UTSA CREATING BOLD FUTURES

Strategy for Post Award & Financial Support Services

Jaclyn Shaw, Interim Vice President for Research and Economic Development
Veronica Stoller, Assistant Vice President for Research Finance and Operations

Key Takeaway:

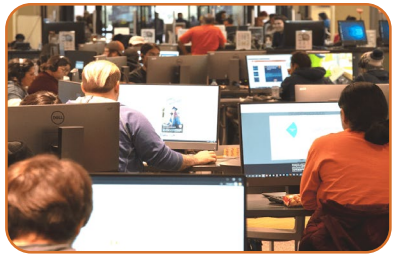
REDKE's Strategy is Improving Sponsored Programs Financial Management for:

Principal Investigators

- Improved timeliness of financial management
- A new services menu across REDKE and college
- A new Financial Reconciliation Summary

College BSCs

- Expanding expertise in research administration
- Reducing errors and adhering to budget limits through cross-training



REDKE Staff

- Surge capacity with Huron on site
- Automating processes and deepening staff knowledge
- Creating expert teams: collections, quality assurance, forensic accounting

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STRATEGIC RESEARCH DEVELOPMENT
Jaclyn Shaw
Email

- Federal Relations
- MarComms
- Proposal Development
- Partnership Development
- Seed and Travel Grant and Programs
- Targeted Scholarly Awards
- Faculty Development
- Limited Submissions
- C&I Support and Annual Reviews
- Events and Ext. Meetings

SPONSORED PROJECT ADMINISTRATION
Sandra Garcia
Email

- Research Service Centers (RSCs)
- Proposal Packaging and Submission
- Research Agreement Negotiation
- Non-Financial Agreements Negotiation
- Authorized Organization Reps to Accept Awards

RESEARCH FINANCE & OPERATIONS
Veronica Stoller
Email

- Operational Budgets
- Financial Services
- Human Resource Support
- Post-Award Administration
- Grants Contracts and Fiscal Services
- Research IT and Business Intel

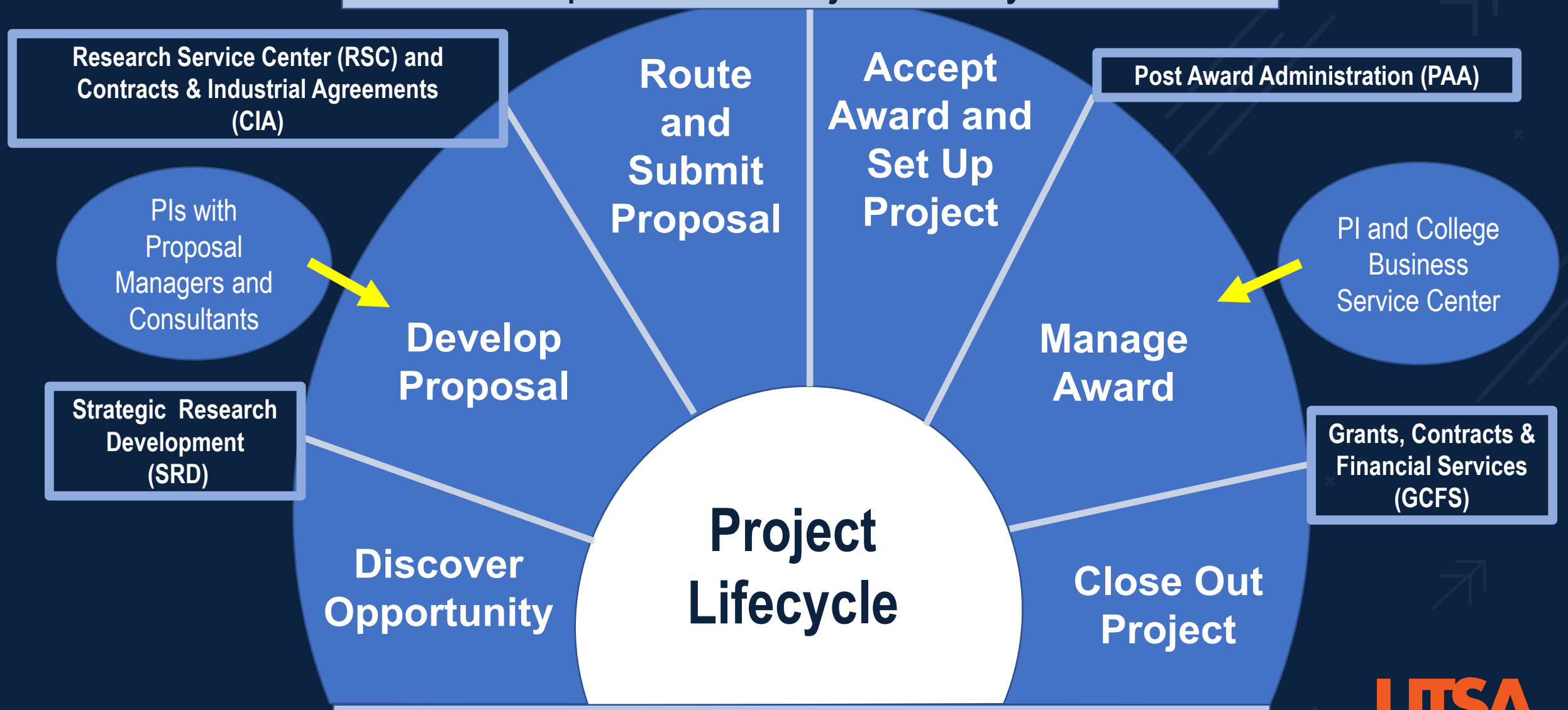
RESEARCH INTEGRITY & INFRASTRUCTURE SUPPORT
Michelle Stevenson
Email

