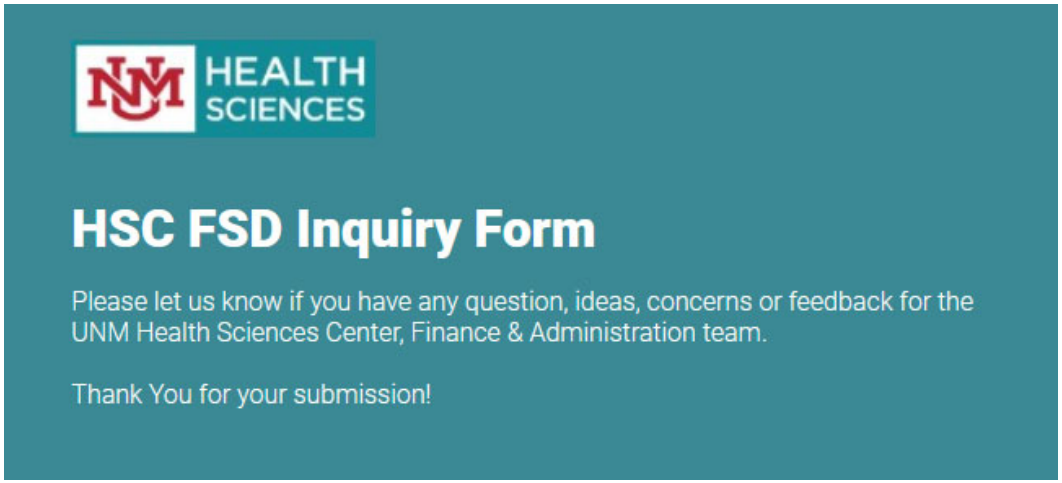
UNM HEALTH SCIENCES | UNM HEALTH

General Updates

June 16, 2023

FSD Inquiry Form Update



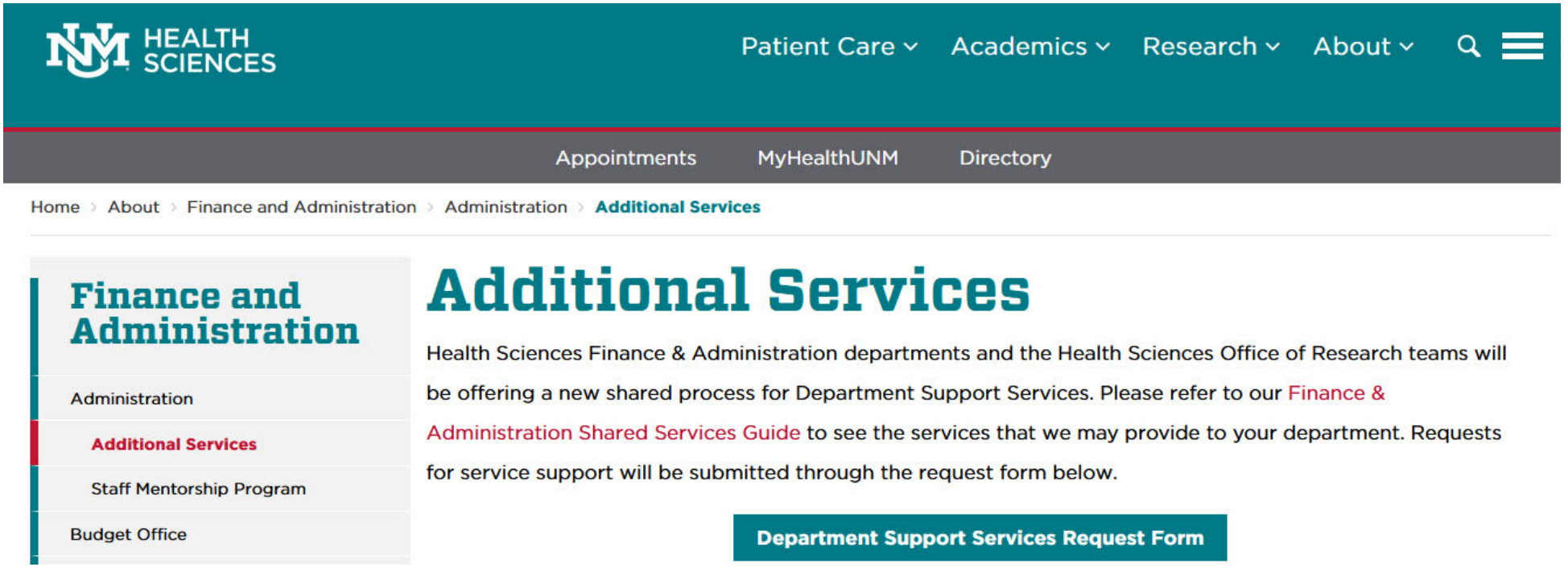
Department

Please select which department your request is for. If you are not sure leave this field blank.

