



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

Approved: July 28, 2014

Revised: April 27, 2018

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### Procedure Statement

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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.

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### Reason for Procedure

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The procedure for the administration of sponsored agreements ensures that these agreements are managed consistently across the university.

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### Procedures and Responsibilities

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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 System Regulation.

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

2.1 The Principal Investigator (PI) will identify the program and the funding source. It is strongly recommended that PIs contact TAMU Sponsored Research Services for assistance with grant proposal preparation.

2.2 PI will notify the appropriate academic department chair and dean as well as the Office of Research (OOR) that the PI is preparing a grant or contract. A meeting or discussion may occur to clarify concept and discuss fundability.

2.3 PI and a representative from the OOR will identify deadlines and establish a timeline for preparation, approval, and submission.

2.4 In consultation with TAMU Sponsored Research Services, the PI will prepare and submit to the OOR a grant/contract routing form and the actual grant proposal. The

OOR will review the proposal and provide timely feedback with a minimum of two weeks, except in extreme circumstances.

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. The OOR, in cooperation with the PI and co-PIs and the Office of Finance and Administration, will oversee negotiation and acceptance of sponsored agreements.

2.6 A proposal will include all elements such as determined by state/federal requirements outlined in the request for proposal or funding agency/organization guidelines.

2.7 PI and co-PI will work with the OOR to ensure all guidelines are satisfied.

2.8 When the proposal is complete, the PI will submit it to the OOR for final approval by the Vice President for Research and Economic Development (VPRED).

2.9 Once the VPRED has approved the proposal, the grant will be submitted.

### 3. ALLOWABLE COSTS

3.1 Applicants must adhere to the requirements identified by the funding source in terms of allowable costs. Any inquires on identifying allowable costs should be discussed with the academic department head, OOR and the Office of Finance and Administration. The PI and co-PI are responsible for monitoring and adhering to OMB Circular A-110, if applicable.

### 4. DOCUMENTATION REQUIREMENTS

4.1 The PI and any co-PIs are 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 and co-PIs will work with the Director of Research Support (DRS) to ensure complete records are maintained within the Texas A&M University Sponsored Research software guidelines (e.g., MAESTRO).

### 5. EFFORT REPORTING COMPLIANCE

5.1 The PI and co-PI are 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 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).

5.2 Each PI and co-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 which permits transferability to OOR, Finance & Administration, and funding agency.

- 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 or co-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 or co-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 or co-PI are 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 Until the university has a webserver which can handle an electronic web-based format for the access and submission of timely certification, it is the responsibility of the PI or co-PI to utilize a system to achieve this objective. The PI or co-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 and co-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. RECOVERY COSTS

- 6.1 The university is allowed to obtain a cost recovery rate of up to 25% for non-federal grants and contracts and 10% for federal grants or contracts. If the grant or contract is a collaborative project with any of the Texas A&M University System universities or agencies, than the university can request a cost recovery rate of the collaborative university or agency.
- 6.2 The cost recovery split for respective functional area and faculty/staff are: President 10%, Provost 15%, Vice President for Finance and Administration 15%, Vice President for Research and Economic Development 20%, Dean Chair or Director 20%, and Faculty (PI) or Staff (PI) 20%.

## 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 with the exception noted in 11.4 of System Regulation 15.01.01 Administration of Sponsored Agreements-Research and Other.
- 7.2 As part of each employee's fiduciary responsibility to the university and the State to minimize cost-sharing to the extent possible, it is the OOR's responsibility to ensure

that this is addressed and documented and that the PI reflect this in the narrative and submitted budget for grant proposals. This will be accomplished during the grant proposal writing budget development and 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. The OOR will provide oversight assistance as requested by the PI.

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

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System Policy [15.01 Research Agreements](#)

System Regulation [15.01.01 Administration of Sponsored Agreements-Research and Other](#)

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

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## **Contact Office**

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