



**UNIVERSITY OF NEW MEXICO  
BOARD OF REGENTS**

**Agenda**

**November 20, 2015  
9:00 AM  
Roberts Room, Scholes Hall**

**The Board of Regents of the University of New Mexico**  
**Meeting in Open Session and Executive Session**  
**November 20, 2015, 9:00 AM**  
**Roberts Room, Scholes Hall**  
**Executive Session-Luncheon, Conference Room 141, Scholes Hall**  
***revised\** AGENDA**

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*\* Revised agenda denotes Finance and Facilities (F&F) Committee consent item #2 and ASAR item #5 is deleted. No additions have been made to the originally submitted agenda.*

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**1-888-899-6092 UNM Compliance Hotline** (report theft, harassment, conflict of interest, irregularities, etc.; 24-hr. but not an ‘emergency’ number)

**277-2911 LoboRESPECT Advocacy Center** (24/7 hotline and a physical location; support and advocacy services in the aftermath of any form of abuse; other support services; offers secure confidentiality upon request)

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Stefan Posse, President, Faculty Senate	
Crystal Davis, President, Staff Council	
Texanna Martin, President, GPSA	
Jenna Hagengruber, President, ASUNM	
Ann Rhoades, President, Alumni Association	
Michelle Coons, Chair, UNM Foundation Board of Trustees (next quarterly report will be at the December meeting)	

#### **Public Comment** (items not on agenda; limit 3 min. per speaker)

VI. Vote to close the meeting and proceed in Executive Session <u>Executive Session-Conference Room 141, Scholes Hall</u>	
1. Discussion and determination where appropriate of threatened or pending litigation pursuant to Section 10-15-1.H(7), NMSA (1978)	
2. Discussion and determination where appropriate of the purchase, acquisition or disposal of real property pursuant to Section 10-15-1.H(8), NMSA (1978)	
3. Discussion of purchases that can be made from only one source or competitive sealed proposals under the Procurement Code, pursuant to Section 10-15-1.H(6), NMSA (1978)	
VII. Vote to re-open the meeting and certification that only those matters described in Agenda Items VI. were discussed in Closed Session and if necessary, final action with regard to those matters will be taken in Open Session.	
VIII. Vote to Adjourn	
IX. Appendix: Minutes of Health Sciences Center Meetings.....	<i>Appendix</i>
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**Minutes of the Regular Meeting of the Board of Regents of the University of New Mexico  
October 9, 2015  
Student Union Building, Ballroom C**

Members present

Jack L. Fortner, President; Robert M. Doughty, Vice President; Ryan Berryman; Marron Lee; James H. Koch

Members absent

Bradley C. Hosmer; Suzanne Quillen

Administration present

Robert G. Frank, President; Paul Roth, Chancellor for Health Sciences; David Harris, EVP of Administration, COO, CFO; Chaouki Abdallah, Provost and EVP for Academic Affairs; Dorothy Anderson, VP HR; Paul Krebs, VP Athletics; Liz Metzger, University Controller; Ava Lovell, Sr. Exec. Officer of Finance and Administration, HSC; Elsa Cole, University Counsel; Steve McKernan, CEO UNM Hospitals; Pamina Deutsch, Dir. Policy Office; Manu Patel, Dir. Internal Audit; Walt Miller, AVP Student Life; Thomas Aguirre, Dean of Students

Regents' Advisors present

Crystal Davis, Staff Council; Stefan Posse, Faculty Senate; Texanna Martin, GPSA; Jenna Hagengruber, ASUNM; Carol Stephens, Retiree Association

Presenters in attendance

Bruce Cherrin, Chief Procurement Officer; Chris Vallejos, AVP ISS; Jason Strauss, CEO Lobo Energy Incorporated; Andrew Cullen, AVP OPB&A; Lisa Lindquist, Director LoboRespect Advocacy Center

Others in attendance

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

CONFIRMATION OF PRIOR SPECIAL MEETINGS IN EXECUTIVE SESSION

The Board of Regents met in closed session on October 9, 2015 from 7:42 to 8:49 AM in the Cherry Silver Room of the Student Union Building for discussion only of threatened litigation and personally identifiable information about an individual student, as permitted by Sections 10-15-1H(7) and 10-15-1H(4) of the Open Meetings Act (NMSA 1978). Members present were Marron Lee, Robert Doughty, Ryan Berryman, James Koch, and Jack Fortner. University Counsel was also present. The matters discussed were limited to those specified in the notice and agenda for the meeting.

CALL TO ORDER, CONFIRMATION OF A QUORUM AND APPROVAL OF THE AGENDA

Regent President Fortner called the meeting to order at 9:17 AM. A quorum was confirmed.

**The motion to approve the agenda passed by unanimous vote with a quorum of Regents present and voting. (1<sup>st</sup> Lee; 2<sup>nd</sup> Berryman).**

APPROVAL OF MINUTES

**The motion to approve the minutes of the September 11, 2015 regular meeting passed by unanimous vote (1<sup>st</sup> Lee; 2<sup>nd</sup> Berryman).**

PUBLIC COMMENT (No Comments)

THE PRESIDENT'S ADMINISTRATIVE REPORT

President Robert Frank gave his report to the Regents and referred to several powerpoint slides. UNM released its annual campus safety report, as required by the federal Clery Act, on October 1. In 2014, UNM saw an increase in reported crimes in several areas; the increase in reporting is believed to be a direct result of the LoboRESPECT initiative and its focus on education and outreach to students to encourage utilization of resources provided at the University. The work on making campus safer will continue, and increased awareness and accurate reporting is a crucial first step. President Frank spoke of the success of the Math Learning Lab (MaLL), a program implemented for students who are not yet ready for college math, comprised of 3 online 1-hour courses that are self-paced. Under the MaLL program, the University is seeing fewer students drop, fail or get an incomplete as compared to historical numbers for Math 120. Fifteen credit-hour



course loads have increased 31% since Fall 2012. One of the factors promoting the increase is the implementation of block tuitions. There has also been much progress toward 120 hour degree programs; 70% of UNM's degree programs are now at the 120 hour requirement level. President Frank spoke about the consistent improvements in retention and graduation rates; third semester retention rate is at almost 80%. President Frank addressed the financial side. Administration is working proactively to address the fiscal realities. A 5% hold-back of this year's budgeted funds was a critical first step. There will be a focus on planning for enrollment shifts and the impacts of student success initiatives. The University is initiating a comprehensive hiring review. Overall, the target is a gradual 2% reduction and a goal of achieving these reductions through vacancies and natural attrition.

Regent Fortner commented that the MaLL has been a remarkable success and commended Academic Affairs for their efforts.

#### 120 CREDIT HOUR DEGREE RESOLUTION – ACTION ITEM

Regent Fortner read the resolution as presented. There was discussion. A modification was made to the last sentence of the resolution so that it read, "Encouragement of continued progress to maximize four-year programs (120 credit hour degrees) and make this the default standard for baccalaureate programs by 2017, as is feasible." (see Exhibit A)

**The motion to adopt the 120 Credit Hour Degree Resolution as modified passed by unanimous vote with a quorum of Regents present and voting (1<sup>st</sup> Doughty; 2<sup>nd</sup> Lee).**

COMMENTS FROM REGENTS (No Comments)

#### REGENT COMMITTEE REPORTS

##### FINANCE AND FACILITIES COMMITTEE

##### Monthly Consolidated Financial Reports (Information Item)

Regent Jamie Koch asked Liz Metzger to give her report for month ending August. As President Frank already mentioned, the report indicates we are above in tuition and fees where we were last year at this same time, in actuality we are not due to a variety of reasons. President Frank has already mentioned some of those factors and Andrew Cullen will address further when he discusses the base budget estimate. The report is very early in the fiscal year, so most numbers are preliminary, but we have spent a lot of time looking at tuition and fees, and we know that we are going to have some issues in FY16.

##### Capital Project Approval: Los Alamos Emergency Medical Services Classroom and Lab Renovation

Regent Koch requested to take F&F item 3, the Capital Project approval of the Los Alamos Emergency Medical Services Classroom and Lab Renovation, off the consent agenda. Chris Vallejos presented the item. The total estimated project budget is \$625K, of which \$500K is funded from 2014 State of New Mexico General Obligation Bonds and \$125K is funded from local funds and donations.

**The motion to approve the Capital Project for the Los Alamos Emergency Medical Services Classroom and Lab Renovation passed by unanimous vote (1<sup>st</sup> Koch; 2<sup>nd</sup> Berryman).**

Regent Koch requested President Frank give a brief update on enrollment at Los Alamos. Historically, Los Alamos has had the most variable enrollment of all of the regional campuses, but they have now stabilized their enrollment. With the Provost's engagement, they are also working with Los Alamos National Labs (LANL) to look at a number of potential programs that they would operate on behalf of LANL as contractee. Some of these programs are in the fire and safety area. We believe that Los Alamos branch is now on much more solid ground than it was before.

##### Approval of Consent Agenda, items 2 and 4

Regent Koch read the remaining items on the consent agenda and asked for a motion to approve.

2. Approval of Disposition of Surplus Property for Main Campus for the months of August and September 2015

#### 4. Approval of the Revised Management Services Agreement (Lobo Energy, Incorporated)

**The motion to approve the consent items as stated passed by a unanimous vote (1<sup>st</sup> Koch; 2<sup>nd</sup> Berryman).**

Approval of Reports for University Admin. Policy (UAP) 7000 for Main and Branch Campuses – FY14/15  
Andrew Cullen presented the report for Main Campus and the four Branches. At the end of each fiscal year, the Office of Planning, Budget and Analysis reviews current unrestricted reserves in accordance with UAP 7000 and Regents' Policy 1.1 & 7.2 and submits a report to the Board of Regents for approval. The report explains changes in current unrestricted reserves for Main Campus and Branches and discusses year-end deficit balances over \$100K for schools, colleges and departments. Overall, University reserves for Main Campus unrestricted funds declined approximately \$2.4 million to \$93.3 million. The overall decrease can be attributed to a decrease of approximately \$4.3 million in Academic Affairs reserves that were slightly offset by Administration reserve increases in Safety and Risk Services, Human Resources, and the Physical Plant Departments. The Instruction and General (I&G) reserve balance, now at \$32 million, saw a third year of decreases, primarily attributable to \$3.3 decrease in Academic Affairs. The report also addresses the categorization of reserves, breaking reserve balances down by category, 1) Banner encumbrances – reserves with a specific PO attached to them, 2) department commitments – reserves funds that are attached to a signed contract, 3) department dedications – reserves that are committed but not by a signed contract, and 4) discretionary reserves – the reserve funds remaining after committed and dedicated funds. The final component of the report includes a summary of current unrestricted deficits that have accumulated over the years to be in excess of \$100K. Three divisions have deficit balances, UNM Press with deficit of \$5.8 million, Athletics with a deficit of \$2.8 million, and Continuing Education with a deficit of \$0.9 million. The UNM Press deficit has gone up from last year, and administration is planning on working with a consultant to address the UNM Press business model with the goal that it would break even year over year.

**The motion to approve the FY14/15 Reports for University Administration Policy 700 for Main and Branch Campuses passed by a unanimous vote (1<sup>st</sup> Koch; 2<sup>nd</sup> Berryman).**

#### Initial FY17 Base Budget Estimate (information item)

Andrew Cullen presented the item. For the original FY16 budget of \$330 million, Main Campus I&G allocations are \$298 million, and of that, 58% is covered by the State appropriation, about 40% is covered by tuition funds, and 2% is covered by miscellaneous dollars. For the FY16 budget, 5%, or \$15 million, of I&G funds were held back as contingency due to volatility of enrollments. At this point, administration has determined of that 5% holdback, it will return 3.5% to the departments and keep 1.5%. The 1.5%, which equates to about \$4.4 million, will be held to cover an approximate \$3.3 million revenue shortfall due to decline in tuition revenue. The excess funds from the 1.5% hold back will be banked to cover potential further revenue declines from Spring enrollment. Historically, 92% of Fall-enrolled students come back for Spring semester, and that number is incorporated into the current \$3.3 million projected shortfall.

The original FY16 budget of \$330 million is reduced by \$4.96 million to come to a current revised FY16 budget of \$325 million. Of the \$5 million budget reduction, \$2.3 million is attributable to a true enrollment decline, that is, a reduction in total credit hours overall. This number includes tuition as well as fee revenue decline. Freshman enrollment is at an increase over last year; however, total credit hours taken by non-freshmen and mainly non-traditional students, have decreased. Additional to the \$5 million budget reduction, \$1.4 is attributable to a shift in total credit hours taken by students from 12 to 15 credit-hour loads. To promote graduation rates, three years ago the University instituted a block tuition model for undergraduate students whereby they pay less for a 15 credit-hour load than for a 12 credit-hour load. Since that time, the Lottery Scholarship requirements are for students to take 15 credit hours. Also included in the \$4.96 million reduction is \$1.2 million for reduced Spring enrollment. On the expenditure side, the revised budget shows proportional base reductions to the President's organization, Academic Affairs and Administration budgets.

Regent Koch said he anticipates the Regents will adopt in December a base budget for FY17. Any additional budget items on top of the base will be presented to the Regents and voted on separately. The FY17 proposed budget presented in the materials assumes no bottom line change from the revised FY16 budget of \$325 million, but does depict the increases to fixed costs, such as health care and utilities costs, that must be offset by reductions in the expenditure base.

Regent Koch commented that last year there was a \$5 million deficit, and Regents took from reserve funds to cover \$3 million. This year, with the approval of the branding project that is now underway and should be implemented next year, we are taking an active roll to address enrollment declines.

#### ACADEMIC / STUDENT AFFAIRS & RESEARCH COMMITTEE

##### Update from the Provost

Student Regent Berryman asked Provost Chaouki Abdallah to give his report. The Provost showed several slides and gave an update on projects happening in Academic Affairs. If a university wants to be a high performing school, the leaders need to be focused on student success, we need to have data to act upon it, have clear pathways for students to succeed, and take on the issue of introductory and developmental classes. We have met all of these requirements. Rather than reduce requirements and make things easier, we raise the standards and provide support along the way. Why do students not succeed? There are financial reasons and social reasons. In many cases they are not prepared academically. That is why we take on the development issue. Another reason is the path to graduation is too confusing. We have addressed this and simplified the path in various ways. We have initiatives addressing every area that affects student success. Need based financial aid is very important. We are intervening before the student gets to UNM, in the high schools, in the summer before, with CNM, so the student can be ready once they get here. For the student's first year we have invested in: the Math Learning Lab (MaLL); more advising and coaching for monitoring and intervention; simplified online degree maps; and research and implementation of reduced credit hour requirements for degree plans. We also want to challenge and reward, that's why we invested in the Honors College, and right now we are getting more students at the top end of the graduating class in New Mexico. The Innovation Academy is another program that is attracting high achieving students and others who may not otherwise consider attending UNM. Distance learning is another area of focus. We have five MOOCs (Massive Open Online Course) so far, one has over 150,000 students. Many of the students in the MOOCs actually attend UNM, those who don't attend are getting a certificate for taking the course. MOOCs generate some money, but more importantly, universities like MIT are considering using MOOCs as a way to create a path toward getting into the school, and we are considering this also. Regarding employers, studies show they want diverse skills and they want instant value. They are evaluating prospective hires within 2 weeks to determine if they want to hire them or not. That is why it is important to design a 4-year program properly so students will have the diverse skills that employers are looking for. Provost presented in more detail the student success programs that have been funded in the past four year. There are no more remedial courses at UNM. They have been replaced by MaLL and other courses like the English Stretch and Studio, and these classes are smaller and require more attention, but they are paying off. We are able to track students better and keep up with them to be able to give them help if they need it. New Student Orientation was redesigned and we doubled the number of freshman learning communities, which has a high impact, but it costs the University. We have a Center for Teaching Excellence and also received a grant for academic coaching. We are reexamining Lobo Achieve, an advising tool. Provosts discussed graduation rates. Most of our students are graduating in 5 years, but the 4-year graduation rate is going to go up. Six-year graduation rates are going down, because students are graduating faster, and the 120 credit hour degree will shift that even more. That will have an effect on our budget. We need about 28,000 people in the pipeline, but we are graduating them faster than we can replace them, so there is a challenge on the financial side and for enrollment management and the units. The investments that have been made in student success are starting to pay off now. We need to continue to keep people in the pipeline so we can continue to fund these initiatives that are helping them.

Provost addressed UNM data on the population of students who receive the PELL grant. If they don't have the Lottery Scholarship, their graduation rate drops from almost 60% to around 20%. This shows illustrates the importance of the Lottery Scholarship and financial aid. Additionally, PELL eligible students who receive financial support are graduating better than the average student at UNM. This shows the

importance of need based financial aid. When we raise tuition, we put 20% aside for financial aid and that goes directly to help those students. Regent Lee inquired the number of students who receive PELL and the Lottery Scholarship. At UNM, 38% of undergraduates receive PELL. This translates to about 6,500 students, 3,000 of those also receive the Lottery Scholarship.

Looking at last year's data, 48% of students graduated from UNM in 6 years; however, an additional 6% graduated in 6 years from another university that they transferred to after first attending UNM. Basically, 54% of students who came in to UNM graduated in 6 years.

Since 2011, UNM has invested about \$18 million of new money into the academic enterprise. All of the programs and activities mentioned earlier are part of this investment. According to Workforce Solutions, around 60% of UNM's graduates, or about 4,600 per year, are working in New Mexico making an average salary of \$47K. This gives a return of \$216 million per year of salaries in the State. UNM's activities have resulted in an increase of 400 degrees awarded per year. This alone equates to \$18 million per year. This is the investment that I hope you would continue to make. It is not enough to look at the cost, but look at how much is gained for the State. The shorter time students stay at UNM, the less tuition monies the University collects. That's why we need to explain clearly that we are doing our best, but the more efficient we are, the less funds we have to continue these investments. A few years ago there was fewer faculty and fewer advisors, and we were graduating a lot fewer students. There is a certain level of investment that you started, and I'm hoping that we can continue to make the investment in the academic enterprise because the return on investment is staggering.

#### Approval of Posthumous Degree

Student Regent Berryman presented the item and asked for a motion to approve.

**The motion to approve the granting of the Posthumous Master of Science in Psychology Degree to Corlan Keller passed by a unanimous vote (1<sup>st</sup> Lee; 2<sup>nd</sup> Doughty).**

#### LoboRespect Advocacy Center (Information Item)

Student Regent Berryman asked Dean of Students, Dr. Tomás Aguirre, to present the item. The Advocacy Center which opened two weeks ago, is under the Dean of Students office and aligns with the office of Student Rights and Responsibilities and the Women's Resource Center. There is a full-time staff of four, with a director, student affairs specialist, program specialist and receptionist. Lisa Lindquist is the director. Its mission is to provide a safe and welcoming environment for students to receive support and advocacy services in the aftermath of any form of abuse including, but not limited to, sexual assault, hazing and hate/bias related incidents. The center also provides absence notifications, domestic partnership privileges, mediation and conflict resolution, military withdrawals, short-term disabilities, short-term emergency loans, student death notices and tuition appeals. It can also assist parents and faculty and staff in their efforts to support students at UNM. The LoboRespect Advocacy Center is a single point of entry with one telephone number, a 24/7 hotline (277-2911), and one physical location for any abuse victim to come for information, assistance and support. The center provides secure confidentiality if the victim or patient request it. The staff are confidential reporters who undergo 60-80 hours of training in order to be able to serve in a confidential capacity. The Advocacy Center is in support of the LoboRespect CARE model which is based on, Compliance, Advocacy, Response, and Education. The compliance and response parts are covered by the Office of Equal Opportunity as well as University Police. The Advocacy Center does not substitute for the other services offered on campus, such as the Women's Resource Center or the LGBTQ Resource Center, but works with the other offices and can act as a first stop or clearing office.

Dr. Aguirre confirmed the center is one of only 3 in the nation of this type model, Oregon State University recently implemented the same type of center, and Ohio State University is the other institution. There are 3 other centers in the nation that focus only on sexual violence. Student Regent Berryman commented this is an extremely positive development for the University, and he attended the opening of the center, along with Regent Hosmer, which was very well attended with members of the local media also present. Regent Fortner added this is another good thing that has happened under President Frank's leadership.

HEALTH SCIENCE CENTER BOARD OF DIRECTORS

Approval of HSC Reserve Categorization Report Pursuant to Administrative Policies and Procedures Policy 7000

Regent Doughty asked to take HSC item number 2, approval of the HSC Reserve Categorization Report off the consent agenda. Regent Doughty motioned approval of the item.

**The motion to approve the HSC Reserve Categorization Report pursuant to Administrative Policies and Procedures Policy 7000 passed by unanimous vote (1<sup>st</sup> Doughty; 2<sup>nd</sup> Berryman).**

Approval of Consent Agenda

Regent Doughty read the item on the consent agenda and motioned approval.

1. Approval of UNM Hospitals Contracts with Siemens Medical Solutions, USA and Standard Insurance Company

**The motion to approve the consent agenda item, UNM Hospitals Contracts with Siemens Medical Solutions, USA and Standard Insurance Company passed by unanimous vote (1<sup>st</sup> Doughty; 2<sup>nd</sup> Lee).**

Chancellor's Report with Review of the Draft HSC Master Facilities Plan

Regent Doughty asked Chancellor Roth to give his report. Dr. Michael Richards was invited to serve on the board of the Presbyterian Health Plan. Dr. Richard Larson has submitted his report to the legislature on healthcare workforce, finding there remains a significant shortage in primary care, OB/GYN, general surgeons, and psychiatrists. The CDC gave the HSC very high marks after its recent site visit to the biosafety level 3 labs. October is American Pharmacists month, thanks to one of the pharmacy students, Gabriela Cabanilla. The Office of the Medical Investigator (OMI) requested to the legislature an expansion of its RPSP funds request to cover the cost of service contracts. UNM Hospital (UNMH) volume data showing capacity problems has been provided to the regents. The hospital continues to average 93% occupancy rates for adults; the lower acuity patients are being transferred from UNMH's emergency department to Lovelace.

Dr. Roth gave a brief overview of the draft Master Facilities Plan. The draft plan is now out for public comment. The plan was reviewed at a faculty and staff town hall meeting earlier in the week. Among the feedback was to add a faculty club and the issue of inadequate parking. The Master Facility Plan is organized into the following sections: overview; education; research; clinical care; administration and infrastructure; priority projects; financial overview; and districts. Every activity, whether on a daily basis or when doing strategic planning, the Health Sciences Center's purpose for the State of New Mexico is of primary consideration. As relates to a facility plan, there are faculty, staff, and students on campus 24/7, and so the need to cater to student services, family needs, and many other parts of student and faculty and staff life, are embedded in the Master Facility Plan.

There are 6 top priorities in the plan: 1) the proposal for an acute care hospital that will also move all of the adult behavioral health patients within that facility; 2) building out at UNM West Campus, starting with an health education building for which we are going to the legislature in January for a GO bond and working very closely with the City of Rio Rancho; 3) over the course of the 10-year period that the master facility plan covers, we hope to construct 5 to 6 new Albuquerque-area community clinics in addition to those currently in place; 4) part of the needs of the patient care arena are to address the needs in post-acute care. There are many healthcare organizations in New Mexico and Albuquerque that are expert in rehab and long-term care facilities and senior health, and so there is preference to partner with those entities; 5) there is a major initiative in the research portfolio in neurosciences, that program is growing dramatically requiring consideration of an expansion to Domenici Hall to accommodate the growth; and 6) there is part of the plan to repurpose all of the backfill as programs are moved from current older facilities into newer ones. Looking at the district plan, it is consistent with UNM's 2010 Master Plan. The location for a possible replacement hospital is at the northwest quadrant of the intersection of Lomas and University Boulevards.

Dr. Roth reviewed the dynamics associated with hospitals and capacity and the current circumstances at UNM Hospital. UNMH receives about 500 transfers every month from over the State of New Mexico,

including Albuquerque. Those patients are admitted to UNMH, and there are several hundred each month who cannot get in and are diverted to out-of-state hospitals. Of those patients who are admitted to UNMH, the management of those patients, from an administrative and systems point of view, is below the desired efficiency level, the primary cause of inefficiency is due to the high occupancy level. There are also barriers for discharging patients into post-acute care facilities, for example rehab and skilled nursing facilities, primarily due to lack of access in the community. There are 48 psych beds at the adult psych hospital, and those beds are also at a high occupancy rate and they are in a facility that was built in the 1950's so is outdated for the treatments of today. The beds are located separately to where other services are being conducted. Many of those patients have substance abuse issues or other medical conditions, and keeping those beds separate from the rest poses difficulty in the patients' care management. UNMH has about 45% medium-acuity and 35% high-acuity patients.

Dr. Roth spoke about the proposed new facility. It would utilize a centralized call center to handle and triage transfer requests. HSC is in the process of developing much stronger partnerships with Lovelace and Presbyterian, so patients that do not require the unique high-end services that UNM provides can be transferred to partner hospitals. There is the hope to move the 48 psych beds that are in the old facility into a new facility, to redesign the systems of case management and other systems to have a much smoother throughput of patients once they are admitted to the hospital, and to solve the post-acute barrier that is currently being faced. By doing it in this way, all of the demand that is currently understood to be in the State of New Mexico for that high-end complexity will be manageable and it will allow accommodation for a 1% population growth and the change in demographics over time to a more senior population. The change in the level of acuity of the types of patients being seen could be anticipated in the new facility. By maximizing efficiency, reducing barriers, and partnering with other hospitals where patients can be transferred, but at the same time accommodating the dramatic increase in demand for the UNMH facility, the number of adult beds can increase from the current 308 beds to 360 adult beds. This is considered modest growth, and costs can be kept to a minimum in constructing a replacement facility. A rough estimate of the total project cost is \$600 million which includes subsets of the project, for example a medical office building and adequate parking. The actual amount will not be known until the project is approved and specific program designs begin along with work with architects and with HUD to determine more details of the exact financial amount.

#### COMMENTS FROM REGENTS' ADVISORS

Crystal Davis, Staff Council President, announced the council is working on two awards programs, the Outstanding Supervisor Award and Gerald May Award. The council is also partnering with organizations across campus to communicate staff tuition benefits, and it is gathering data to identify staff members who are close to completing their degree program so that it can offer any assistance needed for completion. Ms. Davis thanked EVP Harris and President Frank for understanding the amount of work that is involved in the Staff Council President position. This year, President Frank agreed to support the position in a similar financial capacity the Faculty Senate, GPSA, and ASUNM President positions are supported. Ms. Davis thanked President Frank for not only seeing the value in the organization, but also in the role of the council's president.

Stefan Posse, Faculty Senate President, provided an update on the efforts of the Faculty Senate task force as it provides input to the budget development process. The task force is comprised of faculty from both Main Campus and the Health Sciences Center (HSC), along with participation from Staff Council. Dr. Posse spoke about the senate's plan to participate in enhancing programs that enable students to succeed. Faculty Senate wants to look at how to keep the brightest and smartest in the State since these students will go out and carry the message. The Faculty Senate is also involved in supporting the policy building process; many sections in the Faculty Handbook are in need of adjustments.

Jenna Hagengruber, ASUNM President, thanked President Frank and Regent Ryan Berryman for attending part of the Lottery Scholarship Summit. Representative Jason Harper, Senator Michael Sanchez, Senator Cisco McSorley, Representative Nate Gentry, and members from the LFC and HED attended. The Summit also brought NMSU and UNM students together to have a discussion about what is best for the Lottery Scholarship. Ms. Hagengruber also spoke about the eight ASUNM agencies that allow ASUNM to reach

out to the entire undergraduate student body; these include, the craft fair, Upright Citizen's Brigade, elections, Red Rally, Fall Frenzy, community service, High School Senior Day, and the Manhattan Film Festival.

Texanna Martin, GPSA President, spoke about executive committees. One of the largest committees is the Lobbying Committee, its members went to Washington D.C. to work on federal legislation. The Student Fee Review Board (SFRB) is active and will hold student forums in October. There is currently a total of \$19 million in applications including \$18 million in recurring and \$583K in one-time applications. The Student Support and Advocacy Group is looking at tutoring services for graduate students. A recent survey done by GPSA showed that graduate students really need help. Ms. Martin talked about providing other needed services to graduates.

PUBLIC COMMENT (No comments)

VOTE TO CLOSE THE MEETING AND PROCEED IN EXECUTIVE SESSION

**The motion to close the meeting and proceed in executive session passed by unanimous vote (1<sup>st</sup> Dougherty; 2<sup>nd</sup> Lee). The meeting closed at 11:15 AM.**

Executive Session-Cherry Silver Room

1. Discussion and determination where appropriate of threatened or pending litigation pursuant to Section 10-15-1.H(7), NMSA (1978)
2. Discussion and determination where appropriate of the purchase, acquisition or disposal of real property pursuant to Section 10-15-1.H(8), NMSA (1978)

VOTE TO RE-OPEN THE MEETING

**There was a motion to open the meeting and certification that only those matters described in the executive session agenda were discussed. There was no item upon which to take action in open session. The motion was seconded and all were in favor (1<sup>st</sup> Lee; 2<sup>nd</sup> Berryman). The meeting opened at 11:57 AM.**

VOTE TO ADJOURN

**The motion to adjourn the meeting passed by unanimous vote (1<sup>st</sup> Lee; 2<sup>nd</sup> Koch). The meeting adjourned at 11:58 AM.**

**Approved:**

**Attest:**

---

**Jack L. Fortner, President**

---

**Bradley C. Hosmer, Secretary/Treasurer**

**UNIVERSITY OF NEW MEXICO BOARD OF REGENTS  
120 CREDIT HOUR DEGREE RESOLUTION**

**WHEREAS**, the University of New Mexico provides excellence in teaching and learning, leading to valuable degrees and a well-educated workforce that improves the lives of all the residents of the State of New Mexico, and

**WHEREAS**, increasing the University of New Mexico's graduation rate is a primary goal for the University's administration, faculty, and staff and for the Board of Regents, and

**WHEREAS**, efficient progress in degree completion benefits students and taxpayers by lowering the cost of the degree and allowing students to enter the workforce more rapidly, and

**WHEREAS**, the Governor of the State of New Mexico's higher education initiatives include encouragement of efficient degree completion, and

**WHEREAS**, the Regents of the University of New Mexico took action to encourage efficient progress and enhance affordability for students by directing the University to enact a block tuition rate for students who take at least 15 credit hours per semester, and

**WHEREAS**, the Regents of the University of New Mexico recently took further action to enhance affordability and encourage progress by directing the University to provide the final semester tuition-free for students who complete their baccalaureate degree in four years, and

**WHEREAS**, the Regents of the University of New Mexico appreciate recent action by the University's Faculty Senate to enable 120 hour degree programs, and

**WHEREAS**, the Regents of the University of New Mexico further appreciate the rapid actions by faculty and academic leadership that have allowed the University to convert 69 of its 98 baccalaureate degrees (70%) to 120 hours, and



**WHEREAS**, of the remaining baccalaureate degree programs, 13 more have experienced a reduction in hours toward the 120 hour standard, and

**WHEREAS**, the University's academic leadership has made extraordinary progress in creating advising systems that allow students to select their degree programs early and stay on track toward graduation,

**NOW, THEREFORE, BE IT RESOLVED** by the Board of Regents of the University of New Mexico:

**ENDORSEMENT** of the University's commendable progress to date in creating 120 credit hour degree programs and clear degree paths that enable degree completion within four years, and

**ENCOURAGEMENT** of continued progress to maximize four-year programs (120 credit hour degrees) and make this the default standard for baccalaureate programs by 2017, as is feasible.

*Adopted by the Board of Regents of the University of New Mexico on this 9th day of October, 2015*

## President's Administrative Report

will be presented at the meeting



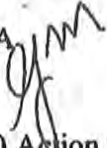
THE UNIVERSITY of  
NEW MEXICO

University Controller  
Financial Services, Main Campus  
Phone: (505) 277-5111  
FAX: (505) 277-7662

**MEMORANDUM**

**DATE:** October 26, 2015

**TO:** David W. Harris  
Executive Vice President for Administration

**FROM:** Elizabeth Metzger, CPA  
University Controller 

**RE:** Two (2) Items: One (1) Action Item and One (1) Information Item for Board of Regents' Finance & Facilities Committee Meeting

*Action Item.*

The Fiscal Watch Report through September 30, 2015 that is to be submitted to the HED Executive Director will be presented at the November 18, 2015 Finance & Facilities Committee meeting. The Report contains the following information: A comparison of the approved annual operating and plant fund budgets with the current year-to-date information, a comparison of the most current year to prior-year information, a Balance Sheet and a Statement of Cash Flows.

The Report is to be reviewed and approved by the Board of Regents at the November 18, 2015 Finance & Facilities Committee meeting.

*Information Item.*

The Monthly Consolidated Financial Reports for the month ended September 30, 2015 will be presented at the November 18, 2015 Finance & Facilities Committee meeting.

In order to present the most-timely financial information at this meeting, the Fiscal Watch Report and Monthly Consolidated Financial Reports will be emailed to the committee members no less than 48 hours in advance of the meeting. Handouts will be available the day of the meeting.



THE UNIVERSITY *of*  
NEW MEXICO

University Controller  
Financial Services, Main Campus  
1 University of New Mexico  
MSC 01 1300  
Albuquerque, New Mexico 87131-0001  
Phone: (505) 277-5111  
FAX: (505) 277-7662

DATE: November 18, 2015

TO: Mr. Scott Eccles  
Institutional Auditor,  
New Mexico Higher Education Department

RE: Financial Status as of September 30, 2015

By signing below, the parties are indicating they are aware that timely and routine processes are in place and being followed and where appropriate, reviewed and approved by the Board of Regents related to:

- Comparison of approved annual operating and plant fund budgets with year-to-date revenues, expenditures and transfers;
- Comparison of current year-to-date to prior year's activities in operating and plant fund revenues, expenditures and transfers;
- Statement of net assets; and
- Statement of cash flow.

**University of New Mexico**

\_\_\_\_\_  
James H. Koch, Chair, Board of Regents-F&F

\_\_\_\_\_  
Date

\_\_\_\_\_  
Robert G. Frank, President

\_\_\_\_\_  
Date

\_\_\_\_\_  
David W. Harris, Chief Financial Officer

\_\_\_\_\_  
Date

# The University of New Mexico

Consolidated

## Summary of Operating and Plant Funds (Unadjusted and Unaudited)

Fiscal Year 2015-2016 as of September 30, 2015

Operating Funds	FY 2015-2016 Original Budget	FY 2015-2016 Actuals as of September 30, 2015	Percentage Earned/Spent
<b>REVENUES</b>			
Tuition and Mandatory Fees	\$ 184,414,478	\$ 92,156,059	50.0%
Student Fees	16,055,125	3,714,261	23.1%
Federal Appropriations	59,770,000	-	N/A
State Appropriations	325,341,221	77,763,427	23.9%
Local Appropriations	7,671,200	218,762	2.9%
Endowment Income	802,462	-	N/A
Land & Perm Fund	8,825,000	2,367,626	26.8%
Gifts, Grants & Contracts	332,255,051	99,108,177	29.8%
Indirect Cost Recovery	42,712,936	10,945,353	25.6%
Sales & Services	374,610,626	102,281,388	27.3%
Other	51,325,490	12,348,632	24.1%
Use of Balance	32,899,177	-	0.0%
Total Revenue	\$ 1,436,682,766	\$ 400,903,685	27.9%
<b>BEGINNING BALANCE</b>	\$ 74,024,680	\$ 158,874,427	214.6%
<b>TOTAL AVAILABLE</b>	\$ 1,510,707,446	\$ 559,778,112	37.1%
<b>EXPENDITURES</b>			
Instruction	\$ 294,743,524	\$ 61,622,167	20.9%
Student Social & Cultural	10,786,088	2,668,322	24.7%
Research	191,111,064	50,850,613	26.6%
Public Service	380,132,889	87,772,164	23.1%
Academic Support	59,357,993	13,126,040	22.1%
Student Services	38,012,148	6,964,381	18.3%
Institutional Support	70,845,152	16,188,050	22.8%
Operations and maintenance of plant	51,786,057	11,534,386	22.3%
Student Aid	141,240,459	57,195,428	40.5%
Internal Services	682,178	-	0.0%
Auxiliary Enterprises	55,818,918	13,563,861	24.3%
Intercollegiate Athletics	33,130,309	9,685,192	29.2%
Independent Operations (clinical)	81,708,078	12,934,370	15.8%
Total Expenditures	\$ 1,409,354,857	\$ 344,104,974	24.4%
Net Transfers	\$ 27,327,909	\$ 11,629,632	42.6%
<b>TOTAL EXPENDITURES &amp; TRANSFERS</b>	\$ 1,436,682,766	\$ 355,734,606	24.8%
<b>ENDING FUND BALANCE</b>	\$ 74,024,680	\$ 204,043,506	275.6%

Continued On Next Page

# The University of New Mexico

Consolidated

## Summary of Operating and Plant Funds (Unadjusted and Unaudited)

Fiscal Year 2015-2016 as of September 30, 2015

Plant Funds	FY 2015-2016 Original Budget	FY 2015-2016 Actuals as of September 30, 2015	Percentage Earned/Spent
<b>REVENUES AND TRANSFERS</b>			
Student Fees	\$ 14,388,000	\$ 7,460,095	51.8%
Interest Income	-	300,889	N/A
State/Local Bonds	22,497,552	5,413,365	24.1%
Land, Bldg and Equipment Rent	2,013,553	846,907	42.1%
Other	17,222,530	19,094,806	110.9%
Use of Balance	27,630,717	-	0.0%
Total Revenues	\$ 83,752,352	\$ 33,116,062	39.5%
Plant Transfers	34,927,669	11,629,632	33.3%
Total Revenues and Transfers	\$ 118,680,021	\$ 44,745,694	37.7%
<b>BEGINNING BALANCE</b>	\$ 164,469,922	\$ 306,233,217	N/A
<b>TOTAL AVAILABLE</b>	\$ 283,149,943	\$ 350,978,911	124.0%
<b>EXPENDITURES</b>			
Capital Projects	\$ 45,237,208	\$ 9,039,307	20.0%
Building Renewal	27,000,000	3,828,563	14.2%
Equipment Renewal	12,500,000	249,657	2.0%
Auxiliary and Internal Service Renewal/Replacement	-	1,089,141	N/A
Debt Retirement	33,942,813	4,108,667	12.1%
Total Expenditures	\$ 118,680,021	\$ 18,315,335	15.4%
<b>ENDING FUND BALANCE</b>	\$ 164,469,922	\$ 332,663,576	N/A
<b>CURRENT OPERATING &amp; PLANT FUNDS</b>	-	<b>71,599,438</b>	

# The University of New Mexico

Consolidated

## Comparison of Operating and Plant Funds (Unadjusted and Unaudited) Fiscal Year 2015-2016 as of September 30, 2015

Operating Funds	FY 2015-2016 Actuals as of September 30, 2015	FY 2014-2015 Actuals as of September 30, 2014	% Variance Increase/ (Decrease)
<b>REVENUES</b>			
Tuition and Mandatory Fees	\$ 92,156,059	\$ 88,912,241	3.6%
Student Fees	3,714,261	3,882,791	-4.3%
State Appropriations	77,763,427	79,433,256	-2.1%
Local Appropriations	218,762	223,315	-2.0%
Land & Perm Fund	2,367,626	1,982,049	19.5%
Gifts, Grants & Contracts	99,108,177	93,614,367	5.9%
Indirect Cost Recovery	10,945,353	10,632,437	2.9%
Sales & Services	102,281,388	94,462,883	8.3%
Other	12,348,632	11,820,417	4.5%
Total Revenue	\$ 400,903,685	\$ 384,963,756	4.1%
<b>BEGINNING BALANCE</b>	158,874,427	152,420,432	4.2%
<b>TOTAL AVAILABLE</b>	559,778,112	537,384,188	4.2%
<b>EXPENDITURES</b>			
Instruction	\$ 61,622,167	\$ 65,165,802	-5.4%
Student Social & Cultural	2,668,322	2,456,621	8.6%
Research	50,850,613	50,229,719	1.2%
Public Service	87,772,164	83,292,220	5.4%
Academic Support	13,126,040	13,137,728	-0.1%
Student Services	6,964,381	7,279,966	-4.3%
Institutional Support	16,188,050	17,017,235	-4.9%
Operations and maintenance of plant	11,534,386	12,304,142	-6.3%
Student Aid	57,195,428	58,392,745	-2.1%
Auxiliary Enterprises	13,563,861	13,333,838	1.7%
Intercollegiate Athletics	9,685,192	9,324,487	3.9%
Independent Operations (clinical)	12,934,370	12,544,718	3.1%
Total Expenditures	\$ 344,104,974	\$ 344,479,221	-0.1%
Net Transfers	11,629,632	13,096,336	-11.2%
<b>TOTAL EXPENDITURES &amp; TRANSFERS</b>	\$ 355,734,606	\$ 357,575,557	-0.5%
<b>ENDING FUND BALANCE</b>	\$ 204,043,506	\$ 179,808,631	13.5%

Continued On Next Page



# The University of New Mexico

Consolidated

## Comparison of Operating and Plant Funds (Unadjusted and Unaudited) Fiscal Year 2015-2016 as of September 30, 2015

Plant Funds	FY 2015-2016 Actuals as of September 30, 2015	FY 2014-2015 Actuals as of September 30, 2014	% Variance Increase/ (Decrease)
<b>REVENUES AND TRANSFERS</b>			
Student Fees	\$ 7,460,095	\$ 7,746,043	-3.7%
Gifts, Grants and Contracts	-	500	-100.0%
Interest Income	300,889	134,044	124.5%
State Bonds	5,413,365	1,903,034	184.5%
Land, Bldg and Equipment Rent	846,907	729,926	16.0%
Other	19,094,806	1,192,498	1501.2%
Total Revenues	\$ 33,116,062	\$ 11,706,045	182.9%
Plant Transfers	11,629,632	13,096,336	-11.2%
Total Revenues and Transfers	\$ 44,745,694	\$ 24,802,381	80.4%
<b>BEGINNING BALANCE</b>	306,233,217	172,731,963	77.3%
<b>TOTAL AVAILABLE</b>	350,978,911	197,534,344	77.7%
<b>EXPENDITURES</b>			
Capital Projects	\$ 9,039,307	\$ 12,733,128	-29.0%
Building Renewal	3,828,563	3,838,412	-0.3%
Equipment Renewal	249,657	188,813	32.2%
Auxiliary and Internal Service Renewal/Replacement	1,089,141	823,727	32.2%
Debt Retirement	4,108,667	4,913,929	-16.4%
Total Expenditures	\$ 18,315,335	\$ 22,498,009	-18.6%
<b>ENDING FUND BALANCE</b>	\$ 332,663,576	\$ 175,036,335	90.1%
<b>CURRENT OPERATING &amp; PLANT FUNDS</b>	<b>71,599,438</b>	<b>29,692,571</b>	



# The University of New Mexico

Statement of Net Assets  
(Unaudited and Unadjusted)  
As of September 30, 2015

## ASSETS

### Current assets

Cash and cash equivalents	\$	126,084,162
Short term investments		368,999,104
Accounts receivable, net		69,898,129
Patient receivables, net		998,979
Notes receivable, net		3,531,668
Due from related parties		80,335,527
Inventories		8,297,421
Other Receivables		1,672,326
Prepaid expenses and other assets		20,790,262

**Total current assets** \$ 680,607,578

### Noncurrent assets

Notes receivable - noncurrent	\$	9,966,282
State Investment Council		202,167,111
Investments		430,700,284
Derivative instruments		2,115,637
Due From Component Units		25,900,760
Other noncurrent assets		2,083,688
Endowed fine art		6,008,368
Capital assets, net		915,534,636

**Total noncurrent assets** \$ 1,594,476,766

**TOTAL ASSETS** \$ 2,275,084,344

## DEFERRED OUTFLOWS OF RESOURCES

Related to pensions	\$	80,044,011
Interest rate swaps		11,151,419
Loss on bond refundings		1,997,294

**TOTAL DEFERRED  
OUTFLOWS OF RESOURCES** \$ 93,192,724

Statement of Net Assets Continued On Next Page

# The University of New Mexico

Statement of Net Assets  
(Unaudited and Unadjusted)  
As of September 30, 2015

## LIABILITIES

### Current liabilities

Accounts payable	\$	68,476,334
Accrued compensated absences		28,874,129
Other accrued liabilities		9,913,531
Unearned revenue		33,778,374
Bonds payable - current		14,420,532
Deposits and funds held for others		13,308,586
Due to Component Units		1,778,517

**Total current liabilities** \$ 170,550,003

### Noncurrent liabilities

Bonds payable - noncurrent	\$	377,364,292
Equipment loaned to UNM		3,522,290
Due to component units		184,102,598
Student loan program		12,277,376
Net pension liability		931,629,101
OPEB Obligation		21,853,100
Derivative instruments		11,151,419
Other liabilities - non-current		187,291

**Total noncurrent liabilities** \$ 1,542,087,467

**TOTAL LIABILITIES** \$ 1,712,637,470

## DEFERRED INFLOWS OF RESOURCES

Related to pensions	\$	98,567,401
Deferred revenue		0
Gain on bond refundings		934,206

**TOTAL DEFERRED  
OUTFLOWS OF RESOURCES** \$ 99,501,607

## NET ASSETS

Invested in Capital Assets, net of Related Debt	\$	530,665,339
Restricted for:		
Nonexpendable:		
Scholarships		116,702,505
State Investment Council		209,543,087
Grants, bequests and contributions		6,008,368
Expendable:		
Scholarships and other		2,684,304
Grants, bequests and contributions		2,608,854
Capital Projects		5,796,111
Debt Service		20,169,963
Unrestricted		(409,639,978)
Year-to-date change in net assets		71,599,438

**TOTAL NETS ASSETS** \$ 556,137,991

# The University of New Mexico

## Cash Flow

(Unaudited and Unadjusted)

For the three months ended September 30, 2015

### Cash flow from operating activities:

Payments from tuition and fees	\$ 85,186,001
Payments from grants and contracts	117,434,422
Payments from insurance and patients	88,493,062
Payments to suppliers	(103,353,692)
Payments for utilities	(7,212,421)
Payments to employees	(169,430,508)
Payments for benefits	(56,578,507)
Payments for scholarships and fellowships	(61,399,744)
Loans issued/collected to students and employees	(1,073,616)
Payments from sales and services	32,270,990
Other receipts	31,830,585
Net cash used by operating activities	\$ <u>(43,833,428)</u>

### Cash flow from noncapital financing activities:

State appropriations	\$ 77,857,662
Local appropriations	218,762
Other non operating payments	40,097,401
Net cash provided by noncapital financing activities	\$ <u>118,173,825</u>

### Cash flow from capital financing activities:

Interest pmts on bonds	\$ 496,138
Capital appropriations	9,724,441
Local bonds	5,413,365
Bond activity	(551,458)
Capital Asset activity, net	356,930
Net cash used by capital financing activities	\$ <u>15,439,416</u>

### Cash flow from investing activities:

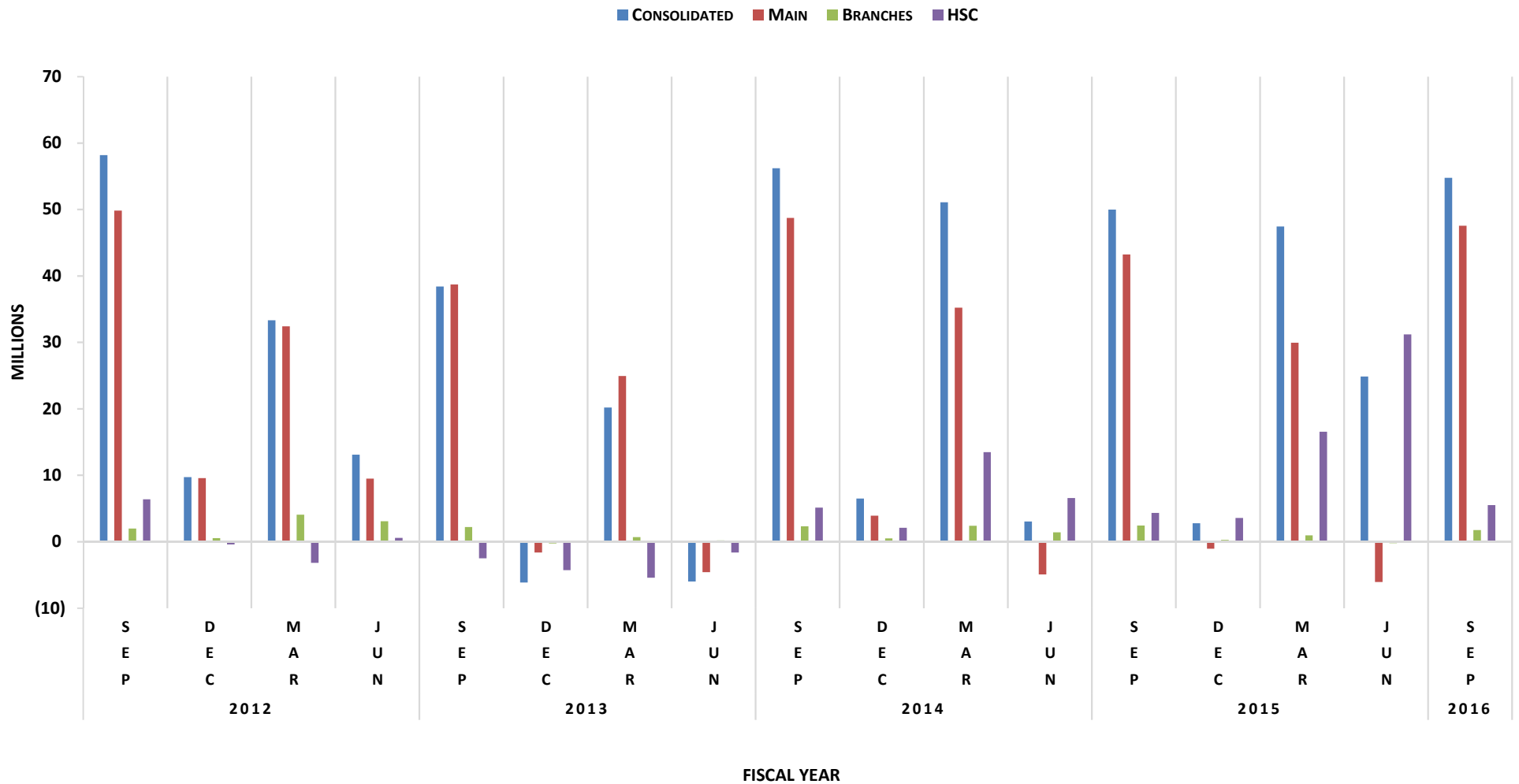
Proceeds from sale & maturity of investments	\$ 112,665,649
Purchase of investments	(192,801,352)
Investment income	7,917,860
Net cash used by investing activities	\$ <u>(72,217,843)</u>

<b>Net increase from cash and cash equivalents</b>	<b>\$ 17,561,970</b>
Cash and cash equivalents at beginning of year	108,522,192
Cash and cash equivalents end of the second quarter	\$ <u><u>126,084,162</u></u>



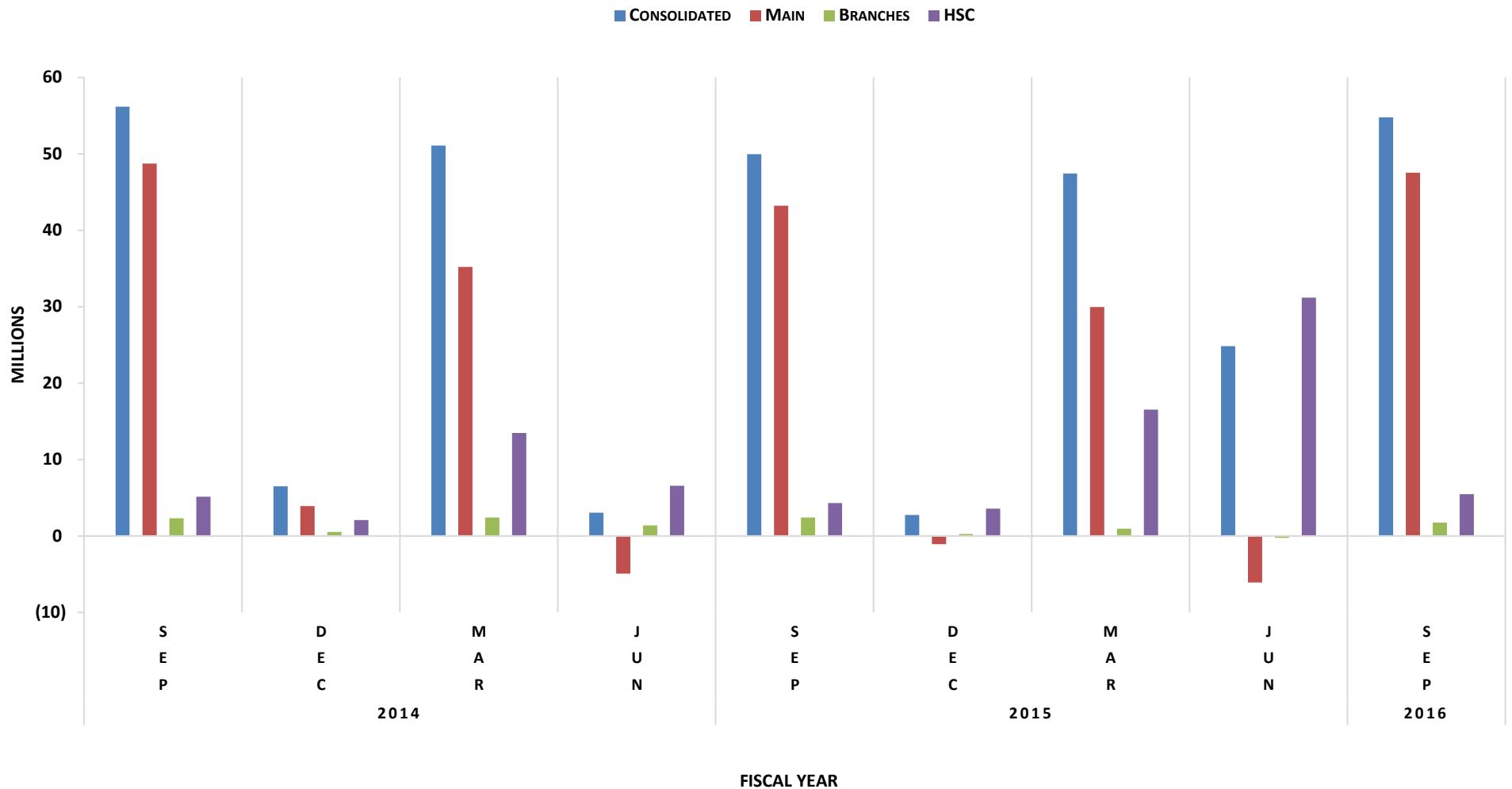
THE UNIVERSITY of  
NEW MEXICO

**CONSOLIDATED TOTAL OPERATIONS - 5 YEAR NET REVENUE / (EXPENSE)  
FISCAL YEAR TO DATE AS OF SEPTEMBER 30, 2015**





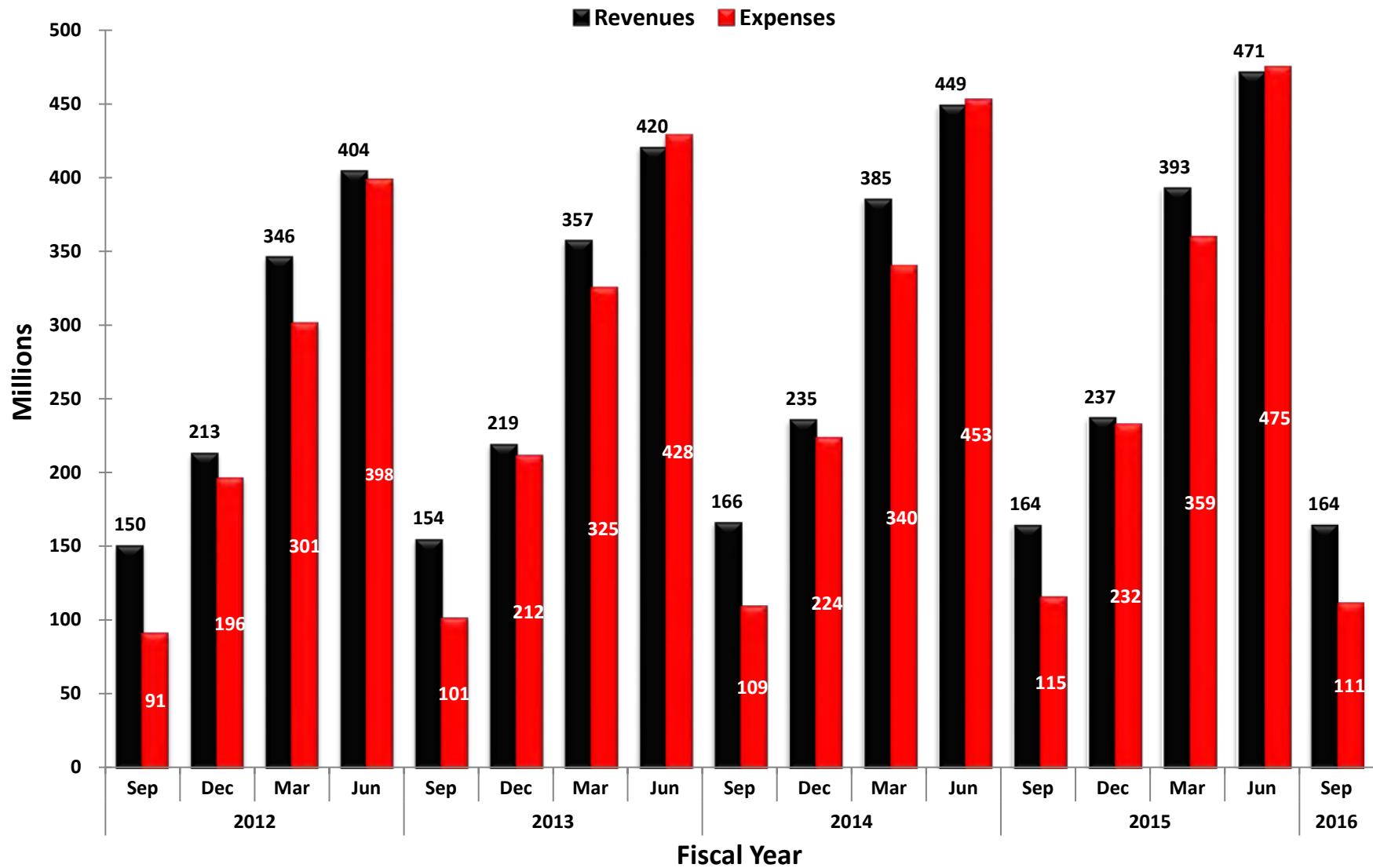
## CONSOLIDATED TOTAL OPERATIONS - 3 YEAR NET REVENUE / (EXPENSE) FISCAL YEAR TO DATE AS OF SEPTEMBER 30, 2015





## YTD I&G Consolidated Revenues / Expenses (5 Year)

### Fiscal Year to Date as of September 30, 2015



Statements of Revenues, Expenses and Changes in Net Position - UNM Regents Format  
For the three month ended September 30, 2015  
Preliminary and Unaudited

University of New Mexico - Consolidated Total Operations Current Funds

	FY 2016 Full Year Operating Budget	FY 2016 Year-to-Date Actual	Fiscal YTD Favrb/(Unfavrb) Budget	Actual to Budget Benchmark Rate 25%	FY 2015 Year-to-Date Actual	FY 2016 YTD Actual Change From FY 2015 YTD Actual
Instruction and General						
Tuition and Fees Revenues						
Main Campus	157,063,135	80,010,262	(77,052,873)	51%	77,020,217	2,990,045
Branch Campuses	7,553,002	4,124,058	(3,428,944)	55%	3,815,240	308,818
HSC Campus	15,614,629	7,462,269	(8,152,360)	48%	7,819,269	(357,000)
Total Tuition and Fees Revenues	180,230,766	91,596,589	(88,634,177)	51%	88,654,726	2,941,863
State/Local Appropriations	285,598,700	71,399,752	(214,198,948)	25%	70,795,872	603,880
F & A Revenues	45,000,000	10,837,014	(34,162,986)	24%	10,560,361	276,653
Transfers	(53,519,793)	(17,383,087)	36,136,706	32%	(13,630,364)	(3,752,723)
Other Revenues	27,619,295	7,693,872	(19,925,423)	28%	7,646,186	47,686
Total Instruction and General Revenues	484,928,968	164,144,140	(320,784,828)	34%	164,026,781	117,359
Salaries	297,302,894	68,602,072	228,700,822	23%	67,169,648	(1,432,424)
Benefits	98,759,007	21,707,926	77,051,081	22%	23,748,351	2,040,425
Other Expenses	99,473,318	21,124,123	78,349,195	21%	24,518,156	3,394,033
Total Instruction and General Expenses	495,535,219	111,434,121	384,101,098	22%	115,436,155	4,002,034
Net Instruction and General Revenue/(Expense)	(10,606,251)	52,710,019	63,316,270		48,590,626	4,119,393
Research						
State/Local Appropriations	11,724,371	2,981,618	(8,742,753)	25%	2,977,194	4,424
Transfers	30,901,268	4,143,772	(26,757,496)	13%	3,497,947	645,825
Other Revenues	1,941,008	963,300	(977,708)	50%	473,156	490,144
Total Research Revenues	44,566,647	8,088,690	(36,477,957)	18%	6,948,297	1,140,393
Salaries and Benefits	27,988,312	6,513,500	21,474,812	23%	6,431,011	(82,489)
Other Expenses	21,446,412	4,263,186	17,183,226	20%	3,895,265	(367,921)
Total Research Expenses	49,434,724	10,776,686	38,658,038	22%	10,326,276	(450,410)
Net Research Revenue/(Expense)	(4,868,077)	(2,687,996)	2,180,081		(3,377,979)	689,983
Public Service						
State/Local Appropriations	4,083,250	1,020,814	(3,062,436)	25%	1,147,713	(126,899)
Sales and Services Revenues	18,838,530	4,706,437	(14,132,093)	25%	3,627,801	1,078,636
Gifts	8,932,054	2,446,400	(6,485,654)	27%	2,177,222	269,178
Transfers	5,028,654	2,359,968	(2,668,686)	47%	1,677,418	682,550
Other Revenues	5,645,622	1,349,908	(4,295,714)	24%	1,520,689	(170,781)
Total Public Service Revenues	42,528,110	11,883,527	(30,644,583)	28%	10,150,843	1,732,684
Salaries and Benefits	23,144,606	5,248,087	17,896,519	23%	5,747,833	499,746
Other Expenses	24,499,966	5,784,935	18,715,031	24%	3,423,077	(2,361,858)
Total Public Service Expenses	47,644,572	11,033,022	36,611,550	23%	9,170,910	(1,862,112)
Net Public Service Revenue/(Expense)	(5,116,462)	850,505	5,966,967		979,933	(129,428)

**Statements of Revenues, Expenses and Changes in Net Position - UNM Regents Format**  
**For the three month ended September 30, 2015**  
**Preliminary and Unaudited**

**University of New Mexico - Consolidated Total Operations Current Funds**

	<b>FY 2016 Full Year Operating Budget</b>	<b>FY 2016 Year-to-Date Actual</b>	<b>Fiscal YTD Favrb/(Unfavrb) Budget</b>	<b>Actual to Budget Benchmark Rate 25%</b>	<b>FY 2015 Year-to-Date Actual</b>	<b>FY 2016 YTD Actual Change From FY 2015 YTD Actual</b>
Student Aid						
Gifts	5,688,885	1,759,007	(3,929,878)	31%	1,664,196	94,811
State Lottery Scholarship	35,000,000	17,500,000	(17,500,000)	50%	18,742,974	(1,242,974)
Transfers	18,774,229	4,419,157	(14,355,072)	24%	4,308,611	110,546
Other Revenues	995,641	304,588	(691,053)	31%	393,978	(89,390)
Total Student Aid Revenues	60,458,755	23,982,752	(36,476,003)	40%	25,109,759	(1,127,007)
Salaries and Benefits	4,769,561	954,531	3,815,030	20%	1,199,068	244,537
Other Expenses	64,406,293	27,953,197	36,453,096	43%	27,457,599	(495,598)
Total Student Aid Expenses	69,175,854	28,907,728	40,268,126	42%	28,656,667	(251,061)
Net Student Aid Revenue/(Expense)	(8,717,099)	(4,924,976)	3,792,123		(3,546,908)	(1,378,068)
Student Social & Cultural Programs						
Fee Revenues	8,373,771	3,714,261	(4,659,510)	44%	3,882,792	(168,531)
Sales and Services Revenues	1,533,630	384,222	(1,149,408)	25%	364,068	20,154
Transfers	594,632	225,205	(369,427)	38%	380,217	(155,012)
Other Revenues	170,264	53,050	(117,214)	31%	64,009	(10,959)
Total Student Social & Cultural Programs Revenues	10,672,297	4,376,738	(6,295,559)	41%	4,691,086	(314,348)
Salaries and Benefits	6,177,002	1,564,877	4,612,125	25%	1,177,019	(387,858)
Other Expenses	4,767,709	1,235,221	3,532,488	26%	1,382,487	147,266
Total Student Social & Cultural Programs Expenses	10,944,711	2,800,098	8,144,613	26%	2,559,506	(240,592)
Net Student Social & Cultural Programs Revenue/(Expense)	(272,414)	1,576,640	1,849,054		2,131,580	(554,940)
Auxiliaries and Athletics						
Branch Campuses Auxiliary Revenues	2,635,955	807,214	(1,828,741)	31%	908,673	(101,459)
Main Campus Auxiliaries Revenues	52,022,638	21,363,130	(30,659,508)	41%	21,096,694	266,436
Athletics Revenues	35,042,424	7,322,974	(27,719,450)	21%	7,787,502	(464,528)
Total Auxiliaries and Athletics Revenues	89,701,017	29,493,318	(60,207,699)	33%	29,792,869	(299,551)
Branch Campuses Auxiliary Expenses	2,758,149	838,174	1,919,975	30%	852,863	14,689
Main Campus Auxiliaries Expenses	52,574,144	14,173,767	38,400,377	27%	13,739,530	(434,237)
Athletics Expenses	35,071,674	9,951,343	25,120,331	28%	9,587,970	(363,373)
Total Auxiliaries and Athletics Expenses	90,403,967	24,963,284	65,440,683	28%	24,180,363	(782,921)
Net Auxiliaries and Athletics Revenue/(Expense)	(702,950)	4,530,034	5,232,984		5,612,506	(1,082,472)



Statements of Revenues, Expenses and Changes in Net Position - UNM Regents Format  
For the three month ended September 30, 2015  
Preliminary and Unaudited

University of New Mexico - Consolidated Total Operations Current Funds

	FY 2016 Full Year Operating Budget	FY 2016 Year-to-Date Actual	Fiscal YTD Favrb/(Unfavrb) Budget	Actual to Budget Benchmark Rate 25%	FY 2015 Year-to-Date Actual	FY 2016 YTD Actual Change From FY 2015 YTD Actual
Sponsored Programs						
Federal Grants and Contracts Revenues	248,435,860	72,787,741	(175,648,119)	29%	72,130,579	657,162
State and Local Grants and Contracts Revenues	31,171,793	8,015,427	(23,156,366)	26%	6,997,561	1,017,866
Non-Governmental Grants and Contracts Revenues	33,595,771	9,047,069	(24,548,702)	27%	9,693,816	(646,747)
Gifts	-	-	-	N/A	67,183	(67,183)
Transfers	4,845,780	1,184,026	(3,661,754)	24%	1,797,711	(613,685)
Other Revenues	-	(406,691)	(406,691)	N/A	(300,829)	(105,862)
Total Sponsored Programs Revenues	318,049,204	90,627,572	(227,421,632)	28%	90,386,021	241,551
Salaries and Benefits	144,030,709	34,279,188	109,751,521	24%	33,578,926	(700,262)
Other Expenses	174,018,495	56,348,384	117,670,111	32%	56,807,095	458,711
Total Sponsored Programs Expenses	318,049,204	90,627,572	227,421,632	28%	90,386,021	(241,551)
Net Sponsored Programs Revenue/(Expense)	-	-	-		-	-
Clinical Operations						
State/Local Appropriations	27,559,400	7,077,348	(20,482,052)	26%	6,551,101	526,247
Physician Professional Fee Revenues	130,642,341	29,897,591	(100,744,750)	23%	29,398,842	498,749
Hospital Facility Revenues	892,825,169	228,462,418	(664,362,751)	26%	186,571,342	41,891,076
Other Patient Revenues, net of Allowance	143,856,372	34,209,550	(109,646,822)	24%	30,329,507	3,880,043
Mil Levy	93,616,856	23,304,027	(70,312,829)	25%	23,195,011	109,016
Investment Income	1,454,334	1,074,749	(379,585)	74%	2,907,194	(1,832,445)
Gifts	869,905	1,202,342	332,437	138%	1,316,315	(113,973)
Housestaff Revenues	35,162,474	9,147,232	(26,015,242)	26%	9,344,681	(197,449)
Other Revenues	26,790,511	5,012,432	(21,778,079)	19%	3,905,081	1,107,351
Total Clinical Operations Revenues	1,352,777,362	339,387,689	(1,013,389,673)	25%	293,519,074	45,868,615
Salaries and Benefits	715,017,193	171,518,180	543,499,013	24%	163,513,089	(8,005,091)
Interest Expense	3,869,811	967,453	2,902,358	25%	2,019,280	1,051,827
Housestaff Expenses	34,900,534	9,211,104	25,689,430	26%	8,564,708	(646,396)
Other Expenses	596,488,529	154,982,670	441,505,859	26%	119,844,097	(35,138,573)
Total Clinical Operations Expenses	1,350,276,067	336,679,407	1,013,596,660	25%	293,941,174	(42,738,233)
Net Clinical Operations Revenue/(Expense)	2,501,295	2,708,282	206,987		(422,100)	3,130,382
Contingencies						
Total Contingency Revenues	(3,099,103)	-	3,099,103	0%	-	-
Total Contingency Expenses	(3,227,340)	-	3,227,340	0%	-	-
Net Contingencies Revenue/(Expense)	128,237	-	(128,237)		-	-
Net Current Revenue/(Expense)	(27,653,721)	54,762,508	82,416,229		49,967,658	4,794,850

Statements of Revenues, Expenses and Changes in Net Position - UNM Regents Format  
For the three month ended September 30, 2015  
Preliminary and Unaudited

University of New Mexico - Main Campus Athletics & Auxiliary Operations

	FY 2016 Full Year Operating Budget	FY 2016 Year-to-Date Actual	Fiscal YTD Favrb/(Unfavrb) Budget	Actual to Budget Benchmark Rate 25%	FY 2015 Year-to-Date Actual	FY 2016 YTD Actual Change From FY 2015 YTD Actual
<b>Results of Athletics Operations:</b>						
Athletics Revenues	38,443,436	8,172,685	(30,270,751)	21%	8,697,268	(524,583)
Athletics Transfers	(3,401,012)	(849,711)	2,551,301	25%	(909,766)	60,055
Total Athletics Revenues	35,042,424	7,322,974	(27,719,450)	21%	7,787,502	(464,528)
Athletics Expenses						
Salaries and Benefits	14,271,253	3,640,133	10,631,120	26%	3,846,568	206,435
Grant-in-Aid	4,283,719	2,043,829	2,239,890	48%	1,840,674	(203,155)
Other Expenses	16,516,702	4,267,381	12,249,321	26%	3,900,728	(366,653)
Total Athletics Expenses	35,071,674	9,951,343	25,120,331	28%	9,587,970	(363,373)
Total Net Athletics Revenue/(Expense)	(29,250)	(2,628,369)	(2,599,119)		(1,800,468)	(827,901)
<b>Results of Auxiliary Operations:</b>						
<b>VP for Institutional Support Services</b>						
Bookstore Revenues	14,654,739	5,963,084	(8,691,655)	41%	6,599,265	(636,181)
Bookstore Transfers	(398,500)	(87,500)	311,000	22%	(87,500)	-
Total Bookstore Revenues	14,256,239	5,875,584	(8,380,655)	41%	6,511,765	(636,181)
Total Bookstore Expenses	14,256,239	5,041,982	9,214,257	35%	5,572,029	530,047
Net Bookstore Revenue/(Expense)	-	833,602	833,602		939,736	(106,134)
Faculty & Staff Club Revenues	83,000	10,463	(72,537)	13%	31,323	(20,860)
Faculty & Staff Club Expenses	83,000	15,653	67,347	19%	16,423	770
Net Faculty & Staff Club Revenue/(Expense)	-	(5,190)	(5,190)		14,900	(20,090)
Food Service/Dining Revenues	2,705,776	564,810	(2,140,966)	21%	808,202	(243,392)
Food Service/Dining Transfers	(297,287)	(12,500)	284,787	4%	(12,500)	-
Total Food Service/Dining Revenues	2,408,489	552,310	(1,856,179)	23%	795,702	(243,392)
Total Food Service/Dining Expenses	2,408,489	395,904	2,012,585	16%	397,761	1,857
Net Food Service/Dining Revenue/(Expense)	-	156,406	156,406		397,941	(241,535)
Golf Courses Revenues	2,457,250	598,830	(1,858,420)	24%	594,339	4,491
Golf Courses Transfers	(39,252)	(9,812)	29,440	25%	(9,813)	1
Total Golf Courses Revenues	2,417,998	589,018	(1,828,980)	24%	584,526	4,492
Total Golf Courses Expenses	2,417,998	606,870	1,811,128	25%	593,733	(13,137)
Net Golf Courses Revenue/(Expense)	-	(17,852)	(17,852)		(9,207)	(8,645)
Housing	10,468,800	5,609,381	(4,859,419)	54%	5,642,148	(32,767)
Housing Transfers	(2,508,937)	(833,560)	1,675,377	33%	(800,523)	(33,037)
Total Housing Revenues	7,959,863	4,775,821	(3,184,042)	60%	4,841,625	(65,804)
Total Housing Expense	7,959,863	1,968,221	5,991,642	25%	2,140,017	171,796
Net Housing Revenue/(Expense)	-	2,807,600	2,807,600		2,701,608	105,992
Other	1,093,164	66,666	(1,026,498)	6%	(383,333)	449,999
Other Transfers	(1,578,520)	(557,500)	1,021,020	35%	-	(557,500)
Total Other Revenues	(485,356)	(490,834)	(5,478)	101%	(383,333)	(107,501)
Total Other Expense	66,150	-	66,150	0%	-	-
Net Other Revenue/(Expense)	(551,506)	(490,834)	60,672		(383,333)	(107,501)

Statements of Revenues, Expenses and Changes in Net Position - UNM Regents Format  
For the three month ended September 30, 2015  
Preliminary and Unaudited

University of New Mexico - Main Campus Athletics & Auxiliary Operations

	FY 2016 Full Year Operating Budget	FY 2016 Year-to-Date Actual	Fiscal YTD Favrb/(Unfavrb) Budget	Actual to Budget Benchmark Rate 25%	FY 2015 Year-to-Date Actual	FY 2016 YTD Actual Change From FY 2015 YTD Actual
Parking and Transportation Revenues	8,655,293	3,985,265	(4,670,028)	46%	4,109,600	(124,335)
Parking and Trans Transfers	(2,246,289)	(566,963)	1,679,326	25%	(581,883)	14,920
Total Parking and Trans Revenues	6,409,004	3,418,302	(2,990,702)	53%	3,527,717	(109,415)
Total Parking and Trans Expenses	6,409,004	1,276,027	5,132,977	20%	1,520,422	244,395
Net Parking and Trans Revenue/(Expense)	-	2,142,275	2,142,275		2,007,295	134,980
Popejoy Events Revenues	6,321,392	1,417,365	(4,904,027)	22%	110,822	1,306,543
Popejoy Events Transfers	-	-	-	N/A	15,000	(15,000)
Total Popejoy Events Revenues	6,321,392	1,417,365	(4,904,027)	22%	125,822	1,291,543
Total Popejoy Events Expenses	6,321,392	1,799,534	4,521,858	28%	622,065	(1,177,469)
Net Popejoy Events Revenue/(Expense)	-	(382,169)	(382,169)		(496,243)	114,074
Taos & Lawrence Ranch Revenues	49,404	-	(49,404)	0%	62,049	(62,049)
Taos & Lawrence Ranch Expenses	49,404	16,321	33,083	33%	14,768	(1,553)
Net Taos & Lawrence Ranch Revenue/(Expense)	-	(16,321)	(16,321)		47,281	(63,602)
Ticketing Services Revenues	1,077,131	248,106	(829,025)	23%	385,130	(137,024)
Ticketing Services Transfers	-	-	-	N/A	-	-
Total Ticketing Services Revenues	1,077,131	248,106	(829,025)	23%	385,130	(137,024)
Total Ticketing Services Expenses	1,077,131	240,760	836,371	22%	208,141	(32,619)
Net Ticketing Services Revenue/(Expense)	-	7,346	7,346		176,989	(169,643)
Total VP for Institutional Support Services Revenues	40,497,164	16,396,135	(24,101,029)	40%	16,482,326	(86,191)
Total VP for Institutional Support Services Expenses	41,048,670	11,361,272	29,687,398	28%	11,085,359	(275,913)
Net VP for Institutional Support Services Revenue/(Expense)	(551,506)	5,034,863	5,586,369		5,396,967	(362,104)
<b>VP for Student Affairs</b>						
Lobo Cash Revenues	91,540	46,373	(45,167)	51%	51,244	(4,871)
Lobo Cash Expenses	91,540	6,337	(85,203)	7%	32,175	25,838
Net Lobo Cash Revenue/(Expense)	-	40,036	40,036		19,069	20,967
Student Health Center Revenues	7,833,295	3,358,141	(4,475,154)	43%	3,098,679	259,462
Student Health Center Expenses	7,833,295	1,877,388	5,955,907	24%	1,799,344	(78,044)
Net Student Health Center Revenue/(Expense)	-	1,480,753	1,480,753		1,299,335	181,418
Student Union Revenues	3,270,139	1,540,770	(1,729,369)	47%	1,425,524	115,246
Student Union Expenses	3,270,139	850,883	2,419,256	26%	757,446	(93,437)
Net Student Union Revenue/(Expense)	-	689,887	689,887		668,078	21,809
Total VP for Student Affairs Revenues	11,194,974	4,945,284	(6,249,690)	44%	4,575,447	369,837
Total VP for Student Affairs Expenses	11,194,974	2,734,608	8,289,960	24%	2,588,965	(145,643)
Net VP for Student Affairs Revenue/(Expense)	-	2,210,676	2,210,676		1,986,482	224,194

Statements of Revenues, Expenses and Changes in Net Position - UNM Regents Format  
For the three month ended September 30, 2015  
Preliminary and Unaudited

University of New Mexico - Main Campus Athletics & Auxiliary Operations

	FY 2016 Full Year Operating Budget	FY 2016 Year-to-Date Actual	Fiscal YTD Favrb/(Unfavrb) Budget	Actual to Budget Benchmark Rate 25%	FY 2015 Year-to-Date Actual	FY 2016 YTD Actual Change From FY 2015 YTD Actual
<b>Provost and Other Units</b>						
Art Museum Revenues	5,500	985	(4,515)	18%	1,635	(650)
Art Museum Expenses	5,500	12	5,488	0%	123	111
Net Art Museum Revenue/(Expense)	-	973	973		1,512	(539)
CE Conference Ctr Revenues	225,000	26,186	(198,814)	12%	25,736	450
CE Conference Ctr Transfers	-	(33,100)	(33,100)	N/A	(20,740)	(12,360)
Total CE Conference Ctr Revenues	225,000	(6,914)	(231,914)	-3%	4,996	(11,910)
Total CE Conference Ctr Expenses	225,000	56,728	168,272	25%	47,313	(9,415)
Net CE Conference Ctr Revenue/(Expense)	-	(63,642)	(63,642)		(42,317)	(21,325)
Maxwell Museum Revenues	40,000	6,703	(33,297)	17%	10,843	(4,140)
Maxwell Museum Expenses	40,000	2,695	37,305	7%	4,705	2,010
Net Maxwell Museum Revenue/(Expense)	-	4,008	4,008		6,138	(2,130)
Other Revenues	60,000	20,937	(39,063)	35%	21,447	(510)
Other Expenses	60,000	18,452	41,548	31%	13,065	(5,387)
Net Other Revenue/(Expense)	-	2,485	2,485		8,382	(5,897)
Total Provost and Other Units Revenues	330,500	21,711	(308,789)	7%	38,921	(17,210)
Total Provost and Other Units Expenses	330,500	77,887	252,613	24%	65,206	(12,681)
Net Provost and Other Units Revenue/(Expense)	-	(56,176)	(56,176)		(26,285)	(29,891)
<b>Auxiliary Totals</b>						
Total Auxiliary Revenues	52,022,638	21,363,130	(30,659,508)	41%	21,096,694	266,436
Total Auxiliary Expenses	52,574,144	14,173,767	38,400,377	27%	13,739,530	(434,237)
Net Auxiliary Revenue/(Expense)	(551,506)	7,189,363	7,740,869		7,357,164	(167,801)
Net Athletics Revenue/(Expense)	(29,250)	(2,628,369)	(2,599,119)		(1,800,468)	(827,901)
Net Auxiliary and Athletics Revenue/(Expense)	(580,756)	4,560,994	5,141,750		5,556,696	(995,702)
Net Branch Campuses Aux Revenue/(Expense)	(122,194)	(30,960)	91,234		55,810	(86,770)
Net All Auxiliary and Athletics Revenue/(Expense)	(702,950)	4,530,034	5,232,984		5,612,506	(1,082,472)

## **Executive Budget Summary**

### **University of New Mexico Consolidated Financial Report**

### **FY 2016 UNM Operating Budget**

This report covers current fund operations for the University, including Main Campus, Branch Campuses and HSC Campus.

**Instruction and General** operations projects a use of reserves of \$10.6M for the FY 2016 UNM Operating Budget. The use of reserves of \$10.6M is comprised of \$8.4M use of reserves at the Main Campus, a \$2.4M use of reserves at the Branch Campuses, and a favorable net margin of \$172.3K at the HSC Campus. The \$8.4M use of reserves at Main Campus is primarily due to Provost Academic Affairs budgeting \$6.7M of reserves, and Executive VP for Administration budgeting \$1.4M use of reserves. Within Provost Academic Affairs, Provost Administrative Units, College of Arts and Sciences, and Extended University budgeted the largest use of reserves.

The next block of information shows our **Unrestricted Research** operations. The FY 2016 UNM Operating Budget shows a use of reserves of \$4.9M, of which \$4.5M use of reserves is related to Main Campus and a \$367.4K use of reserves is related to HSC Campus. The \$4.5M use of reserves at Main Campus is primarily due to Provost Academic Affairs' departments budgeting reserves. The departments that budgeted the largest use of reserves are, College of Arts and Sciences, College of Education, School of Engineering, and VP Research & Economic Development. At the HSC Campus, the \$367.4K use of reserves includes faculty start-up for the SOM and CTSC promotion and equipment & maintenance contracts for the VP for Research.

The third business category shown on the first page of this report is **Unrestricted Public Service**. The operations in this category include special projects funded by State Appropriations, for example Project ECHO, and non-endowed gifts flowing from the UNM Foundation to departments and many small events funded by user fees. The FY 2016 UNM Operating Budget shows a use of reserves of \$5.1M. These reserves are comprised of \$4.5M use of reserves at the Main and Branch Campuses and a use of reserves of \$621.8K at the HSC Campus. The \$4.5M use of reserves at the Main and Branch Campuses is primarily due to Provost Academic Affairs' departments budgeting reserves. The departments budgeting the largest use of reserves are: Provost Administrative Units, College of Fine Arts, College of Arts and Sciences, School of Engineering, University Libraries, and VP Research & Economic Development. The primary use of reserves at the HSC campus includes faculty salaries for the College of Nursing to compensate for Extended Learning and non-endowed (gifts) for UNM Cancer Center building & facilities

Page 2 of this report begins with the **Student Aid** function. The FY 2016 UNM Operating Budget projects a use of reserves of \$8.7M. These reserves are comprised of \$8.2M use of reserves at the Main and Branch Campuses and a use of reserves of \$514K at the HSC Campus. The budgeted use of reserves at Main Campus is primarily due to Provost Academic Affairs' departments budgeting reserves in endowed spending indices for the payout of major and departmental scholarships in the new fiscal year. Those departments include: VP Division of Enrollment Management, College of Fine Arts, College of Arts and Sciences, College of Education, and School of Law. The primary use of reserves at the HSC Campus includes student scholarships for the SOM and visiting faculty salaries for the College of Nursing.

**Student Activities** are the operations of Student Government and Student organizations. The FY 2016 UNM Operating Budget shows a use of reserves of \$272.4K.

### **Auxiliaries and Athletics**

The FY 2016 UNM Operating Budget for Auxiliaries and Athletics projected a use of reserves of \$702.9K. These reserves are primarily due to a combination of Athletics budgeting a \$29.2K use of reserves, VP for Institutional Support Services budgeting a \$551.5K use of reserves, and the branch campuses budgeting a use of reserves of \$122.2K.

**Sponsored programs** operations are our contract and grant research and public service projects funded by outside agencies and companies. These operations will always record a zero net revenue over expense by the nature of their funding. The agency pays for a service or research project, and normally any unspent funds must be returned to the agency.

The next block of numbers on the third page is a summary of our **Clinical Operations**. These operations are essentially all the patient care activities of the HSC Campus, including the UNM Hospitals, SOM physician professional services, Cancer Center operations and Housestaff/Medical Residents who are being trained in the UNM and VA hospitals. The FY 2016 UNM Re-Forecasted Budget projected a favorable net margin of \$2.5M. UNM Hospitals budgeted a favorable net margin of \$463K. The School of Medicine budgeted a favorable net margin of \$2.0M which is primarily due to continued increases in Cancer Center volumes.

## FY16 UNM Debt Service Schedule

As of September 30, 2015

\*Includes Hospital Debt

UNM Bond Issue	Fixed or Variable Rate Issue	Original Issue Amount	Outstanding Principal Balance on June 30, 2015	Principal Payment due on June 1, 2016	Interest Payment paid on December 1, 2015	Interest Payment due on June 1, 2016	FY 2016 Principal & Interest
<sup>(1)</sup> GNMA Collateralized Taxable Hospital Revenue Bonds* <b>Series 2015:</b> Interest Range .484% to 3.532% Final Maturity Year 2032	Fixed Rate	\$115,000,000	\$115,000,000	\$6,035,000 (due 6/20/2016)	\$1,920,713 (due 12/20/2015)	\$1,600,594 (due 6/20/2016)	\$9,556,307
Sub Lien System Imp Revenue Bonds <sup>(4)</sup> <b>Series 2014 A:</b> Interest Range 3.0% to 5.0% Final Maturity Year 2033	Fixed Rate	\$10,980,000	\$9,715,000	\$1,240,000	\$204,125	\$204,125	\$1,648,250
Sub Lien System Rfdg Revenue Bonds <sup>(5)</sup> <b>Series 2014 B:</b> Interest Range 0.496% to 3.280% Final Maturity Year 2024	Fixed Rate	\$3,710,000	\$3,365,000	\$360,000	\$39,216	\$39,216	\$438,432
Sub Lien System Rfdg Revenue Bonds <sup>(6)</sup> <b>Series 2014 C:</b> Interest Range 1.5% to 5.0% Final Maturity Year 2035	Fixed Rate	\$100,085,000	\$97,615,000	\$2,140,000	\$2,440,375	\$2,440,375	\$7,020,750
Sub Lien System Imp Revenue Bonds <sup>(3)</sup> <b>Series 2012:</b> Interest Range 2.0% to 5.0% Final Maturity Year 2032	Fixed Rate	\$35,215,000	\$30,545,000	\$1,380,000	\$729,525	\$729,525	\$2,839,050
Sub Lien System Imp Revenue Bonds <b>Series 2007 A&amp;B:</b> Interest Range 4.096% to 5.302% Final Maturity Year 2036	Fixed Rate	\$136,710,000	\$127,865,000	\$2,000,000	\$3,200,997	\$3,200,997	\$8,401,994
Sub Lien Sys Rfdg Revenue Bonds <sup>(2)</sup> <b>Series 2002 B:</b> Variable Rate Demand Bonds - rates reset weekly Weekly rate as of June 30, 2014 was 0.05% Final Maturity Year 2026	Variable Rate	\$25,475,000	\$19,060,000	\$1,610,000	\$364,999	\$364,999	\$2,339,998
Sub Lien System Rfdg Revenue Bonds <sup>(2)</sup> <b>Series 2002 C:</b> Variable Rate Demand Bonds - rates reset weekly Weekly rate as of June 30, 2014 was 0.05% Final Maturity Year 2030	Variable Rate	\$37,840,000	\$33,405,000	\$945,000	\$658,079	\$658,079	\$2,261,158
Sub Lien System Imp Revenue Bonds <sup>(2)</sup> <b>Series 2001:</b> Variable Rate Demand Bonds - rates reset weekly Weekly rate as of June 30, 2014 was 0.07% Ceiling of 12% Final Maturity Year 2026	Variable Rate	\$52,625,000	\$31,020,000	\$2,265,000	\$620,400	\$620,400	\$3,505,800
System Revenue Bonds <b>Series 2000 B:</b> Interest Range 5.50% to 6.35% Final Maturity Year 2019	Fixed Rate	\$6,621,671	\$1,332,234	\$410,532	\$0	\$704,468	\$1,115,000
System Revenue Rfdg Bonds <b>Series 1992 A:</b> Interest Range 6.0% to 6.25% Final Maturity Year 2021	Fixed Rate	\$36,790,000	\$13,670,000	\$2,070,000	\$410,000	\$410,000	\$2,890,000
<b>Grand Total</b>		<b>\$561,051,671</b>	<b>\$482,592,234</b>	<b>\$20,455,532</b>	<b>\$10,588,429</b>	<b>\$10,972,778</b>	<b>\$42,016,739</b>

Note: See attached matrix for funding sources.

