Proposal Development and Award Guide

A Guide for Principal Investigators and the University Community

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FINDING FUNDING AND PROPOSAL DEVELOPMENT

Finding external funding sources is a challenge, involving perseverance, time, and effort. Once a source has been identified, it is crucial to develop a project that is both compelling and fits the priorities and needs of the funding agency. An important goal of the search for funding involves finding a fit between the proposed project objectives and the specific requirements of the funding agency. The following are some recommendations and guidelines for efficiently navigating the process.

Applicants should begin with a thorough reading of the application guidelines or instructions, whether it is a funding opportunity announcement (FOA), request for proposal (RFP), request for application (RFA), call for proposal, program announcement (PA), or other forms of solicitations. It is important to verify applicant eligibility, and review programs that the sponsor has previously funded to determine if the proposed project is a comparable fit. If the applicant still has questions, after careful review of the guidelines for a particular opportunity, then contacting the funding agency is recommended. Most federal agencies and foundations encourage applicants to discuss their ideas with a program officer prior to submitting a funding proposal.

Tips and Recommendations

Determining Eligibility

- A review of the solicitation/opportunity determines if its intended purpose is appropriate for the applicant’s current stage of career and field.

- If the opportunity states “no grants to individuals,” the opportunity may allow the investigator to apply through the University, or through the UNM Foundation if the funding is considered a “gift” or if the sponsoring foundation grants funds to only charitable non-profit organizations (a formal 501(c)3 organization).

- If the opportunity states “only institutions can apply,” investigators may apply through the University (as the applicant institution). UNM is classified as an “IHE”, meaning an Institution of Higher Education. Note: If the opportunity states that an “LEA” must apply, this funding is for a Local Education Association (a PreK-12 school or district). If the guidelines state that only “SEA” organizations may apply, this means funds must go to a State Education Association. In cases where IHEs are not eligible to apply, the applicant should consider partnering with an “LEA.”

- If the opportunity is an established sponsored program and does not have a limit on the number of applications the sponsor receives from one institution, the applicant can proceed with the application. However, if there are limitations on the number of applications which can be submitted by one institution, this is known as a “limited competition”, see Page 7 for additional details. If the agency, foundation or corporation does not have an established program, or limits the number of applications it will accept from the applicant, investigators must obtain clearance from the UNM Foundation and Corporate Giving Office before attempting to contact or submit anything to the sponsor.
**Matching Funding Opportunities to Proposed Projects and Programs**

A key to success in obtaining *grant* funding is to match the applicant’s interests and needs, as closely as possible, to the funding agency’s mission and objectives. Funding provided through a grant is distinct from funding with a *contact*. Grant funding is flexible in that the researcher is allowed to pursue his/her objectives with an estimated outcome, without close involvement by the funding agency. Funding provided under a *contract*, however, requires that the applicant meet the sponsoring organization’s specific needs and deliver a specifically agreed-upon final product or service. Therefore, a successful proposal for a contract must fulfill the scope of work, be offered at a competitive price, and meet all other qualifications specified in the solicitation.

**Finding a Custom Fit**

As stated above, a thorough reading of the funding opportunity should reveal whether the opportunity is a good fit for the proposed project. Applicants are encouraged to check the sponsor’s current awards and funding history to determine whether the type of projects the sponsor funds are similar to the applicant’s project. The PI should also conduct a literature review (an exhaustive bibliographic search to help avoid duplication of existing studies, as well as identifying sponsors who can support the project), consult colleagues by soliciting ideas and assistance (ongoing consultation with colleagues is recommended throughout the proposal development state and can often share valuable agency contacts), review applicable government regulations (a review of applicable human subjects and/or animal care requirements, and FAR/DFARS requirements should be considered to identify additional costs or changes in timelines), and become familiar with any prominent compliance issues (conflict of interest policy, OSHA, HIPAA, industrial security, and export control regulations), or ethical considerations that may be related to the proposed project. For assistance, please contact the department’s assigned Faculty Research Support Officer (FRSO).

**Cost Share and Other Budget Issues**

Does the funding opportunity state that the sponsor expects the institution to share costs on the project? This is also often identified as “cost share,” “in-kind,” “leverage,” “matching,” or “institution/applicant support.” It is the applicant’s responsibility to identify and secure approvals for this additional cost for funding the proposal prior to submitting the proposal to the Pre-Award office for review. UNM only allows cost share if it is mandated by the sponsor and stated in the funding solicitation/announcement. UNM does not allow “voluntary” cost share (for more information: UNM’s Business Policies and Procedures Manual: [2430 Cost Sharing on Sponsored Projects.](#)

For questions and assistance regarding budget development and any other budget issues that may arise, applicants can contact their [Faculty Research Support Officer](#) or [Contract and Grant Administrator](#).
Proposal Timing and Deadlines

Applicants must be sure that there will be sufficient time to prepare, schedule, and obtain the requisite reviews and approvals for the proposal well in advance of the deadline. For the initial routing for approvals, applicants must have posted a draft of the proposal, budget and budget justification, conflict of interest forms, and any variations (cost share, F&A split forms, export control, etc.) and they can keep working to perfect the project narrative while the proposal is being routed electronically for the required approvals and reviews in Cayuse424. Investigators can refer to the Proposal Checklist as a guide to the approvals that are required for proposals. For proposals resulting in contracts which will contain federal procurement clauses (FARs, DFARS, DEARS, etc.), contact Pre-Award as early as possible, but no later than five (5) business days prior to the submittal due date.

UNM Funding Sources

A listing of funding opportunities can be found on the OVPR web site. Some of these and additional opportunities are listed below. For each funding opportunity, applicants can use the following steps to determine if an opportunity is worth pursuing and whether the timing is appropriate.

1. Eligibility? Is this opportunity for you in your current stage of your career and field?
   
   1a: If the opportunity states “no grants to individuals” this means you can apply through the university or through the UNM Foundation, if appropriate.
   
   1b: If the opportunity states “only institutions can apply” this means that you can apply through the university only.
   
   1c: If the opportunity is a program within a foundation or corporation that has an established program, applicants must obtain clearance from the UNM Foundation and Corporation Giving Office before attempting to contact or submit anything to the funding source.
   
   1.d: It is rare, but some programs require that the PI submit directly to the agency or organization. However, if you apply as an individual, be aware you will be personally responsible for payment of any and all associated taxes on the income for any award you accept.

2. Appropriate Match? One crucial key to success in receiving grant-funding awards is to match your funding interests and needs as closely as possible to the funding source’s mission or objectives in offering funding support. For contract awards, the orientation is the reverse: the funding entity’s needs are the focus and contracts are issued for proposals that meet those needs to deliver scope of work to be performed, cost, and other factors.

3. Appropriate Funding? What has the organization funded previously, and is it similar to your project? Does the opportunity offer the kind of funding you need?
4. **Budget Issues?** Does it require cost share and can you secure that funding?

5. **Deadline?** Do you have sufficient time to prepare a strong proposal and submit it to Pre-Award for review five days prior to the sponsor’s deadline?

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**Internal/UNM Opportunities For Faculty**

**EPSCoR:** Funded by the National Science Foundation, New Mexico’s Experimental Program to Stimulate Competitive Research (NM EPSCoR), funds proposals that focus on science research that impact the state, such as climate change on Northern New Mexico water resources. Funding is also available from EPSCoR for “Innovation Working Groups” (IWG). An IWG supports 8-12 scientists or educators to work collaboratively on complex and challenging issues through integration and synthesis of data, information, and knowledge. At least one IWG each year will focus on education, communication and outreach, or diversity. Anticipated outcomes of the IWGs include synthesis papers and proposals that target NSF cross-cutting programs and “Western Tri-State Consortium” projects are also supported by EPSCoR. Applications for both these programs are due June 1 each year. For details, see [http://nmepscor.org/content/innovation-working-groups](http://nmepscor.org/content/innovation-working-groups).

**RAC (Research Allocation Committee) Grants:** The UNM Research Allocation Committee offers small, discipline specific, and interdisciplinary large grants in support of faculty research and creative works. These grants are for new research or creative works and are for voting members of the UNM faculty (main campus). Priority is given to those who have not received funding during the prior four years, and for projects that can lead to outside funding or larger related projects. Certain limitations apply. See the [RAC Policies, Guidelines, and Application Process](http://nmepscor.org/content/innovation-working-groups) for details.

**Robert Wood Johnson (RWJ) Health Policy Center Grants:** The RWJ Center invites proposals for seed grants to conduct research or policy analysis on U.S. health and health care issues affecting New Mexico, especially Bernalillo County. The objective of these seed grants is to stimulate research by encouraging faculty across UNM departments with interests in health and well-being of individuals, families, and communities to collect or acquire pilot data and/or preliminary findings that will result in applications for extramural funding as part of the RWJF Center’s research and research training efforts. More information is available on the Center’s web site: [http://healthpolicy.unm.edu/research/grants](http://healthpolicy.unm.edu/research/grants)

**Teaching Allocation Grants:** These grants are sponsored by the Faculty Senate Teaching Enhancement Committee, managed by the Office of Support for Excellence in Teaching (OSET) of the Provost’s Office. Awards are made to complete a defined project for a maximum of $5,000 for one year. Funds can be used only for the purchase of supplies, equipment, travel, and services as requested and approved in the award recipient’s submitted budget, but not to compensate faculty time spent on the project. The announcement requesting proposals is sent to tenured and tenure-track faculty, usually in October, with a deadline date in December. Details about the program are online at: [http://www.unm.edu/~oset/TeachingGrants.html](http://www.unm.edu/~oset/TeachingGrants.html)
Internal/UNM Funding Opportunities For Graduate Students

The Office of Graduate Studies (OGS), the Graduate and Professional Student Association (GPSA), and UNM Career Services offer funding for graduate students. Each of these programs supports a specific range of activities, such as research to complete theses and dissertation work, travel to conferences to present papers, and other funding needs associated with completion of degree programs. Additionally, students should check with their departments, colleges and other student organizations, and announcements of positions on campus to identify other resources available to them, such as assistantships and appointments.

For information on the following graduate opportunities, visit the Office of Graduate Studies web site: http://ogs.unm.edu/resources/funding-resources/index.html.

OGS:  Research, Project, and Travel (RPT) funding

Future Faculty Grant

Graduate Research Supplement

GPSA:  SRAC – Student Research Allocations Committee (SRAC) grants

Specialized Travel (ST) grants

Graduate Research and Development Grants

UNM Career Services offers the Student Conference Award Program (S-CAP) provides undergraduate and graduate students funding to attend an academic or professional conference in their field of study. More information is available online at: http://www.career.unm.edu/students/scap.php.

Graduate Students can also learn about the grant-writing process with four certificate programs that are offered through the Graduate Student Funding Initiative (Grant-writing and Proposal Development, PI Eligibility, Responsible Conduct of Research, and Research Compliance). Included in the 50 plus sessions of the program are sessions that teach graduate students how to identify sources of funding and grant writing. Students are taught the various intricacies of writing successful proposals, how to meet the requirements necessary for being a principal investigator, and how to obtain IRB and IACUC approvals for research involving human and animal research. See http://research.unm.edu/graduatefunding/.
**Additional Funding Information**

**UNM Limited Competitions**

A limited competition is an opportunity in which the funding agency places a limit on the number of proposals an *institution* may submit. In order to avoid multiple submissions and inevitable disqualification of proposals, the Office of the Vice President for Research and Economic Development conducts an internal competition for which applicants must submit brief pre-proposals. The Limited Competitions Faculty Committee evaluates the pre-proposals, selects the one(s) that can go forward for submission, and provides comments and suggestions for improvement to all proposers. For more details and to access the list of active limited competition announcements, see [http://research.unm.edu/findfunding/limited/index.cfm](http://research.unm.edu/findfunding/limited/index.cfm). Join the listserv for announcements of limited competitions using your username and password to access this site at [http://research.unm.edu/EmailAlertServices/list_req.cfm](http://research.unm.edu/EmailAlertServices/list_req.cfm).

**More Funding Resources**

A comprehensive list of UNM funded sources is available at: [http://research.unm.edu/findfunding/index.cfm](http://research.unm.edu/findfunding/index.cfm).

*OVPR Email Alert Service*: UNM investigators are encouraged to sign up to receive research-related notifications about the following subjects: news & events, funding opportunities, limited competitions, and policy and procedure changes. [http://research.unm.edu/EmailAlertServices/list_req.cfm](http://research.unm.edu/EmailAlertServices/list_req.cfm).

*In Search of Funding* is a useful guide to identifying funding sources and grant development. [http://research.unm.edu/publications/ISOF.cfm#toc](http://research.unm.edu/publications/ISOF.cfm#toc).

*Opportunities and Resources for Junior Faculty* is an alphabetical list of funding agencies with specific opportunities for Junior Faculty. [http://research.unm.edu/findfunding/juniorfaculty.cfm](http://research.unm.edu/findfunding/juniorfaculty.cfm).

*Scholarships, Fellowships, and Other Resources* is a list of agencies and programs that have opportunities for both graduate and undergraduate students. [http://research.unm.edu/findfunding/StudentFundingResources.cfm](http://research.unm.edu/findfunding/StudentFundingResources.cfm).

*UNM College of Fine Arts Grants Database* is a spreadsheet that lists funding opportunities from federal and private sources. This listing is especially relevant for various scholarly and creative projects in fine arts. [http://finearts.unm.edu/grants.htm](http://finearts.unm.edu/grants.htm).

**External Funding Resources**

**Foundation Directory Online** is a subscription-based directory managed by the Foundation Center. This multi-level searchable database provides comprehensive information about private funding sources (foundations and corporations). [http://fconline.foundationcenter.org/]


**Guidestar** is a searchable database that contains comprehensive information about private funding sources (foundations and corporations). It requires individuals to register by entering a username and password for access: [http://www2.guidestar.org/].

**Grants.gov** is a searchable central database of federal government funding opportunities. It provides application instructions and forms for more than 1,000 grant programs, covering nearly all federal agencies, and offers access to about $500 billion in funding annually. [http://www.grants.gov]. Investigators can subscribe to receive daily notifications of new grant opportunities and updates on Grants.gov at: [http://www07.grants.gov/applicants/email_subscription.jsp].

*Note: Use link on the right in blue box: “E-mail Alerts” to sign up for daily notices of grant opportunities PI registry for grants.gov is not required when applying for grants through UNM. UNM is a registered with its DUNS number. However, go through UNM’s Cayuse424 electronic grant system to route a proposal for approval before submitting. This is necessary for all proposals, pre-proposals, letters of intent, white papers, incoming subawards, and contracts.*

Search by agency at Grants.gov, by entering: [http://www.grants.gov/search/agency.do].

This allows access to all 46 federal agencies. Click on the agency name to find open opportunities. To resort the “Close Date” column to most recent, click on heading “Close Date.” Agencies include the National Science Foundation, the National Institutes of Health, the National Endowment for the Humanities, Department of Energy, Department of Defense, US Department of Agriculture, Department of Education, and many more.

Search by category at Grants.gov, by entering: [http://www07.grants.gov/search/category.do].

This will allow access to all categories, including health, education, arts, energy, science and technology and other research and development fields, (i.e., environment, business, law, humanities, food and nutrition, community development, etc.)

To perform a basic search at Grants.gov: [http://www07.grants.gov/search/basic.do] Includes searching by key word, Funding Opportunity Number or CFDA number.

**National Institutes of Health** offers an official publication of NIH medical and behavioral research grant policies, guidelines, and funding opportunities: *The NIH Guide for Grants and Contracts*. These opportunities are included in the grants.gov listing. The Guide can be searched for opportunities at [http://grants.nih.gov/grants/guide/]. Investigators can subscribe to receive weekly notices of new announcements from the previous week and links to the guidelines, by sending an email to listserv@list.nih.gov. In the email subject line, type “subscribe NIHTOC-L” (without quotation marks) and your name.
National Science Foundation posts NSF Opportunities, which lists funding opportunities that can be identified through a search at http://nsf.gov/funding/. NSF funding programs are also included in the grants.gov listing. NSF's Guide to Proposal Preparation can be found at: http://nsf.gov/publications/pub_summ.jsp?ods_key=gpg

U.S. Department of Education Grants Forecast lists virtually all programs and competitions the Department has invited, or expects to invite applications for, and provides actual or estimated deadline dates for the transmittal of applications. http://www2.ed.gov/fund/grant/find/edlite-forecast.html

PRINCIPAL INVESTIGATOR ELIGIBILITY

To serve as a UNM principal investigator (PI) on a sponsored project, an applicant must meet the requirements for eligibility specified under UNM guidelines. The criteria that determines eligibility depends upon an individual’s affiliation with UNM. There are different criteria, and in some instances, special approvals required for certain individuals to serve as PIs.