- Research Integrity Officer
- Research Ethics
- Human Research Protections
- Lab Animal Welfare
- Lab Safety and Select Agents
- Research Security
- Conflicts of Interest in Research
- REDKE Research Core Facilities

INNOVATION & ECONOMIC DEVELOPMENT
Rod McSherry
Email

- University-Based Economic Development Serving Local, Regional, Natl, & Intl
- IP Commercialization and Management (patents, proof of concept, technology disclosures, customer discovery, etc.)
- Community & Business Engagement
- Economic Impact Assessments
- Innovation Ecosystem Dev.

Sponsored Project Lifecycle



Research Ethics and Compliance

Research Integrity

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Pre-Award Services
Leadership and Key Functions

Proposal Development Support Services

Dr. Dan Riechers
Sr. Director
Strategic Research

- Identifies funding, distributes funding opportunities across campus and manages the limited submissions processes
- Coordinates proposal development support services with College based Proposal Managers
- Supports faculty PIs with scholarly award applications, to include managing UTSA's Scholarly Awards Program
- Organizes teams for institutional level proposals and supports capture management efforts
- Coordinates external proposal contract services and external peer review services

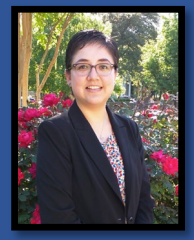
Research Service Centers (RSCs)

Liana Ryan,
Director
SCI/EID RSC

Jesse Hernández
Asst. Director
HEBA RSC

- Works with PIs to package proposals and review compliance, following Uniform Guidance and UTSA policies
- Authorizes and submits proposals (serves as Authorized Organizational Representative/Signing Official)
- Coordinates post-submission requests and/or revisions with PIs and sponsors
- Reviews/negotiates and signs/accepts standard grants & research contracts; coordinates with CIA for non-standard ones
- Reviews and prepares new award packages and passes to Post Award Administration (PAA) for account setup

Contracts and Industry Agreements (CIA)



Jessica Fernandez
Sr. Director, CIA

- Negotiates and executes non-standard financial agreements and non-financial agreements.
- Advises faculty and staff on contractual matters to protect institutional interests and ensure compliance with applicable state and federal laws.
- Coordinates with internal and external stakeholders to resolve contractual issues.

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Post Award Services
Leadership and Key Functions

Post Award Administration (PAA)

Jennifer Silver
Director

- Monitors all project milestones and expenditures in accordance with Uniform Guidance
- Coordinates adherence to sponsor & UTSA requirements
- Provides direct service to PI(s), project personnel, BSCs, and sponsors
- Executes subawards, ensures subrecipient monitoring and invoicing

Grants, Contracts and Financial Services (GCFS)

Sandra Claiborne
Director

- Completes project set up, invoicing, financial reporting, and project closeouts
- Manages billing, collections, and A/R reconciliation of grants and contracts revenue
- Processes, reviews and approves internal NOAs, NCEs, LOCs, and cost transfer requests
- Implements federal cash requests and state draw downs
- Troubleshoots financial issues throughout the duration of the award