(1) Source: UNM Hospital - UNM Hospital Principal payment is due on June 20; interest payments are due on December 20 and June 20.

(2) Variable Rate bonds reflect the actual synthetically fixed interest rate that UNM pays. It is noted that all ranges of interest rates and final maturity dates are reflective of Serial bonds.

(3) Series 2012 bonds refunded 2002A bonds,

(4) Series 2014A bonds refunded 2003A, 2003B bonds,

(5) Series 2014B bonds refunded 2003C bonds,

(6) Series 2014C bonds refunded 2005A bonds,

# FY16 UNM Debt Service - Source of Funds

As of September 30, 2015

	Series 2015 (UNMH Bond)	Series 2014A	Series 2014B	Series 2014C	Series 2012	Series 2007A&B	Series 2002B	Series 2002C	Series 2001	Series 2000B	Series 1992
Student Fees- Facility	X		X	X	X	X	X		X	X	
Student Fees - IT			X	X							
Parking Services			X	X	X						X
UNM Hospital	X	X				X					X
Bookstore		X									X
Housing & Dining Services		X		X			X		X		
Building R&R		X				X					X
Real Estate Department		X	X		X	X					
Physical Plant Department			X	X	X	X		X			
Information Technologies			X	X							
Athletics					X						
KNME											X
Opto Bldg (CHTM Res Park)						X					
CRTC						X					
Continuing Education						X					
Golf Course - North & South							X		X		
HSC				X	X						
Interest on Reserve Funds		X				X	X		X		



Statements of Revenues, Expenses and Changes in Net Assets - UNM Regents Format  
For the three month period ended Sep 30, 2015  
Preliminary and Unaudited

Detail of State/Local Appropriations  
**Consolidated - Total Operations Current Funds**

	FY 2016 Full Year Operating Budget	FY 2016 Year-to-Date Actual	Fiscal YTD Favrb/(Unfavrb) Budget	Actual to Budget Benchmark Rate 25%
Instruction and General				
Instruction & General Appropriations	275,560,700	68,890,275	(206,670,425)	25%
State Special Project Appropriations	1,236,200	309,050	(927,150)	25%
Tobacco Settlement Appropriations	1,130,600	282,627	(847,973)	25%
Mill Levy	7,671,200	1,917,800	(5,753,400)	25%
Total Instruction and General Appropriations	<u>285,598,700</u>	<u>71,399,752</u>	<u>(214,198,948)</u>	<u>25%</u>
Research				
State Special Project Appropriations	6,845,350	1,711,338	(5,134,012)	25%
Tobacco Settlement Appropriations	979,800	244,950	(734,850)	25%
Cigarette Tax Appropriations	3,899,221	1,025,330	(2,873,891)	26%
Total Research Appropriations	<u>11,724,371</u>	<u>2,981,618</u>	<u>(8,742,753)</u>	<u>25%</u>
Public Service				
State Special Project Appropriations	4,083,250	1,020,814	(3,062,436)	25%
Total Public Service Appropriations	<u>4,083,250</u>	<u>1,020,814</u>	<u>(3,062,436)</u>	<u>25%</u>
Clinical Operations				
State Special Project Appropriations	26,707,700	6,864,423	(19,843,277)	26%
Tobacco Settlement Appropriations	851,700	212,925	(638,775)	25%
Total Clinical Operations Appropriations	<u>27,559,400</u>	<u>7,077,348</u>	<u>(20,482,052)</u>	<u>26%</u>

**Statements of Revenues, Expenses and Changes in Net Assets - UNM Regents Format**  
**For the three month period ended Sep 30, 2015**  
**Preliminary and Unaudited**

**Detail of State/Local Appropriations**  
**Main Campus - Total Operations Current Funds**

	<b>FY 2016 Full Year Operating Budget</b>	<b>FY 2016 Year-to-Date Actual</b>	<b>Fiscal YTD Favrb/(Unfavrb) Budget</b>	<b>Actual to Budget Benchmark Rate 25%</b>
<b>Instruction and General</b>				
Instruction & General Appropriations	191,264,000	47,816,000	(143,448,000)	25%
State Special Project Appropriations				
African American Student Services	72,700	18,175	(54,525)	25%
Degree Mapping	75,000	18,750	(56,250)	25%
Disabled Student Services	191,900	47,975	(143,925)	25%
ENLACE	64,100	16,025	(48,075)	25%
Hispanic Student Center	158,100	39,525	(118,575)	25%
Minority Graduate Recruitment	118,600	29,650	(88,950)	25%
Native American Studies Intervention	356,400	89,100	(267,300)	25%
Pre-College Minority Student Math & Science	199,400	49,850	(149,550)	25%
Total State Special Project Appropriations	1,236,200	309,050	(927,150)	25%
Total Instruction and General Appropriations	192,500,200	48,125,050	(144,375,150)	25%
<b>Research</b>				
State Special Project Appropriations				
Center for Regional Studies (SW Research Ctr)	988,250	247,063	(741,187)	25%
Manufacturing Engineering	561,900	140,475	(421,425)	25%
Morrisey Hall	47,600	11,900	(35,700)	25%
Resource Geographic Information System	66,300	16,575	(49,725)	25%
Utton Transboundary Resource Center	346,300	86,574	(259,726)	25%
Total State Special Project Appropriations	2,010,350	502,587	(1,507,763)	25%
Total Research Appropriations	2,010,350	502,587	(1,507,763)	25%
<b>Public Service</b>				
State Special Project Appropriations				
Athlete Brain Safe Program	175,000	43,750	(131,250)	25%
Bureau of Business Research (Census)	384,700	96,175	(288,525)	25%
College Prep Mentoring/School of Law	120,800	30,200	(90,600)	25%
College Preparatory Mentoring	171,500	42,875	(128,625)	25%
Corrine Wolfe Law Center/Child Abuse Training	171,900	42,975	(128,925)	25%
Family Development Program	568,600	142,150	(426,450)	25%
FinAid Pell Administration	70,000	17,500	(52,500)	25%
ISTEC	48,800	12,200	(36,600)	25%
Judicial Selection	23,000	5,750	(17,250)	25%
KNME-TV	1,177,300	294,325	(882,975)	25%
Land Grant Studies Program	131,800	32,950	(98,850)	25%
N. M. Historical Review	48,000	12,000	(36,000)	25%
Small Business Innovation & Research Outreach	84,400	21,100	(63,300)	25%
Southwest Indian Law Clinic	207,600	51,900	(155,700)	25%
Spanish Colonial Research Center (SW Research Ctr)	148,750	37,188	(111,562)	25%
Spanish Resource Center	41,800	10,450	(31,350)	25%
Substance Abuse Program	138,200	34,550	(103,650)	25%
Wildlife Law Education	96,400	24,100	(72,300)	25%
Total State Special Project Appropriations	3,808,550	952,138	(2,856,412)	25%
Total Public Service Appropriations	3,808,550	952,138	(2,856,412)	25%

Statements of Revenues, Expenses and Changes in Net Assets - UNM Regents Format  
For the three month period ended Sep 30, 2015  
Preliminary and Unaudited

Detail of State/Local Appropriations

Branch Campuses - Total Operations Current Funds

	FY 2016 Full Year Operating Budget	FY 2016 Year-to-Date Actual	Fiscal YTD Favrb/(Unfavrb) Budget	Actual to Budget Benchmark Rate 25%
Instruction and General				
Instruction & General Appropriations				
Gallup	9,531,500	2,382,875	(7,148,625)	25%
Los Alamos	1,886,000	471,500	(1,414,500)	25%
Valencia	5,765,700	1,441,425	(4,324,275)	25%
Taos	3,788,800	947,200	(2,841,600)	25%
Total Instruction & General Appropriations	20,972,000	5,243,000	(15,729,000)	25%
Mill Levy				
McKinley County	2,600,000	650,000	(1,950,000)	25%
Los Alamos County	667,000	166,750	(500,250)	25%
Valencia County	2,624,000	656,000	(1,968,000)	25%
Taos County	1,780,200	445,050	(1,335,150)	25%
Total Mill Levy	7,671,200	1,917,800	(5,753,400)	25%
Total Branch Appropriations	28,643,200	7,160,800	(21,482,400)	25%

**Statements of Revenues, Expenses and Changes in Net Assets - UNM Regents Format**  
**For the three month period ended Sep 30, 2015**  
**Preliminary and Unaudited**

**Detail of State/Local Appropriations**  
**Health Sciences Center - Total Operations Current Funds**

	<b>FY 2016 Full Year Re-Forecasted Budget</b>	<b>FY 2016 Year-to-Date Actual</b>	<b>Fiscal YTD Favrb/(Unfavrb) Budget</b>	<b>Actual to Budget Benchmark Rate 25%</b>
<b>Instruction and General</b>				
Instruction & General Appropriations	63,324,700	15,831,275	(47,493,425)	25%
Tobacco Settlement Appropriations				
Instruction & General	607,800	152,619	(455,181)	25%
Pediatric Specialty Education	261,400	65,004	(196,396)	25%
Trauma Specialty Education	261,400	65,004	(196,396)	25%
Total Tobacco Settlement Appropriations	1,130,600	282,627	(847,973)	25%
Total Instruction and General Appropriations	64,455,300	16,113,902	(48,341,398)	25%
<b>Research</b>				
State Special Project Appropriations				
Cancer Center	2,691,200	672,801	(2,018,399)	25%
Hepatitis C, Project ECHO	2,143,800	535,950	(1,607,850)	25%
Total State Special Project Appropriations	4,835,000	1,208,751	(3,626,249)	25%
Tobacco Settlement Appropriations				
Genomics, Biocomputing, Environmental Health	979,800	244,950	(734,850)	25%
Total Tobacco Settlement Appropriations	979,800	244,950	(734,850)	25%
Cigarette Tax Appropriations	3,899,221	1,025,330	(2,873,891)	26%
Total Research Appropriations	9,714,021	2,479,031	(7,234,990)	26%
<b>Public Service</b>				
State Special Project Appropriations				
Center for Native American Health	274,700	68,676	(206,024)	25%
Out of County Indigent	-	-	-	N/A
Total State Special Project Appropriations	274,700	68,676	(206,024)	25%
Total Public Service Appropriations	274,700	68,676	(206,024)	25%
<b>Clinical Operations</b>				
State Special Project Appropriations				
Newborn Intensive Care Unit	3,350,200	837,549	(2,512,651)	25%
Office of the Medical Investigator	5,025,300	1,256,325	(3,768,975)	25%
Pediatric Oncology	1,303,500	325,875	(977,625)	25%
Poison and Drug Info Center	1,554,700	388,674	(1,166,026)	25%
Native American Suicide Prevention	99,700	24,924	(74,776)	25%
Native American Suicide Prevention (from IEF Balances)	200,000	50,000	(150,000)	25%
3D Mammography	250,000	250,000	-	100%
GME Residencies	1,807,400	451,851	(1,355,549)	25%
UNM Hospitals	13,116,900	3,279,225	(9,837,675)	25%
Total State Special Project Appropriations	26,707,700	6,864,423	(19,843,277)	26%
Tobacco Settlement Appropriations				
Pediatric Oncology	261,400	65,349	(196,051)	25%
Poison and Drug Info Center	590,300	147,576	(442,724)	25%
Total Tobacco Settlement Appropriations	851,700	212,925	(638,775)	25%
Total Clinical Operations Appropriations	27,559,400	7,077,348	(20,482,052)	26%

**Statements of Revenues, Expenses and Changes in Net Position - UNM Regents Format**  
**For the three month ended September 30, 2015**  
**Preliminary and Unaudited**

**Main Campus - Total Operations Current Funds**

	<b>FY 2016 Full Year Operating Budget</b>	<b>FY 2016 Year-to-Date Actual</b>	<b>Fiscal YTD Favrb/(Unfavrb) Budget</b>	<b>Actual to Budget Benchmark Rate 25%</b>	<b>FY 2015 Year-to-Date Actual</b>	<b>FY 2016 YTD Actual Change From FY 2015 YTD Actual</b>
Instruction and General						
Tuition and Fees Revenues	157,063,135	80,010,262	(77,052,873)	51%	77,020,217	2,990,045
State/Local Appropriations	192,500,200	48,125,050	(144,375,150)	25%	47,594,775	530,275
F & A Revenues	20,500,000	5,118,435	(15,381,565)	25%	5,456,646	(338,211)
Transfers	(54,284,161)	(14,692,647)	39,591,514	27%	(14,790,413)	97,766
Other Revenues	15,612,079	3,751,700	(11,860,379)	24%	3,563,172	188,528
Total Instruction and General Revenues	331,391,253	122,312,800	(209,078,453)	37%	118,844,397	3,468,403
Salaries	200,571,473	45,451,729	(155,119,744)	23%	44,604,092	(847,637)
Benefits	66,766,292	14,284,133	(52,482,159)	21%	16,519,210	2,235,077
Other Expenses	72,440,919	12,939,439	(59,501,480)	18%	16,351,664	3,412,225
Total Instruction and General Expenses	339,778,684	72,675,301	(267,103,383)	21%	77,474,966	4,799,665
Net Instruction and General Revenue/(Expense)	(8,387,431)	49,637,499	58,024,930		41,369,431	8,268,068
Research						
State/Local Appropriations	2,010,350	502,587	(1,507,763)	25%	527,513	(24,926)
Transfers	17,200,071	876,123	(16,323,948)	5%	1,259,317	(383,194)
Other Revenues	738,644	320,488	(418,156)	43%	268,429	52,059
Total Research Revenues	19,949,065	1,699,198	(18,249,867)	9%	2,055,259	(356,061)
Salaries and Benefits	12,832,630	2,999,257	(9,833,373)	23%	3,170,538	171,281
Other Expenses	11,617,086	2,211,974	(9,405,112)	19%	2,081,716	(130,258)
Total Research Expenses	24,449,716	5,211,231	(19,238,485)	21%	5,252,254	41,023
Net Research Revenue/(Expense)	(4,500,651)	(3,512,033)	988,618		(3,196,995)	(315,038)
Public Service						
State/Local Appropriations	3,808,550	952,138	(2,856,412)	25%	913,388	(38,750)
Sales and Services Revenues	8,277,563	2,235,966	(6,041,597)	27%	2,259,761	23,795
Gifts	7,070,395	1,716,114	(5,354,281)	24%	1,905,730	189,616
Transfers	36,165	555,901	519,736	1537%	81,109	(474,792)
Other Revenues	3,868,591	1,183,073	(2,685,518)	31%	1,215,328	32,255
Total Public Service Revenues	23,061,264	6,643,192	(16,418,072)	29%	6,375,316	(267,876)
Salaries and Benefits	12,725,005	3,065,476	(9,659,529)	24%	3,511,222	445,746
Other Expenses	14,684,393	3,523,200	(11,161,193)	24%	1,896,367	(1,626,833)
Total Public Service Expenses	27,409,398	6,588,676	(20,820,722)	24%	5,407,589	(1,181,087)
Net Public Service Revenue/(Expense)	(4,348,134)	54,516	4,402,650		967,727	(913,211)

**Statements of Revenues, Expenses and Changes in Net Position - UNM Regents Format**  
**For the three month ended September 30, 2015**  
**Preliminary and Unaudited**

**Main Campus - Total Operations Current Funds**

	<b>FY 2016 Full Year Operating Budget</b>	<b>FY 2016 Year-to-Date Actual</b>	<b>Fiscal YTD Favrb/(Unfavrb) Budget</b>	<b>Actual to Budget Benchmark Rate 25%</b>	<b>FY 2015 Year-to-Date Actual</b>	<b>FY 2016 YTD Actual Change From FY 2015 YTD Actual</b>
Student Aid						
Private Grants/Gifts	3,934,944	1,301,333	(2,633,611)	33%	1,209,673	(91,660)
State Lottery Scholarships	35,000,000	17,500,000	(17,500,000)	50%	18,742,974	1,242,974
Transfers	15,990,247	3,894,573	(12,095,674)	24%	3,791,343	(103,230)
Other Revenues	967,341	295,475	(671,866)	31%	384,624	89,149
Total Student Aid Revenues	55,892,532	22,991,381	(32,901,151)	41%	24,128,614	1,137,233
Salaries and Benefits	2,099,249	556,234	(1,543,015)	26%	650,399	94,165
Other Expenses	61,772,036	27,198,154	(34,573,882)	44%	27,015,700	(182,454)
Total Student Aid Expenses	63,871,285	27,754,388	(36,116,897)	43%	27,666,099	(88,289)
Net Student Aid Revenue/(Expense)	(7,978,753)	(4,763,007)	3,215,746		(3,537,485)	(1,225,522)
Student Social & Cultural Programs						
Fee Revenues	8,143,771	3,589,687	(4,554,084)	44%	3,757,308	(167,621)
Sales and Services Revenues	1,502,317	362,920	(1,139,397)	24%	350,819	12,101
Transfers	627,995	265,205	(362,790)	42%	394,539	(129,334)
Other Revenues	166,998	52,650	(114,348)	32%	64,009	8,594
Total Student Social & Cultural Programs Revenues	10,441,081	4,270,462	(6,170,619)	41%	4,566,675	(276,260)
Salaries and Benefits	6,169,162	1,557,531	(4,611,631)	25%	1,172,306	(385,225)
Other Expenses	4,519,274	1,161,527	(3,357,747)	26%	1,328,920	600,741
Total Student Social & Cultural Programs Expenses	10,688,436	2,719,058	(7,969,378)	25%	2,501,226	215,516
Net Student Social & Cultural Programs Revenue/(Expense)	(247,355)	1,551,404	1,798,759		2,065,449	(514,045)
Auxiliaries						
Auxiliaries Revenues	52,022,638	21,363,130	(30,659,508)	41%	21,096,694	266,436
Athletics Revenues	35,042,424	7,322,974	(27,719,450)	21%	7,787,502	(464,528)
Total Auxiliaries Revenues	87,065,062	28,686,104	(58,378,958)	33%	28,884,196	(198,092)
Auxiliaries Expenses	52,574,144	14,173,767	(38,400,377)	27%	13,739,530	(434,237)
Athletics Expenses	35,071,674	9,951,343	(25,120,331)	28%	9,587,970	(363,373)
Total Auxiliaries Expenses	87,645,818	24,125,110	(63,520,708)	28%	23,327,500	(797,610)
Net Auxiliaries and Athletics Revenue/(Expense)	(580,756)	4,560,994	5,141,750		5,556,696	(995,702)

Statements of Revenues, Expenses and Changes in Net Position - UNM Regents Format  
For the three month ended September 30, 2015  
Preliminary and Unaudited

**Main Campus - Total Operations Current Funds**

	FY 2016 Full Year Operating Budget	FY 2016 Year-to-Date Actual	Fiscal YTD Favrb/(Unfavrb) Budget	Actual to Budget Benchmark Rate 25%	FY 2015 Year-to-Date Actual	FY 2016 YTD Actual Change From FY 2015 YTD Actual
Sponsored Programs						
Federal Grants and Contracts Revenues	143,073,888	46,960,756	(96,113,132)	33%	49,851,002	(2,890,246)
State and Local Grants and Contracts Revenues	15,187,338	4,436,329	(10,751,009)	29%	3,634,324	802,005
Non-Governmental Grants and Contracts Revenues	12,397,000	4,896,574	(7,500,426)	39%	4,838,550	58,024
Gifts	-	-	-	N/A	67,183	(67,183)
Transfers	2,888,000	184,415	(2,703,585)	6%	683,786	(499,371)
Other Revenues	-	(406,691)	(406,691)	N/A	(284,345)	(122,346)
Total Sponsored Programs Revenues	173,546,226	56,071,383	(117,474,843)	32%	58,790,500	(2,719,117)
Salaries and Benefits	64,460,226	14,140,642	(50,319,584)	22%	14,924,916	784,274
Other Expenses	109,086,000	41,930,741	(67,155,259)	38%	43,865,584	1,934,843
Total Sponsored Programs Expenses	173,546,226	56,071,383	(117,474,843)	32%	58,790,500	2,719,117
Net Sponsored Programs Revenue/(Expense)	-	-	-		-	-
Contingencies						
Total Contingency Revenues	(6,994,011)	-	6,994,011	0%	-	-
Total Contingency Expenses	(7,072,248)	-	7,072,248	0%	-	-
Net Contingencies Revenue/(Expense)	78,237	-	(78,237)		-	-
<b>Net Current Revenue/(Expense)</b>	<b>(25,964,843)</b>	<b>47,529,373</b>	<b>73,494,216</b>		<b>43,224,823</b>	<b>4,304,550</b>

**Statements of Revenues, Expenses and Changes in Net Position - UNM Regents Format**  
**For the three month ended September 30, 2015**  
**Preliminary and Unaudited**

**Branch Campuses - Total Operations Current Funds**

	<b>FY 2016 Full Year Operating Budget</b>	<b>FY 2016 Year-to-Date Actual</b>	<b>Fiscal YTD Favrb/(Unfavrb) Budget</b>	<b>Actual to Budget Benchmark Rate 25%</b>	<b>FY 2015 Year-to-Date Actual</b>	<b>FY 2016 YTD Actual Change From FY 2015 YTD Actual</b>
Instruction and General						
Tuition and Fees Revenues	7,553,002	4,124,058	(3,428,944)	55%	3,815,240	308,818
State/Local Appropriations	28,643,200	7,160,800	(21,482,400)	25%	6,974,397	186,403
Transfers	(1,158,551)	(1,144,640)	13,911	99%	(768,200)	(376,440)
Other Revenues	591,236	201,575	(389,661)	34%	218,014	(16,439)
Total Instruction and General Revenues	35,628,887	10,341,793	(25,287,094)	29%	10,239,451	102,342
Salaries	22,023,294	4,792,064	(17,231,230)	22%	4,549,262	(242,802)
Benefits	7,065,579	1,502,921	(5,562,658)	21%	1,486,025	(16,896)
Other Expenses	8,931,142	2,125,354	(6,805,788)	24%	1,761,263	(364,091)
Total Instruction and General Expenses	38,020,015	8,420,339	(29,599,676)	22%	7,796,550	(623,789)
Net Instruction and General Revenue/(Expense)	(2,391,128)	1,921,454	4,312,582		2,442,901	(521,447)
Public Service						
State/Local Appropriations	-	-	-	N/A	-	
Sales and Services Revenues	362,657	141,309	(221,348)	39%	73,592	67,717
Gifts	75,750	71,829	(3,921)	95%	84,152	(12,323)
Transfers	28,000	47,953	19,953	171%	15,856	32,097
Other Revenues	10,000	121	(9,879)	1%	3,000	(2,879)
Total Public Service Revenues	476,407	261,212	(215,195)	55%	176,600	84,612
Salaries and Benefits	344,644	111,187	(233,457)	32%	110,349	(838)
Other Expenses	278,268	53,836	(224,432)	19%	39,206	(14,630)
Total Public Service Expenses	622,912	165,023	(457,889)	26%	149,555	(15,468)
Net Public Service Revenue/(Expense)	(146,505)	96,189	242,694		27,045	69,144
Student Aid						
Private Grants/Gifts	142,450	27,175	(115,275)	19%	57,415	(30,240)
Transfers	380,860	(2,634)	(383,494)	-1%	3,948	(6,582)
Other Revenues	20,000	8,873	(11,127)	44%	9,354	(481)
Total Student Aid Revenues	543,310	33,414	(509,896)	6%	70,717	(37,303)
Salaries and Benefits	-	15,224	15,224	N/A	7,557	(7,667)
Other Expenses	767,660	287,978	(479,682)	38%	193,312	(94,666)
Total Student Aid Expenses	767,660	303,202	(464,458)	39%	200,869	(102,333)
Net Student Aid Revenue/(Expense)	(224,350)	(269,788)	(45,438)		(130,152)	(139,636)



Statements of Revenues, Expenses and Changes in Net Position - UNM Regents Format  
For the three month ended September 30, 2015  
Preliminary and Unaudited

**Branch Campuses - Total Operations Current Funds**

	FY 2016 Full Year Operating Budget	FY 2016 Year-to-Date Actual	Fiscal YTD Favrb/(Unfavrb) Budget	Actual to Budget Benchmark Rate 25%	FY 2015 Year-to-Date Actual	FY 2016 YTD Actual Change From FY 2015 YTD Actual
Student Social & Cultural Programs						
Fee Revenues	230,000	124,574	(105,426)	54%	125,484	(910)
Sales and Services Revenues	6,550	3,758	(2,792)	57%	2,931	827
Transfers	(40,000)	(40,000)	-	100%	(40,000)	-
Other Revenues	-	-	-	N/A	-	-
Total Student Social & Cultural Programs Revenues	196,550	88,332	(108,218)	45%	88,415	(83)
Salaries and Benefits	7,840	4,280	(3,560)	55%	4,713	433
Other Expenses	195,958	57,811	(138,147)	30%	47,597	(10,214)
Total Student Social & Cultural Programs Expenses	203,798	62,091	(141,707)	30%	52,310	(9,781)
Net Student Social & Cultural Programs Revenue/(Expense)	(7,248)	26,241	33,489		36,105	(9,864)
Auxiliaries						
Bookstore Revenues	2,038,258	757,336	(1,280,922)	37%	849,861	(92,525)
Housing and Food Service Revenues	147,175	45,113	(102,062)	31%	51,398	(6,285)
Transfers	-	(10,000)	(10,000)	N/A	-	(10,000)
Other Auxiliaries Revenues	450,522	14,765	(435,757)	3%	7,414	7,351
Total Auxiliaries Revenues	2,635,955	807,214	(1,828,741)	31%	908,673	(101,459)
Bookstore Expenses	2,038,258	694,820	(1,343,438)	34%	813,182	118,362
Housing and Food Service Expenses	147,175	32,844	(114,331)	22%	35,442	2,598
Other Auxiliaries Expenses	572,716	110,510	(462,206)	19%	4,239	(106,271)
Total Auxiliaries Expenses	2,758,149	838,174	(1,919,975)	30%	852,863	14,689
Net Auxiliaries Revenue/(Expense)	(122,194)	(30,960)	91,234		55,810	(86,770)
Sponsored Programs						
Federal Grants and Contracts Revenues	6,909,647	1,890,112	(5,019,535)	27%	1,426,411	463,701
State and Local Grants and Contracts Revenues	2,286,045	363,390	(1,922,655)	16%	229,518	133,872
Non-Governmental Grants and Contracts Revenues	-	20,372	20,372	N/A	169,845	(149,473)
Gifts	-	-	-	N/A	-	-
Transfers	-	179,186	179,186	N/A	17,803	161,383
Other Revenues	-	-	-	N/A	(16,484)	16,484
Total Sponsored Programs Revenues	9,195,692	2,453,060	(6,742,632)	27%	1,827,093	625,967
Salaries and Benefits	5,611,967	1,405,212	(4,206,755)	25%	1,356,417	(48,795)
Other Expenses	3,583,725	1,047,848	(2,535,877)	29%	470,676	(577,172)
Total Sponsored Programs Expenses	9,195,692	2,453,060	(6,742,632)	27%	1,827,093	(625,967)
Net Sponsored Programs Revenue/(Expense)	-	-	-		-	-
<b>Net Current Revenue/(Expense)</b>	<b>(2,891,425)</b>	<b>1,743,136</b>	<b>4,634,561</b>		<b>2,431,709</b>	<b>(688,573)</b>

Statements of Revenues, Expenses and Changes in Net Position - UNM Regents Format  
For the three month ended September 30, 2015  
Preliminary and Unaudited

**Health Sciences Center - Total Operations Current Funds**

	FY 2016 Full Year Re-Forecasted Budget	FY 2016 Year-to-Date Actual	Fiscal YTD Favrb/(Unfavrb) Budget	Actual to Budget Benchmark Rate 25%	FY 2015 Year-to-Date Actual	FY 2016 YTD Actual Change From FY 2015 YTD Actual
Instruction and General						
Tuition and Fees Revenues	15,614,629	7,462,269	(8,152,360)	48%	7,819,269	(357,000)
State/Local Appropriations	64,455,300	16,113,902	(48,341,398)	25%	16,226,700	(112,798)
F & A Revenues	24,500,000	5,718,579	(18,781,421)	23%	5,103,715	614,864
Transfers	1,922,919	(1,545,800)	(3,468,719)	-80%	1,928,249	(3,474,049)
Other Revenues	11,415,980	3,740,597	(7,675,383)	33%	3,865,000	(124,403)
Total Instruction and General Revenues	117,908,828	31,489,547	(86,419,281)	27%	34,942,933	(3,453,386)
Salaries	74,708,127	18,358,279	(56,349,848)	25%	18,016,294	(341,985)
Benefits	24,927,136	5,920,872	(19,006,264)	24%	5,743,116	(177,756)
Other Expenses	18,101,257	6,059,330	(12,041,927)	33%	6,405,229	345,899
Total Instruction and General Expenses	117,736,520	30,338,481	(87,398,039)	26%	30,164,639	(173,842)
Net Instruction and General Revenue/(Expense)	172,308	1,151,066	978,758		4,778,294	(3,627,228)
Research						
State/Local Appropriations	9,714,021	2,479,031	(7,234,990)	26%	2,449,681	29,350
Generated Revenues	460,200	99,642	(360,558)	22%	67,658	31,984
Transfers	13,701,197	3,267,649	(10,433,548)	24%	2,238,630	1,029,019
Other Revenues	742,164	543,170	(198,994)	73%	137,069	406,101
Total Research Revenues	24,617,582	6,389,492	(18,228,090)	26%	4,893,038	1,496,454
Salaries and Benefits	15,155,682	3,514,243	(11,641,439)	23%	3,260,473	(253,770)
Other Expenses	9,829,326	2,051,212	(7,778,114)	21%	1,813,549	(237,663)
Total Research Expenses	24,985,008	5,565,455	(19,419,553)	22%	5,074,022	(491,433)
Net Research Revenue/(Expense)	(367,426)	824,037	1,191,463		(180,984)	1,005,021
Public Service						
State/Local Appropriations	274,700	68,676	(206,024)	25%	234,325	(165,649)
Sales and Services Revenues	10,198,310	2,329,162	(7,869,148)	23%	1,294,448	1,034,714
Gifts	1,785,909	658,457	(1,127,452)	37%	187,340	471,117
Transfers	4,964,489	1,756,114	(3,208,375)	35%	1,580,453	175,661
Other Revenues	1,767,031	166,714	(1,600,317)	9%	302,361	(135,647)
Total Public Service Revenues	18,990,439	4,979,123	(14,011,316)	26%	3,598,927	1,380,196
Salaries and Benefits	10,074,957	2,071,424	(8,003,533)	21%	2,126,262	54,838
Other Expenses	9,537,305	2,207,899	(7,329,406)	23%	1,487,504	(720,395)
Total Public Service Expenses	19,612,262	4,279,323	(15,332,939)	22%	3,613,766	(665,557)
Net Public Service Revenue/(Expense)	(621,823)	699,800	1,321,623		(14,839)	714,639

Statements of Revenues, Expenses and Changes in Net Position - UNM Regents Format  
For the three month ended September 30, 2015  
Preliminary and Unaudited

**Health Sciences Center - Total Operations Current Funds**

	FY 2016 Full Year Re-Forecasted Budget	FY 2016 Year-to-Date Actual	Fiscal YTD Favrb/(Unfavrb) Budget	Actual to Budget Benchmark Rate 25%	FY 2015 Year-to-Date Actual	FY 2016 YTD Actual Change From FY 2015 YTD Actual
Student Aid						
Gifts	1,611,491	430,499	(1,180,992)	27%	397,108	33,391
Investment Income	-	-	-	N/A	-	-
Transfers	2,403,122	527,218	(1,875,904)	22%	513,320	13,898
Other Revenues	8,300	240	(8,060)	3%	-	240
Total Student Aid Revenues	4,022,913	957,957	(3,064,956)	24%	910,428	47,529
Salaries and Benefits	2,670,312	383,073	(2,287,239)	14%	541,112	158,039
Other Expenses	1,866,597	467,065	(1,399,532)	25%	248,587	(218,478)
Total Student Aid Expenses	4,536,909	850,138	(3,686,771)	19%	789,699	(60,439)
Net Student Aid Revenue/(Expense)	(513,996)	107,819	621,815		120,729	(12,910)
Student Social & Cultural Programs						
Fee Revenues	-	-	-	N/A	-	-
Sales and Services Revenues	24,763	17,544	(7,219)	71%	10,318	7,226
Transfers	6,637	-	(6,637)	0%	25,678	(25,678)
Other Revenues	3,266	400	(2,866)	12%	-	400
Total Student Social & Cultural Programs Revenues	34,666	17,944	(16,722)	52%	35,996	(18,052)
Salaries and Benefits	-	3,066	3,066	N/A	-	(3,066)
Other Expenses	52,477	15,883	(36,594)	30%	5,970	(9,913)
Total Student Social & Cultural Programs Expenses	52,477	18,949	(33,528)	36%	5,970	(12,979)
Net Student Social & Cultural Programs Revenue/(Expense)	(17,811)	(1,005)	16,806		30,026	(31,031)
Sponsored Programs						
Federal Grants and Contracts Revenues	98,452,325	23,936,873	(74,515,452)	24%	20,853,166	3,083,707
State and Local Grants and Contracts Revenues	13,698,410	3,215,708	(10,482,702)	23%	3,133,719	81,989
Non-Governmental Grants and Contracts Revenues	21,198,771	4,130,123	(17,068,648)	19%	4,685,421	(555,298)
Gifts	-	-	-	N/A	-	-
Other Revenues	-	-	-	N/A	-	-
Transfers	1,957,780	820,425	(1,137,355)	42%	1,096,122	(275,697)
Total Sponsored Programs Revenues	135,307,286	32,103,129	(103,204,157)	24%	29,768,428	2,334,701
Salaries and Benefits	73,958,516	18,733,334	(55,225,182)	25%	17,297,593	(1,435,741)
Other Expenses	61,348,770	13,369,795	(47,978,975)	22%	12,470,835	(898,960)
Total Sponsored Programs Expenses	135,307,286	32,103,129	(103,204,157)	24%	29,768,428	(2,334,701)
Net Sponsored Programs Revenue/(Expense)	-	-	-		-	-

Statements of Revenues, Expenses and Changes in Net Position - UNM Regents Format  
For the three month ended September 30, 2015  
Preliminary and Unaudited

**Health Sciences Center - Total Operations Current Funds**

	FY 2016 Full Year Re-Forecasted Budget	FY 2016 Year-to-Date Actual	Fiscal YTD Favrb/(Unfavrb) Budget	Actual to Budget Benchmark Rate 25%	FY 2015 Year-to-Date Actual	FY 2016 YTD Actual Change From FY 2015 YTD Actual
Clinical Operations						
State/Local Appropriations	27,559,400	7,077,348	(20,482,052)	26%	6,551,101	526,247
Physician Professional Fee Revenues	130,642,341	29,897,591	(100,744,750)	23%	29,398,842	498,749
Hospital Facility Revenues	892,825,169	228,462,418	(664,362,751)	26%	186,571,342	41,891,076
Other Patient Revenues, net of Allowance	143,856,372	34,209,550	(109,646,822)	24%	30,329,507	3,880,043
Mil Levy	93,616,856	23,304,027	(70,312,829)	25%	23,195,011	109,016
Investment Income	1,454,334	1,074,749	(379,585)	74%	2,907,194	(1,832,445)
Gifts	869,905	1,202,342	332,437	138%	1,316,315	(113,973)
Housestaff Revenues	35,162,474	9,147,232	(26,015,242)	26%	9,344,681	(197,449)
Other Revenues	26,790,511	5,012,432	(21,778,079)	19%	3,905,081	1,107,351
Total Clinical Operations Revenues	1,352,777,362	339,387,689	(1,013,389,673)	25%	293,519,074	45,868,615
Salaries and Benefits	715,017,193	171,518,180	(543,499,013)	24%	163,513,089	(8,005,091)
Interest Expense	3,869,811	967,453	(2,902,358)	25%	2,019,280	1,051,827
Housestaff Expenses	34,900,534	9,211,104	(25,689,430)	26%	8,564,708	(646,396)
Other Expenses	596,488,529	154,982,670	(441,505,859)	26%	119,844,097	(35,138,573)
Total Clinical Operations Expenses	1,350,276,067	336,679,407	(1,013,596,660)	25%	293,941,174	(42,738,233)
Net Clinical Operations Revenue/(Expense)	2,501,295	2,708,282	206,987		(422,100)	3,130,382
Contingencies						
Total Contingency Revenues	3,894,908	-	(3,894,908)	0%	-	-
Total Contingency Expenses	3,844,908	-	(3,844,908)	0%	-	-
Net Contingencies Revenue/(Expense)	50,000	-	(50,000)		-	-
<b>Net Current Revenue/(Expense)</b>	<b>1,202,547</b>	<b>5,489,999</b>	<b>4,287,452</b>		<b>4,311,126</b>	<b>1,178,873</b>



### University Services

University Services Business Operations	UNM Surplus Property
UNM Copy Center	UnivServ Shipping and Receiving
UNM Mailing Systems	UNM Inventory Control
UNM Records Management	Chem Stores/CRLS
<a href="http://www.unm.edu/~univserv/">http://www.unm.edu/~univserv/</a>	Print Management Program

Date: October 23, 2015

To: Bruce Cherrin, Chief Procurement Officer  
Purchasing Department

From: Marcos Roybal   
Manager, Administrative Operations, University Services

Subject: Equipment Disposition – October 2015

Attached for your review and submission to the Board of Regents are the Surplus Property Disposition Detail lists for the month of October, 2015.

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.

**University Services - Surplus Property (October)**

Memo	Tag Number	Org Description	Asset Description	Manufacturer	Model	Serial Number	Capitalization Date	Total Cost	NBV	Disposal Method	Disposal Date
1	N00007724	Center for High Tech Materials CHTM	ISI Microstepper	AZElec			6/1/2006	\$70,000.00	\$0.00	Obsolete	10/13/2015
5	N00013038	ASM Info Sys Mngt Faculty	Disk Processor Enclosure Arr	Dell	EMC CX300 SAN	8D377B1	8/16/2007	\$29,001.92	\$0.00	Obsolete	10/19/2015
3	255899	Ctr for Adv. Research Computing	COMPUTER FILE SERVER	IBM	X-Series 342	78N3625	6/5/2002	\$28,807.00	\$0.00	Obsolete	10/1/2015
3	255900	Ctr for Adv. Research Computing	COMPUTER FILE SERVER	IBM	X-Series 342	78N3609	6/5/2002	\$28,807.00	\$0.00	Obsolete	10/1/2015
3	255901	Ctr for Adv. Research Computing	COMPUTER FILE SERVER	IBM	X-Series 342	78N3673	6/5/2002	\$28,807.00	\$0.00	Obsolete	10/1/2015
3	255902	Ctr for Adv. Research Computing	COMPUTER FILE SERVER	IBM	X-Series 342	78N3635	6/5/2002	\$28,807.00	\$0.00	Obsolete	10/1/2015
2	222197	Center for High Tech Materials CH	MONOCHROMATOR	CVILaser	DK242	24283	11/1/1996	\$13,178.00	\$0.00	Obsolete	10/1/2015
7	N00011362	Neo Transport Admin.	Ambulance Cot	Stryker	Power Pro IT	0703400134	4/16/2007	\$12,796.00	\$0.00	Obsolete	10/23/2015
6	266398	Earth and Planetary Sciences Dep	COMPUTER FILE SERVER	ASAComp	Tyan Thunder	316031156	6/10/2004	\$11,072.00	\$0.00	Obsolete	10/19/2015
4	N00020775	African American Studies	Xerox Copy Machine-Xerox	Xerox	W5050PH	FMA - 019128	5/11/2009	\$10,923.74	\$0.00	Obsolete	10/9/2015
	216653	Music	COPIER	Sharp	SF2035	56210295	11/9/1995	\$8,565.00	\$0.00	Obsolete	9/28/2015
	252958	Health Exercise & Sports Science	CONTROL UNIT	UNKNOWN/OTH	Dual Channel		11/9/2001	\$8,176.00	\$0.00	Obsolete	10/23/2015
	193072	University Press UP	COMPUTER PRINTER	Mannesmann	MT661	866A05884	3/5/1991	\$7,999.00	\$0.00	Obsolete	10/19/2015
	N00005434	Elec Computer Engr Administratio	Network Switch	Cisco	Catalyst 3550 10Pt	CAT0916X0YM	9/14/2005	\$7,068.20	\$0.00	Obsolete	10/23/2015
	260152	Biology Department	PRINTER/PLOTTER	HewlettPac	800PS	SSG2B931035	3/25/2003	\$6,599.00	\$0.00	Obsolete	9/28/2015
	N00006753	ASM Administration Admin	Server	Dell	PowerEdge 2850	FYTL891	2/6/2006	\$6,310.50	\$0.00	Obsolete	9/28/2015
	N00020822	AS Biology CETI Gen Admin	Blade Server	IBM	8886/AC1	KQMFWWA	6/2/2009	\$5,490.00	\$0.00	Obsolete	10/19/2015
	N00018033	AS Biology Gen Admin Chair	Server/PowerEdge 1900	Dell	PowerEdge 1900	GNCNCH1	9/17/2008	\$5,213.21	\$0.00	Obsolete	10/1/2015
	262334	Gallup Student Svcs Gen Admin	TREADMILL	AdvInstr	HTK 39-1265	TR-91-0100-35	8/4/2003	\$5,099.00	\$962.80	Obsolete	9/28/2015
										Disposition Value	\$322,719.57
										Disposition Net Book Value	\$962.80
										Total Dispositon Items:	19

## EXPLANATORY MEMO

August 19, 2015

To: Inventory Control

From: Shane Kelly, CHTM

CHTM is requesting the disposal of the equipment listed on the attached spreadsheets.

The item is as follows:

1. UNM TAG: N00007724 ISI Microstepper

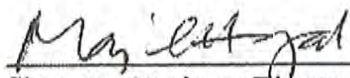
Due to a decrease in research grant funds and a decline in revenue generated by the use of this asset, it is no longer feasible to invest time and reserve space holding an asset with no utilization.

This item is no longer being used for research and has been unused for several years.

For these reasons we ask that it be removed from our inventory.

If you have any additional questions, please contact me at: 505-239-5381

Thanks,  
Shane Kelly



Signature (Assistant Director of CHTM)

Majeed Hayat

Asset #

N00007724

Description

ISI microstepper

Acq Cost

\$70,000

NBI

0

Date

2006



## EXPLANATORY MEMO

July 21, 2015

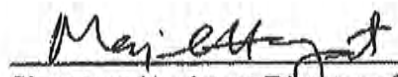
To: Inventory Control

From: Shane Kelly, CHTM

This item, UNM Tag: 222197, Model #: DK242 Monochromator, has been cannibalized for parts, and is obsolete. This item no longer has the controllers available, and thus is unusable. We would like to surplus this item, as it has not been used for several years. If you would like to get in contact with me, you can reach me at 239-5381.

Thanks,  
Shane Kelly

Asset#	Description	Acq. Cost	NBV	Date
222197	Monochromator	\$13,178.00	0.00	1996

  
\_\_\_\_\_  
Signature (Assistant Director of CHTM)  
Majeed Hayat





## Memorandum

TO: Dora Dominguez, Accountant, University Services

FROM: Dr. Susan R. Atlas, Director, Center for Advanced Research Computing *SEA*

DATE: September 18<sup>th</sup>, 2015

RE: Surplus of computer equipment with original cost > \$10,000

---

We are requesting authorization to surplus the following assets:

- IBM xSeries342, UNM Tag# 255902 (acquisition cost of \$28,807.00)
- IBM xSeries342, UNM Tag# 255901 (acquisition cost of \$28,807.00)
- IBM xSeries342, UNM Tag# 255900 (acquisition cost of \$28,807.00)
- IBM xSeries342, UNM Tag# 255899 (acquisition cost of \$28,807.00)

These assets are nodes, which make up the computer storage system Delphi, purchased in 2000-2001. The Delphi parallel storage system was used as a 3 Terabyte parallel storage system; this system was state-of-the art technology in the early 2000's. Due to its age the Delphi system can no longer be maintained. Today, the Delphi is completely obsolete and has been replaced by a more modern and cost effective system. We are presently renovating the space that this item is housed in to create more room for new and improved equipment to further our goals in advanced research and education.

Thank you for your assistance in this matter.

Asset#	Description	Acq.Cost	NBV	Date
255902	Computer File Server	\$28,807.00	0.00	2002
255901	Computer File Server	\$28,807.00	0.00	2002
255900	Computer File Server	\$28,807.00	0.00	2002
255899	Computer File Server	\$28,807.00	0.00	2002

# Memo

**To:** University Services  
**From:** Robert F. Jefferson, PhD Director  
**cc:** Crystal Davis, Unit Admin  
**Date:** October 1, 2015  
**Re:** Surplus Property



Our department has decided to surplus a Xerox Copy machine with an original acquisition cost of \$10,293. After doing a cost analysis of what our current machine was providing; having to supplement the services not provided (faxing, color copying, and scanning), the bottom line was that we were paying more for maintenance and extra machines then we would to start a new contract with a newer model.

While we were on a service contract, we were still having malfunctioning issues on a regular, sometimes daily, basis. Trying to operate as an efficient unit without this equipment operating correctly was becoming extremely time consuming for faculty, staff, and students. After careful consideration, and working with purchasing to get quotes for a new copier, we decided that a newer machine would be more efficient and would better meet our business needs.

We have received the new machine and surplus properties has picked up the Xerox Copier SN# FMS019128N.

Asset#	Description	Acq.Cost	NBV	Date
N0020775	Xerox Copy Machine	\$10,923.74	0.00	2009



The University of New Mexico  
Anderson School of Management  
MSC05 3090  
Albuquerque, New Mexico 87131  
www.mgt.unm.edu

September 21, 2015

To: Inventory Control  
MSC01 1240

To whom it may concern:

This memo is in reference to UNM Asset #N00013038 which was sent to the UNM Surplus Department on Friday, September 18<sup>th</sup>.

This asset is a data storage array (rackmount server-style computer hardware) that was originally released in the early 2000's and has been in use at the Anderson School of Management for many years. The equipment is long past its end of life and is now obsolete in our environment. As we recall, it has a failed power supply and failing disk array. It may be possible to salvage the equipment by another department, but is unusable in our environment and is no longer needed regardless.

Thank you.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Sean Smock'.

Sean Smock  
IT Services Manager  
Anderson School of Management

A handwritten signature in blue ink, appearing to read 'Craig White'.

Craig White  
Interim Dean  
Anderson School of Management

Asset#	Description	Acq.Cost	NBV	Date
N00013038	Disk Processor Enclosure Array	\$29,001.92	0.00	2007





# THE UNIVERSITY of NEW MEXICO

Memo#6

Department of Earth and Planetary Sciences  
Northrop Hall, Room 141  
MSC03-2040  
1 University of New Mexico  
Albuquerque, NM 87131-0001 U.S.A.  
Telephone (505) 277-4204  
FAX (505) 277-8843

October 14, 2015

TO: Inventory Control

FROM: Laura Crossey, Chair E&PS

SUBJ: Disposal of asset

We are requesting the disposal of asset# 266398 a computer file server purchased on 6/10/2004 for a cost of \$11,072. The asset is over 10 years old and is no longer able to perform the tasks necessary for the department. The drives have failed and the technology is not compatible with current IT standards and requirements.

Asset#	Description	Acq. Cost	NBV	Date
266398	Computer File Server	\$11,072.00	0.00	2004



## Department of Pediatrics

Date: October 12, 2015

To: Dora Dominguez, Accountant I

From: Cynthia Suniga, Administrative Assistant 3

Subject: Property to Surplus over \$10,000.00 - Gurney, S/N 0703400134, Tag# N00011362

This gurney is being surplussed because it is wearing out and has gone past its usual service life of 5-7 years. Acquired in 2007, it is now eight years that the Transport program has been using it to transport infants within an isolette that is placed on top of the gurney so that the gurney is under the strain of 280 lbs or more.

The program has purchased a new gurney to replace the gurney that is wearing out.

A blue ink signature of Ann Chavez, consisting of a large loop and a trailing flourish.

Ann Chavez, Admin Support Supervisor

A blue ink signature of Janell Fuller, MD, written in a cursive style.

Janell Fuller, MD  
Neonatology Division Chief

Asset#	Description	Acq.Cost	NBV	Date
N00011362	Ambulance Cot	\$12,796.00	0.00	2007

# New Mexico Compilation Commission

## 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.

History: 1953 Comp., § 6-1-7.1, enacted by Laws 1961, ch. 100, § 1; 1979, ch. 195, § 2; 1984, ch. 47, § 1; 1987, ch. 15, § 1; 1989, ch. 211, § 6; 1995, ch. 181, § 1; 1998, ch. 16, § 1; 2001, ch. 317, § 1; 2007, ch. 57, § 4; 2012, ch. 10, § 1; 2013, ch. 9, § 1.



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

FROM: STC.UNM  
Board of Directors

DATE: November 3, 2015

RE: **STC.UNM Board of Directors: Appointment of New Member Kimberly C. Sawyer**

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The STC.UNM Board of Directors submits for approval the appointment of Kimberly C. Sawyer to its Board of Directors for a four-year term, beginning upon approval by the Regents and ending June 30, 2019. Ms. Sawyer was recommended for appointment by the STC.UNM Nominations Committee and approved by the STC.UNM Board of Directors at its October 30, 2015 board meeting, subject to the Regents' approval.

Kimberly C. Sawyer

bio attached



*Exceptional service in the national interest*



## B I O G R A P H Y

### **Kimberly (Kim) C. Sawyer**

*Deputy Laboratories Director and Executive Vice President for Mission Support  
Sandia National Laboratories*

Kimberly (Kim) C. Sawyer is the Deputy Laboratories Director and Executive Vice President for Mission Support at Sandia National Laboratories (Sandia) in Albuquerque, NM. She is responsible for ensuring that all Mission Support programs are integrated and that they enable mission delivery. Sandia's Mission Support programs include business operations, information technology (IT) services, human resources, legal, corporate governance, communications, ES&H, security, facilities, audit, and ethics.

Kim also serves as the Sandia Board of Directors' Investment Committee Chair, the National Laboratory Chief Operating Officer's Chair, a member of the NNSA Operations Council, and a member of the DOE Laboratory Operations Board.

Kim reorganized Sandia's Mission Support programs to bolster their effectiveness for supporting the evolving responsibilities of a 21st century government-owned, contractor-operated national laboratory. The restructure included the following: 1) elevating the CIO and IT services to a leadership position to oversee the critical areas of computing and network services and cyber security; 2) creating the positions of corporate risk officer and chief privacy officer to help safeguard Sandia and its employees; 3) strengthening corporate governance and assurance; 4) implementing greater efficiencies within Sandia's business operations; and 5) controlling customer costs; and 6) applying cost savings toward mission delivery.

Kim was previously Vice President for Technical Operations at Lockheed Martin's Mission Systems & Sensors. She led an engineering and technology workforce of 6,700, responsible for over 300 complex programs for advanced platforms and weapons, C4ISR, global sustainment, and sensors and growth areas such as international, laser applications, and rail and port security.

Kim has extensive IT experience in roles such as CIO, project management, systems analysis, and software engineering. She has been instrumental in initiating organizational and cultural change, developing relationships with customers, advocating innovation, and cost cutting. She has industry experience with DuPont, TRW, Xerox, Coca-Cola Enterprises, and BAE Systems (formerly Lockheed Martin Sanders).

Kim earned her MS in Mathematics and Computing from the University of Massachusetts Lowell in 1989, and a BS in Business Administration from Robert Morris University. She serves as a board member for Albuquerque Economic Development, Inc., the Economic Forum of Albuquerque, and the Presbyterian Healthcare Foundation. She is Chair for United Way of Central New Mexico (UWCNM), where she served as the 2012 Campaign Chair, raising over \$28M. Kim received the University of Massachusetts Lowell's 2013 Alumni Award for the School of Sciences and the 2013 New Mexico Distinguished Public Service Award. She is also a member of Women in Defense.



Kimberly (Kim) C. Sawyer  
Sandia National Laboratories  
P.O. Box 5800, MS-0109  
Albuquerque, NM 87185-0109

Phone: (505) 844-8358  
Fax: (505) 844-9611  
E-mail: [kcsawye@sandia.gov](mailto:kcsawye@sandia.gov)

Sandia National Laboratories is a multi-program laboratory managed and operated by Sandia Corporation, a wholly owned subsidiary of Lockheed Martin Corporation, for the U.S. Department of Energy's National Nuclear Security Administration under contract DE-AC04-94AL85000. SAND No. 2012-3647P.

# STC.UNM

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

## ANNUAL REPORT TO THE BOARD OF REGENTS OF THE UNIVERSITY OF NEW MEXICO

Presented by Lisa Kuuttila  
President & CEO and  
Chief Economic Development Officer  
STC.UNM

November 18, 2015

# STC.UNM CEO'S REPORT

## Presentation Outline:

- ❖ **Board of Directors**
- ❖ **FY2015 Building a Rainforest in the Desert**
- ❖ **FY2015 Data, Income Analysis & Forecast**





# STC BOARD OF DIRECTORS



**Board Officers** (First Row): Ms. Sandra Begay-Campbell, Chair; Ms. Terri Cole, Vice Chair; Dr. Joseph Cecchi, Vice Chair; Dr. John Stichman, Secretary & Treasurer; Ms. Lisa Kuuttila, President & CEO

**Board Members Listed Alphabetically by Last Name** (Left to Right):

Second Row: Dr. Chaouki Abdallah, Dr. James Cramer, Dr. Michael Dougher, Dr. Robert Fisher, Dr. Robert Frank, Mr. J.E. (Gene) Gallegos, Ms. Maria Griego-Raby, Dr. Sang Han

Third Row: Mr. David Harris, Mr. James Koch, Dr. Richard Larson, Mr. Terry Laudick, Dr. Gregg Mayer, Ms. Cindy McGill, Mr. Robert Nath, Dr. Eric Prossnitz

Fourth Row: Dr. Alton D. Romig, Jr., Dr. Paul Roth, Pedro Suarez, Esq., Mr. Gary Tonjes, Mr. Charles Wellborn, Dr. Albert Westwood, Dr. Craig White

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – FY2015:

- ❖ Supporting Technology Transfer
- ❖ Catalyzing Economic Development



at The University of New Mexico

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – FY2015:

## *Supporting Technology Transfer*

- ❖ **Collaborate with research offices at UNM to create easier IP access/terms for industry**
- ❖ **Support UNM in Sponsored Research goals**
- ❖ **Short term expansion of Cecchi Venture Lab (virtual and physical)**
- ❖ **Expand program activities for UNM student entrepreneurs**
- ❖ **Expand outreach for commercialization/research engagement for UNM – hold four Technology Socials throughout the year**

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – FY2015:

## *Catalyzing Economic Development*

- ❖ **Convene EDF/EDC**
- ❖ **Complete initial inventory of UNM's economic development assets**
- ❖ **Complete UNM economic development website**
- ❖ **Update internal and external economic development assessment surveys**
- ❖ **Innovate – transition to new entity per Governance Task Force recommendation:**
  - ❑ **Provide stewardship of property along with UNM Real Estate**
  - ❑ **Support master planning process with UNM**
  - ❑ **Support Innovation Academy**
- ❖ **Attend and speak at University Economic Development Association in Santa Fe - September, 2014**

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – FY2015:

## *Catalyzing Economic Development*

- ❖ **Expand International Partnerships**
  - Sponsored research (Sumitomo, EPSCOR)
- ❖ **University Partnerships**
  - Professional student interns (Kanazawa, Kumamoto)
  - Chiba University technology partnership
- ❖ **Governmental Partnerships (AIST, NEDO, METI)**
- ❖ **Other Networks (GINET, Madrid Network)**



# Supporting Technology Transfer

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

	FY2012	FY2013	FY2014	FY2015 (Goal)	FY2015	% of Goal
<b>Disclosures</b>	124	138	119	125	125	100%
<b>New U.S. Patent Applications Filed</b>	90	117	95	--	99	---
<b>Issued U.S. Patents</b>	31	51	45	--	46	---
<b>Option / License Agreements</b>	46	63	56	50	49	98%
<b>Start-up Companies</b>	7	9	9	8	9	112%
<b>Patent Expenses</b>						
• Licensee Initiated	\$381,257	\$404,314	\$632,041	\$298,000	\$647,381	217%
• STC Initiated	\$765,723	\$852,692	\$844,577	\$882,260	\$962,741	109%
<b>License Income</b>	\$2,535,356	\$1,702,015	\$1,072,923	\$1,500,000	\$2,043,291	136%
<b>Patent Cost Reimbursement Income</b>	\$387,219	\$487,427	\$646,026	\$298,000	\$686,256	230%
<b>Combined License Income &amp; Patent Cost Reimbursement Income</b>	\$2,922,575	\$2,189,442	\$1,718,949	\$1,798,000	\$2,729,547	152%



# STC.UNM BUILDING A RAINFOREST IN THE DESERT - SUPPORTING TECHNOLOGY TRANSFER:

	FY2012	FY2013	FY2014	FY2015
<b>Inventor Visits</b>	377	325	485	622
<b>Investor Presentations/Meetings (in-person)</b>	39	48	76	150
<b>Telephone Presentations to Investors</b>	6	5	4	12
<b>Entrepreneur Visits</b>	76	80	157	135
<b>International Visits</b> (prior years info. not available)	--	--	--	202
<b>Outside Inventor Visits</b>	15	14	13	9
<b>Outside Inventor Agreements Signed</b>	3	1	2	1
<b>Company Visits</b>	100	168	201	300
<b>Innovate ABQ Visits</b> (prior years info. not available)	--	--	--	107
<b>Business Plan Team Visits</b>	15	5	4	7
<b>Elevator Pitch Coaching</b>	4	2	1	4
<b>Confidentiality Agreements Signed</b>	113	85	62	43
<b>Inter-Institutional Agreements Signed</b>	9	10	10	28



# STC.UNM BUILDING A RAINFOREST IN THE DESERT - SUPPORTING TECHNOLOGY TRANSFER:

## *Conversion of option agreements to license agreements*

	Number of original Option Agreements entered into	Number of License Agreements entered into related to option agreements
From FY2009 through FY2015	84	18
		21%

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Sponsored Agreements Assistance Provided to UNM*

### ❖ **UNM Health Sciences Center Agreements**

- MTA with LRRRI (VanderJagt)
- MTA with Univ. of Minnesota (Milligan)
- SRA with BTG (Selwyn)
- NDA's for Nanostring and other Institutions (Willman)
- Review Data Ownership Language (Gavin)
- IP Issues with Millenium/InViCRO (Norenberg)
- NDA with Biocompatibles (BTG) (Selwyn)
- GSK Discovery Fast Track (Bosc)
- MTA with LANL and DNA 2.0 (Pasqualini)

### ❖ **UNM Main Campus Agreements**

- SRA with Armonica Technologies (Brueck)
- SRA with Elekta (Luan)
- NDA with Oncothyreon (Brinker)
- Service Agreement with Mitsubishi Research Institute (Mammoli)
- NDA with Toshiba Corporation (Mammoli)
- SRA with Cree (Feezell)
- MRA and IP Policy at the IMMPACT planning meeting (Photonics initiative at CHTM-Brueck)
- DOE IP management plan for Northeastern University FC Incubator award (Serov/Atanassov)
- CRA with Proton Energy Systems, Inc. (Atanassov)
- Work for Hire agreement with Sandia (Kassicieh)
- IP Management Plan with LANL, IRD Fuel Cells, Pajarito Powder (Serov)
- AOR for BlueCom NASA STTR (Christodoulou)
- Service Agreement for MRI and UNM (Mammoli)

- MRA=Master Research Agreement
- SRA= Sponsored Research Agreement
- MTA= Material Transfer Agreement
- NDA= Non-Disclosure Agreement
- RFP= Request for Proposals
- AOR = Allocation of Rights Agreement
- CRA = Cooperative Research Agreement

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

*Top 100 Worldwide University in U.S. Patents Granted in 2014*



June 17, 2015

Elizabeth (Lisa) Kuuttila  
CEO & Chief Economic Development Officer  
University of New Mexico  
801 University Blvd., SE #101  
Albuquerque, NM 87106

Dear Elizabeth:

On June 16, 2015, the National Academy of Inventors (NAI) and the Intellectual Property Owners Association (IPO) announced the Top 100 Worldwide Universities Granted U.S. Utility Patents in 2014, based on data provided by the United States Patent and Trademark Office.

On behalf of the NAI Board of Directors, congratulations on your inclusion in this list of prominent innovation universities again this year. I am also delighted to report that University of New Mexico has moved up in rank since last year. I commend your leadership in furthering a spirit of innovation among your campus.

The NAI is dedicated to honoring academic invention and believes that innovation, based on new inventions and technologies, has proven to be an essential element in the industrial and economic development of the world. The success of a research university is fueled by the support, encouragement and development of technology and innovation.

Once again congratulations on being named to the Top 100 Worldwide Universities granted U.S. Utility Patents in 2014. The Academy thanks you for your commitment to advancing innovation and technology and looks forward to learning of your continued success. It is a privilege to recognize University of New Mexico as a leader in academic invention and an honor to have you as a member institution of the NAI.

Sincerely,

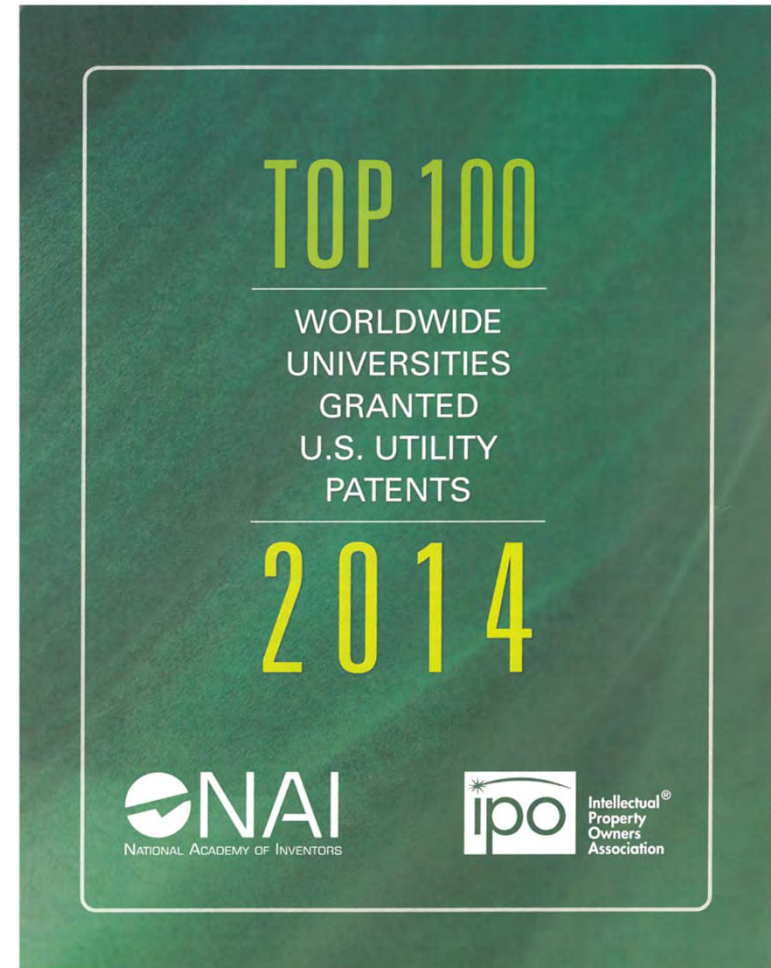
Paul R. Sanberg, Ph.D., D.Sc.  
President, National Academy of Inventors

RECEIVED

JUN 25 2015

STC. UNM

National Academy of Inventors® at the US Patent Park | 3702 Spectrum Boulevard, Suite 100 | Tampa, Florida 33618 USA  
www.academyofinventors.org | info@academyofinventors.org | +1 813-844-5182





# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

*Top 100 Worldwide University in U.S. Patents Granted in 2014 – 42<sup>nd</sup> vs. 2013 – 56<sup>th</sup>*

## Top 100 Worldwide Universities Granted U.S. Utility Patents in 2014

1 UNIVERSITY OF CALIFORNIA, THE REGENTS OF	26 UNIVERSITY OF UTAH RESEARCH	75
2 MASSACHUSETTS INSTITUTE OF TECHNOLOGY	27 UNIVERSITY OF WASHINGTON	74
3 TSINGHUA UNIVERSITY	28 CORNELL UNIVERSITY	70
4 STANFORD UNIVERSITY	28 UNIVERSITY OF PITTSBURGH	70
5 UNIVERSITY OF TEXAS	30 UNIVERSITY OF CENTRAL FLORIDA	66
6 CALIFORNIA INSTITUTE OF TECHNOLOGY	31 RESEARCH FOUNDATION OF STATE UNIVERSITY OF NEW YORK	65
7 WISCONSIN ALUMNI RESEARCH FOUNDATION	31 TECHNION RESEARCH AND DEVELOPMENT FOUNDATION, LTD	65
8 JOHNS HOPKINS UNIVERSITY	33 MAYO FOUNDATION FOR MEDICAL EDUCATION AND RESEARCH	64
9 COLUMBIA UNIVERSITY	33 UNIVERSITY OF MARYLAND	64
10 UNIVERSITY OF MICHIGAN	35 RUTGERS UNIVERSITY	61
11 NATIONAL TSING HUA UNIVERSITY	36 UNIVERSITY OF CHICAGO/UCHICAGO ARGONNE LLC	60
11 KOREA INSTITUTE OF SCIENCE AND TECHNOLOGY	36 UNIVERSITY OF SOUTHERN CALIFORNIA	60
13 UNIVERSITY OF SOUTH FLORIDA	36 NATIONAL CHENG KUNG UNIVERSITY	60
14 UNIVERSITY OF PENNSYLVANIA	39 KOREA ADVANCED INSTITUTE OF SCIENCE AND TECHNOLOGY	59
15 INSTITUTE OF MICROELECTRONICS, CHINESE ACADEMY OF SCIENCES	40 SNU R&DB FOUNDATION	57
16 PURDUE RESEARCH FOUNDATION	41 VANDERBILT UNIVERSITY	55
16 NATIONAL TAIWAN UNIVERSITY	42 SCIENCE & TECHNOLOGY CORPORATION AT UNIVERSITY OF NEW MEXICO	52
18 UNIVERSITY OF ILLINOIS	42 RAMOT AT TEL AVIV UNIVERSITY LTD.	52
19 NEW YORK UNIVERSITY/POLYTECHNIC INSTITUTE OF NEW YORK UNIVERSITY	44 ARIZONA STATE UNIVERSITY	48
20 UNIVERSITY OF FLORIDA RESEARCH FOUNDATION, INCORPORATED	44 UNIVERSITY OF NORTH CAROLINA	48
20 NATIONAL CHIAO TUNG UNIVERSITY	46 DUKE UNIVERSITY	47
22 NORTHWESTERN UNIVERSITY	47 UNIVERSITY OF COLORADO, THE REGENTS OF	46
22 KING FAHD UNIVERSITY OF PETROLEUM AND MINERALS	48 CASE WESTERN RESERVE UNIVERSITY	45
24 HARVARD COLLEGE, PRESIDENT AND FELLOWS	48 UNIVERSITY OF ROCHESTER	45
25 GEORGIA TECH RESEARCH CORP.	50 PENN STATE RESEARCH FOUNDATION, INC.	44
	50 UNIVERSITY OF MINNESOTA, THE REGENTS OF	44

52 YEDA RESEARCH AND DEVELOPMENT CO., LTD.	41	79 UNIVERSITY OF KANSAS	28
53 UNIVERSITY OF MASSACHUSETTS	40	79 GWANGJU INSTITUTE OF SCIENCE AND TECHNOLOGY	28
54 POSTECH ACADEMY-INDUSTRY FOUNDATION	39	81 CARNEGIE-MELLON UNIVERSITY	26
55 ACADEMIA SINICA	37	81 DARTMOUTH COLLEGE	26
55 KING ABDULAZIZ CITY FOR SCIENCE AND TECHNOLOGY (KACST)	37	81 WILLIAM MARSH RICE UNIVERSITY	26
55 KYOTO UNIVERSITY	37	81 ECOLE POLYTECHNIQUE, FEDERALE DE LAUSANNE	26
58 EMORY UNIVERSITY	35	81 INDUSTRY-ACADEMIC COOPERATION FOUNDATION YONSEI UNIVERSITY	26
58 NATIONAL CENTRAL UNIVERSITY	35	86 UNIVERSITY OF LOUISVILLE RESEARCH FOUNDATION INCORPORATED	25
58 THE UNIVERSITY OF TOKYO	35	86 INDIANA UNIVERSITY RESEARCH AND TECHNOLOGY CORPORATION	25
61 DREXEL UNIVERSITY	34	86 NANYANG TECHNOLOGICAL UNIVERSITY	25
61 THE HONG KONG UNIVERSITY OF SCIENCE & TECHNOLOGY	34	86 NATIONAL CHUNG CHENG UNIVERSITY	25
63 MICHIGAN STATE UNIVERSITY	33	86 NATIONAL TAIWAN UNIVERSITY OF SCIENCE AND TECHNOLOGY	25
63 KING SAUD UNIVERSITY	33	91 UNIVERSITY OF TENNESSEE RESEARCH FOUNDATION	24
65 UNIVERSITY OF ARKANSAS	32	91 UAB RESEARCH FOUNDATION	24
65 UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION	32	93 VIRGINIA TECH INTELLECTUAL PROPERTIES, INC.	23
65 UNIVERSITY OF VIRGINIA PATENT FOUNDATION	32	93 UNIVERSITY OF CONNECTICUT	23
65 YALE UNIVERSITY	32	93 WAKE FOREST UNIVERSITY	23
65 OHIO STATE UNIVERSITY/THE OHIO STATE UNIVERSITY RESEARCH FOUNDATION	32	93 KAOHSIUNG MEDICAL UNIVERSITY	23
70 UNIVERSITY OF SOUTH CAROLINA	31	97 MT. SINAI SCHOOL OF MEDICINE	22
70 WASHINGTON UNIVERSITY	31	97 BEN GURION UNIVERSITY OF THE NEGEV RESEARCH AND DEVELOPMENT AUTHORITY	22
73 FLORIDA STATE UNIVERSITY	30	97 I SHOU UNIVERSITY	22
73 TEXAS A AND M UNIVERSITY	30	97 INDUSTRY-UNIVERSITY COOPERATION FOUNDATION HANYANG UNIVERSITY	22
73 UNIVERSITY OF GEORGIA RESEARCH FOUNDATION, INC.	30	97 KOREA UNIVERSITY RESEARCH AND BUSINESS FOUNDATION	22
73 UNIVERSITY OF MISSOURI	30	97 OSAKA UNIVERSITY	22
73 YISSUM RESEARCH DEVELOPMENT COMPANY OF THE HEBREW UNIVERSITY OF JERUSALEM	30	97 PEKING UNIVERSITY	22
78 UNIVERSITY OF BRITISH COLUMBIA	29		

This report listing the Top 100 Worldwide Universities that received the most U.S. utility patents is published by the National Academy of Inventors and the Intellectual Property Owners Association. The information provided in the list is based on data obtained from the U.S. Patent and Trademark Office. Patents reported are utility patents granted during the 2014 calendar year. When a patent is assigned to one or more entities, credit is given to the first named entity. For inquiries, or if you have a research foundation that should be combined with your university assignment in the future, contact kleach@academyofinventors.org.

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Marketing Activities FY2015*

- ❖ Novelty Searches
  - Performed for 112 technologies in FY2015
- ❖ Information Disclosure Statements
  - 1001 references collected in-house in FY2015
- ❖ Non-Confidential Summaries (NCSs)
  - Drafted 103 NCSs in FY2015
- ❖ Marketing/Event Campaigns
  - Executed 109 email campaigns for technologies in FY2015
  - Executed 44 email campaigns for outreach/events FY2015



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Marketing Email Campaigns Executed in FY2015*

Marketing Campaign Title	Sent Date
Carbon Nanotubes/Carbon Fibers for 2015-048, 2015-052, 2015-039	6/25/15
Semiconductor Nanocrystals for 2004-023	6/25/15
Solar/Photovoltaic for 2015-061, 2014-033, 2009-036	6/18/15
AAO Membranes for 2004-020	6/16/15
Nuclear Fuel for 2014-063	6/11/15
Chiral Compounds, Follow up (added 2015-030), 2015-023, 2006-006, 2004-040	6/10/15
HEMT (High-electron-mobility transistor) devices for 2008-008 and 2012-007	6/10/15
Fluorescence Measurement, 2001-002	6/10/15
Epilepsy (& Neurological Disorders) for 2010-003, 2014-020 and 2014-113	6/8/15
Gym Handle 2015-065	6/2/15
Follow up (on mailing 1099) for Chiba patents 8,343,759 and 8,507,270	6/1/15
Thin Films for 2015-011 and 2013-013	5/27/15
Dielectrics for 2006-063, 2000-044	5/6/15
Gene Therapy for Chiba patents 8,343,759 and 8,507,270 & 2014-093, 2014-072 and 2009-055	5/5/15
Chiral Compounds for 2015-023, 2006-006, 2004-040	5/5/15
Research Tools for 2015-001, 2015-003, 2008-033, 2007-029, 2001-039	5/4/15
Kidney, Clearance Marker for 2015-016, 2014-067, and 2006-003	5/4/15
Cancer Technologies (Companies in Canada, UK, Germany) for 2013-089, 2012-103, 2012-095, 2013-096, and 2008-042	4/29/15
Video Content Analysis for 2014-107 and 2006-071	4/28/15
Hair Care/Hair Tools (Part 2) for 2015-085	4/23/15
Organic Conductors/Organic Electrical Devices for 2014-112	4/23/15
Lactobacillus Campaign for 2014-094 and 2014-095	4/22/15
Laser Cutting for 2015-022	4/22/15
Resonant Optical Sensing for 2015-002, 2013-091, and 2010-093	4/16/15
Drones/Quadcopters/UAVs/UASs for 2014-015	4/16/15
Sb (Antimony) Semiconductors for 2015-012 and 2009-057	4/14/15
Hair Care/Cosmetics for 2015-085	4/13/15
Hydrazine Sensor for 2013-124, 2014-047, 2010-113	4/2/15
Customer Reviews for 2015-019	4/1/15

November 18, 2015

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Marketing Email Campaigns Executed in FY2015, cont.*

Marketing Campaign Title	Sent Date
Longboard/Skateboard companies for 2013-035	7/1/14
Autonomous Robotics/Swarm Robotics for 2014-078	7/1/14
Alzheimer's for 2014-104, 2014-072, 2014-091, 2011-055, 2006-080	7/1/14
CO2 Emissions for 2014-062	7/7/14
Nuclear Power Plant facilities 2014-063, 2014-053, 2007-077	7/8/14
Viscosity Measurement 2011-065	7/8/14
Dermatology Pharma for 2014-048 and 2006-080	7/9/14
Antimicrobial Mailing for 2014-089, 2014-088, 2014-050, 2007-049, 2008-099, 2009-056, 2010-009, 2011-041, 2011-006, 2011-039, 2012-003, & 2012-009	7/14/14
Energy utility companies 2014-043, 2014-073, 2014-084, 2013-128, 2013-081, 2013-066	7/14/14
Gene Therapy for patents 8,343,759 and 8,507,270	7/16/14
Cement and Concrete Manufacturers 2014-057, 2010-101	7/21/14
Nanoparticle Manufacturers for 2014-109, 2014-108, 2014-098, 2009-125, 2008-077, 2002-019	7/21/14
Compressed Sensing - Part 1 FILM: 2011-067, 2009-040	7/30/14
Compressed Sensing - Part 2 GAME: 2011-067, 2009-040	7/30/14
Chronic Kidney Disease mailing for 2014-067, 2006-037, 2004-018, 2006-003	7/30/14
Quantum Dot Detectors (Follow-up) 2014-074, 2006-004, 2003-040, 2002-037 added 2005-041	8/4/14
Electro-optic Modulators mailing for 2014-074	8/4/14
Lithography for 2007-015, 2006-090, 1997-007	8/5/14



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Marketing Email Campaigns Executed in FY2015, cont.*

Marketing Campaign Title	Sent Date
Pharma manufacturing for 2004-040, 2014-051	8/5/14
Separation technologies 2007-007, 2012-109, 2013-135, 2014-114	8/5/14
Stimuli Responsive Polymers mailing for 2000-047	8/11/14
Medical Simulation - Phlebotomy for 2014-106	8/11/14
Antimicrobial Mailing "Follow up" for 2014-089, 2014-088, 2014-050, 2007-049, 2008-099, 2009-056, 2010-009, 2011-041, 2011-006, 2011-039, 2012-003, & 2012-009	8/18/14
Gallium Nitride (GaN) Nanowires 2013-064, 2008-068, 2009-062, 2006-069	8/18/14
Laser Diode Arrays mailing for 2000-056	8/21/14
Image Processing for 2014-068, 2013-028, 2009-016, 2014-107	8/27/14
Tuberculosis for 2014-075, 2014-085, 2013-016, 2008-011, 2014-111	8/28/14
Lightwave Communications/Li-Fi/Smart Lighting Mailing for 2014-100	9/2/14
Autonomous Robotics/Swarm Robotics (Follow-up) for 2014-078	9/8/14
Nanoparticle Manufacturers (Follow-up) for 2014-109, 2014-108, 2014-098, 2009-125, 2008-077, 2002-019, added 2014-063	9/10/14
Remote Sensing Imagers for 2014-077, 2010-069, 2010-068, 2007-079	9/11/14
Medical Imaging for 2013-086, 2013-031, 2014-041, 2014-115	9/15/14
Mass spectrometry for 2010-098, 2007-031, and 2003-034	9/15/14
Electrocatalyst for 2014-061, 2013-041, 2012-121, 2010-113, 2006-096, 2006-094	9/17/14
Research Tools 2014-087, 2014-056, 2014-071, 2013-086, 2013-026	9/23/14



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Marketing Email Campaigns Executed in FY2015, cont.*

Mailing Campaign Title	Sent Date
Ultrashort Pulse Lasers for 2014-119, 2014-118, 2012-061, 1998-022, and 1996-002	10/6/14
Supercapacitors/Ultracapacitors for 2014-061, 2009-002, 2013-122	10/7/14
Neurological Disorders for 2014-113, 2014-020, 2014-072, 2013-007	10/22/14
Gastrointestinal (GI) Disorders for 2014-095, 2002-036 and 2013-030	10/27/14
Radiopharmaceuticals for 2011-090, 2006-026, 2006-027, 2008-104 and 2013-069	10/29/14
MOSFET Mailing for 2014-069, 2013-108, 2013-109	10/29/14
CO2 Emissions "Follow-up" for 2014-062	10/29/14
Vaccine companies - Infectious Disease for 2014-111, 2012-023, 2003-007	11/5/14
Computer Component Manufacturers for 2014-068, 2014-107, 2013-028, and 2014-117	11/12/14
Thermal Storage for 2013-128	11/17/14
Lithography (Follow-up) for 2007-015, 2006-090, 1997-007, added 2011-042, 1995-008, 2005-013, 2006-089	11/17/14
Anode Fuel Cell: 2013-068, 2012-105, 2012-074, 2008-076, 2007-033	11/17/14
Quantum Cascade Lasers for 1998-023 and 2008-046	11/18/14
Respiratory and Anesthesia Devices for 2014-083, 2010-039, 2006-029, 2008-042, 2006-042, 2015-005 and 2011-021	11/19/14
High Power Lasers for 2013-092, 1996-003	12/2/14
Flowmeter for 2010-062	12/3/14
Mailing for Cancer Technologies (U.S. companies) 2013-089, 2012-103, 2012-095, 2013-096, and 2008-042	12/3/14
Li-ion Battery for 2013-070, 2012-121, 2013-025, 2013-122	12/9/14
Molecular Sensors for 2013-093, 2013-094, 2013-009	12/9/14
Fluorescent Sensor for 2006-104	12/10/14
Radiation Treatment Planning Software for 2014-105, 2010-008, and 2010-103	12/15/14

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Marketing Email Campaigns Executed in FY2015, cont.*

Mailing Campaign Title	Sent Date
Biosensing for 2015-001, 2015-002, 2014-112, 2012-120, 2007-048 and 2014-016	1/6/15
Advanced Composite Materials for 2006-043, 2010-107, 2008-105, 2006-110, and 2015-030	1/14/15
Femtosecond for 2014-118, 2007-072, 2006-078	1/20/15
Image Processing (Follow up) for 2014-068, 2013-028, 2009-016, 2014-107, added 2011-037	1/21/15
Drug Delivery Mailing for 2006-029, 2006-042, 2009-055, 2006-066 and 2008-042	1/22/15
Laser Filaments for 2014-119	1/22/15
Green Building (bamboo) for 2015-010	1/22/15
Updraft Towers 2015-021	1/29/15
Cancer Technologies (U.S. companies) 2015-007, 2015-008, 2004-045, 2013-031	1/29/15
Immunoassays for 2006-017	2/2/15
Powder Vaccines for 2014-111	2/2/15
Laser Cooling for 2014-120	2/3/15
Orthopedic Device (patella) for 2013-112	2/23/15
Alzheimer's/Contrast Agents for 2014-104, 2013-077, and 2014-115	2/24/15
Mid-Infrared Sensing for 2002-037, 2007-079, 2005-004, and 2003-040	3/4/15
Algae Biofuels, 2015-028, 2014-034 and 2011-057	3/4/15
Silica Nanoparticles for 2014-098, 2006-082, 2014-108	3/5/15
mRNA for 2013-007, 2013-080, and 2014-072	3/10/15
DNA Sequencing for 2014-116	3/10/15
Chemical Companies (device area) for 2007-029, 2006-104	3/10/15
Spectral Sensor Manufacturers for 2014-100	3/11/15
Allergy/Allergen Immunotherapy for 2013-136	3/23/15
DNA Ligase mailing campaign for 2012-103, 2012-095, 2010-072, and 2013-089	3/25/15
Ischemic Stroke for 2014-113 and 2014-020	3/30/15

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## ❖ Of the 109 email campaigns executed in FY2015

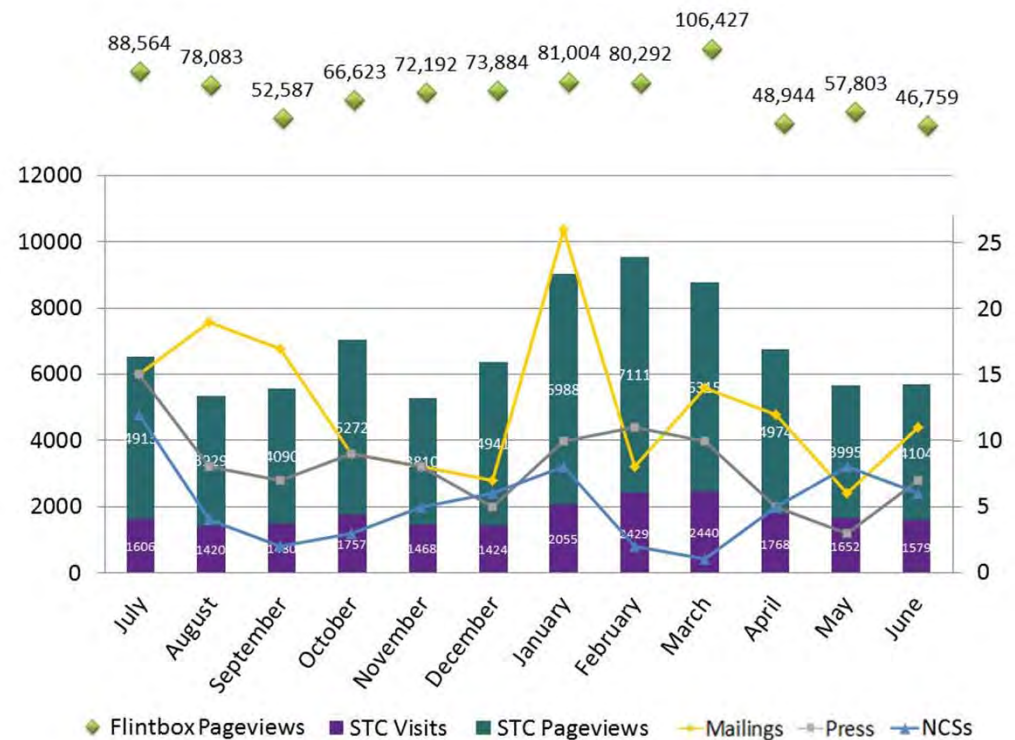
- 12,092 marketing interactions from email campaigns
- 402 interactions from targeted emails
  - Interactions accounted for approx. 153 serious leads in which companies requested more information about technologies

## ❖ Website Statistics FY2015

- STC Main Website – 21,078 total visits (-28% from prior quarter), 60,442 total page views (-36% from prior quarter)
- Visits came from 101 different countries

## ❖ Sophia Knowledge Management System

- 217 current inventor users





# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

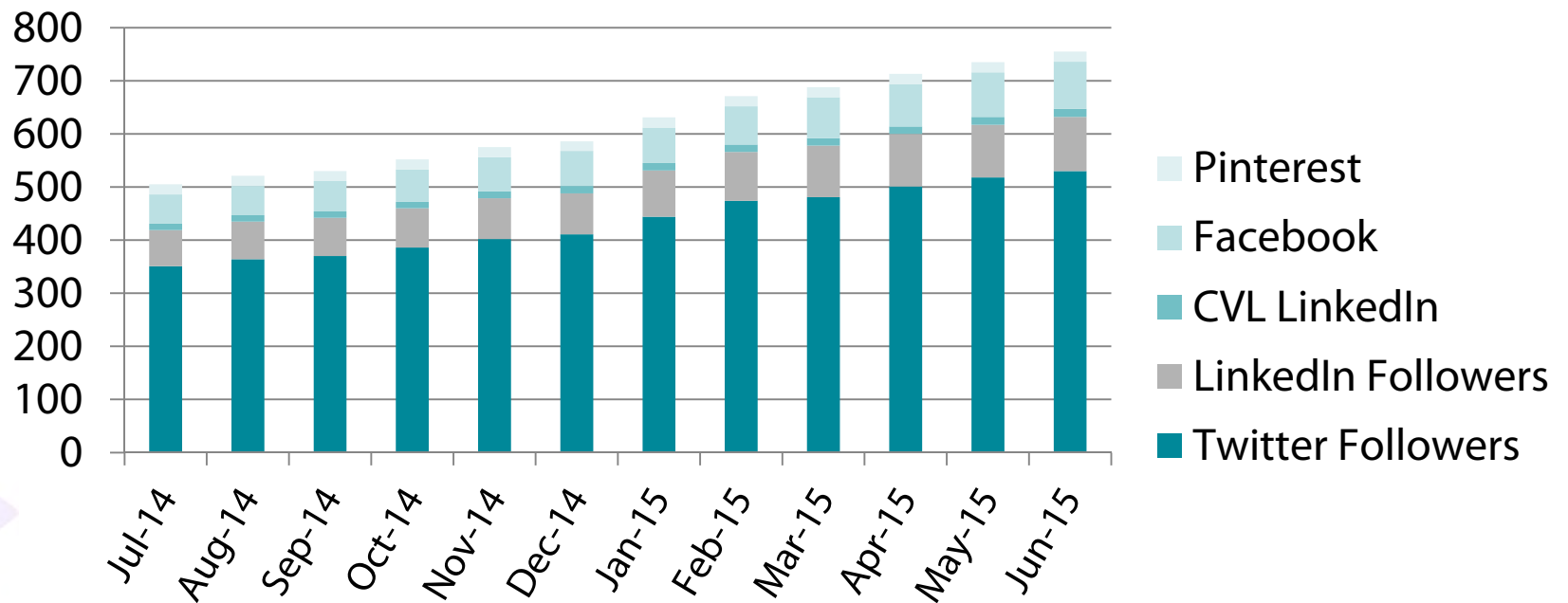
## *Flintbox Activities*

### ❖ **STC currently has 440 technologies posted on Flintbox**

- 853,162 total page views (approx. 43% decrease from previous quarter) of 809 different records in FY2015
- Average of over 2000 views per day
- Most viewed technologies in FY2015
  - FY2015: End-user direct licensing: Couette Cell for Demonstrating Laminar Flow (STC Ref. 2009-074)
  - FY2015 Technology Portfolio: Interferometric Lithography Patterns with Circular Symmetry (STC Ref. 2006-089)
    - Q4: Technology Portfolio: Modification of Lactococcus Lactis for Production of Therapeutic Proteins (STC Ref. 1994-094)
    - Q3: Technology Portfolio: Robust Hybrid Thin Films that Incorporate Lamellar Phospholipid Bilayer Assemblies and Transmembrane Proteins (STC Ref. 2006-066)
    - Q2: Technology Portfolio: Interferometric Lithography Patterns with Circular Symmetry (STC Ref. 2006-089)
    - Q1: Technology Portfolio: Bio-Compatible Hybrid Organic/Inorganic Gels: Vapor Phase Synthesis (STC Ref. 2007-065)
- Currently have 10 products available for licensing online
  - 9 orders from Flintbox in FY2015
    - 4 orders for Couette Cell for Demonstrating Laminar Flow Apparatus
    - 3 orders for Couette Cell for Demonstrating Laminar Flow Plan
    - 2 orders for Solar Oven Plan

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Social Media Activities FY2015*





# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## Spring Technology Social Events & Innovation Academy Reception

<http://stc.unm.edu>

### STC.UNM TECHNOLOGY 2015 SOCIAL

Spring Series

STC.UNM, the technology transfer office for the University of New Mexico, invites companies, investors, and entrepreneurs to social events highlighting the University of New Mexico's Technology Opportunities and Start-up Companies Based on UNM Technology. These events are **FREE** to attend and lunch will be provided.

