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RESEARCH & INNOVATION

Prairie View A&M University Integrated Research Manual

Version 3.0 – April 2024

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Purpose of the Manual

As a Principal Investigator (PI) at Prairie View A&M University, you are ultimately responsible for all aspects of your research, including compliance with university and federal policies. The university is committed to making every effort to assist you with this responsibility. This guide has been created to help you understand what to expect from the research administration support provided by Texas A&M University (TAMU) Sponsored Research Services to PVAMU researchers. We hope you find it helpful. Please reach out to your SRS contacts listed at the back of this guidebook.

Background

PVAMU contracts with SRS to provide research administration services in support of PVAMU researchers and PVAMU sponsored projects. This manual introduces the PVAMU researcher to the services, resources and support provided by SRS to PVAMU. SRS provides research administration services to the Texas A&M System members headquartered in Brazos County, as well as the Texas A&M Galveston and Texas A&M Qatar campuses. In addition, in the case of PVAMU, SRS support pre-award and post-award services for some of the System's regional campuses

Division of Research & Innovation (R&I)

Office of Sponsored Programs

The Office of Sponsored Programs (OSP) in R&I is a core liaison unit responsible for assisting with managing the complete grant cycle by interacting with Sponsored Research Services at TAMU.

Office of Research Compliance

The Office of Research Compliance (ORC) is committed to aligning with the Division of Research & Innovation's strategic vision to elevate the Prairie View A&M University research enterprise. It supports research and scholarly activities by assuring institutional and investigator compliance with applicable regulations, policies, and guidelines. This assurance applies to human subject research, use of animals in research, research involving hazardous materials, use of recombinant materials (rDNA and synthetic nucleic acids), research integrity, ethical conduct of research, conflict of interest, and export control. ORC trains all faculty, students, and staff engaged in research and scholarly activities to promote intellectual curiosity and a culture of compliance through shared responsibility.

Research and Scholarly Integrity

The responsibility for achieving the Prairie View A&M University mission of teaching, research, and service brings with it the duty to adhere to the highest ethical standards and principles. In recognizing our obligation to our students, employees, and other stakeholders to maintain and uphold these ethical principles and standards, the Texas A&M System has established the Risk, Fraud, and Misconduct Hotline.

Every person, regardless of position, shares in the responsibility for promoting an ethical and safe environment. If you have factual information suggestive of fraudulent, wasteful, or abusive activities involving any A&M System member, employee, student, or other affiliates, we want you to report it.

Office of Innovation, Commercialization, Entrepreneurship, and Economic Development

Protection of Proprietary Information

It is the responsibility of the PI to determine if the proposal contains proprietary information to be protected and label the corresponding paragraphs appropriately.

Intellectual Property

It is Texas A&M University System (TAMUS) Policy that title to patents and copyrights developed under sponsored programs remain with PVAMU (TAMUS), see website: <http://www.Otc.tamu.edu> or contact the TAMUS Office of Technology Commercialization

Title III Programs

The Office of Title III Programs is the central administrative office for effectively managing the HBCU, HBGI and FUTURE Act grant funded programs. The OTP is dedicated to:

- ensuring effective planning, implementation and management, budgetary and administrative oversight, evaluation and reporting of high-impact activities that are approved by university administration;
- ensuring compliance with federal, system and university regulations, and serving as a liaison between PVAMU and the U.S. Department of Education;
- being in alignment with the Division of Research & Innovation's strategic vision to strengthen and elevate PVAMU.

Texas A&M University Sponsored Research Services (SRS)

The goal of Sponsored Research Services (SRS) is to minimize the administrative burden of the research process by providing faculty a single place for submission and management of their research proposals and projects. SRS offers services in the following areas:

- Proposal preparation and submission
- Contract negotiation
- Award intake and project establishment
- Project management / post-award actions
- Sponsored billing /prepares financial deliverables
- Support for business services required to conduct and complete the sponsored project.

SRS Leadership Team

The Executive Director is Kristi Billinger. The three Associate Executive Directors oversee support for the various members served by SRS and have responsibility for SRS functional Areas.

Julie Bishop has responsibility for PVAMU: the proposal administrators, AASET group, and the project administrators assigned to support PVAMU report to Julie. Jim Joyce has oversight of the contract negotiator team for all members. Crissy Stratta has responsibility for TAMU, TAMUG, Qatar campus, and the Texas A&M Engineering Experiment Station.

The leadership team supports PVAMU researchers. You are welcome to contact the executive leadership team if an issue is not being addressed by your SRS contact.

What is a Sponsored Project?

The table below explains key characteristics when determining a sponsored project, contract, or gift. Note that this is a tool to assist, as one characteristic alone is likely insufficient to make a determination. Agreements require careful review to protect the interest of the researcher and the TAMU System Member. Please work with your SRS contract negotiator to ensure the appropriate determination.

| Award Characteristic | Grants | Contract | Gift |
|---|--------|----------|------|
| SOURCE OF FUNDS | | | |
| Funding provided by an individual | | | X |
| Funding provided by a governmental agency | X | X | |
| Funding provided by a private (non-profit) entity | X | X | |
| Funder remains anonymous | | | X |
| PROCESS TO APPLY FOR FUNDS | | | |
| Funds awarded in response to formal RFP | X | X | |
| Faculty-defined scope of work | X | X | |
| Funder-defined scope of work | X | X | |
| FUNDER'S INTENT IN AWARDING FUNDS | | | |
| Charitable purpose | X | X | X |
| Funding an endowment | | | X |
| Funding a professorship | X | X | X |

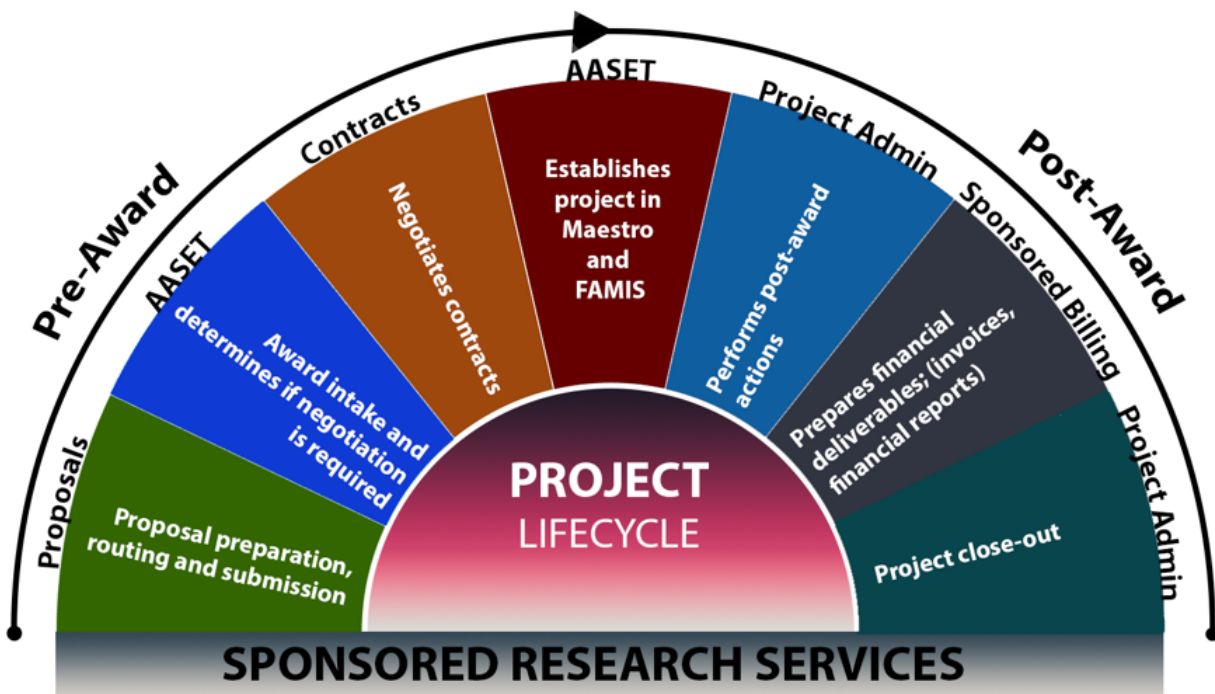
| Award Characteristic | Grants | Contract | Gift |
|---|--------|----------|---|
| TERMS OF USE | | | |
| Funds are revocable (may be returned) | X | X | X (if a donor is a private foundation) |
| Funds are irrevocable | | | X |
| Funds are restricted for a detailed purpose | X | X | X |
| Funds are restricted for a high-level generic purpose | | | X |
| Funds are unrestricted | | | X |
| Use of funds governed by funder guidelines/policies | X | X | X |
| Uniform Guidance (2 CFR 200) applicable | X | | |
| Federal Acquisition Regulations (FAR) applicable | | X | |
| Confidentiality of sponsored-provided information | X | X | |
| Certification and formal terms and conditions | X | X | |
| Use requires compliance office review (i.e., IRB, IACUC) | X | X | |
| Specific period of performance | X | X | X |
| No specific period of performance | | | X |
| Prior approval is required for budget, scope, or date changes | X | X | |

| Award Characteristic | Grants | Contract | Gift |
|---|--------|----------|------|
| Facilities & Administrative (Indirect) costs | X | | |
| Actual cost reimbursement | X | X | |
| Fixed fee reimbursement | X | X | |
| Milestone reimbursement | X | X | |
| Prepaid or payment schedule | X | X | X |
| Funder granted access to records | X | X | X |
| Funder may audit expenses | X | X | |
| University may terminate unilaterally | X | X | |
| Funder terminated unilaterally | X | X | |
| OUTCOMES GENERATED FROM THE USE OF FUNDS | | | |
| Public benefits | X | X | X |
| Funder benefits | | X | |
| Outcomes uncertain/flexible | X | X | X |
| IP owned by system member | X | X | X |
| IP owned by the funder | X | X | |
| Publication encouraged | X | X | X |
| Publication restricted | X | X | |

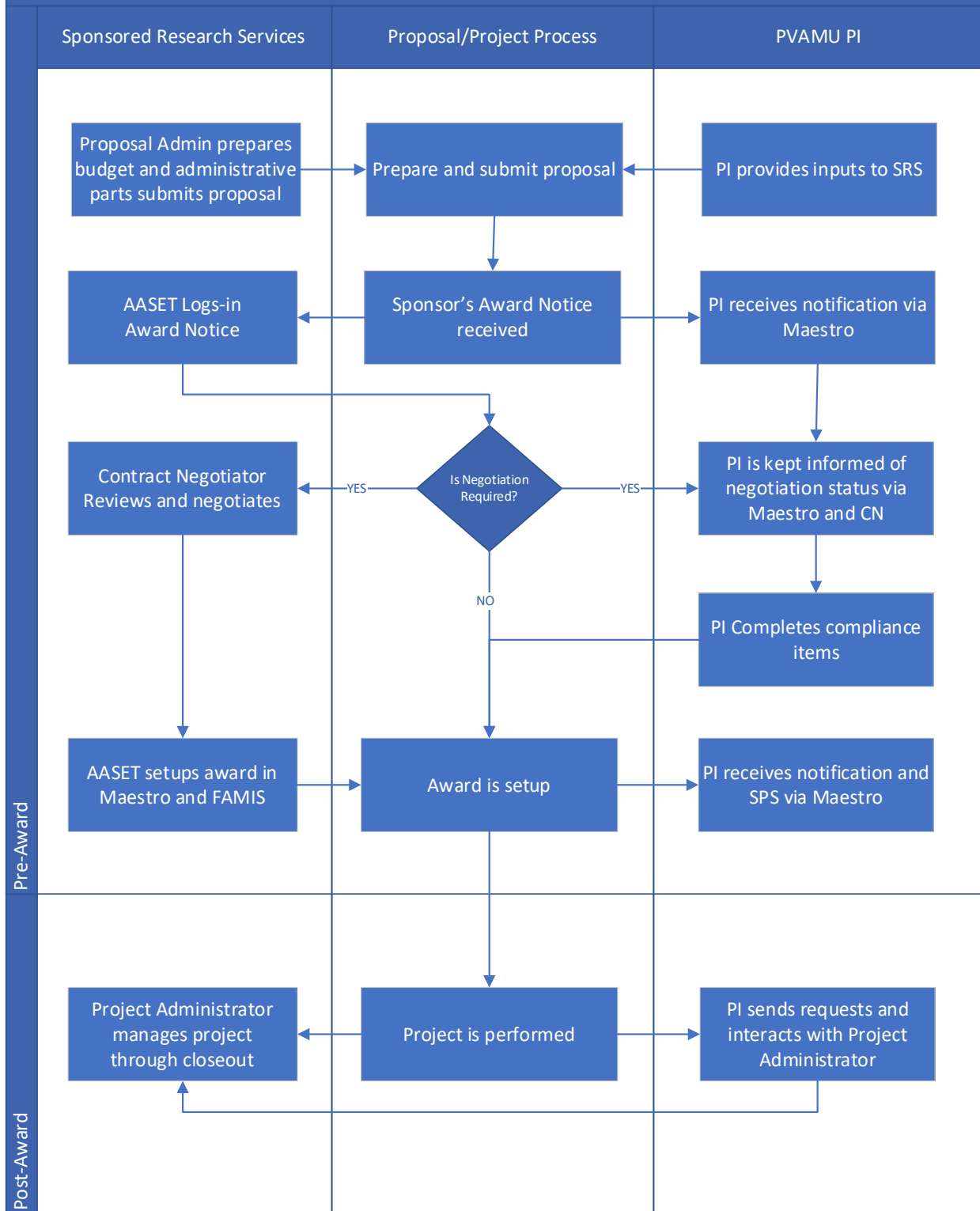
| Award Characteristic | Grants | Contract | Gift |
|---|--------|----------|------|
| Pre-publication review required | X | X | |
| OBLIGATION TO FUNDER | | | |
| Detailed financial and progress reporting | X | X | |
| No financial or progress reporting | | | X |
| System members must return unexpended funds | X | X | |
| System member negotiated reallocation of unexpended funds | X | X | |

Sponsored Project Life Cycle and the **SRS Functional Areas**

- **Proposal Administration**
- **Award & Account Set-Up Expediting Team (AASET)**
- **Contract Negotiation**
- **Project Administration**
- **Sponsored Billing**



SRS Proposal/Project Process Flowchart



Pre-Award Services

All Pre-Award services are provided by Texas A&M University Sponsored Research Services (SRS). More information can be found on the SRS [website](#).

Services Provided by Pre-Award Services

- Matching researchers' expertise with funding opportunities
- Seminars and workshops on proposal preparation and submission
- One-on-one sessions with researchers for proposal writing
- Discussion of proposal reviews
- Reviewing and editing of proposal resubmissions
- Funding opportunities for multidisciplinary research groups
- Support for collaborative proposal development with external entities

Starting the Proposal Process

As soon as you have identified a funding opportunity you plan to respond to, complete and submit an online [Proposal Notification Form](#) as early as possible. That form will enable you to contact a [Proposal Administrator](#) at SRS to manage the submission process of your proposal.

Building A Budget

Routing for approvals is done through the Maestro system. Every effort should be made to get approvals before a proposal is submitted. The typical routing path includes the approvals of the lead PI, Co-PI, named personnel, chairs or organizational heads, deans, provosts, interim director of OSP, and the vice president for research. The routing path for the non-academic department may vary.

