



UNM HEALTH SCIENCES | UNM HEALTH

Contract & Grant Accounting Update

October 20, 2023

CGA Department Updates

Changes in Staff

- **Kate Charleston – Associate Controller**
- **Brandi Sanchez - Manager Accounting**

NIH Policy/Regulations/ Compliance Update

- Sept 2023
- Not-OD-23-182
- Outlining its plans to update the NIH Grants Policy Statement, [section 15.2](#), to require that foreign subrecipients provide copies of all lab notebooks, all data, and all documentation that supports the research outcomes as described in the progress report, to the primary recipient no less than once every six months. NIH has received extensive feedback and is issuing this Notice to respond and to issue a final revised Notice.

Finance & Admin Shared Services Guide and Request Form



Patient Care ▾ Academics ▾ Research ▾ About ▾  

Appointments MyHealthUNM Directory

Home > About > Finance and Administration > Administration > **Additional Services**

Finance and Administration

Administration

Additional Services

Staff Mentorship Program

Budget Office

Additional Services

Health Sciences Finance & Administration departments and the Health Sciences Office of Research teams will be offering a new shared process for Department Support Services. Please refer to our [Finance & Administration Shared Services Guide](#) to see the services that we may provide to your department. Requests for service support will be submitted through the request form below.

[Department Support Services Request Form](#)

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



Finance & Admin Shared Services Resources Dashboard

We have also created a collection of additional resources. This dashboard is a resource center for new department employees, focusing on University of New Mexico Health and Health Sciences Finance and Administration services.

Onboarding Resources Dashboard

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

Finance & Admin Shared Services Resources Dashboard



Onboarding Resources

Purpose

This dashboard is a resource center for new department employees, focusing on University of New Mexico Health and Health Sciences Finance and Administration services.

Please feel free to share this resource with others within UNM.

Smartsheet

- ☞ Smartsheet Login Page and Dashboard
- ☞ Smartsheet Onboarding Webinars
- ☞ Smartsheet University
- ☞ Formula Handbook

General Duties and Training

- ☞ Sr. Fiscal Services Duties and Trainings

Pre-Award Administration

- ☞ SPO Training Website
- ☞ SPO Available Trainings

Post-Award Administration

- ☞ Contract & Grant Training Website
- ☞ Contract & Grant Accounting
- ☞ Effort Certification: Research Administrators Symposium
- ☞ Effort Certification Training: Pre-Review Stage
- ☞ Effort Certification Training: Certification Stage
- ☞ Quick Guide for Certifiers
- ☞ Quick Guide for Pre-Reviewers

Unrestricted Accounting

- ☞ Unrestricted Accounting Training Website
- ☞ Finance Academy Certification Program Matrix
- ☞ Finance Academy PPT

IRB

- ☞ HRP 101 - Human Research Protection Program Plan
- ☞ HRP 103 - Investigator Manual
- ☞ Huron IRB Investigator Submission Guide

Human Resources

- ☞ Onboarding Dashboard
- ☞ Learning Central & BAR Roles Information Dashboard
- ☞ HR Shared Services Dashboard

Contact Us

For assistance with the Onboarding Resources Dashboard or accessing the above documents, please get in touch with **Deena Duran** at DDDuran@salud.unm.edu.



Contact Us:
Department Support Services

Effort Certification Delinquencies

- Number of Delinquencies for past periods
- 202201 - 120 Pending Effort Certifications
- 202202 - 74 Pending Effort Certifications
- 202301 EC is currently in process

Effort Certifications – New Process

- Beta Testing by departmental personnel begins October 23, 2023
- Schedule training sessions and development of training material
- Go live – estimated Jan 2024

Questions





SPONSORED PROJECTS OFFICE

QUICK GUIDE TO UNDERSTANDING CONTRACTS

Click Record

To initiate the contract review process, you must enter/submit your Click record. Your Assigned Specialist will be notified by Click that a review is needed.

What is a contract?

It is a written agreement that is intended to be enforceable by law that enables businesses (outside sponsors and UNM) to collaborate towards their specific desires and needs.