Discover commercialization opportunities, related UNM research innovations, and partnerships with UNM's start-up companies. Also, meet with start-up CEO's and key UNM faculty!

#### Dates & Times:

**February 17, 2015 (10:00 AM - 4:00 PM)**  
Engineering & Physical Sciences Technology featuring nanomanufacturing and energy technology and related start-up companies.

**February 18, 2015 (10:00 AM - 4:00 PM)**  
Life Sciences Technology Social - featuring devices, healthcare IT, imaging technology and related start-up companies.

#### Location

The Rotunda, UNM Science & Technology Park  
(801 University Blvd. SE, Albuquerque, NM 87106)

While in New Mexico, take advantage of the numerous activities this state has to offer.

Ride North America's longest aerial Tramway!

Ski at New Mexico's many resorts!

Visit historic Santa Fe! Just to name a few!

For more activities and details, please visit:  
<http://www.newmexico.org/>

**Register today!**  
Engineering & Physical Sciences: [www.technical-physics.com](http://www.technical-physics.com)  
Life Sciences: [www.technical-life-sciences.com](http://www.technical-life-sciences.com)

Join us as we showcase talented UNM students!

### STC.UNM

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

#### Experience Student Pitches

### University of New Mexico's Innovation Academy Reception

#### Details

Date: February 17th, 2015  
Time: 4:00pm - 6:00pm  
Location: The Rotunda  
UNM Science & Technology Park  
801 University SE  
Albuquerque, NM 87106

If you are a student interested in presenting, please contact STC at [micah@stc.unm.edu](mailto:micah@stc.unm.edu)

#### EVENT INFO

At the reception, students will pitch their innovative business ventures and ideas. There will be opportunities for networking and building relationships.

Companies, entrepreneurs, investors, and fellow students will not want to miss this **FREE** event! Light refreshments will be provided.

We look forward to seeing you there!

#### Register

<http://unmreception2015.eventbrite.com>



November 18, 2015

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Elevator Pitch Competition*



## Judges:

- ❖ Susan Cornelus
- ❖ Rob DelCampo
- ❖ Wayne Laslie
- ❖ Cindy McGill
- ❖ J.T. Michelson

**Subject:** STC.UNM Elevator Pitch Competition

Jovan and Cara,

Just a quick note to say THANKS! for including Frank in this event. He was so pleased to be selected. He also learned a lot and got great feedback for our project.

With much appreciation,

**Bridget S. Wilson, PhD**

Maralyn Budke Professor of Cancer Cell Signaling  
Dept of Pathology, UNM Health Science Center  
Director, New Mexico Spatiotemporal Modeling Center



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Elevator Pitch Competition cont.*



### Winners:

#### **Harry Pappas**

Doctoral student in nanoscience & microsystem engineering

#### **Natalia Vladimirova & Humberto Lopez**

Graduate students in architecture and planning

#### **M. Frank Erasmus**

Doctoral student in biomedical sciences

#### **Jacqueline De Lora and Jonathan Dorsey**

Doctoral student in biomedical sciences and  
doctoral student in nanoscience & microsystem engineering

#### **Jennifer Lake**

MBA student



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Collaboration with SOE and LoboNet Connect*

Mixers are held the third Thursday of each month during the Spring and Fall semesters

### Guest Speakers:

- ❖ **LeAnn Adams Miller, Ph.D.**  
Sandia National Laboratories
- ❖ **Mike Emerson**, President  
Space & Defense Division  
ARES Corp.
- ❖ **Douglas Smith**, President  
NanoPore, Inc.

Goal is to connect and help build the Albuquerque Tech Innovation Community



4.16.15

UNM SCHOOL of ENGINEERING  
LoboNet CONNECT STC.UNM

JOIN US, CONNECT AND HELP BUILD THE  
ALBUQUERQUE TECH INNOVATION COMMUNITY

Featured Guest:  
**Douglas Smith**  
President, NanoPore, Inc.

Thursday, April 16  
5:00-7:00pm

@ UNM FACULTY CLUB  
APPETIZERS & CASH BAR

FREE TO ATTEND  
NO REGISTRATION REQUIRED

The next LoboNet Connect MIXER will resume in September

2.19.15

UNM SCHOOL of ENGINEERING  
LoboNet CONNECT STC.UNM

MIXER

CLUB APPETIZERS & CASH BAR

\* february 19 \* 5:00-7:00pm  
guest: LeAnn Adams Miller, PhD  
CT AND HELP BUILD THE ALBUQUERQUE TECH INNOVATION COMMUNITY

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

*Collaboration with Sandia – Fall 2015 Technology Social and Showcase*



**INVITATION**

Join us at the  
**STC.UNM and  
Sandia National Laboratories  
2015 Fall Technology  
Social and Showcase**

Featuring jointly developed start-up companies  
as well as research and technology opportunities.

**DATE:** Thursday, September 24, 2015  
**TIME:** 10:00 am – 3:00 pm  
**PLACE:** UNM Science & Technology Park  
The Rotunda, Building 801, 1st. Floor-East  
801 University Blvd. SE, Albuquerque, NM 87106

Attendance is **FREE!**  
Come for networking and lunch.

Register today at [tech-showcase-social.eventbrite.com](http://tech-showcase-social.eventbrite.com)

*Free parking available in the parking garage directly west of Building 800,  
at the corner of Basehart and Bradbury Drive.*



***Published Fall 2014 and Spring 2015 Newsletters***

the fact that few have been trained in the use of the technology. In the United States, the National Science Foundation (NSF) has been working to help bridge this gap by funding a number of research centers in the U.S. and around the world that are focused on the development of the technology. The NSF has funded a number of research centers in the U.S. and around the world that are focused on the development of the technology. The NSF has funded a number of research centers in the U.S. and around the world that are focused on the development of the technology. The NSF has funded a number of research centers in the U.S. and around the world that are focused on the development of the technology.



## President's Corner

### Innovate ABQ Update

Welcome back to all in the UNM community from what I hope was a restorative winter break.

The spring 2018 semester promises to be a busy one for our researchers, teachers, students, and the skilled staff that keep our university operations and operations running smoothly and successfully.

At STC UNM, we continue to make strides in commercializing university technologies and creating start-up companies. Two new programs profiled in this issue, tech socials and a co-investment fund, are helping us make those strides and fund our core mission to foster innovation and economic development for the UNM community.

We are committed to the **Rainforest model** for developing innovative ecosystems and economic growth. Rainforest

Lisa Mueller  
STC UNM President  
University of New Mexico Development Office  
STC UNM



**technology highlights**

## Technology to Recycle Waste Carbon Dioxide Has Potential to Reduce Greenhouse Gas

Researchers at the University of New Mexico and Sandia National Laboratories' Advanced Materials Laboratory have developed a process for recycling waste carbon dioxide (CO<sub>2</sub>) into useful organic products such as chemical feedstocks. Feedstock refers to any bulk raw material that is used in an industrial process to create a product. The new process uses inexpensive and plentiful metals as catalysts that react with CO<sub>2</sub> temporarily to form the electrochemical conversion of the waste into bulk

**Department of Chemistry & Chemical Engineering (CME)**  
Karl D. Smith, Ph.D.  
David S. Sholl, Ph.D.  
Shawn Sweeney, Ph.D.  
Benjamin S. Yell

**Reference Number:** 3076

**catalysis.** In homogeneous catalysis, the catalyst and reactant are in the same phase, that is, liquid, solid or gas, but usually liquid. In heterogeneous catalysis, they are in different phases. For example, the catalyst is a solid but the reactant is a liquid or gas. Catalysts are substances that accelerate the rates of chemical reactions but are not themselves consumed in the reaction. They are the key ingredients in almost every biochemical or industrial reaction.

The key constraints present are efficient because they eliminate the need for expensive materials such as platinum and palladium, and because it can be used to create flexible, thin-film devices that are easy to produce and process. The technology represents an access to a first in a sustainable approach to reducing atmospheric CO<sub>2</sub> to 0.5 to 1.0 degrees Celsius for approximately 67 percent of the country's greenhouse gas emissions.

The process can conceptually be used in both homogeneous and heterogeneous

the co-inventors are led by Dr. Herbert Kricheldorf, professor in UMHI Department of Chemistry & Chemical Engineering, and principal investigator of the Scientific Center for Sustainable Chemical Processes, the Heubach joint appointment at UMHI and Sandia, and Dr. Michael J. Janicek, professor in the Department of Chemical Engineering at Sandia. He and his team have been working to develop a novel way to thermally catalyze CO<sub>2</sub> to methane from natural gas.

UMHI has been made possible through the generous support of a number of sources for various equipment, including the nitrogen oxide and carbon capture divide into temperature ranges and feed additives to reduce the amount of CO<sub>2</sub> in the atmosphere. The technology represents an achievement of the goal of "no

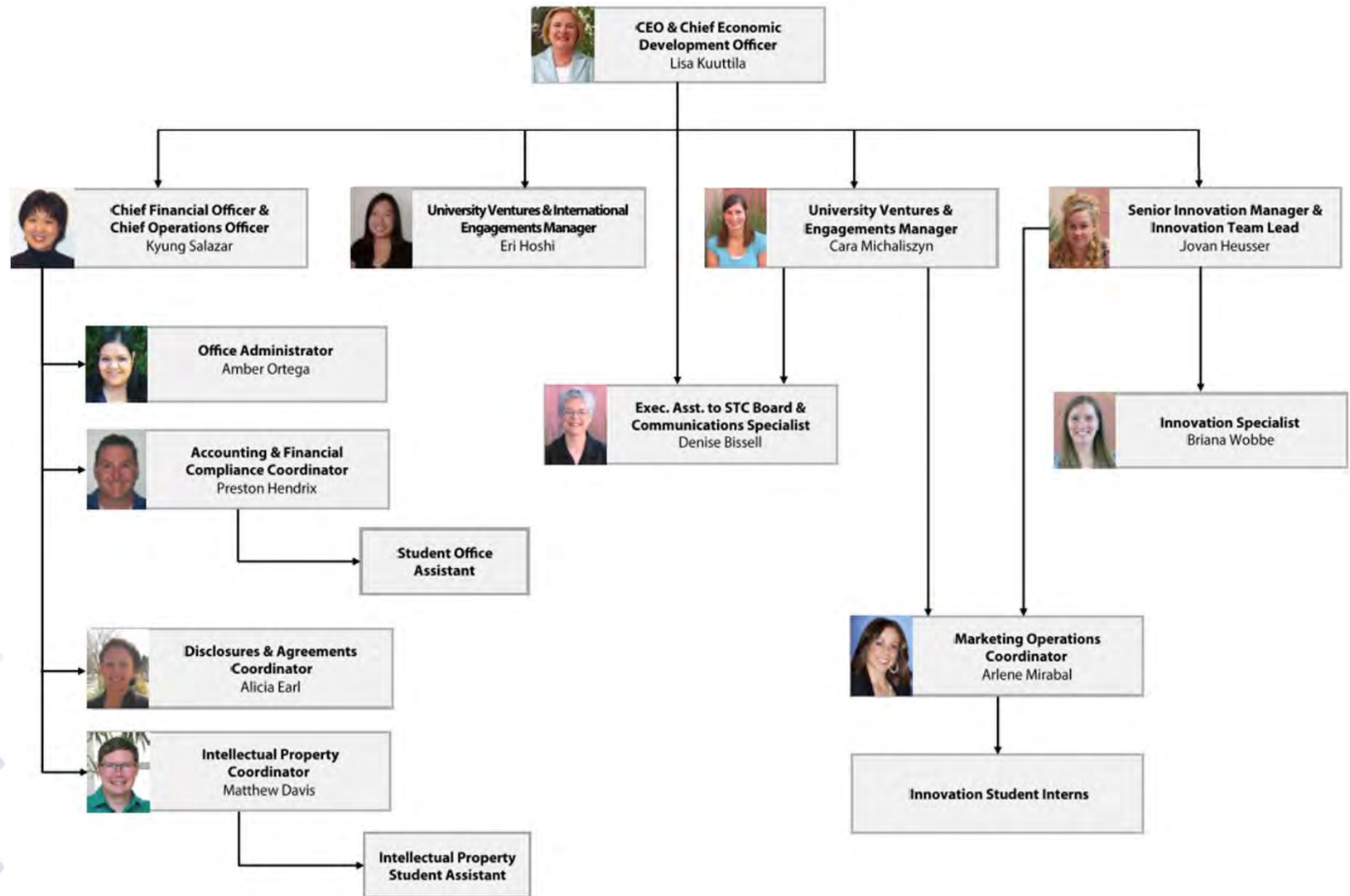
physical obstacles to reach their target inside the car.

Department of Chemistry • UMHI  
HERBERT.KRICHELDORF@UMHI.EDU

Researchers at the University of New Mexico, the University of Texas at Austin, and the Sandia National Laboratories, and the Molecular Imaging Research Institute have developed

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# STC STAFF ORGANIZATION CHART



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *STC Student Interns – current*

- ❖ **Zachary Binger** (School of Engineering)
  - Working on BS in Chemical Engineering
- ❖ **Camron Livermore** (School of Engineering)
  - Working on BS in Civil Engineering
- ❖ **Melissa Castillo** (School of Engineering)
  - Working on BS in Computer Engineering
- ❖ **John Padilla** (School of Engineering)
  - Working on BS in Mechanical Engineering
- ❖ **Maxwell Gesten** (School of Architecture)
  - Working on BA in Environmental Planning and Design
- ❖ **Michael Sanchez** (Anderson School of Management)
  - Working on BBA in Business, Minor in Mathematics
- ❖ **Sierra Hunter** (Anderson School of Management)
  - Working on BBA in Management (Double concentration Finance and Accounting)
- ❖ **Rachel Timmins** (Anderson School of Management)
  - Working on BBA in Accounting, Minor in Political Science



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *IT Projects*

- ❖ Student Field Agent (SFA) service agreement in place with UNM IT Department assisting STC with desktop and network management.
- ❖ UNM C.S. student Stephen Ransom works 6-8 hours per week at STC.



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Current Projects: Jovan Heusser, Lead*

- ❖ **Arap/Pasqualini – Therapeutic Antibody Discovery**
  - Option Agreement with new Start-up Mbrace Therapeutics Pending
  - Numerous Interests in New Start-up Based on UNM/LANL Collaborative Platform
- ❖ **Brueck/Edwards – Nanopore Sequencing Platform**
  - Start-up Company Formed and Option Agreement Executed – Armonica Technologies
  - Pending Sponsored Research Agreement
  - Working on IIA's with Sandia National Labs and Redondo Optics
- ❖ **Edwards – Next-Generation Sequencing**
  - License Agreement with Start-Up ElectroSeq, LLC (Albuquerque, NM) Pending
- ❖ **Graves/Stefanovich – DNA Biosensor**
  - Start-up Company Formed and Option Agreement Executed – Helion Scientific Inc.
- ❖ **Hauswald – Medical Devices**
  - Option Extension with GHP Development (Telluride, CO) Pending
  - Prototype Development Underway
- ❖ **Hill –Peptide Therapeutic and Repurposed Compound**
  - Exclusive License with Tarix Pharmaceuticals Pending
  - Possible Option and SRA with LRRR under Discussion
- ❖ **Larson – Ligand Based Biosensor and Efflux Inhibitors**
  - Licensing Discussions for Biosensor Underway with Pharmaco Kinesis Corporation and Novus Medical Ventures
  - Exclusive Option Agreement for Efflux Inhibitor with IECrowd Executed
  - Sponsored Research Agreement for Efflux Inhibitors with IECrowd Pending

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Current Projects: Jovan Heusser, Lead, Continued*

- ❖ **Liu – BBB Stroke Diagnostic**
  - Exclusive License Agreement with IECrowd Executed
  - Sponsored Research Agreement with IECrowd Pending
- ❖ **Luan – Gamma Knife and Cyber Knife Software**
  - Sponsored Research Agreement with Elekta Pending
  - Several License Agreement with Industry to be Proposed
- ❖ **Mammoli – Software for Photovoltaic Energy Efficiency**
  - Interest from Start-up Company DataCloud
  - Interest in new Start-up from Industry Connections
- ❖ **Murata – Electronic Medical Software Modules**
  - Option Agreement with TerraSol (Albuquerque, NM Start-Up) to be Extended
- ❖ **Prossnitz/Sklar – GPR30 Compounds G1 and G15**
  - Exclusive License Agreement with IECrowd Executed
  - Sponsored Research Agreement with IECrowd Pending
- ❖ **Pattichis – Dynamic Algorithms and Software Architectures**
  - Option Agreement Pending with New Mexico Start-Up InnoBright, Inc.
- ❖ **Sklar/Chigaev – Personalized Medicine and Integrins**
  - Exclusive License Agreement with IECrowd Executed
  - Sponsored Research Agreement with IECrowd Pending
- ❖ **Timmins – Tuberculosis Diagnostics and Therapeutics**
  - New Option Agreement and Start-up Company Pending

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Current Projects: Jovan Heusser, Lead, Continued*

- ❖ **Trujillo – Exosomes for Cancer Therapy**
  - Option Agreement Extension with ExoVita Biosciences Pending
- ❖ **Vander Jagt – Curcumin and Resveratrol Therapeutic Analogs**
  - Option Agreement with LRRP Pending (MTA complete and testing underway)
  - Option Agreement with Biophagy Pending
  - Numerous Commercial Interests
- ❖ **Wandinger-Ness/Sklar – GTPases for Cancer**
  - Exclusive License Agreement with IECrowd Executed
  - Sponsored Research Agreement with IECrowd Pending
- ❖ **Woodall/Starling – UConsiderThis (Website to Prevent Binge Drinking)**
  - Exclusive Option with New Mexico Angels Start-up Factory 2 Pending; New Start-up to Be Formed
  - IIA with Klein Buendel In Process
- ❖ **Whitten – Antimicrobial Polymers**
  - License Agreement Executed with New Mexico Start-Up Reactive Technologies, LLC
  - Company Currently Fundraising and Business Planning
- ❖ **Willman – Leukemia Prognostics/Diagnostics**
  - Licensing Discussions with Nanostring Underway
  - Working on Several NDA's
  - Working on IIA with LLS and COG
- ❖ **Wilson – Allergy Immunotherapy**
  - Interest in New Start-up from NM Start-up Factory II

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Current Projects: Jovan Heusser, Lead*

- ❖ **Atanassov and Serov– Fuel Cells- Cathode**
  - Multiple IP filings including foreign elections of 4 IP portfolios that Pajarito is reimbursing; working on sponsored research agreement with Pajarito Powder
- ❖ **Atanassov – Hydrazine Sensor**
  - Negotiating option and license agreement with Daihatsu
- ❖ **Atanassov – Biofuel Cells**
  - Renewed option agreement with Pucara Engineering & Logistics LLC
  - Other interest includes CFDRRC and Batterade
- ❖ **Atanassov and Serov – Li-Ion Battery**
  - Start-up company interest
- ❖ **Atanassov and Serov – Anode Materials**
  - Option and license agreement proposed to Mantra
- ❖ **Atanassov and Serov– Smart MEAs for High Power Fuel Cells**
  - IRD Fuel Cells renewed option agreement; working on sponsored research agreement
- ❖ **Brinker and Kissel – Superhydrophobic Coating**
  - Reviewing for assertion opportunities with attorney
  - Letter sent to Ross Technologies with information about issuing claims
  - Term sheets to Shimano (Asia Metal Works)
- ❖ **Diels – Laser Communications**
  - Completed joint ownership agreement with EPRI to allow STC to lead negotiations with Attochron
  - Executing exclusive license with Attochron
  - Review assertion opportunities
- ❖ **Graves – Flow Cytometry**
  - Eta Diagnostics executed license; working on patent prosecution and investor intros

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Current Projects: Jovan Heusser, Lead, Continued*

- ❖ **Hayat/ Zarkesh-Ha - Avalanche Photodiode**
  - Dynamic Photonics extended option agreement and negotiating license
- ❖ **Hersee –Growth of GaN and other LED technologies**
  - Renegotiated to a non-exclusive license with GLO AB
  - Reviewing for assertion opportunities
- ❖ **Y. Jiang & Brinker – Biomimetic Membranes**
  - Start-up company interest
  - Interest from NM Angels
- ❖ **Kemp – CO2 Transformation**
  - Interest from Liquid Light, Carbon Clean Solutions, and Mineral Carbonation International – waiting on publication
- ❖ **Krishna – Infrared Imaging for Skin Cancer**
  - Dropped option agreement; but reviewing additional IP to option;
- ❖ **Leseman – XeF2 Etching System**
  - New start-up company interest from Cottonwood
- ❖ **Leseman – Diffraction Grating Transfer to Hair and Fibers**
  - New start-up company interest, interest from Unilever, L'Oreal, Chi; large marketing effort to find licensee and funding partners
- ❖ **Lopez – Electroactive Polymers**
  - Reviewing for assertion opportunities with attorney
  - Letter sent to Artificial Muscle, Inc.
- ❖ **Maji – Thermally Stable Fresnel Imager**
  - Start-up company interest; STTR submission

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Current Projects: Jovan Heusser, Lead, Continued*

- ❖ **Panaiotis – Music App and Data Musification**
  - PanMuse reinstated option agreement and hybrid license to make limited sales; making intros to raise seed funds
- ❖ **Plusquellic – Non-Volatile Memory PUF**
  - Negotiating option with TruSecSys LLC; making intros to business community; SBIR submitted
- ❖ **Plusquellic – Hardware-Embedded Path Delay (HELP) PUF**
  - TruSecSys LLC has assigned the option agreement to the NM Angels Start-up Factory II; STC amending option to work with the NM Angels to fund new start-up
- ❖ **Ross – Green Building Materials/ Bamboo Connectors**
  - Interest from NM Community Capital, Gaudua Bamboo, and Ibuku
- ❖ **Ruymgaart – Smart Propulsion Units**
  - Interest from Skysmith Cinedrone, Aeronavics and start-up company formation
- ❖ **Sheik-Bahae – Optical Refrigeration**
  - ThermoDynamic Films renewed option agreement; new jointly owned IP; rebranding as CryoRay; interest from FLIR
- ❖ **Sibbett – Lateral Flow Devices**
  - Interest in non-exclusive optioning again from Human Recombinant Protein Initiative for Africa
- ❖ **Sibbett – Pressure Sensing Fabrics**
  - Start-up company interest from Pressure Analysis Company; executed option
- ❖ **Taha/Stormont – Wellbore Sealing**
  - Start-up company interest

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

*Other University Requests for information from STC:*

- ❖ Wichita State University: Innovate
- ❖ University of Minnesota: STC Structure
- ❖ Kansas State University Research Foundation: Sophia & Flintbox Utilization, Marketing Process



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Start-up Options / Licenses Signed FY2015*

- Exovita Biosciences, LLC
  - Option signed
- TerraSol, LLC
  - Option signed
- GHP Development
  - Option signed
- Electroseq, LLC
  - Option signed
- InnoBright, LLC
  - Option signed
- Reactive Technologies, LLC
  - Option signed
- Innovation Economy Crowd
  - Option signed
- Armonica Technologies Inc.
  - Option signed
- Helion Scientific Inc.
  - Option signed

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Activity: Jointly-owned inventions with Sandia and LANL*

	<b>Sandia</b>	<b>LANL</b>
Jointly-owned inventions	174	39
Number of Commercialization Agreements	68	23
Number in which STC has taken lead	46	23
Number of option and license agreements executed with STC as lead	17	6
Number of option and license agreements executed with partners as lead	5	-
Income from option and license agreements with STC as lead	\$9,843,437 <sup>(a)</sup>	\$165,668
Start-ups from option and license agreements with STC as lead	4	2
Income from option and license agreements with partners as lead	\$84,770	\$-0-
Start-ups from option and license agreements with partners as lead	2	-

- Currently have 22 outstanding commercialization agreements with Sandia.
- 18 new joint inventions with Sandia disclosed during FY2015.
- 18 commercialization agreements with Sandia executed during FY2015.

*(a) Gross licensing income composed of pooled technologies that also include other non-jointly-owned technologies.*

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Cecchi VentureLab Activities*



### ❖ CVL Research Projects

- VisionQuest
  - Market research on malaria, and research on opportunities for funding malaria projects in Africa
  - Research on camera companies and the ARVO 2015 conference
- Sandia Biotech
  - Researched antibody companies and sent marketing campaigns regarding company's antibody technology
  - Researched university labs who would be interested in using novel proteins and peptides for research; sent marketing
- Accelera Diagnostics
  - Provided F&S market research reports and Medtrack pipeline information
- Armonica
  - Assistance with business plan focusing on competitive landscape and industry background
- Reactive Technologies
  - Research; market analysis
- PanMuse
  - Research; market analysis; competitor analysis; assistance with business plan
- NanoMR
  - Competitor search; product pipeline research; provided Medtrack company profiles and Frost & Sullivan market reports
- Mike Wallace & Assoc.
  - Reviewed new website for changes/edits
  - Research and contact info for potential customers in the SW region
  - Company name and logo trademark search
  - Research on Australia water trading and water related conferences

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Cecchi VentureLab Activities cont.*



### ❖ CVL Program Tenants

- CVL provided services to 6 physical office tenants and 18 virtual program participants in FY2015
- Physical Tenants (full occupancy currently)
  - ActoProbe, LLC; Zocere, Inc.; ElectroSeq, LLC; Mike Wallace & Assoc.
- Virtual Program Participants
  - Current Active (9 companies): Pajarito Powder; Photon Systems Instruments; XL Scientific, LLC; BlueCom Systems and Consulting, Sandia Biotech, PanMuse, LLC, Reactive Technologies, Armonica Technologies, Inc.; NanoMR
  - Inactive (ended during the FY): Agilvax; Accelera Diagnostics; EcoPesticides; Electroseq (became Physical); InnoBright Technologies, Inc.; SKINfrared, LLC; SolaranRx; VisionQuest Biomedical; Z-Coil
- Prospective Participants
  - Magic Dragon; TruSecSys; Dynamic Photonics; AnnSight; HRP; Aquila; Sun Mountain Capital



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *New Mexico Transplant CEOs*

Company	Year Founded	Transplant from
ElectroSeq LLC	2014	Maine
SolaranRx	2014	Pittsburgh
EcoPesticides International, Inc.	2013	Pittsburgh
Eta Diagnostics (Sandia Electro-Optics Corporation)	2013	New York
Biophagy LLC	2013	Boston
Zocere, Inc. (Tyrosine Pharmaceuticals)	2013	Utah
Oligocide	2011	Washington
Avisa Pharma	2011	Pennsylvania
AgilVax	2011	Pittsburgh
Respira Therapeutics	2010	California
NanoMR	2007	California
Intellicyt	2006	Pittsburgh

**36% of STC's New Mexico Active Start-up Companies have transplant CEOs**

November 18, 2015

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## STC.UNM Albuquerque Start-ups Map



**Comet Solutions** (2155 Louisiana Blvd NE – 2,500 sqft)  
**Intellicyt** (9620 San Mateo Blvd NE – 8,000 sqft)  
**NanoMR** (5741 Midway Park Blvd – 19,000 sqft)  
**Eta Diagnostics** (3100 Menaul Blvd NE– 13,000 sqft)  
**K&A Wireless** (2617 Juan Tabo Blvd NE)  
**Pucara Engineering and Logistics, LLC** (Tijeras, NM)  
**Exagen Diagnostics** (800 Bradbury Drive SE Suite 108)



**Technology Ventures Corporation (TVC)**  
**Dynamic Photonics, EcoPesticides International, Exovita Biosciences**  
 (1155 University Blvd. SE Shared-office – 225 sqft)

### Incubator Space

**BioScience Center (5901 Indian School Rd NE)**

19,500 sqft building; 2500 sqft lab space

- **SolaranRx**
- **Biophagy**
- **Oligocide/Clean Spot** (1000 sqft lab and office)
- **Avisa Pharma, Inc.**
- **Azano Health**
- **AgilVax**
- **InLight Solutions, Inc.**
- **Respira**

**UNM STP & Cecchi VentureLab (University & Bradbury)**

- **SKINfrared** (2000 sqft)
- **Lumidigm**
- **Zocere, Inc.**
- **Electroseq**

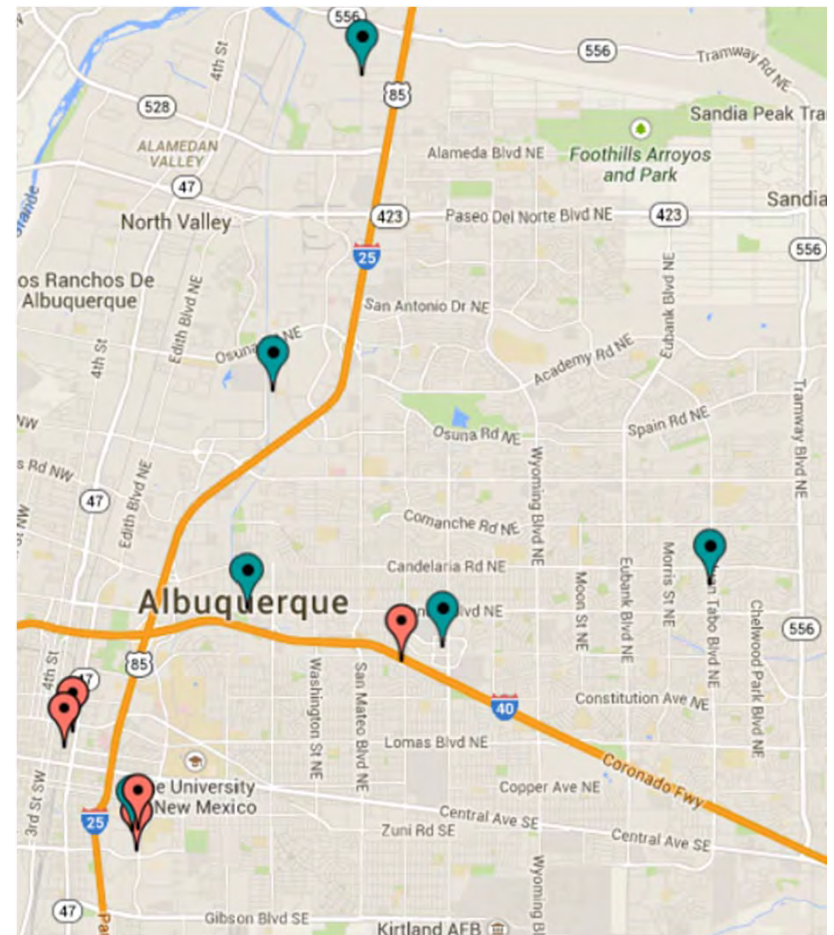
**Verge Building (317 Commercial St. NE)**

- **TruTouch**
- **Pajarito Powder** (200 sqft office; 2000 sqft manuf.)

**WESST Enterprise Center (609 Broadway Blvd. NE)**

### No designated office space

- **TerraSol, InnoBright, TruSecSys, Accelera Diagnostics, PanMuse, Quatros, Transmix Safe Lock, Inc.** (36 sqft desk space), **ThermoDynamics Films, LLC** (100 sqft of kitchen), **Batterade, LLC**, **Wedge Health Communications**



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

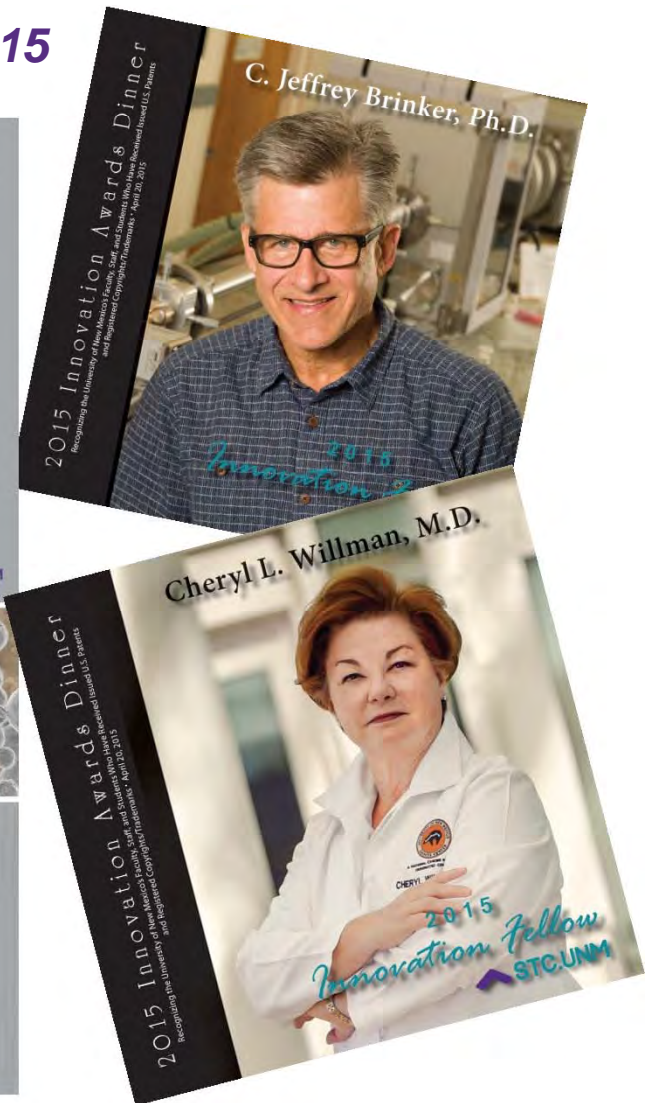
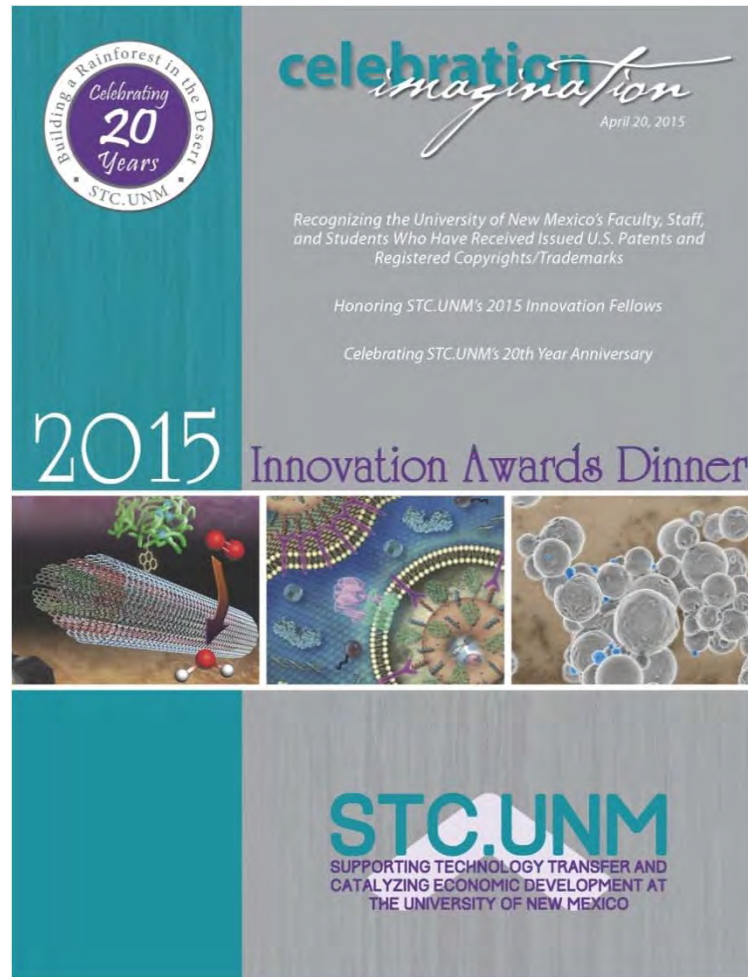
## *UNM Business Plan Competition*

- ❖ Developed specialized section on the web site for the students interested in STC's technology for business plan competition
  - (<https://stc.unm.edu/technologies/businessplanopportunities.php>)
- ❖ In September, STC attended Anderson Technology Business Plan Competition Kick-Off



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

*Annual Innovation Awards Dinner – April 20, 2015*





# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *2015 Innovation Awards Dinner*

### ❖ **STC.UNM 2015 Innovation Awards Dinner – Keynote Speaker**

- Gregg Mayer, Ph.D.
- Member (since 1994), Board of Directors, STC.UNM
- President, Gregg L. Mayer & Co., Inc.



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *2015 Innovation Awards Dinner*

### ❖ STC.UNM 2015 Innovation Awards – Awards Recipients

Jacob O. Agola, Ph.D.

Sofiya M. Babanova, Ph.D.

Steven R. J. Brueck, Ph.D.

Alexandre Chigaev, Ph.D.

Lorraine M. Deck, Ph.D.

Elizabeth L. Hedberg-Dirk, Ph.D.

Andrew Frauenglass

Sang M. Han, Ph.D.

Brian L. Hjelle, M.D.

David J. Keller, Ph.D.

Seung-Chang Lee, Ph.D.

Shuang (Sean) Luan, Ph.D.

Jeffrey P. Norenberg, Pharm.D., Ph.D.

Marek A. Osirski, Ph.D.

Dimitar N. Petsev, Ph.D.

Larry A. Sklar, Ph.D.

Graham S. Timmins, Ph.D.

Wei Wang, Ph.D.

Cheryl L. Willman, M.D.

Ladan Arissian, Ph.D.

C. Jeffrey Brinker, Ph.D.

Vince Calhoun, Ph.D.

Bryce Chackerian, Ph.D.

Vojo P. Deretic, Ph.D.

Ravi V. Durvasula, M.D.

Steven W. Graves, Ph.D.

Mark K. Haynes, Ph.D.

Lucy A. Hunsaker

Sanjay Krishna, Ph.D.

Zayd Leseman, Ph.D.

Debra A. MacKenzie, Ph.D.

Tudor I. Oprea, M.D., Ph.D.

Marios S. Pattichis, Ph.D.

Mansoor Sheik-Bahae, Ph.D.

Zurab Surviladze, Ph.D.

David L. Vander Jagt, Ph.D.

Walker R. Wharton, Ph.D.

Plamen B. Atanassov, Ph.D.

David C. Brown, Ph.D.

Eric C. Carnes, Ph.D.

Abhaya K. Datye, Ph.D.

Jean-Claude Diels, Ph.D.

Bruce S. Edwards, Ph.D.

Pamela Hall, Ph.D.

Stephen D. Hersee, Ph.D.

Linnea K. Ista, Ph.D.

Richard S. Larson, M.D., Ph.D.

Gabriel P. Lopez, Ph.D.

Victor Manuel Murray Herrera, Ph.D.

Robert A. Orlando, Ph.D.

David Peabody, Ph.D.

Laurel O. Sillerud, Ph.D.

Todd A. Thompson, Ph.D.

Angela Wandinger-Ness, Ph.D.

David G. Whitten, Ph.D.

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Inventor Feedback:*

*“Jovan*

*Sorry we did not get to chat last night. I had a wonderful time at the celebration and wanted to thank you and the entire STC team for hosting a great event.*

*Congratulations on the many STC achievements, feels great to be a part of it all.*

*Angela Wandinger-Ness”*

Angela Wandinger-Ness via email on April 21, 2015 to STC regarding 2015 Innovation Awards Dinner

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Innovation Awards Dinner*



“

Lisa,

I want to congratulate you on all of the work being done by STC. Last night's ceremony was really nice and it shows how much your educational activities have helped to raise the level of awareness of IP and innovation on our campus.

Please convey my thanks to your entire team for such a well-organized effort, both in terms of protecting and licensing our IP, and a very meaningful awards ceremony.

- Abhaya K. Datye

”



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – SUPPORTING TECHNOLOGY TRANSFER:

## *Osage University Partners*

- ❑ Osage (and its affiliated investment funds) – a unique venture capital firm
- ❑ Established to invest in the spin-outs of Osage's partner institutions by exercising their participation rights
- ❑ Osage commenced operations in 2009
- ❑ STC was asked to participate as an Associate Partner
- ❑ MOU has been executed between STC and Osage



# Osage University Partners Overview



## UNIQUE VENTURE FUND THAT PARTNERS WITH RESEARCH ORGANIZATIONS TO INVEST IN THEIR SPIN-OUTS BY EXERCISING THEIR PARTICIPATION RIGHTS

- Osage invests in early, middle, and late stage spinouts in all sectors, including life science, software, advanced materials, semiconductors, clean energy, and more

## PARTNER ORGANIZATIONS SHARE IN OSAGE PROFIT AND BENEFIT FROM SIGNIFICANT SUPPORT IN LAUNCHING AND PROMOTING START-UPS

- Institutions share in Osage's fund profit in return for assigning Participation Rights
- Osage provides programmatic support to TTOs and their start-ups to promote funding activity, hiring, strategic partnerships, and the overall entrepreneurial ecosystem
- Osage shares proprietary data with partners on start-up progress, financing trends, and more

## OUP I HAS A STRONG PORTFOLIO WITH MULTIPLE EARLY EXITS

- OUP I is a \$100 million fund that made its final initial investment in February 2015
- OUP I made 39 investments and already has had 6 excellent exits - 5 IPOs and 1 M&A event

## SUCCESSFUL START TO OUP II

- OUP II closed on an oversubscribed \$215M+ fund
- Fund II will target 50 investments in the next five years
- Osage will increase the number of University Partners and Associate Partners in Fund II



# University Partners Assign Rights for Investment Period of OUP II



## EXISTING UNIVERSITY PARTNERS: 100% RENEWAL FROM OUP I

Berkeley  
UNIVERSITY OF CALIFORNIA



Duke  
UNIVERSITY

UF UNIVERSITY of FLORIDA  
*The Foundation for The Gator Nation*



Penn

Yale  
UNIVERSITY

## NEW UNIVERSITY PARTNERS IN OUP II

HARVARD  
UNIVERSITY



JOHNS HOPKINS  
UNIVERSITY



UCSB

UC San Diego

UCSF  
University of California  
San Francisco

### EXCLUSIVE PARTNERSHIPS

OUP Is Assigned All Participation Rights on Existing and Future Companies for Duration of Fund, Subject to 50% Co-Investment by Universities

### PROFIT SHARING

OUP Shares Significant Part of Its GP Carry with Universities in Exchange for Assignment of Participation Rights

### PROVEN PARTNERS

All 8 University Partners in OUP I Renewed for OUP. 7 of 8 New University Partners Were Previously Associate Partners

### FUTURE GROWTH

Maximum 25 University Partners in OUP II

November 18, 2015

# Associate Partners Assign Rights on a Deal by Deal Basis

## ASSOCIATE PARTNERS



### DEAL SPECIFIC

Proprietary Relationships that Provide Company Specific Participation Rights and Profit Sharing; Even When Assigned, Universities Retain a 50% Co-Investment Right

### BROAD COVERAGE

Broadens Sector and Stage Balance of Investment Opportunities, Allowing for Complete Coverage of Entire University Startup Landscape

### MOMENTUM AND DEMAND

60+ Associate Partners Signed During the First Three Years of OUP I

### EXPANSION PLAN

New Universities and Research Institutions Will Be Added to OUP II

November 18, 2015



# Strong Group of Co-Investors

40+ TOP TIER VCS, 25+ CORPORATES

NEA  
New Enterprise Associates®

POLARIS  
PARTNERS

clarus  
Ventures

FRAZIER  
HEALTHCARE  
GROWTH EQUITY | VENTURE CAPITAL

VANTAGEPOINT  
CAPITAL PARTNERS

FAM  
VENTURES

Venrock

SOFINNOVAVENTURES

MedImmune

General Catalyst  
Partners

BV  
Battery Ventures

MPM CAPITAL

OXFORD

iw  
INTERWEST PARTNERS

OrbiMed  
Healthcare Fund Management

Chrysalix

GROTECH  
VENTURES

TPG  
GROWTH  
BIDDING

INTERSOUTH PARTNERS

NORTH BRIDGE  
venture partners

bp  
alternativenergy

luxcapital

AltaPartners

astellas

USVP  
US VENTURE PARTNERS

ups

JAVELIN  
VENTURE PARTNERS

MITSUI VENTURES

LILLYVENTURES

DOMAIN  
ASSOCIATES

NXT CAPITAL

Medtronic

LILLYVENTURES

Morgan Stanley

TOTAL

Abingworth  
ventures in life sciences & healthcare

ABERDARE  
VENTURES

WINDHAM  
VENTURE PARTNERS

CATALYST  
HEALTH VENTURES

HATTERAS  
VENTURE PARTNERS

Pfizer

rho

khosla ventures

FLAGSHIP VENTURES

HIGHLAND  
CAPITAL PARTNERS

SAMSUNG  
VENTURE INVESTMENT

LIGHTSPEED  
VENTURE PARTNERS

BESSEMER  
VENTURE PARTNERS

sequoia capital

SR-one

ARCH Venture Partners

# Catalyzing Economic Development

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *Economic Development Outline*

- ❑ History – STC.UNM Role in Economic Development
- ❑ Framework for Economic Development Activities
- ❑ FY2015 Economic Development
  - Innovate ABQ
  - International Economic Development

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *History – STC.UNM Role in Economic Development*

### ❑ MARCH , 2013 – STC AND UNM ENTERED INTO AN IMPLEMENTATION PLAN AGREEMENT REGARDING THE MANAGEMENT OF ECONOMIC DEVELOPMENT ACTIVITIES:

- be the outward-looking face of UNM for economic development, including representing UNM, at the request of President Robert Frank, in economic development matters;
- coordinate UNM activities related to economic development, including being the point of contact for President Frank on communications related to economic development;
- convene and support the Economic Development Forum (EDF)
- disseminate the Rainforest concept within UNM and in the larger Albuquerque community;
- represent UNM in the “Innovate ABQ” initiative; and,
- represent UNM in international technology transfer and economic development matters, as requested.

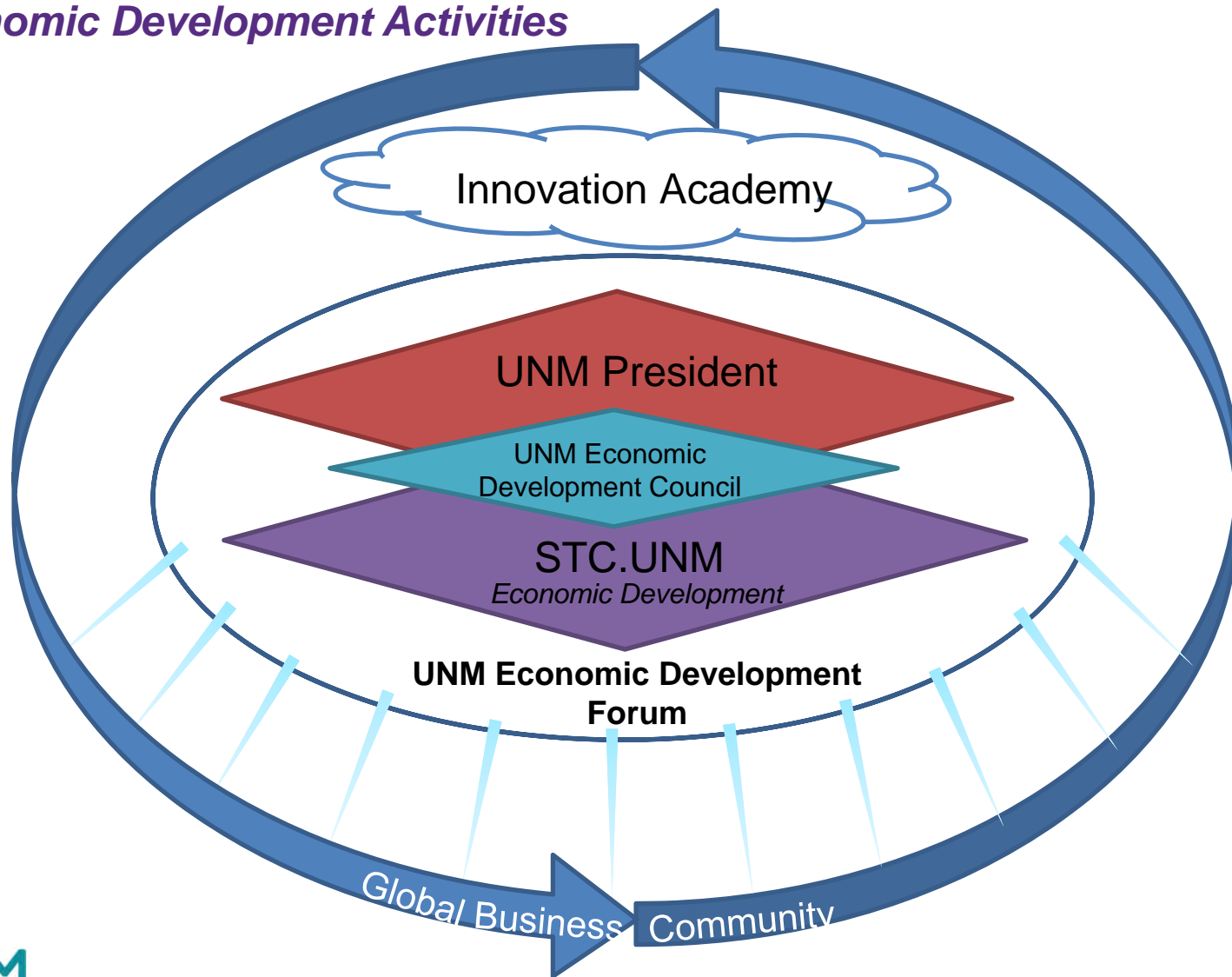
# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *Catalyzing Economic Development*

- ❑ Convene EDF/EDC
- ❑ Complete initial inventory of UNM's economic development assets
- ❑ Complete UNM economic development website
- ❑ Update internal and external economic development assessment surveys
- ❑ Innovate – transition to new entity per Governance Task Force recommendation
- ❑ Provide stewardship of property along with UNM Real Estate
- ❑ Support master planning process with UNM
- ❑ Support Innovation Academy

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *Economic Development Activities*



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *Economic Development Activities*

- ❖ Conducted two economic development surveys
  - ❑ External Business Community – May 2013, June 2014
  - ❑ Internal UNM Community – October 2013, September 2014
- ❖ Administered one-year External Business Community survey to show progress –July 2015
- ❖ Will administered one-year Internal UNM community survey – September 2015





# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *Economic Development Activities*

- ❖ Submitted FY 2014 Regional Innovation Strategies Program i6 Grant
  - ❑ The i6 STC.UNM Technology Social Rainforest would expand and implement three major initiatives to support a growing vibrant regional innovation ecosystem
  - ❑ Monthly Technology Socials
  - ❑ Monthly Entrepreneurial/inventor Student Pitch event
  - ❑ Keystone Ventures Development Program
    - Virtual Entrepreneur-in-Residence - weekly sessions for invited entrepreneurs and investors
    - Monthly email - News from the New Mexico Rainforest to target out-of-state entrepreneurs and investors
  - ❑ The EDA RIS Application was not selected for funding. There were no i6 awardees in NM.



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *Economic Development Activities*

- ❖ University Economic Development Association (UEDA): Awards of Excellence Nomination Submitted
  - ❑ UEDA Recognizes Excellence in: Community-Connected Campus, Innovate & Entrepreneurship, Leadership & Collaboration, Research & Analysis, and Talent Development
  - ❑ Nomination focused on STC.UNM and NM Angels Partnership



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *Economic Development Activities*

### ❖ UNM Innovation Academy Reception

- ❑ Arrange and compiled list of students to present
- ❑ Provided coaching to a few of the student teams
- ❑ Fall Reception – 10 students pitched
- ❑ Spring Reception – 3 students pitched and Director of Innovation Academy Announced



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *Economic Development Activities*

### ❖ ECONOMIC DEVELOPMENT FORUM

- ❑ Charter: The Economic Development Forum (EDF) was created by the STC.UNM Board of Directors to provide support to the University of New Mexico (UNM) on economic development matters. EDF membership consists of STC.UNM Board Members and UNM & business community members with interest in increasing the economic impact of UNM on the New Mexico economy. The EDF charge includes the following:
  - Create a vision and plan for UNM and STC's role in the economic ecosystem in New Mexico (ecosystem includes leadership, stakeholders, frameworks, resources, infrastructure, activities, culture, and role models). It is envisioned that STC and UNM will have an emphasis on entrepreneurial economic development, in cooperation with the STC.UNM Joseph L. Cecchi VentureLab Advisory Group.
  - Advise UNM and STC regarding the implementation of the said plan.
  - Collect and disseminate information about UNM and STC activities related to economic development.
  - Raise the visibility of UNM's role in the economic ecosystem in New Mexico.
  - Expansion of the economic ecosystem in New Mexico, making the state a more attractive location for companies and positive entrepreneurial climate for entrepreneurs and investors.
- ❑ The benefits of EDF are anticipated to include:
  - Student recruiting interest in attending UNM and retention in New Mexico due to increased opportunities.
  - Positive reflection and benefits, including opportunities for growth, for academic areas of excellence within UNM, based on increased entrepreneurial economic activity.
  - Expansion of UNM's visibility nationally with the attraction of capital from major venues.

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *Economic Development Activities*

### ❖ ECONOMIC DEVELOPMENT FORUM

- ❑ 170 members from the business community
- ❑ Monthly Meetings beginning August 24, 2012
- ❑ Topics/Presenters:
  - UNM Economic Development Summit
  - GACC (Terri Cole)
  - CHTM (Steve Brueck)
  - UNM's Legislative Priorities (Marc Saavedra)
  - UNM Research Office
  - Angel Investments (John Chavez)
  - BBER's Role (John McGraw)
  - AFRL (William Cooley)
  - HSC (Eric Prossnitz)
  - Perkins & Will
  - Signet Enterprises
  - State of New Mexico Economic Development Strategy (Elizabeth Davis)
  - UNM Global Activities (Mary Anne Saunders)
  - Larry Sklar, UNM Inventor
  - MRCOG (Dewey Cave)
  - CEET (Andrea Mammoli)
  - UNM Japan Trip (Plamen Atanassov)
  - Sandia Electro-Optics Corporation
  - Eta Diagnostics, Inc. (Michael Cumbo)
  - UNM Arts Lab Presentation (Tim Castillo)
  - Wheels Museum (Leba Freed)
  - UNM College of Fine Arts (Kymberly Pinder)
  - Bandojo (Travis Kellerman)
  - Sandia Science Tech Park (Jackie Kerby Moore)
  - UNM Extended Learning (Monica Orozco)
  - The Association of Commerce and Industry (Beverlee McClure)
  - Innovation Academy (Carol Parker)
  - Technology Transfer at SNL (Peter Atherton)
  - UNM research and Innovate ABQ (Bob Frank)
  - Innovation Central, Living Cities Integration Effort (Robin Brule)
  - P&W, Intermediate master plan for the Innovate ABQ site (David Green)
  - Japanese New Growth Strategy for Next Generation (Fumiaki Yasukawa) & Kumamoto University and HIGO program (Akinori Hisatsune)
  - BBER (Jeffrey Mitchell)
  - School of Law, Business and Tax Clinic (Serge Martinez)
  - School of Engineering (Joe Cecchi)
  - Eta Diagnostics Inc. (Michael Cumbo)
  - Innovate ABQ Development Framework (David Green)
  - Project ECHO (Sanjeev Arora)
  - Avisa Pharma (David Joseph)
  - Creative Startup (Tom Ageson, Alice Loy)
  - NM Angels and STC.UNM (John Chavez and Lisa Kuuttila)

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *Economic Development Activities*

### ❖ UNM ECONOMIC DEVELOPMENT COUNCIL

- ❑ Charter: The UNM Economic Development Council (EDC) was established by the President of the University of New Mexico (UNM) to serve as a coordinating entity and think tank for the internal UNM community on economic development matters. STC.UNM has been asked by UNM to take the lead in representing UNM in Economic Development matters. EDC membership consists of representatives from colleges and selected administrative units focused on increasing the economic impact of UNM on New Mexico. The EDC goals include the following:
  - Serve as a collaborative center for UNM's internal economic development initiatives.
  - Serve as a resource for the economic development team and the UNM administration on economic development opportunities that correlate with UNM's core mission of student success and excellence in research.
  - Emphasize UNM's vision of having entrepreneurial economic development across all disciplines.
  - Collect and disseminate information about UNM activities related to economic development.
  - Raise the visibility of UNM's role in the economic ecosystem within the UNM campus community.
  - Support the expansion of the economic ecosystem in New Mexico, making the state a more attractive location for companies and a positive entrepreneurial climate for entrepreneurs and investors.
- ❑ The benefits of EDC are anticipated to include:
  - More students interested in attending UNM and staying in New Mexico due to increased opportunities.
  - Advancing additional research opportunities which will lead to the translation to economic benefit.
  - Opportunities for growth in academic areas of excellence within UNM based on increased entrepreneurial economic activity.
  - Expansion of UNM's visibility nationally with the attraction of capital from major venues.
  - Greater recognition of UNM's contributions to regional economic development.

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *Economic Development Activities*

### ❖ UNM ECONOMIC DEVELOPMENT COUNCIL

- ❑ **Members:** Steve Brueck, Joe Cecchi, Andrew Cullen, Michael J. Dougher, Christopher Dyer, Vi Florez, Geraldine Forbes, Wynn Goering, David Herring, Kate Krause, Paul Krebs, Sanjay Krishna, Richard Larson, Alice Letteney, Tim Lowrey, Kevin Malloy, Catherine O'Neil, Monica Orozco, Carol Parker, Mark Peceny, Kymberly Pinder, Eric Prossnitz, Nancy Ridenour, Mario Rivera, Roger Schluntz, Andy Shreve, Wilmer Sibbitt, Graham Timmins, Karen Wentworth, Amy Wohlert, Robert DelCampo
- ❑ **Monthly meetings beginning June 26, 2013**
- ❑ **Topics/Presenters:**
  - Innovate ABQ (Lisa Kuuttila)
  - College of Fine Arts Presentation (Kymberly Pinder)
  - CHTM (Steve Brueck)
  - School of Medicine Presentation (Eric Prossnitz and Wilmer Sibbitt)
  - Anderson School of Management Presentation (Doug Brown)
  - College of Education / Mission Graduate (Vi Florez)
  - College of Pharmacy (Graham Timmins)
  - Athletic Department (Paul Krebs)
  - Economic Development Panel (Gary Oppedahl, Mayling Armijo, Gary Tonjes)
  - School of Public Administration (Amy Wohlert)
  - Arts Lab (Tim Castillo)
  - Winrock Development Project (Gary Goodman)
  - City of ABQ's Open Date Portal (Peter Ambs)
  - University College (Kate Krause)
  - College of Nursing (Nancy Ridenour)
  - Extended Learning (Monica Orozco)
  - UNM West (Wynn Goering)
  - Pueblo of Laguna (Richard Luarkie)
  - UNM Gallup (Christopher Dyer)
  - College of Arts & Sciences (Mark Peceny)
  - Office of Research (Michael Dougher)
  - School of Engineering (Joe Cecchi)
  - Center for Biomedical Engineering (Andrew Shreve)
  - School of Law (David Herring)
  - School of Architecture and Planning (Geraldine Forbes)
  - College of University Libraries and Learning Sciences (Richard Clement)
  - Office of Graduate Studies (Julie Coonrod)
  - UNM Valencia (Alice Letteney)
  - UNM Taos (Kate O'Neill)
  - Bernalillo County Economic Development (Mayling Armijo)
  - UNM Los Alamos (Wynn Goering)
  - Osaka Prefecture University (Toshiyuki Matsui)
  - Global Education Office (Mary Anne Sanders)
  - Innovate ABQ (Lisa Kuuttila)
  - NM Economic Development Department (Patricia Knighten)
  - Think New Mexico (Fred Nathan)
  - Living Cities Initiatives (Robin Brule)



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *Economic Development Activities*

- ❖ Developing inventory of UNM Economic Development Assets
  - Collected information from all colleges
- ❖ Expanded Economic Development section of STC website
  - <https://stc.unm.edu/econdev/index.php>
- ❖ Global Innovation Summit in San Jose
  - The Rainforest Scorecard
  - Served as Dean for GIS Design Labs
- ❖ Submitted 2015 SBA Growth Accelerator Fund application – did not receive



STC held 265 meetings related to economic development in FY2015.

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *Economic Development Activities*

- ❖ **Received APLU Innovation and Economic Prosperity Universities Designation**
- ❖ The designation and awards go to APLU member universities that demonstrate excellence and leadership in planning, implementing, and evaluating programs and initiatives that support regional economic development. Participants in the designation process join together in a “learning community” to share strategies and methods as they work towards developing their designation applications.
- ❖ Bi-weekly APLU IEP 2015 Cohort Calls, Attended APLU CICEP Summer Meeting
- ❖ As an IEP Designated university applied for an IEP award



# **Economic Development – Innovate ABQ (STC Support) FY2015**



# 2014

- ❖ In July 2014, UNM regents approved the formation of the Innovate ABQ corporation
- ❖ In July 2014, STC.UNM closed on the purchase of the Innovate ABQ property at
  - Purchase price of \$6,650,000
  - Burlington Northern Santa Fe (BNSF) Railroad agreement - \$500,000 settlement
  - Lease agreements assigned to STC from the First Baptist Church of Albuquerque:
    - Parking lot lease with Lovelace
    - Noon Day building lease

## 2014, CONTINUED

- ❖ In August, STC.UNM entered into a contract with Perkins + Will (and Dekker/Perich/Sabatini) for the Development Framework and Design Guidelines.
- ❖ Community inputs provided during planning in the Fall.
- ❖ In October 2014, UNM Regents approve initial Innovate ABQ, Inc. Board of Directors (6 members).
- ❖ On October 24, 2014 STC makes initial inquiry to EDA regarding potential establishment of Innovate ABQ, Inc. as co-applicant or substitute recipient under the EDA grant.
- ❖ On October 30, 2014 Innovate ABQ, Inc. is officially incorporated with Office of the Secretary of State of New Mexico.

## 2014, CONTINUED

- ❖ On November 7, 2014, MOU between STC and City of Albuquerque was signed
  - \$2 million from City received shortly thereafter.
- ❖ One of the six original members of the Innovate ABQ board resigned from the board on November 12, 2014. Another board member approved at the Organization Meeting of the Board of Directors on November 14, 2014.
- ❖ Lease agreement with Noon Day expired/terminated on November 30, 2014.
- ❖ On December 22, 2014, Form 1023 application for tax exempt status filed with the Internal Revenue Service.
- ❖ November/December 2014, negotiations regarding MOU with Bernalillo County began.



# 2015

- ❖ In January 2015, Innovate ABQ, Inc. Board of Directors expanded with five (5) additional members.
- ❖ In January 2015, Request for Statement of Interest and Qualifications announced
  - Received Statements of Interest and Qualifications in February 2015.
- ❖ Lease Agreement between City and STC was signed effective February 1, 2015 for use of the former Noon Day building.
- ❖ Effective February 25, 2015, the IRS issued determination letter regarding Innovate ABQ's exemption under section 501(c)(3) of the Internal Revenue Code.

## 2015, CONTINUED

- ❖ In March 2015, 95% of Development Framework plan presented by Perkins + Will to Innovate ABQ Board of Directors, UNM Board of Regents and the business community.
- ❖ In March 2015, Innovate ABQ Board of Directors approved for the transfer of real estate and EDA grant from STC.UNM to Innovate ABQ, Inc.
- ❖ In March 2015, STC and Innovate ABQ filed all necessary documents required by the EDA for Innovate ABQ to apply to become substitute recipient under the grant.
- ❖ In April 2015, RFP was issued to development community.
- ❖ In April 2015, [www.innovateabq.com](http://www.innovateabq.com) website launched (see next pages for screenshots from the website).

## 2015, CONTINUED

- ❖ On May 5, 2015, Pre-Submittal Conference held for Innovate ABQ RFP
- ❖ In May 2015, Q&A responses prepared based on Pre-submittal Conference and email requests
- ❖ In May 2015, RFP criteria scoring process and evaluation forms developed
- ❖ On June 1, 2015, responses to RFP were received
- ❖ In June 2015, guidelines developed for overview of potential approaches for “90-day study period” for Preferred Developer Deliverables
- ❖ In June 2015, Recruitment Plan Committee of the Innovate ABQ Board of Directors met to review the proposes submitted, select finalists for preferred developer
- ❖ In June 2015, Recruitment Plan Committee with consultants/staff and advisors conducted in-person interviews of preferred developer finalists

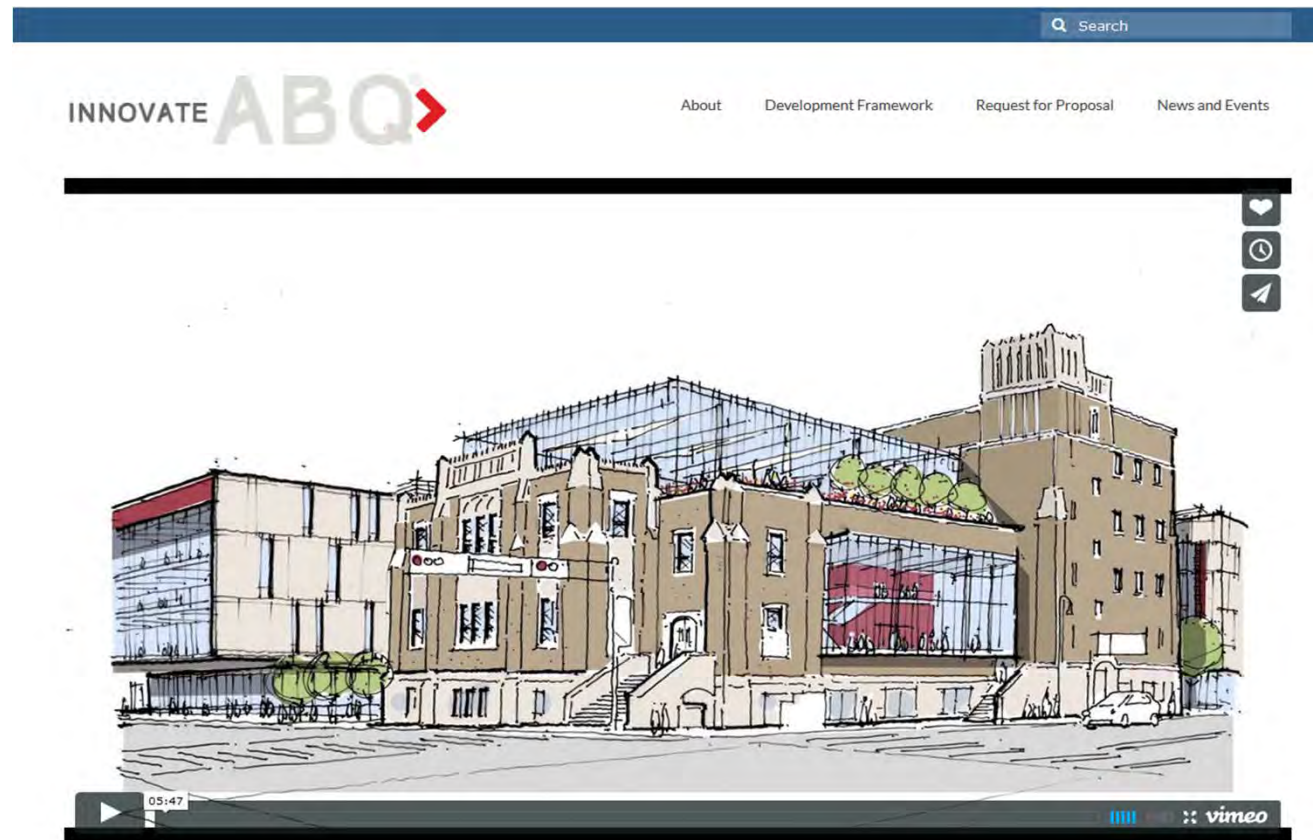
## 2015, CONTINUED

- ❖ In June 2015, Recruitment Plan Committee selected the Signet Development Team (including Goodman Realty Group and Dekker/Perich/Sabatini) as the Preferred Developer
- ❖ In June 2015, the Sub-Committee Working Group formed to work with the Signet Team to engage in a letter of intent (LOI) and then to work on the 90-day plan to lead to a Development Agreement. The Sub-Committee Working Group reports directly to the Innovate ABQ RFP and Recruitment Committee of the Board of Directors.
- ❖ In June 2015, Innovate ABQ, Inc. and Bernalillo County executed MOU for \$1,000,000 grant from the County to Innovate
- ❖ In July 2015, Signet Development and Innovate ABQ to enter into an Initial Working Agreement (aka Letter of Intent or LOI).



# WWW.INNOVATEABQ.COM WEBSITE

Home page

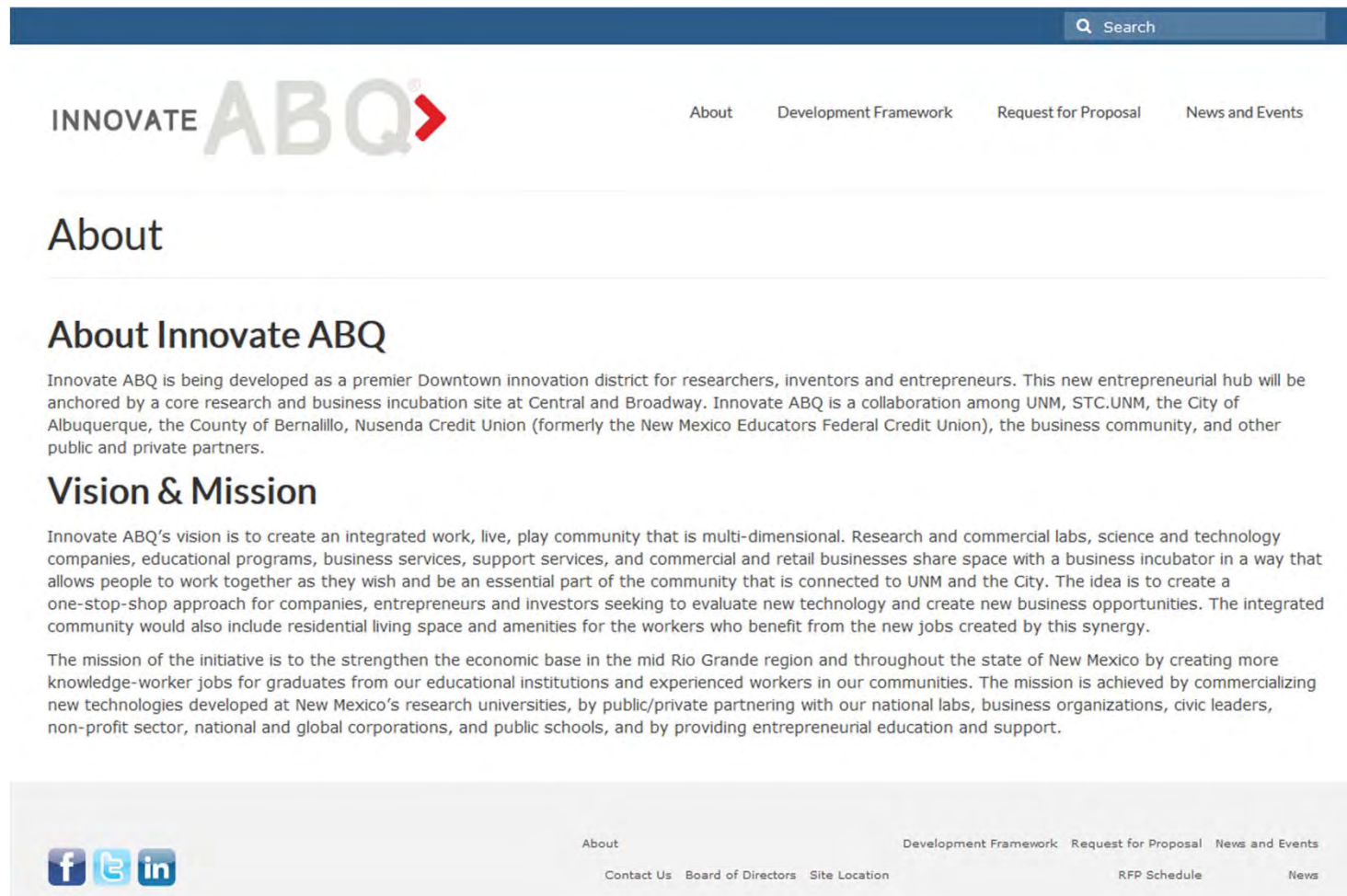


## Innovate ABQ

Albuquerque is doing something audacious; it is building a rainforest in the middle of a desert. However, instead of millions of plant and animal species, this rainforest will be a place for researchers, innovators, and entrepreneurs to thrive.

# WWW.INNOVATEABQ.COM WEBSITE

## About page



The screenshot shows the 'About' page of the Innovate ABQ website. At the top is a dark blue navigation bar with a search box on the right. Below this is a white header area containing the 'INNOVATE ABQ' logo (with a red arrow) and a horizontal menu with links: 'About', 'Development Framework', 'Request for Proposal', and 'News and Events'. The main content area has a light gray background. It starts with a large 'About' section header, followed by a sub-header 'About Innovate ABQ'. The text describes the district as a premier innovation hub for researchers, inventors, and entrepreneurs, anchored by a core research and business incubation site at Central and Broadway. It mentions a collaboration among UNM, STC.UNM, the City of Albuquerque, the County of Bernalillo, Nusenda Credit Union, and other public and private partners. Below this is a 'Vision & Mission' section. The vision text describes an integrated work, live, and play community that is multi-dimensional, where research, commercial labs, science, technology, educational programs, business services, and retail businesses share space with a business incubator. The mission text states the goal is to strengthen the economic base in the mid Rio Grande region and throughout the state of New Mexico by creating more knowledge-worker jobs for graduates from educational institutions and experienced workers. The mission is achieved by commercializing new technologies developed at New Mexico's research universities, by public/private partnering with national labs, business organizations, civic leaders, non-profit sector, national and global corporations, and public schools, and by providing entrepreneurial education and support. At the bottom of the page is a light gray footer. On the left are social media icons for Facebook, Twitter, and LinkedIn. On the right is a horizontal menu with links: 'About', 'Development Framework', 'Request for Proposal', 'News and Events', 'Contact Us', 'Board of Directors', 'Site Location', 'RFP Schedule', and 'News'.

INNOVATE ABQ

About Development Framework Request for Proposal News and Events

## About

### About Innovate ABQ

Innovate ABQ is being developed as a premier Downtown innovation district for researchers, inventors and entrepreneurs. This new entrepreneurial hub will be anchored by a core research and business incubation site at Central and Broadway. Innovate ABQ is a collaboration among UNM, STC.UNM, the City of Albuquerque, the County of Bernalillo, Nusenda Credit Union (formerly the New Mexico Educators Federal Credit Union), the business community, and other public and private partners.

### Vision & Mission

Innovate ABQ's vision is to create an integrated work, live, play community that is multi-dimensional. Research and commercial labs, science and technology companies, educational programs, business services, support services, and commercial and retail businesses share space with a business incubator in a way that allows people to work together as they wish and be an essential part of the community that is connected to UNM and the City. The idea is to create a one-stop-shop approach for companies, entrepreneurs and investors seeking to evaluate new technology and create new business opportunities. The integrated community would also include residential living space and amenities for the workers who benefit from the new jobs created by this synergy.

The mission of the initiative is to the strengthen the economic base in the mid Rio Grande region and throughout the state of New Mexico by creating more knowledge-worker jobs for graduates from our educational institutions and experienced workers in our communities. The mission is achieved by commercializing new technologies developed at New Mexico's research universities, by public/private partnering with our national labs, business organizations, civic leaders, non-profit sector, national and global corporations, and public schools, and by providing entrepreneurial education and support.

About Development Framework Request for Proposal News and Events

Contact Us Board of Directors Site Location RFP Schedule News



# INNOVATE ABQ SUPPORT - CURRENT

## ❖ Current STC and UNM Staff Support provided to Innovate ABQ:

- Executive meetings and administration: planning, attending, follow-ups involving Board related matters, P+W contract and visits and regular conference call meetings, Regents meetings and communications, community outreach, media relations (approx. \$10K/month in-kind support).
- Property management and day-to-day operations: liaison to onsite security, Noon Day, Lovelace, UNM Physical Plant Dept., UNM Sign Shop, EDA grant compliance and transfer request related, City violations and graffiti clean-up, signs, repairs & maintenance, grounds-keeping coordination, contact for insurance and utilities (PNM, NM Gas Co, ABCWUA, etc.).
- Accounting and banking: processing receipt of Lovelace parking rent, payables and check processing related to security, legal fees, insurance, repairs & maintenance.
- UNM Civil Engineering Student hired March 2015 Innovate ABQ Student Intern.

# Economic Development – International



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

- ❖ University Consortium for International Intellectual Property Coordination (UCIP) has signed a MOU establishing cooperation in the fields of research, development and commercialization with STC.UNM on July 2010.

 University of Yamanashi	 Saitama University	 KOBE UNIVERSITY
 SHIBAURA INSTITUTE OF TECHNOLOGY	 National University Corporation Shizuoka University	 SHINSHU UNIVERSITY
 Chiba University	Niigata University of Pharmacy and Applied Life Sciences	 UEC The University of Electro-Communications
 YNU YOKOHAMA National University	 Niigata University	

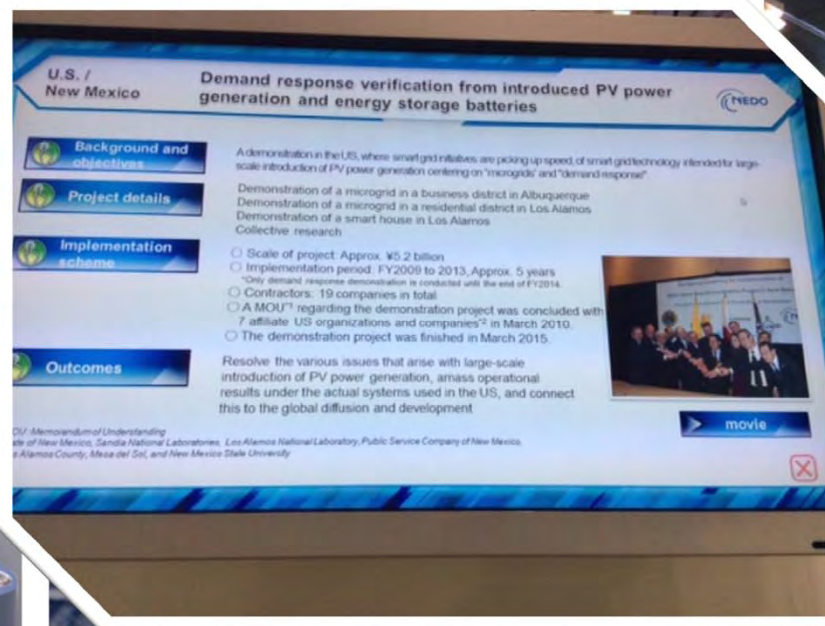
- ❖ 2 BIO TECHNOLOGY MARKETING PROJECT FROM CHIBA UNIVERSITY
- ❖ 4 SOLAR TECHNOLOGY MARKETING PROJECT FROM CHIBA UNIVERSITY
- ❖ DINNER MEETING WITH YAMANASHI UNIVERSITY AND PAJARITO POWDER(TOM STEPHENSON AND BARR HALEVI) IN FEBRUARY 2015 IN TOKYO
- ❖ VISIT YAMANASHI BOOTH AT FUEL CELL EXPO 2015 IN TOKYO
- ❖ PLAMEN AND ERI WILL ATTEND INTERNATIONAL FUEL CELL WORKSHOP IN UNIVERSITY OF YAMANASHI ON AUGUST 2015

# US- JAPAN SMART GRID PROJECT



New  
Energy  
Development  
Organization

**NEDO continues to fund UNM CEET for another 3 years for \$900,000 with Mitsubishi Research Institute.**



**Attended Smart Community Summit 2015 in Tokyo on June 17, 2015,  
Showcasing Japan-New Mexico Project for 40,000 visitors.  
Hosted MRI/ NEDO visit on June 30, 2015 to finalize an agreement  
and organize US-Japan Smart Grid Workshop in October 2015**

November 18, 2015



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *International Outreach/Economic Development and Innovate ABQ Briefings (FY2015)*

- ❖ University of Tsukuba visited UNM's Health Exercise Sports Science for a departmental agreement in July along with 7 female students athletes for a month training
- ❖ Meeting with State Minister of Economy Trade Industries of Japan, Ms. Midori Matsushima for a further collaboration on US-Japan Smart Grid project in July
- ❖ Coordinated County Commissioner's acknowledgement for Japan National Team at Bernalillo County Commission meeting in August
- ❖ Meeting with President of NEDO, Dr. Kenji Kurata, in September
- ❖ Meeting with Shimizu Corporation for Innovate ABQ partnership
- ❖ Meeting with Mitsubishi Research Institute for a new research project

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *International Outreach/Economic Development and Innovate ABQ Briefings (FY2015)*

- ❖ Japan Trip in October, 2014
- ❖ UNM Global Education Office Partnership: Kyoto Koka Women's University, Doshisya University, and University of Tsukuba
- ❖ Science Technology Society Forum, 3 days International Platform Conference to discuss the R&D and university ventures and Public Private Partnership in Kyoto
- ❖ Innovation for Cool Earth Forum, the first year 3 days international platform conference launched by Japanese Prime Minister Abe to discuss the global warming issues and reduction of GHG emission with Daihatsu Researcher, Hirohisa Tanaka
- ❖ UNM-Daihatsu Motors joint research project on catalyst was nominated as top 21 projects over 200 worldwide projects. We placed 4<sup>th</sup> on Top 10 Innovations at the forum.
- ❖ Meeting with UCIP
- ❖ Meeting with E&Y Japan and Osaka Prefecture University to discuss STC's professional internship program to utilize EDGE grant from MEXT of Japan
- ❖ Visited JAXA and KEK in Tsukuba Area to see Innovation City
- ❖ Attended BIO Japan 2014
- ❖ Visited the headquarter of Mitsubishi Research Institute in Tokyo
- ❖ Meeting with Dr.Fumiaki Yasukawa to finalize STC and HIGO's Professional Internship Program
- ❖ Meeting with Mr. Masuyama from Organization for Small & Medium Enterprises and Regional Innovation, JAPAN(METI's organization)



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *International Outreach/Economic Development and Innovate ABQ Briefings (FY2015)*

- ❖ STS(Science Technology Society) Forum
  - 3 days International Platform Conference to discuss the R&D and university ventures and Public Private Partnership in Kyoto
- ❖ ICEF (Innovation for Cool Earth Forum)
  - The first year 3 days international platform conference launched by Japanese Prime Minister Abe to discuss the global warming issues and reduction of GHG emission with Daihatsu Researcher, Hirohisa Tanaka
  - UNM-Daihatsu Motors joint research project on catalyst was nominated as top 21 projects over 200 worldwide projects
  - Placed no. 4<sup>th</sup> on Top 10 Innovations at the ICEF forum.