- ○ HSC Contract & Grant Accounting
- ○ HSC Sponsored Projects Office
- ○ HSC Unrestricted Accounting
- ○ RAFT Topics
- ○ Other/Unknown

https://app.smartsheet.com/b/form/06140ff3e615443587961e68f04fa592

Finance & Admin Shared Services Guide and Request Form



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

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Contract & Grant Accounting Update

June 16, 2023

Kate Charleston

Signature Authorization Forms

- PI attestation to the - Submit For Department Review Endorsements
- A new activity will be added to all Click records for OEI
- User guide to verify approval queues is in process of being added to the C&G Website

Sponsored Project Year End Billing

- All State of New Mexico Awards except New Mexico Children Youth and Families Department
  - Invoices due to state 07/07/2023
  - Date deliverables or signed recon due to HSC C&G 06/27/2023

- New Mexico Children Youth and Families Department
  - Invoices due 07/14/2023
  - Date deliverables or signed recon due to HSC C&G 06/30/2023

IBW and ABS Project

- Sponsored Project Office and Contract & Grant Accounting Office have been working on a project to develop one budget worksheet.

- Currently department employees create the IBW at proposal stage and then a separate ABS is created when a proposal is awarded.

- Combining the two existing tools into one, will reduce redundancy at the department level, will help to expedite the budget information for a more timely setup and faster creation of indices.

Questions

SPO RAFT SESSION

Research Administration Forum & Training Session

SPONSORED PROJECTS OFFICE

JUNE 16, 2023

SPO Reminder

- **Updated Average Salary Compensation Memo & Fringe Benefit Memo**
  - Memo have been updated to the SPO website
  - IBW has been updated to reflect these changes and available on the SPO website
  - Reminder to download the new version of the IBW

- **Timeline Waivers**
  - HSC Grants Management Training may be required to understand the importance of submitting to SPO on time
  - If your waiver states a specific date of documentation submission, your waiver is getting approve based on that date. If you don't meet that date, you will be required to obtain a second timeline waiver and training will be mandatory

SPO Reminder

- **UNM E60: Sponsored Research**
  - ALL Sponsored Project Submissions must come through SPO prior to being submitted to the sponsor
  - SPO reviews administrative information, budgets and eligibility for submission
  - Departments may be penalized monetarily if frequent occurrence

- **F&A Waivers**
  - Per UNM policy, Indirect Costs are not reduced in order to increase direct costs in a project
  - Waivers will be declined for following:
    - Sponsor policy does not restrict F&A
    - UNM does not have an already agreed upon rate with local/state agency
    - Letters from sponsor showing F&A restriction (needs to be policy)

SPO Reminder

- **F&A Waivers**
  - Waivers will be declined for following (continued):
    - Requesting reduction in order to achieve project goals
    - Federal flow thru in which the federal agency does not restrict F&A but institution does (per Uniform Guidance, we are allowed to use our Federal Rate if federal flow thru)
    - Remember to have your waiver in prior to submission of your grant to ensure it will be approved
    - If you have questions regarding F&A on a project, please email HSC-PreAward@salud.unm.edu for assistance

- **SAMHSA Submissions**
  - PI/PD can be a hospital employee. Due to the nature of SAMHSA grants, HSC is allowing a hospital employee to be PI on a grant. HOWEVER, an HSC faculty member must also be listed under key personnel and the grant will be managed by HSC eligible PI in their department. Guidance is on the SPO website under Grants.

SPO Reminder

- **SPO/Office of Research Survey for Grant Submission**
  - We will be part of a grant submission requesting funding for department assistance to help with grant preparation
  - We will send out a survey asking for your input on the assistance your department needs during the pre-preaward phase of a project.
  - Assistance may include preparing grants, budgets, collecting documentation, managing accounting once award is here, etc.

Questions

Key Dates and Information for FY23 Year End Close Updated Schedule

Presented by:
John Brandt, Associate Controller
HSC Financial Services, Unrestricted Accounting
June 16, 2023

FY23 Year-End Close Schedule

There have been some date changes on some of the Department tasks since the first schedule of key dates were presented April 21, 2023.

