Presented by:
Huihui Tan, Accounting Manager
Health Sciences Unrestricted Accounting
May 17, 2024

SARM Revisions

Key Dates & Information for FY24 Year End Close

SARM – Original Document

- Developed in 2011

- Reference and procedural manual primarily for staff who are not accountants and who may have financial responsibilities as part of their job

- Revisions concentrated on removing outdated information. https://sarm.unm.edu/index.html

SARM Revisions and Updates

Step by step processes have been replaced, when possible, with links to various departments' websites that maintain Job Aids or other relevant information – e.g., Purchasing, Payroll, Property Accounting, Financial Services Management.

Broken links have been updated or removed.

References to policies have been updated.

Finally, there is some reorganization of folders and pages.

THE UNIVERSITY OF
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Standard Accounting Resource Manual

Standard Accounting Resource Manual (SARM)

Part I

UNM Finance: A Framework

Part II

UNM Accounting Basics

Part III

UNM Finance: Practical Applications

Search SARM   🔍

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SARM Organization

- Part I contains basic information about accounting in general and some particulars of UNM's organization, i.e., the FOPA structure.

- Part II goes into more detail about revenue, expense, methods of purchasing, and duties of departments and core offices.

SARM Organization

Part III is the "how to" section of the SARM.

It contains specific information about methods of purchasing, payments, revenue and expense transactions, journal vouchers, inventory, salary transactions, reports, and Contract and Grants processes.

Examples of entries and scenarios are included.

SARM – Part III – Business Purpose

The business purpose pages are relevant to all financial transactions conducted by UNM.

As a public institution, all monies spent by UNM must benefit the university.

All types of requests for payment as well as internal transactions require a business purpose that clearly states how the payment or transaction benefits UNM.

Example – Purchase Requisition

INADEQUATE

Adolf's repair service-fix doorframe

BETTER

Per Physical Plant, door frame requires repair. Adolf's repair service was selected because they specialize in doorframe repairs and can do the work this Friday, April 5, 2013.

BEST PRACTICE

Per Physical Plant, door frame requires repair. Adolf's repair service specializes in doorframe repairs and can complete the repair by this Friday, April 5, 2013. They offered lowest quote of three vendors asked. See attached.

Example – Chrome River Expense

INADEQUATE

Went to Alaska.

BETTER

Went to Alaska to gather data for study.

BEST PRACTICE

Went to Alaska to gather blood samples and case histories from isolated, rural Native Americans in the Alaskan tundra, per study requirements.

Final Comments about the SARM

We will be monitoring and updating the SARM on a monthly basis – including incorporating updates to financial platforms and reliability of links.

Please familiarize yourself with the SARM and encourage your staff, especially new ones, to do the same.

As always, we in the core accounting offices are always ready to help if you need it.

Key Dates and Information for FY24 Year End Close

CR Expense/Invoice and Pcard Reports

- ❖ **Important Dates**

- ❖ **Helpful Tips**

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CR Expense/Invoice Report Deadlines

Departments must submit by **10:00 PM Sun June 30**.

* * * * *

Departments must approve by **Fri July 5.**

* * * * *

Financial Services will review by **Wed July 10**.

PCard Report Deadlines

Departments must submit **AND** approve PCard Reports by **Sunday July 7**.

* * * * *

The PCard department will review and approve PCard Reports through **Wed July 10**.
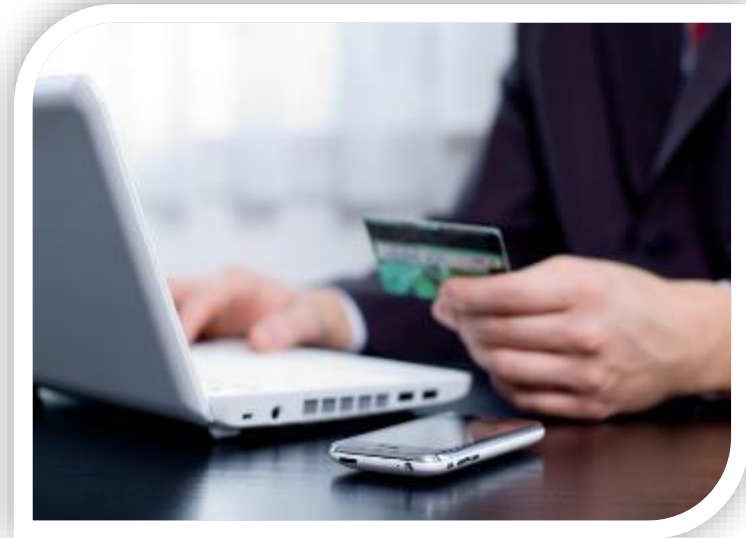
PCard Reports

Do not mix FY24 and FY25 purchases on the same report. Each report should contain only purchases from the same FY.

* * * * *

Include "FY24" or "FY25" in the name of your report.

Tips for Meeting PCard Deadlines

Complete

PCard purchases

*on or before **June 27**.*

Tips for Meeting PCard Deadlines

➢ Check your CR EWallet daily.

➢ Be sure to read PCard department emails. These will be sent daily beginning **June 1**to alert you to new items that need to be reconciled.

Tips for Meeting CR Deadlines

Add a daily reminder to your calendar to check on the status of all CR Reports.
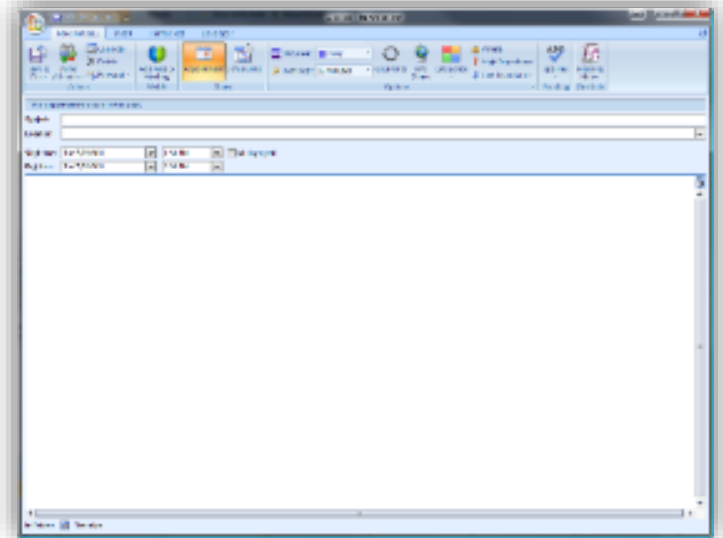
Journal Vouchers

❖ **Important Dates**

❖ **Helpful Tips**

Journal Voucher Deadlines

Departments must submit **AND** approve Journal Vouchers by **5:00 p.m. Mon July 8.**

$*$ $*$ $*$ $*$ $*$ $*$

Departments will have no ability to submit JVs from **5:01 p.m. July 8 to 8:00 a.m. July 19**.

$*$ $*$ $*$ $*$ $*$ $*$

Financial Services will review and approve through **Wednesday Jul 10.**

Helpful Tip

GREAT NEWS!

Sarah Martinez in SOM Finance Office will be available to enter material JVs for departments after **5:01 p.m.**
July 8 - pending Financial Services approval.

SMartinez@salud.unm.edu
2-0454

PHAREDS Deadlines

❖ All approvals must be completed by **5:00 p.m. Mon July 8**.

❖ PHAREDS access is removed from **5:01 p.m. July 8 to 8:00 a.m. July 19**.

NSAR Billing Deadlines

❖ All invoicing for FY24 must be entered by noon **Fri June 28.**

❖ NSAR backup must be emailed to HSC Unrestricted Accounting by noon **Fri June 28.**

Other Important Dates

Accounts Payable last day to cut checks for FY 24 is **Wed July 10.**

* * * * * *

Final FY24 MyReports will be available **Mon July 22.**

* * * * * *

Financial Services Support Center information will email periodic reminders on key dates.

Final Tip

If you haven't reviewed and reconciled your indexes …
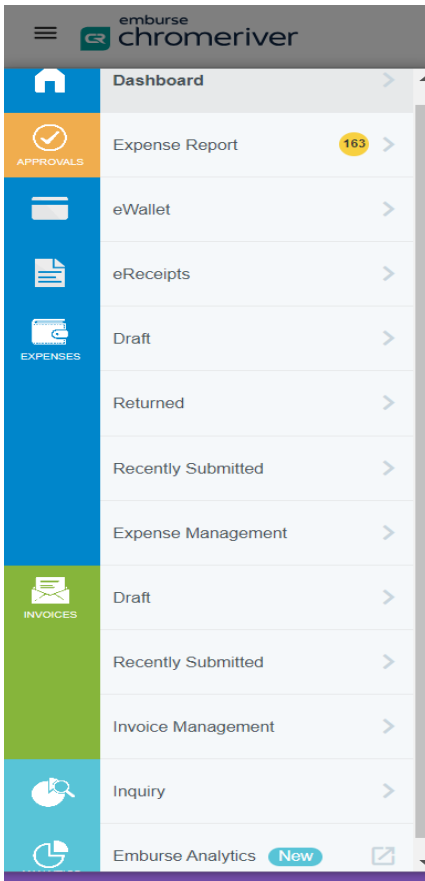
DO IT NOW!

Final Tip

If you haven't reviewed and reconciled your indexes …

DO IT NOW!

Fiscal Year End Key Items

Presentation By:

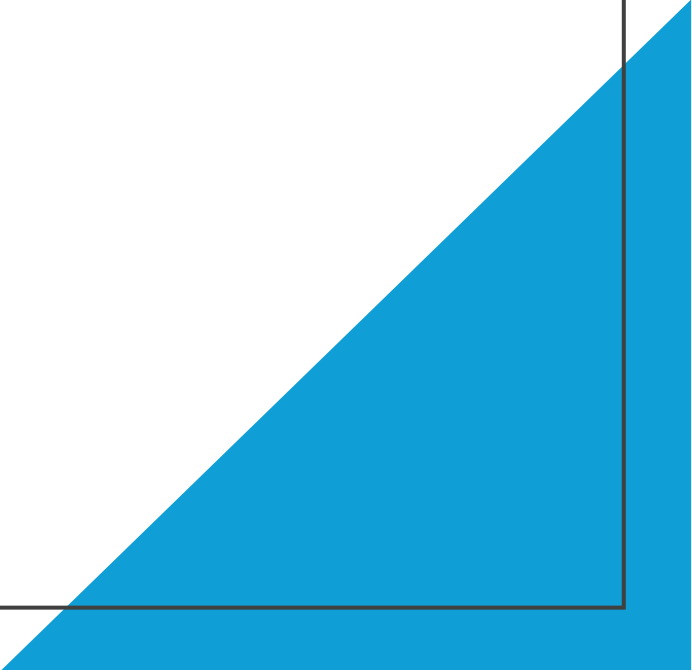Therese Sears

Fiscal Operations Director

Prepared by: Sarah G. Martinez, Financial Analyst

Key Department Fiscal Year End Tasks

- Clean up Departmental Indices (Restricted & Unrestricted)
  - Start the new fiscal year fresh
- Labor Redistributions
- Dean's Allocations
- Endowed and Non-endowed Spending
- Vital Invoices
- Purchase Order
- Clean up Outstanding Encumbrance (purchase orders)

Restricted & Unrestricted Financial Expenditure

- The reconciliation process for restricted and unrestricted indices is **expected to happen every month**, as soon as the banner month end close occurs.

