

BOARD OF REGENTS

Agenda

November 14, 2017 Open Session 9:00 AM SUB, Ballroom C Closed Sessions, Cherry Silver

The Board of Regents of the University of New Mexico Meeting in Open Session and Executive Session November 14, 2017, 9:00 AM Open Session - Student Union Building (SUB), Ballroom C Executive Session, SUB, Cherry Silver Room

AGENDA

TAB
Call to Order, Confirmation of a Quorum, Adoption of the Agenda
Regent President Rob Doughty1
Approval of Minutes: October 17, 2017 regular meeting and November 2, 2017 special meeting 2
Public Comment – comments related to items on the agenda (limit 3 min.)
Regent Advisors – comments related to agenda items (limit 3 min.)
Comments from Regents
The President's Administrative Report, Interim President Chaouki Abdallah
Regent Committee Reports
Consent Docket
(Action items on Regent's Committee agendas may move to the Board of Regents' agenda as consent items; the below items are placed on the consent docket by the respective committee chairs; items on the consent docket received unanimous approval in committee; per Regents' Policy 1.2, "Any member of the Board of Regents shall have the right upon request to remove any item from the Board's consent agenda and place the item on the Board's regular agenda for discussion.")
1. Health Sciences Center Committee (HSC) Consent Items, Regent Marron Lee, Chair
a. Approval of the Third Amended and Restate Bylaws of UNM Sandoval Regional Medical Center, Inc C-1
 b. Approval of the Appointment of Martha McGrew, MD, to the UNM Sandoval Regional Medical Center, Inc. Board of Directors
2. Finance and Facilities Committee (F&F) Consent Items, Regent Marron Lee, Chair
c. Approval of Quarterly Financial Actions Report and Certification through September 30, 2017
d. Approval of Disposition of Surplus Property for Main Campus for September and October 2017 C-4
e. Approval of Increasing the Number of Members of the Harwood Foundation Governing Board
f. Continuation and Possible Action on Business Policy 7000 Recommendations
Finance and Facilities Committee (F&F), Regent Marron Lee, Chair
Action Items
1. Discussion of Harwood Alliance Audit Requirements and Possible Approval of Revisions to MOA
with Harwood Alliance, Alexandra Benjamin, Chair of Harwood Foundation
Note: This item forwarded from F&F Committee without recommendation
2. Approval of Naming Committee Request: Create the 'Robert G. "Reg" Strickland Endowed Chair of
Digestive Health and Science', Libby Washburn, Chair, Naming Committee; Bill Uher, UNM Foundation
Academic/Student Affairs and Research Committee, Regent Rob Doughty, Chair
Information Item
1. UNM Research – Fiscal Year 2017, Gabriel Lopez, VP Research
Note: This item was presented at the October 5, 2017 ASAR Committee meeting
Audit and Compliance Committee, Regent Tom Clifford, Chair
Information Item
1. Meeting Summary for October 18 Meeting 7

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

- VI. Vote to close the meeting and proceed in Executive Session (Cherry Silver Room on 3rd level of SUB)
 - 1. Discussions of personally identifiable information about an individual student as permitted by Section 10-15-1(4), NMSA (1978)
 - 2. Discussions of subject to attorney-client privilege pertaining to threatened or pending litigation as permitted by Section 10-15-1(7), 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. Adjourn

Minutes of the Regular Meeting of the Board of Regents of the University of New Mexico October 17, 2017 Student Union Building (SUB) – Main Campus Executive Session – Cherry Silver Room Open Session - Ballroom C

Members present

Robert M. Doughty, President; Marron Lee, Vice President; Tom Clifford, Secretary Treasurer; Garrett Adcock; Brad Hosmer; Alex O. Romero; Suzanne Quillen

Administration present

Chaouki Abdallah, Interim President; Paul Roth, Chancellor for Health Sciences Center; Craig White, Interim Provost and EVP for Academic Affairs; Elsa Cole, University Counsel; Ava Lovell, HSC Sr. Exec. Officer of Finance and Administration;; Eliseo 'Cheo' Torres, VP Student Affairs; Elizabeth 'Libby' Washburn, President's Chief of Staff; Liz Metzger, Controller; Lawrence Roybal, Acting VP for Division of Equity and Inclusion

Regents' Advisors present

Kathy Guimond, Retiree Association Past President; Pamela Pyle, Faculty Senate President; Danelle Callan, Staff Council President; Noah Brooks, ASUNM President

Presenters in attendance

Richard Wood, Senior Vice Provost for Academic Mission, Office of the Provost; Pamela Cheek, Interim Associate Provost for Curriculum and Assessment, Office of the Provost; Norma Allen, Director, OPB&A; Nicole Dopson, Director, Financial Operations, Office of the Provost

Others in attendance

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

CALL TO ORDER, CONFIRMATION OF A QUORUM, ADOPTION OF THE AGENDA

Regent President Rob Doughty called the meeting to order at 9:02 AM; all members were present in person. Before approval of the agenda, two modifications to the agenda were requested:

1) Move presentation of both ASAR information items before President's Admin Report

2) Remove from the agenda F&F action item 2, "Pre-approval of FY18 Budget Adjustments to be incorporated into the master BAR"

The motion to adopt the modified Agenda passed by a unanimous vote (1st Romero; 2nd Quillen).

APPROVAL OF MINUTES

Regent Doughty enquired if there were comments or modifications to the minutes on the agenda for approval for the September 12, 2017 regular meeting and the October 3, 2017 special meeting.

Regent Alex O. Romero made comment regarding the Strategic Plan process and to include the Regents as part of the process.

The motion to approve the minutes of the September 12, 2017 regular meeting and the October 3, 2017 special meeting passed unanimously (1st Adcock; 2nd Clifford).

ACADEMIC/STUDENT AFFAIRS AND RESEARCH COMMITTEE

Richard Wood, Interim Senior Vice Provost for the Academic Mission, gave an introduction and overview of his portfolio and goals; presentation slides were included in the eBook.

Pamela Cheek, Interim Associate Provost for Curriculum and Assessment, gave an introduction and overview of her portfolio and goals; presentation slides were included in the eBook.

Regent Clifford requested information regarding which line items of the budget should be focused on regarding high impact practices such as advising, unique courses to cater to underserved students, and improvement on graduation rates be presented to the Finance and Facilities Committee.

Regent Quillen inquired what is being done to attract students to General Education, what does UNM have to offer? Currently the task is to develop a cohort of courses for General Education that are distinguished as such.

THE PRESIDENT'S ADMINISTRATIVE REPORT

President Abdallah thanked the Drs. Wood and Cheek for their presentations and opened his report with a focus on the academic mission. The lottery scholarship changes resulted in a decrease of 1,000 recipients and approximately \$6 million. UNM was able to recover some of the cost with financial aid, but not all of it. There were approximately 150-200 students who dropped out due to the lottery. Some students who remained are absorbing the cost of lost scholarship funds themselves.

President Abdallah turned to UNM's research mission, which is integral to the education mission. He announced a new \$2 million National Institute of Health grant received by the department of Chemistry and Chemical Biology in collaboration with the Cancer Center, for a 5-year renewable program, which will also support graduate students, post-docs, and undergraduates who will work on the project.

UNM's College of Population Health received its first grant, for \$7 million, with cross-campus Principal Investigators from Population Health, Psychiatry, Psychology and Political Science to look at the social determinants of health. It is a prestigious grant from the National Institute of Minority Health and addresses an issue critical to New Mexico, growing a diverse workforce from underrepresented minorities, with funding to train students as well as to conduct the research component.

President Abdallah updated the Board on the Department of Justice (DOJ) agreement. UNM recently submitted the first of three yearly reports to the DOJ, which included the following information:

UNM has

- trained 17,500 students in person;
- established collaborations across campus with the UNM Police Department, Dean of Students, Office of Equal Opportunity, and others;
- conducted more than 15,000 hours of training focused on Title IX;
- revised and improved policies;
- conducted climate surveys at Main and Branch campuses; and
- surpassed the agreed upon level of faculty and staff training at 99% completion.

President Abdallah noted the LBGTQ Center recently moved to a more modern facility, accomplished with state capital funding allocated by Senator Candelaria two years ago. The Center now includes ADA compliant access.

President Abdallah concluded his report by expressing concern about how UNM will address its missions in light of fiscal challenges and stated he will address this issue during the request for reserves portion of the Board meeting.

Regent Clifford inquired if the Regents would be receiving a copy of UNM's report sent to the DOJ. President Abdallah replied that it has been sent to the Audit Committee and is waiting committee action, and that the President's Office will send it to the full Board of Regents as well.

<u>PUBLIC COMMENT</u> – related to items on the agenda No comments

<u>REGENT ADVISORS COMMENTS</u> – related to items on the agenda No comments

COMMENTS FROM REGENTS

Regent Clifford comments that the Audit and Compliance Committee has submitted the meeting notes from the August 25, 2017 meeting as an information item on this agenda and will meet on Wednesday, October 18, 2017 where the audit report for FY17 will be presented.

Regent Hosmer drew attention to the post-65 medical benefits discussion from the September 17 meeting, and that administration will get involved to explore other suggestions and possibilities for those events in which earlier interventions can take place so that the community is not faced with abrupt fact of life changes. He requested administration publish a calendar for the Regents to inform them when those earlier interventions will take place so there is confidence that the community is not faced with last minute life changes.

REGENT COMMITTEE REPORTS

CONSENT DOCKET

Regent Doughty addressed the following consent docket and asked for a motion to approve.

1. Finance and Facilities Committee (F&F) Consent Items

- a. Finance and Facilities Committee Meeting Summary from September 5, 2017
- b. Approval of Quarterly Financial Actions Report and Certification through June 30, 2017
- C. Affirmation of UNM Five-Year Capital Plan

The motion to approve the items on the Consent Docket passed by a unanimous vote (1st Lee; 2nd Clifford).

FINANCE AND FACILITIES COMMITTEE

Approval FY 17 Main, HSC and Branch Campus Categorization of Reserves Report pursuant to UAP 7000

President Abdallah presented the yearly Categorization of Reserves report pursuant to UNM Administrative Policy 7000. His presentation was divided into two categories: 1) the hospital, which has reserves under operations and capital initiatives; and 2) Main Campus academic units, HSC academic units and Branches, which have reserves for plant funds and operations. These reserves are classified into three components: committed, dedicated or discretionary.

President Abdallah stated UNM retains reserves in order to have liquidity for bond ratings and to mitigate unplanned reductions to funding, as well as for wide fluctuations, such as healthcare reform at the hospital. He noted reserves are non-recurring resources, and the University cannot in general use reserves to build the budget, but rather to avoid cuts to mission critical components or to use for critical infrastructure maintenance. UNM also uses reserves for research and clinical care that is reimbursable.

UAP 7000 states all departments must categorize and report reserves each fiscal year. Information flows first from department or unit accountants, through department chairs or directors, through college deans or vice presidents, through the Provost or the Executive Vice President, through the President's Office, to the Board of Regents. UAP 7000 requires reserves be classified in three categories: 1) committed, meaning there exists a legally binding agreement, such as a gift from a donor, that stipulates UNM cannot use the funds for other purposes; 2) dedicated, meaning there is a clear and focused purpose approved by a Dean or higher executive, such as hiring packages with startup funds that will become legally binding once a contract is signed; and 3) discretionary, which are funds remaining when you deduct the two previous categories.

Regent Clifford inquired about use of the term "unrestricted" in President Abdallah's presentation materials, and how it applies to the three categories defined. Ava Lovell, HSC Senior Executive Officer for Finance & Administration, responded the term "restricted" is related to the accounting system for grants and contracts and is not applicable in this context. Regent Clifford suggested for clarity in the presentation the use of the terms "unrestricted/restricted" should be dropped or footnoted, since they are not a relevant constraint contextually.

President Abdallah continued his presentation, stating that reserves are unspent funds accumulated from previous years. He clarified that reserves cannot be spent on salary increases in the recurring budget, but can be spent as a one-time bonus, as has been done for staff previously. Committed and dedicated funds are not available for spending; only discretionary funds are accessible for use. UNM cannot spend Hospital or Branch reserves on campus operations due to legal agreements that state those funds must be spent on their respective operations.

The UNM Hospital has capital initiatives reserves of \$202 million and operations reserves of \$221 million committed under the United States Department of Housing and Urban Development (HUD) mortgage contract and Bernalillo County lease agreements to be spent only at the Hospital.

University Plant and University Operating reserve funds are used for non-recurring building or land acquisition and construction improvements to the physical infrastructure of UNM. The UNM Plant Fund has committed reserves of \$187 million (excluding the Hospital). Bond receipts for the Physics building are included as well as dedicated start-up funds that will lead to committed legal agreements upon hire.

Regent Clifford inquired if the Hospital capital initiatives are committed by legal, contractual obligation. President Abdallah responded upon borrowing the money for the Hospital, per HUD, UNM committed these funds for Hospital use only. Regent Clifford stated that it would be beneficial to revisit the HUD commitments. Although any plans UNM makes regarding institutional support and facility development, etc., must be made in coordination with HUD to ensure obligations are being met adequately, it is not equivalent to a commitment of those funds. Dr. Roth responded in the context of the reserves report, the funds are committed in the sense that these funds can only be used for the Hospital. He noted there is indeed a broader discretion within the use of these funds with approval by HUD. Regent Clifford noted the indicated categorization as dedicated, rather than committed, with the understanding that there is identified use, but not a legal commitment. Dr. Roth responded that other than a requirement to maintain a certain balance, the funds are

dedicated under the terms of the agreement. Ms. Lovell added the dedication is similar to the Branches – the Branches have reserves that may not be committed to other projects in the broader context. Although Policy 7000 states discretionary and dedicated funds are available for UNM executive leadership to spend on anything they want, they cannot use Branch and Hospital reserves. The context of the Bernalillo County lease states the Regents will only use hospital funds for hospital operations. Regent Clifford requested a memorandum outlining the commitment of those terms and Dr. Roth agreed to provide it to the Regents.

President Abdallah continued, stating the \$35 million in dedicated Plant funds are mostly for Administrative units, such as housing, the bookstore, utilities, etc., typically for the next phase of a project. He noted this figure includes a large portion of dedicated funds for the Branches, which are not available to spend on Main Campus or at the HSC.

With committed and dedicated reserves removed from the Plant Funds, there remains \$4.6 million in discretionary reserves, with \$4 million available to Main Campus, \$600k for Branches, and a small amount for the HSC. President Abdallah noted the HSC has already spent discretionary funds and that is why their portion is small.

The total ending reserves for Operations is \$161 million, which includes the HSC academic units, Main Campus, and the Branches (excluding the Hospital). UNM's campus operations unrestricted budget is approximately \$1 billion. Discretionary reserves are equivalent to 1.84% of UNM's total budget. President Abdallah noted a benchmark of 5% or \$53 million in UNM's case.

The largest portion of Operations committed reserves are donor mandated. UNM also commits 3% of Operations reserves for the Higher Education Department. The administration has dedicated \$2 million from this 3% reserve to cover the tuition shortfall.

There remains \$52 million of dedicated and discretionary Operations reserves. Main Campus dedicated funds comprise \$6.8 million, which includes purchasing equipment, deficit reduction plans, professional services contracts, and start-up package funds. Dedicated Operations funds for the Branches total \$4.5 million. HSC dedicated funds total \$21 million, comprised of research funding, deficit reduction plans, and start-up packages. This leaves \$19.4 million in discretionary reserves.

Regent Clifford sought further clarification on the nature of the deficit reduction plans. Ms. Lovell used the example of the Office of Medical Inquiry (OMI), which moved into a larger facility with increased utilities cost while their budget remained static. The HSC had asked to increase their budget to no avail; because OMI needed to continue operation, they have built a deficit. The HSC has worked to correct this for two years and OMI has received some funds from the State and readjusted its operations. Although they have a deficit reduction plan and have begun to reduce the deficit, it still exists and is shown in dedicated funds. She noted the figure in the presentation included other entities with deficits as well. Regent Clifford commented that the deficit reduction note indicating "future year operating budget" was confusing, as the figure reflects deficits accrued to date. Ms. Lovell concurred. President Abdallah also noted the figure declines yearly with repayment.

President Abdallah continued noting UNM has \$19 million in discretionary funds, with \$8 million available to Main Campus and \$8 million available to the Branches, mostly for use in Academic and Student Affairs. For the HSC, the total academic enterprise has access to \$3 million.

President Abdallah noted financial pressure points resulting from lower tuition and a drop in revenue from fees. When UNM was trying to meet its budget last year, it utilized \$1.9 million from Academic Affairs. Nicole Dopson, Director, Financial Operations for Academic Affairs, noted Academic Affairs plans to cover the shortfall with \$1 million coming through staff vacancy savings and the hiring review process, and proposed the remaining \$900k come from reserves.

Regent Romero inquired UNM's target percentage for reserves, noting the 5% benchmark and expressing concern about the 1.84% actuality. He also inquired how these numbers have changed in the past three years. President Abdallah responded UNM has \$20 million combined in Operations and Plant discretionary reserves and he hopes to use these funds to begin revenue-generating initiatives. In the last few years, reserves have declined. At one point, UNM had a built-in \$14 million hole in the budget yearly and effectively had no reserves. Although UNM has less than \$25 million in discretionary reserves, dedicated reserves are available in the case of a true emergency. Regent Romero noted attrition will only address part of problem and inquired how UNM should be positioning itself for the next 18 months, considering the financial pressure points. President Abdallah noted use of reserves will address the next academic year and expressed the model of cost reduction and attrition is not a long-term solution. He stated UNM must increase revenues, one of the goals of reengineering the University. Regent Romero concurred. President Abdallah expressed that without reserves, the University would be faced with cutting programs.

Regent Quillen inquired about the Athletics Department deficit and reduction plan. David Harris responded the Athletic Department and UNM Press deficits are reflected within the \$12 million figure. EVP Harris added that there is a deficit reduction plan in place, but Athletics has not been able to make payments because they have been operating in a deficit. President Abdallah added that administration is developing a new deficit reduction plan as part of the Athletics Department review.

President Doughty inquired about the UAP 7000, which states each department is responsible for reserve categorization as committed, dedicated, or discretionary and requested clarification regarding who is classifying the reserves. President Abdallah responded it moves from the department level, to the school or unit level, to the Provost or EVP level, to the Office of the President. Norma Allen, Director, University Budget Operations, explained the Budget Office system to categorize reserves, beginning with department accountants inputting information with sign off by the director or chair, then review by the Dean with approval. The input then moves through a next-level review at the Vice President level, and is then reviewed and approved at the Provost and EVP level, then the report is compiled. She noted that this is the first time they have presented a consolidated report to give the full picture, rather than separate reports from Main Campus and the HSC.

President Doughty inquired if there is an independent review of the classification of each reserve. Ms. Allen responded this information is included in the Audit Report and submitted to the Controller's division. President Doughty inquired if, during review, classifications are ever changed. Ms. Dopson responded that Academic Affairs created a threshold over a certain dollar amount to review classifications. From there, if any are deemed inappropriately classified as committed, back-up documentation is requested, and if a legal obligation is not established, the classification changes from committed to dedicated. President Doughty inquired if there are instances when dedicated funds are reclassified to discretionary. Ms. Dopson stated that as long as the Office of the Provost has a documented memo from the chair to the dean outlining expectations of how funding will be used, and it is deemed reasonable within the academic mission, the Office of the Provost will not change dedicated funds to discretionary. President Abdallah noted one exception: if a department is trying to hire someone for the next year, and they do not, those funds are reclassified as discretionary. Ms. Allen noted within EVP Harris' units, there are times when the information entered into the system does not have a clear purpose, and uses very general terms, and the Budget Office will reclassify it as discretionary. President Abdallah reiterated the two types of circumstances when funds are reclassified to discretionary, but stated he did not know how many times those reclassifications have taken place. Ms. Dopson noted the Office of the Provost categorizes funds yearly, so funds that were dedicated in one year may not be in the next.

President Doughty inquired whether Ms. Dopson would agree that it is beneficial to departments to categorize reserves as dedicated as opposed to discretionary. Ms. Dopson agreed, but noted the deans must approve classifications. President Doughty noted that the chair and dean are likely to be aligned on beneficial classifications and Ms. Dopson agreed.

President Doughty requested that out of concern for a conflict of interest a third party be engaged to review classifications. Regent Clifford stated that Internal Audit reviewed the process approximately a year ago and requested that their report be distributed to the Regents. President Doughty noted that it was difficult to comprehend that out of \$429 million in reserves, only \$4 million, or less than 1%, is classified as discretionary.

Regent Clifford requested a timeline with ending reserve balances and an update with actuals versus projected use of reserves be reported yearly. He noted the HED 3% reserve included in the \$110 million of committed reserves for Main Campus and the HSC educational enterprise was not mandated, but in response to guidelines, and might better fit into the dedicated category. He also noted the line item called "Main Campus FY18 tuition shortfall of \$2.4M" has an entry for \$2M, appearing to be a projected use of funds during FY18 and not truly committed. He inquired if the Regents had approved that draw. EVP Harris stated that it was embedded in the scenario the Regents approved last spring at the Budget Summit and that Regent Clifford was correct that it was not a budget function of FY17, but a function of FY18. President Abdallah stated those funds were committed and already spent. Regent Clifford clarified the shortfall is a reference to what was budgeted last spring, not relative to the current budget.

President Doughty returned to classification. Given the definition that committed reserves require a binding document and dedicated reserves require a clear and focused purpose, it appeared discretionary reserves did not have a firm definition beyond being money departments could not discern how to spend. President Abdallah likened discretionary reserves to a savings account. He noted that if discretionary funds had been spent, the University would have to cover the \$2.4 million shortfall with dedicated or committed reserves.

Regent Clifford inquired about the \$1 billion unrestricted operating budget that includes the HSC operations, asking if the \$220 million reserve available for shortfalls in their operating budget was treated as committed reserves and therefore not

included in the figures. President Abdallah said the \$220 million reserves were not included in these particular figures because they are actually for the Hospital, not the HSC academic enterprise.

The motion to approve the FY17 Main, HSC and Branch Campus Categorization of Reserves Report passed by a unanimous vote (1st Clifford; 2nd Hosmer).

AUDIT AND COMPLIANCE COMMITTEE

Meeting summary report for the August 25, 2017 committee meeting was presented for information only. Materials were included in the eBook.

PUBLIC COMMENT

<u>Mark Narvaez</u> and <u>Theresah Nepetay</u> gave comment regarding PNMGC (Project for New Mexico Graduate Students of Color) update on activities fall workshop series on various topics including a peer to peer mentorship project highlighting 96 mentoring matches across campuses. They are seeking funding through SFRB process.

ADVISORS' REPORTS

<u>UNM Alumni Association's</u> monthly report was submitted and included in the eBook.

<u>Pamela Pyle, Faculty Senate President</u>, reported that a resolution from faculty Senate was passed on the Next Generation Science Standards. A Faculty Senate member went to Santa Fe to participate in a public forum. President Pyle had been meeting with State Legislators in order to align research proposed by legislators with resources at UNM, and looking for ways to enhance our state through this process in the working relations with state legislators.

<u>Danelle Callan, Staff Council President</u>, reported two Town Hall meetings were held live or in person. 309 views 410 from HSC staff enhancement and engagement. Collaboration with HSC for the Outstanding Supervisor of the Year. 2 individuals were selected for the award.

<u>Noah Brooks, ASUNM President</u>, reported a resolution was passed this week calling for female hygiene products be stocked in all bathrooms on campus.

VOTE TO CLOSE THE MEETING AND PROCEED IN EXECUTIVE SESSION The vote to close the meeting and proceed in Executive Session passed unanimously (1st Lee; 2nd Clifford).

The meeting closed at 10:54 AM. All members were present in person during closed session. Student Regent Adcock recused himself from the presentation and discussion of the closed session item that related to personally identifiable information about an individual student. Others present during closed session: President Chaouki Abdallah, Chancellor Paul Roth, Provost Craig White, Executive Vice President David Harris, University Counsel Elsa Cole, and others.

- 1. Discussions of personally identifiable information about an individual student as permitted by Section 10-15-1(4), NMSA (1978)
- 2. Discussions of subject to attorney-client privilege pertaining to threatened or pending litigation as permitted by Section 10-15-1(7), NMSA (1978)
- 3. Discussion and determination where appropriate of the purchase, acquisition or disposal of real property as permitted by Section 10-15-1.H(8), NMSA (1978)

VOTE TO RE-OPEN THE MEETING AND CERTIFICATION THAT ONLY THOSE MATTERS DESCRIBED IN THE CLOSED SESSION AGENDA WERE DISCUSSED DURING CLOSED SESSION

The vote to re-open the meeting was unanimous (1st Lee; 2nd Clifford). The meeting re-opened at 11:52 AM; the doors to the Cherry Silver room were opened. Regent President Doughty certified only those matters described in the closed session agenda were discussed in closed session, and there were two items upon which action was taken in closed session:

The motion to approve moving forward with the purchase of the land for a sum not to exceed \$105,000 passed by a unanimous vote (1st Romero; 2nd Hosmer).

The motion to authorize a letter of intent regarding a possible ground lease of property passed by a unanimous vote (1st Romero; 2nd Lee).

<u>ADJOURN</u>

There being no other business, Regent Doughty asked for a motion to adjourn.

Vote to adjourn the meeting (1st Hosmer; 2nd Clifford). The meeting adjourned at 11:52 AM.

Approved:

Attest:

Robert M. Doughty III, President

Tom Clifford, Secretary/Treasurer

Minutes of the Special Meeting of the Board of Regents of the University of New Mexico November 2, 2017 Roberts Room, Scholes Hall, Main Campus

Members present

Robert Doughty; Marron Lee; Brad Hosmer, Garrett Adcock; Tom Clifford; Suzanne Quillen, Alex O. Romero

(Regents Clifford, Romero, and Quillen were present telephonically)

Others in attendance

Members of 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, 10, 17, 23, 24 for the purpose of meeting with candidates for the position of President. The meetings were held on each day 2:45 PM to 4:45 PM in the Board Room of Hodgin Hall and again for a dinner meeting 7:00 PM to 8:30 PM at University House. The matters discussed were limited to those specified in the notice and agenda for the meeting, and there were no matters upon which action was taken.

The Board of Regents also met in closed session on October 30, 2017 to discuss candidates for the position of President and to discuss a threatened litigation matter. All members were present in person. The meeting commenced at 9:04 AM; the location was Roberts Room of Scholes Hall and proceeded in closed session in the afternoon in Lettermen's Lounge at the Dreamstyle Arena; the meeting adjourned at 3:26 PM. The matters discussed were limited to those specified in the notice and agenda for the meeting, and there were no matters upon which action was taken.

