THE UNIVERSITY OF NEW MEXICO

HLC Accreditation
Evidence Document

Title: Self-Study for HLC Assurance Argument: Los Alamos Campus

Office of Origin: UNM Branch Campuses

Description: A self-study undertook by the Los Alamos Campus to report on information relevant for the HLC accreditation process, including the assurance argument. This includes information on student populations, and the relationship of the local administration to the main campus.

Date: 2018

UNM Los Alamos Response to HLC Questions

1. Profile
- **How would you describe your current students? Your potential students?**

UNM Los Alamos (UNM-LA) has a diverse student population; as such, UNM Los Alamos is a designated Hispanic Serving Institution. Data from the most recent Spring 2018 semester indicates that 48% percent of the students identified as Hispanic. Seven percent of the students identified as Native American. Slightly over 59% of the students were female and 86% of all students were part-time. The average age of the students was 27. UNM Los Alamos has identified enrollment goals to include increasing the number of full-time degree seeking students from within a 100-mile radius of campus, creating cohorts of students in specialized degree programs that may include students from further areas within New Mexico or from other states, and continuing to support a strong presence of students in minority groups and from other diverse backgrounds.

- **How would you describe your branch? What are its specific attributes, its niche, its goals and its challenges? What is its relationship with UNM's overall mission?**

UNM-LA is a branch campus of the University of New Mexico. UNM-LA's mission aligns with the UNM main campus mission of engaging students, faculty, and staff in its comprehensive educational, research, and service programs. Through the Associate of Arts (AA) and Associate of Science (AS) degrees, UNM-LA prepares students for transfer into four-year degree programs and for entry into the workforce through certificate and Associate of Applied Science (AAS) degree programs.

UNM-LA offers ten transfer degrees (AA and AS), ten Associate of Applied Science (AAS) degrees and ten certificate programs. An additional certificate program in Robotics was recently approved and will be added to the Fall 2018 catalog. Each of these innovative programs prepares students to enter the next stage of their education or career, and therefore supports the mission of UNM.

Associate of Arts and Associate of Science degrees are the most common degrees awarded at UNM-LA. Between Fall 2012 and Summer 2018, approximately 28% of two-year graduates earned a Liberal Arts Degree, 14% graduated in Pre-Engineering, 13% graduated in Pre-Business and 6% of graduates completed an AS in Pre-Professional Health Sciences. General Studies and Fire Science are the most popular AAS programs, with a combined 19% of two-year degrees awarded in these two areas. Overall, 80% percent of graduates with a two-year degree from UNM-LA majored in one of these six areas. The most popular certificate programs are Emergency Medical Services Technician-Basic, Emergency Medical Services Technician-Intermediate and Certified Nursing Assistant. Forty-four percent of certificates issued between Spring 2017 and Spring 2018 were from these three areas.

UNM-LA is known for outstanding instruction, small class sizes, and a low student-to-faculty ratio. All continuing faculty have earned a Masters' degree or higher. The majority of continuing faculty (69%) have earned a doctorate or terminal degree. One faculty member is currently pursuing a doctorate. Two administrative faculty (Dean and CEO) have also earned

Doctorate Degrees. Among the adjunct faculty, 85% have earned Doctorate or Master's degrees.

UNM-LA occupies a unique niche in Northern New Mexico. The campus shares a community with Los Alamos National Lab (LANL). Many UNM-LA adjunct faculty work at LANL as experts in their fields and also share their knowledge and talents by teaching part time. Additionally, UNM-LA collaborates with LANL on initiatives to help train the future workforce for Northern New Mexico. http://losalamos.unm.edu/about/strategic-plan.html.

