



Office of Research and Economic Development
Research Grants and Contracts - Proposal Submissions and Final Approval Procedures

Standard Office Procedure (ORED 01.03) Effective May 1, 2021

Purpose: To describe procedures for external funding proposals/final approvals for research grants or contracts

- I. **Overview: Office of Research and Economic Development (ORED):** The ORED supports faculty, staff, and students applying for research grants and contracts. Our goal is to facilitate a high quality application process and ensure appropriate oversight of research proposals through final approval and post-award support.

- II. We also support and suggest applying for a traditionally non-research based grant or contract that may include research that qualifies for “Restricted Research” (RR) funding from the Texas Higher Educational Coordinating Board (THECB) [RR can be qualitative (e.g., oral history or trend analysis) or quantitative]. A traditionally non-research based grant or contract is when there are no research components to the grant or contract, but through negotiation, a faculty member or staff has requested research to be part of the grant or contract and the funding authority has agreed to the research. An example might be the police department purchasing new equipment, and they work with a faculty member to determine if the new equipment is statistically better than the previous equipment. In essence, most research in traditionally non-research grants and contracts are focused on continuous improvement outcomes to help support the purchase of equipment, supplies, or hiring of different personnel categories for duties performed. For further information on RR, please see <https://www.tamuct.edu/research/index.html>

Logic for RR Funding: *The RR Funding from the THECB results from research funds generated by A&M Central Texas grants and contracts – or from community based grants and contracts - that include what the THECB defines as “research.” If a grant or contract includes **any** funds meeting research criteria – including non-traditional grants or contracts with a small amount of research funding, the amount of those research funds is included in the total amount of funds counted by the THECB for our university. Traditionally, the RR funds are calculated as approximately 10% of the total approved RR Funding for the university. An example of RR Funding might be with A&M Central Texas generating \$1,000,000 of RR-qualifying funds in a year, where the THECB will disburse approximately \$100,000 to A&M Central Texas that year. The RR Funds generate an “indirect” amount that is disbursed according to the usual Indirect Cost Funds (ICFs) guidelines – including to the PIs for approved RR grants and contracts.*

- III. **Research Grant or Contract Proposal Development:** Development of research grants and contracts takes a significant number of individuals within the approval process that is not unilaterally decided by any one person. Adequate preparation time will ensure that sponsor requirements, A&M Central Texas rules, internal university guidelines or procedures such as this process, and any related Texas A&M University System regulations are followed - while allowing proposals to be submitted by the sponsor's deadline. ORED has an arrangement with Sponsored Research Services (SRS) at A&M College Station to provide proposal development service, including budget help. In addition, there are offices at A&M Central Texas that provide input for proposals, including Human Resources and the Office of the Provost for salary and hiring assistance, the Office of Finance and Administration for assistance with finances, and the Research Compliance Officer for several potential compliance issues including Export Control. In addition, some applications may require guidance from the Institutional Review Board or the Institutional Biosafety Committee, although in most cases paperwork for those ethics committees can be done after an award is received.

Note: Please know that A&M Central Texas does not have an Institutional Animal Care and Use Committee (IACUC) and therefore NO vertebrates (Under the regulation of a constituted IACUC rules and procedures) may be used in research, teaching, or testing including any observations that directly interact with vertebrates. Observations may be allowed without interactions such as the use of binoculars to "watch" vertebrates in the wild. All invertebrate research is allowed when conducted in conjunction with an appropriate faculty member (e.g., Biology)

To expedite research proposals through the steps needed, the ORED asks that you contact us as soon as you know that you will be applying for a grant or contract, so we can help prepare you for the process. Both the ORED and the SRS require specific paperwork and processes for research support and want to give your proposal a thorough quality review. To ensure that the ORED provides researchers with the highest level of support, please review the following guidelines for proposal services:

- IV. **Specific Procedures for ALL (100%) Research Grants and Contracts Approval**
- i. The Principal Investigator (PI) (or Program/Principal Director (PD) when a PI is not required) contacts the ORED and SRS a minimum of three weeks or 15 business days before the research grant or contract submission deadline at the following:
1. ORED to: Dr. Walter Murphy, Executive Director – Research & Sponsored Research
Email: murphyw@tamuct.edu Phone: (254) 519-5761
AND
 2. SRS to: Ms. Shelly Berry Hebb, Associate Director, PreAward Services
Email: sberry@tamu.edu Phone: (979) 845-8758

Indicate your Funding Source, the RFP if available, and work done to date – see IV. iv. below for project work suggested for draft to Dr. Murphy and Ms. Hebb

- ii. SRS provides a research grant or contract with an Identification Number (IN). All research grants and contracts are supported and reviewed by SRS in conjunction with ORED. Each grant and contract has a specific IN in the MAESTRO system that will be used to ensure timelines are met and specific individuals in the approval process have adequate time to review and meet deadlines. SRS provides instructions to the PI or PD on submission requirements in MAESTRO.
- iii. The PI or PD is responsible for ensuring all deadlines are met. It is recommended that the PI or PD provides more than the minimum time before the submission deadline to ensure their research grant or contract is reviewed in a valid and reliable means. Poor timing and poor creation of research grants and contracts are the number one and two reasons for proposal rejection.
- iv. SRS ensures all requirements for a research grant or contract proposal are assessed and provides input on meeting the requirements. A specific list of SRS support includes but is not limited to the following, ***that should be created prior to contacting ORED and SRS:***
 - 1. Budget
 - 2. Budget Justification
 - 3. Draft Abstract/Summary or Statement of Work
 - 4. Draft Project Narrative/Description
 - 5. Relevant Approved Waivers
 - 6. Subcontract Documents
 - 7. Biographical Sketches
 - 8. Current and Pending Support Documents
 - 9. Data Management Plan
 - 10. Facilities and Equipment Documents
 - 11. Other Required Sponsor Forms
- v. The following will approve or reject in the MAESTRO system/software the research grant or contract proposal: *[Note: the PI or PD should inform the following outside of MAESTRO (e.g., email) that they are submitting a research grant or contract]*

PI or PD submits the proposal with the approving TAMUCT authorities to include;

 - 1. PI or PD Department Chair (Only if Faculty)
 - 2. PI or PD Supervisor or Director or Dean
 - 3. Provost or Vice President for Finance and Administration (VPFA)
 - 4. Vice President for Research and Economic Development (VPRED)
- vi. All approved research ***contracts*** by SRS must be submitted to the VPFA office for their files. It is the responsibility of the PI or PD to submit the research contract to the VPFA office within two weeks or 10 business days after the research contract is signed. Research grants are not required to be submitted to the VPFA office since they are stored in the MAESTRO software.

- vii. Post Award support is also provided by SRS. Information on post-award support is provided by SRS after a grant or contract is awarded.

Contact Information:

Office of Research and Economic Development: Phone 254-501-5823