

OFFICE OF
SPONSORED
PROJECTS



CONTRACT & GRANT
ACCOUNTING

The Office of Sponsored Projects and Contract & Grant Accounting Newsletter

2021 1st Quarter Edition

Message from OSP and C&G:

We appreciate everyone's continued efforts and participation in ensuring that all actions processed by our offices are completed in a timely manner while working remotely. We may not all be on the same campus, but we are only a video chat or call away. Please feel free to reach-out!

The Office of Sponsored Projects and Contract and Grant Accounting are working hard to ensure that we are current with the most recent updates, guidance, policies, and regulations pertaining to "Hot Topics in Research Administration" including:

- Cybersecurity Maturity Model Certification
- Foreign Influence
- New forms/processes/guidelines related to updated sponsoring agency policy and guidance.

Please check out the rest of our newsletter for important updates and information regarding the above topics!

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Proposal Review Appointments

To schedule a proposal review appointment
please visit:

<https://osp.unm.edu/proposals/pi-appointment-request-form.html>

New Proposal Scheduling System

A big thank you to all who participated in our scheduling system testing! We strive to ensure the best possible user-experience and have been working on incorporating additional system features that will further enhance the scheduling system, while also addressing and resolving the previous system issues. Our new scheduling system is being slowly rolled out and we have added new beta-testers for the month of April. We will be sharing more information on a go live date later this month. If you have any questions regarding the new system, please contact ospappointment@unm.edu.

Upcoming Proposal Deadlines

Please be sure to review the following link to get the most updated deadline dates for NSF Proposals:

https://www.nsf.gov/funding/pgm_list.jsp?ord=date asc&org=NSF&sel org=NSF&status=1

	M	T	W	T	F	S	S
					1	2	3
4	5	6	7	8	9	10	
11	12	13	14	15	16	17	
18	19	20	21	22	23	24	
25	26	27	28	29	30	31	

APRIL

In Case You Missed It

Office of Sponsored Projects

Website Updates

Institutional Base Salary Guidance:

Working on proposal budgets and have questions regarding exactly what your PI's institutional base salary should consist of? Please visit the UNM Office of Faculty Affairs & Services Website for useful information on what to include and exclude in this calculation:

<https://ofas.unm.edu/faculty/compensation/institutional-base-salary/index.html>

Budget Components:

Are you working on a proposal budget and have questions? We have added additional information regarding the various components that constitute a sponsored research budget. Please visit our website for more information on Direct Cost, Indirect Costs, Modified Total Direct Costs, and the applicability of Reduced F&A Rates:

<https://osp.unm.edu/pi-resources/budget-components.html>

F&A and Benefits Rates:

We have been working on updating our website to provide additional clarification and distinction between the UNM F&A Rate Agreement Memo and other rates posted by UNM core offices. Please be sure to visit the OSP Website for the latest rate information when working on your proposal budgets:

<https://osp.unm.edu/pi-resources/budget-components-salary.html>

Contract & Grant Accounting

Chrome River Info Sessions

Chrome River Champions have been receiving invitations for the new Chrome River Information Sessions that are being hosted by FSM on the second Wednesday of each month. Each month FSM presents information on tips for processing Chrome River Expense reports and Invoices. They also go over navigating Chrome River and/or creating, sharing, and scheduling Mercury reports. They also touch base on UNM Policy overviews for Travel and P-Card. Each month the content is different and there are presenters from Unrestricted and Contract and Grants, so you can ask questions from each office. Please reach out to your Chrome River Champion to get the registration link.

Effort Certifications

The **202001 Effort Reporting** for January 2020 – June 2020 **was due on December 18, 2020**. All the pre-reviews have been completed. Our Effort Reporting Team in C&G has been reaching out to the Principal Investigators (PI) via email with a list of employees that need to be certified. It is a Federal Requirement that all effort is certified for 5R monthly employees. Below is a step by step quick guide on how to certify the effort: <http://cgacct.unm.edu/docs/quick-guide-for-certifiers.pdf>

Staff Announcements



The OSP Team welcomes two new staff members and congratulates other staff for making transitions within OSP:

Welcome to Caroline Cabiedes who joined the Awards Team and Amanda DiMercurio who joined the Proposals Team. See their bios [here](#).

