



UNM HEALTH SCIENCES | UNM HEALTH

# Contract & Grant Accounting

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**May 15, 2026**

# Huron ECC

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- New Employee Compensation Compliance

## **ECC is Live**

- 1<sup>st</sup> effort certification period July to Dec 2025
- Website: <https://research.unm.edu/huron/index.html>

# Huron ECC

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- New Process - a few changes
- Certifications will now be handled by the fund (i.e., project index) instead of by employee. No matter how many employees are on the fund, only one certification is required for both exempt and non-exempt employees
- Effort Coordinators (formally pre-reviewers) will begin the process by pre-reviewing records as is done in our current Banner system. As soon as they have completed their review, the PI will receive an email letting them know they can review and certify effort on the fund. There will be 60 days from when pre-review begins to the due date of all certifications.

# Contact Information

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- Questions please contact:
- Central/Branch Campuses: [maineffortrptng@unm.edu](mailto:maineffortrptng@unm.edu)
- HSC: [HSC-Effort-Reporting@salud.unm.edu](mailto:HSC-Effort-Reporting@salud.unm.edu)

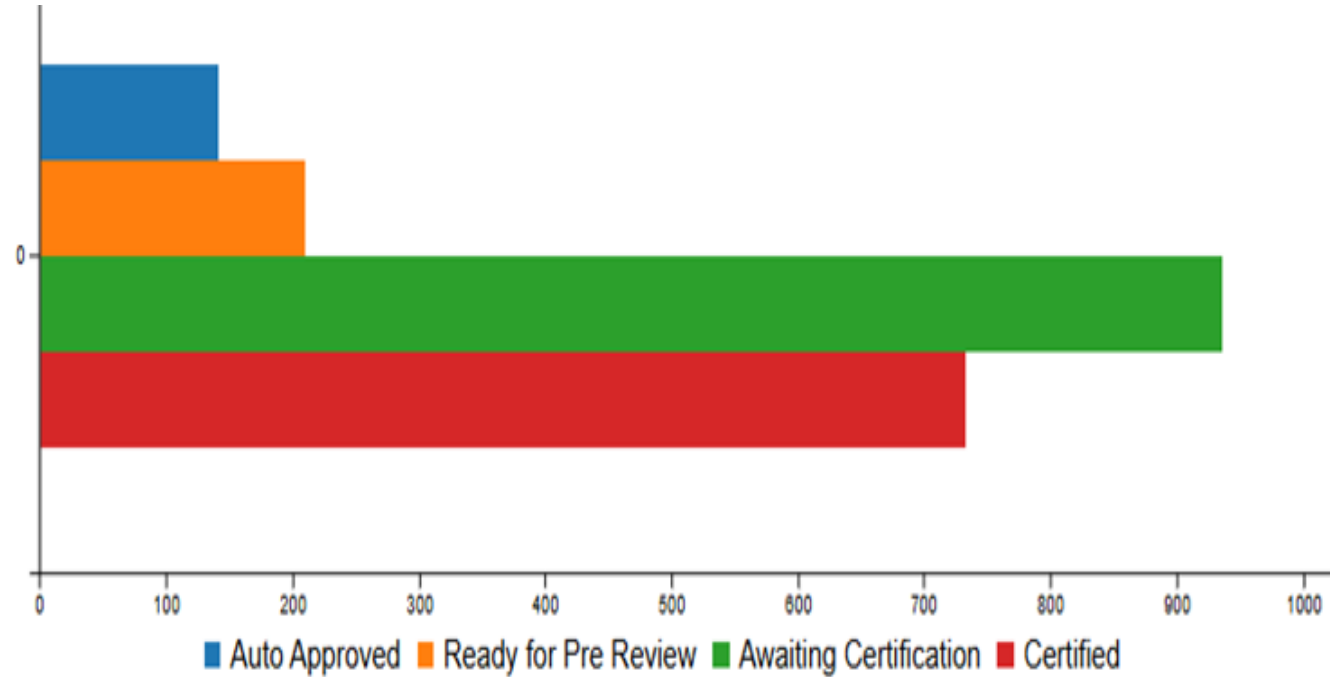
# Pending Certifications

## Certification Summary for Fund Period: Jul - Dec 2025

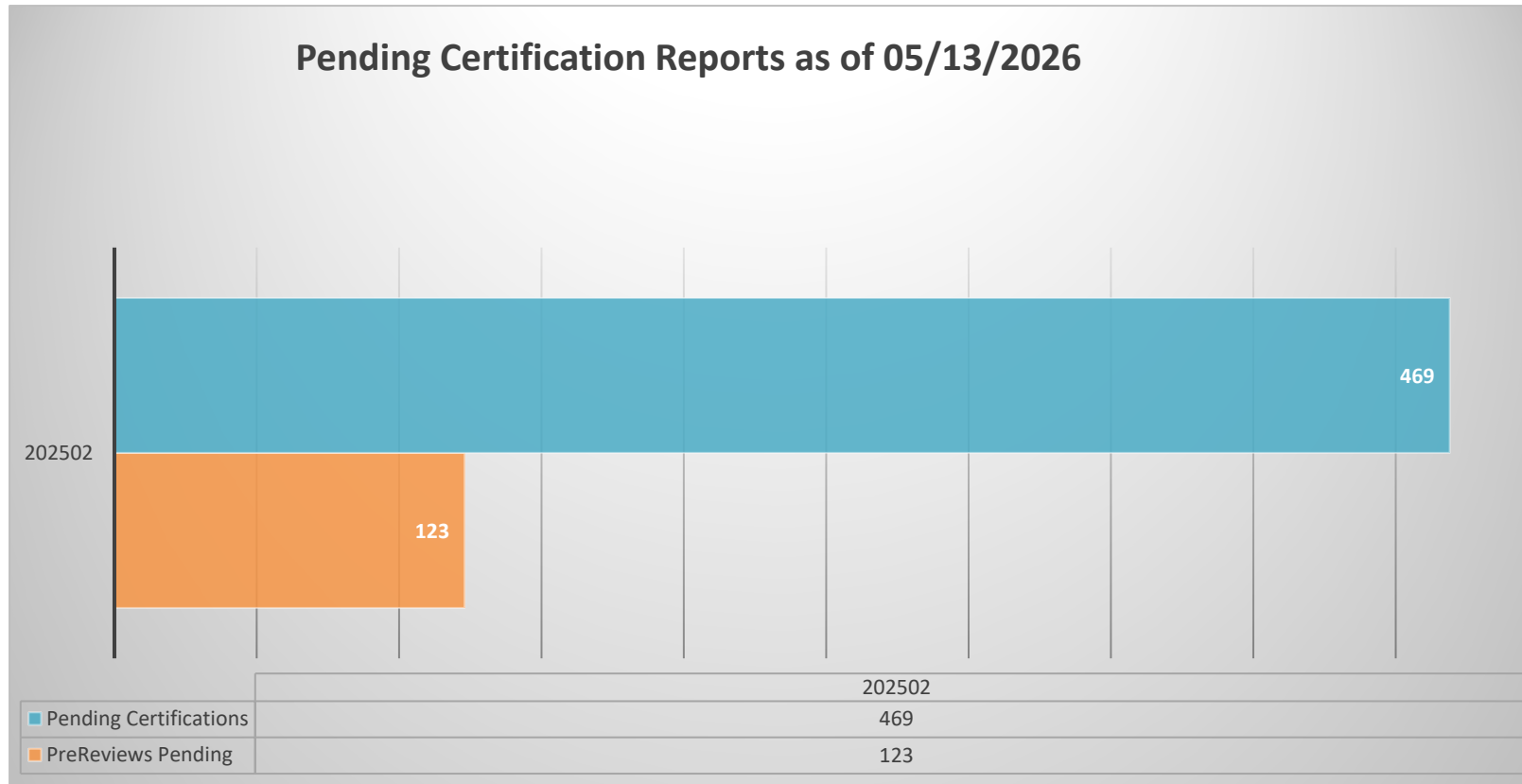
✓ Auto Approved	142 (7.03%)
🔍 Ready for Pre Review	210 (10.39%)
▶ Awaiting Certification	936 (46.31%)
★ Certified	733 (36.27%)

Total number of statements for this period: 2021

Total number of Fund statements on hold for this period: 4



# Pending Certifications



# NIH F&A Changes

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- UNM HSC's currently negotiated indirect cost rate agreement (IDC Rate Agreement) incorporates the revised federal definition of Modified Total Direct Costs (MTDC), allowing the university to include up to the first \$50,000 of each subaward in the F&A base for most federal awards