  - Review spend rates by looking at budget to actual variances

  - Review salaries, verify for both Restricted & Unrestricted

  - Review and reconcile PCard purchases.

  - Review billing invoices, payments received, and outstanding payments that need to be collected on.

  - Review open encumbrances that will need to be cleared by year end.

Labor Redistributions

Review	Verify	Correct	Do NOT wait
Review names of employee's who should have salary charged to the index along with FTE percentage.	Verify with PI and administrator any discrepancies. • Wrong Employee, Faculty change or percentage. • Missing salary.	Correct Discrepancies (PHARED's or in Lobo Web).	Do NOT wait until year end to realign labor.

Annual Accrual

The annual leave accrual is part of expenditures on Dean's Allocations, as well as all other operational indices.

Remember to take amounts into consideration when reconciling all indices.

Dean Allocation Indices

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Review funding received from the Dean's Office.

Verify expenditures meet the intent of funding.

Clean up Expenditures on Dean's funding over budget.

Dean funding indices must net as close to zero as possible by year end.

I&G Balances

- **I&G Indices must net as close to zero by year end without going over!**

- Review I&G indices for over or under utilization.

- Determine if salaries need to be moved off the I&G index or if more salary should be moved onto to utilize the funding before it's too late.

- Process reallocation of expenditures, if necessary.

- Review expenditures for appropriate spending of I&G funding.

- Process Transaction Corrections (JVs) by department deadline.

  Refer to Fiscal Year End Close Schedule.
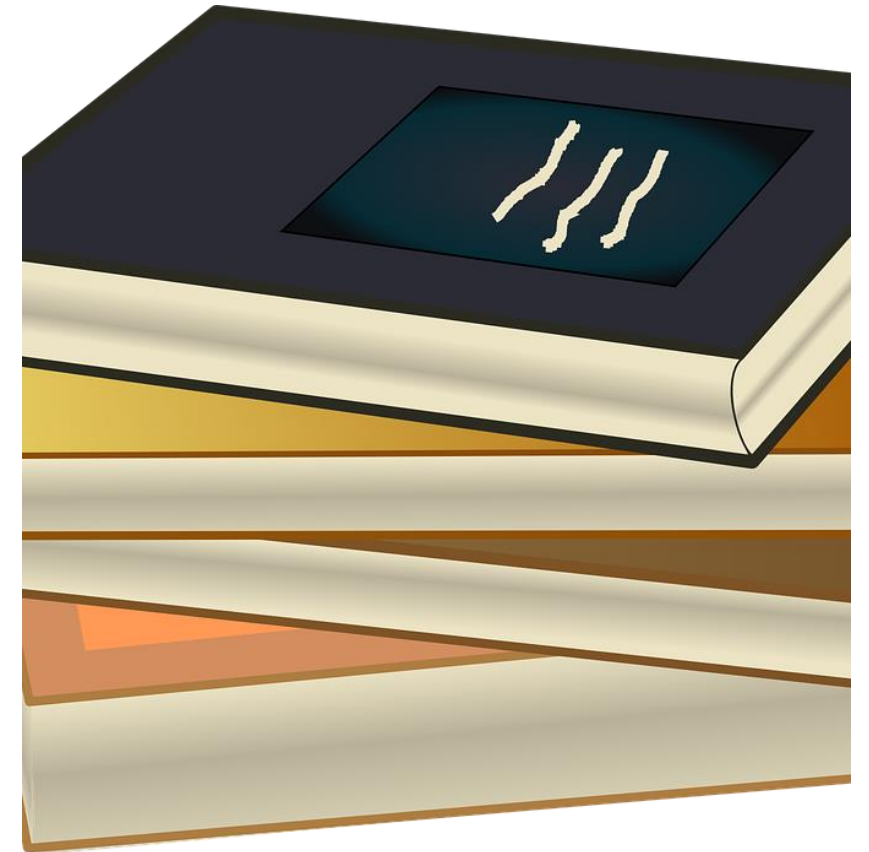
State Appropriations

- **State Appropriation Indices must net as close to zero by year end without going over!**

- Review for over or under utilization.

- Determine if salaries need to be moved off the index or if more salary should be moved on in order to utilize the funding before it's too late.

- Process reallocation of expenditures, if necessary.

- Review expenditures for appropriate spending of funding.

- Process Transaction Corrections (JVs) by department deadline.

  Refer to Fiscal Year End Close Schedule.

Endowed and Non-Endowed

- Spending is only allowed up to the amount provided by the Foundation on endowed indices.
- Endowed and non-endowed expenditures must meet donor intent.
  - Remember, monies spent must also comply with UNM polices.
- Allocations on endowed indices must stay withing the same program code.

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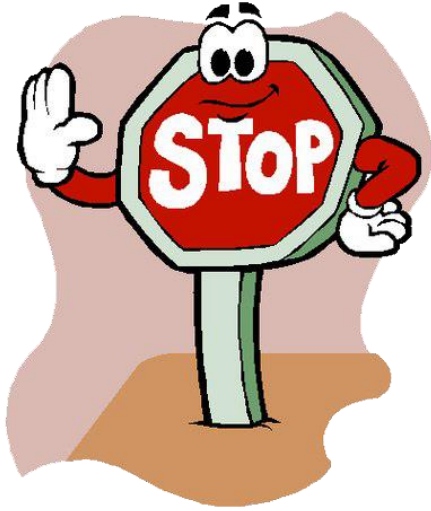
Important to Remember!

- **Foundation spending indices cannot be in deficits at year end**

Vital Invoices

Vital invoices negatively swing Department margins.

Reconcile Contract Service agreements and Materials to determine what is outstanding (if any).

Work with Vendors to obtain invoices prior to year-end.

Determine if accruals will be needed. (Provide Documentation for accruals)

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Purchase Orders/Chrome River/PCard's

Keep in mind deadline dates.

Purchases should be placed as early as possible to allow time for all Approver reviews.

Review pending approvals and follow up as needed.

Ensure vendor provides invoices in a timely manner and follow up on outstanding invoices.

Complete receiving in Banner timely, as goods are received, and services performed.

Transactions have not been finalized until receipts have been uploaded and approved.

Check CR eWallet and CR reports daily

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Encumbrances

- Run E-Prints FGIOENC to determine what encumbrances are open.

- Review all outstanding encumbrances to ensure accurate amounts roll into new fiscal year.

- Verify all invoices have been paid prior to closing out purchase orders.

Reserve Balance Cleanup

Review indices for positive/negative reserve balances which can be eliminated.

Deal with the balances this year so they don't roll into next year.
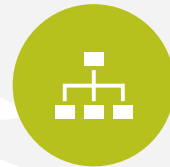
Prevent balances that will need to be dealt with during the Categorization of Reserves process.

Unutilized indices can only be closed if they roll into the new fiscal year with a zero balance!

Move balances with same funds/programs using 1903.

Process JVs by department deadline. ***Refer to Fiscal Year End Close Schedule.***

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Standard Operating Procedures (SOPs)and Other Reports

- **Year End Close Schedule:** https://fssc.unm.edu/resources.html
- **Labor Redistributions:** https://sarm.unm.edu/part-3/salary-expenditures/labor-redistributions-in-loboweb-self-service.html
- **Change Order Requests:** https://purchase.unm.edu/department-information/lobomart-job-aids/create-change-order.pdf
- **Change in Reserves:** https://sarm.unm.edu/part-3/journal-entry-revenue/1903-change-in-reserves-entry.html
- **Transaction Corrections:** https://sarm.unm.edu/part-3/business-purpose/correcting-entries.html
- **Helpful Reports:**
  MyReports:
  - **FORURBH – Unrestricted Balances by Index**
  - **FOROLDH – Operating Ledger Summary and FOROLDS – Operating Ledger Detail and Summary**
  - **FNRSLBE – Salary Labor Benefits Encumbrance Report**
  - **FORBAUF – Budget Availability for Unrestricted Funds/Indices**
  Eprints: FGROPNE – Open Encumbrances Report

- SOM Finance Dashboard
  - SOM Finance Dashboard - Smartsheet.com
- SOM Finance Email
  - SOMFinance@salud.unm.edu

SPO WEBSITE

https://hsc.unm.edu/about/finance/sponsored-projects/

❖ **Updates to Site in Progress**

Forms and Documents

- ❖ Internal Budget Worksheet (IBW)
- ❖ Proposal Templates (i.e., Biosketches, and NIH Face Pages)
- ❖ Links to F&A Waiver, Timeline Waiver and PI Change and Cost-Share Commitment Forms
- ❖ Sample letters to funding agencies (No-Cost Extension justification, change in effort, change of scope)
- ❖ Export Control Exclusion Screening Form

Policies & Guidance

- ❖ Current Federally Negotiated Indirect Rate Agreement (F&A Agreement)
- ❖ Memorandum for Other Pre-Approved F&A Rates (Local/State/IHS/VA/Non-Profit/Profit/Clinical Trials)
- ❖ Fringe Benefit Rates and Detail & Average Compensation Increase
- ❖ Proposal Submission Timelines
- ❖ Minimum and Maximum Effort guidance on Sponsored Projects

HEALTH SCIENCES

Most Requested Numbers & Information

https://hsc.unm.edu/about/finance/sponsored-projects/frequent-numbers.html

Dun & Bradstreet Number (DUNS)	829868723
System Award Management (SAM) Expiration	8/15/24
SAM Unique Entity ID (UEI)	G389MFAYJNG9
Tax ID or Federal Entity Identification Number (EIN)	85-6000642
UNM HSC OLAW Animal Welfare Assurance Number	OLD #: A3350-01 NEW #: D16-00228 • Renewed: April 5, 2024 • Expires: February 29, 2028
Albuquerque Congressional District	NM-001
AAALAC Accreditation	UNM HSC has been continually accredited by AAALAC since April 27, 1973
USDA Registration #	85-R-0014
UNM's Federally-negotiated F&A Cost Rate Agreement date	3/9/2022
UNM HSC Federalwide Assurance Number for the Protection of Human Subjects	• FWA0003255 Approved: 5/21/2015 • Expires: 3/26/2026
AAHRPP Accreditation	• Renewed: 3/15/2021 • Expires : 3/15/2026
NRC # (radioisotopes)	BM233-51

