Research Administration Network Agenda

SUB Lobo A&B

February 13th, 2018

9:00am to 10:00am

1. Pre-Award Items

   - General Announcements-Chris Saxton

   - Survey Results-Chris Saxton / Rebecca Valdez

   - Customer Service Link

2. Post Award items

   - Closeout timing and reporting overview (Teresa Hammitt)

   - Technical Reports check-C&G to add to closeout reviews going forward (Teresa Hammitt)

   - Reminder-BAR Role needed for PI's to complete effort reports (Jessica Alderete)

     o   EOD 931 Training (very quick and easy) in Learning Central

     o   "Department Effort Certification Reviewer" BAR Role
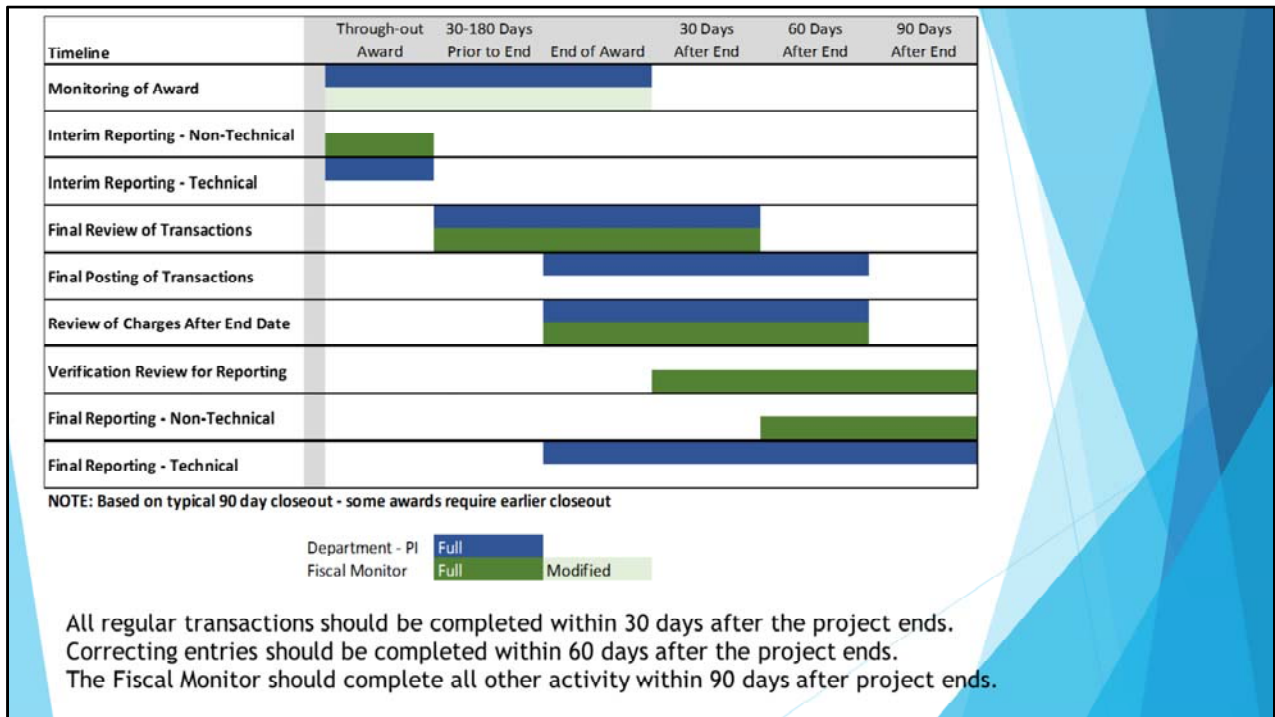
3. Question and Answer Session

RAN Meeting
February 12, 2018

Closeouts

THE UNIVERSITY OF NEW MEXICO. *Contract & Grant Accounting*
Main Campus

Timeline	Through-out Award	30-180 Days Prior to End	End of Award	30 Days After End	60 Days After End	90 Days After End
Monitoring of Award	████	████	████			
Interim Reporting - Non-Technical	████					
Interim Reporting - Technical	████					
Final Review of Transactions		████	████	████		
Final Posting of Transactions			████	████	████	
Review of Charges After End Date			████	████	████	
Verification Review for Reporting				████	████	████
Final Reporting - Non-Technical					████	████
Final Reporting - Technical			████	████	████	████

NOTE: Based on typical 90 day closeout - some awards require earlier closeout

Department - PI: Full
Fiscal Monitor: Full / Modified

All regular transactions should be completed within 30 days after the project ends.
Correcting entries should be completed within 60 days after the project ends.
The Fiscal Monitor should complete all other activity within 90 days after project ends.

➢ This is based on a 90 day closing. Some agencies, such as higher education agencies, require sooner closeout.
➢ It is the department's responsibility to monitor awards on an ongoing basis. We expect final transactions to be done within 30 days after the award ends with correcting entries to be done within 60 days. At setup, FTMFUND is set where the fund/index terminates 60 days after the award ends. If there is an unusual situation that prevents this, please contact your fiscal monitor.
➢ Our department needs to confirm information at times with other departments before submitting non-technical reports. We need time to be able to review the final transactions, confirm information with other departments, and prepare/submit reports. That is why the 60 day termination setting.

Specific Items Reviewed

- Charges Before/After award dates
- Key Personnel Salary
- Tuition appropriate to salary
- Subawards
- Participant Support
- F&A Review
- Equipment
- Cost Share
- Program Income
- Material/Supplies at end of award

➢ We require documentation for any charges made after the project end date. If a charged payroll period goes past the project end date, we will require days/hours worked on the award to verify they were part of the performance dates.