- However, NIH is an exception to this update.  
Although Uniform Guidance allows for the increased the MTDC subaward threshold to \$50,000, NIH has not implemented this change. The NIH Grants Policy Statement continues to limit the MTDC base to the first \$25,000 of each subaward.
- Effective immediately:
  - Apply the \$50,000 MTDC threshold for subawards on non-NIH federal awards.
  - Continue using the \$25,000 threshold for all NIH proposals and awards until NIH issues updated guidance.

# NIH F&A Changes

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- Please contact your Fiscal Monitor of the Contract and Grant Accounting office for more information
- SPO website
- Website has links to IBW for both NIH awards (25K) and Non-NIH awards (50K)
- A combined IBW will be uploaded soon.

# Contract and Grant Training

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- Bringing Back the C&G Training
- Next Training
- **Grant Closeout Reconciliation**
- Date: May 20, 2026
- Time: 1pm to 2pm
- Smartsheet Sign Up:  
<https://app.smartsheet.com/b/form/019df53811997f95a7588e701fc2d436>

# Questions



# FY26 Year End

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HSC FINANCIAL SERVICES  
UNRESTRICTED ACCOUNTING  
MAY 15, 2026

# Prepared for Year-End?

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## Clean up Department Indices

- Determine that spending rates are appropriate
- Ensure transactions look appropriate

## Review Labor Distributions

- Ensure labor (names) hitting indices should be charged to that index
- Ensure % of labor is correct

## Review Endowed and Non-endowed Indices

- Ensure foundation indices are not overspent (Spending indices cannot end in deficit)

## Review Annual Purchase Orders and clean up Encumbrances

- Close out any old or unused purchase orders

# Year-End FY26

Where can I find the Year-end Schedule?

