

15.04 Sponsored Research Services

Revised [August 23, 2017](#) (MO -2017)
Next Scheduled Review: August 23, 2022
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Policy Statement

Texas A&M Sponsored Research Services (SRS) manages pre-award and post-award functions of sponsored research for certain members of The Texas A&M University System (system) headquartered in Brazos County, Texas. Such members managing sponsored research agreements within their organization, coded as a National Association of College and University Business Officers (NACUBO) research function, must have requested and received approval from the vice president for research (VPR) at Texas A&M University to manage these research agreements

Reason for Policy

This policy describes the organizational responsibilities and authority of SRS and the benefits of a shared service to certain members of the system in administering sponsored research agreements.

Procedures and Responsibilities

1. BENEFITS OF A SHARED SERVICE TO CERTAIN BRAZOS COUNTY MEMBERS AS IT APPLIES TO THIS POLICY
 - 1.1 Members comprising the Texas A&M Research Enterprise (Research Enterprise) headquartered within Brazos County, due to its land grant mission, are large and uniquely diverse. Although they are separate state agencies, they share a campus and a research infrastructure.
 - 1.2 Although separate state agencies for state reporting purposes, Texas A&M University, including the Texas A&M University Health Science Center, Texas A&M AgriLife Research, Texas A&M Engineering Experiment Station and Texas A&M Transportation Institute (Research Enterprise), report as one entity as Texas A&M University in the National Science Foundation Higher Education Research and Development Survey (HERD) for the purposes of national rankings and evaluations of universities.
 - 1.3 The members comprising the Research Enterprise share a physical plant and facilities and, thus, a shared facilities and administrative cost rate for sponsored agreements.

- 1.4 The success of the Research Enterprise depends heavily on the ability of the faculty of the various disciplines assigned to the members to work together strategically and collaboratively on multi-disciplinary projects through joint appointments and other collaborative relationships and arrangements.
- 1.5 Pooling human and financial resources into one sponsored research management shared service provides efficient quality services and compliance in support of the multi-disciplinary researchers and the administration of the Research Enterprise.

2. GENERAL

- 2.1 SRS serves as the primary provider of sponsored research administration services to the Research Enterprise members that have sponsored research activity, except as listed in Section 5.
- 2.2 Sponsored research activity includes all research and development activities that are externally sponsored by federal and non-federal agencies and organizations and are coded as a NACUBO research function.
- 2.3 Sponsored research administration services provided by SRS include, but are not limited to, proposal administration, agreement negotiation, post-award administration and reporting, sub-recipient monitoring, sponsor billings, and sponsor and agreement compliance.
- 2.4 SRS responsibilities include the management and oversight of the electronic research information system.
- 2.5 The executive director of SRS is responsible for the daily administration, management and operation of SRS, including the electronic research information system.

3. IMPLEMENTATION

- 3.1 SRS's authority includes establishing and maintaining procedures consistent with system policies and regulations for the services it provides to Research Enterprise members. These procedures should address the following and affirm SRS's responsibilities in the following areas:
 - (a) Proposal administration including budget development, proposal routing for approvals and proposal submission;
 - (b) Except as described in Section 5.2, agreement negotiation and acceptance of awards including outgoing subaward agreements and other agreements that are directly tied to a sponsored research project;
 - (c) Post-award administration including project set-up, project monitoring, employment compensation compliance, subaward monitoring, financial compliance, sponsor billing, financial reporting, other sponsor-required reporting, and closeout;
 - (d) Electronic research information system services and priorities in support of the administration of sponsored research agreements; and

- (e) Collaboration and assistance with Research Enterprise member audits and their respective management practices.

