on hand at the close of fiscal year 2019 of $5,518,717. The increase during fiscal year 2019 is primarily due to an increase in interest income and lower project expenses. Cash increased in 2018 by $1,768,014, resulting in cash on deposit with fiscal agent and cash on hand at the close of fiscal year 2018 of $5,309,676. The increase during fiscal year 2018 was primarily due an increase in project revenue and lower project expenses. Interest earned during fiscal year 2019 increased $34,809 from $50,205 to $85,014, due to an increase in earnings on cash being held by The University of New Mexico (UNM), Lobo Development’s fiscal agent.

Lobo Development’s net position increased $290,657 during the year, from $6,298,648 in 2018 to $6,589,305 in fiscal year 2019. During fiscal year 2018, Lobo Development’s net position increased $1,742,816 during the year, from $4,555,832 in 2017 to $6,298,648 in fiscal year 2018.

During fiscal year 2019, operating revenue decreased by $1,236,096 and operating expenses decreased by $126,298, resulting in a decrease in net operating income of $1,109,798. During fiscal year 2018, operating revenue increased by $807,953 and operating expenses increased by $85,968, resulting in an increase in net operating income of $721,985.

Overview of the Basic Financial Statements

The statements of net position of Lobo Development provides both long-term and short-term information about Lobo Development’s overall financial position. The statements of revenues, expenses, and changes in net position provides information about the operating revenues and expenses and the non-operating revenues and expenses of Lobo Development. The statements of cash flows provide information related to the cash inflows and outflows of Lobo Development. The notes to the basic financial statements provide more detailed information about amounts reported in the basic financial statements.
Financial Information

Lobo Development’s condensed financial information as of and for the fiscal years ended June 30, 2019, 2018, and 2017 are provided in the following table:

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
<th>2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current assets</td>
<td>$ 5,528,194</td>
<td>$ 5,311,888</td>
<td>$ 3,544,558</td>
</tr>
<tr>
<td>Net capital assets</td>
<td>15,941,759</td>
<td>16,067,894</td>
<td>16,537,383</td>
</tr>
<tr>
<td>Total assets</td>
<td>$ 21,469,953</td>
<td>$ 21,379,782</td>
<td>$ 20,081,941</td>
</tr>
<tr>
<td>Current liabilities</td>
<td>$ 775,514</td>
<td>$ 498,063</td>
<td>$ 473,069</td>
</tr>
<tr>
<td>Noncurrent liabilities</td>
<td>14,105,134</td>
<td>14,583,071</td>
<td>15,053,040</td>
</tr>
<tr>
<td>Total liabilities</td>
<td>14,880,648</td>
<td>15,081,134</td>
<td>15,526,109</td>
</tr>
<tr>
<td>Net investment in capital assets</td>
<td>1,356,108</td>
<td>1,014,854</td>
<td>1,028,796</td>
</tr>
<tr>
<td>Unrestricted</td>
<td>5,233,197</td>
<td>5,283,794</td>
<td>3,527,036</td>
</tr>
<tr>
<td>Total net position</td>
<td>$ 6,589,305</td>
<td>$ 6,298,648</td>
<td>$ 4,555,832</td>
</tr>
<tr>
<td>Total liabilities and net position</td>
<td>$ 21,469,953</td>
<td>$ 21,379,782</td>
<td>$ 20,081,941</td>
</tr>
<tr>
<td>Operating revenue</td>
<td>$ 2,308,983</td>
<td>$ 3,545,079</td>
<td>$ 2,737,126</td>
</tr>
<tr>
<td>Operating expenses</td>
<td>864,745</td>
<td>991,043</td>
<td>905,075</td>
</tr>
<tr>
<td>Operating income</td>
<td>1,444,238</td>
<td>2,554,036</td>
<td>1,832,051</td>
</tr>
<tr>
<td>Nonoperating revenue</td>
<td>85,014</td>
<td>50,205</td>
<td>929,273</td>
</tr>
<tr>
<td>Nonoperating expenses</td>
<td>1,238,595</td>
<td>861,425</td>
<td>838,836</td>
</tr>
<tr>
<td>Change in net position</td>
<td>290,657</td>
<td>1,742,816</td>
<td>1,922,488</td>
</tr>
<tr>
<td>Net position, beginning of year</td>
<td>$ 6,298,648</td>
<td>$ 4,555,832</td>
<td>$ 2,633,344</td>
</tr>
<tr>
<td>Net position, end of year</td>
<td>$ 6,589,305</td>
<td>$ 6,298,648</td>
<td>$ 4,555,832</td>
</tr>
</tbody>
</table>

Statements of Net Position

Assets – As of June 30, 2019 and 2018, Lobo Development has cash in the amount of $5,518,717 and $5,309,676, respectively, of which $5,284,158 and $5,106,547, respectively, is held by UNM, and $234,559 and $203,129, respectively, is held in an operating bank account at a financial institution. Cash increased primarily due to an increase in interest income and a decrease in project expenses.

Liabilities and Net Position – Lobo Development’s net position at June 30, 2019, 2018, and 2017 was allocated between unrestricted and net investment in capital assets.
Lobo Development Corporation  
(A Component Unit of the University of New Mexico)  
Management’s Discussion and Analysis  
June 30, 2019

Statements of Revenues, Expenses, and Changes in Net Position

Revenues – During the fiscal year ended June 30, 2019, Lobo Development generated operating revenue in the amount of $2,308,983, which included lease payments from three buildings, and two student housing buildings. During the fiscal year ended June 30, 2018, Lobo Development generated operating revenue in the amount of $3,545,079. Other income amounted to $85,014 and $50,205 during the fiscal years ended June 30, 2019 and 2018, respectively. For 2019, other income was the result of interest earned from UNM. For 2018, other income was the result of interest earned from UNM.

Expenses – Total operating expenses decreased $126,298 during the fiscal year ended June 30, 2019 due to a decrease in project expenses. Total operating expenses increased $85,968 during the fiscal year ended June 30, 2018 due to an increase in project expenses, building depreciation, and administrative expenses.

UNM is the fiscal agent of Lobo Development. UNM holds the majority of Lobo Development’s cash and invests the holdings in a commingled account with UNM’s other investments. The pro rata interest earnings are credited to Lobo Development’s account monthly and losses are charged at the end of the fiscal year. Lobo Development transfers funds to its checking account as needed.

Capital Assets and Debt Administration

Lobo Development’s investment in capital assets as of June 30, 2019 amounts to $1,356,108 (net of accumulated depreciation and debt incurred to finance). This investment in capital assets includes two buildings purchased during fiscal year 2013 and one building purchased in fiscal year 2017. Additional information concerning Lobo Development’s capital assets may be found in note 4 in the notes to the financial statements.

At the end of the current fiscal year, Lobo Development had total debt outstanding of $14,585,651. This debt was incurred during fiscal year 2013 for the purchase of the two buildings noted above and during fiscal year 2017 for the purchase of one building a noted above. Additional information concerning Lobo Development’s long-term debt may be found in note 5 in the notes to the financial statements.

Factors Impacting Future Periods

Lobo Development is currently working on forming a Tax Incremental Development District (TIDD) with the City of Albuquerque to fund public infrastructure.

Lobo Development is currently involved in the commercial development of vacant UNM property and has been negotiating with developers. Once a firm commitment is received, work will begin on building the infrastructure to support the retail outlets on UNM property. It is not known when this expansion of business will transpire.

Anticipated revenue sources for 2019 include campus student housing ground rent, commercial development ground rent, and real estate income.
Contacting Lobo Development’s Financial Management

This report is meant to describe the financial condition and position of Lobo Development.

If you have questions about this report or need additional financial information, contact:

Lobo Development Corporation
801 University Boulevard SE, Suite 207
Albuquerque, New Mexico 87106-4345
## ASSETS

### CURRENT ASSETS
- Cash on deposit with fiscal agent: $5,284,158, $5,106,547
- Cash on deposit with bank: 234,559, 203,129
- Accounts receivable: 6,250, -
- Prepaid insurance: 3,227, 2,212

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total current assets</td>
<td>5,528,194</td>
<td>5,311,888</td>
</tr>
</tbody>
</table>

### CAPITAL ASSETS
- Buildings: 18,310,085, 18,310,085
- Construction in progress: 343,354, -
- Less accumulated depreciation: (2,711,680), (2,242,191)

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Net capital assets</td>
<td>15,941,759</td>
<td>16,067,894</td>
</tr>
</tbody>
</table>

### Total assets
- $21,469,953, $21,379,782

## LIABILITIES AND NET POSITION

### CURRENT LIABILITIES
- Accounts payable: $8,830, $12,598
- Accrued expenses: 17,024, 15,496
- Current portion of long-term debt: 480,517, 469,969
- Due to UNM: 269,143, -

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total current liabilities</td>
<td>775,514</td>
<td>498,063</td>
</tr>
</tbody>
</table>

### NONCURRENT LIABILITIES
- Long-term debt: 14,105,134, 14,583,071

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total noncurrent liabilities</td>
<td>14,105,134</td>
<td>14,583,071</td>
</tr>
</tbody>
</table>

### NET POSITION
- Net investment in capital assets: 1,356,108, 1,014,854
- Unrestricted: 5,233,197, 5,283,794

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total net position</td>
<td>6,589,305</td>
<td>6,298,648</td>
</tr>
</tbody>
</table>

### Total liabilities and net position
- $21,469,953, $21,379,782

---

See accompanying notes.
<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OPERATING REVENUES</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rental revenue</td>
<td>$1,426,796</td>
<td>$1,423,284</td>
</tr>
<tr>
<td>Project revenue</td>
<td>855,575</td>
<td>2,094,490</td>
</tr>
<tr>
<td>Reimbursement revenue</td>
<td>26,612</td>
<td>27,305</td>
</tr>
<tr>
<td>Total operating revenues</td>
<td>2,308,983</td>
<td>3,545,079</td>
</tr>
<tr>
<td><strong>OPERATING EXPENSES</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project expenses</td>
<td>266</td>
<td>128,725</td>
</tr>
<tr>
<td>Depreciation</td>
<td>469,489</td>
<td>469,489</td>
</tr>
<tr>
<td>Administrative expenses</td>
<td>394,990</td>
<td>392,829</td>
</tr>
<tr>
<td>Total operating expenses</td>
<td>864,745</td>
<td>991,043</td>
</tr>
<tr>
<td><strong>Operating income</strong></td>
<td>1,444,238</td>
<td>2,554,036</td>
</tr>
<tr>
<td><strong>NONOPERATING REVENUES</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Interest income</td>
<td>85,014</td>
<td>50,205</td>
</tr>
<tr>
<td>Total nonoperating revenues</td>
<td>85,014</td>
<td>50,205</td>
</tr>
<tr>
<td><strong>NONOPERATING EXPENSES</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Interest expense</td>
<td>456,595</td>
<td>464,925</td>
</tr>
<tr>
<td>Distributions to UNM</td>
<td>607,000</td>
<td>221,500</td>
</tr>
<tr>
<td>Distributions to UNM-Athletics</td>
<td>175,000</td>
<td>175,000</td>
</tr>
<tr>
<td>Total nonoperating expenses</td>
<td>1,238,595</td>
<td>861,425</td>
</tr>
<tr>
<td>Change in net position</td>
<td>290,657</td>
<td>1,742,816</td>
</tr>
<tr>
<td><strong>NET POSITION, beginning of year</strong></td>
<td>6,298,648</td>
<td>4,555,832</td>
</tr>
<tr>
<td><strong>NET POSITION, end of year</strong></td>
<td>$6,589,305</td>
<td>$6,298,648</td>
</tr>
</tbody>
</table>
Lobo Development Corporation  
(A Component Unit of the University of New Mexico)  
Statements of Cash Flows