[Month End Close Schedules :: Financial Services Resources | The University of New Mexico](#)

The screenshot shows the 'Month End Close Schedules' page on the University of New Mexico website. The page has a navigation bar at the top with links for Home, Job Aids, Month End Close Schedules, Resources, and Offices of Financial Services. Below the navigation bar, there is a breadcrumb trail: UNM / Home / Month End Close Schedules. On the left side, there is a sidebar menu with links for Home, Job Aids, Month End Close Schedules (which is highlighted), Resources, and Offices of Financial Services. The main content area is titled 'Month End Close Schedules' and is divided into two sections: 'Fiscal Year 2026' and 'Fiscal Year 2025'. The 'Fiscal Year 2026' section lists the following months: June FYE 2026 (highlighted with a blue circle), May (Closed), April (Closed), March (Closed), February (Closed), January (Closed), December Updated 12/3/2025 (Closed), November (Closed), October (Closed), September (Closed), August (Closed), and July (Closed). The 'Fiscal Year 2025' section lists the following months: June FYE 2025 (Closed), May (Closed), April (Closed), March (Closed), February (Closed), January (Closed), December (Closed), November (Closed), October (Closed), September (Closed), August (Closed), and July (Closed). To the right of the 'Fiscal Year 2025' section, there is a vertical list of links for Fiscal Year 2024, 2023, 2022, 2021, 2020, 2019, 2018, 2017, 2016, and 2015, each with a dropdown arrow.

# LEARN Session

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Please join us for a comprehensive review of FY26 Year End deadlines and what you need to know!

When: Thursday, June 4<sup>th</sup> @ 10:00 am via Zoom

Presented by: Joyce Chavez, HSC Unrestricted Accounting and Therese Sears, SOM

Save the date! Invites will go out the last week of May

# QUESTIONS

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“Your Partners in Clarity and Compliance”

If in doubt, reach out!

HSC Unrestricted Accounting [HSCFinancialServices@salud.unm.edu](mailto:HSCFinancialServices@salud.unm.edu)



UNM HEALTH SCIENCES | UNM HEALTH

# Sponsored Projects Office General Updates

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RESEARCH ADMINISTRATION FORUM AND TRAINING (RAFT) – MAY 15, 2026

MARISA SANCHEZ  
MANAGER  
HSC SPONSORED PROJECTS



# NIH UPDATES

National Institutes  
of Health

## [NOT-OD-26-079 - Announcement of System Enforcement of Common Forms and End of NIH's Leniency Period](#)

### ❖ **PURPOSE**

The leniency period previously communicated in [NOT-OD-26-033](#) ended on May 7, 2026.

Use of the Common Forms for Biographical Sketch, Current and Pending (Other) Support, and NIH Biographical Sketch Supplement **is now required** for all application due dates and Just-In-Time (JIT), Research Performance Progress Report (RPPR), and Prior Approval submissions.

On May 8, system warnings changed to errors that will stop any submission not using compliant Common Forms. This timing will also provide applicants with additional time to address errors before the May 25, 2026 standard receipt date for [Cycle 2](#).

### ❖ **RESOURCES**

Instructions for the [Biographical Sketch Common Form](#) and [NIH Biographical Sketch Supplement](#)  
Instructions for [Current and Pending \(Other\) Support Common Form](#)

[Frequently Asked Questions \(FAQs\) Common Forms for Biographical Sketch and Current and Pending \(Other\) Support](#)

[SPO Dashboard](#) : NIH Common Forms Corner (Live Soon!)

For Technical Issues with SciENCv - Helpdesk [nlmsciencv@mail.nih.gov](mailto:nlmsciencv@mail.nih.gov)



# NIH UPDATES

National Institutes  
of Health

## NOT-OD-26-062 Prior Approval Requirement for Changes to Domestic Subawards

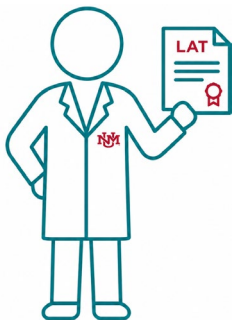
### ❖ PURPOSE

This guide notice updates the NIH requirements for **obtaining prior approval for changes to domestic subawards** on all NIH grants and cooperative agreements. NIH has a longstanding policy of not requiring prior approval for the addition of domestic subawards to ongoing projects. This makes tracking and oversight of subawards challenging, and NIH needs to be aware of all subawards in order to effectively track compliance with the Federal Funding Accountability and Transparency Act (see NIH Grants Policy Statement 4.1.8).

**Effective June 1, 2026**, all prime recipients are required to obtain NIH prior approval when adding a new domestic subaward to a project post-award, when the arrangement was not originally a part of the peer-reviewed and approved application.

The new prior approval requirement is intended to ensure that NIH is aware of all subaward activities for each NIH project, so that NIH can monitor the prime recipient and ensure compliance with subaward monitoring and reporting requirements.

Requests must be submitted in the eRA Commons Prior Approval Module using the “Other Request” type.