PostAward@utsa.edu GCFS@utsa.edu

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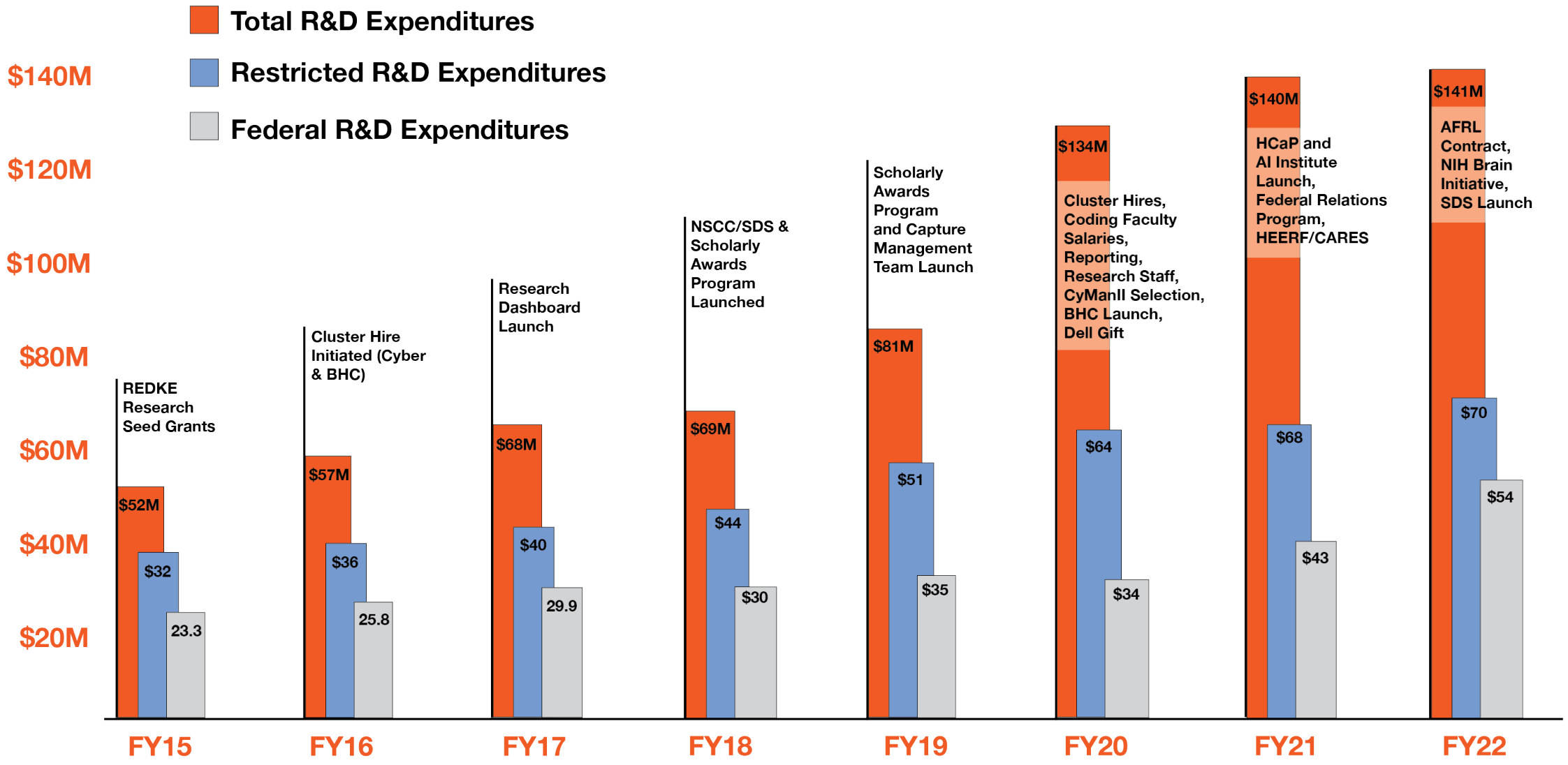
Total R&D Expenditures
Restricted R&D Expenditures
Federal R&D Expenditures
$140M
$120M
$100M
$80M
$60M
$40M
$20M
REDKE Research Seed Grants
$52M
$32
23.3
Cluster Hire Initiated (Cyber & BHC)
$57M
$36
25.8
Research Dashboard Launch
$68M
$40
29.9
NSCC/SDS & Scholarly Awards Program Launched
$69M
$44
$30
Scholarly Awards Program and Capture Management Team Launch
$81M
$51
$35
$134M
Cluster Hires, Coding Faculty Salaries, Reporting, Research Staff, CyManII Selection, BHC Launch, Dell Gift
$64
$34
$140M
HCaP and AI Institute Launch, Federal Relations Program, HEERF/CARES
$68
$43
$141M
AFRL Contract, NIH Brain Initiative, SDS Launch
$70
$54
FY15
FY16
FY17
FY18
FY19
FY20
FY21
FY22

