



# *OFFICE OF SPONSORED PROJECTS*

UNIVERSITY OF NEW MEXICO-MAIN CAMPUS

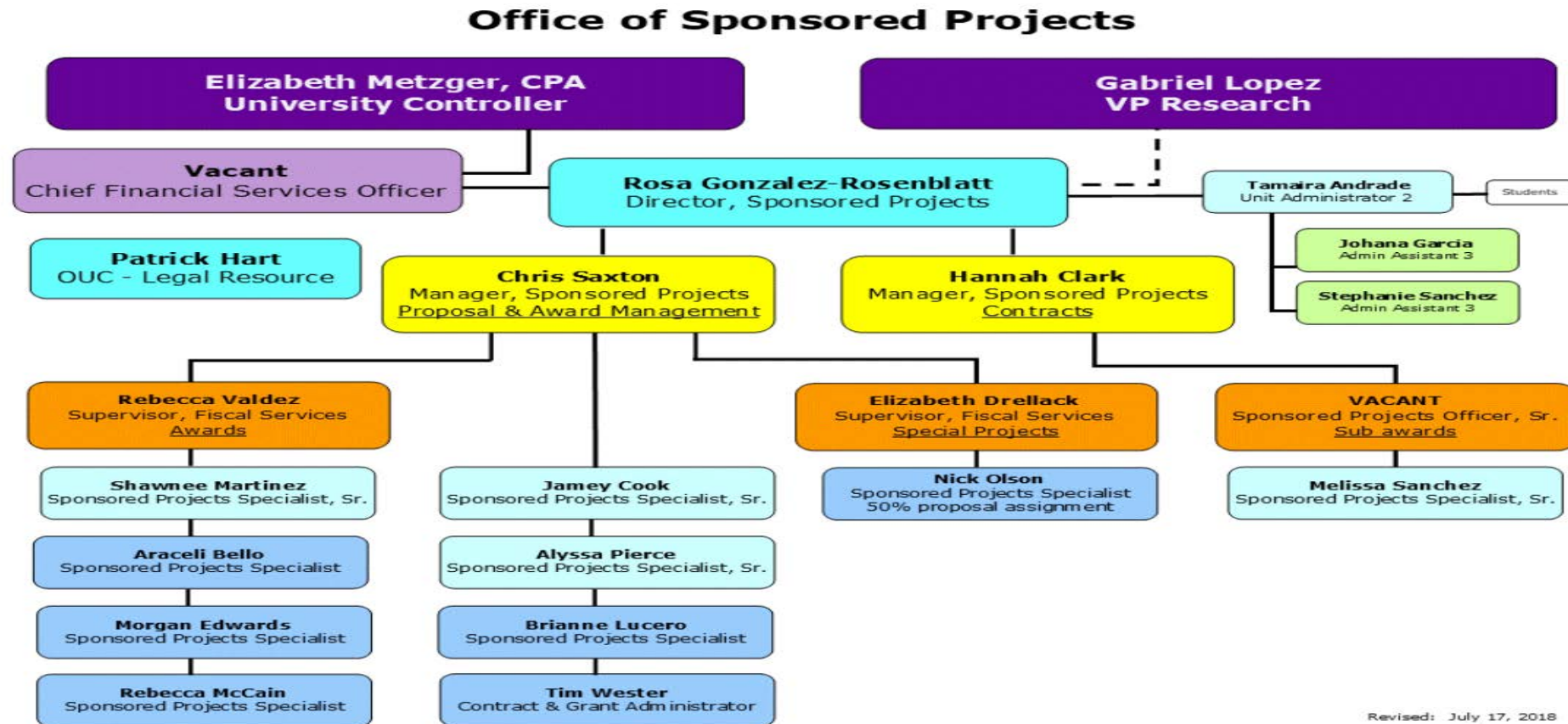


## MISSION

Our mission is to provide the University of New Mexico's research community with professional expertise and quality customer service in the pursuit and management of external funding.

We aspire to further this mission by being a resource to support the Research Strategic Plan and embracing the transparency and compliance aspects of our charge.

# ORGANIZATIONAL STRUCTURE



# LIFE CYCLE



## ROLES AND RESPONSIBILITIES

The Office of Sponsored Projects (OSP) assists faculty and other university personnel with all aspects of securing support for research and other scholarly activities from external sponsors, and all requests for externally funded sponsored projects should have, and in most cases require, the review and approval of OSP.

## ROLES AND RESPONSIBILITIES

Once a project is approved, UNM and the PI have a *shared responsibility* to make sure that a project is performed as proposed, that funding is used in accordance with sponsor terms and conditions, and that all required reports and closing documents are provided in a timely manner.