<table>
<thead>
<tr>
<th>Years Ended June 30,</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2019</td>
<td>2018</td>
</tr>
<tr>
<td>CASH FLOWS FROM OPERATING ACTIVITIES</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Payments to suppliers of goods or services</td>
<td>$(198,970)</td>
<td>$(309,626)</td>
</tr>
<tr>
<td>Payments to employees for services</td>
<td>$(199,541)</td>
<td>$(200,672)</td>
</tr>
<tr>
<td>Payments received from contractors</td>
<td>20,362</td>
<td>27,305</td>
</tr>
<tr>
<td>Payments received from fiscal agent</td>
<td>2,282,371</td>
<td>3,517,774</td>
</tr>
<tr>
<td>Payments received from insurance company</td>
<td>269,143</td>
<td>-</td>
</tr>
<tr>
<td>Net cash provided by operating activities</td>
<td>2,173,365</td>
<td>3,034,781</td>
</tr>
</tbody>
</table>

| CASH FLOWS FROM CAPITAL AND RELATED FINANCING ACTIVITIES |       |       |
| Construction of capital assets | (343,354) | - |
| Distributions to UNM | (607,000) | (221,500) |
| Distributions to UNM-Athletics | (175,000) | (175,000) |
| Debt repayment to fiscal agent principal | (467,389) | (455,547) |
| Debt repayment to fiscal agent interest | (456,595) | (464,925) |
| Net cash used in capital and related financing activities | (2,049,338) | (1,316,972) |

| CASH FLOWS FROM INVESTING ACTIVITIES |       |       |
| Interest received on deposits with fiscal agent | 85,014 | 50,205 |
| Net cash provided by investing activities | 85,014 | 50,205 |
| Net increase in cash and cash equivalents | 209,041 | 1,768,014 |
| CASH AND CASH EQUIVALENTS, beginning of year | 5,309,676 | 3,541,662 |
| CASH AND CASH EQUIVALENTS, end of year | $5,518,717 | $5,309,676 |

Reconciliation of cash to the statement of net position

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash on deposit with fiscal agent</td>
<td>$5,284,158</td>
<td>$5,106,547</td>
</tr>
<tr>
<td>Cash on deposit with the bank</td>
<td>234,559</td>
<td>203,129</td>
</tr>
<tr>
<td>Cash on statement of cash flows</td>
<td>$5,518,717</td>
<td>$5,309,676</td>
</tr>
</tbody>
</table>

RECONCILIATION OF OPERATING INCOME TO NET CASH PROVIDED BY OPERATING ACTIVITIES

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating income</td>
<td>$1,444,238</td>
<td>$2,554,036</td>
</tr>
<tr>
<td>Depreciation expense</td>
<td>469,489</td>
<td>469,489</td>
</tr>
<tr>
<td>Adjustments to reconcile operating income to net cash provided by operating activities:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Change in accounts receivable</td>
<td>(6,250)</td>
<td>-</td>
</tr>
<tr>
<td>Change in prepaid insurance</td>
<td>(1,015)</td>
<td>684</td>
</tr>
<tr>
<td>Change in accounts payable</td>
<td>(3,768)</td>
<td>12,553</td>
</tr>
<tr>
<td>Change in accrued expenses</td>
<td>1,528</td>
<td>(1,981)</td>
</tr>
<tr>
<td>Due to UNM</td>
<td>269,143</td>
<td>-</td>
</tr>
<tr>
<td>Net cash provided by operating activities</td>
<td>$2,173,365</td>
<td>$3,034,781</td>
</tr>
</tbody>
</table>
Note 1 – Description of Business

Lobo Development Corporation (Lobo Development), a blended component unit of The University of New Mexico (UNM), is owned, controlled, and was established by UNM’s Board of Regents (UNM Regents).

Lobo Development was incorporated in the State of New Mexico on October 4, 2007. It was organized under the amended State of New Mexico’s University Research Park Act. The name of the Act has since been changed to the University Research Park and Economic Development Act.

Lobo Development was established to benefit the UNM Regents by relieving the University of New Mexico from the responsibilities to acquire, own, manage, and develop certain real estate in a commercially reasonable manner and to maximize the University’s return from these assets; by contributing all of the corporation’s net revenues to the University for the support of the teaching, research, and service mission of the University; and by creating learning opportunities for students in this development activity. The activities of the corporation shall include the acquisition, development, disposition, and rental of real estate for the benefit of the University.

Under the Memorandum of Agreement (MOA) between the UNM Regents and Lobo Development signed in the first quarter of fiscal year 2009, Lobo Development may plan, direct, and coordinate its business activities in accordance with a mutually agreed-upon development proposal and development agreement between Lobo Development and UNM. Lobo Development operations will be funded by an administrative fee assigned to approved projects. If Lobo Development revenues are more than sufficient to meet its anticipated financial obligations based on a mutually approved annual budget, it is the intent of the parties that excess revenue shall be distributed back to UNM. For the year ended June 30, 2019, $782,000 was distributed back to UNM. For the year ended June 30, 2018, $396,500 was distributed back to UNM.

Primary activities performed by Lobo Development during the year ended June 30, 2019 focused on efforts to establish the UNM Sports and Entertainment District at South Campus, marketing of commercial sites along Gibson Boulevard, and the establishment of a Tax Increment Development District in partnership with the City of Albuquerque.

Lobo Development provides services only to UNM. Lobo Development does not have any component units.

Note 2 – Summary of Significant Accounting Policies and Practices

Basis of Accounting and Presentation
As a proprietary fund, Lobo Development’s financial statements are reported using a flow of economic resources measurement focus and the full accrual basis of accounting. Accordingly, revenues are recognized when they are earned and expenses are recognized as soon as the liability is incurred. Operating revenues and expenses are those incurred that relate directly to project management services. All other revenues and expenses are considered non-operating.
Note 2 – Summary of Significant Accounting Policies and Practices (continued)

The accompanying financial statements include only the accounts of Lobo Development, which has no component units.

Net Position
For accounting and reporting purposes, Lobo Development reports its net position in the following categories as applicable:

- Net investment in capital assets – capital assets net of accumulated depreciation and debt incurred to finance the capital asset acquisition.
- Unrestricted – net position that is not subject to externally imposed constraints.

Use of Estimates
The preparation of financial statements in accordance with U.S. generally accepted accounting principles requires that management make estimates and assumptions that affect the reported amounts of assets and liabilities and the disclosure of contingent assets and liabilities at the financial statements dates and the reported amounts of revenues and expenses during these reporting periods. Due to uncertainties inherent in the estimation process, actual results could differ from those estimates.

Cash and Cash Equivalents
Lobo Development considers all highly liquid investments with a maturity of three months or less when purchase to be cash equivalents. For purposes of the statement of cash flows, Lobo Development considers cash and cash equivalents to be cash deposits and amounts held by its fiscal agent.

Revenue Recognition
Lobo Development recognizes operating revenue for services earned under the terms of the MOA.

Lobo Development’s revenue for the fiscal year ended 2019 originated from the following sources: (1) Student Housing project/ACC Component I, (2) Student Housing project/ACC Component II, (3) Reimbursement Revenue, (4) Rent from three occupancy leases. Lobo Development’s revenue for the fiscal year ended 2018 originated from the following sources: (1) Student Housing project/ACC Component I, (2) Student Housing project/ACC Component II, (3) Reimbursement revenue, (4) Rent from three occupancy leases, and (5) Other funds related to the MOA. All revenue from these sources is originally paid to UNM and UNM determines which revenue streams are allocated to Lobo Development.

Income Taxes
Lobo Development is exempt from federal income tax on income related to its exempt purposes under Section 501(a) of the Internal Revenue Code (Code) as an organization described in Section 501(c)(3) of the Code.
Note 2 – Summary of Significant Accounting Policies and Practices (continued)

Capital Assets
Capital assets are recorded at original cost, or fair value if donated. Per Section 12-6-10 NMSA 1978, Lobo Development follows UNM’s capitalization policy for moveable equipment includes all items with a unit cost of $5,000 or more, and an estimated useful life of greater than one year. Renovations to buildings, infrastructure, and land improvements that significantly increase the value or extend the useful life of the structure are capitalized. Routine repairs and maintenance are charged to operating expense in the year in which the expense was incurred. Depreciation is calculated using the straight-line method over the estimated useful lives of the assets, generally 39 years for buildings.

Cash
Lobo Development’s cash balances include cash on deposit with fiscal agent and an operating account. Lobo Development has no statutory policy requirements related to cash deposits. UNM serves as the fiscal agent for Lobo Development through which Lobo Development participates in a pooled bank account maintained by UNM. At June 30, 2019 and 2018, Lobo Development had a balance in that pooled account of $5,284,158 and $5,106,547, respectively. As fiscal agent, UNM requires the financial institution holding these pooled funds to maintain minimum collateral amounts. Interest is allocated monthly to Lobo Development’s account based on its balance in the pooled bank account at the end of the preceding month.

Custodial Credit Risk
Custodial credit risk is the risk that in the event of a bank failure, the entity’s deposits may not be returned to it. At June 30, 2019, the bank balance and the book balance in Lobo Development’s separate checking account with Compass Bank were $245,566 and $234,599, respectively. At June 30, 2018, the bank balance and the book balance in Lobo Development’s separate checking account with Compass Bank were $206,718 and $203,129. The entire book balance is insured by the Federal Deposit Insurance Corporation.

Note 3 – Related-Party Transactions

Effective August 12, 2008, UNM and Lobo Development entered into a MOA containing the expectations and performance obligations that UNM is seeking from Lobo Development.