November 18, 2015

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *International Outreach/Economic Development and Innovate ABQ Briefings (FY2015)*

- ❖ Meeting with Barr Halevi, President of Pajarito Powder to discuss market opportunity in Japan
- ❖ Organized meetings with local patent attorneys for Dr. Morita(Tsukuni Associates) visit to New Mexico
- ❖ Attended meeting with NEDO and MRI and Toshiba along with Andrea Mammoli and Birk Jones to discuss contract and project outlines (\$300,000 per year for three years)
- ❖ Meeting with Universidad Politecnica De Madrid, Prof. Jose M. Paez-Borralló and Ramiro Jordan for Internship Program
- ❖ Hosted three visitors from Kumamoto University at Tech Social Event to discuss internship opportunity for one PhD student over summer time – hosting one student at STC for 10 weeks
- ❖ Hosted Mr. Irie from Mitsubishi Research Institute at Tech Social Event
- ❖ Signed the general corporation agreement between UNM and Osaka Prefecture University in March 2015 for GEO
- ❖ Hosted Mr. Chikushi from METI for researching Nuclear National Security Policy at UNM
- ❖ Meeting with Global Ties ABQ for building international networks
- ❖ Conference call with Professori Gonzalo Leon, Technical University of Madrid, Spain
- ❖ Attended NBIA's 29<sup>th</sup> International Conference on Business Incubation at Denver

# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *International Outreach/Economic Development and Innovate ABQ Briefings (FY2015)*

- ❖ Attended Japan-US Economic Forum hosted by Prime Minister of Japan and JETRO LA
- ❖ Made connections to President of Honda USA for Plamen's technology
- ❖ Hosted a delegation from Mayor Miyamoto, City of Kaga, Japan for presenting UNM's robotic technologies
- ❖ Had a meeting with Ministry of Education, Science and Technology of Japan to promote Professional Internship Academy
- ❖ Visited City of Kaga for international trade opportunity for Robotic Technologies
- ❖ Attended Smart Community Summit 2015 in Japan for Japan-New Mexico Smart Grid Project
- ❖ Called with Select USA Representative for International trade connections
- ❖ Attended and hosted a meeting with CITNOVA(Consejo de Ciencia, Tecnología e Innovación) from Mexican Government and GEO



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *International Outreach/Economic Development and Innovate ABQ Briefings (FY2015)*

- ❖ Professional Internship Program (**Total Tuition Income: \$31,000**)
  - ❑ Organized STC Professional internship program for President Nakamura from Kanazawa University Technology Licensing Organization for 1 week training program. (Tuition: \$1,000)
  - ❑ Organized STC Professional internship program for Kumamoto University's HIGO Program for 1 week training program. 5 PhD students and 2 faculties attended this program(Tuition: \$ 7,000)
  - ❑ Dr. Gregg Mayer gave a special lecture of healthcare system in US and Japan for Kumamoto University
  - ❑ Hosted 9 students and 4 faculties from Osaka Prefecture University funded by MEXT, EDGE(Enhancing Development of Global Entrepreneur) grant for two weeks (Tuition: \$13,000)
  - ❑ Organized Pitch Contest for OPU students for three minutes pitch, invited lecturer Prof. Stacy Sacco from ASM, series of entrepreneurs meeting and STC staff coaching
  - ❑ Hosted one PhD student from Kumamoto University to job shadow Senior Innovation Manager for 10 weeks (Tuition:\$10,000)



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

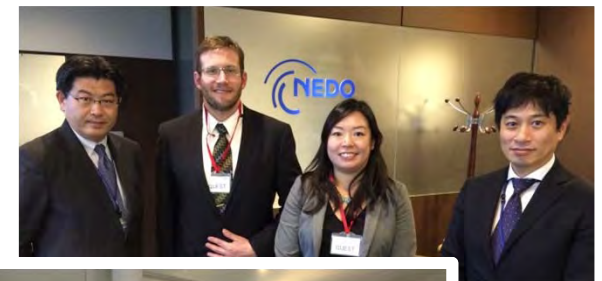
*International Outreach/Economic Development and Innovate ABQ Briefings  
(FY2015)*



# STC.UNM BUILDING A RAINFOREST IN THE DESERT – CATALYZING ECONOMIC DEVELOPMENT:

## *International Outreach/Economic Development and Innovate ABQ Briefings (FY2015)*

- ❖ Virtual Tenant agreement with Pajarito Powder Company LLC
  - Translated website, datasheet, company profile into Japanese
  - Researched Teijin Corporation's R&D
  - Researched NEDO's report on Fuel Cell research
  - Supported PPC booth at Fuel Cell Expo(3 days) in February in Tokyo
  - Attended and assisted meeting with Panasonic(Osaka) and NEDO (Tokyo)
  - Assisted setting up meetings with Toyota Motors and Toshiba Fuel Cell Systems
  - **Continues to assist email negotiations with Japanese corporation for purchase order for Pajarito's catalyst**
- ❖ Visited to Daihatsu Motors headquarter and Fuel Cell Research Center
  - Meeting with FC development team, IP Dept., Legal Dept. and 3 board of directors meeting



November 18, 2015



# STC FY2015

## DATA, INCOME ANALYSIS & FORECAST



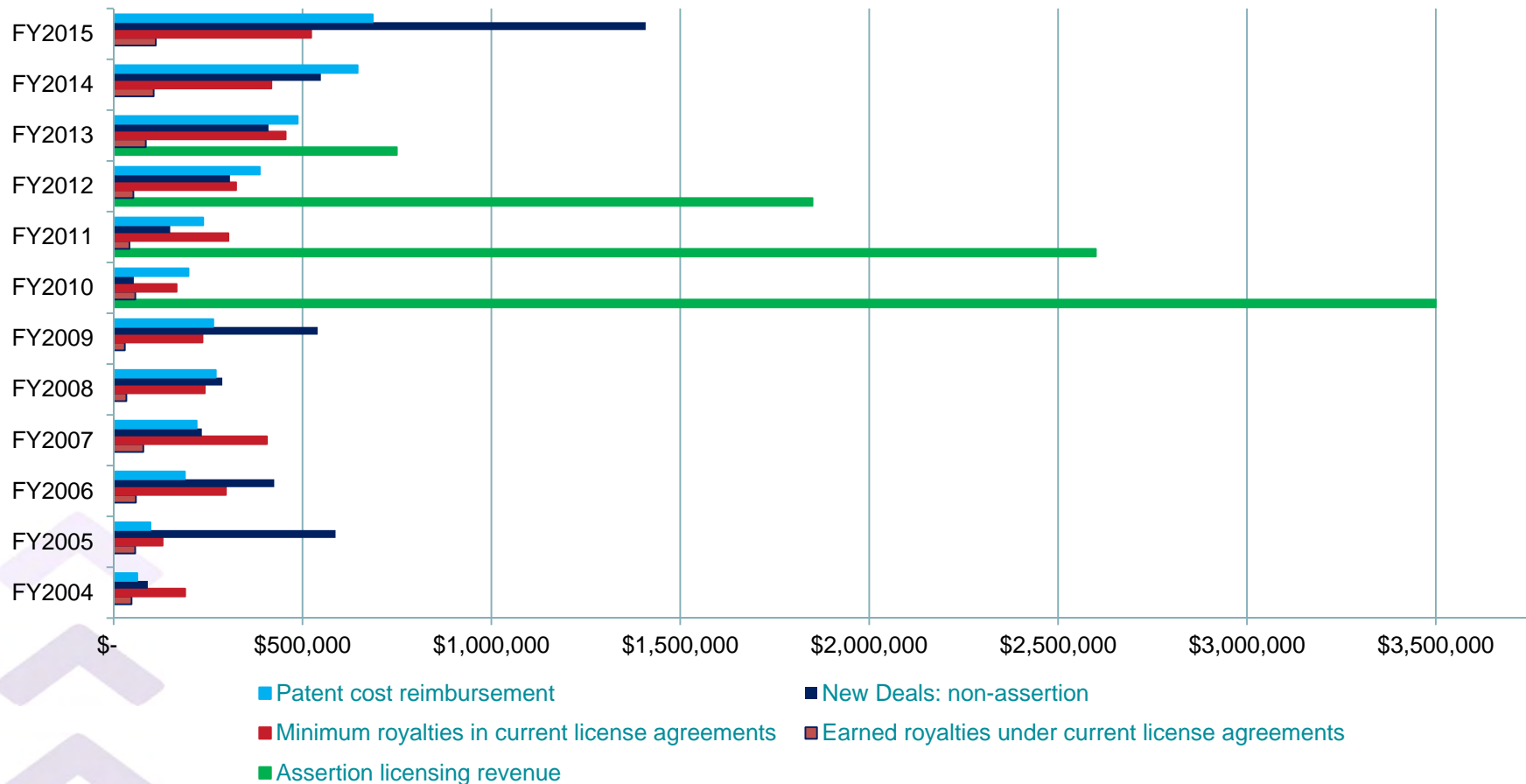
# DATA, INCOME ANALYSIS & FORECAST

## ❖ FY2015 Data:

- ❑ STC filed patent applications on **88** of the **124** patent disclosures in FY2015 (**71%** vs. **83%** in FY2014)
- ❑ STC generated **\$865,535** of new (agreements) license revenues in FY2014, representing **58%** of total license revenues (vs. **\$548,731** of new revenues in FY2014 – **51%** of total)
- ❑ Of the **125** total disclosures (patents & copyrights) received in FY2015, representing **83** lead inventors, **25** were first-time inventors (**20%** vs. **37%** in FY2014)

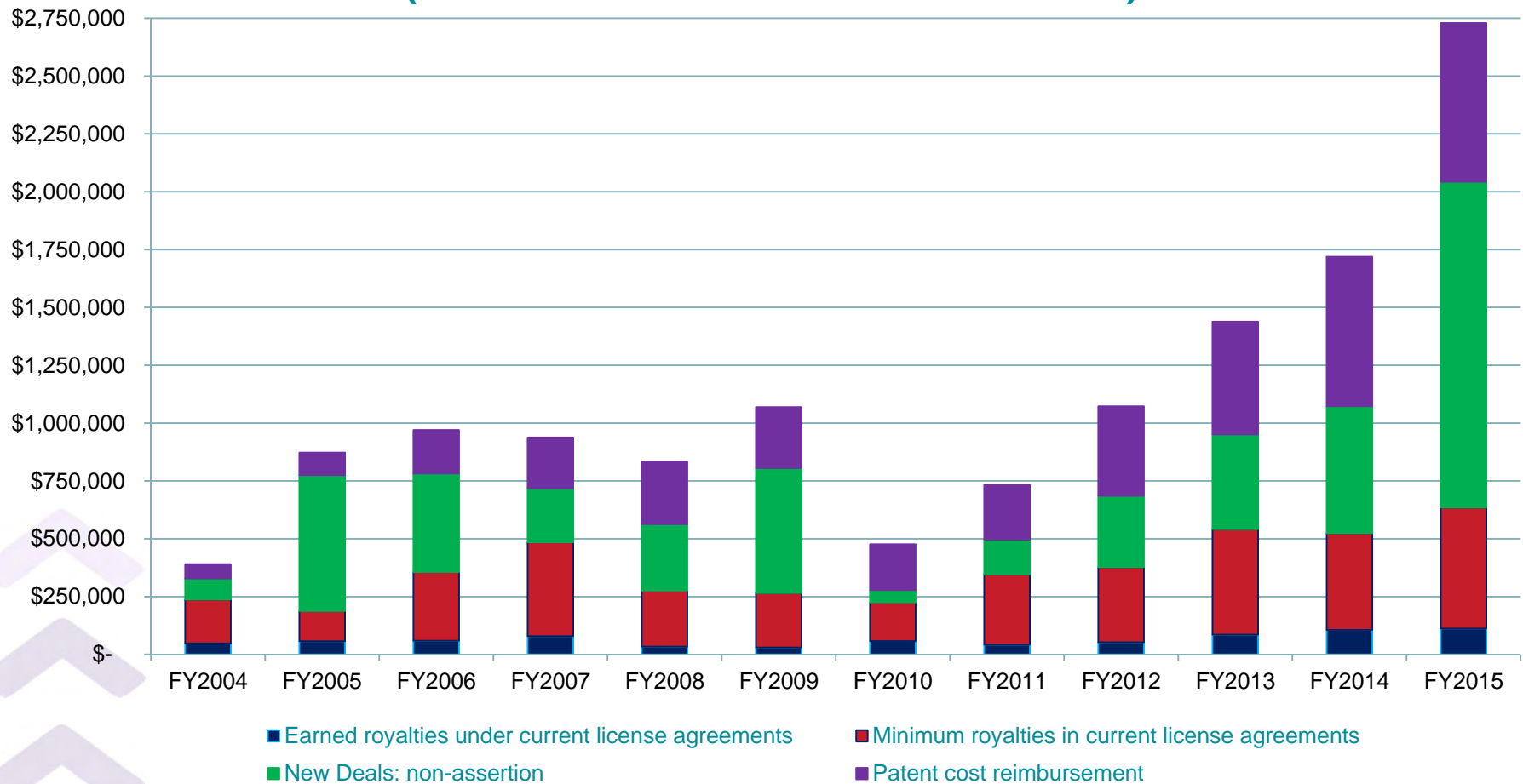
# DATA, INCOME ANALYSIS & FORECAST

## License and Patent Cost Reimbursement Revenues (includes assertion license revenues)

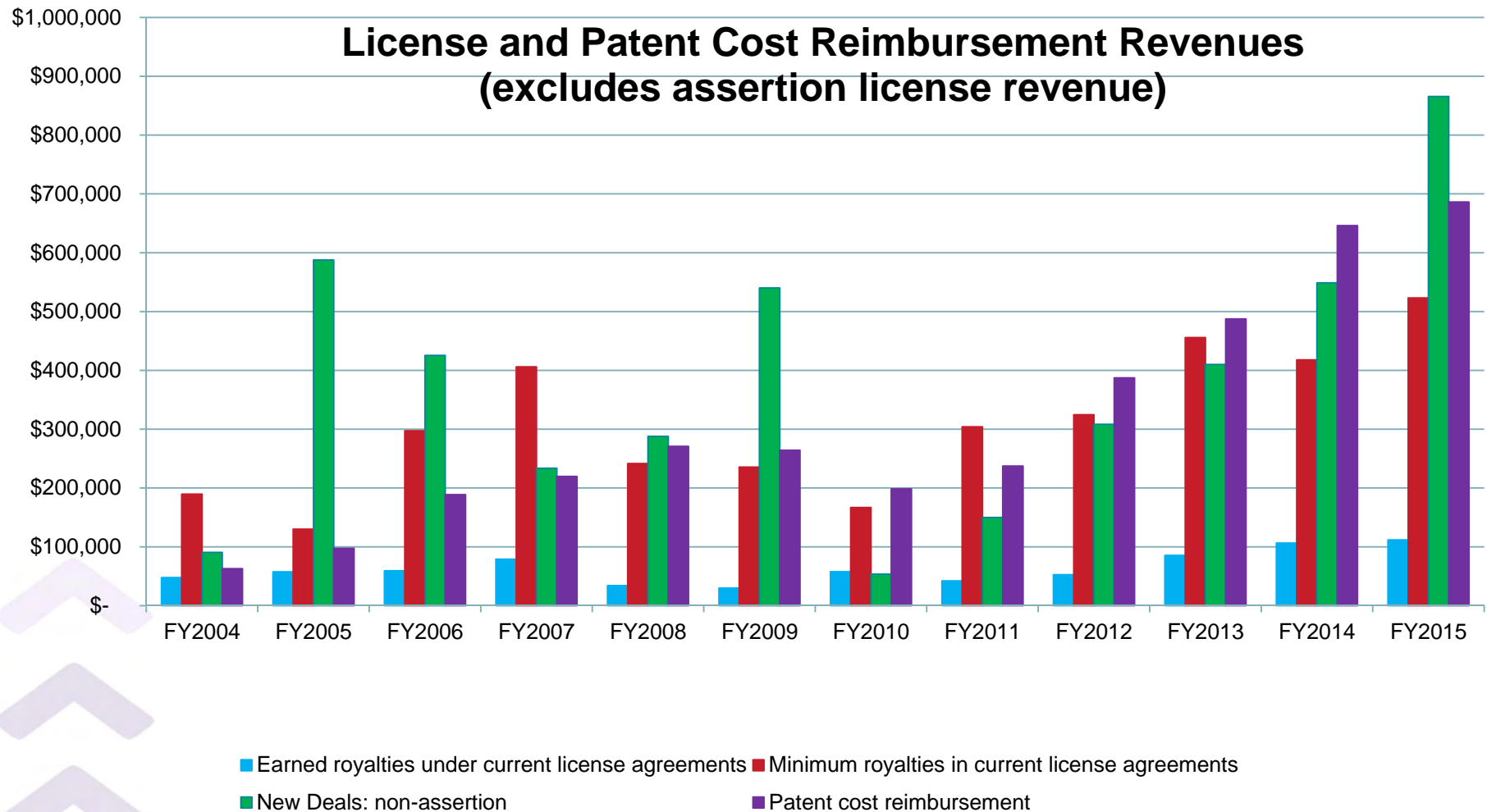


# DATA, INCOME ANALYSIS & FORECAST

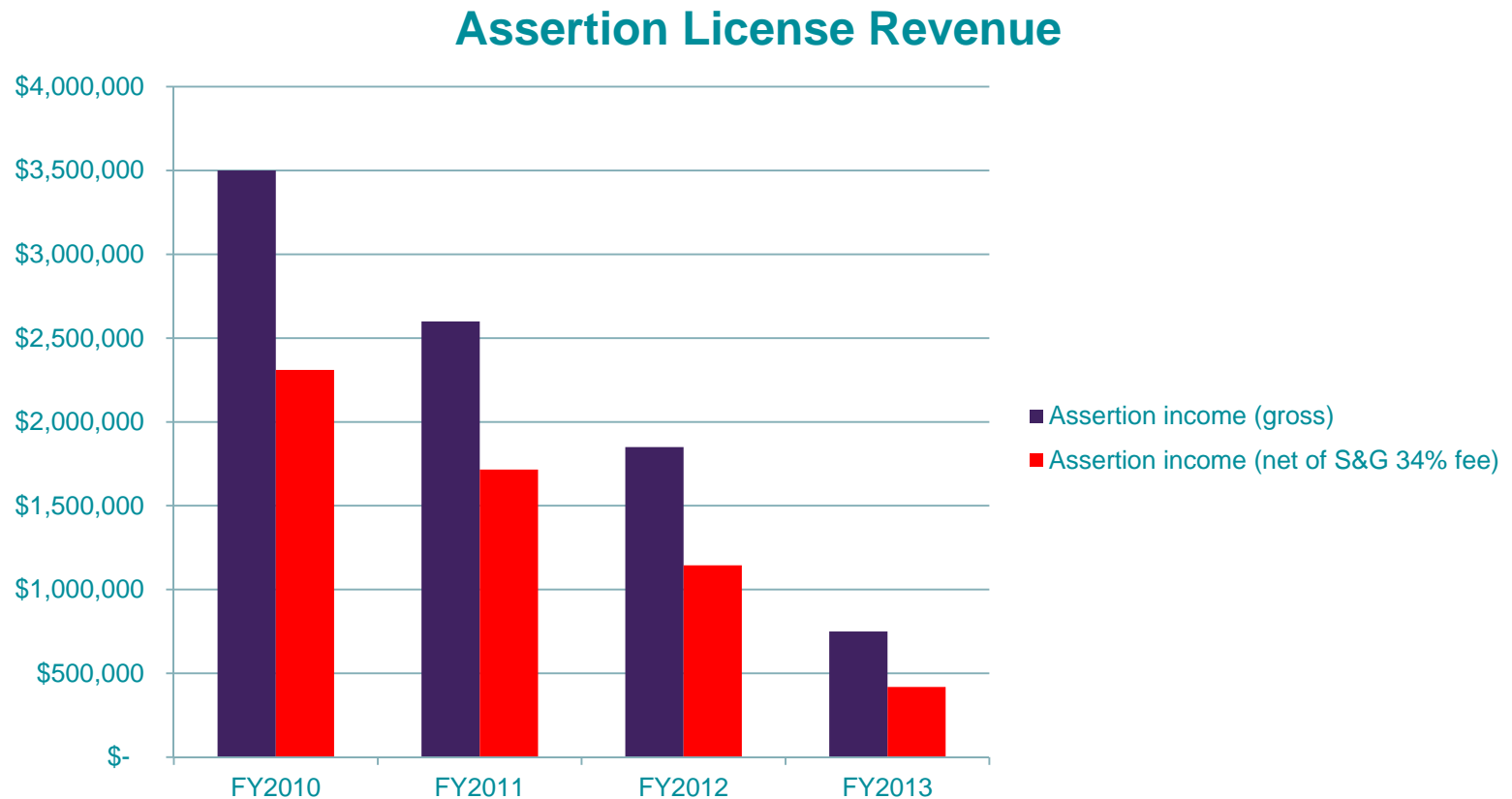
## License and Patent Cost Reimbursement Income (excludes assertion license revenues)



# DATA, INCOME ANALYSIS & FORECAST



# DATA, INCOME ANALYSIS & FORECAST



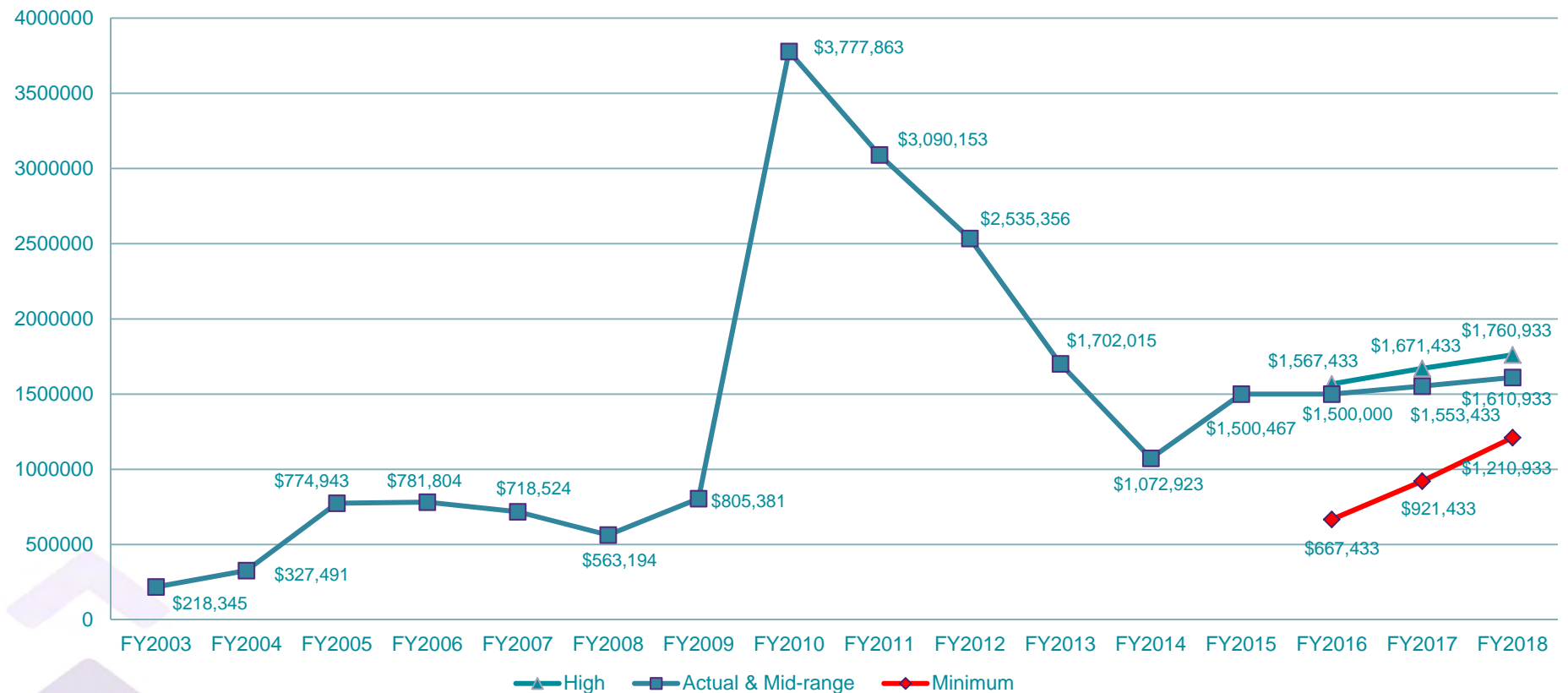
No assertion revenues before FY2010 and after FY2013.



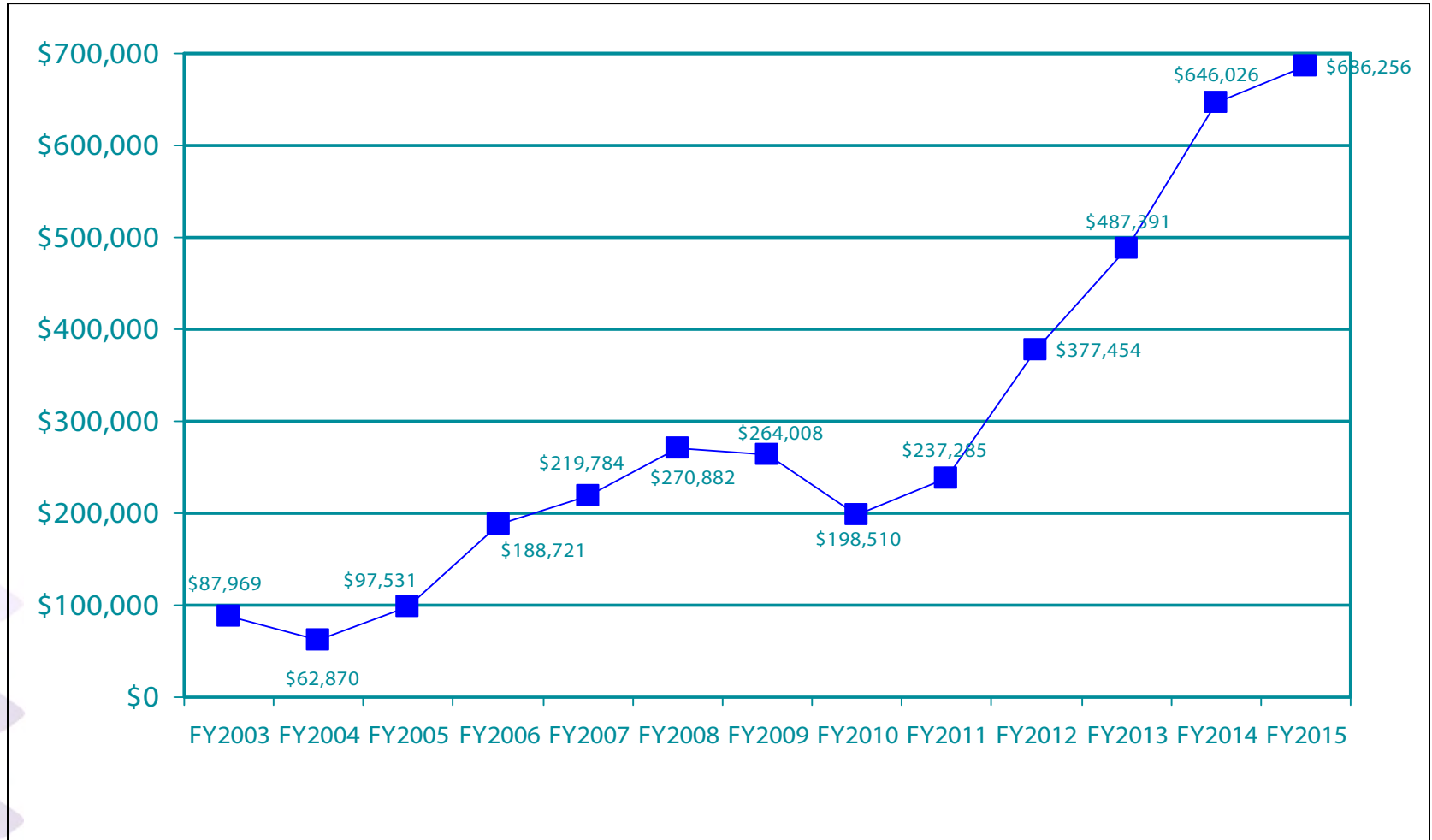
# STC LICENSE REVENUES ACTUAL & FORECAST ASSUMPTIONS (SAME ASSUMPTIONS AS PRIOR YEAR PROJECTIONS)

- ❖ Minimum numbers for FY2016 through FY2018 represent minimum fees and payments from existing licenses.
- ❖ FY2016 mid-level represents approx. **\$830,000** of new license income. FY2016 upper end represents \$900,000 of new license income.
- ❖ FY2017 mid-level represents **\$632,000** of new license income and/or minimums from deals closed in FY2016. FY2017 upper end represents **\$750,000** of new license income and/or minimums from deals closed in FY2016.
- ❖ FY2018 mid-level represents **\$400,000** of new license income and/or minimums from deals closed in FY2016 and FY2017. FY2018 upper end represents **\$550,000** of new license income and/or minimums from deals closed in FY2016 and FY2017.
- ❖ No equity liquidations included.
- ❖ No forecasted terminations of agreements included.
- ❖ No unknown substantial earned royalties forecasted.

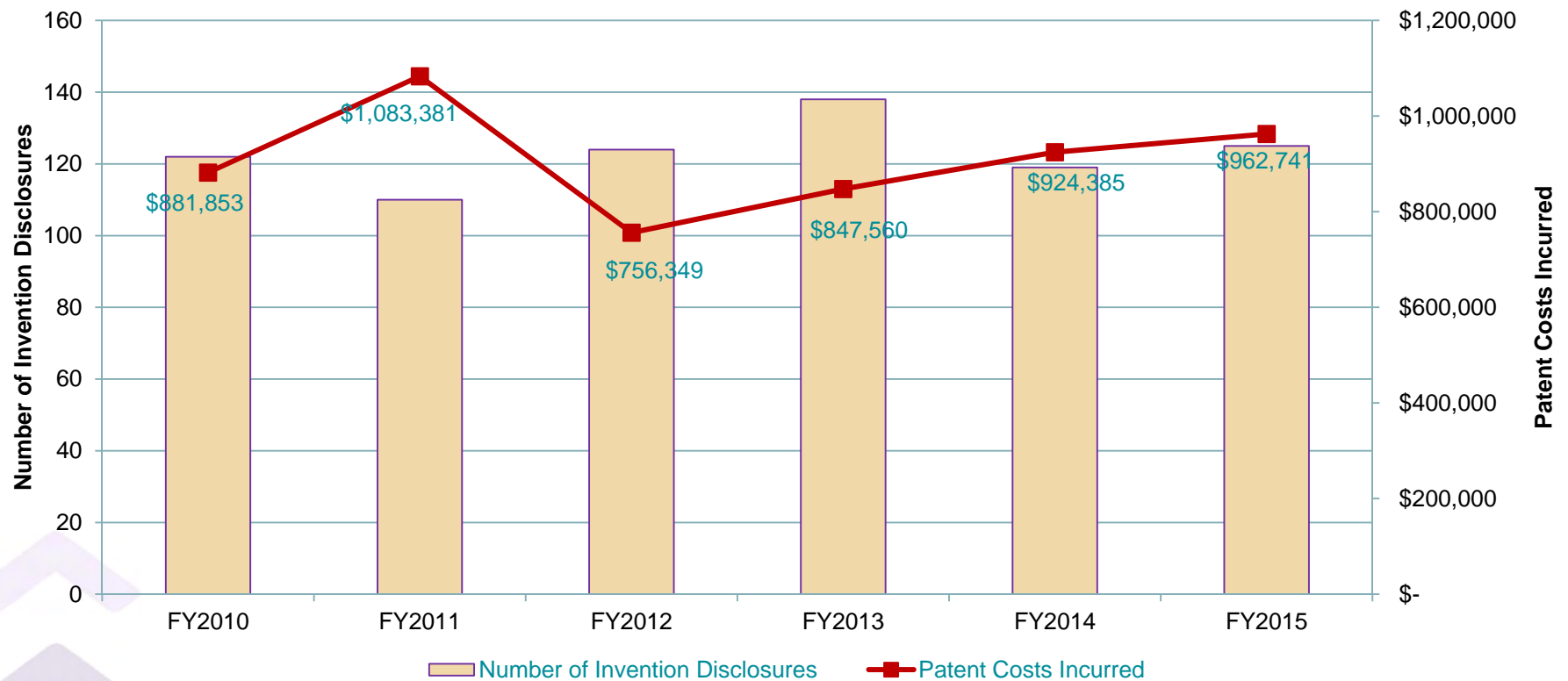
# STC LICENSE REVENUES: UPDATED 3-YEAR FORECAST



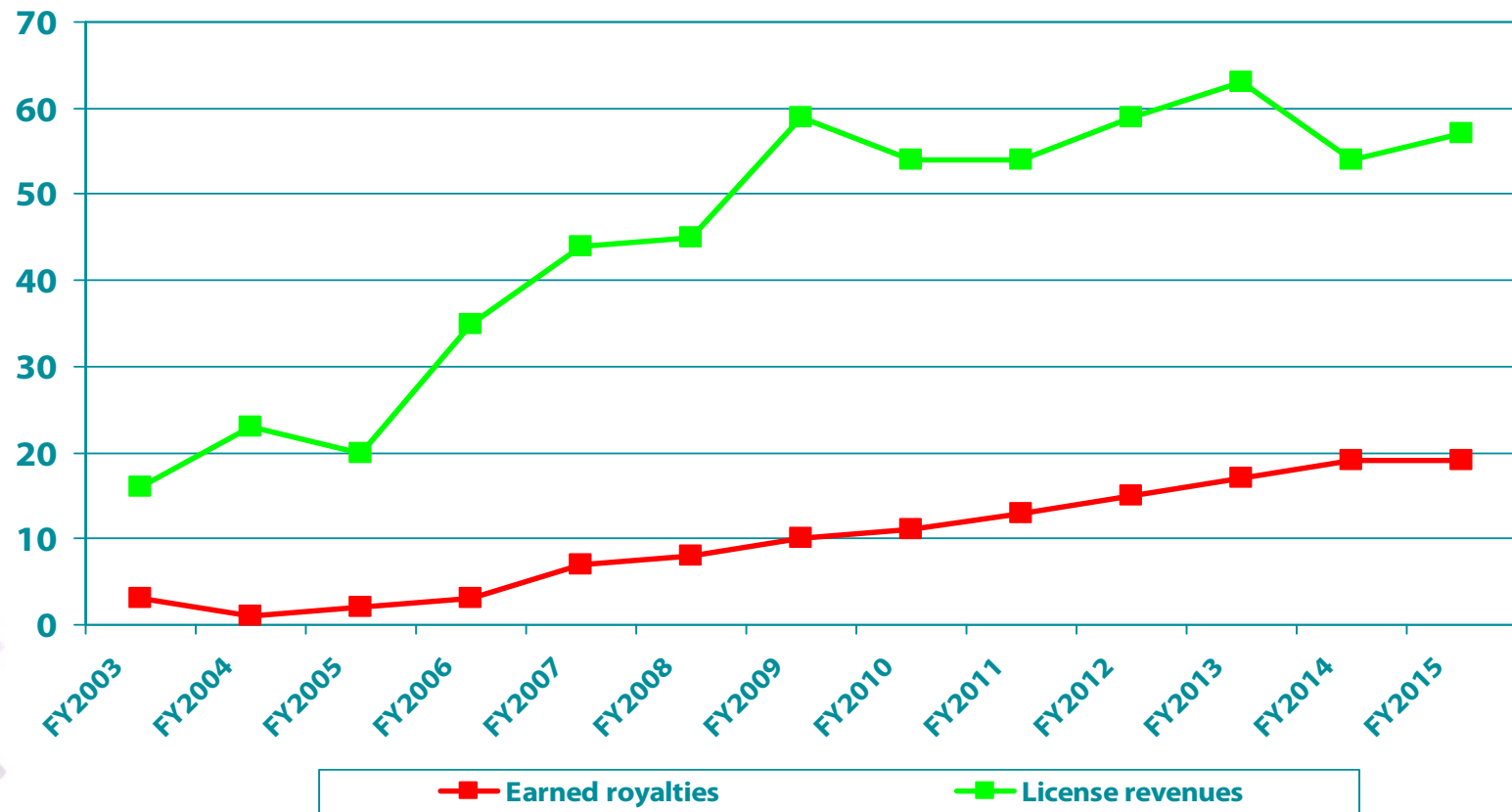
# PATENT REIMBURSEMENT REVENUES



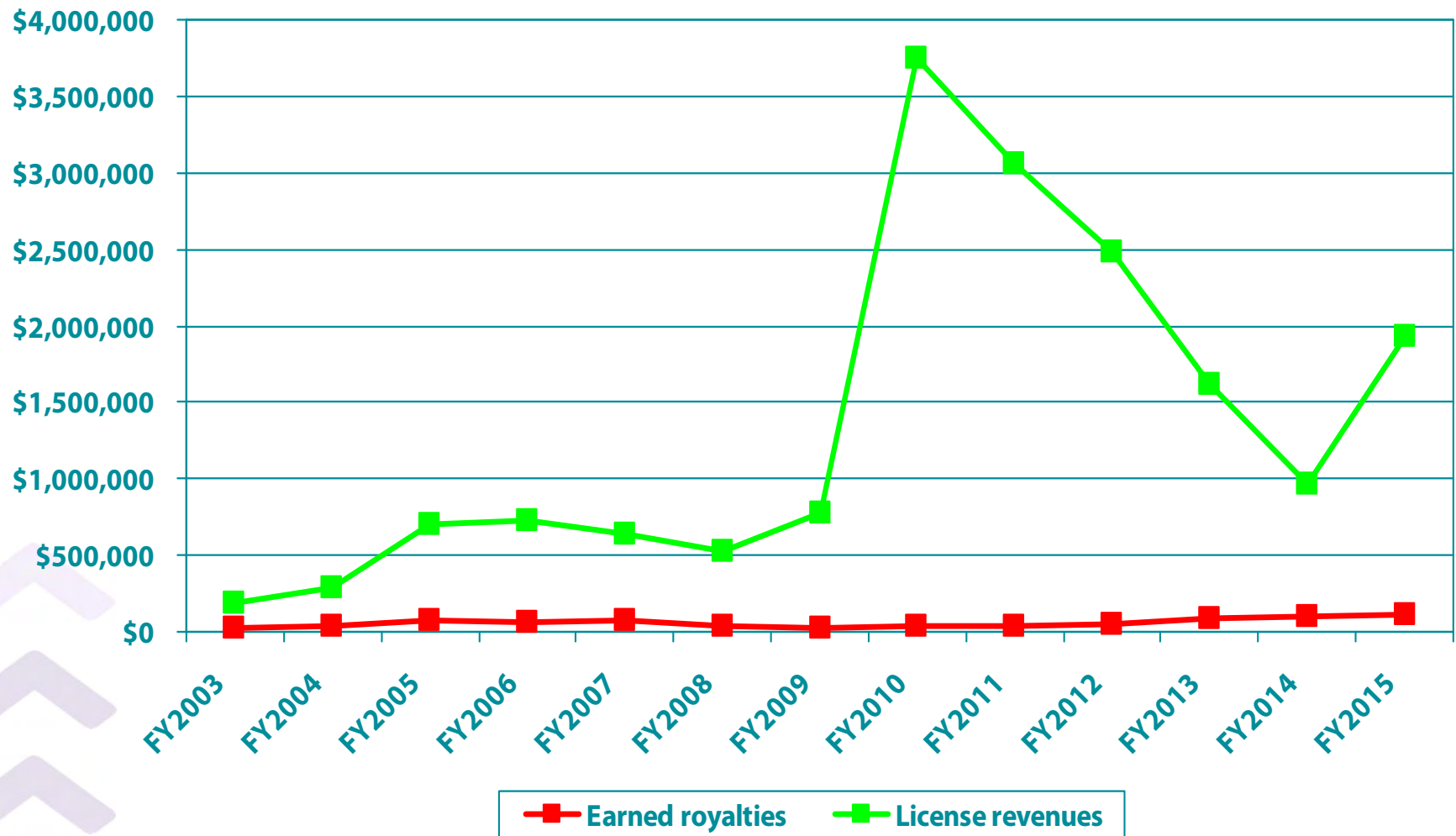
# PATENT COSTS INCURRED (STC-INITIATED; NON-LICENSEE REIMBURSED)



# TOTAL NUMBER OF LICENSES / OPTIONS YIELDING REVENUES



# TOTAL DOLLAR AMOUNT OF LICENSES / OPTIONS YIELDING REVENUES





# Memo

To: David W. Harris, UNM Executive Vice President for Administration, COO and CFO, and Lobo Development Corporation President

From: Thomas M. Neale, UNM Director of Real Estate and Lobo Development Corporation Director of Financial Transactions

Date: November 11, 2015

Re: Proposed Build-to-Suit Lease for the UNM Baseball Clubhouse

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I am requesting approval by the Board of Directors for Lobo Development Corporation to facilitate the design, construction, and lease of a baseball clubhouse for the University of New Mexico Athletics Department. The proposed clubhouse will contain 5,764 square feet and will be located along the south side of the existing baseball diamond and immediately adjacent to the indoor batting cage. The facility will include a locker room, player's lounge, training and hydrotherapy rooms, toilets and showers, coaches' offices, and a second floor deck overlooking the playing field. The site will contain 1.56 acres (67,774 square feet) with 95 parking spaces. Please refer to the attach exhibits for orientation.

**Transaction Structure:** The proposed transaction structure is a ten (10) year ground lease from the Regents of the University of New Mexico (UNM) to Lobo Development Corporation (LDC) for the land necessary to support the project and related parking area. Lobo Development Corporation will enter into a sub-ground lease with Mexico Nuevo Contractador, LLC, a New Mexico limited liability company (MNC). MNC will develop the clubhouse consistent with approved construction drawings provided by LDC, enter into an occupancy agreement, and lease the improved property to LDC. The principals of MNC are Scott Grady and Mark Cordova. Scott Grady owns Raylee Homes and Mark Cordova is the founder of Cordova Contracting and Development.

A memorandum of understanding will be executed between LDC and UNM that sets forth the reimbursement of any rent obligation of LDC in conjunction with the occupancy agreement. All of the agreements are co-terminus and will expire after the 10-year term. All improvements constructed on the site will revert to UNM at the expiration of the ground lease.

**Project Budget and Economics:** MNC will serve as general contractor of the proposed clubhouse project and has developed a budget based on the construction plans and project specifications prepared by Dekker Perich Sabatini. The total project cost is \$2,160,632 and includes turnkey construction of the building and site improvements. The project cost was validated by an independent third-party cost estimator hired by LDC.

The sub-ground lease requires MNC to use its best efforts to obtain non-terminable donations of labor, equipment, and supplies from its sub-contractors in conjunction with the construction. To date, MNC has received pledges from its sub-contractors to provide \$202,280 in donations that will reduce total project cost to \$1,958,352. In addition, UNM Athletics has secured \$815,000 in donations that will further reduce the total project cost to an estimated \$1,143,352. The total project cost will increase or decrease based upon the actual amount of donations secured through completion of construction and prior to MNC securing permanent financing.

Building rent is covered in the occupancy agreement between MNC and LDC. Building rent will be calculated based on the total project cost amortized at 7.0% over ten (10) years. Based on the total project cost, less total donations estimated to date of \$1,017,280, the estimated annual building rent will be approximately \$152,000 per year. Please note that building rent will be adjusted based on the actual amount of donations received for the project. Higher donations will result in lower rent and a decline will result in higher rent.

**Additional Considerations:** The UNM Foundation has agreed to loan LDC up to \$1,000,000 at the Wall Street Journal prime interest rate (currently 3.25%) with the principle being amortized over the 10-year term of the ground lease. In addition, it is the intent of UNM Athletics to insure that the total project cost, after donations, will not exceed \$1,000,000. If additional donations are not received, UNM Athletics will request a reduction in scope to achieve a total project cost of no more than \$1,000,000. LDC will assist UNM to reduce the total project costs.

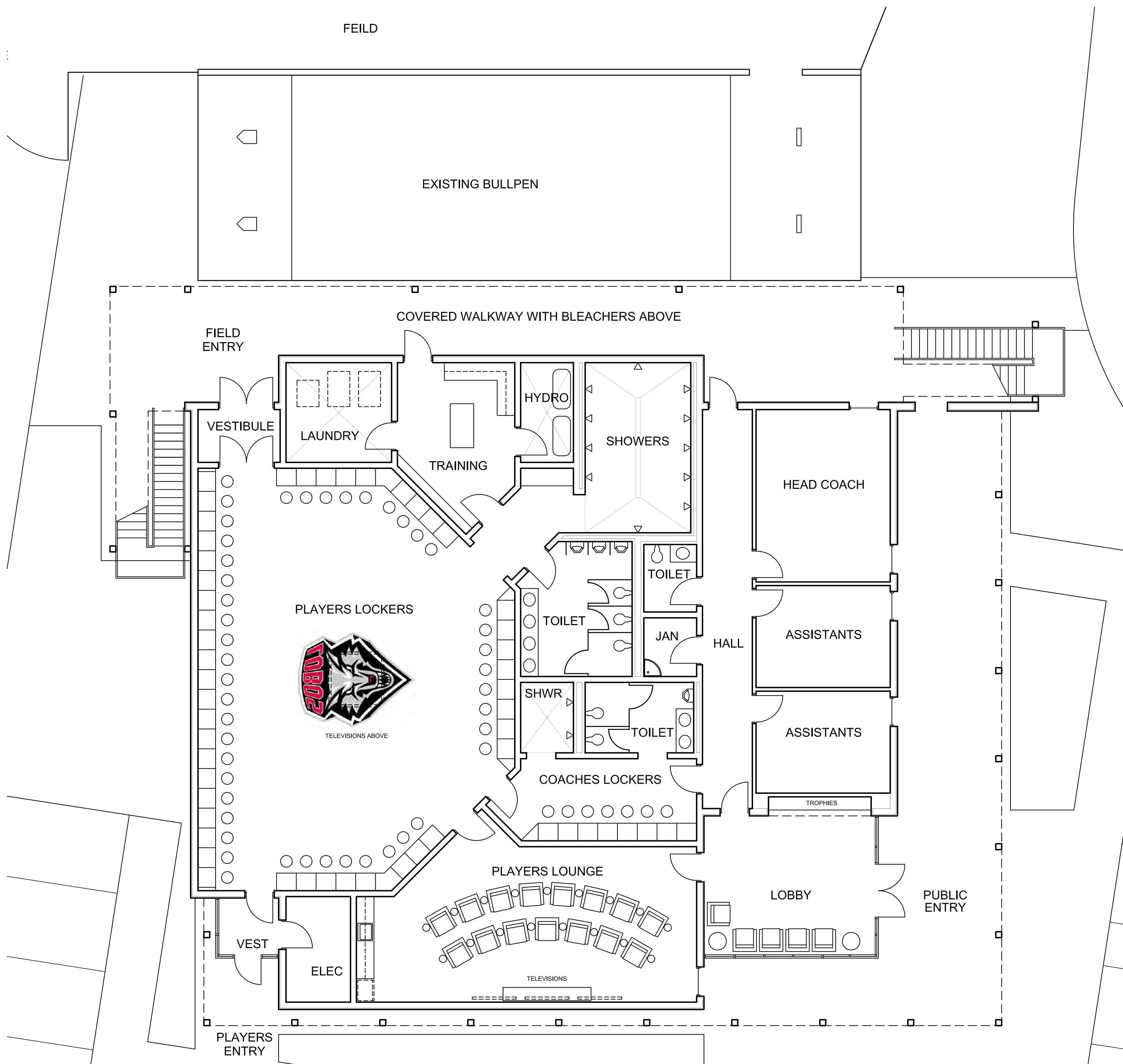
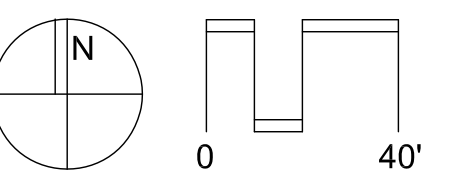
At completion of construction, LDC will use the loan from the UNM Foundation to pay off the outstanding project costs incurred by MNC and terminate the occupancy agreement. The lower interest rate loan will reduce the building rent to approximately \$115,000 per annum.

UNM will be responsible for all costs associated with operation of the baseball clubhouse, including maintenance and repairs (after expiration of the warranty period), utilities, custodial services, and insurance.

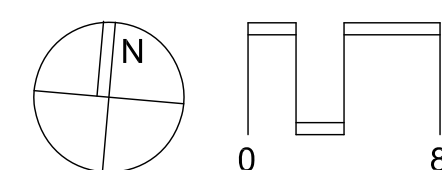




**SITE PLAN**  
SCALE: 1" = 40'



**FLOOR PLAN**  
SCALE: 1/8" = 1'-0"



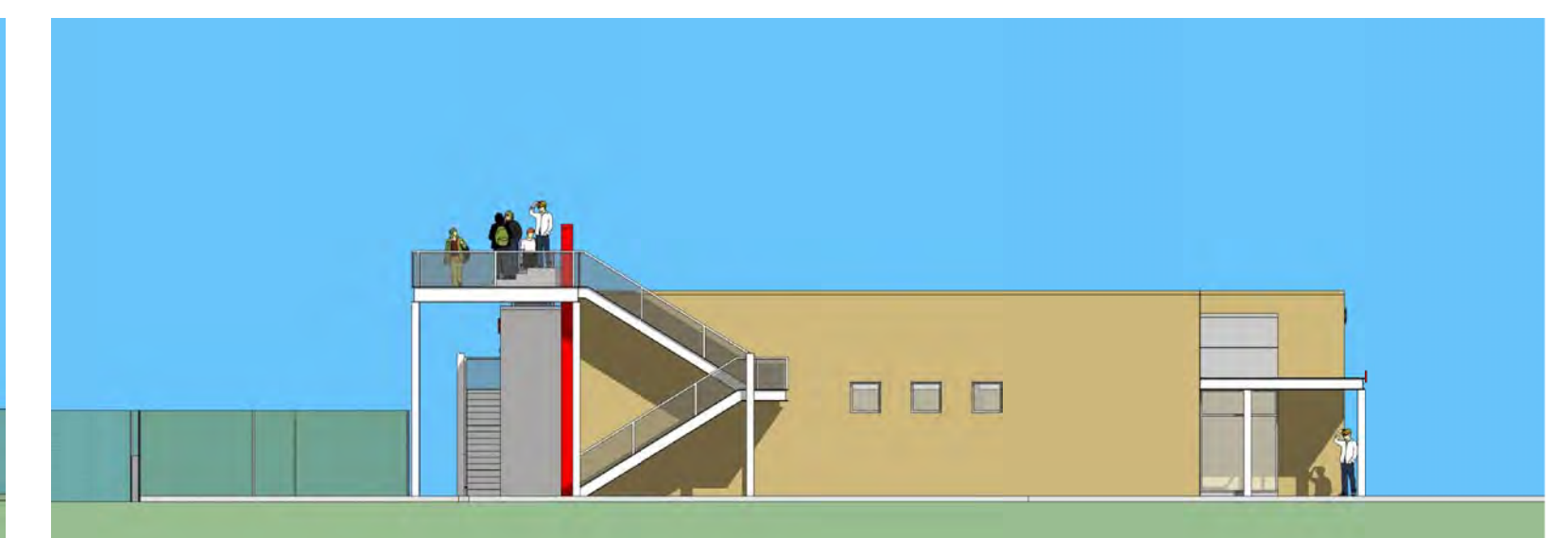
**SOUTH ELEVATION**



**EAST ELEVATION**

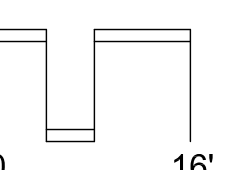


**NORTH ELEVATION**



**WEST ELEVATION**

**ELEVATIONS**  
SCALE: 1/16" = 1'-0"











Project SEARCH 2015-2016  
Erica Brooks Center for Development & Disability  
Phil Pelleriti University of New Mexico Hospital

Development  
Funds UNM



Statewide expansion and sustainability through existing resources



# ACTIVITIES

- Coordinated and paid for APS/UNMH attendance to the 2014 8th Annual National Project SEARCH conference to further learn about the SEARCH program fidelity, provide networking opportunities, and enhance team building and sustainability.
- Coordinated and provided on site Technical Assistance.
- Coordinated and organized monthly Steering Committee meetings.
- Initiated formation on Business Advisory Council (BAC) and helped to identify interested members.
- Developed and implemented Family Involvement activities using existing CDD staff.

# GOALS OF UNMH PROJECT SEARCH PROGRAM

- To teach our interns transferable, marketable, employability skills.
- To encourage our interns to participate in all facets of business culture.
- To provide the opportunity to work in high status organizations.
- To encourage our interns to develop independence in areas such as transportation, and daily living skills.
- To gain competitive employment!!!!

# But the Project Has Just Begun

## Video

# PROJECT SEARCH

UNM HOSPITALS 2015-2016



# 2015 PROJECT SEARCH INTERNS



# PROJECT SEARCH

The second year of the Project SEARCH program at the University of New Mexico Hospital (UNMH) is off to a very successful start. The following departments have welcomed interns: Basic and Advanced Trauma Computer Assisted Virtual Experience, Medical Intensive Care Unit, Patient Transport, Digestive Disease, Materials Management, Cafeteria, Sterile Processing, Linens Department, Kitchen, Dialysis and Radiology. Six of these 11 departments are new additions this year which will lead to more opportunities for our interns.



# PROJECT SEARCH 2015 - 2016



Interns received haircuts and grooming lessons at Barber's Knock barber shop prior to the beginning of rotations.

# PROJECT SEARCH 2015 - 2016



Interns at UNMH orientation  
working on competencies.

# PROJECT SEARCH 2015 - 2016



Intern Calvin Fray practicing to navigate a linen bin.

# PROJECT SEARCH 2015 - 2016



Intern JaMarr Edgerson at work on the serving line during rush hour in the Cafeteria.

# PROJECT SEARCH 2015 - 2016



Intern Jonah Wright's first progress meeting. (He is seated front left.) Also in attendance are DVR counselors, APS Transition Services Principal and Project SEARCH lead Connie Fasanella, Jonah's father, APS job coaches, and Best Buddies employment consultant.



## Project | SEARCH Newsletter



ALBUQUERQUE  
PUBLIC SCHOOLS



*The 2015-2016 Project SEARCH Interns*

### Year Two

We certainly hit the ground running this year. We have eleven new interns, four new departments, and two new staff. Monday through Friday, the interns make it to UNM Hospitals by 7:30am for class, spend five hours working in their departments, and then meet back up to reflect on the day. The energy and commitment of everyone involved has been amazing. We endeavor to provide the best support to these exceptional young adults as they grow and explore in Project SEARCH. We truly believe that each interaction our interns have with the world, as they strive towards employment and independence, is a step of progress for the whole disability community.

### Upcoming Dates

<b>November 4th</b> Progress Meeting #2	<b>November 11th</b> Veterans' Day	<b>November 13th</b> Start of Second Rotation	<b>November 25th-27th</b> Thanksgiving Break
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## Intern Spotlight

October 2015



**Garrett**

Hi, I graduated from Eldorado High School in 2014. I work in the BATCAVE. I operate simulators, set up for various educational classes, and inventory supplies. I would like a job that involves computers and technology.



**Vonte**

Hi, I graduated from Highland High School in 2013. I work in Patient Transport where I help patients get to the rooms that they need to be in by either using a wheelchair, stretcher, or bed. My dream job is to do CGI movie effects or movie prosthetics.



**Michael**

Hello, I graduated from DLD Sycamore School in 2013. Right now I am working in the dialysis unit doing data entry, visiting with patients, and working with machines. I would like a full time job in the hospital, but long term I am interested in social work.



**Jonah**

Hello, I graduated from Manzano High School in 2013. I work in the Sterile Processing Department where I deliver sterile instruments back to the clinics. Eventually, I would like to become a meteorologist for a news station.

The goal of Project SEARCH is employment. We are not just about getting the job; we are about keeping the job. The program is carefully geared to teach our interns how to operate in a professional setting and how to be an effective employee. We work with each intern to try and remove the roadblocks that might land them in trouble on the job. Having our interns immersed in a business is the best place to teach these skills because every lesson is immediately applicable; we don't work in the abstract.

The interns' efforts for most of their day are directed towards mastering tasks within their internships. They are building their resumes with experience and marketable skills that will allow them to compete for jobs all over the city, not just in the hospital. Interns can be trained in inventory and stocking, customer service and office skills, food service and delivery, attention to detail and cleaning. They learn to manage their own time, work as part of a team, and problem solve.

Our commitment to these interns extends beyond the timeline for this years' program. When an intern is hired they are supported for the long term by Best Buddies who work with the intern and employer to overcome any challenges that might arise.

*"The interns participating in Project SEARCH at the University of New Mexico Hospitals demonstrate the dedicated, motivated, and capable talent available for employment in New Mexico's businesses by persons with intellectual and developmental disabilities (IDD). Project SEARCH effectively links the labor resources of persons with IDD to the labor needs of business--it creates mutually beneficial opportunities. Best Buddies New Mexico is honored to be a partner in this collaborative program in Albuquerque for a second year".*

**Michael Gemme, New Mexico State Director,  
Best Buddies International, Inc.**

For more about Best Buddies' work with Project SEARCH email: [MichaelGemme@bestbuddies.org](mailto:MichaelGemme@bestbuddies.org) or visit their Facebook page: [BestBuddiesNM](https://www.facebook.com/BestBuddiesNM)

Each morning, the Project SEARCH interns attend class in the Child Life department of UNMH. The focus of these classes is to build on soft skills like self-advocating, appropriate behavior in a workplace, appearance and hygiene, conflict resolution, interviewing, and so much more. Soft skills like these often make or break someone's efforts towards employment and independence. We also set aside some time at the end of each day for everyone to take a moment to reflect. Interns fill out a sheet with one thing they learned that day as well as one thing they had a question about. This really gives us the chance to gauge their day and address any issues that may have come up. We also cover some things that are required for the hospital. Starting on day one,



the interns attend a hospital orientation where they receive important information about patient privacy laws and technology usage. They then begin working through hospital regulation and standard books called competencies. These competencies range from customer service standards to MRI machine safety to fire protocol and everything in between. We spent two mornings learning compression-only CPR. This class taught our interns how and when to administer CPR and the Heimlich Maneuver, and how to use an AED. Each intern was certified and received their CPR card.

## The On-Site Team

**Karen Davis**, Instructor, APS  
**Adrian Barrett**, Job Coach, APS  
**Tammy Davis**, Job Coach, APS  
**Andrew Loyd**, Job Coach, APS  
**Yvonne Gallegos**, Employment Consultant, Best Buddies



## Thank You!

Looking back at the start of this year we would like to acknowledge everyone that makes this program possible, but that would be too long, so here are the highlights.

<b>UNM Hospitals</b> Their outstanding commitment and openness to Project SEARCH is the reason any of this works. Thanks to every department, mentor, and supervisor with whom we work.	<b>Department of Vocational Rehabilitation</b> Provides counseling and material support for every intern. They explain benefits and get our interns set up for work in their internships and their competitive jobs.	<b>Albuquerque Public Schools</b> Provides job coaches and an instructor as well as a tremendous amount of logistical support. These are the day-to-day teachers and supports for the interns.	<b>Best Buddies</b> Develops job opportunities for the interns as well as supports those already hired. They ensure the smooth transition from intern to employee.
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For more information about the UNMH Project SEARCH please call: (505) 872-6800 ext. 0

# SUCCESS STORIES

In September, Intern Michael S. received an “I-Care” award for his work in the Digestive Disease Department. Patients or employees can nominate someone for an I-Care award when they feel they went above and beyond assigned work duties. A patient nominated Michael for the excellent customer service she received. She reported she was having a bad day and was unhappy when she arrived for her appointment. She said that he totally turned her attitude around because he treated her with, “so much care and understanding.”

# SUCCESS STORIES

Garrett is an intern in the Basic and Advanced Trauma Computer Assisted Virtual Experience Department. His supervisor expressed a need for storyboards to provide training instructions on the simulators. With very little direction and having only been shown once how to operate the simulators, Garrett created two complete storyboards within a week. His supervisor was very impressed. These will now be used in future trainings and will increase efficiency since the storyboards will replace the need for hospital staff to provide this training.






*Office of Planning, Budget & Analysis*

**MEMORANDUM**

TO: Members of the Board of Regents' Finance & Facilities Committee

THRU: Robert G. Frank, President  
David W. Harris, EVP for Administration, COO and CFO

FROM: Andrew Cullen, Associate VP Office of Planning, Budget, & Analysis 

DATE: November 18, 2015

**SUBJECT: UNM FY16 Main Campus Budget Overview & FY17 Base Budget**

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At the request of the Regents, the attached information represents summary information for the University of New Mexico's FY16 Main Campus Budget. The information depicts not only the I&G Budget for the Main Campus, but also all other unrestricted and restricted funds. The following information is included:

- FY16 Original Budget Comparative Analysis
- FY16 Original Budget by Division
- FY16 Academic Affairs Original Budget
- FY16 Administrative Services Organization Original Budget
- FY16 Compensation Analysis
- FY16 Fringe Benefit Analysis
- FY17 Initial Base Budget

The Administration looks forward to walking through the materials and answering your questions as we jointly continue to research and implement strategies that will effectively maximize existing resources. Thank you for your consideration.



**UNM**

OFFICE OF PLANNING,  
BUDGET & ANALYSIS

Main Campus			
FY 16 Original Budget Comparative Analysis (In Thousands)			
	FY 2015 Original	FY 2016 Original	% Change FY 15 to FY 16
<b>Revenues</b>			
State Appropriations	198,925	201,101	1%
Tuition and Fees	187,268	191,920	2%
Federal Appropriations/Grants/Contracts	196,565	194,357	-1%
Private Gifts and Contracts/Grants	26,146	26,061	0%
State and Local Bonds	27,113	22,498	-17%
Sales, Services and Other Revenues	151,870	149,560	-2%
<b>Total Revenues</b>	<b>787,887</b>	<b>785,497</b>	<b>0%</b>
<b>Expenses</b>			
Faculty Salaries	98,804	100,159	1%
GA/TA/RA/PA Salaries	28,663	27,971	-2%
Staff/Student/Other Salaries	201,698	204,357	1%
Fringe Benefits	111,855	112,438	1%
<b>Total Labor Expenses</b>	<b>441,020</b>	<b>444,925</b>	<b>1%</b>
Scholarships/Awards	131,666	133,251	1%
Utilities	32,162	32,293	0%
Equipment	7,724	8,107	5%
Supplies and Other Expenses	100,066	101,837	2%
<b>Total Non-Labor Expenses</b>	<b>271,618</b>	<b>275,488</b>	<b>1%</b>
Capital Projects and Maintenance	84,911	84,737	0%
Debt Service	35,511	33,943	-4%
<b>Total Expenses</b>	<b>833,060</b>	<b>839,093</b>	<b>1%</b>
<b>Net Margin</b>	<b>(45,173)</b>	<b>(53,596)</b>	<b>19%</b>



Main Campus FY 16 Original Budget (In Thousands)						
	Academic Affairs	Administrative Service Organizations	Restricted Funds	Capital	Total	
Revenues	\$ 309,112	\$ 211,790	\$ 173,546	\$ 91,049	\$ 785,497	
Expenses	\$ 332,324	\$ 214,543	\$ 173,546	\$ 118,680	\$ 839,093	
Net Margin	\$ (23,212)	\$ (2,753)	\$ -	\$ (27,631)	\$ (53,596)	

**Main Campus  
Academic Affairs  
FY 16 Original Budget (In Thousands)**

	Revenues	Expenses	Net Margin
VP for Equity & Inclusion	\$ 938	\$ 1,010	\$ (72)
School of Public Administration	\$ 1,361	\$ 1,586	\$ (225)
UNM West and Branches	\$ 1,639	\$ 1,674	\$ (35)
Honors College	\$ 1,667	\$ 1,749	\$ (82)
University College	\$ 2,119	\$ 2,444	\$ (325)
Continuing Education	\$ 4,197	\$ 4,275	\$ (78)
School of Architecture Planning	\$ 4,563	\$ 4,810	\$ (247)
VP Division of Enrollment Mgmt	\$ 5,968	\$ 5,985	\$ (17)
Extended University Ext Univ	\$ 7,570	\$ 10,074	\$ (2,504)
VP Research	\$ 11,475	\$ 14,223	\$ (2,748)
School of Law	\$ 13,269	\$ 14,230	\$ (961)
Anderson Schools of Management	\$ 15,505	\$ 15,724	\$ (219)
College of Fine Arts	\$ 15,338	\$ 16,718	\$ (1,380)
College of Education	\$ 15,756	\$ 17,190	\$ (1,434)
University Libraries	\$ 16,550	\$ 17,237	\$ (687)
School of Engineering	\$ 20,535	\$ 21,939	\$ (1,404)
Provost Administration	\$ 22,138	\$ 24,932	\$ (2,794)
Student Affairs	\$ 25,716	\$ 26,299	\$ (583)
Scholarships and Financial Aid	\$ 51,055	\$ 55,772	\$ (4,717)
College of Arts Sciences	\$ 71,753	\$ 74,453	\$ (2,700)
<b>Total</b>	<b>\$ 309,112</b>	<b>\$ 332,324</b>	<b>\$ (23,212)</b>

**Main Campus  
Administrative Service Organizations  
FY 16 Original Budget (In Thousands)**

	Human Resources	Financial Services	Information Technologies	Independent Service Units	Institutional Support Services	Athletics	Auxiliary Enterprises	Institutional Fringe Benefits and Other	Total
<b>Revenues</b>	\$ 3,060	\$ 11,794	\$ 15,618	\$ 18,706	\$ 33,619	\$ 35,956	\$ 41,135	\$ 51,902	\$ 211,790
<b>Expenses</b>	\$ 3,281	\$ 11,794	\$ 15,618	\$ 20,328	\$ 34,690	\$ 35,985	\$ 41,135	\$ 51,712	\$ 214,543
<b>NET MARGIN</b>	\$ (221)	\$ -	\$ -	\$ (1,622)	\$ (1,071)	\$ (29)	\$ -	\$ 190	\$ (2,753)

**Main Campus  
Compensation  
FY 16 Original Budget (\$\$\$ In Thousands)**

	FTE	Academic Affairs	FTE	Administrative Service Organizations	FTE	Restricted	Total FTE	Total Compensation
Faculty Salaries	1,508	\$ 97,850	4	\$ 1,909	5	\$ 400	1,517	\$ 100,159
GA/TA/RA/PA Salaries	560	\$ 15,900	14	\$ 371	289	\$ 11,700	863	\$ 27,971
Staff/Student/Other Salaries	2,106	\$ 79,470	1,740	\$ 82,327	981	\$ 42,560	4,827	\$ 204,357
<b>Total Compensation</b>	<b>4,174</b>	<b>\$ 193,220</b>	<b>1,758</b>	<b>\$ 84,607</b>	<b>1,275</b>	<b>\$ 54,660</b>	<b>7,207</b>	<b>\$ 332,487</b>

0 % Increase for Faculty

0 % Increase for Staff and GA/TA



Main Campus Fringe Benefits			
FY 16 Original Budget Comparative Analysis (In Thousands)			
	FY 2015 Original	FY 2016 Original	% Change FY 15 to FY 16
Fica	\$ 13,777	\$ 16,965	23%
Retirement	\$ 24,551	\$ 32,041	31%
Group Insurance	\$ 25,226	\$ 28,221	12%
Unemployment Compensation	\$ 502	\$ 457	-9%
Workers Compensation	\$ 539	\$ 624	16%
Tuition Waivers	\$ 10,643	\$ 10,653	0%
Discounts	\$ 834	\$ 750	-10%
Other Staff Benefits	\$ 34,857	\$ 22,219	-36%
Accrued Annual and Catastrophic Leave	\$ 926	\$ 508	-45%
<b>Total Fringe Benefits</b>	<b>\$ 111,855</b>	<b>\$ 112,438</b>	<b>1%</b>

UNM Main Campus  
Budget Development  
Fiscal Year 2017  
Summary (in thousands) - Initial Base Budget

**ESTIMATED**

Sources of Funds	Projected		Proposed	
	FY 16 Original	Changes	FY16 Revised	FY17 Original
<b>State I&amp;G General Fund:</b>				
State Appropriation I&G Pooled Base	190,722	0	190,722	190,722
Main Campus State Appropriation Change: HB2	0	0	0	0
HSC State Appropriation Change: HB2	0	0	0	0
<b>Subtotal State I&amp;G General Fund - FY 16 Budget</b>	<b>190,722</b>	<b>0</b>	<b>190,722</b>	<b>190,722</b>
<b>Tuition:</b>				
Starting Base	136,035	0	136,035	131,573
Adjustment: Enrollment Decrease	0	-1,850	-1,850	0
Adjustment: Enrollment Shift to 15-18 Hour Tuition Block	0	-1,400	-1,400	0
Adjustment: Spring 2016 Enrollment Reserve <sup>1</sup>	0	-1,212	-1,212	0
Net Tuition Increase	0	0	0	0
<b>Subtotal Tuition</b>	<b>136,035</b>	<b>-4,462</b>	<b>131,573</b>	<b>131,573</b>
<b>Miscellaneous</b>				
F&A Revenues	20,500	0	20,500	20,500
Land and Permanent Fund Revenue	8,800	0	8,800	8,800
Interest Income	800	0	800	800
Miscellaneous Fee Revenues and Transfers	-40,780	0	-40,780	-40,780
<b>Subtotal Miscellaneous</b>	<b>-10,680</b>	<b>0</b>	<b>-10,680</b>	<b>-10,680</b>
<b>Health Sciences Center Transfers:</b>				
Health Sciences Center Base <sup>2</sup>	-18,314	0	-18,314	-18,627
Adjustment: Tuition True-Up	-264	-49	-313	0
Health Sciences Center Formula Workload/Outcomes	0	0	0	0
Health Sciences Center Tuition - Estimate	0	0	0	0
<b>Subtotal Transfers to Health Sciences Center from I&amp;G Base</b>	<b>-18,578</b>	<b>-49</b>	<b>-18,627</b>	<b>-18,627</b>
<b>Mandatory Student Fees:</b>				
Starting Base	32,607	0	32,607	32,157
Adjustment: Enrollment Decline	0	-450	-450	0
Net Mandatory Student Fee Increase	0	0	0	0
<b>Subtotal Mandatory Student Fees</b>	<b>32,607</b>	<b>-450</b>	<b>32,157</b>	<b>32,157</b>
<b>Total Sources of Funds:</b>	<b>330,106</b>	<b>-4,961</b>	<b>325,145</b>	<b>325,145</b>
<b>Uses of Funds:</b>				
<b>I&amp;G Allocations and Requests:</b>				
Expenditure Base	297,499	0	297,499	293,077
Expenditure Base Reductions - President	0	-110	-110	-71
Expenditure Base Reductions - Academic Affairs	0	-2,625	-2,625	-1,697
Expenditure Base Reductions - Administration	0	-919	-919	-594
<b>Other Base Adjustments:</b>				
Academic Affairs	0	5	5	0
Administration	0	35	35	0
<b>Fixed Costs:</b>				
Health Care	0	0	0	1,138
Utilities	0	0	0	564
Property & Liability Insurance	0	-400	-400	0
Pooled Fringe Benefits	0	-409	-409	-335
<b>Funding Priorities:</b>				
New Faculty Lines	0	0	0	426
Student Recruitment Enhancement	0	0	0	200
Distinguished Professors	0	0	0	40
Faculty/Lecturer Promotions	0	0	0	240
GA/TA Tuition Waivers - Tied to a Tuition Increase	0	0	0	0
<b>Subtotal Allocations and Requests</b>	<b>297,499</b>	<b>-4,422</b>	<b>293,077</b>	<b>292,988</b>
<b>Mandatory Student Fee Allocations and Requests:</b>				
Expenditure Base	32,607	0	32,607	32,157
Expenditure Base Reduction	0	-450	-450	0
Funding Requests	0	0	0	0
<b>Subtotal Mandatory Student Fee Allocations and Requests</b>	<b>32,607</b>	<b>-450</b>	<b>32,157</b>	<b>32,157</b>
<b>Total Uses of Funds</b>	<b>330,106</b>	<b>-4,872</b>	<b>325,234</b>	<b>325,144</b>
<b>Balance</b>	<b>0</b>	<b>-89</b>	<b>-89</b>	<b>0</b>

**Footnotes**

- Assumes Student Load Shift Approximate to FY16.
- The HSC transfer base is net of a \$2.1M transfer from HSC to Main campus and a (\$20.4M) transfer to HSC from Main Campus.  
The transfer to HSC includes HSC generated tuition revenue and State funding formula dollars per agreed upon amounts between HSC and Main campus and does not reflect total dollars generated by HSC. The transfer to HSC could increase or decrease each year per agreement due to incremental changes in tuition generated and/or in funding formula outcomes compared to the previous fiscal year.





*Office of Planning, Budget & Analysis*

## MEMORANDUM

TO: Members of the Board of Regents' Finance & Facilities Committee

THRU: Robert G. Frank, President  
David W. Harris, EVP for Administration, COO and CFO

FROM: Monica Orozco, Vice Provost, Extended University  
Andrew Cullen, Associate VP Office of Planning, Budget, & Analysis

DATE: November 18, 2015

SUBJECT: **Proposed Online Delivery Fee Modification**

**Background:** In the context of online courses managed by Extended Learning, course fees are termed "delivery fees" and understood to fund the technology and services behind making instruction & curriculum available via the internet. Delivery fees have their origins with UNM's first business model for online programming, launched with the University's entrance to internet instruction in Spring 2000. The delivery fee was set at \$33.33/SCH, experienced by students as a \$100 fee for the typical 3 credit hour, online course. This fee has never been increased from its original price point.

Over the years, delivery fees have provided UNM with a scalable revenue stream for the continuing expansion of online course offerings, from a single course in Spring 2000 to today's student body generating approximately 90,000 online student credit hours per year. The online delivery fee generates a bit more than \$3 million per year in revenue and comprises 30-35% of Extended Learning's annual operating funds. The delivery fee applies only to main campus courses defined as "fully online," meaning 100% of the content, learning activities, and interaction occurs within a web-based environment. At UNM, this environment is built around an enterprise learning management system called "Learn," a trademarked product of the educational services company Blackboard, Inc.

**Rationale/Request:** At its inception, the fee per credit hour was justified since it directly tied the cost of attending UNM and taking online courses to the student. As online instruction became more the norm, it follows that the cost to support online instruction is a basic, fundamental cost of doing business and should be supported by all students under the assumption that the majority of students take online courses.

As tools related to educational technology have grown, online course fees now also subsidize infrastructure used for other UNM courses and students since UNM's original business model failed to foresee the demand from traditional, face-to-face courses on Learn's rich array of educational tools. For Fall 2014, 64% of total UNM system credit hours utilized the Learn

infrastructure. Although indicative of healthy advances in teaching and learning, this widespread use of the infrastructure has created a significant misalignment of sources and uses. In other words, delivery fees on fully online courses entirely finance the infrastructure that now supports all course types offered by UNM.

An additional flaw in the business model is recognized in the fact that UNM Branch courses, both online and traditional, also utilize this learning environment infrastructure without an associated contribution of delivery fees. Similar to the Main Campus, Branch Campus face-to-face and online courses have grown and as of Fall 2014 represent 12% of total system use.

Finally and most importantly, it is critical that UNM gain a competitive edge in online student recruitment. As UNM plans for expanded online programming and increased marketing of online programs at national and international levels, price per credit hour is an important aspect of competitive edge. If the delivery fee redistribution is approved, online courses and programs at UNM will be more competitive on price than many of our university peers and will be somewhat more competitive with our competition in the two-year, community college sector.

As the attached analysis depicts, a Mandatory Student Fee increase of approximately \$5.27 to \$5.48 per student credit hour (depending on the number of credit hours taken per semester) would generate the funds necessary to backfill the revenue lost by eliminating the Extended University \$100 per course delivery fee currently in place.

Thank you for your consideration.

**Fiscal Year 2016 Main Campus  
Mandatory Student Fees / Online Delivery Fee Analysis Projection**

Fiscal Year	Original Budget <sup>1</sup>	Actuals as of Oct 31, 2015	Fiscal Year 2016 Projected Year End Actuals	1% of Projected Fiscal Year 2016 Actuals
2016	32,30,5690	\$17,634,658	\$31,855,690	\$318,557
				\$286,701
				% Increase per SCH
				\$ Increase per SCH

**Fiscal Year 2016 - 1% Number Recommendation:<sup>2</sup>**

\$286,701	1.00%	\$0.52
\$2,867,012	10.00%	\$5.23

						Estimated		
Extended University	FY 2012 Actuals	FY 2013 Actuals	FY 2014 Actuals	FY 2015 Actuals	FY 2016 Budget	% Increase per SCH (around)	\$ Increase per SCH at 12 hrs	\$ Increase per SCH at 15 hrs
Online Fees	\$1,755,605	\$2,484,390	\$3,027,280	\$3,109,235	\$3,004,250	10.48%	\$5.48	\$5.27
						Annual Undergrad Resident Student Cost	\$131.52	\$158.10

<sup>1</sup>GPSA numbers are excluded

<sup>2</sup>1% Recommendation represents 90% of true 1% number. 90% is a conservative estimate in case there are enrollment fluctuations.

TAB 12 (info item):  
Discussion of Merit-Based  
Faculty Compensation

Materials may be available at the meeting





*Office of Planning, Budget & Analysis*

**MEMORANDUM**

TO: Members of the Board of Regents' Finance & Facilities Committee

THRU: Robert G. Frank, President  
David W. Harris, EVP for Administration, COO and CFO

FROM: Andrew Cullen, Associate VP Office of Planning, Budget & Analysis

DATE: November 18, 2015

SUBJECT: **Discussion on Outsourcing Opportunities in Higher Education**

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As the landscape of higher education evolves across the country, more and more colleges find themselves facing significant financial challenges. Indeed, pressures to increase spending on things such as student success initiatives, growing healthcare costs, or increasing compliance burdens, coupled with stagnant state funding, flat enrollments, and limited tuition increases pose a complex challenge for colleges and universities in the 21<sup>st</sup> century. As a result, many institutions have resorted to efforts to rein in spending and reduce costs. Given the high portion of college budgets attributed to personnel, much of these cost savings must come in the form of reduced labor and benefit costs. One strategy commonly used in the private sector that is garnering increased attention in higher education is outsourcing.

According to the Education Advisory Board (EAB), a national leader in performance improvement in higher education, universities must carefully consider the pros and cons of any potential outsourcing opportunity. In general, they suggest that outsourcing may be effective in those cases where:

- Positions requiring high levels of skill that are only seldom needed: In some cases, the most valuable skills of highly paid, specialized positions are not consistently used. Outsourcing these positions to pay for these specialized skills only when needed can present an opportunity for cost savings.
- Positions requiring low levels of skill: With the relatively high cost of institution-provided benefits, the total cost of compensation for low-skilled positions can be higher at universities than similar positions in the private sector, creating an opportunity for cost savings through outsourcing.

- Positions performing routine or commodity tasks: In the cases where positions are performing tasks that are common to every business, universities may be able to save money by opting for high-quality, lower-cost options from outside contractors.

Similarly, the EAB cautions that certain types of positions can be difficult and/or inappropriate to outsource. Positions specifically focused on the core academic mission are unlikely to be provided at the same level of quality and/or expertise by an outside contractor. Similarly, positions that provide direct services to students should be evaluated carefully, as external providers may provide lower levels of service or pass additional costs directly on to students.

With these opinions in mind, any effort to evaluate outsourcing components at the University of New Mexico should be evaluated carefully to ensure alignment with the University's mission and our ability to continue offering a high level of service and support to our students, faculty, and staff.

Thank you for your consideration.



# Dorothy Anderson, VP for Human Resources Eric Weinstein, Exec VP for Aon Risk Solutions

## FY 17 Medical Plan Projection

- Preliminary projection is an 11% increase to plan rates

	FY16*		FY17**		Increase	
	UNM	Employees	UNM	Employees	UNM	Employees
Active Employees	\$38,814,918	\$21,557,514	\$43,089,987	\$23,931,855	\$4,275,069	\$2,374,341
Pre-65 Retirees***	\$2,696,751	\$2,479,958	\$2,706,427	\$3,040,443	\$9,676	\$560,486
Dependents of Post-65 Retirees	\$231,878	\$541,050	\$257,418	\$600,641	\$25,539	\$59,591
<b>Subtotal</b>	<b>\$41,743,547</b>	<b>\$24,578,521</b>	<b>\$46,053,831</b>	<b>\$27,572,939</b>	<b>\$4,310,284</b>	<b>\$2,994,418</b>
<b>Total</b>	<b>\$66,322,068</b>		<b>\$73,626,770</b>		<b>\$7,304,702</b>	

\* FY 2016 Projection adjusted for current enrollment

\*\* 7% medical/Rx trend; 6,955 enrolled contracts; using Paid Claims (10/1/14 - 9/30/15)

\*\*\* Retiree cost share increased by an additional 5% in FY 17

**Provost's Report**  
will be presented at the meeting

## Bylaws of the University of New Mexico Parent Association

### Article I – Formation, Name and Location

The University of New Mexico Board of Regents has established within a Memorandum of Understanding, the recognition of an affiliated organization. The name of the organization is “The University of New Mexico Parent Association”, hereinafter called the “Association”. Its principal office shall be located at the University of New Mexico, Albuquerque, New Mexico.

### Article II – Statement of Purpose

The Association is an organization whose purpose is to support and promote the interests of parents of students of the University of New Mexico (UNM).

### Article III – Membership

The membership will be comprised of all parents and family members of current and former students of the University of New Mexico.

Ex-officio members – The following persons shall serve as non-voting ex-officio members of the Board of Directors and shall be invited to all regular meetings and functions of the Association’s Board of Directors. Ex-officio members are not required to be the parent or legal guardian of a current or former student of the University of New Mexico.

- The Provost or staff designate;
- Vice President of Student Affairs or staff designate;
- Dean of Students or staff designate;
- Vice President of Enrollment Management or staff designate;
- Vice President for Equity and Inclusion or staff designate;
- Two (2) Faculty representatives (whose primary role is in the classroom), appointed by the President of the Faculty Senate;
- A representative appointed by the University President;
- President of ASUNM or designate; and
- President of GPSA or designate.

- ~~1. Regular membership: The membership will be comprised of all parents and guardians of current and former students of the UNM.~~
- ~~2. Honorary membership: Any individual who has rendered outstanding service to UNM or to society as a whole may become an honorary member of the Association for life upon election as such by the Board of Directors. Honorary members shall be entitled to all rights and privileges of regular membership, excepting the right to hold office.~~

### Article IV – Mission

The mission of the Association is to:

1. Promote student success and academic excellence
2. Engage parents in the university's mission and goals
3. Assist parents to play a supportive role in student education
4. Provide a forum for networking with other UNM parents

#### Article V – Roles

The roles of the Association are:

1. Support – for parents as they embrace the transition of their children into university life and adulthood.
2. Communication – to help ensure that parents have timely and accurate information about UNM through facilitating two-way communication.
3. Connection – to other UNM parents and to the university's vast array of services.
4. Outreach – to parents who live both locally and afar.
5. Spirit – that provides parents with meaningful, energizing, and enjoyable opportunities to become a vital part of the UNM Community.

#### Article VI – Board of Directors~~Management~~

Section 6.1 A Number – ~~Board~~ of Directors:

~~1. ——— Membership —~~ the Board of Directors shall consist of at least nine (9) ~~and no more than 25-v~~ Voting mMembers. ~~They are comprised of the Officers and Directors at Large. Each elected member of the Board of Directors shall be a parent or legal guardian of a currently enrolled UNM student.~~

~~a. ——— Three persons to serve as officers of the Board to be elected by the Board:~~

~~i. ——— President~~

~~ii. ——— Vice President~~

~~iii. ——— Treasurer~~

~~b. ——— The Chair of each standing committee;~~

~~c. ——— The Chairs of all Association recognized Parent Clubs; and~~

~~d. ——— Ten (10) ex-officio members~~

~~2. ——— Ex-officio members — The following persons shall serve as non-voting ex-officio members of the Board of Directors and shall be invited to all regular meetings and functions of the Association's Board of Directors. Ex-officio members are not required to be the parent or legal guardian of a currently enrolled UNM student.~~

~~a. ——— Executive Director of the Parent Association who shall serve as Secretary of the Association, appointed by the Vice President of Student Affairs;~~

~~b. ——— Vice President of Student Affairs or staff designate;~~

~~c. ——— Dean of Students or staff designate;~~

~~d. ——— Vice President of Enrollment Management or staff designate;~~

- e. ~~— Vice President for Equity and Inclusion or staff designate;~~
- f. ~~— Two (2) Faculty representatives (whose primary role is in the classroom), appointed by the President of the Faculty Senate;~~
- g. ~~— A representative appointed by the University President;~~
- h. ~~— President of ASUNM or designate; and~~
- i. ~~— President of GPSA or designate.~~

Section 6.2 B Quorum: ~~A simple majority of the Voting Members of the Board of Directors shall constitute a quorum for the transaction of business, except herein otherwise provided. The act of a majority of the members present at a meeting at which a quorum is present shall be the act of the board.~~ ~~— Executive Committee~~

~~The Executive Committee of the Board of Directors shall be established as follows:~~

~~Membership-~~

- a. ~~— The President of the Association~~
- b. ~~— The Vice President of the Association~~
- c. ~~— The Treasurer of the Association~~
- d. ~~— The Secretary of the Association (non-voting)~~

~~The Executive Committee shall plan and implement the Association's Annual General Membership meeting.~~

~~President The President shall preside at all meetings of the Association and Board of Directors. The President shall perform all duties incident of the office of President and have such powers and duties as assigned by the Board. The President shall represent the Association at open meetings of the Board of Regents. The President shall nominate Chairs of the standing committees with the approval of the Association Board. The President shall prepare an annual State of the Association report, to be approved by the Association Board, presented at the Association annual membership business meeting and forwarded to the President of the University. The Association President will also, after consultation with the Executive Committee, provide input to the Vice President of Student Affairs on the performance of the Executive Director.~~

~~Vice President In the absence of or at the request of the President, the Vice President shall perform the duties of the President.~~

~~Treasurer The Treasurer shall keep and maintain all financial records of the Association consistent with general fiscal policy of the University. The Treasurer shall prepare financial reports for each full Board Meeting. The Treasurer shall provide a report of any audit of the financial records of the Association.~~



~~Secretary—The Executive Director of the Parent Association shall serve as Secretary of the Association. The Executive Director shall be responsible for maintaining and preserving all non-financial records of the Association.~~

Section 6.3 C— Terms of Office: Directors shall serve a term of two (2) years. Directors shall serve staggered terms to balance continuity with new perspective.

~~1.—All members of the Board of Directors except for ex-officio members shall serve for a two (2) year term beginning June 1; not to serve as a director for more than two (2) consecutive regular terms. An individual appointed to fill a Board of Director's position left vacant prematurely will be eligible to run for a regular two (2) year term. If a director's student leaves the University that director may continue to serve their full elected term.~~

~~2.—Vacancy:~~

~~a.—Upon resignation, death or physical disability of the President before the expiration of office, the Board may elect an interim president or may appoint the Vice President to serve until the next election cycle.~~

~~b.—In the event that a vacancy occurs in the office of the Vice President or Treasurer, the President shall appoint a replacement to complete the unexpired term with the approval of the Board.~~

Section 6.4 Vacancies: Any vacancy occurring in the Board of Directors may be filled by the affirmative vote of the majority of the Board from candidates presented from the Nominating Committee. A Director elected to fill the vacancy shall be elected for the unexpired term of his/her predecessor in office.

Section 6.5 Removal: The Board may remove any Officer or Director for cause by majority vote of all Directors then in office, at any regular or special meeting of the Board. This action shall be preceded by the following: 1) no less than 5 current Board members must draft a letter specifying the cause of proposed removal, 2) this letter shall be sent to subject Board Member(s) by registered mail no less than 10 days prior to a regular or special meeting where action will be taken, 3) the agenda must provide for subject Board Member(s) to state their defense.

#### Section D—Powers

~~The powers of the Association shall be vested in and exercised by its Board of Directors. Without limiting the generality of the foregoing, the Board of Directors shall have the power to:~~

- ~~1.—Amend the Bylaws of the Association by a vote of not less than two-thirds of the voting members of the Board of Directors, subject to review and approval of the Board of Regents;~~
- ~~2.—Determine qualifications for membership, subject to review and approval of the Board of Regents;~~
- ~~3.—Elect all officers, directors of the Association and prescribe their duties, remove those officers and directors not fulfilling the obligations of their respective offices, and fill any vacancies for the unexpired term of any officer or director;~~

- ~~4. Take other such action as necessary to fulfill the program of the Association.~~

#### ~~Section E—Quorum~~

~~A simple majority of the voting members of the Board of Directors shall constitute a quorum for the transaction of business, except herein otherwise provided. A quorum, once attained, shall continue until adjournment despite voluntary withdrawal of enough members to constitute less than a quorum. The act of a majority of the persons present at a meeting at which a quorum is present shall be the act of the Board.~~

#### ~~Section F—Meetings~~

- ~~1. The Board will meet at least three times per Academic year, including a meeting to be held within two months following the start of Fall semester. Additional Board meetings can be called as needed by the President with a minimum of a two (2) week notice. Regular meeting attendance and participation by directors and officers is vital to the Board's mission and is required. Absence for two (2) consecutive meetings will be reviewed by the Executive Committee and, if deemed appropriate, directors or officers may be removed from office.~~
- ~~2. Minutes of each meeting of the Board of Directors shall be submitted to the Board of Directors within thirty days after such meeting.~~
- ~~3. The Association will conduct a meeting of the general membership annually to coincide with the Association's Fall Family Weekend event.~~
- ~~4. Notice of meetings: Written notice of the general membership and other regular meeting of the members shall state the date, time, and place of the meetings and shall be sent by e-mail no less than fifteen days before the meeting to each member's provided e-mail address. Written notice of special meetings of the members shall be sent by e-mail stating the date, time, place, and purpose of the meeting, not less than three days before the scheduled date of the special meeting.~~

#### ~~Article VII – Elections~~Officers of the Board of Directors

Section 7.1 There shall be five (5) Officers of the Board of Directors: President, President Elect, Treasurer, Secretary and Immediate Past President. Except as provided herein, the roles and qualifications of these Officers shall be determined by the Board in its policies.

Section 7.1a. President: The President shall be responsible to call and preside at Board meetings of the Association. The President or their Board Member Designee shall represent the Association at open meetings of the Board of Regents or any other meeting. The President shall nominate Chairs of the standing committees with the approval of the Association Board. The President shall prepare an annual State of the Association report, to be approved by the Association Board, presented at the Association annual membership business meeting and forwarded to the President of the University. The President shall perform all duties incident of the office of President and have such powers and duties as assigned by the Board.

Section 7.1b President-Elect: In the absence of or at the request of the President, the President-Elect shall perform the duties of the President. In the event the President is no longer able to perform the duties of the office of President, the President-Elect shall assume the office for the remainder of the term.

Section 7.1c Treasurer: The Treasurer shall keep and maintain all financial records of the Association consistent with general fiscal policy of the University. The Treasurer shall prepare financial reports for each regularly scheduled Board meeting.

Section 7.1d Secretary: The Secretary shall be responsible for documenting minutes of all Board meetings and official acts of the Board of Directors.

Section 7.1e Immediate Past President shall serve in an advisory capacity to the Board of Directors and as chair of the Nominating Committee.

Section 7.2 Nomination and Election: The Nomination committee shall present a slate of Officers to the Board of Directors. The Board will vote "For" or "Against" the slated candidate for each position. Officers shall be elected by a simple majority of the Board of Directors and begin their term at the beginning of the fiscal year.

Section 7.3 Terms of Office: The term for each Officer shall be the one-year period commencing with the beginning of the fiscal year. No single individual may be elected for more than two (2) consecutive one-year terms in any single office.

~~The Board of Directors shall appoint a Nominating Committee consisting of five members: one from the Board, three from the Association membership and the immediate past President. The immediate past President shall serve as chair of the Nominating Committee.~~

- ~~1. Nominations — Any regular member of the Association may be nominated for election to the Board Directors, either by the Nomination Committee or by submission of the nomination to the Association no later than thirty days prior to the spring meeting each year prior to a projected vacancy. No nomination shall be made without the consent of the nominee.
  - ~~a) The Nominating Committee shall publish an announcement of the nomination process in the Parent Association Newsletter or in such other manner as it may deem appropriate at or before the fall general membership meeting of each year prior to a projected vacancy.~~
  - ~~b) The Nominating Committee will submit the list of nominees to the Board at least thirty days prior to the spring meeting of the Board. The list shall include the names of all persons nominated by the Nominating Committee as well as the names of all persons otherwise nominated.~~~~

~~c) The Nominating Committee shall present the Board of Directors a slate of recommended candidates for each vacant office seven days prior to the spring Board meeting.~~

~~2. Elections Board members will cast their vote at the spring Board meeting unless an email vote is initiated by the President of the Association. The Board will vote "For" or "Against" the slated candidate for each vacancy. Officers shall be elected by a simple majority of the Board of Directors.~~

~~If a slated candidate is not elected, the Nominating Committee shall present the Board with an alternative candidate, and the incumbent shall continue to serve until a replacement is elected. Results of the voting shall be recorded and announced as soon as possible.~~

~~3. E-mail voting An e-mail vote of the Board of Directors may be initiated by the President of the Association for a specific action. The e-mail will state a motion, and the vote will be taken over a period of three (3) days after the last Director acknowledges receipt of the motion or no longer than five (5) days to allow the fullest participation of the Directors. A simple majority of the voting members of the Board of Directors shall constitute a quorum for the transaction of business, except herein otherwise provided.~~

~~Results of the e-mail voting shall be recorded and announced as soon as possible and at the next Board meeting.~~

#### ~~Article VIII- Standing Committees~~Meetings

Section 8.1 The Board shall meet at least three (3) times per academic year, including a meeting to be held within two months following the start of the fall semester. Additional Board meetings can be called as needed by any member of the Board provided they have the agreement of 2 additional Board members and with a minimum of a two (2) week notice. Regular meeting attendance and participation by directors and officers is vital to the Board's mission and is required. Absence for two (2) consecutive meetings will be reviewed by the Officers of the Board and, if deemed appropriate, directors or officers may be removed from office.

Section 8.2 The Association shall conduct a meeting of the general membership annually.

Section 8.3 Notice of meetings: Written notice of the general membership and other regular meetings of the members shall state the date, time and place of the meetings and may be sent electronically no less than fifteen (15) days before the meeting to each member's provided e-mail address.

~~Each standing committee is dedicated to one or more strategic activity of the Parent Association. Leadership of each standing committee shall be vested in a Chair. Individuals standing for the role of Chair agree to take on the accountability for organization and executing all aspects of that committee's major strategic activity. The Chair of each Standing committee must be a parent or guardian of a current enrolled UNM student. Chairs of Standing Committee will be nominated by the President of the Parent Association and approved by the Board of Directors. Each Committee Chair is a voting member of the Board.~~

- All Board members shall serve and participate on one of more committee of the choice.
- The President is considered a member of the all committees.
- The Board may appoint up to eight standing committees.
- Standing Committees shall meet before each general board meeting.

The standing committees consist of:

1. Volunteer Development (Recruitment & Membership)

The members of the Volunteer Development committee recruit and organize volunteers to help with activities of all committees.

2. Bylaws and Elections

The members of the Bylaw and Elections committee organize and facilitate elections, assist in writing and updating by-laws.

3. Fundraising

The members of the Fundraising committee:

- Organize and implement fundraising activities such as Parent Day at the Pit.
- Identify private and corporate donors, working within UNM development office guidelines.
- Solicit community donors in support of the Fall Family Weekend and other parent events.

4. Scholarships

The members of the Scholarship committee:

- Conduct the Parent Association scholarship solicitation, review and awards.

5. Programs & Services

The members of the Program and Services committee plan, implement and participate in activities such as:

- Summer Send Offs
- Fall Family Weekend
- The annual Parent Programs and Workshops

6. Hallmark Events

The members of the Hallmark Events committee:

- Implement the Holiday Ornament production and sales
- Implement Annual Golf Tournament
- Implement other Hallmark events as affirmed by the Board of Directors

Article IX- Miscellaneous MattersElections

Section 9.1 The Nominating Committee of the Association shall consist of five members. The Immediate Past President shall serve as chair and member, the Board of Directors shall appoint one member of the Board other than the Immediate past President and the Immediate Past President shall appoint three

additional members from the general membership. The Chair shall work with the Board of Directors to convene the Nominating Committee not later than the end of the fall term.

Section 9.2 Nominations: Any regular member of the Association may be nominated for election to the Board of Directors. No nomination shall be made without the consent of the nominee.