Criteria for Faculty and Staff

Faculty members who are automatically eligible to serve as a principal investigator/project director (PI/PD) or co-principal investigator/co-project director (co-PI/co-PD) include:

- All full-time faculty regardless of academic rank
- Research faculty
- Individuals who possess a Letter of Academic Title
- Visiting faculty/visiting research scientists on UNM’s payroll
- Emeritus faculty

Professional staff members who hold titles typically associated with independent activity, and have an appointment subject to a rigorous review of credentials, are eligible for PI and co-PI status if:

They are full-time, academic, or non-administrative professionals in positions at or above a Grade 15.

Others (including Post Doctoral Fellows) as designated by the approval of the appropriate academic chair, a Category III Center Director, Dean, or a Vice President (and must complete the PI Eligibility exception form).

Grants Management Program/New PI Training is available to UNM PIs and research administrators. Applicants are to complete this training before accepting an award as a PI or co-PI and are required to be recertified every three years thereafter.

Criteria for Students

Students can be a PI or co-PIs under the following conditions:

- Pre-doctoral grants whereby the work is conceived of and carried out entirely by a graduate student. (examples: NASA: Harriett G. Jenkins Predoctoral Fellowship Program, NIH: Ruth L. Kirschstein National Research Service Awards for Individual Predoctoral Fellowships [F31] to Promote Diversity in Health-Related Research, NIH: Pre-doctoral Training at the Interface of the Behavioral and Biomedical Sciences, DOE: The National Methane Hydrates R&D Program - Graduate Fellowship Program).
• Graduate Students who earn a PI Eligibility Certificate from the Graduate Student Funding Initiative can qualify to be a PI, after completing the PI Eligibility exception form as part of their submission, and listing their faculty mentor in the proposal summary. (The graduate student’s mentor must be identified in the proposal summary page in Cayuse424.)

• PI Eligibility exception form should be used at the time of proposal routing and must be sent to Pre-Award at least ten working days before the deadline for submittal of the proposal to the funding agency.

• Direct submissions by students of proposals that are not required to be routed through Pre-Award (examples include: NSF Graduate Research Fellowship, Ford Foundation Diversity Fellowships for Achieving Excellence in College and University Teaching). As a reminder, any taxes associated with individual awards are the responsibility of the recipient.

Who is NOT Eligible?

The following individuals are not eligible to serve as a PI or co-PI:

• Staff below grade 15
• Visiting and other short-term appointees without a Letter of Academic Title or PI eligibility exception form

Exceptions: In some cases, exceptions can be made. An exception requires completion of the PI Eligibility exception form signed by department chair, dean or Category III Center Director, and justifies why an exception should be made. The exception form should specify the qualifications of the individual who will serve as principal investigator/project director. Forms should be sent to the Associate Vice President for Research Administration for a determination. Decision appeals can be requested from the Vice President for Research and Economic Development.
UNM’s Main Campus and Branches primarily use three systems in the life cycle of an award:

• Cayuse424 (Proposal Development, Routing, Authorization, and Submission)
• InfoEd (Award Management)
• Banner (Award Financials)

**Internal UNM Systems**

**Proposal Creation, Routing, Authorization, and Submission using Cayuse424**

Cayuse424 is a comprehensive web-based system that allows principal investigators and research administrators from the Main Campus and Branches to electronically route, authorize, and submit proposals for sponsored projects. All sponsored project proposals must be created or uploaded, routed, and authorized for submission using Cayuse424.

A principal investigator and/or university administrator can search for opportunities available in Grants.gov and download the opportunity for creating a proposal directly in Cayuse424. An opportunity that can be downloaded to create a proposal can be submitted directly to Grants.gov/Research.gov from Cayuse424. This type of submission is called a System-to-System proposal or S2S. The advantages of S2S proposals are:

• **Auto-Fill:** Existing data from UNM and the PI that has been entered into the system is available for auto-fill to reduce administrative details. Cayuse424 uses SF424 Forms to submit directly to Grants.gov.

• **Budget Escalation:** Budgets can be escalated automatically. They can be edited as desired and calculated automatically.

• **Copy Feature:** PIs can copy or borrow from an existing proposal submission and use it in a new proposal.

• **Four-tier Validation:** Real-time feedback on errors and warnings as the proposal is being developed in Cayuse424 allows focus on preparing a strong proposal. Cayuse424 validates proposals during submission for Grants.gov, Research.gov, and sponsor specifications.

There are three main sections to a Cayuse424 submission once a proposal is created:
• **SF424 Forms:**
  - If a proposal is created for System-to-System submission, the required SF424 forms for the proposal package automatically appear on-screen. The system provides real-time validation as the forms are completed to ensure errors are known and resolved before submission.

   If a proposal is not being submitted directly to the sponsor through Grants.gov/Research.gov using Cayuse424’s S2S capabilities, then a copy of the completed proposal package is uploaded to the Proposal Summary (“Documents”) section for routing and approval, and no SF424 forms need to be filled out in Cayuse424.

**Proposal Summary**

**Summary:** The summary section is a detail of the data contained in the proposal package. This section must be completed before the proposal is routed for approvals. This information is used for Banner Index set up in the event of an award.

**Documents:** The documents section is for all internal UNM forms required for a proposal submission. This includes Conflict of Interest Disclosure, Cost Sharing Commitment and Budget Approval, Main Campus F&A Split Form, Main Campus/HSC F&A Split Form, and Export Control forms. If the proposal is not being submitted S2S, the proposal package and solicitation must be uploaded into the document section along with the proposal budget. Keep in mind that items uploaded into the “Documents” section will not be transmitted to the Funding Agency with an S2S proposal.

**Comments:** The comments section is for identifying atypical circumstances related to the proposal (i.e. cost share requirements).

**Routing and Approval**

Cayuse424 allows the proposal to be routed electronically for review. Typically a department requires a chairperson to make the initial review, and then the dean will review and approve the proposal before it is routed to Pre-Award. Only a Contract and Grant Administrator at Pre-Award is authorized to approve and submit proposals on behalf of the University of New Mexico.

Cayuse424 is available online for UNM Main Campus and Branches at [http://unm.Cayuse424.com/](http://unm.Cayuse424.com/).

Cayuse424 and other UNM Electronic Research Administration resources are also available online.

To register for Cayuse424, complete a [Cayuse424 User Account Request](#).
Award Tracking with InfoEd

InfoEd is a comprehensive web-based system that allows Main and Branch campus principal investigators and research administrators to track and report award information for sponsored projects. The ability to view records permits the user to: check the status of awards, confirm end dates, review the OVPR activity comment section, and view funding increments, subcontract activity, subaccounts, and agency information. InfoEd is available online at http://info-office.unm.edu/.

If interested in registering for InfoEd, complete the InfoEd “Get Profile” section located online at http://info-office.unm.edu/profile/GetLogin.asp.

Award Financial Management using Banner Finance

After a project has been awarded by the sponsor, Pre-Award transmits the proposal and award documentation to Contract and Grant Accounting (Post-Award), where a Banner grant number is assigned and the award budget is setup in Banner Finance. Banner is a comprehensive and integrated information system comprised of finance, human resources and student modules. The finance module of this administrative software is used to record financial transactions resulting from activity at the UNM.

The index number is requested separately by Contract and Grant Accounting from Financial Systems Management (FSM). When the index number is received from FSM, Contract and Grant Accounting will notify the PI and department contact through an email and attach a Signature Authorization form. The PI will return the signed copy of this form to Contract and Grant Accounting. This will allow expenditures to be charged to the project.

Finance Self-Service provides an intuitive, user-friendly interface to Banner through LoboWeb (accessed through http://my.unm.edu). With Self-Service, users can:

- Approve Purchase Requisitions, Journal Vouchers, and Direct Pay Invoices; and view document approval history.
- Query Finance Transactions with drill down capabilities to access detailed information and view related documents.
- Export/download capabilities to Excel for further analysis.
External Electronic Systems

Federal Agency Proposal and Award Management Systems

Grants.gov (All Federal Agencies)

Grants.gov is the central portal used by the federal government to manage grant submissions. Grants.gov is intended to be a simple, unified source to electronically find and apply for grant opportunities from all federal grant-making agencies.

All first time users of Grants.gov should review either the NSF Grants.gov Application Guide or the NIH SF424 (R&R) Application and Electronic Submission Information web site. While these guides are tailored for NSF and NIH applications, they do give insight for preparing Grants.gov proposals for any other eligible federal agency.

For UNM Main Campus and Branches, Cayuse424 is the system of choice for grant submittal to Grants.gov. However, a very small percentage of federal grant applications cannot be submitted through Cayuse424, such as NSF collaborative proposals and any post award changes or supplemental requests. In this case, use either the Adobe proposal forms for Grants.gov submission, or submit through NSF FastLane (NSF’s award submission and management system).

Note: users do not need to register with Grants.gov nor Central Contractor Registration (CCR); UNM is already registered for both entities and Pre-Award is responsible for the submission of the proposal package containing the application.

Research.gov (NSF)

Research.gov is a portal developed by NSF to replace FastLane (for award submission and management) eventually with a new web-based system. Currently Research.gov allows for proposal submissions to NSF opportunities using S2S systems like Cayuse424.

Future enhancements to Research.gov will enable institutions and grantees to access in one place a menu of grants management and information services for partnering funding agencies. NSF is the lead agency; however, NASA and DOD are also partner agencies. Users can log into Research.gov using their NSF FastLane login identifications.

Other Common Federal Agency Proposal and Award Management Systems

National Science Foundation’s FastLane: NSF’s FastLane system is a complete award management site. Most proposals at UNM Main and Branch Campuses are received by FastLane through Cayuse424’s system-to-system capabilities. Other proposals, such as collaborative proposals, may be prepared and submitted directly on FastLane. Principal investigators will need to request a FastLane account associated with UNM.
**National Institutes of Health (eRA Commons):** While the majority of proposals at UNM Main and Branch Campuses are submitted to NIH directly using Cayuse424’s S2S capabilities, the award management functions are handled in [eRA Commons](https://era.nih.gov). Principal investigators will need to request an eRA Commons account associated with UNM through Pre-Award prior to proposal submission.

**National Aeronautics and Space Administration (NSPIRES):** [NSPIRES](https://nspires.nasa.gov) is NASA’s award management system that allows for proposal submission and award management. Principal investigators will need to register an account through the NSPIRES web site. Once the user is registered, contact Pre-Award to be affiliated to NSPIRES for proposal submittal (without the affiliation the proposal cannot be viewed).

There are other federal web portals which may be required for submittal.
GRANT FUNDING CYCLE (“QUICK STEPS”)

Identify
- Identify funding needs and proposal focus
- Find and select funding options

Draft
- Develop draft proposal and budget
- Build proposal in Cayuse424

Submit
- If required, send letter of inquiry or pre-proposal and receive invitation from funder to submit full proposal, after review by PreAward
- Route for approvals more than 10 days before deadline
- Submit to PreAward more than 5 business days before deadline

If Awarded, the following actions may be necessary:
- Reconcile any budget changes in the award
- Establish fund in Banner
- Maintain records for and submit annual reports
- Submit requests for extensions or revisions to PreAward
- Submit required approvals (IRB, IACUC, etc.) to agency, if necessary
- Reviews of Export Control / COI must be complete

If Not Awarded:
- Obtain reviewers comments
- Assess whether resubmission is allowed/appropriate
- Revise and resubmit to PreAward

Begin anew!
PROPOSAL FORMAT

The proposal format must faithfully follow the sponsor’s instructions and formatting requirements outlined in the Request for Proposals (RFP), Request for Applications (RFA), or Program Announcement (PA). Proposals should be formatted with headings mirroring those found in the sponsor’s guidelines. If the agency does not have specific guidelines, proposal preparers and principal investigators may want to use a general guide to preparing proposals, as listed below. The components listed below are standard for most proposals, though not necessarily for all. Furthermore, the components may appear under different titles and/or in a different order than those listed here.

Abstract (Summary)

This is usually a one-page summary of the proposal, presenting essential elements of the proposed project. Some agencies require that specific kinds of information are included here (i.e., NSF requires the intellectual merit and long term impact be included). Attention should be paid to this component as it may be the only thing that the reviewers read. The sponsoring agency may use abstracts to disseminate proposal ideas. Suggestion: Write this component last. Cut and paste elements from the completed proposal to generate the abstract.

Proposal Narrative

Sometimes called Project Description, Project Narrative or Technical Proposal, this is a description of the proposed project detailing precisely what is being proposed, and responds to the sponsor’s RFP or guidelines following the requirements of the sponsor in the order given. Pay particular attention to specific instructions regarding font style and size, page limits, etc. As a general guide, the following sections may be required:

• **Introduction**: Briefly explains the reason for and the basic elements of the proposal, and can be used to describe significance and context.

• **Need**: This tells what needs to be done and why. Based on research, this describes what the trends are and what the data shows.

• **Background**: With regard to the proposed project and/or research, this component explains what has been accomplished to date, what still requires attention, and what aspects need refocusing.

• **Goals and Measurable Objectives/Outcomes**: Goals are general statements regarding proposed accomplishments providing aims of proposal or research. Objectives are precise and measurable leading to accomplishing goals often through “benchmarks” or specific outcomes which show progress toward accomplishing overall goal(s).

• **Project/Research Hypothesis and Objectives**: This component lists the Research question(s) to be addressed, statements of measurable outcomes based on hypothesis, and other research and/or data.
• **Project Implications/Broader Impact:** Preliminary results and impact of the proposed project and/or research are addressed in this component. Questions to be addressed include: “Why is it significant to the field?” “What is the broader significance...for society... the state... the nation?” and “What are future steps that might be explored?”

• **Methodology:** This component describes the design of the project and its overall strategy. How will the problem be approached and what methods will be employed to accomplish the stated goals and objectives? Describe specific program activities, personnel, data compilation.

• **Researcher or Institution Capability/Capacity (sometimes called Organizational Background):** The ability and capability of the researcher and/or the institution to carry out the project must be detailed in this component.

• **Resources:** This component lists the people, equipment, facilities and services necessary to accomplish the aims and objectives of the project.

• **Personnel:** Provide qualifications of principal investigator/project director as well as project senior personnel in this section. Include job descriptions for the personnel to be hired.

• **Time Frame/Timeline:** Give a projected time frame with reasonable starting and ending dates for the proposed project. Include a detailed timeline of activities, research, services, and the personnel necessary to accomplish the aims and goals of the project.

• **Evaluation Plan/Milestones Chart:** A project program flow chart indicating anticipated accomplishments at specific times. This section might also include deliverables (measurable objectives/outcomes), and benchmarks of significant achievements enroute to completing the project.

• **Management Plan/Governance:** How will the project be managed or governed in order to meet its aims and objectives?

• **Plan for Dissemination/Utilization:** Describe how the findings or results will be disseminated and utilized. If practical, provide a plan for utilization of the findings; this component can include the question of whether this program can be adapted at another location or organization, and thus is often referred to by government sponsors as “transferability.”

• **Sustainability:** How will the project and/or research be continued following funding?

• **Literature Review:** Cite familiarity with similar projects completed or in progress. Provide evidence for the needs outlined earlier in the proposal, as well as complementary studies that may have an impact on the proposed project or indicate gaps this project may fill. Indicate whether or not the Principal Investigator or Project Director has performed similar work. Cite references used in the proposal narrative.

• **Facilities:** As appropriate, provide a statement of the physical facilities available and necessary to conduct the project. This component may include a short or long listing of specific pieces of equipment or other research resources, including physical, electronic and library resources. NIH
and NSF, for example, encourage investigators to upload documents with detailed information about research resources.

- **Line Item Budget (sometimes called a Cost Proposal or Financial Plan):** This is a line-item budget (often required to be given in specified categories) to support the project costs, including any required cost sharing or potential program income. Some sponsoring agencies require use of their own printed budget form. All amounts should be rounded to the nearest whole dollar.

- **Budget Justification or Budget Narrative to Accompany the Line Item Budget:** Depending on the funding agency, this is a separate explanation or justification of expenditures. This detail (level of effort, quantification of materials and supplies, travel, vendor quotes, etc.) is to help the agency understand and verify the costs that make up the budget, and how those costs relate to the project goals and/or activities. Budget justifications/narratives should also include an explanation of how each line item was calculated. Calculations, therefore, should be provided for each line item. Ensure that cost share is not inadvertently included in the budget justification, or the statement of work.

- **Subawards:** If a portion of the research will be done by an outside entity, provide a scope of work, specifying what activity/work is to be accomplished, and a detailed budget for each subawardee. It is often necessary to include a letter of commitment signed by the subawardee’s principal investigator and an authorized institutional official (usually from the sponsored projects office) and a copy of the subawardee’s F&A rate agreement. Be sure to follow any other specific instructions, including form preparation, required by the sponsoring agency. In addition, if a subcontract is necessary to complete part of the work or service, provide some details on what, how much and when.

- **Appendices:** Follow the RFP guidelines on what appendices need to be included, or are allowed.