What is needed for routing:

- Final Budget
- Final Budget Justification
- Statement of Work
- Compliance and Reporting Codes Completed in Maestro
- Items from Sub-awardees:
 - Their Budgets in Sponsors Format
 - Their Budget Justifications
 - Statements of Work for Sub-awardees' Part of the Project

Major Parts of a Proposal

Significant pieces of a proposal vary from agency to agency. Below are some helpful links:

- Abstract/Project Summary: [NSF](#) [NIH](#) [USDA](#)
- Project Description/Research Strategy: [NSF](#) [NIH](#)
- Budget Justification/Budget Narrative: [NSF](#) [NIH](#)
- Biographical Sketch/Vita: [NSF](#) [NIH](#)
- Current & Pending: [NSF](#) [USDA](#)
- Conflict of Interest/Collaborators & Other Affiliations: [NSF](#) [USDA](#)
- Facilities & Other Resources: [NSF](#) [NIH](#)

Funding Opportunities

The Division of Research & Innovation (R&I) is a resource for advancing externally funded research to faculty and staff researchers and graduate students for Prairie View A&M University. If you are interested in and/or involved in pursuing externally funded scholarly research or creative activity at PVAMU, you have arrived at the right place. This funding opportunities page includes the following:

- Funding Database (Grants.Gov, PIVOT)
- Limited Submission Funding Opportunities & Procedure
- Upcoming Funding Opportunities
- Federal Funding Agencies
- Selected Private Funding Sources
- HBCU Funding Opportunities
- Non-Stem Funding Opportunities

Please consult the [PVAMU- SRS Proposal Administrator List](#) to enter the name and email address of the Proposal Administrator managing proposals from your Office/Department/College/Center in your online Proposal Notification Form.

Funding Database

GRANTS.GOV

[GRANTS.GOV](#) is a searchable public database for finding research funding opportunities offered by various federal agencies. Use keywords of your research areas in the search box to identify all available funding opportunities. Introductory video: [How to Search for a Grant](#). For a Live Feed of Funding Opportunities, [Click Here](#).

PIVOT

[PIVOT](#) is a searchable database available to PVAMU faculty, staff, and students for finding federal, non-profit, and private funding opportunities. To create an account: Go to PIVOT website > Click "log

in" link > Click "sign up"> Use your PVAMU email address as your login name and follow the instructions. Use keywords of your research areas in the search box to identify all available funding opportunities. Introductory video: [PIVOT Introduction](#)

Proposal Administrators (PA) at SRS assist researchers with the preparation and submission of proposals to sponsors for external funding. Services include budget development; completion of most administrative sections of the proposal; ensuring that the proposal is compliant with A&M System policies, System member's requirements, state and federal regulations, and the funding opportunity's specific terms and conditions. The Proposal Administrator will enter proposal information into the MAESTRO system where it will route for review and approval to appropriate stakeholders. After review and approval, the PA submits the proposal to the sponsor and tracks the successful receipt of the proposal.

Limited Submission Funding Opportunities & Processes

Limited submissions are opportunities for which a sponsor or funding agency has limited the number of proposals an eligible institution can submit. The Office of Sponsored Programs (OSP) and the Office of Research Advancement (ORA) monitor various funding opportunity databases. Whenever a limited submission opportunity is announced, the faculty and researchers are informed by email or online of the little submission guidelines. OSP receives all notifications of proposals along with pre-proposals for internal review. ORA facilitates an internal review of such pre-proposals. It recommends to the Vice President for Research & Innovation on selected pre-proposals to develop and submit a full proposal to the sponsor.

Limited Submission Process and Procedure

- R&I will announce limited submission opportunities and guidelines for internal submission of pre-proposals by email and/or on the Office of Research & Innovation (R&I) web pages.
- Interested faculty/staff are required to complete the [Proposal Notification Form](#).
- The form is used for both regular and limited submissions; however, if a limited submission is checked, the form will provide additional guidelines.
- Submission deadlines for various limited funding opportunities are given in the Table below.
- Specific guidelines for submission of pre-proposals to different funding opportunities will be sent to faculty by email or through online access.
- Pre-proposals generally include the following:
 - 4-page project description/research plan summary containing the key elements of the RFP, as identified in the limited submission guidelines. In the case of NSF pre-proposals, the research plan should include intellectual merit and broader impact.
 - 2-page biographical sketches for PI and each of Co-PIs.
 - 1-page or less preliminary budget.
 - 1-page or less budget justification. A cost-share source should be included, if applicable.

Review Procedure (Limited Submission Pre-Proposals)

R&I will form an ad-hoc committee of appropriate faculty members to review pre-proposals. Reviewers will evaluate each pre-proposal based on the proposed project's suitability to the program announcement and the credentials of the PI and Co-PIs. Each review process will be tailored according to the specific solicitation. The most competitive pre-proposals will be selected and recommended to the Vice President for Research & Innovation to move to the complete proposal development stage. R&I will notify the selected PIs, and they will work with SRS Proposal Administrators for budgeting and proposal submission. SRS will submit the full proposal(s) to the sponsor after obtaining regular routing approvals.

Funding Sources

Federal Agencies:

- [NATIONAL SCIENCE FOUNDATION \(NSF\)](#)
- [NATIONAL INSTITUTE OF HEALTH \(NIH\)](#)
- [DEPARTMENT OF EDUCATION \(DOED\)](#)
- [U.S. DEPARTMENT OF AGRICULTURE \(USDA\)](#)
- [DEPARTMENT OF DEFENSE \(DOD\)](#)
- [SUBSTANCE ABUSE & MENTAL HEALTH SERVICES ADMINISTRATION \(SAMHSA\)](#)
- [ENVIRONMENTAL PROTECTION AGENCY \(EPA\)](#)
- [NATIONAL AERONAUTICS AND SPACE ADMINISTRATION \(NASA\)](#)
- [DEPARTMENT OF ENERGY \(DOE\)](#)
- [ADMINISTRATION FOR CHILDREN & FAMILIES \(ACF\)](#)
- [NATIONAL ENDOWMENT FOR THE ARTS \(NEA\)](#)
- [NATIONAL ENDOWMENT FOR THE HUMANITIES \(NEH\)](#)
- [INSTITUTE FOR MUSEUM & LIBRARY SERVICES \(IMLS\)](#)
- [NUCLEAR REGULATORY COMMISSION \(NRC\)](#)
- [HOUSING & URBAN DEVELOPMENT \(HUD\)](#)
- [DEPARTMENT OF JUSTICE \(DOJ\)](#)
- [DEPARTMENT OF STATE – FULBRIGHT PROGRAM](#)
- [S. DEPARTMENT OF TRANSPORTATION \(DOT\)](#)

Private & Non-Profit Foundations:

- [ALFRED P. SLOAN FOUNDATION](#)
- [ANDREW W. MELLON FOUNDATION](#)
- [BECKMAN FOUNDATION](#)
- [BILL AND MELINDA GATES FOUNDATION](#)
- [BURROUGHS WELLCOME FUND](#)
- [DAVID & LUCILE PACKARD FOUNDATION](#)
- [EWING MARION KAUFFMAN](#)
- [FORD FOUNDATION](#)

- [HOWARD HUGHES MEDICAL INSTITUTE](#)
- [JOHN TEMPLETON FOUNDATION](#)
- [ROBERT WOOD JOHNSON FOUNDATION](#)
- [W.K. KELLOGG FOUNDATION](#)
- [WILLIAM & FLORA HEWLETT FOUNDATION](#)

New Opportunities for Grants

- [Grants New Opportunity List by Agency](#)

Grant Writing Resources

The Office of Research Advancement (ORA) in the Division of Research & Innovation (R&I) is a resource for advancing externally funded research to faculty and staff researchers and graduate students in Prairie View A&M University disciplines.

If you are interested and/or involved in writing proposals for grants and contracts to establish your externally funded scholarly research or creative activity at PVAMU. In that case, you have arrived at the right place. This grant writing resources page includes several reading materials and guidelines for your benefit.

Grant Writing Resources

- [FEDERAL GRANT WRITING MANUAL](#)
- [REDUCING INVESTIGATOR'S ADMINISTRATIVE WORKLOAD FOR FEDERALLY FUNDED RESEARCH](#)
- [CHARTING A COURSE FOR A SUCCESSFUL RESEARCH CAREER](#)
- [YOUTUBE: HOW TO SEARCH FOR A GRANT](#)
- [YOUTUBE: PIVOT INTRODUCTION](#)
- [NATIONAL COUNCIL OF UNIVERSITY RESEARCH ADMINISTRATOR \(NCURA\) YOUTUBE TRAINING VIDEOS](#)
- [THE CHRONICLE OF HIGHER EDUCATION: 10 TIPS FOR SUCCESSFUL GRANT WRITING](#)
- [HANOVER RESEARCH: GRANTS CALENDAR \(STEM PROGRAM\)](#)

Funding Sources

Federal Agencies:

- [NATIONAL SCIENCE FOUNDATION \(NSF\)](#)
- [NATIONAL INSTITUTE OF HEALTH \(NIH\)](#)
- [DEPARTMENT OF EDUCATION \(DOED\)](#)
- [U.S. DEPARTMENT OF AGRICULTURE \(USDA\)](#)
- [DEPARTMENT OF DEFENSE \(DOD\)](#)
- [SUBSTANCE ABUSE & MENTAL HEALTH SERVICES ADMINISTRATION \(SAMHSA\)](#)

- [ENVIRONMENTAL PROTECTION AGENCY \(EPA\)](#)
- [NATIONAL AERONAUTICS AND SPACE ADMINISTRATION \(NASA\)](#)
- [DEPARTMENT OF ENERGY \(DOE\)](#)
- [ADMINISTRATION FOR CHILDREN & FAMILIES \(ACF\)](#)
- [NATIONAL ENDOWMENT FOR THE ARTS \(NEA\)](#)
- [NATIONAL ENDOWMENT FOR THE HUMANITIES \(NEH\)](#)
- [INSTITUTE FOR MUSEUM & LIBRARY SERVICES \(IMLS\)](#)
- [NUCLEAR REGULATORY COMMISSION \(NRC\)](#)
- [HOUSING & URBAN DEVELOPMENT \(HUD\)](#)
- [DEPARTMENT OF JUSTICE \(DOJ\)](#)
- [DEPARTMENT OF STATE – FULBRIGHT PROGRAM](#)
- [S. DEPARTMENT OF TRANSPORTATION \(DOT\)](#)

Private & Non-Profit Foundations:

- [ALFRED P. SLOAN FOUNDATION](#)
- [ANDREW W. MELLON FOUNDATION](#)
- [BECKMAN FOUNDATION](#)
- [BILL AND MELINDA GATES FOUNDATION](#)
- [BURROUGHS WELLCOME FUND](#)
- [DAVID & LUCILE PACKARD FOUNDATION](#)
- [EWING MARION KAUFFMAN](#)
- [FORD FOUNDATION](#)
- [HOWARD HUGHES MEDICAL INSTITUTE](#)
- [JOHN TEMPLETON FOUNDATION](#)
- [ROBERT WOOD JOHNSON FOUNDATION](#)
- [W. K. KELLOGG FOUNDATION](#)
- [WILLIAM & FLORA HEWLETT FOUNDATION](#)

SRS Proposal Submission Guidelines

- Researchers are asked to contact SRS pre-award staff with their intent to submit a proposal a minimum of 3 weeks prior to the sponsor deadline.
- SRS requests the following documents 5 business days in advance of the sponsor deadline:
 - Budget and budget justification
 - Draft abstract or statement of work
 - Relevant approved waivers
 - Subcontract documents
 - Biosketch, Current & Pending
 - Data Management Plan
 - Facilities & Equipment

- Technical portions of the proposal should be submitted to SRS in **final format no later than 1 business day** prior to the sponsor deadline.
- For proposals that follow the timeline above, the proposal will receive a complete and thorough quality review.
 - PIs will receive any necessary or suggested changes, and SRS will work with the PI to make changes prior to submission.
 - SRS pledges to submit on-time proposals, with limited exceptions, prior to the sponsor's deadline. Proposals with the required materials submitted to SRS within the timeframe outlined above will receive priority over proposals received with shorter lead time.
 - SRS staff will make every effort to submit all proposals. In the event that a proposal is received outside of the requested timeframe, the investigator will assume the risk for proposals found to be non-compliant or those that do not meet the sponsor's deadline.
- Agency deadlines – Unless the deadline is specifically defined as earlier than 5 p.m. by the sponsor, the submission deadline for SRS is 5 p.m. local time on the sponsor's specified deadline date (even if the sponsor allows submissions beyond 5 p.m.).
- Approvals – If a proposal is submitted to the sponsor without SRS or System Member review, the proposal may be withdrawn if it is determined to be non-compliant with the System Member rules, standard administrative procedures or guidelines.

The SRS Proposal Administrator needs the following information from the Principal Investigator to get started on logging in and creating a proposal in Maestro.

- Sponsor name
- Proposal guidelines
- Due date of submission
- Proposal title
- Project start and end dates
- Names and contact information of any collaborators

Required PI Action: Your proposal will then be logged into the Maestro system. Once the proposal is logged in, the PI will receive a notification to go into Maestro and complete the PI compliance items.

The Budgeting Process

Your SRS Proposal Administrator will help you prepare the budget for the sponsor. To get started, simply send your Proposal Administrator an outline of what budget items are needed.

- Personnel – percentage of time or months for each person on the budget
 - PIs and other personnel working on the budget are expected to request budgeted effort from the sponsor.
 - Include titles of to-be-named personnel – technicians, PostDocs, graduate students, undergraduate students, etc.
- Travel – any expected travel for conferences, collaborations, etc. Include destinations if known, number of people traveling, days, etc.
- Materials and supplies – amount per year you expect will be needed
- Equipment – any planned purchase of equipment
- Publication costs
- Consultants
- Subawards – If other institutions will be involved, this information needs to be disclosed early in the budgeting process. Information is required from the other institution, and their approval process takes time. Needed:
 - Budget and budget justification
 - Statement of work
 - Letter of collaboration (if required by sponsor)
 - Subrecipient Information Form – will be sent by the SRS PA to the sub

With this information, your SRS Proposal Administrator will prepare a budget spreadsheet and email that to you for review and suggested changes.

Support Letter and Cost Sharing

- 1. Institutional Support Letters:** Requests for Institutional Support Letters from VPRI must be submitted by the PI to the Executive Director, Research Administration, at least **five days** before the deadline. A draft letter from the PI may be required, depending upon the RFP. **Two weeks'** notice is required for letters requiring support from the President.
- 2. Cost-Share Requests to VPRI Office:** The PI shall consider the following elements as listed in order of priority to secure cost-sharing:
 - i) PI/Co-PI time and effort;
 - ii) Departmental/College support for PI/Co-PI release time and/or student funding, and finally;
 - iii) VPRI support.

The VPRI office may consider cost-share requests in the following priority order:

- i) Undergraduate Student Support;
- ii) Graduate Student Support;
- iii) Faculty internal grant support programs (RISE, RAPID, etc.);
- iv) Reduced IDC and finally
- v) IDC waiver.

A cash-match is nearly impossible.