Section 9.3 Elections: The Nominating Committee will submit a list of nominees to the Board at least thirty days prior to the spring meeting of the Board. The Board will vote "For" or "Against" the slated candidate for each position. Directors shall be elected by a simple majority of the Board of Directors and begin their term at the beginning of the fiscal year.

- ~~1. Fiscal Year: The fiscal year of the Association shall extend from July 1 to and including June 30~~
- ~~2. Political Activity: No part of the activities of this organization shall be devoted to participation in any political campaign on behalf of any candidate for public office.~~
- ~~3. Termination of Dissolution: At the termination of dissolution of this organization, for whatever cause, all of its assets will be distributed to the University of New Mexico Foundation for UNM Student Scholarships.~~

#### Article X- ~~Amendment to the Bylaws~~Committees

Section 10.1 Establishment and Operation of Committees: The Board of Directors shall establish such committees and task forces as advisable to assist the fulfilling the mission of the Association without compromising the Board's authority and in keeping with the policies established by the Board.

Section 10.2 Standing Committees: Standing committees of the Board of Directors shall be Nominating, Volunteer Development (Recruitment and Membership), Bylaws, Scholarship, Legislative, Communication and Finance Committees. These committees shall operate in accordance with the roles and policies established by the Board. The President shall appoint committee chairs.

#### Article XI – Fiscal Year

The fiscal year of the Association shall extend from July 1 to June 30.

#### Article XII – Rules of Order

The rules of order in the current edition of Robert's Rules of Order shall govern the conduct of all meetings of the Association except where they may be in conflict with these Bylaws or other policies adopted by the Board of Directors.

#### Article Xiii – Amendments

Proposed amendments to these established Bylaws may be made at a regular meeting by a two-thirds vote of all Directors then in office, provided that notice of the proposed amendment(s), together with a copy thereof, shall be distributed to each Director at least fifteen (15) days prior to the meeting at which the amendment is to be considered. Any proposed amendment(s) shall become effective upon approval by the University of New Mexico Board of Regents.



Article XIV - Indemnification

The University of New Mexico Parent Association shall indemnify its Directors, Officers, employees and volunteers to the fullest extent permitted by the law of the State of New Mexico.

Article XV - Dissolution

In the event of the dissolution of the Association, for whatever cause, its assets will be distributed to the University of New Mexico Foundation for UNM Student Scholarships.

Article XVI - Miscellaneous

No part of the activities of this organization shall be devoted to participation in any political campaign on behalf of any candidate for public office.

Notwithstanding anything herein, all activities and policies of the Association shall conform to University of New Mexico policies as approved by the Board of Regents.

~~These Bylaws may be altered, amended, or repealed by an affirmative vote of two-thirds of the members present at any regular or special meeting of the Board of Directors at which quorum is present. A notice shall be sent to the Director at least 15 days prior to the date set for the meeting at which the amendment is to be presented. An approved amendment shall be effective upon approval by the UNM Board of Regents.~~

The undersigned members of the Executive Committee of the UNM Parent Association certify that these Bylaws of the UNM Parent Association were adopted by the Board of Directors at ~~a special~~their regularly held meeting ~~held on this~~ \_\_\_\_\_.

\_\_\_\_\_  
President UNM Parent Association

\_\_\_\_\_  
~~Vice President UNM Parent Association~~

\_\_\_\_\_  
~~Treasurer UNM Parent Association~~

\_\_\_\_\_  
~~Secretary UNM Parent Association~~

These Bylaws of the UNM Parent Association were approved at a regularly called meeting of the Board of Regents on the \_\_\_\_ day of \_\_\_\_\_, 2015.??

By: \_\_\_\_\_

Date \_\_\_\_\_

The Regents of the University of New Mexico  
President of the Board

# **Bylaws of the University of New Mexico Parent Association**

## **Article I – Formation, Name and Location**

The University of New Mexico Board of Regents has established, within a Memorandum of Understanding, the recognition of an affiliated organization. The name of the organization is “The University of New Mexico Parent Association”, hereinafter called the “Association”. Its principal office shall be located at the University of New Mexico, Albuquerque, New Mexico.

## **Article II – Statement of Purpose**

The Association is an organization whose purpose is to support and promote the interests of parents of students of the University of New Mexico (UNM).

## **Article III – Membership**

The membership will be comprised of all parents and guardians of current and former students of the University of New Mexico.

Ex-officio members – The following persons shall serve as non-voting ex-officio members of the Board of Directors and shall be invited to all regular meetings and functions of the Association’s Board of Directors. Ex-officio members are not required to be the parent or legal guardian of a current or former student of the University of New Mexico.

- The Provost or staff designate;
- Vice President of Student Affairs or staff designate;
- Dean of Students or staff designate;
- Vice President of Enrollment Management or staff designate;
- Vice President for Equity and Inclusion or staff designate;
- Two (2) Faculty representatives (whose primary role is in the classroom), appointed by the President of the Faculty Senate;
- A representative appointed by the University President;
- President of ASUNM or designate; and
- President of GPSA or designate.

## **Article IV – Mission**

The mission of the Association is to:

1. Promote student success and academic excellence
2. Engage parents in the university’s mission and goals
3. Assist parents to play a supportive role in student education
4. Provide a forum for networking with other UNM parents

## Article V – Roles

The roles of the Association are:

1. Support – for parents as they embrace the transition of their children into university life and adulthood.
2. Communication – to help ensure that parents have timely and accurate information about UNM through facilitating two-way communication.
3. Connection – to other UNM parents and to the university's vast array of services.
4. Outreach – to parents who live both locally and afar.
5. Spirit – that provides parents with meaningful, energizing, and enjoyable opportunities to become a vital part of the UNM Community.

## Article VI – Board of Directors

**Section 6.1 Number of Directors:** The Board of Directors of the Association shall consist of at least nine (9) Voting Members. They are comprised of the Officers and Directors at Large.

**Section 6.2 Quorum:** A simple majority of the Voting Members of the Board of Directors shall constitute a quorum for the transaction of business, except herein otherwise provided. The act of a majority of the members present at a meeting at which a quorum is present shall be the act of the Board.

**Section 6.3 Terms of Office:** Directors shall serve a term of two (2) years. Directors shall serve staggered terms to balance continuity with new perspective.

**Section 6.4 Vacancies:** Any vacancy occurring in the Board of Directors may be filled by the affirmative vote of the majority of the Board from candidates presented from the Nominating Committee. A Director elected to fill the vacancy shall be elected for the unexpired term of his/her predecessor in office.

**Section 6.5 Removal:** The Board may remove any Officer or Director for cause by majority vote of all Directors then in office, at any regular or special meeting of the Board. This action shall be preceded by the following: 1) no less than 5 current Board Members must draft a letter specifying the cause of proposed removal, 2) this letter shall be sent to subject Board Member(s) by registered mail no less than 10 days prior to a regular or special meeting where action will be taken, 3) the agenda must provide for subject Board Member(s) to state their defense.

## Article VII – Officers of the Board of Directors

**Section 7.1** There shall be five (5) Officers of the Board of Directors: President, President Elect, Treasurer, Secretary and Immediate Past President. Except as provided herein, the roles and qualifications of these Officers shall be determined by the Board in its policies.

**Section 7.1a President:** The President shall be responsible to call and preside at Board meetings of the Association. The President or their Board Member Designee shall represent the

Association at open meetings of the Board of Regents or any other meeting. The President shall nominate Chairs of the standing committees with the approval of the Association Board. The President shall prepare an annual State of the Association report, to be approved by the Association Board, presented at the Association annual membership business meeting and forwarded to the President of the University. The President shall perform all duties incident of the office of President and have such powers and duties as assigned by the Board.

**Section 7.1b President-Elect:** In the absence of or at the request of the President, the President Elect shall perform the duties of the President. In the event the President is no longer able to perform the duties of the office of President, the President-Elect shall assume the office for the remainder of the term.

**Section 7.1c Treasurer:** The Treasurer shall keep and maintain all financial records of the Association consistent with general fiscal policy of the University. The Treasurer shall prepare financial reports for each regularly scheduled Board Meeting.

**Section 7.1d Secretary:** The Secretary shall be responsible for documenting minutes of all Board meetings and official acts of the Board of Directors.

**Section 7.1e Immediate Past President** shall serve in an advisory capacity to the Board of Directors and as chair of the Nominating Committee.

**Section 7.2 Nomination and Election:** The Nomination committee shall present a slate of Officers to the Board of Directors. The Board will vote "For" or "Against" the slated candidate for each position. Officers shall be elected by a simple majority of the Board of Directors and begin their term at the beginning of the fiscal year.

**Section 7.3 Terms of Office:** The term for each Officer shall be the one-year period commencing with the beginning of the fiscal year. No single individual may be elected for more than two (2) consecutive one-year terms in any single office.

## Article VIII- Meetings

**Section 8.1** The Board shall meet at least three (3) times per academic year, including a meeting to be held within two months following the start of fall semester. Additional Board meetings can be called as needed by any member of the Board provided they have the agreement of 2 additional Board members and with a minimum of a two (2) week notice. Regular meeting attendance and participation by directors and officers is vital to the Board's mission and is required. Absence for two (2) consecutive meetings will be reviewed by the Officers of the Board and, if deemed appropriate, directors or officers may be removed from office.

**Section 8.2** The Association shall conduct a meeting of the general membership annually.

**Section 8.3** Notice of meetings: Written notice of the general membership and other regular meetings of

the members shall state the date, time and place of the meetings and may be sent electronically no less than fifteen (15) days before the meeting to each member's provided e-mail address.

#### Article IX- Elections

Section 9.1 The Nominating Committee of the Association shall consist of five members. The Immediate Past President shall serve as chair and member, the Board of Directors shall appoint one member of the Board other than the Immediate Past President and the Immediate Past President shall appoint three additional members from the general membership. The Chair shall work with the Board of Directors to convene the Nominating Committee not later than the end of the fall term.

Section 9.2 Nominations: Any regular member of the Association may be nominated for election to the Board of Directors. No nomination shall be made without the consent of the nominee.

Section 9.3 Elections: The Nominating Committee will submit a list of nominees to the Board at least thirty days prior to the spring meeting of the Board. The Board will vote "For" or "Against" the slated candidate for each position. Directors shall be elected by a simple majority of the Board of Directors and begin their term at the beginning of the fiscal year.

#### Article X- Committees

Section 10.1 Establishment and Operation of Committees: The Board of Directors shall establish such committees and task forces as advisable to assist the fulfilling the mission of the Association without compromising the Board's authority and in keeping with the policies established by the Board.

Section 10.2 Standing Committees: Standing committees of the Board of Directors shall be Nominating, Volunteer Development (Recruitment and Membership), Bylaws, Scholarship, Legislative, Communication and Finance Committees. These committees shall operate in accordance with the roles and policies established by the Board. The President shall appoint committee chairs.

#### Article XI – Fiscal Year

The fiscal year of the Association shall extend from July 1 through June 30.

#### Article XII – Rules of Order

The rules of order in the current edition of Robert's Rules of Order shall govern the conduct of all meetings of the Association except where they may be in conflict with these Bylaws or other policies adopted by the Board of Directors.

#### Article XIII – Amendments

Proposed amendments to these established Bylaws may be made at a regular meeting by a two-thirds vote of all Directors then in office, provided that notice of the proposed amendment(s), together with a copy thereof, shall be distributed to each Director at least fifteen (15) days prior to the meeting at which



the amendment is to be considered. Any proposed amendment(s) shall become effective upon approval by the UNM Board of Regents.

#### Article XIV – Indemnification

The University of New Mexico Parent Association shall indemnify its Directors, Officers, employees and volunteers to the fullest extent permitted by the law of the State of New Mexico.

#### Article XV – Dissolution


In the event of the dissolution of the Association, for whatever cause, its assets will be distributed to the University of New Mexico Foundation for UNM Student Scholarships.

#### Article XVI – Miscellaneous

No part of the activities of this organization shall be devoted to participation in any political campaign on behalf of any candidate for public office.

Notwithstanding anything herein, all activities and policies of the Association shall conform to University of New Mexico Policies as approved by the Board of Regents.

The undersigned members of the Executive Committee of the UNM Parent Association certify that these Bylaws of the UNM Parent Association were adopted by the Board of Directors at their regularly held meeting on September 17, 2015.

By:   
President UNM Parent Association

Date 09-17-2015

These Bylaws of the UNM Parent Association were approved at a regularly called meeting of the Board of Regents on the \_\_\_\_ day of \_\_\_\_\_, 2015.

By: \_\_\_\_\_  
The Regents of the University of New Mexico  
President of the Board of Regents

Date \_\_\_\_\_

Revised 9/2015

# Review and Update of the Academic Plan

**Chaouki Abdallah**

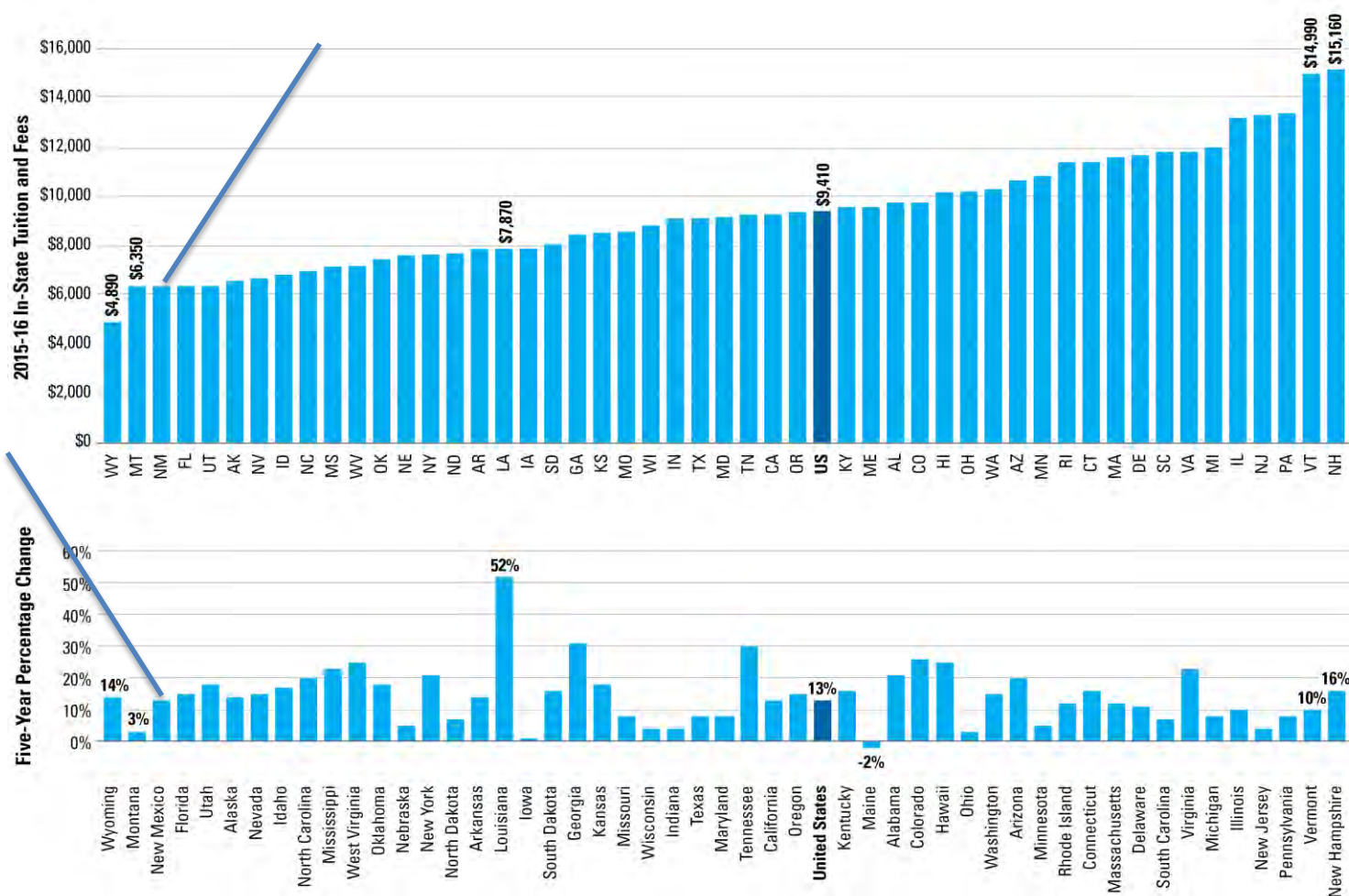
**Provost & Professor of Electrical & Computer Engineering**

## Academic Plan Highlights

- **Goals:** Student success, **faculty strength**.
- **Challenges:** Faculty numbers & compensation, financial limitations.
- **Activities:** Investments in faculty & research, long-term targeted hiring plans.
- **Outcomes:** Measurable outcomes (graduation rates, number of degrees, research funding, national and international awards), and corrective actions along the path.

# Office of the Provost

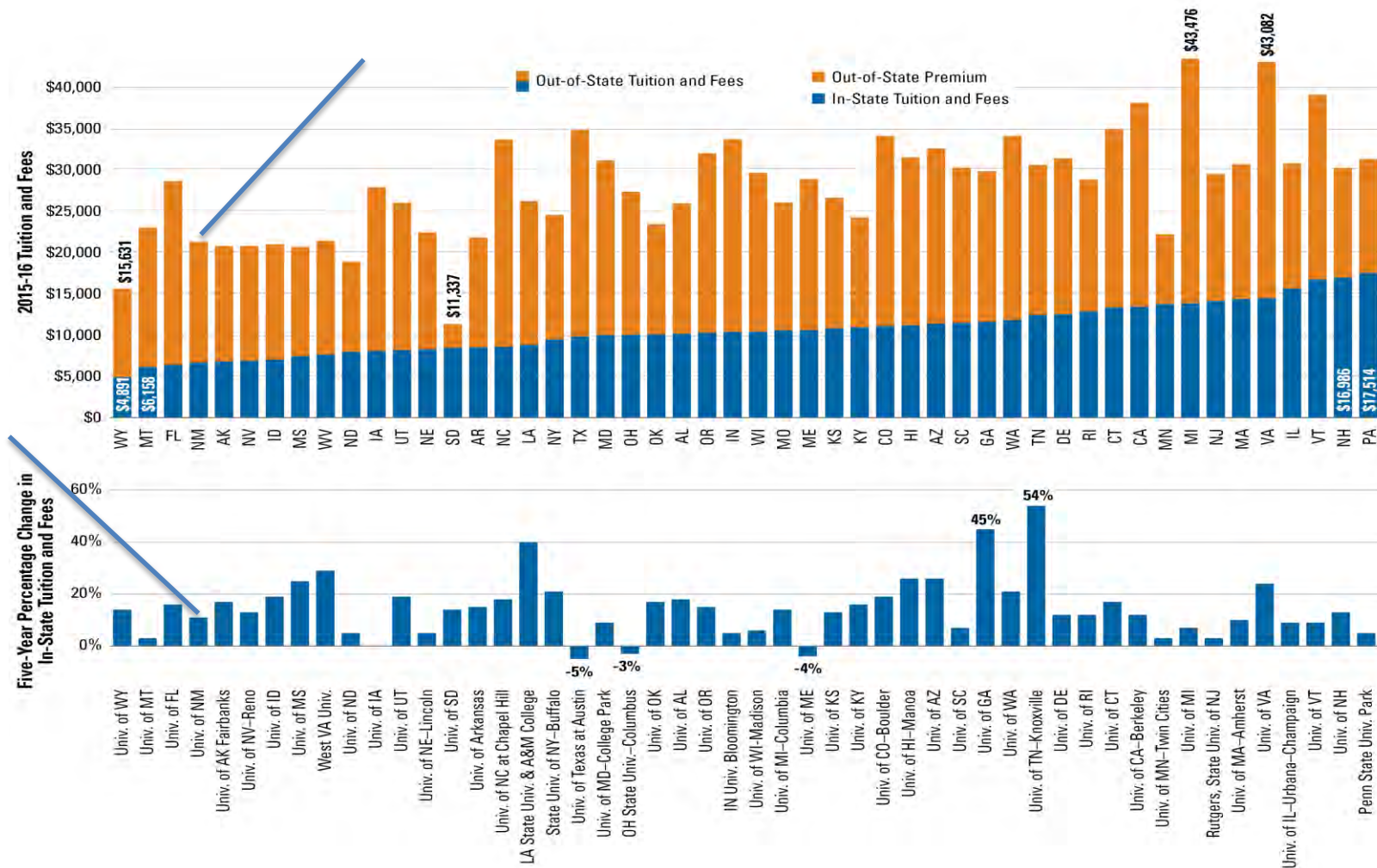
## Average 2015-16 In-State Tuition and Fees at Public Four-Year Institutions by State and Five-Year Percentage Change in Inflation-Adjusted Tuition and Fees



SOURCE: The College Board, *Trends in College Pricing 2015*, Figure 8

# Office of the Provost

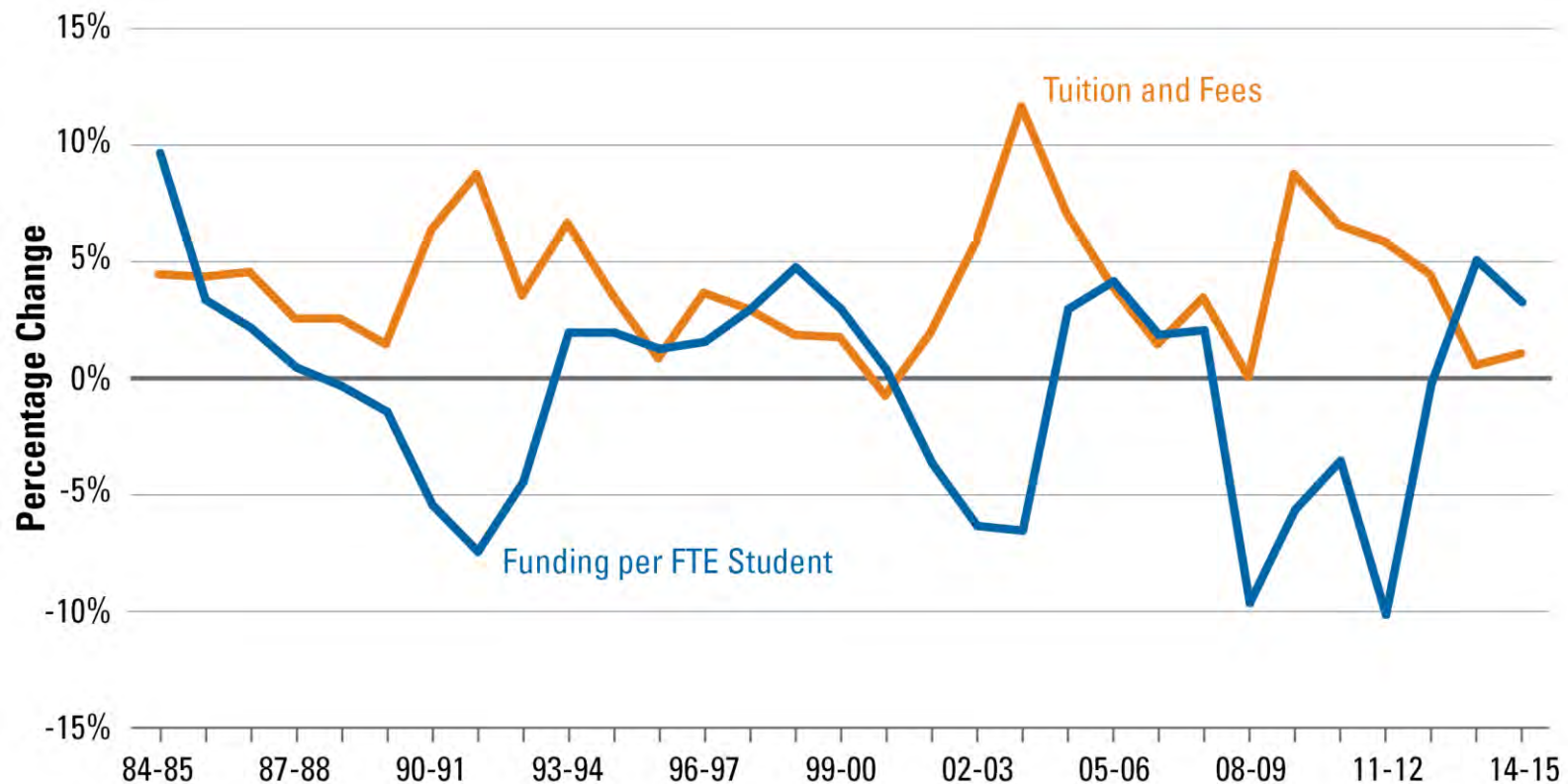
## 2015-16 Tuition and Fees at Flagship Universities and Five-Year Percentage Change in Inflation-Adjusted In-State Tuition and Fees



SOURCE: The College Board, *Trends in College Pricing 2015*, Figure 10

# Office of the Provost

## Annual Percentage Change in Inflation-Adjusted Per-Student State Funding for Higher Education and in Tuition and Fees at Public Institutions, 1984-85 to 2014-15

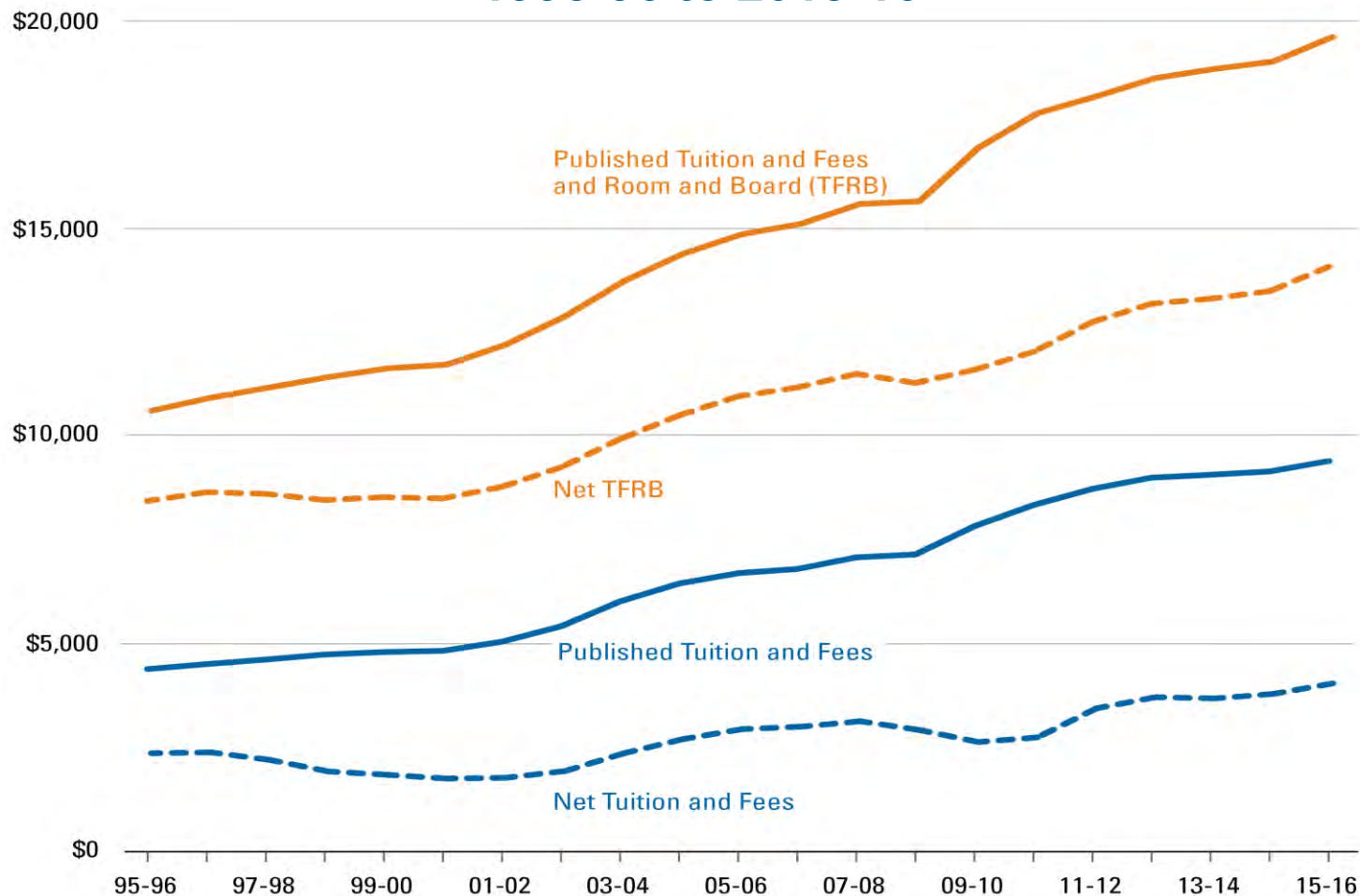


SOURCE: The College Board, *Trends in College Pricing 2015*, Figure 16A



# Office of the Provost

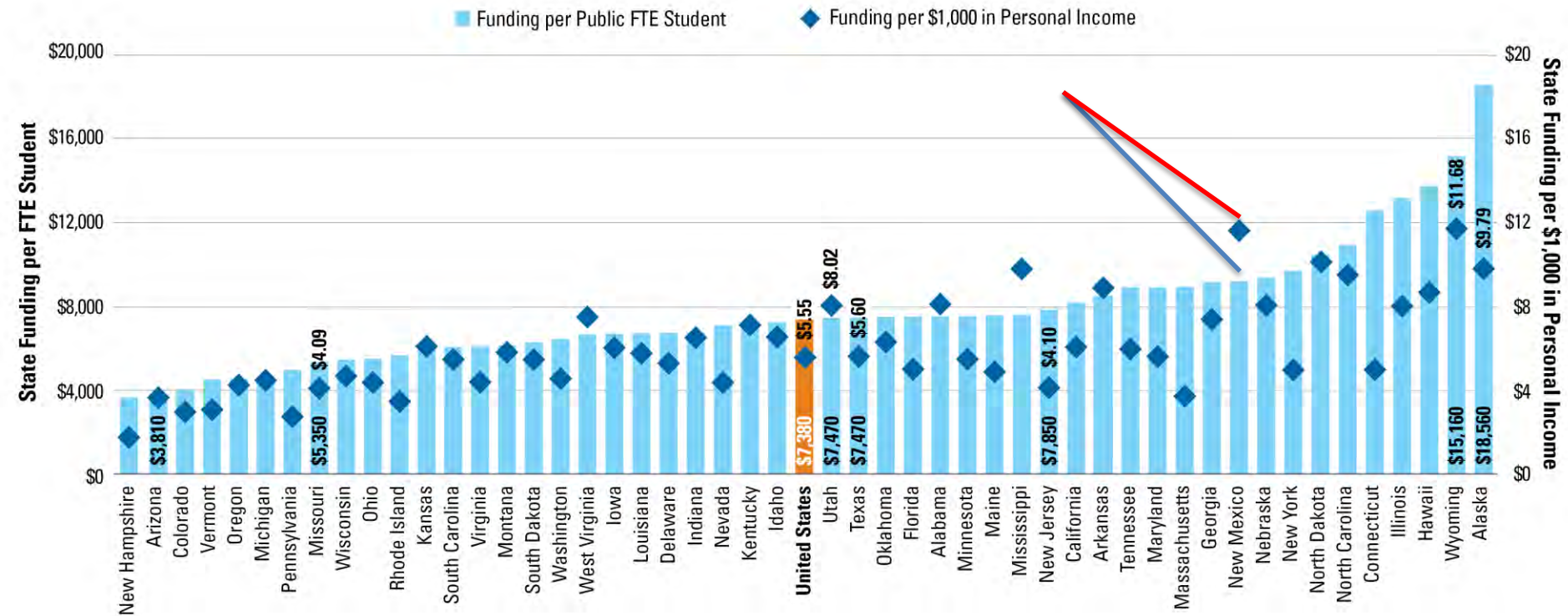
## Average Published and Net Prices in 2015 Dollars, Full-Time In-State Undergraduate Students at Public Four-Year Institutions, 1995-96 to 2015-16



SOURCE: The College Board, *Trends in College Pricing 2015*, Figure 12

# Office of the Provost

## State Funding for Higher Education per Student and per \$1,000 in Personal Income, by State, 2014-15



SOURCE: The College Board, *Trends in College Pricing 2015*, Figure 17B

# Office of the Provost

## Average Debt per Graduate by State

Money Magazine Oct. 27, 2015

### Lowest

Utah	\$18,921
New Mexico	\$18,969
Nevada	\$20,211
California	\$21,382
Arizona	\$22,609
Louisiana	\$23,025
Oklahoma	\$23,430
Wyoming	\$23,708
Hawaii	\$24,554
Washington	\$24,804

### Highest

Delaware	\$33,808
New Hampshire	\$33,410
Pennsylvania	\$33,264
Rhode Island	\$31,841
Minnesota	\$31,579
Maine	\$30,908
Connecticut	\$29,750
Iowa	\$29,732
Michigan	\$29,450
Alabama	\$29,425

# Office of the Provost

## Double Entry



*[Portrait of Luca Pacioli](#)*, attributed to [Jacopo de' Barbari](#), 1495, ([Museo di Capodimonte](#)).

# Office of the Provost

## Accounting 101-Double (Triple) Entry

Year	Debit (I&G+T+F) Millions	Credit (Degrees)	Graduation Rates 6-year
2008	330.1	4777	
2009	327.5	4649	
2010	327.4	5060	
2011	327.4	5161	45.1%
2012	353.6	5250	45.8%
2013	375.5	5620	48.2%
2014	386.2	5560	47.6%
2015			49.2%

# Office of the Provost

Grad Rates	2008 Cohort	2009	2010	2011	2012	2013	2014
4-year	15%	16%	17%	19%			
5-year	38%	40%	37%				
6-year	47%	49%					

Degrees	2008	2009	2010	2011	2012	2013	2014
Bachelors	3166	3132	3,350	3,379	3,493	3,736	3,664
Masters	1104	1012	1,190	1,255	1,231	1,308	1,265
Doctoral-Research	208	190	165	200	202	231	222
Doctoral-Professional	272	281	303	297	286	289	335



# Office of the Provost

## Faculty & Ratios

	2010	2011	2012	2013	2014	Average
Assistant Professor	189	187	237	261	251	225
Associate Professor	268	275	267	267	278	271
Instructor	7	5	3	4	4	5
Lecturer	114	111	131	134	141	126
Professor	332	322	309	317	318	319
<b>Grand Total</b>	<b>910</b>	<b>900</b>	<b>948</b>	<b>983</b>	<b>992</b>	<b>947</b>

Faculty	2010	2011	2012	2013	2014	Total Increase
TT	789	784	813	845	847	58
Lecturers	114	111	131	134	141	27

Ratio	2010	2011	2012	2013	2014	Change
UG/TT	26	26	27	26	24	-2
UG/fac	23	22	22	21	20	-3

# Office of the Provost

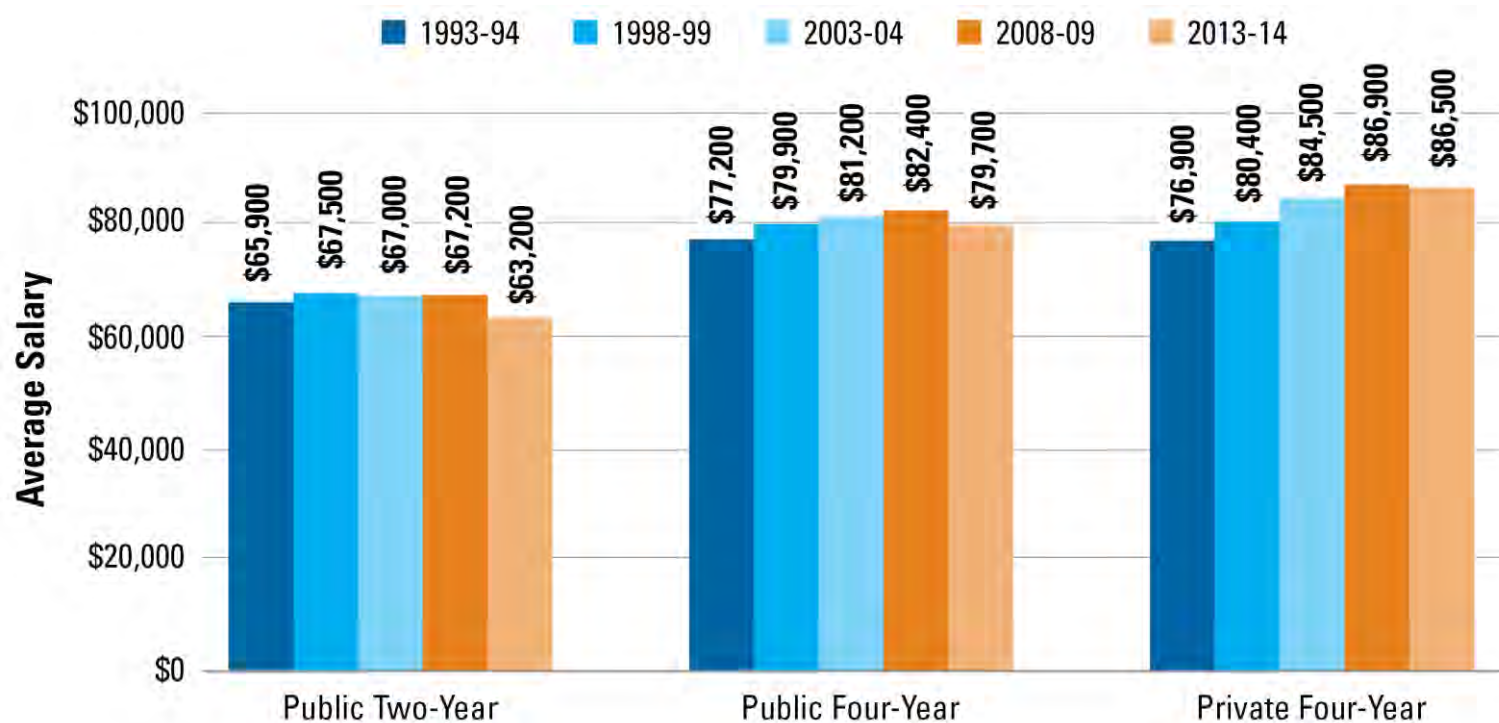
## Competing for Faculty

	UNM	RU/VH
Professors	\$114,779	\$141,387
Associate Professors	\$86,106	\$91,626
Assistant Professors	\$73,410	\$79,579

- UNM competes on a national market for talent (faculty and student). Our faculty hires come from Harvard, MIT, Stanford, Cornell, Columbia, Berkeley, Cal Tech, Juilliard, etc.
- We compete with the top public schools and some private schools for faculty hires and retention.

# Office of the Provost

## Average Faculty Salary in 2013 Dollars by Sector, 1993-94 to 2013-14, Selected Years



SOURCE: The College Board, *Trends in College Pricing 2015*, Figure 30A

## What Contributes to Faculty Strength (and happiness)?

- 1) **Collaborative Governance:** Faculty members play significant roles in decisions related to academic programs. Employees agree with statements like "Faculty, administration, and staff are meaningfully involved in institutional planning".
- 2) **Compensation and Benefits:** Pay is fair, and there is overall satisfaction with benefits. Employees agree with statements like "This institution's benefits meet my needs".
- 3) **Confidence in Senior Leadership:** Leaders have the knowledge, skills and experience necessary for the success of the college. Employees agree with statements like "Senior leadership provides a clear direction for this institution's future".

# Office of the Provost

4) **Diversity:** The college makes a concerted effort to create a welcoming and fair environment for all employees.

Employees agree with statements like "This institution has clear and effective procedures for dealing with discrimination".

5) **Facilities, Workspace & Security:** Facilities meet employees' needs, and the campus appearance is pleasing.

Employees agree with statements like "The institution takes reasonable steps to provide a safe and secure environment for the campus".

6) **Job Satisfaction:** There is an overall sense that the job is meaningful to the employee and to the college. Employees agree with statements like "My job makes good use of my skills and abilities".

# Office of the Provost

7) **Professional/Career-Development Programs:** Employees get the chance to develop skills and they understand their requirements for career advancement. They agree with statements like "Our orientation program prepares new faculty, administration, and staff to be effective."

8) **Respect and Appreciation:** Employees are regularly recognized for their contributions. Employees agree with statements like "Our recognition and awards programs are meaningful to me."

9) **Supervisor or Department-Chair Relationship:** Supervisors or chairs makes expectations clear and solicit ideas. Employees agree with statements like "I believe what I am told by my supervisor/department chair."



# Office of the Provost

10) **Teaching Environment:** Faculty members say the institution recognizes innovative and high-quality teaching. They agree with statements like "Teaching is appropriately recognized in the evaluation and promotion process."

11) **Tenure Clarity and Process:** Requirements for tenure are clear. Employees agree with statements like "Promotions in my department are based on a person's ability."

12) **Work/Life Balance:** College policies give employees the flexibility to manage their lives on the job and at home. Employees agree with statements like "My supervisor/department chair supports my efforts to balance my work and personal life."

## Rankings

Using one number (**such as graduates' earnings**) to rank a university is like a doctor using weight to compare various people without regard to their age, height, sex, family history, health, and genetics.

There are tens of rankings, and we rank well on some, not so on others.....

**Nevertheless.....**

# Office of the Provost

## Rankings

- US News ranked 1,365 universities. UNM ranked as 189<sup>th</sup> and 106<sup>th</sup> public university, and as the 65<sup>th</sup> best university for veterans.
- Some highly ranked programs: #10 in Clinical Law, 35<sup>th</sup> as primary care medical school, 3<sup>rd</sup> in rural medicine, 49<sup>th</sup> in Earth Sciences, 5<sup>th</sup> in photography, etc. **and 204<sup>th</sup> best global university** (from many thousands and ultimately about 750 ranked). This placed UNM ahead of University of Georgia, NC State, Northeastern, etc.
- Winner of 2011 US best teacher (**Professor Shepherd**), and recently, Dr. **Art Kauffman** was elected to the National Academy of Medicine. Professor **Alex Buium** (Math & Stats) was elected AMS fellow.



# Office of the Provost

## A Research University

UNM Ranked by the Carnegie Foundation as:

- Doctorate-granting University, RU/VH – Research University (**Very High Research Activity**) Only 66 such Public Universities in US.
- Only RU/VH in New Mexico
- 1 of 8 RU/VH in the southwest
- 1 of 4 RU/VH designated “Hispanic Serving”
- UNM Brings in \$300 Million/year in research expenditures from out of state sources.
- **But research costs!**



## Research Costs the University

Table 2. Higher education R&D expenditures, by source of funds: FYs 2010–2013

(Dollars in millions)

		Source of funds					
Fiscal year	All R&D expenditures	Federal government	State and local government	Institution funds	Business	Nonprofit organizations	All other sources
2010	61,257,398	37,477,100	3,853,183	11,940,837	3,198,278	3,740,169	1,047,831
2011	65,282,162	40,770,789	3,828,583	12,611,908	3,179,765	3,853,986	1,037,131
2012	65,744,254	40,151,011	3,695,353	13,634,941	3,272,372	4,021,574	969,003
2013	67,041,154	39,470,157	3,657,725	14,973,923	3,501,308	3,860,093	1,577,948

SOURCE: National Science Foundation, National Center for Science and Engineering Statistics, Higher Education Research and Development Survey.

Data from survey cycle FY 2013, as of 31 July 2014.

## But benefits the State and the students!

# Office of the Provost

Table 30. Higher education R&D expenditures at high-Hispanic-enrollment institutions, ranked by all R&D expenditures, by source of funds: FY 2013

(Dollars in thousands)								
Rank	Institution	All R&D expenditures	Federal government	State and local government	Institution funds	Business	Nonprofits	All other sources
	All HHE institutions	1,632,914	956,243	124,547	369,875	55,507	89,636	37,106
<b>1</b>	<b>UNM</b>	<b>227,703</b>	<b>158,057</b>	<b>2,604</b>	<b>54,996</b>	<b>4,675</b>	<b>6,193</b>	<b>1,178</b>
2	U. TX, Health Science Ctr., San Antonio	175,983	99,198	9,344	35,125	10,633	21,683	0
3	U. CA, Santa Cruz	150,777	91,002	3,419	28,041	8,872	15,296	4,147
4	NMSU	142,365	86,806	17,717	24,687	3,609	2,068	7,478
5	U. CA, Riverside	132,617	59,065	9,757	38,603	8,059	8,999	8,134





11.5.15

UNM Board of Regents Academic and  
Student Affairs and Research Committee



UNM

| *Global & National  
Security Policy Institute*

# Why have a conversation about global and national security in higher education?

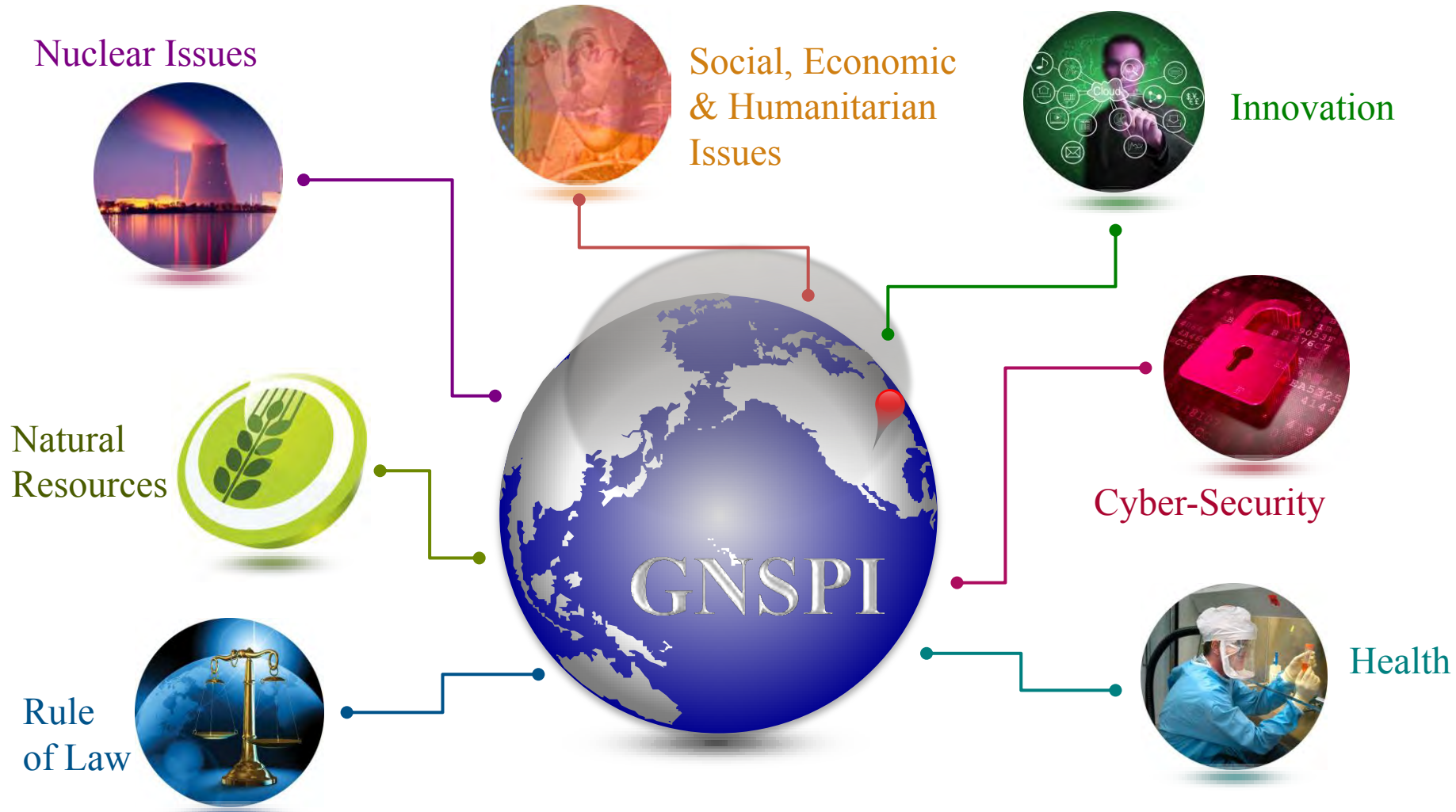


**Global and national security, broadly defined, in a rapidly changing world with interconnected economies and technologies is a fundamental concern in the 21st century**

- UNM rich programs in many disciplines related to national security
- Collaborative research with DOE national laboratories
- UNM is in a strong position to launch a coordinated educational and research national security program to train our future leaders and enhance our graduates competitive edge in the market place



# Global & National Security, Broadly Defined: An Interdisciplinary Model



# Key Recommendations

## Establish a UNM university-wide, sustainable, interdisciplinary Global and National Security Policy Institute (GNSPI)

- Enhance UNM standing across the country in National Security
- Help UNM compete for funding & institutionalize collaboration with the national labs, national security industry, and other academic institutions
- Report to UNM senior leadership

# Key Recommendations

## **Establish an interdisciplinary non-traditional, module-based, MA in Global and National Security**

- Long weekend team taught modules over 1-2 years
- Primarily students from the workforce
- Modules include international regimes, environmental security, nuclear policy, law, global, natural resources, health, human and cyber security

# Key Recommendations

- Establish an interdisciplinary undergraduate National Security Certificate (Already in Place)
- Establish an interdisciplinary graduate National Security Certificate (Preliminary Stages)



# Key Recommendations

## Positive Responses from New Mexico Scientific Community

- Sandia & Los Alamos national labs: Possible team teaching and joint hires
- Raytheon, Northrop-Grumman: Excited about hiring more UNM graduates & developing learning opportunities for their workforce

### Other Major Universities with National Security Programs:

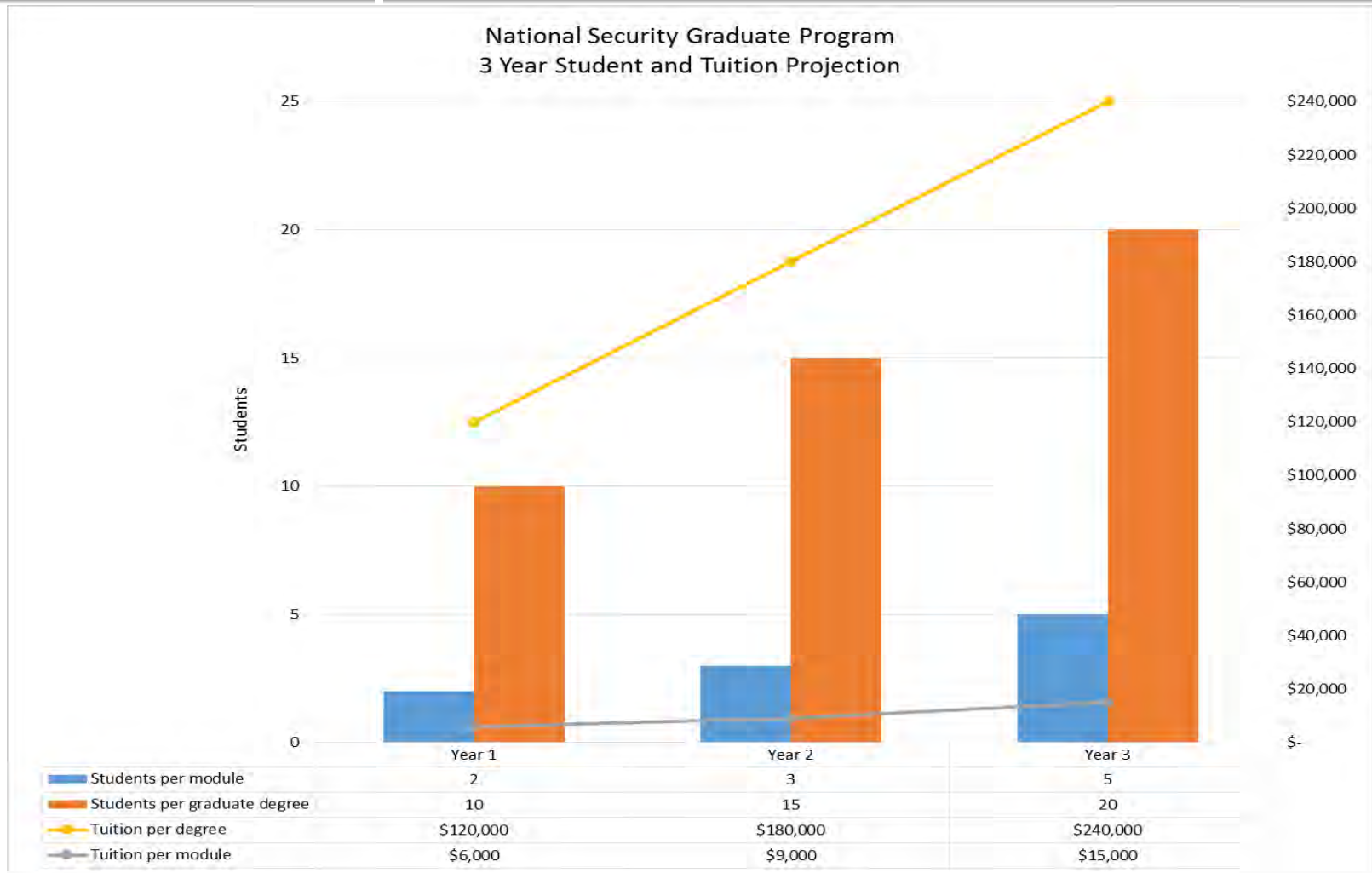
- East Coast: Harvard, MIT, Princeton, Tufts, Johns Hopkins, Georgetown, GW, etc.
- West Coast: Stanford, UCLA, Arizona, Colorado, Denver, etc.
- Others: Chicago, Illinois, Ohio, Georgia, Texas, etc.

# Projected Revenue and Expenses

	Year 1	Year 2	Year 3
<b>Revenue</b>			
<i>Tuition Revenue-</i>			
Per module	\$ 6,000	\$ 9,000	\$ 15,000
Per graduate degree	\$ 120,000	\$ 180,000	\$ 240,000
<i>Other Revenue-</i>			
UNM Subsidy	\$ 150,000	\$ 100,000	\$ 100,000
External Support	\$ 50,000	\$ 50,000	\$ 50,000
<b>Total Revenue</b>	<b>\$ 326,000</b>	<b>\$ 339,000</b>	<b>\$ 405,000</b>
<b>Expenses</b>			
<i>Salary Expense-</i>			
Faculty	\$ -	\$ -	\$ 100,000
Temporary Faculty	\$ 48,000	\$ 72,000	\$ 96,000
Director	\$ 50,000	\$ 50,000	\$ 50,000
Staff Support	\$ 40,000	\$ 40,000	\$ 40,000
Fringe Benefits	\$ 27,000	\$ 27,000	\$ 57,000
<i>Operating Expense-</i>			
Supplies	\$ 1,000	\$ 1,500	\$ 1,500
Equipment	\$ 3,000	\$ 4,000	\$ 5,000
Other (travel, taxes, etc.)	\$ 25,000	\$ 27,500	\$ 30,000
Administrative Overhead	\$ 12,600	\$ 18,900	\$ 25,500
<b>Total Expenses</b>	<b>\$ 206,600</b>	<b>\$ 240,900</b>	<b>\$ 405,000</b>
<b>Net</b>	<b>\$ 119,400</b>	<b>\$ 98,100</b>	<b>\$ -</b>

- Initial investment in GNSPI by UNM, national labs and national security business community
- Proposed tuition rates are comparable to UNM professional graduate programs and competitive to other National Security programs

# 3-year student enrollment and tuition projection



# Comments & Questions



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# National Security Report

Prepared for the  
UNM Board of Regents  
Academic and Student Affairs and Research Committee

by Dr. Emile Nakhleh  
Coordinator, UNM National Security Programs

11.5.15

**National Security Report**

**Submitted to  
Dr. Chaouki Abdallah  
Provost, University of New Mexico**

**Submitted by  
Dr. Emile Nakhleh  
Coordinator, UNM National Security Programs**

**June 30, 2015**



## **Key Recommendations**

- 1. Establish a UNM university-wide, sustainable, interdisciplinary Global and National Security Policy Institute (GNSPI), with its own brand, to be housed in the office of the UNM Provost.**
- 2. Establish an interdisciplinary Undergraduate National Security Certificate, along the lines of the existing National Security and Strategic Analysis (NSSA) Certificate, approved by the Faculty and Regents in 2014 and currently housed in University College.**
- 3. Establish an interdisciplinary Graduate National Security Certificate, to be housed in the Graduate Studies Office.**
- 4. Establish an interdisciplinary, non-traditional (long weekend modules) MA in National Security, to be housed in the Graduate Studies Office.**

## **Background**

Following a series of discussions with the UNM Provost Chaouki Abdallah and Associate Provost Greg Heileman in the fall of 2014 about the rich, albeit discrete, national security programs offered at UNM, the Provost appointed me to explore UNM programs, courses, research, and projects, which could relate to national security, broadly defined, and recommend whether they should be placed under a broad umbrella with its own brand. The appointment was prompted by the fact that UNM offers a wealth of programs and courses related to national security, including international relations, foreign policy, public policy, the humanities, social sciences, engineering, computer science, cyber security, management, technology, leadership, human geography, health sciences, law, conflict and conflict resolution, and political economy.

Given the strength and breadth of the UNM existing programs in this area, the diversity of our students, and the collaborative research with the national labs—particularly Sandia and Los Alamos—UNM, as the flagship institution of higher education in New Mexico, is in a strong position to launch coordinated educational and research programs that would be integral to our nation's physical, human, and cyber security. Such programs would promote the development of fundamental theories, advanced analysis, and novel methods and technologies, as well as provide our students and non-traditional students from the workforce (the national labs and national security corporations, including, among others, Raytheon, Northrop Grumman, and Applied Research Associates) with the knowledge, skills, and opportunities necessary to successfully compete for careers in national security. Furthermore, the diversity of the UNM student body will bring to the national security mix language and cultural expertise and understanding, which would help our future leaders better interact with leaders from other cultures and societies.

After I was appointed in November to coordinate these programs, I held a series of individual meetings with UNM academic leaders, ranging from President Bob Frank to deans, department chairs, professors, and program directors. As a Senior Adviser to the National Security Studies Program, together with Jim Tegnalia, I held several meetings with the NSSP director, Frank Gilfeather, and members of the NSSP advisory committee. I also met with Regent Brad Hosmer and with the Chancellor of the UNM School of Medicine, Paul Roth. By early January 2015, I had met with every dean and department chair. A vast majority of the UNM academic leaders I met were enthused about the initiative, and several said, “How come you waited so long?” Once “national security” was explained as a much wider area of research and teaching than intelligence, many began to view the initiative as win-win for the students, the faculty, and the university as a whole.

## **UNM National Security Committee**

Following the myriad of meetings, which constituted the first stage of the initiative, I recommended to the Provost to appoint a high-level committee that would represent the entire university—School of Medicine, School of Law, Anderson School of Management, School of Engineering, and College of Arts & Sciences. The UNM National Security Committee, which the Provost appointed in January 2015, consisted of one Dean, one Associate Dean, six department chairs, and five professors. I chaired the committee and moderated its meetings. Half way in the semester, Bob Miller, Chair of the Biology Department, was replaced by Professor Dave Hanson (Appendix I) The committee met bi-weekly on Fridays from late January until late June. Toward the end, we also met with five representatives from Sandia National Laboratories, Raytheon, Northrop Grumman Corporation, and Applied Research Associates (ARA).

The Committee was given the following tasks:

- Identify the national security-related courses and programs in different departments and colleges that students could take in addition to their discipline majors as a certificate or a minor. Once a student takes some of these courses, on the undergraduate or graduate level and fulfill their Certificate or minor requirements, a Certificate or a minor in national security would be so indicated on the student's degree. The national security program should be interdisciplinary.
- Recommend a name and a brand of the umbrella entity and how to identify it. What is important is that such an entity should be university-wide—Arts & Sciences, Engineering, Anderson, Law, and Health Services—and should not be identified with any one department, college, or discipline.
- Recommend where such an entity should be housed. Again, the housing of

the national security entity should signal to the UNM community that it is a university entity that transcends existing stovepipes.

- Explore the possibility of establishing a non-traditional Masters degree in National Security, which would be offered to students from the New Mexico labs, national security-oriented corporations, and State and Federal Government offices in the area. Regular UNM students could also enroll in this degree program. The UNM Executive MBA degree might offer a useful model for the proposed Masters in national security.

### **Guest Reactions**

As the committee meetings were winding down, we invited senior representatives from Sandia National Labs and the national security community in Albuquerque to hear their views on the UNM national security initiative. In response to our presentation about the establishment of a national security program at UNM (Institute, certificates, minors, and a non-traditional masters degree), the representatives from Sandia, Raytheon, Northrop Grumman, and ARA generally endorsed the UNM approach and made several important points.

- They strongly supported the UNM national security initiative and the establishment of a National Security Institute at UNM and would be happy to serve on its Advisory Board.
- They thought UNM with its rich programs across different disciplines and colleges and its proximity to the national labs could over time become nationally known as a university with a recognized national security program.
- They were excited at the prospect of hiring more UNM students trained in this program and of sending more of their employees to study at UNM national security programs, especially at the masters degree level.
- They supported the establishment of a non-traditional masters degree in national security, broadly defined, that would consist primarily of a series of long weekend concentrated modules in different fields. They look to these modules to provide their employees with a broader context in policy, law, the humanities, and social sciences, which would enhance their employees' understanding of the cultures and leadership decision-making in countries they interact with. They thought a series of graduate interdisciplinary modules over one-two years, offered across long weekends, with commensurate number of graduate credit hours, should satisfy the requirements of a professional masters degree in national security. They liked the idea of having some of their professionals team-teach some of these modules with UNM faculty.

- They emphasized the need for a sustained institutional commitment to the national security initiative—administratively and financially. A “branded” entity, such as MIT Seminar XX1, would differentiate UNM from other schools by what it plans to offer in national security, broadly defined. By emphasizing nuclear technology, policy, treaties, and laws, for example, and highlighting its proximity to the national labs (Sandia, Los Alamos, and the Air Force Research Lab), the UNM national security programs would become more nationally known and more attractive to students from out of state.
- They recommended that the program be friendly to professional workers and aim at helping these professionals understand government and international policies and cultures related to defense businesses. They believed that continuing education, intellectual stimulation, and broadening thinking aspects are key to working professionals at the labs and other defense industries.
- In a recent email, a senior representative from Northrop Grumman made several key points about the UNM national security initiative: a) “The potential for UNM is very exciting and will ultimately move the University into a new level of expertise that meets Industry’s needs;” b) Although “many institutions provide basic technical and engineering skills, few give graduating students insights into the geopolitical, economical and international perspectives, and how they relate to the products that we develop;” c) “Northrop Grumman believes that the technical solution to a problem is just a part of the way forward on providing our customers high quality products or services;” and d) “Success completion of your goals will certainly better prepare UNM students to allow them to quickly integrate themselves into our various complex programs.”

## **Establishment of a Global and National Security Policy Institute at UNM**

### **Rationale**

UNM offers a wealth of programs and courses related to national security, including in health sciences, law, technology management, engineering, biology, computer science, foreign policy, public policy, the humanities, social sciences, leadership, human geography, anthropology, and political economy. Given the strength and breadth of these programs, the diversity of UNM students, and the collaborative research with DOE national labs, UNM is in a strong position to launch a coordinated educational and research initiative that could contribute to the nation’s physical, human, and cyber security.

- The GNSPI will provide UNM traditional and non-traditional students with the knowledge, skills, and opportunities necessary to successfully compete

for careers in national security, broadly defined. Certificates, minors, and degrees in national security would enhance our students' competitive edge in seeking employment in government and in the private sector. The envisioned national security architecture would also make UNM more known nationally and more competitive for national and international research, teaching, and training grants.

- In response to comments from the national security community, the name and brand of the envisioned Institute should reflect an organic connection between domestic and global national security policy, issues and concerns. This should give the Institute flexibility of course content and modes of delivery and would not limit the study of security only to nation-states but to non-state actors, non-governmental organizations, communities, different cultures, As the United States interacts with other nations, and as American educational, scientific, and national security corporations reach out to the rest of the world, a global national security institute at UNM would be the right vehicle to bring UNM into the national security field while taking into consideration global normative, social, economic, technological, and cultural and political change.

## **Scope and Mission**

To succeed, the Global and National Security Policy Institute must have its own “brand” to identify it as a national security entity within the State of New Mexico and nationally and at the same time differentiate it from other institutions. The UNM Institute’s proximity to DOE national labs with their emphasis on nuclear matters—both technical and policy aspects—should help it forge a deep and recurring relationship with the national security community, which would help in the training and employment of its graduates and in attracting non-traditional student and faculty from the local community and nationally. The GNSPI must also have a sustained, institutional commitment by UNM and its partners to national security in research, teaching, education, and training. This initiative is a win-win for UNM students, faculty, and the institution as a whole; it will certainly help nurture a deeper, long-term partnership between UNM, the labs, and the national security business community. Geographic proximity and commonality of purpose underscore the natural foundation of this collaboration. Although UNM colleges, schools, and departments will continue to be responsible for the quality and integrity of the courses and programs, which would fulfill the requirements of the national security undergraduate and graduate concentrations, minors, and degrees, the GNSPI will coordinate and streamline these programs and connect them to potential research and training funding sources. As things presently stand, students outside specific departments that offer national security related programs are not readily aware of them and do not benefit sufficiently from them.

- The GNSPI’s “value added” lies in its ability to bring together all the national security-related courses and programs in a coherent whole under a national security brand, which would be of value to the entire institution. Working with appropriate departments, the GNSPI will make sure these courses and programs are interdisciplinary in content and approach, combining the sciences, the legal and business environment, the social sciences, and the humanities, especially, languages, cultural values, and historical narratives. As such, the GNSPI is uniquely situated to oversee the interdisciplinary nature of course offerings and to streamline them for the benefit of the UNM community.
- This collaboration would allow UNM faculty and lab scientists and technology experts to team-teach graduate modules in specific fields, including, for example, non-proliferation policy, international agreements, social and cultural policies, technology transfer and management, and law.
- The DNI-funded National Security Studies Program (NSSP) would be housed in the GNSPI and would work jointly with the new Institute to make the current and envisioned national security certificate and minor available to students. In conjunction with other departments and schools, the GNSPI will work directly and cooperatively with other national security-related degree programs—for example, cyber security, information assurance, law, health, and food and water resources.
- The GNSPI will work jointly with other UNM entities and leaders in leading the UNM deepening relationship, including at the managerial level, with the national labs, the Department of energy, and other federal and state government departments focusing on national security.
- The GNSPI will be the formal entity within the University that projects UNM to the State of New Mexico and to the rest of the country as an institution of higher learning with national security programs and expertise whose graduates are qualified to compete for national security positions in government, the labs, and the private sector.

## **Operational Principles**

The UNM national security program would be grounded in partnering across the UNM campuses, schools, and departments beyond the constraints of stove piping and turf, and in employing an interdisciplinary approach and collaborative research methodologies. Creative complementarities, not debilitating competitiveness, would guide the UNM approach to national security, which would benefit current students and attract new students—both traditional students as well as students from the workforce.



- The diversity of the UNM student body should bring to the national security mix, in addition to scientific expertise and advanced research and analytics, language and cultural understanding, which would help our future leaders better interact with leaders from other cultures and societies.
- The GNSPI would foster an environment for experts from UNM, the national labs, and the private sector to participate as students and teachers in uniquely designed learning graduate modules, which would expand the horizons and contexts in which our scientists and future leaders operate.
- This collaborative environment, in addition, would encourage students and researchers to analyze the rising and ever changing national security threats and examine national workforce needs in the areas of security policy, legal environment, health sciences, cyber security and intelligence collections and analysis. It would advance the development of fundamental theories, advanced analysis, and new methods and technologies.

## **Administration**

A senior director with faculty status and an administrative assistant would manage the GNSPI. It would also have a high-level Advisory Board consisting of senior representatives from UNM, the national labs, and the national security corporations in Albuquerque and the wider New Mexico community. The Advisory Board would be assisted by a "Coordinating Committee" of faculty and outside representatives to help design graduate certificates and modules for a non-traditional masters degree in national security. The leadership role of the "Founding Director" will be critical to the success (or failure) of the Institute. The budget would cover the expenses of the director and the administrative assistant.

- It is imperative that at least initially the GNSPI be housed somewhere on the "Seventh Floor," and report to the Office of the Provost, perhaps under the direction of one of the Provost's key associates. Ultimately the Provost might decide to move the Institute to a new UNM-wide yet to be created. The central point here is that the Institute should have the imprimatur of the President, the Provost, and Chancellor of the Medical School and Health Sciences, and that it should be viewed as a UNM entity above stove pipes and departments, and not part of any specific department, school, or college.

As an expression of this envisioned long-term partnership, the University, the labs, and the national security business community would be called on to collectively provide the necessary resources (seed money) to establish the GNSPI and its certificate and degree programs. Once the University makes a budgetary commitment to the Institute, it is hoped the outside national security community would match it. Although most of the courses are already being provided at the university, the necessary expenses for the first three years (director, assistant,

instructional support, advertisement, community meetings, grant-seeking administrative support, etc.) would total approximately \$400,000 by year 3. Student tuition should generate enough income to defray most of these costs. For example, six students have already earned the national security undergraduate certificate in the first year. We expect the number to rise to 10-15 per year. Similar or greater numbers would be expected for a graduate certificate with revenues more than covering expected added costs.

Once established, the envisioned non-traditional masters degree in national security should attract a good number. The table below illustrates the projected income and expenses during the first three years of the program.

	Year 1	Year 2	Year 3
<b>Revenue</b>			
<i>Tuition Revenue-</i>			
Per module	\$ 6,000	\$ 9,000	\$ 15,000
Per graduate degree	\$ 120,000	\$ 180,000	\$ 240,000
<i>Other Revenue-</i>			
UNM Subsidy	\$ 150,000	\$ 100,000	\$ 100,000
External Support	\$ 50,000	\$ 50,000	\$ 50,000
<b>Total Revenue</b>	<b>\$ 326,000</b>	<b>\$ 339,000</b>	<b>\$ 405,000</b>
<b>Expenses</b>			
<i>Salary Expense-</i>			
Faculty	\$ -	\$ -	\$ 100,000
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Administrative Overhead	\$ 12,600	\$ 18,900	\$ 25,500
<b>Total Expenses</b>	<b>\$ 206,600</b>	<b>\$ 240,900</b>	<b>\$ 405,000</b>
<b>Net</b>	<b>\$ 119,400</b>	<b>\$ 98,100</b>	<b>\$ -</b>

Once the GNSPI is established and becomes self-sustained, it would work closely with UNM schools and departments, and with the labs and the national security community, to apply for research and educational grants and to have joint faculty hires in national security. This could lead down the road to hiring full-time faculty in national security in different fields of specialization, in cooperation with departments and colleges across campus.

- The Advisory Board and the Coordinating Committee would assist the director and administrative assistant in working closely with UNM colleges, schools, and departments to manage the undergraduate and graduate certificates and minors and other national security programs as well as develop and supervise a masters degree in national security, broadly defined. The GNSPI will also work with the New Mexico national security business community, the State of New Mexico, and the federal government to secure research and educational grants.

## **Undergraduate National Security Certificate**

The interdisciplinary Undergraduate National Security Certificate (UNSC) is expected to deepen students' expertise and competitive edge in seeking employment upon graduation. It may be earned by successful completion of a prescribed program of study as described in Appendix II below for students also earning an undergraduate degree at UNM. The certificate, which is currently housed in University College, is designed to provide specific knowledge and competencies to complement and extend the student's undergraduate degree and to provide exposure to a range of topics in the interdisciplinary field of national security and strategic analysis. Those competencies include knowledge of international policy and global cultural contexts, proficiency with analytical tools, and the ability to apply both in practice. The capstone course involves a demonstration of competency by the student through a coherent and critical analysis activity and academic paper based on their individual academic path and range of classes. Until the GNSPI is established, the current NSSA certificate and the proposed UNSC will continue to be supervised by Professor Frank Gilfeather and offered out of University College (National Security Studies Program, 3019 Mesa Vista Hall; e-mail: [gilfeath@unm.edu](mailto:gilfeath@unm.edu)). If a minor in national security is adopted, it too will remain in University College until the GNSPI is established.

## **Graduate National Security Certificate**

During the first year of its existence, the GNSPI's Advisory Board and Coordinating Committee are expected to finalize the work on a graduate certificate in national security. Such a certificate will initially be housed in the office of Graduate Studies.

Two types of Certificate programs could be developed. The first, and easiest to accomplish, would be an ***add-on program*** designed to give graduate students in established disciplines additional training that would prepare them for work in national security related positions. Coursework would cover topics such as international regimes and systems governing finance, banking, trade, technology, and security cooperation; international conflict and conflict resolution; civil wars and terrorism; comparative politics, law, and history; and foreign languages and cultures. The goal would be to provide students in technical fields, as well as those

in the humanities and social sciences, with a solid understanding of the contexts in which national security threats and countermeasures develop, as well as techniques for analysis of risk and policy effectiveness.

A second type of certificate program would be a ***stand alone certificate*** aimed at enhancing the skill sets of established professionals in technical, defense related fields, who need a broader understanding of international and comparative political factors, policy-making processes, and social-scientific analytical techniques that relate to the need for, and management and impact of, technologies. This would serve a constituency similar to that of a potential masters degree program, but with lesser requirements in terms of hours of coursework. To serve the intended audience, this certificate would need to be delivered to the extent possible through evening and weekend offerings, perhaps supplemented to a limited degree by online offerings. Program design would stress interdisciplinary approaches.

## **Masters Degree in National Security**

Representatives from national laboratories and defense industries in New Mexico have expressed strong interest in a masters degree that would prepare personnel who already hold advanced degrees in engineering and physical sciences fields to have a stronger understanding of the broader strategic, political/institutional, and cultural contexts in which defense, security, and technology policies are made, implemented, and have effects. Because many of the scientists and engineers who need this training are employed full-time, there is particular interest in a delivery format that is minimally disruptive of regular work obligations, perhaps following the model of the Anderson School of Management's Executive MBA program. That format concentrates classroom time over a limited number of very intensive long weekends, with home assignments in between, and is therefore more feasible for students holding regular professional positions. The committee is mindful of the time required for the review and approval process for new degrees at UNM. We note with interest the existence of an "International Security and Foreign Relations" substantive specialty within the Master of Public Policy program that already is in the final stages of state-level review, and to which the MPP program hopes to begin admitting students for August 2016. Discussions will need to be held with MPP leadership to determine whether an "executive" format—or at least steps in that direction--could be developed, and if so what the resource and program design requirements would be.

Pending the implementation of a specialized or adapted graduate degree program in national security analysis, the stand-alone certificate program described above could be an initial step, providing a more limited package of coursework related to international and comparative politics, international law, technology and policy, and comparative international history and culture.

Both the certificate and degree programs could be well served by development of interdisciplinary modules that draw on multiple perspectives to address such issues as international systemic risks, impact and management of technological change, and the interface of institutions and cultures.

Once established, the Institute's Advisory Board and Coordinating Committee would develop the national security graduate certificate and the masters degree program in cooperation with UNM schools and department and with the national security labs and industry.

The non-traditional masters degree in national security will incorporate a series of modules delivered in one-two years across long weekends (Wednesday-Saturday or Thursday-Sunday). Following are a few examples of such modules:

**International Regimes of Innovation:** Offered by the Finance, International, Technology, and Entrepreneurship (FITE) Department, this module would focus on international competitiveness as a basis for economic and, therefore, national security. Competitiveness has elements of technology development and innovation, infrastructure in all of its forms, financial capabilities to develop and execute such activities and many other interrelated factors. The module will cover:

a) International regimes of innovation and resultant economic activities; b) technology, R&D and other contributions to innovation in civilian and military products and services; c) international agreements and cooperation and their effect on competitive activities; d) financial systems and their effect on economic and national security and on competitive activities; and e) other related areas.

**International Regimes:** Somewhat overlaps with the above module, but without the emphasis on innovation, this module would focus on international interactions that take place under the frameworks of rules, institutions, regulatory frameworks, and accepted practices that are referred to in the aggregate as international regimes. Regimes combine elements of international law, international organization, norms, and administrative and bureaucratic systems. Often multiple regimes have bearing on a given set of issues and interactions. This module would require faculty contributions from law, political science, management, economics, and possibly other departments.

**Environmental Security:** Only recently have US agencies begun to take seriously the importance of environmental factors, including climate change, in shaping national security. This module would combine contributions from Earth and Planetary Sciences, Political Science, Economics, and Geography and Environmental Studies to assess the scope of challenges to human and economic security, as well as risks of conflict, associated with environmental stresses. Topics would include the extent or projected climate, physical, and ecological changes; economics of climate change impacts, adaptation, and mitigation; scope of population displacements; infrastructural requirements of climate adaptation; and empirical analysis of the impact of environment on civil and international conflict.

**Nuclear Policy and How the Legislative and Executive Branches Function:** Most graduates of UNM and most New Mexico employees have a scant knowledge of how Washington works. Some courses on how the executive and the legislative branches function would be good for both undergraduates and graduates as well as employees of the high tech community might be interested. This module should help explain nuclear policy for technical people who are employed in the labs and the national security community.

**The Rule of Law:** This module would explore the domestic and international legal constraints on nations and non-state actors during times of war or crises. Topics would include: constitutional law (such as the authorities assigned to the branches of the federal government over foreign affairs), criminal law (such as the essential elements of criminal offenses, including terrorism), national security law (such as the authority of the Executive and the role of the judiciary in times of war), international law (such as the war crimes and genocide), international human rights (such as protections for refugees and minority groups), and domestic preparedness (such as the roles of federal and state agencies in the event of a natural or man-made disaster).

**Global Health and Human Security:** This module combines the diverse fields of public health and preventive medicine, environmental studies and international law in exploring the challenges of population health in globalized world settings. Topics include bioterrorism, pandemic preparedness, epidemiological surveillance of emerging infectious diseases, non-communicable and neglected tropical diseases, social determinants of health, structural violence and the critical roles of governments, business and non-profit organizations in providing transformative leadership.

**Emergency Preparedness for Mid-Level Managers:** This module provides an overview of the dynamic world of natural and human generated disasters. Course material covers the various phases of the disaster cycle, ranging from the pre-event phase through the post-impact emergency response and longer-term recovery periods. Topics include the phases of emergency management; governance and organizational structure, disaster theory, case study of historical disasters, humanitarian assistance and the roles of military, social and economic dimensions of disasters, vulnerability, risk and protective factors, mitigation and environmentalism.

**Thinking Ahead for Emergency Response:** This module leads learners through the process of analyzing and assessing data frameworks and their usefulness in the immediate aftermath of natural or human generated disasters. Course material addresses data complexity, data accessibility, integration of environmental and infrastructural data at different scales, and the variability of data needs in dynamic and time-sensitive contexts. As a case study project, learners focus on a hypothetical



disaster scenario and assess the existing data frameworks that are currently available to emergency response teams within a given spatial extent. After completing this analysis, learners additionally conceptualize a framework for data collection, coordination and sharing that would improve response times and/or decision-making.

**Homeland Security and Global Problems:** This module provides learners with a broad, up-to-date and interdisciplinary overview of health and human security in the 21<sup>st</sup> century. Course materials cover making connections to world issues of inequality, work and trade, gender and family, access and success in education, crime, war and states of terror, democracy and human rights, ethnicity and religion, ecology, sustainability and urbanization, poverty and population health, technology and energy.

**Fundamentals of Cybersecurity:** This module covers the fundamental concepts associated with assuring the security of networked computing systems. Key security building blocks including authentication, authorization, encryption and public key infrastructure will be introduced. It also considers the differences between threats and vulnerabilities, and provides a categorization of cybersecurity attacks. Key industry and governmental security standards will be presented, and fundamental principles associated with securing a system will be articulated. Finally, the module will consider how emerging technologies impact the design and implementation of security system architectures.

**Data Science:** This course provides an overview of the key concepts associated with data science. Students will learn how to analyze data in order to gain insights and support data-informed decisionmaking. First, a background on data modeling and ingestion will be provided. This will include data “munging”, that is, the cleaning, sampling, and manipulation of raw data in order to prepare it for analyses. The module will also discuss data structures and database systems that support data analytics over large data sets and statistical analyses, regression, classification and prediction as applied to big data. Finally, the module will consider effective means for presenting analytics results, including discussion of data visualization, dashboards and visual analytics architectures.

**Understanding Resource Conflict:** This module focuses on key concepts in natural resource management, highlighting historical and contemporary case studies of resource-based conflict. Topics include: paradigms for understanding the human-environment relationship, scales of environmental governance, the special complexity of water as a fluid resource, resource dependence, the “resource curse,” intersections of political systems with resource control, and predicted scenarios for various natural resource futures including climate change.

## **Appendix I: Committee Members**

1	Steve Burd	Professor	Anderson
2	Jim Cheek	Professor	Health Sciences
3	Christos Christodoulou	Associate Dean	Engineering
4	Michalis Faloutsos	Chair	Computer Science
5	Kate Krause	Dean	Honors
6	Maria Lane	Chair	Geography & Env Studies
7	Alex Lubin	Chair	American Studies
8	Rob Miller/Dave Hanson	Chair, Professor	Biology, Biology
9	Walter Putnam	Chair	Modern Languages
10	Dawinder (Dave) Sidhu	Professor	Law
11	Bill Stanley	Chair	Political Science
12	Jim Tegnalia	Senior Adviser	NSSP
13	Emile Nakhleh	Coordinator and Moderator	

## **Appendix II: Undergraduate National Security and Strategic Analysis Certificate Requirements (Courses from UNM Catalog)**

Undergraduate national security certificates may be earned by successful completion of a prescribed program of study as described below for students also earning an undergraduate degree at UNM.

### **Application to the Program**

Students interested in the NSSA or UNSC Undergraduate National Security Certificate program must complete the application found at [nssp.unm.edu](http://nssp.unm.edu) and be accepted prior to enrolling in the gateway course, Introduction to National Security and Strategic Analysis (LAIS 309). Coursework earned prior to admission to the Certificate program will count toward Certificate requirements, if the coursework meets other Certificate requirements as described below. A new requirement: Philosophy 156: Reasoning and Critical Thinking is a prerequisite for entry into the program.

A student's program of studies must satisfy the following requirements and be pre-approved by the NSSP Faculty Committee one year prior to graduation. Students must complete one of the tracks described below or a pre-approved course of study.

An approval form is available on line and must be submitted to the NSSP office Mesa

Vista 3019 before the end of the semester in which the student is enrolled in Introduction to National Security and Strategic Analysis. Address questions to the NSSP Program Director, Professor Frank Gilfeather.

To earn the Undergraduate National Security Certificate, the student must:

1. Complete or have completed a baccalaureate degree at UNM.
2. Take a 3-credit course, Introduction to National Security and Strategic Analysis, or a pre-approved alternate course.
3. Take 9 credit hours of classes in groups A and B below with at least 3 credits from each group.
  - Group A - Political/Social Analysis
  - Group B - Quantitative Analysis
  - See additional discussion below in Courses in Group A and B for each approved track.
4. Complete a field analysis or research analysis project related to national security, strategic analysis or intelligence analysis as at least a 2-credit independent study course. Complete either a or b below as part of this requirement.
  - a. An analysis paper based on work in an approved internship or
  - b. An analysis paper based on an independent and faculty directed research project.
5. Take at least 3 semesters of a foreign language or demonstrate equivalent competency in a foreign language, or three additional courses in Group B.

### **Shared Credit Hours between Undergraduate Certificates and Degrees**

As long as courses taken for the NSSA/UNSC certificate fall within the prescribed time limits for an undergraduate degree, the University allows shared course work between undergraduate certificates and a baccalaureate degree. If the student completes the certificate in conjunction with an undergraduate degree program, the student may use courses from the certificate course work toward an undergraduate degree as long as the courses are approved as part of the degree and as part of the Certificate.

### **Courses in Group A and B**

Courses are not offered each year and some courses are topics or seminar courses. For topics and seminar courses, the National Security Faculty Committee requires approval of a specific topic. Other courses can substitute for these courses upon approval of the student's program by the committee. To encourage an interdisciplinary approach, at most 3 credits per department are allowed in each of

Group A and B. Only one course can be taken at the 100-200 level. Students need to be aware that many courses require one or more prerequisites, which may or may not count towards the Certificate, thus effectively increasing the credit hours needed to earn the Certificate.

## **TRACKS**

### **Health Security** (infectious disease, human bioterrorism)

- Intro, capstone and languages courses (see 2, 4, and 5 above)
- Group A: All courses below followed with HS
- Group B: All courses below followed with HS

### **Resource Security** (water, climate)

- Intro, capstone and languages courses (see 2, 4, and 5 above)
- Group A: All courses below followed with RS
- Group B: All courses below followed with RS

### **Energy and Food Security** (crop security, sustainability, agricultural terrorism)

- Intro, capstone and languages courses (see 2, 4, and 5 above)
- Group A: All courses below followed with EFS
- Group B: All courses below followed with EFS

Other tracks should be included in policy/international relations; humanities; technology transfer and management

### **Group A:**

#### AMST American Studies

309 T: Globalization and Social Movements (HS, RS, EFS)

American foreign Policy and the Middle East (course number and title?)