- **Bibliography:** Determine the requirement for bibliographical references. If appropriate, include a bibliography of references utilized in the proposal narrative.

- **Bio-sketches/Curriculum Vitae (CV):** Include a bio-sketch or CV as requested in the guidelines for the senior/principal project personnel in appendices or as part of the personnel information forms. These are often limited in page length. Bio-sketches requested by federal agencies often have specific formats, such as the one required by NIH. Often, these restrict the inclusion of specific information.

- **Publication Lists:** Current list of publications for each of the senior personnel should be included. For some funding organizations, this information must be included in the bio-sketch (i.e., NSF, NIH), for others, a complete list is expected.

- **Research Support:** Current and pending support for some funding organizations must be listed on the bio-sketch (i.e., NIH), for others (i.e., NSF) it must be provided on special forms.

*Note on Intellectual Property: All proprietary information in the proposal must be duly marked. If the proposal is for a federal contract, the appropriate restrictive wording listed in*
the solicitation must be included in the proposal. All background intellectual property must be identified at the proposal stage.
BUILDING A BUDGET

Budget Categories

When preparing a budget for a grant proposal there are typically the same kinds of budget categories for a variety of different funding agencies. The level of detail that is required for each agency varies so please refer to the agency guidelines when building a budget. The University is bound by Federal law to abide by the OMB Circulars and UNM policy.

The following categories are typically found in proposal budgets and are usually shown in the budget and on electronic proposals in Cayuse424.

Personnel Definitions/Descriptions:

- Principal Investigator (PI)
- Multi-Investigator
- Research Faculty
- Other Faculty
- Postdoctoral Associate or Fellow
- Other Professional
- Research Assistant (RA)
- Project Assistant (PA)
- Undergraduate Student
- Other Personnel

Salaries and Wages

- Salary: Faculty
  - Release Time
  - Summer Salary
  - Twelve-month and Research Faculty Time
  - Sabbatical Salary
  - Extra Compensation
  - Salary: Postdoctoral Fellows

- Salary: Staff – allowed only in restricted circumstances as identified in OMB A-21
- Salary: Students
- Assistantship Workload
- Tuition and Health Insurance
Fringe Benefits

Materials and Supplies

Services

Travel: Domestic and Foreign

Equipment

Other Direct Costs

- Consultants/Independent Contractors
- Consultants: Determined to be UNM Employees
- Honorarium
- Student Costs
- Participant Costs
- Space Rent
- Subawards

Facilities and Administrative Costs (F&A)

- F&A Categories
- Reduced F&A Costs
- Waiver of F&A Costs
- F&A Rate Calculations

Budget Preparation:

- Proposal Preparation Information Form
- Basic Budget Information Tool
- Proposal Preparation Instructions
- Useful Formulas and Conversions

Cost Share (if mandated)

Personnel

Principal Investigator (PI) is used to describe a UNM employee qualified to manage the proposed project with the approval of the unit (department, institute, center) head. If more than one PI is assigned to the project, each is designated as co-PI. Additional information on PI eligibility can be found at: http://research.unm.edu/policiesprocedures/PIEligibilityUNMMain.pdf
**Multi-Investigator** is used to describe a collaborative proposal/award on which researchers have agreed to share full PI responsibilities. This can only happen when the sponsor allows multiple principal investigators.

**Research Faculty** is used to describe an individual engaged primarily in research activities and has credentials similar to those held by instructional faculty. A research professor is generally funded from sponsored projects and typically holds a non-tenured appointment.

**Other Faculty** is an individual, other than a PI, who is a member of the University faculty and who will participate in the proposed project as a significant contributor.

**Postdoctoral Associate or Fellow** is an individual who holds a doctoral degree, but does not have an academic appointment. Individuals who are engaged in special study and research at the postdoctoral level, and are paid from designated funds, are given the title of postdoctoral fellow.

**Research Assistant (RA)** is a graduate student working in a research capacity, who holds at least a bachelor's degree and is enrolled in a degree granting program leading to an advanced degree.

**Project Assistant (PA)** is a graduate student working in a research capacity, holds at least a bachelor's degree, and is enrolled in a degree granting program leading to an advanced degree. The main difference between an RA and a PA is that PAs are paid bi-weekly.

**Undergraduate Student** is a student enrolled in a degree program (part-time or full-time) leading to a bachelor's degree.

**Other Personnel** is used to describe a person who is not faculty, may or may not hold a doctoral degree, and is generally reported as a staff member. Machinists, professional technicians, systems experts, computer programmers, and other research scientists and engineers are considered in this category. Only under very limited circumstances are clerical and administrative support staff allowed to be listed as “Personnel” in a proposal budget. See OMB-Circular A-21, F.6.b. (2)

Any personnel category for which funds are requested should include the number of persons expected to receive support. Where called for in the budget, designate the full-time equivalent (FTE – calculated as the percentage of that person’s normal full-time effort) for each person and give each individual’s base salary so that the agency may confirm the amount of remuneration proposed. It is important to coordinate employment requirements through the department/unit administrator and through the appropriate employee data center as early as possible, and to plan well in advance.

Useful Links regarding Personnel can be found at: Human Resources website, Faculty Contracts website, Office of Graduate Studies (OGS), and Student Employment

**Salary: Faculty**

The budget should clearly denote which of the following types of payments are proposed for each faculty member.
Faculty Release Time is a percentage of a nine-month (or 12-month when appropriate) faculty member’s time paid for by a contract or grant to allow the faculty member to be released from teaching duties. For example, depending on the college, 12.5% (or 1/8) of a nine-month salary would release a faculty member from teaching the equivalent of one course or 3 teaching load units in one semester. Release time must be coordinated through the faculty member’s designated department/unit administrator.

Faculty Summer Salary: Faculty on nine-month academic year contracts (195 days) may work typically up to 65 days during the summer (or 42.33 days for NSF grants). If a summer salary is budgeted in the proposal, calculate the appropriate daily rate x summer days and enter the total amount of summer salary.

Twelve-month and Research Faculty Time: Salaries for twelve-month and research faculty should be shown as a percent of time equal to the amount of time to be devoted to the sponsored project. Note: Twelve-month faculty are not eligible for summer research.

Sabbatical Salary: Normally, a faculty member approved for sabbatical (for an academic year), who will be paid 67% of their salary by the University, can request the additional 1/3 of their salary in the proposal budget. This must be coordinated with the department chair and dean, so the additional 1/3 is reflected correctly in the sabbatical request and can be paid using a Non-Standard Payment form. PIs should work with their department/unit administrator and the Faculty Contracts Office when planning a sabbatical leave.

Extra Compensation: Research, public service, and instruction are normally considered part of a faculty member’s contracted responsibilities. As such, extra compensation is rarely permitted on a proposal budget. Since intra-university consulting is assumed to be undertaken as a university obligation, requiring no compensation in addition to full-time base salary, this principle also applies to faculty members who function as consultants, or otherwise contribute to a sponsored project conducted by other faculty members at the same institution. Federal contracts and grants (including federal money that flows down through another agency or institution to UNM) do not allow payment of extra compensation unless it is for consulting across departmental lines, or involves a separate or remote operation; the work is in addition to a regular departmental load, and payment of extra compensation is approved in writing by the funding agency. A faculty member cannot be a consultant on his/her own contract or grant. Any employee of UNM must be paid through the University Payroll Department.

Extra compensation must be clearly identified and justified in the proposal budget and justification.

In addition to the above detail in the proposal budget, the PI is required to obtain specific prior written approval from his/her Department Chair, the College Dean and the Office of the Vice President for Research and Economic Development. This extra compensation form can be located at http://research.unm.edu/forms/Extra_comp_form_092002.pdf. If, after award, it is determined that UNM wants to pay extra compensation to a person on the grant which was not part of the original proposal budget, the sponsoring agency’s contracting or grant officer (person who can legally sign the contract or grant, not a program or technical officer) must approve the use of Extra Compensation before payment can be issued to an individual at UNM. The PI should work with Pre-Award to obtain
agency approval. The PI may also want to get verbal concurrence from the program officer at the funding agency prior to contacting the contracting or grant officer.

**Salary: Postdoctoral Fellows.** The academic department of the postdoctoral fellow (PDF) will set salaries. The annual salary may not be below the department’s highest salary paid to a graduate research assistant (this includes salary, tuition and other fringe benefits), and may not exceed the department’s lowest salary paid to a full-time tenure-track faculty member. Each fiscal year, the PDF may be given salary increases in accordance with University guidelines if funding is available. More information on [Hiring and Paying of Postdoctoral Fellows are available online](#).

**Salary: Staff**

Salaries for exempt staff employees should be shown as a percent of time equal to the amount of time to be devoted to the contract or grant. As exempt employees, UNM policies do not usually allow for payment of overtime or extra compensation. See the UNM Business Policies and Procedures Manual for additional information. Salaries for non-exempt staff employees should be shown as number of hours at the employee’s hourly rate, but only if allowed by the solicitation.

**Salary: Students**

For graduate research assistants, salaries are usually shown as number of months or percentage of time. Graduate project assistants and other (primarily undergraduate) students are usually shown as number of hours (maximum 700 hours/academic year, maximum 520 hours/summer and in rare cases, maximum 160 hours/between fall and spring semester).

**Assistantship Workload**

During the Fall and Spring semesters the typical workload for students who hold assistantships is 20 hours per week (.50 or 50% FTE). A student may not be appointed for more than 30 hours per week or 75% FTE as a Teaching Assistant (TA)/TA Special, Graduate Assistant (GA)/GA Special, Teaching Associate, Research Assistant (RA) or Project Assistant (PA), alone or in any combination.

Note: The Bureau of Citizenship and Immigration Services (BCIS) regulations limit international students on J-1 and F-1 visas to appointments of no more than 20 hours per week or 50% FTE. [This requires filling out an Export Control Screening Form with the appropriate information for review.](#) The rule that allows graduate students to work 30 hours per week does not relieve international students or the University of the responsibility for complying with BCIS regulations.

During the summer session continuing assistantship recipients (including international students) may be employed up to 40 hours per week or 100% FTE, provided they are not enrolled. However, entering graduate students awarded an assistantship during the summer session must be enrolled in a minimum of 3 hours of course work, which applies to their graduate degree. This may not exceed 75% FTE, or 30 hours per week. Assistantship recipients who are not enrolled for both summer sessions are required to pay Federal FICA tax (Social Security and Medicare) for that summer session in which they were not enrolled.
Assistantship recipients may concurrently hold a student employment or work-study position provided the combined FTE does not exceed 75% FTE (50% FTE for international students) during the Fall and Spring semester, and 100% FTE during the Summer session. Assistantship recipients may not concurrently hold a University of New Mexico staff position.

**Research Assistant (RA) and Project Assistant (PA) Tuition and Health Insurance**

In-state tuition and health insurance should be included for RAs and PAs working on sponsored projects at least 25% FTE. The University waives the out-of-state portion of the tuition for RAs and PAs, provided the eligibility criteria listed above are met.

Health insurance must be included as a fixed amount per RA/PA in the fringe benefit category for each year of the budget.

For current rates and benefit guidelines:
http://research.unm.edu/policiesprocedures/FY12FringeBenefitMemo070111.pdf

There is no fringe benefit expense related to the tuition portion of the salary. The budget items for RA/PA salary and tuition should be shown separately because it is F&A excludable.

**Fringe Benefits**

Employee fringe benefits are real and identifiable costs in direct support of employee salaries. Fringe benefit rates are applied to all University salaries and wages listed in the proposal and should appear as a separate line item in the proposal budget. The principal elements that comprise University fringe benefits are: FICA, Medicare, Retirement, Group Insurance, Worker's Compensation, Unemployment Compensation, Tuition Remission, and other University benefits. When the established University employee fringe benefit rates change, the new rates are announced via email alert and online (http://research.unm.edu/frequentinfo/index.cfm).

**Materials and Supplies**

This category includes most expendable items and expenses necessary to carry out a sponsored agreement that can be directly allocated to a project, such as lab supplies, books, chemicals, glassware, non-capital equipment less than $5,000, etc. UNM policies and procedures related to procurement of materials and services can be found in the UNM Business Policies and Procedures Manual. Office supplies, such as printer paper, ink, toner, pens, pencils, etc., to sponsored projects are typically not allowable charges as these are considered part of indirect charges.

**Services**

This category includes expenses used exclusively for, and directly allocable to, the project. =Laboratory cleaning, long-distance phone calls, subscriptions, photocopying, maintenance agreements, consultant services, and equipment installations are some services that can be charged to a sponsored project, if they are exclusively related to that project, and usually only if the sponsor considers it an allowable
expense. UNM policies and procedures related to procurement of services can be found in the UNM Business Policies and Procedures Manual.

**Travel: Domestic and Foreign**

Travel costs are frequently necessary to complete a project. Costs include registration fees, airfare or mileage, hotel, per diem for meals, ground transportation, and miscellaneous expenses related to travel to conferences, fieldwork, etc. Budget the costs based upon actual travel plans. Rates used must conform to the UNM Business Policies and Procedures Manual. Some agencies will require specific written authorization for a particular trip, even if it is included in the proposal budget. Check the proposal instructions and/or agency guidelines carefully as prior approval is usually required for foreign travel. Requests for prior approval should be submitted to and obtained from the sponsor, with a copy of the approval provided to Contract & Grant Accounting. This may require obtaining approval 60-90 days before the departure date. Domestic and foreign travel should be budgeted separately in the proposal and on the Award Budget Sheet (ABS). Many federal agencies require that air travel be on U.S. air carriers regardless of the costs involved. Some exceptions exist, but PIs should check agency regulations before deviating from this rule. For planned international travel, an export control exclusion screening (ECES) form is required before any award can be processed.

**Equipment**

UNM defines capital equipment as equipment or furniture having a unit cost of over $5,000 and a useful life of at least one year. Many agencies have proposal guidelines that specify the amount of detail needed for budgets that include equipment. Most agencies will not fund what they consider to be general-purpose equipment such as desks, chairs, shelves, file cabinets, or office computers. Please note that some funding opportunities do not allow expenditure of funds for equipment purchases. The funding agency may also have regulations concerning ownership and disposal of equipment purchased under contracts and grants. Equipment may have to be returned to the funding agency at the end of the project. If the equipment is to be returned, it may be necessary to budget shipping costs in the proposal budget. Equipment costs over $5,000 are excluded from facilities and administrative costs calculations when the proposal funding includes UNM’s full federally-negotiated F&A cost rate.

**Other Direct Costs**

**Consultants/Independent Contractors**

Consultants are non-UNM entities or person(s) licensed to do business in the State of New Mexico as evidenced by a number of criteria, including a New Mexico gross receipts tax number and the fact that they offer their services to the general public. Costs for an independent contractor should include all associated costs, including New Mexico gross receipts tax. A consultant letter of commitment is strongly encouraged.

**Consultants: Determined to be UNM Employees**

If a consultant is not determined to be an independent contractor, the consultant must be hired as an employee of the University of New Mexico. Persons who are already UNM employees cannot be
categorized as consultants in a proposal for budget purposes. They should be shown as employees with fringe benefits including a description of the work they will perform in the proposal narrative or budget explanation (http://www.unm.edu/~ubppm/ubppmanual/4325.htm).

**Honorarium**

If a non-UNM person will be paid a one-time payment not commensurate with services rendered, the non-UNM person can be paid an honorarium according to the UNM Business Policies and Procedures Manual (http://www.unm.edu/~ubppm/ubppmanual/2170.htm).

**Participant Costs**

Participant costs are paid for taking part in workshops, surveys, studies, etc. These are usually small fixed amounts given to the participants as incentives, or to defray the cost of their travel to and from interviews and events, or to reward them for their continued participation (i.e. compensation for participation in research projects). These costs are not excluded from the calculation of F&A costs for the project. One exception to F&A applied to participant costs involves some NSF training grant opportunities (http://www.unm.edu/~ubppm/ubppmanual/2480.htm).

**Student Costs**

Student costs are commonly seen on training projects or fellowships. Regular student costs such as salaries, fringe benefits, etc., should be shown under the appropriate subcodes. The types of costs included in this category are student stipends, tuition, housing, travel, insurance, books, supplies, and scholarships. These must be listed separately in the proposal budget and are excluded from the F&A cost calculations. (There are some exceptions – please refer to the proposal application instructions.)

**Stipends:** Stipend costs include student costs such as room and board, textbooks, and other miscellaneous living expenses for the student. Generally, stipends do not include tuition or health insurance and are excluded from the calculation of F&A costs.

**Tuition:** Tuition is an allowable cost on a proposal budget in two circumstances. First, unless otherwise prohibited by the sponsor, tuition should be included for all Research Assistants and Project Assistants working at least half of a semester or at least 10 hours per week. Student tuition is excluded from F&A cost calculation. Secondly, tuition may be allowable by the sponsor for participants in training projects (see information under “Student Costs”). This form of tuition is also excluded from F&A cost calculation.