➢ We check Key Personnel Salary on all Federal and many other awards that mention key personnel. The accepted proposed key personnel salary determines the expected effort by the agency. Per the Uniform Guidance, any reduction of the salary by 25% or more requires agency approval. We verify that at least 75% of the salary was charged to the award.

➢ When tuition is part of the compensation packet for graduate students, the tuition must match the salary on where it is charged. For full Fall and Spring semester tuition charges, at least three months of the semester must have been worked on the award charged. For Summer semester, one month must have been worked on the award. Otherwise, the tuition must be prorated based on the distribution of salary.

➢ Subawards: We require the final invoice. Our department handles the rest of the non-technical close-out requirements. As a reminder, subawards are a legal obligation, therefore if you want to utilize the funds elsewhere, a subaward request must be made to de-obligate funds.

➢ We look at participant support to verify that any remaining balance on participant support was not used elsewhere.

➢ We review F&A for accuracy

- We look at Equipment. If equipment was purchased that was not part of the accepted proposed budget, we determine if the agency allows for the purchase of that equipment without approval.
- Cost Share is reviewed to determine if we met the cost share. The departments are responsible for giving us third party and in kind cost share documentation.
- Program Income – program income must be spent before the funds of the main award.
- Material/Supplies at end of award – we review to verify that materials and supplies were not purchased at the end of the award that could not be utilized for the award.

GONE Act

Grants Oversight and New Efficiency
January 28, 2016

Gone stands for "Grants Oversite and New Efficiency". This 2016 acct requires agencies to submit to HHS every year: lists of every federal grant award not closed which had ended 2 or more years, total number of awards, period of expiration, undisbursed balances, challenges leading to delays in grant closeouts, AND SUBMIT TO CONGRESS WHY the 30 oldest federal grant awards have not been closed.

Agencies are taking this very seriously and are working hard at getting awards closed. Our biggest issue has been final technical/progress reports.

> "Failure to comply with the procedures as outlined in your agreement **could impact** final payments and **any future project funding**."

> "**We are concerned that your institution has been unable to comply with the terms and conditions** of the award by submitting the required closeout documents. As previously noted, **failure to submit timely and accurate closeout documents may affect future funding** to the organization. Additionally, without UNIVERSITY OF NEW MEXICOs cooperation in submitting acceptable final reports, NIH may take unilateral action to close the grant as a measure of last resort, and may also take additional actions, including, but not limited to, enforcement actions **that may affect future funding**."

These are excerpts from two email received from different agencies. Notice that future funding may be affected because of late technical reports.

C&G Fund Closeout Reconciliation

The following is to be completed by the PI or designee:

The Final Progress/Technical Report:

_____ **Was Submitted on** _____

_____ **Has NOT Been Submitted but Will be Submitted on** _____

Please include or email a copy of the confirmation email from the agency or screenshot if submitted online showing successful receipt of the report.

As PI or designee, I certify that all expenditures posted and pending to the project as of today, are allowable, allocable, reasonable, complete and within the period of availability. All work has been completed or will be completed by the due date; including all final progress, technical reports and/or deliverables.

PI or designee Certification: _____ Date: _____

A list will be given to the Associate Deans of Research of all PIs with outstanding final reports.

In a meeting with the Associate Deans of Research and Sponsored Projects Management, the ADRs asked if we could find a way to verify whether or not final technical reports have been submitted. To do so, we have modified our closeout reconciliation form to add a section where the PI states the date that he/she submitted or will submit the final report. We are also requesting verification it was submitted by a confirmation email or screenshot of the online submission. We will gather this information through Banner and give a list to the ADRs of the reports that were not submitted.

If no report is necessary, "n/a" can be placed on this section.

For questions, please contact your fiscal monitor.

Date: January 22, 2018
To:
From: UROC Committee
Re: UROC Volunteers

The first UNM **Undergraduate Research Opportunity Conference** (UROC) will be held on April 19, 2018 and we are seeking volunteers. This event has been planned and sponsored by various programs, departments, and colleges in order to promote and showcase the UNM undergraduate research activities. To make this event successful we need your help. We need people to take different tasks at different times throughout the day of the event. We would greatly appreciate your participation as a volunteer thereby demonstrating support of our students.

The UROC provides four presentation types – Oral Presentation, Poster Presentation, Special Exhibition and UROC 180 (180 seconds presentation). You can find out more about each presentation type at the UROC website (UResearch.unm.edu).

The volunteer activities include:
- Providing feedback to Poster and Oral presentations using a short easy to fill out rubric
- Timekeeping at Oral presentation sessions and UROC 180
- Checking in the participants
- Help putting up posters on the boards

Please fill out the volunteer sheet at uresearch.unm.edu/volunteer to help the exciting UROC event.

It is our hope that UROC will become an annual event which will provide Undergraduates with the following to enhance their educational and research experience.

UROC Goals:
- Provide an opportunity for undergraduate students to present their research projects in and outside of classroom/lab
- Create the opportunities for undergraduate students to network with faculty, graduate students, and greater UNM community.
- Showcase the undergraduate research to UNM communities including donors, policy makers, local business and industries, etc.

UROC Committee:

Greg Lanier, Ph.D., Dean of Honors College	Michael Hoodless, College Enrichment Program
Sarita Cargas, D.Phil., Honors College	Scott Olds, Ph.D., Population Health
Laura Crossey, Ph.D., Associate Dean of Arts & Sciences	Alejandro Rivera, El Centro de la Rasa
Tim Gutierrez, Ed.D., Associate Vice President for Student Services	Luis Rocha, Honors College
Tara Hackel, STEM Collaborative Center	Ricardo Romero, McNair/ROP program
Trish Henning, Ph.D., Associate Vice President for Research	Kiyoko Simmons, Honors College

UROC Sponsors:

Honors College	Office of Vice President for Research
Student Affairs	College of Arts & Sciences