# ROLES AND RESPONSIBILITIES

**OSP has specialized regulatory, statutory and organizational knowledge.**

1. Advising the UNM community regarding Federal, State and Local Government agency rules, regulations and procedures
2. Reviewing and authorizing proposals for submission
3. Assuring compliance with all applicable sponsor regulations and UNM policies and procedures
4. Negotiating award terms and conditions

# ROLES AND RESPONSIBILITIES

1. Processing the notice of award (NOA) and coordinating project set-up.
2. Coordinating award-closing actions and maintaining a non-fiscal post award file, as required
3. Serving as the primary interface between PI's and sponsors in all areas requiring prior approval
4. Assisting with procedural management of active research projects including drafting and/or issuing subcontracts and project extensions
5. Verifying adherence to federal and institutional compliance issues

The Office of Sponsored Projects ensures that only authorized proposals are submitted by OSP personnel. This protects UNM and the PI.





# PI TRAINING

Learning Central  
Faculty Research Development Office

## PROPOSAL SUBMISSIONS-NAVIGATION

- ✓ 5-2 Rule
- ✓ Partnerships with Department Resources
- ✓ Appointment System
- ✓ Comprehensive vs Limited Review
- ✓ Exceptions: F&A reduction, Cost Sharing, On & Off Campus rates etc.

## AWARDS-OVERVIEW

After a proposal has been accepted by OSP and submitted to a sponsor, and the proposal is selected for funding, the negotiation and acceptance processes begin. Awards are reviewed and, if necessary, negotiated by OSP to ensure the terms and conditions are acceptable. *Routine awards are typically setup within five business days.* As appropriate, OSP will consult with the PI, department/laboratory/center administrators, and other administrative offices to ensure the proper setup. The negotiation process can take as little as a few days or as long as several months.

## CONTRACTS OVERVIEW

A mechanism for procurement of a product or service with specific obligations for both sponsor and recipient. Typically, the sponsor specifies a research topic or a service and the methods for conducting the research/service in detail, although some sponsors award contracts in response to unsolicited proposals. There is an expectation of specific deliverables within a specified time frame.

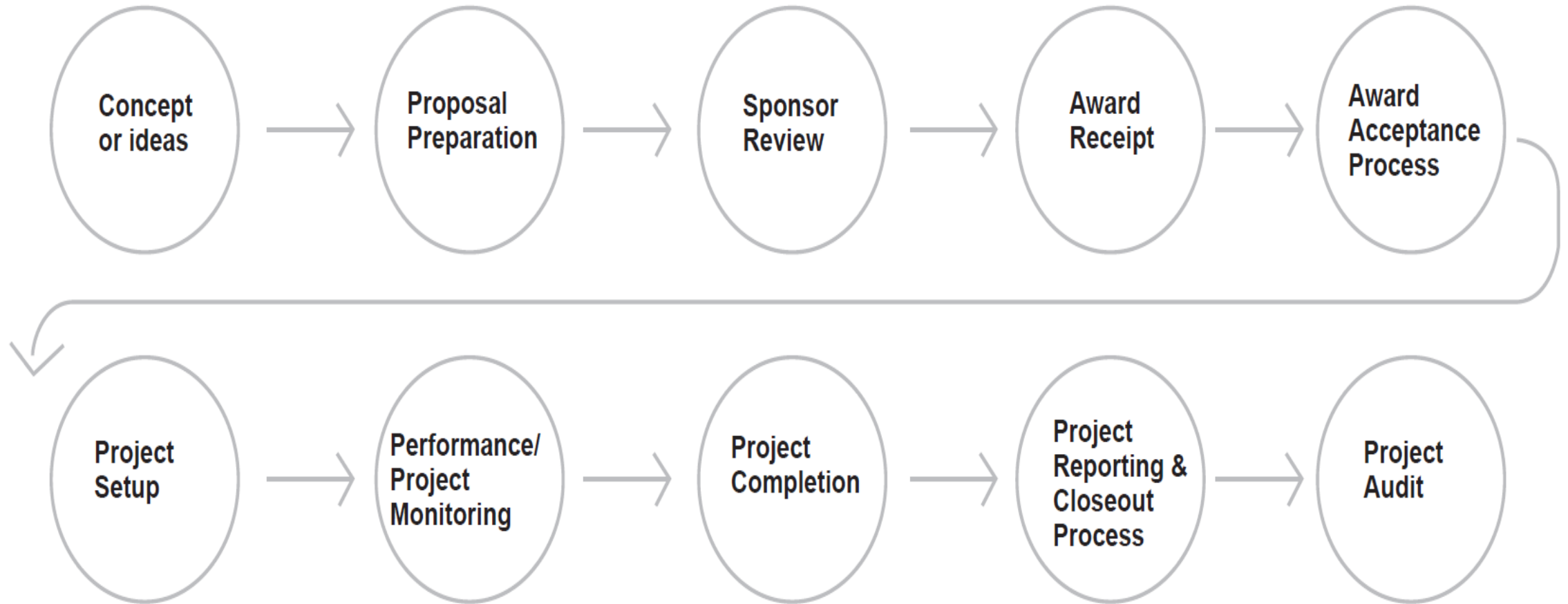
There is generally less flexibility in the method used for carrying out the plan of action.