**Space Rent**

UNM departments or units located in space that is leased or rented by the University can charge for rent in two ways:

1. Charge the full on-campus F&A cost rate and then use the amount returned to pay for rent. This method should be carefully reviewed, if selected, to ensure that sufficient funds will be available to pay the rent.
2. Charge the sponsored project directly for the rent, utilities, and other facility costs. The contract or grant would be charged the off-campus F&A cost rate, in this instance, and the space rent would be excluded from the calculation of F&A costs. This method should be reviewed by the Controller if multiple contracts and grants need to be charged, to ensure that the charges for rent and other facility costs are apportioned correctly.

**Subawards**

If a portion of the work under the proposed contract or grant will be performed by another institution or a private company, those costs related need to be included in the budget as a subaward. In order to determine whether a collaboration qualifies as a subaward or a vendor, please refer to UNM’s policy on establishing subawards at:

http://www.unm.edu/~ubppm/ubppmanual/2470.htm and/or the Q&A on Subcontracts at:

http://www.unm.edu/~counsel/research/faqs/qasub.htm

Each subaward will be a single line item on UNM’s budget, and the PI must attach a separate detailed budget to the proposal for each subaward. If system-to-system, this should be in the same format as the full UNM budget. To ensure that the subawardee has obtained official endorsement of the collaborating institution, the proposal should include a letter of commitment signed by the authorized institutional representative, budget, budget justification, statement of work and F&A rate agreement. The UNM Business Policies and Procedures Manual outlines procedures for setting up a subaward and provides guidance for distinguishing between a subaward and a regular procurement of services.. UNM’s F&A costs are calculated on modified total direct costs (MTDC) and therefore on the first $25,000 of each subaward; otherwise, when a reduced F&A rate is used, the F&A is calculated on total direct costs (TDC).

**Facilities and Administrative (F&A) or Indirect Costs**

F&A costs are general operating costs incurred by the University in support of all sponsored research, public service, and instruction programs. F&A costs are often misunderstood or incorrectly construed to be "profit" in the proposal budget. As is true for any organization that receives external support, these costs cover real and necessary expenses for the University. F&A costs should be included as a separate line item in the budget of each proposal submitted to external funding agencies. These costs must be budgeted so the University can recover the true costs incurred by sponsored research, public service, and instruction projects.

For main campus, the Vice President uses a portion of the estimated F&A recovered each year for Research and Economic Development for administrative costs. Of the amount remaining, a percent is allocated by the Vice President for Research and Economic Development to the college, school, or center from which the successful proposal(s) originated. In the case of projects with multiple departments/units, the departments must complete an F&A Split Form (http://research.unm.edu/forms/FandASplit-MainCampus.pdf) or for a split with HSC use the form at (http://research.unm.edu/forms/unmforms.cfm), and upload the applicable form into Cayuse424 with your proposal. These funds may be used by the dean of the college or school, or by the director of a center to support its general research activities.
F&A Categories

The University submits financial data and proposals to the Department of Health and Human Services (DHHS) periodically in order to obtain a Federally Negotiated Facilities and Administrative Rate Agreement. This is negotiated with DHHS and is accepted by all federal agencies. UNM uses the rates prescribed by the negotiated agreement for all proposals submitted to outside funding sources (see exceptions below). There are different rates for research, public service/other, and instructional projects. Click here to link to UNM’s current F&A rate agreement. Click here to view the F&A rates for the Non-federal New Mexico Public Sponsor Agreement rates.

Activities that affect F&A cost rates:

- **Research projects**, including research training, are those that ideally lead to advancement of knowledge, whose results can be submitted for scholarly publication, and/or be the topic of a presentation at a professional meeting.
- **Instruction and training** projects teach or train students, usually at the college level for credit.
- **Public service/other** category includes projects that are not research or instructional. Examples are operating clinics, providing technical assistance, or organizing and conducting workshops. The PI should contact Pre-Award if it is unclear which category is applicable to the specific project.
- **On Campus or Off Campus**. Rates are further differentiated according to whether the project is to take place on-campus or off-campus. **On-campus rates** should be used if University-owned or leased facilities will be used to perform the project and if the majority of the project will take place on campus. The **off-campus rate** is used when a majority of the work is performed without using UNM’s facilities.

Reduced F&A Costs

There are situations in which the University is unable to charge the fully negotiated F&A rate. Not-for-profit foundations usually have written guidelines that state they will not pay F&A costs or that they will pay only a reduced amount. Federal agencies have special programs that mandate reduced F&A rates. Projects with New Mexico state and local governments have traditionally been at a reduced rate. The University allows these proposals to be submitted, and the reduced F&A rates are accepted; the applicable F&A rate is charged on total direct costs. However, the PI must submit a copy of the written application guidelines with the proposal to justify the rate. In the case of state agencies, OVPR has a list of rates to be used.

Waiver of F&A Costs

If the funding agency does not clearly allow the University to charge its full F&A rate, and the PI wants to submit a proposal to a funding agency using a lower F&A rate than the federally negotiated rates for the University, the request must be routed through the department chair and dean or unit director to the Associate Vice President for Research Administration, as appropriate. The routing and approval should be done electronically through UNM’s Cayuse424 system.
**F&A Rate Calculations**

The current base used to determine F&A costs is modified total direct costs (MTDC), which is total direct costs less capital equipment (> $5,000), space rental for off-site facilities, subaward amounts in excess of the initial $25,000 per subaward, and student support costs such as tuition, scholarships, and fellowships. For a proposal budget, F&A costs are determined by applying the appropriate F&A rate to the base. For budgets to non-federal agencies that will not pay the full federally negotiated F&A rate, total direct costs (TDC) should be used to calculate the F&A for the project. Agencies often request a copy of the University's current negotiated F&A rate agreement. This document may be obtained from the [OVPR web site](#).
USEFUL FORMULAS AND CONVERSIONS

Assuming an 8 hour work day and excluding weekends:

1 year = 260 days = 2,080 hours

1 month = 21.67 days = 173.33 hours

1 academic year = 9 months = 195 days = 1,560 hours

1 summer = 3 months = 65 days = 520 hours

To convert percentage of time for a year to months, multiply 12 by the percentage. (I.e. 50% of year = .5*12 = 6 months)

To convert percentage of time for an academic year to months, multiply 9 by the percentage. (i.e. 25% of year = .25*9 = 2.25 months)

NIH Conversion Tool: Used to convert effort to person months:
http://grants.nih.gov/grants/policy/person_months_faqs.htm

For the UNM Award Budget Sheet: link to University of New Mexico Operating Ledger Account Code Definitions: http://www.unm.edu/~gacctng/resources/OpLegAcctDef%2003-02-10.pdf

Summer Research Calculation for faculty with 9 month appointments:

\[
\frac{9 \text{ month salary}}{195 \text{ days}} = \text{Daily Rate}
\]

\[
\text{Daily Rate} \times \text{No. of Days Proposed} = \text{Amount Being Requested}
\]

Course Buy Out/Release Time

• It may be necessary to calculate a course buy out for the PI or other faculty on the proposal.
• This will differ between Schools & Colleges depending on the course load so check with your Department Administrator or Department Accountant.
PROPOSAL INFORMATION FORM

The Proposal Information Form helps the principal investigator prepare a complete proposal that meets agency requirements, and is ready to be submitted by the sponsor’s deadline.

Note: Completed Cayuse424 proposal entries must contain the requisite approvals (usually the PI, department head, and college dean), and reach the Pre-Award queue 5-business days prior to the submission deadline.

Please fill out the following information to start your proposal through the UNM process.

1. **General Information**

PI:

**UNM Co-PIs:** (For collaborators from other institutions please see below)

(Name, plus phone & e-mail for Co-PIs)

1. 

2. 

3. 

4. 

All UNM employees named in this proposal

1. 

2. 

3. 

4. 

5. 

6.
Is this a (check one):

- New proposal? [ ] Notes:
- Continuation? [ ] Notes:
- Revised Budget? [ ] Notes:
- No-cost Extension? [ ] Notes:
- Other (specify) Notes:

Proposal Title: (Temporary title is OK)

Agency (or lead institution if UNM is a subcontractor):

Agency Solicitation (RFP/BAA#):

Please provide URL of Solicitation

Rough Estimate of Program Cost by year: $

Does the agency require mandatory matching funds/cost share/in-kind?: NO [ ] YES [ ]

If Y – consult with your Department Chair asap!

Is there more than one UNM college (multiple departments) involved in this proposal?:

NO [ ] YES [ ]

If Y – allow a few extra days to complete the routing and approval process.

From the Agency Solicitation (RFP/BAA) please list:

Date Due to Agency/Prime (time, date, location):

Submission using Cayuse424 system-to-system? NO [ ] YES [ ]

If N - specify submission method (E-mail, Grants.gov, Fastlane, hard copy, etc...)

Proposed Period of Performance (start and end dates):

Funding Agency Technical Contact (name, phone, e-mail):

Funding Agency Administrative Contact (name, phone, e-mail):

Are quotations required for equipment? NO [ ] YES [ ] If Y, get these quotes now!
2. Proposal Participants

UNM is the: **LEAD** *(If Lead go to 2a below)*

**SUBCONTRACT** *(If Subcontract go to 2b below)*

**2a UNM as Lead** *(If UNM is not the lead go to 2b below):*

Are there any subcontracts/subawards? **NO**  **YES** How many?:

Please list for each subcontractor (If more than 3, attach information on separate sheet):

Subcontractor #1:

Subcontractor #1 Technical Contact (name, phone, e-mail):

Subcontractor #1 Administrative Contact (name, phone, e-mail):

Budget Totals Per Year:

Subcontractor #2:

Subcontractor #2 Technical Contact (name, phone, e-mail):

Subcontractor #2 Administrative Contact (name, phone, e-mail):

Budget Totals Per Year:

Subcontractor #3:

Subcontractor #3 Technical Contact (name, phone, e-mail):

Subcontractor #3 Administrative Contact (name, phone, e-mail):
Budget Totals per Year:

2b UNM as Subcontract (not the lead) (If UNM is the lead go to 2a above):

Lead:

Lead Technical Contact (name, phone, e-mail):

Lead Administrative Contact (name, phone, e-mail):
INFORMATION TOOL (BASIC BUDGET INFORMATION FOR YEAR 1)

The Following is not a budget template and will not calculate. This form is only intended for information gathering in preparation of building a budget. For a budget template, click [here](#) for the “Budget Worksheet”.

A. Senior Personnel:

<table>
<thead>
<tr>
<th>Enter Last Names</th>
<th>Base Salary</th>
<th>Requested # Summer Months or Days</th>
<th>Requested # Academic Months</th>
</tr>
</thead>
<tbody>
<tr>
<td>PI</td>
<td>9 month or 12 month? $</td>
<td>Days or Months?</td>
<td></td>
</tr>
<tr>
<td>Co-PI 1</td>
<td>9 month or 12 month? $</td>
<td>Days or Months?</td>
<td></td>
</tr>
<tr>
<td>Co-PI 2</td>
<td>9 month or 12 month? $</td>
<td>Days or Months?</td>
<td></td>
</tr>
<tr>
<td>Co-PI 3</td>
<td>9 month or 12 month? $</td>
<td>Days or Months?</td>
<td></td>
</tr>
<tr>
<td>Co-PI 4</td>
<td>9 month or 12 month? $</td>
<td>Days or Months?</td>
<td></td>
</tr>
</tbody>
</table>

B. Other Personnel

<table>
<thead>
<tr>
<th># Graduate RAs</th>
<th>Base Salary</th>
<th>Requested # Summer Months</th>
<th>Requested # Academic Months</th>
</tr>
</thead>
<tbody>
<tr>
<td># Undergrads</td>
<td>9 month or 12 month? $</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Post Doc (name)</td>
<td>9 month or 12 month? $</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Post Doc (name)</td>
<td>9 month or 12 month? $</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff (name &amp; title)</td>
<td>9 month or 12 month? $</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff (name &amp; title)</td>
<td>9 month or 12 month? $</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff (name &amp; title)</td>
<td>9 month or 12 month? $</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Staff (name & title) | 9 month or 12 month? | $  
---|---|---
Graduate Student Tuition | $  
Graduate Student Health Insurance | $

### C. Travel

| In State | Total funds requested |  
|---|---|---
| Domestic |  
| Foreign |  

### D. Capital Equipment worth more than $5K per unit

| Item #1: | Total funds requested |  
|---|---|---
| Item #2: |  
| Item #3: |  

### E. Other Direct Costs

| Total funds requested |  
|---|---
| Materials and Supplies |  
| Non capital equipment (less than $5K per unit) |  
| Publication costs |  
| Consultants |  
| Subawards |  

### F. Indirect Costs

Will the majority of the project be done □On campus OR □Off campus?

If the indirect costs are limited by the funding agency – what is the rate?

Any additional comments related to the budget?
What Happens Next?

2. Upload a copy of the program announcement into the Cayuse424 record.
3. Finalize the budget and budget justification and upload into Cayuse424. A budget template is available on the research website: [http://research.unm.edu/forms/unmforms.cfm](http://research.unm.edu/forms/unmforms.cfm)
4. For research proposals, upload signed Conflict of Interest (COI) forms for PI, Co-PI(s), and each UNM employee NAMED on the proposal.
5. Upload a draft proposal narrative into the Cayuse424 record and any additional forms which need approval.
6. Upload any other internal documents that need review. This may include, but is not limited to, forms and documents that are required for export control screening, reduced F&A costs, PI eligibility, F&A splits, and subaward documentation.
7. Start the “routing and approval” process in Cayuse424.
8. Build routing chain to include PI, appropriate chair, dean/director, as applicable for your department.
COST SHARE

The portion of a project or program cost that is not funded by the sponsor and expected to be funded by UNM is considered cost share. Cost sharing can either be mandated by a sponsor as a condition of the sponsored award or, in very rare circumstances, can be voluntarily offered by the University of New Mexico to demonstrate its commitment to a project. Terminology used by individual funding agencies may vary, and can include: cost sharing, matching funds, institutional commitment, and in-kind contributions. Federal accounting regulations require that all such costs be documented in the University’s financial record system (Banner).

UNM’s policy is to assume a cost sharing commitment only when required by the sponsor or by the competitive nature of the award. Cost share is offered only to the extent necessary to meet specific circumstances (UNM Business Policies and Procedures Manual: 2430 Cost Sharing on Sponsored Research.) Federal agency guidelines vary:

National Endowment for the Arts generally “requires mandatory cost sharing.”

National Endowment for the Humanities “strongly suggests” cost sharing.

National Science Foundation “generally prohibits cost-sharing of any kind,” with a few exceptions. In those exceptions, NSF will issue guidance to their program managers and proposal reviewers that cost sharing in excess of the amount specifically stated in the program guidelines cannot be a consideration when determining the relative merits of a proposal. This alleviates the pressure put on the investigator and institution trying to make a proposal more favorable by committing more institutional resources.

Proposals with cost sharing requirements must include a completed form that includes the Cost Share Budget Sheet and authorization form (for cost share amount) and the forms must be uploaded into Cayuse424. The form requires disclosing all Banner indexes/sources of funding for the cost sharing and those authorized to commit cost sharing from the accounts being committed must be included in the proposal routing chain.

Only in rare circumstances can restricted funds be used for cost sharing.

Cost sharing commitments from third parties, i.e., subawardees, must be documented with a signed letter of commitment from the authorized signatory of the organization and must specify what they will be providing and how it was calculated.
THE AWARD PROCESS

Once a proposal has been awarded by the funding agency, the award is managed in a number of ways. The process begins with the receipt of the award document. Pre-Award determines if negotiations with the funding agency are necessary. PI prepares the Award Budget Sheet and completes a final review of the award.

Completing an Award Budget Sheet

The Award Budget Sheet (ABS) is an internal document that is required when an official award notice has been received from the sponsor or funding agency. A completed Award Budget Sheet from the PI lists budget amounts in the Banner Account Code that corresponds to the type of expenditure (i.e., Account Code for Lab Supplies is “31S0”). The ABS form comes pre-printed with the most commonly used account codes. If the account code needed is not listed on the ABS, identify the appropriate account code as listed in the UNM Operating Ledger Account Code Definition List found at: http://www.unm.edu/~gacctng/resources/OpLegAcctDef%2003-02-10.pdf.

Pre-Award will send the completed ABS along with the award documentation to the Contract and Grant Accounting Office who will request an index code and enter the budget information into Banner. The ABS is important because it specifies how the budget is to be set up in Banner.
REQUEST FOR APPROVAL TO SPEND FUNDS/PRE-AWARD COSTS

Prior to the receipt of an official notice of award for a grant which specifically authorizes Pre-Award spending the PI may request permission to spend a specified amount of money for a period not to exceed 90 days. The following criteria must be met:

1. The anticipated award mechanism must be a grant, not a contract.
2. A firm commitment exists by a funding agency to make an award.
3. There is a justifiable need to an advance commitment of funds.
4. Other unrestricted funding is identified and committed by the PI’s department, college/school, or other unit to cover the risk of a delayed start date or failure of an agency to make an award as anticipated.
5. If the award is not received in 90 days, no further expenditures will be authorized and no second RTSF will be approved.