#### BIOL Biology

405 Ecosystem Dynamics (HS, RS, EFS)

419 T: Global Change Biology (HS, RS, EFS)

419 Topics in Interdisciplinary Science (requires approval per topic) (HS, RS, EFS)

#### SUST Sustainability

134 Creating a Sustainable Future: Intro to Environment, Social, and Econ Health

434 Synthesis of Sustainability Perspectives and Innovations (RS, EFS)

#### CE Civil Engineering

491 ST: Sustainability Engineering (RS, EFS)

#### EPS Earth and Planetary Science

436 Climate Dynamics (HS, RS, EFS)

#### GEOG Geography

352 Global Climate Change (HS, RS, EFS) (Also offered as EPS 352)

461/561 Environmental Management (HS, RS, EFS)

- 464/564 Food and Natural Resources (HS, RS, EFS)
- 466/566 The City as Human Environment (Also offered as EPS 352) (HS, EFS)
- ECON Economics
  - 421 Latin American Economics (HS, RS, EFS)
  - 423 Topics in Latin American Development (HS, RS, EFS)
  - 424 International Trade (RS, EFS)
  - 429 International Finance (RS, EFS)
- ANTH Anthropology
  - 339 Human Rights (HS, RS, EFS)
  - 340 T: Conservation, Environment & Indigenous People (HS, RS, EFS)
- AFST Africana Studies
  - 397 T: Global Health Policy (HS, EFS)
  - 397 T: Philosophy of Islamic Law (HS, RS, EFS)
- HIST History
  - 428 Women, War and Revolution (HS, RS, EFS)
  - 473 Indigenous Peoples of Latin America (HS, RS, EFS)
  - 350 Modern U.S. Military History, 1900 to Present (HS)
- CJ Communication and Journalism
  - 314 Intercultural Communications (HS, RS, EFS)
  - 317 International Cultural Conflict and Community Building (HS, RS, EFS)
  - 334 Political Communication (HS, RS, EFS)
- SOC Sociology
  - 461 Social Dynamic of Global Change (HS, RS, EFS)
- SOC 221: Documenting Globalization and Human Rights [Global Issues]
- SOC 306: Peace and Conflict
- SOC 307: Nonviolent Alternatives
- SOC 331: Social Movements
- MGMT Business/Management
  - 328 International Management (RS, EFS)
  - 420 Management in Latin America (RS, EFS)
  - 421 International Entrepreneurship (RS, EFS)
  - 422 Mexican Economy Markets (RS, EFS)
  - 474 International Financial Mgmt
- ME Mechanical Engineering
  - 217 Energy, Environment and Society (RS, EFS)
- POLS Political Science
  - 240 International Politics (HS, RS, EFS)
  - 340 Topics in International Politics. (HS, RS, EFS)
  - 341 International Conflict and Cooperation. (HS, RS, EFS)
  - 342 American Foreign Policy (HS, RS, EFS)
  - 346 International Political Economy (HS, RS, EFS)
  - 355 Central American Politics (HS, RS, EFS)
  - 356 Political Development in Latin America (HS, RS, EFS)
  - 357 Russian and Eurasian Government and Politics (HS, RS, EFS)
  - 329 Introduction to African Politics (HS, RS, EFS)
  - 340 Topics: International Organizations (HS, RS, EFS)

340 Topics: Insurgency (HS, RS, EFS)  
442 International Peacekeeping and Conflict Resolution (HS, RS, EFS)  
443 International Politics of Climate Change (HS, RS, EFS)  
496 Seminar: International Relations (HS, RS, EFS)

NVSC Naval ROTC

331 Evolution of Warfare

MLSL Army ROTC

402 Leadership in a Complex World (HS, RS, EFS)

AFAS Air Force ROTC

400 National Security Affairs/Preparation for Active Duty

Computer Science 151 Computer Programming for Non-Majors

Religious Studies 457: Seminar in Islamic Tradition

**Group B:**

ECON Economics

408 Economic Forecasting Methods: A Time Series Approach

ANTH Anthropology

372 Analytic Methods in Anthropology (HS, RS, EFS)

BIOL Biology

351 General Microbiology (HS, EFS)

351L General Microbiology Laboratory (HS, EFS)

410 Genome and Computational Biology (HS, EFS)

419 T: Bioenergy (RS, EFS)

419 T: Modeling Infectious Disease (HS, EFS)

419 Topics in Interdisciplinary Science (requires approval per topic) (HS, RS, EFS)

444 Genomes and Genomic Analysis (HS, EFS)

445 Biology of Toxins (HS, EFS)

446L Laboratory Methods in Molecular Biology (HS, RS, EFS)

450 General Virology (HS, EFS)

456 Immunology (HS, EFS)

460 Microbial Physiology (HS, RS, EFS)

471 Plant Physiological Ecology (RS, EFS)

478 Plant Physiology (RS, EFS)

482L Parasitology (HS, EFS)

490 Biology of Infectious Organisms (HS, EFS)

495 Limnology (RS, EFS)

496L Limnology Laboratory (RS, EFS)

GEOG Geography

381L Introduction to Geographic Information Systems (HS, RS, EFS)

483L/583L Remote Sensing Fundamentals. (HS, RS, EFS)

484L/584L Applications of Remote Sensing)

485L Internet Mapping (HS, RS, EFS)

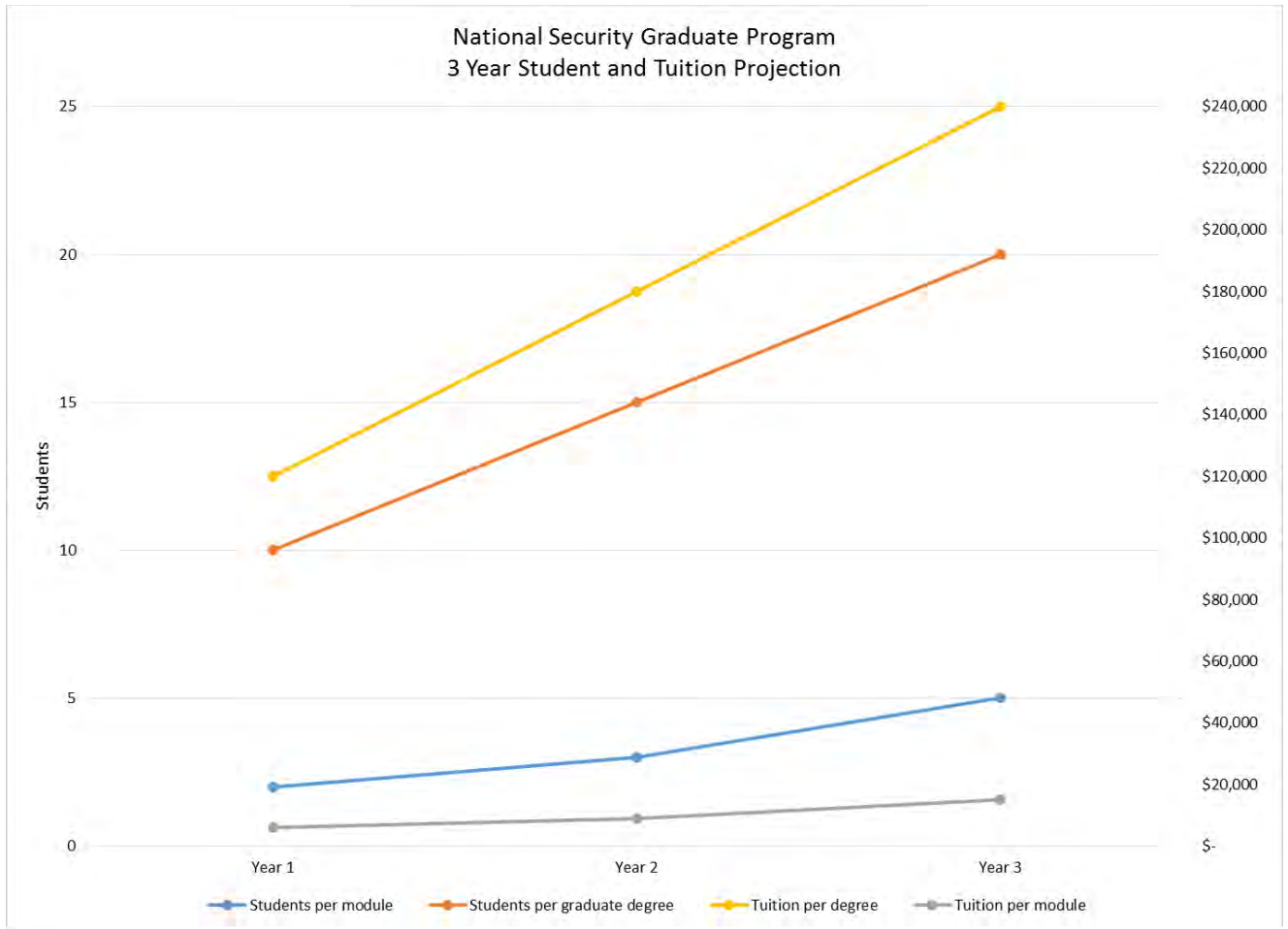
486L Applications of GIS (HS, RS, EFS)

487L Spatial Analysis and Modeling. (HS, RS, EFS)



488L GIS Concepts and Techniques (HS, RS, EFS)  
 STAT Statistics  
     All (probably too general, HS, RS, EFS likely for many)  
 CS Computer Science  
     CS 293. Social and Ethical Issues in Computing.  
     CS 444/544. Introduction to Cybersecurity. (3)  
     CS 595 Introduction to Data Mining (3)  
     CS 595 Computer Network Modeling  
     CS 423. Introduction to Complex Adaptive Systems. (3)  
     CS 429 / 529. Introduction to Machine Learning. (3)  
 MGMT Business/Management  
     329 Data Management (HS, RS, EFS)  
 CE Civil Engineering  
     352 Computer Applications in Civil Engineering (RS, EFS)  
     354 Probability and Statistics in Civil Engineering (RS, EFS)  
     491/492 Special Topics in Civil Engineering (RS, EFS)  
     493 Special Topics – Honors (RS, EFS)  
 CHNE Chemical and Nuclear Engineering  
     451/452 Senior Seminar  
     491/492 Undergraduate Problems  
     499 Selected Topics  
 ECE Electrical and Computer Engineering  
     491 Undergraduate Problems  
     493 Honors Seminar  
     495 Special Topics  
 ME Mechanical Engineering  
     461/462 Special Topics  
     463 Undergraduate Honors Thesis

### **Appendix III: 3 Year Student Enrollments and Tuition Projections**



Student Projections	Year 1	Year 2	Year 3
Students per module	2	3	5
Students per graduate degree	10	15	20

Tuition Projection	Year 1	Year 2	Year 3
Tuition per module	\$ 6,000	\$ 9,000	\$ 15,000
Tuition per degree	\$ 120,000	\$ 180,000	\$ 240,000

Tuition Rates	Year 1	Year 2	Year 3
Rate per module	\$ 3,000	\$ 3,000	\$ 3,000
Rate per graduate degree	\$ 18,000	\$ 18,000	\$ 18,000

# El Niño 2015

Communication Marketing

Today at 10:39 AM



To: ALL\_UNIVERSITY-L@LIST.UNM.EDU

Reply-To: All University

[ALL\_UNIVERSITY-L] Office of the Provost: Wednesday Communiqué

## Provost's Wednesday Communiqué – September 30, 2015

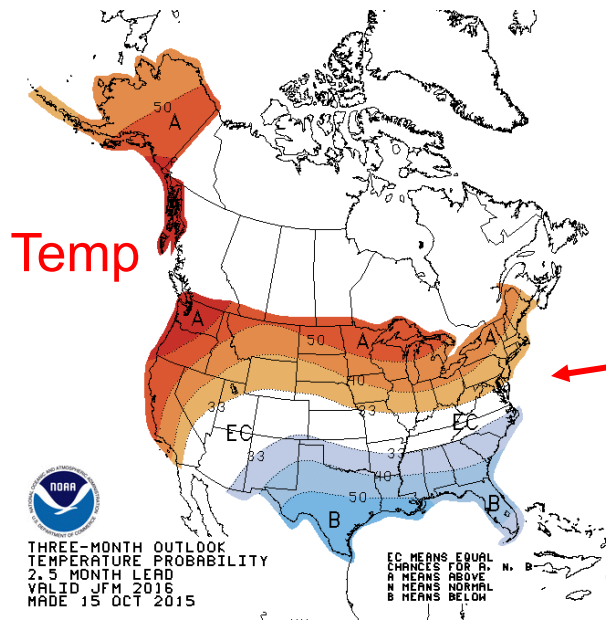
**On Bullets, Storytelling and Teaching:** A faculty colleague sent me [this article](#) from the Guardian that highlighted the limitations of using PowerPoint and, more specifically, the limitations of using bullet-points to deliver lectures.

- Big El Niño happening
  - Already observed, expected to persist
- Effects on Southwestern climate
  - Positive anomalies in snowpack, precipitation, streamflow
- Sampling and forecast uncertainties
- Assessment of ski ticket purchase decision

# Winter Seasonal Outlook

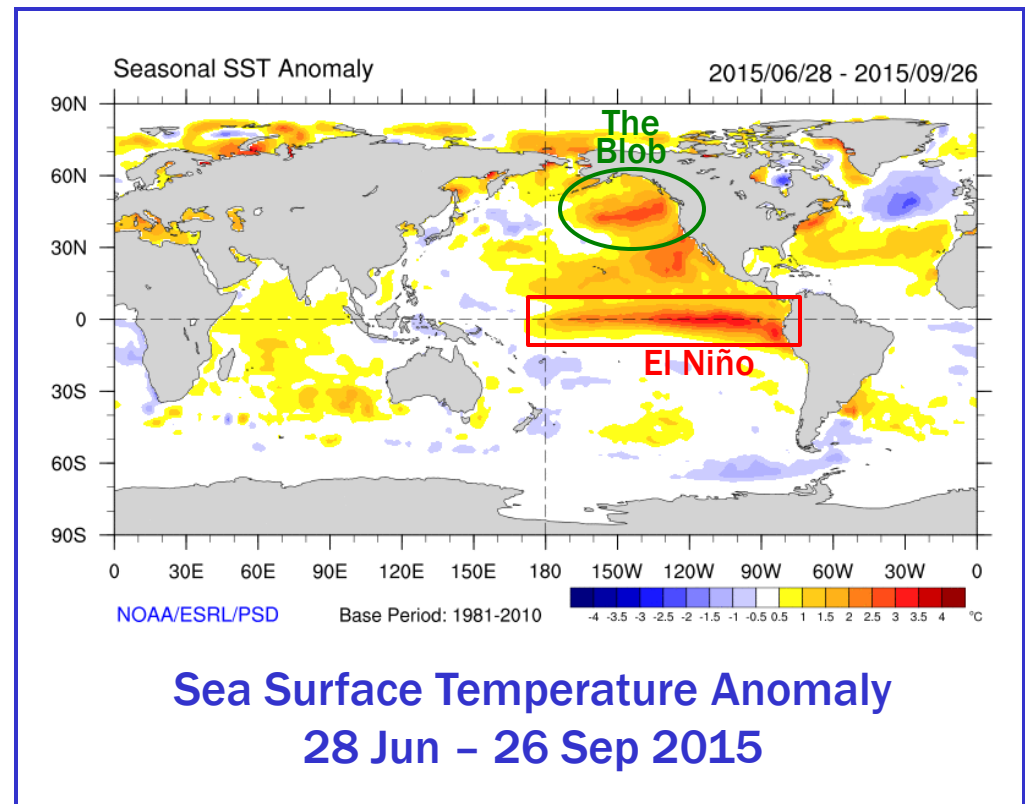
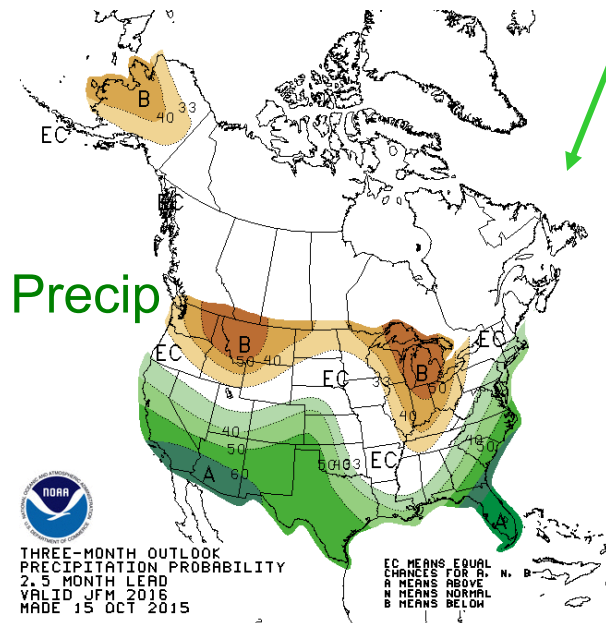
[10/15/2015; updated monthly by NOAA]

Temp



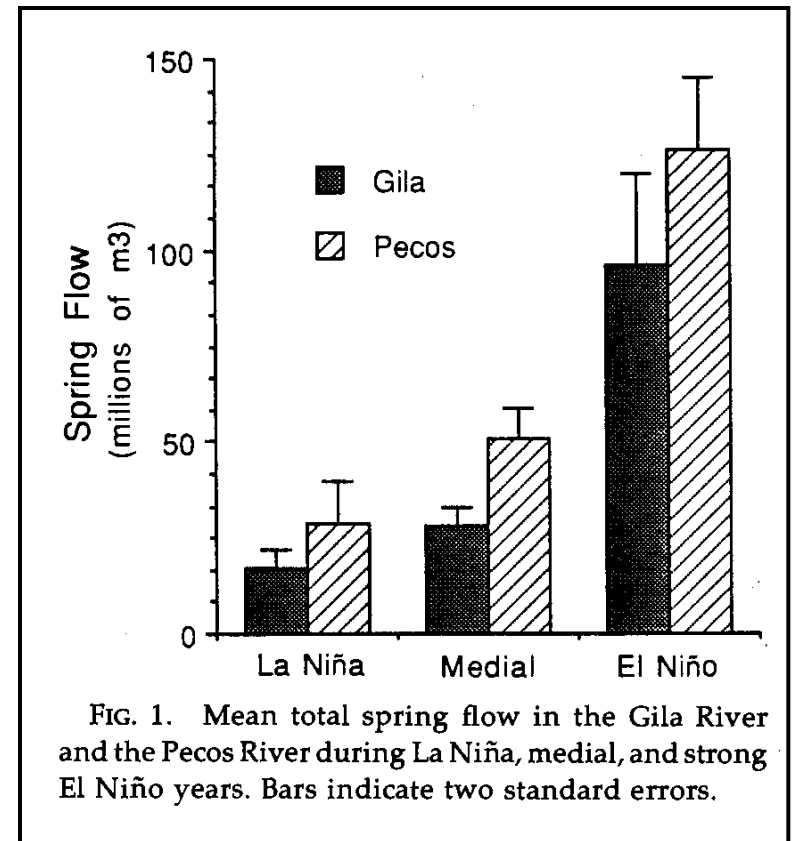
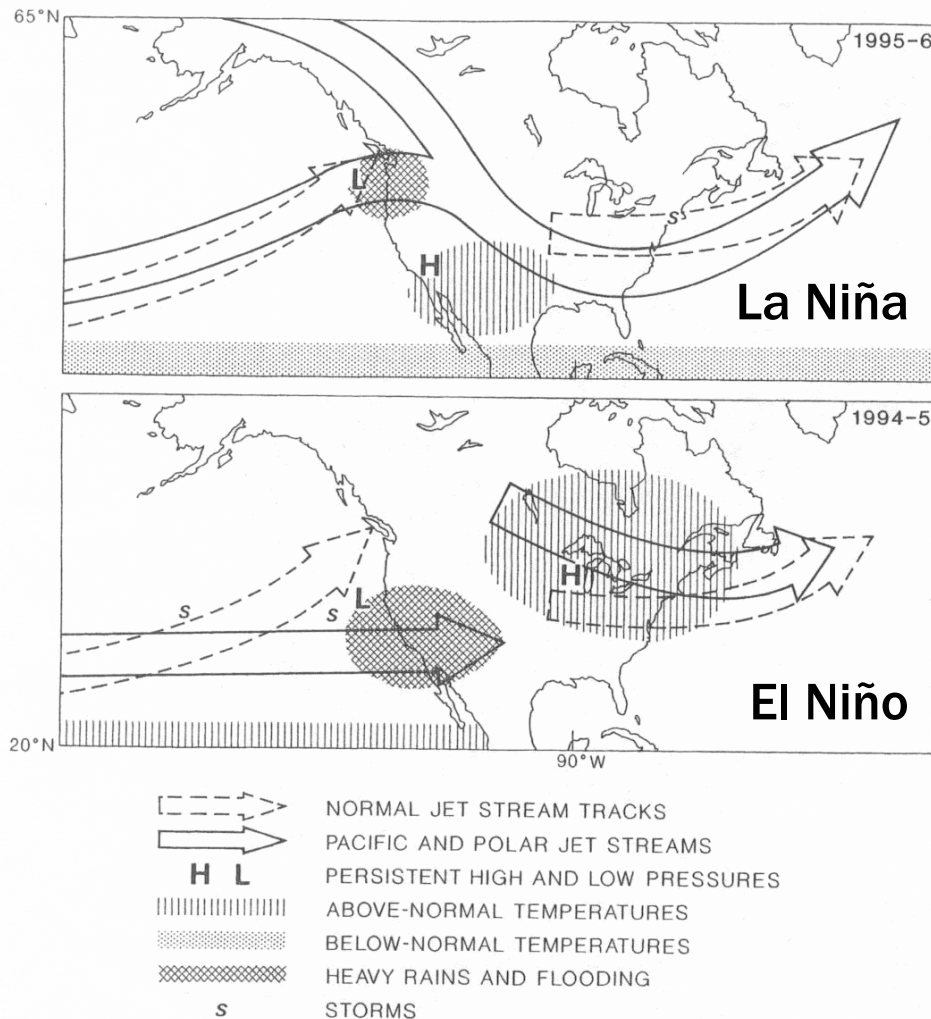
colored regions show where the odds are enhanced for **Above / Below / Near** the 30-year average for a particular three-month season (here **January-March 2016**)

Precip



Sea Surface Temperature Anomaly  
28 Jun – 26 Sep 2015

# El Niño, Jet Streams and Streamflow in NM Rivers



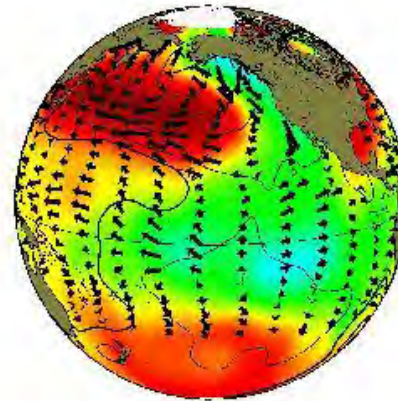
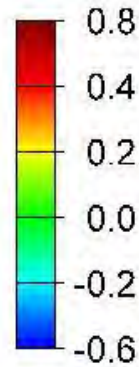
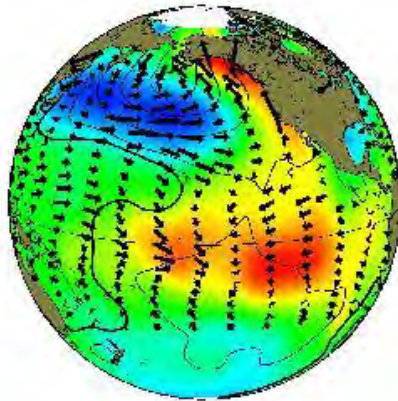
**Molles & Dahm (1990)**

**Barry & Chorley**  
**Figure 10.13**

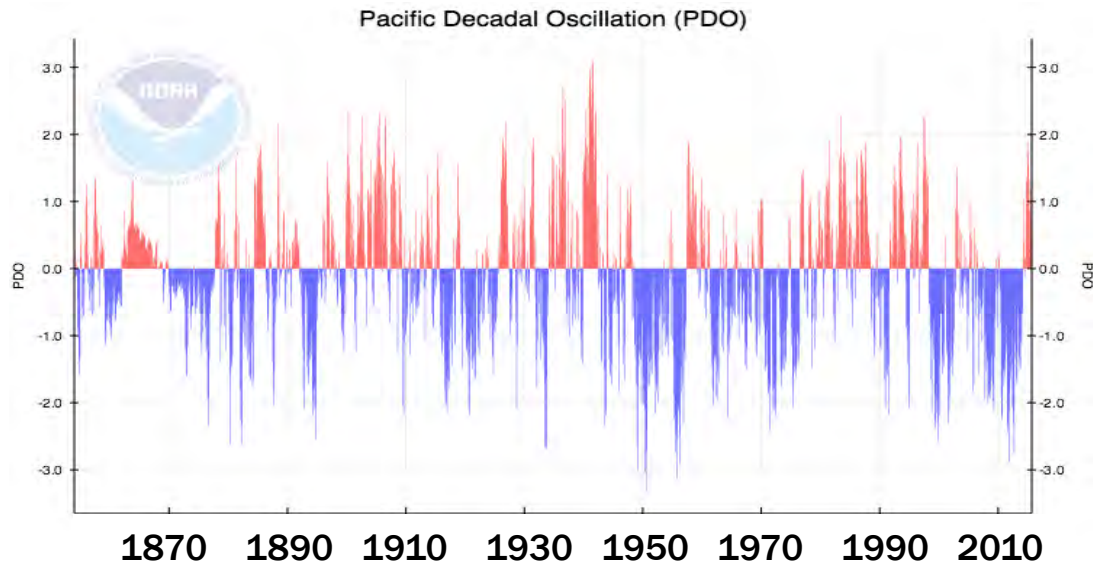


# Pacific Decadal Oscillation

“warm”  
phase;  
AK salmon ↑  
PNW salmon ↓



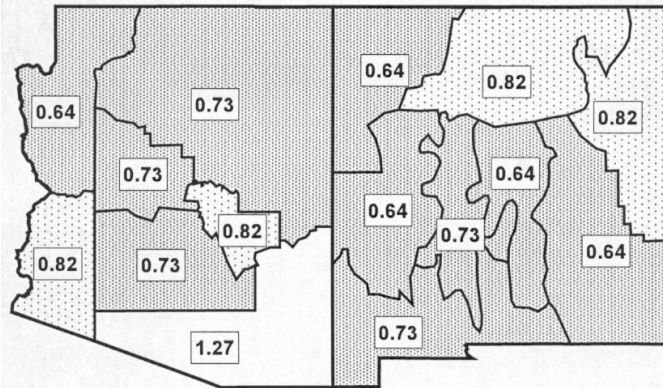
“cold”  
phase;  
AK salmon ↓  
PNW salmon ↑



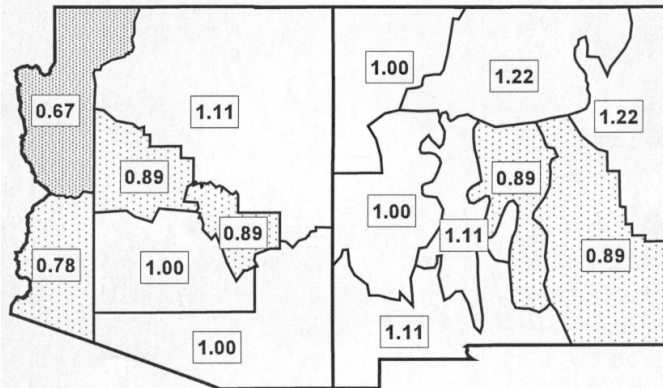
Mantua et al. (1997)

# Decadal modulation of ENSO predictability by PDO

**Pre-1977 (PDO negative)**

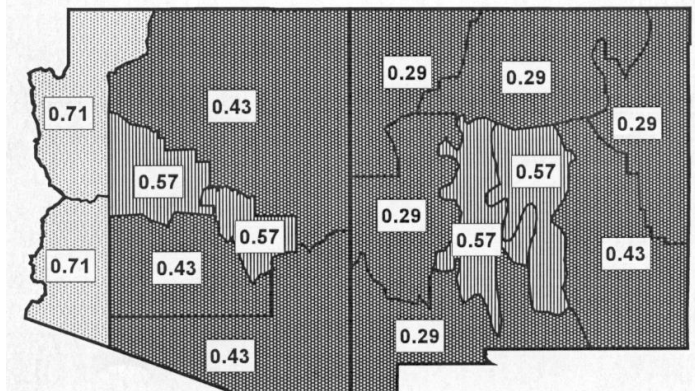
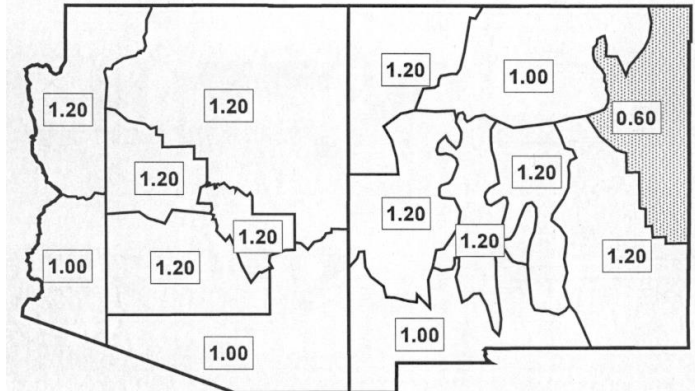


**Dry winter following  
JAS La Niña  
(good predictability  
pre-77; none post-  
77)**



**Wet winter following  
JAS El Niño  
(good predictability  
post-77; none pre-77 )**

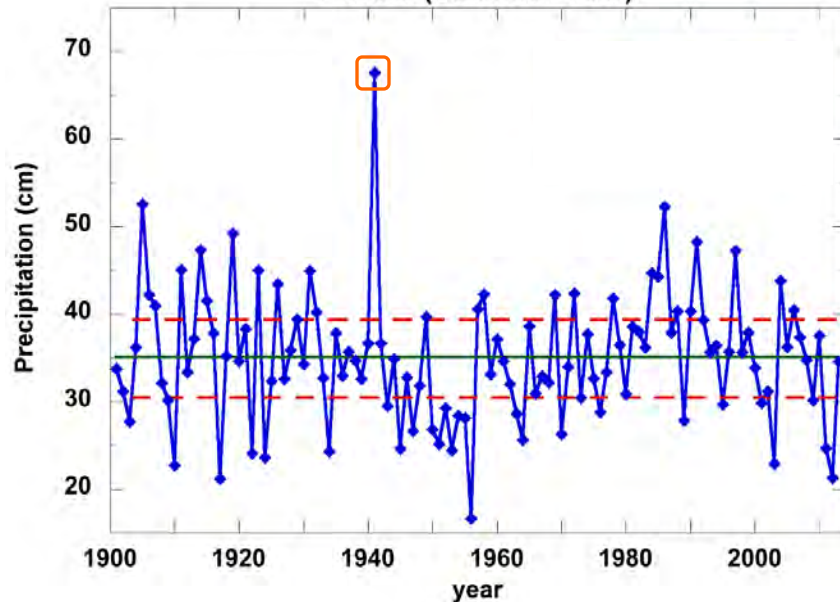
**Post-1977 (PDO positive)**



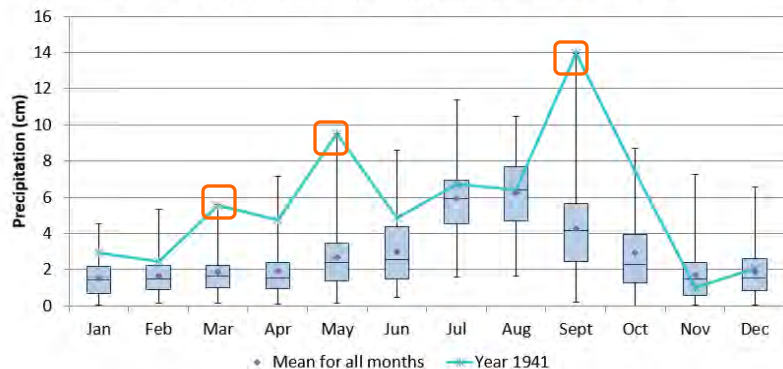
**Gutzler, Kann and Thornbrugh\* (2002)**

# New Mexico Precipitation: 1941

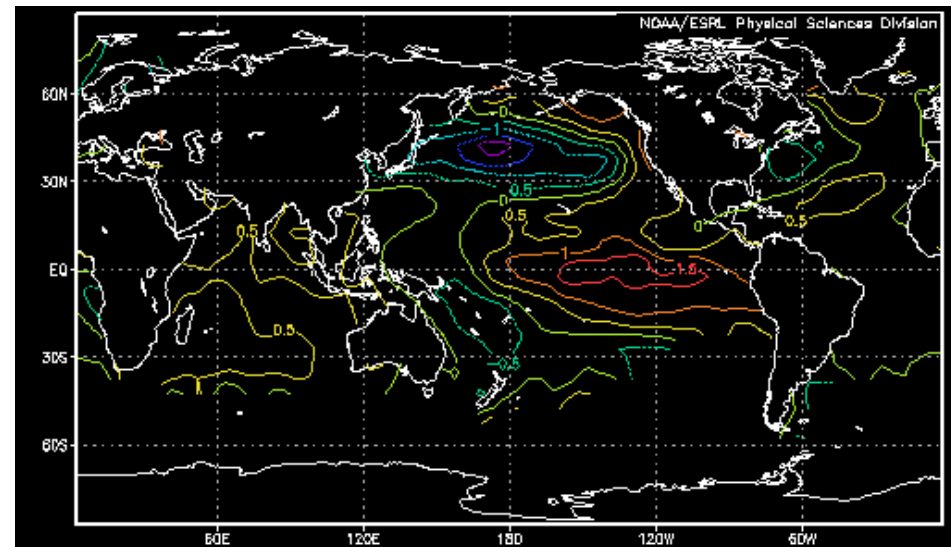
New Mexico Statewide Precipitation  
Annual (Calendar Year)



1901-2000 Statewide Monthly Precipitation Statistics



## 1941 ocean temp anomaly

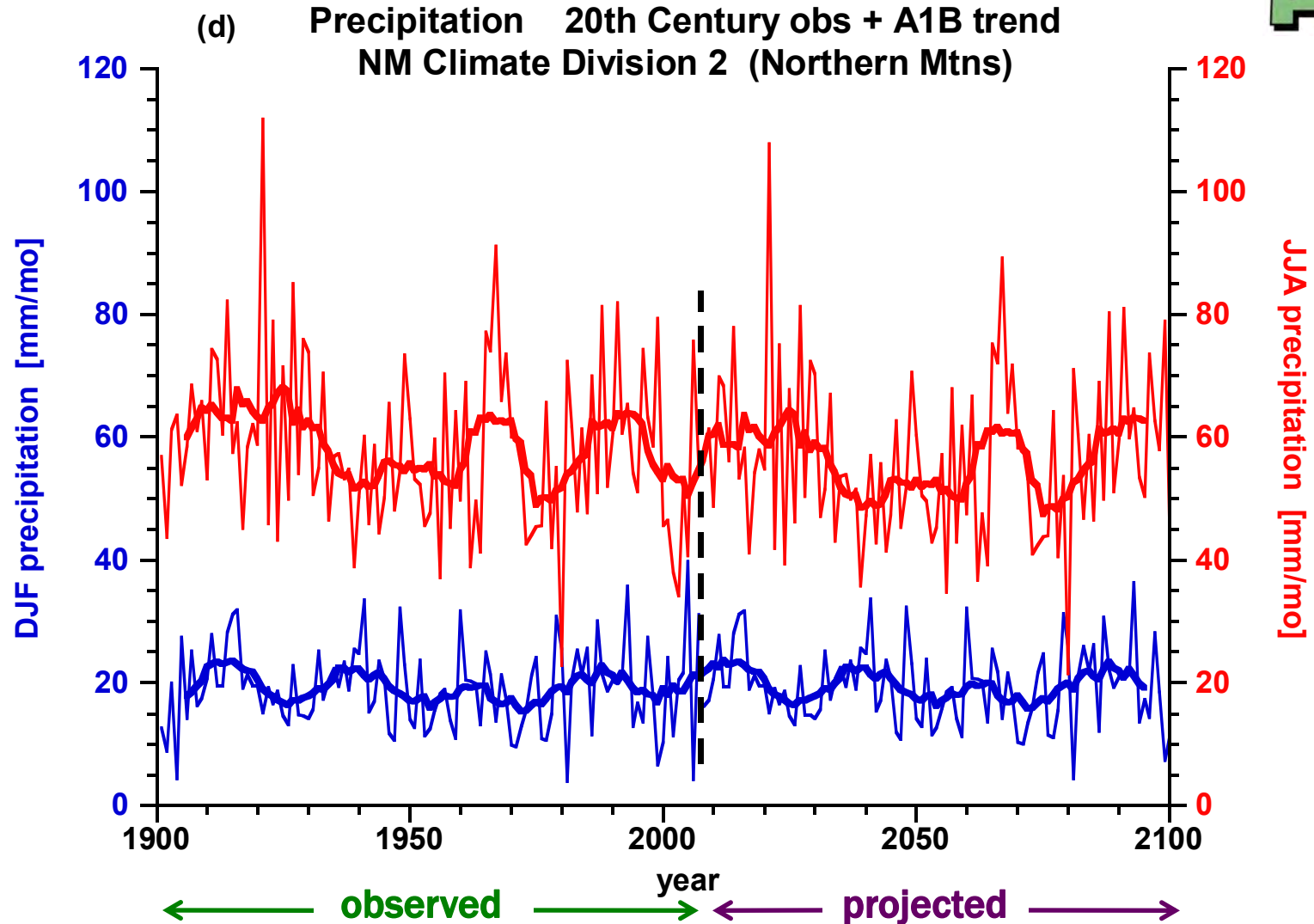
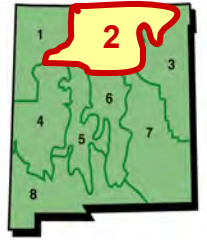


Big El Niño, no Blob  
record positive PDO

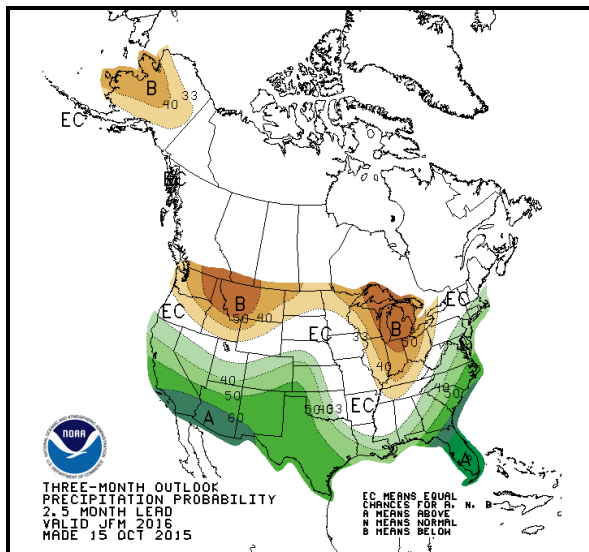
Gutzler, Sullivan\* and Kann (2015)



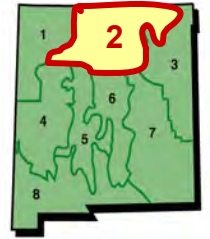
# So What About That Ski Pass?



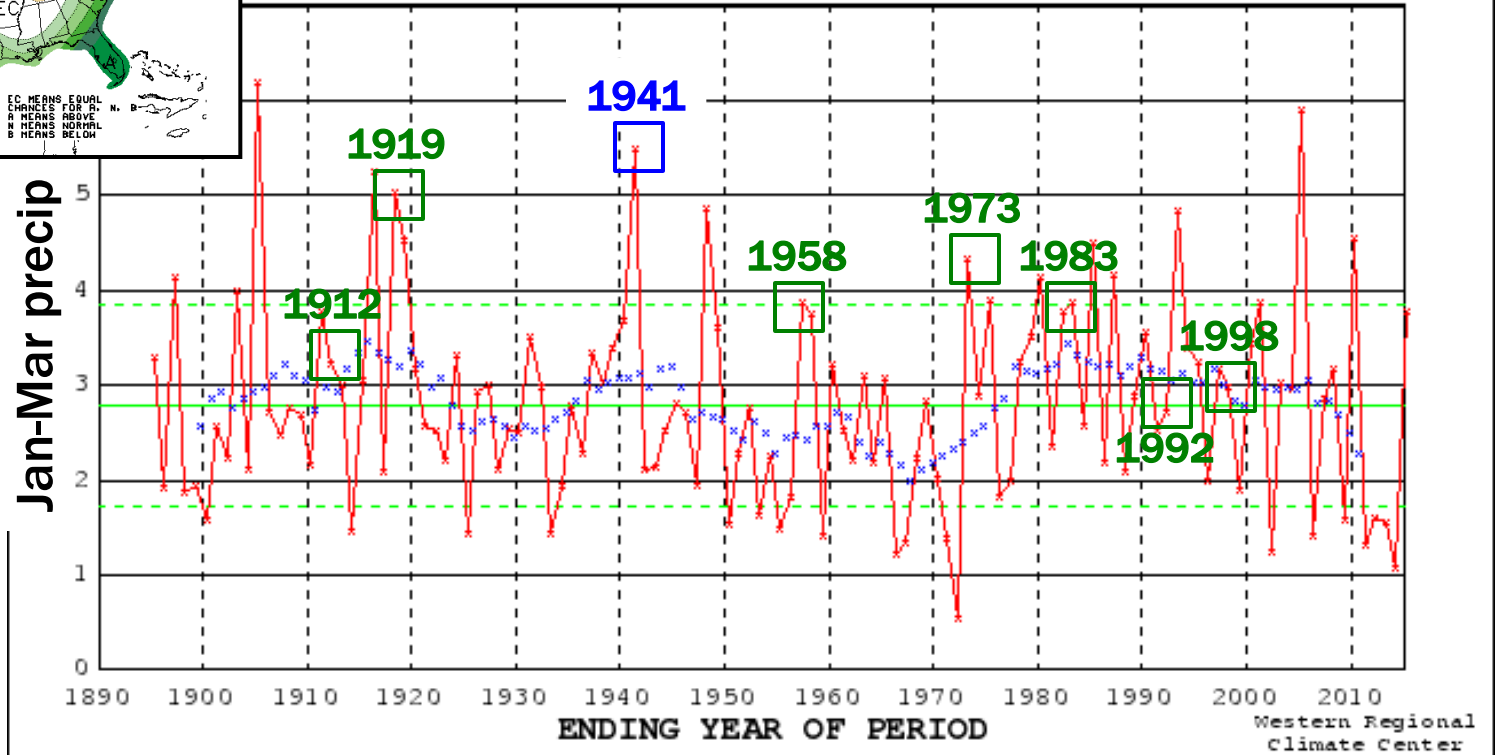
Gutzler & Robbins\* (2011)



# So What About That Ski Pass?



northern Mountains Division, New Mexico Precipitation (in. Climate Division (02). 3 month period ending in March.



Not a bad bet; no sure thing

**UNM Hospital Board of Trustees  
Recommendation to HSC Board of Directors  
October 2015**

**Approval**

**(1) Population Health Management**

**Ownership:**

Cerner Corporation  
2800 Rockcreek Parkway  
Kansas City, MO 64117

**Officers Information:**

Jack Bartlett  
Senior Director, Cerner Corporation

**Source of Funds:** Operating Budget

**Description:** Request approval for a five (5) year contract, which may be extended through years 6, 7, and 8, for Population Health Management System through Cerner Corporation.

This agreement will provide software functionality in a secure, remote hosted environment managed by the same vendor as the UNM Health System Electronic Medical Record. The software functionality consists of three main components; A Research and Organization Enterprise-wide Data Warehouse (EDW), analytics and reporting capabilities and Population Health management tools as described below.

The Research and Organization Enterprise-wide Data Warehouse (EDW) is the foundation of the product providing ability to acquire, import and consolidate clinical, billing and additional organization defined data sources. This information is then available to clinicians via the Population Health management tools or the Analytics and reporting capabilities.

The Population Health management tools enable and empower providers with knowledge and information to provide optimum care. This is done by identifying and delivering interventions to the care management team. These interventions are actionable and applicable to the patient or population's needs and are based upon customizable and "best practice" rules. The system incorporates advanced ability to allow identification of cohorts/registries which the system programmatically follows so as to bring important interventions "face up" to the providers by integration into the patient chart using.

The system will provide comprehensive analytic and reporting capabilities, building upon the population health tools and capabilities of the EDW, including methodologies for identifying and managing multiple key metrics such as cost per case or patient, benchmarking services against standards and best practice as well as evaluation of adherence to clinical quality parameters. The system provides capability to stratify patient populations so as to determine costs and efforts to manage that population as well as evaluate capitated payment options. Dashboards for ease of viewing these metrics with capability to drill down for increased specificity and understanding of data from clinical, billing and other organization defined imported sources as well as management of the patient cohorts is available and integrates, via the drill down capability, directly to patients charts.



**Previous Contract:** This is a new contract.

**Previous Contract Amount:** Not applicable.

**Process:** RFP P328-15

**RFP Respondents:** There were two respondents to the RFP:

1. Cerner Corporation
2. Healthec LLC

**Selection Criteria:**

Selection was based upon, experience, quality, stability, and reputation of the Offeror's corporate, IT Security Requirements, Product Functionalities, Integration/Implementation Work Plan, and services, ongoing support model. Based upon above criteria, the RFP committee members reviewed and scored all vendors, completed vendor oral presentation, interview and product/software/service demonstration of their written proposal submittals and selected via highest score, the vendor that brought the best value to UNM Hospitals.

**Total Cost:** Five year expenditures are estimated to be \$4,847,616. The breakdown is as follows.

Population Management Health Cost	
One Time Fee (Incurred 1st year)	\$ 1,037,650.00
Year 1	\$ 735,000.00
Year 2	\$ 735,000.00
Year 3	\$ 757,050.00
Year 4	\$ 779,762.00
Year 5	\$ 803,154.00
<b>5 Year Total</b>	<b>\$ 4,847,616.00</b>



## **CAPITAL PROJECT APPROVAL**

### **UNMH, Eubank, Women's Care Clinic**

#### **RECOMMENDED ACTION:**

As required by Section 7.12 of the Board of Regents Policy Manual and the NM Commission on Higher Education, capital project approval is requested for the **UNMH, Eubank, Women's Care Clinic**.

#### **PROJECT DESCRIPTION:**

The purchase of the Charter Bank building at 2130 Eubank NE was approved in 2014 by the NM State Board of Finance. The building will be renovated into a comprehensive Women's Healthcare Clinic. It is 23,200 square feet and will include thirty one exam rooms with nine procedure rooms. In addition to increased exam room capacity, the new clinic will also include blood laboratory, ultrasound, physical therapy services as well as Behavioral Health and financial counseling. The Women's Clinic will also have a research component addressing women's healthcare issues.

UNMH has met with the surrounding Neighborhood Associations. In response to the Neighborhood's request, the building includes a community room in which health education classes can be held. The site plan includes landscaped staff and visitor parking which would accommodate the use of the community room after business hours and on weekends. The project will be designed to meet LEED Silver requirements. The Women's Clinic is scheduled to be completed in the fall of 2016.

#### **RATIONALE:**

UNMH has identified improved access to care as one of its top priorities. Expanding Women's Care Services into the Albuquerque Community meets the standards and requirements for a Patient Centered Medical Home and responds to the needs expressed by our patients and the Neighborhood Associations. The North East Heights of Albuquerque has a large patient population with growing needs in Women's Health. This area of the city has fewer clinics than other parts of the city. It is expected that by developing a new location with adjacent services such as a lab, behavioral health, financial services, close proximity to a bus line, and easily accessible by foot traffic, will result in better access to women's health care.

#### **PURCHASING PROCESS:**

The Architects, Fanning Bard Tatum, were selected by UNM RFP 1703-15 and approved by the UNMH Board, HSC Board and UNM Regents. The construction contract award will be determined by RFP upon completion of Bid Documents anticipated in mid-January, 2016.

#### **FUNDING:**

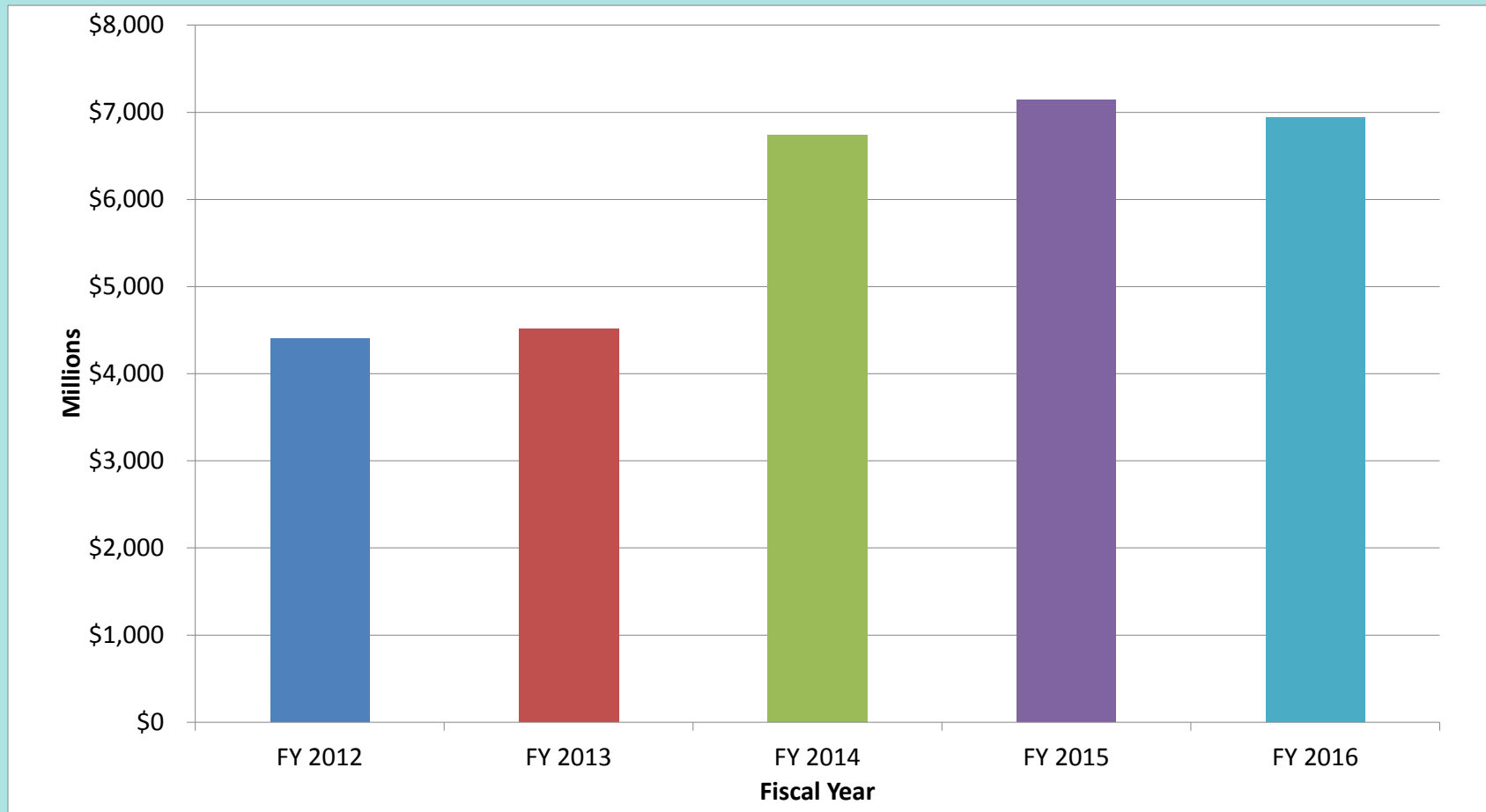
The Maximum Allowable Construction Cost is estimated to be \$5,500,000 including building/land purchase and NMGR. The Total Project Budget is \$7,000,000 funded by UNMH Capital Initiatives Fund. The Construction project has not Bid and these costs are estimated probable costs.

## Chancellor's Report

will be presented at the meeting

**UNM Health Sciences Center**  
**Metrics - Preliminary and Unaudited**  
**Net Cash Revenues less Net Cash Expenses**  
 (Amounts are in thousands)

**UNIVERSITY HSC**



**FY 2012  
1st Quarter**

\$4,404

**FY 2013  
1st Quarter**

\$4,517

**FY 2014  
1st Quarter**

\$6,734

**FY 2015  
1st Quarter**

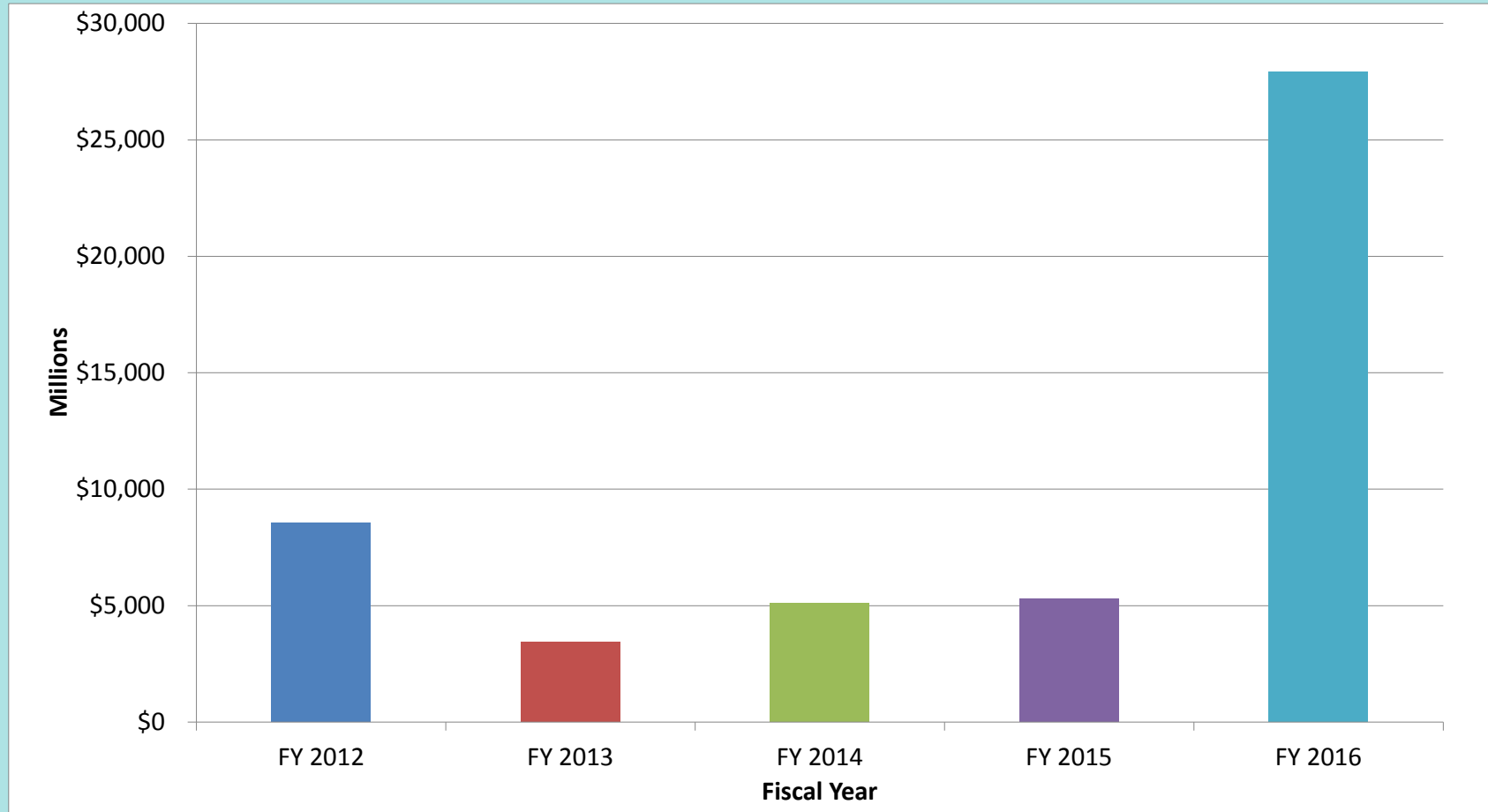
\$7,142

**FY 2016  
1st Quarter**

\$6,941

**UNM Health Sciences Center**  
**Metrics - Preliminary and Unaudited**  
**Net Cash Revenues less Net Cash Expenses**  
 (Amounts are in thousands)

**UNM HOSPITALS**



**FY 2012**  
**1st Quarter**

\$8,563

**FY 2013**  
**1st Quarter**

\$3,448

**FY 2014**  
**1st Quarter**

\$5,099

**FY 2015**  
**1st Quarter**

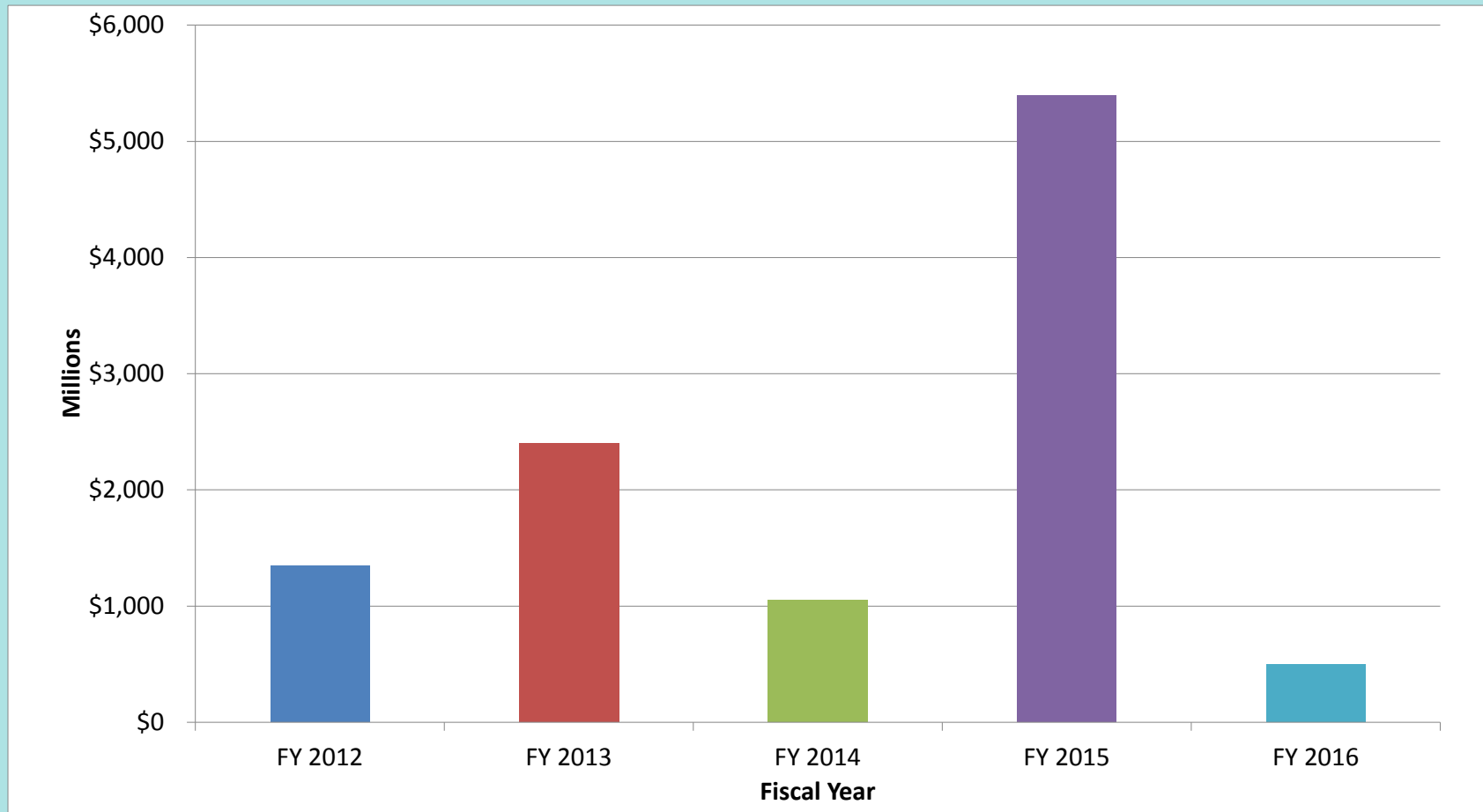
\$5,278

**FY 2016**  
**1st Quarter**

\$27,901

**UNM Health Sciences Center**  
**Metrics - Preliminary and Unaudited**  
**Net Cash Revenues less Net Cash Expenses**  
 (Amounts are in thousands)

**UNM MEDICAL GROUP**



**FY 2012  
1st Quarter**

\$1,344

**FY 2013  
1st Quarter**

\$2,399

**FY 2014  
1st Quarter**

\$1,049

**FY 2015  
1st Quarter**

\$5,393

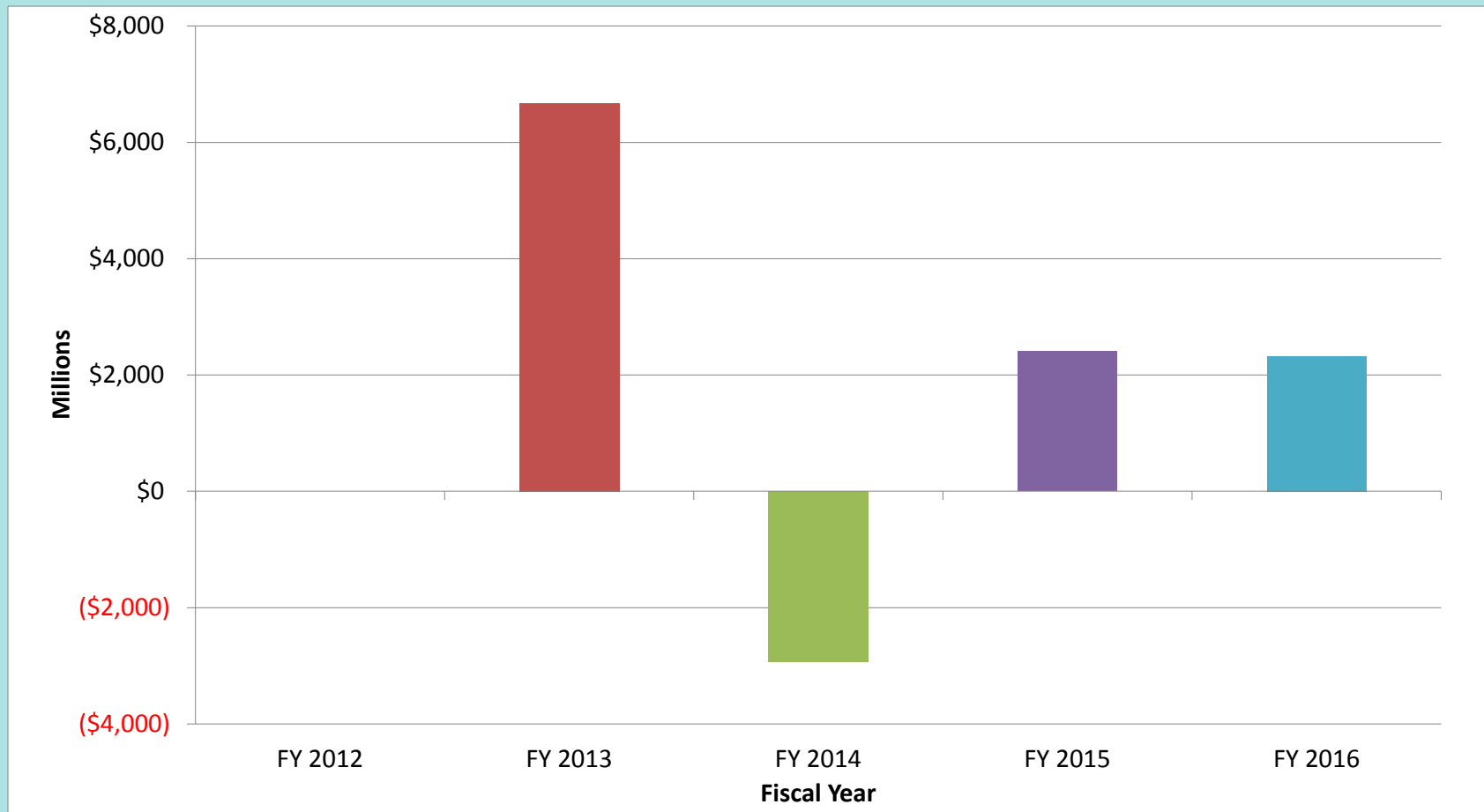
**FY 2016  
1st Quarter**

\$501



**UNM Health Sciences Center**  
**Metrics - Preliminary and Unaudited**  
**Net Cash Revenues less Net Cash Expenses**  
 (Amounts are in thousands)

**SANDOVAL REGIONAL MEDICAL CENTER**



**FY 2012  
1st Quarter**

N/A

**FY 2013  
1st Quarter**

\$6,676

**FY 2014  
1st Quarter**

(\$2,938)

**FY 2015  
1st Quarter**

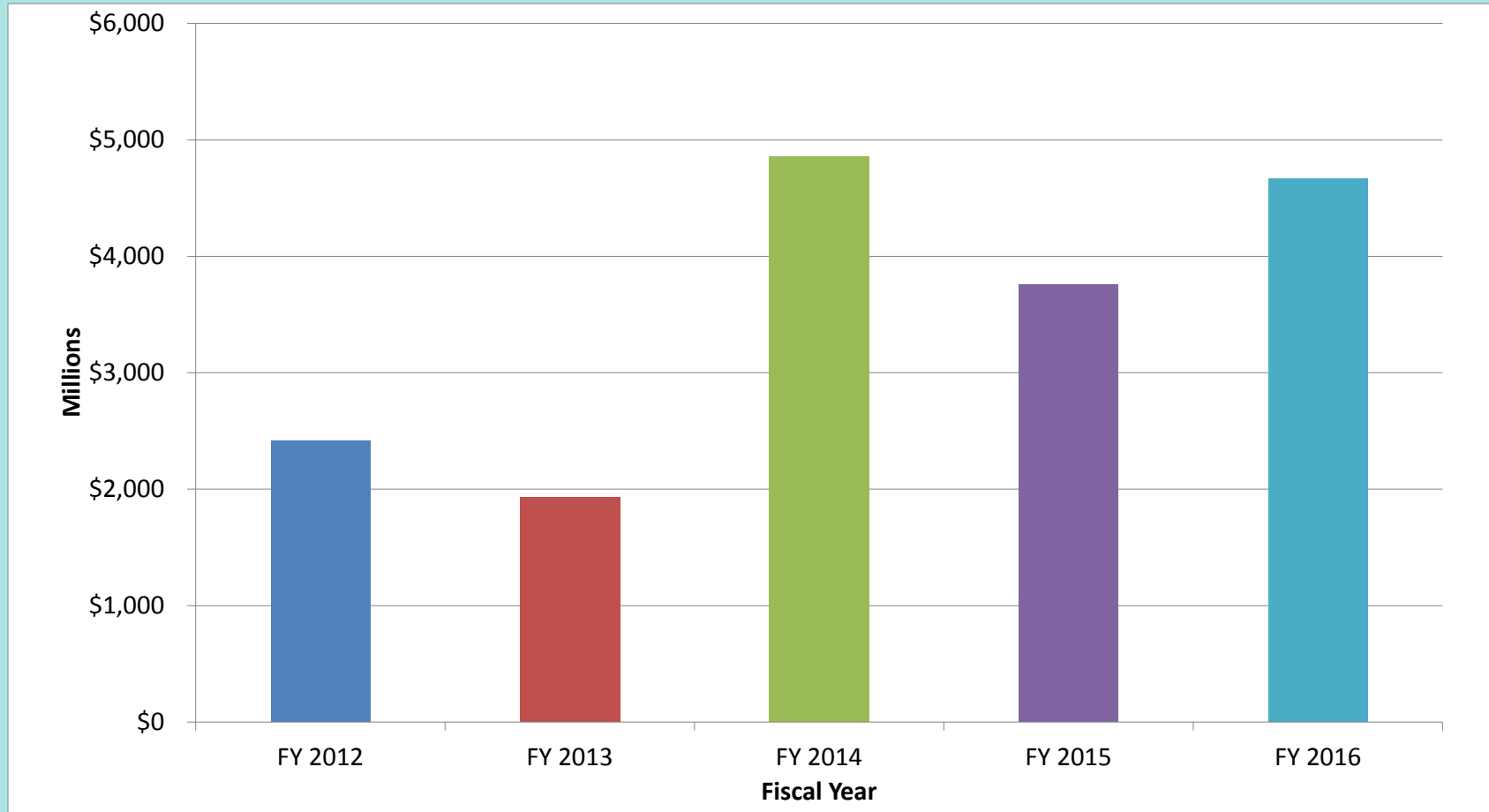
\$2,407

**FY 2016  
1st Quarter**

\$2,321

**UNM Health Sciences Center**  
**Metrics - Preliminary and Unaudited**  
**Net Revenue less Expense**  
 (Amounts are in thousands)

**UNIVERSITY HSC**



**FY 2012**  
1st Quarter

\$2,417

**FY 2013**  
1st Quarter

\$1,927

**FY 2014**  
1st Quarter

\$4,855

**FY 2015**  
1st Quarter

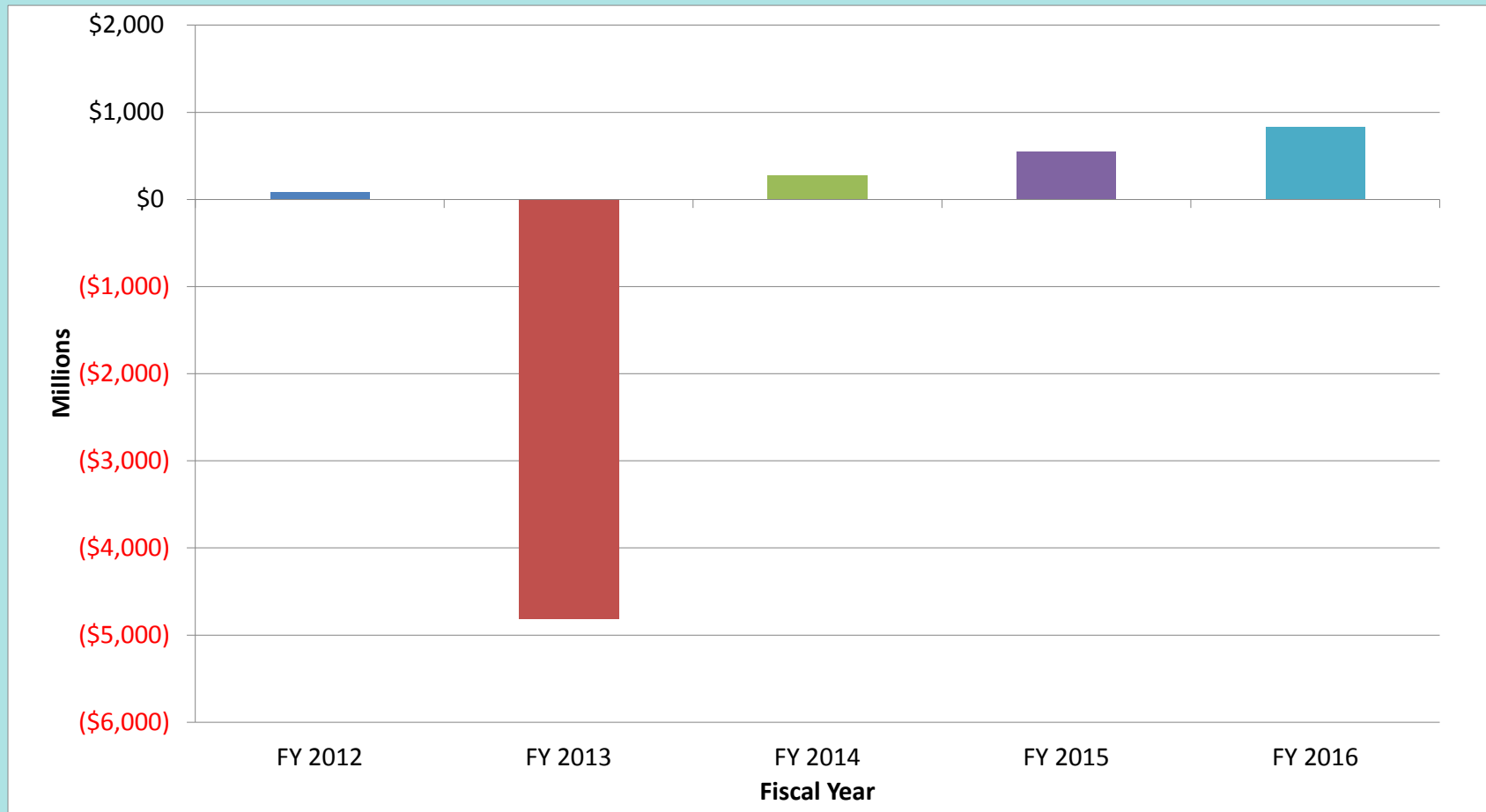
\$3,758

**FY 2016**  
1st Quarter

\$4,663

**UNM Health Sciences Center**  
**Metrics - Preliminary and Unaudited**  
**Net Revenue less Expense**  
 (Amounts are in thousands)

**UNM HOSPITALS**



**FY 2012**  
**1st Quarter**

\$82

**FY 2013**  
**1st Quarter**

(\$4,819)

**FY 2014**  
**1st Quarter**

\$274

**FY 2015**  
**1st Quarter**

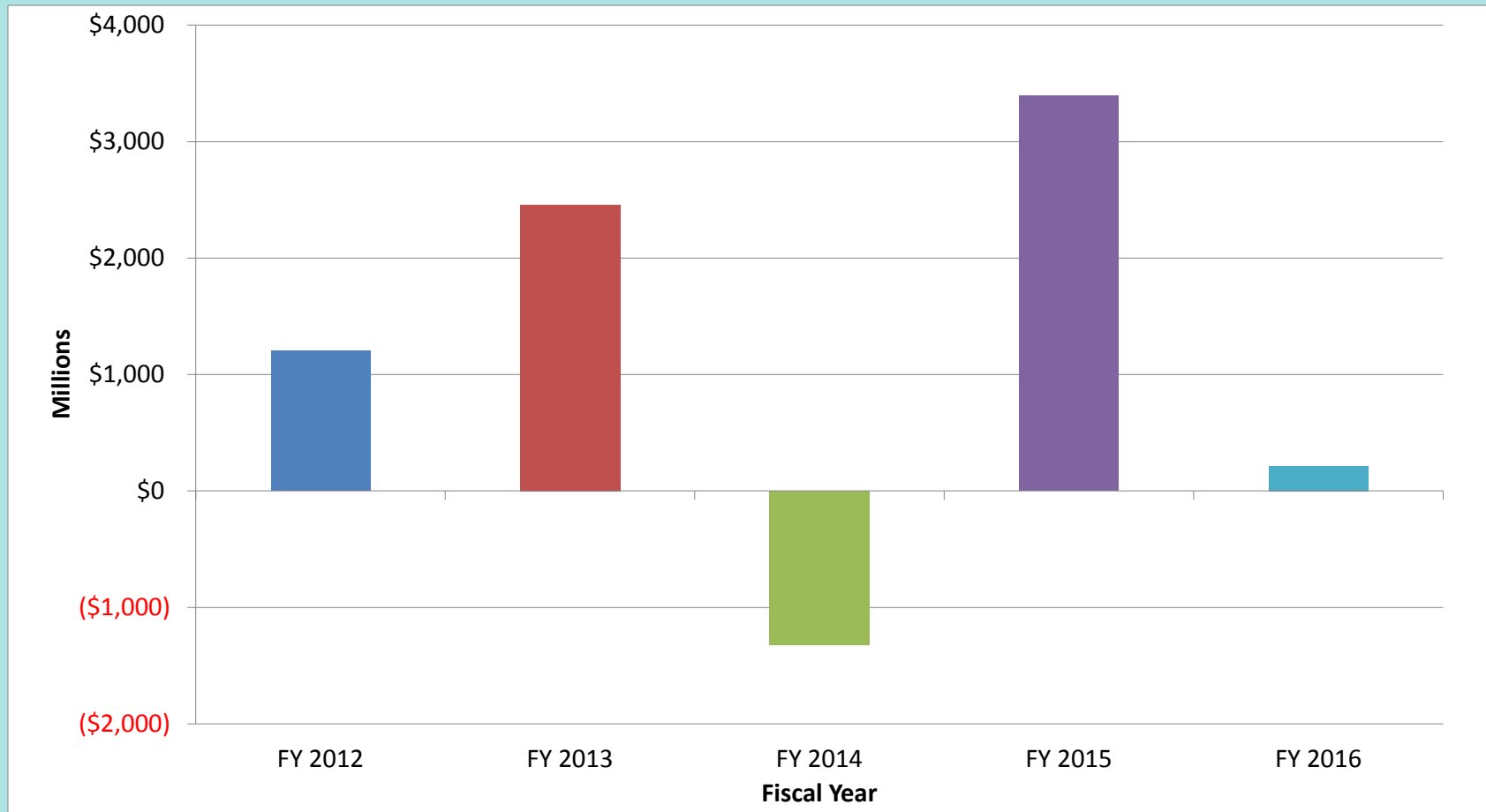
\$553

**FY 2016**  
**1st Quarter**

\$827

**UNM Health Sciences Center**  
**Metrics - Preliminary and Unaudited**  
**Net Revenue less Expense**  
 (Amounts are in thousands)

**UNM MEDICAL GROUP**



**FY 2012  
1st Quarter**

\$1,203

**FY 2013  
1st Quarter**

\$2,456

**FY 2014  
1st Quarter**

(\$1,326)

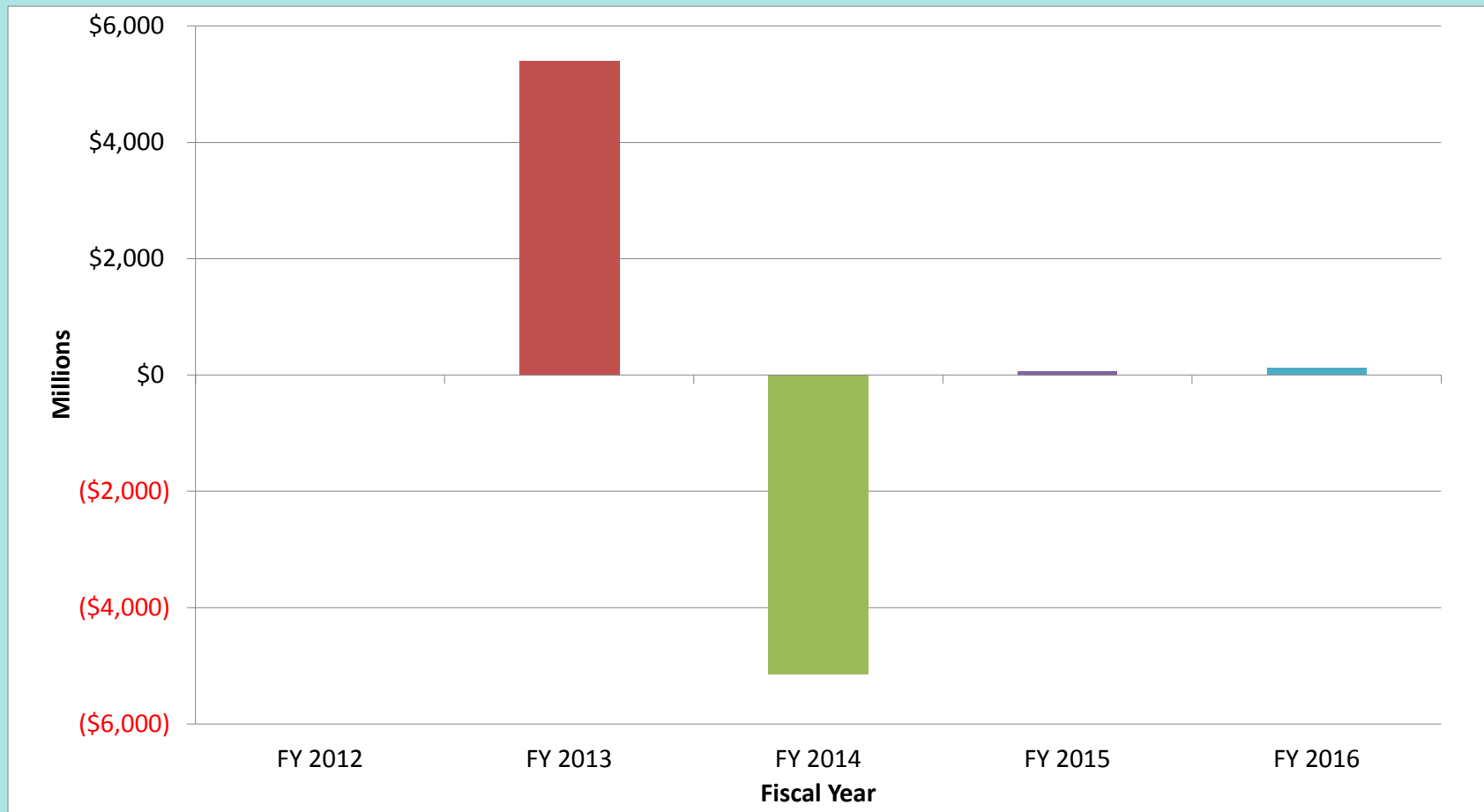
**FY 2015  
1st Quarter**

\$3,392

**FY 2016  
1st Quarter**

\$213

## SANDOVAL REGIONAL MEDICAL CENTER



FY 2012  
1st Quarter

N/A

FY 2013  
1st Quarter

\$5,407

FY 2014  
1st Quarter

(\$5,145)

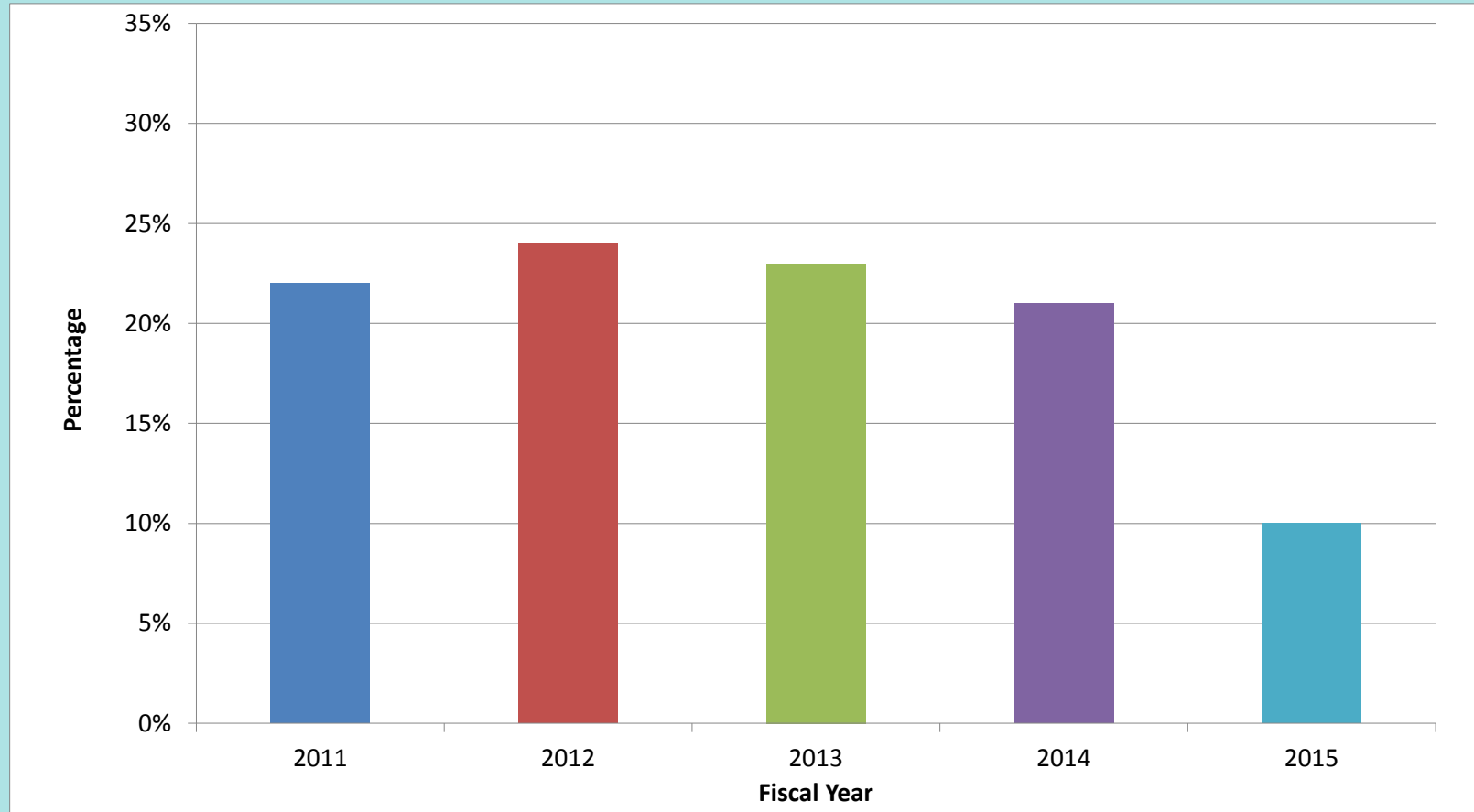
FY 2015  
1st Quarter

\$62

FY 2016  
1st Quarter

\$117

## UNM HEALTH SYSTEM



**FY 2011**

**FY 2012**

**FY 2013**

**FY 2014**

**FY 2015**

**FY 2016  
Sept. 30th YTD**

22%

24%

23%

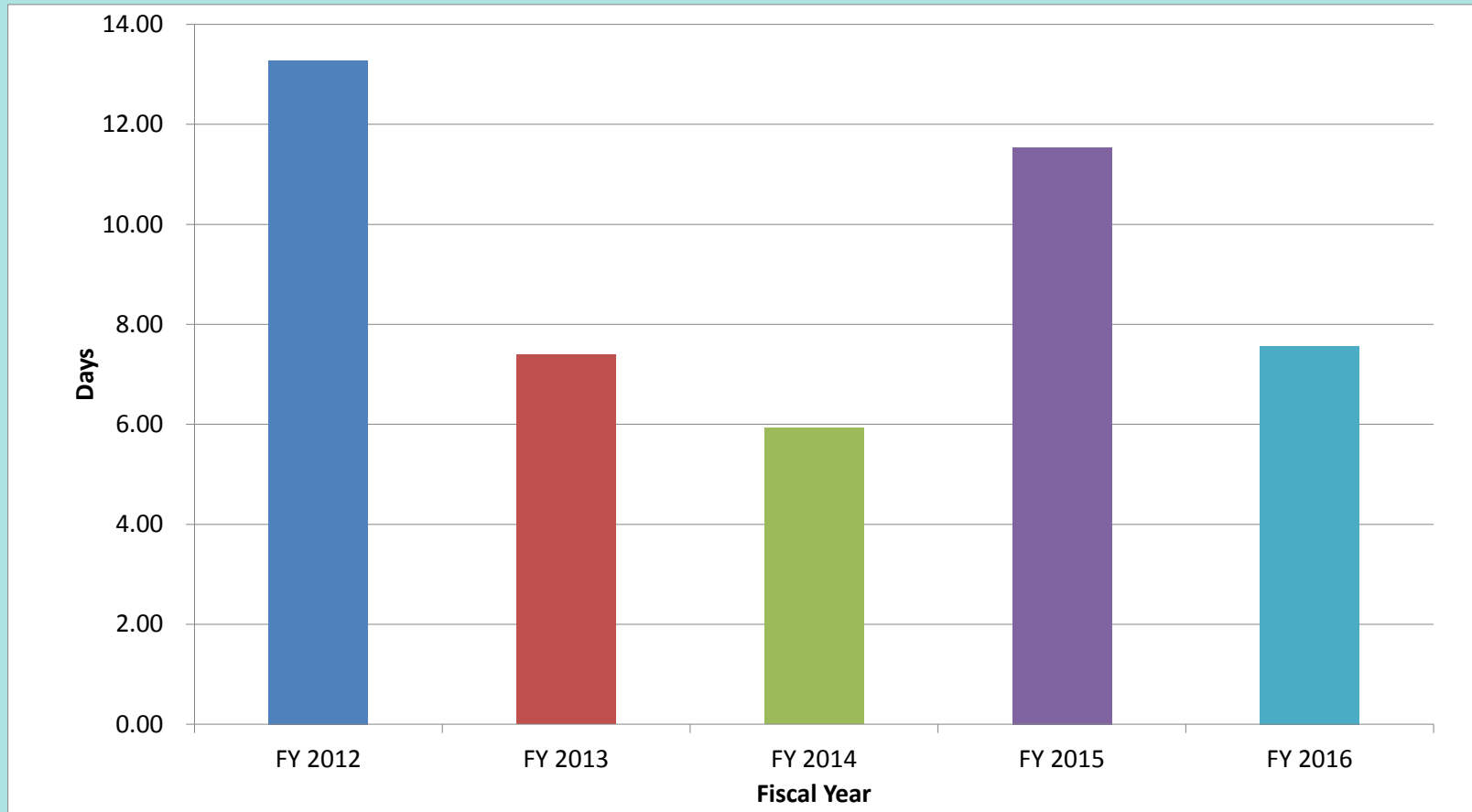
21%

10%

8%



## UNIVERSITY HSC



**FY 2012  
1st Quarter**

13.28

**FY 2013  
1st Quarter**

7.39

**FY 2014  
1st Quarter**

5.93

**FY 2015  
1st Quarter**

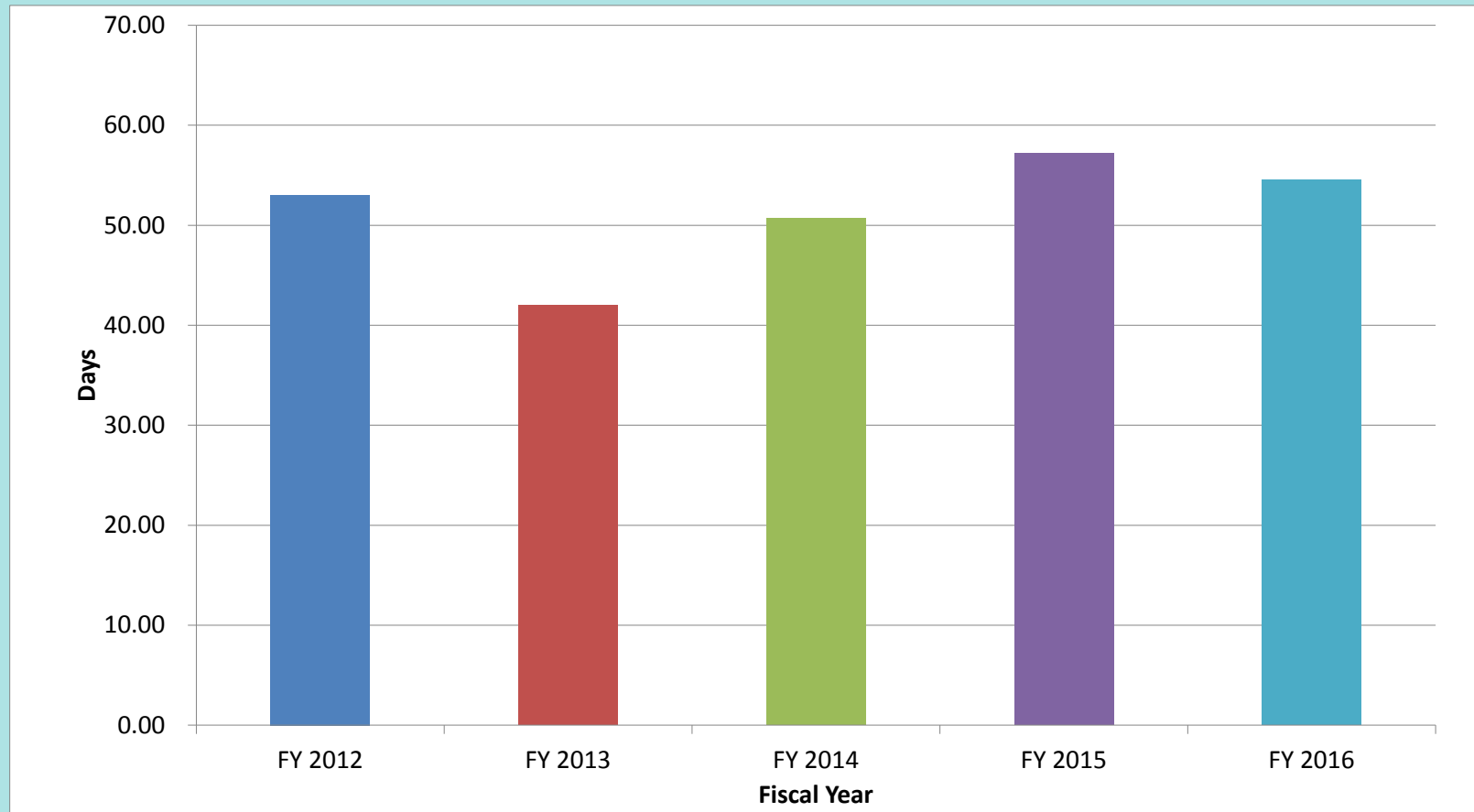
11.54

**FY 2016  
1st Quarter**

7.57

Days of Expense in Discretionary Reserves - Benchmark - 10 Days

## UNM HOSPITALS



FY 2012  
1st Quarter

53.01

FY 2013  
1st Quarter

42.02

FY 2014  
1st Quarter

50.72

FY 2015  
1st Quarter

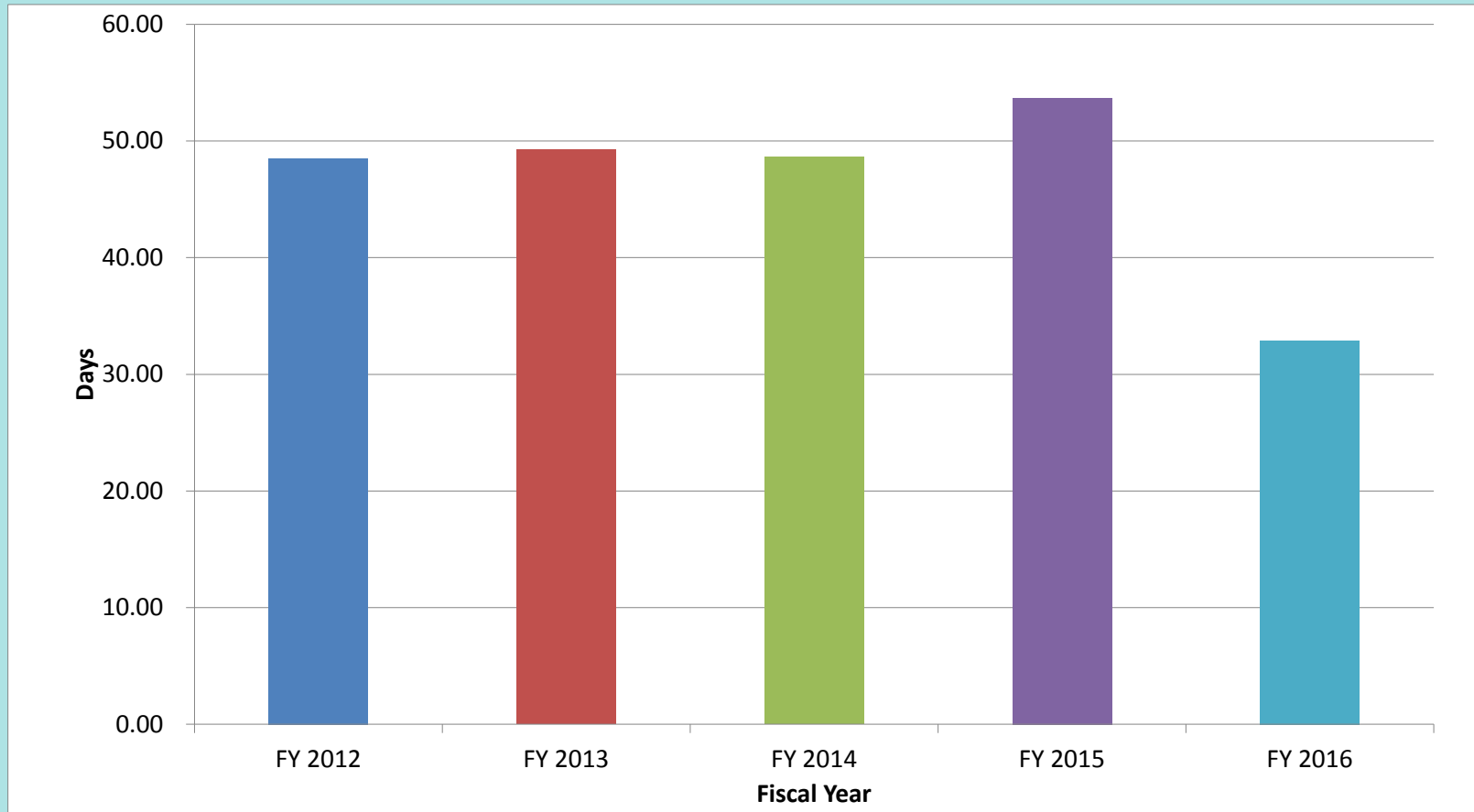
57.18

FY 2016  
1st Quarter

54.53

Per Fitch Ratings, "2014 Median Ratios for Nonprofit Hospitals and Healthcare Systems" report, the "AA" credit rating group has a benchmark of 289.4 days cash on hand.