Pursuant to the MOA, UNM provides to Lobo Development, at no cost to Lobo Development, facilities support and general business office and associated workspace. Under the agreement, UNM provides cash and investment management activities for Lobo Development, at no cost to Lobo Development. Lobo Development received $855,575 and $2,094,490 from UNM to fund operations for the years ended June 30, 2019 and 2018, respectively. This amount is included in project revenue.

The MOA may be terminated by UNM, effective upon written notice to Lobo Development. Upon termination, all property of Lobo Development shall be transferred to UNM or other successor organization designated by resolution of the UNM Regents.
Note 3 – Related-Party Transactions (continued)

On April 1, 2013, Lobo Development executed a Promissory Note with UNM to finance a capital assets purchase made in fiscal year 2013. The Note was originally executed for $27,800,000 at 3.0% interest per annum with a maturity date of May 1, 2020. A Loan Revision Agreement was executed on January 1, 2016 to reduce the principal balance to $15,211,543 with no change in interest rate or maturity date. Subsequent to June 30, 2019, the loan expiration was extended to May 1, 2027 (see Note 5).

On December 21, 2016, Lobo Development executed a Promissory Note with the University of New Mexico Foundation, Inc. (UNM Foundation) to provide funds to finalize the purchase of a building. The Note was originally executed for $1,000,000 at 3.75% interest per annum, with a maturity date of December 21, 2026 (see Note 5).

On April 1, 2016, Lobo Development entered into an MOA with Innovate ABQ, Inc. (Innovate), a component unit of the University of New Mexico, wherein Lobo Development provides bookkeeping and operations management services to Innovate. Revenue received under this MOA was $26,612 and $27,305 for the fiscal years ended June 30, 2019 and 2018, respectively.

On May 29, 2015, Lobo Development entered into an MOA with the University of New Mexico Athletics Department (Athletics), wherein Lobo Development will allocate annually to Athletics: half of the “Lobo Village” ground lease income received from UNM; all of the “Wendy’s on Avenida Cesar Chavez” ground lease income received from UNM after initial development expenses have been reimbursed, and; all of the “Stadium West Parking Lot Project” ground lease income received from UNM after initial development expenses have been reimbursed. For the fiscal year ended June 30, 2019, Lobo Development distributed $175,000 of “Lobo Village” ground lease income to Athletics; no ground lease income was received from UNM for the other two properties. For the fiscal year ended June 30, 2018, Lobo Development distributed $175,000 of “Lobo Village” ground lease income to Athletics; no ground lease income was received from UNM for the other two properties.

Lobo Development receives rental revenue from UNM and Athletics under three occupancy lease agreements. For the fiscal year ended June 30, 2019, rental revenue received from UNM was $1,320,614 and rental revenue received from Athletics was $106,182, for total rental revenue of $1,426,796. For the fiscal year ended June 30, 2018, rental revenue received from UNM was $1,320,614 and rental revenue received from Athletics was $102,670, for total rental revenue of $1,423,284. Future rents due are as follows:

<table>
<thead>
<tr>
<th>Fiscal year ending June 30:</th>
<th>1312 Basehart</th>
<th>933 Bradbury</th>
<th>Baseball Clubhouse</th>
</tr>
</thead>
<tbody>
<tr>
<td>2020</td>
<td>$ 330,382</td>
<td>$ 770,130</td>
<td>$ 109,694</td>
</tr>
<tr>
<td>2021</td>
<td>-</td>
<td>-</td>
<td>$ 109,694</td>
</tr>
<tr>
<td>2022</td>
<td>-</td>
<td>-</td>
<td>$ 109,694</td>
</tr>
<tr>
<td>2023</td>
<td>-</td>
<td>-</td>
<td>$ 109,694</td>
</tr>
<tr>
<td>2024 - 2026</td>
<td>-</td>
<td>-</td>
<td>329,082</td>
</tr>
</tbody>
</table>

Lobo Development did not purchase goods and services from companies that board members are employed by during the fiscal years ended June 30, 2019 and 2018.
Note 3 – Related-Party Transactions (continued)

During fiscal year 2019, Lobo Development received a check from their insurance carrier in the amount of $269,143 for smoke damage at a building that they own and lease to UNM. UNM paid for the repairs and therefore these proceeds are included in Due to UNM for the full amount of $269,143, as of June 30, 2019. This amount is expected to be remitted in fiscal year 2020.

Note 4 – Capital Assets

Capital asset activity for the year ended June 30, 2019 was as follows:

<table>
<thead>
<tr>
<th>Capital assets</th>
<th>Balance at June 30, 2018</th>
<th>Additions/Complections</th>
<th>Retirements/Disposals</th>
<th>Balance at June 30, 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non depreciable</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Construction in progress</td>
<td>$</td>
<td>$ 343,354</td>
<td>$</td>
<td>$ 343,354</td>
</tr>
<tr>
<td>Depreciable</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Buildings</td>
<td>18,310,085</td>
<td>-</td>
<td>-</td>
<td>18,310,085</td>
</tr>
<tr>
<td>Accumulated depreciation</td>
<td>(2,242,191)</td>
<td>(469,489)</td>
<td>-</td>
<td>(2,711,680)</td>
</tr>
<tr>
<td>Net capital assets</td>
<td>$ 16,067,894</td>
<td>$ (126,135)</td>
<td>$</td>
<td>$ 15,941,759</td>
</tr>
</tbody>
</table>

Capital asset activity for the year ended June 30, 2018 was as follows:

<table>
<thead>
<tr>
<th>Capital assets</th>
<th>Balance at June 30, 2017</th>
<th>Additions/Complections</th>
<th>Retirements/Disposals</th>
<th>Balance at June 30, 2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Depreciable</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Buildings</td>
<td>18,310,085</td>
<td>-</td>
<td>-</td>
<td>18,310,085</td>
</tr>
<tr>
<td>Accumulated depreciation</td>
<td>(1,772,702)</td>
<td>(469,489)</td>
<td>-</td>
<td>(2,242,191)</td>
</tr>
<tr>
<td>Net capital assets</td>
<td>$ 16,537,383</td>
<td>$ (469,489)</td>
<td>$</td>
<td>$ 16,067,894</td>
</tr>
</tbody>
</table>

Note 5 – Long-Term Debt

A promissory note payable to UNM was issued to finance the capital assets purchase made in fiscal year 2013. A Loan Revision Agreement was issued January 1, 2016 to reduce the principal due to a transfer of one of the three buildings. Principal and interest payments are due monthly on the first day of each month. This note bears interest at 3% and as of year-end and was set to mature on May 1, 2020. Subsequent to year end, the board of directors approved the “Second Loan Revision Agreement” to extend the term of the loan to May 1, 2027.
Note 5 – Long-Term Debt (continued)

A promissory note payable to the University of New Mexico Foundation, Inc. was issued to finance a capital asset purchased on December 21, 2016. A First Amendment to the Promissory Note was issued March 31, 2017 to reduce the monthly payments from $10,006 to $8,555. This was due to a $141,941 payment made on March 31, 2017 to reduce the principal from $979,292 to $837,351 at that time.

Principal and interest payments are due monthly on the twenty-first day of each month. The note has a variable interest rate; therefore, effective January 21, 2019, the annual interest rate increased from 3.75% to 5.50%. This note matures December 21, 2026.

Notes payable activity consists of the following:

<table>
<thead>
<tr>
<th>Year Ended June 30, 2019</th>
<th>Balance</th>
<th>Additions</th>
<th>Deductions</th>
<th>Ending Balance</th>
<th>Amounts Due Within One Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Note payable to UNM</td>
<td>$14,306,751</td>
<td>$ -</td>
<td>$ (393,987)</td>
<td>$13,912,764</td>
<td>$405,971</td>
</tr>
<tr>
<td>Note payable to UNM Foundation</td>
<td>746,289</td>
<td>-</td>
<td>(73,402)</td>
<td>672,887</td>
<td>74,546</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$15,053,040</td>
<td>$ -</td>
<td>$ (467,389)</td>
<td>$14,585,651</td>
<td>$480,517</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Year Ended June 30, 2018</th>
<th>Balance</th>
<th>Additions</th>
<th>Deductions</th>
<th>Ending Balance</th>
<th>Amounts Due Within One Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Note payable to UNM</td>
<td>$14,689,110</td>
<td>$ -</td>
<td>$ (382,359)</td>
<td>$14,306,751</td>
<td>$393,988</td>
</tr>
<tr>
<td>Note payable to UNM Foundation</td>
<td>819,477</td>
<td>-</td>
<td>(73,188)</td>
<td>746,289</td>
<td>75,981</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$15,508,587</td>
<td>$ -</td>
<td>$ (455,547)</td>
<td>$15,053,040</td>
<td>$469,969</td>
</tr>
</tbody>
</table>

Minimum future payments under the promissory notes as of June 30, 2018 are as follows:

<table>
<thead>
<tr>
<th>Fiscal year ending June 30:</th>
<th>Principal</th>
<th>Interest</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>2020</td>
<td>$480,517</td>
<td>$343,303</td>
<td>$823,820</td>
</tr>
<tr>
<td>2021</td>
<td>497,071</td>
<td>430,426</td>
<td>927,497</td>
</tr>
<tr>
<td>2022</td>
<td>514,236</td>
<td>413,260</td>
<td>927,496</td>
</tr>
<tr>
<td>2023</td>
<td>532,039</td>
<td>364,272</td>
<td>896,311</td>
</tr>
<tr>
<td>2024 - 2027</td>
<td>12,561,788</td>
<td>1,338,941</td>
<td>13,900,729</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$14,585,651</td>
<td>$2,890,202</td>
<td>$17,475,853</td>
</tr>
</tbody>
</table>

Note 6 – Risk Management

Lobo Development, through UNM, participates in the State of New Mexico Risk Management Program (Risk Management) that provides general liability at Lobo Development's expense. Workers’ compensation insurance and property insurance are provided by private companies at Lobo Development’s expense. The Risk Management program liability insurance coverage includes most employee liability claims; those claims falling outside this state program are in limited amounts and are covered by UNM from its operating budget. UNM’s exposure is limited to $1,000 per any first party incurred property loss, with the exception of theft, which has a $5,000 deductible.
Note 7 – Defined-Contribution Plan

Lobo Development entered into a 403(b) defined-contribution plan effective January 1, 2013. As a defined-contribution plan, benefits depend solely on amounts contributed to the plan plus investment earnings. The plan may be amended by a board of directors’ resolution. The plan is available to all employees of Lobo Development, beginning the first day of the plan year quarter coincident with or next following the date the employee first performs their first day of service and are considered to be immediately vested. The plan allows for variable employee contributions up to the Internal Revenue Service maximum allowed amount. Principal Financial Group administers the plan, and Lobo Development contributes the sum of (a) a 6% match for employees that contribute to the plan and (b) a discretionary contribution as determined by Lobo Development for employees who do not contribute to the plan. Contributions to the plan for the fiscal years ended June 30, 2019 and 2018 were $13,972 and $14,318, respectively, which consisted of $6,986 and $7,159 contributed by employees and $6,986 and $7,159 contributed by Lobo Development, respectively.