The Request for Approval to Spend Funds form is available online. The completed form is to be submitted to Pre-Award along with evidence of the intent to fund from the sponsor. Pre-Award confirms the commitment with the funding agency, if applicable, and the PI receives notification of approval. The approved request is forwarded to Contract and Grant Accounting to complete the processing in Banner and request an Index Code. The principal investigator will then receive notification of the assignment of an Index Code for that award from Contract and Grant Accounting. This form may also be used to continue an existing award pending receipt of an anticipated renewal, extension or continuation from the sponsor or funding agency.
SPONSORED PROJECT AND RESEARCH COMPLIANCE

CONFLICTS OF INTEREST

Conflicts of interest (COI) are an inevitable part of conducting research, projects and creative activities, and do not necessarily suggest any impropriety on the part of the principal investigator. Most conflicts can be successfully resolved without impeding sponsored activities. A COI may exist despite the principal investigator's adherence to the highest standards of conduct. In a research university setting these interests can compromise, or be perceived as compromising important academic values, research integrity, the protection of human subjects, or the University mission.

The UNM Faculty Handbook Policy E110: Conflicts of Interest in Research complies with federal regulations and applies to all UNM faculty, staff and students, as well as non-UNM participants in a project.

Disclosing the required information at the earliest possible time affords the best protection of an applicant’s interests. PIs are encouraged to disclose any situation that could conceivably be viewed as a conflict of interest or a reportable financial interest. When in doubt, it is safer to disclose. The UNM COI disclosure process is a confidential disclosure of each applicant’s interests as related to the proposed project. Interests are "related to the project" if an applicant has a relationship with an entity outside of UNM that has either an interest in the subject matter of an applicant’s project or whose activities overlap with an applicant’s area of expertise.

Completing the Conflict of Interest Form

1. Download Conflict of Interest Disclosure Form at [http://research.unm.edu/forms/unmforms.cfm](http://research.unm.edu/forms/unmforms.cfm). The COI form is required with each proposal or protocol.
2. Complete COI Cover Sheet, listing all participants who will be responsible for a task that could have a significant effect on the design, conduct, or reporting of the sponsored project.
3. Each participant, including the PI, must complete the COI Disclosure Form (page two). Each question on the Disclosure Form needs to be answered and the participant must sign and date at the bottom.
4. If the participant answers 'Yes' to any of the questions on the disclosure form, then he or she must provide a description of the financial or fiduciary interest or affiliation, how it relates to the current proposal or protocol, and a description of any measures taken to manage any possible conflict, or provide suggestions as to how the conflict can be mitigated.

Collect all signed COI Disclosure Forms, scan and upload into the “Documents” section of the proposal in Cayuse424.
**Examples of Potential Conflicts of Interest**

- An applicant’s consulting relationship with a sponsor of his/her project.
- A management role or equity holdings in an entity that is sponsoring his/her project, or selling goods or services to the University.
- Ownership of patents or technology that is the subject of his/her project.
- Supervising the same student(s) both in a University activity and as employees of his/her company.

**What Does not Constitute a Conflict of Interest**

- An investigator’s consulting relationship with an organization that conducts business in an area not related to the project.
- Stock or equity in a company that does not constitute a significant portion of the company’s holdings.
- Volunteer work that is not directly related to the project.

**What Happens in the Case of a Conflict**

Pre-Award, during the initial review of the proposal packet, will identify if an applicant working on the project checked “yes” to any of the questions on the disclosure form. If a conflict is disclosed, a review of the conflict is conducted by the COI Committee. The COI Committee is a peer-review committee consisting of ten voting members, including a Chair. Members are senior faculty representing the diverse disciplines and colleges on campus, senior administration staff with responsibility for contracts from Main Campus and HSC, as well as two outside community members.

*Note: To assist the UNM COI Committee and to speed up the review process, it is essential that the applicant provide sufficient information for the COI Committee to make a decision.*

The Committee considers disclosures associated with all projects on a case-by-case basis. The Committee conducts the review process in a manner that is intended to foster, not hinder grant and contract relationships.

If the Committee determines that the disclosed interest does not affect the project or that the interest does not compromise the commitments of the individual to UNM, and is not detrimental to UNM, the Committee usually determines that no conflict exists.

If the Committee determines that the disclosed interest could influence the project, the Committee usually decides a conflict exists. It then proposes a resolution strategy to manage the conflict.
Examples of Conflict Management

A modification of the protocol is suggested to mitigate or eliminate the conflict.

An independent investigator is involved to collect, analyze, and interpret the data.

A monitor is appointed to oversee the project.

A disclosure of the financial interest is made in publications and presentations.

The applicant’s relationships that create the conflict are severed.

The applicant is excluded from participation in some part of the project.

A blind trust escrow account is established.

When a conflict has been identified by the COI Committee, the applicant must agree to and follow the management plan. As part of the continuing review process, the Committee performs ad hoc checks to ensure compliance with the directives laid out in the management plan. Where a monitor has been assigned to a particular management plan, the monitor is required to submit a written report to the Committee in June and December of each year throughout the duration of the sponsored project.

More information is available on the [Conflicts of Interest in Research web site](#).
**EXPORT CONTROL**

An “export” is any item that is sent to the United States to a foreign destination is an export. “Items” include commodities, software, or technology, such as clothing, building materials, circuit boards, automotive parts, blue prints, design plants, retail software packages, and technical information.

How an item is transported outside of the United States does not matter in determining export license requirements. For example, an item can be sent by regular mail or hand-carried on an airplane. A set of schematics can be sent via facsimile to a foreign destination, software can be uploaded to or downloaded from an Internet site, or technology can be transmitted via e-mail or during a telephone conversation. Regardless of the method used for the transfer, the transaction is considered an export. An item is also considered an export even if it is leaving the United States temporarily, if it is leaving the United States but is not for sale (e.g., a gift), or if it is going to a wholly-owned U.S. subsidiary in a foreign country. Further description is available on the Bureau of Industry and Security, US Department of Commerce web site.

**Understanding Export Control**

UNM and its employees are required to comply with all federal export control laws. Penalties, including fines and/or jail time, for violations of these laws can be quite severe for the employee as well as the institution.

Some RFPs and awards contain special security requirements or deal with critical technology requiring protection and/or export licensing. MTAs, CDAs, and NDAs may also require a review.

Export control laws regulate the distribution of strategically important products, services and information to foreign nationals and foreign countries. The responsible agencies governing these laws are:

**Department of State, Directorate of Defense Trade Controls** regulates inherently military technologies under the International Traffic in Arms Regulations (ITAR: 22 CFR). Examples of these types of exports include military equipment, military and space electronics, computers designed for military application, cryptographic techniques, and encryption software.

**Department of Commerce, Bureau of Industry and Security** regulates purely commercial items as well as commercial items that might also have military or proliferation applications ("Dual-Use") under the Export Administration Regulations (EAR: 15 CFR). The term “proliferation applications” refers to the spread of biological, chemical, nuclear, and other weapons of mass destruction to countries not originally involved in developing them.

**Department of Treasury, Office of Foreign Assets Control (OFAC)** prohibits transactions with countries subject to boycotts, trade sanctions, and embargoes.

Special exports such as endangered species, medical devices, and nuclear materials and equipment are regulated by other governmental agencies, e.g., USDA, NASA, and NRC.
**Determining Export or Deemed Export**

**Export** is shipping or transporting goods or technology outside of the United States (e.g., computer, GPS unit, other equipment, or materials of various types).

**Deemed Export** is when technology is released to a foreign national within the United States, e.g., by inspecting documents or participating in discussions or training related to that technology.

The potential for Deemed Export is significant at UNM. A determination must be made on whether or not a license is required before releasing technology. The PI should check with the UNM Export Control Office for a determination, providing the name and nationality of the person(s) in question. This information is requested on the Export Control Exclusion Screening (ECES) Form.

**Foreign Nationals**

Citizenship is a complex issue related to export control. If the project is subject to ITAR, only U.S. citizens and permanent resident aliens (Green Card holders) may have access to the export controlled information and technology. If the project is subject to EAR, the same applies except a foreign national may be able to participate with written sponsor permission. The Export Control Office can determine if a license is required.

A “foreign national” is an individual who is not (1) a United States citizen, (2) a permanent resident alien of the United States, (3) a lawfully-admitted temporary resident alien or refugee, or (4) other protected individual as defined by 8 U.S.C. 1324b(a)(3). For purposes of export control, individuals on a student visa or specialty occupation visa (including foreign visiting faculty) are considered foreign nationals.

The term “foreign person” includes any foreign corporation, business association, partnership, trust, society or any other group not incorporated or organized to do business in the United States, and any international organization, foreign government, or diplomatic entity.

Foreign nationals who enter the United States may provide a variety of services and the University may agree to reimburse them for their travel expenses and/or pay them for any services rendered, depending upon their visa type. Payments made to foreign nationals must comply with U.S. Citizenship and Immigration Services (USCIS), Department of Homeland Security and Internal Revenue Service regulations, and must be allowable by applicable contracts or grants and documented with receipts.

All J-1 and F-1 nonimmigrant visa holders (for foreign national students seeking educational opportunities, and for exchange visitors, respectively, more information is available at [http://travel.state.gov/visa/temp/types/types_1268.html](http://travel.state.gov/visa/temp/types/types_1268.html)) are required to check in with the UNM Office of International Programs and Studies (OIPS) to ensure compliance with federal laws. Advance planning (two months or more in most cases) is critical to ensure that foreign nationals can fulfill the intended purpose of the trip and the University can comply with any agreements made.

UNM employs foreign nationals with nonimmigrant visas as well. Such visas generally fall within two classifications: H-1B and O-1 visas. H-1B visas are issued to individuals in specialty occupations in fields
requiring highly specialized knowledge acquired through the completion of a specific course of higher education. O-1 visas are issued to individuals with extraordinary ability or achievement in the sciences, arts, education, business, or athletics. All UNM departments seeking to sponsor an individual for H-1B or O-1 status for new or continuing employment must arrange for legal services pursuant to the Office of University Counsel guidelines.

Other questions related to Foreign Nationals should be directed to OIPS or, for questions about sponsoring foreign nationals for new or continuing employment, to the Office of University Counsel. See the UNM Business Policies and Procedures Manual, Policy #2180 – Foreign Nationals.

All foreign nationals, regardless of visa type, must provide requested information and documentation to UNM Unrestricted Accounting, Main, Taxation department, before payments can be made to them or to third parties on their behalf. For more information is available on the Unrestricted Accounting web site.

Questions related to the Department of the Treasury Office of Foreign Asset Controls (OFAC) should be directed to the UNM Unrestricted Accounting, Main Campus.

The use of foreign nationals on technical programs may involve licensing under the federal regulations related to export controls and foreign assets.

**Foreign Travel**

Anyone traveling outside the continental U.S. on an export-controlled or classified project or traveling to an embargoed country must (1) contact the Export Control Office with a list of personnel, equipment, destination, and purpose, and (2) attend a pre- and post-travel briefing. Please note that foreign travel often requires prior written authorization from the sponsor and conference presentations may require prior sponsor review before release (see Industrial Security section).

**Export Control at Proposal Submission**

In Cayuse424 there are questions regarding export control. If the answer is “yes” to any of those questions or to the third Compliance question, or international travel is planned, upload a completed Export Control Exclusion Screening (ECES) Form in Cayuse424. Additionally, if writing or working on software, upload the completed Checklist On Encryption And Other “Information Security” Functions Form. If uncertain, please complete and upload form.

**Export Control on Award**

If the proposal is accepted and the funding is awarded, Pre-Award will coordinate a review with the Export Control Office. If export control restrictions are applicable to a project, a Technology Control Plan (TCP) will be implemented. If foreign nationals are involved, a copy of birth certificates or passports for all pertinent personnel must be submitted to the ECO for license determination. The TCP includes a description of what is to be protected and how, project work location, list of project personnel. The funding sponsor may require prior written approval of a foreign national’s participation. If a license is
required, the application can take from two weeks to six months to obtain. If it is ITAR related, a license typically costs a minimum of $1500.

A signed TCP must be in place before work begins, and any subsequent changes affecting the TCP must be reported to the Export Control Office. Note: Even if a project is not export controlled, the equipment used in the project may be. In this case a departmental TCP is required and everyone with access to the equipment must sign a Letter of Assurance (LOA). In addition, an export-control license may be required for some personnel.

When purchasing new equipment it is the PI’s responsibility to determine if the equipment is export controlled. The supplier or Purchasing will be able to assist you. If there are any questions on new or used equipment, contact the ECO.

If any changes to a TCP-controlled project occur during its lifetime (project sponsor, duration, personnel, location, equipment, etc.), notify the Export Control to revise or close out the TCP as applicable. The work site will be audited for TCP compliance during the project.

For more information on Export Control see the web site: http://research.unm.edu/exportcontrol/.
CLASSIFIED RESEARCH/INDUSTRIAL SECURITY DEPARTMENT

Some proposals or Intergovernmental Personnel Agreements (IPA) contain special security requirements or may require security clearances for classified work. The following terms are indicators of security requirements:

- OPSEC plans
- COMSEC
- NATO
- FOUO
- DD Form 254
- DTIC, RD
- FRD
- CNWDI
- Special Access Information
- Tempest Requirements
- Transportation of Classified Material
- Visit Authorization Letters (VAL)

Note: UNM does not have facilities for classified projects on any campus. UNM obtains and maintains clearances for personnel who will be working off-site at cleared facilities.

Foreign Travel

Anyone traveling outside the continental US on an export-controlled or classified project or traveling to an embargoed country must:

(1) Contact the Industrial Security Office with a list of personnel, equipment, destination, and purpose, and

(2) Attend a pre- and post-travel briefing

Foreign travel briefings are provided by the Industrial Security department by request to any UNM faculty, staff, or students--traveling either on UNM business or vacation.

Note: that foreign travel often requires prior written authorization from the sponsor and conference presentations may require prior sponsor review before release.

When to Contact Industrial Security

Contact Industrial Security if there is a need for the following:

- Security clearances
- OPSEC plan
- VAL (to a government site or base)
- DTIC access
The Industrial Security department also provides a variety of training to all UNM faculty and staff. Topics include: DOD/DSS training, international travel security for faculty, staff, and students; cyber security; social networking security issues; and workplace violence.

Contact Industrial Security for customized training or check standard courses: http://research.unm.edu/industrialsecurity/
Human Subjects: Institutional Review Board (IRB)

Protection of Human Subjects Used In Research

Research that involves human subjects, whether it is clinical or involves a survey or interview cannot begin until a research protocol is reviewed and approved (or, if applicable, exempted) by one of the Institutional Review Boards (IRBs). IRBs are managed through the UNM Human Research Protections Office (HRPO). Failure to comply can result in serious consequences for the principal investigator and for UNM. More importantly, non-compliance can potentially risk harm to participants. The issues that are of concern, based on prior infractions by researchers, include:

- Violating research subjects’ rights to privacy, confidentiality, and informed consent;
- Causing undue burden and harm to participants’ health (mental and physical);
- Lack of ensuring the benefit of the research to society, and not adhering to special protections for vulnerable populations.

IRBs consider all of these factors, as well as the potential risks to investigators and their research personnel.

The regulations and guidelines governing all human subject research must comply with: 1) the Code of Federal Regulations – 45 CFR 46.101 et seq., 2) the Declaration of Helsinki, 3) regulations of the U.S. Department of Health and Human Services Office of Human Research Protections, and 4) the Belmont Report. These are used by IRB members to review all IRB protocol applications. The Belmont Report is especially fundamental, summarized by its three ethical principles:

- Respect for persons (autonomy, informed consent, and no deception in research).
- Beneficence, specifying "do no harm" while maximizing benefits for the research project and minimizing risks to the research subjects.
- Justice to ensure reasonable, non-exploitative, and well-considered procedures administered equally and fairly, in terms of costs and benefits to research participants.

The UNM HRPO website provides detailed information about how to submit research protocols, including which category (exempt, expedited, or full review) a study may fall under. HRPO staff members conduct workshops and provide assistance one-on-one in preparing and submitting applications. Protocol that involve social, behavioral, or educational techniques research are reviewed by the Main Campus Institutional Review Board (IRB) while research projects that involve Main Campus biomedical studies or medical studies of clinical trials or any study initiated on the Health Science Center campus are reviewed by one of the HSC IRBs. These are known as Human Research Review Committees (HRRC). Protocol approvals can take time (32 days on average, but the actual time depends on the complexity and completeness of applications). Approvals are not automatic and protocols are carefully reviewed. Once approved, protocols are active for only one year, and must be renewed annually if the project is to be conducted for more than one year.
The PI is responsible for all aspects of the study and for ensuring compliance with HRPO requirements. Additionally, if a procedure changes, or there are changes to the consent form, the PI must submit these changes or modifications through the HRPO for IRB approval prior to continuing the study. This includes proper training of the PI or other research personnel and any kind of unexpected incidents during the study.