It creates, defines and governs mutual rights and obligations between the parties.

A Contract generally provides some type of service for the sponsor.

Types of Contracts – Funded Agreements

- **Sponsored Research Agreements** – these are legally binding agreements that govern collaborative research between the University and an external organization
- **Testing Agreements** – a specific service by which the University uses UNIQUE University equipment, testing method, or facilities to provide the specialized testing. (example – pregnancy tests)
- **Professional Services Agreements (PSA)** – a contract that binds highly skilled individuals/consultants for a specific period of time with defined scope of work and timelines
- **NMDOH Professional Services Agreements for clinical services** – negotiated by the Office of Clinical Contracts but facilitated by SPO and billed by C&G Accounting
- **Memo of Understanding (MOU)** an agreement between two or more parties, not legally binding but signals parties want to move forward with a more formal contract, usually unfunded. Can be between two UNM Entities.
- **Incoming subcontracts/subawards**, Other transaction Authority – transfers funds from a sponsored awardee to another entity (UNMHSC) to provide goods or services and/or contributes to the overall Aims of a grant to the original funded awardee.

6 Essentials of Contracting

The following 6 areas are of main focus when negotiating, however, each contract is different therefore we review each clause/intent thoroughly:

- **Identification of Parties** – “Sponsor” or “Company” and “Institution” or “UNMHSC”
- **Confidentiality** – to ensure the trust and credibility between the two parties
- **Publication** – UNM and the PI must retain Publication Rights (with the exception of multi-center clinical trial studies). UNM does not allow a research sponsor to approve of or otherwise control University/PI publications
- **Governing Law** – UNM cannot contractually be bound by another state’s law or venue. Governing law should be in the State of New Mexico or must remain silent in order to provide UNM’s its rightful protections.
- **Indemnification or “warranties”** –We are prohibited from agreeing to indemnification, hold harmless, and save harmless clauses, because they create potentially unlimited contractual liabilities which may exceed authorized expenditures!
- **Intellectual Property** – Intellectual Property is a highly complex topic and may not be applicable in all contracts. Often times IP is addressed in research contracts. This is to protect IP that has already been established by the PI and/or to address future potential IP to be developed through the research.

What do we do? Negotiate!

We ensure compliance to all local, state and Federal regulations/laws

We follow UNM's Policies and Procedures, We negotiate to protect our faculty (PI's work) and the Institution

We negotiate the agreement to make sure that all of the terms are fair, clear and precise to each party.

How?

We review all terms and conditions within the agreement; clause or article.

We red-line the agreement striking out unallowable language (or terms) or adding required language, determine if it needs to go to Legal based on the **Contract Risk Assessment**.

If there is background IP, it must go to UNM Rainforest – where they will provide the name of the IP and file number which we will insert into the agreement-if there is IP language (usually research agreements).

We review for Exhibits or Attachments mentioned in the agreement to ensure they do not supercede the contract itself.

We review the scope of work and budget to ensure compliance.

Scope of Work or Statement of Work SOW

This is the area in an agreement where the work to be performed is described.

It describes objectives and requirements needed to complete the project.

It should contain:

- Milestones/services (cost reimbursement)
 - Timeline for milestones
- Deliverables (if fee for service/fixed price)
 - Timeline for deliverables
- Desired end product expected to be delivered to sponsor.

Budget

Your budget will identify your plan for the expenditure of the contracted funds. You should estimate as best as possible, obtain quotes when necessary, and account for overages.

SPO will review for salary accuracy, 1% required PI effort, allowable costs, appropriate F&A rate and if that rate was applied appropriately.

Your Budget may be proposed in one of 3 ways:

- **Fixed Price or Lump Sum** – partially payable at time of full execution of the agreement and/or once milestones have been met
- **Deliverable** - paid based on reaching certain tasks by certain dates as described in the SOW.
- **Cost-reimbursement contract** is an agreement between two parties to provide payment for **ALLOWABLE** costs incurred and invoiced, usually monthly.