Note 8 – Subsequent Events

Subsequent events are evaluated by management through the date the accompanying financial statements are available to be issued, which is September 16, 2019.
Report of Independent Auditors on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with *Government Auditing Standards*

The Board of Directors
Lobo Development Corporation
and
Mr. Brian Colón, Esq., New Mexico State Auditor

We have audited, in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of Lobo Development Corporation (Lobo Development), a component of the University of New Mexico, which comprise of the statement of net position as of June 30, 2019, and the related statement of revenues, expenses, and changes in net position and cash flows for the year then ended, and the related notes to the financial statements September 16, 2019.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered Lobo Development's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of Lobo Development's internal control. Accordingly, we do not express an opinion on the effectiveness of Lobo Development's internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A material weakness is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected, on a timely basis. A significant deficiency is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies and therefore, material weaknesses or significant deficiencies may exist that have not been identified. We did identify certain deficiencies in internal control, described in the Schedule of Findings and Responses as items 2019-001 Financial Close and Reporting that we consider to be a material weakness.
Compliance and Other Matters

As part of obtaining reasonable assurance about whether Lobo Development’s financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed instances of noncompliance or other matters that are required to be reported under Government Auditing Standards and which are described in the accompanying Schedule of Findings and Responses as items 2019-001 Financial Close and Reporting.

Lobo Development's Response to Findings

Lobo Development’s response to the findings identified in our audit is described in the accompanying Schedule of Findings and Responses as items 2019-001 Financial Close and Reporting. Lobo Development’s response was not subjected to the auditing procedures applied in the audit of the financial statements and, accordingly, we express no opinion on it.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity’s internal control or on compliance. This report is an integral part of an audit performed in accordance with Government Auditing Standards in considering the entity’s internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

Mess Adams LLP

Albuquerque, New Mexico
September 16, 2019
2019-001 Financial Close and Reporting – Material Weakness

**Condition**

During our audit, we noted that during the fiscal year ended June 30, 2019, Lobo Development received an insurance check in the amount of $269,143 for a smoke damage at a building that they own and lease to UNM. Lobo Development booked this check as revenue; however, they did not incur expenses to remove the smoke damage to the building. Building repairs were paid for by UNM. This required an audit adjustment to reclassify the $269,143 from revenue to a due to UNM.

**Criteria**

All organizations should establish and implement effective internal control procedures over financial close and reporting to ensure that all reporting of financial information be timely, complete, and accurate.

**Effect**

Possible misstatements of the financial statements and untimely financial reporting.

**Cause**

Lack of effective review and approval over the financial close and reporting process.

**Recommendation**

We recommend management evaluate all aspects of the financial close and reporting process and establish effective internal controls and procedures to ensure timely and accurate financial statements.

**Management’s Response**

Management agrees with the recommendation. The President of the Lobo Development Corporation (LDC) is in the process of appointing a Secretary/Treasurer for the LDC. This appointment will be an individual with a strong accounting and financial background that can identify unusual transactions that occur during the fiscal year in order to ensure that the transaction is properly accounted for. This appointment should take place within the next 60 days.

Person responsible: President of Lobo Development
No matters were reported.
An exit conference was held on September 16, 2019. During this meeting, the contents of this report were discussed with the following individuals:

Lobo Development Corporation
Chris Vallejos  Secretary/Treasurer

Moss Adams LLP
Lisa Todd  Partner
Corrine Zajac-Clarkson  Senior Manager
Dominic Montoya  Senior

Lobo Development Corporation is responsible for the contents of the financial statements. Moss Adams LLP assisted with the preparation of the financial statements.
November 12, 2019

President Doug Brown
Regents of the University of New Mexico
The University of New Mexico
Albuquerque NM 87131-0001

Dear President Brown:

Lobo Energy, Incorporated requests that the Annual Meeting of the Member be held during the Board of Regents meeting on December 10, 2019. There are two action items for the agenda:

- Approval of the Minutes from the Annual Meeting of the Member held on May 9, 2019
- Acceptance of the FY 2018-19 audit

I will be present at the meeting. Please feel free to contact me or Julie Alberti if you have any questions.

Thank you

Sincerely,

Jason Strauss
President/CEO

c: Chris Vallejos
Minutes of the Regular Meeting of the
Board of Regents of the University of New Mexico
May 9, 2019
Open Session - Ballroom C, Student Union Building (SUB)
Executive Session – Cherry Silver Room, SUB
Main Campus

Members present
Douglas M. Brown, President; Kim Sanchez Rael, Vice President; Sandra K. Begay, Secretary Treasurer; Rob Doughty; Melissa Henry; Marron Lee; Robert Schwartz

Administration present
Garnett S. Stokes, President; Paul Roth, EVP and Chancellor for Health Sciences Center; Craig White, Interim EVP for Finance and Administration; Rich Wood, Interim Provost and EVP for Academic Affairs; Loretta Martinez, Chief Legal Counsel; Richard Larson, Executive Vice Chancellor for HSC; Ava Lovell, Executive Officer for Finance & Administration, HSC; Lawrence Roybal, Interim VP for Equity and Inclusion; Eliseo 'Cheo' Torres, VP Student Affairs; Gabriel Lopez, VP Research; Dorothy Anderson, VP HR; Eddie Nuñez, Athletics Director; Dana Allen, VP Alumni Relations; Terry Babbitt, President’s Chief of Staff; Liz Metzger, University Controller

Advisors present
Rob Burford, Staff Council President; Steve Borbas, Retiree Association President; Pamela Pyle, Faculty Senate; Muhammad Afzaal Hussain, GPSA President; Adam Biederwolf, ASUNM President

Presenters in attendance
Norma Allen, Director, University Budget Operations; Lisa Marbury, Executive Director, Institutional Support Services

Others in attendance
Members of administration, faculty, staff, students, the media and others.

CALL TO ORDER, CONFIRMATION OF A QUORUM, ADOPTION OF THE AGENDA
Regent President Douglas M. Brown called the meeting to order at 9:05 AM and confirmed a quorum. All members were present in person. Before adoption of the agenda the following modifications were proposed:

1) Take off of the agenda, Finance & Facilities Committee (F&F) information item #3, Tab 7, Discussion of Regents’ Endowment Accounts – to be discussed at a later date
2) Move up on the agenda to after President’s Administrative Report, Academic/Student Affairs and Research Committee (ASAR) action item #1, Tab 4, Approval of Spring 2019 Degree Candidates. [There was clarification that no action was necessary on the Health Sciences Center Committee (HSCC) action item #3, because the degree candidates approved under ASAR Committee are to be the comprehensive listing of all UNM degree candidates, including HSC candidates.]
3) Combine presentations for Main Campus and HSC FY 2019-2020 Budget and FY 2018-1019 Budget Adjustment Requests (Tabs 5 & 8).

The motion to adopt the agenda with the proposed modifications passed with a unanimous vote in favor (1\textsuperscript{st} Schwartz; 2\textsuperscript{nd} Sanchez Rael).
Regent Brown thanked the Budget Leadership Team and the Capital Planning Leadership Team for the tremendous amount of effort and hard work put into the budget and capital planning process.

For the next item, Regent Brown clarified The Meeting of the Member is an annual event that needs to occur for Lobo Development Corporation and Lobo Energy, Incorporated. The Meeting of the Member is stipulated in the bylaws of each entity, the 'Member' being the Board of Regents.

**VOTE TO ADJOURN THE BOARD OF REGENTS FOR THE MEETINGS OF THE MEMBER**
The motion to adjourn the Board of Regents for the Board to be able to convene the annual Meeting of the Member of Lobo Development Corporation and of Lobo Energy, Inc. passed unanimously (1st Schwartz; 2nd Lee).

Regent Brown asked Regent Lee, Chair of Lobo Development Corporation and the regent member on the Lobo Energy board, to take the gavel. There was a question about why there were two external audits on the agendas for approval. It was explained there was not a meeting of the member last year for either Lobo Development or Lobo Energy, so the 2017 meeting minutes and the FY17 audits are on the agenda for approval.

**MEETING OF THE MEMBER – LOBO DEVELOPMENT CORPORATION (LDC)**
Regent Lee called to order the LDC Meeting of the Member at 10:30 AM. Regent Lee asked for a motion to approve the minutes of the 2017 LDC Meeting of the Member; Regent Begay motioned; Regent Brown seconded; the motion passed unanimously.

Regent Lee said the audits had been provided to Regents prior to the meeting for review; Regent Lee asked for a motion to accept the FY17 and FY18 external audits; Regent Sanchez Rael motioned; Regent Brown seconded; the motion passed unanimously.

There being no further business, Regent Lee asked for a motion to adjourn the LDC annual meeting of the member; Regent Sanchez Rael motioned; Regent Doughty seconded; the vote to adjourn was unanimous. The meeting adjourned at 10:31 AM.

**MEETING OF THE MEMBER – LOBO ENERGY, INC. (LEI)**
Regent Lee convened the LEI Meeting of the Member at 10:31 AM. Regent Lee asked for a motion to approve the minutes of the 2017 LEI Meeting of the Member; Regent Schwartz motioned; Regent Doughty seconded; the motion passed unanimously.

Regent Lee asked for a motion to accept the FY17 and FY18 external audit reports; Regent Doughty motioned; Regent Schwartz seconded; motion passed unanimously.

There being no further business, Regent Lee asked for a motion to adjourn; Regent Sanchez Rael motioned; Regent Brown seconded; the vote to adjourn was unanimous. The meeting adjourned at 10:32 AM.

Regent Lee handed the gavel to Regent Brown.

**VOTE TO RECONVENE BOARD OF REGENTS**
The vote to reconvene the Board of Regents passed unanimously (1st Brown; 2nd Lee).