Institutional Profile Number (IPF) for HSC	10021612
Commercial and Government Entity Code for HSC	5DF80
Department of Defense Contractor Establishment Code	603769829
DHHS - Payment Management Service (PMS)	6X09
New Mexico Gross Receipts Tax Number	• 01-504-447-00-5 Location Code: 55-055
New Mexico Unemployment Number	52-0188-0
North American Industry Classification System (NAICS) Code	611310
NSF Institutional Code	5300004468
NPI (National Provider Identifier)	1639325996
Standard Industry Code (SIC)	8221
Merchant Category Code (MCC)	8299
UNMHSC's State Purchasing Vendor ID	• #0000054450 Address to HSC Financial Services/MSC09 5220 • Also known as "Share Vendor Number"
Federal Interagency Committee on Education (FICE) Institution Code	10313

Grants/Proposals

Applicant Organization for Funding Requests/Proposals	Signing Official for Proposals
University of New Mexico Health Sciences Center MSC 09 5220 1 University of New Mexico Albuquerque, NM 87131-0001	Stacy Catanach, MBA, CRA Associate Director, SPO University of New Mexico Health Sciences Center MSC 09 5220 1 University of New Mexico Albuquerque, New Mexico 87131-0001 Phone: (505) 272-9383, Fax: (505) 272-0159 E-Mail: HSC-Preaward@salud.unm.edu

Contractual Agreements

Institution Legal Name for Contracts	Signing Officials
"The Regents of the University of New Mexico" ** Append the legal name with the phrase, "for its public operation known as the Health Sciences Center" in the first paragraph of all contracts for HSC	Signing Official for Incoming/Outgoing Subawards: Stacy Catanach, MBA, CRA Associate Director, SPO University of New Mexico Health Sciences Center MSC 09 5220 1 University of New Mexico Albuquerque, New Mexico 87131-0001 Phone: (505) 272-9383, Fax: (505) 272-0159 E-Mail: HSC-Preaward@salud.unm.edu Signing Official for Material Transfer, Data Use, Confidential Disclosures: Hengameh Raissy, Pharm.D Interim Vice President for Research, HSC University of New Mexico Health Sciences Center MSC 09 5220 1 University of New Mexico Albuquerque, New Mexico 87131-0001 Phone: (505) 272-9383, Fax: 272-0159 E-Mail: HSC-Preaward@salud.unm.edu

SPO Smartsheet Request Dashboard

https://app.smartsheet.com/b/publish?EQBCT=4f00dd018089403aadaa5d9cf6336e2a#Smartsheet%20Dept%20Dash

UNM HEALTH SCIENCES

Sponsored Projects Department Dashboard

Forms

- F&A Waiver Request Form
- Timeline Waiver Request Form
- PI Change Process Form
- Cost Share Commitment Form
- Cost Share Commitment Form - Instructions
- SPO Report Request Form

Don't see your request? Click the links below:

- View Submitted F&A Waiver Requests
- View Submitted Timeline Waivers
- View Submitted PI Change Requests
- View Submitted Cost Share Commitment Requests

Instructions

- F&A Waiver Form Instructions
- Cost Share Commitment Instructions

Note: Column name corresponds with the current status. (I.e. If under Department Chair the status is "Submitted", that means the request is with that person pending approval)

UNM HEALTH SCIENCES

Check Status of Routed Document:

F&A Waiver Department Report

Primary	Department Chair or Dean Name	Sponsor	Department Chair or Dean Email approval	SPO approval	Raissy approval
FP00013205	Tracie Collins	COPH	Submitted		
FP14392	Loretta Cordova de Orte	American Academy of Pe	Submitted		
FP00014568	Loretta Cordova de Orte	Hemophilia Alliance Fou	Approved	Approved	Submitted
FP00014967	Gehron Treme	Arthroscopy Association	Approved	Approved	Submitted
FP00014932	Nancy Pandhi	NIH / National Center for	Approved	Submitted	

Timeline Waiver Department Report

PI Name or PI Designee Name	Sponsor	Dr. Raissy Approval
Andrew Rowland	NM Department of Health	
Francisco Soto Mas	USDA	Submitted
Francisco Soto Mas	USDA	Submitted
Rebecca Rae	NM Community Capital	Submitted
Jessica Valdez	St. Baldrick's	Submitted
Dustin Richter	University of Minnesota	Submitted
David Lardier	SAMHSA to NM PED	
Xiang Xue	Route 66 Endometrial Ca	Submitted
Avinash Sahu	NIH	Submitted
Kimberley Leslie	NIH/NCI	Submitted
Christina Yarrington	American College of Obs	
Christina Yarrington	American College of Obs	

PI Change Request Department Report

Grant #	Fund #	Sponsor Name	Original PI Name approval	New PI Email approval	Department Chair approval	New Department Chair approval	Dr. Raissy approval
3GR60	3RGR6	New Mexico Cancer Can			Submitted		
3RNE4	3NE40	University of Pennsylvan	Submitted				
3RV91	3V916	Anonymous Non-Profit F	Approved	Approved	Submitted.		
3RFY5	3FY50	Genentech, Inc.	Submitted				
3RMP7	3MP70	New Mexico Early Childh	Submitted				
3RHK6	3HK62	New Mexico Department		Submitted.	Approved		
3RZ74	3Z743	DCI Dialysis Clinic, Inc.	Approved	Approved	Submitted.		
T08HP30225	3BB46	Jessica Stanton	Approved	Submitted			
3RKR4	?	Bernalillo County	Submitted				
3RQR6	3QR60	Falling Colors Corporatio	Submitted				
3RKW2	3KW20	NIH			Submitted		
1233	123	saldkfja	Submitted				
FP00007844 (in process	FP00007844 (in process	Public Health Information			Submitted.		

Cost Share Commitment Status Report

Proposal Title	FP Number	PI Name	Department Name	Dept Admin/Accountant Email approval	Department Chairperson Email approval	Sponsored Projects Office approval	VP for Research approval
Role of Extracellular	14412	Manoochar Soleimani	Internal Medicine	Approved	Approved	Approved	Approved
CATCH - Car Seats fo	FP00014484	Tara Neubrand, MD	Emergency Medicine	Declined			
COVID CKD Vaccine	FP14377	Christos Argyropoulos	Internal medicine	Approved	Approved	Approved	Approved
Formation of memory	FP00013498	Samuel McKenzie	Neurosciences	Approved	Approved	Approved	Approved
Formation of memory	FP00013498	Samuel McKenzie	Neurosciences	Declined			
Trauma-informed Pall	13630	L Emily E Cotter	Internal Medicine	Approved	Approved	Approved	Approved
X Studio Career Path	FP-14295	Amy Greene	Family and Community M	Approved	Approved	Approved	Approved
LDS - Pharmacy – He	FP00014125	Krystal Ward	College of Pharmacy	Approved	Approved	Approved	Approved
NM Access to Behavi	FP11387	Marcia Moriarta, Psy.D	Pediatrics Center for Dev	Approved	Approved	Approved	Approved
NM Access to Behavi	FP11387	Marcia Moriarta, Psy.D.	Pediatrics Center for Dev	Approved	Approved	Approved	Approved
Surgical Timing and F	FP00014208	Dustin Richter	Orthopaedics	Approved	Approved	Approved	Approved

SPO Report Request Form

https://app.smartsheet.com/b/form/4567a6cae7fa43d5aa23f9a4349dc6ac

UNM HEALTH SCIENCES

SPO Report Request

Requestor Name *

Requestor Email *

School/College *

Department (if not applicable, write NA): *

Information required: *
- ☐ Awards
- ☐ Proposals
- ☐ Both

Purpose of report, i.e., what are you trying to answer with this data?: *

Do you need specific reporting fields for your report (e.g., PI, Sponsor, Award Date, Grand Totals, etc.): *

Time period of information:

Any additional notes/comments you would like to provide?

Is there a deadline date for this report? (Typical turnaround time for SPO Data Requests is 10 – 15 days, please allow this time for your planning): *

☐ Send me a copy of my responses

Submit

HSC SPO/PreAward Updates, sent every Friday via email

Subscribe here: https://app.smartsheet.com/b/form/57a9331e2e3c48dd838e696186987d98 or email Sean Gonzales at: sgonzales@salud.unm.edu

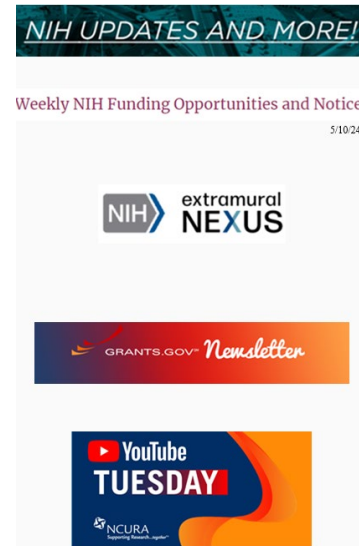Important Announcements and Notices regarding Sponsored Project Administration

Training Schedule, with dates and times

Agency Notices and Announcements

SPO Corner – Tips and helpful hints from SPO's experienced Specialists

Infographic 1: Life Cycle of an Incoming Subaward

LIFE CYCLE OF AN INCOMING SUBAWARD

PRESENTED BY

UNM HSC SPONSORED PROJECTS OFFICE

01 Initiation

The Prime applicant or Pass-Through Entity (PTE) provides a list of necessary items needed to complete The University of New Mexico Health Sciences Center's (UNM HSC) portion of the proposal.

02 Planning

This would include some or all of the following documents to be completed and uploaded to the Click record:

- Statement of Work (SOW)*: the SOW will contain a detailed description of the work to be performed by UNM HSC personnel including proposed timeline and deliverables.
- Internal Budget Worksheet (IBW)*
- Budget justification*

**Note: ALL documents listed are required for internal purposes even if the PTE does not request it

03 Execution

- Sponsor approves the proposal and sends an agreement or contract.
- Your Contract Specialist will begin the negotiation process
- Once agreement is fully executed it is returned to the Sponsor and the Click record is awarded.

04 Monitoring

- Your Fiscal Monitor will work with you to obtain your index and submit invoices for payment to the the Sponsor
- The Sponsor will monitor PI to assure that invoices and progress reports are submitted in a timely manner.

How to Contact Your Assigned HSC Sponsored Projects Specialist

If you have any questions or concerns, please don't hesitate to get in touch with your designated HSC Sponsored Projects Specialist. You can find the list of Specialists either through this URL or by visiting the HSC SPO website.

Infographic 2: Applying for a Grant

APPLYING FOR A GRANT

INTERNAL UNMHSC STEPS FOR GRANT APPLICATIONS

hsc-preaward@salud.unm.edu

2+ weeks before the due date (the earlier the better)
- have budget in mind and ready to enter into the most current IBW (always check the SPO website)
- ask any collaborators to have items back to you
- start filling out the application & ensure you know all the needed documents
- start and complete click record, then submit for department review
- apply for any needed waivers (F&A, Export Control, F&A splits, etc)

10 business days before the due date (NIH grants only. for non-NIH grants, this is required 5 business days before the due date)
- ensure click record has been approved & the status is SPO Review
- ensure finished IBW is uploaded in click record
- ensure application is filled out. Everything but the science is due at the 10 business day deadline. This typically includes:
  - each section of the application
  - the full budget & subaward budget for all periods, and all required budget justifications
  - biosketches

PLEASE NOTE: The items in the highlighted bullet points do not *need* to be uploaded to the click record. They can be, for your reference, but they are required in the application at the 10 business day deadline.