UNM-LA has identified three primary overarching goals to achieve its mission. These goals are: achieving student excellence, community excellence and Institutional excellence. Each of these goals is explained below:

Achieving Student Excellence (Providing high-quality service to students during the recruitment, educational experience, and completion processes)

Achieving Community Excellence (Serving our community, especially related to workforce development, lifelong learning, community endeavors, and visibility in the community)

Achieving Institutional Excellence (Promoting and maintaining excellence within our institution, especially related to financial resources, human resources, physical resources, collaboration, and a plan to identify and achieve our goals)

The primary challenge for Office of Instruction is faculty retention and recruitment in a rural community. Additionally, faculty members are often recruited by the Los Alamos Public School system or by LANL. These institutions provide employment opportunities with salaries that are more competitive and that are aligned with industry norms. Branch campus faculty salaries are significantly lower than those offered by either the public schools or LANL. Other challenges include the relative isolation of the town of Los Alamos, the large distances to urban areas and limited retail opportunities.

2. Governance
- **What is the structure of your system of shared governance?**

All UNM-LA faculty, continuing and adjunct, including the library director, are members of the Faculty Assembly. The Constitution of the Faculty Assembly provides the guiding principles for the role of the Faculty Assembly at UNMLA. The Faculty Assembly conducts its business through the Operations Committee which consists of president, Vice President, Secretary, three members at-large, and the UNMLA representative to the UNM Faculty Senate. The officers and at-large members are elected annually at the beginning of the academic year.

- **Can you give specific examples of how shared governance has been used to develop new policies or programs?**

Shared governance was used to develop a new policy on Community Engaged Scholarship. Since each branch campus was asked to develop this policy, the Deans of all UNM Branch campuses worked together to formulate a joint statement. The Faculty Assembly at each

campus voted independently to participate in the joint statement of the policy on Community Engaged Scholarship and also voted on the language of the policy. Shared governance was exemplified not only at one branch campus, but at all four branches.

At UNM-LA, the principle of shared governance was recently implemented while revising the course fee structure. Following several open forums on this topic, consensus was achieved in coordination with the business services office, the Office of Instruction, and the faculty. The newly adopted course fee structure resulted in the improved ability to track course fee expenditures.

- **What is the structure of your system of fiscal management**?

UNM Los Alamos maintains a fiscal management system that functions as an integral part of the larger university system tailored to meet the mission and strategic plan of UNM Los Alamos and the communities we serve. Budget models for higher education institutions in New Mexico are formatted under a specific structure dictated by the Higher Education Department, and the fiscal management of UNM Los Alamos is monitored and controlled by staff on the Los Alamos campus and by the fiscal operations group on the Albuquerque campus. This model allows for flexibility in academic, student and faculty needs and maintains the internal controls and policy environment that is needed for research universities. Revenues specific to the Los Alamos Campus operations, including mil levy support, are collected locally and are available to fund operations. State appropriations funds are determined by an institution-specific appropriations act that includes a performance formula that rewards institutions on performance outcome measures as follows:
- Total Awards (students receiving an academic award)
- STEMH Awards (students receiving an award in Science, Technology, Engineering, Math, or Health)
- Awards to Financially At-Risk Students (defined by expected family contribution for those receiving aid)
- End-of-Course Student Credit Hours (student credit hours completed by students)
- Sector Mission Measures (i.e. research contracts/grants, student momentum points, and dual credit).

Expenditures are processed through a rigorously-controlled purchasing process that is audited annually. UNM Los Alamos participates in an operating agreement with UNM Albuquerque that provides fiscal and various other services. The annual administrative fee is 3.6% of total unrestricted expenditures on the most recently completed fiscal year.

- **How is adherence to the academic mission assured?**

UNM-LA developed a strategic plan that aligns annual goals with the trifold mission of the campus. Campus decisions tie to the strategic plan. This connection between the strategic plan and decision making ensure adherence to the academic mission.

- **How does this UNM Branch campus support and assure ethics in delivering the academic mission and in fiscal management?**

The Office of Instruction at UNM-LA assures ethical delivery of the academic mission by offering quality courses with an emphasis on outstanding instruction in a small class setting. UNM-LA Office of Instruction verifies that all faculty credentials align with HLC guidelines for instructor qualifications. In addition, Office of Instruction coordinates peer reviewed classroom observations of both live and online courses. As a result, instructors are provided with written feedback that also offers suggested improvements that can be implemented to increase the learning impact or teaching. Professional development is an important component of our faculty resources. New continuing faculty are invited to monthly professional development and mentoring sessions hosted by senior faculty. Activities with professional development content are organized at the beginning of each semester as part of the faculty orientation. The Faculty assembly also provides monthly professional development opportunities for all faculty on a variety of topics directly related to teaching and learning. Additionally, all UNM faculty and staff are required to complete online annual training modules.