Congratulation to Shannon Pogzeba and Shawnee Martinez for transitioning from the Proposal and Awards teams to the Contract Team.

Also, a big congratulations to Melissa Sanchez on her promotions to Sr. Sponsored Officer. In her new role, she will be supervisor of the Contracts Team.

The CGA Team welcomes our newest member:

Contract and Grant Accounting is happy to announce a new member of our team! effective Wednesday, February 17th, 2021. Rosalie Mireles has joined C&G as a Senior Fiscal Services Tech, starting in our department on February 17, 2021. She will be working with our Chrome River Team on review and approval of Chrome River transactions charged to sponsored projects. In addition, Rosalie will also be assisting with our monthly billing process.



OVPR Welcome

Welcome and Thank you, Dr. Ellen Fisher!

The Office of Sponsored Projects and Contract and Grant Accounting would like to welcome our new Vice President for Research, Dr. Ellen Fisher. We are happy to have you and thank you for the wonderful conversation you had with our UNM RAN Community. We look forward to working with you and are excited for what lies ahead with your leadership.

UNM Campus Announcements

UNM Single IRB Determination

If you were unable to attend the March 09, 2021 RAN Meeting regarding how to determine if your project requires a single IRB, please visit the link below to review the Single IRB Presentation, presented by Linda Mayo in the Office of the Institution Review Board:

https://osp.unm.edu/pi-resources/zoom_2-single-irb-presentation-clip.mp4

Title III and V Designation

UNM has recently renewed their designation as an eligible institution under Titles III and V of the Higher Education Act. For more information regarding this designation please visit our website:

<https://osp.unm.edu/resources/title-iii-v-2021.pdf>

Research Administrators Network

The UNM Research Administrators Network is continuously striving to recruit new members of the UNM Research Community to join the group. The Network has been developed to provide training and support to Research Administrators. If you or someone else you know is interested in joining, please subscribe to our RAN listserv to receive updates from our office. Our next meeting is scheduled for **Tuesday, April 13th**. Topics to be covered include: *Contract Review and Negotiation Process*.



RAN Resources

Did you miss any of our RAN meetings this last quarter? If so, no worries. We've got you covered! Please check out the resources from our latest RAN meetings below.

<https://osp.unm.edu/pi-resources/ranmeeting.html>.

Are you subscribed to the RAN listserv? If not, you may be missing important updates and information on research administration at UNM. Please click the link below to sign up for this listserv to receive updates from the research offices and agendas for the RAN meetings.

[Sign Up](#)

Reminders

Office of Sponsored Projects

Budget Revision Requests

The OSP Awards Team works jointly with C&G Fiscal Monitors, to review and process Budget Revisions. Depending on the complexity of the revision or Sponsoring Agency guidelines, the budget revision request must be submitted to the Sponsor for formal approval. If you are needing to request a budget revision, please send a completed Internal Budget Revision (IBR) form with the requested revisions to your fiscal monitor for review. Please visit the OSP website to obtain the latest version of the IBR Form to be used when submitting the request to our office: <https://osp.unm.edu/forms/index.html>.

Subaward Modification Requests

When submitting a Subaward Request Form (SRF) to initiate a subaward modification all pertinent documents should be provided. Below are examples of relevant documents that are needed to process an SRF depending on the nature of the modification: Statement of Work – If revised from the previous version, Budget – If additional funds are being obligated, Budget Justification – If additional funds are being obligated.

Receipt of these documents ahead of time will streamline processing by reducing the administrative burden for both OSP and the departments.

Contract & Grant Accounting

Retention of Records

Beginning on all restricted awards that end March 2021 or later, the fiscal monitor will be placing on the closeout reconciliation form the agency's retention requirement for that award. It is the department's responsibility to hold all departmental documentation pertinent to the award through the retention period. If there is any litigation, claim, investigation, audit, or Inspection of Public Record request, then the records must be held until resolved and final action has been taken. Some records, such as equipment and personnel records, may need to be held longer. Please see UNM Policy 6020 (Records Management, Retention, and Disposition), UAP 2300 (NM Inspection of Public Records), and the Uniform Guidance §200.334 (previously §200.333) for further information.