10 - 5 business days before the due date
- finish up all attachments
- notify your SPO grant representative if there are any changes to the budget, personnel, etc
- upload any waivers to click record

5 business days before due date (2 business days for non-NIH)
- make sure the application is finalized
  - all attachments are in application
  - errors have been resolved
  - no changes need to be made

2 business days before due date (1 business day for non-NIH)
- application is ready for submission
- application is submitted early to ensure that there is time to fix any issues that may arise on the back end

due date
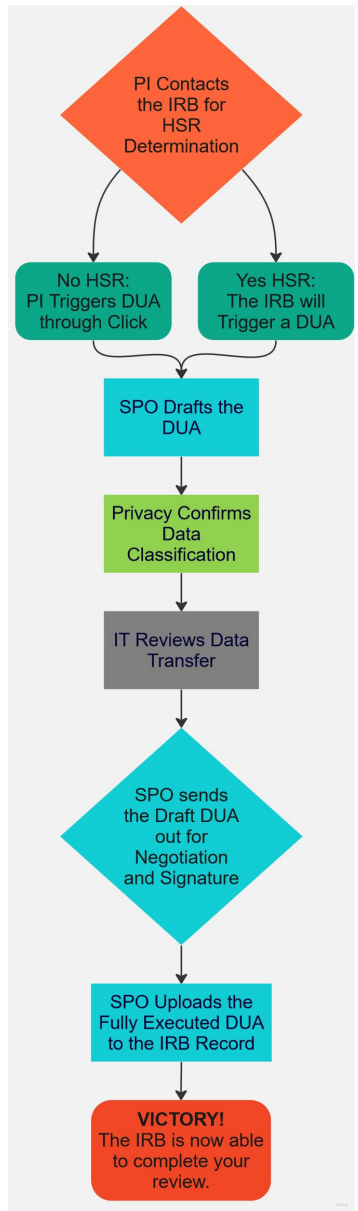- everyone is relaxed because the application was submitted early

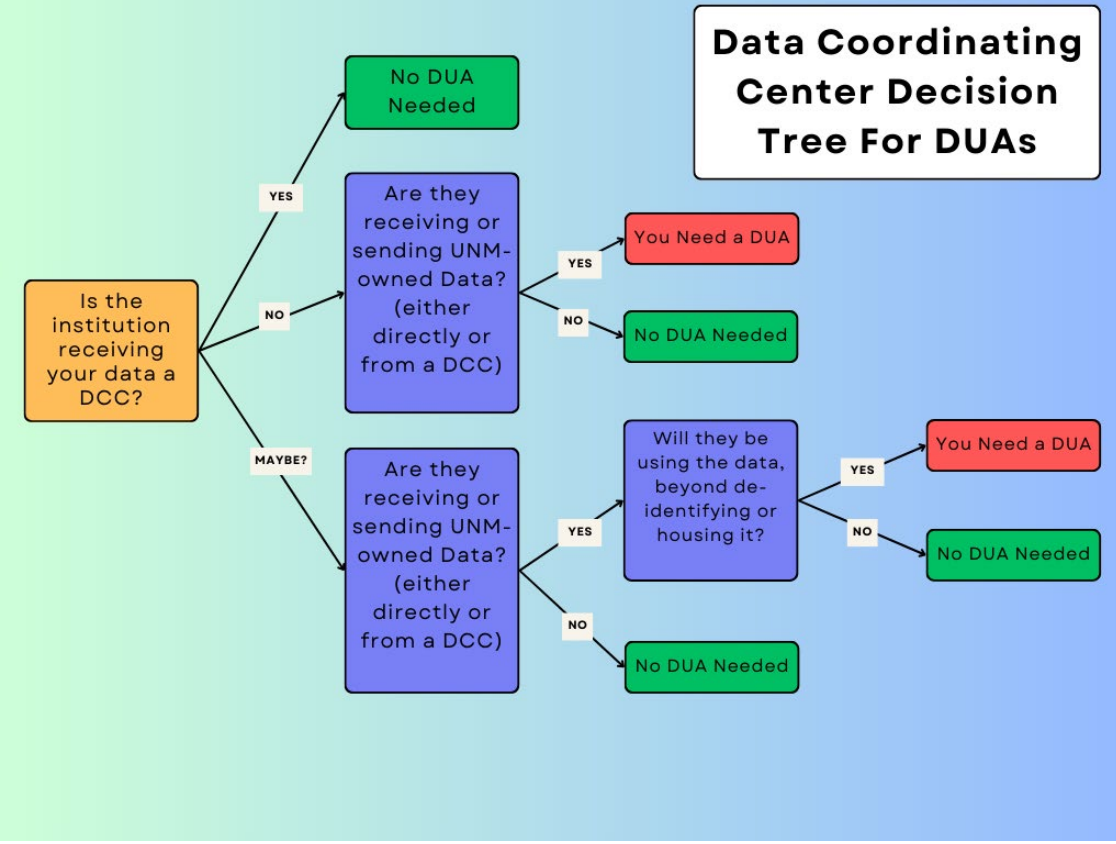## Infographic 3: MTAs vs. Purchase Agreements

Material Transfer Agreements (MTAs) VS. Purchase Agreements

A Helpful Hint from Siiri Wilson

Any transfer of tangible materials into or out of the University requires an executed contract. However, not all transfers require an MTA contract. How does a PI know if they need an MTA or a Purchase Agreement to transfer tangible materials?

Material Transfer Agreements (MTA)	Purchase Agreements
1. Involves an unfunded research collaboration.	1. Involves a services agreement.
2. Does not involve clinical services or a clinical trial agreement.	2. Uses available funding to purchase materials.
3. Should not contain payment terms and conditions beyond shipping and handling.	3. Materials are requested from a company in the business of selling materials.
4. Defines ownership and usage of materials.	4. Contains detailed payment terms and conditions.
5. Defines existing and arising intellectual property rights.	5. Generally, releases ownership of materials and does not define usage.
6. Defines publication rights.	6. Should not discuss Intellectual Property or Publication rights.
7. Is reviewed by SPO.	7. Is reviewed by Purchasing.
8. Is signed and approved by the Vice President of Research.	8. Is signed and approved by Purchasing.

DATA USE AGREEMENT (DUA) DECISION TOOLS

When do you create a Click ERA record for continuing CTA/Contracts/Incoming subaward projects?

Will there be additional funds issued to the University?

YES

NO

Will there be additional time added to the project?

Will there be additional time added to the project?

YES

NO

YES

NO

Department will create a follow on submission for a non-compete continuation off of the parent record

Are the funds being used for a specific purpose i.e Admin supplements, addition in SOW or Personnel?

Create a NCE on the current record

No new record necessary. Everything will be uploaded to the current record.

YES

NO

Department will create a follow on submission for a specific supplement off of the parent record

SPO specialist will create a non-specific supplement.

HEALTH SCIENCES

Life Cycle of a Sponsored Project

LIFE CYCLE OF A SPONSORED PROJECT

START
PI identifies or seeks a funding opportunity through available resources/online databases.

PI can request a meeting with SPO to discuss funding requirements.

DEPT/PI
PI/Dept Submits through Click ERA.
Ensures that full consideration has been given to the proposed project including commitment of time and resources required to complete the proposed work - including, space, equipment, facilities, personnel, security issues

SPO
SPO receives proposal within SPO deadlines including draft proposal in grant platform, i.e. ASSIST, final budget, collaboration documents, letters of support, compliance documents

SPO
SPO Approval/Signature
Review for accuracy and completeness
SPO comments or negotiates proposed language prior to submission
Submits to sponsor if required
Obtains signatures for contracts

SPO
Award Received
Sponsor notifies SPO of Award
Final Negotiations/Execution of contract
Acceptance of award
Forward to C&GA Acct for account set-up - **SPO Process Complete**

C&GA ACCTG.
Grant/Fund Set-up in Banner
Review terms and conditions to ensure accurate set up in system
Index Request
Notice to PI/Dept of Index #
Sig Auths through Click ERA

C&G ACCTG.
C&GA reviews expenditures, completes billing, and fiscal reporting - financial management of award

END
End of Project
Request No-cost extensions
Request approval for carryforward
OR
Prepare for Closeout

Research Performance Progress Report (RPPR) Checklist

The RPPR is used by recipients to submit progress reports to NIH on their grant awards. This checklist will assist with completing the RPPR for submission.

For an annual RPPR Submission, a follow-on, non-competing continuation Click record should be created from the parent Click record. For a refresher on how to create a follow-on record, check out page 79 of the training deck on the SPO website (under Training > Click Department Training Guide).

The Click record and the beginnings of the RPPR are due to the SPO department 5 business days before the due date. Check out the Proposal Submission Timelines on the SPO website, under Policies and Guidance, for more information.

The NIH's website has more information on the RPPR process, including a link to a full Instruction Guide.

A. Cover Page

	Administrative Official (Stacy Catanach)
	Signing Official (Jessica Stanton or Susan De Los Santos)
	Human Subjects (this requires a second form to be completed in ASSIST).
	Vertebrate animals (should match previous RPPR or original application)

B. Accomplishments

	Make sure each section is filled out. If there is nothing to report, you will be provided the option to indicate it.

C. Products

	Make sure each section is filled out. If there is nothing to report, you will be provided that option to indicate so.
	All products are required to be in "Compliance" with the NIH Public Access Policy which can be accessed here: https://publicaccess.nih.gov/

D. Participants

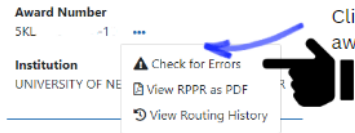|	
	In D.1. All PIs, Co-Investigators, Post-Docs, Grads, and Undergrads need to have their era Commons ID listed. If you do not know your Commons ID, please contact your assigned Grant Specialist for your department and they can assist.
	Everyone listed in D.1. must have their effort listed under Cal(Calendar months). Verify this hasn't changed more than 25% from the previous RPPR or original application. If it has changed more than 25%, D.2. should be answered as "yes"

E. Impact

	All questions should be answered. If there is nothing to report or it is not applicable, you will be provided that option to indicate so.

F. Changes

	All questions have to be answered.
	If human subjects or vertebrate animals from the cover page doesn't match the previous RPPR or application, this is where the change is noted.