UNM-LA assures ethics in fiscal management by following the procedures as described in Section Five of this document. As a summary, all purchase requests require the signature of a supervisor and of the UNM-LA Director of Business Operations. This two-fold signature requirement assures that all campus purchases are ethical and in line with the university mission. Additional steps in assuring ethical management of funds includes monthly review of all Instructional department expenditures.

- **How does the governance of this branch campus interact and communicate with HED, UNM-main, and the immediate communities that the branch serves?**

UNM-LA, as well as the other branch campuses has selected representatives to serve on HED committees, UNM main campus committees, and various regional and local organizations. This system allows interactions and communication between the campus and these organizations in a direct and personal manner. UNM-LA also communicates via email and telephone with representatives from HED, UNM Main campus and branch campuses as needed. The Dean of Instruction attends Dean's Council on main campus, the CEO attends monthly executive cabinet meetings; other campus individuals also attend various community and campus events. Additionally all branch campuses interact regularly with the Brach Campus Liaison, Dr. Dominguez.

The department of Student Services at UNM Los Alamos references NM Administrative Code and partners with the NM HED to apply consistent processes for determining residency for tuition purposes, qualifying financial aid and NM scholarships, and administering the Dual Credit program. UNM - Albuquerque serves as a main campus and provides supportive technology for the delivery of enrollment services such as admissions, registration, record archiving, academic advising and degree awarding. The main campus provides technological oversight and collaborates with UNM Los Alamos staff on policy and procedure review and development. Additionally, Student Services staff coordinate with partners at the other UNM Branches including Taos, Valencia, and Gallup through regular communication and formal meetings that rotate at each of the sites. UNM-Los Alamos Student Services staff also communicate with external regional institutions such as Northern New Mexico College and Santa Fe Community College to troubleshoot and share best practices in enrollment services

and academic advising. Students in Northern New Mexico tend to enroll and commute between each of these institutions so it is important that the institutions collaborate in order to provide support to the students.

2b. Communication of Policies, procedures, Curriculum, Degree Requirements
- **How do faculty, students, and staff access the policies and procedures that affect them?**

Policies and procedures that affect faculty, students, and staff are accessible online through the UNM and UNM-LA websites. The web sites include updated university catalogs that identify degree requirements and course descriptions. Faculty procedures are documented in the UNM-LA Faculty Handbook https://losalamos.unm.edu/instruction/faculty-handbook/index.html which aligns with main campus Faculty Handbook. Both handbooks are available online through the campus websites.

Students may reference the UNM Pathfinder student handbook for references on policies and procedures that affect them. This handbook is available online through UNM web site.

- **How are degree and certificate requirements published?**

Degree and certificate requirements are published on the UNM-LA website and electronically in the UNM-LA yearly Academic Catalog (also available at the UNM-LA web site). http://losalamos.unm.edu/catalog/index.html

The Academic Catalog is UNM-Los Alamos's primary, comprehensive single source of departmental, college and campus-wide information related to academic degree programs and certificates. Courses, degree programs, and policies that govern progress towards completion of a degree or certificate are described in the catalog.

2c. Risk Assurance
- **Do you have any systems or strategies for managing risk that are independent from those at UNM-Main? If so, please explain how they operate and who bears responsibility for them.**

UNM-LA adheres closely to the risk management strategies developed and suggested by main campus. Minors on campus are closely monitored. A background check is conducted on all faculty and staff who interact with minors enrolled in UNM-LA youth programs. Additionally, fiscal facilities staff closely monitor the facilities to ensure safety, security and proper maintenance of all buildings and equipment. UNM-LA is currently partnering with the Department of Justice on a grant for prevention of violence against women and is developing procedures to ensure campus safety for all students, faculty and staff.