# LETTERS OF ACADEMIC TITLE AND PI ELIGIBILITY

**A Letter of Academic Title (LAT)** allows qualified individuals who are not UNM faculty (including certain staff or external collaborators) to participate in UNM's teaching, research, or clinical missions on a voluntary basis. While LAT holders may be granted an academic title, it does not constitute a faculty appointment or employment relationship.

UNM Policy: [Faculty Handbook - C190: Letter of Academic Title](#)

For those appointed under a Research LAT, there are important considerations when participating in sponsored projects:

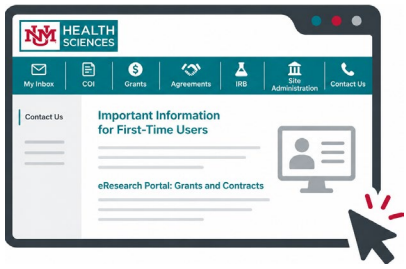
- ❖ LAT holders **may not serve** as the sole Principal Investigator (PI) on proposals
- ❖ They may participate as a Multi-PI, Co-PI, or Co-Investigator, provided there is an eligible UNM-employed PI on the project
- ❖ All participation must align with sponsor requirements and institutional policies

## PI Eligibility Requirement for LAT Holders

If a Research LAT holder wishes to serve in a PI role on a project:

- ❖ A PI Eligibility Form (<https://hsc.unm.edu/research/compliance/hrpo/investigators.html>) must be completed by the individual, and submitted along with a copy of LAT, for institutional review and approval by HRPO
- ❖ Final approval is required by the Vice President for Research (VPR)

***This process ensures appropriate oversight, compliance with UNM policy, and alignment with sponsor expectations.***

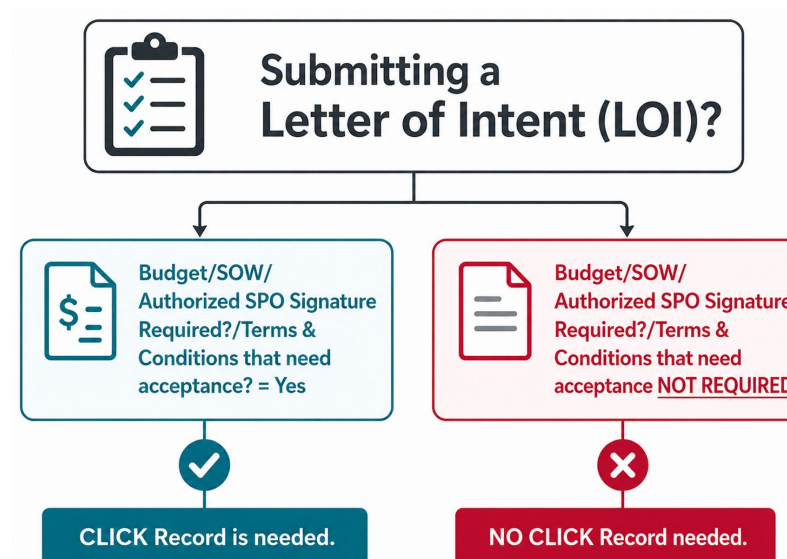


# CLICK RECORDS, INTERNAL COMPETITIONS & LOIs

**FOR INTERNAL LIMITED COMPETITIONS-** a Click record is not required at the initial stage. Please note that these initial reviews for limited competitions are not conducted by SPO and can be part of larger collaborations with Main Campus or Office of Research Initiatives.

➤ **If selected to move forward:**

Once you receive notification that you are the selected applicant, **you should then create a Click record** so your Grant Specialist can review your full proposal prior to submission.





# On the Tech Side

System upgrades. • Smarter tools. • Stronger research.



## V12 - CLICK UPGRADE

- ✓ On track for anticipated launch in 2026
- ✓ Currently in testing and validation phases
- ✓ Focused on enhancing workflow efficiency, usability, and system functionality for the research community
- ✓ Expect increased communication, training opportunities, and user participation activities throughout the summer!



**Sean Gonzales, Sr. Sponsored Projects Officer**

**[Sgonzales@salud.unm.edu](mailto:Sgonzales@salud.unm.edu)**

**(505) 272-3495**

Links to: **[ClickERA Grants](#)**

**[RESEARCH ADMINISTRATION DASHBOARD](#)**



The banner features the NCURA logo in the top right corner with the tagline "Supporting Research...together™" and "National Council of University Research Administrators". The central graphic shows the letters "NIH" in large blue font, with a green checkmark above the "I". Illustrations include a man with a pie chart, a man pushing a bar, a woman on a laptop, a man with a calculator, and a man with a laptop and a gold coin. Below the graphic, the text reads "Updated NIH Policy on Foreign Subawards (NOT-OD-25-104)". At the bottom, it lists the date "Monday, May 18, 2026", the time "12 - 1:30 PM MST", and a discussion time "1:35 - 2:30 PM MST After the Show Discussion".

**SPO will be hosting the webinar through this Zoom link: <https://hsc-unm.zoom.us/j/96407821018> Passcode: NCURA**

**Or for Continuing Education Unit Credits use the following Link to Register : <https://onlinelearning.ncura.edu/p/260518NIHXL>**

Please note that this link is only to be used by individuals at UNM HSC.

If the person registering for the extra login doesn't already have an NCURA Profile, please have them [go here first to create a profile](#). They can then log in using the extra login link above to register for the extra site.