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

Regent President Rob Doughty called the November 2, 2017 special meeting to order at 9:00 AM. A quorum was confirmed and the agenda was adopted.

EXECUTIVE SESSION

<u>Vote to close the meeting to discuss candidates for the position of President as permitted by Section</u> <u>10-15-1.H(2), NMSA 1978</u>

Regent Doughty asked for a motion to go into closed session. Regent Marron Lee motioned to close the meeting; Student Regent Garrett Adcock seconded; the motion passed unanimously; the meeting closed at 9:01 AM.

Vote to re-open the meeting

Student Regent Adcock motioned to open the meeting; Regent Brad Hosmer seconded; the motion passed unanimously. The meeting opened at 9:10 AM. Regent Doughty confirmed that only candidates for the position of President as described in the meeting agenda were discussed in closed session and there was one item upon which the board took action:

The motion to select Garnett Stokes as UNM's 22nd President passed by a unanimous roll call vote in favor of the motion (1st Lee; 2nd Romero).

After the vote, Regent Doughty made the following comments:

"We are proud and honored to announce that Garnett Stokes has accepted the UNM Board of Regents' offer to become the 22nd president of The University of New Mexico. On behalf of the Board, I would like to express our gratitude to the entire presidential search committee and members of the campus community for their time and collective input in making this search a great success. It was evident throughout the process that Dr. Stokes' aspirations for UNM align with those of the Board of Regents and the many perspectives and voices of our university.

I also want to express, on behalf of the entire University community, our deep appreciation to Interim President Chaouki Abdallah for his dedicated work over the past ten months. He has served extremely well during this transitional period, and will remain interim president until February 28, 2018, before returning to his role of Provost and Executive Vice President of Academic Affairs.

This is a transformational time at UNM, and Dr. Stokes brings the experience, skills and vision that UNM needs in a President to drive UNM beyond just its potential. Dr. Stokes greatly impressed the campus community, as reflected in the resounding support the Board received for her selection. She

was hands down the consensus candidate. I am confident that with her passion for higher education and demonstrated leadership capabilities, she is the perfect fit to be President of UNM.

As we await welcoming Dr. Stokes to our community when she begins her Presidency on March 1, 2018, please consider how well our campus found a common connection across all its many components and constituencies, to choose our next leader. What we sought in the ideal candidate was someone who could bring us together. Dr. Stokes' appointment reflects the campus' dedication to finding a President who will deliver on UNM's commitment to student success and serving the citizens of New Mexico. Each of us defines all of us, and we have chosen Dr. Stokes to join us in defining UNM through her vision, passion, and direction. Together, we will we will shape the future of UNM."

Regent Hosmer commented there was a remarkable degree of agreement among all of the constituencies.

ADJOURN

Regent Doughty asked for a motion to adjourn. Student Regent Adcock motioned to adjourn the meeting; Regent Lee seconded; all were in favor. The meeting adjourned at 9:15 AM.

Approved:

Attest:

Robert M. Doughty III, President

Thomas Clifford, Secretary/Treasurer

Minutes originated and finalized by Mallory Reviere

President's Administrative Report

will be presented at the meeting

CONSENT DOCKET

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

1. Health Sciences Center Committee (HSC) Consent Items, Regent Marron Lee, Chair

a. Approval of the Third Amended and Restate Bylaws of UNM Sandoval Regional Medical Center, IncC-:	1
 b. Approval of the Appointment of Martha McGrew, MD, to the UNM Sandoval Regional Medical Center, Inc. Board of DirectorsC-2 	2
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MEMORANDUM

TO:	Regent Marron Lee, Chair, HSC Committee
FROM:	Jamie Silva-Steele, RN, BSN, MBA, President and Chief Executive Officer, UNM Sandoval Regional Medical Center, Inc.
Date:	October 26, 2017
RE:	Third Amended and Restated Bylaws of UNM Sandoval Regional Medical Center, Inc.

I respectfully submit for your consideration the attached Third Amended and Restated Bylaws of UNM Sandoval Regional Medical Center, Inc., ("SRMC"), which were approved by the SRMC Board of Directors ("Board") on October 25, 2017. A summary of the revisions are listed below:

- Changes to the positions of Director (Article III, Section 8):
 - The Director position previously entitled Chancellor for Health Sciences of the UNM Health Sciences Center has been retitled to Chief Executive Officer for the UNM Health System to reflect the accuracy of the position in attendance.
 - The Director position held by the Chief Operating Officer of the UNM Health System has been replaced with the Dean of the UNM School of Medicine (UNM SOM) or an individual nominated by the Dean of the UNM SOM to serve on his or her behalf.
 - The Director position previously entitled Executive Physician-in-Chief of the UNM Health System has been retitled to Vice Chancellor for Clinical Affairs of the UNM Health Sciences Center to reflect the accuracy of the position in attendance.
- Changes to the above-mentioned titles have been made throughout the document:
 - Class Directors (Article III, Section 10):
 - Chairperson of the Board (Article IV, Section 5):
 - Chancellor (Article V, Section 2, Article VI).
- The Executive Committee membership has been revised to establish a minimum of "at least three (3) members" of the Board (Article V, Section 1).

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- The description of the Executive Committee powers has been modified to include the addition of "i.e., medical staff matters" as an illustration of such affairs of the Corporation (Article V, Section 1).
- The Audit and Compliance Committee membership has been revised to include at least two Non-Positional Directors and one Positional Director (Article V, Section 3).
- Minor grammatical and gender neutral edits were made throughout the document.

THIRD AMENDED AND RESTATED BYLAWS OF UNM SANDOVAL REGIONAL MEDICAL CENTER, INC.

ARTICLE I: <u>NAME</u>

The name of the Corporation shall be:

UNM SANDOVAL REGIONAL MEDICAL CENTER, INC.

The Corporation has been formed as a nonprofit corporation under the New Mexico Nonprofit Corporation Act, N.M. STAT. ANN. § 53-8-1 *et seq.*, and the New Mexico University Research Park and Economic Development Act, N.M. STAT. ANN. § 21-28-1 *et seq.*

ARTICLE II: MEMBER AND MEMBERSHIP

Section 1: <u>Members</u>. The Regents, as a body corporate, shall be the sole member (the "<u>Member</u>") of the Corporation. The Regents shall have all the rights and privileges granted to it by the New Mexico Nonprofit Corporation Act, the University Research Park and Economic Development Act, the Articles of Incorporation, and these Bylaws.

Section 2: <u>Annual Meeting of the Member</u>. The Annual Meeting of the Member for the election of Directors, and for the transaction of such other business as properly shall come before the meeting, shall be held following the close of the fiscal year of the Corporation and within sixty days of the delivery to the member of the Corporation's final audit for such fiscal year as provided for under these Bylaws, but in no case later than December of each year.

Section 3: <u>Special Meetings</u>. Special Meetings of the Member shall be called at any time by the Regents. A Special Meeting may be requested by the President and/or the Chief Executive Officer of the Corporation or upon Resolution of the Board of Directors. Conduct of Special Meetings is in the sole discretion of the Member.

Section 4: <u>Place of Meetings</u>. All meetings of the Member shall be held at such places within the State of New Mexico as shall be specified in the respective notices of such meetings or waivers thereof.

Section 5: <u>Notice of Meetings</u>. Notice of the Annual Meeting and of every Special Meeting described hereinabove shall be served personally or by mail on the members of the Regents, not less than ten (10) days nor more than fifty (50) days before the meeting. All notices shall state the place, day and time where the meeting is to be held and notices of Special Meetings shall also state the purpose or purposes for which the meeting is called. If mailed, such notice shall be directed to each Regent at the address of each Regent as it appears on the books or records of the Corporation. Additionally, notice is deemed given if made by electronic communication.

The Member, as a body corporate, may waive notice of a meeting by executing and filing in the corporate records a written waiver of notice. The attendance of any Regent at any meeting shall constitute a waiver of notice of the meeting, except where a Regent attends for the express purpose of objecting to the transaction of any business because the meeting is not lawfully called or convened.

Section 6: <u>Action of Members Without a Meeting</u>. Any action required or permitted to be taken at a meeting of the Member, or any action which may be taken at a meeting of the Member, may be taken without a meeting if a consent in writing, setting forth the action is signed by the Member.

ARTICLE III: BOARD OF DIRECTORS

Section 1: <u>Management</u>. The affairs and the property of the Corporation shall be managed by the Board of Directors (the "<u>Board</u>"). The Directors shall act only as a Board, and individual Directors shall have no power as such.

Section 2: <u>Annual Meeting</u>. The Annual Meeting of the Board for the election of Officers (as hereinafter defined) and for the transaction of such other business as properly shall come before the meeting shall be held as soon as practicable following the Annual Meeting of the Member; provided, however, that an organizational meeting of the Board, for the election of Officers and transaction of other business, may be held after the first appointment of the voting Directors enumerated in Article III, Section 8(a) – (g) of these Bylaws. Such Annual Meeting of the Board shall be a general meeting and open for the transaction of any business within the powers of the Board without special notice of such business, except in any case where special notice is required by law, by the Articles of Incorporation, or by these Bylaws.

Section 3: <u>**Regular Meetings</u>**. Regular Meetings of the Board shall be held at least quarterly at such places within the State of New Mexico as shall be specified by the Board of Directors, one of which shall be designated as the Annual Meeting. Such Regular Meetings shall be general meetings and open for the transaction of any business within the powers of the Board without special notice of such business, except</u>

in any case where special notice is required by law, by the Articles of Incorporation, or by these Bylaws.

Section 4: <u>Special Meetings</u>. Special Meetings of the Board shall be called at any time by the Secretary upon the request of the President and/or the Chief Executive Officer of the Corporation or no less than one-quarter of the Directors then in office.

Section 5: <u>Place of Meetings</u>. All meetings of the Board shall be held at such places within the State of New Mexico as shall be specified in the respective notices of such meetings or waivers thereof.

Section 6: **Notice of Meetings**. Notice of every Annual or Regular Meeting of the Board shall be served personally or by mail on each Director not less than ten (10) days nor more than fifty (50) days before the meeting. Notice of every Special Meeting shall be served personally or by mail on each Director not less than three (3) days before the meeting. Notices or waivers of notice do not need to state the purpose or purposes for which the meeting is called, but shall state the time and place of the meeting. If mailed, such notices shall be directed to each Director entitled to notice at his or her address as it appears on the books or records of the Corporation. Additionally, notice is deemed given if made by electronic communication.

A Director may waive notice of a meeting by executing and filing in the corporate records a written waiver of notice. The attendance at any meeting shall constitute a waiver of notice of the meeting, except where a member attends for the expressed purpose of objecting to the transaction of any business because the meeting is not lawfully called or convened.

Section 7: **Quorum**. At all meetings of the Board of Directors the presence of a majority of the Directors then in office shall be necessary and sufficient to constitute a quorum, and except as otherwise provided by law or by these Bylaws, the act of a majority of the Directors present at a meeting at which there is a quorum shall be the act of the Board.

Section 8: <u>Number, Composition, and Election of Board of Directors</u>. The Corporation shall have not less than three (3) nor more than eleven (11) Directors, as determined by the Member by resolution (each a "<u>Director</u>" and collectively, the "<u>Directors</u>"). Pursuant to the requirements of the University Research Park and Economic Development Act, the Member, by and through the Regents, will appoint all

Directors. The Directors shall include the following individuals, who shall be voting Directors:¹

(a) The Chief Executive Officer for the UNM Health System (the "Health System CEO");

(b) The Dean of the UNM School of Medicine ("UNM SOM") or an individual nominated by the Dean of the UNM SOM to serve on his or her behalf (the "Dean of the UNM SOM or Nominee");

(c) The Vice Chancellor for Clinical Affairs of the UNM Health Sciences Center;

(d) At least thirty (30) days prior to the Annual Meeting of the Member, Board of Trustees of UNM Hospitals may nominate one individual to serve as a Director, subject to the Member's Conflict of Interest policies; the Member shall consider such nominee at the Annual Meeting and, if acceptable to the Member, may, upon a majority vote of the Regents, appoint such individuals to serve as a Director of the Corporation; provided, however, that, in the event that the Member finds a nominee unacceptable, the Board of Trustees of UNM Hospitals shall nominate another individual for the Member's consideration at a Special Meeting of the Member and, if such substitute nominee is acceptable to the Member, may, upon a majority vote of the Regents, appoint such individual to serve as a Director; provided, further, however, that if after two (2) consecutive rounds of any such nomination with respect to a particular Non-Positional Director vacancy, the Regents find such nominees unacceptable, then the Regents may select and appoint an individual who is independent and not a faculty member of the UNM to serve as a Director of the Corporation;

(e) At least thirty (30) days prior to the Annual Meeting of the Member, the Board of County Commissioners of Sandoval County (the "<u>Sandoval County Commission</u>") may nominate one individual to serve as a Director, subject to the Member's Conflict of Interest policies; the Member shall consider such nominee at the Annual Meeting and, if acceptable to the Member, may, upon a majority vote of the Regents, appoint such individuals to serve as a

¹ In these Bylaws, the Directors appointed by virtue of their positions as described in Section 8(a) through (c) and (f) hereinabove shall be referred to individually as a "<u>Positional Director</u>," and, collectively, as the "<u>Positional Directors</u>." Additionally, in these Bylaws, the Directors appointed as described in Section 8(d), (e), and (g) shall be referred to individually as a "<u>Non-Positional Director</u>" and, collectively, as the "<u>Non-Positional Directors</u>." With respect to the Positional Directors, it is acknowledged that the job titles associated with such Positional Directors may change over time and, therefore, it is intended that the successor job title to the current, specified job title shall be deemed to apply to such Positional Directors without the necessity of amending these Bylaws.

Director of the Corporation; provided, however, that, in the event that the Member finds a nominee unacceptable, the Sandoval County Commission shall nominate another individual for the Member's consideration at a Special Meeting of the Member and, if such substitute nominee is acceptable to the Member, may, upon a majority vote of the Regents, appoint such individual to serve as a Director; provided, further, however, that if after two (2) consecutive rounds of any such nomination with respect to a particular Non-Positional Director vacancy, the Regents find such nominees unacceptable, then the Regents may select and appoint an individual who is independent and not a faculty member of the UNM to serve as a Director of the Corporation;

(f) The then sitting Chief of the Medical Staff of UNM Sandoval Regional Medical Center duly elected by the active medical staff of the same; and

At least thirty (30) days prior to the Annual Meeting of the (g) Member, the members of the Board shall nominate three (3) individuals who are residents of Sandoval County, New Mexico and who are not employees of the Corporation, the University of New Mexico, the University of New Mexico Hospital, UNM Medical Group, Inc. or Sandoval County, New Mexico to serve as Directors, subject to the Member's Conflict of Interest policies; the Member shall consider such nominee at the Annual Meeting and, if acceptable to the Member, may, upon a majority vote of the Regents, appoint such individuals to serve as Directors of the Corporation; provided, however, that, in the event that the Member finds any of the nominees unacceptable, the Board shall nominate another individual who meets the qualifications identified in this Section 8(g) for the Member's consideration at a Special Meeting of the Member and, if such substitute nominee is acceptable to the Member, may, upon a majority vote of the Regents, appoint such individual to serve as a Director; provided, further, however, that if after two (2) consecutive rounds of any such nomination with respect to a particular Non-Positional Director vacancy, the Regents find such nominees unacceptable, then the Regents may select and appoint an individual(s) who meets the qualifications identified in this Section 8(g) to serve as a Director of the Corporation.

Section 9: <u>Vacancy</u>. Except as otherwise provided in this Section 9, any vacancies occurring among the Directors shall be filled by the Member at a Special Meeting. A vacancy shall occur upon the death or incapacity of a Director, or his or her resignation or removal as hereinafter provided. Subject to the provisions of Section 11 hereinbelow, each Positional Director shall continue as a Director only for so long as such individual occupies the position qualifying him/her for said appointment or until his/her earlier death or resignation. A vacancy shall be filled for the remainder of the unexpired term of the Director whose death, incapacity, resignation or removal gave rise to the vacancy.

Section 10: Term of Office of Directors. The Initial Directors named in the Articles of Incorporation shall serve until the voting Directors enumerated in Article III, Section 8(a) – (g) of these Bylaws shall have been first appointed by the Member and qualified. The Directors shall be divided into three classes, designated Class A, Class B, and Class C. Each class shall consist of one-third of the Directors or as close an approximation as possible. In this connection, one of the Non-Positional Directors shall serve as a Class B Director and one of the Non-Positional Directors shall serve as a Class C Director. The Health System CEO shall serve as a Class B Director, Dean of the UNM SOM or Nominee shall serve as a Class A Director, and the Vice Chancellor for Clinical Affairs of the UNM Health Sciences Center; shall serve as a Class A Director. The remaining Directors shall be divided into the three (3) classes in as close an approximation to one-third as possible. The initial term of office of the Directors of Class A shall expire at the annual meeting to be held following the end of fiscal year 2010, the initial term of office of the Directors of Class B shall expire at the annual meeting to be held following the end of fiscal year 2011, and the initial term of office of the Directors of Class C shall expire at the annual meeting to be held following the end of fiscal year 2012. After the initial terms specified above for each Class of Director, Directors shall serve for a term of not more than three (3) years from and after their election by the Regents and may be reelected for any number of terms. All Directors shall serve in their respective offices until their successors are appointed and qualified.

Section 11: <u>Resignation and Removal of Directors</u>. Any Non-Positional Director may be removed by a majority vote of the Regents at any time with or without cause and with or without notice at a meeting of the Member. Any Non-Positional Director may resign at any time upon providing written notice to the Chairman of the Board and to the Member.

With respect to the Positional Directors, each such Positional Director may be removed by a majority vote of the Regents for good cause with prior written notice to such Positional Director. In this connection, "good cause" shall mean:

(a) The failure of such Positional Director to continue in the position giving rise to such Positional Director's appointment as a Director as set forth in Sections 8 and 9 of this Article;

(b) The inability of such Positional Director to substantially perform his/her material duties as a Director by failing to attend three (3) consecutive Regular Meetings of the Board;

(c) Willfully engaging in illegal conduct or gross misconduct, which is materially and demonstrably injurious to the Corporation. For purposes of this provision, no act or failure to act on the part of such Positional Director shall be

considered "willful" unless it is done in bad faith or without reasonable belief that such Positional Director's action or omission was in the best interests of the Company.

With respect to the Director serving as a result of Section 8(f) (the "Chief of the <u>Medical Staff</u>"), if at any time during his or her term as the Medical Staff Chief Director, the Medical Staff Chief Director shall for any reason cease to be the Chief of the Medical Staff of the UNM Sandoval Regional Medical Center or a member of the active medical staff of the UNM Sandoval Regional Medical Center, such fact shall be considered to be a "deemed resignation" from the Board of Directors of the Corporation.

Section 12: <u>Compensation and Expense Reimbursement</u>. The Directors shall not receive compensation for their services as Directors but the Board may authorize reimbursement for reasonable and necessary expenses incurred by Directors in connection with the performance of their duties in accordance with policies to be established by the Board.

Section 13: Indemnification.

Any person made a party to any action, suit or proceeding by (a) reason of the fact that he or she, his/her testator or intestate, is or was a Director, Officer or employee of the Corporation, or of any corporation which he or she served as such at the request of the Corporation, shall be indemnified by the Corporation against the reasonable expenses, including attorney's fees, actually and reasonably incurred by him or her in connection with the defense of such action, suit or proceeding, civil or criminal, in which he or she is made a party by reason of being or having been a Director or Officer. The indemnification may include any amounts paid to satisfy a judgment or to compromise or settle a claim, or incurred in connection with any appeal of any such action, suit or proceeding. A Director, Officer or employee shall not be indemnified in relation to matters as to which it shall be adjudged in such action, suit or proceeding on the basis that he or she has breached or failed to perform the duties of his or her office and the breach or failure to perform constitutes willful misconduct or recklessness. The foregoing right of indemnification shall not be deemed exclusive of any other rights to which any such Director, Officer, or employee may be entitled as a matter of law.

(b) Expenses incurred in defending any action or proceeding for which indemnification is required pursuant to this Section 13 following authorization thereof by the Board shall be paid by the Corporation in advance of the final disposition of such action or proceeding upon receipt of an undertaking by or on behalf of the indemnified party to repay such amount if it shall ultimately be determined that the indemnified party is not entitled to be indemnified as authorized in this Section 13.

(c) The indemnification provided by this Section 13 shall not be deemed exclusive of any other rights to which those seeking indemnification may be entitled under any bylaw, agreement, or otherwise, both as to action in an official capacity and as to action in another capacity while holding such office, to the extent that additional rights to indemnification are authorized in the Articles of Incorporation.

(d) The Corporation may purchase and maintain insurance on behalf of any person who is or was a director, officer, employee or agent of the corporation, or is or was serving at the request of the Corporation as a director, officer, employee or agent of another corporation, partnership, joint venture, trust or other enterprise against any liability asserted against him or her and incurred by him or her in any such capacity, or arising out of his or her status as such, whether or not the Corporation would have the power to indemnify him or her against such liability under the provisions of the New Mexico Non-Profit Corporation Act or the New Mexico University Research Part and Economic Development Act.

Section 14: <u>Action Without A Meeting.</u> Unless otherwise restricted by the Articles of Incorporation or these Bylaws, any action required or permitted to be taken at any meeting of the Board, or of any Committee thereof, may be taken without a meeting if all members of the Board or Committee, as the case may be, consent thereto in writing and the writing or writings are filed with the minutes of proceedings of the Board or Committee may be executed by telex, telecopy, a software which allows for electronic signatures and has an appropriate authentication system, or facsimile transmission, where such facsimile shall be valid and binding to the same extent as if it were an original.

Section 15: <u>Telephonic Meetings.</u> Unless otherwise restricted by the Articles of Incorporation or these Bylaws, members of the Board of Directors, or any Committee, may participate in a meeting of the Board, or any Committee, by means of conference telephone or similar communications equipment by means of which all persons participating in the meeting can hear each other, and such participation in a meeting shall constitute presence in person at the meeting.

ARTICLE IV: OFFICERS

Section 1: <u>Number of Officers</u>. The Officers of the Corporation shall be a Chairman of the Board, a President and Chief Executive Officer, one or more Vice-Presidents, a Secretary, and a Chief Financial Officer (together with the additional officers appointed pursuant to Section 3 below, shall be referred to individually as an "<u>Officer</u>" and collectively, as the "<u>Officers</u>"). One person may hold two of the aforesaid offices. With the exception of the Chairman of the Board, Officers need not be Directors.

Section 2: **Election of Officers**. Except for those Officers serving by virtue of their position (the "**Ex-Officio Officers**"), the Officers shall be elected annually at each Annual Meeting of the Board by a plurality of the votes cast and may succeed themselves in office. Except for the Ex-Officio Officers, each person elected as an Officer shall continue in office until the next Annual Meeting after his or her election, or until his or her successor shall have been duly elected and qualified, or until his earlier death, resignation or removal in accordance with these Bylaws. Except for Ex-Officio Officers, vacancies of Officers may be filled by a majority vote of the Board at a Special Meeting called for that purpose or at any regular meeting. As to the Ex-Officio Officers, any Ex-Officio Officer may be removed from his/her office for "good cause" as defined in Section 11 of Article III of these Bylaws.

Section 3: <u>Additional Officers</u>. The Board, at any meeting may by resolution appoint such additional Officers and such agents and employees as it may deem advisable. The Board may delegate to the Officers in Sections 5 and 6, the power to appoint subordinate Officers (other than the Officers identified in Sections 6, 8, and 9 of this Article) or agents and to determine their terms of office. Any such appointments will be reported at the subsequent Board meeting.

Section 4: <u>**Removal of Officers**</u>. Except for the Ex Officio Officers, any Officer may be removed at any time with or without cause and with or without notice, by a vote of the majority of the Board at any meeting of the Board.

Section 5: <u>Chairperson of the Board</u>. The Chairperson of the Board shall be elected from among the Directors; provided, however, that in all cases, the Chairperson of the Board shall be the Health System CEO. The Chairperson of the Board shall preside at all meetings of the Members of the Board and shall have such other powers and duties as may be assigned to him or her from time to time by the Board or as prescribed by these Bylaws.

Section 6: <u>President and Chief Executive Officer</u>. The President and Chief Executive Officer shall have general supervision over the affairs and property of the Corporation and over its several Officers, and shall generally do and perform all acts incident to the office of the President and Chief Executive Officer, and shall have such

additional powers and duties as may from time to time be assigned to him/her by the Board. When authorized by the Board, the President and Chief Executive Officer may sign and execute, in the name of the Corporation, deeds, mortgages, promissory notes, security agreements, pledge agreements, financing statements, bonds, contracts or other instruments authorized by the Board, except in cases where the signing and execution thereof shall be expressly delegated by the Board or by these Bylaws to some other Officer or agent of the Corporation.

Section 7: <u>The Vice-Presidents</u>. The Board may elect one or more Vice-Presidents. At the request of the President and Chief Executive Officer, or in his or her absence or disability, the Vice-Presidents, in the order designated by the Board, shall perform all the duties of the President and Chief Executive Officer and, when so acting, shall have all the powers and be subject to all the restrictions upon the President and Chief Executive Officer. When authorized by the Board , any Vice-President may also sign and execute, in the name of the Corporation, deeds, mortgages, bonds, contracts, or other instruments authorized by the Board, except in cases where the signing and execution thereof shall be expressly delegated by the Board, or by these Bylaws to some other Officer or agent of the Corporation. The Vice-Presidents shall perform such other duties as from time to time may be assigned to them by the Board and/or by the President and Chief Executive Officer, as the case may be.

Section 8: <u>Chief Financial Officer</u>. The Chief Financial Officer shall report to the President and Chief Executive Officer and shall have charge and custody of, and be responsible for, all the funds of the Corporation and shall keep or cause to be kept and shall be responsible for the keeping of accurate records of the assets, liabilities and transactions of the Corporation. He/she shall deposit all moneys and other valuable effects of the Corporation in the name of and to the credit of the Corporation in accordance with accounting procedures approved by the Board, consistent with the policies of the UNM, in such banks, trust companies, or other depositories as may be approved by the Board. He/she shall disburse the funds of the Corporation based upon proper vouchers for such disbursements. In general, he shall perform all the duties incident to the office of Chief Financial Officer and such other duties as may from time to time be assigned to him or her by the Board. If required by the Board, the Chief Financial Officer shall give a bond for the faithful discharge of his or her duties in such sum and with such surety or sureties as the Board shall determine. The expense of such bond shall be paid by the Corporation.