**PUBLIC COMMENT** (no comments)

**Advisors' Comments**
LOBO ENERGY, INCORPORATED
(A Blended Component Unit of the University of New Mexico)

Financial Statements

June 30, 2019 and 2018

(With Report of Independent Auditors Thereon)
# LOBO ENERGY, INCORPORATED
(A Blended Component Unit of the University of New Mexico)

## Table of Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Official Roster (unaudited)</td>
<td>1</td>
</tr>
<tr>
<td>Report of Independent Auditors</td>
<td>2</td>
</tr>
<tr>
<td>Management’s Discussion and Analysis (unaudited)</td>
<td>4</td>
</tr>
<tr>
<td>Financial Statements:</td>
<td></td>
</tr>
<tr>
<td>Statements of Net Position</td>
<td>7</td>
</tr>
<tr>
<td>Statements of Revenues, Expenses, and Changes in Net Position</td>
<td>8</td>
</tr>
<tr>
<td>Statements of Cash Flows</td>
<td>9</td>
</tr>
<tr>
<td>Notes to Financial Statements</td>
<td>10</td>
</tr>
<tr>
<td>Report of Independent Auditors on Internal Control over Financial</td>
<td>18</td>
</tr>
<tr>
<td>Reporting and on Compliance and Other Matters Based on an Audit of</td>
<td></td>
</tr>
<tr>
<td>Financial Statements Performed in Accordance with</td>
<td></td>
</tr>
<tr>
<td><em>Government Auditing Standards</em></td>
<td></td>
</tr>
<tr>
<td>Summary of Auditor’s Results</td>
<td>20</td>
</tr>
<tr>
<td>Schedule of Findings and Response</td>
<td>21</td>
</tr>
<tr>
<td>Schedule of Prior Audit Findings</td>
<td>22</td>
</tr>
<tr>
<td>Exit Conference</td>
<td>23</td>
</tr>
</tbody>
</table>
LOBO ENERGY, INCORPORATED
(A Component Unit of the University of New Mexico)

Official Roster (Unaudited)

June 30, 2019

OFFICERS
Jason Strauss
Matthew Cherrin
Julie Alberti
Alfred Sena

MEMBERS
Jason Strauss
Kate Becker
Garnett Stokes
David W. Harris
Geraldine Forbes-Isais
Jon Word
Thomas J. Ruiz
Bruno E. Carrara
Thomas E. Clifford
Marron Lee
Craig White Interim
Report of Independent Auditors

The Board of Directors
Lobo Energy, Incorporated
and
Mr. Brian S. Colón, Esq.
New Mexico State Auditor

Report on the Financial Statements
We have audited the accompanying financial statements of Lobo Energy, Incorporated (Lobo Energy), a blended component unit of the University of New Mexico, which comprise the statements of net position as of June 30, 2019 and 2018, and the related statements of revenues, expenses, and changes in net position and cash flows for the years then ended, and the related notes to the financial statements, which collectively comprise Lobo Energy’s basic financial statements as listed in the table of contents.

Management’s Responsibility for the Financial Statements
Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors’ Responsibility
Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors’ judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or
error. In making those risk assessments, the auditors consider internal control relevant to the entity’s preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity’s internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Lobo Energy, Incorporated as of June 30, 2019 and 2018, and the changes in its financial position and its cash flows for the years then ended, in accordance with accounting principles generally accepted in the United States of America.

Other Matter

Required Supplementary Information

Accounting principles generally accepted in the United States of America require that the management’s discussion and analysis on pages 4 through 6 be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management’s responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Other Reporting Required by Government Auditing Standards

In accordance with Government Auditing Standards, we have also issued our report dated September 5, 2019 on our consideration of Lobo Energy’s internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with Government Auditing Standards in considering Lobo Energy’s internal control over financial reporting and compliance.

Albuquerque, New Mexico
September 5, 2019
The following discussion and analysis provides an overview of the financial position and activities of Lobo Energy, Incorporated (Lobo Energy) as of and for the fiscal years ended June 30, 2019, 2018 and 2017. This discussion should be read in conjunction with the accompanying financial statements and notes. Management has prepared the basic financial statements and the related note disclosures along with this discussion and analysis. As such, the financial statements, notes, and this discussion are the responsibility of Lobo Energy’s management.

Financial Highlights

- Lobo Energy’s net position increased $674,139 from $4,936,628 in 2018 to $5,610,767 in fiscal year 2019, primarily due to a decrease in operating expense. Lobo Energy’s net position increased $367,457 from $4,569,171 in 2017 to $4,936,628 in fiscal year 2018, primarily due to operating expense.

- During fiscal year 2019, Lobo Energy’s operating revenue remained the same and operating expenses decreased by $280,331, resulting in a net operating gain of $773,808 in fiscal year 2019, compared to a net operating gain of $493,477 in fiscal year 2018. During fiscal year 2018, Lobo Energy’s operating revenue decreased by $750 and operating expenses increased by $249,840, resulting in a net operating gain of $493,477 in fiscal year 2018, compared to a net operating gain of $744,067 in fiscal year 2017.

- Cash increased in fiscal year 2019 by $166,840 resulting in cash on deposit with fiscal agent and cash on hand at the close of fiscal year 2019 of $721,707. The increase during fiscal year 2019 is primarily due to not having to pay for the Investment Grade Audit to Yearout Energy Services as in the prior year. Cash decreased in fiscal year 2018 by $60,521 resulting in cash on deposit with fiscal agent and cash on hand at the close of fiscal year 2018 of $554,867. The decrease during fiscal year 2018 is primarily due to the payment for the Investment Grade Audit to Yearout Energy Services.

Overview of the Basic Financial Statements

The statements of net position of Lobo Energy provide both long-term and short-term information about Lobo Energy’s overall financial position. The statements of revenues, expenses, and changes in net position provide information about the operating revenues and expenses and the nonoperating revenues and expenses of Lobo Energy. The statements of cash flows provide information related to the cash inflows and outflows of Lobo Energy. The notes to the basic financial statements provide more detailed information about amounts reported in the basic financial statements.
LOBO ENERGY, INCORPORATED  
(A Blended Component Unit of the University of New Mexico)  
Management’s Discussion and Analysis  
June 30, 2019 and 2018  
(unaudited)

Financial Information

Lobo Energy’s condensed financial information as of and for the fiscal years ended June 30, 2019, 2018 and 2017 are provided in the following table:

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
<th>2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current assets</td>
<td>$732,723</td>
<td>$567,551</td>
<td>$643,738</td>
</tr>
<tr>
<td>Capital assets</td>
<td>8,292,488</td>
<td>8,841,801</td>
<td>9,391,114</td>
</tr>
<tr>
<td>Total assets</td>
<td>$9,025,211</td>
<td>$9,409,352</td>
<td>$10,034,852</td>
</tr>
<tr>
<td>Current liabilities</td>
<td>$1,108,014</td>
<td>$1,103,469</td>
<td>$1,061,293</td>
</tr>
<tr>
<td>Long-term liabilities</td>
<td>2,306,430</td>
<td>3,369,255</td>
<td>4,404,388</td>
</tr>
<tr>
<td>Net position</td>
<td>5,610,767</td>
<td>4,936,628</td>
<td>4,569,171</td>
</tr>
<tr>
<td>Total liabilities and net position</td>
<td>$9,025,211</td>
<td>$9,409,352</td>
<td>$10,034,852</td>
</tr>
<tr>
<td>Operating revenue</td>
<td>$2,171,065</td>
<td>$2,171,065</td>
<td>$2,171,815</td>
</tr>
<tr>
<td>Operating expenses</td>
<td>1,397,257</td>
<td>1,677,588</td>
<td>1,427,748</td>
</tr>
<tr>
<td>Operating income</td>
<td>773,808</td>
<td>493,477</td>
<td>744,067</td>
</tr>
<tr>
<td>Nonoperating revenue</td>
<td>4,264</td>
<td>4,885</td>
<td>7,641</td>
</tr>
<tr>
<td>Nonoperating expenses</td>
<td>103,933</td>
<td>130,905</td>
<td>157,174</td>
</tr>
<tr>
<td>Change in net position</td>
<td>674,139</td>
<td>367,457</td>
<td>594,534</td>
</tr>
<tr>
<td>Net position, beginning of year</td>
<td>$4,936,628</td>
<td>$4,569,171</td>
<td>$3,974,637</td>
</tr>
<tr>
<td>Net position, end of year</td>
<td>5,610,767</td>
<td>4,936,628</td>
<td>4,569,171</td>
</tr>
</tbody>
</table>

Statements of Net Position

As of June 30, 2019, 2018 and 2017, Lobo Energy has cash in the amount of $721,707, $554,867, and $615,388, respectively, of which $297,765, $178,700, and $561,366, respectively, is held by Lobo Energy’s fiscal agent, UNM, and $423,942, $376,167, and $54,022, respectively, is held in an operating bank account at a financial institution.

All of the June 30, 2019, 2018 and 2017 net assets are held as equity in the form of unrestricted net position of $687,535, $499,214, and $590,605, respectively. Additionally, at June 30, 2019 and 2018, Lobo Energy has $4,923,232, $4,437,414, and $3,978,566 shown as net investment in capital assets.

Capital Assets and Debt Administration

Lobo Energy’s investment in capital assets as of June 30, 2019, 2018 and 2017 was $8,292,488, $8,841,801, and $9,391,114, respectively. This investment in capital assets includes a co-generation project in construction and internally generated software. Additional information concerning Lobo Energy’s capital assets may be found in Note 5 in notes to the financial statements.
At the end of the current fiscal year, Lobo Energy had total debt outstanding of $3,369,256. This debt was incurred when Lobo Energy borrowed $10,000,000 during fiscal year (FY) 2012–13 for the purchase of the co-generation project described above. Additional information concerning Lobo Energy’s long-term debt may be found in Note 5 to the financial statements.

**Statements of Revenues, Expenses, and Changes in Net Position**

*Revenues* – Under the current Management Services Agreement (MSA), total operating revenue earned during each fiscal years 2019 and 2018 for utility project management services and other project management services was $2,171,065, and includes $480,000 in both fiscal years for utilities management services. Other management services for each fiscal year 2019 and 2018 was $1,691,065.

*Expenses* – Total operating expenses decreased by $280,331 during fiscal year 2019 is primarily due to not having to pay for the Investment Grade Audit to Yearout Energy Services in the prior year. During fiscal year 2018, Lobo Energy’s operating expenses increased by $249,840.

**Factors Impacting Future Periods**

A Lobo Energy employee has developed a software package for use by UNM that can also be used by other facilities managers (Note 7 for a detailed explanation of this project).

**Contacting Lobo Energy’s Financial Management**

This report is meant to describe the financial condition and position of Lobo Energy.