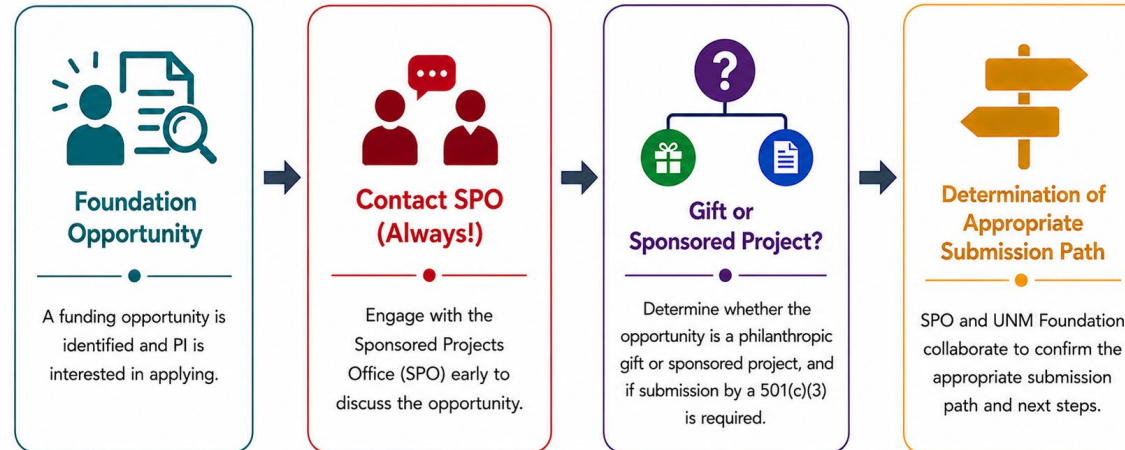
When your colleagues register themselves, they will receive a confirmation email and should log in with their own NCURA username and password for the live webinar to receive their CEU credits.



# MANAGING FOUNDATION OPPORTUNITIES EFFECTIVELY

## UNM Foundation/SPO Initial Submission Workflow

*A collaborative process to determine the appropriate submission path.*



### Process Improvements Underway

📌 A formal Standard Operating Procedure (SOP) is currently in development to further clarify roles, responsibilities, and workflow expectations between SPO and the UNM Foundation.

📌 SPO is developing a centralized Smartsheet-based intake and tracking process to help streamline proposal routing, agreement review, award coordination, and document exchange.