### UNM MEDICAL GROUP



**FY 2012  
1st Quarter**

48.50

**FY 2013  
1st Quarter**

49.25

**FY 2014  
1st Quarter**

48.60

**FY 2015  
1st Quarter**

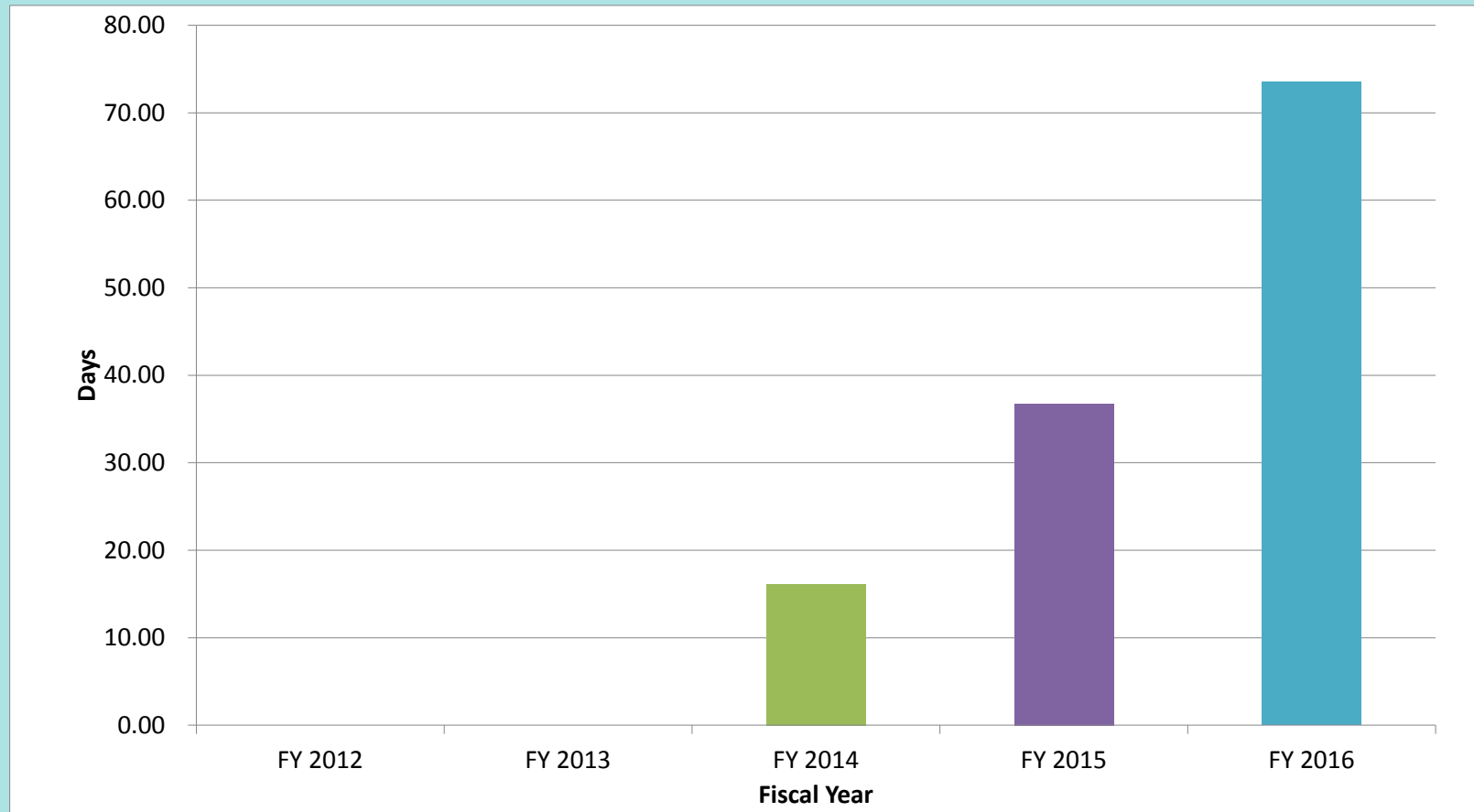
53.71

**FY 2016  
1st Quarter**

32.90

Per Fitch Ratings, "2014 Median Ratios for Nonprofit Hospitals and Healthcare Systems" report, the "AA" credit rating group has a benchmark of 289.4 days cash on hand.

## SANDOVAL REGIONAL MEDICAL CENTER



FY 2012  
1st Quarter

N/A

FY 2013  
1st Quarter

N/A

FY 2014  
1st Quarter

16.12

FY 2015  
1st Quarter

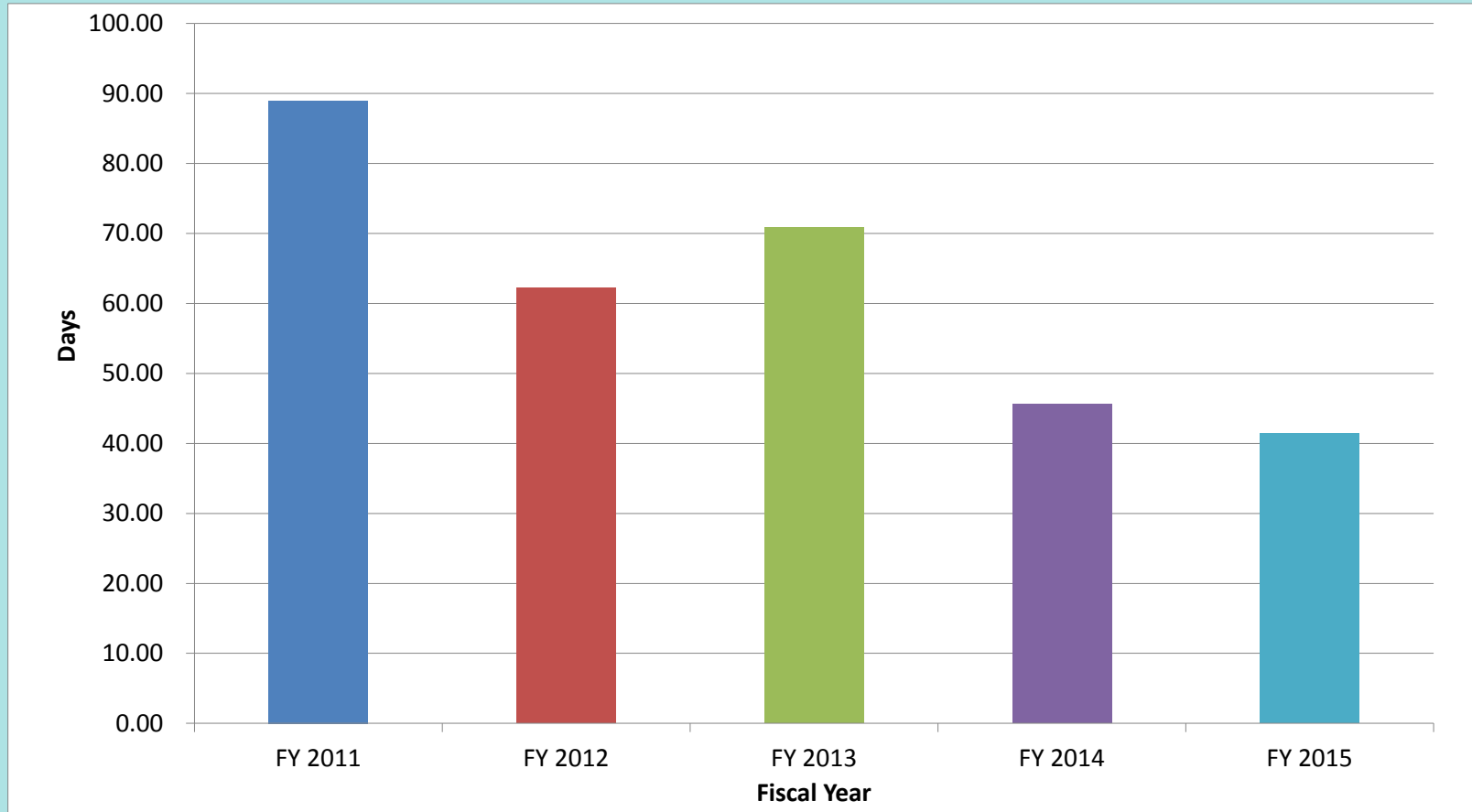
36.76

FY 2016  
1st Quarter

73.52

Per Fitch Ratings, "2014 Median Ratios for Nonprofit Hospitals and Healthcare Systems" report, the "AA" credit rating group has a benchmark of 289.4 days cash on hand.

## UNIVERSITY HSC



**FY 2011**

**FY 2012**

**FY 2013**

**FY 2014**

**FY 2015**

**FY 2016  
Sept. 30th**

88.93

62.23

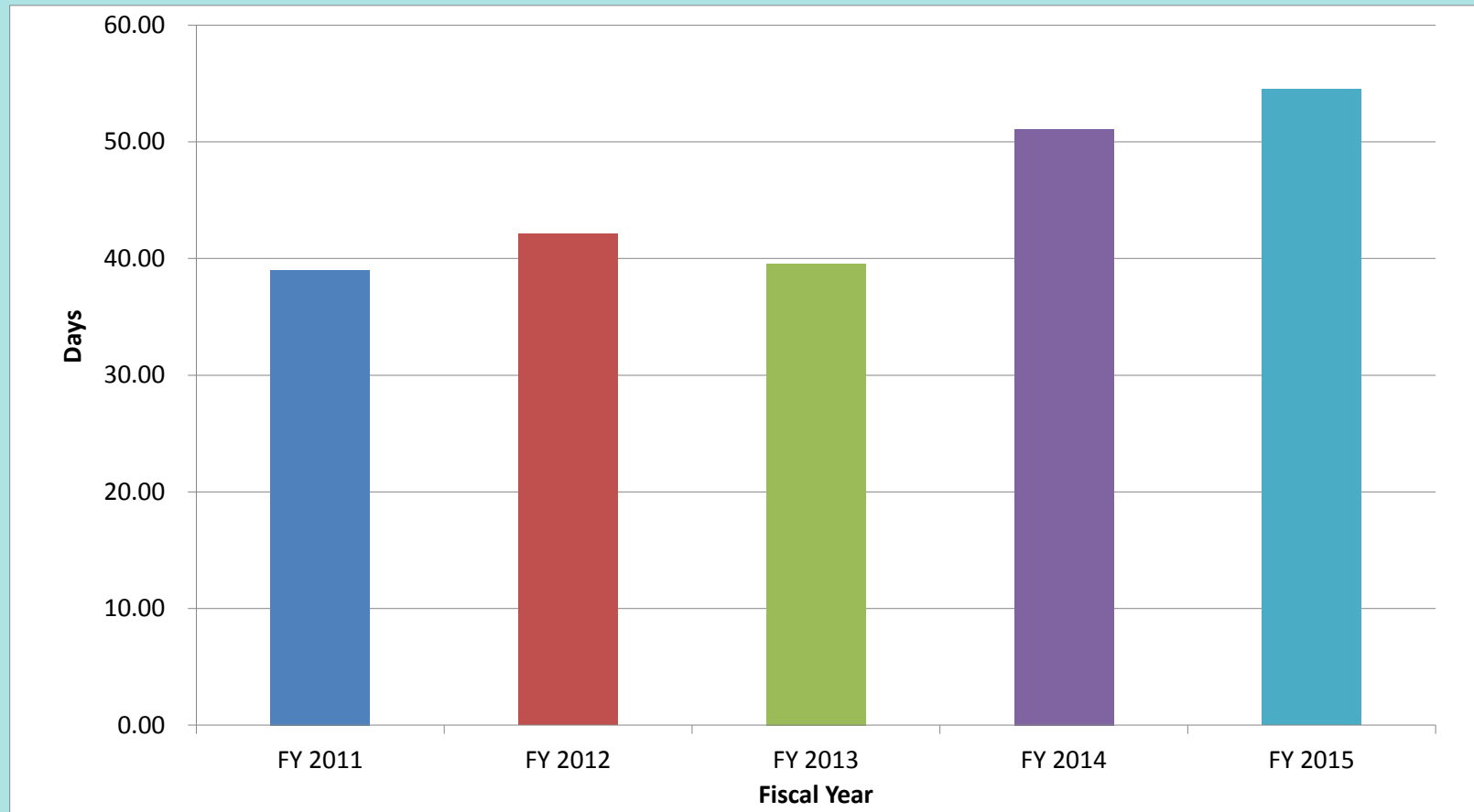
70.81

45.57

41.40

40.34

## UNM HOSPITALS



**FY 2011**

**FY 2012**

**FY 2013**

**FY 2014**

**FY 2015**

**FY 2016  
Sept. 30th**

39.03

42.14

39.58

51.09

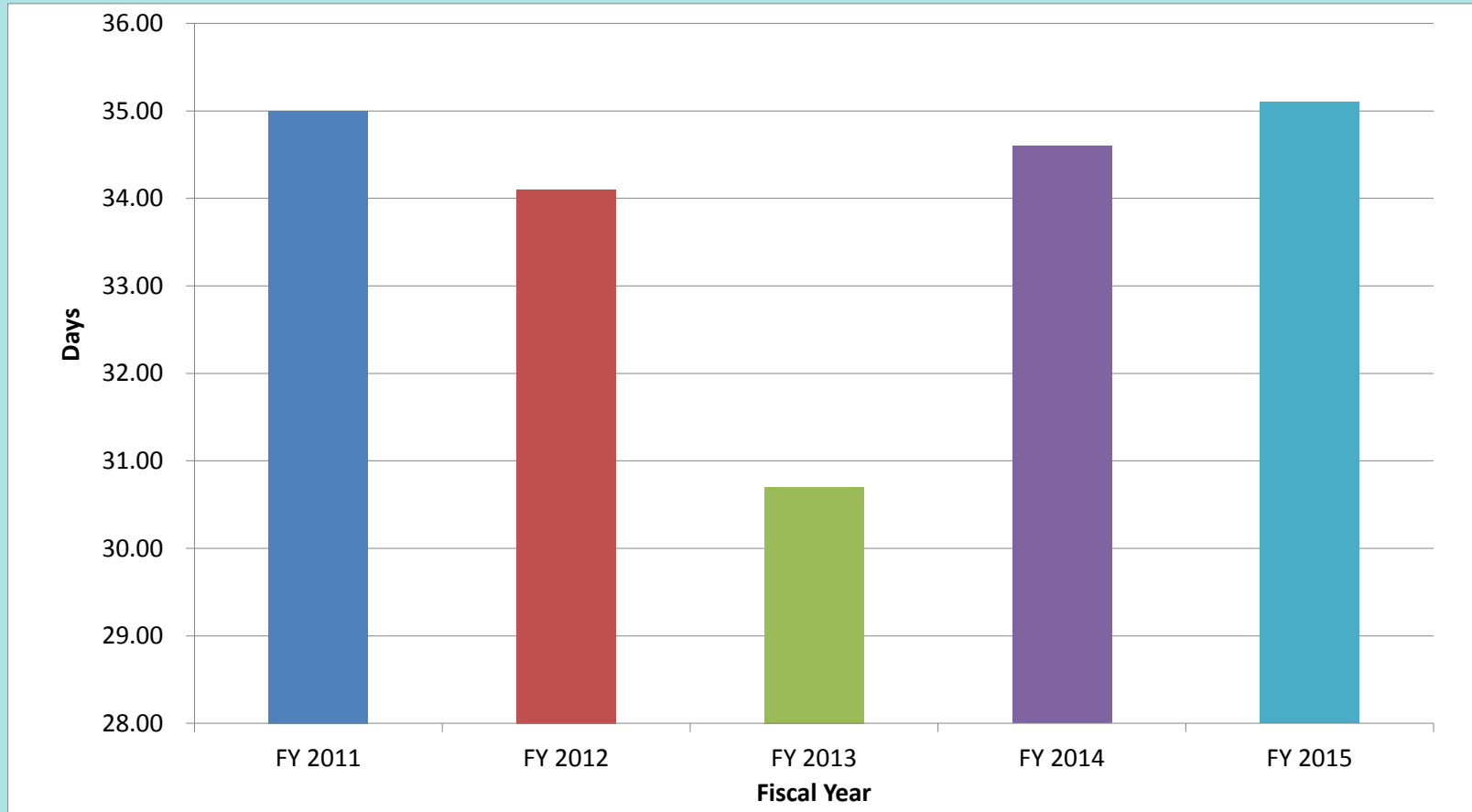
54.52

53.70

Per Fitch Ratings, "2014 Median Ratios for Nonprofit Hospitals and Healthcare Systems" report, the "AA" credit rating group has a benchmark of 47.4 days in accounts receivable



## UNM MEDICAL GROUP



FY 2011

FY 2012

FY 2013

FY 2014

FY 2015

FY 2016  
Sept. 30th

35.00

34.10

30.70

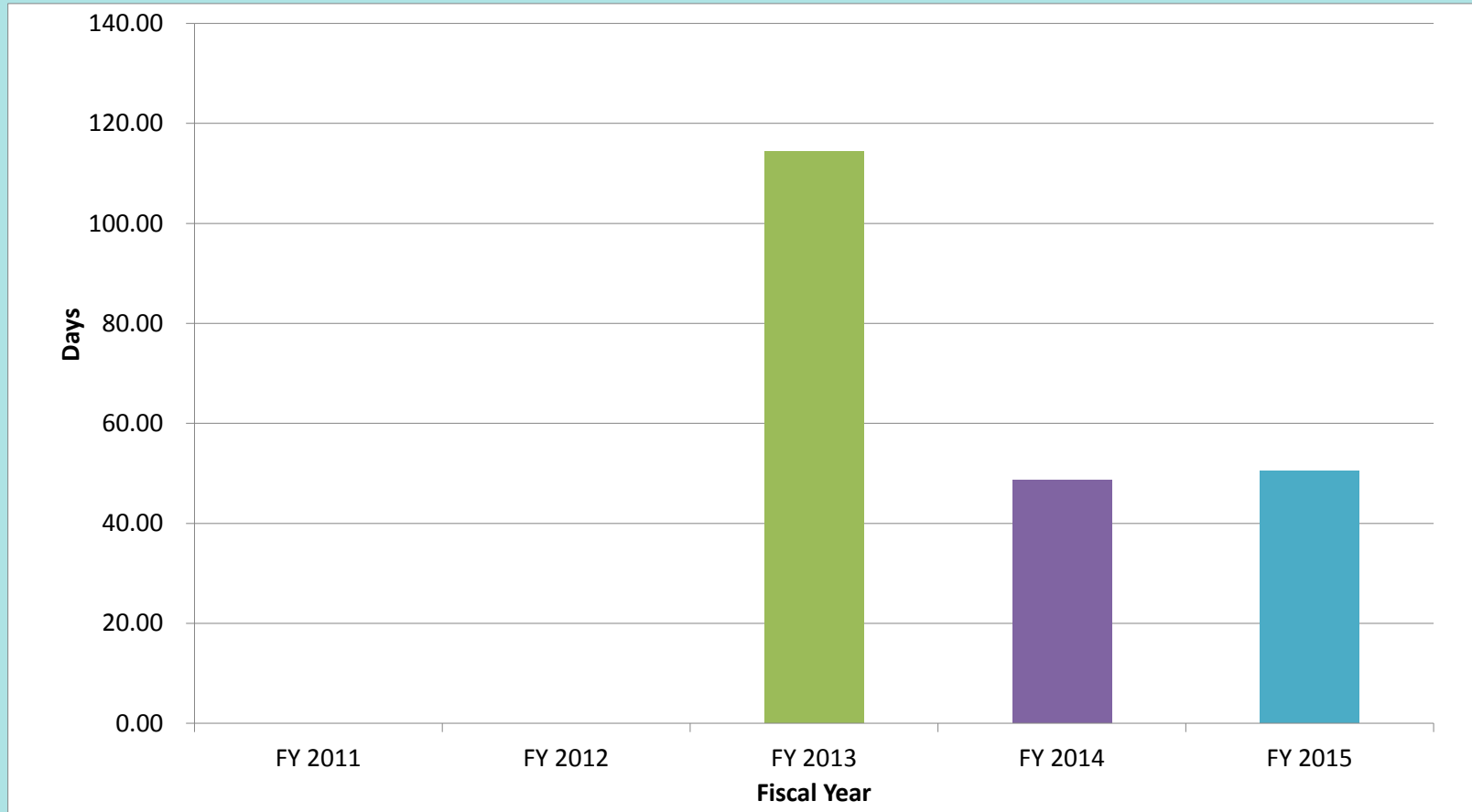
34.60

35.10

36.90

Per Fitch Ratings, "2014 Median Ratios for Nonprofit Hospitals and Healthcare Systems" report, the "AA" credit rating group has a benchmark of 47.4 days in accounts receivable

## SANDOVAL REGIONAL MEDICAL CENTER



FY 2011

FY 2012

FY 2013

FY 2014

FY 2015

FY 2016  
Sept. 30th

N/A

N/A

114.39

48.71

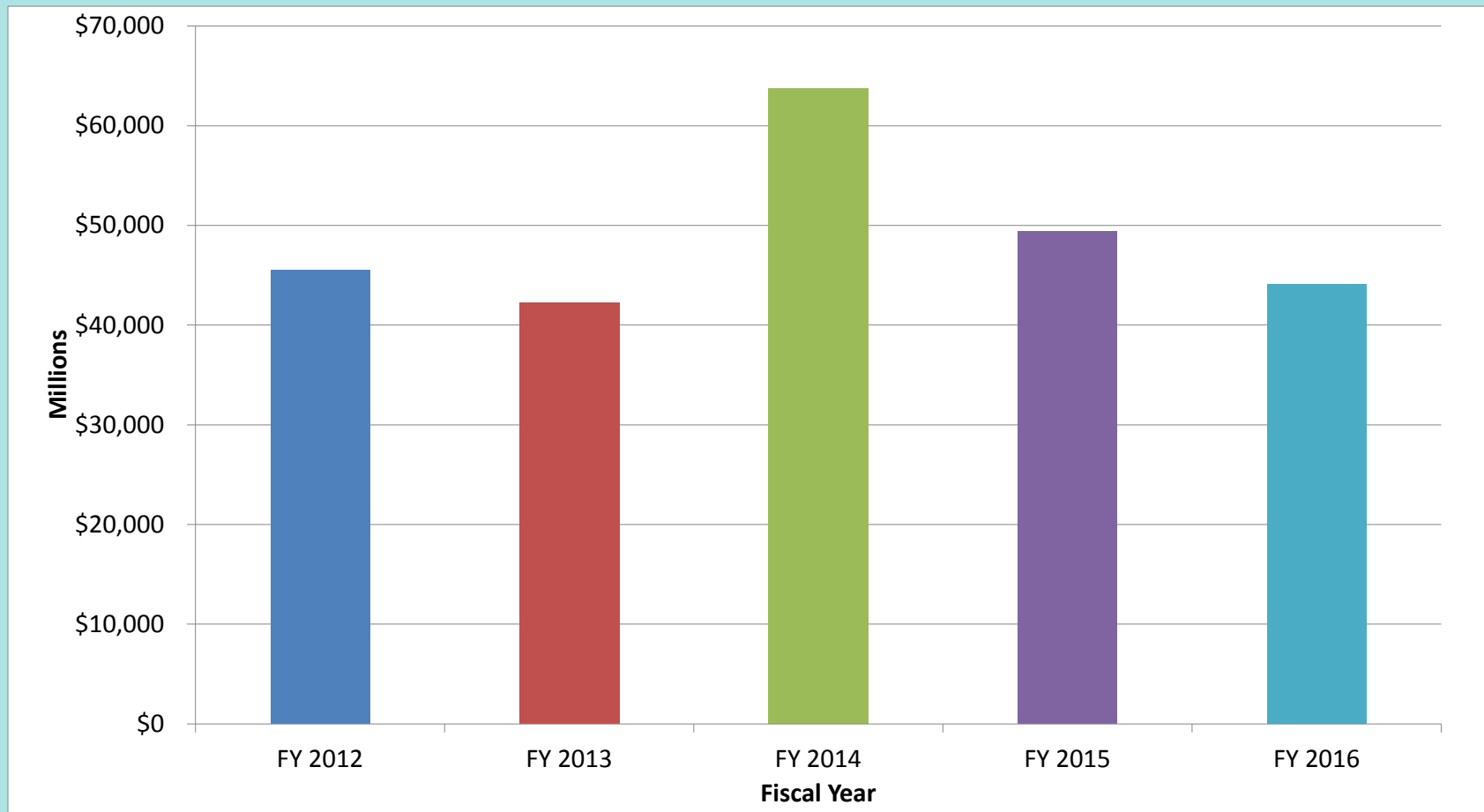
50.50

53.99

Per Fitch Ratings, "2014 Median Ratios for Nonprofit Hospitals and Healthcare Systems" report, the "AA" credit rating group has a benchmark of 47.4 days in accounts receivable

**UNM Health Sciences Center**  
**Metrics - Preliminary and Unaudited**  
**Proposals Submitted**  
**(Amounts are in thousands)**

**UNIVERSITY HSC**



**FY 2012**  
**1st Quarter**

\$45,546

**FY 2013**  
**1st Quarter**

\$42,262

**FY 2014**  
**1st Quarter**

\$63,733

**FY 2015**  
**1st Quarter**

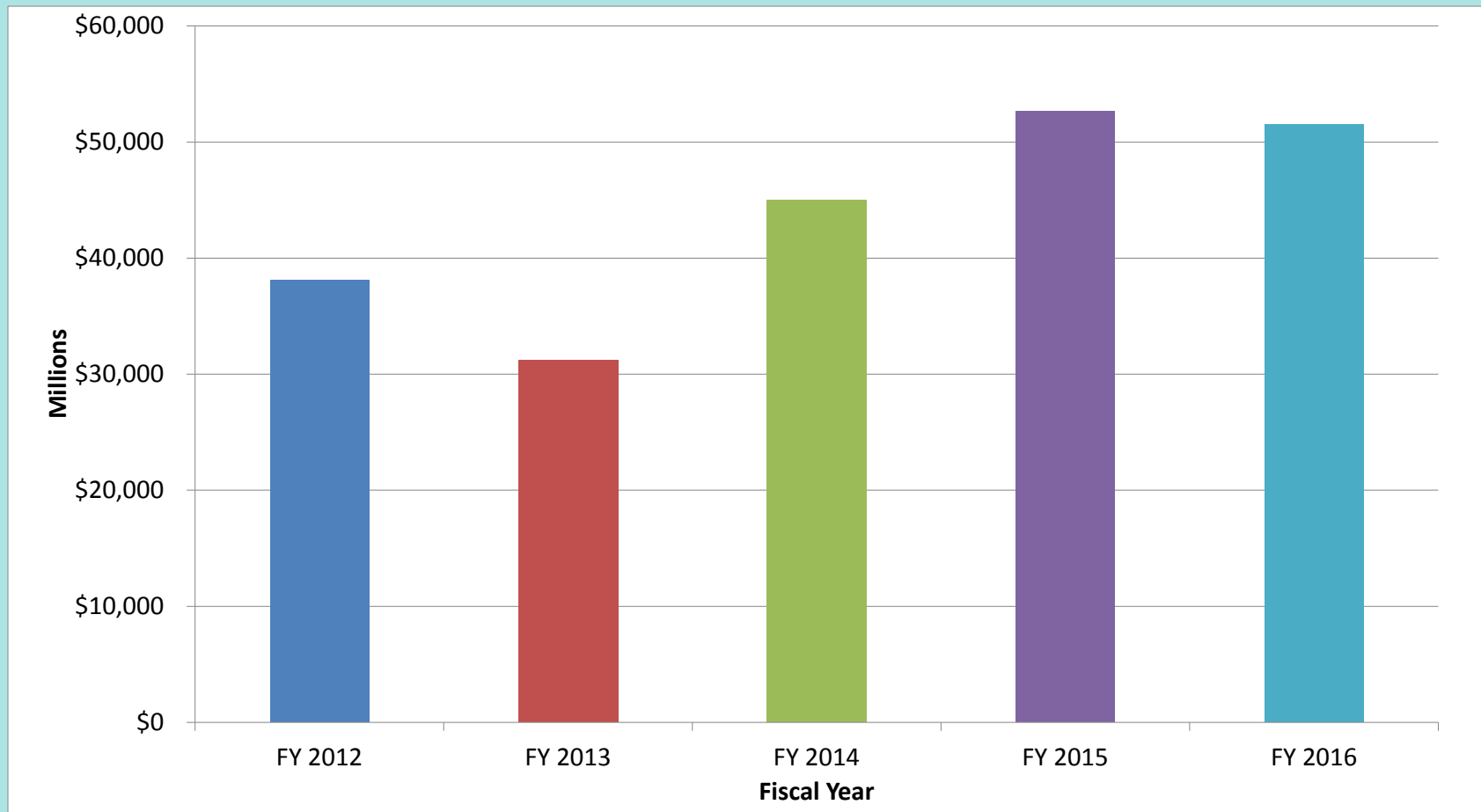
\$49,356

**FY 2016**  
**1st Quarter**

\$44,091

**UNM Health Sciences Center**  
**Metrics - Preliminary and Unaudited**  
**Awards**  
 (Amounts are in thousands)

**UNIVERSITY HSC**



**FY 2012**  
**1st Quarter**

\$38,114

**FY 2013**  
**1st Quarter**

\$31,225

**FY 2014**  
**1st Quarter**

\$45,039

**FY 2015**  
**1st Quarter**

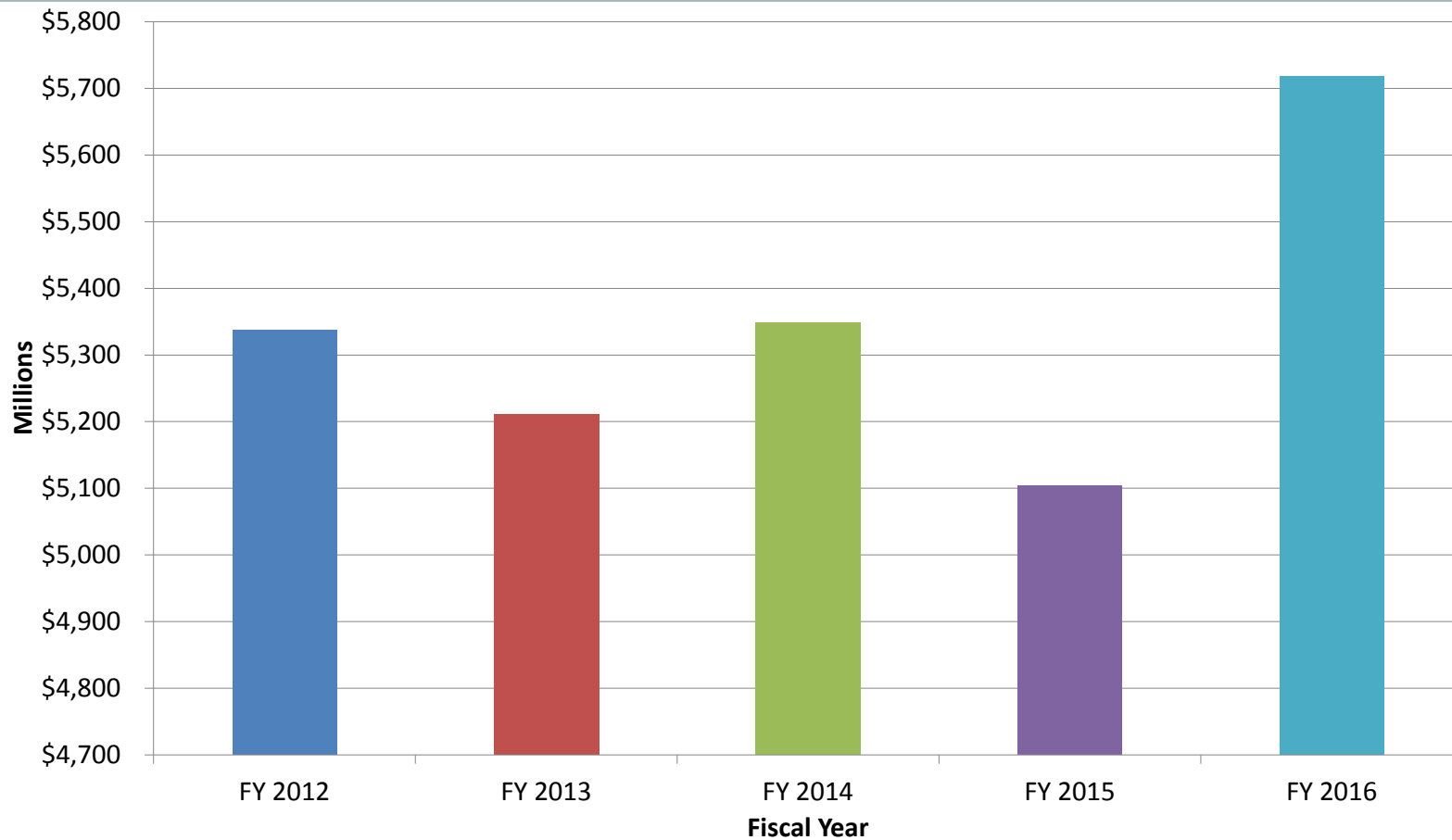
\$52,630

**FY 2016**  
**1st Quarter**

\$51,477

**UNM Health Sciences Center**  
**Metrics - Preliminary and Unaudited**  
**Earned F&A**  
 (Amounts are in thousands)

**UNIVERSITY HSC**



**FY 2012**  
**1st Quarter**

\$5,337

**FY 2013**  
**1st Quarter**

\$5,211

**FY 2014**  
**1st Quarter**

\$5,349

**FY 2015**  
**1st Quarter**

\$5,104

**FY 2016**  
**1st Quarter**

\$5,719



**UNIVERSITY OF NEW MEXICO HEALTH SCIENCES CENTER - University HSC Only\***  
**2016 Fiscal Year-to-Date Summary through September 30, 2015 (Preliminary and Unaudited)**  
(In thousands)

\* UNIVERSITY HSC ONLY INCLUDES: SOM, CON, COP, HSLIC, ADMIN, RESEARCH

	University HSC FY 2016 Re-Forecasted Budget 9/30/2015	University HSC FY 2016 Re-Forecasted YTD Budget 9/30/2015	University HSC FY 2016 YTD 9/30/2015 Actual	University HSC FY 2015 Year End Actual	University HSC FY 2016 YTD Actual to FY 2016 Re-Forecasted Budget Benchmark Rate (25%)	University HSC FY 2016 YTD Actual to FY 2015 Year End Actual Benchmark Rate (25%)
1 UNM MEDICAL GROUP REVENUES	130,650	32,663	29,898	125,625	23%	24%
2 UNM HOSPITALS REVENUES	151,730	37,933	36,525	142,751	24%	26%
3 SRMC REVENUES	20,958	5,240	5,171	19,679	25%	26%
4 TUITION AND FEES	15,745	7,873	7,507	15,811	48%	47%
5 CIGARETTE TAX APPROPRIATIONS	3,899	975	1,025	3,824	26%	27%
6 RPSP APPROPRIATIONS	20,532	5,133	5,320	19,690	26%	27%
7 I&G APPROPRIATIONS	64,455	16,114	16,114	64,907	25%	25%
8 I&G MAIN CAMPUS TRANSFERS	20,406	5,102	5,102	19,900	25%	26%
9 F&A REVENUES (OH RETURN)	24,500	6,125	5,719	24,250	23%	24%
10 HSC/UNM INTERNAL TRANSFERS	(2,195)	(549)	(2,235)	(5,578)	102%	40%
11 MILL LEVY	0	0	0	0	N/A	N/A
12 OTHER REVENUES	33,789	8,447	8,224	32,502	24%	25%
13 CONTRACT AND GRANT REVENUES	144,110	36,028	33,700	142,683	23%	24%
<b>TOTAL REVENUES</b>	<b>628,579</b>	<b>161,081</b>	<b>152,070</b>	<b>606,044</b>	<b>24%</b>	<b>25%</b>
14 TOTAL COMPENSATION EXPENSES	398,470	99,618	95,446	368,308	24%	26%
15 SUPPLIES/MEDICAL SUPPLIES	13,935	3,484	2,724	13,441	20%	20%
16 UNIVERSITY CLINICIANS PROGRAM	0	0	0	0	N/A	N/A
17 HOUSESTAFF	0	0	0	0	N/A	N/A
18 TRAVEL	5,131	1,283	967	5,080	19%	19%
19 STUDENT COSTS	3,341	835	1,188	3,024	36%	39%
20 PATIENT CARE COSTS	1,389	347	238	1,282	17%	19%
21 TELEPHONE/COMMUNICATION COSTS	2,316	579	569	2,277	25%	25%
22 PURCHASED SERVICES	38,162	9,541	8,184	35,628	21%	23%
23 OTHER MEDICAL SERVICES	0	0	0	0	N/A	N/A
24 SUB AWARDS/SERVICE CONTRACTS	1,470	368	146	1,399	10%	10%
25 O&M & LEASES	8,540	2,135	1,423	7,208	17%	20%
26 UTILITIES	5,245	1,311	1,287	5,292	25%	24%
27 DEPRECIATION	0	0	0	0	N/A	N/A
28 INTEREST EXPENSE	2,399	600	599	2,284	25%	26%
29 OTHER EXPENSES	6,344	1,586	788	2,637	12%	30%
30 CONTRACT AND GRANT EXPENSES	135,307	33,827	31,570	133,967	23%	24%
<b>TOTAL EXPENSES</b>	<b>622,049</b>	<b>155,512</b>	<b>145,129</b>	<b>581,827</b>	<b>23%</b>	<b>25%</b>
<b>OPERATING NET MARGIN</b>	<b>6,530</b>	<b>5,569</b>	<b>6,941</b>	<b>24,217</b>		
<b>NON-RECURRING ITEMS</b>						
31 CAPITAL EXPENDITURES	1,850	463	775	1,620	42%	48%
32 MEANINGFUL USE REVENUE	0	0	0	0	N/A	N/A
33 RETURN ON INVESTMENT - TRIWEST	0	0	0	0	N/A	N/A
34 USE OF UNMMG RESERVES	0	0	0	0	N/A	N/A
35 RECRUITMENT/STARTUP/SCHOLARSHIPS	957	239	230	1,870	24%	12%
36 NON-RECURRING TRANSFERS	2,983	746	1,273	9,977	43%	13%
<b>TOTAL NON-RECURRING ITEMS</b>	<b>5,790</b>	<b>1,448</b>	<b>2,278</b>	<b>13,467</b>	<b>39%</b>	<b>17%</b>
<b>NET INCOME/(USE OF RESERVES)</b>	<b>740</b>	<b>4,121</b>	<b>4,663</b>	<b>10,750</b>		





**UNIVERSITY OF NEW MEXICO HEALTH SCIENCES CENTER - UNM Hospitals Only**  
**2016 Fiscal Year-to-Date Summary through September 30, 2015 (Preliminary and Unaudited)**  
(In thousands)

Clinical Operations

	UNM Hospitals FY 2016 Re-Forecasted Budget 9/30/2015	UNM Hospitals FY 2016 Re-Forecasted YTD Budget 9/30/2015	UNM Hospitals FY 2016 YTD 9/30/2015 Actual	UNM Hospitals FY 2015 Year End Actual	UNM Hospitals FY 2016 YTD Actual to FY 2016 Re-Forecasted Budget Benchmark Rate (25%)	UNM Hospitals FY 2016 YTD Actual to FY 2015 Year End Actual Benchmark Rate (25%)
1 UNM MEDICAL GROUP REVENUES	0	0	0	0	N/A	N/A
2 UNM HOSPITALS REVENUES	892,825	223,206	228,463	911,756	26%	25%
3 SRMC REVENUES	0	0	0	0	N/A	N/A
4 TUITION AND FEES	0	0	0	0	N/A	N/A
5 CIGARETTE TAX APPROPRIATIONS	0	0	0	0	N/A	N/A
6 RPSP APPROPRIATIONS	13,117	3,279	3,279	13,117	25%	25%
7 I&G APPROPRIATIONS	0	0	0	0	N/A	N/A
8 I&G MAIN CAMPUS TRANSFERS	0	0	0	0	N/A	N/A
9 F&A REVENUES (OH RETURN)	0	0	0	0	N/A	N/A
10 HSC/UNM INTERNAL TRANSFERS	0	0	0	0	N/A	N/A
11 MILL LEVY	93,617	23,404	23,304	93,249	25%	25%
12 OTHER REVENUES	28,206	7,052	8,063	28,172	29%	29%
13 CONTRACT AND GRANT REVENUES	2,851	713	649	3,576	23%	18%
<b>TOTAL REVENUES</b>	<b>1,030,616</b>	<b>257,654</b>	<b>263,758</b>	<b>1,049,870</b>	<b>26%</b>	<b>25%</b>
14 TOTAL COMPENSATION EXPENSES	479,870	119,968	115,068	430,998	24%	27%
15 SUPPLIES/MEDICAL SUPPLIES	163,146	40,787	40,361	149,878	25%	27%
16 UNIVERSITY CLINICIANS PROGRAM	79,983	19,996	19,911	70,757	25%	28%
17 HOUSESTAFF	29,224	7,306	7,421	27,459	25%	27%
18 TRAVEL	694	174	170	652	24%	26%
19 STUDENT COSTS	0	0	0	0	N/A	N/A
20 PATIENT CARE COSTS	38,000	9,500	8,980	36,148	24%	25%
21 TELEPHONE/COMMUNICATION COSTS	4,722	1,181	938	3,768	20%	25%
22 PURCHASED SERVICES	53,738	13,435	13,127	48,939	24%	27%
23 OTHER MEDICAL SERVICES	37,915	9,479	10,390	36,867	27%	28%
24 SUB AWARDS/SERVICE CONTRACTS	10,920	2,730	2,583	9,927	24%	26%
25 O&M & LEASES	20,109	5,027	4,807	17,824	24%	27%
26 UTILITIES	7,651	1,913	2,058	6,670	27%	31%
27 DEPRECIATION	33,538	8,385	8,036	33,706	24%	24%
28 INTEREST EXPENSE	3,201	800	800	6,868	25%	12%
29 OTHER EXPENSES	38,417	9,604	9,243	33,997	24%	27%
30 CONTRACT AND GRANT EXPENSES	0	0	0	0	N/A	N/A
<b>TOTAL EXPENSES</b>	<b>1,001,128</b>	<b>250,282</b>	<b>243,893</b>	<b>914,458</b>	<b>24%</b>	<b>27%</b>
<b>OPERATING NET MARGIN</b>	<b>29,488</b>	<b>7,372</b>	<b>19,865</b>	<b>135,412</b>		
<b>NON-RECURRING ITEMS</b>						
31 CAPITAL EXPENDITURES	29,025	7,256	19,038	128,982	66%	15%
32 MEANINGFUL USE REVENUE	0	0	0	0	N/A	N/A
33 RETURN ON INVESTMENT - TRIWEST	0	0	0	(14,172)	N/A	0%
34 USE OF UNMMG RESERVES	0	0	0	0	N/A	N/A
35 RECRUITMENT/STARTUP/SCHOLARSHIPS	0	0	0	0	N/A	N/A
36 NON-RECURRING TRANSFERS	0	0	0	0	N/A	N/A
<b>TOTAL NON-RECURRING ITEMS</b>	<b>29,025</b>	<b>7,256</b>	<b>19,038</b>	<b>114,810</b>	<b>66%</b>	<b>17%</b>
<b>NET INCOME/(USE OF RESERVES)</b>	<b>463</b>	<b>116</b>	<b>827</b>	<b>20,602</b>		



**UNIVERSITY OF NEW MEXICO HEALTH SCIENCES CENTER - UNMMG Only**  
**2016 Fiscal Year-to-Date Summary through September 30, 2015 (Preliminary and Unaudited)**  
(In thousands)

Clinical Operations

	UNMMG FY 2016 Re-Forecasted Budget 9/30/2015	UNMMG FY 2016 Re-Forecasted YTD Budget 9/30/2015	UNMMG FY 2016 YTD 9/30/2015 Actual	UNMMG FY 2015 Year End Actual	UNMMG FY 2016 YTD Actual to FY 2016 Re-Forecasted Budget Benchmark Rate (25%)	UNMMG FY 2016 YTD Actual to FY 2015 Year End Actual Benchmark Rate (25%)
1 UNM MEDICAL GROUP REVENUES	200,318	50,080	46,469	189,966	23%	24%
2 UNM HOSPITALS REVENUES	0	0	0	0	N/A	N/A
3 SRMC REVENUES	0	0	0	0	N/A	N/A
4 TUITION AND FEES	0	0	0	0	N/A	N/A
5 CIGARETTE TAX APPROPRIATIONS	0	0	0	0	N/A	N/A
6 RPSP APPROPRIATIONS	1,265	316	316	813	25%	39%
7 I&G APPROPRIATIONS	0	0	0	0	N/A	N/A
8 I&G MAIN CAMPUS TRANSFERS	0	0	0	0	N/A	N/A
9 F&A REVENUES (OH RETURN)	0	0	0	0	N/A	N/A
10 HSC/UNM INTERNAL TRANSFERS	0	0	0	0	N/A	N/A
11 MILL LEVY	0	0	0	0	N/A	N/A
12 OTHER REVENUES	9,102	2,276	2,349	10,513	26%	22%
13 CONTRACT AND GRANT REVENUES	0	0	0	0	N/A	N/A
<b>TOTAL REVENUES</b>	<b>210,685</b>	<b>52,671</b>	<b>49,134</b>	<b>201,292</b>	<b>23%</b>	<b>24%</b>
14 TOTAL COMPENSATION EXPENSES	20,392	5,098	4,503	17,473	22%	26%
15 SUPPLIES/MEDICAL SUPPLIES	0	0	0	0	N/A	N/A
16 UNIVERSITY CLINICIANS PROGRAM	0	0	0	0	N/A	N/A
17 HOUSESTAFF	0	0	0	0	N/A	N/A
18 TRAVEL	0	0	0	0	N/A	N/A
19 STUDENT COSTS	0	0	0	0	N/A	N/A
20 PATIENT CARE COSTS	30,497	7,624	6,715	24,266	22%	28%
21 TELEPHONE/COMMUNICATION COSTS	0	0	0	0	N/A	N/A
22 PURCHASED SERVICES	148,240	37,060	35,759	144,340	24%	25%
23 OTHER MEDICAL SERVICES	0	0	0	0	N/A	N/A
24 SUB AWARDS/SERVICE CONTRACTS	0	0	0	0	N/A	N/A
25 O&M & LEASES	544	136	133	485	24%	27%
26 UTILITIES	0	0	0	0	N/A	N/A
27 DEPRECIATION	390	98	118	419	30%	28%
28 INTEREST EXPENSE	0	0	0	0	N/A	N/A
29 OTHER EXPENSES	7,323	1,831	1,523	6,426	21%	24%
30 CONTRACT AND GRANT EXPENSES	0	0	0	0	N/A	N/A
<b>TOTAL EXPENSES</b>	<b>207,386</b>	<b>51,847</b>	<b>48,751</b>	<b>193,409</b>	<b>24%</b>	<b>25%</b>
<b>OPERATING NET MARGIN</b>	<b>3,299</b>	<b>825</b>	<b>383</b>	<b>7,883</b>		
<b>NON-RECURRING ITEMS</b>						
31 CAPITAL EXPENDITURES	0	0	0	0	N/A	N/A
32 MEANINGFUL USE REVENUE	(100)	(25)	0	(55)	0%	0%
33 RETURN ON INVESTMENT - TRIWEST	0	0	0	0	N/A	N/A
34 USE OF UNMMG RESERVES	2,500	625	170	6,829	7%	2%
35 RECRUITMENT/STARTUP/SCHOLARSHIPS	0	0	0	0	N/A	N/A
36 NON-RECURRING TRANSFERS	0	0	0	0	N/A	N/A
<b>TOTAL NON-RECURRING ITEMS</b>	<b>2,400</b>	<b>600</b>	<b>170</b>	<b>6,774</b>	<b>7%</b>	<b>3%</b>
<b>NET INCOME/(USE OF RESERVES)</b>	<b>899</b>	<b>225</b>	<b>213</b>	<b>1,109</b>		



**UNIVERSITY OF NEW MEXICO HEALTH SCIENCES CENTER - SRMC Only**  
**2016 Fiscal Year-to-Date Summary through September 30, 2015 (Preliminary and Unaudited)**  
(In thousands)

Clinical Operations

	SRMC FY 2016 Re-Forecasted Budget 9/30/2015	SRMC FY 2016 Re-Forecasted YTD Budget 9/30/2015	SRMC FY 2016 YTD 9/30/2015 Actual	SRMC FY 2015 Year End Actual	SRMC FY 2016 YTD Actual to FY 2016 Re-Forecasted Budget Benchmark Rate (25%)	SRMC FY 2016 YTD Actual to FY 2015 Year End Actual Benchmark Rate (25%)
1 UNM MEDICAL GROUP REVENUES	0	0	0	0	N/A	N/A
2 UNM HOSPITALS REVENUES	0	0	0	0	N/A	N/A
3 SRMC REVENUES	79,351	19,838	19,533	74,755	25%	26%
4 TUITION AND FEES	0	0	0	0	N/A	N/A
5 CIGARETTE TAX APPROPRIATIONS	0	0	0	0	N/A	N/A
6 RPSP APPROPRIATIONS	0	0	0	0	N/A	N/A
7 I&G APPROPRIATIONS	0	0	0	0	N/A	N/A
8 I&G MAIN CAMPUS TRANSFERS	0	0	0	0	N/A	N/A
9 F&A REVENUES (OH RETURN)	0	0	0	0	N/A	N/A
10 HSC/UNM INTERNAL TRANSFERS	0	0	0	0	N/A	N/A
11 MILL LEVY	6,117	1,529	1,529	6,081	25%	25%
12 OTHER REVENUES	468	117	122	468	26%	26%
13 CONTRACT AND GRANT REVENUES	0	0		59	N/A	0%
<b>TOTAL REVENUES</b>	<b>85,936</b>	<b>21,484</b>	<b>21,184</b>	<b>81,363</b>	<b>25%</b>	<b>26%</b>
14 TOTAL COMPENSATION EXPENSES	37,257	9,314	9,344	34,376	25%	27%
15 SUPPLIES/MEDICAL SUPPLIES	16,309	4,077	4,057	15,098	25%	27%
16 UNIVERSITY CLINICIANS PROGRAM	517	129	150	324	29%	46%
17 HOUSESTAFF	207	52	46	246	22%	19%
18 TRAVEL	37	9	8	33	22%	24%
19 STUDENT COSTS	0	0	0	0	N/A	N/A
20 PATIENT CARE COSTS	6,370	1,593	1,329	4,342	21%	31%
21 TELEPHONE/COMMUNICATION COSTS	113	28	28	94	25%	30%
22 PURCHASED SERVICES	3,487	872	1,049	3,718	30%	28%
23 OTHER MEDICAL SERVICES	1,714	429	184	864	11%	21%
24 SUB AWARDS/SERVICE CONTRACTS	2,241	560	564	1,581	25%	36%
25 O&M & LEASES	1,037	259	198	935	19%	21%
26 UTILITIES	968	242	237	830	24%	29%
27 DEPRECIATION	8,488	2,122	2,204	9,621	26%	23%
28 INTEREST EXPENSE	3,939	985	985	4,013	25%	25%
29 OTHER EXPENSES	3,064	766	684	2,627	22%	26%
30 CONTRACT AND GRANT EXPENSES	0	0	0	0	N/A	N/A
<b>TOTAL EXPENSES</b>	<b>85,748</b>	<b>21,437</b>	<b>21,067</b>	<b>78,702</b>	<b>25%</b>	<b>27%</b>
<b>OPERATING NET MARGIN</b>	<b>188</b>	<b>47</b>	<b>117</b>	<b>2,661</b>		
<b>NON-RECURRING ITEMS</b>						
31 CAPITAL EXPENDITURES	0	0	0	0	N/A	N/A
32 MEANINGFUL USE REVENUE	0	0	0	0	N/A	N/A
33 RETURN ON INVESTMENT - TRIWEST	0	0	0	0	N/A	N/A
34 USE OF UNMMG RESERVES	0	0	0	0	N/A	N/A
35 RECRUITMENT/STARTUP/SCHOLARSHIPS	0	0	0	0	N/A	N/A
36 NON-RECURRING TRANSFERS	0	0	0	0	N/A	N/A
<b>TOTAL NON-RECURRING ITEMS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>N/A</b>	<b>N/A</b>
<b>NET INCOME/(USE OF RESERVES)</b>	<b>188</b>	<b>47</b>	<b>117</b>	<b>2,661</b>		



**UNIVERSITY OF NEW MEXICO HEALTH SCIENCES CENTER - Consolidated HSC**  
**2016 Fiscal Year-to-Date Summary through September 30, 2015 (Preliminary and Unaudited)**  
(In thousands)

\* INCLUDES INTERCOMPANY ELIMINATIONS

Clinical and Academic Operations

	Consolidated HSC FY 2016 Re-Forecasted Budget 9/30/2015	Consolidated HSC FY 2016 Re-Forecasted YTD Budget 9/30/2015	Consolidated HSC FY 2016 YTD 9/30/2015 Actual	Consolidated HSC FY 2015 Year End Actual	Consolidated HSC FY 2016 YTD Actual to FY 2016 Re-Forecasted Budget Benchmark Rate (25%)	Consolidated HSC FY 2016 YTD Actual to FY 2015 Year End Actual Benchmark Rate (25%)
1 UNM MEDICAL GROUP REVENUES *	200,318	50,080	46,469	189,966	23%	24%
2 UNM HOSPITALS REVENUES *	895,456	223,864	228,923	914,420	26%	25%
3 SRMC REVENUES *	79,351	19,838	19,533	74,755	25%	26%
4 TUITION AND FEES	15,745	7,873	7,507	15,811	48%	47%
5 CIGARETTE TAX APPROPRIATIONS	3,899	975	1,025	3,824	26%	27%
6 RPSP APPROPRIATIONS	34,914	8,729	8,915	33,620	26%	27%
7 I&G APPROPRIATIONS	64,455	16,114	16,114	64,907	25%	25%
8 I&G MAIN CAMPUS TRANSFERS	20,406	5,102	5,102	19,900	25%	26%
9 F&A REVENUES (OH RETURN)	24,500	6,125	5,719	24,250	23%	24%
10 HSC/UNM INTERNAL TRANSFERS	(2,195)	(549)	(2,235)	(5,578)	102%	40%
11 MILL LEVY	99,734	24,934	24,833	99,330	25%	25%
12 OTHER REVENUES *	52,157	13,039	14,484	54,801	28%	26%
13 CONTRACT AND GRANT REVENUES	146,961	36,740	34,349	146,318	23%	23%
<b>TOTAL REVENUES</b>	<b>1,635,701</b>	<b>412,862</b>	<b>410,738</b>	<b>1,636,324</b>	25%	25%
14 TOTAL COMPENSATION EXPENSES *	635,872	158,968	153,745	567,656	24%	27%
15 SUPPLIES/MEDICAL SUPPLIES	193,390	48,348	47,142	178,187	24%	26%
16 UNIVERSITY CLINICIANS PROGRAM	80,500	20,125	20,061	71,081	25%	28%
17 HOUSESTAFF	29,431	7,358	7,467	27,705	25%	27%
18 TRAVEL	5,862	1,466	1,145	5,765	20%	20%
19 STUDENT COSTS	3,341	835	1,188	3,024	36%	39%
20 PATIENT CARE COSTS	76,256	19,064	17,262	66,038	23%	26%
21 TELEPHONE/COMMUNICATION COSTS	7,151	1,788	1,535	6,139	21%	25%
22 PURCHASED SERVICES *	223,629	55,907	53,327	213,964	24%	25%
23 OTHER MEDICAL SERVICES	39,629	9,907	10,574	37,731	27%	28%
24 SUB AWARDS/SERVICE CONTRACTS	14,631	3,658	3,293	12,907	23%	26%
25 O&M & LEASES	30,230	7,558	6,561	26,598	22%	25%
26 UTILITIES	13,864	3,466	3,582	12,792	26%	28%
27 DEPRECIATION	42,416	10,604	10,358	43,746	24%	24%
28 INTEREST EXPENSE	9,539	2,385	2,384	13,165	25%	18%
29 OTHER EXPENSES	55,148	13,787	12,238	45,686	22%	27%
30 CONTRACT AND GRANT EXPENSES	135,307	33,827	31,570	133,967	23%	24%
<b>TOTAL EXPENSES</b>	<b>1,596,196</b>	<b>399,049</b>	<b>383,432</b>	<b>1,466,151</b>	24%	26%
<b>OPERATING NET MARGIN</b>	<b>39,505</b>	<b>13,813</b>	<b>27,306</b>	<b>170,173</b>		
<b>NON-RECURRING ITEMS</b>						
31 CAPITAL EXPENDITURES	30,876	7,719	19,813	130,602	64%	15%
32 MEANINGFUL USE REVENUE	(100)	(25)	0	(55)	0%	0%
33 RETURN ON INVESTMENT - TRIWEST	0	0	0	(14,172)	N/A	0%
34 USE OF UNMMG RESERVES	2,500	625	170	6,829	7%	2%
35 RECRUITMENT/STARTUP/SCHOLARSHIPS	957	239	230	1,870	24%	12%
36 NON-RECURRING TRANSFERS	2,983	746	1,273	9,977	43%	13%
<b>TOTAL NON-RECURRING ITEMS</b>	<b>37,216</b>	<b>9,304</b>	<b>21,486</b>	<b>135,051</b>	58%	16%
<b>NET INCOME/(USE OF RESERVES)</b>	<b>2,289</b>	<b>4,509</b>	<b>5,820</b>	<b>35,122</b>		



**UNIVERSITY OF NEW MEXICO HEALTH SCIENCES CENTER - Consolidated HSC**  
**2016 Fiscal Year-to-Date Summary through September 30, 2015 (Preliminary and Unaudited)**  
(In thousands)  
**DOES NOT INCLUDE INTERCOMPANY ELIMINATIONS**

**Clinical and Academic Operations**

	Consolidated HSC FY 2016 Re-Forecasted Budget 9/30/2015	Consolidated HSC FY 2016 Re-Forecasted YTD Budget 9/30/2015	Consolidated HSC FY 2016 YTD 9/30/2015 Actual	Consolidated HSC FY 2015 Year End Actual	Consolidated HSC FY 2016 YTD Actual to FY 2016 Re-Forecasted Budget Benchmark Rate (25%)	Consolidated HSC FY 2016 YTD Actual to FY 2015 Year End Actual Benchmark Rate (25%)
1 UNM MEDICAL GROUP REVENUES	330,968	82,742	76,367	315,591	23%	24%
2 UNM HOSPITALS REVENUES	1,044,555	261,139	264,988	1,054,507	25%	25%
3 SRMC REVENUES	100,309	25,077	24,704	94,434	25%	26%
4 TUITION AND FEES	15,745	7,873	7,507	15,811	48%	47%
5 CIGARETTE TAX APPROPRIATIONS	3,899	975	1,025	3,824	26%	27%
6 RPSP APPROPRIATIONS	34,914	8,729	8,915	33,620	26%	27%
7 I&G APPROPRIATIONS	64,455	16,114	16,114	64,907	25%	25%
8 I&G MAIN CAMPUS TRANSFERS	20,406	5,102	5,102	19,900	25%	26%
9 F&A REVENUES (OH RETURN)	24,500	6,125	5,719	24,250	23%	24%
10 HSC/UNM INTERNAL TRANSFERS	(2,195)	(549)	(2,235)	(5,578)	102%	40%
11 MILL LEVY	99,734	24,934	24,833	99,330	25%	25%
12 OTHER REVENUES	71,565	17,891	18,758	71,655	26%	26%
13 CONTRACT AND GRANT REVENUES	146,961	36,740	34,349	146,318	23%	23%
<b>TOTAL REVENUES</b>	<b>1,955,816</b>	<b>492,890</b>	<b>486,146</b>	<b>1,938,569</b>	25%	25%
14 TOTAL COMPENSATION EXPENSES	935,989	233,997	224,361	851,155	24%	26%
15 SUPPLIES/MEDICAL SUPPLIES	193,390	48,348	47,142	178,417	24%	26%
16 UNIVERSITY CLINICIANS PROGRAM	80,500	20,125	20,061	71,081	25%	28%
17 HOUSESTAFF	29,431	7,358	7,467	27,705	25%	27%
18 TRAVEL	5,862	1,466	1,145	5,765	20%	20%
19 STUDENT COSTS	3,341	835	1,188	3,024	36%	39%
20 PATIENT CARE COSTS	76,256	19,064	17,262	66,038	23%	26%
21 TELEPHONE/COMMUNICATION COSTS	7,151	1,788	1,535	6,139	21%	25%
22 PURCHASED SERVICES	243,627	60,907	58,119	232,625	24%	25%
23 OTHER MEDICAL SERVICES	39,629	9,907	10,574	37,731	27%	28%
24 SUB AWARDS/SERVICE CONTRACTS	14,631	3,658	3,293	12,907	23%	26%
25 O&M & LEASES	30,230	7,558	6,561	26,452	22%	25%
26 UTILITIES	13,864	3,466	3,582	12,792	26%	28%
27 DEPRECIATION	42,416	10,604	10,358	43,746	24%	24%
28 INTEREST EXPENSE	9,539	2,385	2,384	13,165	25%	18%
29 OTHER EXPENSES	55,148	13,787	12,238	45,687	22%	27%
30 CONTRACT AND GRANT EXPENSES	135,307	33,827	31,570	133,967	23%	24%
<b>TOTAL EXPENSES</b>	<b>1,916,311</b>	<b>479,078</b>	<b>458,840</b>	<b>1,768,396</b>	24%	26%
<b>OPERATING NET MARGIN</b>	<b>39,505</b>	<b>13,813</b>	<b>27,306</b>	<b>170,173</b>		
<b>NON-RECURRING ITEMS</b>						
31 CAPITAL EXPENDITURES	30,876	7,719	19,813	130,602	64%	15%
32 MEANINGFUL USE REVENUE	(100)	(25)	0	(55)	0%	0%
33 RETURN ON INVESTMENT - TRIWEST	0	0	0	(14,172)	N/A	0%
34 USE OF UNMMG RESERVES	2,500	625	170	6,829	7%	2%
35 RECRUITMENT/STARTUP/SCHOLARSHIPS	957	239	230	1,870	24%	12%
36 NON-RECURRING TRANSFERS	2,983	746	1,273	9,977	43%	13%
<b>TOTAL NON-RECURRING ITEMS</b>	<b>37,216</b>	<b>9,304</b>	<b>21,486</b>	<b>135,051</b>	58%	16%
<b>NET INCOME/(USE OF RESERVES)</b>	<b>2,289</b>	<b>4,509</b>	<b>5,820</b>	<b>35,122</b>		

## GLOSSARY OF REPORT CATEGORIES

FINANCIAL STATEMENT CATEGORY		UNM	UNMMG	UNM Hospitals	SRMC
1	UNM MEDICAL GROUP REVENUES	Clinical revenue primarily based on Physician or Provider efforts and collection through UNMMG	Net patient services revenue including SCI & UPL from UNMMG Clinical operations	N/A	N/A
2	UNM HOSPITALS REVENUES	Revenue from University Hospital to the School of Medicine	N/A	Hospital facility revenue based on patient billings by UNMH	N/A
3	SRMC REVENUES	Revenue from SRMC to the School of Medicine	N/A	N/A	Hospital facility revenue based on patient billings by SRMC
4	TUITION AND FEES	Tuition & Fees, including tuition differentials	N/A	N/A	N/A
5	CIGARETTE TAX APPROPRIATIONS	Revenues received from the State as a calculated portion of Tax Revenue on the sale of tobacco products for use in Cancer Research	N/A	N/A	N/A
6	RPSP APPROPRIATIONS	Revenue received for current operations made available to UNM by act of NM State Legislature on an annual basis for Research, Public Service and Independent Operations	N/A	Revenue received for current operations made available to UNMH by act of NM State Legislature on an annual basis for Research, Public Service and Independent Operations	N/A
7	I&G APPROPRIATIONS	Revenue received for current operations made available to UNM by act of NM State Legislature on an annual basis for I&G operations	N/A	N/A	N/A
8	I&G MAIN CAMPUS TRANSFERS	Partial transfer of tuition and formula workload generated by Nursing, Pharmacy and SOM	N/A	N/A	N/A
9	F & A REVENUES (OH RETURN)	Revenue from recovery of indirect costs (F&A) incurred by a Contract or Grant also known as overhead return	N/A	N/A	N/A
10	HSC/UNM INTERNAL TRANSFERS	All transfers to/from HSC Unrestricted Funds excluding the I&G Main Campus Transfer and Transfers for Debt Service	N/A	N/A	N/A
11	MILL LEVY	N/A	N/A	Mil levy taxes collected on behalf of the Bernalillo County Treasurer and remitted to UNMH as required by the Hospital Funding Act.	Mil levy taxes collected on behalf of the Sandoval County Treasurer and remitted to SRMC as required by the Hospital Funding Act.
12	OTHER REVENUES	All other Revenues - not contained in any other category - Sales & Services (not Internal Service Center P18 sales), Gains on Sponsored Projects, Gifts, Endowment Spending Distributions, Investment Income, etc.	Other operating revenues and revenue received from UNM Hospitals to cover SRMC physician costs.	All other revenues not contained in any other category: Investment income, equity loss in Tricore, donated revenue, gain/loss on sale of assets, food, nutrition, catering & vending revenue, medical records revenue, rent revenue, all other non-operating revenue	All other revenues not contained in any other category: Investment income, donated revenue, gain/loss on sale of assets, food, nutrition, catering & vending revenue, medical records revenue, rent revenue, all other non-operating revenue
13	CONTRACT AND GRANT REVENUES	All Restricted Funds Revenue and Unrestricted Contract Revenue for example VA contracts	N/A	Revenue associated with restricted and unrestricted contracts and grants	N/A
14	TOTAL COMPENSATION EXPENSES	Salary, wages & benefits	Salaries and benefits considered to be operating and certain clinical expenses of UNMMG	Salary, wages & benefits	Salary, wages & benefits



## GLOSSARY OF REPORT CATEGORIES

FINANCIAL STATEMENT CATEGORY	UNM	UNMMG	UNM Hospitals	SRMC
15 SUPPLIES/MEDICAL SUPPLIES	Office supplies, computer supplies, dues & memberships, postage charges, recruitment expenses, non capital equipment, computers, food, lab supplies, uniforms, training materials, etc.	N/A	Medical supplies for: lab, radiology, blood, pharmaceuticals, biologics, implantable devices, office supplies, computer supplies, photocopy expense, forms, linen, food, uniforms, and training materials.	Medical supplies for: lab, radiology, blood, pharmaceuticals, biologics, implantable devices, office supplies, computer supplies, photocopy expense, forms, linen, food, uniforms, and training materials.
16 UNIVERSITY CLINICIANS PROGRAM	N/A	N/A	Special clinician program to support SOM	Special clinician program to support SOM
17 HOUSESTAFF	N/A	N/A	Reimbursement of patient care services provided by residents who are employed by SOM.	Reimbursement of patient care services provided by SOM through UNMMG.
18 TRAVEL	Travel - in state, out of state, foreign, business meals, rental vehicles, new employee moving expenses, vehicle fuel etc.	N/A	Travel - in state, out of state, business meals, rental vehicles, flights, ground transportation, vehicle fuel etc.	Travel - in state, out of state, business meals, rental vehicles, flights, ground transportation, vehicle fuel etc.
19 STUDENT COSTS	Student tuition/fee expense, student travel, scholarships/fellowships, housing, insurance for students, student awards, etc.	N/A	N/A	N/A
20 PATIENT CARE COSTS	Patient Care costs for inpatient, outpatient care & lab, pharmacy and x-ray services for patients	Patient Care costs for inpatient, outpatient care & lab, pharmacy and x-ray services for patients	Patient Care costs for inpatient, outpatient care including Tricore laboratory expense, OR Instruments, NM Insurance pool premiums, kidney acquisition, step down care (snf) for IV dependent patients, radiation oncology and patient assistance	Patient Care costs for inpatient, outpatient care including Tricore laboratory expense, OR Instruments, NM Insurance pool premiums, kidney acquisition, step down care (snf) for IV dependent patients, radiation oncology and patient assistance
21 TELEPHONE/COMMUNICATION COSTS	Telephone, voicemail, cellular, long distance, paging and data networking charges	N/A	Telephone, voicemail, cellular, long distance, paging and data networking charges	Telephone, voicemail, cellular, long distance, paging and data networking charges
22 PURCHASED SERVICES	Alarm fees, internet fees, architectural services, auditing services, printing/copying/binding fees, conference/event fees, honoraria, insurance charges (general liability, professional liability), legal services, electronic journals & books, consultant fees, etc.	Includes payment to UNM SOM for physician and other provider services	Recruitment, professional, legal, auditing, consulting fees, promotional/graphics, IT Hosting Cerner, Siemens and PACS, safety and risk services, equifax, laundry, malpractice and liability insurance, etc.	Recruitment, professional, legal, auditing, consulting fees, promotional/graphics, IT Hosting Cerner, Siemens and PACS, safety and risk services, equifax, laundry, malpractice and liability insurance, etc.
23 OTHER MEDICAL SERVICES	N/A	N/A	Pathology contract, physician services, Executive Medical Directors, Medical Directors, dialysis services for UNM Care patients, OMI MOU, Adult Infusion net	Physician services
24 SUB AWARDS/SERVICE CONTRACTS	Unrestricted Sub Awards, Gain/Loss on Unrestricted Projects	N/A	All service contracts	All service contracts
25 O&M & LEASES	Plant maintenance and repairs, equipment repairs and maintenance, property insurance, auto insurance, facility rent expense	Building maintenance and repairs, equipment repairs and maintenance, repair parts, equipment rent, property insurance, auto insurance, facility rent expense, and housekeeping supplies	Building maintenance and repairs, equipment repairs and maintenance, repair parts, equipment rent, property insurance, auto insurance, facility rent expense, and housekeeping supplies	Building maintenance and repairs, equipment repairs and maintenance, repair parts, equipment rent, property insurance, auto insurance, facility rent expense, and housekeeping supplies
26 UTILITIES	Natural gas, electricity, steam, sewer, water, chilled water	N/A	Natural gas, electricity, steam, sewer, water, chilled water	Natural gas, electricity, steam, sewer, water, chilled water

## GLOSSARY OF REPORT CATEGORIES

FINANCIAL STATEMENT CATEGORY		UNM	UNMMG	UNM Hospitals	SRMC
27	DEPRECIATION	N/A	The annual amortization for the furniture and equipment.	The annual amortization for the capital outlay associated with building, building improvement, fixed and moveable equipment which is based on the estimated useful lives of the assets as determined by the AHA "Estimated useful lives of Depreciable Hospital Assets".	The annual amortization for the capital outlay associated with building, building improvement, fixed and moveable equipment which is based on the estimated useful lives of the assets as determined by the AHA "Estimated useful lives of Depreciable Hospital Assets".
28	INTEREST EXPENSE	Transfers to cover debt service	N/A	Interest expense associated with the series 2004 FHA Insured Hospital Mortgage Revenue Bonds.	SRMC receives subsidy payments related to interest payments under the federal Build America Bond program. Under the program SRMC applies for subsidy funds commensurate with each bond payment, so the application for the subsidy is made semiannually. Also includes interest expense on the Series A & B Bonds.
29	OTHER EXPENSES	Banking fees, cost of goods sold, research costs, royalties, bad debt expense, other operating costs, Banner tax, etc.	Billings & collections expenses and other operating expenses of UNMMG	Programming, application, software and maintenance expenses, non capital equipment (less than \$5k), signs, dues & memberships, freight, postage, subscriptions, licenses/permits, Gap Tax, Intergovernmental Transfers for the SCI and IME, bond issuance costs, capital initiatives and other non-operating expenses.	Programming, application, software and maintenance expenses, non capital equipment (less than \$5k), signs, dues & memberships, freight, postage, subscriptions, licenses/permits, Gap Tax, Intergovernmental Transfers for the SCI and IME, bond issuance costs, capital initiatives and other non-operating expenses.
30	CONTRACT AND GRANT EXPENSES	All Restricted Funds Expense and Unrestricted Contract Expense for example VA contracts	N/A	N/A	N/A
31	CAPITAL EXPENDITURES	Equipment/furniture >\$5,000, Computer hardware, library acquisitions, etc.	N/A	This is capital initiatives in the case of UNM Hospitals.	N/A
32	MEANINGFUL USE REVENUE	N/A	Medicare and Medicaid programs provide incentive payments for hospital and physicians that make meaningful use of certified electronic health record technology.	Medicare and Medicaid programs provide incentive payments for hospital and physicians that make meaningful use of certified electronic health record technology.	N/A
33	RETURN ON INVESTMENT - TRIWEST	NA	NA	Dividend payments from investment in TriWest	NA
34	USE OF UNMMG RESERVES	N/A	To fund and support the mission of the Health Sciences Center.	N/A	N/A
35	RECRUITMENT/STARTUP/SCHOLARSHIPS	Chair and Startup Packages, Dean's Scholars/Professorships, and Recruitment Costs	N/A	N/A	N/A
36	NON-RECURRING TRANSFERS	Transfers from current unrestricted funds to plant funds or any other non-recurring transfers	N/A	N/A	N/A



**UNIVERSITY OF NEW MEXICO HEALTH SCIENCES CENTER**  
**Balance Sheet for the Health Sciences Center**  
**2016 Fiscal Year as of September 30, 2015 (Preliminary and Unaudited)**  
**(In thousands)**

	University HSC	UNM Hospitals	UNMMG	SRMC
<b>ASSETS</b>				
1 Cash and cash equivalents	10,125	138,313	15,761	14,069
2 Marketable securities	15,188	34,619	-	-
Receivables:				
3 Patient, net	999	138,978	28,722	11,559
4 Receivable from Affiliates	83,170	1,464	9,948	-
5 Estimated third party payor settlements	-	15,868	-	1,394
6 County Treasurer	-	22,355	-	1,465
7 Contracts, Grants and Other	18,240	3,123	-	686
8 Other	9,527	20,510	1,002	3,255
Total Current Assets	137,249	375,230	55,433	32,428
Assets whose use is limited:				
9 Held by trustee for debt service & other	-	19,513	-	9,468
10 By UNM Hospital Board of Trustees	227,112	21,482	-	-
11 Board and Other Dedicated Assets	46,097	-	21,210	-
12 Endowments	104,971	-	-	-
13 Capital Assets, net of depreciation	266,648	238,383	3,637	119,704
<b>TOTAL ASSETS</b>	<b>782,077</b>	<b>654,608</b>	<b>80,280</b>	<b>161,600</b>
<b>LIABILITIES</b>				
14 Accounts Payable	8,494	42,928	6,048	4,883
15 Other accrued liabilities	33,922	49,518	-	3,454
16 Payable to Affiliates	1,208	65,378	26,656	1,340
17 Bonds payable - current	869	6,035	-	3,455
18 Interest payable bonds	510	1,227	-	1,477
19 Estimated third party payor settlements	-	38,041	-	1,004
20 Bonds payable - non current	16,373	108,965	-	126,755
21 Other liabilities - non current	9,695	14,247	-	-
22 Sponsored Project and Other Deferred Revenue	17,040	-	-	-
<b>TOTAL LIABILITIES</b>	<b>88,111</b>	<b>326,339</b>	<b>32,704</b>	<b>142,368</b>
<b>NET POSITION</b>				
23 Restricted - expendable grants, bequests and contributions	106,542	15,361	-	78
24 Restricted - trust indenture and debt agreement	-	18,432	21,210	9,467
25 Committed and Dedicated agreements	326,077	-	-	-
26 Discretionary Reserve	11,940	171,093	22,729	9,687
27 Assets invested in Capital, net of related debt	249,407	123,383	3,637	-
<b>TOTAL NET POSITION</b>	<b>693,966</b>	<b>328,269</b>	<b>47,576</b>	<b>19,232</b>
Current Ratio	3.05	1.85	1.69	3.35
Days Cash on Hand	7.57	54.53	32.90	73.52



**UNIVERSITY OF NEW MEXICO HEALTH SCIENCES CENTER**  
**Glossary of Report Categories**

	University HSC	UNM Hospitals	UNMMG	SRMC
<b>ASSETS</b>				
1 Cash and cash equivalents	Funds on deposit with Financial Institution with UNM	Funds on deposit with Financial Institution	Funds on deposit with Financial Institution	Funds on deposit with Financial Institution, plus the remaining balance of the \$46m
2 Marketable securities	Funds invested in securities in accordance with UNM Investment policy	Funds invested in US Treasury	N/A	N/A
3 Patient, net	Pediatric/Newborn Transport Services, net of estimated contractual allowances and estimated bad debt	Patient Receivable after adjustments for discounts and allowances	Patient Receivable for care provided by UNM SOM facility and other practitioners, net of estimated contractual allowances and estimated bad debt	Patient Receivable for facility costs, net of estimated contractual allowances and estimated bad debt
4 Receivable from Affiliates	Related Party Receivables for goods or services provided to UNM Hospitals, UNMMG and SRMC	Related Party Receivable from University HSC and SRMC	Related Party Receivable for negative arbitrage for SRMC	Related Party Receivable from UNMMG and UNMH
5 Estimated third party payor settlements	N/A	Accounts Receivable for IME/GME /DSH	N/A	
6 County Treasurer	N/A	Bernalillo County Mil Levy Receivable	N/A	Sandoval County Mil Levy Receivable
7 Contracts, Grants and Other	Sponsored project receivables and other services invoiced by UNM such as OMI, Resident Physician contracts, etc.	Accounts Receivable from Contracts/UNM MG/Special Billing/Investments	N/A	Other receivable balances. As of year end, a receivable was recorded for the insurance proceeds associated with the damage in the OR due to the flood
8 Other	Prepaid contractual obligations, such as library subscription services and maintenance contacts	Prepaid Expense and Inventory	Pharmacy Inventory	Prepaid Expense and Inventory
9 Held by trustee for debt service & other	N/A	Debt/Mortgage reserve funds to include collateral and intangible assets, and total deferred outflows related to pensions	N/A	Funds held in Trustee Accounts, Mortgage reserve funds, bond debt service accounts
10 By UNM Hospital Clinical Operations Board	Funds held by the University for UH capital initiatives	Investment in TriWest/Tricore Reference Laboratory	N/A	N/A



**UNIVERSITY OF NEW MEXICO HEALTH SCIENCES CENTER**  
**Glossary of Report Categories**

	University HSC	UNM Hospitals	UNMMG	SRMC
11 Board and Other Designated Assets	Funds dedicated to UNM Hospitals Capital Initiatives and unexpended plant funds	N/A	Department, SOM Investment in UNMMG and Quality Reserves	The original bond proceeds were used to purchase GNMA's which collateralize the mortgage with Prudential
12 Endowments	Balance of endowed corpus funds generating revenue according to donor intent	N/A	N/A	N/A
13 Capital Assets, net of depreciation	Property, Plant and Equipment	Land, Property, Plant and Equipment	Furniture and Equipment	Land, Property, Plant and Equipment
<b>LIABILITIES</b>				
14 Accounts Payable	Unpaid balances owed to vendors for goods and services; amounts owed to employees for expense reimbursements	Amount owed to creditors	Unpaid balances owed to vendors for goods and services; accrued payroll and other payroll benefits and taxes	Unpaid balances owed to vendors for goods and services
15 Other accrued liabilities	Payroll withholding liabilities and estimated value of compensated absences	Accrued liabilities to include payroll, compensated benefit, and Incurred but not Recognized (IBNR) State Coverage Insurance	N/A	Accrued liabilities to include payroll, compensated benefits and other payroll benefits and taxes
16 Payable to Affiliates	Unpaid balances for services provided by UNM Hospitals, and UNMMG	Unpaid balances for services provided by University HSC	Unpaid balances for services provided by University HSC for purchased services, special arrangements, and indigent distribution	Unpaid balances for services provided by University HSC, UNMMG and UNMH
17 Bonds payable - current	Debt service payment that will be due within the next twelve months	Series 2004 Bonds payable in next year - FHA Insured Hospital Mortgage Revenue Bonds	N/A	Debt service payment that will be due within the next twelve months
18 Interest payable bonds	Interest Payable on outstanding debt	Interest Payable Series 2004 Bonds (FHA Insured Hospital Mortgage Revenue Bonds)	N/A	Interest Payable on Bonds
19 Estimated third party payor settlements	N/A	Medicare/Medicaid Settlements	N/A	Medicare/Medicaid Settlements
20 Bonds payable - non current	Outstanding balance due in the long-term for bond funding	Series Bonds Payable in the long-term (FHA Insured Hospital Mortgage Revenue Bonds)	N/A	Outstanding balance due in the long-term for FHA Insured Hospital Revenue Bonds



**UNIVERSITY OF NEW MEXICO HEALTH SCIENCES CENTER**  
**Glossary of Report Categories**

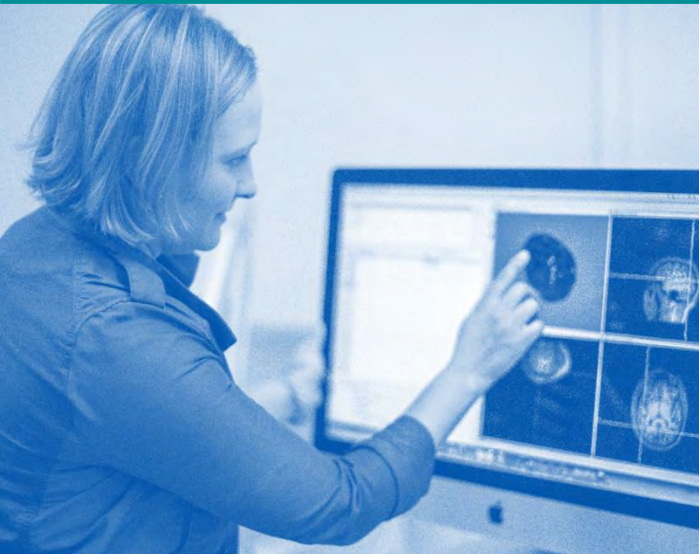
	University HSC	UNM Hospitals	UNMMG	SRMC
21 Other liabilities - non current	Estimated future cost associated with self-funded health insurance plan	Estimated future cost associated with Other Post Employment Benefits (OPEB), bond premiums and Mortgage payable	N/A	The balance of the mortgage payable
22 Sponsored Project and Other Deferred Revenue	Prepaid contract and grant revenue, tuition, and other prepaid student fees	N/A	N/A	N/A
<b>NET POSITION</b>				
23 Restricted - expendable grants, bequests and contributions	Restricted monies used in accordance with donor intent, contracts and bequests	Restricted monies used in accordance with donor intent, contracts and bequests	N/A	Restricted monies used in accordance with donor intent, contracts and bequests
24 Restricted - trust indenture and debt agreement	N/A	Restricted monies for Debt Service, Collateral, and Mortgage Reserve	N/A	Restricted monies for Mortgage reserve, Bond Debt Service
25 Committed and Dedicated agreements	Funds that have been committed for future expenditures. Dedicated funds have a clear focused purposed with for specific use.	N/A	Department, SOM Investment in UNMMG and Quality Fund Balances	N/A
26 Discretionary Reserve	Remaining fund balance after accounting for all restricted, committed and dedicated funds	Chief operating fund for all financial resources except those accounted for in another fund	Other operating reserves	Chief operating fund for all financial resources except those accounted for in another fund
27 Assets invested in Capital, net of related debt	Property, Plant and Equipment after adjustment for related bond debt	Property, Plant and Equipment after adjustment for related bond debt	Furniture and Equipment after adjustment for related bond debt	Property, Plant and Equipment after adjustment for related bond debt





# UNM Health Sciences Center Strategic Planning

Board of Directors/Board of Regents



20 November 2015

Richard Larson, MD, PhD  
Executive Vice Chancellor  
Vice Chancellor for Research  
UNM Health Sciences Center

# Vision

The University of New Mexico Health Sciences Center will work with community partners to help New Mexico make more progress in health and health equity than any other state.



## Mission

*We will:*

Provide an opportunity for New Mexicans to obtain an excellent education in health sciences.

Advance health discovery and innovation in the most important areas of human health.

Ensure that all populations in New Mexico have access to the highest quality health care.