Cost sharing (or cost-matching) is that portion of project costs not reimbursed by the sponsor. Cost sharing requirements should be stipulated in the sponsor's guidelines. Texas A&M University System Members have regulations regarding cost sharing. As a general rule:

- Offering cost sharing when it is not mandated by the sponsor will require prior approval from the System Member. Some will not approve any voluntary cost sharing.
- Most System Members will not allow cost sharing on proposals to for-profit sponsors.
- All sources of cost sharing must be identified at the proposal stage.
- It is the responsibility of the PI to solicit and obtain cost sharing commitments.
- Any third party cost sharing will require documentation from the providing entity.
- If cost sharing is mandated by the sponsor and subrecipient institutions are involved in the project, those institutions are expected to bear their portion of the required cost sharing.

Per cost principles outlined in the U.S. Office of Management and Budget (OMB) "Uniform Guidance", any cost sharing must meet the following criteria:

- Verifiable from the recipient's records
- Not included as a contribution for any other federally assisted program
- Necessary and reasonable for proper and efficient accomplishment of the project or program objectives
- Allowable under applicable cost principles
- Not paid by another federal award, except as authorized by statute
- Provided for in the approved budget when required by the federal awarding agency

If your project requires cost sharing, discuss early with your Proposal Administrator.

Proposal Routing and Approvals

When the budget is finalized and necessary routing documents are received, the routing process can start. Before your proposal is submitted to the sponsor, the final budget, any cost-sharing documentation, and draft text will be submitted through Maestro for electronic approval. Proposals generally route through the PI, Department Head or Director, Dean, Vice President for Research or System Member Research Office. Your proposal must receive all administrative approvals prior to final submission. Your proposal administrator will start the routing process in Maestro after the budget is finalized and documents necessary for routing have been received from you. Generally, these are the budget, budget justification and summary or statement of work.

Components of the Proposal – Who is responsible?

Generally, your SRS Proposal Administrator will handle budgetary and administrative sections of the proposal. The Principal Investigator is responsible for the technical portions.

| Principal Investigator | SRS Proposal Administrator |
|---------------------------------------|---|
| Budget Justification | Budget |
| Summary, Statement of Work | Sponsor budget forms |
| Technical narrative | Coordinate obtaining subcontract documents |
| Biosketches | Coordinate approvals for waived indirect costs (IDC) and cost sharing if needed |
| Current & Pending support if required | Initiate and route proposal in Maestro |
| Data Management Plan | Electronic application if submitted by SRS |
| Facilities & Equipment section | Submits proposal on behalf of PVAMU |
| Other required technical sections | |

SRS Quality Check

SRS has a team that quality checks each proposal prior to submission if given the requested adequate time. SRS pledge to the research community:

- Proposals in final format received at SRS by the timeline outlined in the Proposal Submission Guidelines on Page 6 will receive a complete and thorough quality review.
- For proposals completed and submitted to SRS within Proposal Submission Guidelines timeframe, SRS will work with the PI to make necessary changes to ensure that the proposal is administratively compliant.

Submission

Once all pieces of the proposal are finished and ready for submission, your SRS Proposal Administrator will submit on behalf of the institution. Some sponsor's submissions systems require proposals to be submitted by the PI. In those cases, after submission, please send a copy of the final submitted product to the Proposal Administrator for saving in Maestro.

Benefits to Submitting Early

- Provide time to correct any items discovered during the quality review.
- Ensure there are no glitches with electronic submission systems / Time to correct any issues that are noted by sponsor's compliance system.
- Proposals with the required materials submitted to SRS within the timeframe outlined above will receive priority over proposals received with shorter lead time.
- SRS staff will make every effort to submit all proposals. In the event that a proposal is received outside of the requested timeframe, the investigator will assume the risk for proposals found to be non-compliant or does not meet the sponsor's deadline.

Proposal Collaborators/Subawards

Overview

A subaward agreement is a formal written contract made between the Texas A&M University System Member and another institution or organization to perform an intellectually significant portion of a sponsored project's work. It does not include payments to a contractor or payments to an individual that is a beneficiary of the program.

A subaward must include a clearly defined statement of work (SOW) to be performed by the subrecipient's personnel, using its own facilities and resources. The subrecipient takes full responsibility for adhering to the terms and conditions of the subaward including those flowed down from the prime sponsor and assumes creative and intellectual responsibility as well as financial management for performing and fulfilling the subrecipient's SOW within their approved budget. Subawards should be disclosed in the technical section of the proposal to show a clear delineation of the work to be performed by each institution.

If your project will include a subaward, it will be handled at each stage of the project by SRS personnel:

Proposal stage

- Proposal Administrator will seek documents from the subrecipient institution to include with the proposal and for internal purposes. Documents required:
- Budget and budget justification
- Statement of Work
- Subrecipient Commitment Form completed, signed by institution, and returned to SRS

Distinguishing Between a Subaward and a Procurement Action

Distinguishing Between a Subaward and a Procurement Action

Note: *It can be difficult at times to accurately determine whether a true subrecipient relationship exists. Please work with your proposal administrator to determine if a subrecipient relationship exists.*

If Procurement Action is needed, training is recommended to access Panther Buy and to better understand the procurement and contracting processes.

*The agreement is likely a **subaward** if you can answer “yes” to the following about the entity:*

- Determines who is eligible to receive what Federal assistance
- Has its performance measured in relation to whether objectives of a Federal program were met
- Has responsibility for programmatic decision making and has a key/substantive role identified in the proposed project
- In accordance with its agreement, uses the Federal funds to carry out a program for a public purpose specified in authorizing statute, as opposed to providing goods or services for the benefit of the pass-through entity
- Will have potentially patentable or copyrightable technology emanating from the activities of this entity
- Will be providing cost sharing or matching funds

*The agreement is likely that of a **contractor or vendor** if you can answer “yes” to the following about the entity:*

- Provides the goods and services within normal business operations
- Provides similar goods or services to many different purchasers
- Normally operates in a competitive environment
- Provides goods or services that are ancillary to the operation of the Federal program

Award and Account Set-Up and Expediting Team- AASET

Award and Account Set-Up and Expediting Team Services

AASET

- Created to expedite award intake & project set-up
- 80-85% of set-ups are completed within 10 days
- Maintains data integrity for TAMUS member reporting
- Works across all TAMUS members
- AASET handles the actions for modifications and/or amendments with funding attached
- Compliance is clear before releasing the project Post Award

Award Acceptance

If you receive a sponsored research agreement please forward it to SRS at awards@tamu.edu.

Helpful Reminder: Don't sign the agreement! There is a delegation for signature authority for all agreements and contracts. Individuals not specifically delegated to sign specific types of contracts are not authorized to sign on behalf any Texas A&M System Member.

The Award and Account Set-up and Expediting Team (AASET) performs the intake role of award documents from sponsors and establishes sponsored projects and accounts in MAESTRO and FAMIS to ensure data security for all system members managed by SRS.

Most funding agreements will come directly to SRS in response to a proposal prepared and submitted by SRS, on behalf of principal investigators (PIs). AASET logs the award into Maestro and determines if the award should be routed to Contract Negotiation for review and/or acceptance or if it is ready to proceed for award and account establishment.

Once an award has been accepted by SRS, on behalf of the system member, AASET sets up an account in FAMIS and links the financial account and proposal record to the project record in Maestro. Proposals are linked to the project record to maintain a consistent record of the statement of work and researchers involved in the project. Funds are loaded to the FAMIS financial account and spending restrictions, if applicable, are noted on the project record in Maestro, 80-85% of setups are completed within 10 days of an award being fully executed.

As part of award and account establishment, AASET ensures compliance requirements are cleared prior to releasing the established project to Post Award, such as a routed and approved proposal, Financial Conflict of Interest (FCOI) for all investigators, and approved protocols for compliance items.

Items Required to Release Funding

Maestro Tasks: Reporting Codes (Research projects only) PI Compliance Statement and Personnel tasks must be completed in Maestro. Step- by- step instructions can be provided, if needed

Proposal: The Setup Admin will verify a proposal has been routed and approved.

Financial Conflict Interest (FCOI): FCOI Annual Disclosure and FCOI Training in TrainTraq must be completed for all personnel paid on the project. Step- by- step instructions can be provided, if needed

Compliance: All compliance items must be approved by the PVAMU Office of Research Compliance

Account Profile Form(s): The PI shall route and submit the account profile eform once they received the number from SRS. Once completed and fully signed, the information needs to be sent to Cozette Turner, who will notify SRS once the process is complete.

NOTE: You do not need to include SRS contacts on this form.

Contract Negotiation

Agreements require careful review to protect the interests of the researcher and the System member. An SRS contract negotiator reviews the terms and conditions of federal, state, and non-profit agreements for non-standard conditions and negotiates any necessary changes. To confirm acceptable arrangements, SRS contract negotiators consult, as needed, the A&M System's Office of General Counsel, Technology Commercialization, and the appropriate A&M System member's administration. The System member negotiates industry contracts.

Contract Negotiation

SRS Contract Negotiator Services

- Review and negotiate the terms and conditions of agreements or modification to ensure compliance with applicable Texas A&M System policies, member rules/guidelines, and federal and state regulations.
- Review and address any expectations included in the Request for Applications (RFP/RFA) at the time of proposal preparation.
- When necessary, negotiators engage the TAMUS Office of General Counsel, TAMUS Vice Chancellor for Research and the appropriate PVAMU offices to determine optimal agreement terms and mitigate high risk clauses.
- Seek PVAMU approval for cost sharing, project termination/ suspensions, and non-standard terms.
- Track agreements through to full execution.

The principal investigator (PI) is primary responsible for the management of the project. Therefore, it is critical that the PI reviews and understands the terms and conditions of the specific award.

Contract Services Provided BY SRS and PVAMU

Gifts and contributions are governed by System Policy <http://policies.tamus.edu/21-05.pdf> System Regulation <http://policies.tamus.edu/21-05-01.pdf> and UAP <https://www.pvamu.edu/policies/#s21> Gifts, Donations, Grants & Endowments. These agreements should route through the Office of Development.

| SRS | PVAMU |
|--|--|
| <ul style="list-style-type: none">• Contracts and subcontracts for following entities:• Federal• State• Non-profit• Industry• Certifications/Assurances for SRS Proposals and Negotiations• Amendments to contracts and subcontracts | <ul style="list-style-type: none">• Unfunded Memorandums of Understanding (MOUs)• Non-Disclosure Agreement (NDAs)• Material Transfer Agreements (MTAs)• Gifts and Contributions |

Negotiation Process

Overview

SRS manages pre-award and post-award functions of sponsored research for all The Texas A&M University System members under [TAMUS Policy 15.04](#) Sponsored Research Services guidelines.

The role of contract negotiators is to protect the interests of The Texas A&M System while considering the risk or impact of proposed agreement terms on the researcher, students, PVAMU and sub-recipients. Contract negotiators:

- Review and negotiate the terms and conditions of agreements to ensure compliance with applicable Texas A&M System policies and applicable local, state, and federal regulations.
- Review and address any exceptions included in the Request for Applications at the time of proposal preparation and
- Negotiators engage the [Office of General Counsel](#), [Texas A&M Technology Commercialization](#), [Risk Management](#), and System Member offices to seek approval on agreement terms when necessary.
- Track agreements through to full execution.

The principal investigator (PI) is primarily responsible for project management. Therefore, the PI must review and understand the particular award's terms and conditions.

Subawards at Negotiation Phase

Subawards are issued only after a fully executed award is received by SRS from the prime sponsor.

If the subrecipient was not proposed in the original proposal, sponsor approval may be necessary prior to issuance of the subaward. Prior approval may also be necessary even if the subrecipient was proposed in the original proposal. In some very rare instances, prime sponsors request to review and approve the proposed subaward prior to SRS's release of the subaward to the subrecipient.

In preparing to issue a subaward, SRS gathers information about the subrecipient and reviews the subrecipient's financial status and internal controls. Our subaward contract negotiator drafts the subaward and adheres to the prime award agreement's terms and conditions and flows down the appropriate clauses.

Once the subaward draft is complete, it is sent to the PI for review and approval. Once approved, SRS sends it unsigned to the subrecipient for review. The subrecipient may want to negotiate changes or request clarification of the terms and conditions. Once negotiations are complete and the signed subaward is received, SRS executes it on behalf of the respective A&M System Member, returns the fully executed document to the subrecipient, and distributes the fully executed subaward to the PI.

How can we partner together to complete negotiations in a timely fashion?

The following list of items will be required to complete negotiations:

- **Proposal:** A Contract Negotiator (CN) will verify a proposal has been routed and has been approved. If one has not, then it will be prepared and routed at negotiations.
- **Terms & Conditions (T&C):** A CN will negotiate T&C if they do not adhere to System Policy. Non-standard T&C may require PI and Member approval.
- **Financial Conflict of Interest (FCOI):** Verify FCOI has not changed since the proposal was submitted.
- **Security Compliance:** If specific security requirements are part of the agreement. CN will notify the designated security officer for that system.
- **Animal, Human and Biohazards Compliance:** If applicable an IACUC, IRB or IBC may be needed.

- Export Control if there are non-standard conditions with publications, exports, and intellectual property.

Transition to Project Administration

AASET releases the project to the Project Administrator (PA) for a thorough quality review once the project is established. The PA will release the Sponsored Project Summary (SPS) once the review is complete.

Project Administration

Project Administration

SRS Project Administrator Services

Project management by the Project Administrator throughout the lifecycle of an award includes, but is not limited to:

- Performing project compliance on each project to ensure System member's policies, state, and federal regulations, and sponsor terms and conditions are being followed
- Providing researchers with project burn rate, budget forecasting, and ensuring expenditures and revenue are in balance
- Reviewing expenditures for allowability, allocability, and reasonableness
- Assisting researchers with preparation/submission of sponsor required reports
- Ensuring timely closeout of an award
- PA's work closely with Sponsored Billing; especially in preparing the final invoice

Once the award is set up, the project administration team is responsible for monitoring sponsored project accounts. The project administration team also provides expenditure monitoring to ensure allowability and compliance with federal regulations, sponsor specific requirements, state and university system policies and procedures. Your Project Administrator (PA) will work with you throughout the life of the award.

Each sponsored research project established is assigned to a Project Administrator (PA) based on the location of the principal investigator (PI) and the department.

Project Monitoring – Managing Research Accounts is a Collaborative Effort

During the life of the project, Project Administrators will:

- Assist in determining available account balances
- Review costs (such as payroll, travel, invoices, etc.) for allowability, allocability and reasonableness
- Verify and monitor cost share
- Communicate with the sponsor (For example: extension requests, budget reallocation, carry forward, etc.)
- Compliance verification
- Monitor subawards (invoicing, cost share, review of amendments, etc.)
- Adhere to budget restrictions and contract terms
- Review/approve timely payroll/non-payroll corrections on research accounts
- Finalize expenditures, invoicing/draw downs, and deliverables so accounts can be closed in a timely manner

Adding Personnel to Project Payroll

Personnel may be added to your research project payroll by the PVAMU Business Administrator in your department. Once added, the action will route to the SRS Project Administrator for review/approval.

Purchasing/Travel

As with project payroll, these transactions are generally started in your department with the Business Administrator. Your SRS Project Administrator will review and approve the actions.

Interim Funding

Interim funding is financing provided by a principal investigator's respective, Texas A&M System Member and/or department for expenses incurred before the fully executed award document has been received from the sponsor. Interim funding may also be required, when necessary, to bridge time before the next year of funding is received. Interim funding guidelines vary by System Member, please contact your project administrator to determine if interim funding is appropriate.