Negotiation times for contracts varies.

## SUMMARY

- ✓ Proposal Submissions
- ✓ Award Acceptance
- ✓ Contract Negotiations
- ✓ Compliance
- ✓ Systems Management
- ✓ All things sponsored!

*Our mandate is to provide the checks and balances that are essential for UNM to comply with Federal and State regulations, as well as with the UNM's own policies.*



# POINTS OF CONTACT



**Rosa Gonzalez-Rosenblatt**

Director, Sponsored Projects

Email: [rosag@unm.edu](mailto:rosag@unm.edu)

Phone: 277-2665



**Chris Saxton**

Manager, Sponsored Projects

Email: [pasaxton@unm.edu](mailto:pasaxton@unm.edu)

Phone: 277-7575



**Hannah Clark**

Sr. Sponsored Projects Officer

Email: [clarkh@unm.edu](mailto:clarkh@unm.edu)

Phone: 277-7647



**Rebecca Valdez**

Supervisor, Fiscal Services

Email: [rvaldez3@unm.edu](mailto:rvaldez3@unm.edu)

Phone: 277-2341



# *CONTRACT & GRANT ACCOUNTING*

UNIVERSITY OF NEW MEXICO-MAIN & BRANCH CAMPUSES

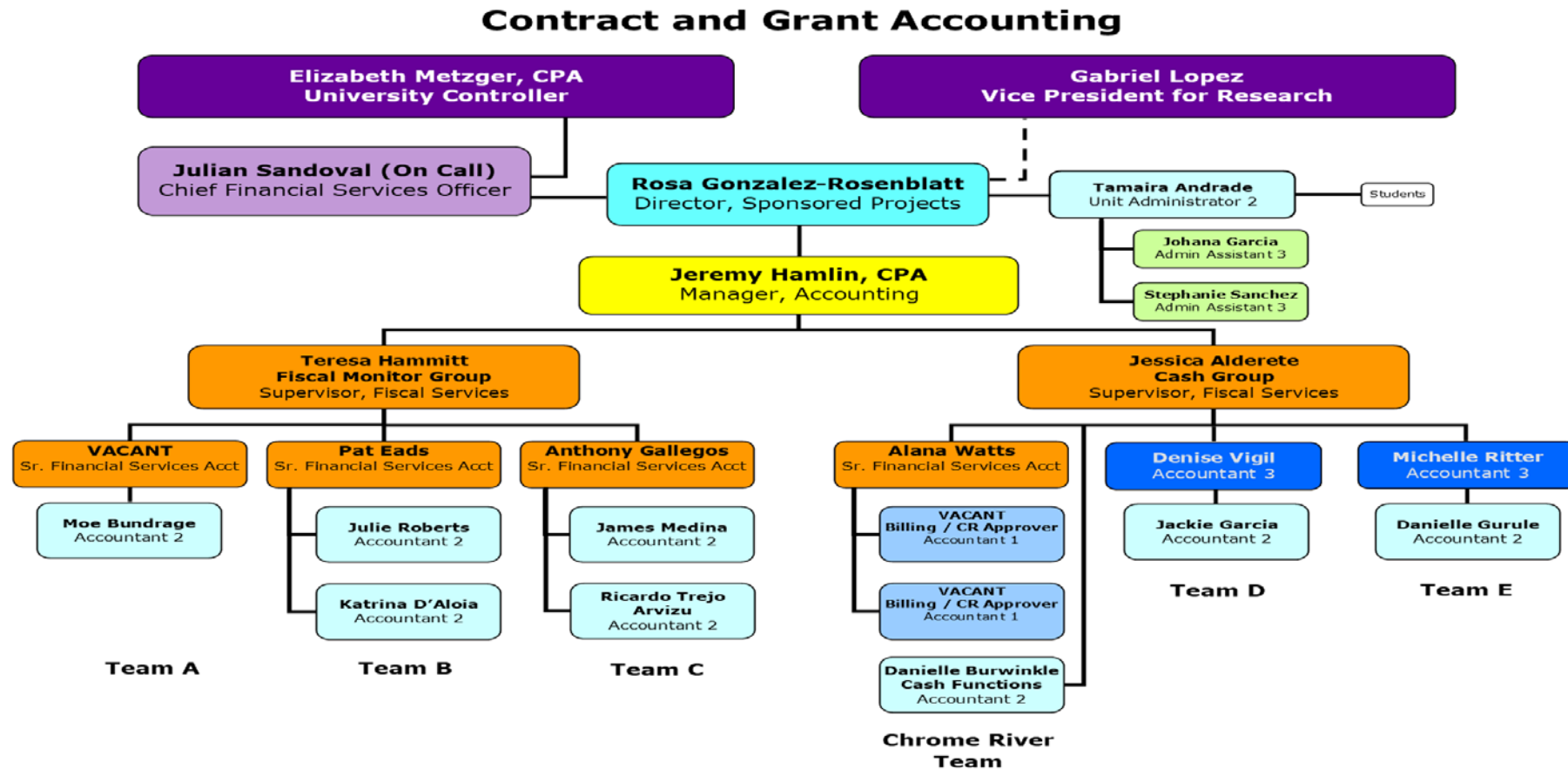