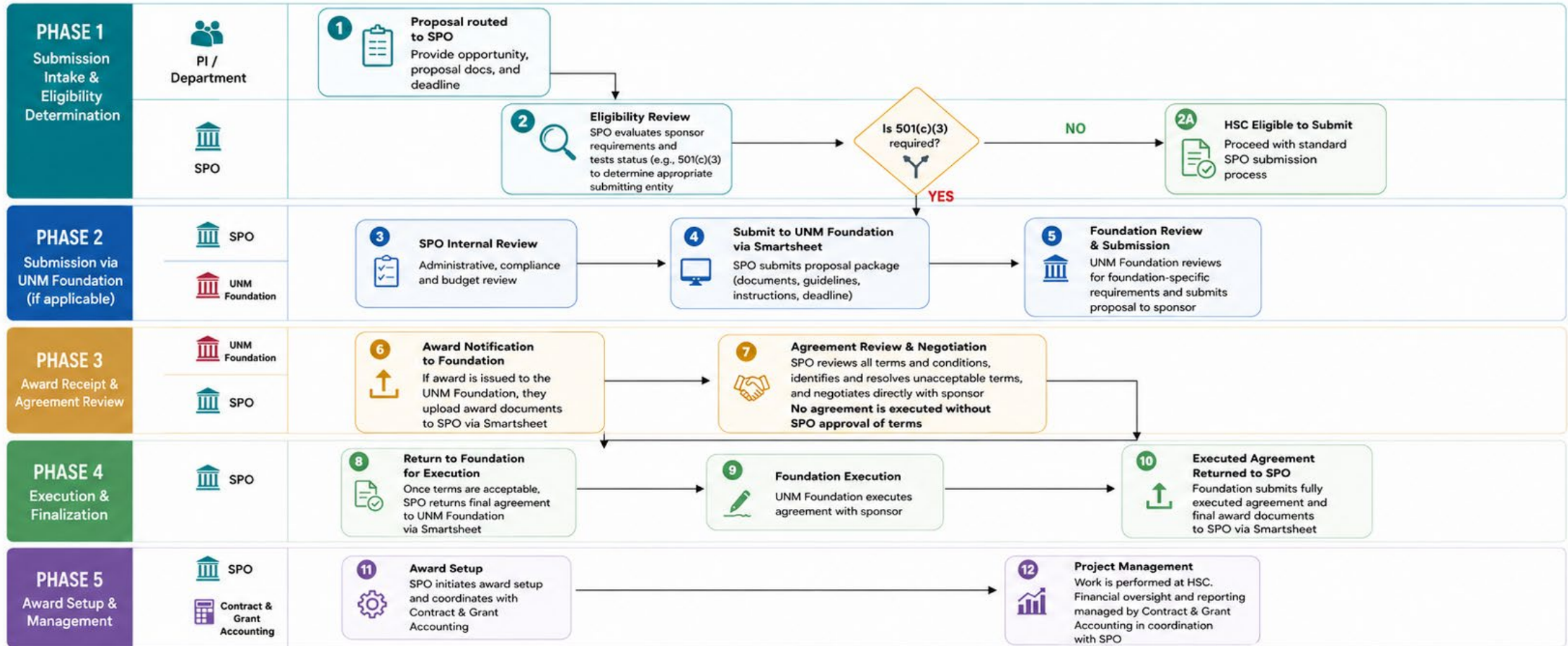
### Why This Matters

- ✓ Ensures compliance with sponsor and institutional requirements
- ✓ Clarifies submission pathways early
- ✓ Prevents delays in proposal routing and award setup
- ✓ Supports coordinated review, negotiation, and award management



# UNM Foundation/SPO Joint Submission & Award Management Process

All submissions route through SPO. Agreements are negotiated by SPO.



## KEY

- SPO
- UNM Foundation
- PI / Department
- Contract & Grant Accounting
- Smartsheet Exchange

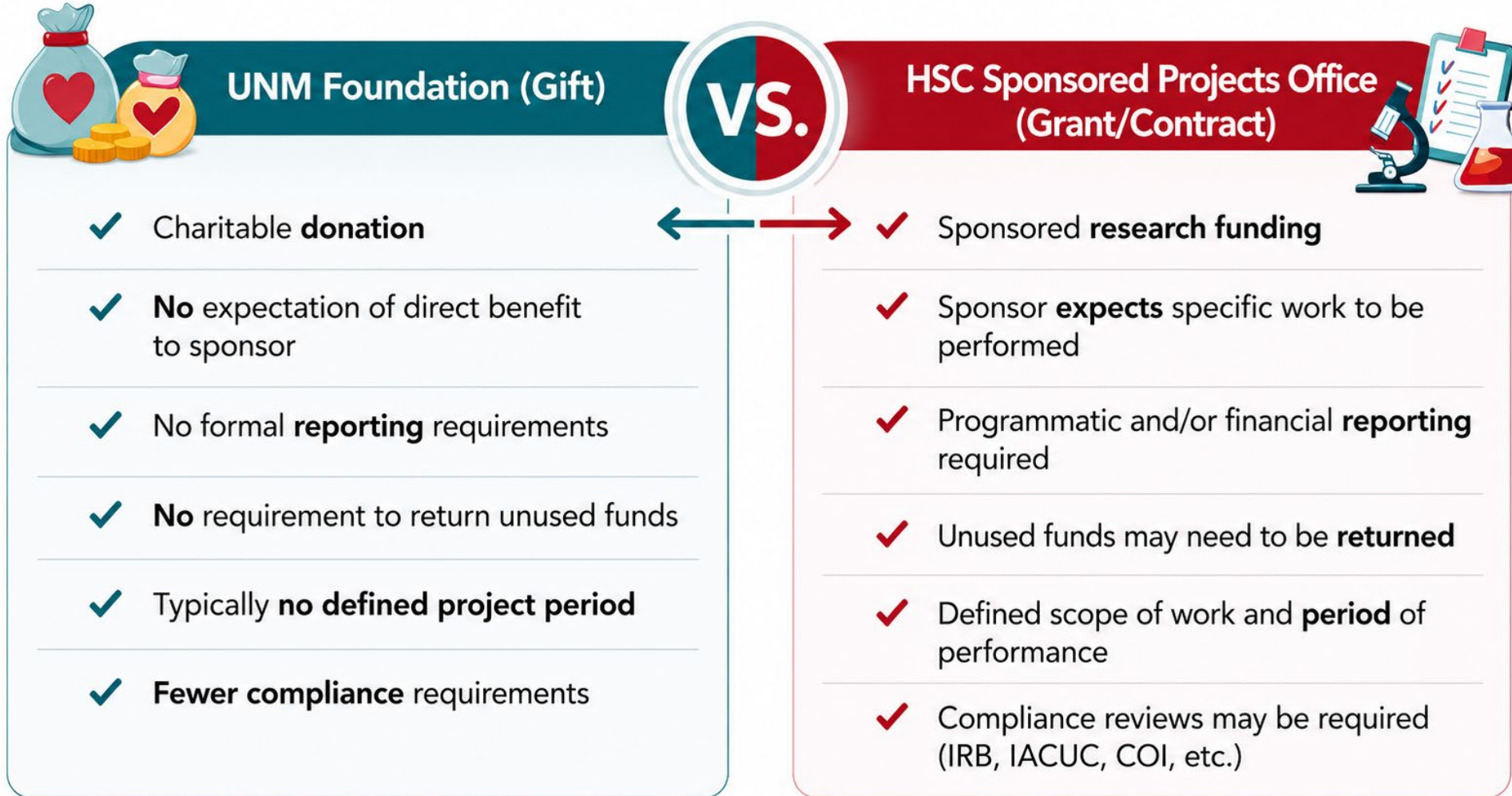
## KEY CONTROLS & REQUIREMENTS

- All submissions must route through SPO first.
- Entity eligibility (HSC vs. UNM Foundation) is determined by SPO.
- All agreements must be reviewed and negotiated by SPO.
- Smartsheet is the required system for all SPO ↔ Foundation exchanges.
- No award setup without a fully executed agreement and SPO approval of terms.