3.2 Research Enterprise members utilizing SRS services will establish and maintain procedures consistent with system policies and regulations addressing their responsibilities in the following areas:

- (a) Institutional approval of proposals for the member;
- (b) Management of faculty, faculty equivalents and staff in performing the research within established requirements for compliance and within the appropriate department, college or center;
- (c) Management of facilities and spaces used in performing the research and within established requirements;
- (d) Procurement of goods and services and the accounts payable function relating to sponsored research disbursements;
- (e) Institutional/Member resource allocations (i.e., indirect cost rates, waivers, reductions, cost sharing, sources of funding, interim funding sources and other security risks, etc.);
- (f) Compliance with all regulatory requirements for scientific research including Financial Conflict of Interest, Time and Effort, Export Controls, Environmental Health and Safety, Responsible Conduct in Research, Research Data Stewardship and Management and all research involving animals, biohazards and human subjects;
- (g) Institutional reporting responsibilities with assistance from SRS in providing information to Research Enterprise members for reconciliation and use in institutional reporting (i.e., for the Annual Financial Report, Texas Higher Education Coordinating Board, Legislative Budget Board, National Science Foundation, etc.); and
- (h) Risk assessment and mitigation for non-standard agreement terms.

3.3 Research Enterprise members utilizing SRS services shall ensure that appropriate delegations are in place to streamline interfaces with SRS.

4. OVERSIGHT AND GUIDANCE

4.1 SRS (including the electronic research information system) will report to the VPR at Texas A&M University.

4.2 The VPR will collaborate with the Research Enterprise member chief executive officers (CEO) and/or the chief research officers (CRO) advisory council for the purposes of overseeing the SRS shared services and ensuring that such members' needs are being addressed.

4.3 The SRS Texas A&M Stakeholders Operations Committee (TSOC) will provide coordination and operations advice and support for SRS by focusing on the Research Enterprise member interface with the researchers in areas of principal investigator

services, accounting interfaces, reporting and management of the Research Enterprise. TSOC will have representatives from the Research Enterprise members, as well as representatives from the Council of Principal Investigators and the Texas A&M University Faculty Senate in addition to other faculty appointed by the VPR. Faculty and other researchers can bring issues to any of these groups or their representatives on TSOC.

5. EXCEPTED RESEARCH PROJECTS OR RESEARCH-RELATED ACTIVITIES

- 5.1 The research projects or research-related activities described in this section are not required to be administered by SRS.
 - 5.1.1 Projects or activities funded directly by specific state or federal appropriations are not considered sponsored research projects or activities for purposes of this policy and are not treated as a restricted external agreement.
 - 5.1.2 Gift and donor agreements defined under System Regulation *21.05.01, Gifts, Donations, Grants and Endowments*, even if coded as a NACUBO research function, are not considered as sponsored research activity.
- 5.2 Sponsored research agreements funded by industry and/or commodity organizations or county governments may be negotiated and executed by members. Post-award administration of these agreements is performed by SRS.
- 5.3 A Research Enterprise member, seeking to manage a sponsored research agreement coded as a NACUBO research function as an exception to this policy, must first submit a request to do so signed by the member CEO to the VPR. The decision of the VPR may be appealed by the member CEO through the VPR to the chancellor.

6. OTHER SERVICES PROVIDED BY SRS

- 6.1 Members outside of Brazos County wishing to utilize the services provided by SRS may do so through an interagency cooperation contract or an intrasystem cooperation contract approved by the member CEO or designee, the executive director of SRS and the VPR at Texas A&M University.
- 6.2 Fee assessments and services offered by SRS will be the same as for the Research Enterprise members.
- 6.3 Such agreements will address effective dates, implementation and transition of member responsibilities to SRS services by the non-Brazos County Research Enterprise members.
- 6.4 Such agreements will also address the termination of SRS services that will include a grace period for transitioning of services back to such member and provide sufficient time for SRS to adjust its staffing size and other operations impacted by such termination and transition.

Related Statutes, Policies, or Requirements

[System Policy 15.01, Research Agreements](#)

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

[System Regulation 21.05.01, Gifts, Donations, Grants and Endowments](#)

Member Rule Requirements

A rule is not required to supplement this policy.

Contact Office

Research
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