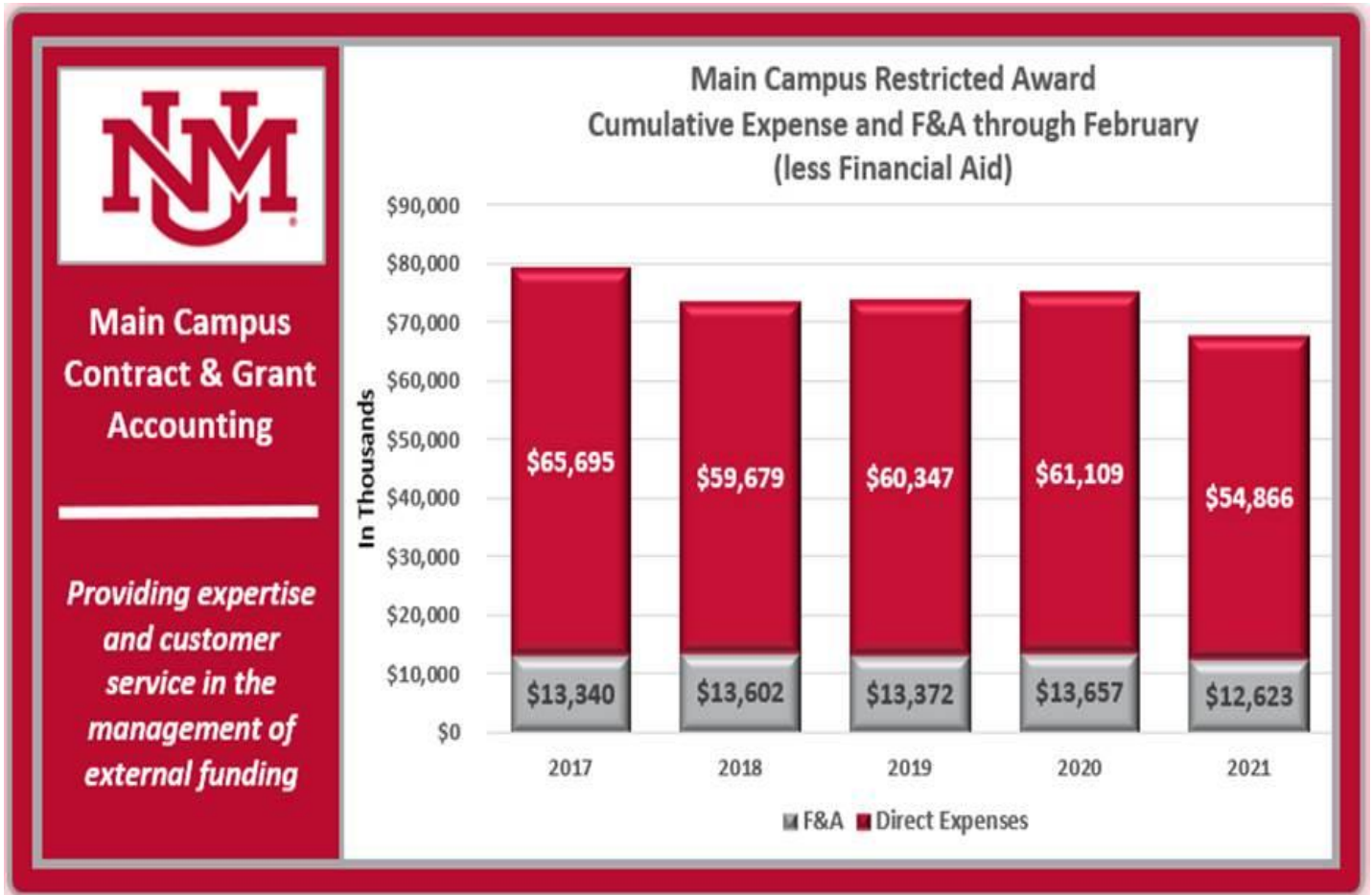
Most Federal awards follow §200.334 which states all records must be retained for a period of three years from the date of submission of the final expenditure report. Most State awards have a retention requirement of three to six years from final payment.