G. Special Reporting Requirements

	Each section has to be completed.
	If there are human subjects, G.4. will be populated and contain the link to the Human Subjects System (HSS) report in ASSIST.
	If there are any people listed in D.1. who weren't on the previous RPPR or original application AND there are human subjects, this should be marked 'yes'
	G.8. should have UNMHSC as the primary location and then any subawards should also be listed. (UNMHSC & any subawards should only be listed once. If it is listed more than once, it will cause errors when we try to submit.)
	UEI and Congressional Districts are required for all locations, if any are blank, it will cause an error. You can find this information on the SPO website under Frequently Requested Numbers.
	In G.12., list the applicable F&A rate.

	Click on the 3 dots next to the grant award number and check for errors.
	Route to your SPO specialist. (Only the PI has access to do this.)

Non-Snap Progress Report Checklist

Progress reports for Non-Snap awards include a few additional sections.

For an annual progress report submission, a follow-on, non-competing continuation Click record should be created from the parent Click record. For a refresher on how to create a follow-on record, check out page 79 of the training deck on the SPO website (under Training > Click Department Training Guide).

The Click record and the beginnings of the RPPR are due to the SPO department 5 business days before the due date. Check out the Proposal Submission Timelines on the SPO website, under Policies and Guidance, for more information.

If an award is **not** issued under the SNAP provisions, the progress report is due the first of the month preceding the month in which the budget period ends (e.g., if the budget period ends 11/30, the due date is 10/1).

The NIH's website has more information on the RPPR process, including a link to a full Instruction Guide.

H. Budget

	A drop down menu provides access to the budget forms. Fill out all relevant information, including the budget justification in section L. The justification should include detail on any significant changes.
	Add subawards, if applicable. If subaward budgets are completed, the system will not calculate the budget line item F.5 for the main budget. Total consortium costs for the main budget MUST be computed and entered manually into budget line item F.5

Subawards

ClickERA Agreements

NM HEALTH SCIENCES							Hello,
My Inbox	COI	Grants	Agreements	IRB	Site Administration	Contact Us	

Contact Us

Root > Home   ▪▪ Components   ⚙ Properties   🔒 Permissions   🔊 Subscribe

❖ Link to CLICK Agreement Training Guide

❖ NIH Policy and Compliance Topics: Subawards

   https://grants.nih.gov/policy/subawards

❖ Differentiating between a subrecipient/
vendor/consultant

❖ Updated Subrecipient Commitment Form

https://hsc.unm.edu/_media/pdfs/sponsored-projects/Subrecipient-Commitment-Formupdated%20Feb.%202024.pdf#Sub-Recipient%20Commitment%20Form%20(PDF)

Subrecipient	Vendor or Contractor	External Consultant
An entity that has agreed to work in collaboration with the UNM PI to perform a substantive portion of the programmatic effort on an award.	An individual, business, or other entity, which supplies products or services to the University.	An individual or business whose expertise is required to perform the project. Services are temporary and special or highly technical.
Uses sponsor funds to carry out a program rather than provide a good or a service	Fee for goods or services	A vendor-type relationship where an individual or company is retained to provide professional advice or services on a project for a fee.
Intellectually significant portion of programmatic effort	Provides similar goods or services to many different purchasers	Service provided within normal business operation
Responsible for programmatic decision making	No programmatic decision making and is not responsible for research results	No programmatic decision making, but uses knowledge and expertise in field
Work performed by the subrecipient's personnel, using their personnel at their facilities	Normally operates in a competitive environment	Paid for their time at a daily or hourly fixed rate. Costs for an independent contractor should include all associated costs, including New Mexico gross receipts tax.
Responsible for same regulatory and compliance requirements as prime recipient	Is not subject to sponsor compliance regulations	No stake in outcome of project and is not responsible for designing, developing or reporting the research
	Provides goods or services that are ancillary to the operation of the research project	Non-UNM entities or person(s) licensed to do business in the State of New Mexico. (UNM employees CANNOT be paid as consultants on UNM projects.)

Subaward Specialist Contacts:
(All Departments): Madison Dow – mlewis2@salud.unm.edu
(Cancer Center): Dean VonFox – dvonfox@salud.unm.edu
(ECHO): Kenia Aguilar-Pineda – kaguilarpineda@salud.unm.edu

SUBRECIPIENT COMMITMENT FORM

INSTITUTION	PROJECT	
Legal Name and Address (in SAM.gov)	Address where research will be performed ☐ Same as legal address	
Zip+4	Zip+4	
Congressional District	Congressional District	
Subrecipient PI:	UNM HSC PI:	
Subrecipient Administrative POC:	Phone:	Email:
Unique Entity Identifier (UEI) #	DUNS#:	EIN#
FDP Member ☐ Yes ☐ No	Proposed Project Dates:	
Type of Organization: US Non-Profit/University ▼	Total Subrecipient Costs:	
Prime Sponsor:		
Project Title:		

PROPOSAL COMPONENTS
The following documents are included in our proposal submission and covered by the certifications below

Required Components
- ☐ Scope of Work — Attach SOW
- ☐ Detailed Budget — Attach Detailed Budget
- ☐ Budget Justification — Attach Budget Justification

As Applicable Per Sponsor Requirements
- ☐ Key Personnel Biosketches — Attach Biosketches
- ☐ Current & Pending Support — Attach Current & Pending Support
- ☐ _____ Attach Other Document
- ☐ _____ Attach Other Document

A. TECHNICAL INFORMATION

1. SUBRECIPIENT CLASSIFICATION
The requirements and responsibilities of a UNM HSC Subrecipient are different from those of a vendor

Subrecipient	Vendor (Consultant, Contractor)
Responsible for significant programmatic decision-making	Provides goods and services within normal business operations
Responsible for adherence to applicable sponsor compliance requirements	Provides similar goods or services to other customers
Uses sponsor funds to carry out a Scope of Work	Provides goods or services that are ancillary to UNM HSC's sponsored project
Statement of Work may result in intellectual property or publishable rights	Is not subject to compliance requirements of Sponsor

☐ YES ☐ NO Our organization is properly categorized as a subrecipient based on our scope of work

2. COMPLIANCE
Our scope of work includes:

☐ Human Subjects	Approval Date:	☐ Pending — Attach IRB Approval
☐ Human Stem Cells	Approval Date:	☐ Pending — Attach Stem Cell Approval
☐ Animal Subjects	Approval Date:	☐ Pending — Attach IACUC Approval
☐ Personally Identifiable Information (PII)		
☐ Protected Health Information (PHI)		

☐ YES ☐ NO If human subjects are involved, have all key personnel completed Human Subjects Training

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B. BUDGET INFORMATION

1. PROPOSED SUBRECIPIENT COSTS

Subrecipient Costs	Initial Budget Period	Entire Project Period
Direct Costs		
Indirect Costs (F&A)		
Total	$ 0	$ 0

2. FACILITIES AND ADMINISTRATIVE RATES Select one:
- ☐ We have applied our federally negotiated F&A Rates; our negotiated rate agreement is:
  - ☐ Attached , Attach F&A Rate Agreement ☐ Available at:
- ☐ We do not have a federally-negotiated Rate Agreement but have applied:
  - ☐ A negotiated rate with UNM HSC per the attached documentation — Attach Negotiated F&A Rate Agreement
  - ☐ A 10% de minimis rate
- ☐ We have applied other rates as required by the prime sponsor/policies/guidelines

2a. Federally Negotiated Indirect (F&A) Rate: _____   2b: Federally-Negotiated Indirect Rate Agreement Date: _____

3. FRINGE BENEFIT RATES Select One:
- ☐ We have applied Rates consistent with or lower than our federally-negotiated rates. Our negotiated Rate agreement is:
  - ☐ Attached , Attach Fringe Agreement ☐ Available at:
- ☐ We do not have a federally-negotiated rate and have applied actual fringe benefits (specify the categories below)
- ☐ We have applied other rates (Specify the basis on which rates have been calculated, including elements used below)

4. COST SHARING
☐ YES   NO   Amount: _____   Cost sharing amounts and justification should be included in the subrecipient's budget

C. AUDIT COMPLIANCE

1. ☐ YES ☐ NO   **My Organization is a non-federal entity that is subject to the single audit requirement.**
   See URL: § 200.501 Uniform Guidance Audit Requirements

If you answered "Yes": provide the following information:

Most Recent Audit report is available in the Federal Audit Clearinghouse on this URL: _____

Most Recent Audit report is available on this URL: _____

Our Audit report, with independent auditors' report for single audit for subject fiscal year has been completed. Material weakness, material instances of non-compliance, and/or findings ☐ were* ☐ were not noted.

If you answered "No": please indicate the reason/s the Single Audit requirement does not apply:

- ☐ Our Organization expended less that $750,000 in federal funds during our last fiscal year
- ☐ Our Organization is a for-profit organization
- ☐ Our Organization is a Non-University/SA
- ☐ Other (include explanation in *Comments section below)

* If checked, explain in Comment Section below

Organizations not subject to the single audit requirement will be required to complete an Audit Certification and Financial Status Questionnaire.

SUBRECIPIENT COMMITMENT FORM

2. TURNOVER IN PROJECT PERSONNEL AND SUBSTANTIALLY CHANGED SYSTEMS RELATED TO THIS AWARD

By acknowledging the following and signing below, Subrecipient certifies that it will immediately notify Prime Awardee Institution in writing, if at any time during the duration of the Subaward relationship:

2a. Subrecipient has turnover in personnel related to this award
2b. Subrecipient implements any new or substantially changed systems related to this award

☐ **Subrecipient acknowledges and will comply**

D. CERTIFICATIONS

1. CONFLICT OF INTEREST (COI) Select one:

☐ Not applicable because the project is not being funded by PHS (NIH, CDC, AHRQ, etc.), or any other sponsor that has adopted the financial disclosure requirements (NSF, etc.).

☐ Subrecipient Organization/Institution certifies that it has an active and enforced conflict of interest policy that is consistent with the provision of 42 CFR Part 50, Subpart F "Responsibility of Applicants for Promoting Objectivity in Research" and 45 CFR part 94 "Responsible Prospective Contractors." Subrecipient also certifies that, to the best of Institution's knowledge, (1) all financial disclosures will be made related to the activities that may be funded by or through a resulting agreement, and required by its conflict of interest policy, and (2) all identified conflicts of interest have or will have been satisfactorily manage, reduced or eliminated in accordance with subrecipient's conflict of interest policy prior to the expenditures of any funds under any resultant agreement and within a timely manner sufficient to enable timely FCOI reporting.

☐ Subrecipient does not have an active and/or enforced COI policy, but will have a PHS compliant policy in place and published at the time of award. (A sample policy can be found at https://www.nationalacademies.org/about/institutional-policies-and-procedures/conflict-of-interest-policies-and-procedures)

☐ Subrecipient does not have an active and/or enforced COI policy and agrees to adopt UNM HSC's policy and training located online at http://hsc.unm.edu/research/coi/.