- Safety committee
- Security camera system
- Excellent rapport with Los Alamos Police and Fire Departments

- Reserves to mitigate financial risk
- State insurance pools and policies in the event of significant loss

UNM-LA also manages risk by inspection and process review. Campus facilities are managed by physical plant staff and overseen by Bob Harmon, Director of Business Services. UNM-LA has a close relationship with the local police department and has worked with the local police department when necessary. Financial risk is mitigated through the campus reserves that would allow the campus to operate for up to one year without state funding and can handle most major event that would create a financial impact on campus. The campus is insured through the state insurance pools and is fully covered in the event of a significant loss. Clery Reports are filed as required.
http://losalamos.unm.edu/community/2017-campus-safety-and-security-report.pdf
accessed from this page:
http://losalamos.unm.edu/community/campus-safety.html

Question 3: Faculty Credentials and Promotion
- **How do you assure that faculty have the requisite credentials to teach courses?**

Credentials of all faculty are verified by the Office of Instruction mainly through college transcripts. For faculty already employed at UNM-LA, the Office of Instruction created a questionnaire to be completed by faculty that documents their credentials. These faculty members are also required to submit their college transcripts to the Office of Instruction, if not already on file. New job applicants for faculty positions submit transcripts as part of the application process. Office of Instruction has verified credentials via these submitted transcripts and questionnaires for all faculty at UNM-LA.

- **Where do you store/archive faculty credentials?**

All faculty credential information and documentation are stored in faculty employment files in locking file cabinets located in the Office of Instruction, building Six, UNM-LA.

- **How do you assure that faculty teaching dual-credit courses have the requisite credentials?**
- **Where do you store faculty credentials for faculty teaching dual-credit courses?**

Dual-credit Memoranda of Understanding between UNM-LA and our partner high schools have been developed and signed by the parties involved. These documents specify that dual credit instructors at the high schools meet the HLC credentialing standards. Data collected on the dual-credit instructors including questionnaires and transcripts are stored in the Office of Instruction along with our regular faculty records. At the current time, there are four non UNM-LA faculty who teach dual credit in the high schools. All four of these individuals meet HLC guidelines for teaching in their chosen fields. This number of outside faculty is sufficiently small to be monitored closely. All documentation verifying credentials has been

collected and is maintained in the Office of Instruction. The Dean of Instruction at UNM-LA verifies that faculty meet the credentials as specified by HLC.

- **What are your criteria for determining whether faculty may receive tenure and promotion and how do these criteria compare with those at the other branches and at UNM-Main?**

Performance criteria for determining whether faculty may receive tenure and promotion at UNM-LA are teaching excellence, service, professional development and personal characteristics. These criteria are consistent with criteria at the other branch campuses and align closely with criteria established at main campus. UNM-LA follows guidelines established in Section F90 and Sections B1 and B4 of the UNM Handbook regarding promotion and tenure. The local policy on Academic Freedom and tenure has been included as an attachment to this document.

The policy at UNM-LA was written in consultation with the corresponding policy in Section B of the UNM faculty handbook and similar policies of the other UNM Branch campuses. The categories in which faculty performance is evaluated at main campus are: teaching, scholarly work, service and personal characteristics. At a branch campus, in the absence of research funding, professional development is considered equivalent to scholarly work. This interpretation seems appropriate given that faculty at branch campuses have heavy teaching loads (30 credit hours per academic year = 1.0 FTE) and no funding for research.

4a. Curriculum and Assessment
- **What is your process for determining the need for changes or additions to the curriculum?**

UNM-LA follows a multi-step process for determining the need for changes or additions to the curriculum. For AA and AS programs, the curriculum is aligned with prerequisite requirements for entry into main campus programs. For example, the AA in Pre-Business aligns with application requirements for Anderson School of Management. As main campus requirements for entry into programs change, transfer programs are changed to maintain the alignment of requirements. Program requirements are also aligned with HED requirements for Associates' degrees. When HED revised the guidelines for Associate's degrees, UNM-LA worked diligently to reduce the required number of credit hours for an Associate's degree to sixty hours, while staying in compliance with entry requirements for transfer degrees at main campus.