## ROLES & RESPONSIBILITIES

- SPO** – Intake, eligibility, proposal review, agreement negotiation, and award setup.
- UNM Foundation** – Submit proposals (when 501(c)(3) required), execute agreements, and exchange documents via Smartsheet.
- PI / Department** – Provide materials, respond to requests, and manage project performance.
- Contract & Grant Accounting** – Financial setup and ongoing award management.

# GIFT VS. SPONSORED PROJECT



## POINTS OF CONTACT :

**UNM Foundation:**  
Sarah Fair, [Sarah.Fair@unmfund.org](mailto:Sarah.Fair@unmfund.org)  
Betsy Till, [Betsy.Till@unmfund.org](mailto:Betsy.Till@unmfund.org)

**HSC Sponsored Projects:**  
[SCatanach@salud.unm.edu](mailto:SCatanach@salud.unm.edu)  
[HSC-Preaward@salud.unm.edu](mailto:HSC-Preaward@salud.unm.edu)

# May Momentum

TOGETHER. FOCUSED. FORWARD.

## *Questions or Need Assistance?*

*Proposal season is in full swing, and SPO is here to support you and your team!*

### **UNM Health Sciences - Sponsored Projects Office**

✉ **Email:** HSC-Preaward@salud.unm.edu

☎ **Phone:** (505) 272-9383

🌐 **Website:** <https://hsc.unm.edu/about/finance/sponsored-projects/>

📍 **Physical Location:** 1650 University, UNMHSC Business & Communications Center, 2<sup>nd</sup> Floor, Suite 2200



*Thank you for your continued partnership in advancing research at UNM Health Sciences!*



# HSC Export Control

TIM MULLER, MS, CBSP

# Export Control Exclusion Screening Form – Revision (2.1)

- ▶ ECES Form is used for all HSC proposals, grants, contracts and agreements to determine export control requirements.

UNM EXPORT CONTROL EXCLUSION SCREENING (ECES) FORM		
<p>HSC Principal Investigator (PI): Answer the following questions and return to the HSC Sponsored Projects Office administrator working on your proposal, grant, contract, agreement or MTA. Questions regarding the completion of this form or export control questions should be directed to HSC Export Control:            Tim Muller, (505-272-5993 / <a href="mailto:HSCExport@salud.unm.edu">HSCExport@salud.unm.edu</a>)</p> <p><i>Please complete this form electronically, sign &amp; date and return a copy to the HSC Sponsored Projects Office. Updates to questions 1-16 need to be communicated to the HSC Sponsored Projects Office and HSC Export Control by completing / submitting an updated ECES form.</i></p>		
Tracking Number: Click or tap here to enter text.	Previous Tracking Number(s): Click or tap here to enter text.	Estimated Start Date: Click or tap to enter a date.
Proposal Title: Click or tap here to enter text.		
Principal Investigator: Click or tap here to enter text.		PI phone number: Click or tap here to enter text.
Funding Agency, Institution or Sponsor: Click or tap here to enter text.		
Where is the Funding Agency, Institution or Sponsor located? Click or tap here to enter text.		
Fundamental Research Exclusion		Required Response
Q1. Will the information be published and shared broadly in the scientific community?		Choose an item.
Q2. Are there any proprietary or U.S. government publication or access dissemination restrictions in the contract?		Choose an item.
Q3. Are there any restrictions on foreign national participation or requirements for U.S. citizens only in the contract?		Choose an item.
Q4. Will there be any foreign nationals and/or persons holding dual citizenship involved with the project? Provide the name and nationality of each individual.		Choose an item.
Q4(a).		
Name (First, Middle, Last)	Country or Countries of Citizenship	US Permanent Resident (Green Card Holder)
Click or tap here to enter text.	Click or tap here to enter text.	<input type="checkbox"/>

# Export Control Exclusion Screening Form – Revision

- ▶ New Question: Where is the Funding Agency, Institution or Sponsor located?
  - ▶ Updated to help support the export control review process
    - ▶ All entities from countries of concern will be screened with Visual Compliance (Global Trade Compliance Software)
      - ▶ Red flags will be evaluated
      - ▶ License requirement could be required
- ▶ Q6 Update. Will items, materials, **research samples**, software, **research data**, technical data be shipped or transferred outside the United States?
  - ▶ Updated to help clarify this question

# Export Control Exclusion Screening Form – Revision 2.1 (4-8-2026)

- ▶ Q6. Will items, materials, research samples, software, research data, technical data be shipped or transferred outside the United States?
  - ▶ **Added**
    - ▶ Q6(b)(1). Who will be packaging and shipping physical items? Note: biological shippers will need to maintain their IATA shipping training certifications through the biosafety office (tmuller@salud.unm.edu or vseverns@salud.unm.edu). Other items may require additional IATA shipping training.
    - ▶ Q6(e). What is the intended end use (of the export)?
      - ▶ Some exported items could be considered dual use.