Section 9: <u>Secretary</u>. The Board shall elect a Secretary who shall report to the President and Chief Executive Officer and act as Secretary of, and keep the Minutes of all meetings of the Board and of the Member in one or more books provided for that purpose; and whenever required by the President and Chief Executive Officer shall perform like duties for any Committee, provided that in the absence of the Secretary, the Member or a majority of the Directors present at any meeting thereof may designate

any person to act as Secretary for such meeting. The Secretary shall see that all notices are duly given in accordance with these Bylaws and as required by law; he or she shall be custodian of the Seal of the Corporation and shall affix and attest the Seal to any and all documents specifically or generally authorized by the Board to be executed on behalf of the Corporation under its Seal. He shall have charge of the books, records and papers of the Corporation relating to its organization as a Corporation, and shall see that all reports, statements and other documents required by law are properly kept or filed, except to the extent that the same are to be kept or filed by the Chief Financial Officer. In general, he or she shall perform all the duties incident to the office of Secretary and such other duties as may from time to time be assigned to him or her by the Board and by the President and Chief Executive Officer.

ARTICLE V: COMMITTEES

Section 1: **Executive Committee**. A majority of the initial Directors set forth in the Articles of Incorporation, present at a meeting of the Board at which there is a quorum may initially appoint an Executive Committee to serve during the interim until the first Annual Meeting of the Board, and thereafter, the Executive Committee shall be appointed annually at the Annual Meeting of the Board by a majority of the Directors present at a meeting of the Board at which there is a quorum. The Executive Committee shall consist of the Chairman of the Board and at least three (3) members of the Board elected by the majority members of the Board, one of which must be a community Board member. Vacancies in members of the Committee may be filled by a majority of the Directors present at a meeting of the Executive Committee by virtue of their office, any member of the Executive Committee may be removed from membership on said Committee at any time with or without cause by a vote of the majority of the Directors present at any meeting of the Board at which there is a quorum. But only upon the recommendation of the Chairman of the Board.

The Executive Committee shall, during the intervals between meetings of the Board, possess and exercise all of the powers of the Board in the management of the affairs and property of the Corporation (i.e., medical staff matters), except that the Executive Committee may not take or possess the authority to take any of the actions proscribed in Section 7 of this Article. The presence of a majority of the members of the Executive Committee shall be necessary and sufficient to constitute a quorum, and the act of a majority of the members of the Executive Committee is a quorum shall be the act of the Executive Committee. The Executive Committee shall keep full and fair records and accounts of its proceedings and transactions. All actions by the Executive Committee shall be reported to the Board at its next meeting succeeding such action and shall be subject to revision and alteration

by the Board, provided that no rights of third persons shall be affected by any revisions or alteration.

Section 2: <u>Finance/Strategic Planning Committee</u>. A majority of the whole Board may appoint a Finance/Strategic Planning Committee consisting of at least three (3) Directors (one of which shall be the then sitting Chief of the Medical Staff of UNM Sandoval Regional Medical Center) and such Committee shall recommend or determine the form, time, and manner in which funds of the Corporation shall be invested, as such majority shall authorize. The Board shall enact rules and regulations for governance of the Finance/Strategic Planning Committee and shall report to the Board as the Board shall require.

Section 3: Audit and Compliance Committee. A majority of the whole Board will appoint an Audit and Compliance Committee consisting of at least three (3) Directors, (two of which shall be Non-Positional Directors and one of which shall be a Positional Director) appointed pursuant to Section 8(a) through (g) of Article III. The basic purpose and responsibility of the Audit and Compliance Committee shall be to advise and assist the Board in fulfilling its responsibilities to the Corporation and the Member in connection with monitoring the integrity of this Corporation's financial statements, financial and accounting practices, internal controls, business ethics, and compliance with laws, regulations, and policies that may have a material impact on the financial statements of the Corporation. In this connection, the Audit and Compliance Committee will review and assess the qualitative aspects of financial reporting, the Corporation's processes to manage business and financial risk, and compliance with significant applicable legal, ethical, and regulatory requirements. The Audit and Compliance Committee shall, when necessary, work in collaboration with the Internal Audit Department of the Member and shall report to the Board as the Board shall require and to Audit Committee of the Regents as the Regents may require.

Section 4: <u>Other Committees</u>. A majority of the Directors present at a meeting of the Board at which there is a quorum may from time to time, by Resolution, create such other Committees of Directors, Officers, or other faculty members or employees, with such functions, powers, and duties as the Board shall determine. The Board shall enact rules and regulations for the governance and authority of any such Committee; provided, however, that any Committee appointed pursuant to this Section which is not comprised of all Directors shall not have the power of the Board.

Section 5: <u>Minutes of Committees</u>. Each Committee shall keep regular minutes of its meetings and report the same to the Board of Directors when required. All actions by any Committee formed as provided in this Article V, other than the actions by the Audit Committee, shall be reported to Executive Committee of the Board at its next meeting succeeding such action and shall be subject to revision and alteration by the Executive Committee of the Board and ultimately, the Board.

Section 6: <u>Meetings and Action of Committees</u>. Meetings and actions of Committees shall be governed by, and held and taken in accordance with, the provisions of Section 5 of Article III (place of meetings), Section 15 of Article III (by telephone), Section 6 of Article III (notice and waiver of notice), Section 7 of Article III (quorum), and Section 14 of Article III (action without a meeting) of these Bylaws, with such changes in the context of such provisions as are necessary to substitute the Committee and its members for the Board of Directors and its members; provided, however, that the time of regular meetings of Committees may be determined either by resolution of the Board of Directors or by resolution of the Board of Directors and that notice of Special Meetings of Committees shall also be given to all alternate members, who shall have the right to attend all meetings of the Committee. With the exception of the Audit Committee, the Board of Directors may adopt rules for the governance of any Committee not inconsistent with the provisions of these Bylaws.

Section 7. Limitations of Powers of Committees. None of the Committees of the Board created as provided in this Article V shall have the power or authority to (a) amend, alter or repeal these Bylaws, (b) elect, appoint or remove any member of any Committee or any Director or Officer of the Corporation, (c) amend the Articles of Incorporation, restate the Articles of Incorporation, adopt a plan of merger, or adopt a plan of consolidation with another corporation, (d) authorize the sale, lease, exchange or mortgage of all or substantially all of the property and assets of the Corporation, (e) authorize the voluntary dissolution of the Corporation or revoke proceedings thereof (f) adopt a plan for the distribution of the assets of the Corporation, (g) amend, alter or repeal any resolution of the Board which by its terms provides that it shall not be amended, altered or repealed by a Committee, or (h) as otherwise provided by law, these Bylaws or by resolution of the Board. The presence of a majority of the members of any such Committee formed by the Board as provided in this Article V shall be necessary and sufficient to constitute a quorum, and the act of a majority of the members of any such Committee present at a meeting at which there is a quorum shall be the act of such Committee.

ARTICLE VI: <u>AUDIT</u>

An annual audit of unlimited scope of all of the operations of the Corporation shall be conducted by a Certified Public Accountant, and a copy of that audit report and any support documents requested shall be made available to the Member, the President of the University, the Vice-President for Finance and Administration of the University, the Health System CEO, the Dean of the UNM SOM, the Audit Committee of the Regents, and the New Mexico Public Regulation Commission.

ARTICLE VII: MISCELLANEOUS PROVISIONS

Section 1: <u>Offices</u>. The Board may establish, from time to time, one or more offices of the Corporation at any place or places within the State of New Mexico, and may maintain such office or offices for such period or periods of time as it may deem expedient.

Section 2: <u>Fiscal Year-End</u>. The Fiscal Year of the Corporation shall end on June 30 in each year.

Section 3: <u>Commercial Paper</u>. All checks, drafts and other orders for the payment of money out of the funds of the Corporation shall be executed on behalf of the Corporation by such Officer or Officers, or employee or employees, as the Board may, by Resolution, from time to time determine.

Section 4: **Deposits**. All funds of the Corporation not otherwise employed shall be deposited from time to time to the credit of the Corporation in such banks, trust company or other depositories as the Board may from time to time select or as may be selected by any Officer or employee of the Corporation to whom such power may from time to time be delegated by the Board; and for the purpose of such deposit, any Officer or any employee to whom such power may be delegated by the Board may endorse, assign and deliver checks, drafts and other orders for the payment of money which are payable to the order of the Corporation.

ARTICLE VIII: <u>SEAL</u>

The Corporation shall have no corporate seal.

ARTICLE IX: AMENDMENT OF BYLAWS

The Bylaws may be amended by the Board of Directors at any Annual, Quarterly, or Special Meeting. Directors shall be entitled to at least ten (10) days' notice in writing by mail, or in person of the meeting time and place at which the amendment is to be voted upon. The written notice must include a copy of the proposed amendment. No amendment to the Bylaws shall be effective until approved by the Regents. These Bylaws may also be amended in whole or in part by formal action of the Regents acting as the Member.

We certify that the original Bylaws of the Corporation were adopted by the Board of Directors on September 30, 2009, and approved by the Regents on August 11, 2009 and the above and foregoing Third Amended and Restated Bylaws of the Corporation were adopted by the Board of Directors on October 25, 2017, and approved by the Regents on _____, 2017.

Chairman of the Board

Secretary

APPROVED BY THE REGENTS OF THE UNIVERSITY OF NEW MEXICO ON _____, 2017

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

SECOND THIRD AMENDED AND RESTATED BYLAWS OF UNM SANDOVAL REGIONAL MEDICAL CENTER, INC.

ARTICLE I: <u>NAME</u>

The name of the Corporation shall be:

UNM SANDOVAL REGIONAL MEDICAL CENTER, INC.

The Corporation has been formed as a nonprofit corporation under the New Mexico Nonprofit Corporation Act, N.M. STAT. ANN. § 53-8-1 *et seq.*, and the New Mexico University Research Park and Economic Development Act, N.M. STAT. ANN. § 21-28-1 *et seq.*

ARTICLE II: MEMBER AND MEMBERSHIP

Section 1: <u>Members</u>. The Regents, as a body corporate, shall be the sole member (the "<u>Member</u>") of the Corporation. The Regents shall have all the rights and privileges granted to it by the New Mexico Nonprofit Corporation Act, the University Research Park and Economic Development Act, the Articles of Incorporation, and these Bylaws.

Section 2: <u>Annual Meeting of the Member</u>. The Annual Meeting of the Member for the election of Directors, and for the transaction of such other business as properly shall come before the meeting, shall be held following the close of the fiscal year of the Corporation and within sixty days of the delivery to the member of the Corporation's final audit for such fiscal year as provided for under these Bylaws, but in no case later than December of each year.

Section 3: <u>Special Meetings</u>. Special Meetings of the Member shall be called at any time by the Regents. A Special Meeting may be requested by the President and/or the Chief Executive Officer of the Corporation or upon Resolution of the Board of Directors. Conduct of Special Meetings is in the sole discretion of the Member.

Section 4: <u>Place of Meetings</u>. All meetings of the Member shall be held at such places within the State of New Mexico as shall be specified in the respective notices of such meetings or waivers thereof.

Section 5: <u>Notice of Meetings</u>. Notice of the Annual Meeting and of every Special Meeting described hereinabove shall be served personally or by mail on the members of the Regents, not less than ten (10) days nor more than fifty (50) days before the meeting. All notices shall state the place, day and time where the meeting is to be held and notices of Special Meetings shall also state the purpose or purposes for which the meeting is called. If mailed, such notice shall be directed to each Regent at the address of each Regent as it appears on the books or records of the Corporation. Additionally, notice is deemed given if made by electronic communication.

The Member, as a body corporate, may waive notice of a meeting by executing and filing in the corporate records a written waiver of notice. The attendance of any Regent at any meeting shall constitute a waiver of notice of the meeting, except where a Regent attends for the express purpose of objecting to the transaction of any business because the meeting is not lawfully called or convened.

Section 6: <u>Action of Members Without a Meeting</u>. Any action required or permitted to be taken at a meeting of the Member, or any action which may be taken at a meeting of the Member, may be taken without a meeting if a consent in writing, setting forth the action is signed by the Member.

ARTICLE III: BOARD OF DIRECTORS

Section 1: <u>Management</u>. The affairs and the property of the Corporation shall be managed by the Board of Directors (the "<u>Board</u>"). The Directors shall act only as a Board, and individual Directors shall have no power as such.

Section 2: <u>Annual Meeting</u>. The Annual Meeting of the Board for the election of Officers (as hereinafter defined) and for the transaction of such other business as properly shall come before the meeting shall be held as soon as practicable following the Annual Meeting of the Member; provided, however, that an organizational meeting of the Board, for the election of Officers and transaction of other business, may be held after the first appointment of the voting Directors enumerated in Article III, Section 8(a) – (dg) of these Bylaws. Such Annual Meeting of the Board shall be a general meeting and open for the transaction of any business within the powers of the Board without special notice of such business, except in any case where special notice is required by law, by the Articles of Incorporation, or by these Bylaws.

Section 3: <u>**Regular Meetings</u>**. Regular Meetings of the Board shall be held at least quarterly at such places within the State of New Mexico as shall be specified by the Board of Directors, one of which shall be designated as the Annual Meeting. Such Regular Meetings shall be general meetings and open for the transaction of any business within the powers of the Board without special notice of such business, except</u>

in any case where special notice is required by law, by the Articles of Incorporation, or by these Bylaws.

Section 4: <u>Special Meetings</u>. Special Meetings of the Board shall be called at any time by the Secretary upon the request of the President and/or the Chief Executive Officer of the Corporation or no less than one-quarter of the Directors then in office.

Section 5: <u>Place of Meetings</u>. All meetings of the Board shall be held at such places within the State of New Mexico as shall be specified in the respective notices of such meetings or waivers thereof.

Section 6: **Notice of Meetings**. Notice of every Annual or Regular Meeting of the Board shall be served personally or by mail on each Director not less than ten (10) days nor more than fifty (50) days before the meeting. Notice of every Special Meeting shall be served personally or by mail on each Director not less than three (3) days before the meeting. Notices or waivers of notice do not need to state the purpose or purposes for which the meeting is called, but shall state the time and place of the meeting. If mailed, such notices shall be directed to each Director entitled to notice at his <u>or her</u> address as it appears on the books or records of the Corporation. Additionally, notice is deemed given if made by electronic communication.

A Director may waive notice of a meeting by executing and filing in the corporate records a written waiver of notice. The attendance at any meeting shall constitute a waiver of notice of the meeting, except where a member attends for the expressed purpose of objecting to the transaction of any business because the meeting is not lawfully called or convened.

Section 7: **Quorum**. At all meetings of the Board of Directors the presence of a majority of the Directors then in office shall be necessary and sufficient to constitute a quorum, and except as otherwise provided by law or by these Bylaws, the act of a majority of the Directors present at a meeting at which there is a quorum shall be the act of the Board.

Section 8: <u>Number, Composition, and Election of Board of Directors</u>. The Corporation shall have not less than three (3) nor more than eleven (11) Directors, as determined by the Member by resolution (each a "<u>Director</u>" and collectively, the "<u>Directors</u>"). Pursuant to the requirements of the University Research Park and Economic Development Act, the Member, by and through the Regents, will appoint all

Directors. The Directors shall include the following individuals, who shall be voting Directors:¹

(a) The Chancellor for Health Sciences of the UNM Health Sciences Center Chief Executive Officer for the UNM Health System (the "ChancellorHealth System CEO");

(b) <u>The Dean of the UNM School of Medicine ("UNM SOM") or an</u> individual nominated by the Dean of the UNM SOM to serve on his or her behalf (the "Dean of the UNM SOM or Nominee") The Chief Operating Officer of the UNM Health System;

(c) The Executive Physician-in-Chief of the UNM Health SystemVice Chancellor for Clinical Affairs of the UNM Health Sciences Center;

At least thirty (30) days prior to the Annual Meeting of the (d) Member, Board of Trustees of UNM Hospitals may nominate one individual to serve as a Director, subject to the Member's Conflict of Interest policies; the Member shall consider such nominee at the Annual Meeting and, if acceptable to the Member, may, upon a majority vote of the Regents, appoint such individuals to serve as a Director of the Corporation; provided, however, that, in the event that the Member finds a nominee unacceptable, the Board of Trustees of UNM Hospitals shall nominate another individual for the Member's consideration at a Special Meeting of the Member and, if such substitute nominee is acceptable to the Member, may, upon a majority vote of the Regents, appoint such individual to serve as a Director; provided, further, however, that if after two (2) consecutive rounds of any such nomination with respect to a particular Non-Positional Director vacancy, the Regents find such nominees unacceptable, then the Regents may select and appoint an individual who is independent and not a faculty member of the UNM to serve as a Director of the Corporation;

(e)____At least thirty (30) days prior to the Annual Meeting of the Member, the Board of County Commissioners of Sandoval County (the "<u>Sandoval County Commission</u>") may nominate one individual to serve as a Director, subject to the Member's Conflict of Interest policies; the Member shall

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In these Bylaws, the Directors appointed by virtue of their positions as described in Section 8(a) through (c) and (<u>ef</u>) hereinabove shall be referred to individually as a "<u>Positional Director</u>," and, collectively, as the "<u>Positional Directors</u>." Additionally, in these Bylaws, the Directors appointed as described in Section 8(d), (e), (f), and (g) shall be referred to individually as a "<u>Non-Positional</u> <u>Director</u>" and, collectively, as the "<u>Non-Positional Directors</u>." With respect to the Positional Directors, it is acknowledged that the job titles associated with such Positional Directors may change over time and, therefore, it is intended that the successor job title to the current, specified job title shall be deemed to apply to such Positional Directors without the necessity of amending these Bylaws.

consider such nominee at the Annual Meeting and, if acceptable to the Member, may, upon a majority vote of the Regents, appoint such individuals to serve as a Director of the Corporation; provided, however, that, in the event that the Member finds a nominee unacceptable, the Sandoval County Commission shall nominate another individual for the Member's consideration at a Special Meeting of the Member and, if such substitute nominee is acceptable to the Member, may, upon a majority vote of the Regents, appoint such individual to serve as a Director; provided, further, however, that if after two (2) consecutive rounds of any such nomination with respect to a particular Non-Positional Director vacancy, the Regents find such nominees unacceptable, then the Regents may select and appoint an individual who is independent and not a faculty member of the UNM to serve as a Director of the Corporation;

(f) The then sitting Chief of the Medical Staff of UNM Sandoval Regional Medical Center duly elected by the active medical staff of the same; and

(g) ____At least thirty (30) days prior to the Annual Meeting of the Member, the members of the Board shall nominate three (3) individuals who are residents of Sandoval County, New Mexico and who are not employees of the Corporation, the University of New Mexico, the University of New Mexico Hospital, UNM Medical Group, Inc. or Sandoval County, New Mexico to serve as Directors, subject to the Member's Conflict of Interest policies; the Member shall consider such nominee at the Annual Meeting and, if acceptable to the Member, may, upon a majority vote of the Regents, appoint such individuals to serve as Directors of the Corporation; provided, however, that, in the event that the Member finds any of the nominees unacceptable, the Board shall nominate another individual who meets the qualifications identified in this Section 8(hg) for the Member's consideration at a Special Meeting of the Member and, if such substitute nominee is acceptable to the Member, may, upon a majority vote of the Regents, appoint such individual to serve as a Director; provided, further, however, that if after two (2) consecutive rounds of any such nomination with respect to a particular Non-Positional Director vacancy, the Regents find such nominees unacceptable, then the Regents may select and appoint an individual(s) who meets the qualifications identified in this Section 8(hg) to serve as a Director of the Corporation.

Section 9: <u>Vacancy</u>. Except as otherwise provided in this Section 9, any vacancies occurring among the Directors shall be filled by the Member at a Special Meeting. A vacancy shall occur upon the death or incapacity of a Director, or his or her resignation or removal as hereinafter provided. Subject to the provisions of Section 11 hereinbelow, each Positional Director shall continue as a Director only for so long as such individual occupies the position qualifying him/her for said appointment or until his/her earlier death or resignation. A vacancy shall be filled for the remainder of the

unexpired term of the Director whose death, incapacity, resignation or removal gave rise to the vacancy.

-Section 10: Term of Office of Directors. The Initial Directors named in the Articles of Incorporation shall serve until the voting Directors enumerated in Article III, Section 8(a) – (g) of these Bylaws shall have been first appointed by the Member and qualified. The Directors shall be divided into three classes, designated Class A, Class B, and Class C. Each class shall consist of one-third of the Directors or as close an approximation as possible. In this connection, one of the Non-Positional Directors shall serve as a Class B Director and one of the Non-Positional Directors shall serve as a Class C Director. The ChancellorHealth System CEO shall serve as a Class B Director, Dean of the UNM SOM or Nominee Chief Operating Officer, UNM Health System shall serve as a Class A Director, and the Vice Chancellor for Clinical Affairs of the UNM Health Sciences Center; Executive Physician-in-Chief shall serve as a Class A Director. The remaining Directors shall be divided into the three (3) classes in as close an approximation to one-third as possible. The initial term of office of the Directors of Class A shall expire at the annual meeting to be held following the end of fiscal year 2010, the initial term of office of the Directors of Class B shall expire at the annual meeting to be held following the end of fiscal year 2011, and the initial term of office of the Directors of Class C shall expire at the annual meeting to be held following the end of fiscal year 2012. After the initial terms specified above for each Class of Director, Directors shall serve for a term of not more than three (3) years from and after their election by the Regents and may be reelected for any number of terms. All Directors shall serve in their respective offices until their successors are appointed and qualified.

Section 11: <u>Resignation and Removal of Directors</u>. Any Non-Positional Director may be removed by a majority vote of the Regents at any time with or without cause and with or without notice at a meeting of the Member. Any Non-Positional Director may resign at any time upon providing written notice to the Chairman of the Board and to the Member.

With respect to the Positional Directors, each such Positional Director may be removed by a majority vote of the Regents for good cause with prior written notice to such Positional Director. In this connection, "good cause" shall mean:

(a) The failure of such Positional Director to continue in the position giving rise to such Positional Director's appointment as a Director as set forth in Sections 8 and 9 of this Article;

(b) The inability of such Positional Director to substantially perform his/her material duties as a Director by failing to attend three (3) consecutive Regular Meetings of the Board;

(c) Willfully engaging in illegal conduct or gross misconduct, which is materially and demonstrably injurious to the Corporation. For purposes of this provision, no act or failure to act on the part of such Positional Director shall be considered "willful" unless it is done in bad faith or without reasonable belief that such Positional Director's action or omission was in the best interests of the Company.

With respect to the Director serving as a result of Section 8(gf) (the "Chief of the <u>Medical Staff</u>"), if at any time during his or her term as the Medical Staff Chief Director, the Medical Staff Chief Director shall for any reason cease to be the Chief of the Medical Staff of the UNM Sandoval Regional Medical Center or a member of the active medical staff of the UNM Sandoval Regional Medical Center, such fact shall be considered to be a "deemed resignation" from the Board of Directors of the Corporation.

Section 12: <u>Compensation and Expense Reimbursement</u>. The Directors shall not receive compensation for their services as Directors but the Board may authorize reimbursement for reasonable and necessary expenses incurred by Directors in connection with the performance of their duties in accordance with policies to be established by the Board.

Section 13: Indemnification.

Any person made a party to any action, suit or proceeding by (a) reason of the fact that he or she, his/her testator or intestate, is or was a Director, Officer or employee of the Corporation, or of any corporation which he or she served as such at the request of the Corporation, shall be indemnified by the Corporation against the reasonable expenses, including attorney's fees, actually and reasonably incurred by him or her in connection with the defense of such action, suit or proceeding, civil or criminal, in which he or she is made a party by reason of being or having been a Director or Officer. The indemnification may include any amounts paid to satisfy a judgment or to compromise or settle a claim, or incurred in connection with any appeal of any such action, suit or proceeding. A Director, Officer or employee shall not be indemnified in relation to matters as to which it shall be adjudged in such action, suit or proceeding on the basis that he or she has breached or failed to perform the duties of his or her office and the breach or failure to perform constitutes willful misconduct or recklessness. The foregoing right of indemnification shall not be deemed exclusive of any other rights to which any such Director, Officer, or employee may be entitled as a matter of law.

(b) Expenses incurred in defending any action or proceeding for which indemnification is required pursuant to this Section 13 following authorization

thereof by the Board shall be paid by the Corporation in advance of the final disposition of such action or proceeding upon receipt of an undertaking by or on behalf of the indemnified party to repay such amount if it shall ultimately be determined that the indemnified party is not entitled to be indemnified as authorized in this Section 13.

(c) The indemnification provided by this Section 13 shall not be deemed exclusive of any other rights to which those seeking indemnification may be entitled under any bylaw, agreement, or otherwise, both as to action in an official capacity and as to action in another capacity while holding such office, to the extent that additional rights to indemnification are authorized in the Articles of Incorporation.

(d) The Corporation may purchase and maintain insurance on behalf of any person who is or was a director, officer, employee or agent of the corporation, or is or was serving at the request of the Corporation as a director, officer, employee or agent of another corporation, partnership, joint venture, trust or other enterprise against any liability asserted against him <u>or her</u> and incurred by him <u>or her</u> in any such capacity, or arising out of his <u>or her</u> status as such, whether or not the Corporation would have the power to indemnify him <u>or</u> <u>her</u> against such liability under the provisions of the New Mexico Non-Profit Corporation Act or the New Mexico University Research Part and Economic Development Act.

Section 14: <u>Action Without A Meeting.</u> Unless otherwise restricted by the Articles of Incorporation or these Bylaws, any action required or permitted to be taken at any meeting of the Board, or of any Committee thereof, may be taken without a meeting if all members of the Board or Committee, as the case may be, consent thereto in writing and the writing or writings are filed with the minutes of proceedings of the Board or Committee may be executed by telex, telecopy, a software which allows for electronic signatures and has an appropriate authentication system, or facsimile transmission, where such facsimile shall be valid and binding to the same extent as if it were an original.

Section 15: <u>Telephonic Meetings.</u> Unless otherwise restricted by the Articles of Incorporation or these Bylaws, members of the Board of Directors, or any Committee, may participate in a meeting of the Board, or any Committee, by means of conference telephone or similar communications equipment by means of which all persons participating in the meeting can hear each other, and such participation in a meeting shall constitute presence in person at the meeting.