The AAS degrees and certificate programs are reviewed and updated to reflect needed workforce skills and knowledge. UNM-LA works with Los Alamos National Lab, the largest employer in the region and other local businesses to identify needed job skills and requirements. AAS degrees and certificates are designed to match local work force demands, while simultaneously staying in compliance with HED requirements.

UNM-LA conducts annual program reviews to determine if programs are meeting workforce needs, transfer requirements and HED guidelines. All programs were reviewed in the Summer of 2016. A rotating schedule of annual program reviews to achieve a seven-year

rotation has been developed for reevaluation of all programs. Division Chairs in coordination with the Institutional Researcher and the Dean's office compile the data and create the report for the program reviews. These program reviews examine program relevance, the faculty members teaching in the program and their credentials, graduation rates, similarities to other programs, workforce trends, pass/fail rates in key courses required for the programs, materials and resources required for specific course work and the overall program operating costs. Based upon the data and the in-depth analysis of the program review, the Division Chair makes recommendations for maintaining, changing or eliminating a program.

Upon completion, the Division Chair submits the program review to the Dean's O, which assesses the program review and makes additional recommendations to the Division Chair for changes in the program, elimination of the program, etc. The Division Chair and Program Coordinator, if one is assigned, work together to implement the suggested changes. Any disagreement with suggested changes is discussed with the dean and Division Chairs, as necessary.

- **What is the actual process for making changes to Curriculum?**

After a Division Chair and the Dean of Instruction have determined what changes need to be implemented in a degree program, the Division Chair submits a detailed form showing side-by side comparison of the current and revised program requirements to the UNM-LA Curriculum Committee. The Curriculum Committee reviews the requested changes, makes suggestions as necessary and if approved returns the document to the Division Chair. An analysis is conducted to determine if the changes will impact other branch campus programs. If the changes affect other branch campuses, the Dean of Instruction consults with the Deans at the other branches. The Office of Instruction then submits the requested changes via required forms through Curriculum Workflow. Main campus Curriculum Committee then reviews the requested changes, verifies compliance with HED guidelines and approves or denies the changes. If the changes are approved, the revisions are included in the UNM-LA Course Catalog the following fall semester. If changes are denied, the request is revised and resubmitted the following year with any suggested changes included.

- **What is your process for evaluating and assessing AA programs, general education courses, certificates and courses (on the program and certificate level and on the course level)?**

Faculty members are provided with mandated HED student learning outcomes, UNM main campus student learning objectives and, when appropriate, articulation committee learning objectives. These learning objectives are evaluated through established course and program assessment processes.

General education and key program courses are assessed annually. Faculty members complete the course assessment reports using templates provided by the Office of Instruction. Course assessment reports are compiled by Program Coordinators and Division Chairs and utilized for program assessment. Program assessment plans and report templates are also provided by Office of Instruction. At UNM-LA, every program is assessed annually.

- **Are all of your programs up to date on Academic Program Reviews? Have you uploaded all current assessment reports and Academic Program Reviews to UNM's digital repository using guidelines provided by the Office of Assessment? Where do you house older assessment reports and APRs?**

UNM-LA conducts annual program reviews to determine if programs continue to meet workforce needs, transfer requirements and HED guidelines. We completed program reviews of every program in the Summer of 2016. We have now established a rotating schedule of annual program reviews to achieve a seven-year rotation schedule for reevaluation of all programs. All Program reviews are up to date.

Current assessment reports have been uploaded to the UNM digital repository. Academic program reviews were submitted to UNM One Drive. However, due to technical failures at main campus, UNM-LA has been asked to resubmit these reports to the digital repository and is in the process of resubmitting them.

Older assessment reports and APRs are archived on the UNM-LA network "S" drive. This network is only accessible from an on-campus computer. Additional copies of the reports are also stored on the Dean of Instruction computer and under the LA Assess back-up drive.

