



June 22, 2023

Mr. Glenn Martin Miller, Treasurer  
Union of Adjunct Faculty at Pace (UAFP)  
139 Fulton Street  
Suite 708  
New York, NY 10038

Case Number: 130-6023300( )  
LM Number: 543231

Dear Mr. Martin Miller:

This office has recently completed an audit of Teachers (AFT)- Union of Adjunct Faculty at Pace (UAFP) under the Compliance Audit Program (CAP) to determine your organization's compliance with the provisions of the Labor-Management Reporting and Disclosure Act of 1959 (LMRDA). As discussed during the exit interview with you and UAFP counsel [REDACTED] on June 8, 2023, the following problems were disclosed during the CAP. The matters listed below are not an exhaustive list of all possible problem areas since the audit conducted was limited in scope.

#### Recordkeeping Violations

Title II of the LMRDA establishes certain reporting and recordkeeping requirements. Section 206 requires, among other things, that labor organizations maintain adequate records for at least five years by which each receipt and disbursement of funds, as well as all account balances, can be verified, explained, and clarified. As a general rule, labor organizations must maintain all records used or received in the course of union business.

For disbursements, this includes not only original bills, invoices, receipts, vouchers, and applicable resolutions, but also documentation showing the nature of the union business requiring the disbursement, the goods or services received, and the identity of the recipient(s) of the goods or services. In most instances, this documentation requirement can be satisfied with a sufficiently descriptive expense receipt or invoice. If an expense receipt is not sufficiently descriptive, a union officer or employee should write a note on it providing the additional information. For money it receives, the labor organization must keep at least one record showing the date, amount, purpose, and source of that money. The labor organization must also retain bank records for all accounts.

The audit of UAFP's FY2022 records revealed the following recordkeeping violations:

1. General Union Disbursements

UAFF did not retain adequate documentation for union disbursements totaling at least \$6,100. For example, in May 2022 [REDACTED] provided services to the union for contract negotiations, statistical projections and assistance with the distribution of Pace remittances to the UAFP membership.

As noted above, labor organizations must retain original receipts, bills, and vouchers for all disbursements. The president and treasurer (or corresponding principal officers) of your union, who are required to sign your union's LM report, are responsible for properly maintaining union records.

2. Retention of Meeting Minutes

Meeting minutes of general membership meetings held during the audit period were not maintained.

Minutes of all membership or executive board meetings must be maintained, and the minutes must report any disbursement authorizations made at those meetings.

3. Lack of Salary Authorization

UAFF did not maintain records to verify that the stipends reported in Item 24 (All Officer and Disbursements to Officers) of the LM-3 reflected the authorized amount and therefore were correctly reported. Although stipends for the President, Vice President and Secretary are codified in UAFP's Bylaws, the Treasurer's stipend was not found.

The union must keep a record, such as meeting minutes, to show the current salary/stipend authorized by the entity or individual in the union with the authority to establish union salaries/stipends.

4. Failure to File Bylaws

The audit disclosed a violation of LMRDA Section 201(a), which requires that a union submit a copy of its revised constitution and bylaws with its LM report when it makes changes to its constitution or bylaws. UAFP amended its constitution and bylaws in 2017, but did not file a copy with its LM report for that year.

UAFF has now filed a copy of its constitution and bylaws.

Based on your assurance that UAFP will retain adequate documentation in the future, OLMS will take no further enforcement action at this time regarding the above violations.

Other Violations

The audit disclosed the following other violation(s):

1. Inadequate Bonding

The audit revealed a violation of LMRDA Section 502 (Bonding), which requires that union officers and employees be bonded for no less than 10 percent of the total funds those individuals or their predecessors handled during the preceding fiscal year.

The audit revealed that UAFP's officers and employees were not bonded for the minimum amount required at the time of the audit. However, UAFP obtained adequate bonding coverage and provided evidence of this to OLMS during the audit. As a result, OLMS will take no further enforcement action regarding this issue.

I want to extend my personal appreciation to the Union of Adjunct Faculty at Pace for the cooperation and courtesy extended during this compliance audit. I strongly recommend that you make sure this letter and the compliance assistance materials provided to you are passed on to future officers. If we can provide any additional assistance, please do not hesitate to call.

Sincerely,

A black rectangular redaction box covering the signature of the investigator.

Investigator

cc: Mr. William Quinlan, President