ARTICLE IV:

OFFICERS

Section 1: <u>Number of Officers</u>. The Officers of the Corporation shall be a Chairman of the Board, a President and Chief Executive Officer, one or more Vice-Presidents, a Secretary, and a Chief Financial Officer (together with the additional officers appointed pursuant to Section 3 below, shall be referred to individually as an "<u>Officer</u>" and collectively, as the "<u>Officers</u>"). One person may hold two of the aforesaid offices. With the exception of the Chairman of the Board, Officers need not be Directors.

Section 2: **Election of Officers**. Except for those Officers serving by virtue of their position (the "**Ex-Officio Officers**"), the Officers shall be elected annually at each Annual Meeting of the Board by a plurality of the votes cast and may succeed themselves in office. Except for the Ex-Officio Officers, each person elected as an Officer shall continue in office until the next Annual Meeting after his <u>or her</u> election, or until his <u>or her</u> successor shall have been duly elected and qualified, or until his earlier death, resignation or removal in accordance with these Bylaws. Except for Ex-Officio Officers, vacancies of Officers may be filled by a majority vote of the Board at a Special Meeting called for that purpose or at any regular meeting. As to the Ex-Officio Officers, any Ex-Officio Officer may be removed from his/her office for "good cause" as defined in Section 11 of Article III of these Bylaws.

Section 3: <u>Additional Officers</u>. The Board, at any meeting may by resolution appoint such additional Officers and such agents and employees as it may deem advisable. The Board may delegate to the Officers in Sections 5 and 6, the power to appoint subordinate Officers (other than the Officers identified in Sections 6, 8, and 9 of this Article) or agents and to determine their terms of office. Any such appointments will be reported at the subsequent Board meeting.

Section 4: <u>**Removal of Officers**</u>. Except for the Ex Officio Officers, any Officer may be removed at any time with or without cause and with or without notice, by a vote of the majority of the Board at any meeting of the Board.

Section 5: <u>Chairperson of the Board</u>. The Chairperson of the Board shall be elected from among the Directors; provided, however, that in all cases, the Chairperson of the Board shall be the <u>ChancellorHealth System CEO</u>. The Chairperson of the Board shall preside at all meetings of the Members of the Board and shall have such other powers and duties as may be assigned to him or her from time to time by the Board or as prescribed by these Bylaws.

Section 6: <u>President and Chief Executive Officer</u>. The President and Chief Executive Officer shall have general supervision over the affairs and property of the

Corporation and over its several Officers, and shall generally do and perform all acts incident to the office of the President and Chief Executive Officer, and shall have such additional powers and duties as may from time to time be assigned to him/her by the Board. When authorized by the Board, the President and Chief Executive Officer may sign and execute, in the name of the Corporation, deeds, mortgages, promissory notes, security agreements, pledge agreements, financing statements, bonds, contracts or other instruments authorized by the Board, except in cases where the signing and execution thereof shall be expressly delegated by the Board or by these Bylaws to some other Officer or agent of the Corporation.

Section 7: <u>The Vice-Presidents</u>. The Board may elect one or more Vice-Presidents. At the request of the President and Chief Executive Officer, or in his <u>or her</u> absence or disability, the Vice-Presidents, in the order designated by the Board, shall perform all the duties of the President and Chief Executive Officer and, when so acting, shall have all the powers and be subject to all the restrictions upon the President and Chief Executive Officer. When authorized by the Board , any Vice-President may also sign and execute, in the name of the Corporation, deeds, mortgages, bonds, contracts, or other instruments authorized by the Board, except in cases where the signing and execution thereof shall be expressly delegated by the Board, or by these Bylaws to some other Officer or agent of the Corporation. The Vice-Presidents shall perform such other duties as from time to time may be assigned to them by the Board and/or by the President and Chief Executive Officer, as the case may be.

Section 8: <u>Chief Financial Officer</u>. The Chief Financial Officer shall report to the President and Chief Executive Officer and shall have charge and custody of, and be responsible for, all the funds of the Corporation and shall keep or cause to be kept and shall be responsible for the keeping of accurate records of the assets, liabilities and transactions of the Corporation. He/she shall deposit all moneys and other valuable effects of the Corporation in the name of and to the credit of the Corporation in accordance with accounting procedures approved by the Board, consistent with the policies of the UNM, in such banks, trust companies, or other depositories as may be approved by the Board. He/she shall disburse the funds of the Corporation based upon proper vouchers for such disbursements. In general, he shall perform all the duties incident to the office of Chief Financial Officer and such other duties as may from time to time be assigned to him <u>or her</u> by the Board. If required by the Board, the Chief Financial Officer shall give a bond for the faithful discharge of his <u>or her</u> duties in such sum and with such surety or sureties as the Board shall determine. The expense of such bond shall be paid by the Corporation.

Section 9: <u>Secretary</u>. The Board shall elect a Secretary who shall report to the President and Chief Executive Officer and act as Secretary of, and keep the Minutes of all meetings of the Board and of the Member in one or more books provided for that purpose; and whenever required by the President and Chief Executive Officer shall

perform like duties for any Committee, provided that in the absence of the Secretary, the Member or a majority of the Directors present at any meeting thereof may designate any person to act as Secretary for such meeting. The Secretary shall see that all notices are duly given in accordance with these Bylaws and as required by law; he or she shall be custodian of the Seal of the Corporation and shall affix and attest the Seal to any and all documents specifically or generally authorized by the Board to be executed on behalf of the Corporation under its Seal. He shall have charge of the books, records and papers of the Corporation relating to its organization as a Corporation, and shall see that all reports, statements and other documents required by law are properly kept or filed, except to the extent that the same are to be kept or filed by the Chief Financial Officer. In general, he or she shall perform all the duties incident to the office of Secretary and such other duties as may from time to time be assigned to him <u>or her</u> by the Board and by the President and Chief Executive Officer.

ARTICLE V: COMMITTEES

Section 1: **Executive Committee**. A majority of the initial Directors set forth in the Articles of Incorporation, present at a meeting of the Board at which there is a quorum may initially appoint an Executive Committee to serve during the interim until the first Annual Meeting of the Board, and thereafter, the Executive Committee shall be appointed annually at the Annual Meeting of the Board by a majority of the Directors present at a meeting of the Board at which there is a quorum. The Executive Committee shall consist of the Chairman of the Board and <u>at least</u> three (3) members of the Board elected by the majority members of the Board, one of which must be a community Board member. Vacancies in members of the Committee may be filled by a majority of the Directors present at a meeting of the Executive Committee by virtue of their office, any member of the Executive Committee may be removed from membership on said Committee at any time with or without cause by a vote of the majority of the Directors present at any meeting of the Board at which there is a quorum. But only upon the recommendation of the Chairman of the Board.

The Executive Committee shall, during the intervals between meetings of the Board, possess and exercise all of the powers of the Board in the management of the affairs and property of the Corporation <u>(i.e., medical staff matters)</u>, except that the Executive Committee may not take or possess the authority to take any of the actions proscribed in Section 7 of this Article. The presence of a majority of the members of the Executive Committee shall be necessary and sufficient to constitute a quorum, and the act of a majority of the members of the Executive Committee shall be the act of the Executive Committee. The Executive Committee shall be the act of the Executive Committee. The Executive Committee shall keep full and fair records and accounts of its proceedings and transactions. All actions by the Executive Committee shall be reported to the Board at

its next meeting succeeding such action and shall be subject to revision and alteration by the Board, provided that no rights of third persons shall be affected by any revisions or alteration.

Section 2: <u>Finance/Strategic Planning Committee</u>. A majority of the whole Board may appoint a Finance/Strategic Planning Committee consisting of at least three (3) Directors (one of which shall be the then sitting Chief of the Medical Staff of UNM Sandoval Regional Medical Center) and such Committee shall recommend or determine the form, time, and manner in which funds of the Corporation shall be invested, as such majority shall authorize. The Board shall enact rules and regulations for governance of the Finance/Strategic Planning Committee and shall report to the Board as the Board shall require.

Section 3: Audit and Compliance Committee. A majority of the whole Board will appoint an Audit and Compliance Committee consisting of at least three (3) Directors, (two of which shall be who will be three of the Non-Positional Directors and one of which shall be a Positional Director) appointed pursuant to Section 8(a) through (d), (e), (f) and (g) of Article III. The basic purpose and responsibility of the Audit and Compliance Committee shall be to advise and assist the Board in fulfilling its responsibilities to the Corporation and the Member in connection with monitoring the integrity of this Corporation's financial statements, financial and accounting practices, internal controls, business ethics, and compliance with laws, regulations, and policies that may have a material impact on the financial statements of the Corporation. In this connection, the Audit and Compliance Committee will review and assess the qualitative aspects of financial reporting, the Corporation's processes to manage business and financial risk, and compliance with significant applicable legal, ethical, and regulatory requirements. The Audit and Compliance Committee shall, when necessary, work in collaboration with the Internal Audit Department of the Member and shall report to the Board as the Board shall require and to Audit Committee of the Regents as the Regents may require.

Section 4: <u>Other Committees</u>. A majority of the Directors present at a meeting of the Board at which there is a quorum may from time to time, by Resolution, create such other Committees of Directors, Officers, or other faculty members or employees, with such functions, powers, and duties as the Board shall determine. The Board shall enact rules and regulations for the governance and authority of any such Committee; provided, however, that any Committee appointed pursuant to this <u>section_Section</u> which is not comprised of all Directors shall not have the power of the Board.

Section 5: <u>Minutes of Committees</u>. Each Committee shall keep regular minutes of its meetings and report the same to the Board of Directors when required. All actions by any Committee formed as provided in this Article V, other than the actions by the Audit Committee, shall be reported to Executive Committee of the Board at its next

meeting succeeding such action and shall be subject to revision and alteration by the Executive Committee of the Board and ultimately, the Board.

Section 6: <u>Meetings and Action of Committees</u>. Meetings and actions of Committees shall be governed by, and held and taken in accordance with, the provisions of Section 5 of Article III (place of meetings), Section <u>14-15</u> of Article III (by telephone), Section 6 of Article III (notice and waiver of notice), Section 7 of Article III (quorum), and Section 14 of Article III (action without a meeting) of these Bylaws, with such changes in the context of such provisions as are necessary to substitute the Committee and its members for the Board of Directors and its members; provided, however, that the time of regular meetings of Committees may be determined either by resolution of the Board of Directors or by resolution of the Board of Directors and that notice of Special Meetings of Committees shall also be given to all alternate members, who shall have the right to attend all meetings of the Committee. With the exception of the Audit Committee, the Board of Directors may adopt rules for the governance of any Committee not inconsistent with the provisions of these Bylaws.

Section 7. Limitations of Powers of Committees. None of the Committees of the Board created as provided in this Article V shall have the power or authority to (a) amend, alter or repeal these Bylaws, (b) elect, appoint or remove any member of any Committee or any Director or Officer of the Corporation, (c) amend the Articles of Incorporation, restate the Articles of Incorporation, adopt a plan of merger, or adopt a plan of consolidation with another corporation, (d) authorize the sale, lease, exchange or mortgage of all or substantially all of the property and assets of the Corporation, (e) authorize the voluntary dissolution of the Corporation or revoke proceedings thereof, (f) adopt a plan for the distribution of the assets of the Corporation, (g) amend, alter or repeal any resolution of the Board which by its terms provides that it shall not be amended, altered or repealed by a Committee, or (h) as otherwise provided by law, these Bylaws or by resolution of the Board. The presence of a majority of the members of any such Committee formed by the Board as provided in this Article V shall be necessary and sufficient to constitute a quorum, and the act of a majority of the members of any such Committee present at a meeting at which there is a quorum shall be the act of such Committee.

ARTICLE VI: <u>AUDIT</u>

An annual audit of unlimited scope of all of the operations of the Corporation shall be conducted by a Certified Public Accountant, and a copy of that audit report and any support documents requested shall be made available to the Member, the President of the University, the Vice-President for Finance and Administration of the University, the Chancellor<u>Health System CEO</u>, the Dean of the UNM SOM, the Audit Committee of the Regents, and the New Mexico Public Regulation Commission.

ARTICLE VII: MISCELLANEOUS PROVISIONS

Section 1: <u>Offices</u>. The Board may establish, from time to time, one or more offices of the Corporation at any place or places within the State of New Mexico, and may maintain such office or offices for such period or periods of time as it may deem expedient.

Section 2: <u>Fiscal Year-End</u>. The Fiscal Year of the Corporation shall end on June 30 in each year.

Section 3: <u>Commercial Paper</u>. All checks, drafts and other orders for the payment of money out of the funds of the Corporation shall be executed on behalf of the Corporation by such Officer or Officers, or employee or employees, as the Board may, by Resolution, from time to time determine.

Section 4: **Deposits**. All funds of the Corporation not otherwise employed shall be deposited from time to time to the credit of the Corporation in such banks, trust company or other depositories as the Board may from time to time select or as may be selected by any Officer or employee of the Corporation to whom such power may from time to time be delegated by the Board; and for the purpose of such deposit, any Officer or any employee to whom such power may be delegated by the Board may endorse, assign and deliver checks, drafts and other orders for the payment of money which are payable to the order of the Corporation.

ARTICLE VIII: <u>SEAL</u>

The Corporation shall have no corporate seal.

ARTICLE IX: AMENDMENT OF BYLAWS

The Bylaws may be amended by the Board of Directors at any Annual, Quarterly, or Special Meeting. Directors shall be entitled to at least ten (10) days' notice in writing by mail, or in person of the meeting time and place at which the amendment is to be voted upon. The written notice must include a copy of the proposed amendment. No amendment to the Bylaws shall be effective until approved by the Regents. These Bylaws may also be amended in whole or in part by formal action of the Regents acting as the Member.

We certify that the original Bylaws of the Corporation were adopted by the Board of Directors on September 30, 2009, and approved by the Regents on August 11, 2009 and the above and foregoing Second-Third Amended and Restated Bylaws of the Corporation were adopted by the Board of Directors on March 26October 25_____, 20174, and approved by the Regents on May 9_____, 20174.

Chairman of the Board

Secretary

APPROVED BY THE REGENTS OF THE UNIVERSITY OF NEW MEXICO ON , 2014-2017

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



"Putting You First"

MEMORANDUM

October 30, 2017

TO: HSC Committee

FROM: Dr. Paul Roth UNM Sandoval Regional Medical Center, Inc., Board of Directors, Chair

SUBJECT: Board Appointment, UNM SRMC Board of Directors

UNM Sandoval Regional Medical Center, Inc. ("UNM SRMC") is in the process of obtaining the approval of its Third Amended and Restated Bylaws under which UNM SRMC has, among other things, restructured the composition of its Board of Directors. On October 25, 2017, the UNM SRMC Board of Directors approved the recommendation to appoint Dr. Martha McGrew, Executive Vice Dean for the UNM School of Medicine, to serve on the UNM SRMC Board of Directors. Dr. McGrew's CV is attached for review.

The UNM Sandoval Regional Medical Center, Inc. Board of Directors requests the approval of the HSC Committee with final approval by the Board of Regents.

MARTHA COLE McGREW, MD CURRICULUM VITAE

Date: April 25, 2016

Martha Cole McGrew, M.D.

Professional Address:	Office of the School of Medicine Executive Vice Dean University of New Mexico Fitz Hall Suite 177 MSC08 4720 1 University of New Mexico Albuquerque, New Mexico 87131 505-272-2321
Home Address:	1101 Calle del Sol NE Albuquerque, New Mexico 87106 505 268-7506 (home) 505 250-0645 (cell)
	2 Daughters: Hannah Catherine, 1990 Sarah Rose, 1995
Licensure:	New Mexico Board of Medical Examiners, 1990
Certification:	American Board of Family Practice, 1987 Recertified 1993, 2000, 2007
Educational History:	
Cont 2004 Mars 20	005 Evenutive Leadership in Academic Medicine

Sept., 2004 - May, 2005	Executive Leadership in Academic Medicine Fellowship Associate of American Medical Colleges/Drexel University Philadelphia, PA
Sept., 1995	Associate of American Medical Colleges Women Junior Faculty Development Conference, St. Louis, MO.
July, 1987 – June, 1988	Faculty Development Fellowship University of California, San Francisco San Francisco General Hospital San Francisco, CA

July, 1984 – June, 1987	Family Medicine Internship and Residency Louisiana State University Medical Center, Shreveport, Louisiana
Aug., 1980 - May, 1984	Louisiana State University School of Medicine Shreveport, Louisiana (M.D.)
Aug., 1976 – May, 1980	Louisiana Tech University Ruston, Louisiana (B.S.)

Positions Held:

University of New Mexico School of Medicine, (UNM-SOM) Albuquerque, New Mexico:

March 2016- present	Executive Sponsor, Mission Excellence (three year project to better align and engage SOM providers and UNM health system)
Jan., 2015 – Present	Executive Vice Dean, School of Medicine
July, 2009 – Present	Professor with Tenure, Dept of Family and Community Medicine
Aug., 2008 – Jan., 2015	Chair, Family & Community Medicine
Sept., 2007 – Aug., 2008	Associate Chair, Family & Community Medicine
Jan., 2002 – Present	Vice-Chair for Education, Family and Community Medicine
July, 2001 - Present	Associate Professor with Tenure, Department of Family and Community Medicine
July, 1996 – Present	Associate Faculty, Office of Educational Development and Research/Teacher and Educational Development
July, 1996 – June, 1999	Coordinator of Obstetric and Newborn Services for Family Medicine
July, 1992 - April, 1995	Director, Family Medicine Clerkship

July, 1990 - Present	Assistant Professor, Department of Family & Community Medicine
Mar., 1990 - Present	Member, Medical Staff, University Hospital, Albuquerque, New Mexico
July, 1990 – Present	Ambulatory Family Practice Attending
Mar., 1990 – June, 1995	Inpatient Attending
July, 1991 - Present	Newborn Nursery Attending
May, 1990 - Present	Family Practice Obstetric Attending

Michigan State University College of Human Medicine, East Lansing, Michigan:

July, 1988 – Jan., 1990	Assistant Professor, Department of Family Practice, Michigan State University College of
	Human Medicine, East Lansing, Michigan

Current Boards & Committees:

2016 - Present	Member La Tierra Sagrada Board of Directors, UNM School of Medicine (Scholarships for medical students)
2016 - Present	Member, Executive Compensation Committee, University of New Mexico Medical Group
2016 – Present	Chair, Finance Committee, University of New Mexico Medical Group
2015 – Present	Executive Committee, University of New Mexico Medical Group
2010 - 2016	Vice-Chair Finance Committee, University of New Mexico Medical Group
2010 - 2014	Member, Board of Directors, Sandoval Regional Medical Center

2010 - 2014	Strategic Planning Committee, Sandoval Regional Medical Center
2010 – Present	Education Committee, Sandoval Regional Medical Center
2009 - 2014	UNMHSC Workforce Diversity Committee
2008 - Present	Chair, Executive Committee, Family and Community Medicine
2008 - Present	Medical Executive Committee
2008 - Present	University of New Mexico Medical Group Board of Directors
2008 – Present	Masters in Public Health Advisory Committee

National Offices:

2014 - 2015	Elected, Member-at-large, Associate of Departments of Family Medicine Board of Directors
2014	Chair, Planning Committee for Associations of Departments of Family Medicine Annual Winter Meeting

Professional Recognition and Honors:

2017	Woman of Influence Albuquerque Business First.
2008, 2009, 2010, 2011, 2012, 2013, 2014, 2015, 2016, 2017	Best Doctors in America
2007, 2009, 2015	Outstanding Family Medicine Maternal Child Health Attending UNM-SOM
2007, 2009	Best Family Physician- Albuquerque Magazine Annual Poll

2008, 2009, 2010, 2011, 2012, 2013, 2014, 2015, 2016, 2017	Nominee – Best Family Physician – Albuquerque Magazine Annual Poll
2006	Outstanding Family Medicine Clinic Attending UNM-School of Medicine
2004 - 2005	Executive Leadership in Academic Medicine Fellowship, AAMC/Drexel University
2003	Breastfeeding Task Force Golden Globes Award (for advocacy and promotion)
1998 - 1999	Medical Education Scholars Program – University of New Mexico School of Medicine
1999 - 2000	Dean's Award of Distinction- In recognition of outstanding faculty performance, UNM-SOM
1995	Golden Hippo Award- "Best Slides", presented by the medical students, UNM-SOM
1994	Apple For The Teacher Award, for outstanding teaching in clinical years 3 & 4, UNM-SOM
1993	Golden Hippo Award, "Best Small Group Teacher", presented by the medical students, UNM-SOM
1993	Golden Hippo Award, "Primary Care Curriculum Best Supporting Faculty" presented by the medical students, UNM-SOM
1987	Resident-Teacher Award, presented by the Society of Teachers of Family Medicine for outstanding teaching by a senior resident, LSU- MC Family Practice Residency

Professional Society Membership:

Society for Executive Leadership in Academic Medicine American Academy of Family Physicians Society of Teachers of Family Medicine

Search Committees:

2015-2016	As Executive Vice Dean, assisted in searches for: Family Medicine, Radiology, Internal Medicine, Neurology, Dermatology and Associate Dean for Assessment and Learning
2013	Chair, Department of Obstetrics and Gynecology
2012	Chair, Department of Psychiatry, UNM-SOM
2012	Associate Dean, Undergraduate Medical Education, UNM-SOM

Invited Lectures: (selected)

7/12/17, 7/13/16	"Health of New Mexico" First lecture to new first year medical students
4/18/17	Second Annual Transitions to Third Year Ceremony- "What's your Why?"
4/19/16	First Annual Transition to Third Year Ceremony – "Navigating Transitions by Doing Good and Doing Well."
5/7/15	"What Inspires Me?" AOA Banquet
3/27/15	ECHO Telehealth Community Health worker Training "Breastfeeding 101."
10/09/13	Family Medicine Grand Rounds "Physicians as Leaders"
2/22/13	"Management Dilemmas" Annual Association of Department of Family Medicine Conference
2/09/13	New Mexico Academy of Family Medicine "Health Policy & Advocacy"
8/12/09	Physician Assistant Program Speaker "Health Care and The Tip of The Iceberg"

4/20/09	AAMC Western Region Annual Conference, Santa Fe, NM "PBL: Variation in Mission, Implementation & Outcomes at Four Schools"
1/23/09	35 th Annual STFM Predoctoral Education Conference "Educating Medical Student of Health Policy and Advocacy; Lessons from a Family Medicine Clerkship"
2/27/07-2/28/07	Residents as Educators Workshop "Problem-based Learning" University of New Mexico Train the Trainers for Residents sponsored by GME
03/10/04 - 06/04/04	"The Effect of Labor Medications on the Initiation of Breastfeeding" (La Leche League NM Annual Meeting McKinley County Breastfeeding Taskforce)
10/29/02 & 10/31/02	"Using Questions to Teach In the Clinical Setting" University of New Mexico Internal Medicine Resident Seminar Series
06/02 - Present	"Anatomy and Physiology of Breastfeeding" College of Nursing, University of New Mexico. (approximately 2 times per year)
05/31/02	"Dealing with Difficult Students" University of New Mexico Ob-Gyn Residents Seminar Series
11/29/01	"The State of Healthcare In New Mexico" Center for the Southwest, University of NM School of Medicine
07/15/01	"Less Used Forms of Contraception" Annual New Mexico Academy of Family Physicians, Ruidoso, NM
01/22/00	"Common Breastfeeding Problems" University of New Mexico Ob-Gyn Residents Primary Care Series.
08/99	"Immunology and Breast Milk" Advanced Lactation Consultant's Course. UNM-College of Nursing.
10/97	"Emergency Childbirth" University of New Mexico Health Sciences Center, Division of Emergency Medicine Resident Conference
09/19/97	"Teaching in the Outpatient Setting" Dept. of Family Medicine Retreat. University of Missouri, Columbia.

11/5/94	"How to Talk to M.D.'s." La Leche League of New Mexico Fall Workshop
07/93-09/94	"Growth and Development of Breastfed Infants," "Jaundice in Breastfed Infants," Psychological Issues in Breastfeeding," "Physical Exam and Prenatal Counseling for Breastfeeding," "Drug Use in the Breastfeeding Mother," UNM College of Nursing Lactation Specialist Program
10/93	"Linkages Between the Indian Health Service and the University of New Mexico," Western Regional Society of Teachers of Family Medicine, Lake Tahoe, Nevada
07/93	"The Baby Friendly Hospital Initiative," presented to the medical staff of Gallup Indian Health Service Hospital, Gallup, New Mexico, February 1993, and Zuni Indian Health Service Hospital, Zuni, New Mexico
3/10-11/94	"Breastfeeding and the High-Risk Neonate," UNM Continuing Education,
9/15 - 9/17, 1994	"A New Curriculum in Lactation Management Education for Residents and Medical Students," Wellstart International, San Diego, CA,
08/89	"Practical Pointers in Adolescent Healthcare," National Conference of Family Practice Residents and Students, Kansas City, Missouri

Original Research and Scholarly Articles in Refereed Journals:

McGrew MC, Wayne S, Solan B, Snyder T, Ferguson C, Kalishman S. Health Policy and Advocacy for New Mexico Medical Students in the Family Medicine Clerkship. Fam Med 2015;47(10):799-802.

Geppert Cm, Arndell CL, Clithero A. Dow-Velarde LA, Eldredge Jp. Kalishman S, Kaufman A, **McGrew MC**, Snyder Tm, Solan BG, Timm CT, Tollestrup K, Wagner LK, Wiese WH, Wiggins CL, Cosgrove EM. "Reuniting public health and medicine: the University of New Mexico School of Medicine Public

Certificate. 2011, Medical Journal of Preventive Medicine. Published by Elsevier Inc.

McGrew MC, Solan B, Hoff C. Decentralized Medical Education in Rural Communities: The Circuit Rider Connection. Fam Med 2008, 40 (5): 321-5.

Geppert C, **McGrew M**, Kalishman S, Lawrence E, Timm C, Cosgrove E, and Wiese W. Public Health, Ethics and Ambulatory Care: An Integrated Fourth-Year Medical Student Rotation. Medical Education Online 12: 13 2007. Available from <u>http://www.med-ed-online.org</u>

Kaufman H, Skipper B, Small L, Terry T, **McGrew M.** Effect of Literacy on Breast-feeding Outcomes. Southern Medical Journal Vol.94, No. 3 March 2001.