Sponsor Review & Negotiations

- After SPO has reviewed the agreement, the SOW and the Budget, it is sent back to the Sponsor requesting services for review.
- Sponsor will review and either accept UNM's desired changes or send back with comments/questions.
- SPO then reviews/addresses Sponsor's comments/concerns, either accept or reject and keep pursuing until both parties reach an agreement.
- When both parties have come to agreement, SPO will obtain all appropriate signatures, award in Click, and provide a copy of the executed contract to the Sponsor.

Who can Legally bind the University?

In order for a contract to be legally binding, the appropriate signatory must sign as state in UNM Signature Policy 2010. For the HSC, refer to: <https://hsc.unm.edu/about/finance/sponsored-projects/frequent-numbers.html> or <https://hsc.unm.edu/about/finance/sponsored-projects/grants-contracts-clinical-trials/contracts.html>

The Legal Name for the Institution is:

The Regents of the University of New Mexico for its operation known as the Health Sciences Center

A PI may only sign a signature line if they are “acknowledging as an employee of UNM.” Outside of that circumstance, PI’s and their staff cannot legally bind the institution if they sign, the contract becomes null and void and will have to be re-negotiated.

Open Access Publishing

A guide to understanding the basics of Open Access and how to Fund Publishing

Robyn M. Gleasner, MLIS

Laura J. Hall, MFA

UNM Health Sciences Library & Informatics Center

Open Access

Free, immediate, online availability of research articles coupled with the rights to use these articles fully in the digital environment

Ensures that anyone can access and use

SPARC (2023) <https://sparcopen.org/open-access>



Why Choose OA?

- Visibility & Reach
- Impact & Citations
- Engagement
- Compliance with Funding Requirements



The Nelson Memo: Preparing for Updated Federal Public Access Policies

December 2024

Deadline for agencies to publish full implementation plans

2024

2025

December 31, 2025

All agency public access policies of publications and data must be in effect

Researchers who receive federal funding must publish publications and data in open access journals/repositories without an embargo



Open Access Journals

- **Gold** - publication is immediately provided OA usually associated with a fee (APC).
- **Hybrid** - a combination of subscription-based and free-of-charge publishing. Author pays a fee (APC) determined by the publisher. Otherwise journal is only available to readers with a subscription.
- **Platinum** or **Diamond** - OA journals that don't charge any author fees. Usually financed by a university or research organization.
- **Bronze** - content in paywalled journals that is made freely available by the publisher.



OA Articles

→ **OA Green**

Deposit article (aka "self-archiving")
in an institutional repository,
author's website, or other archival
location

→ **OA Gold**

Publishing in an OA journal, articles
usually available immediately on
publishers website, usually requires a
payment or Article Processing Charge
(APC)

What is an APC?

