

Report from the Facilities and Administrative (F&A) Task Force The University of Texas at San Antonio

Members: Marianne Woods (Chair), Amaury Nora, Bernard Arulanandam, Carola Wenk, Janet Parker, John McCarrey, Mauli Agrawal, Robert McKinley, Efstathios Michaelides, Terry Wilson, Waldemar Gorski, and Robert Hard.

Note: In addition to this report the F&A Task Force recommends to the Provost that the Task Force be reconvened every year to review the F&A Distribution Model White Paper and the guidelines proposed below.

Task Force Charge

The F&A Task Force was formed by Provost John Frederick as a result of the Proposed F&A Distribution Model White Paper published by the Office of the Provost in April 2010. The White Paper issued a directive stating that “It is important for guidelines to be developed to govern the minimum distribution to be made to individual F&A accounts; establish thresholds for the distribution of F&A funds from grants that receive less than the full federal F&A rate; and encourage reasonable spending of these funds to help stimulate greater research activity. It is proposed that a task force be established to study the issues that lead to the unused accumulations, and to develop guidelines for annual expenditures and for reasonable threshold levels for F&A account distributions (both minimum and maximum levels).”

Given this charge, the F&A Task Force has developed guidelines in five areas:

1. Minimum level of F&A distribution to be made to the F&A account of a Principal Investigator (PI);
2. Minimum Distribution to be made to a Department
3. Thresholds for the distribution of F&A funds that receive less than the full F&A rate
4. Limits on carry forward allowed on F&A accounts
5. Distribution to multiple PIs and Co-PIs generating F&A from the same grant/contract

Below are the Guidelines for use with F&A Distribution at UTSA.

Guidelines for F&A Distribution at UTSA

The University’s Facilities and Administration (F&A) Task Force, formed in 2010 by the Provost, recommends to the Provost the following guidelines for distribution of F&A funds to Principal Investigator(s) (PI), Center/Institutes, Departments, and Programs at UTSA.

- 1. Minimum Distribution to be made to a PI F&A accounts**
F&A distribution to a PI which is less than \$500 will be given to the PI’s Department or Program to administer.
- 2. Minimum Distribution to be made to a Department**
F&A distribution to a Department or Program in any amount will be given to the Department or Program.

3. Thresholds for the distribution of F&A funds that receive less than the full F&A rate

F&A will be distributed based on the level of F&A generated by the grant, contract, or other sponsored program during the applicable fiscal year. Such distribution will not take into consideration the F&A rate of the sponsor.

4. Limits on carry forward allowed on F&A accounts

a. Year-end Balance of more than \$75,000

- All F&A accounts with balances as of the fiscal year end, that are \$75,000 or greater will receive notification around October 15th from the Office of Grant and Contract Financial Services with instructions that a written report is due to the Vice President for Research (VPR) by December 15th.
- The PI, Center/Institute Director, Program Director, or if a department, the Department Chair will submit the report to the VPR. The report will provide written justification explaining the balance and a detailed plan, including a timeline, on how the area will utilize and expend the available funds.
- The report will be reviewed and approved by the VPR in consultation with the Provost. If the plan is not approved, the VPR will meet with the PI, Center/Institute Director, Program Director, or Department Chair to determine a new plan that is agreeable to both parties. If the parties cannot agree to a plan within thirty (30) calendar days, all funds above the \$75,000 limit will be transferred by the VPR to the F&A account at the next higher level. As an example, PI funds will go to the department in which the PI holds his/her appointment; department funds will go to the Dean, Center/Institute funds to the Dean, and Program funds to the appropriate Vice President. The VPR will notify the PI, PI, Center/Institute Director, Program Director, or Department Chair that funds have been transferred to the next higher level.

b. Year-end Balance of Less than \$75,000

- All F&A accounts with balances as of the fiscal year end of less than \$75,000 must have had annual expenditures during the fiscal year that has ended. Any account with no expenditure activity may be transferred by the VPR to the F&A account at the next higher level.
- The Office of Grant and Contract Financial Services will notify the PI, Research Center/Institute Director, Program Director or Department Chair sixty (60) calendar days prior to the funds being transferred that the funds are in jeopardy of being transferred. PIs, Research Center/Institute Directors, Program Directors and Department Chairs must provide to the VPR within thirty (30) calendar days of notification by the VPR (or his designee) that the funds are in jeopardy of being transferred with a written justification as to why there has been no activity and plans for expending funds in the future.
- The written justification and the plan for expending funds will be reviewed and approved by the VPR in consultation with the Provost. If the plan is not approved, the VPR will meet with the PI, Research Center/Institute Director, Program

Director or Department Chair to determine a new plan that is agreeable to both parties. If the parties cannot agree to a plan within thirty (30) calendar days, all funds will be transferred by the VPR to the F&A account at the next higher level. As an example, PI funds will go to the department in which the PI holds his/her appointment; department funds will go to the Dean, Research Center/Institute funds to the Dean, and Program funds to the appropriate Vice President.

5. Distribution to multiple PIs and Co-PIs generating F&A from the same grant/contract

Distribution criteria and Research Center/Institute membership criteria was delegated to the F&A Director's Task Force. Below are the Guidelines established by the F&A Director's Task Force to meet this criteria set forth by the Provost.

a. Distribution of F&A to multiple PI's.

The electronic routing form will include the addition of a drop down menu that is populated with the names of the PI and Co-PIs (as determined by the sponsoring agency application requirements) and which allows the PI to enter the percentage of F&A distribution to be given to the PI and the Co-PIs. The total distribution percentages shall not exceed 100%.

b. Distribution of F&A to multiple PI's

Annually the Office of the Post Award Administration (OPAA) will issue an email to PI's confirming the % allocation to the PI and their Co-PIs that was entered into the electronic routing form. If a PI would like to change the percentage of F&A distribution given to a Co-PI he/she will submit a revision to OPAA. OPAA shall develop procedures for submission of a revision. OPAA will notify Grants and Contracts Financial Services of the change in distribution.

c. Membership Criteria for participation in approved Research Centers and Institutes

Each Research Center or Institute shall set its own criteria for membership.

d. Participation of more than one approved Research Center or Institute in a proposal submission and award

There shall be only one Research Center or Institute that is responsible for the overall management of an award and distribution of associated F&A return. This Research Center or Institute becomes the Primary Center or Institute. To allow for shared credit, the electronic routing form should be changed to include a question which asks if an additional center(s) or institute(s) is involved in the proposed activities. If the PI answers yes to the question a drop down list of all approved research centers and institutes will appear. The PI will then choose the participating center(s) and institutes(s). In addition, a box will appear that requests the PI to describe the relationship with the additional Center and Institute.

e. The Recommendations for Distribution of F&A Funds related to Approved Research Centers/Institutes was issued by the F&A Director's Task Force to the Provost under a separate document.