## MISSION

Our mission is to provide the University of New Mexico's research community with professional expertise and quality customer service in the management of external funding. We also strive to provide guidance and support to ensure compliance with UNM policy, state law, federal regulations and agency terms and conditions of funding.

# ORGANIZATIONAL STRUCTURE



## ROLES AND RESPONSIBILITIES

Contract & Grant Accounting (C&G) is under the direction of the Office of the Vice President for Research (OVPR) and the Financial Services Division (FSD). C&G is committed to uphold the University's research mission by providing support in the administration, management and oversight of sponsored projects.

C&G's customer focus involves working closely with the Office of Sponsored Projects (OSP), Principal Investigators (PI's), department administrators, and support staff across Main and Branch campuses to answer questions, resolve issues and provide clarification throughout the life of the award.

# ROLES AND RESPONSIBILITIES

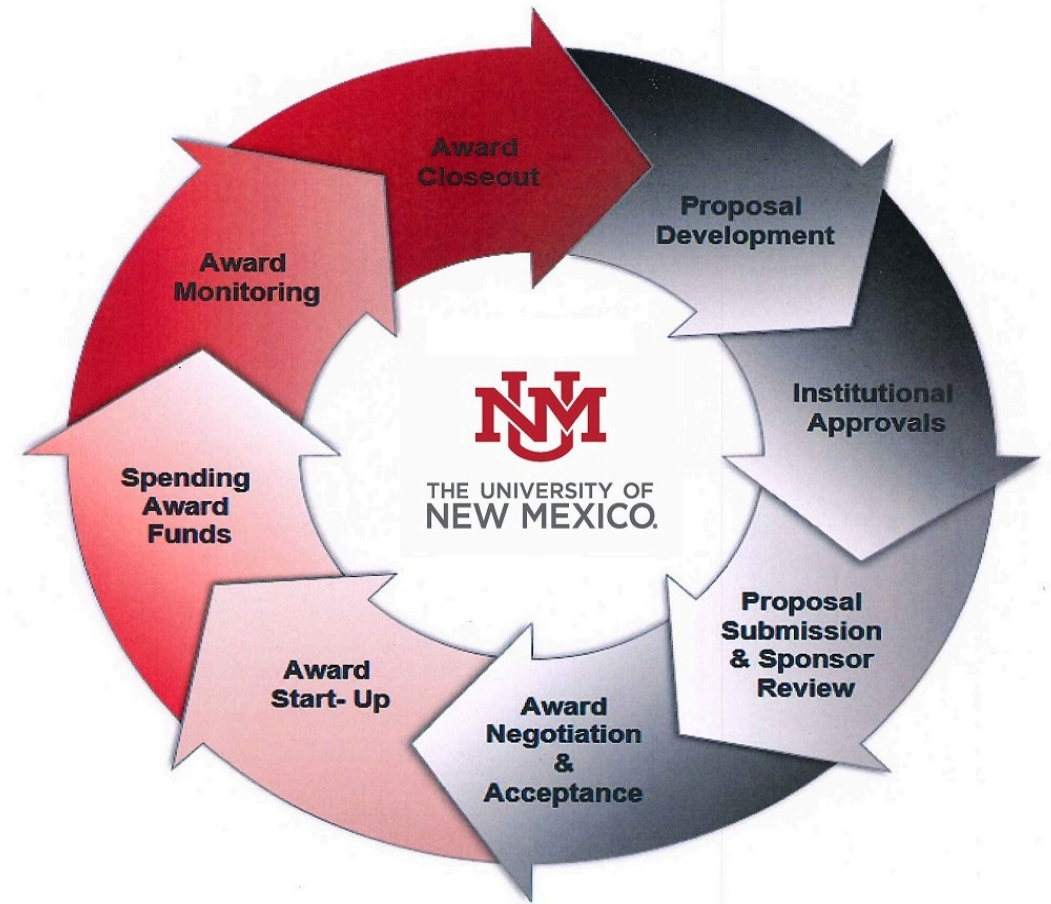
## **Contract & Grant Accounting provides assistance with the following:**

