

# 15.01.01.D1.01 Administration of Sponsored Agreements-Research and Other



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## Procedure Summary

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This procedure delineates the process for the administration of sponsored agreements for internally and externally funded research and non-research initiatives, including those with restricted research components.

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## Definitions

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See System Regulation [15.01.01 Sponsored Agreements – Research and Other](#)

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## Procedure

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### 1. GENERAL

1.1 Texas A&M University-Central Texas (A&M-Central Texas) will adhere to the guidelines provided in relevant System Regulations.

### 2. PREPARATION, APPROVAL, AND SUBMISSION OF PROPOSALS

2.1 The Principal Investigator (PI) is responsible for identifying appropriate programs and funding sources and for notifying the Office of Research in the Division of Research, Economic Development, and Innovation (DREDI) of a planned grant or contract submission. A meeting or discussion may be set up with Office of Research staff to clarify concepts and discuss fundability.

2.2 For research grants or contracts, PIs will contact TAMU Sponsored Research Services (SRS) for assistance with grant/contract proposal preparation. Details on the process for grant/contract submission through SRS are described in the DREDI document *Grant/Contract Submission Guidelines*, which is available on the Office of Research's webpage. SRS will be responsible for conducting negotiations as needed for all research grant or contract submissions.

- 2.3 For non-research grants and contracts with which PIs want assistance for development or submissions, PIs are encouraged to work with SRS but can also work with the Assistant Vice President for Research and Innovation (AVPRI) in the Office of Research.
- 2.4 Grants or contracts that require matching funds or other university funding must be discussed with the university's Chief Research Officer (CRO), who is the Vice President for Research, Economic Development, and Innovation, before proceeding with submission.
- 2.5 All proposed sponsored agreements will include time periods for expending funds, provision for financial and technical reporting, and intellectual property assignments to include patents and copyrights.
- 2.6 For any grants or contracts that contain Terms and Conditions, PIs must contact the university's Contract Administrator for assistance. The Contract Administrator will assist with negotiations as needed for all non-research grant or contract submissions including liaising with the system general counsel office.
- 2.7 When the proposal is complete, the PI will work with SRS and the AVPRI to process it for final approval by the CRO/Vice President for Research, Economic Development, and Innovation or alternate designated signing authority, depending on the funding amount.
- 2.8 Once the relevant designated signing authority has approved the proposal, research grants and contracts will be submitted by the PI or by SRS, which is authorized to submit all university research grants or contracts for federal funding. Following all required approvals, non-research grants and contracts may be submitted by the PI, SRS, or other sponsor-permitted submitters, such as the CRO or a college dean.

### 3. ALLOWABLE COSTS

- 3.1 Applicants must adhere to the requirements identified by the funding source in terms of allowable costs. Any inquiries on identifying allowable costs should be discussed with the academic department head, SRS, and the university's Office of Finance and Administration.

### 4. DOCUMENTATION REQUIREMENTS

- 4.1 The PI is responsible for adequately documenting all costs charged to sponsored projects according to the established agreements. Records will be maintained in a timely manner. The PI will work with SRS and the A&M Central Texas University Controller, as needed, to ensure complete records are maintained within the Texas A&M University Sponsored Research software guidelines.

### 5. EFFORT REPORTING COMPLIANCE

- 5.1 The PI is responsible for ensuring that accurate time and effort reporting is kept for all employees who are assigned to each sponsored agreement project. This time and effort

reporting will include the workload for each specific project by exempt employee or nonexempt employee based on funding agency requirements. The completion dates will coincide with payroll deadlines but are not a substitute for payroll documentation (and vice-versa). The Office of Research and the university payroll specialist will assist with records for the time and effort certification.

- 5.2 Working with SRS, each PI is responsible for establishing and maintaining an acceptable effort reporting system for all employees on the sponsored agreement. This can include a hardcopy paper/pen solution, electronic spreadsheet, or database. If an electronic process is established, data must be in a format that permits transferability to the Office of Research, Office of Finance & Administration, and the funding sponsor.
- 5.3 All faculty and staff who fulfill sponsored agreements, without exception, must complete and submit accurate time and effort reports according to the format established by the PI. This includes “individuals paid directly from any sponsored project,” and “individuals paid directly from any other non-sponsored funds that provide some effort on sponsored projects (cost sharing effort).”
- 5.4 Based on the arrangements specified in the sponsored project, individuals will be assigned and expected to contribute to the project as agreed. It is the responsibility of the PI to maintain accurate time and effort records and to certify their accuracy based on reporting standards of the funding agency for all approved individuals. In addition, the PI is responsible for documenting all cost-sharing agreements for individuals who are paid or who are providing cost-shared effort on federally sponsored projects.
- 5.5 The PI will use the A&M system process for the access and submission of timely certification, and it is the responsibility of the PI to utilize a system to achieve this objective. The PI will also provide access to the elected application for a delegation of authority for approval. Certifications of all time and effort reports will be done based on funding agency requirements; however, under no circumstances will the reporting be processed less than each semester.
- 5.6 PIs are responsible for ensuring that all time and effort and cost-sharing schedules are signed by the responsible individuals within 90 days following certification. Should the certification forms not be signed in a timely manner, the PI’s supervisor will ensure that all forms are signed within five business days.