By signing below, Subrecipient certifies that the required training will be completed by each investigator prior to engaging in any research related to any PHS funded contract/grant

2. DEBARMENT AND SUSPENSION Answer All:

Subrecipient, the PI or any other employee or student participating in this project ☐ are* ☐ are not debarred, suspended, proposed for debarment, declared ineligible, or otherwise excluded from or ineligible for participation in federal assistance programs, federal contracts, or activities.

Subrecipient, the PI or any other employee or student participating in this project ☐ are* ☐ are not presently indicted for, or otherwise criminally or civilly charged by a government entity.

Subrecipient ☐ has* ☐ has not within three (3) years preceding this offer, been convicted of or had a civil judgment rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) contract or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery falsification or destruction of records, making false statements or receiving stolen property.

Subrecipient ☐ has* ☐ has not within three (3) years preceding this offer had any contract terminated for default by any federal agency

* If checked, explain in Comment Section below

3. NIH INTERNATIONAL SUBRECIPIENT REPORTING REQUIREMENTS (for Non-U.S. Subrecipients ONLY)

If the prime sponsor is the National Institutes of Health (NIH), Subrecipient is aware of the provisions of NIH GPS 15.2.1 requiring that international subrecipients provide access to the primary funding recipient (electronic access permissible), to copies of all lab notebooks, all data, and all documentation associated with the research as described in the progress report, and in alignment with progress report submission requirements, on no less than an annual basis.

☐ If applicable, Subrecipient acknowledges and will comply

NEW!!

SUBRECIPIENT COMMITMENT FORM

The Subrecipient Commitment Form is used to provide a commitment for collaborating partners that will be entering into a Subaward Agreement with the UNMHSC.

Due to updated requirements by the DHHS, we have reorganized the Subrecipient Form for compliance with these requirements. This new form will also streamline the subaward process by capturing audit compliance information at the grant proposal stage vs after the award.

This form will be required for outgoing subawards and can also be used for incoming subaward agreements. The form can be found in the Forms and Documents and in the Grants > Subaward page. https://hsc.unm.edu/about/finance/sponsored-projects/grants-contracts-clinical-trials/sub-awards.html

Please see the list of updates below made to this form.

NM HEALTH SCIENCES

What has been updated?

Institution
- Added UEI # line.
- Added Subrecipient Administrative POC line (this will provide SPO Subaward Staff with direct subrecipient contact).

Technical Information
- #2. - Compliance –added two questions about Personally Identifiable Information "PII" and Protected Health Information "PHI".
- NIH Foreign Subrecipient language added.

Budget Information
- Added budget table for subrecipient to include summarized direct/indirect costs for the subaward.
- Added line to include F&A Rate and Agreement Date.

Certifications
- #1. COI- Replaced weblink in the third box. Link is expired and is no longer corresponding to a 'Sample COI Policy'
- #3. NIH Foreign Subrecipient language added.

Cont'd.

Approved for Subrecipient Section
- Inserted the latest suggested FDP standard subrecipient certification language.

Added NEW Audit Compliance Section
- Included in this section are 2 audit compliance questions from Attachment
- This eliminates the need for Attachment 7.

Audit Certification form updates:
- Reference to OMB Circular A-133 removed, replaced with 'Single Audit'
- Reference to CCR Registration replaced with SAM (#5 under General Information)
- Added links where audit attachments could be uploaded, or URL Link could be included
- More user friendly to complete, without the lines and check boxes shifting.
- Removed the additional signature block at the end of the document. Signatures on the form are only required one time.

NM HEALTH SCIENCES

How Does SPO Support You

- Advisement/Guidance to PI/Dept on sponsored project submissions

- Proposal, Progress Report, Just-in-Time requests review/approval/submission

- Contract/Amendment review/development/negotiation/advisement/ execution – including obtaining signatures

- Ancillary review/negotiation/advisement/execution

- Collects/reviews/obtains approvals for F&A Splits, F&A Waivers, Cost Share, and Export Control

- Scope of work changes (i.e. level of effort) reviews/provides guidance/counter-signs/submits to sponsor

- Proposal correspondence review/advises/submits as Authorized Officials of the University

- Outgoing Subaward review/development negotiation/advisement and execution

- Interpretation of contract/grant terms/guidelines

- Process award in Click, ensuring internal compliance approved and transferring to Contract & Grant Accounting for project setup in Banner

- Early Termination & No-cost Extensions review/advise/submit/process

- Relinquishment of Grants/PI Transfer Requests

- Adhoc Reporting

- Training – develops/presents/mentors

- Provide advisement on various topics, answer questions, obtain University signatures, act as liaison between dept/sponsor
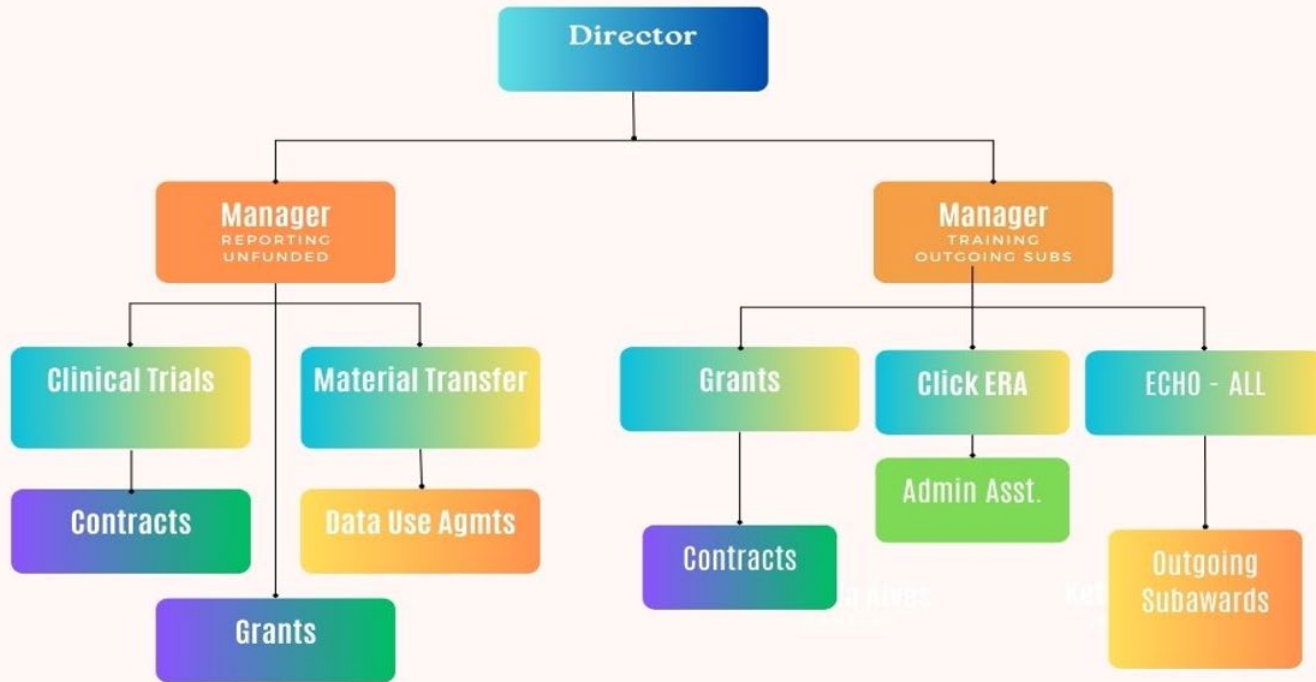
COMING YOUR WAY SOON....

☆ **SPO Dashboard**

☆ **Updated Grants Management Training (GMT) Module**

☆ **SPO Participation in New Faculty and New Hire Orientations**

HEALTH SCIENCES

SPO Org Chart

HSC SPONSORED PROJECTS

❖ **Link to FSD Assignment Chart**

PRE-AWARD / SPO	Health Sciences Center Financial Services Division Org (Level 5)	Department Name	C&G Accounting Fiscal Monitor
Caitlin Vinyard	472A	Clinical Trials Center	Kate Charleston
Siiri Wilson		Ancillary Agreements	
Subawards: Madison Dow		Subawards	
Dean Vonfox		CC Subawards, CDA's	
	206A	BAT CAVE	Kate Charleston
	996A	Biomedical Rsrch Edu Prog	Brandi Sanchez
TEAM A	572A	Biomedical Science Graduate Program	Brandi Sanchez
	981A	Center for Infectious Disease	Cassandra Bookert
Manager/Point of Contact:	471A	Center for Telehealth	Juan Carrillo
Marisa Sanchez	041A	College of Nursing - All Orgs (041A, 565A, 582A, 628A)	Veronika Hughes
	304A	College of Population Health (CoPH)	Cassandra Bookert
	013A	Continuing Medical Educ Department	Kate Charleston
All ECHO: Kenia Aguilar-Pineda	259B	ECHO Institute	Cassandra Bookert
	558A	Emergency Medicine Department	Becky Gomez
Grants:	160A	Family Community Medicine Dept	Juan Carrillo
Susan De Los Santos	400A	Graduate Medical Education 5	Kate Charleston
	483A	HSC Library (HSLIC)	Becky Gomez
Contracts:	266A	HSC Financial Aid	Kate Charleston
Gocelyn Beasley	852A	Internal Medicine IM except for 852Q, 852U and 852K,	Veronika Hughes
	852K	Internal Medicine IM 852K	Krystyna Flores
	852Q	Internal Medicine IM 852Q	Krystyna Flores
	852U	Internal Medicine IM 852U	Krystyna Flores
	564A	Molecular Genetics Microbiology (MGM)	Aliya Hassanali
	490A	Neurology	Claire Wells
	993A	Neurosciences	Aliya Hassanali
	254A	Pathology Department	Becky Gomez
	451A	Psychiatry	Aliya Hassanali
	524A	Undergrad Med Educ Department	Kate Charleston
	772A	Anesthesiology Department	Becky Gomez
	732A	Animal Resource Facility ARF	Brandi Sanchez
	070A	AS BAMD Program	Kate Charleston
	801A	Biochemistry Molecular Biology	Becky Gomez
	099A	Cancer Research Treatment Ctr CRTC	Paul Roop
	099N	Cancer Research Treatment Ctr CRTC-SEER	Paul Roop
	624A	Cell Biology	Claire Wells
TEAM B	731E	Clinical Translational Science Ctr (672A, 731E)	Brandi Sanchez
	038A	College of Pharmacy-ALL Orgs (038A, 040A, 283A, 284A, 401A, 510A, 511A, 552A, 553A, 872A)	Krystyna Flores
Manager/Point of Contact:	523K-L	Dental Services (523K - L & 525A)	Claire Wells
Aida Andujo	627A	Dermatology	Becky Gomez
	014A	HSC - Chancellor Health Sciences - All except LT	Kate Charleston
Grants: Jessica Stanton	014A	HSC - Chancellor Health Sciences - Locum Tenens	Becky Gomez
	060A	HSC - Chancellor HSC Monitoring - Construction	Brandi Sanchez
Contracts: Julie Gallegos	060A	HSC - Chancellor HSC Monitoring - All Other	Kate Charleston
	601A	HSC - HSC Facility Planning	Kate Charleston
	773A	HSC - HSC Public Affairs	Kate Charleston
	285A	HSC - Professionalism Office	Kate Charleston
	794A	Obstetrics Gynecology (OB/GYN)	Becky Gomez
	389A	OMI Department	Claire Wells
	732C	OR - Animal Care and Compliance OACC	Brandi Sanchez
	340D	OR-EVC Contracts & Grants	Brandi Sanchez
	354A	OR - Memory & Aging (part of Ofc Research)	Brandi Sanchez
	189A	OR - Office of Research / General Admin	Brandi Sanchez
	731A	OR - SR ASSOC DEANS OFFICE - RESEARCH	Brandi Sanchez
	497A	Orthopaedics	Claire Wells (Temp)
	997H	PEDS - CDD	Jameel Dharas
	997E	PEDS - DPPS-Prevention and Population Sciences	Claire Wells
	497I	PEDS - Occupational Therapy	Juan Carrillo
	997A	PEDS - Pediatrics (All except 997E & 997H)	Juan Carrillo
	499A	Radiology Department	Becky Gomez
	043A	SOM - School of Medicine Deans Office	Brandi Sanchez
	762A	SOM - Institute for Ethics	Brandi Sanchez
	184A	SOM Research Protections	Brandi Sanchez
	523D	SOM Neurosurgery	Becky Gomez
	523A - M	SOM Surgery	Becky Gomez
	409A	Ophthalmology	Becky Gomez
	914A	Student Services	Brandi Sanchez