If you have questions about this report or need additional financial information, contact:

Lobo Energy, Incorporated  
800 Bradbury Drive SE, Suite 216  
Albuquerque, New Mexico 87106-4310  
(505) 272–7118
LOBO ENERGY, INCORPORATED
(A Blended Component Unit of the University of New Mexico)

Statements of Net Position
June 30, 2019 and 2018

<table>
<thead>
<tr>
<th>Assets</th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current assets:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cash on deposit with fiscal agent</td>
<td>$297,765</td>
<td>178,700</td>
</tr>
<tr>
<td>Cash on deposit with BBVA Compass Bank</td>
<td>423,942</td>
<td>376,167</td>
</tr>
<tr>
<td>Accounts receivable</td>
<td>9,888</td>
<td>9,888</td>
</tr>
<tr>
<td>Prepaid expenses</td>
<td>1,128</td>
<td>2,796</td>
</tr>
<tr>
<td>Total current assets</td>
<td>732,723</td>
<td>567,551</td>
</tr>
<tr>
<td>Capital assets:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Property, plant, and equipment</td>
<td>11,242,495</td>
<td>11,242,495</td>
</tr>
<tr>
<td>Less accumulated depreciation and amortization</td>
<td>(2,950,007)</td>
<td>(2,400,694)</td>
</tr>
<tr>
<td>Net capital assets</td>
<td>8,292,488</td>
<td>8,841,801</td>
</tr>
<tr>
<td>Total assets</td>
<td>$9,025,211</td>
<td>9,409,352</td>
</tr>
</tbody>
</table>

| Liabilities and Net Position |        |        |
| Current liabilities: |        |        |
| Accounts payable | $6      | 26,292  |
| Accrued expenses | 45,182  | 42,045  |
| Current portion of long-term debt | 1,062,826 | 1,035,132 |
| Total current liabilities | 1,108,014 | 1,103,469 |
| Long-term debt, excluding current installments | 2,306,430 | 3,369,255 |
| Total liabilities | 3,414,444 | 4,472,724 |
| Net position: |        |        |
| Net investment in capital assets | 4,923,232 | 4,437,414 |
| Unrestricted | 687,535  | 499,214  |
| Total net position | 5,610,767 | 4,936,628 |
| Total liabilities and net position | $9,025,211 | 9,409,352 |

See accompanying notes to financial statements.
LOBO ENERGY, INCORPORATED  
(A Blended Component Unit of the University of New Mexico)  
Statements of Revenues, Expenses, and Changes in Net Position  
Years ended June 30, 2019 and 2018

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating revenues:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Utilities management services</td>
<td>$480,000</td>
<td>480,000</td>
</tr>
<tr>
<td>Other management services</td>
<td>1,691,065</td>
<td>1,691,065</td>
</tr>
<tr>
<td><strong>Total operating revenues</strong></td>
<td><strong>2,171,065</strong></td>
<td><strong>2,171,065</strong></td>
</tr>
<tr>
<td>Operating expenses:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administrative expenses</td>
<td>183,126</td>
<td>246,483</td>
</tr>
<tr>
<td>Depreciation expenses</td>
<td>549,313</td>
<td>549,313</td>
</tr>
<tr>
<td>Project expenses</td>
<td>664,818</td>
<td>881,792</td>
</tr>
<tr>
<td><strong>Total operating expenses</strong></td>
<td><strong>1,397,257</strong></td>
<td><strong>1,677,588</strong></td>
</tr>
<tr>
<td>Operating income</td>
<td>773,808</td>
<td>493,477</td>
</tr>
<tr>
<td>Nonoperating revenue:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Interest income</td>
<td>4,264</td>
<td>4,885</td>
</tr>
<tr>
<td>Nonoperating expenses:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Interest expense</td>
<td>(103,933)</td>
<td>(130,905)</td>
</tr>
<tr>
<td><strong>Change in net position</strong></td>
<td>674,139</td>
<td>367,457</td>
</tr>
<tr>
<td>Net position, beginning of year</td>
<td>4,936,628</td>
<td>4,569,171</td>
</tr>
<tr>
<td>Net position, end of year</td>
<td>$5,610,767</td>
<td>4,936,628</td>
</tr>
</tbody>
</table>

See accompanying notes to financial statements.
LOBO ENERGY, INCORPORATED  
(A Blended Component Unit of the University of New Mexico) 

Statements of Cash Flows  
Years ended June 30, 2019 and 2018

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Receipts from customers</td>
<td>$2,171,065</td>
<td>$2,171,627</td>
</tr>
<tr>
<td>Payments to other suppliers of goods or services</td>
<td>(310,944)</td>
<td>(565,738)</td>
</tr>
<tr>
<td>Payments to employees for services</td>
<td>(558,481)</td>
<td>(532,229)</td>
</tr>
<tr>
<td><strong>Net cash provided by operating activities</strong></td>
<td><strong>1,301,640</strong></td>
<td><strong>1,073,660</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interest earned</td>
<td>4,264</td>
<td>4,885</td>
</tr>
<tr>
<td><strong>Net cash provided by investing activities</strong></td>
<td><strong>4,264</strong></td>
<td><strong>4,885</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Payments of long-term debt</td>
<td>(1,035,131)</td>
<td>(1,008,161)</td>
</tr>
<tr>
<td>Interest expense</td>
<td>(103,933)</td>
<td>(130,905)</td>
</tr>
<tr>
<td><strong>Net cash used in financing activities</strong></td>
<td><strong>(1,139,064)</strong></td>
<td><strong>(1,139,066)</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Net increase (decrease) in cash and cash equivalents</strong></td>
<td><strong>166,840</strong></td>
<td><strong>(60,521)</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash and cash equivalents, beginning of year</td>
<td>554,867</td>
<td>615,388</td>
</tr>
<tr>
<td><strong>Cash and cash equivalents, end of year</strong></td>
<td><strong>$721,707</strong></td>
<td><strong>554,867</strong></td>
</tr>
</tbody>
</table>

Reconciliation of operating income to net cash provided by operating activities:

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating income</td>
<td>$773,808</td>
<td>493,477</td>
</tr>
<tr>
<td>Depreciation expense</td>
<td>549,313</td>
<td>549,313</td>
</tr>
<tr>
<td><strong>Net cash provided by operating activities</strong></td>
<td><strong>$1,301,640</strong></td>
<td><strong>1,073,660</strong></td>
</tr>
</tbody>
</table>

See accompanying notes to financial statements.
(1) **Description of Business**

Lobo Energy, Incorporated (Lobo Energy) (a blended component unit of the University of New Mexico) is owned, controlled, and was established by the University of New Mexico’s (UNM) Board of Regents.

Lobo Energy was incorporated in the State of New Mexico on July 15, 1998. It was organized under the amended State of New Mexico’s University Research Park Act. The name of the Act has since been changed to the University Research Park and Economic Development Act.

Lobo Energy was established to provide UNM with services outlined in an Interim Services Agreement (ISA) that included procuring electricity and natural gas for UNM, installing an energy metering and management system, and developing a Master Utility Business Plan (plan) for the upgrade and improvement of the utility infrastructure. Lobo Energy completed the installation of a metering and monitoring system and developed and integrated energy procurement methods into UNM’s procurement processes. Lobo Energy’s board of directors approved the plan in June 2000. UNM implemented the business plan and financed and constructed the projects contemplated in the business plan.

In developing the plan, Lobo Energy employed several consultants to assist in assessing the utility infrastructure needs, defining a technical solution, and determining the financial parameters of that solution. The combined efforts resulted in a comprehensive plan that identified many utility improvement projects, their construction costs, and the financial impacts upon the utility services. The utility systems included in the plan were renewed through a series of construction projects over a period of several years.

Lobo Energy conducted its business under the terms of a November 2000–2005 Management Services Agreement (MSA) that replaced the original ISA. Under the MSA, with respect to existing and any and all new utility systems and equipment, UNM continued to own, finance, operate, maintain, and in all respects control the utility equipment and systems. Lobo Energy provided project management services and transition management services for the duration of the project. The utility upgrade project was completed during 2006.

Lobo Energy currently provides services to UNM under the terms of a revised MSA, which is effective November 2015–2020 (Note 3). The agreement continues for consecutive one-year periods after its expiration or until such time as it is terminated. UNM may terminate the MSA thirty-days after written notice to Lobo Energy. UNM has not notified Lobo Energy that it intends to exercise this right. Upon termination of this agreement all rights and privileges granted, assigned or shared between Lobo Energy and UNM shall terminate. Upon termination of the agreement, all property of Lobo Energy shall transfer to UNM subject to the prior rights, if any, of any creditors of Lobo Energy.

UNM requested that Lobo Energy implement an energy conservation program on the campus during fiscal year 2008. Lobo Energy entered into a contract with Energy Education, Inc. (EEI), a corporation that specializes in energy conservation (EEI is now known as Cenergistic). Lobo Energy hired six energy conservation specialists (ECSs). Contract payments began after the first six months the contract was in effect. The ongoing program continues to be very effective. UNM has experienced a dramatic decrease in its energy consumption, as well as a reduction in the size of its carbon footprint, since the onset of the
project. The four-year contract with EEI expired on September 30, 2012. The energy conservation project continues on campus.

During fiscal years 2008 and 2009, energy-conservation programs were started on UNM’s Valencia, Gallup, Los Alamos, and Taos Campuses. The program on each of those campuses is administered by an employee who was already employed on each campus. The programs are ongoing during fiscal years 2018 and 2019.

During fiscal year 2013, at the request of UNM, Lobo Energy began providing technical support for the smart-grid, renewable-energy project owned by Shimizu NA on the Mesa del Sol campus. Lobo Energy is compensated by Shimizu for its participation in this project. Lobo Energy’s contract with Shimizu expired on March 31, 2014. The solar unit was given to UNM’s Engineering Department by Shimizu and the maintenance is provided by UNM Physical Plant personnel.

(2) Summary of Significant Accounting Policies and Practices

(a) Basis of Accounting and Presentation

As a proprietary fund, Lobo Energy’s financial statements are reported using a flow of economic resources measurement focus and the full accrual basis of accounting. Accordingly, revenues are recognized when they are earned and expenses are recognized as soon as the liability is incurred. Operating revenues and expenses are those incurred that relate directly to energy and project management services. All other revenues and expenses are considered nonoperating.

The accompanying financial statements include only the accounts of Lobo Energy, which has no component units.

(b) Net Position

For accounting and reporting purposes, Lobo Energy reports its net position in the following net asset categories as applicable:

- Net investment in capital assets – capital assets, net of accumulated depreciation and debt incurred to finance the capital asset acquisition.
- Unrestricted – net position that is not subject to externally imposed constraints.

(c) Use of Estimates

The preparation of financial statements in conformity with U.S. generally accepted accounting principles requires that management make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the financial statements dates and the reported amounts of revenues and expenses during these reporting periods. Due to uncertainties inherent in the estimation process, actual results could differ from those estimates.
(d) **Cash on deposit**

For purposes of the statement of cash, Lobo Energy considers cash to be cash deposits and amounts held by its fiscal agent.

(e) **Revenue Recognition**

Lobo Energy provides two types of project management services: utilities management services and other management services (see Note 3). Revenue is recognized for each type of service based on the terms of the MSA.