Prior to the expiration of the approved protocol, PIs should submit a report on their activities of the past year and, if the plan is to continue the project, complete a continuation form. Submit both in enough time so that review and approval will be completed in time for research to continue without interruption. No research can be conducted (initiated or continued) on human subjects without an approved, active protocol, and no results of research can be used in publications or presentations or reports if conducted without an approved, active protocol.

Work closely with the HRPO staff, consulting with them about any questions or issues during all stages of a research protocol, whether it is new, ongoing, or at the close of the study. As long as PIs take responsibility for their research, strive to be in compliance and conduct themselves ethically, working with human subjects can be very rewarding and result in a productive research career. For more information, see the HRPO website at http://hsc.unm.edu/som/research/hrcc/index.shtml.
ANIMALS: INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC) AND OFFICE OF ANIMAL CARE COMPLIANCE (OACC)

Protection of Animals Used in Research

Research that involves the use of vertebrate animals cannot begin until the protocol (the research plan) is submitted to the UNM Office of Animal Care Compliance (OACC), and then reviewed and approved by one of two UNM Institutional Animal Care and Use Committees (IACUC). The review process by the IACUC is guided by the Mission Statement of the OACC and IACUC to abide by the three R’s: (1) Reduction – can fewer numbers be used? (2) Replacement – can alternate models be used such as in vitro or computer models? And (3) Refinement – can the pain category be reduced, can procedures be changed to cause less distress? The primary issues that concern OACC and IACUC are humane treatment and responsible use of animals, and maintaining their wellbeing and habitat; and safety, proper training and medical clearance of personnel handling animals in research.

Federal Regulations on Animal Protections

The federal regulations that research institutions and principal investigators are legally obligated to comply with on all research projects (whether funded or not) that involve animals include: 1) The Public Health Service (PHS) under the Department of Health and Human Services regulates vertebrate animal use as promulgated by the Heath Research Extension Act. The PHS Office of Laboratory Animal Welfare (OLAW) is responsible for monitoring institutional compliance of PHS Policy. OLAW relies on three primary documents for judging compliance: NIH Principles of Use of Animals, PHS Policy on Humane Care and Use of Laboratory Animals and the NIH Guide for the Care and Use of Laboratory Animals. The University also has an approved PHS Assurance document that defines our specific research program of care and oversight. 2) The U.S. Department of Agriculture (USDA) Animal, Plant Health Inspection Service (APHIS) has broad authority to regulate animal research as directed by the Animal Welfare Act. The University has a USDA registration and the USDA makes unannounced visits to inspect our program (protocols, IACUC records), animal research facilities and PI study areas.

The OACC website http://hsc.unm.edu/som/research/acc/ provides detailed information about how to prepare and submit research protocols, and how to report incidents and violations.

Principal investigators should contact OACC staff or the UNM Attending Veterinarian for answers to questions, for assistance with proposals, and to understand responsibilities. For ongoing vertebrate animal research, protocols must be amended prior to any significant changes, renewed annually (annual progress report) and resubmitted every third year with a new application. All changes, renewals, and resubmissions should be submitted in TOPAZ through the OACC for IACUC review and approval. PIs are encouraged to work with both the OACC, and the Attending Veterinarian to resolve any issues and to develop a strong team for the ethical and responsible use of animals in research.
HAZARDOUS BIOLOGICAL, CHEMICAL, AND NUCLEAR MATERIALS IN THE LAB

Biosafety in the Conduct of Research

Principal investigators who use biologically active hazardous materials in research must abide by various regulations and institutional policies that prescribe procedures for procuring, handling, and disposal of specific agents and substances. Procedures must be followed for the purchase of biosafety lab materials and training completed before one is to work with a number of biosafety operations, including: biological safety cabinet use, safe sharps container use, autoclave use and validation, and shipping and transporting infectious organisms. These and other common biological laboratory operations are discussed in detail on the Biohazard web site: http://hsc.unm.edu/som/biohazard/secure_index.cfm.

Institutional Biosafety Committee

UNM has an Institutional Biosafety Committee. Approval from the committee is necessary to ensure compliance with federal and state regulations and guidelines concerning research hazards and their potential adverse effects on the employees, the public, and the environment. Approval for use is required for the following types of bio hazardous agents:

- Recombinant and Synthetic DNA (rDNA) molecules integrated into living cells (human, vertebrate animals, and Biosafety Level 2 thru 4 microbes), used in in vivo and in vitro experiments.
- Microbial pathogens of humans of Biosafety Level 2 thru 4.
- Select Microbial Agents and Bioxotics that are listed as potential bioterrorism agents.
- USDA restricted microbial pathogens of domestic animals and plant crops.
- Xenotransplants to humans or Human Gene Transfer/Treatment trials.

The Institutional Biosafety Committee Approval process is available online at: http://hsc.unm.edu/som/biohazard/ibc.cfm

Disposing of Hazardous Materials

For hazardous material disposal, contact UNM Safety and Risk Services, which manages the disposal of all hazardous substances on campus.

BioInventory Requirements

The UNM BioInventory is used to rate and post the biosafety level of a UNM laboratory and to assign faculty accountability for all biologically active hazardous materials held on UNM campuses. All principal investigators must report any biological materials in their laboratories (including Biosafety Level 1 materials such as microorganisms), human, non-human primate or plant cell cultures or preparations, other potentially hazardous biological agents (such as animal or human sera or tissues), and certain
microorganisms or biotoxins with the potential for bioterrorism. Inventories must be filed annually with the Biohazard Compliance Office. Inventories must also be filed out when a laboratory or the biomaterials in them are moved to another location on campus; when acquiring new biomaterials; or when it is necessary to eliminate biological agents or toxins from the Bioinventory.

If any laboratory illness or incident involving BioInventory listed materials occurs, the PI must instruct the affected individual to immediately visit Employee Occupational Health Services or the Student Health Center for evaluation and appropriate medical follow-up. After regular business hours, the affected individual should visit the UNM Hospital Emergency Center. The PI must report the incident to the Biohazard Compliance Office by the next business day.

Safety and Risk Services to Assure Safe Conduct of Research

UNM Safety and Risk Services maintains vigilance and services for a very broad range of activities that impact research, academic life, and other campus activities. SRS staff are on call 24 hours a day, 7 days a week, to respond to safety situations. This includes responding to fire alarms, gas leaks, chemical spills, and accidents that require campus police or specialized safety officials to respond. Additionally, SRS is responsible for other areas of campus safety such as environmental affairs that produces the annual water quality reports, and EPA protection of natural resources, ergonomics, and industrial and chemical hygiene to protect employees' work environments (hearing protection, heat stress prevention, lead-based paint awareness, and fume hood use). Other areas of responsibility include indoor air quality, mold and moisture control, hantavirus cleanup, asbestos abatement, campus insurance, radiation safety in the use and the proper disposal of materials, staff training in the use of hazardous materials and defensive driving, employee accidents, and incidents of workers' compensation.

SRS utilizes the building coordinator system, has specialized staff, and works with the UNM Campus Police to maintain researcher, employee, and student health and safety. They also work to ensure the safety of participants at various events on University property, including at the PIT and at the football stadium, and other campus locations.

PIs who have questions can obtain more information about SRS services at http://srs.unm.edu. PIs should contact SRS to report incidences, or if they have questions about or need training on how to handle or dispose of hazardous materials.
RESPONSIBLE CONDUCT OF RESEARCH (RCR)

Responsible Conduct of Research (RCR) is the practice of scientific investigation with integrity. RCR involves awareness and application of established professional norms and ethical principles in the performance of all activities related to scientific research. Inclusive of most of the professional activities essential to a research career, RCR components are increasingly coming under regulatory scrutiny, and are also principles and practices strongly supported by the University.

RCR content areas include:

- Conflict of interest and commitment.
- Ethical use of human and animal subjects in research.
- Authorship and publication.
- Data acquisition, management, ownership and sharing.
- Peer review.
- Mentoring and mentee relationships.
- Research misconduct policies and whistleblower ethics.
- Collaborative research (including research with industry).
- The scientist as a responsible member of society.

The importance of conducting research responsibly has increased with respect to federally funded research. In 2007, the America Competes Act was passed that included SEC. 7009: Responsible Conduct of Research which states: “The Director shall require each institution that applies for financial assistance from the Foundation for science and engineering research or education describe in its grant proposal a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers participating in the proposed research project."

In keeping with this legislation, UNM’s Scientific Integrity Plan (SIP), available from the UNM Responsible and Ethical Conduct of Research Program, details what every principal investigator at UNM must follow before submitting a research proposal to the National Science Foundation (NSF) or to the National Institutes of Health (NIH) for funding.

As of January 2010, all NSF and NIH proposals must be certified by UNM before the proposal is submitted to the agency. This certification attests that the principal investigator will follow a plan of RCR training for project personnel to be completed within one year from when funding is received. Certifications will likely become necessary as well for submissions to other federal agencies in the future.

UNM’s Responsible and Ethical Conduct of Research Program has made available a variety of resources to assist principal investigators in meeting RCR requirements in accordance with federal guidelines and the University plan. Resources include a variety of educational opportunities including symposia, workshops, and academic courses. RCR instruction can also fit within existing courses or professional development seminars.
For more details on RCR instructional opportunities or requirements for certification in the Responsible Conduct of Research, please contact the Responsible and Ethical Conduct of Research Program http://research.unm.edu/researchethics.
GRANTS, CONTRACTS, AND GIFTS

Sponsored funding can take the form of a grant, contract, cooperative agreement, or a gift. It is important to understand and clearly distinguish between various types of awards, as the processing for each is quite different. Below is a description of each type.

**Grants**

Through awards of funding, property, services, etc., grants enable the PI to achieve some specific goals that fit within the context of the general objectives of the sponsor. Acceptance of a grant obligates the PI and UNM to terms and conditions specified by the funding opportunity, the project as outlined in a proposal, and the policies of the funding agency. This type of agreement has the fewest restrictions on the PI and UNM of any sponsored project.

**Contracts**

The distinct characteristics of a contract are that it emphasizes and is limited to the purposes and goals of the sponsor through the acquisition of property or services. The contract establishes and describes the rules of the relationship between the parties, setting forth the rights and responsibilities of UNM and the PI in an effort to meet the needs of the sponsor. If the contract involves federal funds, the contract (or subcontract) will also be subject to Federal Acquisition Regulations (FAR), DEARS (for DOE), or DFARS (for DOD). Please note that a solicitation for a contract is similar to that of a grant, and occasionally, a funding agency will opt to use a contracting mechanism instead of a grant award to fund a project.

*Note: If a solicitation includes terms for a draft contract to be awarded, immediately contact your Contract and Grant Administrator in Pre-Award. These individuals can review the contract terms of the solicitation in parallel with the preparation of the proposal.*

**Common Types of Contracts**

A contract is a binding legal document that may be issued by industrial sponsors, educational institutions, or by federal, state, or local governments. A contract involves a set of PI responsibilities that are articulated in a detailed Statement of Work, with the expectation that the PI will complete the stated deliverables, meet the cost limits and conditions of the budget, meet the stated schedule, submit interim and final reports (as applicable), and approve invoices and effort reporting. A contract requires the signatures of all parties (with UNM, not the PI, as the co-signatory) for both the initial award and for any subsequent modifications. In no instance can a PI from main campus or any branches sign or co-sign an acceptance of terms and conditions on behalf of the Regents of UNM.
Contracts are identified by various names, including:

- Basic Ordering Agreement
- Collaborative Agreement
- Confidentiality or Non-Disclosure Agreement (C/NDA)
- Consulting Agreements (CA)
- Cooperative Research and Development Agreement (CRADA)
- Industrial Sponsored Research Agreement (ISRA)
- Inter-Agency (or Intergovernmental) Personnel Agreement (IPA)
- Joint Powers Agreement
- Material Transfer Agreement (MTA)
- Memorandum of Agreement (MOA)
- Memorandum of Understanding (MOU)
- Professional Service Agreement
- Small Business Innovation Research (SBIR)
- Small Business Technology Transfer (STTR)
- Subaward Agreement (SA)
- Teaming Agreement
- Testing Services Agreement (TSA)

See the Glossary for more details on the following: CA, C/NDA, IPA, ISRA, MTA, and SA. FRSOs and CGAs in Pre-Award can provide clarification.

Contracts can be funded (such as research agreements, Inter-Agency Personnel Agreements, and incoming subawards) or unfunded (such as Material Transfer Agreements or Non-Disclosure Agreements). The most common types of funded contracts are cost-reimbursable contracts, which are based on an initial estimate of costs and paid as work is completed. Fixed-price contracts involve a single price for the stated scope of work, but can be invoiced at agreed upon intervals. Most of UNM’s contracts are cost-reimbursable, and involve the requirement to notify the sponsor when funds are nearing depletion. The project is then either extended by a contract modification for additional funding, scope or time, or the project is closed if all deliverables have been submitted at the end of the project. A cost-reimbursable contract is sometimes audited during implementation, but more typically, after the project has ended.

Important Note: Any contract committing UNM’s resources or personnel must be signed by a duly authorized individual at the University. The Office of the Vice President for Financial Services has primary responsibility for signing funded contracts or grants for the University.

Cooperative/Collaborative Agreements

Though similar to a grant, a cooperative agreement has statutory criteria that allow sponsoring agencies to have substantial involvement with the recipient in project planning and implementation. This feature in some instances will result in the award being more like a contract than a grant. Therefore, the PI will not have as much flexibility in making research-related decisions as with a grant.
Gifts

A gift is not a sponsored project, but a donation or charitable contribution. It can be cash or property or equipment, and is unrestricted for accounting purposes, as opposed to grant and contract funding which is restricted. The UNM Foundation has published rules (Gift Acceptance Policies and Procedures) for accepting equipment and property. The donor retains no rights to the outcome of the use of the gift beyond knowing that it was used as designated, and the gift can be designated to support faculty or staff projects and programs. All gifts must be processed through the UNM Foundation.

The Difference Between Grants and Gifts

Grants are usually distinguishable from donations or charitable contributions by the following characteristics:

• Funds are given to the University in response to a proposal submitted by the investigator.
• The sponsor has specific submission guidelines, forms and formats.
• The sponsor requires interim and/or a final technical and/or financial report.
• The sponsor has rules, regulations, and/or terms and conditions that govern how funds are to be spent or how the project must be managed.
• Any unspent funds are to be returned to the sponsor.

Also grants, unlike gifts, typically have regular funding cycles and budget periods.

As it may not be obvious at the time the proposal is written whether the sponsor will give a gift or a grant, the applicant is encouraged to submit the proposal through Pre-Award with the paperwork uploaded as a Cayuse424 entry, and obtain the appropriate approvals for submission. If the award is in the form of a donation, the award will be set up and administered through the UNM Foundation.

Signature Authority for Awards

PIs do not have signature authority to sign contracts or grants for UNM (UNM Business Policies and Procedures Manual Policy 7.8, “Signature Authority for Contracts”). Sponsored projects are awarded to the institution. UNM, as the applicant institution, is responsible for strict accounting of the use of the awarded funds. Funds may not be used for any other purpose than that agreed to in the contract, grant, or cooperative agreement. Transfers cannot be made between contracts or grants. Funds are, therefore, “restricted” to a specific account or index code. Funding methods may vary by sponsor for multi-year projects. However, most contracts or grants awarded for the project period are funded annually in specified increments in accordance with the award agreement and/or the sponsor’s policy. Please note that annual increments are contingent upon the PI showing progress in achieving the proposed project goals and objectives by submitting reports or deliverables, as agreed upon, to the funding agency.

Note: Any circumstance in which a PI encounters a solicitation for a contract with (a) specific terms and conditions, and/or (b) forms or documents (such as non-disclosure or material transfer agreements) that require signature, the PI must contact Pre-Award immediately.
INTELLECTUAL PROPERTY

In the course of conducting University-administered activities, faculty, staff, and students often create intellectual property that may be protectable by patent, copyright, or other means. UNM encourages the treatment of such property in ways beneficial to the creators of such property, as well as to the University, and the public. Faculty Handbook E-70 Intellectual Property Policy, governs the ownership, utilization, and commercialization of intellectual property (IP) at UNM. This information is specifically focused on intellectual property developed under sponsored research projects.

**Disclosing Inventions**

*PIs are required to disclose inventions to UNM under agreements sponsoring and facilitating research, projects and creative works.*

To assure UNM’s ability to comply with obligations arising under federal laws or in sponsored agreements, faculty, staff, and students participating in sponsored research are required as a condition of such participation to file disclosures for any invention or discovery that was made during the course of their University activities.