Contract & Grant Accounting's retention process is to keep all C&G award items for the greater of the award's retention requirement or seven years after the award has been closed and reviewed.

If you have any questions regarding the restricted award retention process, please ask your fiscal monitor.

Sponsored Research at a Glance

Five Year Main Campus & Branches Restricted Cumulative Expenses & F&A



*The graph above shows the five-year comparison of cumulative Direct Expenses and F&A through February 2021 on restricted awards for both Main Campus and the Branches.



Research Administration Hot Topic: **Foreign Influence and What You Need to Know!**

You may have seen an increase in communications regarding the topic of Foreign Influence sent out by various UNM departments around campus. The information below provides additional details regarding some of the topics currently being discussed throughout the Research Administration Network.

Cybersecurity Maturity Model Certification (CMMC)

What is CMMC?

- An initiative lead by the Office of the Assistant Secretary of Defense for Acquisition. It is a set of policies and practices that pertain to organizations that support or feed into the Defense Industrial Base (DIB).
- The main goal of the program is to validate the safeguards and practices that ensure protection of Controlled Unclassified Information (CUI) by verifying the level of the institution's cyber-security readiness.
- This initiative will significantly impact eligibility requirements and restrictions in solicitations.
- Please Note: This applies to all DoD contractors and researchers, including university-based research labs and facilities.

For more information regarding CMMC, please visit: <https://research.unm.edu/research-data-security>.

Email any questions or concerns to osp@unm.edu.

Federal Agency Disclosure Guidance

The UNM Office of the Provost and Office of the Vice President for Research have recently developed a website which includes federal agency requirements as well as guidance designed to assist researchers in determining what information needs to be disclosed to various federal agencies. Please refer to the UNM's Office of the Vice President for Research (OVPR) website for additional information:

<https://research.unm.edu/foreign-influence>

Section 117 Reporting

Over 30 years ago, Congress enacted Section 117 of the Higher Education Act of 1965 (HEA) in light of concerns about the growing financial relationship between U.S. universities and foreign sources. Congress balanced academic freedom and national security by mandating financial transparency through required reporting of contracts with and gifts from a foreign source that, alone or combined, are valued at \$250,000 or more in a calendar year.

New reporting requirements include:

- Required identification of donors;
- Expanded definition of institutions;
- Expanded definitions and information requirements for foreign sources;
- Identification of intermediaries; and
- Detailed information on foreign gift and contract restrictions (if applicable)

Section 117 Reporting is a University-wide mandate to ensure that any contracts with and gifts from a foreign source that, alone or combined, are valued at \$250,000 or more in a calendar year, are appropriately disclosed and reported. Most of this information is captured through various UNM accounting/sponsored project offices (i.e. Contract and Grant Accounting, UNM Foundation, etc.). If a gift or contract was received/routed through a UNM accounting office, it will be compiled by that office for an annual assessment to see if reporting is required. However, if a PI or student working on a research project received a gift or contract from a foreign source directly (i.e. to support travel, cover tuition, etc.), and it was not received directly by a UNM accounting office, you will need to self-disclose the terms of the gift/contract, regardless of dollar amount. We are currently working on a self-disclosure form on UNM's foreign influence website and more information about this link will be communicated through the RAN listserv when it is available.

Section 117 useful links and resources:

- UNM's Section 117 Website:
 - <https://research.unm.edu/fi-section-117>
- Department of Education website devoted to Section 117 Reporting:
 - <https://www2.ed.gov/policy/highered/leg/foreign-gifts.html>
- Department of Education Guidelines on Reporting:
 - <https://ifap.ed.gov/electronic-announcements/062220ReminderRprtOwnerContrlContrctsGiftsForeignSrc>
- College Foreign Gift and Contract Report (Active Database):
 - <https://sites.ed.gov/foreigngifts/>
- Department of Education Event: "No Strings Attached? Tracing Foreign Funding in U.S. Higher Education":
 - [Watch Event Recording Here](#)
- COGR Update on Section 117 Reporting Requirements (June 12, 2020):
 - <https://www.cogr.edu/sites/default/files/Sect117Presentation.pdf>

For more information contact

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