(f) **Equity Method Investment**

Lobo Energy accounted for its investments using the equity method of accounting. A decline in the fair value of the investment below cost that is deemed other-than-temporary resulted in an impairment to reduce the carrying value to fair value. See Note 7 for further discussion.

(g) **Accounts Receivable**

Accounts receivable balances represent amounts due from an affiliated entity (UNM) for services performed under the MSA. All amounts are considered collectible and therefore no allowance for doubtful accounts has been recorded.

(h) **Capital Assets**

Capital assets are stated at cost. Lobo Energy’s policy is to capitalize all disbursements for equipment, software, and furnishings in excess of a $5,000 unit price. Items with a cost of less than $5,000 are expensed in the year of acquisition. Donated equipment is recorded at fair market value at the date of donation. Repairs and maintenance expenses are charged to operations when incurred and major improvements and replacements are capitalized.

(i) **Compensated Absences**

Under Lobo Energy’s internal policy terminating employees are not entitled to unused sick leave except for amounts unused exceeding a balance of 600 hours. If a terminating employee’s balance exceeds 600 hours the employee can request that the amounts in excess of 600 be paid out to the employee upon termination at 50% of their pay rate. Lobo Energy does accrue for annual leave at a maximum of 252 hours per employee, which is payable to each employee upon termination. Lobo Energy recorded $44,363 and $41,611 of annual leave as accrued expenses at June 30, 2019 and June 30, 2018, respectively.
(j) **Income Taxes**

Lobo Energy is exempt from federal income tax on income related to its exempt purposes under Section 501(a) of the Internal Revenue Code (Code) as an organization described in Section 501(c)(3) of the Code.

(3) **Project Management Services under The Revised Management Services Agreement**

**Utilities Management Services**

Lobo Energy may provide assistance to UNM, as requested, for the management and supervision of its contracts that provide for the:

a. Planning, design, engineering, contracting, energy conservation, and commissioning services for assigned projects.

b. Procurement of equipment and services in the course of implementing the projects.

c. Management of UNM’s energy procurement strategies.

d. Recommendations for obtaining cost-effective energy commodities and services from energy suppliers.

e. Management of UNM’s energy-related regulatory issues.

f. Recommendations for appropriate actions and strategies in response to regulatory opportunities or events.

g. Administrative tools capable of providing utility operational budgeting, capital project budgeting, major maintenance budgeting, cash flow tracking, and energy savings tracking.

h. Assistance with developing the energy and administrative capabilities described in items a through g above.
Other Management Services

a. Development planning services.

b. Additional infrastructure development plans.

c. Other planning services as assigned.

Under the revised MSA, as of November 1, 2015, UNM pays Lobo Energy a mutually agreed-upon monthly fee for the duration of each project.

Under the terms of the revised MSA, effective November 1, 2015, UNM compensates Lobo Energy for these services at the rate of $40,000 per month related to utility project management and $46,000 per month related to energy conservation projects, over a five-year period. Additionally, UNM compensates Lobo Energy an additional $94,922 per month to cover the debt service related to the second cogeneration unit, until the debt service is fulfilled.

(4) Cash

Lobo Energy’s cash balances include cash on deposit with its fiscal agent and an operating account. Lobo Energy has no statutory or policy requirements; however, it has a policy to deposit funds only in FDIC-insured accounts. UNM serves as the fiscal agent for Lobo Energy through which Lobo Energy participates in a pooled bank account maintained by UNM. At June 30, 2019 and 2018, Lobo Energy had a book and bank balance in that pooled account of $297,765 and $178,700, respectively. As fiscal agent, UNM requires the financial institution holding these pooled funds to maintain minimum collateral amounts. Interest is allocated monthly to Lobo Energy’s account based on its balance in the pooled bank account at the end of the preceding month. At June 30, 2019 and 2018, Lobo Energy realized a gain of $4,264 and $4,885, respectively, via year-end adjustments to the interest account by UNM.

Custodial Credit Risk – Custodial credit risk is the risk that in the event of a bank failure, the entity’s deposits may not be returned to it. At June 30, 2019 and 2018, the bank balance in Lobo Energy’s separate checking account was $423,942 and $376,167, respectively, and the book balance was $423,942 and $376,167, respectively. At June 30, 2019 and 2018, the checking account balance was in excess of amounts insured by the FDIC by $173,942 and $126,167, respectively.

(5) Capital Assets and Long-Term Debt

(a) Co-generation Unit

In July 2012, Lobo Energy entered into a $10,000,000 commitment to finance the construction of a new co-generation unit to be installed on the UNM main campus in Ford Utilities Center. The Master Equipment Lease/Purchase Agreement with Banc of America Leasing and Capital, LLC (Banc of America) was entered into and is to be repaid over a period of 10 years. Monthly payments in the amount of $94,922 commenced on August 25, 2012. The final lease payment is anticipated to be made on July 25, 2022.
(b) Depreciation

Lobo Energy depreciates the co-generation unit using the straight-line method based upon a useful life of 25 years. Lobo Energy estimates useful life based upon internal information and similar assets at UNM. The unit was placed into service and Lobo Energy began depreciating the asset in January 2014. Lobo Energy estimates useful life of software using the straight-line method over a useful life of 5 years. Lobo Energy has recorded $2,950,007 and $2,400,694 of accumulated depreciation as of the years ended June 30, 2019 and 2018, respectively.

<table>
<thead>
<tr>
<th></th>
<th>Balance at June 30, 2018</th>
<th>Additions</th>
<th>Retirements/disposals</th>
<th>Balance at June 30, 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Plant in service</td>
<td>$10,619,916</td>
<td>-</td>
<td>-</td>
<td>$10,619,916</td>
</tr>
<tr>
<td>Internally generated software</td>
<td>622,579</td>
<td>-</td>
<td>-</td>
<td>622,579</td>
</tr>
<tr>
<td>Accumulated depreciation</td>
<td>(2,400,694)</td>
<td>(549,313)</td>
<td>-</td>
<td>(2,950,007)</td>
</tr>
<tr>
<td><strong>Net property, plant, and equipment</strong></td>
<td>$8,841,801</td>
<td>(549,313)</td>
<td>-</td>
<td>8,292,488</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Balance at June 30, 2017</th>
<th>Additions</th>
<th>Retirements/disposals</th>
<th>Balance at June 30, 2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Plant in service</td>
<td>$10,619,916</td>
<td>-</td>
<td>-</td>
<td>$10,619,916</td>
</tr>
<tr>
<td>Internally generated software</td>
<td>622,579</td>
<td>-</td>
<td>-</td>
<td>622,579</td>
</tr>
<tr>
<td>Accumulated depreciation</td>
<td>(1,851,381)</td>
<td>(549,313)</td>
<td>-</td>
<td>(2,400,694)</td>
</tr>
<tr>
<td><strong>Net property, plant, and equipment</strong></td>
<td>$9,391,114</td>
<td>(549,313)</td>
<td>-</td>
<td>8,841,801</td>
</tr>
</tbody>
</table>

(c) Lease Payments

Payments are due monthly to Banc of America and the lease payments include explicit interest rate of 2.64% and matures on July 25, 2022. The outstanding principal balance at June 30, 2019 and 2018 was $3,369,256 and $4,404,387, respectively. The following is a summary of lease liability transactions, including the current portion:

<table>
<thead>
<tr>
<th></th>
<th>Balance at July 1</th>
<th>Proceeds</th>
<th>Payments</th>
<th>Balance at June 30</th>
<th>Due within one year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lease liability, FY 2018</td>
<td>5,412,548</td>
<td>-</td>
<td>(1,008,161)</td>
<td>4,404,387</td>
<td>1,035,132</td>
</tr>
<tr>
<td>Lease liability, FY 2019</td>
<td>4,404,387</td>
<td>-</td>
<td>(1,035,131)</td>
<td>3,369,256</td>
<td>1,062,826</td>
</tr>
</tbody>
</table>
At June 30, 2019, minimum future lease payments are as follows:

<table>
<thead>
<tr>
<th>Fiscal years ending June 30:</th>
<th>Principal</th>
<th>Interest</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>2020</td>
<td>$1,062,826</td>
<td>76,239</td>
<td>1,139,065</td>
</tr>
<tr>
<td>2021</td>
<td>1,091,261</td>
<td>47,804</td>
<td>1,139,065</td>
</tr>
<tr>
<td>2022</td>
<td>1,120,456</td>
<td>18,609</td>
<td>1,139,065</td>
</tr>
<tr>
<td>2023</td>
<td>94,713</td>
<td>209</td>
<td>94,922</td>
</tr>
<tr>
<td></td>
<td>$3,369,256</td>
<td>142,861</td>
<td>3,512,117</td>
</tr>
</tbody>
</table>

(6) Defined-Contribution Plan

Lobo Energy entered into, and administers, a 403(b) defined-contribution plan effective February 1, 2000 and amended January 1, 2009. As a defined-contribution plan, benefits depend solely on amounts contributed to the plan plus investment earnings. The plan may be amended by a board of directors’ resolution. All employees of Lobo Energy are eligible to participate and are considered to be immediately vested. The plan allows for variable employee contributions up to the Internal Revenue Service maximum allowed amount. Lobo Energy contributes a 100% match up to 6% of each participating employee’s gross salary per compensation period. Contributions to the plan for the fiscal years ended June 30, 2019 and 2018 were $61,708 and $59,621, respectively, which consisted of $32,661 and $31,808 contributed by employees and $29,047 and $27,813 contributed by Lobo Energy, respectively.

(7) Related-Party Transactions

Effective December 1, 1998, UNM and Lobo Energy entered into a Memorandum of Agreement (MOA) containing the expectations and performance obligations that UNM was seeking from Lobo Energy at that time. The MOA articulates UNM’s and Lobo Energy’s mutual obligations in planning, developing, and implementing the utility facilities and services required by UNM. Pursuant to the MOA, UNM provides to Lobo Energy, at no cost to Lobo Energy, facilities support and general business office and associated workspace. The MOA also establishes UNM as the fiscal agent for Lobo Energy, with UNM providing cash and investment management activities for Lobo Energy, at no cost to Lobo Energy. The MOA may be terminated by UNM and, upon termination, all property of Lobo Energy will be transferred to UNM or other successor organizations designated by a resolution of UNM’s Board of Regents.

Effective January 26, 2015, UNM and Lobo Energy entered into a Memorandum of Agreement (MOA) specifying the reimbursement of Lobo Energy’s annual service fee related to the EnergyCap software in the amount of $9,600.
In FY 2014, Lobo Energy paid a total of $365,077 to Facility Facts, Inc. a company owned by an employee of Lobo Energy, and in which Lobo Energy has a 10% common stock interest in order to help get the company established in order to market and sell the Facility Facts software internally generated by Lobo Energy. There were no additional payments made in FY 2018 or FY 2019. Lobo Energy accounts for its investment in Facility Facts, Inc. using the equity method of investment. The investment was considered fully impaired in 2015, therefore not reported in the statements of net position as of June 30, 2019 and 2018.