- Award and index set up in Banner, UNM's information system
- Monitor expenditures and ensure compliance through the interpretation of:
  - UNM Policy
  - State Law
  - Agency Terms and Conditions
  - Federal Regulations
- Review & Approval of grant-related Chrome River expense reports
- Cash management of sponsored projects, including invoicing and collections
- Prepare and submit **all** financial and non-technical reports (i.e. patent, property, etc.) to agencies
- Effort Certification support
- Subrecipient monitoring and risk assessment (financial portion)
- Closeout of award within required agency deadline

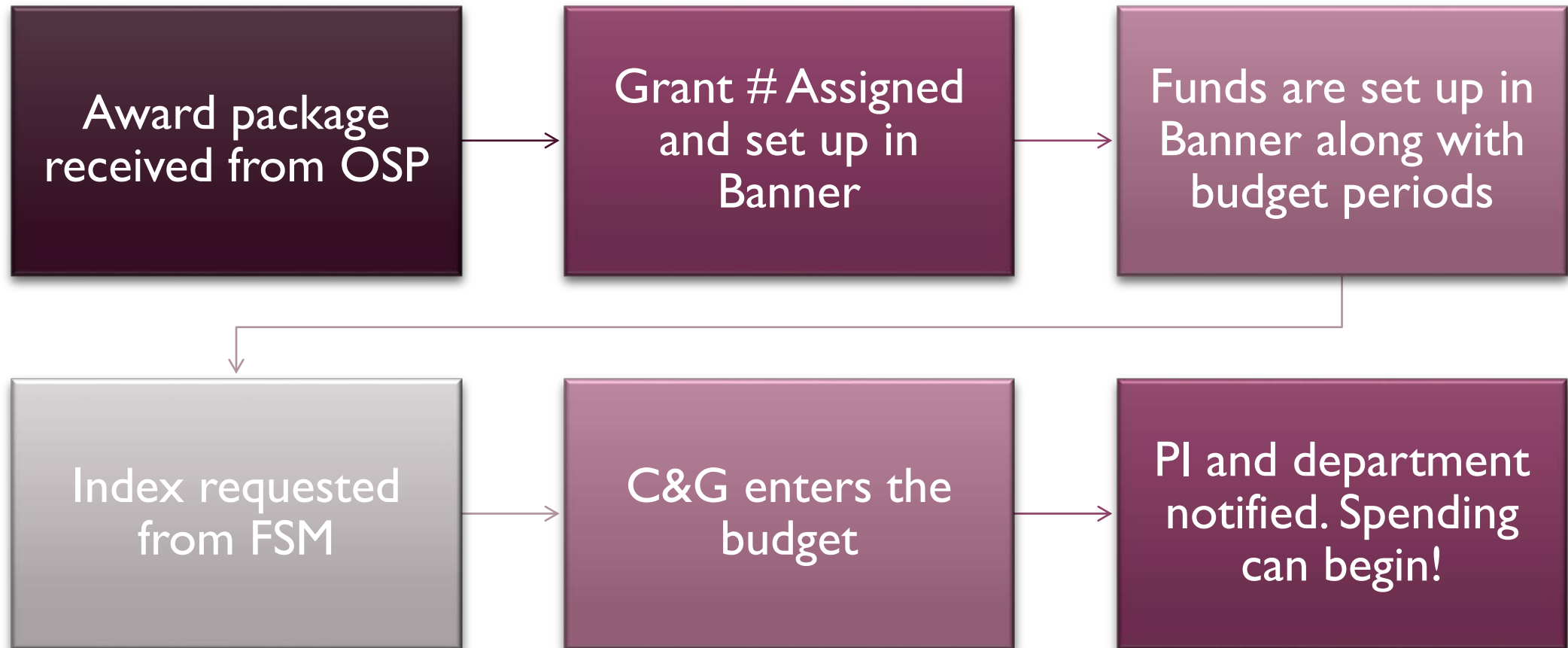
# PROJECT LIFE CYCLE (POST-AWARD)

Contract and Grant Accounting assists with the following:

- Award Start-Up
- Award Monitoring
- Award Closeout
- Audits / Site Visits (Financial)