Post Award Administration

Fiscal Year	FY2022	Notes
Total PIs supported	298	**PAA Team: 10 (8 staff, 2 leads)** **Each PAA manages an average of 238 Awards and 98 PIDs**
Total awards (Active or Expired)	1,900	
Total active projects (PIDs)	784	
Sub awards executed	76	
Sub award payments	$6.5M	

$378M
Total awards and subawards since 2020

Contractor Support Services *(Huron)*

Fall 2022/Spring 2023

In July-August 2022, REDKE conducted an in-depth assessment of post award services. The assessment revealed back-log across most post award functions. Although performance data reinforced significant progress from 2021 to 2022, there is still a need for immediate improvements that are beyond UTSA's current post award capabilities.

Huron began work in October 2022 in a two phase approach for immediate improvements and for future growth.

Phase I

1. Contractor staff deployed for clean up/catch up on invoicing, financial reporting, project close outs
2. Create an Accounts Receivables/Collections team
3. Hire Quality Assurance lead
4. Hire two Post-Award FTEs & Temps

Phase II

1. Analyze process efficiencies
2. Adopt best practices from sister UT institutions
3. PeopleSoft relevant recommendations, automation where relevant

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Post Award Pilot Projects

College of Sciences

In October 2022, REDKE began outreach and engagement within UTSA Colleges, via the Deans Transdisciplinary Research Council (TRC), Associate Deans for Research (ADRs) and Department Chairs. Based on early feedback, REDKE is actively launching several post award pilot projects with the COS.

Customer Service Project

Co-locate REDKE post award staff in the Dean's suite 2-3 days a week.

Matrix of Roles and Responsibilities

Service Menu for PIs and staff, outlining roles and responsibilities of RSCs, Post Award and Financial Services, and College Business Service Centers.

Reconciliations Summary

Template to provide PIs with summary project expenses, balance, and burn rate.

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Set ups and Modifications

Fiscal Year	Project Set Ups	Modifications	Notes
FY2022	246	573	FY2021 included backlog of approximately 300 project set ups. Response time has improved starting in January 2022 with new leadership, staff and additional monitoring tools. Still room for improvement, as processes are manual.

Reasons: Missing documents such as revised budgets, scope of work, final contract negotiation from time of award notification. Manual processes, >100 page job aide for a single project set up.

Recommendation: Robotic Process Automation - SQL Query project with UT System for project close outs. Goal: Export to excel workbook for report consolidation. Project set up next in line for SQL Query solution. UTA Pilot.

Account Receivables & Invoicing

Fiscal Year	FY2022	FY2021	Notes
Collections	$205,200,209	$157,556,955	A/R Balance (Outstanding) 2014-2022 as of 8/31/22 $30,751,746
Billed	$256,940,034	$165,030,789	

Reasons: Expenditures not posted, existing encumbrances, expense corrections not processed in EOM closing process, over the limit (budget) expenses.
Recommendations: Staff time to liaise/support College BSC Specialists. Collections team needed, as we are only recovering 88% of billing.

Federal Financial Reports

Fiscal Year	FY2022	FY2021	Notes
Delinquent FFRs	9	48	FY21 included backlog of FFRs (>12 mo. late)
Processed FFRs	204	122	FY22 pending EOY processes
Reasons: Expenditures not posted, existing encumbrances, expense corrections not processed in EOM closing process, over the limit (budget) expenses. **Recommendations:** Need to increase knowledge of federal sponsor tools, recruit more knowledgeable expertise. Must cultivate our own.			

Project Close Outs

Fiscal Year	FY2022	FY2021	Notes
Pending	315	325	$1.8M in returns

Reasons: Outstanding accounts receivable to close out project. Some date back to 17-19, require research and analysis. Lack time and inadequate funding in clearing house.
Reference Point: UTA had over 300 delinquent projects at point that they piloted automation.

Recommendations: Staff time, dedicated to research and analysis. Fixed price cost centers for faculty. Next step to actually close out projects. 15 since April, small dent on larger backlog.