Pursuant to the licensing agreement made with Facility Facts Inc., Lobo Energy retains the patent rights, permanent royalty-free rights to use the Facility Facts software, and will receive royalties representing 50% of gross receipts of sublicenses granted during each calendar year for the life of the filed patents. Lobo Energy recorded no royalties as of June 30, 2019 and June 30, 2018.

Lobo Energy is a member of New Mexico Industrial Energy Consumers (NMIEC), which advocates high quality of energy service at fair, just and reasonable prices for its members and all classes of customers. Jason Strauss, President and CEO of Lobo Energy is an officer of NMIEC. Lobo Energy paid dues of $66,400 and $79,600 for the fiscal year ended June 30, 2019 and 2018, respectively.

Lobo Energy did not purchase goods or services of companies that board members are employed by during the fiscal years ended June 30, 2019 and 2018.

(8) Risk Management

Lobo Energy, through UNM, participates in the State of New Mexico Risk Management Program (Risk Management) that provides general liability, auto liability, physical damage, and workers’ compensation insurance. The Risk Management program liability insurance coverage includes most employee liability claims; those claims falling outside this state program are in limited amounts and are covered by UNM from its operating budget. UNM’s exposure is limited to $1,000 per any first party incurred property loss, with the exception of theft, which has a $5,000 deductible.

(9) Subsequent Events

Subsequent events are evaluated by management through the date the accompanying financial statements are available to be issued, which is September 5, 2019.
Report of Independent Auditors on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with Government Auditing Standards

The Board of Directors
Lobo Energy, Incorporated
and
Mr. Brian S. Colón, Esq., New Mexico State Auditor

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States, the financial statements of Lobo Energy, Incorporated (Lobo Energy), a blended component unit of the University of New Mexico, which comprise the statement of net position as of June 30, 2019, and the related statements of revenues, expenses, and changes in net position and cash flows for the year then ended, and the related notes to the financial statements, and have issued our report thereon dated September 5, 2019.

Internal Control over Financial Reporting

In planning and performing our audit of the financial statements, we considered Lobo Energy's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of Lobo Energy’s internal control. Accordingly, we do not express an opinion on the effectiveness of Lobo Energy’s internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A material weakness is a deficiency, or combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected, on a timely basis. A significant deficiency is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit, we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.
Compliance and Other Matters

As part of obtaining reasonable assurance about whether Lobo Energy’s financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under Government Auditing Standards.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the Lobo Energy Incorporated’s internal control or on compliance. This report is an integral part of an audit performed in accordance with Government Auditing Standards in considering the Lobo Energy’s internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

Albuquerque, New Mexico
September 5, 2019
LOBO ENERGY, INCORPORATED
(A Blended Component Unit of the University of New Mexico)

Summary of Auditor’s Results
Year ended June 30, 2019

Financial Statements
Type of report the auditor issued on whether the financial statements audited were prepared in accordance with GAAP: Unmodified

Internal control over financial reporting:

Material weakness(es) identified? ☐ Yes ☒ No

Significant deficiency(ies) identified? ☐ Yes ☒ None reported

Compliance and other matters noted? ☐ Yes ☒ No
No matters were reported.
No matters were reported.
An exit conference was held on September 5, 2019. During this meeting, the contents of this report were discussed with the following individuals:

**Lobo Energy, Incorporated**

Jason Strauss  President/CEO, LEI; Member of Board of Directors, LEI

**Moss Adams LLP**

Sheila Herrera  Senior Manager

Lobo Energy is responsible for the contents of the financial statements. Moss Adams LLP assisted with the preparation of the financial statements.
Regent Advisors’ Comments/Reports

Reports may be included in the eBook

List of 2019-2020 Regent Advisors:

Adam Biederwolf, President, ASUNM
Finnie Coleman, President, Faculty Senate
Ryan Gregg, President, Staff Council
Muhammad Hussain, President, GPSA
Beverly (Bev) Kloeppe, President, Retiree Association
Daniel Perea, President, Parent Association
Alexis Tappan, President, UNM Alumni Association Board of Directors
Randy Velarde, Chair, UNM Foundation Board of Trustees
ASUNM END OF SEMESTER REPORT

UNDERGRADUATE STUDENT GOVERNMENT

December 10, 2019
ARTS & CRAFTS
STUDIO

56TH ARTS & CRAFTS FAIR
Over 75 vendors came out this year!

MEMBERSHIP
Had over 200 memberships this semester!
COMMUNITY EXPERIENCE

LOBO FOOD PANTRY
SEPTEMBER
Helped the organization of the Lobo Food Pantry

FALL FRENZY
OCTOBER
Annual Event to help clean up campus!
Over 250 volunteers participated!

GIVING TREE
DECEMBER
Toy Drive to benefit CasaQ, UNM Hospital, and APS Title 1
EMERGING LOBO LEADERS

NEW LOBO LEADERS
Recently 36 Lobos just graduated this program!

MEMBERSHIP
Students learned about the interworkings of ASUNM as well as UNM as a whole!
LOBO SPIRIT

HOMECOMING
Hosted events for Homecoming Week such as a Dive in Movie, Smores with President Stokes, and Silent Lights.

RED RALLY
Over 100 Volunteers!
Over 2,000 in attendance

THE HOWL
Student Section at Lobo Basketball!
UNM DAY TRAININGS
Trainings for students to help ASUNM lobby for the Lottery Scholarship!

CAPITAL OUTLAY
Deciding what ASUNM is going to ask for at the State Legislature!

LEGISLATIVE PRIORITIES
Created priorities to keep the Lottery Scholarship at current funding and/or back to full!
CHERRY REEL FILM FESTIVAL
November
Student Film Competition!

REEL CLUB
Semester
Club geared towards Film Majors

WEEKLY SHOWINGS
Weekend
Showed Indie to Blockbuster Films
KEVIN HINES
Kevin Hines came to discuss mental health.

SILENT LIGHTS
Silent Disco, Partnered with Lobo Spirit and UCAM!

DÍA DE LA RAZA
Partnered with El Centro to celebrate Hispanic Heritage Month!
STUDENT SENATE

LEGISLATION
Passed over 26 pieces of legislation from recognizing students, to changing how senators become appointed.

FALL BUDGET
Passed an allocation over $30K to student organizations.

STUDENT SUCCESS
ASUNM offers students incentives to keep on studying for finals during dead week!

NEW SENTORS
We are welcoming 12 new senators next semester!
Thank you!

ADAM BIEDERWOLF
UNM Staff Council – Staff in Action

Gerald W. May
Outstanding Staff Awards Reception

Supported by a donation from President Gerald W. May, and a match from the Regents Endowed Funds

December 5, 2019
Ballroom C – Student Union

THE UNIVERSITY OF NEW MEXICO
Gerald W. May Outstanding Staff Award Winner

Rudy Montoya
Student Activities Specialist, Student Activities Center
Gerald W. May Outstanding Staff Award Winner

Jolyne McCrary
Human Resources Tech, Health Sciences Center Internal Medicine
UNM Staff Council – Staff in Action

Gerald W. May Outstanding Staff Award Winner

Crystle Collier
Supervisor, Academic Advisement,
Anderson School of Management
Gerald W. May Outstanding Staff Award Winner

Robben Brown
Manager, Academic Advisement, Graduate Studies
Sarah Belle Brown
Staff Award Winner

Tracy Owen
Academic Advisement, UNM Valencia
UNM Staff Council – Staff in Action

Staff as Students

Once each semester

Enrollment, Academic Departments, resources (60+ volunteers)

Expansion continues – 200 (150 Sp 2019) individual staff attended
Happy Tails Donation Drive
Once each year
Donations to Animal Humane
Across North, Main, South Campuses
Monetary donations totaled +$1,400!
UNM Staff Council – Staff in Action

EDAC
FEMA
New Mexico Initiatives
NASA
$700K Grant

3 Years

Digitizing 500,000 Aerial photos
UNM Staff Council – Staff in Action

Working with UNM Government Relations

How do we leverage what staff are doing to help UNM achieve our goals?
Alumni Engagement

October
SA&P Alums went behinds the scenes at the new Penguin Chill exhibit at the zoo

- 30 alums participated

Homecoming was held the week of October 21 – 26. Key events attendance was as follows:

All Faculty & Staff Homecoming Lunch
- 140 +/- participants

Drones, Artificial Intelligence, and the Future of Mapping
- 25 participants

Lobo Living Room: UNM Press 90th Anniversary
- 300 +/- participants

Institute of Meteoritics 75th Anniversary Symposium
- 256 participants

HSC Anatomy & Sim Lab Tour
- 13 participants

College of Education Awards and Research Showcase
- 26 +/- participants

Diner en Rouge
- 170 +/- participants

All University Breakfast
- 135 participants

Homecoming Tailgate and Football Game
- 250 +/- participants

Honors Homecoming Reception and Distinguished Alumni Awards
- 45 participants
November

Veterans Day Celebration

- 150 +/- participants

San Diego Chapter Happy Hour

- 6 alums participated

December

Albuquerque Alumni Chapter sponsorship of Festival of Trees event in support of Carrie Tingley Hospital. Participation in this event will build brand awareness with the chapter’s display of a Lobo-themed tree. The chapter received recognition on the event website, social media, marketing materials, and shout outs during 4 events over 3 days.

Hodgin Hall was again the host for alumni and community members at the conclusion of Hanging of the Greens on campus.

The Young Alumni chapter will host the New Grad Bash for members of the Fall 2019 graduating class on Thursday, Dec. 12 from 5:30 – 7:00 p.m. at Hodgin Hall.

Lobos for Legislation

Lobos for Legislation hosted the Legislative Briefing in which the 2020 Priorities were presented by members of the Office of Government Relations staff to alumni and UNM employees.

A Legislative Home Reception was held on November 14 at the home of Alumni Association Board of Directors member Jim Novak. In attendance were Board of Regents President Doug Brown, President Stokes, Barbara Damron, UNM Chief Government Relations Officer, Provost James Holloway, 3 Deans, Senators James White, Daniel Ivey-Soto, Jacob Candelaria, Jerry Ortiz y Pino; Representatives Abbas Akhil, Melanie Stansbury, and William Prattt. In total, 62 alumni and community friends attended.

UNM Day at the New Mexico Legislature will be on January 27, 2020 followed by the Legislator Appreciation Reception at La Fonda Hotel.