Chrome River
Expense/Invoice Report Deadlines

Departments must submit by **Friday, June 30, 10:00 pm**.

* * * * *

Departments must approve by **Thursday, July 6**

* * * * *

Financial Services will review by **Friday July 7, 3:30 pm**.

PCard Report Deadlines

Departments must submit **AND** approve PCard Reports with a transaction date through 6/30/23 (FY23) by **Friday, July 7**.

* * * * *

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

PCard Report Deadlines

Do not mix FY23 and FY24 purchases on the same report. Each report should contain only purchases from the same Fiscal Year.

* * * * *

Include “FY23” or “FY24” 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 around **June 27** to alert you to new items that need to be reconciled.

Journal Voucher Deadlines

Departments must submit **AND** approve Journal Vouchers by **5:00 p.m. Thursday, July 6.**

* * * * * *

Departments will have not have access to create JVs from **July 6, 5:01 p.m. until July 19, 8:00 a.m.**

* * * * * *

Financial Services will review and approve through **Friday, July 7.**

Helpful Tip

Sarah Martinez in SOM Finance Office will be available to enter material JVs for departments on **Friday, July 7**. Her deadline to submit is **5:01 p.m.**

SMartinez@salud.unm.edu
2-0454

Labor Redistributions (PHAREDS) Deadlines

- All PHAREDS must be completed AND approved by **5:00 p.m. Thursday, July 6**.

- Departments will have not have access to submit labor redistributions (PHAREDS) from **July 6, 5:01 p.m. until July 19, 8:00 a.m.**

NSAR Billing Deadlines

- All NSAR invoices for FY22 must be entered by noon **Friday, June 30.**
- NSAR backup must be emailed to HSC Unrestricted Accounting by noon **Friday, June 30.**

Other Important Dates

Accounts Payable last day to cut checks for FY23 is **Monday, July 10.**

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Final FY23 MyReports will be available **Friday, July 21**.

* * * * * *

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

Final Tips

- If you haven't reviewed and reconciled your indexes … Start Now!
- Do NOT wait until June 30 to submit Chrome River reimbursements. Get all reports submitted and approved as soon as you can. Verify all required backup is attached. This gives us time to review and make requests/corrections as needed to post in FY23.

Final Tips

- PLAN AHEAD - July 4 is a Tuesday.

Some departments may have personnel on annual leave on Monday, July 3 and Tuesday, July 4.

- That only gives departments 2 days left (Wednesday, July 5 and Thursday, July 6) to meet the above deadlines. PCard transactions have a July 7 deadline.

Latest updates to Finance Fiscal Year End 2023 Close Schedule can be accessed at:

http://fssc.unm.edu.

UNM Health Sciences Compliance Overview

RESEARCH ADMINISTRATION FORUM & TRAINING (RAFT)

FRIDAY, JUNE 16, 2023 | 10:30 - 11:30 AM

BRIE DELVIN, HSC COMPLIANCE MANAGER

Purpose of Compliance

- Compliance is the proactive practice structured around prevention, detection, collaboration, and enforcement.

- These practices are accomplished through the development of processes, policies, and procedures that are in alignment with Federal and state laws pertaining to the organization.

Mission Statement

The Mission of the UNM Health and Health Sciences Compliance Department is to ensure adherence to applicable federal, state and local laws, regulations and internal guidelines that govern the delivery of health care by:

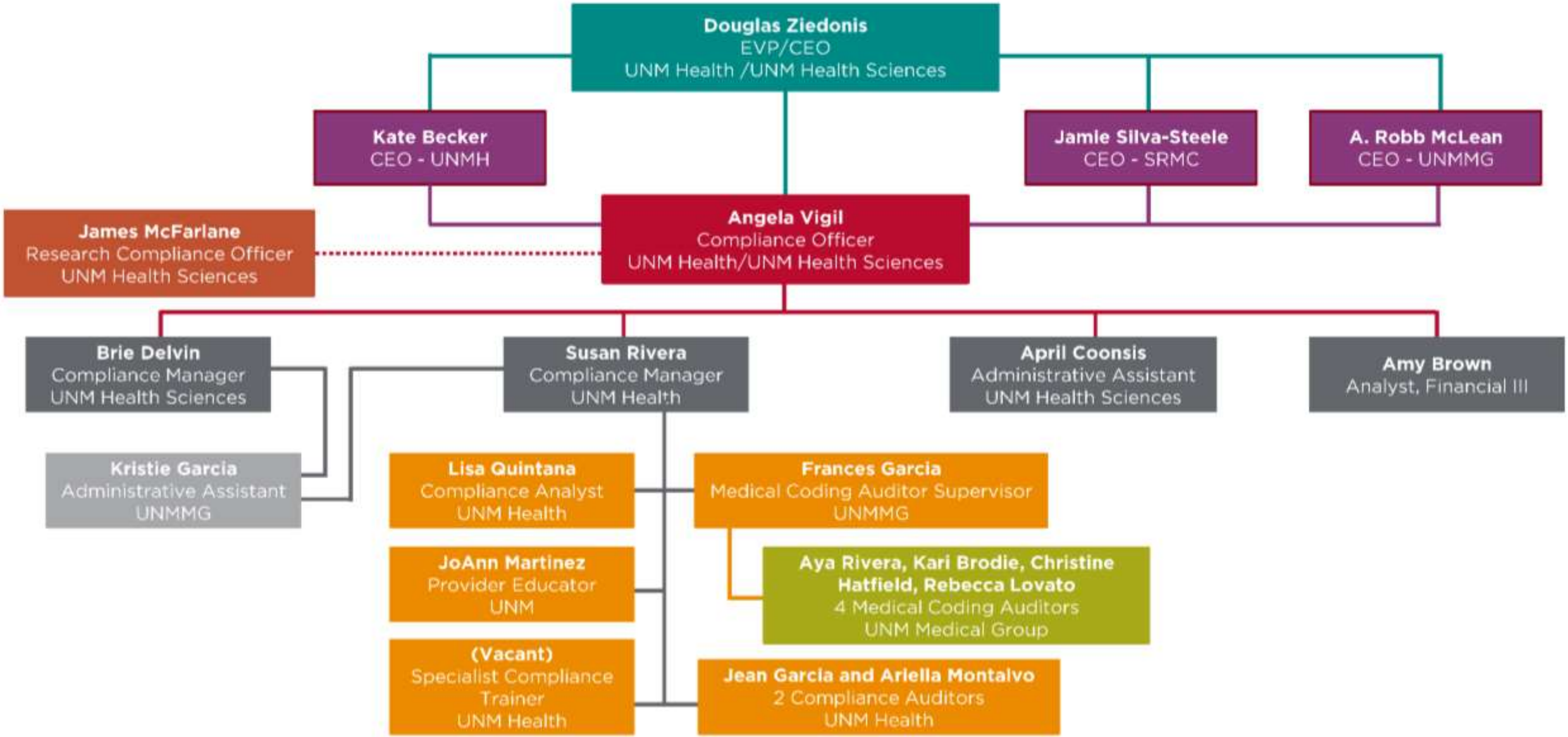
- Serving as a partner in managing and monitoring organizational compliance;
- Facilitating and improving communication and education designed to promote compliance awareness, correct deficiencies when identified, and establish best practices for preventing, detecting and responding to business conduct that is inconsistent with federal and state laws and with the organization's values;
- Establishing credibility among peers and employees by quickly and effectively investigating and addressing compliance-related concerns;
- Performing routine compliance audits and risk assessments intended to improve internal processes;
- Fostering a culture of high ethical and moral standards that serve to

7 Elements of Compliance

The UNM Health and Health Sciences Compliance Department has implemented an effective compliance program which includes the following seven elements; all of which are recommended by the Office of Inspector General (OIG):

- Policies, Procedures, and Standards
- Designating a Compliance Officer + Compliance Committee
- Training and Education
- Effective Lines of Communication
- Compliance Monitoring + Auditing
- Enforcing Standards
- Responding to Detected Problems

UNM Health & Health Sciences Compliance Department Organizational Structure



Examples of How Compliance Can Be a Resource

- Help understand meaning of laws/regulations/requirements.
- Provide guidance on how they apply to departmental needs, projects, and initiatives.
- Provide individualized training.
- Provide risk assessments by individual colleges and departments.
- Provide audits for areas of concern.