# Export Control Exclusion Screening Form – Revision

- ▶ Q7 Update. Is travel outside the US anticipated? Personnel will also be required to submit an International Travel Application at least 6 weeks prior to traveling. **International Travel**
  - ▶ Link to the UNM HSC International Travel website
    - ▶ International Travel Application (Smartsheet)
  - ▶ Q7(a).
    - ▶ Added Potential Travelers
    - ▶ Added Potential Destinations
    - ▶ Removed the equipment check out form requirement
    - ▶ Added question: Document equipment and research related items to accompany the traveler (e.g., laptop computer make / model, smart phone make / model).

# Export Control Exclusion Screening Form – Revision

- ▶ New Question
  - ▶ Q16. Is any of the project equipment export controlled?



# Export Control Exclusion Screening Form – Revision

- ▶ Deena Duran / SPO / HSC Export Control
  - ▶ Smartsheet version of ECES Form
    - ▶ Evaluation
    - ▶ Smartsheet questions match ECES Form
      - ▶ ECHO may need to use attachments due to sheet design limitations
        - ▶ Q4. Will there be any foreign nationals and/or persons holding dual citizenship involved with the project?
        - ▶ Q5. Is any portion of the project being conducted at a site other than UNM?
        - ▶ Q7. Is travel outside the US anticipated?

# **RAFT 5.15.26**

## **UNMH CTO Update:**

### **UNMH Clinical Trial Billing and Audit**

Leslie Pimentel Byatt, MBA, MSML, PMP, CCRC, FACRP,  
Director, Clinical Trial Operations

# Clinical Trial Billing: The Operational Reality

Current State Analysis - UNMH Clinical Trials Operations

## BY THE NUMBERS

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**13**

Major Process Phases

**50+**

Distinct Process Steps

**12+**

Stakeholder Groups

**6**

Weeks: Guarantor Number Creation Bottleneck

## CRITICAL PAIN POINTS

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- **Up to 6-week process** for guarantor number setup
- **Manual paper workflows** in Finance RBQ process
- **3 disconnected systems** (Click, Banner, Cerner) need manual sync
- **Limited standardization** across departments for outpatients
- **7 charge types** with unique routing

# Where We Are — and Why It Matters

## CLINICAL TRIAL BILLING AUDIT

This audit is about learning — not judgment. We look to understand, improve, and celebrate.



### Establish Baseline

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Understand where we stand today in our clinical trial billing processes — a starting point, not a finish line.



### Find Pain Points

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Identify friction, gaps, or inefficiencies so we can correct and improve our established workflows.



### Celebrate Successes

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Surface what's working well across sites and teams — and recognize those stories.

# Status & Path Forward

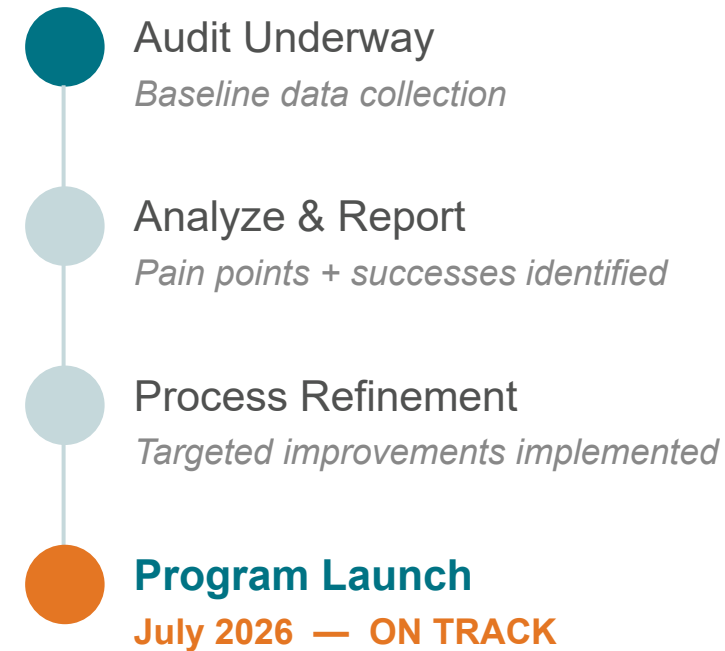
## AUDIT IN PROGRESS

- Reviewing billing processes across UNMH & SRMC
- ~150 active interventional trials in scope
- Outcomes will drive targeted process tweaks — not wholesale change
- Teams and PIs are partners in this process

## What Happens With Findings

- Share learnings with stakeholders
- Refine processes
- Recognize what's working

## BILLING COMPLIANCE PROGRAM



**CTO remains ON TRACK for July 2026 program launch**

# What's Next From The CTO

## Billing Compliance Program



**Go Live!! July 2026**

Full program launch — building on this audit's findings

## UNMH CTO Intranet Page



**Your hub for resources**

Policies, templates, tools, and program info — all in one place

## Common Ground Newsletter



**Q3 Edition Coming**

Shared goals, shared progress — updates from across the CTO

## Connect With The CTO



**[UNMHCTO@salud.unm.edu](mailto:UNMHCTO@salud.unm.edu)**

Questions, ideas, or feedback — reach out anytime