## 6. FACILITIES AND ADMINISTRATIVE COSTS RECOVERY

- 6.1 If permitted by the funding sponsor, the PI will include documentation for the university to obtain a Facilities and Administrative Costs recovery (indirect cost or IDC) rate of 47% for grants or contracts (11% for off-campus research). If the grant or contract is a collaborative project with any of the Texas A&M University System universities or agencies, then the university can request cost recovery at the rate of the collaborative university or agency. If needed, the current Facilities and Administrative Costs recovery rate document is available on the Office of Research’s Canvas Community page.

6.2 The cost recovery split for respective functional areas and faculty/staff are: President 5%, Provost 5%, Vice President for Finance and Administration 5%, Vice President for Research and Economic Development 30%, Sponsored Research Services 25%, Dean 10%, and PI (faculty or staff) 20%.

6.3 Exceptions to including cost recovery funds when they are permitted by the funding sponsor must be discussed with the CRO and relevant personnel at SRS. If recovery costs are not being included when allowed, a statement of explanation must be attached with the grant or contract documents.

## 7. COST SHARING

7.1 Based on established rules of accounting for the university, all types of cost sharing will be documented and identified in the university's accounting system. Exception to these rules are outlined in section 5.2 of System Regulation *15.01.05 Cost Sharing on Sponsored Agreements*.

7.2 As part of each employee's fiduciary responsibility to the university and the state to minimize cost-sharing to the extent possible, the PI's narrative and submitted budget that accompanies the grant/contract proposal will reflect cost sharing.

7.2.1 The CRO will ensure that cost sharing is addressed during the approval process.

7.3 The PI is responsible for identifying all cost-sharing activities and budget items and to identify when items need to be approved from agencies outside the university.

7.4 The PI is responsible for documenting all cost-sharing activities and when such identified activities occur. SRS or the Office of Research will provide oversight assistance as requested by the PI.

## 8. INTELLECTUAL PROPERTY

8.1 Procedures related to ownership, management, and use of data and project results arising from the performance of work under sponsored agreements will be consistent with University Procedure *17.01.99.D0.01 Intellectual Property Management and Commercialization* and System Policy *17.01 Intellectual Property Management and Commercialization*.

8.2 All grants and contracts which involve development of intellectual property must be discussed with the university's CRO prior to submission to ensure that all relevant procedures have been followed.

## 9. RESTRICTED RESEARCH PROGRAM FOR NON-RESEARCH GRANTS AND CONTRACTS

9.1 The Texas Higher Education Coordinating Board (THECB) has a program to support research at Texas universities that provides additional funds to a university based on the number of grants or contracts at that institution that meet their standard of research. THECB indicates that only grants or contracts with a primary focus on research are

applicable, but other grants or contracts may apply. PIs for all A&M-Central Texas non-research projects must determine if a restricted research component can reasonably be included in their projects. If the amount of funding in a grant/contract award that is allotted to research components is 50% or higher, the grant or contract would qualify for funding from the THECB's Restricted Research funds and the Office of Research needs to be notified.

9.2 PIs can work with the AVPRI to determine if a grant or contract qualifies for restricted research funding. Contact the Office of Research with any questions about restricted research.

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## **Related Statutes, Policies, or Requirements**

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System Policy [\*15.01 Research Agreements\*](#)

System Regulation [\*15.01.01 Sponsored Agreements-Research and Other\*](#)

System Regulation [\*15.01.05 Cost Sharing on Sponsored Agreements\*](#)

University Rule [\*15.01.01.D1 Administration of Sponsored Agreements-Research and Other\*](#)

University Procedure [\*17.01.99.D0.01 Intellectual Property Management and Commercialization\*](#)

System Policy [\*17.01 Intellectual Property Management and Commercialization\*](#)

[Texas Higher Education Coordinating Board Research Expenditures Funding Program](#)

[Grant/Contract Submission Guidelines](#)

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## **Contact Office**

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