Mennin SP, **McGrew M**. Scholarship in Teaching and Best Evidence Medical Education: Synergy for Teaching and Learning. Medical Teacher 22: 468-471, 2000.

Fincher R, Simpson D, Mennin S, Rosenfeld G, Rothman A, **McGrew M**, Hansen P, Mazmanian P, Turnbull J. Scholarship In Teaching: An Imperative for the New Millenium. Academic Medicine, Vol. 75, No. 9 Sept 2000

Mennin SP, Kaufman A, Urbina C, **McGrew M**. Community-Based Medical Education: Toward the Health of the Public. MedEduc. 2000 July; 34(7):503-4

Curet M, **McGrew M**. Assessing Surgical Practice Patterns of Primary Care Physicians in a Rural State for Curriculum Design (FamMed 2000;32(2):97-101

McGrew M, Kaufman A. Building Blocks of Innovation at the University of New Mexico. Education for Health 12(1): 29-38, 1999

McGrew M, Skipper B, Palley T, Kaufman A. Problem-Based Learning and Tutorials on a Family Practice Clerkship. Family Medicine 31 (3): 171-6, 1999.

Urbina C, **McGrew M**. The New Curriculum: Innovative Primary Care-Oriented Medical Education at the University of New Mexico. Journal of Minority Medical Students, 6 (1): 32-34, 65, 1993.

McGrew MC, Shore WB. The Problem Teenage Pregnancy. Journal of Family Practice 32:17-25, 1991.

Alexander B, **McGrew, MC**, Shore WB. Adolescent Sexuality. AFP 44:1273-1281, 1991

Submitted Not Accepted:

Segal AR, Shelley B, Skipper B, **McGrew M**. Attitudes Beliefs & Practices of Primary Care Residents in New Mexico Regarding Complementary and Alternative Medicine in Pregnant & Lactating Women. Submitted to Annals of Fam Med 9/05

Review Articles and Articles Appearing as Chapters:

Cheung E, Fong T, Han H, Tran T, McGrew M. Hepatitis B Clinical Consults: Hepatitis B Foundation. 2008 <u>http://hepb.org/cc/clinical-</u> <u>consults/index.php</u>

McGrew, MC. "Prenatal Care" <u>Medicine: A Primary Care Approach-</u>1st Edition, Rubin RH, Voss C, Derksen DJ, Gateley A, Quenzer R., WB Saunders Co. Philadelphia, PA, pp 270-274, 1996

McGrew, MC. "What Makes Breastfeeding Successful? Health Smart Quarterly Health Newsletter. 12(3), 1&4.2003

Abstracts:

Julian S, McGrew M, Segal A. "Family Practice Residents More Complementary and Alternative Medicine Friendly. Journal of Investigative Medicine 2005, 53(1); Abstract # 288.

Posters & Presentations:

Snyder T, McGrew M. Educating Medical Students for Health Policy & Advocacy: Lessons From a Family Medicine Clerkship. Accepted for 35th Annual Predoctoral Education Conference. Jan 2009

McGrew M, Solan B, Urbina C, Hoff C. "Decentralized Educational Development in Rural Communities: Networking Strategies for Recruitment, Retention and Connection." Society of Teachers of Family Medicine Annual Spring Conference, San Francisco, CA 4/06

Leeman L, Alvarez K, McGrew M, Espey E, Ogburn T. "Introduction of a Lactation Management Curriculum at the University of New Mexico Health Sciences Center" Society of Teachers of Family Medicine Annual Predoctoral Conference, Albuquerque, NM 2005

McGrew M. "How Faculty Continue to Learn". American Educational Research Association, San Diego, CA 4/04

McGrew, MC, Solan B, Hoff C. "A Field Faculty Development Program for Community Preceptors." Society of Teachers of Academic Medicine Predoctoral Conference, New Orleans, LA 1/03

McGrew M. "Scholarship in Teaching". AAMC Western Group on Educational Affairs. Asilomar, CA 4/00

McGrew MC, Kaufman H, Small L, Terry T, Skipper B. "The Effect of Literacy on Breastfeeding Outcomes." "Poster Session at the Academy of Breastfeeding Medicine." Dan Diego, CA 10/99

Other Works:

7/27-8/5 1992	Wellstart, "Lactation Management Education Program" This program is funded by the Dept. of Health and Human Services
10/19-24 1992	Bureau of Maternal And Child Health through PHS Training Grant No. MCJ 067021
1999-2000	"Common Breastfeeding Problems" Development of a Section of a National CME Program for the Academy of Breastfeeding Medicine 2001.
1999	"Inpatient Teaching" Video development and Production for Teacher and Educational Development with Ben Daitz, MD, Richard Rubin, MD and Stewart Mennin, Ph.D

Current/Past Grant and Contract Funding:

"Integration of Public Health, Health Policy & Advocacy into Family Medicine Undergraduate Education", Martha Cole McGrew, M.D. (.10 FTE) Department of Health and Human Services, Bureau of Health Professions, 2007-10, \$572,418.

"Field Faculty Development for Community Preceptors", Martha Cole McGrew, M.D. (.30 FTE) Department of Health and Human Services, Bureau of Health Professions, 2001-04, \$557,271.

"Correlation Between Level of Functional Health Literacy and Diabetes Control" (no funding for faculty) Martha Cole McGrew, M.D. Frost Foundation, 2000-01, \$1000.

"Evaluation of Functional Health Literacy in a University Hospital's Primary Care Clinics" Martha Cole McGrew, M.D. (no funding for PI) Edwards Foundation, 1999-2000, \$4,500.

"Factors Influencing Initiation and Continuation of Breastfeeding in Working Mothers," Martha Cole McGrew, M.D. (no funding for PI) American Academy of Family Physicians Board/Foundation, 4/99 - 3/00, \$20,000.

"Challenges for the Future: Undergraduate Training in Family Medicine," Martha Cole McGrew, M.D. (.20 FTE) Department of Health and Human Services, Bureau of Health Professions, 1996-99, \$333,000.

"Changes for the Future: Undergraduate Training in Family Medicine," Martha Cole McGrew, M.D. (.30 FTE) Department of Health and Human Services, Bureau of Health Professions, 1993-1996, \$360,000.

Submitted/Not Funded:

Health Resources and Services Administration

HRSA Faculty Development Grant- competing continuation for Field Faculty Development, 2005.

"Using ECHO for Community-based Family Medicine Faculty Development-Bridging the Distance," Martha Cole Mcgrew, M.D. (.15FTE) Department of Health and Human Services, Bureau of Health Professions, 11/08, \$983,230. Research Allocation Committee Grant- Intimate Partner Violence Screening in Primary Care, 2005.

Consultations:

1/10 - 1/11/08	The Integration of Problem-Based Learning into the Physician Assistant Program and Problem-Based Learning Facilitator Training. Child Health Associate/Physician Assistant Program. University of Colorado, Department of Pediatrics. Denver, CO.
3/10-3/17/07	Curriculum Development, Problem-Based Learning Effective Presentations. Peking Medical University Beijing, China
8/27 - 9/4/05	Problem-Based Learning and Case Writing in Medical Education. University of San Carlos, Quetzaltenango Branch Quetzaltenango, Guatemala.
7/21/04	Small Group Learning Louisiana State University Health Sciences Center. Shreveport, LA.
2/19 - 3/4/01	Problem-Based Learning and Case Writing in Medical Education Kathmandu University Duhlikeil, Nepal.
3/3 - 3/5/99	The Integration of Problem Based Learning Into the Dental School Curriculum. PBL Facilitator Workshop & Case Development Workshop. Indiana University, Purdue University Indiana School of Dentistry. Indianapolis, IN.
6/29 – 7/3/98	The Integration of Problem Based Learning Into the Medical School Curriculum. PBL Facilitator Workshop & Case Development Workshop. UMDNJ – New Jersey Medical School Newark, New Jersey.

2/4 - 2/6/98The Integration of Problem Based Learning Into the
Medical School Curriculum. PBL Facilitator Workshop
& Case Development Workshop.
University of California Sacramento.
Davis, CA.

Mentoring in Research and Scholarly Activity:

Undergraduate Medical Students:

- 1. Cassandra Moore
- 2. Denise Lin and Paymon Kayhani
- 3. Holly Kaufman and Toni Terry
- 4. David Seder
- 5. Molly Duncan and Genievieve Santillanes
- 6. Katherine Bullard and Gloria Garcia
- 7. Stephanie Julian

<u>Faculty:</u>

- 1. Tiffany Snyder, M.D.
- 2. Toby Palley, M.D.

Classroom and Tutoring:

Lecturer:

2009 - Present:	Overview of Health Policy, Family Medicine Clerkship (6x/yr)
2000 - Present:	Immunology of Breastfeeding – Multiple presentations
2009 - Present:	"Martha's Web" Using the Socioecological Model to Assess Patients in Your Practice. (6x/yr)
1994 – 2008, 2012 – Present	Lactation and Breastfeeding Anatomy and Physiology – UNM-SOM Phase I
2000 – Present	Lactation and Breastfeeding Anatomy and Physiology – UNM-SOM College of Nursing

2011 - 2012	Using the Genogram in Clinical Practice – Family Medicine Clerkship
2011 - 2012	Creating a Causal Web in Understanding Patient Risks

Small Group Facilitator/Teacher:

"Health Equity" 2009, 2016
"Healers Art" 2004 x 2, 2006 X 1
"Contraceptives" 2000, 01, 02
"Substance Abuse" 1993
"Clinical Sciences II" 1992, 1993
"Psychopathology" 1992
"Basics of Human Behavior" 1992
"Introduction to the Patient" 1991, 1992
"Interpersonal Communication and the Clinical Interview" 1991, 1992
"Primary Care and its Social Dimensions" 1990, 1991, 1992

Tutor:

Phase II:	Principals of Public Health 2009
	Family Practice Clerkship 1994 x 2, 1995, 1996
Phase I:	Human Structure, Function & Development 2002, 2006, 2007
	Molecular Genetics 1994, 1997
	Musculoskeletal 1994, 1996
	Reproductive Biology 1994, 1997, 1999 2003, 2004
	Renal 2003, 2004
	Cardiovascular/Pulmonary/Heme 1994, 2000
	Foundations 1996, 2000, 2001
	Clinical Skills 2002
	Perspectives in Medicine 2002, 2005, 2006

Resident Teaching:

2000 - 2016	Maternal Child Health Attending
1993 - Present	Labor and Delivery Attending for Family Practice Residents
1991 - 2008	Newborn Nursery Attending
1990 – Present	Family Practice Ambulatory Preceptor
1990 - 1997	Family Practice Intern Month (various topics including Prenatal Care, Neonatal Resuscitation Program, Advanced Life Support in Obstetrics
1990 - Present	Family Practice Grand Rounds (various topics including Contraception, Breastfeeding Issues, Substance Exposed Newborns, Intrauterine devices)
1990 - 1995	Family Practice Inpatient Attending

Continuing Medical Education (taught):

2009	Basic Life Support
2009	Neonatal Resuscitation Program
2009	Advanced Life Support in Obstetrics
1995 - 2004	"Teacher Improvement Project Systems (Lecture Improvement), 2 times per year
1996 - 2004	"Outpatient Teaching: Practical Strategies to Improve Teaching in a Busy Development, 2 times per year
1994 - 2014	"Problem Based Learning- Tutor Training" University of New Mexico Health Sciences Center, Division of Educational Research and Development, 3 times per year

1998 - 2000	Co-director, Advances in Primary Care. CME Course with Internal Medicine for Primary Care Providers.
1994 - 2000	"Options in Health Sciences Education," University of New Mexico Health Sciences Center, Division of Educational Research and Development, yearly
1998 - 2000	Advanced Life Support in Obstetrics (ALSO)
2000 - 2001	Neonatal Resuscitation Provider Course
2001	"Inpatient Teaching" Northern New Mexico Family Practice Residency Program. Santa Fe, NM
April, 2004	Using PRIME for Learner Evaluation
Jan., 2004	"A Slice of the PIE," Las Cruces, NM
Sept., 2003	EBM on Preceptors
May, 2003	"A Slice of the PIE", Albuquerque, NM
Oct., 2002	Clinical Teaching in the 21 st Century, Albuquerque, NM
June, 2002	Teaching on the Outpatient Setting and Introduction to RIME, Las Cruces, NM

Curriculum Development and Educational Administrative Positions: University of New Mexico School of Medicine

2006 - 2009	Director of PBL Tutor Training
2006 - 2009	Chair, Tutorial Steering Committee (tasked with developing recommendations for the revitalization of Problem Based Learning.)
2006 - 2008	Family Medicine Interim Clerkship Director
2003 - 2006	Course Director, Phase III Required Comprehensive Ambulatory Care Rotation
2004 - 2007	Chair, Family Medicine Residency Competency Committee

2004 - 2005	Chair, FCM Behavioral Scientist Search Committee
2003 - 2005	Phase III Required Comprehensive Ambulatory Care Rotation, Course Director
2002 - 2008	Vice Chair for Education, Family and Community Medicine
2000 - 2003	Associate Director, Teacher and Educational Development
1998 - 2003	Chair, Education Council-elected chair of committee charged with developing and reviewing educational policy
1998 - 1999	Interim Director Family Practice Residency University of New Mexico School of Medicine
1997 - 2002	Director of Education, Family and Community Medicine
1993 - 1995	Family Practice Clerkship Director- developed and implemented the curriculum and evaluation for the clerkship
1991 - 1995	Director, Undergraduate Education Department of Family & Community Medicine
1990 - 1993	Director Clinical Skills Primary Care Curriculum

Educational Committees:

UNM-SOM:	
2007 - 2010	Curriculum Committee: Tutorial Steering Committee
2001 - 2003	Undergraduate Medical Education Committee- University of New Mexico School of Medicine
2001	Liaison Committee on Medical Education-Self Study 1.Undergraduate Education 2.Faculty

1999	Dean's Ad Hoc Committee on Governance- to clarify the governance structure of the School of Medicine
1997 - 2007	Education Council- elected member of committee charging with developing and reviewing educational policy of the School of Medicine
1995 - 2002	Tutorial Narrative Editorial Board- formatively reviews all tutorial narratives with feedback to author
1995 - 2000	Edwards Family Endowment for Communication Skills Advisory Board- provide Input on the use of monies from the endowment
1995	Dean's Ad Hoc Committee on Tenure and Promotion Policy-review the promotion policies for the School of Medicine
1994-95,99, 2005	Curriculum Integrating Group- committee charged with implementing the policies of the School of Medicine
1993 - 1995	Committee on Student Promotions and Evaluations- committee charged with reviewing student evaluations and implementing the promotions policies of the School of Medicine
1993 - Present	Human Sexuality and Reproductive Biology Organ System Block Planning Group- designing and implementing the curriculum for this educational block.
1992 - 1995	Admissions Committee School of Medicine

Faculty Mentees:

Tiffany Snyder, MD	Eve Espey, MD
Isabel Lopez-Colberg, MD	Elizabeth Grant, MD
Toby Palley, MD	Ben Hoffman, MD
Sally Bachofer, MD	Denise Menton, MD
Valerie Romero-Leggott, MD	Jennifer Phillips, MD
John Leggott, MD	Lana Wagner, M.D.
Nick Andrews, MD	Steve Mitchell, M.D.
Lana Melendres, MD	Felisha Rohan-Minjares, M.D.

Karissa Culbreath, M.D.

Resident Mentees:

Leena Cherikuri	David Kilgore, MD
Angela Gallegos-Macias, MD	Jody Casados, MD
Rex Baker, MD	Jen Lasman, M.D.

Community Service:

2009 - 2012	Rector's Warden, St. Michaels and All Angels Episcopal Church
2007 - 2009	St. Michael's and All Angels-Food Pantry Clinic – Organizer & volunteer with medical students
2006 - 2007	Parent Representative to the Amigos de las Americas Board
2001 - 2006	Serendipity Day School, Board Member
1998 - 2000	Maternity Centers of America – Board Member
1993 - 2000	La Leche League Medical Associate

NYI CONTROLLER ADMINISTRATION

MEMORANDUM

DATE: October 30, 2017

TO: David W. Harris Executive Vice President

FROM: Elizabeth Metzger, CPA

RE: One (1) Action Item for Board of Regents' Finance & Facilities Committee Meeting

(Action Item)

The New Mexico Higher Education Department, Institutional Finance Division, Quarterly Financial Actions Report and Certification through September 30, 2017 needs to be approved at the November 3, 2017 Finance & Facilities Committee meeting.

New Mexico Higher Education Department Institutional Finance Division **Quarterly Financial Certification Report Template**

Please complete and sign the following Financial Certification Report and submit with the Quarterly Financial Actions Report.

To the best of my knowledge, I certify that the information provided in the attached Financial Actions Report for the:

1st X 2nd 3rd 4th Quarter, FY 2018

is correct as of the signature dates noted below, and that

The University of New Mexico

has a functioning financial accounting system that captures assets, liabilities, revenues, and expenditures on a timely basis, and the Governing Board receives timely notification of any significant actual or projected variances between budgeted and actual revenues and expenditures.

Marron Lee, Chair, Board of Regents-F&F

Chaouki Abdallah, Interim President

David Harris, EVP for Administration, COO, and CFO

Date

Date

Date

University	of New Me	xico	
Quarterly Fir	nancial Actions Repo	ort	
Fiscal year 2018		Date	10/25/2017
Period (check one) Quarter 1 X Quarter 2	Quarter 3	Quarter 4	
During the period of time covered by this report;	did your institution:		
(1) Request an advance of state subsidy?	Yes	No	X
(2) Fail to make its required payments, as scheduled, to appropriate retirement system(s)?	Yes	No	X
(3) Fail to make its payroll payments, as scheduled?	Yes	No	X
(4) Fail to make its scheduled debt service payments?	Yes	No	X
(5) Fail to make payments to vendors, as scheduled, due to a cash deficiency or a substantial deficiency in the payment processing system?	Yes	No	X
(6) Relative to the original fiscal year budget, experience any significant actual or anticipated financial changes that are not reflected in a submitted Budget Adjustment Request (BAR). Significant financial changes refers to fiscal activity that will result in a substantially reduced year-end fund balance or any increase in a fund balance deficit.	Yes	X No	
If the answer to any of the above questions is "Yes," (i) the reason for the occurrence, (ii) the actions taken by your institution to reso (iii) the actions taken by your institution to pre	lve this particular occur	rence, and	

institution's planned year-end financial position. (See attached.)

University of New Mexico Quarterly Financial Actions Report Fiscal Year 2018, End of Quarter 1

Additional information for "Yes" answer to Question (6)

Nature of Financial Changes not yet reflected in a BAR:

The enrollment for Fall 2017 is down 3.85% in student credit hours and 2.89% in headcount from projected, resulting in a reduction of \$2.4M in tuition and \$1.1M in fees from the projection used to prepare the FY18 budget.

Additionally, the athletics football and basketball season ticket sales are currently undergoing careful review and analysis regarding whether the projection numbers used for the FY18 athletics budget will be realized. The decrease in enrollment will also reduce the actual amount of student fees that will be allocated to athletics in fiscal year 18.

Management is currently meeting to realign the budgets for the reduction in enrollment, and the potential under realized revenues in athletics. Revised budgets will be prepared with debt realignment for the athletics department.



University Services

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University Services Business Operations UNM Surplus Property UnivServ Shipping and Receiving UNM Mailing Systems UNM Records Management http://www.unm.edu/~univserv/

Date:	September 26, 2017
To:	Bruce Cherrin, Chief Procurement Officer Purchasing Department
From:	Marcos Roybal – Manager, Administrative Operations University Services
Subject:	Surplus Property Disposition – September 2017

Attached for your review and submission to the Board of Regents are the Surplus Property Disposition Detail list for the month of September 2017.

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 – Disposition of Surplus Property September 2017



Board of Regents' Finance & Facilities Committee

Memo	Asset Tag	Department	Description	Manufacturer	Purchased	Total Cost (\$)	NBV (\$)	Disposal Method
2	243926	Cancer Research Treatment Ctr	ANALYZER	PeAppBiosy	2000	\$55,000.00	\$0.00	Obsolete
1	N00013119	Athletics Mens Basketball	Copier	Ricoh	2007	\$17,020.00	\$0.00	Obsolete
2	235681	Cancer Research Treatment Ctr CRTC	AMP GENE	Biosys	1999	\$11,911.00	\$0.00	Obsolete
	209135	Cancer Research Treatment Ctr CRTC Cancer Research Treatment Ctr CRTC Art Art History Gen Admin	GENE AMP PCR SYSTEM	PerkinElme	1995	\$9,995.00	\$0.00	Obsolete
	218809		GENE AMP PCR SYSTEM	PerkinElme	1996	\$9,118.00	\$0.00	Obsolete
	N00018129		Copier	AlbDupSup	2008	\$7,995.00	\$0.00	Obsolete
	260290	Center for High Tech Materials CHTM	AMPLIFIER LOCK-IN	Stanford	2003	\$7,656.00	\$0.00	Obsolete
	242408	Cancer Research Treatment Ctr CRTC	GENE AMP PCR SYSTEM	PerkinElme	2000	\$7,256.00	\$0.00	Obsolete
	256249	Valencia County Branch	ETHERNET SWITCH	CDWGov	2002	\$5,899.00	\$0.00	Obsolete
200	265002	Valencia County Branch	NETWORKING SWITCH	Cisco	2004	\$5,758.00	\$0.00	Obsolete
	182329	Center for High Tech Materials CHTM	CABINET GAS	CVD	1987	\$5,296.00	\$0.00	Cannibalized
						Total Asset Dis	position (#)	11
						Total Capito	alization (\$)	\$142,904.00
						Total Net Boo	ok Value (\$)	\$0.00



University Services



Memorandum

To: Whom It May Concern From: Paul Weir p ↓ Date: 8/21/2017 Re: Request for Disposal

The Athletic Department/Men's Basketball would like to dispose of a Richo Aticio printer that his been in storage for the last three years.

It is my understanding that the printer does not work and was moved to storage after a new printer was obtained from Document Solutions, Inc, through a lease agreement with Lobo Sports Properties.

The Ricoh printer is Model Aticio MPC4500, UNM ID N00013119.

Thank you for your attention in the matter.

Asset	Description	Acq. Cost	NBV	Date	
N00013119	Copier	\$17,020.00	0.00	2007	

Memo #2

To: Surplus Department

From: Sarah Martinez Associate Scientist (505)-272-6037 Cancer Research Facility Rm. 109 University of New Mexico 2325 Camino de Salud Albuquerque, NM 87131

Date: August 7, 2017

Re: Surplus of Lab Equipment

The assets listed below are being requested for surplus because they are either outdated or inoperable. Please see the details below for each item.

UNM Tag #235681 (Acquisition cost \$11,911): PCR System - Manufactured by Applied Biosystems Model 9700; Serial #805S8120285. This asset is an inoperable and outdated PCR System. It is unable to be fixed or refurbished.

UNM Tag#243926 (Acquisition cost \$55,000): Genetic Analyzer with attached computer -Manufactured by Perkin Elmer Model 310-3; Serial# 100001313. This asset is an outdated Genetic Analyzer including the computer that is used to operate the system. The analyzer is operable but outdated and obsolete for our use. The computer is also outdated and cannot be updated to be used with the system any longer.

April Had Rach Admin review for confirmation. Approved by CC Rsch.

Asset	
235681	
243926	

Description Amp Gene Analyzer

Acq. Cost \$11,911.00 \$55,000.00

Date 1999 2000

NBV

0.00

0.00

New Mexico Compilation Commission

13-6-1. Disposition of obsolete, worn-out or unusable tangible personal property.

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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.

100

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.



University Services

University Services Business Operations UNM Surplus Property UnivServ Shipping and Receiving UNM Mailing Systems UNM Records Management http://www.unm.edu/~univserv/

Date:	October 24, 2017
То:	Bruce Cherrin, Chief Procurement Officer Purchasing Department
From:	Marcos Roybal – Manager, Administrative Operations University Services Min Mull.
Subject:	Surplus Property Disposition – October 2017

Attached for your review and submission to the Board of Regents are the Surplus Property Disposition Detail list for the month of October 2017.