Cost Transfers

A cost transfer is an expense that is transferred from one account to another after the expense was initially recorded in the financial accounting system. Project sponsors expect the grantee institution to establish and maintain adequate financial management practices and policies so that costs are appropriately charged at the time incurred and significant adjustments are not generally required. The federal government has established policies concerning the assignment of costs to federally sponsored agreements, including the general government policies outlined in 2 CFR Part 200 Uniform Guidance as well as federal and nonfederal agency-specific policy requirements.

To comply with the cost allowability and allocability requirements outlined in the Uniform Guidance (200.400 - Subpart E - Cost Principles) , the institution must be able to explain and justify all charges transferred onto federal awards, whether the costs are transferred from some other federal account, a non-federal account, or a University account. Any necessary cost transfers should be completed in a timely manner and with a complete explanation, as these are, per the principles outlined in the Uniform Guidance (200.400 - Subpart E - Cost Principles) , critical factors in supporting allowability and allocability.

Cost transfers should be processed within 90 days of the original expense.
For cost transfers, please contact your SRS Project Administrator.

***Post-Award – Project Compliance is a Collaborative Effort by
Department, PI, and SRS Project Administrator***

- Guidance for spending funds in accordance with the authorized purpose, proactive monitoring, and internal controls.
- The avoidance of:
 - Fraud, Waste and Abuse
 - Institutional mismanagement of Federal funds
- Ensuring proper stewardship of funds
 - Financial management systems
 - Monitoring
 - Adherence to terms and conditions of the award

Subawards at Project Administration Phase

When your project is initially set up, a separate support account is established for each subaward.

During the life of a Subaward, the Project Administrator:

- Will Review invoice checking account number, total agreement amount, period of performance, back up documentation, cost sharing if required, and class invoice.
- Once reviewed, approve the invoice and collect PI certification. The PI will need to approve subaward invoices.

Subrecipient Monitoring

SRS is required to monitor the programmatic and financial activities of its subrecipients as part of the terms and conditions of its prime awards and as required by the federal government.

Progress reports and other technical deliverables must be reviewed by the A&M System PI and discussed with the subrecipient as needed. These reports are usually incorporated as part of the deliverables along with the technical reports submitted to the sponsor by the PI. SRS is responsible for obtaining the other reports required by the subaward terms and conditions, such as invention reports or audit reports.

Subrecipients will send invoices according to the terms and conditions of the subaward. Your Project Administrator will review the invoices to ensure that costs are allowable according to the subaward document. The PI will be asked to review the invoices prior to SRS processing payment to the subrecipient. A sample invoice will normally be provided to the subrecipient with the subaward agreement.

Technical Reports

Most grants and contracts require the submission of a final report of the research accomplished during the period of performance. Some sponsors also require the submission of interim or annual reports. Such reports may vary—from a brief summary and list of publications to a complete compilation of the project and its results. The specific requirements are stated in either the award document, or, in the case of many grants, a policy manual referenced in the award. It is the principal investigator's (PIs) responsibility to prepare and submit the technical/programmatic reports to the sponsor in a timely manner. Copies of technical deliverables may be submitted to SRS via Maestro.

Reporting of Inventions

Most sponsors require that discoveries and inventions be disclosed to the sponsor upon conception or reduction to practice. Many sponsors require reports of inventions at regular intervals, generally annually. The PI is responsible for adhering to a sponsor's invention reporting requirements and to The Texas A&M University System policies regarding the disclosure of inventions.

At the completion of the project it is often necessary to certify whether or not an invention has been made during the course of the project. SRS will notify the PI when invention reports are required and will supply the necessary forms. However, it is the responsibility of the PI to report an invention to the Texas A&M System Technology Commercialization at [Texas A&M Innovation - Texas A&M Innovation \(tamuc.edu\)](https://tamuc.edu/texas-am-innovation)

Final Inventory of Equipment

All federal contracts and many grants require a final inventory of equipment purchased, fabricated, or furnished by the sponsor during the period of the project. Non-federal sponsors may have other requirements.

Financial Reports

SRS is responsible for preparing and submitting financial reports and invoices, where required. However, the PI and their department play a vital role in assuring that the report (and final invoice, if necessary) is accurate and submitted on time. In addition, for awards that required cost sharing (<https://srs.tamu.edu/contracts-and-grants/cost-sharing/>), an accounting of the cost-shared amounts will need to be provided.

Consequences of Untimely Reporting

It is the responsibility of the Principal Investigator to submit timely technical/programmatic reports to the sponsor. Among the actions sponsors can take when annual and/or final reports are not received by their deadline are:

- The loss of expanded authorities on current and future awards. This would include budget revisions and no-cost extensions.
- Delays in receiving payments or sponsor refusal to pay outstanding invoices.
- Sponsor designation of the University as a high-risk awardee.
- Agency may refuse to review new proposals.
- The loss of external funding from that sponsor, *not only to the individuals involved but to other University investigators as well.*

Project Closeout

The last step in a grant or contract's life cycle—whether cost-reimbursable or fixed-price—is project closeout. The critical feature to any close is submitting all technical, financial, and other reports as required to the sponsoring agency on time.

The principal investigator (PI) will be notified prior to the termination date of the project. The SRS project administrator will communicate with the PI to determine if a no-cost extension will be requested or an extension with additional funds is pending.

Your project administrator will start the closeout process, and once completed, the closeout support group will take over and facilitate the communication with the other SRS and A&M System components that should be involved in the closeout process—which may include offices associated

with [project payroll](#), [accounts receivable](#), purchasing, [property](#), and [compliance](#) (if there are sub-awards or cost-sharing) and/or [Texas A&M System Technology Commercialization](#) (if invention disclosures were submitted).

When a project has been completed, SRS will prepare and send whatever documents the sponsor requires to close the project. Please be aware that many sponsors will not make final payments on awards until they have received the final technical report. So make sure to review your award document carefully and issue your final technical report after you have completed the project.

Final Technical Report

The PI on a sponsored research project is responsible for the timely submission of the final technical reports. The award package usually defines specific sponsor requirements for the technical reports. When the report is completed, the PI may submit it directly to the sponsoring agency, whether it is an electronic or paper submission. Many sponsors have electronic systems where the PI uploads the report. Below is a partial listing of sponsors and their systems:

National Science Foundation: [FastLane](#) and [Project Outcomes Report for the General Public](#)
National Institutes of Health: [eRA Commons](#)

- SRS requires a copy of the final technical report, which may be emailed to deliverables@tamu.edu or the Project Administrator.
- The obligations of the award have not been met until the report has been submitted to the sponsor.

Final Financial Report

- The final fiscal report is generally due within 60-90 days after the award's expiration date.
- [SRS's Accounts Receivable](#) team prepares and submits this final fiscal report.
- The PI needs to ensure that all costs have been appropriately reported and posted to the account.

Final Report of Inventions

- Many sponsors require reports about inventions made during the conduct of research to ensure disclosure, in which case [Texas A&M System Technology Commercialization](#) would help manage the process.

Final Property Report

- The SRS Project Administrator will prepare this report.

Sponsored Billing

Sponsored Billing Services

- Utilizes accounting transactions from the Texas A&M University System financial system, FAMIS, and the research administration enterprise-wide system, Maestro:
 - Prepares, analyzes, reconciles, and submits accurate, timely financial deliverables (i.e. invoices, financial reports) and special reports/forms (e.g. HUB property, Release of Claims, closeout, Small Business etc.)
- Reviews sponsored research award documents to determine billing and reporting requirements and schedules.
 - Creates and tracks required deliverables and schedules in the Maestro Sponsored Billing Module
- Assists in resolving reconciliation problems, financial deliverable issues, and collection of outstanding invoices
- Effectively communicates with Principal Investigators and Department/Unit staff to resolve financial deliverable issues and provide sponsor required information
- Works collaboratively with all SRS functional areas, A&M System Member Representatives, Departments/Unit Staff, and PIs
- Effectively communicates to facilitate effective and efficient submission of financial deliverables

Sponsored project invoicing, letter of credit draws, and financial reporting are conducted by our Sponsored Billing team in accordance with the sponsor's terms. Collection of aged receivables is also managed by the SRS Sponsored Billing team. The SRS Project Administrator will work closely with the Sponsor Billing department to ensure billing the sponsor is timely and according to the contract terms.

Services Provided by Sponsored Billing

- Sponsor Billing – Sponsored project invoicing for cost-reimbursement, fixed-price, and fixed rate research projects. The sponsor award document dictates the type and frequency of invoicing.
- Drawdown Accounts – Under the terms of some awards, accounts receivable can draw down funds using the sponsor's electronic payment system.
- Collections – Outstanding invoices are monitored by accounts receivable and, when necessary, stakeholders are engaged regarding aged receivables.

- Financial Reports – Preparation and submission of financial reports required by sponsors.
- Sponsored Required Property Reports

Maestro

Maestro is an enterprise-wide system that supports researchers and research administration across The Texas A&M University System. In Maestro, researchers can review and approve their proposals prior to submission, review their accounts once awarded, add research keywords to their personal profile, search for colleagues with a specific area of interest, or search for funding opportunities. *Access to Maestro is required for proposal submission.* Maestro may be accessed through the TAMUS Single Sign On. <https://sso.tamug.edu/>

Research Compliance

Texas A&M University System is committed to the highest standard of integrity in conducting research. Over the years, academic research has grown and has become more complex. The Principal Investigator is responsible for familiarizing themselves with all areas of research compliance. Reviews are required to ensure research compliance for all projects regarding human subjects, animals, biohazardous materials or recombinant DNA. Information regarding the Research Compliance Committees and Responsible Conduct in Research are available with the [Office of Research Compliance](#).

Human Subjects

In the event that human subjects are to be included as part of a research study, the conduct of this part of the study must be reviewed and approved by the Institutional Review Board (IRB). After review, the IRB will issue a written notice of its action with a copy to the PI. Studies may commence only when the research protocol is approved by the IRB.

Laboratory Animals

Activities (Research, Teaching, or Testing) involving the use of vertebrate animals must follow protocols that have been reviewed and approved by the Institutional Animal Care and Use Committee (IACUC). After review, the IACUC will notify the PI of its action. Studies may not commence until approval is obtained from the IACUC.

Radioactive Materials

If research studies involve exposure of personnel and/or subjects to radioactive material or radioactivity including x-rays contact the Office of Risk Management and Safety (RMS) for approval of the risk management protocol before research is commenced.

Biohazard Materials and Recombinant DNA

If the research studies involve the use of recombinant DNA or any biohazard materials, approval of the research study protocol must be secured from the Institutional Biosafety Committee (IBC). For training resources, contact The Office of Research Compliance.

Export Control

There are federal agencies that regulate the shipment or transfer of controlled items, software, technology, and services inside and outside of the United States (U.S.) to non-U.S. entities. Non-compliance with export controls regarding research studies can result in severe monetary and criminal penalties against a PI and/or PVAMU; which can result in the loss of research contracts or Federal or State funding.

Traveling overseas with controlled equipment, or confidential, unpublished, or proprietary information may constitute non-compliance under export controls. For detailed information regarding export control risks associated with international travel contact the Export Controls Officer in the Office of Research Compliance.

Research Integrity

All research activities undertaken at PVAMU must be conducted effectively, objectively and without any improper influence. The research study should be devoid of plagiarism, falsification of research data and fabrication of research data. Failure to comply with these regulations can result in criminal penalties against the PI or PVAMU. Further information on research integrity can be obtained from the Office of Research Compliance.

Financial Conflict of Interest

All PIs must ensure compliance with the applicable Federal regulations, TAMU System Regulation, and PVAMU Rule regarding financial conflict of interest. Non-compliance with these rules and regulations may result in criminal penalties against the PI. PIs are, therefore required to complete the Financial Conflict of Interest training via PVAMU TrainTraQ, and Financial Conflict of Interest Disclosure via Maestro before commencing their research.

Intellectual Property

It is Texas A&M University System (TAMUS) Policy that title to patents and copyrights developed under sponsored programs remain with PVAMU (TAMUS). The Texas A&M Innovation is the TAMUS office is the office supporting inventors and commercializing innovations across the Texas A&M University System. Their website is

[Texas A&M Innovation - Texas A&M Innovation \(tamus.edu\)](http://tamus.edu)

SRS Contacts

Proposal Contacts

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Glossary of Terms

Allocable Costs: Those allowable costs that actually benefit the project funded by the grant or contract to which they are being charged. For example, allocable costs include the cost of the effort of employees applied to the project supported by the award.

Allowable Costs: Those categories of costs that can be charged to an award, such as salaries and equipment. Certain types of costs, such as the cost of alcoholic beverages, are not allowable. Costs must be reasonable, allocable and consistent with terms of the award.

Audit: A formal examination of the accounts of an organization, an individual, or a financial situation. An audit may also include an examination into compliance with applicable terms, laws, and regulations.

Authorized Total: The total amount obligated under a sponsored agreement that a sponsored project is authorized to spend in a given period. For example, suppose the budget for a particular proposal is \$3,000,000, the period of performance is three years, and the proposal is fully funded. Does this mean that you have \$3,000,000 available to spend? That depends on the Authorized Total that the sponsor has stipulated. If the sponsor has set \$1,000,000 for the first year of the award as the obligated amount, then you can spend up to \$1,000,000 during that first year. The sponsor will also obligate a given amount that you can spend for each subsequent year.

Awards: Funds that have been obligated by a funding entity for a particular project. Awards include grants, contract, cooperative agreements and other agreements in the form of money, property or service.

Basic research: Per FAR, that research directed toward increasing knowledge in science. The primary aim of basic research is a fuller knowledge or understanding of the subject under study, rather than any practical application of that knowledge.

Broad agency announcement: Per FAR, means a general announcement of an agency's research interest including criteria for selecting proposals and soliciting the participation of all offerors capable of satisfying the Government's needs

Budget: The detailed statement outlining estimated project costs to support work under a grant or contract.

Budget Period: The interval of time, usually twelve months, into which the project period is divided for budgetary and funding purposes.

CFR: Code of Federal Regulations

Change Order: Under Federal contracts containing a Changes clause, a written unilateral contract modification signed by the contracting officer, directing the contractor to make changes in project specifications. The Changes clause allows the contractor to submit a proposal for costs associated with the required changes.

Classified Contract: Per FAR, means any contract in which the contractor or its employees must have access to classified information during contract performance. A contract may be a classified contract even though the contract document itself is unclassified.

Classified Information: Per FAR, means any knowledge that can be communicated or any documentary material, regardless of its physical form or characteristics, that1) (i) Is owned by, is produced by or for, or is under the control of the United States Government; or (ii) Has been classified by the Department of Energy as privately generated restricted data following the procedures in 10 CFR 1045.21; and (2) Must be protected against unauthorized disclosure according to Executive Order 12958, Classified National Security Information, April 17, 1995, or classified in accordance with the Atomic Energy Act of 1954.

Close Out: The process of completing all the internal procedures and sponsor requirements necessary to terminate or complete a project.

Commerce Business Daily (CBD): Per FAR, means the publication of the Secretary of Commerce used to fulfill statutory requirements to publish certain public notices in paper form.

Competing Proposals: These are proposals that are submitted for the first time, or unfunded proposals that are resubmitted. Both types must compete for funds via a review process established by the sponsor. Ongoing projects must compete again if the term of the original award has expired.

Consortium Agreement: An Agreement written for multi-sponsor support of a sponsored program. Each sponsoring organization executes the same Agreement, becoming a consortium member.