As of 5.17.24

Additional Resources for PI's

Grants CLICK ERA

https://era.health.unm.edu

Grants.gov

https://grants.gov/support/about-grants-gov

NIH eRA Commons

https://public.era.nih.gov/commons/

Allowable Costs for Sponsored Projects – UNM Policy

https://policy.unm.edu/university-policies/2000/2410.html

NIH Grants Policy Statement

https://grants.nih.gov/policy/nihgps/index.htm

Request Training/Additional Information

To receive additional information and training, you can contact our office through various means:

Phone: 272-9383

Email: HSC-PreAward@salud.unm.edu

Website Contact Link:
https://app.smartsheet.com/b/form/0bab15e32c2d4e53afa91678ca4e410a

Physical Location: 1650 University, UNMHSC Business & Communications Center, 2nd Floor, Suite 2200

We are here to help support all your research needs!

QUESTIONS

Date: July 17, 2023

To: HSC Community Research Community

From: Hengameh Raissy, PharmD, Interim Vice President for Research *HR* HR (Jul 18, 2023 12:25 MDT)
Stacy Catanach, MBA, CRA, Associate Director, HSC Sponsored Projects

Re: Penalties for Proposal Submissions not reviewed by HSC Sponsored Projects Office

Per UNM Faculty Handbook E60: Sponsored Research, All external proposal submissions must first be reviewed/approved by the HSC Sponsored Projects Office before submission to the sponsor. Although, there are sponsors that will allow the Principal Investigator (PI) to submit directly without having authorized official approval, it is UNM Institutional Policy to first have the proposal reviewed by the HSC Sponsored Projects Office.

HSC Sponsored Projects must review all grant applications to ensure:
1. UNMHSC/PI are eligible to submit to the sponsor
2. Administrative information is accurate (i.e., billing address, contact information, correct signing officials)
3. Proposal terms are acceptable to UNMHSC and/or can be negotiated
4. Proposal meets the requirements of the funding announcement
5. Proposed budget is allowable per sponsor/UNM policy
6. Appropriate F&A Rate is applied to the budget
7. Internal compliance areas are addressed

When a proposal is submitted directly to a sponsor without the benefit of proper review by the appropriate offices, the proposal may need to be relinquished if we are not able to agree with the terms if awarded. This also puts undue administrative burdens on the HSC Central Offices, HSC Office of Research, and the submitter's departmental staff to accommodate an award which was not submitted in compliance with institutional policies.

Grants and Contracts are awarded to the University, not to the Principal Investigator directly, therefore, the award funds must be set up and tracked by the HSC Contract & Grant Accounting Office. The Principal Investigator and/or Department should refrain from receiving extramural funds directly from an external sponsor.

The following penalties will now be assessed if the proper process is not followed:
- **First Offense:** The HSC Vice President for Research will be notified and it will be mandatory for the PI and their staff to take the HSC Contracts and Grants Training for Faculty & Staff

- **Second Offense:** The HSC Vice President for Research, with feedback from HSC Sponsored Projects, will have the option to relinquish the award and/or charge the department a non-compliance fee of $2,000.

- **Third Offense:** The grant award can be relinquished and a non-compliance fee of $5,000 will be charged to the department.

- **Fourth Offense +:** The grant award **will be** relinquished and the department **will be** charged a non-compliance fee of $5,000

The HSC Sponsored Projects Office is here to help ensure a favorable and compliant outcome of your proposal submission.

Date: March 6, 2024

To: HSC Community/Research Community

From: Hengameh Raissy, PharmD, Interim Vice President for Research *HR*
Stacy Catanach, MBA, CRA, Associate Director, HSC Sponsored Projects

Re: Penalties for Material Transfer Agreements (MTAs) not reviewed by HSC Sponsored Projects Office

Per UNM Faculty Handbook E60/E70 as applicable: Sponsored Research and Intellectual Property, all submissions, including Material Transfer requests, must first be reviewed/negotiated by the HSC Sponsored Projects Office prior to obtaining an UNM Institutional signature by the HSC Vice President for Research.

A Material Transfer Agreement is REQUIRED for ANY incoming or outgoing materials. This is a contractual agreement that governs the transfer of tangible research material between two institutions, when the receiving institution's investigator intends to use the material in their own research project. This agreement addresses pre-existing and future intellectual property rights including ownership of materials and derivatives, liability issues that may result from research, publication of research results, limitation of use issues, and lastly ensures that materials are shipped and handled in accordance with the University biosafety standards.

HSC Material Transfers must be reviewed by SPO to ensure:

1. Materials are eligible for transfer (e.g., fetal tissue is not acceptable)
2. Ownership of materials/derivatives is appropriate
3. Rights to inventions resulting from use of material are identified
4. Rights to publish research obtained through use of material
5. Proper institutional signatures are obtained

When material is transferred without institutional knowledge and/or protection from a contractual agreement, the recipient has no legal restrictions on the use of material which can result in liabilities in compliance, impacts to intellectual property, and impacts to publishing. Material is provided to the institution in care of the Principal Investigator (PI); the PI does not own the material.

The following penalties will now be assessed if the proper process is not followed:

- **First Offense:** The HSC Vice President for Research will be notified and it will be mandatory for the PI and their staff to take the HSC Contracts and Grants Training for Faculty & Staff, which includes the Material Transfer Module.

- **Second Offense:** The HSC Vice President for Research, with feedback from HSC Sponsored Projects, will have the option to deny the transfer and/or charge the department a non-compliance fee of $1,000.

- **Third + Offense:** The material transfer will be denied and a non-compliance fee of $3,000 will be charged to the department.

The HSC Sponsored Projects Office is here to help ensure a favorable and compliant outcome of your research. Any questions regarding the process of Material Transfer Agreements can be directed to HSC-Preaward@salud.unm.edu.

Hengameh Raissy, PharmD
Hengameh Raissy, PharmD (Mar 11, 2024 14:17 MDT)

Hengameh Raissy, PharmD, Interim VPR, HSC

Research Performance Progress Report (RPPR) Checklist

The RPPR is used by recipients to submit progress reports to NIH on their grant awards. This checklist will assist with completing the RPPR for submission.

For an annual RPPR Submission, a follow-on, non-competing continuation Click record should be created from the parent Click record. For a refresher on how to create a follow-on record, check out page 79 of the training deck on the SPO website (under Training > Click Department Training Guide).

The Click record and the beginnings of the RPPR are due to the SPO department 5 business days before the due date. Check out the Proposal Submission Timelines on the SPO website, under Policies and Guidance, for more information.

The NIH's website has more information on the RPPR process, including a link to a full Instruction Guide.

A. Cover Page

	Administrative Official (Stacy Catanach)
	Signing Official (Jessica Stanton or Susan De Los Santos)
	Human Subjects (this requires a second form to be completed in ASSIST).
	Vertebrate animals (should match previous RPPR or original application)

B. Accomplishments

	Make sure each section is filled out. If there is nothing to report, you will be provided the option to indicate it.

C. Products

	Make sure each section is filled out. If there is nothing to report, you will be provided that option to indicate so.
	All products are required to be in "Compliance" with the NIH Public Access Policy which can be accessed here: https://publicaccess.nih.gov/

D. Participants

	In D.1. All PIs, Co-Investigators, Post-Docs, Grads, and Undergrads need to have their era Commons ID listed. If you do not know your Commons ID, please contact your assigned Grant Specialist for your department and they can assist.
	Everyone listed in D.1. must have their effort listed under Cal(Calendar months). Verify this hasn't changed more than 25% from the previous RPPR or original application If it has changed more than 25%, D.2. should be answered as "yes"

E. Impact

	All questions should be answered. If there is nothing to report or it is not applicable, you will be provided that option to indicate so.

F. Changes

	All questions have to be answered.
	If human subjects or vertebrate animals from the cover page doesn't match the previous RPPR or application, this is where the change is noted.

G. Special Reporting Requirements

	Each section has to be completed.
	If there are human subjects, G.4. will be populated and contain the link to the Human Subjects System (HSS) report in ASSIST.
	If there are any people listed in D.1. who weren't on the previous RPPR or original application AND there are human subjects, this should be marked 'yes'
	G.8. should have UNMHSC as the primary location and then any subawards should also be listed. (UNMHSC & any subawards should only be listed once. If it is listed more than once, it will cause errors when we try to submit.)
	UEI and Congressional Districts are required for all locations, if any are blank, it will cause an error. You can find this information on the SPO website under Frequently Requested Numbers.
	In G.12., list the applicable F&A rate.

	Award Number 5KL -1 ••• **Institution** UNIVERSITY OF NE ⚠ Check for Errors 🗎 View RPPR as PDF 🕓 View Routing History Click on the 3 dots next to the grant award number and check for errors.
	Route to your SPO specialist. (Only the PI has access to do this.)

Non-Snap Progress Report Checklist

Progress reports for Non-Snap awards include a few additional sections.

For an annual progress report submission, a follow-on, non-competing continuation Click record should be created from the parent Click record. For a refresher on how to create a follow-on record, check out page 79 of the training deck on the SPO website (under Training > Click Department Training Guide).

The Click record and the beginnings of the RPPR are due to the SPO department 5 business days before the due date. Check out the Proposal Submission Timelines on the SPO website, under Policies and Guidance, for more information.