The principal investigator for a sponsored research grant or contract is responsible for:

- Assuring that an invention disclosure form [LINK HERE] is filed for any such discovery.
- Providing complete and accurate information as required on the form.
- Transmitting the form to STC.UNM, UNM’s dedicated technology transfer group.

**Preserving Intellectual Property**

*PIs must obtain signatures from all appropriate non-UNM personnel to preserve intellectual property rights on a project.*

Principal investigators should remember that they may not obligate the intellectual property of non-UNM personnel unless such personnel have signed an intellectual property agreement prior to commencing work. While signatures may not seem important at the time a grant or contract is being processed, and may be far removed from the actual making of an invention or creation of other intellectual property, in fact they are very important. Failure to obtain such signatures may lead to a lawsuit for breach of contract and may also jeopardize patent or copyright, or other types of intellectual property protection.

*PIs must be careful not to enter into personal agreements with third parties where IP rights are implicated.*

Frequently faculty will be asked to sign agreements in their personal capacity for consulting or other outside services. Read these agreements carefully as they may contain provisions that affect the ownership of intellectual property rights, or even require that those rights be assigned to such third parties. If the consulting project involves the use of UNM funds, facilities (labs), equipment or personnel
(students) (UNM Resources), it is more properly categorized as a sponsored research project and the intellectual property rights will belong to UNM. Third party sponsors should be made aware that any significant use of UNM Resources in the development of intellectual property will vest ownership in UNM.

Commercializing Intellectual Property

Pls will receive royalty payments from commercialization of any UNM intellectual property.

Royalties received from commercialization of UNM intellectual property by STC.UNM shall be divided as follows (after recouping unreimbursed costs):

- Forty percent (40%) to be divided equally (unless otherwise unanimously agreed to and represented on the submitted invention disclosure form) among the creators;
- Forty percent (40%) to STC.UNM; and
- Twenty percent (20%) to the University to be invested and administered by the Vice President for Research and Economic Development, generally in amounts consistent with the source(s) of the UNM intellectual property. Accrued revenues will be used, in consultation with faculty, to support University units involved in ongoing research, creative and educational pursuits relevant to commercialization efforts or will otherwise be administered as required by sponsor(s).

Assigning Intellectual Property Rights

Pls must assign to UNM rights to inventions conceived under federal funds or under sponsored research agreements.

If an invention is funded in whole or in part by a federal agency, the principal investigator must assign rights of the invention to the University. The protection and commercialization of such intellectual property is handled by STC.UNM, and the principal investigator must cooperate and assist in the efforts to secure intellectual property protection and to pursue commercialization by executing all appropriate legal documents, including assignments, to establish the University's legal rights and comply with sponsor requirements.

Pls must not assign rights to an invention, or license commercial rights to such invention, to any sponsor directly.

Under federal law, UNM is prohibited from assigning ownership rights in federally funded inventions to third parties, except in the case of its technology transfer office where assignment is allowed (Bayh-Dole Act). Under the private business rule, UNM is restricted in its ability to assign ownership of non-federally funded inventions to external sponsors. UNM is permitted to grant external sponsors a non-exclusive, royalty free, internal research license, and an option to negotiate a commercial license with STC.UNM. If an invention covered by a third party agreement was supported with federal funding, the company may only receive such rights, as consistent with obligations under federal law.
In any agreement with an external sponsor, the PI must consider existing obligations, funding sources, and background intellectual property (intellectual property that is already in existence usually in STC’s portfolio). This is especially important where the agreement under negotiation is for research that has the same or similar purpose as research conducted using personnel or resources that are funded, however minimally, by another sponsor. Failure to reconcile potentially conflicting claims regarding intellectual property may result in a lawsuit for breach of contract or infringement against UNM, and damage to the professional reputation and credibility of the principal investigator. It is incumbent upon the PI to disclose all funding sources when filing an Invention Disclosure Form with STC.UNM.

The principal investigator should be careful to not commit any background intellectual property (BIP) as part of a proposal without first consulting STC.UNM. STC.UNM can begin the process of negotiating a license for such background IP to the extramural sponsor.

**Avoiding Conflicts**

*PIs need to review proposals and third party agreements for conflicting obligations.*

When developing proposals, the PI must carefully consider any concurrent and previously funded projects, as well as any individual agreements, such as a consulting agreement, that he/she may have.

The principal investigator should not knowingly develop a project proposal in which the subject matter would create a conflict regarding intellectual property rights previously licensed. If background intellectual property is necessary for the proposal to proceed, contact STC.UNM immediately to begin the process of negotiating a license to such BIP. UNM cannot grant an exclusive license to one party and non-exclusive to others for the same intellectual property. If an invention covered by a third party agreement was supported with federal funding, the company may only receive such rights, as consistent with obligations under federal law.

Revised April 27, 2012
SPACE ALLOCATION

Any need for new or additional space required to fulfill the statement of work as proposed in a proposal must be discussed and approved by appropriate administrative personnel in advance of proposal submission to the funding agency. Commitments cannot be made for space not assigned to the researcher without full approval from all necessary levels, which include the department chair, dean and/or director, and in some cases the UNM Space Allocation Committee.

UNM’s Space Management, division of Planning and Campus Development, gathers information associated with the University’s space inventory, utilization, and floor plan databases with the coordination of departmental space administrators. Space Management is the primary access point for the distribution of the data to internal and external user for various reporting needs. They have recently implemented a new system, FAMIS, to increase the utilization and availability of data to the users. For more information, visit: http://iss.unm.edu/PCD/SM/index.html
CHANGES TO EXISTING AWARDS

No-Cost Extensions

Due to unforeseen delays in the start-up of a grant, it may be necessary to request a no-cost extension (NCE). A no-cost extension assumes the PI has the funds available to extend the period of performance/project period within the approved budget. A request for an extension should be directed to Pre-Award as soon as the PI is aware a no-cost extension is necessary. Some funding agencies may require three months notification prior to the period of performance end date.

Process:

- PI determines that a NCE is necessary.
- PI completes the Request for NCE and submits to his/her assigned Contract & Grant Administrator (CGA).
- CGA determines if the funding agency has granted UNM authority to extend the period of performance without their specific approval. If so, the no-cost extension will be processed and sent to Contract & Grant Accounting to extend the end date in the Banner accounting system.
- If the CGA determines funding agency approval is required, the CGA will sign/countersign the request and submit to the agency.

Note: When requesting a NCE on a subaward, the request for NCE must be submitted to the institution-agency that has issued the subaward, NOT directly to the prime awarding agency.

EXAMPLE Timeline for Requesting No-Cost Extensions:

![Timeline Diagram]
<table>
<thead>
<tr>
<th><strong>National Science Foundation (NSF)</strong></th>
<th><strong>National Institutes of Health (NIH)</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Grantee Approved NCE</td>
<td>NSF Approved NCE</td>
</tr>
<tr>
<td>2. Indicate Revised End Date</td>
<td>2. Indicate Revised Expiration Date</td>
</tr>
<tr>
<td>3. Provide Justification</td>
<td>3. Indicate Remaining Funds</td>
</tr>
<tr>
<td>4. Save &amp; Forward to SRO</td>
<td>4. Provide Justification &amp; Plan to Spend Unobligated Funds</td>
</tr>
<tr>
<td>5. SRO (UNM CGA) will be notified of extension.</td>
<td>5. Save &amp; Forward to SRO</td>
</tr>
<tr>
<td>6. CGA will process in order to update in Banner.</td>
<td>6. SRO (UNM CGA) will submit request to NSF</td>
</tr>
</tbody>
</table>
Transfer of Principal Investigator, Project, and Other Transfers

Once a PI with active sponsored projects determines he/she is leaving the University, the PI will need to take the steps necessary to initiate the transfer either from UNM or to the new institution.

Transfer of Principal Investigator from UNM to Another Institution

Sponsored research grants administered by the University are legally awarded to the Regents of the University of New Mexico but can usually be transferred with the principal investigator to another institution. The exception involves grants for public service or training projects which normally remain at the institution, and for which a new PI is assigned. Sponsored projects that are administered in the form of a contract will usually remain with UNM or the contract will be terminated to relieve UNM of any further obligation.

Funding agency guidelines usually direct the institution about how to transfer the grant, or alternatively, how to request the assignment of a new PI.

Once the PI’s departure date is known, notification to Pre-Award is required, to schedule a meeting to discuss active sponsored projects. The following list includes topics that will be discussed:

- All active funding projects (contract, grant, etc.) held by the PI.
- Effective end date of projects to be transferred (when spending ceases).
- Responsibilities of each party regarding the transfers.
- Develop checklist of responsibilities (meeting agency requirements, which can differ).

Transfer of Principal Investigator from Another Institution to UNM

Before a PI starts employment at UNM, it is necessary to schedule a meeting with the Pre-Award Contract & Grant Administrator assigned to the department. The areas to be discussed include:

- Assign responsibilities for each party.
- Identify the PI’s active sponsored projects to be transferred to UNM.
- List relevant background intellectual property and any compliance issues: IRB, animals, export control—and their status.
- Once employed, PI will obtain a NetID and register with UNM Electronic Research Administration (eRA) for access to InfoEd and Cayuse424, Genius, NIH, NSF, etc.
- PI must register and attend Grants Management Training.
Transfer of Project to a New PI at Same Institution

It may be necessary to transfer an ongoing or continuing project to another principal investigator if the original PI leaves the institution or is assigned different duties.

Process:

- Original PI notifies Pre-Award of the potential change in PI.
- Enter a record in Cayuse424 to document the change, and include the new PI’s department and PI Organizational Code.
- Prepare a request to the sponsor to include the following information: New PI name, Justification for the transfer of PI, Qualifications of new PI, and include a CV.

Route the Cayuse424 record to Pre-Award, with the Routing Chain to include the original PI and the department chair or dean, and the new PI and the department chair or dean in addition to the CGA at Pre-Award.

- Pre-Award CGA will submit to the relevant sponsor for approval.

Internal Transfer of PI to a New College/Department/Center

In order to transfer proposals and awards from one college/school/center within the University to another, the principal investigator must complete the following steps:

Process:

- Enter a record in Cayuse424 indicating the transfer of the PI to the new unit.
- Route the Cayuse424 record to Pre-Award, with the Routing Chain to include the original department chair or dean and the new department chair or dean in addition to the CGA at Pre-Award.
- Both units will make the necessary changes and advise if any other notifications of the funding agencies are required.

Transfer of Equipment Purchased with Funding from Expired Awards

- This category includes all equipment that was not purchased with an active sponsored grant, which the principal investigator would like to transfer to the new institution. The University may allow the transfer of other equipment under certain circumstances. As a state educational institution, the University is not allowed to relinquish title to equipment without compensation and approval of the Board of Regents.
- Requests to transfer equipment not covered by an active federal sponsored grant should be routed first to the chair or director for approval. The request should also detail the means of determining the current market value (usually by independent appraisal, i.e., by a certified
appraiser) of the equipment and proposed method of payment by the new institution. The independent appraisal should be paid for by the new institution/organization.

- If the equipment is needed in the department, the chair or director has the right to disapprove the request. If the chair or director approves the request and concurs with valuation of the equipment, the request should be forwarded to the Pre-Award office. After Pre-Award approves the request, it will be submitted to the Vice President for Business and Finance, who will arrange to have it presented to the Board of Regents at its next regularly scheduled meeting. Until a request is approved by the Board of Regents and payment documents have been received, the equipment cannot be legally removed from the University.
AUDITS

The Role of Internal Audits

The Regents of the University established the Internal Audit function to perform comprehensive audits of the diverse records and operations of the University. The Internal Audit Department can assist UNM administrators and principal investigators by:

- Evaluating processes used in administering sponsored projects. The goal of this evaluation is to give advice on process weaknesses which might lead to non-compliance with the contractor’s/funding agency’s requirements and/or University policies.
- Conducting independent audits of sponsored project activity for compliance with applicable policies, laws, and regulations.
- Providing reports on the results of these evaluations and reviews, which will include recommended methods to improve processes. Where appropriate, these results will also be reported to the Audit Committee of the Board of Regents, the funding agency, the State Auditor’s Office, and law enforcement.
- Providing consulting services and being available for PIs to obtain advice or guidance on individual sponsored project issues.

Note: The policy on Internal Auditing can be found in the Board of Regents’ Policy Manual, Section 7.2 and 7.3.

External Audits, Reviews, Site Visits, or Investigations

As a recipient of government funds, the University is responsible for stewardship of these funds. Therefore, UNM is subjected to frequent visits by sponsoring agencies as well as an annual external audit per OMB A-133 compliance. The purpose of sponsor site visits varies, from providing oversight and technical assistance, to ensuring compliance and achievement of stated goals. Unfavorable outcomes resulting from these reviews could result in disallowances of claimed costs, termination of an agreement, and/or the awarding of future contracts or grants based on failing to fulfill UNM’s contractor responsibilities.

All audits, site visits, reviews, or investigations initiated by the sponsoring agency should be routed through Contract and Grant Accounting. If a PI or department is notified by a sponsoring agency of an impending financial audit or investigation, they need to immediately contact Contract and Grant Accounting and the Office of the Vice President for Research. An entrance meeting will be scheduled with the controller to discuss the scope and nature of the audit or investigation.
**Financial Compliance Audits**

The scope of a financial compliance audit is usually based on compliance with sponsoring agency regulations and guidelines as stipulated in the sponsored agreement (FAR’s and OMB Circulars A-21, A-110, and A-133). An annual audit is conducted by an external firm separate from sponsors and UNM. External audits are a Federal requirement (OMB A-133) and include a review of: internal controls, expenditure supporting documentation, procurement, property control, fiscal management, and University business policies and procedures, etc. The samples tested are selected at random for both Main Campus and the Health Sciences Center.

**Site Visits**

The main focus of a site visit is usually related to technical/programmatic progress and issues, or a review of a prospective funding award (such as for a training grant or for establishing a Center) to answer questions regarding institutional capacity, PI credentials and ability, and validity of claims made in the proposal. A site visit could involve financial processes as well. A site visit is usually performed by the program office of the sponsoring agency.

**Investigations**

The focus of an investigation is generally a response to potential or actual fraud or misconduct in research. The funding agency becomes aware of the potential or actual fraud or misconduct through a whistle blower or a university internal audit. An investigation is usually conducted by an auditor or through the agency’s investigator office or Office of the Inspector General.
APPENDICES

Appendix I – Quick Facts and Frequently Required Information

Appendix II – Proposal Checklists for PI

Appendix III – Roles and Responsibilities

Appendix IV – Acronyms
# APPENDIX I
QUICK FACTS AND FREQUENTLY REQUIRED INFORMATION

<table>
<thead>
<tr>
<th>Legal Name for Contracts:</th>
<th>Regents of the University of New Mexico</th>
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<tbody>
<tr>
<td>Designations and Rankings:</td>
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<td>Disclosure submitted June 1997</td>
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<td>Office of the Vice President for Research MSC01 1247 1 University of New Mexico Albuquerque, NM 87131-0001</td>
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<td>Persons authorized to sign proposals:</td>
<td>Contract and Grant Administrators, Associate VP for Research Administration, VP for Research</td>
</tr>
<tr>
<td>Person authorized to sign non-funded agreements and contracts with export control:</td>
<td>Julia Fulghum, VP for Research MSC05 3480 Scholes Hall Room 327 1 University of New Mexico Albuquerque, NM 87131-0001</td>
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<td>Primary person authorized to sign and accept contracts:</td>
<td>Ava J. Lovell, Vice President Financial Systems UNM Business Center 1700 Lomas Blvd. NE, Suite 3100 The University of New Mexico Albuquerque, NM 87131-0001</td>
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| **All payments should be mailed to:**   | Contract and Grant Accounting Office  
|                                          | MSC01 1245  
|                                          | The University of New Mexico  
|                                          | Albuquerque, NM 87131-0001 |
| **Cognizant Federal Agency:**           | Department of Health and Human Services  
|                                          | 1301 Young Street, Room 732  
|                                          | Dallas, Texas 75202  
|                                          | Phone: (214) 767-3261  
|                                          | Fax: (241) 767-3264 |
| **Congressional District:**             | NM-001 |

*Despite the negotiated rate agreement with the federal government for various categories of sponsored activities, all projects which are "off campus" are capped at a 26% F&A rate as mandated by Congress & OMB.*
APPENDIX II
PROPOSAL CHECKLISTS FOR PI

Pre-Award

__Identify Funding Source

__Alert department/college and Pre-Award of plan to submit proposal

__Contact FRSO

__Create Proposal on Cayuse424

__Prepare/Upload Budget and Budget Justification

__Complete/Upload Special Documents
  __Budget Spreadsheet
  __Conflict of Interest
  __Cost share Form
  __Export Control
  __F&A Split Form
  __Guidelines for Solicitation
  __PDF of Application for non-Grants.gov proposals

__Complete forms for IRB, IACUC, Biosafety approvals

Post-Award

__Complete Award Budget Sheet

__Secure approvals for IRB, IACUC

__Renew IRB and IACUC protocol approvals

__Close out IRB, IACUC and agency projects
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<th>UNM as Lead PROPOSAL CHECK LIST</th>
<th>UNM as SubcontractOR PROPOSAL CHECK LIST</th>
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<td>Export control form?</td>
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<tr>
<td></td>
<td>Correct routing?</td>
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Roles and Responsibilities: Principal Investigators

The principal investigator is responsible for adhering to the University of New Mexico policies and procedures for completing the technical requirements and handling the day-to-day administration of the project as proposed to the funding agency. It is essential to assess the PI’s ability to execute the project—not only to determine capabilities and expertise, but to consider essential questions such as availability of staff, safety and security requirements, equipment, time, and other institutional support, including financial commitments.