- **What are some of the challenges you encounter in managing curriculum needs and changes?**

The primary challenge UNM-LA encounters in managing curriculum needs and changes is aligning UNM Main campus requirements, HED requirements and local workforce needs. As a branch campus and community college, UNM-LA is dedicated to serving the needs of the regional workforce while also serving the needs of students who transfer to four-year institutions and need to meet entry requirements into four-year programs. Other challenges include faculty retention and recruitment in a rural area.

- **How do you determine workforce needs and how does this contribute to your development or cancellation of vocational certificates and courses?**

Workforce needs are determined through a variety of methods. As a community college, UNM-LA actively participates in community events and organizations, has a representative on a workforce task force and conducts market analysis of job postings in the Northern New Mexico region. UNM-LA also works with the Community Partnerships Office at LANL to determine the workforce needs of the region's largest employer. In addition, UNM-LA also collaborates with other local businesses to identify their in-demand job skills and requirements. AAS degrees and certificates are revised as needed to align with these local work force demands, while simultaneously staying in compliance with HED policies.

- **Can you provide one or two examples of successful implementation of curricular changes based upon assessment findings?**

Examples of successful implementation of curricular changes based upon assessment findings include changes to curriculum in both mathematics and in economics classes. As a result of an assessment report, the math department recommended the inclusion of more written homework assignments to increase the pass rates in core math courses such as college algebra and calculus. The analysis indicated that students were not performing as well on exams if their only experience with solving problems was limited to use of the online homework program (Pearson MyMathLab). The math department recommended additional written work to be completed and turned in to the instructor for grading. To give students the incentive to complete this additional work, it was incorporated as part of the final course grade. Student pass rates increased after these changes were implemented into the curriculum.

A second example of curricular changes resulting from assessment findings was the change of textbooks in the Macroeconomics course. Assessment findings indicated that the previous textbook did not adequately address all the learning objectives agreed upon by HED, UNM Main campus and the Articulation Committee. Following a textbook review process, a new textbook was selected and adopted that met all the required learning objectives for these courses. Additionally, as a result of assessment, the economics instructor now uses a rubric to evaluate the required research paper. The rubrics are posted on UNM Learn and available to students registered in the course.

- **What is your advisor to student ratio?**

Students enrolled in degree seeking programs are required to meet with an academic advisor each semester before registering for classes. This process supports our efforts to reduce time to graduation and provide student success resources including career exploration and retention services. There is one full-time advisor on staff which makes the advisor to student ratio appear to be 300:1, however, the unique structure of the department expands this ratio significantly. There are current 6 professional staff members in the department of Student Services. This includes staff with primary responsibilities in Recruitment, Admissions, Registrar, Academic Student Success (Student Services & Dean of Students), Academic Advising, and Financial Aid. Each of these 6 staff are formally trained to provide academic advising and can support students through degree exploration, course selection, and resolving of special issues. This model was developed out of necessity in order to provide coverage of services to students but has proven to deliver a true one-stop experience. The run-around that students often negatively experience at other institutions is almost non-existent at UNM Los Alamos where wrap around services can often be provided by one person or, at least in the same building. Students at UNM-Los Alamos experience a comprehensive support ratio that is closer to 50:1.

4.b. Student Grievances
- **Do you have a transparent student grievance procedure that students can easily find and follow?**

UNMLA uses the guidelines in the UNM Student Grievance Procedure section of the UNM Pathfinder for the resolution of student grievances. These procedures provide guidelines to address academic disputes between students and faculty and to handle student disciplinary matters. UNM pathfinder (available online) provides detailed information regarding the

grievance procedures. The categories of grievances addressed include academic disputes, academic dishonesty, disciplinary matters, and academic records disputes.

- **Where is the statement of the grievance procedure housed?**

The statement of the grievance procedure is found online in the UNM Pathfinder.

- **Do you collect regular data on student grievances (kind of grievance, date initiated, who addressed grievance, brief notes on resolution, date closed)?**

UNM-LA collects a variety of information about student grievances. This includes the type of grievance, date initiated, who addressed grievance, brief notes on resolution, date closed.

- **Where do you store/archive this information?**

Data regarding grievances related to Office of Instruction, academics, courses, instructors, grades or grading policies are stored in the Dean's office. Division Chairs also collect and store the information related to their individual divisions. This information is shared with the Dean's office who collects and assembles a master file on all grievances related to instruction matters.