If an award is **not** issued under the SNAP provisions, the progress report is due the first of the month preceding the month in which the budget period ends (e.g., if the budget period ends 11/30, the due date is 10/1).

The NIH's website has more information on the RPPR process, including a link to a full Instruction Guide.

H. Budget

	A drop down menu provides access to the budget forms. Fill out all relevant information, including the budget justification in section L. The justification should include detail on any significant changes.
	Add subawards, if applicable. If subaward budgets are completed, the system will not calculate the budget line item F.5 for the main budget. Total consortium costs for the main budget MUST be computed and entered manually into budget line item F.5

Contract & Grant Accounting Update

May 17, 2024

Uniform Guidance Update

- Subaward de minimis indirect cost rate from 10% to 15%

- Updates Modified Total Direct Costs on subawards to include up to the first $50,000.00 of a subaward

- Equipment – increases the value of equipment from $5000 to $10,000 that may be retained, sold, or otherwise disposed of with no further responsibility to the Federal agency

Sponsored Project Year End Billing

- All State of New Mexico Awards except New Mexico Children Youth and Families Department

  - Invoices due to state 07/05/2024

  - Date deliverables or signed recon due to HSC C&G 06/28/2024

- New Mexico Children Youth and Families Department

  - Invoices due 07/15/2024

  - Date deliverables or signed recon due to HSC C&G 07/01/2024

Effort Certification Delinquencies

- Number of Open and Uncompleted for past periods

Open and Uncompleted Effort Certification Reports

	202202	202301	202302
■ Pending Certifications	965	390	1438
■ Pending Reviews	57	36	1186
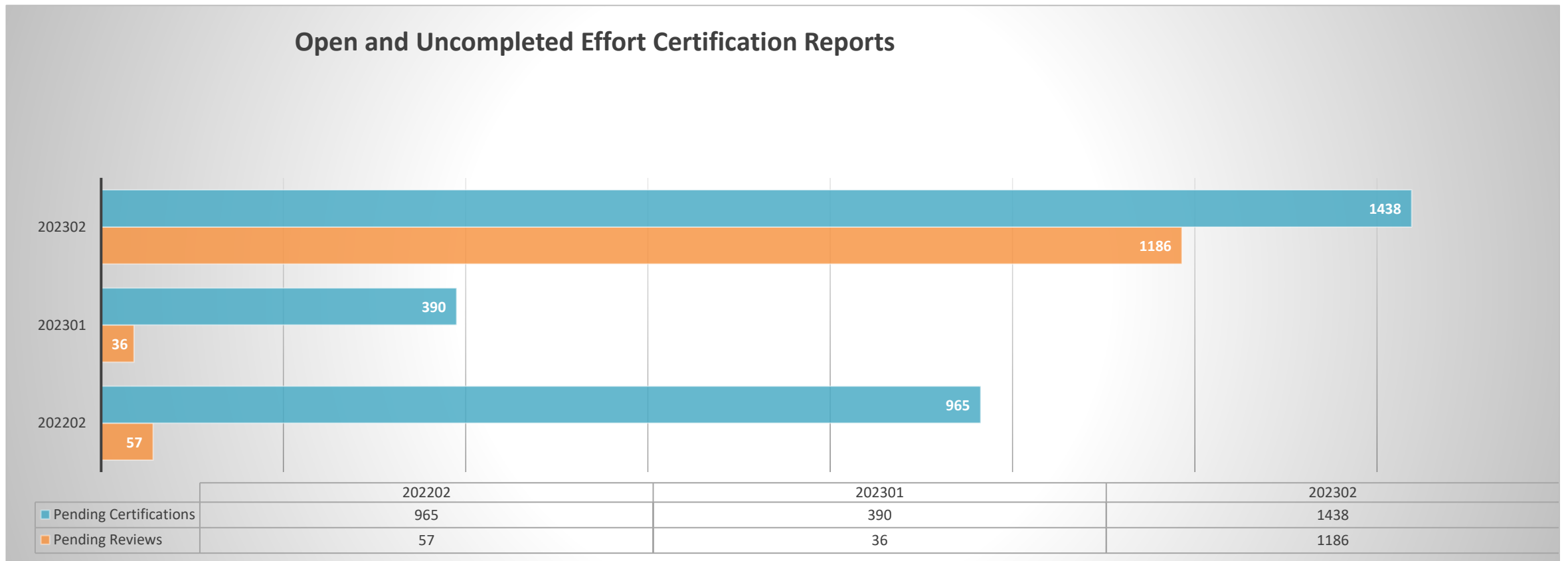
Process for Delinquent Certifiers

- System generated delinquent emails we start on Mondays and Wednesdays immediately after the certification deadline has passed. (PI and Chairs)

- Certifications that are 30 days delinquent Department Administrators (DA) and PIs will be contacted manually by HSC C&G Office.

- Certifications that are 60 days delinquent, with no response from department on previous email - DA, PI, Chair and Dean will be contacted manually by HSC C&G Office.

- Certifications that are 90 days delinquent, with no response from department on previous email - HSC C&G Office will notify the Compliance Office with the PI's failure to certify.

New Report – Closeout Reconciliation

- **FORGCOR – Grant Closeout Reconciliation**

  - Can be run by grant, fund or index

CONTRACT AND GRANT CLOSE-OUT RECONCILIATION

RETURN TO FSD BY:	ASAP
For Questions contact:	HSC CGA
Grant Code:	███████████
Fund Code:	███████████
Index Code:	███████████
End Date:	29-SEP-2022
Funding Agency:	Substance Abuse & Mental Health Services Admn
Principal Investigator:	Lobo Louis
Account Administrator:	Lobo Lucy
Department:	███████████
Total Original Budget:	$233,887.00

This Section to be Completed by Department

| Date of FRIGITD Screenprint: | 05/12/2024 |
| Due Date: | 12-FEB-2024 |

Account Code	Description	Budget Including Revisions	A Project Amounts as of 05/12/2024	B Adjustments (Additions / Subtractions)	C Final Total of Expenses	D Explanation of Adjustments	Final Revenue and Expenses
Revenue							
390	UNMMG Specl Arrangement Sales & Svc	.00	$.00	$.00	$.00		$.00
490	Program Income	233,887.00	$.00	$.00	$.00		$233,887.00
4A0	Program Income	.00	$.00	$.00	$.00		$.00
1C0	Trsfr From Research	.00	$.00	$.00	$.00		$.00
TOTAL Revenue		233,887.00	$.00	$.00	$.00		$233,887.00
Expenses							
000	Faculty Salary Detail	(128,684.00)	$128,684.43	$.00	$128,684.43		($128,684.43)
020	Administrative Professional	(7,486.00)	$7,485.82	$.00	$7,485.82		($7,485.82)
040	Technician Salary Detail	(38,393.00)	$38,393.00	$.00	$38,393.00		($38,393.00)
1J0	Other Staff Benefits	(55,470.00)	$55,469.88	$.00	$55,469.88		($55,469.88)
110	Books Periodicals	(520.00)	$520.00	$.00	$520.00		($520.00)
820	Out Of State Travel	(2,989.00)	$2,988.85	$.00	$2,988.85		($2,988.85)
060	Facility Rent Expense	(345.00)	$344.49	$.00	$344.49		($344.49)
TOTAL Expenses		(233,887.00)	$233,886.47	$.00	$233,886.47		($233,886.47)
TOTAL (Over)/Under Budget		.00	$233,886.47	$.00	$233,886.47		$.53

| If applicable, transfer residual balance/loss to Banner Index: | | | | | 123456 | | |

Please read the workflow email carefully to see if there are any additional items required that are specific to the fund/index.

Agency retention period: _____

(Be aware that certain records such as payroll or employment records may have a longer retention period. Also, financial records generally must be retained for the above mentioned period from the date of the final technical report submission, the final financial report, and/or the final payment, not from the date the expense occurred or posted in Banner. Please see Policy 6020 and the UG §200.333 for more information.)

The reconciliation must be returned, encumbrances removed, and the changes moved on/off the Fund by the due date specified above. The due date is 60 days after the Budget Period End Date of the Fund unless agency requirements are more stringent. Requirements for Federal Award, Subpart D-Post Federal Award Requirements-Closeout Section 200.343 (a) The Non-Federal entity must submit, no later than 90 days after the end date of the budget period, all financial, performance, and other reports as required by the terms and conditions of the Federal award.

Once the final adjustments are made, please print as PDF for certification. Once certified, return through Workflow along with any additional requested items.

Prepared By: _____   Date:_____
Account Administrator: Lobo Lucy

By signing this report, I certify to the best of my knowledge and belief that the reconciliation is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set for the in the terms and conditions of the award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812). Nonresponse by the due date implies agreement with this statement.

I understand that failure to submit required technical reports or deliverables can result in consequences including loss of future funding, loss to UNM of future funding, or a reduction in agency payments which will result in a loss to my over-expenditure index. I have or will submit all required reports as directed by the agency.
Final deliverables were submitted or will be submitted on: Date:_____

Certified: _____   Date:_____
Principal Investigator: Lobo Louis

It was a pleasure assisting you with the compliance and monitoring of your research project. Thank you for your responsiveness and cooperation during the life of your award.

CONTRACT AND GRANT CLOSE-OUT RECONCILIATION - LATE TRANSACTIONS

Return to:	UNM CGA
Grant Code:	████████
Fund Code:	████████
Index Code:	████████
End Date:	29-SEP-2022
Fund Termination Date:	12-FEB-2024
Funding Agency:	Substance Abuse & Mental Health Services Admn
Principal Investigator:	Lobo Louis
Account Administrator:	Lobo Lucy
Department:	████████

Please provide documentation on the non-salary transactions below to verify they are allowable on the award when returning the Closeout Form in Workflow. If any of the below transactions will be removed, please include the amounts on the 'CloseOut' tab under Adjustments.

Detail of Transactions posted after Project End Date: 29-SEP-

Account Code	Description	Document	Transaction Date	Transaction Description	Amount as of 05/12/2024
45103O - 3RBG2P-Program Income					
Expenses					
3110	Books Periodicals	J0747700	2022-10-28	████████	$138.23
		J0751040	2022-11-29		$109.51
		J0753758	2022-12-31		$272.26
		J0769286	2023-06-21		($14.59)
		J0783973	2023-11-03		$14.59
3820	Out Of State Travel	J0747700	2022-10-28		$2,988.85
7060	Facility Rent Expense	J0753758	2022-12-31		$344.49
TOTAL Expenses					$3,853.34
TOTAL					$3,853.34

Finance & Admin Shared Services Guide and Request Form

https://hsc.unm.edu/about/finance/administration/additional-services.html

Finance & Admin Shared Services Resources Dashboard

We have also created a collection of additional resources. This dashboard is a resource center for new department employees, focusing on University of New Mexico Health and Health Sciences Finance and Administration services.

Onboarding Resources Dashboard

https://hsc.unm.edu/about/finance/administration/additional-services.html

Finance & Admin Shared Services Resources Dashboard

Questions