Continuation Project (Non-Competing): Applicable to grants and cooperative agreements only. A project approved for multiple-year funding, although funds are typically committed only one year at a time. At the end of the initial budget period, progress on the project is assessed. If satisfactory, an award is made for the next budget period, subject to the availability of funds. Continuation projects do not compete with new project proposals, and are not subject to peer review beyond the initial project approval.

Contract: A mechanism for the procurement of a product or service with specific obligations for both sponsor and recipient. Typically, a research topic and the methods for conducting the research are specified in detail by the sponsor, although some sponsors award contracts in response to unsolicited proposals.

Cooperative Agreement: (Federal) A Form of Federal Assistance. This award anticipates substantial sponsor involvement in research once the award has been made. The sponsor's staff may be actively involved in proposal preparation. **Contract:** The appropriate agreement to use in a procurement relationship between the federal government and a contractor. A federal contract applies whenever the principal purpose is for the federal government to acquire property or services for its direct benefit and use.

Co-PI: The co-principal investigator.

Cost Accounting Standards (CAS): Federally mandated accounting standards intended to ensure uniformity in budgeting, spending and reporting of funds.

Cost-Reimbursement Type: A contract or grant for which the sponsor pays the full costs incurred in the conduct of the work, up to an agreed amount.

Cost Sharing: A portion of a project or program cost not reimbursed by the sponsor. Cost sharing represents a commitment by the Institute. Cost sharing may be required by the sponsor as a condition of the award (mandatory) or it may be offered by the Institute in excess of mandatory cost sharing requirements (voluntary). Whether cost sharing is required by the sponsor or is offered by the Institute or PI voluntarily, proposed cost sharing is a commitment once an award is made. In other words, they represent binding obligations on the Institute. The Federal regulations and the Institute policy governing cost sharing are summarized on the RA&F web site.

CRADA: Cooperative Research and Development Agreement. This is written agreement between a private company and a government agency to work together on a project.

Date of Completion: Per A-110, means the date on which all work under an award is completed or the date on the award document, or any supplement or amendment thereto, on which Federal sponsorship ends.

DFAR: Department of Defense supplement to the Federal Acquisition Regulations (FAR). DOD contracts will include both FAR and DFAR clauses.

Debarment: Per FAR means action taken by a debarring official under 9.406 to exclude a contractor from Government contracting and Government-approved subcontracting for a reasonable, specified period; a contractor that is excluded is “debarred.”

Deficit/Overrun: A financial condition in which expenditures exceed the funds available.

Direct Costs per OMB UG: Costs that can be identified specifically with a particular sponsored project, or can be directly assigned with a high degree of accuracy.

Disallowed Costs: Per A-110, means those charges to an award that the Federal awarding agency determines to be unallowable, in accordance with the applicable Federal cost principles or other terms and conditions contained in the award.

EB Employee Benefits/Fringe Benefits: Employee benefits paid by the employer (for example, FICA, Worker’s Compensation, Withholding Tax, Insurance, and so forth).

Electronic and Information Technology (EIT): Per FAR, has the same meaning as “information technology” except EIT also includes any equipment or interconnected system or subsystem of equipment that is used in the creation, conversion, or duplication of data or information. The term EIT, includes, but is not limited to, telecommunication products (such as telephones), information kiosks and transaction machines, worldwide websites, multimedia, and office equipment (such as copiers and fax machines).

Electronic Commerce: Per FAR, means electronic techniques for accomplishing business transactions including electronic mail or messaging, World Wide Web technology, electronic bulletin boards, purchase cards, electronic funds transfer, and electronic data interchange.

Electronic Data Interchange (EDI): Per FAR, means a technique for electronically transferring and storing formatted information between computers utilizing established and published formats and codes, as authorized by the applicable Federal Information Processing Standards.

Electronic Funds Transfer (EFT): Per FAR, means any transfer of funds, other than a transaction originated by cash, check, or similar paper instrument, which is initiated through an electronic terminal, telephone, computer, or magnetic tape, for the purpose of ordering, instructing or authorizing a financial institution to debit or credit an account. The term includes Automated Clearing House transfers, Fed wire transfers, and transfers made at automatic teller machines and point-of-sale

Equipment: Per OMG UG means tangible nonexpendable personal property including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5000 or more per unit. However, consistent with recipient policy, lower limits may be established.

ERA (Electronic Research Administration): ERA broadly encompasses the application of computer systems to serve the needs of all phases of research administration, from identifying funding opportunities to post-award administration

Fastlane: An interactive real-time system used to conduct official National Science Foundation business over the Internet. Fastlane is the submission system for the NSF, providing electronic templates for proposals, annual reports, final reports, extension requests, etc. For more information, see Fastlane

Facilities and Administrative (F&A) Rate: A rate that an institution charges to a sponsored project for the use of its facilities and administration.

Facilities and Administrative (F&A) costs: Per OMG UG, means costs that are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity. F&A costs are synonymous with “indirect” costs. F&A Facilities and Administration Rate: A rate that the Institute charges to a sponsored project for the use of Institute facilities and administration (overhead)

Federal Acquisition Regulations (FAR): The primary regulation used by all federal executive agencies in their acquisition (contracts) of supplies and services with appropriated funds.

Federal Awarding Agency: Per A-110, means the Federal agency that provides an award to the recipient.

Federal Fixed-price Contract: A contract providing for a set lump sum payment upon satisfactory performance of the terms of the contract.

Federal Grant: A form of Federal Assistance where the principal purpose of the award is the transfer of money to accomplish a public purpose. With a federal grant, there is no substantial involvement anticipated between the governmental agency and the recipient during the period of performance.

Federally Funded Research and Development Centers (FFRDCs): Per FAR, means activities that are sponsored under a broad charter by a Government agency (or agencies) for the purpose of performing, analyzing, integrating, supporting, and/or managing basic or applied research and/or development, and that receive 70 percent or more of their financial support from the Government; and-

(1) A long-term relationship is contemplated;

(2) Most or all of the facilities are owned or funded by the Government; and

(3) The FFRDC has access to Government and supplier data, employees, and facilities beyond that common in a normal contractual relationship.

Final Report: The final technical, property, intellectual property or financial report required by a sponsor to complete a project.

Fiscal Year (FY): Any twelve-month period for which annual accounts are kept. The fiscal year at the Institute is September 1 to August 31. The Federal fiscal year is October 1 through September 30. The State fiscal year is September 1 to August 31

Funding Cycle: The period during which a sponsor accepts proposals and awards funding. If a sponsor has standing proposal review committees (or boards) that meet at specified times during the year, application deadlines correspond with those meetings. In the case of NSF, proposals that are received too late to be considered in the current funding cycle, it may be held over for the next cycle.

FY: Fiscal Year. Any twelve-month period for which annual accounts are kept. The fiscal year at the Institute is July 1 to June 30.

FOIA: Freedom of Information Act.

GPG: Grant Proposal Guide. The proposal guidelines for the National Science Foundation.

FTE: Full-time equivalent. For example, two half-time employees represent one FTE.

Grant Number: Grant numbers assigned to each fund are used by RA&F to obtain financial reporting information. This number is referenced in BANNER online and in printed reports.

Fund Accounting: This is the accounting system used by the universities to identify revenues and expenses according to purpose of use and the source of funds. Separate records are kept for assets donated to an organization and restricted by donors to certain specific purposes or use if the total amount of the award is contained in that single fund. The grant consists of multiple funds when the award amount is divided into more than one fund, such as with master/subs.

Fund Number: The fund element is a unique six-digit code assigned to each project. This is the number you will use internally to charge expenditures to your project. Sponsored program funds begin

with either A or B, with A signifying research and B signifying training. The second digit defines the type of sponsor supporting the project.

IACUC: Institutional Animal Care and Use Committee

Indirect Costs: See F&A costs.

Departmental research means research: development and scholarly activities that are not organized research and, consequently, are not separately budgeted and accounted for. Departmental research, for purposes of this document, is not considered as a major function, but as a part of the instruction function of the institution.

Internal control: Per OMG UG, means a process, effected by an entity's management and other personnel, designed to provide reasonable assurance regarding the achievement of objectives in the following categories:

- (1) Effectiveness and efficiency of operations;
- (2) Reliability of financial reporting; and
- (3) Compliance with applicable laws and regulations.

IRB: Institutional Review Board. This is body, required under Federal regulation, which oversees research involving human subjects.

Key Personnel: The personnel considered to be of primary importance to the successful conduct of a project. The term usually applies to the Principal Investigator(s), but may extend to other senior members of the project staff.

Matching Funds: See cost sharing. This is financial contribution by the Institute required by a granting agency as a condition for receiving a contract, grant, or award; a form of cost sharing at a significant level.

MTDC: Modified Total Direct Costs. The base of costs to which the negotiated F&A rate is applied. New Award: An award not previously awarded, or a renewal or continuation award treated as a new award by the sponsor and given a new agency number. New and Competing Proposals: Proposals submitted for the first time and thus competing for funding, or ongoing projects that must re-compete for funding prior to the expiration of the original award.

No-cost Extension: An extension of the period of performance beyond the expiration end date established in the terms of the award to allow the principal investigator to finish a project. No additional funding is provided. Non-Competing Renewal: A renewal applied to a continuing project, i.e., one that need not compete with other projects for funding.

OMB UG: Office of Management and Budget Uniform Grant Guidance; This is a circular from the Executive Office of the president of the United States, Office of Management and Budget that guides and assesses the effectiveness of competing funding demands among agency programs.

Organized research: means all research and development activities of an institution that are separately budgeted and accounted for. It includes:

(1) Sponsored research means all research and development activities that are sponsored by Federal and non-Federal agencies and organizations. This term includes activities involving the training of individuals in research techniques (commonly called research training) where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function.

Other sponsored activities: means programs and projects financed by Federal and non-Federal agencies and organizations which involve the performance of work other than instruction and organized research. Examples of such programs and projects are health service projects, and community service programs.

Overhead: See F&A costs.

PI (Principal Investigator): The individual responsible for the conduct of research or other activity described in the proposal for an award.

Pre-award Costs Authorization: Authorization to incur allowable expense (sometimes up to a specified limit) on a project within a limited period before the award is made by the sponsor.

Pre-proposal: A brief description (usually 2-10 pages) of a research plan and estimated budget. The pre-proposal is sometimes submitted to determine the interest of a potential sponsor prior to submission of a formal proposal. A pre-proposal is also known as a preliminary, initial or Phase I proposal.

Prior Approval: Per OMG UG written approval by an authorized official evidencing prior consent. Prior approval is required to significantly change aspects of the program from those originally proposed and approved and to meet other requirements specified in the agreement terms.

Program Announcement: A document describing a research opportunity from a funding agency. It may describe new or expanded interest in a particular extramural program, or it may be a reminder of a continuing interest in an extramural program.

Program Income: Per OMG UG, means gross income earned by the recipient that is directly generated by a supported activity or earned as a result of the award.

Program/Project Officer/Technical Representative: An individual designated by a sponsor as responsible for the technical, scientific, and/or programmatic aspects of a particular award. A program/project officer serves as the sponsor's counterpart to the principal investigator or project director of the grantee and contractor organization. He or she deals with the grantee or contractor organization staff to assure programmatic progress. He or she is not authorized to change the terms of the award. These actions require an award modification executed by the Grant or Contract Officer.

Progress Report: Scheduled reports required by a sponsor summarizing progress to date. Technical, fiscal, and invention reports may be required.

Project Period: Per OMB UG, the period established in the award document during which Federal sponsorship begins and ends. The project period may consist of one or Proposal: An application for funding that contains all the information necessary to describe a project's plans, staff capabilities, and the funds requested. Formal proposals are developed by a principal investigator and are officially approved and submitted by an organization.

Prebudget: The act of amending a budget by moving funds from one category or line item to another; also called Budget Adjustment.

Recipient: means an organization receiving financial assistance directly from Federal awarding agencies to carry out a project or program. The term includes public and private institutions of higher education, public and private hospitals, and other quasi-public and private non-profit organizations such as, but not limited to, community action agencies, research institutes, educational associations, and health centers. The term may include commercial organizations, foreign or international organizations (such as agencies of the United Nations) which are recipients, sub-recipients, or contractors or subcontractors of recipients or sub recipients at the discretion of the Federal awarding agency. The term does not include government- owned contractor-operated facilities or research centers providing continued support for mission-oriented, large-scale programs that are government-owned or controlled, or are designated as federally-funded research and development centers.

Research and Development: Per OMB UG, means all research activities, both basic and applied, and all development activities that are supported at universities, colleges, and other non-profit institutions. "Research" is defined as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. "Development" is the systematic use of knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes. The term research also includes activities involving the training of individuals in research techniques where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function.

S&W (Salaries and Wages): Payments made to employees for work performed.

SBA: Small Business Administration.

SBIR (Small Business Innovation Research): The Federal Small Business Innovation Research program promotes research and development by domestic small businesses.

Scope of Work: The description of the work to be performed on a project.

Sole source acquisition: Per FAR, means a contract for the purchase of supplies or services that is entered into or proposed to be entered into by an agency after soliciting and negotiating with only one source.

Solicitation: Per FAR, means any request to submit offers or quotations to the Government. Solicitations under sealed bid procedures are called "invitations for bids." Solicitations under negotiated procedures are called "requests for proposals." Solicitations under simplified acquisition procedures may require submission of either a quotation or an offer.

Sponsor: The organization that funds a project via award of a contract, grant or cooperative agreement, or other agreement.

Sponsored agreement: Per A-21, means any grant, contract, or other agreement between the institution and the Federal Government.

Stipend: A payment made to an individual under a fellowship or training grant in accordance with pre-established levels. A stipend provides for the individual's living expenses during the period of training. It does not incur fringe benefits.

STTR (Small Business Technology Transfer): The Federal Small Business Technology Transfer program promotes research and development by domestic small businesses in cooperation with institutions of higher education.

Sub-award (also called subcontract or sub-grant): A secondary award directed to cooperatively working with a third party to carry out the program for which a primary award has been granted. In other words, a sub-award agreement allows an additional party to complete a portion of the work described in the proposal for a primary award.

Total Project Costs: The total allowable direct and indirect costs incurred by an organization to carry out an approved project. Sometimes sponsors will use this term to also include required cost share.

Unallowable cost: Per FAR, means any cost that, under the provisions of any pertinent law, regulation, or contract, cannot be included in prices, cost-reimbursements, or settlements under a Government contract to which it is allocable.

Unexpended balance: The portion of the funds authorized by the awarding entity that has not been expended by the recipient and is determined by deducting the cumulative expenditures from the authorized total.

Unsolicited Proposal: A proposal submitted to a sponsor that is not in response to an RFP, RFA, or program announcement. (See also Investigator-Initiated Proposal.)

Subcontract: An agreement or secondary contract in which a third party agrees to perform some of the activities defined in the proposal for an award. A subcontract relationship is generally described at the time of proposal submission but not consummated until after the award has been made to the organization submitting the primary proposal.

Supplemental Proposal: A request to the sponsor for additional funds for an ongoing project during the previously approved performance period. A supplemental proposal may result from increased costs, modifications in design, or a desire to add a closely related component to the ongoing project.

Suspension of an award: Per OMB UG, an action by a Federal awarding agency that temporarily withdraws Federal sponsorship under an award, pending corrective action by the recipient or pending a decision to terminate the award by the Federal awarding agency.