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 – Disposition of Surplus Property October 2017



Board of Regents' Finance & Facilities Committee

	Surplus Property Disposition - October FY18								
Memo	Asset Tag	Department	Description	Manufacturer	Purchased	Total Cost (\$)	NBV (\$)	Disposal Method	
7	240342	Gallup Auto Repair Non Collision	TRAINER MULTI PURPOS	Ford	2000	\$75,048.00	\$0.00	Too Costly to Repai	
1	N00018424	Center for High Tech Materials CHTM	Non-invasive alcohol testing	TruTouch	2008	\$28,333.34	\$0.00	Obsolete	
4	210338	Biology Department	TEMP TEST CHAMBER	Conviron	1996	\$16,062.00	\$0.00	Too Costly to Repai	
1	181793	Center for High Tech Materials CHTM	RECEIVER SATELITE	Sony	1987	\$15,750.00	\$0.00	Obsolete	
2	N0000067	Student Health and Counseling	Hematology Analyzer	Beckman	2004	\$14,950.00	\$0.00	Beyond Repair	
3	193709	Neurosciences	CRYOSTAT	Harris	1991	\$13,299.00	\$0.00	Beyond Repair	
6	N00016857	UNM Mailing Systems	Envelope Address Printer	PitneyBowe	2008	\$12,175.00	\$811.48	Obsolete	
5	N00020035	IM Epidemiology Gen Admin	GC SYSTEM	MIsTech	2009	\$10,100.00	\$0.00	Beyond Repair	
	N00012957	KUNM Administration	Server	Dell	2007	\$9,149.80	\$0.00	Obsolete	
	182962	Neurosciences	MICROTOME/CRYOSTAT	Harris	1988	\$7,776.00	\$0.00	Beyond Repair	
	99393	KNME Operations	MICROWAVE TRANSMITTR	Microwave	1975	\$7,507.00	\$0.00	Obsolete	
	99397	KNME Operations	MICROWAVE RECEIVER	Microwave	1975	\$7,242.00	\$0.00	Obsolete	
	238427	KNME Operations	MONITOR	Videotek	1999	\$7,171.00	\$0.00	Obsolete	
	256371	Pediatrics Occupational Therapy	PROJECTOR	Toshiba	2002	\$7,120.00	\$0.00	Obsolete	
	N00039251	AS Biology Gen Admin Chair	Shaker/Bench 120VAnalog	VWR	2012	\$6,949.41	\$2,151.07	Obsolete	
3	219902	Center for High Tech Materials CHTM	COMPRESSOR	Austin	1996	\$6,648.00	\$0.00	Obsolete	
	N00012197	E PS General Administrative	Multimedia projector	Mitsubishi	2007	\$6,360.27	\$0.00	Too Costly to Repai	



University Services

Board of Regents' Finance & Facilities Committee

Viemo	Asset Tag	Department	Description	Manufacturer	Purchased	Total Cost (\$)	NBV (\$)	Disposal Method
	252897	Center for High Tech Materials CHTM	POLARIMETER	Thor	2001	\$6,231.00	\$0.00	Obsolete
	N00007952	KNME PI #5	Equipment, Audio/Visual	Videotek	2006	\$5,890.44	\$0.00	Obsolete
	N00020784 HSC CIO Office	Server/PowerEdge 2950	Dell	2009	\$5,888.96	\$0.00	Obsolete	
	N00012196	E PS General Administrative	Multimedia Projector	Mitsubishi	2007	\$5,326.19	\$0.00	Too Costly to Repai
105	231378	Health Exercise & Sports Science	METER	HilTech	1998	\$5,325.00	\$0.00	Obsolete
	197841	KNME Operations	SYNCHRONIZER	Videotek	1993	\$5,161.00	\$0.00	Obsolete
	N00004583	Pediatrics Occupational Therapy	LUMEN PROJECTOR	SonyProf	2005	\$5,126.43	\$0.00	Obsolete
	218377	Center for High Tech Materials CHTM	INTERFEROMETER	HewlettPac	1996	\$5,083.00	\$0.00	Obsolete
	267091	KNME Operations	RECEIVER SATELITE	UNKNOWN	2004	\$5,052.00	\$251.89	Obsolete
	264178	AVP of CEOP	PRINTER POSTER	UNKNOWN	2003	\$5,030.00	\$0.00	Too Costly to Repai
1.14				A CARLEN		Total Asset Dis	Disposition (#)	27
						Total Capit	alization (\$)	\$305,754.84
					R. M. S. S. S.	Total Net Bo	ok Value (\$)	\$3,214.44



University Services

CENTER for HIGH TECHNOLOGY MATERIALS

To: University Services From: Veronica Graven, CHTM Date: August 17th, 2017

To whom it may concern,

I am writing to request the disposal of a Non-invasive alcohol testing instrument; UNM asset number: N00018424. This item has not been used by any member of the staff or faculty at CHTM for nearly 5 years and is no longer contributing to any research purposes that the faculty is pursuing.

I would also like to dispose of UNM asset: 181793. This asset is extremely dated and is no longer being utilized for research due to the fact that it is nearly 30 years old. Now we have computer programs to trace even more exact curves and this instrument is no longer needed.

For this reason, I'd like to have this asset disposed of. If you have any questions, please contact me at <u>vgraven@unm.edu</u>. Thank you,

Veronica Graven

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Asset	Description	Acq. Cost	NBV	Date	
N00018424	Alcohol Testing Instrument	\$28,333.34	0.00	2008	
181793	Curve Tracer	\$15,750.00	0.00	1987	

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amounts is some as a MAR In-

(1) TODE CAN REPAIR SOLVATION INTERACT.

UNIX DIVISION of STUDENT AFFAIRS

Student Health & Counseling (SHAC)

Memorandum

To: UNM Surplus

From: Mayra Vazquez

Date: May 9, 2017

Re: Beckman Coutler Hematology Analyzer Asset tag # N00000067

I am writing for authorization to dispose of the above equipment. The equipment is obsolete and was purchased on 8/27/2004 and has been replaced with a new unit, the new asset tag is N00057002.

Respectfully,

Mayral azor

Mayra Vazquez Associate Director, Student Health & Counseling

Asset N00000067 Description Hematology Analyzer Acq. Cost \$14,950.00

NBV

0.00

Date 2004

Memo #3



Explanatory Memo

July 24th 2017

To: Inventory Control

From: Department of Neurosciences ORG 993A, 993B00, 993B09,993B11, 993B12, 993B16, 993B18, 993C.

The department of Neurosciences is requesting that surplus property dispose of asset 193709 (S/N: PA-35591-K), a Cryostat. This device was purchased many decades ago, and no longer functions. Can you please dispose of this device in accordance with UNM Policy?

If you have any questions please contact Michael Riblett at 272-8805.

Daniel D Savage Phd., Department Chair, SoM Neurosciences

Asset	Description	Acq. Cost	NBV	Date
193709	Cryostat	\$13,299.00	0.00	1991

Memo #4



Department of Biology

October 11, 2017

Hi Bruce,

Asset number 210338, the Conviron E15 chamber in the back of Rm 189, has had unrepairable lights for several years (more expensive to replace than a new unit). I recently tried using it with separate LED lights and have found that the cooling system is also broken. Therefore, I would like to have it removed from my asset list so we can dispose of it as soon as possible. I think it will need to have freon removed by a certified person, as well as having it disconnected from the electricity. I expect that it will have to be disassembled to be removed and that will likely prevent re-assembly.

David T. Hanson Professor UNM Biology, Castetter Hall 1480 MSC03-2020, 219 Yale Blvd NE 1 University of New Mexico Albuquerque, NM 87131-0001

Phone: (505) 277-6681 Fax: (505) 277-0304 E-mail: dthanson@unm.edu

William Pockman, Chair

10/11/17

Asset Description Acq. Cost NBV Date 210338 Temperature Test Chamber \$16,062.00 0.00 1996

The University of New Mexico • MSC03 2020 • 1 University of New Mexico • Albuquerque, NM 87131-0001 • Phone 505.277.3411 • Fax 505.277-0304 • www.unm.edu Department of Biology • 167 Castetter Hall



DEPARTMENT OF INTERNAL MEDICINE Epidemiology, Biostatistics and Preventive Medicine

October 11, 2017

University Services UNM Surplus Property 1127 University NE MSC07 4050 1 University of New Mexico Albuquerque, NM 87102

Re: Surplus Gas Chromatograph System, Asset #N00020035

We would like to surplus the Mis Tech GC System purchased by our division over eight years ago at a cost of \$10,100. The lab in Surge, Bldg. 226, Rm. 216A has not been functional for 2 ½ years. The equipment is obsolete and not serviceable by vendors. We will not be using it any longer.

Sincerely,

10-11-17

Kimberly Page, PhD, MPH Date Chief, Division of Epidemiology, Biostatistics and Preventive Medicine

> Asset N00020035

Description GC System Acq. Cost \$10,100.00 NBV 0.00 Date 2009



Memorandum

To: UNM University Services

From: Tonya Rintala, Operations Manager UNM Mailing Systems



Date: October 18, 2017

Subject: UNM Asset # N00016857 - Request for disposal of asset

This memo is to request disposal of a Pitney Bowes DA 7S Address Right Printer, serial # DRL65113 purchased in 2008, and UNM asset tag # N00016857 with an original cost of \$12,175. The technology on these printers have improved since 2008 and this model is obsolete.

We have upgraded our address printing software and hardware on another machine and this asset is no longer needed.

Please surplus this item and remove from Org Code 032I inventory.

Thank you.

Asset Description Acq. Cost NBV Date N00016857 High Speed Envelope \$12,175.00 811.48 2008 Address Printer



August 28, 2017

University of New Mexico University Services Surplus Property Albuquerque, NM 87131

To Whom It May Concern

Technology associated with asset #240342 Ford Escort trainer is outdated. From the information I gathered off the VIN#, the half car was produced in 1998. That's nearly 20 years ago, technology in today's market has since changed and has become more electric sensor technological based. Also, space in the auto tech shop is very limited to house the trainer as it will be constantly in the way of lab related activities. I have yet to see any instructor, today or in the past dating 7 years use the trainer for demonstration. We need to make equipment upgrades to stay current in the automotive industry and become more state-of-the-art for effective training.

If you have an additional questions, please Lorretta Notah or Ernesto Watchman.

Sincerely,

aute

LD Lovett Division Chair

Asset	Description	Acq. Cost	NBV	Date
240342	Trainer Multi Purpose	\$75,048.00	0.00	2000

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.

Request to increase the number of members of the Harwood Foundation Governing Board

In May, 2007 the Board of Regents ("the Regents") adopted resolutions (the "Delegation Resolution") delegating to the Governing Board of the Harwood Foundation of the University of New Mexico ("Harwood Governing Board") certain responsibility for the governance, oversight, management and operation of the Harwood Foundation of the University of New Mexico ("Harwood Museum").

The Delegation Resolution provides that the Regents shall appoint the nine (9) members of the Harwood Governing Board, including six (6) members appointed based on recommendations of the Harwood Governing Board.

In the 10 years since the Harwood Governing Board was founded, the Harwood Museum has grown, evolved and substantially expanded. The museum's galleries, performance space, storage and archive facilities have increased by 11,000 square feet, and the educational components continue to develop great connections to the Taos schools and community. In 2017, the museum achieved accreditation by The American Alliance of Museums, the highest assessment of distinction in the museum field.

To meet the needs of the evolving Harwood Museum, our local Governing Board members engage in a wide range of very active roles.

The Harwood Governing Board can greatly benefit from having additional actively involved board members serving as Harwood Museum ambassadors and friend-raisers. Enlarging the board would increase outreach and enable the board to better connect to our diverse Northern New Mexico community.

The Harwood Museum is currently planning to launch a fund raising campaign to celebrate the Harwood Museum's 100th year in 2023. This is a truly unique opportunity for the development and celebration of the Harwood Museum. For this prospect, the Harwood Governing Board envisions bringing in additional fully engaged board members to achieve the goals of the campaign.

The Harwood Board respectfully requests that the Board of Regents consider increasing the number of members of the Harwood Foundation Governing Board from nine (9) members to a maximum of fifteen (15) members.

Alexandra Benjamin, Chair Harwood Governing Board The Harwood Museum 238 Ledoux Street Taos, NM 87571 (575) 770-1293 alx@newmex.com



UAP 7000 CATEGORIZATION OF RESERVES

RECAP

FRIDAY NOVEMBER 3, 2017

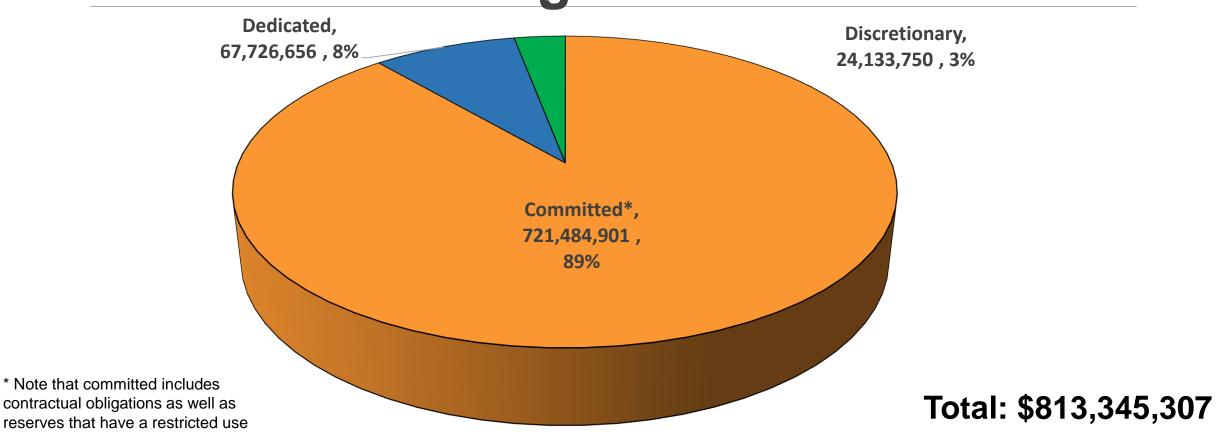
F&F COMMITTEE

The Importance of University Reserves

- University Reserves provide liquidity which is a foundational element of the University Bond Rating.
- The University uses reserves to mitigate unplanned budget reductions, adapt to changes and challenges such as health care reform or enrollment reductions, and to invest in mission critical initiatives.
- Reserves are non-recurring resources used as a bridge to avoid actions that damage our mission, such as un-planned layoffs, cuts in student or community services, or lapses in infrastructure maintenance.
- •Cash reserves are necessary because research and clinical care are cost reimbursable and universities do not have access to unsecured commercial lines of credit to bridge timing gaps between collecting revenues and operating expenditures.



UNM FY 17 Main, HSC, Branches and Hospital Ending Reserves





FY17 Total Ending Reserves by Campus

Total Reserves Reconciliation	Committed *	Dedicated	Discretionary	Total Reserves
Main Campus Operations	70,072,590	6,842,533	8,015,391	84,930,513
HSC Operations	37,057,753	20,916,027	3,022,204	60,995,984
Branch Operations	2,991,472	4,476,068	8,449,198	15,916,737
Subtotal Campus Operations	110,121,814	32,234,628	19,486,793	161,843,235
Hospital Capital Initiatives	202,538,207	0	0	202,538,207
Main Campus Plant	147,067,169	23,278,901	3,982,581	174,328,651
HSC Plant	34,476,573	3,453,537	41,773	37,971,883
Branch Plant	5,708,250	8,759,590	622,603	15,090,443
Subtotal Plant	389,790,200	35,492,028	4,646,957	429,929,185
Hospital Operations	221,572,887	0	0	221,572,887
Grand Total	\$721,484,901	\$67,726,656	\$24,133,750	\$813,345,307

* Note that committed includes contractual obligations as well as reserves that have a restricted use



FY 18 Main Campus Proposal

Main Campus-DRAFT PROPOSAL	FY 2018
Operating Discretionary	\$8,015,391
Plant Disretionary	\$3,982,581
Total Discretionary Reserves	\$11,997,972
Add: Amount categorized as committed toward FY18 tuition shortfall	\$2,000,000
Total Available	\$13,997,972
Unfunded Initiatives:/Expenses/Activities:	
Academic Affairs FY 18 Shortfall (1)	900,000
FY18 Current Estimated I&G Budget Shortfall (2)	1,414,000
Innovate ABQ Funding (3)	520,000
Athletics Estimated Shortfall (4)	1,300,000
Total	4,134,000
Ending Available Reserves	\$9,863,972

(2) Of the \$2.4m total FY 18 tuition shortfall , propose \$1.414m from reserves and net from one-time revenue sources

(3) Meet Debt Obligation

(4) Estimated shortfall due to increased fixed costs and lower game attendance



Thank you!

Questions?



Main Campus Budget Recommendation Summary FY 18 Reforecasted Budget (In Thousands)	Use of Reserves and Other One-time Revenue Offsets				
	Fiscal Year 2018 Original	Change	Fiscal Year 2018 Re-Forecasted	% FY 18 Change	
Revenues					
State Appropriations	175,326	0	175,326	0.0%	
Tuition Revenue	135,155	-2,400	132,755	-1.8%	
Mandatory Student Fees	37,737	-1,100	36,637	-2.9%	
Miscellaneous Revenues and Transfers (1)	-10,630	1,150	-9,480	-10.8%	
One-Time Use of I&G Central Reserve	0	1,414	1,414	N/A	
Subtotal Revenues	337,588	-936	336,652	-0.3%	
Health Sciences Center Transfer	-16,594	-164	-16,758	1.0%	
Total Sources of Funds	320,994	-1,100	319,894	-0.3%	
Use of Funds					
Base-President/Administration	7,215	0	7,215	0.0%	
Base-Academic Affairs	164,409	0	164,409	0.0%	
Base-EVP for Administration	41,203	0	41,203	0.0%	
Base-Must Funds (Fringes, Insurance, etc.)	53,246	0	53,246	0.0%	
Base-Utilities	17,185	0	17,185	0.0%	
Subtotal Bases	283,257	0	283,257	0.0%	
Mandatory Student Fees (2)	37,737	-1,100	36,637	-2.9%	
Total Use of Funds	320,994	-1,100	319,894	-0.3%	
Balance	0	0	0		

(1): \$1,150,000 (Reduction of BRR transfer and Estimated Land Income and Interest above budget)

(2): FY18 mandatory student fee reduction would come from mandatory student fee reserves and/or reduction of expenditures.

Note: FY 18 original base budgets includes \$1m use of reserves. \$1m use of reserves is budgeted at the VP level

	FY 2016	FY 2017	FY 2018	change	change %
Base-President/Administration	7,515	7,317	7,215	-300	-4.0%
Base-Academic Affairs	174,975	171,716	164,409	-10,566	-6.0%
Base-EVP for Administration	44,026	43,046	41,203	-2,823	-6.4%
Base-Must Funds (Fringes, Insurance, etc.)	53,906	53,909	53,246	-661	-1.2%
Base-Utilities	17,077	17,185	17,185	108	0.6%
Total I&G Base Budget	297,499	293,173	283,257	-14,242	-4.8%
	FY 2015	FY 2016	FY 2017	change	change %
	FTE	FTE	FTE		
Faculty	1,224	1,207	1,204	-20	-1.67%
Staff	1,644	1,643	1,552	-92	-5.58%
GA/TA	487	473	474	-13	-2.71%
Students	188	189	179	-9	-4.96%

3,544

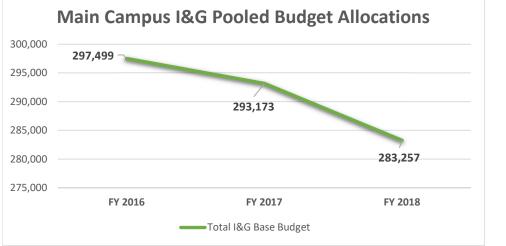
3,512

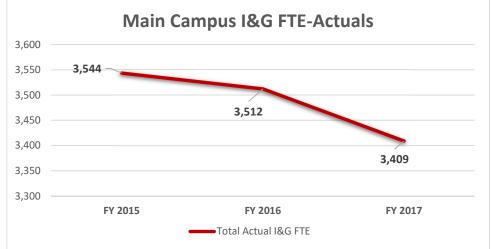
3,409

-135

-3.80%

Total Actual I&G FTE





The Harwood Museum Alliance, Inc.

- The Harwood Museum Alliance was formed as a 501c3 in 1995 to encourage public support of and to raise funds for the benefit of the Harwood Museum, through membership programs and other activities agreed upon between the Alliance and the Harwood Board.
- In 2007 the Alliance Board signed a Memorandum of Agreement with the UNM Board of Regents. This agreement charged the Harwood Governing Board to supervise the activities of the Harwood Alliance and report to the Regents concerning its oversite of the Alliance.
- According to the MOU, The Harwood Alliance shall transfer membership dues and all gift funds to the University for the benefit of the Harwood Alliance less approved budgeted expenses on at least a quarterly basis. The Alliance makes quarterly payments to the Harwood. The event funds are ready to transfer per request from the Museum.
- The Alliance is current on all 990 fillings and with all NM State requirements. Extensions for 2017 have been filed. The current officers are: Linda Warning, President; Dora Dillistone, Vice President, Treasurer; and Genevieve DeVilles, Secretary.
- In the previous years, the Alliance had revenue in the \$50,000 \$60,000 range consisting of membership dues and modest other fundraising income. In 2017, due to two very successful events, the Alliance realized gross income of \$200,000.
- 5.1 of the MOU requires the Alliance to provide the University with an audit by an independent CPA firm if gross income exceeds \$100,000. The State Auditor could require this audit be conducted by the same firm auditing UNM.
- All net funds from these events will be transferred to the Harwood accounts as determined by the Director and Governing Board.
- No local CPA firm in Taos conducts audits, so an outside firm would have to be brought in at a cost of at least \$10,000.
- The Harwood Governing Board and Alliance request a less expensive avenue to satisfy this directive.

4:34 PM 09/28/17 Cash Basis

The Harwood Museum Alliance, Inc. **Balance Sheet**

As of June 30, 2017

	Jun 30, 17
ASSETS Current Assets Checking/Savings US Bank - Checking US Bank - Art Reserves US Bank - Checking - Other	5,289.87 92,806.15
Total US Bank - Checking	98,096.02
Total Checking/Savings	98,096.02
Total Current Assets	98,096.02
TOTAL ASSETS	98,096.02
LIABILITIES & EQUITY Equity Fund Balance Equity Retained Earnings Net Income	36,550.54 -21,607.89 83,153.87
Total Equity	98,096.02
TOTAL LIABILITIES & EQUITY	98,096.02

4:35 PM

09/28/17

Cash Basis

The Harwood Museum Alliance, Inc. Profit & Loss July 2016 through June 2017

	Jul '16 - Jur	17
Ordinary Income/Expense		
Income		
Contributions Income Event Income		
Art of Wine	29,141.87	
Art on Tap	9,151.92 119,375.00	
Bash at the Blake Event Income - Other	225.00	
Total Event Income	157,8	93.79
In-kind Donations	1	63.89
Total Contributions Income		158,057.68
Interest income		15.26
Membership Dues		46,005.50 4,834.15
NM Arts Grant		······
Total Income		208,912.59
Gross Profit		208,912.59
Expense		
Alliance General Operations		
Insurance Liability Insurance	595.00	
Total Insurance		95.00
Total Alliance General Operations		595.00
Gifts for Harwood Operations	2	97.76
Director's Discretionary Acct Exhibitions	25	97.70
Exhibition Openings	800.00	
Total Exhibitions		00.00
Payments for/to Harwood Museum	1	63.74
Quarterly Pmts to Hwd	34,(71 061 50
Total Gifts for Harwood Operations		71,961.50
Membership Expenses Credit Card Fees		
PayPal Fees	207.34	
Credit Card Fees - Other	5,180.25	
Total Credit Card Fees	5.3	87.59
Event Expenses		
Art of Wine	4,480.26	
Art on Tap Bash at the Blake	4,770.00 33,595.30	
Lighting of Ledoux	169.02	
Total Event Expenses	43,0	14.58
Member Only Events	2,4	94.20
Membership Brochures	1.4	60.00
Miscellaneous	/1	41.52
NARM Expense Postage and Shipping	10	75.00 29.83
Total Membership Expenses		53,202.72
Other Expense		0.00
Total Expense		125,759.22
Net Ordinary Income		83,153.37

4:35 PM

09/28/17 Cash Basis

The Harwood Museum Alliance, Inc. Profit & Loss July 2016 through June 2017

	Jul '16 - Jun 17
Other Income/Expense Other Income Pass thru - Income	0.00
Total Other Income	0.00
Net Other Income	0.00
Net Income	B3,153.37

MEMORANDUM OF AGREEMENT BETWEEN THE REGENTS OF THE UNIVERSITY OF NEW MEXICO AND THE HARWOOD ALLIANCE

This Memorandum of Agreement is entered into this <u>Heav</u> of <u>OCOBEN</u> 2007, by and between the Regents of the University of New Mexico (the "Regents" or "University"), a public institution of higher education of the State of New Mexico, on behalf of the Harwood Foundation of the University of New Mexico ("Harwood Museum") and the Harwood Alliance, a New Mexico non-profit corporation established to benefit the Harwood Museum.

RECITALS

WHEREAS, the Museum is owned by and subject to the full authority of the Regents, a body corporate, and by action taken on May 8, 2007, at a duly constituted meeting, the Regents have delegated authority for the governance, management and operations of the Museum to the Governing Board of the Harwood Foundation of the University of New Mexico ("Harwood Board").

Whereas, the Harwood Alliance is organized as a New Mexico non-profit corporation to benefit the Harwood Museum, and has been granted exemption from the federal income tax as an organization described in Section 501(c)(3) of the Internal Revenue Code of 1986 and agrees that it will use all funds raised, contributed or otherwise received by the Harwood Alliance shall be used exclusively to benefit the Harwood Museum and no other organization, profit or nonprofit;

Whereas, the principal and authorized purpose of the Harwood Alliance is to complement, contribute to and support the Harwood Museum, NMSA 1978, §6-5A-1 Requirements for Recovering Funds from Certain Organizations, requires the Board of Regents to enter into a contract with the Harwood Alliance that meets specific requirements as a condition to accepting the transfer of property and funds between the Alliance and the University.

Now, therefore, the University and the Harwood Alliance agree as follows:

1.0 DEVELOPMENT PROGRAMS OF THE HARWOOD ALLIANCE

1.1 The purpose of the Harwood Alliance is to encourage public support of and to raise funds for the benefit of the Harwood Museum, through membership programs and other activities agreed upon between the Alliance and the Harwood Board.

1.2 The Harwood Board has been designated by the UNM Board of Regents to take primary responsibility for raising funds to support the general needs of the Harwood Museum and to supervise the activities of the Harwood Alliance. The Harwood Board has the obligation to report to the Regents regarding its activities, including its oversight of the Harwood Alliance. 1.3 At least annually, the Harwood Board and the Harwood Alliance will agree on fundraising goals, programs and activities that are appropriate for Harwood Alliance financial and volunteer support, and planned levels of financial contribution to be provided to the Harwood Museum.

1.4 The Regents specifically authorized the Harwood Alliance to raise funds to benefit the Harwood Museum through the solicitation of memberships as identified in the By Laws of the Harwood Alliance that provide various incentives to Alliance members, including discounts on Museum admission, gift shop purchases, and access to special shows and events. The Alliance agrees to transfer to the Museum the portion of membership dues in accord with the Alliance's annual budget, as approved, said dues to be transferred at least quarterly. No changes may be made to the current categories of membership and the accompanying discounts and benefits without the approval of the Harwood Board.

1.5 The Harwood Alliance shall not solicit or accept gifts, grants or bequests from any source in a manner or for a purpose that is contrary to law. The acceptance of any gift or donation that requires a matching obligation of the University or creates a future obligation of University resources must first be approved by the University's Development Office and the Harwood Board.

1.6 The Harwood Alliance will participate in the coordinated fundraising activities of the University.

1.7 In order to facilitate the maximum support for the Harwood Museum from private donors, the Harwood Alliance agrees to cooperate and consult with the Harwood Board concerning plans for the solicitation of funds. The Harwood Alliance agrees that it will not commence any fund-raising activity without the approval of the Harwood Board.

2.0 MANAGEMENT OF GIFTS AND DONATIONS

2.1 The Harwood Alliance shall provide the Harwood Board with an annual report which shall include a summary of all programs and activities conducted during the past year, the Harwood Alliance's operating income and expenses for the fiscal year, and a listing of its officers and directors.