Article Processing Charge



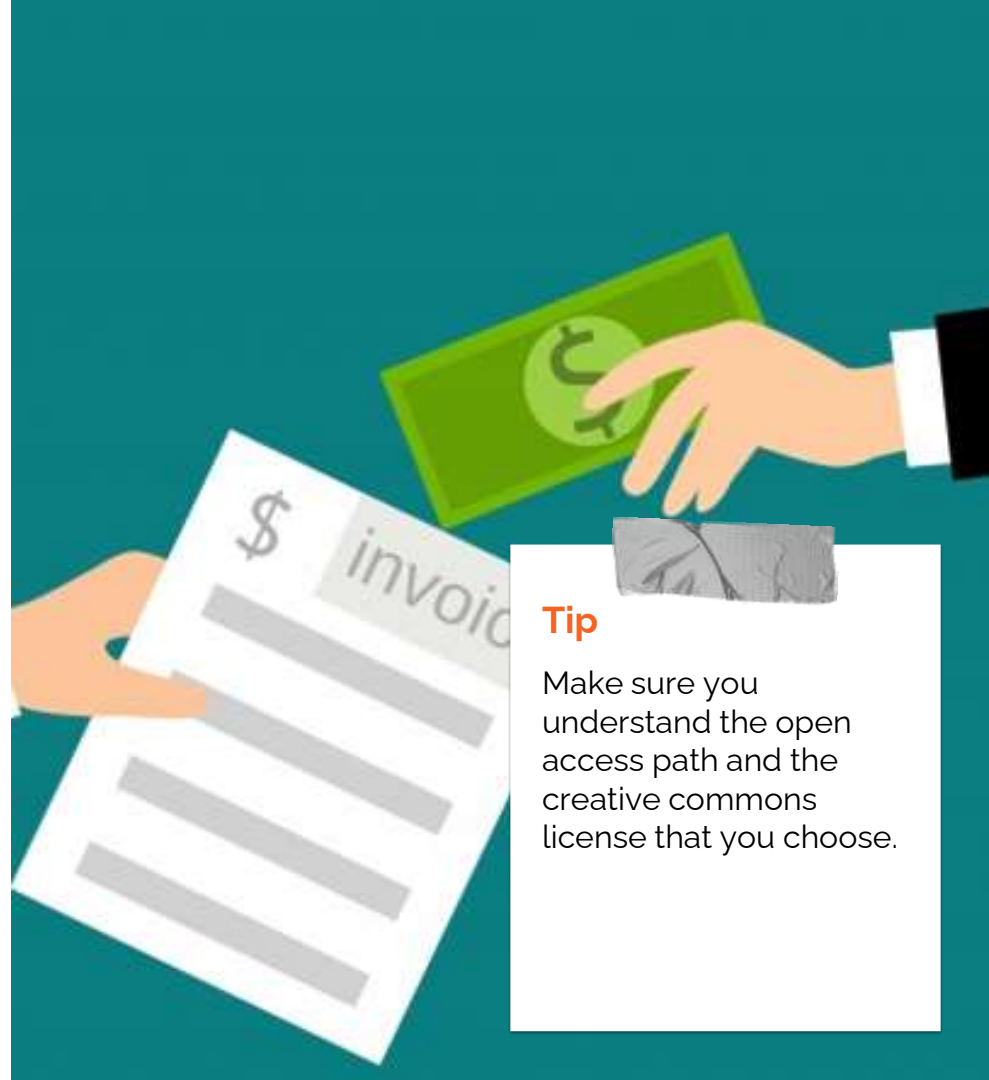
Tip

Essentially a publication fee to cover the publisher's operational costs to make an article available open access..

Why Pay an APC?

- Visibility
- Journal Quality
- Copyright
- Compliance

Every author should read their contract with the publisher. The benefit of paying an APC should be clear.