Taxpayer Identification Number (TIN): Per FAR, means the number required by the IRS to be used by the offeror in reporting income tax and other returns. The TIN may be either a Social Security Number or an Employer Identification Number.

TDC: Total Direct Costs. This is the total of all direct costs of a project. See Direct Costs.

Termination: Per OMB UG, means the cancellation of Federal sponsorship, in whole or in part, under an agreement at any time prior to the date of completion.

Terms of Award: All legal requirements imposed on an agreement by the sponsor, whether by statute, regulation, or terms in the award document. The terms of an agreement may include both standard and special provisions that are considered necessary to protect the recipient's and sponsor's interests.

Testbed: An experimental proof of concept, technology demonstration, or pre- prototype.

Third party in-kind contributions: Per OMB UG means the value of non-cash contributions provided by non-Federal third parties. Third party in-kind contributions may be in the form of real property, equipment, supplies and other expendable property, and the value of goods and services directly benefiting and specifically identifiable to the project or program.

Integrated Research Manual

Academic Affairs

Grant-Supported Teaching Course Release

Full-time tenured and tenure-track faculty who maintain an active research agenda have 9 workload (SCH) teaching credits per semester and 3 workload (SCH) research credits per semester. Full-time tenured and tenure-track faculty who do not maintain an active research agenda have 12 workload (SCH) teaching credits per semester. Non-tenure track faculty have 15 workload (SCH) teaching credits per semester.

Tenure-track faculty seeking release from regular teaching duties must complete the Faculty Release Form before any teaching reduction in course load can be approved. The following process should be followed to process the course release request:

1. The Faculty Release Form can be accessed at this link:
<https://www.pvamu.edu/academicaffairs/wp-content/uploads/sites/20/faculty-release-form.pdf>
 - a. The release form must be approved by the Department Head and the Dean
 - b. A copy of the approved form must be routed to Academic Affairs
2. To process the Costing Allocation for 3-SCH research credit:
 - a. Use a support account [Base 1XXXX plus support 15000 (1XXXX-15000)]
3. For a 6-SCH teaching credit and 6-SCH research credit:
 - a. See 1a and 1b.
 - b. See 2a (for the 1st 3-SCH research credit) and use release time (for the 2nd 3-SCH research credit – grant account number)

POLICY: COMPENSATION ADMINISTRATION: [31.01.01](#), Section 3.9:

The base salary of a full-time employee is not to be increased by virtue of funding from a grant or contract. In such cases, the salary is funded in accordance with the portion of the time spent on assignment duties.

Faculty Fellowships and Course Buyouts*

(*This is a draft document subject to further review and revision before approval as a University Administrative Procedure)

PVAMU actively promotes faculty participation in external fellowships and awards aimed at fostering professional growth and enhancing the university's standing. These opportunities primarily support faculty endeavors in research, scholarship, and creative pursuits.

Faculty who wish to apply for external fellowships and/or plan to request reassignment time supported by fellowships must seek approval from their department head and the school/college dean (henceforth, dean) before applying for fellowships. It is important to note that the dean has discretion

in accepting the conditions related to reassignment time. Subsequently, the dean must notify the Provost and Senior Vice President for Academic Affairs (henceforth, Provost) regarding the reassignment time request.

Faculty who are awarded fellowships may request reassignment time from their regular duties for the duration of the award. Depending on the specific fellowship, faculty members may be reassigned from a course, a term, or an entire academic year of teaching or service. Requests for reassignment time are submitted to the department head and then forwarded to the dean and finally, to the Provost for review and approval. Granting faculty fellowship reassignment time is contingent upon the availability of funds from the fellowship.

Eligibility Criteria:

1. The faculty member must maintain full-time status.
2. The faculty member must maintain good standing with the university.
3. The request must be accompanied by a letter of support and certification from the department head and the dean confirming the department's ability to manage the faculty member's teaching and service obligations during their absence.
4. If permitted and agreed upon by the recipient, the award should be remitted directly to PVAMU in accordance with the sponsor's guidelines and established research administration protocols. Any exception must be approved by the Provost.
5. The faculty member may not receive duplicate awards from other sponsors.

Evaluation:

Several factors will be considered in evaluating the merit and feasibility of the faculty fellowship reassignment time applications. These factors include but are not limited to the prestige associated with the fellowship, the potential of the proposed fellowship to enhance the applicant's professional growth and to advance knowledge in the respective field, and the applicant's expressed commitment to continued service in their profession and at PVAMU.

Following positive recommendations of the applicant's department head and dean, the application will be forwarded to the Office of Academic Affairs and the Division of Research and Innovation for their independent review and approval. If the external application requires submission by the university, Sponsored Research Services (SRS) will be notified.

Requirements and Timeline:

While on faculty fellowship reassignment time, faculty are regarded as full-time employees of PVAMU and are prohibited from accepting employment from any other entity, unless explicitly authorized by the TAMUS Board of Regents. The reassignment time recipients should remain employed at PVAMU for at least one (1) academic year following the conclusion of the fellowship.

If the fellowship is awarded, the faculty member should seek and obtain approval to arrange coverage for their courses. This request should be made at least 60 calendar days before the semester's

reassignment period commences, preferably before the scheduling for that semester is finalized.

A final report (2-3 pages) should be submitted to the department head within 30 calendar days of the conclusion of the reassignment period. The report should include the purpose for which the fellowship was awarded, the accomplishments attained during the fellowship, aligning with the stated purpose, and anticipated future accomplishments stemming from the fellowship. The department head will forward the report to the dean, who will then forward a copy to the Office of Academic Affairs and the Division of Research and Innovation.

Salary and Expenditures:

PVAMU stands ready to assist its faculty who receive external faculty fellowships. Typically, a faculty fellowship includes salary support for the reassignment period and, in certain instances, may offer additional discretionary research funding. However, all expenditures using fellowship funds must comply with the original sponsor's agreement, as well as the relevant PVAMU rules, procedures, and TAMUS policies and regulations.

When the sponsor provides fellowship funds directly to the university, these funds will be managed by the faculty member's academic unit in collaboration with the SRS. However, if the sponsor provides fellowship funds directly to the faculty member, they must notify their department head and dean of receipt of these funds. If the sponsor allows for the funds to be either self-administered or administered by the university, the faculty member may select their preferred option.

Fellowship funds are normally provided by sponsors to support faculty time for research, scholarship, and creative endeavors. In such cases, the award may be used to cover the faculty member's salary. However, the combined total of monthly salary received from the university, external sources, and the fellowship may not exceed 100% of the institutional monthly base salary.

If the faculty member's salary is lower than the fellowship amount, the fellowship can cover their salary and fringe benefits or be used to hire adjuncts to teach their usual courses. If allowed by the sponsor's guidelines, the remaining funds can be allocated for research and related expenses made available via stipends, travel funds, research budget, etc., and must be utilized within one (1) year after the fellowship ends. The faculty member may receive a temporary salary increase to match the amount of the fellowship award, which will be returned to the faculty member's regular salary at the conclusion of the fellowship.

If the faculty member's regular salary exceeds the fellowship amount, the dean may allocate the entire fellowship towards their salary and fringe benefits, covering the difference with in-kind support. In exceptional cases and subject to budgetary availability, PVAMU may cover fully or partially the gap between the fellowship award and the faculty member's salary.

Course Buyouts

The buyout rate for a single course must be equivalent to at least 1.5 months (or 1/6th) of the faculty member's 9-month salary plus fringe benefits, or 16.7% of the funding agency's salary cap if applicable. Faculty development/sabbatical leave and other award programs (such as

Intergovernmental Personnel Act releases) are not considered course buyouts under this policy. Payments made under these programs for replacement teaching costs are not subject to these buyout procedures and do not determine course buyout rates.

Approval for all course buyouts is required from the faculty member's department head, dean, and the Office of Academic Affairs. Course buyouts pertain only to formal courses and do not include courses associated with research hours or directed/independent studies. In the case of endowed positions, endowed funds cannot be utilized for course buyouts.

Course buyout requests should be submitted by the faculty member at least 60 calendar days before the start of the buyout semester. The requests must include a detailed rationale for the request, including the expected benefits/impacts on the faculty member's professional growth, and identification of the funding source. Requests approved by the department head and dean should be sent to Academic Affairs for final approval accompanied by a letter of support from the dean and a detailed plan from the department head outlining how the courses will be managed or how replacement teaching will be arranged during the buyout period.

All course buyout requests will be evaluated based on the rationale for the request and the department's overall teaching needs. Special justification will be required for buyouts that eliminate a faculty member's entire formal course teaching load in any semester. Course buyouts that result in a faculty member having no formal course teaching load for an entire academic year will not be approved.

The academic unit will retain the salary savings resulting from course buyouts. These savings will primarily be allocated to cover replacement teaching needs created by approved course buyouts. Additionally, these savings may be directed toward initiatives that align with the strategic objectives of the unit and the university.

Exceptions to this policy may be approved by the Provost.

Faculty Development/Sabbatical Leave Program

The faculty development/sabbatical leave program is designed to provide full or partial salary support to faculty who will go on leave to engage in a project that allows the candidate to expand his/her expertise in innovative instructional scholarship or creative research experiences that are aligned with the mission of the University and needs of the department/school/college. These projects should substantially raise the level of quality in their department/school/college as well as at the University and provide an opportunity that leads to the advancement of the candidate's research agenda and/or innovative instructional practices.

Eligibility

1. To be eligible, a faculty member must have served at least three consecutive academic years in a tenured or tenure-track faculty position at PVAMU and provide documentation of a good Annual Performance Evaluation (4.0 and above).
2. Non-tenure track faculty may be considered for the faculty development/sabbatical leave program in exceptional cases. However, full-time regular faculty who are tenured or tenure track will receive priority consideration.
3. The candidate must be in good standing with the University. (A copy of HR release form should be provided.)
4. The candidate must secure a signed Statement of Support from the department head (immediate supervisor) and the dean.

Guidelines

1. All proposals for faculty development leave will be evaluated by an evaluation committee comprising one elected faculty member from each academic school/college. The chair shall be appointed by the President or his/her designee. The committee will make recommendations to the Provost and Senior Vice President for Academic Affairs (henceforth, Provost), who will forward his/her recommendations to the President.
2. There will be a limited number of awards for each fall semester; therefore, the most competitive applications that align with the University's strategic emphasis will be recommended to the TAMUS Board of Regents for approval.
3. Faculty members on development leave may accept grants for study, research, or travel, but may not accept employment from other institutions or sources.
4. The combined pay during the leave from all sources cannot exceed 100 percent of the faculty member's salary. Any arrangement that leads to total pay in excess of 100 percent of the faculty member's salary, excluding reimbursed housing or transportation expenses, requires Board of Regents approval.
5. Within 45 days of returning from leave, each recipient must provide the following:
 - A final report of the individual's completed work, and
 - A scheduled date of presentation with the Center for Teaching Excellence.
6. The final report should explain activities undertaken while on leave, the impacts, and the benefits to both the faculty member and the institution. Final reports must be submitted by email to the department head and copies forwarded to the dean and Academic Affairs.
7. Faculty who are awarded a sabbatical leave are required to return to the University for a full contract year of service following the sabbatical leave. If an individual does not return or does

not remain for the full contract year following the sabbatical leave, the amount received for the sabbatical leave must be paid back to the University.

Application Procedures

A completed request for the Application for Faculty Development/Sabbatical Leave Program must include the following items. (Check the program website at the Academic Affairs [Faculty Resources](#) page for the most up-to-date application procedures.)

1. Benefit Statement - Detailed description of benefits to the faculty member and university. Describe how the leave will benefit and/or have an impact on your research program, students/teaching, and your department, college, and university.
2. Detailed proposal – In 500-700 words, describe the *what*, *when*, *where*, and *why* of the proposed faculty development leave.
3. Transmittal Letter
4. Abstract of the purpose of the request (100-word maximum)
 - In lay terms, describe the nature and purpose of the proposed development leave. This will be forwarded to the Board of Regents along with the university's recommendation and request to approve the leave.
 - The abstract should include the expected benefits and impact of the leave to your research program, students/teaching, and department, college, and university. The abstract should also include the place where the leave will take place and the activities that will take place during the leave.
5. Letters of Support
 - At least three (3) letters of support must be submitted with the proposal.
 - At least one (1) letter of support must be from outside PVAMU.
 - The support letters must address the scope of the leave and the benefits of the leave to the faculty member and the field.
 - The support letters from the department head and the dean are not included as part of the required three (3) letters.
6. An up-to-date professional curriculum vitae (10 pages maximum)
7. Statement of support from the department head
8. Statement of support from the dean
9. Copy of previous year's annual performance evaluation
10. Copy of HR clearance

Submission of Applications

To apply, faculty should complete their applications at [Faculty Development/Sabbatical Leave Program Application](#). Upon completion of the application, the system will automatically notify the respective dean as well as the program coordinator. The evaluation review and recommendation deadline dates are to be used as a guide. Following the review by the department heads and deans, the appointed evaluation committee will review and make recommendations to the Provost, who will review and make recommendations to the President. The final approval will be granted by the Board of Regents.

Timeline

The timeline for each review cycle will be posted on the program website at the Academic Affairs [Faculty Resources](#) page.

- College/Department/AA Business Administrators initiation processes: This section may not be necessary as these processes (e.g., how to apply for grants, how to purchase supplies, etc.) are already discussed by the respective departments throughout the manual.
- Faculty Summer Contract through Grant Funds/AA Budget Office

Submitting Grant Assignments and Funding Summer Research Assignments

Grant funding for summer salaries must be provided to the department head during the preliminary summer budgetary preparation during the first week in March to meet the processing deadlines for the Summer Session I, which is paid on July 1st. Grant assignments submitted after the due date will be processed the following month.

Principal Investigator (PI) Responsibilities

- The PI is responsible for ensuring sufficient funds are available in the grant account(s) before awarding summer assignments.
- The PI is responsible for emailing the department head and the administrative associate with detailed instructions on which summer session the research will be performed, the budgeted allocation, the name of the grant, and the source of funding.

PI - Summer Grant Funding Disbursement

- Grant funding recommendations should be submitted via email to the department head, administrative associate, and budget specialist of the college/school by March 1st.
- The department head must be given early notice of the grant to be awarded for the summer during the 1st week in March to eliminate assignments that conflict with summer instruction scheduling.

- The faculty member's summer assignment should be listed on the budget worksheet, indicating the grant title, amount, and funding source. The college-designated budget specialist must place an initial next to the grant account number (as shown below) on the summer budget worksheet verifying sufficient allocation.