The principal investigator will receive a complete copy of the award document from Pre-Award. The PI is responsible for reviewing the award document thoroughly for agency requirements and is responsible for compliance with all agency regulations including proper expenditure of funds and meeting required obligations. If the PI receives the original of the award document directly from the funding agency, it must be delivered immediately to Pre-Award. Contracts or grants may only be signed and accepted for the University as delegated by the President. Delegations are shown in the UNM Business Policies and Procedures Manual, Policy #2010 – Contract Signature Authority and Review [http://www.unm.edu/~ubppm/ubppmanual/2010.htm](http://www.unm.edu/~ubppm/ubppmanual/2010.htm). For the main and branch campuses, contracts and grants are signed by the Vice President for Finance.

The PI’s responsibilities include:

**Proposal Preparation and Submission**

- Reviews requests for proposals for technical requirements.
- Prepares Technical Proposal.
- Assures proposed project is appropriate and in-line with departmental and institutional mission (with Department Chair).
- Assures proposed project has qualified personnel and adequate space (with Department Chair).
- Develops initial budget draft to accomplish proposed scope of work (with Department Chair).
- Requests and documents approval for cost sharing as required.
- Works with the Purchasing Office to develop Small Business/Minority Subcontracting Plan, as applicable.
- Prepares final version of proposal as required by the sponsor.
- Completes Proposal Summary in Cayuse424 and, as appropriate, uploads other required forms; Cayuse424 record routed electronically for approval. Provides proposal to Pre-Award 5 business days in advance of sponsor deadline.
Regulatory Compliance

- Prepares and submits protocols for research involving human subjects, animal use, and biosafety hazards.
- Ensures investigators are submitting protocols to appropriate compliance committee (with Department Chair).
- Responsible Conduct of Research
- Export Control

Award Negotiation and Establishment

- Agrees to all terms and conditions as they relate to performance clauses (frequency of technical reports, special professional staff hourly reporting, deliverables, and conditions of termination).

Managing the Award

- Initiates personnel transactions.
- Assures appropriateness, reasonableness and allowability of expenditures.
- Provides oversight of sponsored project administration including the review of cost transfers and effort reporting (with Department Chair and Contract and Grant Accounting).
- Reviews and certifies personnel activity reports.
- Initiates requests for re-budgeting and cost transfers.
- Requests no-cost time extensions.
- Approves payment of subawardee invoices.

Reporting and Award Close-out

- Prepares technical reports and provides other deliverables as required.
- Documents cost sharing funds as required.
- Responds to close-out questionnaire.
Roles and Responsibilities: FACULTY RESEARCH SUPPORT OFFICERS

Faculty Research Support Services (FRSS), a unit of the Office of the Vice President for Research and Economic Development, was established to help faculty, students, administrators and staff with efforts to obtain external funding.

Faculty Research Support Officers (FRSOs) can offer assistance in:

Finding Funding Sources Matching Research Interests and Project Development:

- Search for and publicize funding opportunities (including limited competitions) to relevant audiences.
- Provide guidance on funding opportunities to faculty members, regarding eligibility and what is needed.
- Develop prospect list of funding opportunities for PIs based on research needs.

Providing Expert Guidance on Funder Requirements:

- Clarify and interpret sponsor guidelines.
- Act as a liaison between PI and agency.
- Coordinate process for internal competitions for limited competition opportunities and provide feedback to preproposals submitted to internal competition.

Providing Assistance with the “Nuts And Bolts” of Proposal Preparation:

- Budget Preparation (F&A, fringe benefits, tuition, student insurance, etc.)
- Requesting and compiling required data for proposals.
- Assist with researching, preparing, and proofreading various sections of the proposals.

Navigating UNM’s Pre-Award Review & Approval Process:

- Initiate Cayuse424 process for new users and act as liaison between PI and Contract & Grant Administrator.
- Review proposal budget, budget justification and narrative (if requested) before sending to Pre-Award.
- Confirm that proposal meets sponsor and UNM requirements.
- Advise and assist PIs with completing and uploading required compliance forms, including: 1) Export control; 2) Conflict of interest; 3) Human Subjects Research/IRB; 4) Cost Share (determine qualified cost share, get data or estimates, explain need and requirements to department chairs); and 5) Other grant-specific forms (i.e., EPA discrimination complaint form needs University Counsel sign-off).
Navigating UNM’s Post-Award Process

• If grant is **awarded** and assistance is requested:
  
  o Assist PI with preparing a revised budget and budget justification and with uploading necessary documents.
  o Advise PI on Request to Spend Funds (RTSF).
  o Assist with re-budgeting requests after award.

• If a proposal was **turned down**:
  
  o Request reviewer’s comments.
  o Debrief with PI.
  o Determine feasibility of and next steps for resubmission.

Ongoing Training

• Provide training to the research community regarding changes to policies and regulations.
• Provide one-on-one regular trainings with PIs, graduate students, and other groups, training topics include:
  
  o Cayuse424
  o Pre-Award Process
  o Identification of Funding
  o Writing Successful Proposals
  o Graduate Student Funding

• **Other on-going** (or soon to be): Maintenance of FRSO and Limited Competition Websites, keeping all potential PIs and other interested parties up to date with relevant information to proposal development.
Roles and Responsibilities: Department/Unit and College

Department/unit support may vary depending on the size of the unit, the type of unit, and other factors unique to the administration of the individual unit. The department/unit may provide Pre-Award and/or post-award services. In general, the department may assist the principal investigator by providing:

Pre-Award Functions

- Assisting in the preparation of the cost proposal by confirming that:
  - the budget contains all costs required to perform the proposed research or project or set of activities;
  - all salary rates are correct;
  - the appropriate University rates have been correctly applied for fringe benefits, including health insurance and tuition, and F&A costs. Any cost sharing is properly documented, as required by policy, so it can be verified by Pre-Award. See Budget Worksheet.

- Ensuring that the electronic proposal is complete, including:
  - That all necessary parts of the proposal, including but not limited to research or project plan, budget, budget justification, terms and conditions, certifications and representations, letters of support, appendices and exhibits, are uploaded into Cayuse424.
  - That all required UNM internal forms such as the Summary Sheet, Award Budget Sheet, Budget Worksheet and Conflict of Interest forms are completed and uploaded into Cayuse424.
  - That a copy of the proposal guidelines (RFP, RFQ, BAA, etc.) is uploaded into Cayuse424.
  - That a scanned copy of any other supporting documentation or agreements related to the proposal, including signed subaward proposals, is uploaded into Cayuse424.

- Assisting the PI in obtaining the necessary internal UNM approvals in Cayuse424 for submission to Pre-Award in a timely manner.

- Assist PI with no-cost extensions, Request to Spend Funds or any other requests that need Pre-Award’s approval.

Post-Award Functions

- Ensuring signature authorization form is completed and returned to the Contract and Grant Accounting Office.
• Providing an up-to-date and monthly reconciled accounting of expenditures.

• Providing assistance in the preparation of any necessary forms and Banner functions to UNM central administration (i.e., Human Resources, Purchasing, etc.) for processing in accordance with the applicable policies.

• Completing inventory control and tagging requirements. Provide assistance in tracking and documenting cost sharing.

• Tracking and meeting report deadlines (i.e., technical reports, patent reports, effort certifications), including making certain appropriate copies are distributed according to the instructions contained in the award document.

• Assisting PI with submission of budget modification and carry-forward requests that go to Contract and Grant Accounting Office.

• Maintaining records of non-financial reports submitted by the PI.

• Assisting Contract and Grant Accounting Office with final close-out documentation. (http://www.unm.edu/~cgacctng/staff.html).

• Notifying Contract and Grant Accounting when auditors request to review university records.
Roles and Responsibilities: Pre-Award

Proposal Preparation and Submission

- Reviews requests for proposals for institutional compliance.
- Reviews budget for appropriate salaries, fringes, tuition, indirect, and escalations.
- Reviews and approves required and voluntary cost sharing.
- Approves proposal and serves as signature authority.
- Submits proposals as dictated by the sponsor.
- Negotiates MTA, NDA, and confidentiality agreements.
- Negotiates teaming agreements.
- Maintains proposal pending files and database.

Regulatory Compliance

- Assures compliance with federal regulations regarding financial disclosure of potential conflicts of interest.

Award Negotiation and Establishment

- Accepts awards on behalf of the Regents of the University of New Mexico.
- Negotiates award terms and conditions (publication restrictions, indemnification, intellectual property, governing law, payment terms, financial reporting requirements, and intellectual property).
- Establishes award funds in accordance with award documentation.
- Maintains award database.

Managing the Award

- Approves substantive modifications and re-budgeting.
- Reviews and approves requests for no-cost time extensions.
- Initiates subawards.
- Negotiates and administers all subawards.
Roles and Responsibilities: Contract and Grant Accounting

After the University has received and accepted an award, the Contract and Grant Accounting office will assist the principal investigator in the required Contract and Grant Accounting actions by:

- Setting up award budgets (to include indices) in the University financial system (Banner) to segregate the revenues and expenses unique to each project, including institutional funds committed to cost sharing requirements and any project program income and expenses.
- Emailing signature authorization form to the PI, collect and maintain in award file.
- Reviewing contractual terms and apprising the PI of special financial requirements.
- Overseeing financial transactions to ensure their compliance with award provisions, federal policies or guidelines; which includes timely transfer of expenses, and state and University regulations.
- Processing budget revisions.
- Generating effort certification reports and maintaining completed certifications by someone with first-hand knowledge, per Federal guidelines for University compliance.
- Complying with terms of the award to recover University funds expended on behalf of sponsored projects. Billings will be prepared as required by the award. Additionally, any financial reports required during or after the performance period will be prepared. Contract and Grant Accounting will follow collection procedures established by UNM policy.
- Preparing the interim and final financial reports. Submitting final financial reports, initiating other reports as required by the award and remaining closing documents (except the final technical report, which is the responsibility of the PI) that are required by the funding agency to complete the award. Award close-out must be done within 90 days of the budget period end date.
- Serving as a liaison with all federal and non-federal auditors. Contract and Grant Accounting works with PIs and their departments to review questioned costs as they relate to potential audit disallowances.
Roles and Responsibilities: Internal Audit

The Regents of the University established the Internal Audit function to perform comprehensive audits of the diverse records and operations of the University. The Internal Audit Department can assist UNM administrators and principal investigators by:

- Evaluating processes used in administering sponsored projects. The goal of this evaluation is to give advice on process weaknesses which might lead to non-compliance with the contractor’s/funding agency’s requirements and/or University policies.
- Conducting independent audits of sponsored project activity for compliance with applicable policies, laws, and regulations.
- Providing reports on the results of these evaluations and reviews, which will include recommended methods to improve processes. Where appropriate, these results will also be reported to the Audit Committee of the Board of Regents, the funding agency, the State Auditor’s Office, and law enforcement.
- Providing consulting services and being available for PIs to obtain advice or guidance on individual sponsored project issues.

Note: The policy on Internal Auditing can be found in the Board of Regents’ Policy Manual, Section 7.2 and 7.3.
APPENDIX IV
ACRONYMS

AAALAC – Association for Assessment and Accreditation of Laboratory Animal Care

ABS — Award Budget Sheet

AOR – Authorized Organizational Representative

ASM – Anderson School of Management
BAA — Broad Agency Announcement

BBER – Bureau of Business and Economic Research
CAGE — Commercial and Government Entity Code

CARC – Center for Advanced Research Computing
CAS — Cost Accounting Standards
CDA – Confidential Disclosure Agreement

CDC — Centers for Disease Control

CEC – Contractor Establishment Code

CFA – College of Fine Arts
CFR – Code of Federal Regulations

CGA — Contract and Grant Administrator
CGAO — Contract and Grant Accounting Office

Co-PI – Co-Principal Investigator

CoE – College of Education
COI — Conflict of Interest
CRADA — Cooperative Research and Development Agreement
DARPA — Defense Advanced Research Projects Agency
DCAA — Defense Contract Audit Agency
DFAR — Defense Federal Acquisition Regulation
DHHS — Department of Health and Human Services

DOD – Department of Defense

DOE – Department of Education or Department of Energy
DOJ — Department of Justice
DTIC — Defense Technical Information Center
DTRA — Defense Threat Reduction Agency
EPSCoR: New Mexico’s Experimental Program to Stimulate Competitive Research

ERA — Electronic Research Administration
F&A — Facilities and Administrative Costs (formerly IDC)
FAR — Federal Acquisition Regulation

FFATA — Federal Funding Accountability and Transparency Act
FICA — Federal Insurance Contributions Act
FOA — Funding Opportunity Announcement
FTE — Full-time Equivalent
GA — Graduate Assistant
GENIUS — Global Expertise Network for Industry, Universities and Scholars
GPSA — Graduate Professional Student Association

GSFI — Graduate Student Funding Initiative (OVPR, OGS, etc.)

HIPAA — Health Insurance Portability and Accountability Act of 1996
HRPO — Human Research Protections Office – IRB management

HRRC — Human Research Review Committee
HSC — Health Sciences Center
HSCFS — Health Sciences Center Financial Services

IACUC — Institutional Animal Care and Use Committee
IBC — Institutional Biosafety Committee
IDC — Indirect Costs (See F&A)
IPA — Intergovernmental Personnel Agreement
IRB — Institutional Review Board
IRS — Internal Revenue Service
ISRA — Industrial Sponsored Research Agreement
ITAR — International Traffic in Arms Regulations

LANL — Los Alamos National Laboratory
MTA — Material Transfer Agreement
MTDC — Modified Total Direct Costs
MOU — Memorandum of Understanding

NAICS — North American Industry Classification System

NCE — No-Cost Extension

NDA — Non-disclosure Agreement
NEA – National Endowment for the Arts

NEH – National Endowment for the Humanities
NIH — National Institutes of Health
NRC — Nuclear Regulatory Commission
NSF — National Science Foundation
OACC – Office of Animal Care and Compliance (IACUC Admin).

OAR – Organizational Authorized Representative = CGA

OGS — Office of Graduate Studies
OMB — Office of Management & Budget
ONR — Office of Naval Research

OSA – Office of Student Affairs
OSHA — Occupational Safety and Health Administration

OVPRED — Office of the Vice President for Research and Economic Development
PA — Project Assistant
PA — Program Announcement

PDF – Postdoctoral Fellow (in this document)
PDS Number — Internal Pre-Award tracking number
PI — Principal Investigator
RA — Research Assistant
RAC — Research Allocation Committee (Grants)
RAN — Research Administrators Network

RCR – Responsible Conduct of Research

RCS — Research Compliance Services
rDNA - Recombinant and Synthetic DNA - substances regulated by Biosafety

RDS — Research Development Services
REU — Research Experiences for Undergraduates
RFA — Request for Application
RFP — Request for Proposal
RFQ — Request for Quotation
RPT – Research, Project, Travel funding for Graduate Students

RTL — Research and Technology Law
RWJC – Robert Wood Johnson Health Policy Center

SAC — Science Advisory Council (HSC)
SAC — Special Administrative Component
S-CAP –Student Conference Award Program (S-CAP), sponsored by Career Services
SHEA — Safety, Health and Environmental Affairs

SIC – Standard Industrial Code
SMARTS — SPIN Matching and Researcher Transmittal System
SNAP — Streamlined Noncompeting Application Procedure

SOM — School of Medicine
SOMCP — School of Medicine Compensation Plan
SOW — Statement of Work
SPIN — Sponsored Programs Information Network
STC — Science & Technology Corporation (@UNM)
SRAC — Student Research Allocation Committee

TA — Teaching Assistant

TAG or TAS – Teaching Allocation Subcommittee Grants
TDC — Total Direct Costs
UBIT — Unrelated Business Income Tax
UBPPM — University Business Policies and Procedures Manual

UNMH — University of New Mexico Hospital
USDA — U.S. Department of Agriculture

USPS — United States Postal Service
VA — Veterans Affairs