2.2 The Harwood Alliance will not accept in-kind permanent gifts such as works of art, real or personal property, library books or real estate, but will refer the potential donor to the Museum Director and the UNM Foundation. Nothing in this section shall prevent the Alliance from soliciting and receiving in-kind gifts from donors in connection with such Alliance-sponsored fund-raising events in which donated items will be sold to benefit the Museum. The Alliance will not solicit or accept gifts of funds intended for the purpose of establishing a permanent endowment, but will refer all such potential endowment donations to the UNM Foundation.

2.3 The Harwood Alliance agrees to deposit all funds received in bank and investment accounts established by the Alliance. Any investments of the Harwood Alliance's funds will be made in compliance with New Mexico's Prudent Person Rule, Section 6-8-10, NMSA 1978. The Harwood Alliance shall maintain control over and be responsible for the operation and solvency of this fund and may expend such funds to support its fund-raising efforts consistent with its approved budget of the Alliance.

3.0 ORGANIZATION, FUNCTION AND BUDGET

3.1 The Harwood Alliance will operate according to its Articles of Incorporation and Bylaws, as amended from time to time and as limited by this Agreement. The Harwood Alliance agrees to organize and operate in such a manner as will retain the Harwood Alliance's legal status as a tax-exempt, non-profit organization pursuant to Section 501(c)(3) of the Internal Revenue Service Code, or any successor statute.

3.3 The Harwood Alliance may contract with persons or entities to provide services on a temporary consulting basis as necessary to fulfill its role and responsibilities, consistent with its approved budget. However, the Harwood Alliance may not contract with employees or faculty of the University of New Mexico for the provision of services except with the written authorization of the President of the University, obtained through the Harwood Board.

3.4 The Harwood Alliance agrees that it will submit its annual budget of income and expenditures to the Harwood Board for approval, which approval will not be unreasonably withheld. The Harwood Alliance agrees that its expenditures will be consistent with its annual budget as approved or any amended budget approved by the same process. In developing the Harwood Alliance's budget, the Harwood Board and Harwood Alliance shall consult about the most efficient approaches to fund-raising and shall endeavor to minimize fund-raising expenses so that donations to support the Harwood Museum are maximized.

4.0 DISTRIBUTION AND EXPENDITURE OF FUNDS

4.1 The Harwood Alliance will be responsible to advise the Harwood Board and to act in conformance with appropriate restrictions imposed by donors.

4.2 .All funds transferred from the Alliance to the Harwood Museum will be deposited in the appropriate University accounts and will be disbursed through the University general ledger system. The Harwood Alliance shall transfer membership dues and all gift funds to the University for the benefit of the Harwood Museum less approved budgeted expenses on at least a quarterly basis. 4.3 The Harwood Alliance will not transfer any funds in excess of \$300.00 for reimbursement to a University employee or for the purchase of goods and services for any unit of the University, including for the Harwood Museum, unless specifically approved in writing by the Harwood Board. The Harwood Alliance will not engage in any instructional, research or public service activity sponsored by or otherwise involving a University department or individual employee, except with advance written approval of the Harwood Board.

5.0 REPORTS AND ACCOUNTING

5.1 In each year that the Harwood Alliance's gross annual income exceeds One Hundred Thousand Dollars (\$100,000), it shall provide the University with the report of an annual audit performed by an independent certified public accounting firm. If required by the rules of the State Auditor, the audit must be performed by the same firm that is auditing the University for the year in question unless an exception is made by the State Auditor. In each year that the Harwood Alliance's gross annual income is One Hundred Thousand Dollars (\$100,000) or less, it shall file a statement with the Harwood Board in the form of a balance sheet showing the assets of the Harwood Alliance, its liabilities, its income, classified by general source, and its expenditures.

5.2 The Harwood Alliance is subject to review or audit by the University Internal Audit Office and agrees to provide any information regarding financial operations of the Harwood Alliance, including the working papers of any audit, to the University's internal audit staff upon written request to the President of the Harwood Alliance's Board.

6.0 UNIVERSITY COMPLIANCE WITH STATE LAW

6.1 Any funds or property transferred to the University for the Harwood Museum shall be subject to all University policies and procedures and state laws and regulations governing the disbursement and administration of public funds and public property, except to the extent of any specific donor restrictions that are acceptable to the University and do not require actions that are punishable as crimes under state law.

7.0 OPERATIONAL CONSIDERATIONS

7.1 The Board of Regents has reviewed the Harwood Alliance's Articles of Incorporation and Bylaws as of the date of this agreement and has found them acceptable. All proposed amendments to the Harwood Alliance's Articles or Bylaws thereafter shall be submitted at least forty-five (45) days prior to their proposed adoption through the Harwood Board (k). Any alteration or variation of the terms of the Harwood Alliance's Articles of Incorporation or the Bylaws of the Harwood Alliance shall be submitted for approval of the Board of Regents before becoming effective.

7.2 The Harwood Alliance and the University agree that the Harwood Alliance shall act in an independent, separate legal capacity and not as an agent of the

University and that the University shall act in an independent, separate legal capacity and not as an agent of the Harwood Alliance.

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. .

7.3 Within the limits and restrictions of the New Mexico Tort Claims Act, § 41-4-1 et seq. NMSA 1978, each party agrees to be responsible for its own negligent acts or omissions which may occur during the performance of this agreement and which result in claims by individuals or entities not parties to this agreement.

7.4 No amendment to this agreement shall be valid unless made in writing and signed by both parties. The parties concur that oral understandings or agreements and alterations . or variations of the terms are not binding on either party unless incorporated herein.

All official notices required under this agreement shall be given in writing delivered to the following addresses:

To the University: Chair of the Governing Board of the Harwood Foundation of the University of New Mexico, 238 Leoux St., Taos, NM 8271-6004

To the Harwood Alliance: The President of the Board of Directors of the Harwood Alliance, the address of which shall be provided to the Director of the Harwood Museum. 7.6 In the event of any dispute between the parties, they shall meet and confer in an attempt to resolve the issue.

8.0 TERM

. . '

8.1 The parties agree that recent changes in the role and composition of the Governing Board make it difficult to ascertain whether the roles, responsibilities, and accountabilities identified herein are appropriate in the long run. Therefore, the parties agree to review this Agreement within eighteen (18) months from the date of execution and to consider revisions in good faith at that time.

9.0 TERMINATION

9.1 This agreement may be terminated by either party at its discretion effective upon the giving of written notice to the other at least sixty (60) days in advance. In the event the University determines to terminate this Agreement because of breach by the Harwood Alliance of its terms, the notice period may be shorter if appropriate in the circumstances as determined by the University to aroid harm to the University or the Harwood Museum. If for any reason this agreement is terminated or the Harwood Alliance is dissolved or liquidated, all accounts of the Harwood Alliance shall be transferred to the University or a successor organization(s), after satisfying any outstanding obligations to the Alliance, designated by a resolution of the Board of Regents on or before the date of termination for the benefit of the Harwood Museum. In

such event, the University or other successor organization will honor to the maximum extent possible the instructions of donors to the Harwood Alliance.

APPROVAL BY THE BOARD OF REGENTS AND THE BOARD OF 9.0 HARWOOD ALLIANCE

This agreement is subject to approval by the UNM Board of Regents 9.1 pursuant to UNM Regents Policy Manual Section 7.17 and by the Harwood Alliance's Board of Directors.

Signed on behalf of:

. .

THE REGENTS OF THE UNIVERSITY

Jamie Koch, President of the

OF NEW MEXICO

Board of Regents

HARWOOD ALLIANCEUU

By: Mchaef Stedbury Michael Sudbury, President

Date: 9/20/04

PAGE 5

By:

Date: _____

such event, the University or other successor organization will honor to the maximum extent possible the instructions of donors to the Harwood Alliance.

9.0 APPROVAL BY THE BOARD OF REGENTS AND THE BOARD OF HARWOOD ALLIANCE

9.1 This agreement is subject to approval by the UNM Board of Regents pursuant to UNM Regents Policy Manual Section 7.17 and by the Harwood Alliance's Board of Directors.

Signed on behalf of:

. .

ael Sudbury, President

PAGE 5

ART OF WINE DETAIL as of 03/01/17

REVENUE

ART SALES

\$30884

\$23786.42

1734.00

Cash \$850 Credit Card \$28300 Donation from Hanks/Livney \$1500 Donation from Susan Streeper \$100 Donation from Ramon Sanchez \$134

EXPENSES

3 Bean Studio	\$ 208.89
Taos High Culinary Arts	960.00
Linda – Reimbursement	185.76
Museum Store	2500.00
AOW Pourers 4@\$75	300.00
Shemai – Reimbursement	19.52
Dora – Framing	381.09
Credit Card Fees	808.32
Total Expenses to date	\$5363.58
Net Profit (to date)	\$25520.42
Art of Wine Event (Net)	
Donations	

The Harwood Museum Alliance, Inc.

BASH AT THE BLAKE RECAP

<u>Revenue</u>

Art sales - \$102,250

Art Sale - \$1500 A/R (Scott)

Bash Tickets – \$825

Raffle - \$1550

Table Runners – 195

Event Ticket Revenue - \$11,000

Total Revenue \$117,320

Expenses

Blake - \$9000

Other expenses - \$4500 (Band, Programs, Invitations, design, misc.)

Consignment cost - \$14,310

Portfolios Purchased - \$5,000

Credit Card Fees - \$3,000

Total Expenses – 35,810

Net Profit (Loss) \$81,510



October 24, 2017

- TO: UNM Board of Regents Finance and Facilities Committee
- FROM: Rick Holmes, Office of the University Secretary on behalf of the University Naming Committee
- SUBJECT: Approval of naming request from the Department of Internal Medicine, School of Medicine, Health Sciences Center

Upon recommendation of Internal Medicine Chair Mark Unruh, the University Naming Committee approved the naming of the item listed below:

Request approval to create the "Robert G. ("Reg") Strickland Endowed Chair of Digestive Health & Science"

This is an endowed chair naming that requires Board of Regent approval.

Please place this item on the next Finance and Facilities Committee meeting agenda for consideration.

Thank you.

Attachments



Department of Internal Medicine Mark Unruh, MD, MS Professor and Chair

MEMO

- To: Libby Washburn Chief of Staff, UNM President Chair, UNM Naming Committee UNM Naming Committee The University of New Mexico
- From: Mark Unruh, MD Chair, Department of Internal Medicine

Date: September 29, 2017

RE: Request for Naming Approval – Strickland Endowed Chair of Digestive Health & Science

Dear Ms. Washburn and Members of the UNM Naming Committee,

On behalf of the University of New Mexico School of Medicine's Department of Internal Medicine, I would like to request the Quasi Endowment in the Department of Internal Medicine, which is a combination of donor and Department dollars, be named in honor of Dr. Robert "Reg" Strickland for his exceptional service to the University of New Mexico's School of Medicine, Department of Internal Medicine and Division of Gastroenterology.

This naming request is respectfully submitted and is in accordance UNM Administrative Policy 1020: Naming Facilities, Spaces, Endowments, and Programs, under Section 2.1.

The naming of this Endowed Chair is our effort to honor Dr. Strickland's commitment and long-standing service to the University. As such, we are proposing the Quasi Endowed Chair in the Department of Internal Medicine's Division of Gastroenterology be named in his honor and called the "Robert G. ("Reg") Strickland, MD, Endowed Chair of Digestive Health & Science".

Dr. "Reg" Strickland joined us in 1972 as a passionate, committed physician striving to provide the highest level of patient care to infirmed gastroenterologic patients. During his tenure he served as Chief for the Division of Gastroenterology from 1972 to 1987 and Chairman of the Department of Medicine for twelve years from 1988-2000. The fact that Dr. Strickland has chosen to spend nearly his entire career with UNM reflects his commitment and passion for the institution. During Strickland's 45

Page 1 of 3 <u>w</u> (initials)

year service to the Department, he has shown his leadership and pledge to improve the Department and the division on numerous levels.

Notable achievements include:

- Faculty, house staff and administrative staff doubled over Strickland's tenure as Chair and substantial increases occurred in clinical and research revenue to the department
- Established a new critical care service
- Established two new divisions (Geriatrics and Clinical Epidemiology/Preventive Medicine)
- Chief of Staff University Hospital; UH Board of trustees during this period. Member of the Team that planned and guided the building of UH Ambulatory care center
- Renewed emphasis on faculty development to successfully retain junior faculty; and to recruit more female faculty. By the year 2000 female faculty had increased from 5% to 30% and two of the Division Chiefs were female
- Internationally recognized for research contributions in field of chronic inflammatory GI Diseases
- Visiting professor to many national and international medical centers, including Stanford and Oxford, UK
- Selected as an American College of Surgeons (ACP) Centennial Legacy Awardee, the only recipient in New Mexico
- Recipient of American Gastroenterology Association Research Mentor Award. Leadership in Western US clinical Research associations including Past President Western Association of Physicians
- Current Board Chair, St. Martins- Hope Works (the leading nonprofit serving the homeless in Albuquerque)

Dr. Strickland is currently a Professor Emeritus who has elected to stay on faculty .25 as he is passionate about serving our patient population and educating our students. As you will read in Dr. Phil Eaton's testimonial, Dr. Strickland was required to have hospital privileges and a New Mexico license to receive the American College of Physicians Centennial Legacy Award. He is the only UNM SOM physician to receive such distinction. This award is a tremendous honor and reflects on us as an institution as being an academic and teaching school of excellence.

The attached supporting documentation will outline his contributions to the University of New Mexico as well as his impact on advancing the education, research and patient care across the State.

Thank you for your consideration.

pa h

Mark Unruh, MD Chairman UNM Department of Internal Medicine

Page 3 of 3 ((initials)



College of Medicine Department of Internal Medicine

Chairman's Office Gregory W. Rouan, M.D. U.C. Academic Health Center 231 Albert Sabin Way, ML 0551 Cincinnati, OH 45267-0551 Phone (513) 558-0858 Fax (513) 558-0852

October 4, 2017

Megan Dugan Director of Development, School of Medicine UNM Foundation 700 Lomas Blvd. NE Two Woodward Center Albuquerque, NM 87102

Dear Megan,

I write to support strongly Dr. Strickland's named Chair of Digestive Health and Science. Clearly Reg's contribution to founding the Division of Gastroenterology in 1972 and to leading the Department of Medicine for 12 years illustrates how valuable have been his contributions to the University of New Mexico SOM over the past 45 years.

At the National level, he has also made major contributions to the Association of Professors of Medicine (APM) and to the American College of Physicians (ACP). Reg and I overlapped professionally in many ways: Education in Scotland vs. Australia, Fellowships in our subspecialties at Yale and Stanford, and Chairing a Department of Medicine for over a decade. Thus, I believe that I can comment accurately on his contributions to Academic Medicine, as well as the recognition and respect with which he is regarded at the national level in his subspecialty as a member of the Association for the Study of Liver Disease, and the American Gastroenterological Association. He has published extensively in the area of inflammatory bowel disease.

More particularly, I can attest to his many contributions to the ACP and the APM. We served together in both of these National Associations. His leadership in the APM Board of Directors and in leading the Education Committee was outstanding. Likewise were his contributions to the ACP as Governor of the New Mexico Chapter and to the Scientific Program Committee for two ACP annual meetings as the GI representative. Just recently, the New Mexico ACP Chapter gave him the Lifetime Achievement award and stated, "He is recognized by his peers as a leader in Internal Medicine and an example to all of what it means to be a physician and to give back to the community". For these contributions, and his distinguished teaching and research record, he was elected to a Mastership in the ACP (MACP). Another National recognition was his appointment to the Presidency of the Western Association of Physicians, a distinguished academic internal medicine organization.

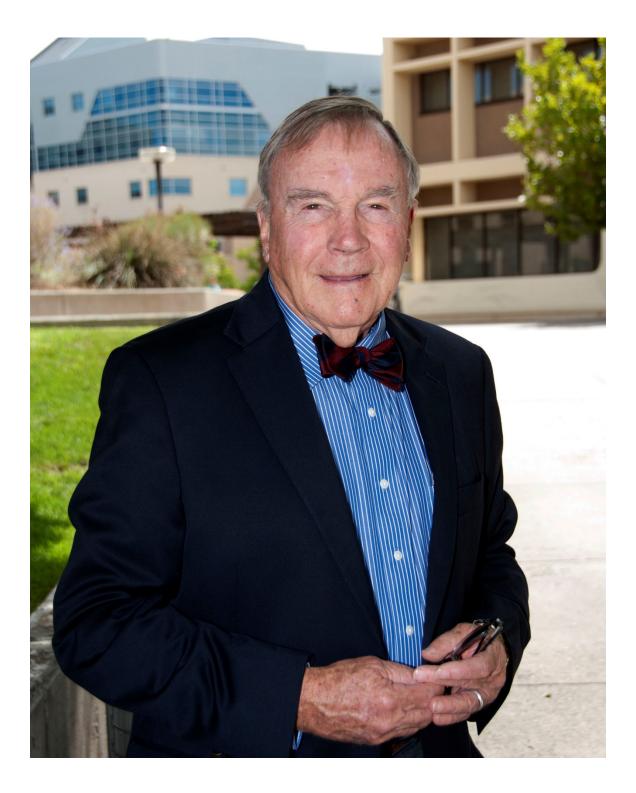
At a personal level, he is known for his humor, superb teaching, leadership, and common sense. I believe that he clearly deserves the honor of this named Chair because of his contribution to your College, University and to Medicine in general.

Sincerely,

, A h Jahre

Robert G Luke, MD, MACP, FRCP. Professor Emeritus, Department of Medicine.





Thomas Ma, MD, Ph.D, FACG UNM SOM, Division Chief of Gastroenterology and Hepatology

Dr. Robert (Reg) Strickland has been the single most important individual in the history of UNM GI division and UNM Department of Medicine and embodies all that is good in academic medicine. He is a shining example of lifelong service and excellence and devotion to UNM. During his 45 year academic career at UNM, Reg has had an exceptional and lasting impact on the development and the growth of the GI Division, the Department of Medicine and the School of Medicine. He was the Founding Chief of Gastroenterology at UNM School of Medicine in 1972, where he help build one of the top GI divisions in the country from the ground up. In recognition of his outstanding achievements, he was chosen to be the Chairman of the Department of Medicine in 1987. Under his leadership the Department of Internal Medicine doubled in size and acquired the much needed infrastructure to house the expanding faculty and clinical practice over the next 13 years. Although he retired as a full time faculty in 2001, Reg has remained an integral part of the GI division and the Department of Medicine and remains very active in the training of the Gastroenterology fellows, medicine residents, and medical students. Reg has devoted his entire academic career (expanding over 45 years) to the establishment and growth of the UNM School of Medicine. He has received numerous local and national awards related to his achievements in clinical, research, educational, and service excellence. Most recently, he was bestowed the prestigious American College of Physicians Centennial Legacy Award. Reg was the only physician in New Mexico to receive this honor. He was also recognized by the American College of Physicians with the Lifetime Achievement award in acknowledgement of his "outstanding achievements of a Chapter Master who has dedicated their life to medicine, teaching and community service... and leader in internal medicine." He is the longest active faculty member in the Department of Medicine and has contributed more to the success of the UNM GI division and the Department of Medicine than any other individual in UNM history.

Phil Eaton, MD Emeritus Executive Vice President for UNM Health Sciences, and Emeritus Professor of Medicine and Mathematics, UNM Health Sciences

I have been a UNM-SOM colleague of Reg Strickland MD since he joined the faculty in 1972 to become the longest serving Chief of the GI division since the SOM was formed in 1957. As of this year, he is a physician actively "Teaching through Practicing Medicine" for 60 years since obtaining his MD in Melbourne, Australia. I would like to highlight three areas of his career which clarify the appropriateness of this nomination.

1) He became the "go-to" gastroenterologist within the NM community of physicians as this field matured scientifically and clinically across the country. He thus became the "Face of Academic Gastroenterology" for New Mexico in all academic, clinical, educational, and research interactions. This is well demonstrated by his involvement in the premier professional society for both academic and practicing physicians, the American College of Physicians (ACP). Dr Strickland began as a Fellow in 1977, and rose to become President of the New Mexico Chapter in 1986, received the prestigious Laureate Award in 2000, and Governor in 2003-07. Students, interns, residents, and faculty joined the UNM SOM knowing that Dr Strickland would be interacting with them in their growth as Physicians, Scientists, and Teachers. In 2015 the ACP bestowed Dr Strickland with the Centennial Legacy Award. He was the only recipient in the state. On Oct 2nd, 2017 the ACP honored him with the Life-Time Achievement Award. This award recognizes Strickland by his peers as "an example to all of what it means to be a physician and give back to the community."

There are many titles and awards that illustrate this footprint within UNM and New Mexico. But nothing matches the facts that the Reg Strickland "Name" carries the dignity, respect, and value that bring significance to a named endowed chair at any university. This is not about one more accolade for Dr Strickland, rather it is about using his name to communicate the credibility, reputation and historical depth to the UNM Division of Gastroenterology, the UNM Department of Medicine, UNM School of Medicine, and the entire University of New Mexico.

2) As a scientist and Clinical Investigator, Dr Strickland pursued "Stomach Inflammation" as the area critical to gastrointestinal disease in his practice. This is the dominant theme of his more than 100 scholarly publications in peer-reviewed books, journal chapters, presented abstracts, etc. Continuing membership in two prominent societies was important to this career interest: American Gastroenterology Association and Western Association of Physicians. In the former he served as the Research Foundation Regional Chair as well as sustaining member of their Legacy Society, and in the latter he served as Councilor and President.

Let me give a personal illustration of his role in one of the landmark challenges in medicine- death by a bleeding ulcer. In 1957 when I graduated from medical school, every hospital in our country would admit 2-4 dying patients bleeding from stomach inflammation caused by ulcer or gastric cancer every night. General surgeons operated day and night on these patients, only to have death or a new ulcer occur. As penned in the year 2000, Dr Strickland presented a historic and unforgettable UNM Medical lecture about dying from bleeding ulcers/cancer, entitled "The Four Horses of the Apocalypse". He closed by summarizing that as of the year 2000 this disease became history. Though the first three "horses" were described as Stomach Acid Secretion, Stomach hormone Gastrin, and Stomach Inflammation, their true role was finally clarified with the identification and understanding of the 4th horse, the bacterium Helicobacter Pylori. Through the contribution concerning "Inflammation" in his laboratory, and with collaborations around the world, the astonishing discovery of this organism causing the disease through interactions with the other 3 horses has resulted in elimination of the ulcers & cancer. Thus this now easily treated inflammation with a simple antibiotic and changed GI disease forever. (1) I share this to demonstrate the research credibility of Dr Strickland through his involvement in eliminating this cause of death from a bleeding stomach ulcer.

3) After pursuing research and clinical care of GI disease for 43 years, Dr Strickland retired in the year 2000. He became Emeritus Professor of Internal Medicine, and lived true to his ACP Centennial Legacy by gracing the UNM HSC with his extraordinary experience and clinical expertise for the next 17 years. This required a New Mexico license for medical practice with hospital privileges accomplished by a 0.25 FTE position from the SOM. This is a tradition within the Health Science Center for highly valuable clinical faculty to continue supporting the education of tomorrow's physicians by continuing to teach as emeritus faculty. The 0.25 FTE position is necessary for credentialing in the hospital with continued active medical licensure and practice insurance. He has meticulously met this role, actively teaching within our gastroenterology clinics of intestinal endoscopy with medical students, interns, residents, and GI fellows. When they learn from such a legendary clinician with 60 years of experience since medical school, they are learning from incomparable excellence. This is clearly what is visualized in naming an endowed professorship after such an esteemed individual.

In closing, let me say that with:

- (1) Excellence as the Face of Clinical Gastroenterology well established by his roles in the American College of Physicians;
- (2) Excellence in basic and clinical investigation of inflammation in gastric ulcers/cancer;
- (3) Excellence in academic leadership at UNM with years of being Head, Division of Gastroenterology, years of Chairman of the Department of Internal Medicine, and years of Emeritus Professor of Medicine

Dr Strickland presents with a "Trifecta" of contributions to the practice and quality of academic medicine at the University of New Mexico. It is a pleasure for

me to support the naming of an Endowed Chair in Gastroenterology after this fine physician. Such a decision will be a credit for others to follow in his footsteps.

 Strickland RG, Fenoglio-Preiser CM. "Gastritis: Classification and Histology-Then and Now" In Helicobacter Pylori in Peptic ulceration and gastritis. Marshal, McCullum, Peterson eds. Blackwell Scientific Publications Inc. Cambridge MA 1991, pp 1-18, 1991

Scott Obenshain, MD Emeritus Associate Dean of Undergraduate Medical Education

Dr. Robert G. Strickland joined the faculty of the Department of Medicine at the University of New Mexico in May of 1972. He was part of a new wave of faculty made possible by the Physician Augmentation Program from the Federal Government designed to increase the number of graduates from US Medical Schools. At the time of Dr. Strickland's arrival all Departments were fairly small and he became the Director of a new Division of Gastroenterology. His leadership in this position led to the development of a large division that became known for its educational, clinical care and research. His leadership was so well respected that he became the Chairman of the Department of Medicine in 1988 and served in this capacity for 12 years. Again he was instrumental in expanding and improving the excellence that had already been shown as the Director of the GI Division for the almost 16 year prior to his assuming the Chairmanship.

Dr. Strickland was instrumental in the development of the entire school of medicine and served with exceptional skill in all areas of endeavor in the medical school. His support of the efforts in education, research and clinical care set the tone for the continued excellence not only in the Department of Medicine but also in the Medical School as a whole.

I strongly support the efforts to name the Directorship of the Division of Gastroenterology for Dr. Robert G. (Reg) Strickland.

Sanjeev Arora, MD, FACP, FACG UNMH, Director of Project Echo

It is important to have people in your life who are role models and help us become a better version of yourself. Dr. Robert (Reg) Strickland is such a person. He has made me, and so many others he has taught and worked with, a better person. I have had the privilege of working with Reg at the University of New Mexico since 1993, when I began my career as a Gastroenterologist and Hepatologist within the School of Medicine at UNM. In his role as Chairman of Department of Medicine Dr. Strickland recruited me to come from Boston to New Mexico which was a major turning point in my life. I have witnessed Reg work tirelessly to inspire and improve the lives of his faculty and future physicians. His leadership within the GI Division, the Department of Medicine and the School of Medicine has led to exponential growth of their research and clinical activities. Without the work and dedication of Reg, the UNM Department of Medicine would not be the success it is today. The impact Reg has had on the University, and on myself has remained long after he retired from full-time faculty in 2001, and will continue for time to come.