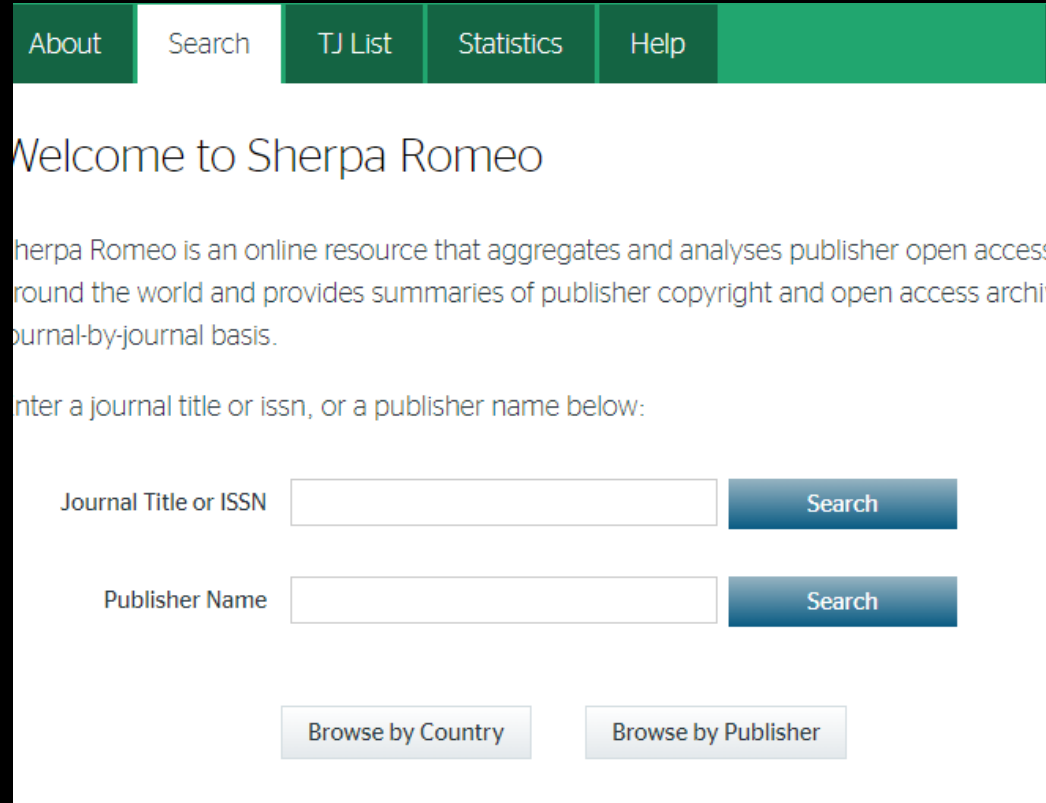


Tip

Make sure you understand the open access path and the creative commons license that you choose.

Determine Cost

- Determine cost of APC by looking on journal's website - can be anywhere from \$200 - \$3000 depending on the publication.
- Use Sherpa Services to view compliance and policies
- <https://beta.sherpa.ac.uk/>



The screenshot shows the top navigation bar of the Sherpa Romeo website with tabs for 'About', 'Search', 'TJ List', 'Statistics', and 'Help'. Below the navigation is a 'Welcome to Sherpa Romeo' heading, followed by a brief description of the service. A search prompt asks the user to enter a journal title or ISSN, or a publisher name. There are two search input fields, each with a 'Search' button. At the bottom, there are two buttons: 'Browse by Country' and 'Browse by Publisher'.

Navigation tabs: About, Search, TJ List, Statistics, Help

Welcome to Sherpa Romeo

Sherpa Romeo is an online resource that aggregates and analyses publisher open access policies around the world and provides summaries of publisher copyright and open access archiving on a journal-by-journal basis.

Enter a journal title or issn, or a publisher name below:

Journal Title or ISSN

Publisher Name



Funding APCs

- Budget for OA publishing in Grant Proposals

Contact SPO:

Phone: (505) 272-9383

hsc-preaward@salud.unm.edu



Tip

Think about where you want to publish and publication fees before you even start your research project

UNM/Publisher Agreements

**BMJ Case
Reports**

**Cambridge
University Press**

**Company of
Biologists**

Coming 2024!

See <https://libguides.health.unm.edu/openaccess> for more information



International
Open Access Week

Open Access Week 2023

#OAWeek October 23-29

UNM Event Schedule

All events are scheduled on Mountain Time

For full details and registration links
visit goto.unm.edu/oaweek



OA WEEK events organized by UNM's University Libraries,
Health Sciences Library and Informatics Center and Law Library.

Tues • Oct. 24 • 12:00 p.m. - Zoom

Open Access Publishing 101

This session will provide researchers and scholars with basic information about open access publishing.

Thur • Oct 26 • 1:00 p.m.

Hybrid | Frank Waters Room at Zimmerman Library and Zoom

Print Archival Practices and New Media

We will be engaging with several poster designs held in the Center for Southwest Research discussing the visual power of print, as well as how these images can motivate artists and curators, today.

Oct 16 - 31

Zimmerman Library First Floor

The Visual Power of Print: Images from the Sam L. Slick Collection

An exhibit highlighting selected posters from the Sam L. Slick collection, an archive of 12,000 Latin American and Iberian political posters. The Center for Southwest Research & Special Collections has digitally archived 5,000 of these posters.



Questions?