- **Do you analyze this student grievance information?**

Student grievance information is analyzed to determine any trends. Individual Division Chairs analyze the data for trends within their own divisions or with specific instructors. The Dean's office analyzes the overall data to identify overall academic trends or issues with instructors who cross divisions. Appropriate steps are taken as deemed necessary to address the concerns.

- **Please identify any trends or patterns in student grievances from AY 2015 to AY 2018 and explain whether you are implementing changes to address these and, if applicable, what changes you are making?**

The most common grievance reported to the Office of Instruction is lack of timely communications between students and faculty. Faculty state that students do not check or respond to email communications regarding course policies and assignments. Student have stated that some faculty members do not reply to their requests via email in a timely manner. Students and faculty are referred to the course syllabi which state a time response policy to be followed by both faculty and students.

5. Financial Responsibility
- **Who is responsible for budget management and oversight (both a department/unit level and for overall branch)?**

Budget management responsibility falls on the officers of the campus, with the Director of Business Operations and Chief Executive Officer ultimately responsible for its development, reporting, and management. Department-level management varies based on the oversight levels preferred by campus officers. Reporting of budget and fiscal performance lies with the

Director of Business Operations, who interacts with Albuquerque campus budget officers and Higher Education Department officials.

At UNM-LA, the Dean of Instruction is responsible for budget management and oversight for all areas that fall under her purview including the Dean's index, the library, and all academic departments. Additionally, Division Chairs monitor and oversee their individual budgets. Year to date budget-spending printouts from Banner are provided to the Division Chairs at monthly meetings with the Dean. Division Chairs work closely with Program Coordinators to monitor spending. Additionally, department chairs or the Dean of Instruction signs requests for purchasing for Instruction. The Director of Student Affairs oversees the department of Student Services and is responsible for budget management and oversight.

Overall branch financial management, including budget management and oversight falls under the purview of the Director of Business Operations, Bob Harmon. He is responsible for verifying and approving or denying all internal purchase requests prior to those requests going to the purchasing department.

- **What entities receive Fiscal reports and according to what calendar?**

The primary reporting for the Los Alamos branch occurs with two entities: the New Mexico Higher Education Department, and the UNM Board of Regents. The New Mexico Higher Education Department requires quarterly reporting for fiscal activity; and annual reporting of actual expenditures, local mil levy revenues, and reserve fund balances. The Board of Regents receive fiscal reports for all of UNM on a monthly basis through the Facilities and Finance Committee as part of the overall reporting for UNM. The UNM Provost's Office reviews and reports on reserves and class course fees and there use annually. Other reporting includes: quarterly reporting to the UNM Los Alamos Advisory Board and as needed reporting to the New Mexico Board of Finance as required for capital project requests.

All instruction departments receive fiscal reports monthly. These are distributed at the monthly Division Chair meetings. Reports are prepared monthly at a minimum and more frequently toward the end of the fiscal year or during times of high volume purchasing.

The Director of Student Affairs has access to run fiscal reports on demand. Reports are run once per month to ensure beginning of year accuracy, review incoming charges, ensure that charges post to the correct area, and monitor remaining balances. Fiscal reports are printed more frequently during end of year monitoring and new year planning. The Director of Student Affairs coordinates with members of the executive leadership team to ensure that budget allocations are in alignment with strategic institutional goals

- **What systems of audit or oversight are in place to ensure financial ethics in addressing the academic mission?**

All purchasing requests must be signed by the supervisor of the individual making the requests. Individual faculty members requesting items for courses must obtain Division Chair signature and the Director of Business Operations signature prior to any item being

purchased. Department chair requests must be approved by the Dean and the Dean's purchase requests must be approved by the CEO. All purchasing requests must then have a secondary approval by the Director of Business Operations. This two-step process for obtaining approval prior to purchase of any item ensures financial ethics and compliance with the academic mission. Additionally, purchases identified as grant related are also subject to the two-level approval process to ensure compliance with grant related activities and within the score of UNM-LA academic mission.