# AWARD START-UP

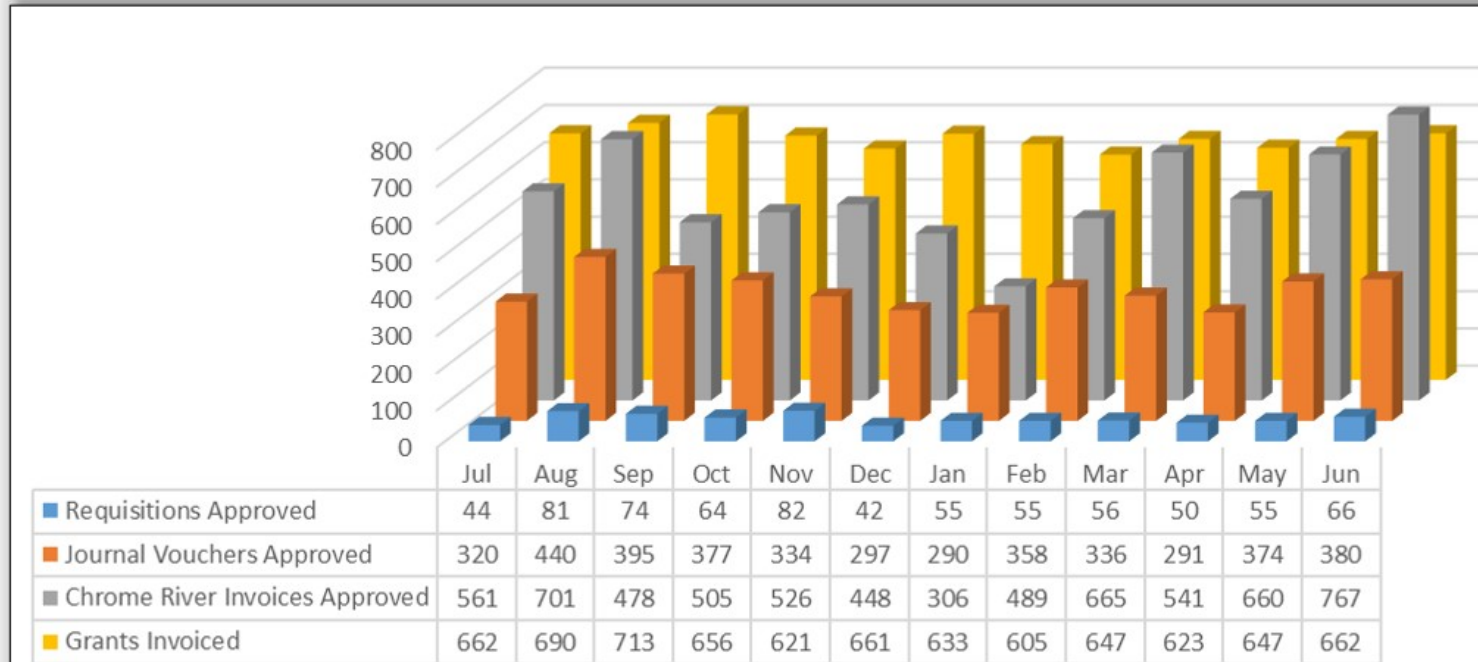


# AWARD MONITORING



# FY18 APPROVALS

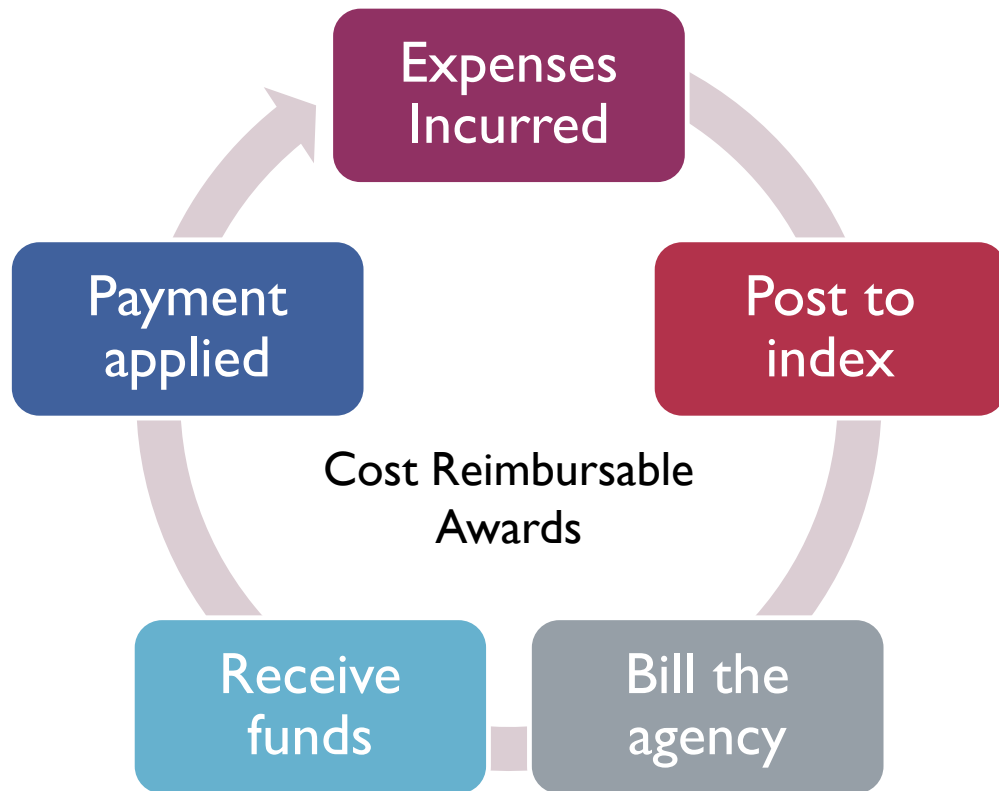
FY2018 Main Campus Contract & Grant Accounting Approvals