Compliance Department Priorities

Conflict of Interest/Conflict of Commitment/Outside Activities

- Policy and Process, including development of annual attestation for disclosure and FAQs
- Identification of Software
- Targeted completion: Summer of 2023

Integration of UNM Hospital and SRMC

- Ensure alignment of policies
  - » Inventory all clinical and non-clinical policies for SRMC
  - » Identify the list of policies at SRMC that are unique to SRMC (i.e., not yet aligned with the parallel policy at UNMH)
- Scheduled Completion Date: December 2023

Compliance Department Priorities - Continued

Health Sciences Department Level Compliance Education

- To commence in Summer 2023

Public-Facing Website

- Working on developing one Compliance Department public-facing website for UNM Health and Health Sciences Compliance Department
- Targeted Completion Date: Late 2023

Current Health Sciences Initiatives

- Disclosure of Outside Activities Policy (COC/COI)
- Learning Central
- Exclusion Screening & Training
- Ethics Point (Compliance Hotline)

Exclusion Screening Overview

- Exclusion screenings are done in an effort to prevent the misuse of Federal healthcare funds by individuals or vendors who have been previously found to engage in questionable behavior.
- The Compliance Department screens individuals and vendors on a monthly basis as a backup to initial screenings done by HR and/or Purchasing.
- Approximately 21,000 individuals and 11,000 vendors are screened monthly for exclusions.
- Our external vendor, Compliance Resource Center (CRC), runs monthly reports of employees and vendors through multiple Federal sanctioning databases and provides Health Sciences Compliance with reports of their findings.
- Any possible or verified matches are then investigated by

Categorization of Exclusions

- Convictions related to defrauding Federal or State healthcare programs, patient abuse or neglect, or felony convictions for other healthcare misconduct or that are drug-related result in a mandatory exclusion.
- Misdemeanors for defrauding healthcare organizations or that are drug-related, providing unnecessary or substandard services, or defaulting on student or medical student loans result in a permissive exclusion.
- Activities must be "wholly unrelated to Federal healthcare programs."
- Exclusions are not limited to the person who is directly providing services or items. Excluded individuals in roles providing administrative services, management, IT services, etc. are also subject to this law.
- Applies to individuals submitting claims who know or "should"

Consequences

- Consequences of employing an excluded individual or using an excluded vendor include Civil Monetary Penalties (CMP) and the possibility of losing the ability to bill Medicare and Medicaid.
- CMP up to $10,000 for each item or service furnished and listed on a claim submitted for Federal reimbursement.
- In addition to the CMP, an assessment of 3x the amount claimed can be imposed along with program exclusion.

Ethics Point (Compliance Hotline)

- Ethics Point is a confidential, 3rd party platform to address reports of alleged misconduct in the workplace.
- Reporters can provide their name or choose to be anonymous, and phone and online reporting are available 24/7.
- Phone: 1.888.899.6092
- Online: unm.ethicspoint.com
- Every report that comes in to Ethics Point is investigated. The timeline for an investigation is within 30-days, unless it is a particularly complex investigation, involves multiple departments, or involves a lot of individuals.
- The majority of Ethics Point reports at UNM Health and Health Sciences are related to Human Resources.

QUESTIONS

UAP 3245 – REMOTE WORK POLICY

Mike Brown, Director HR Client Services

REMOTE WORK

- UAP 3245, Remote Work
- Defines the following Remote Work Options
  - UNM Worksite
    - Physically working
  - Hybrid Remote Work
    - Combination of work on campus and work at an alternative location
  - In-State Remote Work
    - Working full-time from an alternative location within the state of NM
  - Out-of-State Remote Work
    - Working full-time from an alternative location outside of the state of NM

REMOTE WORK

- Eligibility
  - All employees eligible for Remote Work within NM
  - Exempt staff can request Out of State Remote Work – not available to nonexempt staff
    - Exempt staff are required to be a term employee
  - Alternative work locations outside of the United States are not authorized for Remote Work

REMOTE WORK

Three Forms

- Remote work agreement – new or change to RWA
- Termination of RWA
- Remote work agreement – Current out of state (available for 90 days)

REMOTE WORK - FORMS

- Remote Work Agreement – New or Change RWA
  - Time of hire
    - Attach to UNMJobs
  - Current staff
    - Complete form and attach to Remote Work – Begin/Change EPAF (JS0050)

- Termination of RWA
  - In-State and Hybrid
    - Requires a minimum of 30 calendar days' notice
    - Attach to Remote Work – End EPAF (JS0051)
  - Out-of-State
    - End of term assignment

REMOTE WORK

- A change in the Alternative Work Location for all In-State and Out-of-State RWAs will require a new Remote Work Agreement – New/Change form.
  - Ensures that we capture the new work location in Banner.

- Situational Remote Work
  - Case by case basis for short term or temporary period
  - Should not exceed three months in duration
  - Does not require a Remote Work Agreement