- Robyn Gleasner
Resource Management Librarian
rgleasner@salud.unm.edu
- Laura J. Hall
Division Head - Resources, Archives, and
Discovery
ljhall@salud.unm.edu
- Ask A Librarian

<https://hsc.unm.edu/hslc/help/ask-a-librarian.html>



HSC FACULTY CONTRACTS OFFICE
OCTOBER 20, 2023

HSC Faculty Hiring

Agenda

- Faculty Hiring Procedures and Processes
- Questions

Faculty Hiring Procedures

General Principles

- The University of New Mexico is an Equal Opportunity/Affirmative Action employer and recognizes its responsibility to extend equal employment opportunities to all qualified individuals.
- UNM complies with laws and regulations of federal and state regulatory agencies.
- UNM also promotes the practice of the true spirit of affirmative action and equal employment opportunity.
- UNM promotes positive steps to hire and promote qualified persons in protected groups to achieve a representation at UNM that is comparable to the labor pools from which it recruits and selects.
- Deans are responsible for assuring that these guidelines are followed for all searches in their College/School.

Faculty Hiring Procedures

Competitive Search Procedures

- Initiating a competitive search
- Identifying the search committee (must be diverse).
- Recruitment is through UNMJobs.
- Completing the Hire

Faculty Hiring Procedures

Deviations from Search Process

The Hiring Unit must receive approval for the following requests:

- Change in composition of the search committee after the screening has begun.
- Make two or more selections from the same applicant pool.
- Extend recruitment period (re-advertisement of vacancy).
- Other (case by case assessment)

Faculty Hiring Procedures

Limited Internal Competitive Searches

A hiring official may conduct a limited internal competitive search process for an academic administrative appointment such as director, assistant and associate dean, department chairs, and assistant and associate department chairs.

Faculty Hiring Procedures

Alternative Faculty Procedures

The University recruits and hires faculty through competitive processes. However, from time to time there may be circumstances when an alternative appointment procedure is necessary to fill a faculty position.

Most common alternative hire exceptions:

- Named on a Contract or Grant Award
- Spouse or Domestic Partner Hiring
- Specialized Provider
- Visiting Faculty

Faculty Hiring Processes

- The approval process and UNMJobs process are separate processes
 - Each has its own deadlines and timelines. When estimating how long the ENTIRE process will take, please consider the deadlines and timelines for both processes.
- UNMJobs deadlines can be found on our website

EMPLOYMENT AREA /EDC DEADLINES							
Deadlines apply only to those transactions that are accurate and complete when submitted. Note: If a deadline falls on a non-working day, the document must be received the last working day prior to the deadline.							
	Posting	New Hire/Re- Hire (including hiring proposals, e-pan)	Separation/Job Ends	Leaves	Job Extensions	Revisions (appointment percent changes, salary changes, etc.)	Non-Standard Payments
HSC Faculty Contracts Office	7 business days prior to posting begin date	20 business days prior to start date	Regular Faculty- 1 month prior to resignation/retirement for processing. * Per contract or School/College/Unit policy the faculty will need to provide more notice.	Regular Faculty-1 month prior to leave date	3rd day of the month for payment at the end of the month	3rd day of the month for payment at the end of the month	Please visit our website for deadlines: https://hsc.unm.edu/about/administrative-departments/faculty-contracts/

Last Updated: 10/27/2021

Faculty Hiring Resources

Resources:

- [HSC Faculty Contracts Website](#)
- [Employment Knowledge Base Website](#) includes guidelines for UNMJobs transactions for HSC Faculty recruitment and hires and deadlines
- [Faculty Hiring Guidelines](#)
- [Faculty Search Committee Handbook](#)
 - Please note, that changes to the Search Committee must be requested at the time of the change.

HSC Faculty Contracts Office

KRICKETT MARQUEZ
DIRECTOR
KRMarquez@salud.unm.edu

505-272-2260

TRACY MCREYNOLDS
FACULTY AFFAIRS & SERVICES CONSULTANT
tmc@salud.unm.edu

505-272-4196

KELSEY HIGGINS
FACULTY AFFAIRS & SERVICES CONSULTANT
higginsk@salud.unm.edu

505-925-6137

HAYLEY SHADLE
HR TECH
hshadle@salud.unm.edu

505-272-4426

JASMINE LEJUNE
HR TECH
JALejune@salud.unm.edu

505-272-1814

KEN READ
ADMINISTRATIVE COORDINATOR
KGRead@salud.unm.edu

505-272-4231

Questions?