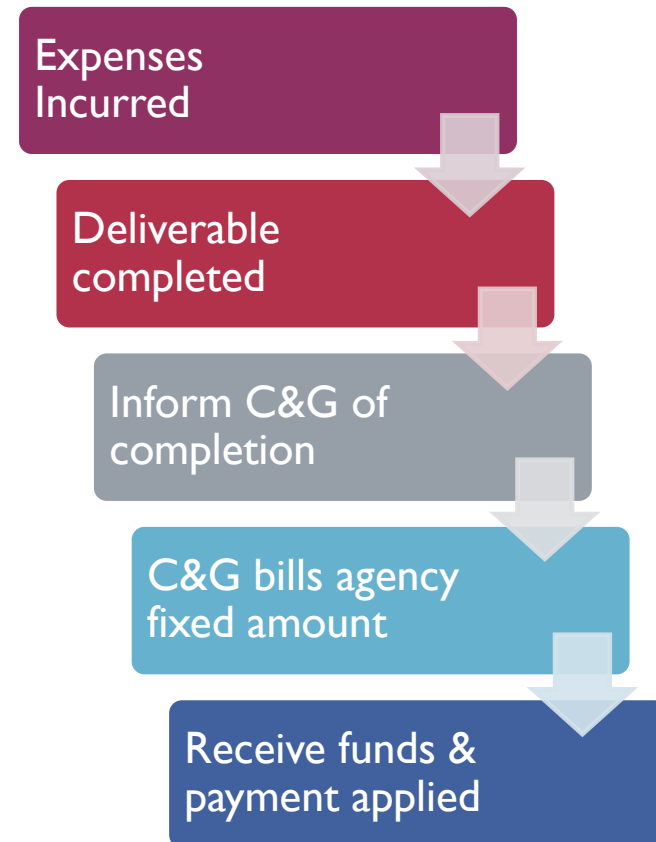
■ Requisitions Approved   ■ Journal Vouchers Approved   ■ Chrome River Invoices Approved   ■ Grants Invoiced