## Values

Our mission is guided by our values of:

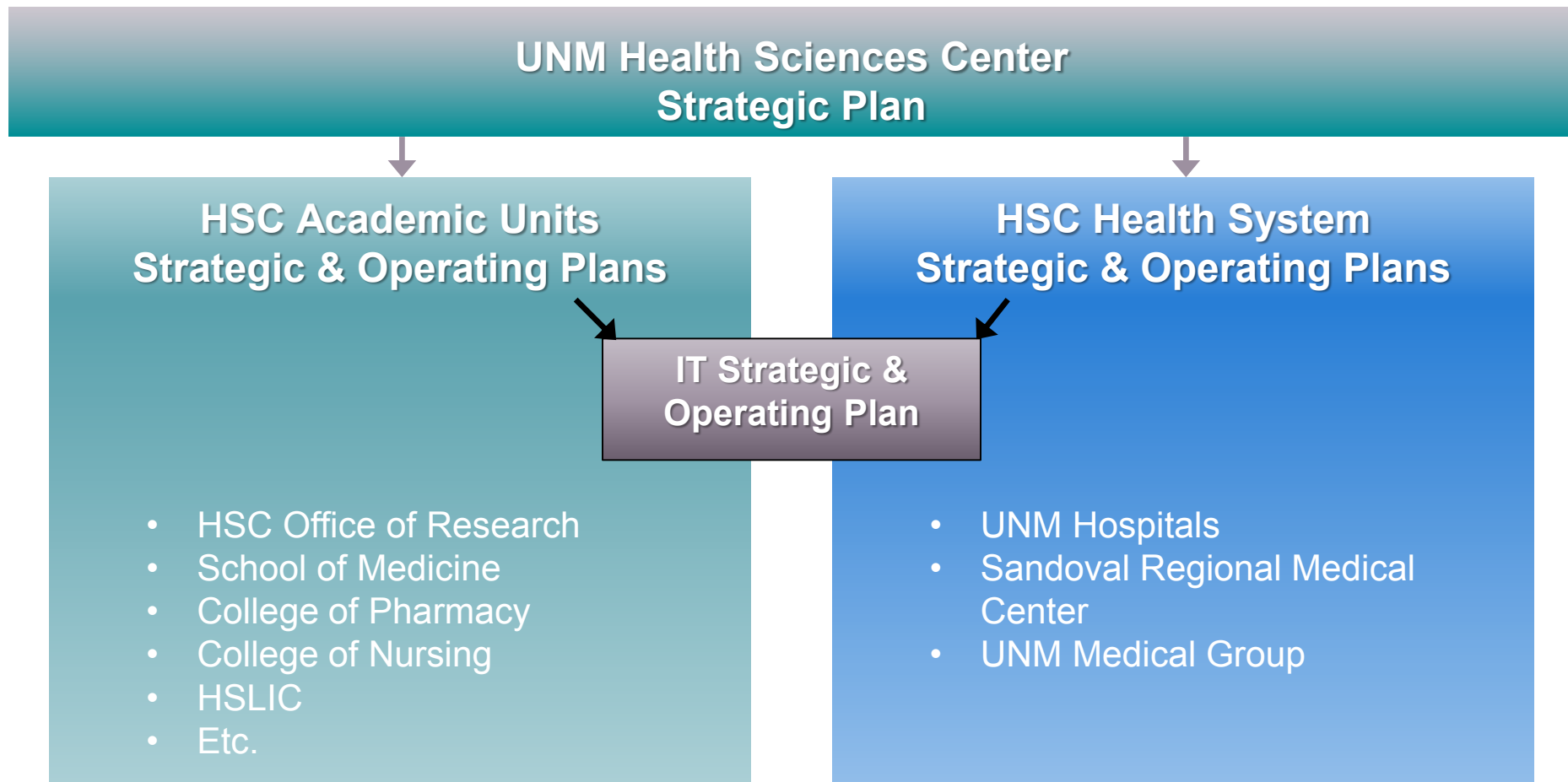
- Excellence in education, patient care and research
- Commitment to service, quality and safety
- Integrity and accountability
- Respect and compassion for all people
- Teamwork and collaboration
- Providing hope for those we serve



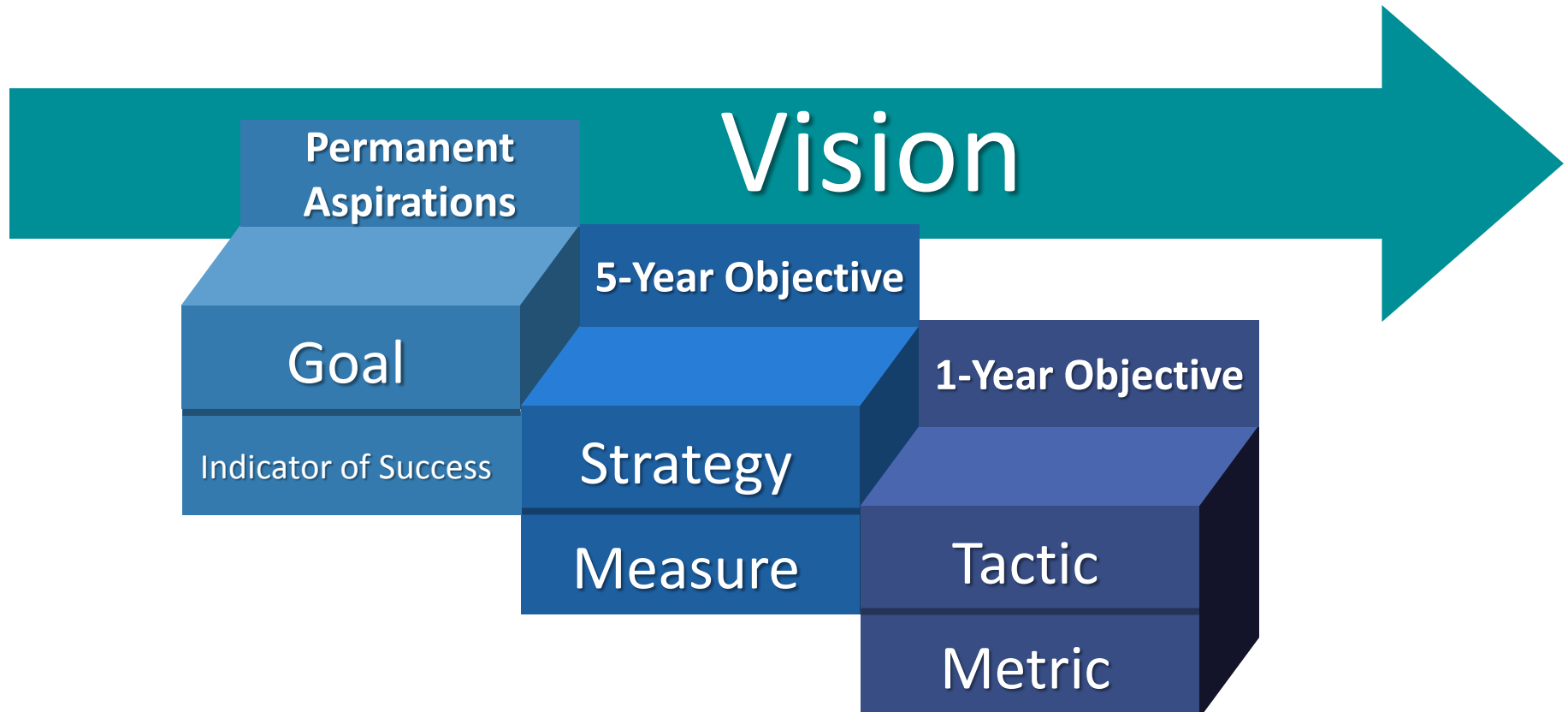
## Strategic Goals

1. Improve public health and health care to those we serve
2. Build the workforce of New Mexico by providing a premier education
3. Translate our research and discoveries into clinical or educational practice
4. Provide the environment to enable our people and programs to do their best
5. Deliver high quality clinical care and service while being accessible to all New Mexicans
6. Nurture and embrace an environment of diversity, integrity and transparency

# Strategic Planning Structure



# Definition and Processes



# UNM HSC Goals

***In order to realize our Vision and Mission, we will achieve the following goals***

Goal	Strategies
1. Improve Public Health & Health Care	<ul style="list-style-type: none"><li>• Community Engagement</li><li>• Network &amp; Partnerships</li></ul>
2. Build NM Workforce through Premier Education	<ul style="list-style-type: none"><li>• Production &amp; Retention</li><li>• Transform Education</li></ul>
3. Translate our Research into Clinical or Educational Practice	<ul style="list-style-type: none"><li>• Nationally Recognized Programs</li><li>• Economic Activity</li><li>• State-of-the-art Practice</li></ul>
4. Environment of Excellence	<ul style="list-style-type: none"><li>• IT Organization</li><li>• Excellence</li><li>• Operations</li></ul>
5. High-Quality, Accessible Clinical Care & Service	<ul style="list-style-type: none"><li>• Quality &amp; Safety</li><li>• Exceptional Patient Experience</li><li>• Coordination of Care</li><li>• System Integration &amp; Efficiency</li><li>• Financial Stability</li><li>• Strategic Growth</li></ul>
6. Environment of Diversity, Integrity & Transparency	<ul style="list-style-type: none"><li>• Academic Depth</li><li>• Diversity</li></ul>



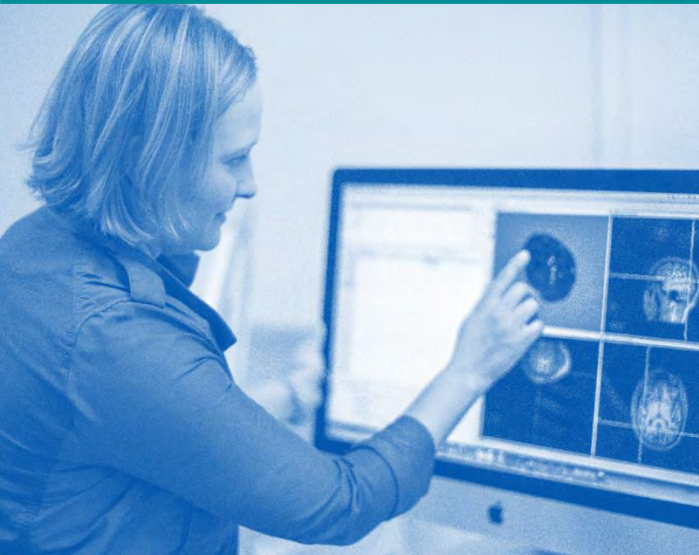
# Selected, Completed Metrics

Metric		Q1 Outcome
1.1.1.b	Increase telehealth community engagement events by 25%	Increase of 44%
1.2.3	Increase number of outside transfers by 4%	Increase of 7.3%
2.1.1	Produce health care workforce report for State of NM	Complete
2.1.2.a	Gain Board of Regents approval for College of Population Health	Complete
2.1.3.b	Develop proposal to address statewide behavioral health workforce needs	Recommendations advanced to state legislature
4.3.1.a	Implement ICD-10	Complete





# Questions?





# STRATEGIC DATABASE

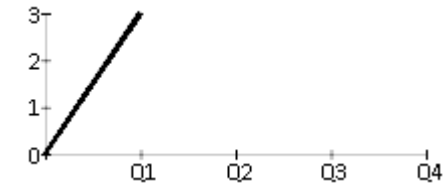
**FY16**

## HSC Plan

Goal 1	IMPROVE HEALTH AND HEALTH CARE TO THE POPULATIONS WE SERVE.	Q1	Q2	Q3	Q4	Trend Chart	Notes
<b>Strategy 1.1</b>	COMMUNITY ENGAGEMENT: Improve health in New Mexico by partnering with community organizations and health care providers.						
<b>Tactic 1</b>	Expand clinical, research, and educational outreach focused on community health priorities.						
<b>Metric</b>	Initiate 12-18 month community health workers program to the 10,000 Centennial Care enrollees and 10,000 controls with Blue Cross Blue Shield and Molina in Bernalillo and Grant counties.	●	●	●	●		Executed contracts with both BCBS & Molina. Hired 6 CHW & begun implementation of the CHW population health model
<b>Metric</b>	Increase the number of community engagement events by telehealth by 25%.	●	●	●	●		Increase of 44%.

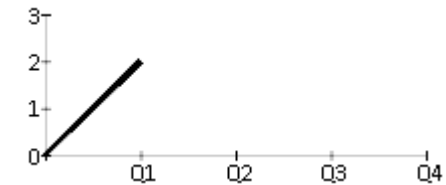
**Tactic 2** Partner with communities to identify solutions to patient's complex health, disease and social issues while promoting healthy living.

**Metric** UNM Health System will establish a baseline community perception and engagement score utilizing polling and research.



Survey is complete.

**Metric** Work with key stakeholders to respond effectively to Bernalillo County Healthcare Task Force Recommendations (2014).

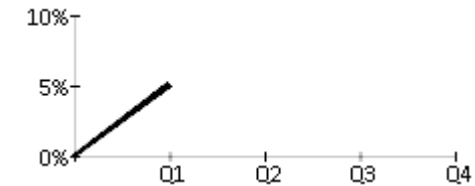


## Strategy 1.2

**NETWORK AND PARTNERSHIPS:** Explore strategic partnerships to achieve market growth, align resources and enable patients to get the right care at the right time, in the right place.

**Tactic 1** Increase Ambulatory access and throughput.

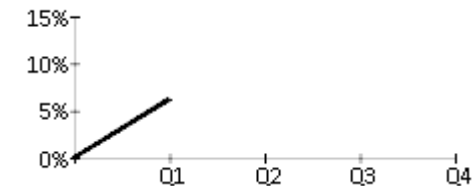
**Metric** Increase Health System Clinic Visits by 6%



Increase of 5%.

**Tactic 2** Increase Health System surgical volume.

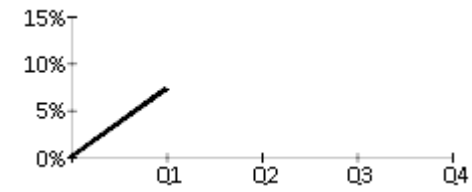
**Metric** Increase surgical cases by 6%.




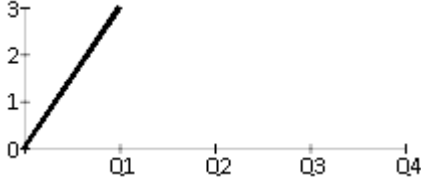

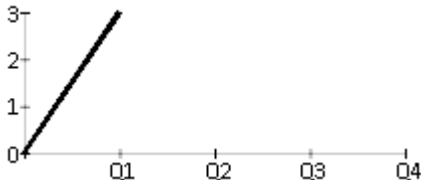

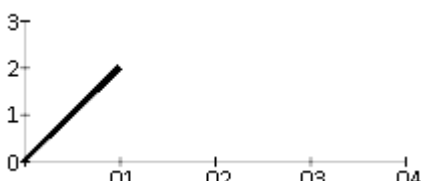
Increase of 6.1%.

**Tactic 3** Improve tertiary referral transfer capabilities.

**Metric** Increase number of outside transfers by 4% (additional 19 per month).

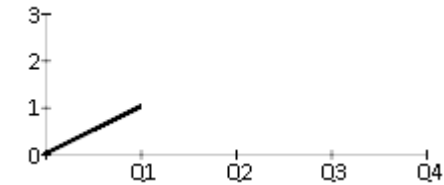


Increase of 7.3%

Goal 2	BUILD THE HEALTH CARE WORKFORCE OF NEW MEXICO BY PROVIDING A PREMIER EDUCATION.	Q1 Q2 Q3 Q4	Trend Chart	Notes
Strategy 2.1	PRODUCTION & RETENTION: Measurably increase the production and retention of health care professionals in New Mexico and geographic areas.			
	Tactic 1 Build mechanisms to measure and evaluate workforce needs in New Mexico.			
	<b>Metric</b> Produce report updating workforce shortages and recommendations on recruitment impact by October 1, 2015 for the state.			Complete
	Tactic 2 Implement a College of Population Health.			
	<b>Metric</b> Gain Board of Regents approval for College of Population Health.			Complete
	<b>Metric</b> Develop and gain approval for a Bachelor of Science in Population Health undergraduate degree program.			First course being offered.

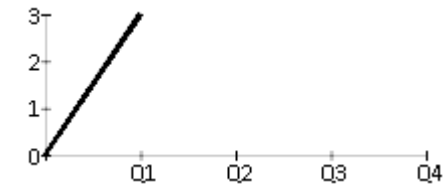
**Tactic 3** Develop and implement sustainable pipeline programs to "grow our own" in New Mexico.

**Metric** Recruit and fill the state funded GME positions.



All current 18 positions are filled. An additional 9 positions are anticipated to be filled in the March match, if funding is available.

**Metric** Develop proposal in conjunction with Behavioral Health Subcommittee to address statewide mental health workforce needs and seek state funding.



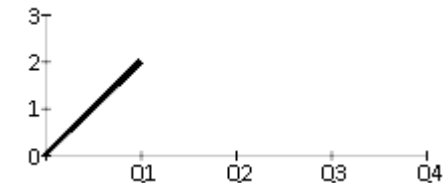
Report is complete.

## Strategy 2.2

TRANSFORM EDUCATION: Transform health profession education to meet the needs of our diverse learners, our professions and our state.

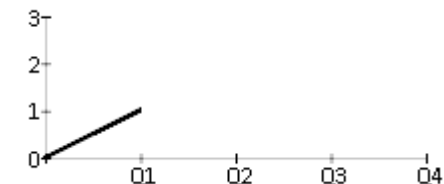
**Tactic 1** Prepare students with skills and knowledge to address the health needs of the state.

**Metric** Successfully launch interprofessional education course Kickoff.



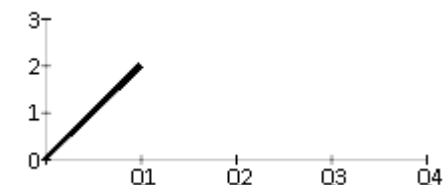
Kickoff is 10/27/15.

**Metric** Finalize UNM West education planning.



Ongoing.

**Metric** Begin Domenici Phase III construction process.



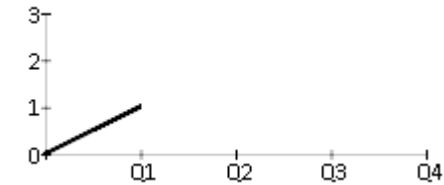
Ongoing.



Goal 3	FOSTER INNOVATION AND TRANSLATE OUR RESEARCH INTO CLINICAL OR EDUCATIONAL PRACTICE.				Q1	Q2	Q3	Q4	Trend Chart	Notes	
Strategy 3.1	NATIONALLY RECOGNIZED PROGRAMS: Develop and foster our nationally recognized areas of excellence that address national and state health priorities.										
	Tactic 1 Continue our growth in the sciences basic to health.										
	Metric	Recruit one human stem cell or basic science researcher per year.									Search not yet started.
	Tactic 2	Support information and sustainment of interdisciplinary programs that foster integrative and collaborative scholarship.									
	Metric	Establish and implement mechanism to track and enhance submission of limited competitive research grants.									
Strategy 3.2	ECONOMIC ACTIVITY: Enhance economic activity by expanding biotechnology transfer.										

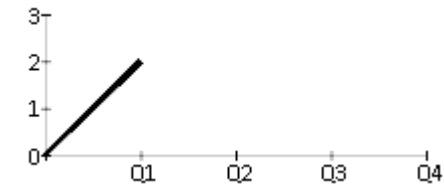
**Tactic 1** Develop and implement process to reliably encourage and facilitate public-private partnerships.

**Metric** Participate in creation of Innovate ABQ strategic plan.



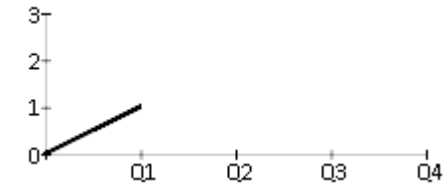
Ongoing

**Metric** Start two new biotechnology companies in New Mexico with HSC technology license.



Complete. Will exceed.

**Metric** Develop plan to impact small business activity in New Mexico modeled after initiatives such as Cleveland University Circle or Living Cities.

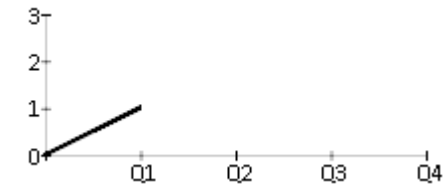


Ongoing

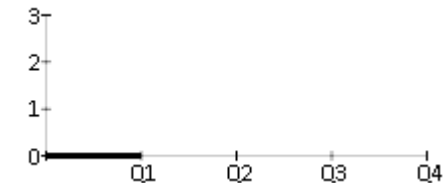
**Strategy 3.3** STATE-OF-THE-ART: Incorporate state-of-the-art technologies into all missions.

**Tactic 1** Implement interprofessional performance based assessments using state of the art technologies.

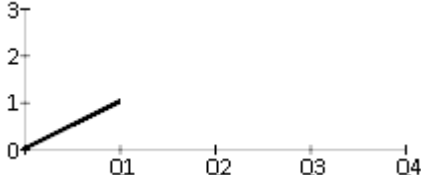
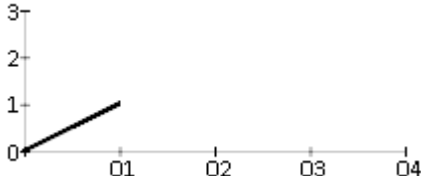
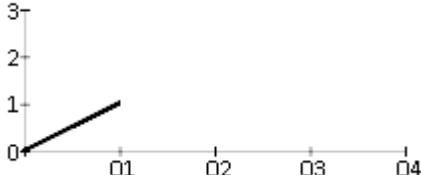
**Metric** Develop a plan for interprofessional performance based assessments that evaluate the core competencies for interprofessional collaborative practice.

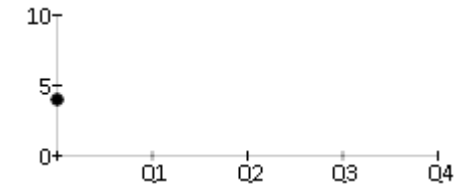


**Metric** Implement one interprofessional performance based assessment that evaluates at least one core competency for interprofessional collaborative practice and involves two or more health care professions.

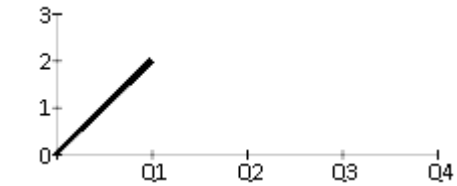


Developing the educational components that will be implemented by students and graduates

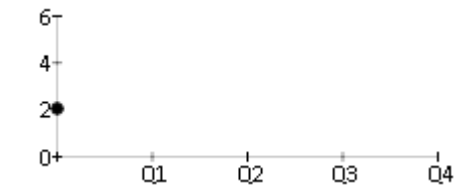
Goal 4	ENABLE OUR PEOPLE AND PROGRAMS TO DO THEIR BEST.	Q1	Q2	Q3	Q4	Trend Chart	Notes
<b>Strategy 4.1</b>	IT ORGANIZATION: Create an integrated IT organization that is nimble, efficient and effective.						
	<b>Tactic 1</b> Continue implementation of IT strategic plan implementation.						
	<b>Metric</b> Hire HSC-wide CIO.	●	●	●	●		Ongoing.
	<b>Tactic 2</b> Streamline and rebrand HSC web presence.						
<b>Strategy 4.2</b>	EXCELLENCE: Promote a culture of excellence among faculty, staff and providers.						
	<b>Tactic 1</b> Enhance staff alignment to strategic initiatives.						
	<b>Metric</b> Develop and obtain Executive approval for a staff incentive payment program, pay for performance and/or for strategic alignment of performance.	●	●	●	●		Ongoing
	<b>Metric</b> Align UNM staff incentives throughout Health System units.	●	●	●	●		Ongoing

**Tactic 2** Improve Staff and Faculty engagement and satisfaction.**Metric** Improve UNMH staff satisfaction score by 10%.

Received snap shot data from Press Ganey and will get full report soon.

**Metric** Front line supervisor training will be implemented to enhance employee satisfaction.**Metric** Faculty Forward faculty and staff surveys overall satisfaction at UNM Health Sciences Center will improve by five percentage points by 2018 (next proposed survey date).

Last survey in 2014  
SOM: 65% to 70%  
CON: 64% to 69%  
COP: 68% to 73%

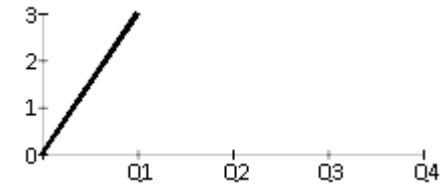
**Metric** Press Ganey clinical Overall Partnership Scores will improve by the next administration date: 2011 physician satisfaction 2nd percentile, to increase to 5th percentile by June 30, 2016.

Survey has closed, but results are not yet available.

**Strategy 4.3** OPERATIONS: Improve efficiency and utilization of support units.

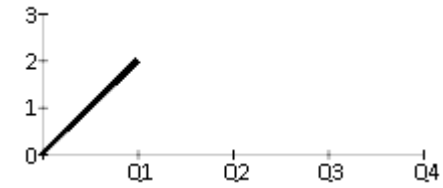
**Tactic 1** Improve efficiency and utilization of support units.

**Metric** Implement ICD-10.

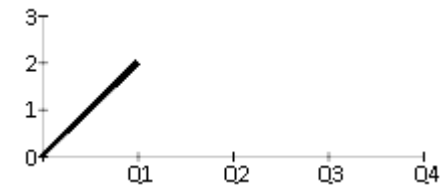


Completed

**Metric** Review current survey results and establish action plan for implementation.



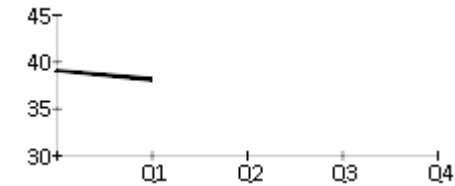
**Metric** Complete Master Facilities Plan.



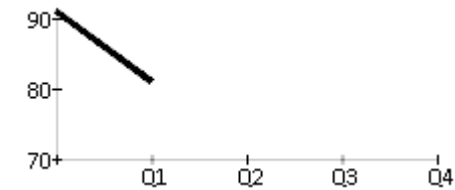
Ongoing

Goal 5	DELIVER A WELL-INTEGRATED ACADEMIC HEALTH CENTER THAT PROVIDES THE SAFEST AND HIGHEST QUALITY CLINICAL CARE.	Q1	Q2	Q3	Q4	Trend Chart	Notes
<b>Strategy 5.1</b>	<p>QUALITY AND SAFETY: Provide the safest and highest quality care through continuous improvement of patient outcomes and the use of evidence-based approaches to deliver high value care.</p> <p><b>Tactic 1</b> Improve Patient Harm-Related Outcomes.</p>						
	<b>Metric</b> UNMH mortality rate will be below 0.85.	●	●	●	●		Data delayed
	<b>Metric</b> SRMC mortality rate will be below 0.85.	●	●	●	●		Data delayed
	<b>Metric</b> CLABSI event <4/month.	●	●	●	●		Target for Sept 30 was 12. Actual 13.
	<b>Metric</b> CAUTI events <7/month.	●	●	●	●		Target for Sept 30 was 20. Actual 16.
<b>Strategy 5.2</b>	EXCEPTIONAL PATIENT EXPERIENCE: Delivering an exceptional patient experience.						

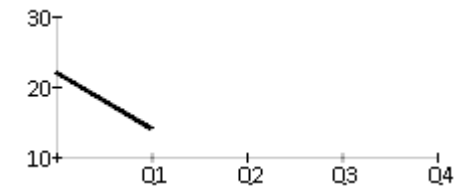


**Tactic 1** Improve Inpatient and Outpatient Satisfaction.**Metric** UNMH Rate the Hospital Stay for HCAHPS  $\geq$  45th percentile.

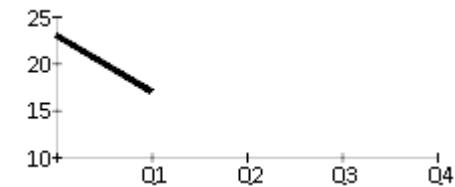
June 30 baseline was 39. Sept. 30 actual was 38.

**Metric** SRMC Rate the Hospital Stay for HCAHPS  $>$  85th percentile (Compare Group Bed Size 51-149).

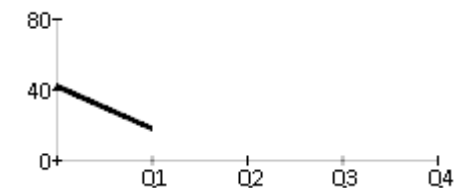
June 10 baseline was 91. Sept. 30 actual was 81.

**Metric** UNMH Recommend this Provider Office for CGCAHPS  $\geq$  40th percentile.

June 30 baseline was 22. Sept. 30 actual was 14.

**Metric** UNMH Overall Doctor Rating 0-10 for CGCAHPS  $\geq$  50th percentile.

June 30 baseline was 23. Sept. 30 actual was 17.

**Metric** SRMC Recommend this Provider Office for CGCAHPS  $>$  65th percentile (Compare Group AHA Region 8).

June 30 baseline was 42. Sept. 30 actual was 18.

**Strategy 5.3**

COORDINATION OF CARE: Provide well-coordinated patient and family-centered care that is delivered in the most appropriate and convenient care setting.

**Tactic 1** Establish patient navigation and care team capabilities to allow for the care management of select high-risk, chronically ill patients.

**Metric** Increase the number of patients served by patient navigation by 10%.



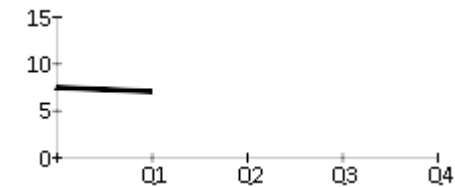
Drop off in Care One (by 21%) and Care New Mexico (by 11%) patients

#### Strategy 5.4

SYSTEM INTEGRATION AND EFFICIENCY: Apply continuous quality improvement principles to drive quality, service and performance.

**Tactic 1** Increase inpatient capacity through decreased length of stay.

**Metric** Decrease adult without OB length of stay to 6.5 days by increasing daily discharges 8% (average 3 per day).



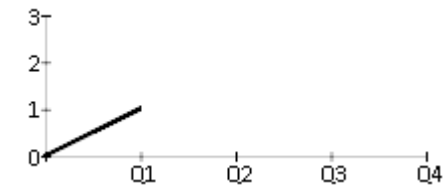
June 30 baseline was 7.4  
Sept 30 actual was 6.92

#### Strategy 5.5

FINANCIAL STABILITY: Demonstrate integrity, transparency and accountability in all business operations to ensure we provide the greatest value to New Mexicans while maintaining our financial stability.

**Tactic 1** Implement cost of production model at SRMC.

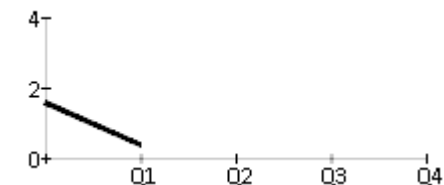
**Metric** Implement SRMC provider cost of production model.



Shadow system at SRMC - plan to go live 1/1/16.

**Tactic 2** Strong Financial Performance.

**Metric** Health System will report a net margin of >2% for the reporting period.



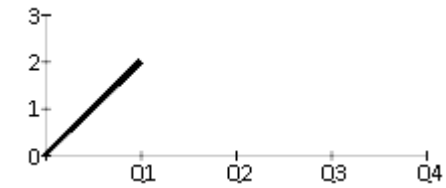
As of Sept 30 at .38%

#### Strategy 5.6

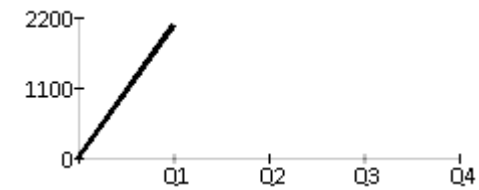
STRATEGIC GROWTH: Explore opportunities to expand care delivery to meet the growing demand for services and the future health care needs of New Mexicans.

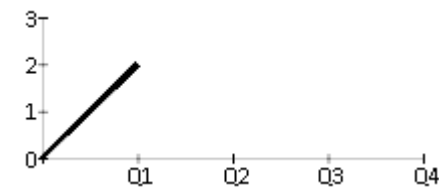
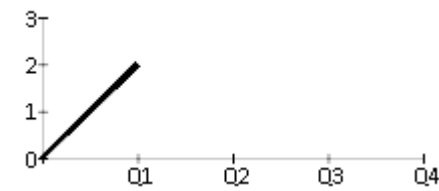
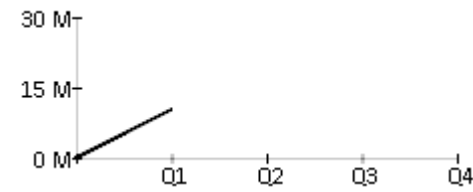
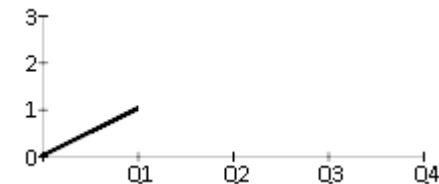
**Tactic 1** Develop infrastructure to support bundling and capitated payment for select populations and insurance plans.

**Metric** Transition of UNM Health to a TPA partnership to Blue Cross Blue Shield.








**Metric** Expansion of UNM Health with 2,000 enrollees.



Goal 6	ENHANCE DEPTH, DIVERSITY, INTEGRITY AND TRANSPARENCY.	Q1	Q2	Q3	Q4	Trend Chart	Notes
<b>Strategy 6.1</b>	ACADEMIC DEPTH: Promote our academic depth and capabilities, while maintaining our mission to the underserved.						
		<b>Tactic 1</b> Create an ongoing communications and public information campaign.					
		<b>Metric</b> Develop and implement a communication campaign for the HSC brand.					
	<b>Tactic 2</b> Develop a communication plan to increase awareness and support for HSC legislative priorities.						
		<b>Metric</b> Obtain state funding for key legislative priorities.					
		<b>Tactic 3</b> Implement a comprehensive fundraising plan based on the specific needs of each unit.					
<b>Strategy 6.2</b>	DIVERSITY: Enhance the representation of under-represented groups in our faculty, staff and students.						
		<b>Metric</b> Raise \$25M through the UNM Foundation for UNM HSC.					10.3 million raised in Q1.
		<b>Tactic 1</b> Nurturing and embracing environment of diversity, integrity, and transparency.					
		<b>Metric</b> Develop a best practice tool for all HSC schools and colleges when recruiting students.					

## Legend:

- : No information
- : Little or no progress
- : Some progress
- : Good progress
- : Met measure and / or complete

# Summary Meeting Report (Not Approved Minutes)

## Regents' Audit and Compliance Committee

### November 5, 2015

The **Regents' Audit and Compliance Committee (Committee)** held a Meeting on November 5, 2015.

#### ACTION ITEMS:

- The Committee approved the meeting agenda and the minutes from the meeting of August 18, 2015. (Motion: Regent Fortner; Second Regent Quillen)
- The remaining FY16 proposed Committee meeting dates are March 3, 2016 and May 5, 2016. The Committee members will check their calendars and advise the Internal Audit Director.
- The Committee held an exit conference with the accounting firms of KPMG and Moss Adams for the fiscal year 2015 University of New Mexico Financial Statements audit. In accordance with the Governmental Accounting Standards Board (GASB) requirements, during FY15, the University implemented GASB Statement number 68, Accounting and Financial Reporting for Pensions. The Committee approved the audit report for submission to the Office of the State Auditor for their review and approval. The FY15 Financial Statements Audit will be a public document once approved and released by the State Auditor.
- The Committee unanimously approved the following UNMH audits:
  1. UNM Hospitals Controlled Substances Audit Report #2014-03
  2. UNM Cancer Center Controlled Substances Audit Report #2014-03A
  3. Sandoval Regional Medical Controlled Substances Audit Report #2014-04
- The Committee unanimously approved the following UNM audits:
  1. Safety and Risk Services Audit Report #2015-05
  2. Audit of Public Events – Popejoy Hall Audit Report #2015-11

#### INFORMATION ITEMS:

- Advisors' Comments. Ms. Texanna Martin indicated that GPSA is currently working on items for the Student Fee Review Board. They are having an emergency meeting and will have comments for the Regents soon. GPSA will be going to Santa Fe on November 13<sup>th</sup> to meet with HED. November 19<sup>th</sup> is the official Great American Smokeout Day. ASUNM and GPSA will have tables around campus to promote smoking cessation. UNM Day is January 25<sup>th</sup> in Santa Fe.
- Follow-Up Items from June 29, 2015 and August 18, 2015 Meetings. Helen Gonzales, Main Campus Chief Compliance Officer informed the Committee that she is working on a solution for the location of the **hotline number (1-888-899-6092)** with Cinnamon Blair at University Communication and Marketing. Ms. Blair noted that they do not want the home page to be more cluttered and for the number to just be lost on the page.



- Main Campus Quarterly Compliance Report. Ms. Gonzales provided the Committee with her quarterly report. She focused on the risk area of lack of policies and procedures for minors on campus. The University now has a draft policy that is out for campus comment. They have also developed waiver forms and are in the process of developing training. Ms. Gonzales stated her office is collecting that comment and will meet with the committee to incorporate the information. UNM is now a part of a University Youth Protection Network collaborative of about 50 universities across the country. Minors on campus has become an enormous issue for universities. Many universities are actually hiring a full time Protection of Minors Coordinator. Ms. Gonzales indicated that minors are individuals under 18 years of age who are not University of New Mexico students. If an enrolled student is under 18, the policy does not apply to them. The policy provides guidelines around employees bringing their minor children to the workplace, and students bringing their minor children to the classroom. Ms. Gonzales informed the Committee that there are also some significant changes being proposed to the Whistleblower policy. That policy is also out for campus comment. The new policy includes more options for how to address issues.

During the last quarter, they had 34 new hotline complaints. That is down a little, but it was summer. The 34 cases included a total of 42 issues. Of those cases, 19 were for main campus and branch campuses, and 15 were for the health system. One interesting thing to note is that 22 were filed by employees, six were anonymous, five were student cases, and one was a patient complaint.

Crystal Davis, Staff Council President, inquired about background checks in the new Minors on Campus policy. If there will be additional requirements for the background checks, is there a way for the cost to be reduced? Secondly, she indicated there is also campus concern about credit checks being included in this process. Ms. Gonzales stated the cost issue was addressed through campus comment. Human Resources has the contract with the background check provider. Ms. Gonzales added that she is not aware of these specific background checks including financial background inquiries. If Ms. Davis has any specific information about that, Ms. Gonzales would like her to direct that person to her office. It is Ms. Gonzales's understanding that the Fair Credit Reporting Act requires notification.

- Director's Report. The Department's FY16 budget is \$812,000, of which \$802,000 from the general pool and \$10,000 is from Department reserves. The Administration withheld 5% from the general pool, approximately \$40,000. Mr. Patel reported he expects to end the fiscal year with approximately \$25,000 in reserves. The Department has one auditor position vacant.

External Third Party Audits. Mr. Patel provided the Committee with a summary list of nine (9) external audits being performed on the University. Regarding the Center for Medicaid and Medicare Services, they have contracted with Connolly on a contingency fee basis to perform billing reviews. They requested 300 patient billing records totaling \$9.8 million. Chairman Hosmer asked if Connolly was the original contractor. Mr. Patel replied they were, but for about six months they didn't have a contract. Regent Quillen added that CMS suspended them all because everyone was going to court over it.

## Advisor Comments/Reports



GRADUATE *and* PROFESSIONAL  
STUDENT ASSOCIATION

## November 2015 BOR Talking Points

### Student Fee Review Board

- Accepted Applications: 29
- Deliberation were held on
  - October 24<sup>th</sup> and October 25<sup>th</sup>
- The board has been working on the preliminary recommendations which were due to the Budget Leadership Team on November 15<sup>th</sup>
- Deliberations went very smoothly and we are all confident in our unity in coming to the tough decisions which had to be made based on the current University fiscal climate
- More information, including minutes and agendas available at [SFRB.unm.edu](http://SFRB.unm.edu)

### November Events

- Food trucks have been very successful as we continue to raise money for the Summer Scholarship Fund
- We have been receiving tremendous support from the students, staff, and faculty to sustain Food For Thought
- ASUNM/GPSA are actively collecting funding to support students by providing a small turkey, or ham that we will hand out to students on November 23<sup>rd</sup>.
- Currently planning for Holiday events to support students

### GPSA Fall Grants Cycle

- Closed on Friday, October 12<sup>th</sup>
- Research Grants as well as Professional Development Grants and a Fall Scholarship were all offered
- All applications are being reviewed by our readers currently
- A record nearly 400 applications were received
- PAWS is going to work on creating a survey for reader and grant trainings to better understand improvements and what is already working
- With GPSA Council approving creating a new assistantship for our Grants' Chair due to a high workload, we put out an open call for applicants for the position for the coming spring semester

### GPSA Open Houses

- GPSA has been hosting a multitude of events in the office to encourage participation and awareness to graduate students about the assistance, programs, and engagement offered to them
- We held an Open House and a Halloween Event, both of which were very well attended
- Holding a Open house for Hanging of the Greens



## GRADUATE *and* PROFESSIONAL STUDENT ASSOCIATION

### **GPSA Lobby**

- **FY14/15 Lobby Projects**

#### **UNM Law School Lighting-**

- Anticipated start date Dec. 14<sup>th</sup> (After Finals) and completed Dec. 22<sup>nd</sup>.
- Currently, UNM PPD is taking bids (Closing November 18<sup>th</sup>) to install four new LED Lighting Fixtures and poles in the Bratton Hall Parking lot. These fixtures will use power from existing fixtures and run to areas that are currently dark. All new LED fixtures and new poles will be done also.

#### **Zimmerman Graduate Study Space (a.k.a. GPSA Graduate Commons)**

- Renovation of approximately 667 SF of space within Zimmerman Library across from Starbucks.
- Room 102 will be divided into a graduate meeting room (457 SF) and a storage room (209 SF) for the library.
- The library has provided carpet, tables, and chairs to match the current space.
- The GPSA Graduate Commons Area will open in Spring 2016, so the renovation will take place over winter break.

- **FY15-16 Lobby Projects**

#### **UNM College of Arts and Sciences Competition (up to \$100,000 renovation request)**

- Competition closed Nov. 15<sup>th</sup>
- Proposal Review and selection underway

#### **UNM Safety**

- Waiting to see if there are particular areas that the UNM community flagged as a concern after the safety walk that was held Nov. 10<sup>th</sup>.

### **GPSA Council**

- Council just approved the formation of a new taskforce to look in to new, necessary changes to the GPSA Bylaws and Constitution in order to address changing needs of graduate students at UNM
- Council attendance is up, and the Legislative Steering Committee will be presenting bylaw changes at the next meeting on Nov. 21<sup>st</sup>.

### **International Student Update**

#### **Update from Global Education Office (GEO):**

We are working on our annual statistics now which shows total numbers of enrolled international students, but here is a snapshot of NEW International degree-seeking students for fall 2015 (also enclosed):



## GRADUATE *and* PROFESSIONAL STUDENT ASSOCIATION

### **New International Degree/Certificate Students for Fall 2015**

#### **Levels**

Associates:	6
Bachelor's:	102
Master's:	144
PhD:	79
Certificate programs:	3
<b>TOTAL =</b>	<b>334</b>

#### **Top Enrolling Countries:**

##### **Undergraduates** (48 Countries total)

Nepal (15), Saudi Arabia (10), China (8), South Korea (8)

##### **Grad/Cert** (49 Countries total)

India (34), China (26), Iran (18), Bangladesh (16), Nepal (13)

#### **Sources of funding** (where does more than 50% of their TOTAL funding, including living, come from?):

##### **Undergraduates (108):**

Home Government/University	14
Personal/Family	76
Breakdown:	
<b>35</b> Non-resident	
<b>1</b> Lottery	
<b>37</b> Amigo	
<b>3</b> Amigo/Athletic	
Private US Sponsor	1
US College/University	17
Breakdown	
<b>14</b> Athletic Scholarship	
<b>3</b> Amigo/Athletic	

##### **Grad/Cert (226):**

Home Government/University	17
Personal/Family	102
Breakdown:	
<b>35</b> non-resident	
<b>67</b> Amigo	
Private US Sponsor	2
US College/University	102
Employer Funds	3



GRADUATE *and* PROFESSIONAL  
STUDENT ASSOCIATION

## ISSUES FOR INTERNATIONAL STUDENTS

### ACADEMIC SUPPORT:

Students really appreciate the GRC help and find staff friendly, but they also find much inconsistency between individual tutors, especially in their knowledge of commonly required writing standards like APA.

### ENROLLMENT ISSUES:

Departments who recently (last two years) enrolled large numbers of students were not supported in adding additional classroom resources. There have been two resulting issues from this disconnect between UNM's attempt to bring more international students and the failure of the funding model to reward departments for responding to this initiative:

1. Departments have not been able to add classes and students have to compete for spots in required courses. In Computer Science specifically, students have to stay up until midnight the night before registration starts in order to register in the early morning hours to get in to classes.
2. Departments have rolled back admitting large numbers of students because of the issue described above, resulting in a downturn in graduate admission numbers.





# *Office of the President*

Associated Students of the University of New Mexico

ASUNM President Jenna Hagengruber  
Full Board of Regents Report 11/20/15

## ***Joint Council***

What: 2 students from every Resource Center, Athletics, Greek Life, Residence Life and student government involved in the make-up of the group

How: Entities across campus collaborating on issues/scholarships/safety

When: Meetings once a month (first Wednesday of every month)

## ***Capital Outlay***

What: Partnering with Governmental Relations in order to ask for ~\$300,000 for lighting around campus, as well as South Lot and A Lot for safety purposes. Also, finalizing the capital outlay project from this past year, "Boxcar on the Lot" by Engineering.

How: Working with both PPD, Governmental Relations, and will plan to be up in Santa Fe multiple times in the upcoming session.

When: Ongoing

## ***Parking Summit***

What: Opportunity for students/faculty/staff to come together in front of the Parking and Transportation team and discuss issues and concerns in an open forum. This will be the 3<sup>rd</sup> Annual Summit.

How: Hosted by ASUNM, specifically 2 sponsoring Senators, in the SUB Atrium

When: Thursday, November 19<sup>th</sup>

## ***Student Success Week***

What: ASUNM's opportunity to give back to the students in a very "hands on" matter. Our goal is to show the students our government is here in multiple ways to support them during preparation for finals.

How: Giving out free blue books, coffee at midnight in the Library, free pizza in the Library on 2 separate occasions, study halls, partnerships with CAPS, Operation Registration, etc.

When: The week of November 30<sup>th</sup> – December 4<sup>th</sup>.



## Board of Regent Report

UNM Alumni Association & Alumni Relations Office

November 20, 2015

### Strategic Goals:

#### Goal 1: Maximize alumni and student engagement

On Wednesday, November 11, the **Lobo Living Room**'s last event for 2015 presents ***Collaboration Sparks Innovation: Arts-In-Medicine***, a program based on the blending of Dr. Patricia Repar's studies and work in music and integrative medicine. A professor in the UNM Department of Music, Dr. Repar's presentation will show how music, dance, the written word, visual art can help transform and rejuvenate. She believes that *Arts-in-Medicine* has the potential to heal, change perceptions, attitudes, and emotional and pain perceptions in the body. This event is recommended for people experiencing pain and those who are caregivers. Veterans are encouraged to attend. This presentation is a free, family friendly event. The event is sponsored by the UNM alumni Association, UNM Hospitals and the CFA Department of Music and will be held at the UNM Health Science Center from 6-8 pm.

Wednesday, November 11, the Alumni Veterans Chapter, the Veterans Resource Center, the UNM Army ROTC, UNM Navy ROTC, UNM Airforce ROTC and UNM Alumni Association will honor our **Veterans** with a celebration in the UNM Alumni Memorial Chapel. At 9:00 a.m., the University will proudly honor New Mexico's Veterans with a formal flag ceremony and reading of the names of our state's veterans who made the ultimate sacrifice during Operation Enduring Freedom and Operation Iraqi Freedom. To the wall, the name of **Phyllis J. Pelky** will be added. Major Pelky's family will be present for the ceremony.



## Board of Regent Report

### UNM Alumni Association & Alumni Relations Office

November 20, 2015

Continuing its focus on connecting with our **International Students**, the Alumni Association and Global Education Office co-sponsored a **Career Development Workshop** at Hodgin Hall to a “standing-room-only” crowd on Friday, October 23. These well-received workshops team alumni professionals in Human Resources with UNM Career Services staff to review and present best practices in cover letters & resumes, interviews and other career building tools and techniques. Special thanks go to UNM Alum Wesley Beck, a Recruiting Manager for Aerotek for his excellent, pointed presentation. International Students also enjoyed the UNM Homecoming Soccer Tailgate co-sponsored by GEO and the Alumni Association. With hundreds of alumni and student soccer fans, this event has become a traditional event.

GAAAC and the UNM Alumni Association are pleased to present **Aluminaria Awards** for October. It’s not the big stuff that makes us say to ourselves there may be hope in this world. It’s the examples of individuals who go out of their way to help others, who act out of the goodness of their hearts without thought of recognition. The UNM Alumni Association created the *Aluminaria* Award for alums who brighten lives, who, plainly, do good things, just because. The following eleven alumni have brightened the lives of others’, and for that, they are slated to receive the Aluminaria Award: **Abel Cuevas, Nicole Gonzales, Brittany Simplicio, Odetha Hill, Peter Nardini, Allegra Love, Alex Zubelewicz, Roy Solomon, Stephanie Cameron, Alex Kirk and Albert Hale.**

On October 24<sup>th</sup>, the **Greater Albuquerque Area Alumni Chapter (GAAAC)** and their families volunteered and made a difference in our community. Albuquerque alumni volunteers participated in **National Make a Difference Day** held at Haven House. The Children's Fun Run, WalkOctober, was organized in conjunction with **Domestic Violence Awareness Month**. Volunteers helped coordinate the Children's Fun Run/Walk/Play. Younger children were encouraged to volunteer with supervision from their parents. The event was held at the Rio Rancho High School Track practice field on Saturday, October 24th from 9:30 to 11:00 a.m.



## Board of Regent Report

UNM Alumni Association & Alumni Relations Office

November 20, 2015

The **Young Alumni Chapter** hosted its annual **Halloween Costume Drive** to collect costumes for CLN Kids, on Friday, October 23 at the Apothecary Lounge in the Hotel Parq Central. Over 30 were in attendance at the event. They surpassed their goal of collecting 125 costumes, with a total of 140 collected. The group has formed a running club which will participate in the **Doggie Dash and Dawdle** on November 1. A team has been formed to raise funds for Animal Humane Society. On Thursday, November 19, the Young Alumni Chapter will host a **Networking/Mock Interview Career Night** at Hodgin Hall Alumni Center from 5:30 – 7 p.m. Over 20 Human Resource professionals will be on hand to review resumes and conduct mock interviews.

The second and third **Donut Wednesdays** for the 2015-2016 School Year was held on October 7<sup>th</sup> and November 4<sup>th</sup>. The first was held in conjunction with the campus wide **United Way Campaign kickoff**. UNM United Way representatives were at Hodgin Hall Alumni Center Plaza to help Alumni Relations staff greet students, faculty, staff and alumni as well as give out literature and answer questions. The UNM Cheer Squad and members of the Omega Delta Phi fraternity added great fun to the festivities. We hosted 335 students and 194 staff, faculty, guests and gave away 65 dozen donuts.

Students are invited to Hodgin Hall Alumni Center to receive a special birthday cake (ordered by their parents in advance) with the **Birthday Cake Program**. The ARO staff celebrate with the students by singing happy birthday and presenting them with a small gift. The students are video-taped receiving their cakes, which is sent to parents who couldn't be here to share the day with them. We have had over 18 cakes presented since the beginning of the school year, many of which are students that received cakes in past years!



## Board of Regent Report

UNM Alumni Association & Alumni Relations Office

November 20, 2015

**Homecoming Week** provided a variety of student and alumni engagement opportunities as the UNM Alumni Association celebrated “Live Lobo and Prosper”, October 12-17, 2015. Our goal was to continue the mission of New Mexico’s flagship institution, explore exciting new worlds through numerous academic lectures, tours and presentations. Several departments, schools, and constituency groups also recognized alumni for their accomplishments and dedication to the University.

The Homecoming Committee supported **Ronald McDonald House Charities of New Mexico** by serving as guest chefs and collecting paper goods. Travel size toiletries were collected for the **APS Title 1 Homeless Project** at locations across campus and at the annual Alumni Faculty and Staff Appreciation Luncheon where we acknowledge the dedication of alumni on campus. Campus departments also celebrated Homecoming Week: The Health Sciences Center hosted an open house, with over 400 High School and UNM students, alumni and community members touring several of its labs. The School of Engineering, Law School, and College of Nursing honored their distinguished alumni at awards dinners throughout the week.

Friday was one of the busiest days of Homecoming Week, with sculpture and landscape tours, a College of Fine Arts Panel Discussion, Honors Alumni Weekend kickoff, Novitski Hall Dental Clinic Grand Opening, Black Alumni Chapter Awards, Spanish and Portuguese presentation of “Don Quixote,” Past Student Leader Reception, Graduate Artists Open Studio Tour and our own “Artists and Authors” reception during the Alumni Open House and Silent Auction.

On Saturday, distinguished alumni were recognized at the **All University Breakfast**. This year’s Zia Award recipients are Cynthia Arndell (BSN ’80, MD’94), Bette Jo Sisneros-Ciesielski (BA’90), Kirk Gittings (BUS ’72), Rene Matison (BS ’69), Frank McCulloch (BS ’53), and Coleman Travelstead (BAED ’69). The recipient of the Lobo Award is Gilbert V. Herrera (BSCPE ’81), and the recipient of the Inspirational Young Alumni Award is Jeffrey Andersen (BAFA ’07).



## Board of Regent Report

### UNM Alumni Association & Alumni Relations Office

November 20, 2015

The **U** was lit RED after the come-back charge of the Lobo Football Team as they defeated the Hawai'i Rainbow Warriors 24-23. This year's Homecoming King is Kyle Stepp and Queen is Mariah Gomez. Tailgates were also hosted prior to the Men's Soccer game on Wednesday evening, as well as prior to the football game.

**Reunion activities** included the Earth & Planetary Sciences Department opening of their new Meteorite Museum, alumni luncheon and symposium followed by Faculty-led field trips for alumni on Saturday. Honors College hosted receptions and a Tamarind Tour for alumni and students and recognized the first Honors Distinguished Alumni Award Winner – Dr. James Moore (BFA '66). It was a great week to show our Lobo Pride. We will continue to Live Lobo and Prosper.

The UNM Alumni Association is seeking **nominations** for their Winter Awards (**Erna Fergusson, Bernard Rodey, James Zimmerman, and the Faculty Teaching Awards**). Log onto [www.unmalumni.com/awards](http://www.unmalumni.com/awards) for each award's criteria and to complete your online submission. The deadline for submitting a nomination is

The UNM Alumni Association **2015-2016 Travel Program** includes educational trips both international and domestic for our alumni and guests. Recently guests have traveled to the Baltic (Sweden, Finland, Russia, Estonia, Germany, Denmark) and toured Italy, Malta, Greece and Turkey on the Sea of Antiquity luxury cruise. Trips, dates and pricing are subject to change. For additional information, contact Kathie Scott at the Alumni Relations Office at (505) 277-9093 or [kascott1@unm.edu](mailto:kascott1@unm.edu).



## **Goal 2: Increase alumni advocacy for UNM**

The **Lobos for Legislation Committee** will and/or has host/hosted the following:

- November 2, 2015: Lobos for Legislation hosted the annual **Legislative Briefing** at Hodgin Hall from 6:00-7:30 p.m. UNM Lobbyists and administrators apprised alumni and friends of the 2016 Legislative priorities.
- November 5, 2015: A **Legislative Home Reception** was hosted at the home of Fred Mondragon and Connie Vance in the far NE heights of Albuquerque. Approximately 80 alumni, students, and friends attended to include four representatives, student Regent, Ryan Berryman, VP of Student Affairs, Cheo Torres, UNM Deans Kymberly Pinder and Mark Peceny, and board members from ASUNM, GPSA and Staff Council.
- December 8, 2015: **Legislative Finance Committee Reception** will be held at the Rio Chama restaurant in Santa Fe from 5:30 – 7:00 pm.
- January 25, 2016: **UNM Day at the State Capitol** from 8:00-3:00. UNM will be present in the State Capitol's Rotundra and various academic units will be featured as well as student and alumni groups visiting legislators throughout the day.
- January 25, 2016: The annual **UNM Alumni Association Legislator Appreciation Reception** will be held in Santa Fe at La Fonda from 6:00-7:30.

The **Atlanta Chapter Chile Roast** took place on October 3 at the Square Pub in Decatur, GA, just missing Hurricane Joaquin. The winds subsided long enough to wrap up green chile season for the chapters. Many alumni chapters will be hosting Lobo football game watch parties for the rest of the season, including **San Diego, Houston**. Once the announcement was released in October, **Dallas** area alums are already making plans to attend the UNM vs AFA football game at the Cotton Bowl next October.

The **Denver Alumni Chapter** has partnered with Dion's Pizza, opening a new restaurant in their area, to donate 10% proceeds to the Denver Alumni Chapter Scholarship Fund on December 2.





## Board of Regent Report

UNM Alumni Association & Alumni Relations Office

November 20, 2015

### Goal 3: Maximize benefits of technology

This year, all chapters participating in chili roasting events **established online orders and reservations** through the Alumni Association web site. This was a new process for all, allowing chapter leaders to keep accurate records and less hassle with paper orders. While online ordering was a new concept for alumni in the chapter areas, many took advantage of the opportunity to also donate to their scholarship funds through this process.

The new online platform, UNM Alumni Connect is in final development and preparing for testing and launch to occur the first week of December. The online community will become the new Broadcast Email tool used by the entire university when contacting alumni. It allows alumni to review and update their information – including their current employment. Alumni can also use the tool as an online directory to find classmates. Provided by “IModules,” this new tool will create more interaction and updates to alumni data.

With the introduction of the new UNM Alumni Connect, the Alumni Association has **redesigned the unmalumni.com Web Site**. The new site will be presented in late November along with the new platform with a new, creative look and more space for alumni profiles and up-to-date news. The site will also offer an “@unmalumni.com” email address to any alum who wishes to show their Lobo pride with a permanent email address.

The current Broadcast Email platform provided by the Alumni Association and supported by the Marketing and IT Departments of the UNM Foundation was used extensively for University communications during a four week period leading up to, including and following Homecoming, 74 emails from departments, programs and alumni groups were sent to 841,799 individual email addresses. This technology allows UNM’s schools, colleges and departments an affordable tool to communicate directly with their alumni.



## Board of Regent Report

UNM Alumni Association & Alumni Relations Office

November 20, 2015

### Goal 4: Invest in a strategic and collaborative communications and marketing program

This year saw excellent coverage of UNM's Homecoming activities with special appearances throughout the week on various morning television shows. The Daily Lobo printed a Homecoming Edition with extensive coverage of the Homecoming events planned for alumni, students and the community as well as feedback and opinions on the value of Homecoming Traditions. The Albuquerque Journal covered the Homecoming activities as well as the Traditional Homecoming Football game.

**Social Media** platforms continue to thrive with planned and targeted communications going out on Facebook, Twitter, and Instagram. Increased likes, shares and comments have led to increased engagement on Facebook, officially leading us to break 4,100 followers during the week of Homecoming.

**Facebook** has received 144 new followers in October and is seeing a great growth in engagement. **Twitter** has received 35 new followers in October and is seeing excellent engagement through retweets and favorite posts. **Instagram** has received 30 new followers in October.

The **Howler** continues to inform alumni of all the activities and events offered by the ARO and Alumni Association. The Howler open rate continues at a strong percentage. The Howler was last sent out on Nov. 4, and included the announcement of Dana Allen as the new vice president of Alumni Relations and executive director of the Alumni Association.

We continue to streamline and coordinate our program and chapter marketing efforts through the creation of marketing plans, creative briefs and social media schedules. These have been created for Homecoming, Lobo Living Room, and Donut Wednesday. As we begin confirming dates for our 2016 events, we are also working to back out collateral and media production plans.

**Minutes of the Meeting of the  
UNM Health Sciences Center Board of Directors  
September 4, 2015**

UNM Health Sciences Center Board of Directors (the "Board") members present: Robert Doughty, III, Chair, Jack Fortner, Vice Chair, Michael Olguin, Marron Lee, James Koch, Ryan Berryman.

Board members not present: Ann Rhoades, Mel Eaves

UNM Leadership present: Bob Frank, PhD

UNM HSC Leadership present: Paul Roth, MD, MS, Chancellor for Health Sciences, and additional members of the Health System and Health Sciences Center leadership

Others present: members of the UNM faculty and staff

Chair Robert Doughty called the meeting of the Board to order at 9:05 a.m. The Chair announced that a quorum of the members of the Board was present.

Approval of Agenda

A motion was made to approve the agenda. The motion was seconded. The motion passed with a vote of 5-0-0.

Approval of Minutes of Prior Meeting

A motion was made to approve the minutes of the August 7, 2015 meeting of the Board. The motion was seconded. There was no discussion. The motion passed with a vote of 5-0-0.

Comments from Directors

Regent/Director Ryan Berryman gave a brief update on behalf of the HSC Student Council that included election results, announcement of flu shot clinics, Fit for Fun 5K event, etc.

UNM HSC Faculty Senate Council Update

Dr. Lee Brown, Chair, UNM Health Sciences Center Faculty Senate Council provided an update that included information on the HSC Faculty Senate Council description and charge, membership, work that has been done over the past year, *i.e.*, pursuit of the availability of tenure for Clinical Educators at the HSC, trip to Santa Fe for UNM Day to meet with legislators, E40 and research misconduct, meeting with

Provost Abdallah regarding University finances, positive support for the proposed College of Population Health, encouraging additional collaboration between faculty on main campus and the HSC campus, and recruitment efforts for more HSC members to serve on UNM Faculty Senate committees.

#### Chancellor's Administrative Report

Dr. Paul Roth presented information regarding results of current lack of adequate beds in the hospital and that in August there were 41 patients that had to be turned away due to lack of space, that the UNM College of Nursing has graduated the first group of students from the New Mexico Nursing Education Consortium (NMNEC), and the introduction of Dr. Michael Gomez as the Health System Executive Medical Director of Clinics. Dr. Roth introduced Dr. Sanjeev Arora who provided an overview of the Extension for Community Health Outcomes (ECHO) program. The following discussion included how other areas in New Mexico can access ECHO.

#### UNM Health System Update

Mr. McKernan's update included activity levels. Discussion included difference between "Emergency Care" and "Urgent Care," how the impact of Urgent Care does not decrease number of Emergency Room patients (Medicare's regulation that all patients get freedom of choice), suggestion to have information audited to verify data on lack of beds, federal government statistics, description of average patients in licensed beds in hospital units, etc. Discussion was held on wait times and impact of potential inefficiencies. Dr. Mike Richards presented on post-acute care and capacity, adult inpatient area is currently the most critical situation, patients' choice, penalties on readmissions, Master Facility Plan updates with a draft document that is planned to be distributed to Directors in September for discussion purposes for an information item at the October HSC Board of Directors' meeting, and identifying low acuity patients to transfer to other appropriate facilities in town which allows for more additional capacity to treat high complexity patients. Dr. Richards highlighted the success of the Sandoval Regional Medical Center, Inc. and recognized Ms. Jamie Silva-Steele and Dr. Tony Ogburn's leadership in this success. A discussion was held on the Master Facility Plan, timeline and clarity. Mr. McKernan announced that October 1<sup>st</sup> is the date of ICD-10 (the way physicians code their records in the U.S.; use of over 77,000 diagnostic codes) implementation and the Health System plans.

#### Public Comment

There was no public comment.

## Action Items

### Request for the Approval of the Health Sciences Center Summer Graduates

Dr. Leslie Morrison presented the HSC summer graduates and requested the approval of the HSC Board of Directors. A discussion included information jobs already secured by these graduates. A motion was made to approve the HSC summer graduates. The motion was passed. The motion passed with a vote of 5-0-0 in favor.

### Request for the Approval of the College of Population Health

Dr. Deborah Helitzer presented an overview of the proposed College of Population Health that included background on how “population health” is defined, addressing social determinants, population health as a connector (*i.e.*, public health, wellness, chronic disease management), the College of Population health and the Health System, benefits to addressing social determinants proactively, the main focus of population health, education, population health research, the skills and population health knowledge of students (*i.e.*, data analytics), students will be prepared for jobs and the changing U.S. economy, the available jobs in New Mexico for students who graduate with a Population Health degree, and next steps. Dr. Helitzer noted that the proposed College of Population Health has been approved by the UNM Faculty Senate. Following her presentation, a discussion was held on timing, availability of jobs, and the concentration on attracting students from rural areas throughout New Mexico. Ms. Ava Lovell presented six-year financial projections for the proposed College of Population Health. Discussion was held on if the College of Population Health can survive a 3% increase in tuition and Ms. Lovell explained why it could. President Frank added that the assumptions presented at this meeting were very conservative. Discussion continued on suggested edits to the slides, benefits University-wide, etc. A motion was made to approve the establishment of the UNM College of Population Health. The motion was seconded. No further discussion. The motion passed with a vote of 5-0-0 in favor.

### Request for the Approval of UNM Hospitals Contracts

Mr. Steve McKernan provided background on the four proposed UNM Hospitals contracts with Blue Cross Blue Shield of New Mexico, Ikaria-Mallinckrodt Pharmaceuticals, Cyberonics Incorporated-NCS Therapy System, and Lifecell Corporation. A discussion was held on post-retirement health care benefits. A motion was made to approve the UNM Hospitals contracts with Blue Cross Blue Shield of New Mexico, Ikaria-Mallinckrodt Pharmaceuticals, Cyberonics Incorporated, and Lifecell Corporation. The motion was seconded. The motion passed with a vote of 5-0-0 in favor.

## Information Items

### Health Sciences Center Education Overview

Dr. Leslie Morrison provided an overview of the educational programs at the Health Sciences Center that included student outcomes, 70<sup>th</sup> anniversary of the College of Pharmacy, 60<sup>th</sup> anniversary of the College of Nursing, the 50<sup>th</sup> anniversary for the School of Medicine, the HSC programs include College of Nursing, College of Pharmacy, MD program, and the Health Professions and Public Health, and College of Population Health, degrees conferred, time required to complete degrees, Medical Laboratory Sciences, etc. A discussion was held on employment rates of the HSC graduates, publicizing data on such employment and where the graduates are obtaining jobs. Dr. Roth highlighted that HSC graduates are mandated to secure licensure prior to obtaining jobs. A discussion was held on the old MCAT and range of new scoring system, Continuing Medical Education, mini-sabbaticals. Dr. Morrison continued with information on Interprofessional Education, assessment, and UNM West.

### HSC Financial Update

Ms. Ava Lovell provided an overview of the full year for 2015 HSC finances on UNM Hospitals, UNM Medical Group, Inc., and the Sandoval Regional Medical Center, Inc. Metrics included Uncompensated Care, Balance Sheet, Accounts Receivable, Days Cash on Hand, emphasis on UNM Hospitals' Days Cash on Hand and the importance of a large balance of Cash on Hand – Moody's recently released their recommended Days Cash on Hand of 180 days for a Double A rating.

Regent Doughty noted that the UNM Hospitals Board of Trustees Meeting Minutes for July 31, 2015, the SRMC Board of Directors Meeting Minutes for July 22, 2015 were included as information items. No discussion.

### Executive Session

A motion was made to close the open portion of the meeting and for the Board to convene in executive session for the reasons specified in the published agenda. The motion was seconded. The motion passed with a vote of 5-0-0 in favor.

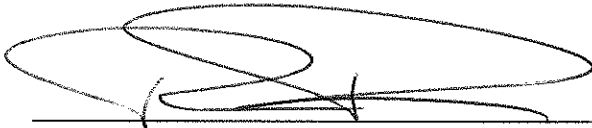
Following the executive session, a motion was made to reconvene in open session and a certification that only those matters described in agenda item XI were discussed in executive session. The motion was seconded. The motion passed with a vote of 5-0-0 in favor.

Adjournment

A motion was made to adjourn the meeting. The motion was seconded. The motion passed with a vote of 5-0-0 in favor.

Minutes were prepared by Patrice Martin and finalized on September 10, 2015.

Approval of Minutes:

A large, stylized handwritten signature in black ink, appearing to be 'RD III', written over a horizontal line.

Regent Robert Doughty, III, Chair

10-2-15  
Date



Agenda Item	Subject/Discussion	Action/Responsible Person
Voting Members Present:	Debbie Johnson, Jerry McDowell, Michael Olguin, Michelle Coons, Christine Glidden, Nick Estes, Dr. Donna Sigl, Joseph Alarid	
Ex-Officio Members Present:	Stephen McKernan, Dr. Paul Roth, Dr. Irene Agostini, Dr. Michael Richards, Dr. Aimee Smidt, Ryan Berryman	
County Officials Present:	Mario Ruiz	
Call to Order	A quorum being established, the acting Chair, Mr. Jerry McDowell, called the meeting to order at 9:09AM.	
I. Adoption of Agenda	The acting Chair, Mr. Jerry McDowell, requested a motion to adopt the agenda. Steve McKernan requested the Master Facility Plan be moved from Closed Session to Open Session for Board review. No action was taken on this agenda item.	Mr. Joseph Alarid made a motion to adopt the agenda, with requested changes. Mr. Nick Estes seconded the motion. There being no objections, the motion carried.
II. Public Input	None	
III. Announcements	Mr. Stephen McKernan recognized the College of Nursing honorees for the recent awards received.	
IV. Approval of Minutes	UNM Hospitals Board of Trustees meeting minutes for August 28, 2015.	Ms. Christine Glidden made a motion to approve the minutes of the August 28, 2015, Board of Trustees meeting. Mr. Joseph Alarid seconded the motion. There being no objections, the motion carried.
V. Consent Agenda	Following review of the Consent Approval items, the acting Chair, Mr. Jerry McDowell, requested a motion to approve.  Following review of the Construction Approval items, the acting Chair, Mr. Jerry McDowell, requested a motion to approve.	Following a brief discussion regarding the consent items, Mr. Nick Estes made a motion to approve the Consent Approval items, as submitted. Ms. Christine Glidden seconded the motion. There being no objections, the motion passed unanimously.  Following a brief discussion regarding the construction approval items, Mr. Michael Olguin made a motion to approve the Construction Approval items, as submitted. Ms. Christine Glidden seconded the motion. There being no objections, the motion passed unanimously.

Agenda Item	Subject/Discussion	Action/Responsible Person
	Following review of the Clinical Privileging descriptions, the acting Chair, Mr. Jerry McDowell, requested a motion to approve, as submitted.	Mr. Joseph Alarid made a motion to approve the Clinical Privileging descriptions, as submitted. Ms. Christine Glidden seconded the motion. There being no objections, the motion passed unanimously.
VI. Board Initiatives	<p>Mr. McKernan advised the board the tentative 2016 meeting dates were included in the packet.</p> <p>Ms. Claudia Medina, Director of Healthworker Initiatives, presented an update to the Pathways report.</p> <p>The Chair, Ms. Debbie Johnson, arrived and resumed the chairperson responsibilities.</p> <p>Mr. Steve McKernan presented an update on the linear connection from the Strategic Plan to the Operating Plan.</p> <p>Mr. Steve McKernan presented an update on the Master Facility Plan.</p>	
VII. Administrative Reports	<p><b><u>CEO Report</u></b> – The CEO Report is in the packet.</p> <p><b><u>CMO Report</u></b> – The CMO report is in the packet.</p> <p><b><u>Chancellor's Report</u></b> – Dr. Roth advised he has recently been doing a lot of work on the Master Facility Plan, so that it may be rolled out for public input. UNMH typically receives approximately 500 transfers per month from other hospitals, so this project is important in continuing to receive patients.</p>	
VIII. Updates	<b><u>Financial Report Card</u></b> – The financial dashboard for August was in the packet.	
IX. Committee Reports	<p><b><u>Performance Oversight &amp; Community Engagement Committee</u></b>  The Performance Oversight &amp; Community Engagement Committee met on September 18, 2015.</p> <p><b><u>Finance and Audit Committee</u></b>  The Finance and Audit Committee met on September 23, 2015.</p>	
X. Other Business	None	
XI. Closed Session	At 11:18AM, the Chair, Ms. Debbie Johnson, requested a motion to close the open session of the meeting to the public.	Ms. Christine Glidden made a motion to move to closed session. Ms. Michelle Coons seconded the motion. The motion passed unanimously.

Agenda Item	Subject/Discussion	Action/Responsible Person
XII. Certification	After discussion and determination where appropriate, of limited personnel matters per Section 10-15-1.H (2); and discussion and determination, where appropriate of matters subject to the attorney-client privilege regarding pending or threatened litigation in which UNMH is or may become a participant, pursuant to Section 10-15-1.H (7); and discussion of matters involving strategic and long-range business plans or trade secrets of UNMH pursuant to Section 10-15-1.H (9), NMSA, the Board certified that no other items were discussed, nor were actions taken.	
XIII. Vote to Re-Open meeting	<p>At 12:43PM, the Chair, Ms. Debbie Johnson, requested a motion to be made to return the meeting to open session.</p> <p>The Chair, Ms. Debbie Johnson, requested a motion to be made that the Board accept the minutes of the meeting of those committees that were presented in Closed Session to acknowledge, for the record, that those minutes were, in fact, presented to, reviewed, and accepted by the Board and for the Board to accept and approve the recommendations of those Committees as set forth in the minutes of those committees meetings and to ratify the actions taken in closed session.</p>	<p>Mr. Michael Olguin made a motion to return to open session. Ms. Christine Glidden seconded the motion. The motion passed unanimously.</p> <p>Mr. Michael Olguin made a motion to accept the minutes presented by the committees. Ms. Christine Glidden seconded the motion. The motion passed unanimously.</p> <p>Ms. Michelle Coons made a motion to ratify the actions taken. Mr. Jerry McDowell seconded the motion. The motion passed unanimously.</p>
XIV. Adjournment	The next scheduled Board meeting will be October 30, 2015 @ 9:00AM. There being no further business, the Chair, Ms. Debbie Johnson, adjourned the meeting at 12:44PM.	

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Christine Glidden, Secretary  
 UNM Hospital Board of Trustees

**SRMC Board of Directors Meeting Minutes**

September 23, 2015

8:00 a.m. - 11:00 a.m.

UNM Sandoval Regional Medical Center, 4th Floor Board Room

Teleconference 505-994-7187

Rio Rancho, New Mexico

<b>1.0</b>	<b>CALL TO ORDER AND CONFIRMATION OF QUORUM</b>	
	Mr. McKrenan called the meeting to order and a quorum was confirmed at 8:00 a.m.	Accept as information
<b>2.0</b>	<b>VOTE TO APPROVE THE AGENDA</b>	
	Dr. Roth presented the Agenda to the Board for review.	Upon a motion and a second, the Board voted to approve the agenda. Motion passed unanimously.
<b>3.0</b>	<b>VOTE TO APPROVE THE MINUTES OF AUGUST 26, 2015</b>	
	Dr. Roth presented the Minutes to the Board for approval.	Upon a motion and a second, the Board voted to approve the minutes. Motion passed unanimously.
<b>5.0</b>	<b>PUBLIC COMMENT</b>	
	None	
<b>6.0</b>	<b>PROGRAMMATIC UPDATES</b>	
6.1	<p><u>Nephrology Update</u></p> <p>Dr. Eduardo Alas provided a presentation on Nephrology and provided a detailed explanation of this service.</p> <ul style="list-style-type: none"> <li>• Physician specialist with a focus on kidney disease and hypertension <ul style="list-style-type: none"> <li>○ Hypertension</li> <li>○ Acute Kidney Injury</li> <li>○ Chronic kidney disease (CKD) (failure)</li> <li>○ End Stage Renal Disease (ESRD)</li> <li>○ Prevention of kidney stones</li> <li>○ Management of chronic congenital kidney disease <ul style="list-style-type: none"> <li>· Polycystic kidney disease</li> </ul> </li> <li>○ Dialysis</li> <li>○ Renal and Pancreas Transplant Evaluation Management</li> </ul> </li> <li>• One in 10 American adults, more than 20 million, have some level of CKD.</li> <li>• SRMC Inpatient Services include: <ul style="list-style-type: none"> <li>○ UNM Nephrology faculty members and community practice physicians and practitioners, Renal Medicine Associate</li> <li>○ 24/7 consult coverage</li> <li>○ Dialysis Clinic Inc. is our dialysis provider, hemodialysis and peritoneal dialysis.</li> <li>○ Dedicated inpatient dialysis unit</li> </ul> </li> </ul>	Accept as information

	<ul style="list-style-type: none"> <li>○ 2 hemodialysis machines</li> <li>○ 2 peritoneal dialysis machines</li> <li>○ 24 hour dialysis nurse coverage</li> <li>• Average monthly dialysis treatments provided = 47 treatments</li> <li>• Patients are transferred into SRMC statewide <ul style="list-style-type: none"> <li>○ Significant transfers from Cuba, Acoma, and Grants DCI and hospital facilities</li> </ul> </li> <li>• Interventional Radiology and Surgical Services are complimentary partners <ul style="list-style-type: none"> <li>○ All peritoneal catheters in the UNM system placed at SRMC by UNM General surgery</li> <li>○ Community referrals for AV fistula care by IR</li> </ul> </li> </ul> <p>Please refer to the PowerPoint for detailed information.</p>	
<b>7.0</b>	<b>REPORTS FROM SRMC COMMITTEES</b>	
7.1	<p><u>Patient Safety and Quality Committee</u></p> <p>Ms. Boothe provided an update of the September 17<sup>th</sup> meeting and presented the minutes of July 21<sup>st</sup> for acceptance. The following were items of discussion.</p> <ul style="list-style-type: none"> <li>• Medical Staff and Hospital Quality Committee Update</li> <li>• Patient and Staff Harm</li> <li>• Culture of Safety</li> <li>• Patient Satisfaction</li> <li>• Quality and Accountability Scorecard</li> <li>• Reporting Calendar</li> </ul>	Upon a motion and a second, the Board voted to accept the minutes. Motion passed unanimously.
<b>8.0</b>	<b>FINANCIAL REPORT</b>	
8.1	<p>Ms. Fernandez reviewed the SRMC Financial Dashboard for month ended August 2015 and the financials for FY16 two months ending August 2015.</p> <p>Please refer to the September 23, 2015 financial presentation for detailed information.</p>	Accept as information
<b>9.0</b>	<b>CEO REPORT</b>	
9.1	<p>Ms. Silva-Steele presented the CEO report and provided a verbal update on the following:</p> <p><u>Operational Summary</u></p> <ul style="list-style-type: none"> <li>• Throughout the summer the census has been impacted by vacations and has dipped below target. This week we have experienced max increases in census.</li> <li>• Clinic volumes have been impacted for the same reasons. We have now hired a Primary Care provider so that should also assist us with hitting our targets and opening access.</li> <li>• Surgeries continue to increase and week by week they have also been impacted through the summer by vacations.</li> </ul>	Accept as information
9.2	<p><u>People</u></p> <ul style="list-style-type: none"> <li>• Turnover for July was down slightly 2.13% slightly higher than prior month. This reflects 12 terms. Nursing turnover also down at 2.27%. The FY16 goal is for annualized turnover to be</li> </ul>	

	<p>less than 20%. We have several initiatives under way to address retention. We are currently conducting leadership rounds to seek input from staff on retention strategies. We have implemented Exit Interviews. We are also conducting 30-60-90 day check-ins on all new hires. Vacancy rate is also improving at 7% for August.</p> <ul style="list-style-type: none"> <li>• Employee Engagement Survey was conducted in July, with a 61% response rate. We are still waiting for our final report. We look forward to the feedback that should help us action plan to ensure top Employee Engagement for SRMC.</li> <li>• Referring Provider Satisfaction survey was sent out in July and results are still pending</li> <li>• Provider Engagement survey is being sent out on September 21, 2015.</li> </ul>	
9.3	<p><b><u>Quality</u></b></p> <ul style="list-style-type: none"> <li>• The Executive and Management Teams are continuing training on the concepts of LEAN management and developing an organizational work plan on advancing LEAN Management in the organization. The SRMC Values are tied to LEAN Principles and Ideal Behaviors for the Organizational and Operational levels. Lean Coaches worked with our learning areas this week in addition to our Executive Team. We are focusing on advancing our transformation plan as well as developing our Leader Standard Work and formalizing our visual board. In addition, we are working on our communication strategy of “Putting You First”. We are maintaining daily huddles at 0830 and the Executive Team is rounding weekly in our learning areas and other key areas.</li> </ul>	
9.4	<p><b><u>Growth</u></b></p> <ul style="list-style-type: none"> <li>• Inpatient volumes have been very high this week with greater than 95% occupancy. We have had an increase in patients boarding in ED and PACU during these peak census times.</li> <li>• Clinic and Surgical Volumes have been meeting targets. The Labor Day holiday impacted these volumes secondary to us being closed.</li> <li>• RFP is going out so that we can engage a consultant to work with us on developing our next version of the Strategic Plan for SRMC which will drive our Master Facility Plan development.</li> <li>• We held our first Catholic Mass on September 8, 2015.</li> </ul>	
9.5	<p><b><u>Community Engagement</u></b></p> <ul style="list-style-type: none"> <li>• The Sandoval County Health Council met in Pena Blanca this month. The group reviewed substance abuse in Sandoval County, heard a presentation from Sangre de Cristo House, and received updates on County Health Assessment, State Innovation Model Community Engagement, and Health Literacy Initiative as part of the Sandoval County Health Collaborative.</li> <li>• The Sandoval County Health Collaborative is furthering work with the Rio Rancho Regional Chamber of Commerce, Sandoval</li> </ul>	

	<p>Economic Alliance and will soon be meeting with Rio Rancho Public Schools to talk about their desire to create a health career pathway. Triple goals: Education of Allied Health workforce, Creating Economic-based jobs, Improving Wellness and Health Literacy.</p> <ul style="list-style-type: none"> <li>• We are discussing the development of an Annual Community Report.</li> <li>• Jamie will be presenting at the All Pueblo Council of Governors on September 29th.</li> <li>• Annual SRMC Tribal Collaboration meeting scheduled for October 29th</li> </ul>	
9.6	<p><b><u>Mill Levy</u></b></p> <ul style="list-style-type: none"> <li>• SRMC Mill Levy committee is meeting monthly. Donnie Leonard is the Board of Directors representative.</li> <li>• Perception polling was initiated and results are back and being tabulated.</li> <li>• We have started to develop our quarterly messages plan. Results of polling may require plan to be altered.</li> <li>• We will also be setting up a discussion to talk with Presbyterian Rust about our joint messaging and strategy.</li> <li>• Discussing strategies to reach communities, businesses, churches, fairs, etc., businesses, churches, fairs, etc.</li> </ul>	Polling results will be presented at our next Board meeting.
9.7	<p><b><u>Art Council</u></b></p> <ul style="list-style-type: none"> <li>• Group meeting monthly. Manu RainBird is the Board of Directors representative.</li> <li>• Goal is to showcase art in the organization which will enhance, beautify and add support healing.</li> <li>• Official Art Gallery opening was held August 13th, 4-6 PM.</li> <li>• Working with the Rio Rancho Art Association who will have space on the second floor near the Surgery Check in area.</li> <li>• Identifying Art for the Chapel</li> <li>• Developing art submission guidelines and a deed of gift process.</li> <li>• Looking at all forms of art media.</li> </ul>	
9.8	<p><b><u>Community Advisory Board</u></b></p> <ul style="list-style-type: none"> <li>• Group meeting every other month. Charlotte Garcia is the Board of Directors representative.</li> <li>• Group is working on a Community Engagement and Partnership Self-Assessment <ul style="list-style-type: none"> <li>○ This tool was developed through the Diversity, Equity and Inclusion efforts at UNM Hospital.</li> <li>○ It assists the organization in looking at national standards and requirements from several agencies in addressing health care disparities (Joint Commission (TJC), National Quality Forum (NQF), Culturally &amp; Linguistically Appropriate Services (CLAS), National Committee for Quality Assurance (NCQA), and America's Essential Hospitals (formerly National Association of Public Hospitals (NAPH).</li> </ul> </li> </ul>	



	<ul style="list-style-type: none"> <li>Group continues to evolve our self-assessment, identifying strengths and weaknesses. Have discussed the potential development of a Patient-Family Advisory Council. Also exploring ways to provide looped-information on Patient Televisions around patient education, health topics, and available hospital services.</li> <li>Patient zip-code data being updated. Employee REALS is also collected now.</li> </ul>	Ms. Silva Steele will bring back race make-up of the county.
	<p><b><u>Board Comments/Questions</u></b></p> <ul style="list-style-type: none"> <li>Ms. Silva Sreele announced that Dr. Ogburn, CMO was leaving SRMC and thanked him for his time and dedication.</li> </ul>	
<b>10.0</b>	<b>CMO REPORT TO INCLUDE ACADEMIC UPDATE</b>	
10.1	<p>Dr. Ogburn provided a verbal report on recent, new, and expanded services at SRMC. Please refer to handout for detailed information.</p> <p><b><u>New/Ongoing Activities</u></b></p> <ul style="list-style-type: none"> <li>Behavioral Health <ul style="list-style-type: none"> <li>Only one new provider, second remaining at UNM</li> <li>Expansion of Outpatient services will be delayed</li> <li>Recruiting a full time Psychologist <ul style="list-style-type: none"> <li>Primary care collaboration</li> <li>Addiction services</li> </ul> </li> </ul> </li> <li>General Surgery <ul style="list-style-type: none"> <li>Dr. Beckley – leaving end of December</li> <li>Recruiting a UNM Bariatric surgeon – Anticipated start date 1/1/2016</li> <li>Minimally invasive surgeon – will work with UNM Bariatrics also – Summer 2016</li> <li>Trauma surgeon - Summer 2016</li> <li>Anticipated temporary decrease in clinic availability</li> </ul> </li> <li>Hospital Medicine <ul style="list-style-type: none"> <li>Two nocturnists hired through Medical Group as staff physicians</li> <li>Recruiting for a Hospital Medicine Section Chief</li> <li>Will continue to partnership with ABQ HP for hospital medicine coverage</li> </ul> </li> <li>Primary Care <ul style="list-style-type: none"> <li>New NP started 9/1</li> <li>Offer made to additional NP <ul style="list-style-type: none"> <li>Once on board will be fully staffed!</li> </ul> </li> </ul> </li> <li>ICD-10 preparation continues <ul style="list-style-type: none"> <li>Champions <ul style="list-style-type: none"> <li>Eleana Zamora</li> <li>Julie Harrigan – Community provider in Hospital Medicine</li> </ul> </li> <li>Ambulatory concerns</li> </ul> </li> <li>Operating Room <ul style="list-style-type: none"> <li>Utilization increasing – most services at or above</li> </ul> </li> </ul>	Accept as information



Samford, Craig MD	Hospital	UNM	minutes. Motion passed	
Showers, Susan MD	Medicine/Hospitalist	UNM	unanimously.	
Tuuri, Rachel MD	Hospital Based/Emergency	UNM		
Viamonte, Carlo MD	Hospital Based/Radiology	UNM		
Ward, Justin DPM	Surgery/Podiatry	NM Foot & Ankle		
<b>Reappointments</b>			Upon a motion and a second, the Board voted to approve reappointments for Antony thru Williamson. Motion passed unanimously.	
Antony, Antony MD	Surgery/Orthopedics	UNM		
Aragon, Elicia PA-C	Medicine/Hospitalists	UNM		
Arnold, John AA-C	Hospital Based/Anesthesiology	UNM		
Beauchamp, Mark MD	Surgery/Otolaryngology	UNM		
Boivin, Michel MD	Medicine/Critical Care	UNM		
Crookston, Kendall MD,	Hospital Based/Pathology	UNM		
Cross, Elizabeth LCSW	Medicine/Social Worker	UNM		
Cullen, Chandra MD	Medicine/Psychiatry	UNM		
Deligtisch, Amanda MD	Medicine/Neurology	UNM		
Delu, Adam MD	Hospital Based/Radiology	UNM		
Dettmer, Todd MD	Hospital Based/Emergency Medicine	UNM		
Fraser, Kathryn MD	Medicine/Psychiatry	UNM		
Griffin, Lucie DO	Medicine/Hospitalists	UNM		
Kerr, Hannah MD	Surgery/Urology	UNM		
Lesser, Eugene DO	Medicine/Neurology	UNM		
Melendres-Groves, Lana	Medicine/Pulmonary	UNM		
Menke, Jake AA-C	Hospital Based/Anesthesiology	UNM		
Molloy-Sawyer, Patricia	Medicine/Audiology	ABQ Hearing		
Ruddell, Jeremy AA-C	Hospital Based/Anesthesiology	UNM		
SantaCruz, Karen MD	Hospital Based/Pathology	UNM		
Sona, Justin AA-C	Hospital Based/Anesthesiology	UNM		
Waldorf, Virginia PhD	Medicine/Psychology	UNM		
Warrick, Brandon MD	Hospital Based/Emergency Medicine	UNM		
Williamson, Michael MD	Hospital Based/Radiology	UNM		
<b>Expansions</b>			Upon a motion and a second, the Board voted to approve expansions for Cullen thru Dettmer. Motion passed unanimously.	
Cullen, Chandra MD	Medicine/Psychiatry • Tele-Medicine	UNM		
Dettmer, Todd MD	Hospital Based/Emergency Medicine • Moderate Sedation • Ultrasound Guided Procedures	UNM		
<b>Resignations &amp; Application Withdraws</b>			Accept as information	
Bushnell, Kristin PA	Surgery/Surgery	ABQ		Resigned
Charles, Matthew MD	Hospital Based/Anesthesiology	UNM		Resigned
Crossey, Michael MD	Hospital Based/Pathology	UNM		Resigned
Curtis, Andrew MD	Hospital Based/Anesthesiology	UNM		Resigned
Gomez, Ricardo MD	Hospital Based/Anesthesiology	UNM		Resigned
Griego, Janet MD	Hospital Based/Pathology	UNM		Resigned

	Huser, Jeffrey MD	Hospital Based/Pathology	UNM	Resigned	
	Jensen, Maria MD	Hospital Based/Anesthesiology	UNM	Resigned	
	Lee, Joseph MD	Hospital Based/Pathology	UNM	Resigned	
	McKee, Mary MD	Hospital Based/Radiology	UNM	Resigned	
	Rangel, Mia AAC	Hospital Based/Anesthesiology	UNM	Resigned	
	Rothfork, Jacob MD	Hospital Based/Anesthesiology	UNM	Resigned	
	Mr. McKernan, Vice Chairman of the Board, stated for the record that only the categories listed in Item XI of the Open Agenda were discussed and/or determined in Closed Session and asked for a Motion to be made that the Board ratify the actions taken in Closed Session, which includes, but is not limited to, the Medical Staff Privileges and Committee Meeting Minutes, as presented.				
13.0	ADJOURNMENT/NEXT MEETING				
	Motion was made to adjourn the meeting, second; unanimously approved. Meeting adjourned at 10:46 a.m.  The next meeting will be held on November 25, 2015 at 8:00-11:00 a.m. at UNM SRMC, Board Room or Teleconference at 505-994-7187				
MEMBERS/GUESTS IN ATTENDANCE					
Board Members Present: Mr. Steve McKernan Dr. Michael Richards Mr. Donnie Leonard Mr. Jerry Geist Dr. Brad Cushnyr Ms. Joanna Boothe Ms. Charlotte Garcia Mr. Manu RainBird		Staff Members Present: Ms. Jamie Silva-Steele Dr. Tony Ogburn Ms. Pam Demarest Ms. Darlene Fernandez Ms. Correen Bales		Guests Present: Ms. Rosalyn Nguyen Ms. Melissa Romine Dr. Eduardo Alas	
Minutes Recorded By: Ms. Geraldine Vallejos					