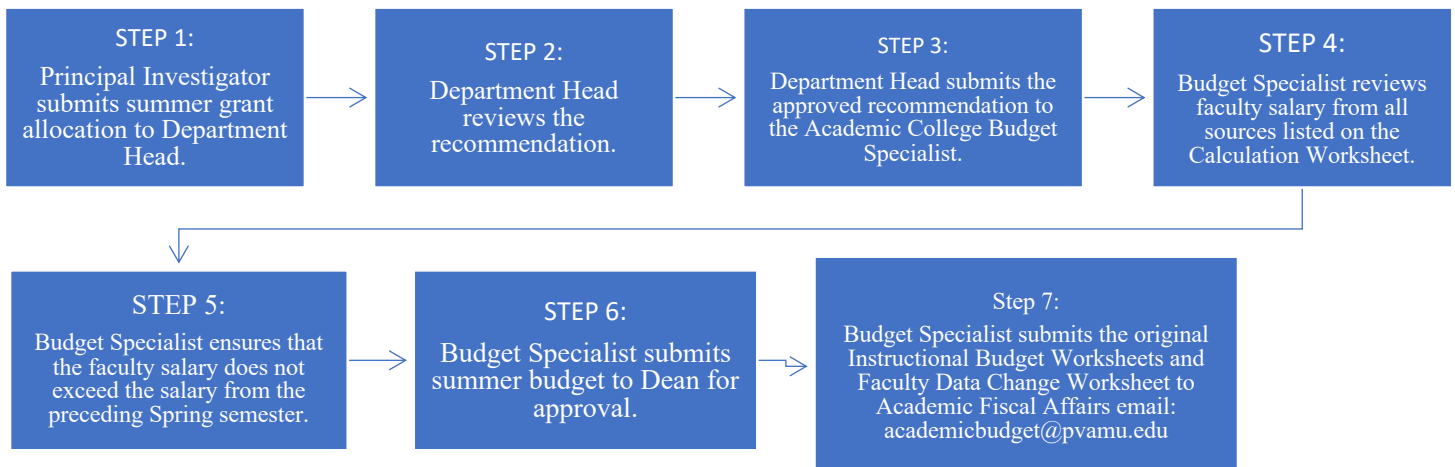
PI - Summer Grant Funding Disbursement

Column O
(Budget
Specialist
Initials)

- Budget Worksheet Example: Budget Specialist Initials*

| A | B | C | D | E | F | G | H | I | J | K | L | M | N | O | P |
|-----------------|------------------------|-------------------------|------------------------------------|-------------------------------------|----------------------------------|--|----------------------|------------------------------------|--|-------------|------------------------------|----------------------|----------------------|--|-------------------------|
| Employee Name | Status (9M/12 M) | Regular @ Core Cte @ | 1st Term Assignment Details* | 2nd Term Assignment Details** | 10 Week Assignment Details*** | Monthly Salary (As of Spring 21) | Credit Hour Equiv | Amount Per Credit Hour Equiv | Amount From Summer Faculty Salary Budget | Sub-Total | Amount From Other Sources | Credit Hour Equiv | Funding Account # | Total Salary | Max Summer Salary |
| Jane Doe | 9m | | Math 1103 201 | | | | | 3 | \$ 1,250.00 | \$ 3,750.00 | \$ 3,750.00 | \$ - | - | \$ 8,750.00 | \$ 12,999.99 |
| P-75523 | | | | | | | | | \$ - | \$ - | \$ - | | | | |
| | | | | | | | | | | | \$ - | | | | |
| Account Number: | | | | | MathUp Title III | | | | | | \$ 5,000.00 | | 214681-xxxxx | Budget Specialist or Director initial | |
| 112650-xxxxx | | | | | | \$ 4,333.33 | | Less Adj: | - | \$ - | \$ - | | | | |

PI - Summer Grant Funding Approval Routing Process



SRS Project
Administrators

- Do not process PCT's

SRS Project
Administrators

- Do not pre-approve costing allocations. They are done in Workday as the final step of the hiring process for summer and all academic semesters.

Title III – Summer Grant Funding Allocation

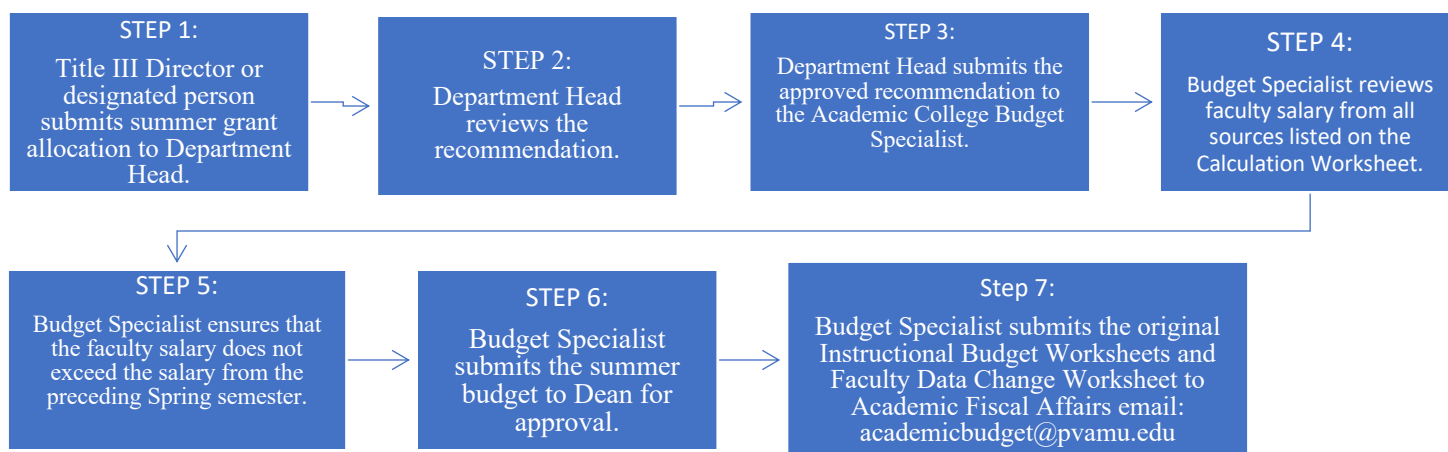
- Title III funding recommendations should be submitted via email to the department head, administrative associate, and budget specialist of the college/school by March 1st.
- The department head must be given early notice of the Title III allocation awarded for the summer during the 1st week in March to eliminate assignments that conflict with summer instruction scheduling.
- The faculty member's summer assignment should be listed on the budget worksheet, indicating the Title III account number. The Title III Director or Administrator must place an initial next to the grant account number (as shown below) on the budget worksheet.

Title III Summer Grant Funding Budget Worksheet Example:

| A | B | C | D | E | F | G | H | I | J | K | L | M | N | O | P |
|-----------------|------------------|--------------------|------------------------------|-------------------------------|-------------------------------|----------------------------------|-------------------|------------------------------|--|-------------|---------------------------|-------------------|-------------------|---------------------------------------|-------------------|
| Employee Name | Status (9M/12 M) | Regular @ Core Cse | 1st Term Assignment Details* | 2nd Term Assignment Details** | 10 Week Assignment Details*** | Monthly Salary (As of Spring 21) | Credit Hour Equiv | Amount Per Credit Hour Equiv | Amount From Summer Faculty Salary Budget | Sub-Total | Amount From Other Sources | Credit Hour Equiv | Funding Account # | Total Salary | Max Summer Salary |
| Jane Doe | 9m | | Math 1103 201 | | | | 3 | \$ 1,250.00 | \$ 3,750.00 | \$ 3,750.00 | \$ - | - | | \$ 8,750.00 | \$ 12,999.99 |
| P-75523 | | | | | | | | \$ - | \$ - | | \$ - | | | | |
| Account Number: | | | | | Research Energy Grant | | | | | \$ 5,000.00 | | | 418964-xxxxx | Budget Specialist or Director Initial | |
| 112650-xxxxx | | | | | | \$ 4,333.33 | | Less Adj: | - | \$ - | | | | | |

Column O (Budget Specialist)

Title III Summer Grant Funding Approval Routing Process:



Summer Instruction Frequently Asked Questions:

Q: Can faculty use grant funds to supplement their salary in the summer beyond the rate paid during the academic year?

A: No, TAMUS Policy 31.01.01 Compensation Administration section 3.5 states, "The rate of salary paid an employee during a summer term does/must not exceed the salary rate paid the employee for the same or similar services during the preceding long session (i.e., academic year)."

Q: Can faculty increase their salary using grant funds?

A: No, TAMUS Policy 31.01.01 Compensation Administration section 3.9 states, "The base salary of a full-time employee is not to be increased by funding from a grant or contract. In such cases, the salary is funded in accordance with the portion of the time spent on assigned duties."

Q: Can summer instructional classes taught in a specific term be shifted to another summer term to fit in a grant allocation to meet a deadline date?

A: No, summer instructional teaching assignments are paid in the period and the term of the assignment cannot be shifted to meet a grant deadline.

Q: Is the faculty monthly salary for summer instructions guaranteed?

A: No, the total monthly salary is not guaranteed for summer instructions. The salary limitation may not apply to assignments funded from non-E&G (Educational & General) sources.

Q: Can a faculty member receive a course overload during the summer?

A: No, the overloads do not fit within the criteria for a teaching overload during the summer session.

Q: What is the maximum salary a faculty member may receive from the Educational & General instructional account in the summer?

A: The maximum salary from Educational & General (E&G) sources for summer instructional assignments will be **\$20,000 for 12 SCH** taught over three months.

Q: How will the Summer Mini-Mester be funded?

A: The Summer Mini-Mester will be funded from the departmental regular summer school allocation.

Internal Funding Opportunities

Faculty Enhancement Program (FEP)

The Faculty Enhancement Program (FEP) was originally launched in January 2018 as the Faculty Innovation and Enhancement (FIE) program to support faculty activities in teaching and scholarship, exploration, and collaborative and interdisciplinary projects. The FIE program was reconstituted as FEP in Fall 2020 to focus on faculty research. In Fall 2023, the program transitioned to its current format where each school/college is allocated funds based on their faculty FTE and historical utilization of FEP funds. Under the current format, each school/college is responsible for the following activities:

- Review the FEP funding requests from their faculty as per the established program guidelines.
- Notify the faculty applicant if the funding request has been approved/denied.
- Approve travel requests, expense reports, and purchase requisitions.
- Keep up-to-date records of program activities.
- Send a status report to Academic Affairs at the end of the AY.

Allowable and Non-allowable Activities

The FEP program supports several types of faculty research activities, such as attendance at scholarly conferences and workshops, journal publication fees, article editing fees, purchase of datasets, software, and books, etc. The program does not support faculty release time, faculty salaries/stipends, and wages for student workers. The complete list of *normally* allowed and non-allowed activities can be found on the [general program flyer](#). It should be noted that not all allowed activities and guidelines listed on the general program flyer are applicable to all colleges/schools. Faculty are strongly encouraged to check with their respective unit for activities and guidelines that apply to their unit.

The project timeline is generally restricted to one year, and unspent funds may be carried over to the next fiscal year. A brief (one-page) completion report should be submitted within one month of project completion. The complete set of guidelines is listed on the [general program flyer](#).

Submission of Applications

Faculty are encouraged to submit their applications during the priority application windows (see below). However, applications submitted outside the application windows are also considered, subject to the availability of funds.

- Fall semester: September 1-30
- Spring semester: January 1-31
- Summer semester: June 1-30

Applications should be submitted through the [FEP Application Portal](#).

Contact Information

Dr. Rahim Quazi
Office of Academic Affairs
rmquazi@pvamu.edu; 936-261-9225

Integrated Research Manual

Business Affairs

Financial Management Services

For the Account Profile Form, please see below

Non-Academic Departments:

Link for the Account Profile form (Non-Academic Departments)

<https://www.pvamu.edu/fmsv/wp-content/uploads/sites/37/Updated-02-23-2023-Account-Profile-Electronic-Document-Routing.pdf>

Academic Departments:

Link for Account Profile Form (Academic Departments);

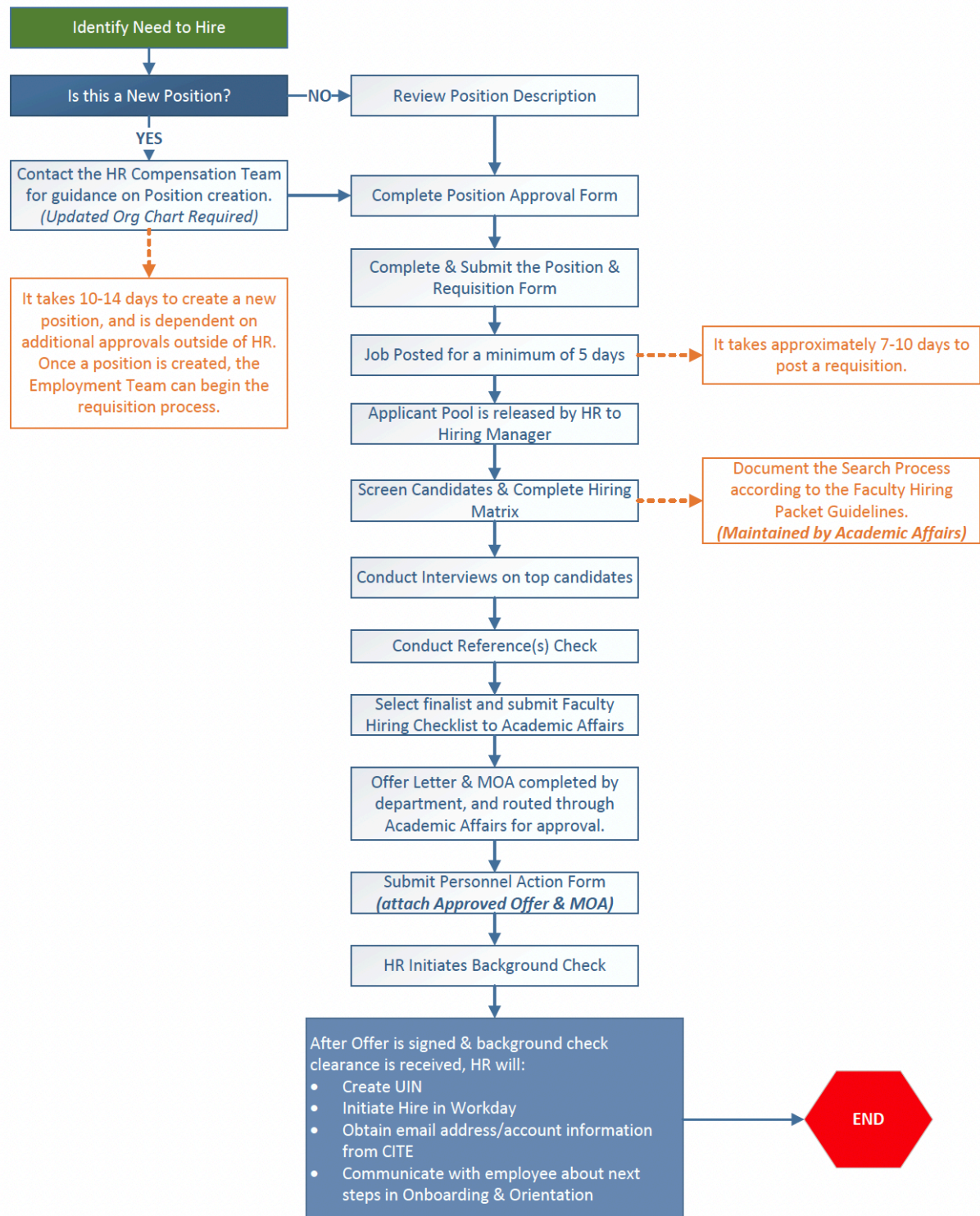
<https://www.pvamu.edu/academicaffairs/wp-content/uploads/sites/20/Account-Profile-Electronic-Document-Routing11012018.pdf>

Link for instructions;

<https://www.pvamu.edu/academicaffairs/wp-content/uploads/sites/20/APERF%20Instructions.pdf>