Robert G. Luke, MD, MACP, FRCP University of Cincinnati Professor Emeritus Department of Internal Medicine

Please see attached

UNM Research – Fiscal Year 2017 Advancing Discovery, Creativity & Innovation

Gabriel P. López

UNM Vice President for Research

Board of Regents | November 14, 2017

We Are New Mexico's Flagship University Designated By Carnegie As "Highest Research Activity"

Our Research & Scholarship Landscape Is Vibrant, Richly Complex & Ever-changing

Cross-Cutting Research Areas

 Bioinformatics & Collections-Based Research | Ecology & Climatology | Human Evolution, Social & Behavioral Dynamics, And Addictions | Materials & Optical Science & Engineering

Areas of Research & Scholarship Strength

 Computational & Data Sciences | High Energy Density Physics | Medieval Studies | Quantum Information Science | Regional Resource Economics, Water, & Environment | Southwest Anthropological Research & Socio-Cultural Studies | Latin American Studies | Land Arts Of The American West

Developing Areas of Research & Scholarship Strength

 Community Engaged Arts, Education & Public Health | High Performance Computing | Neuroscience, Learning, Cognition & Memory | Clean Energy Systems

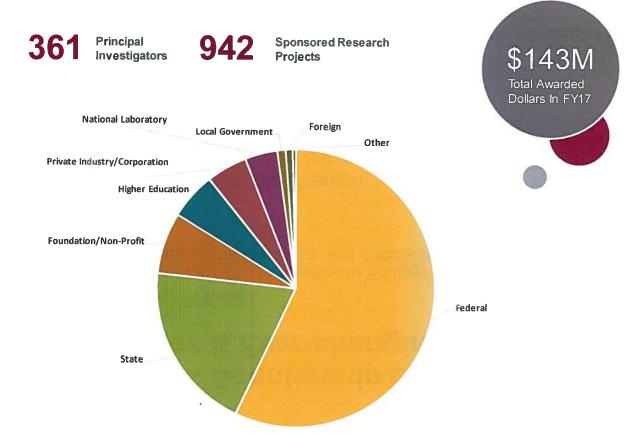
http://research.unm.edu/research-focus-areas

Discover more at RESEARCH unm edu

FY 17 Sponsored Research Projects

Top Ten Funding Agencies

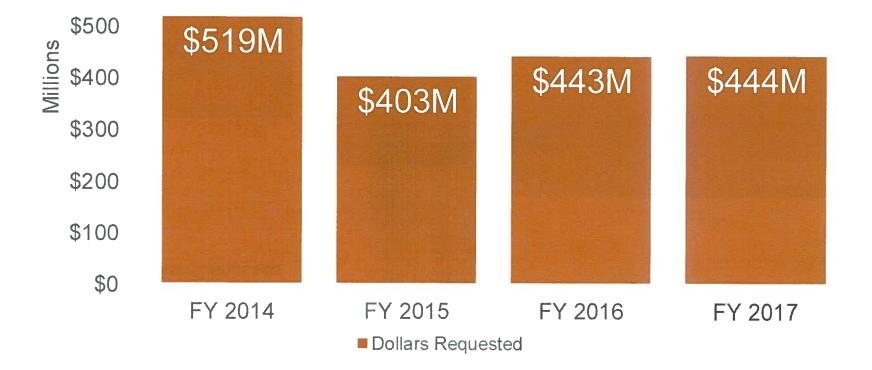
- \$35M National Science Foundation
- \$15M New Mexico Children Youth and Family Department
- \$11.5M National Institutes of Health
- \$9M Department of Education
- \$6M Air Force Office of Scientific Research
- \$3M NM Public Education Department
- \$2.7M Sandia National Laboratories
- \$2.6M New Mexico Higher Education
 Department
- \$2.3M Air Force Research Laboratory
- \$2.3M New Mexico Department of Transportation



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Proposals

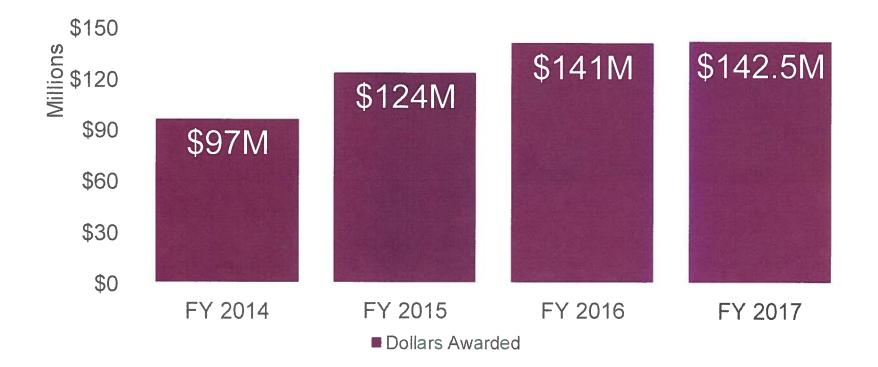
UNM Main & Branch Campuses



Discover more at RESEARCH unm edu

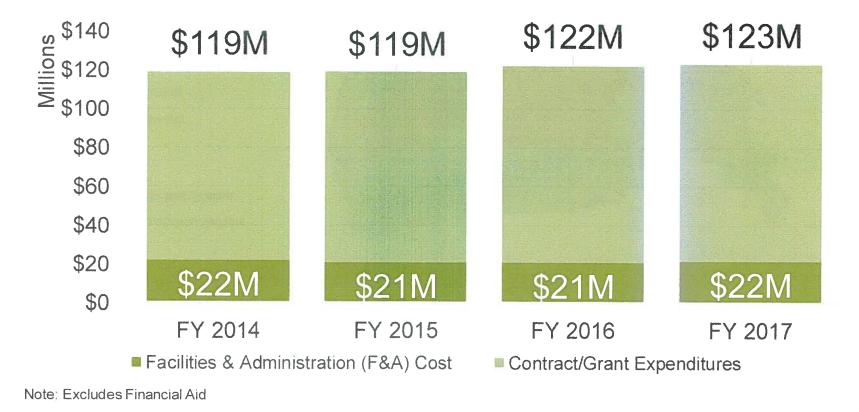
Awards

UNM Main & Branch Campuses



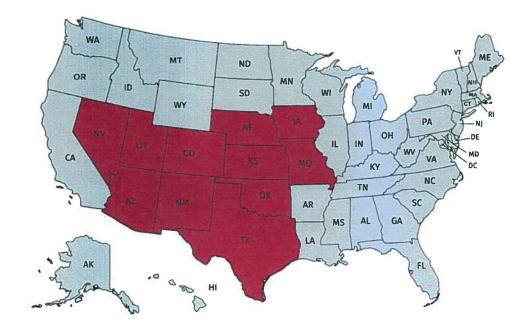
Contract/Grant Expenditures

UNM Main & Branch Campuses



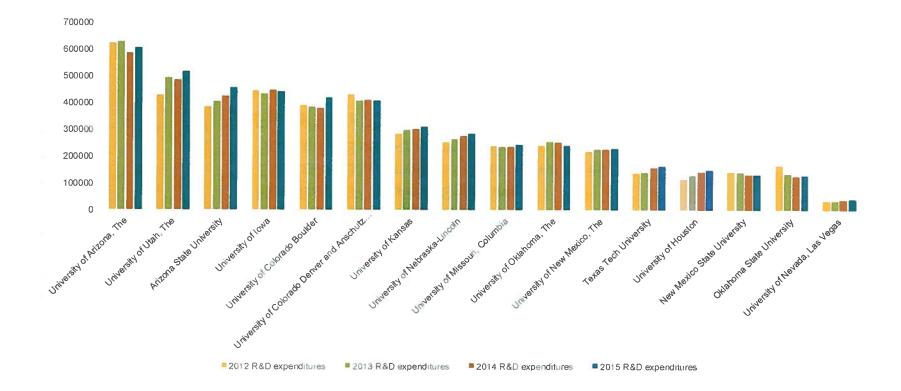
Selected UNM Peer Institutions

Arizona State University New Mexico State University-Main Campus Oklahoma State University-Main Campus Texas Tech University-Main Campus Texas Tech University-Main Campus University of Arizona University of Arizona University of Arizona University of Colorado-Boulder University of Colorado-Denver University of Colorado-Denver University of Houston University of Houston University of Houston University of Missouri-Columbia University of Mesaka-Lincoln University of Nevada-Las Vegas University of Oklahoma-Norman Campus



Created with mapchart.net 0

R&D Expenditures Of Selected UNM Peer Institutions





OFFICE OF THE VICE PRESIDENT

We Fuel The Growth Of High-Tech Industry In New Mexico

Since 1996, STC.UNM, the University's technology transfer arm, has

- Filed 1,356 patent applications
- Received 597 issued U.S. patents
- Executed 583 license and option agreements
- Spun off 113 start-up companies from UNM technologies

In Fiscal Year 2017, STC.UNM generated \$2,050,437 in income¹.

Among its 16 peer institutions, for every \$2 million in research dollars spent, UNM is

- 4th in number of invention disclosures
- 2nd in number of licenses and options signed
- 13th in licensing income
- 3rd in number of start-up companies created

Find more information at STC.unm.edu

¹Combined licensing revenue and patent cost reimbursement revenues

Appendices

Notable Events Research Headlines OVPR Highlights Research Strategic Plan Progress



Notable Events

Research Recognition Outreach

VICE PRESIDENT FOR RESEARCH

Distinguished Professor Vince Calhoun Presented UNM's 62nd Annual Research Lecture.

April 19, 2017 Discovering Patterns Of Promise For Unraveling The Mystery Of The Brain In Health And Disease



1.4

Associate Professor Claudia Isaac Presented UNM's 2nd Annual Community Engaged Research Lecture.

May 4, 2017 Community-Based Planning: Co-creating Knowledge And Action



Showcasing Our Research Excellence

From state-of-the-art laboratory spaces to world-renowned faculty, UNM is rich in physical and intellectual resources.





19 April 2017 UNM Briefs U.S. Senator Martin Heinrich on NSF Funding & Opportunities



3 May 2017 DoD Information Day At UNM With Dr. Robin Staffin, Director of DoD Basic Research



12 September 2016 Nawy Week At UNM – Focus On Research With Rear Admiral Phillip G. Sawyer



5 June 2017 AFOSR Information Day At UNM With Dr. Charles Matson, AFOSR Chief Scientist



Research Headlines

http://news.unm.edu

Discover more at RESEARCH unm edu

OFFICE OF THE VICE PRESIDENT FOR RESEARCH

Groundbreaking discovery confirms existence of orbiting supermassive black holes

June 27, 2017 | Observed galaxy is 750 million light years from Earth

For the first time ever, astronomers at The University of New Mexico say they've been able to observe and measure the orbital motion between two supermassive black holes hundreds of millions of light years from Earth – a discovery more than a decade in the making.



Using genomics to fight deadly parasitic disease

May 16, 2017 | UNM researcher leads team of more than 100 scientists

An international team of researchers, led by University of New Mexico Associate Professor Coenraad Adema, is now one step closer to eliminating a deadly parasitic disease responsible for killing hundreds of thousands of people around the world every year.



How Native languages lead to better outcomes

March 2, 2017 | Multi-university study to look at Indigenous language immersion schools

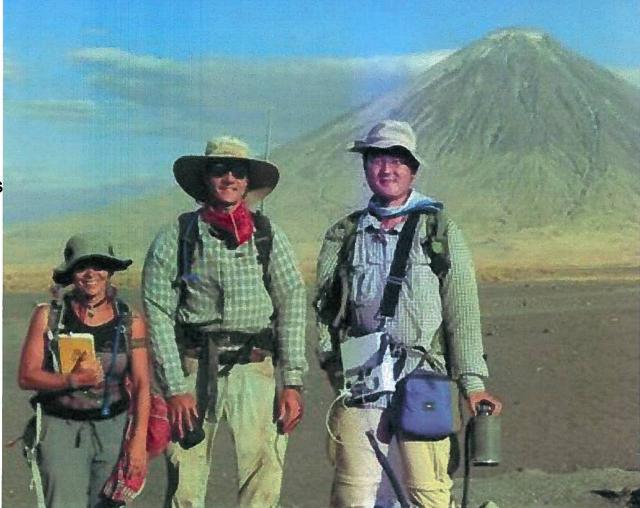
The University of New Mexico is part of a \$1 million, multi-university study designed to examine the effect Indigenous-language immersion schools have on Native American student success, both in the classroom and beyond.



Exhaling Earth: scientists closer to forecasting volcanic eruptions

October 6, 2016 | UNM Volcanologist Tobias Fischer leads research

On average, 40 volcanoes on land erupt into the atmosphere each month, while scores of others on the seafloor erupt into the ocean. A new time-lapse animation uniting volcanoes, earthquakes, and gaseous emissions reveals unforgettably the large, rigid plates that make the outermost shell of Earth and suggests the immense heat and energy beneath them seeking to escape.



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OFFICE OF THE VICE PRESIDENT FOR RESEARCH

Optical physicists record lowest temperature ever in solids using laser cooling

August 1, 2016 | PAIS facility will help group continue to be worldwide leader

When most people think about lasers, they usually imagine them generating heat and even setting something on fire. But, for a group of scientists in The University of New Mexico's Department of Physics & Astronomy, lasers are actually being used to reach temperatures colder than the Arctic Circle.





OVPR Highlights

New Leadership for OVPR Research Centers & Institutes



Patrick Bridges, Interim Director of the Center for Advanced Research Computing



Bárbara Réyes, Director of the Southwest Hispanic Research Institute



Accreditation Received!

UNM Human Research Protections Program received full accreditation by the Association for the Accreditation of Human Research Protections Programs (AAHRPP), effective March 20, 2017

Research 2020 – Operations & Aspirations

Spring 2017 Action Plan Progress Summary

http://research.unm.edu/strategic-plan

Research Excellence

Progress

Goal	Description	Q3	Q4
RE-2A	The OVPR will augment efforts within the three most promising, emerging areas as identified in Research Excellence report (i.e., social and cultural place-based research relating to the southwest, renewable energy and "water in the west") by supporting efforts to develop externally funded proposals in each of these areas.		
RE-2C	The OVPR will proactively communicate an UNM vision for research (i.e., on the OVPR website, the OVPR Annual Report and through presentations) that includes areas of cross-cutting strength and planned investments into priority research areas.		
RE-3B	The OVPR will initiate a closer working relationship with the Office of Community- Engaged Research.		

Human Capital Progress

Goal	Description	Q3	Q4
HC-1C	The OVPR will highlight researcher activities on the OVPR website (a minimum of once/month) and through increased PR work (bimonthly and on ad hoc basis). Researchers for whom a press release is submitted will be invited to a hosted lunch with their ADR and the VPR/AVPR.		•
HC-2C	The OVPR will coordinate with Graduate Studies and the Subject-Area Librarians to develop a Pilot Program where graduate students provide support for proposal preparation for departmental research involving graduate student researchers.		•



Infrastructure

Progress

Goal	Description	Q3	Q4
I-1A	OVPR leadership will provide input into the goals and annual performance review of the OSP Director to ensure a consistent focus on a PI/customer service approach and will meet at least monthly with financial services leadership to review processes and collaborations between OSP and FRDO.	•	0
I-1D	The OVPR and the Director of FRDO will work with OSP to evaluate and improve (if necessary) the quality of data and data reporting in Cayuse. The OVPR website will link to the new OSP dashboard.		
1-2D	The OVPR will invite the FAMIS Data Manager to make a presentation to ADRs and Center Directors each year to communicate the importance of keeping the FAMIS database updated with accurate information. In addition, the OVPR will invite representatives from PPD & PDC to make a presentation to ADRs and Center Directors regarding how to access architectural and engineering services.	•	•

Infrastructure

OFFICE OF THE VICE PRESIDENT FOR RESEARCH

Progress (continued)

Goal	Description	Q3	Q4
I-3A	OVPR will develop a mission statement and incorporate a stronger customer service based approach.		0
I-3B	VPR and/or AVPR (with the appropriate ADR) will regularly attend department faculty meetings to hear and address research concerns and promote OVPR mission and services.		
1-3C	The OVPR will create an easily accessible "road map" of the UNM research process and resources to be posted on the OVPR website.	•	0
I-3D	The OVPR will serve as an advocate for the research community and will continue, on a case-by-case basis, to assist and facilitate interactions with support offices to ensure that important research needs are met in a timely and satisfactory manner.		

29

Infrastructure

Progress (continued)

Goal	Description	Q3	Q4
I-4A	OVPR will provide input into Central IT restructuring process to ensure research-computing needs are addressed.	•	•



Summary Meeting Report (Not Approved Minutes) Regents' Audit and Compliance Committee October 18, 2017

The **Regents' Audit and Compliance Committee** (**Committee**) held a Regular Meeting on October 18, 2017.

ACTION ITEMS:

The Committee approved the meeting minutes from the meetings of August 25, 2017.

The Committee accepted the KPMG/Moss Adams FY17 External Financial Audit.

The Committee unanimously approved the following UNM Hospital audits:

- UNMH Information Technology Terminated Employees Removal from System Access, Report 2017-07
- UNM Health System Internal Audit Work Plan for Fiscal Years 2018-2020, Report 2018-01

The Committee unanimously approved the following UNM reports:

- Audit of Student Health and Counseling Pharmacy, Report 2017-02
- Audit of LGBTQ Resource Center Financial Transactions, Report 2017-13
- University Wide Risk Assessment and Proposed Five Year Work Plan, Report 2017-07
- Internal Audit Department Annual Report for FY17

The Committee unanimously approved the following UNM Internal Audit memorandums:

- Alumni Association Courtyard Project
- Summary Memorandum of Form 990

INFORMATION ITEMS:

- Libby Washburn, Chief Compliance Officer, provided her departmental report and updated the Committee regarding the status of the Department of Justice (DOJ) recommendations. Ms. Washburn's office completed a one-year progress report. The next progress report to the DOJ is due December 1, 2017, and the following one is due on December 31, 2017. The December 31, 2017 report will include the completion data for student training.
- UNM's rate of sexual violence is lower than the national average, but the rate of sexual harassment and domestic partner/dating violence is a little higher than the national average. In response, OEO has started some awareness programs across campus, for instance with Student Housing.
- Ms. Cordova, Director of UNM's Office of Equal Opportunity (OEO), provided the Committee with requested OEO data. Inquiry/complaint numbers are increasing. Sexual harassment continues to be the main type of allegation, and that is the standard

nationally. OEO is improving results for resolving issues at a lower level informally, versus a formal investigation.

- Ms. Washburn updated the Committee regarding minors on campus. Her office completed a campus survey to find out the number of minors on campus each year. The results showed 15,500 children on campus per year. This does not include external school-sponsored field trips. The campus policy does not include steps or guidelines, so specialized training and certifications as well as spot checks of background checks are in process. They are drafting a new policy as well. Ms. Washburn confirmed the new policy could include a requirement for training of contractors as well as UNM staff.
- The meeting adjourned at 4:07 PM.

Advisor Reports



Board of Regent Report UNM Alumni Association & Alumni Relations Office November 14, 2017

Strategic Goals

Goal: Maximize alumni and student engagement

Student Engagement

- Birthday Cakes 9 (Sept. 1 Nov. 10)
- Donut Days (November) Served to over 150 students, gave away 52 new punch cards
- Grad Fair at UNM Bookstore, 197 pending grads picked up alumni materials
- December Graduates are registering for "Free Grad Photos at the U" November 14, 15 and December 6 to coincide with the Ring Ceremony.
- Tour of Alumni Chapel UNM History Class (Oct. 3), 12 students
- Tours of Hodgin Hall: Communications & Journalism (Oct 5), 25 students; American Indian Studies (Oct 6), 23 students; American Indian Lecture Series (Oct 16), 30 students; Pi Kappa Alpha Fraternity (Nov. 10), 25 students

Alumni Engagement

- Regional Chapters and Alumni Outreach Calendar
 - Austin Chapter
 - Hill Wine Country Fall Tour, November 18
 - Holiday Potluck, December 3
 - Denver Chapter
 - Night at Dion's Fundraiser, November 28, Commerce City, 5-8 pm
 - Pre-Game, UNM vs. CU Basketball, December 6, The Dark Horse and Coors Center
 - Chicago Chapter: Brewery Tour at Goose Island Brewery on November 18
 - Los Angeles Chapter
 - The Autry Museum, October 15, 3 attended
 - Holiday Party at San Antonio Winery, December 9
 - Salt Lake City Chapter MLS Game, Real Salt Lake vs. KC, October 22, 20 attended.
 - San Diego Chapter Pre-Game, UNM vs. SDSU, McGregor's Ale House, November 24
- Campus and Constituent Chapters/Groups
 - Veterans Alumni Chapter: Hero's Day Tailgate at Dreamstyle Stadium, November 4, 11 alumni attended with many veteran community members.
 - Veterans Alumni Chapter: Veteran's Day Memorial, Nov 10, Alumni Memorial Chapel. Brigadier General Andrew E. Salas is the honored guest speaker.
 - Lobo Linguistics: Alumni Gathering at Hodgin Hall November 9, 2017

- STEM Program Alumni will participate in the first New Mexico Educated Workforce in STEM Symposium December 19-21. Focused on efforts to catalyze new businesses, opportunities and networks to facilitate New Mexico's economic growth with homegrown talent.
- Young Alumni Chapter hosted a tailgate at the craft corner of Dreamstyle Stadium for the UNM vs Utah State football game, 86 attended the event.
- Lobo Living Room
 - October 19 An Evening on Mars, Earth and Planetary Sciences, 145 attended

Statewide Outreach

October 21: Taos, NM. Statewide Outreach-Taos, NM

 The UNM Alumni Association in partnership with the Tamarind Institute and the Harwood Museum of Art in Taos, New Mexico hosted, 66 Mile Radius, on Saturday, October 21 at 2 p.m. at the Harwood Museum in Taos, NM. Three New Mexico artists – Nina Elder, Tom Miller and Judy Tuwaletstiwa – offered glimpses into the creative practice of art and filmmaking. The 45-minute documentary film directed by Melinda Frame, a Regional Emmy Award winning producer, director, cinematographer, writer and editor, was followed by a question and answer session with the New Mexico artists, and students and administrators from UNM. Forty-six alumni and Taos community members attended. A reception sponsored by UNM Alumni Association was held after the event.

Lobo Living Room

October 19: An Evening on Mars.

 The UNM Alumni Association in partnership with UNM Earth & Planetary Sciences, and The Institute of Meteoritics and College of Arts & Sciences held a Lobo Living Room on UNM's Main Campus. Three UNM E&PS faculty lectured about the exploration of Mars. Tours of E&PS facilities included the Meteorite Museum and the current Mars Rover operations room. An audience of over 241 alumni and community members attended.

November 16: Live Longer, Be Happy – Protect Your Heart!

• UNM Health Sciences Dr. Schade and Dr. Eaton will lecture on preventing Heart Disease. The event will take place at Domenici Hall on the north campus.

Greater Albuquerque Area Alumni Chapter (GAAAC)

Social

December 14: Star Wars movie advance screening.

- GAAAC to organize a private screening of the new Star Wars movie.
- 192 tickets for sale
- Social event to recruit and engage Albuquerque alumni

Goal: Increase alumni advocacy for UNM

Lobos for Legislation

Legislative Briefing, November 7

• Lobos for Legislation and the Office of Government Relations held a legislative briefing to apprise UNM alumni and administrators of the upcoming UNM priorities for the 2018 legislative session on Nov. 7 in Hodgin Hall.

Legislator Appreciation Reception, January 29, 2018

- UNM Alumni Association Legislator Appreciation Reception. 6-7:30 pm at La Fonda, Santa Fe, NM.
- UNM Day at the State Capitol.

Lobo Links

• Lobos for Legislation is currently recruiting alumni as Lobo Links to be advocates for UNM's legislative priorities.

Goal: Maximize benefits of technology

Website Oct. 1 to Oct. 31

Pages	Unique Views
Total Page Views	11,933
1. Home Page	1,887
2. Lobo Living Room	654
3. Events	619
4. Travel	446
5. Alumni Chapel	321
New Visitors	5,666
Returning Visitors	2,301

Online Community Oct.. 1 to Oct. 30

New registered members	96
New members	510
New non-members	205
Unique profile updates	124
Unique logins	80
Total in Community	253,301

Broadcast Emails

In October, the Alumni Relations Office sent 14 emails, including the Howler on Oct. 5 and reminder emails for events.

No. of addressees*	Opens	Clicks	Unique Clicks	Bounces	Unsubscribes
365,769	56,803	3,308	2,162	470	433

* Total number of people sent to (people can receive multiple emails to comprise this total

Social Media

Social media statistics for October 2017:

	Facebook	Twitter	Instagram
Followers (as of 10/31/17)	4,840	2,286	730
Posts	22	20	16
Total impressions for the month	35,593	16,011	

Goal: Invest in a strategic and collaborative communications and marketing program

Howler Statistics

The Howler monthly e-newsletter statistics Oct. 1 to Oct. 30:

Sent	Opens	Unopened	Clicks	Bounced	Unsubscribed
95,066	13,560	81,506	705	77	167

Mirage Magazine

In the Fall 2017 edition, and the communications for its promotion, we asked alumni to opt-in to digital delivery. The Alumni Association is also moving to a digital delivery, via email, only for all on-campus faculty and staff at the University. Mirage mailing preference updates continue to come in.

Mirage Delivery Preference Submissions Oct. 1 to Oct. 31

	Alums	Faculty	Staff	Non-Alum
Email	3	0	0	0
Print	5	0	0	0
Both Print/Email	5	0	0	0
REPLIES for October	13	0	0	0

Mirage Delivery Preference TOTALS

	Alums	Faculty	Staff	Non-Alum
Email	303	12	39	8
Print	65	1	9	3
Both Print/Email	35	1	7	1
TOTAL REPLIES	403	14	55	12

Traffic Sources Oct. 1 to Oct. 31

Source	No. of Visits
Mirage Web Page	121
October Howler	0
Delivery Preferences	18
Mirage Magazine	0

Marketing & Communications

October 2017 had 8 active integrated marketing and communications plans created and executed – including graphic design of collateral pieces and website updates and forms to take RSVPS, etc – in support of events and programs, including:

- 1. Fall Graduation Communications
- 2. Donut Days 2017-18
- 3. Alumni Travel Program
- 4. Traveling Tailgates
- 5. Lobo Living Room: An Evening on Mars
- 6. Santa Fe Outreach
- 7. Taos Outreach
- 8. Legislative Briefing