# CASH MANAGEMENT



## Fixed-price Awards



# EFFORT CERTIFICATION

Reasonable  
assurance that  
salary charges are  
accurate

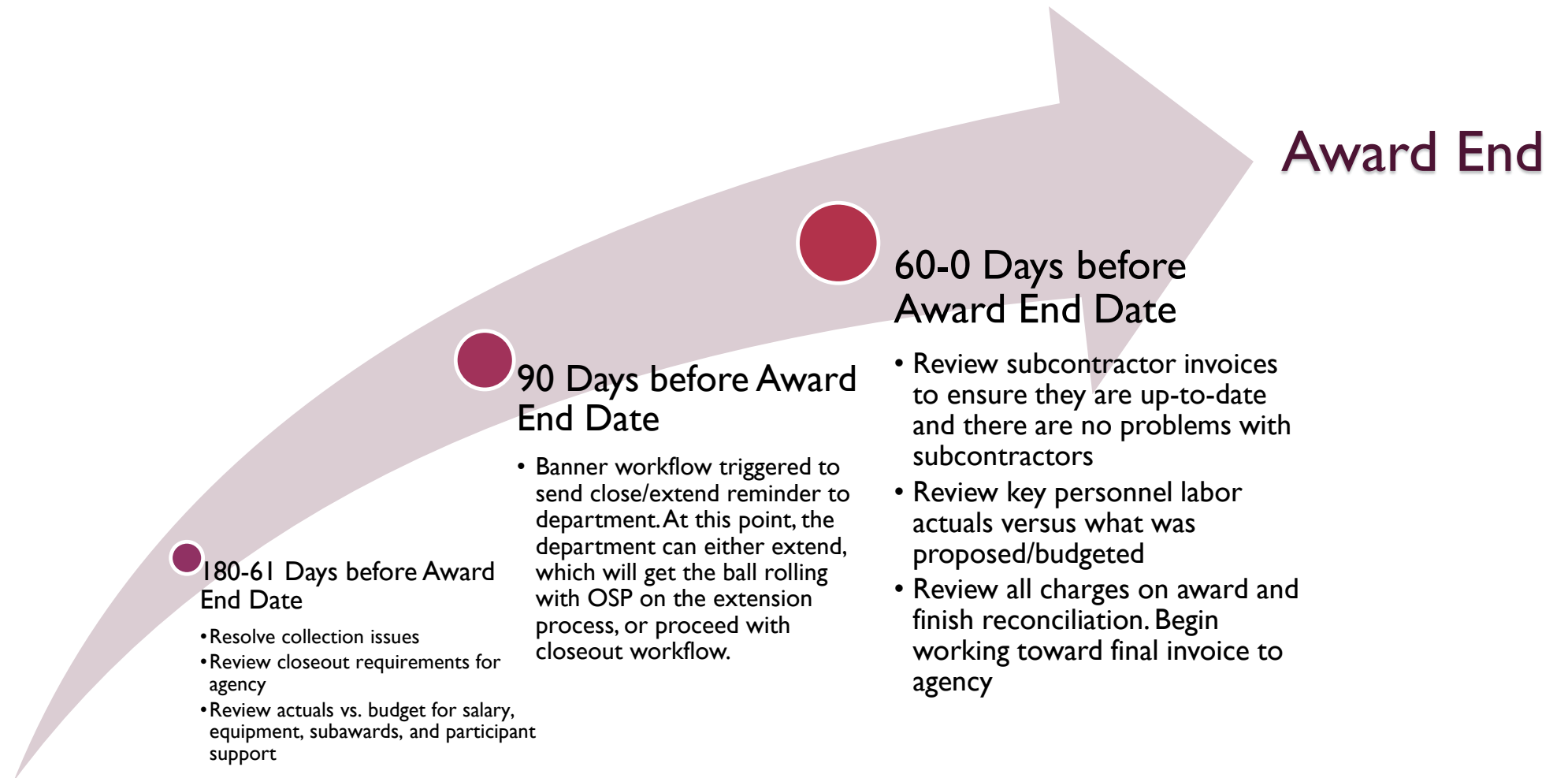
Semi-annual

5R Monthly  
employees

LoboWeb

Federal  
requirement

# AWARD CLOSEOUT



# AWARD CLOSEOUT

## Award End

### 0-30 Days After Award End Date

- Receive closeout reconciliation sheet from C&G. Due back within 3 weeks.
- Complete patent questionnaire and any other agency-specific forms. Send with closeout recon sheet.
- Work with subawardees to ensure they complete required closeout documents.
- Finish and submit final progress / technical reports.

### 30-60 Days After Award End Date

- All final entries and transactions should have posted to the award. The reconciliation should be complete and final invoice should be submitted and paid by now.
- C&G will finish and submit all non-technical and financial closeout documents required by the agency.

Award Closed

# PI TRAINING & RESOURCES

## Effort Certification

- On-line training is available thru Learning Central
  - **EOD 931** – Effort Certification Training for Certifiers (PIs)
- Please request: BAR role: “Department Effort Certification Reviewer”

## Grants Management Training

- On-line training is available thru Learning Central
  - **GMT 100** – Grants Management Training Online (Required for all PIs that are awarded)

## Contract & Grant Accounting Website

<http://cgacct.unm.edu/>

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**Rosa Gonzalez-Rosenblatt**

Director, Sponsored Projects

Email: [rosag@unm.edu](mailto:rosag@unm.edu)

Phone: 277-2665



**Jeremy Hamlin**

Accounting Manager

Email: [jhamlin@unm.edu](mailto:jhamlin@unm.edu)

Phone: 277-7721



**Jessica Alderete**

Accounting Supervisor

Email: [jessald@unm.edu](mailto:jessald@unm.edu)

Phone: 277-9731



**Teresa Hammitt**

Accounting Supervisor

Email: [hammitt@unm.edu](mailto:hammitt@unm.edu)

Phone: 277-7709

THANK YOU!