Human Resources

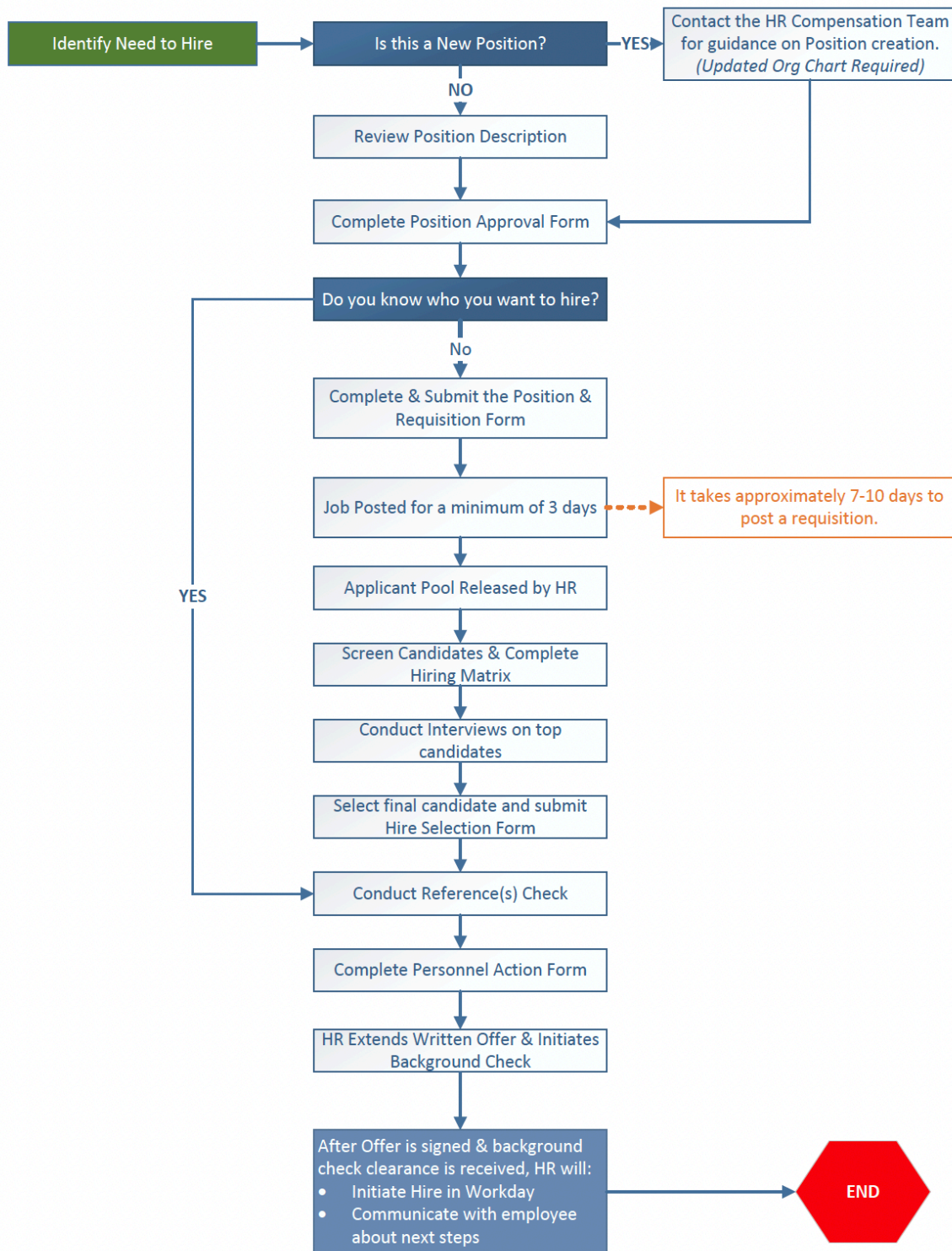
Faculty Hiring Process



Updated March 2024

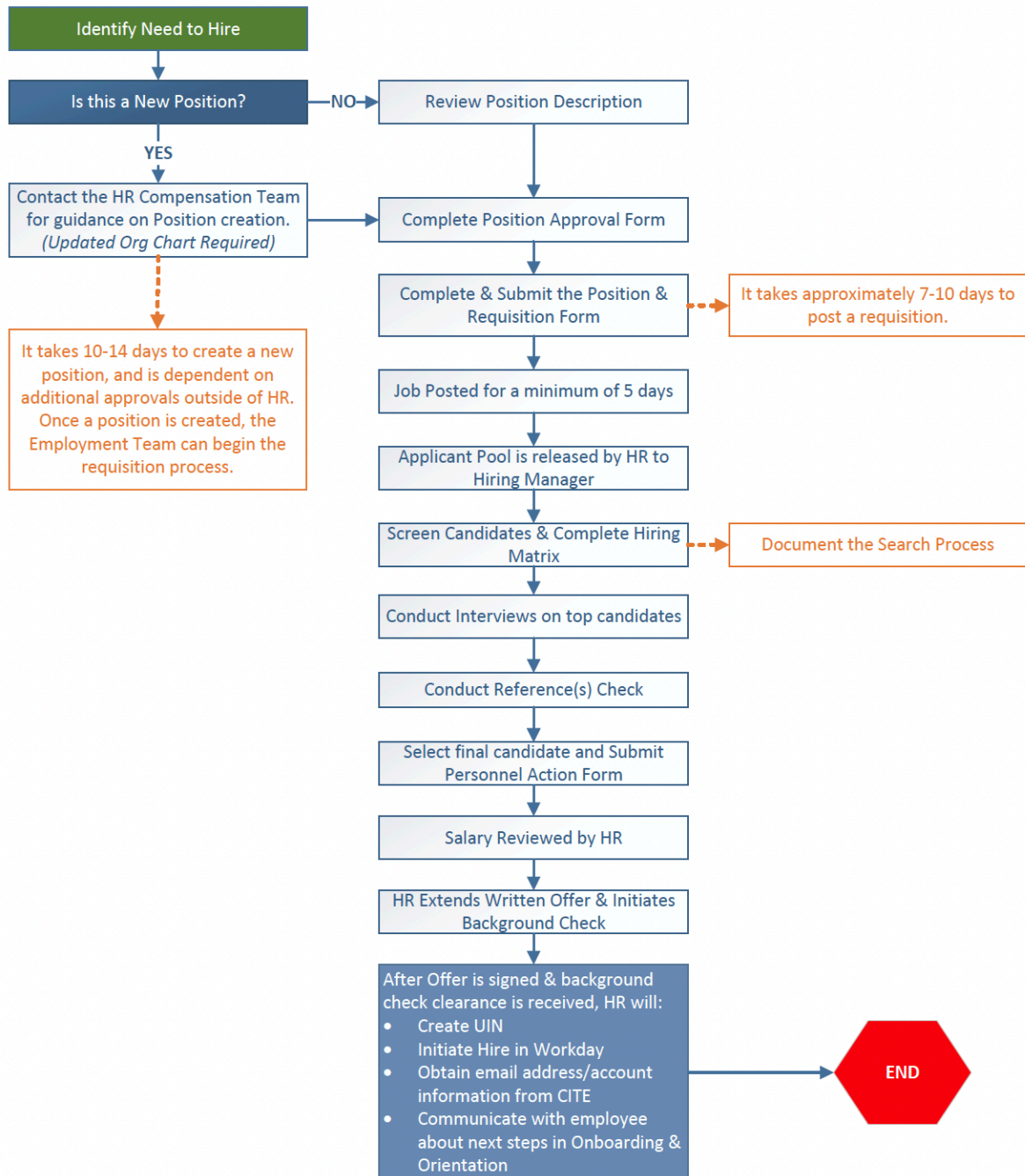
Student Hiring Process

(Student Hourly and Graduate Assistants)



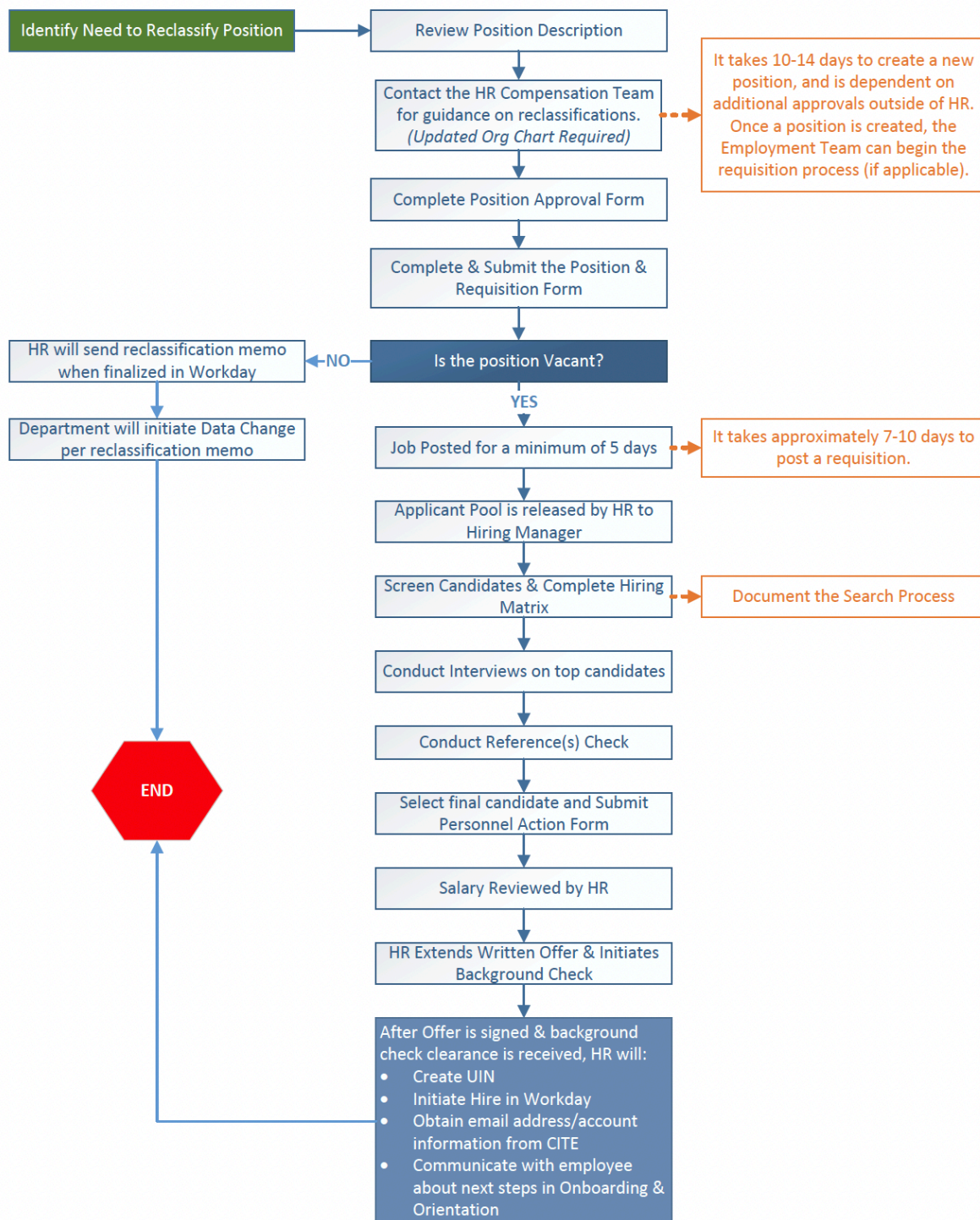
Updated March 2024

Staff Hiring



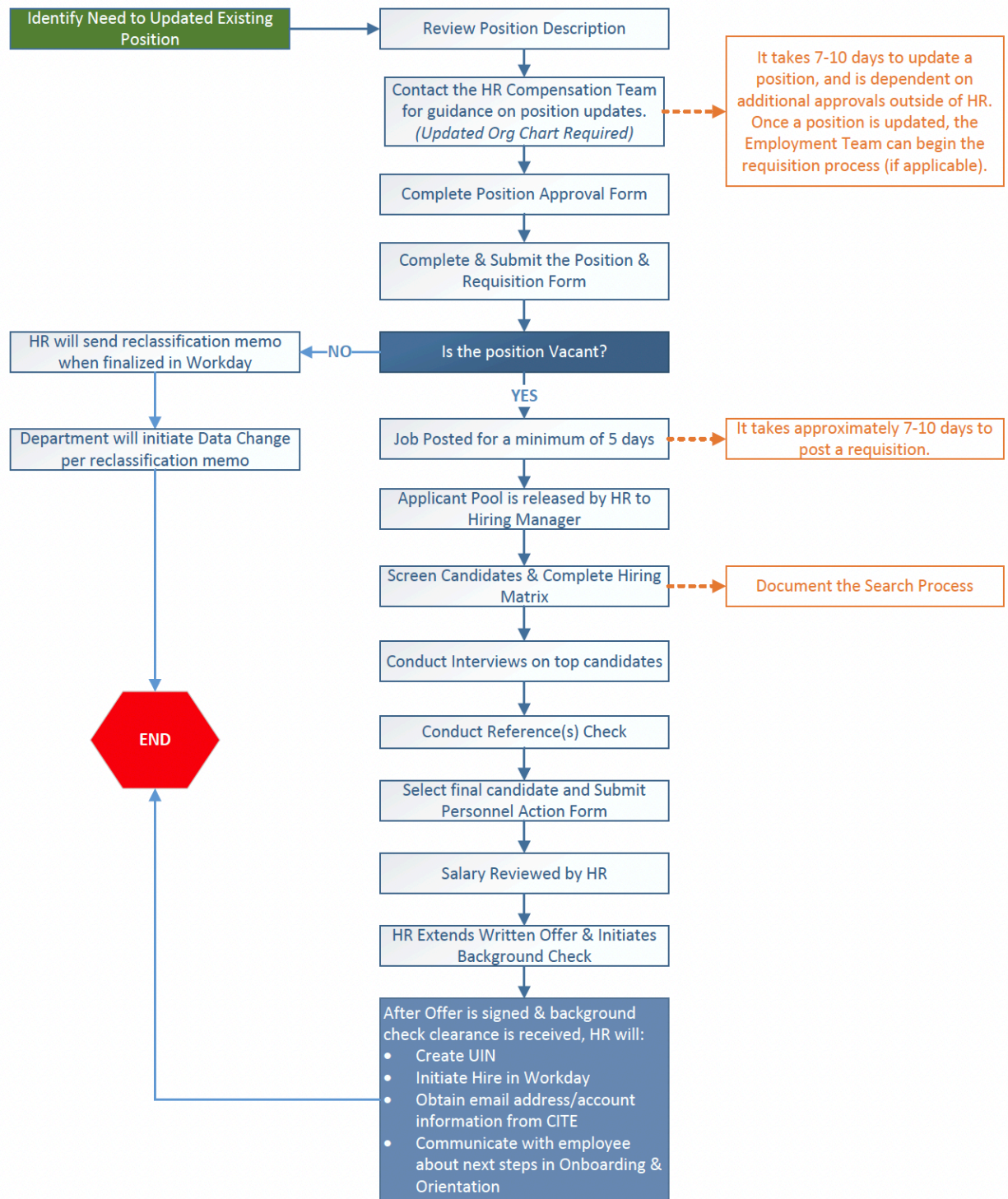
Updated March 2024

Reclassification Process



Updated March 2024

Position Update Process



Updated March 2024

PURCHASING PROCESS FLOW CHART

Requisitions must be approved and POs issued prior to goods and services being ordered

