TEXAS A&M SYSTEM
Sponsored Research
Services

Proposal Administration
Desk Manual

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Introduction and Purpose of Manual

TAMUS Sponsored Research Services *Proposal Administrator Desk Reference Manual* provides guidance relating to the preparation and submission of proposals through SRS. Representatives from the proposal group periodically review and make any needed updates as new procedures are implemented or revised. Procedures must be approved by the appropriate system member, SRS administration and/or governing body as required.

Corrections, changes, or suggestions should be communicated to David Hollingsworth, Director, Contracts and Grants, and Subject Matter Expert for the proposal group of Sponsored Research Services at (979) 847-7638, or via email to dhollingsworth@tamus.edu.

General Information

For the purpose of this document an attempt to standardize formatting conventions has been made in order to ease reading and understanding. They are:

- Internal documents and processes are cited using the following common names:

  Routing – the internal process used to obtain approvals from relevant faculty and staff. The routing contains information on the project budget, scope of work and any necessary compliance issues.

  Maestro – The electronic system used to route proposals for approvals and warehouse information for contracts and awards.

  SRS Budget Template – The Excel spreadsheet used to work out budget information in a standard format for internal approvers.

  Quality Check – The procedure used to conduct a final accuracy check on the proposal before it is completed for submission.

  BPP/EPIK/Canopy – The systems used to look up TAMUS employee salaries and benefit information.

- Identification of individuals, entities and groups of individuals:

  Contracts and Grants – SRS teams that assist researchers in the preparation of a proposal, contract negotiations, and administration of awards after a proposal has been funded.

  PA or Proposal Administrator – Member of the Proposal C&G staff.

  PA or Project Administrator – Member of the Award C&G staff.

  Principal Investigator (PI) or Researcher – A faculty member who is requesting funding from a sponsor or one who has funded research.

  Agency or Sponsor – An entity which accepts requests for funding and supports research.

Customer Service/Quality Expectation

TAMUS Sponsored Research Services assists researchers in obtaining sponsor funding and provides the administrative and fiscal framework necessary to receive and disburse project funds. Throughout this process, the proposal administrator will come into contact with the PI and his/her colleagues at other institutions, their representatives, and many public/private/governmental agencies. It is essential that the proposal administrator be continually conscious that they are representatives of SRS, the Texas A&M University System, and the State of Texas. As such, the employee is expected to treat co-workers and all those outside SRS with respect and a high level of customer service. Employees are expected to be courteous, responsive to phone calls and e-mails, and as helpful as possible to the researchers SRS serves.

Proposal Preparation Overview

The Proposals Subject Matter Expert and the Quality Check Administrators divide the incoming proposal workload based on the division to which the Principal Investigator (PI) belongs. This is periodically reviewed and revised based on workload and staffing availability.

Once the PI has decided to submit a proposal, the PI contacts the Proposal Administrator assigned to their department. The Proposal Administrator will ask the PI for various pieces of information, such as the sponsor information, solicitation #, title, start date / duration, due date, budget detail, sub-awards, and any special circumstances using the initial email template.

Based on input from the PI, the Proposal Administrator prepares the budget according to SRS, TAMUS, and federal government policies, and in compliance with sponsor guidelines.

The Proposal Administrator will prepare any required sponsor forms that do not involve the technical portion of the proposal.

Appropriate information is entered in the Maestro System and the proposal is electronically routed for review and approvals. The proposal is then submitted to the sponsor. Electronic copies are uploaded and stored in the Maestro System.

Proposal Information Gathering

An early stage in the proposal preparation process is the gathering of information. The Proposal Administrator is responsible for obtaining from the PI the information needed to process the proposal. This happens to a large degree through e-mail.

The following basic proposal information is requested to enter a proposal into Maestro.

- Proposal due date
- RFP# and/or title of the program
- Sponsor name, contacts and phone number (if applicable)
- Title of the proposal

- Period of performance
- Investigators involved in the proposal and named personnel
- System member's role: lead, sub-award or any collaborators
- Sub-awards
- Cost sharing
- Compliance Issues see section in manual

With basic information, the proposal administrator logs the proposal into the Maestro system. See Proposal Log In section. A proposal number will be generated. The PI should then be notified and requested to complete the Compliance and Reporting Code screens in Maestro. This information must be completed prior to routing the proposal.

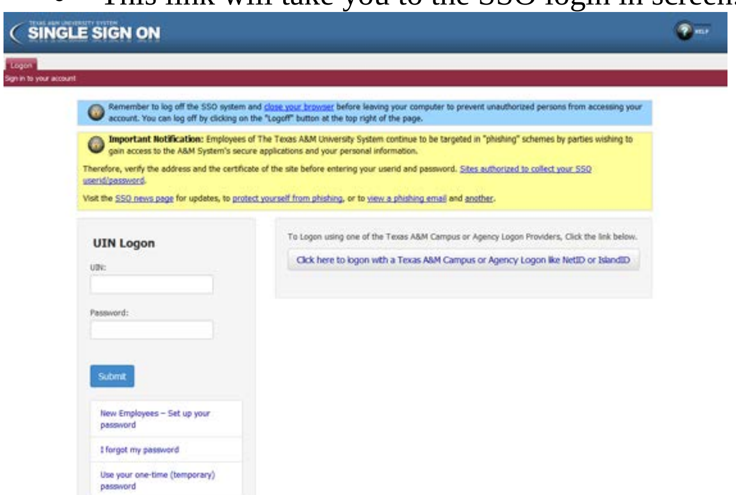
Proposal Log In Procedure

Objectives:

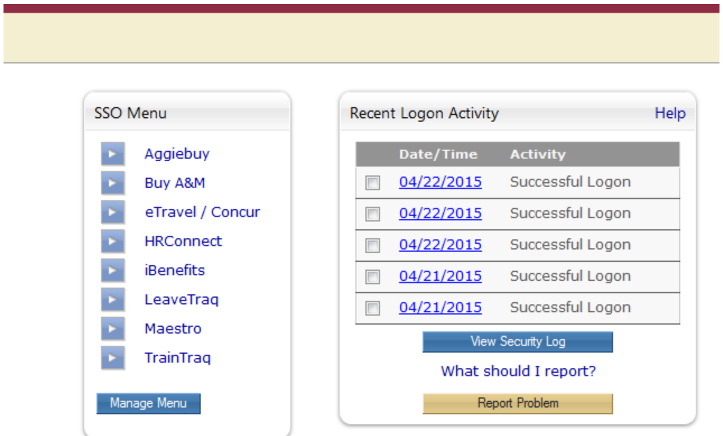
- Obtain information from PI relevant to the proposal to be submitted
- Obtain sponsor guidelines
- Create a record in Maestro

To Log in a Proposal:

- Go to https://maestro.tamus.edu
- This link will take you to the SSO login in screen. Log in with your SSO credentials



- Log in
- Once logged in, click on Maestro



- Choose Administrator
- Choose Proposal
- Click on Action and choose create or you can click on the create icon. You can also create from the funding opportunity that the PI is applying to by clicking on Create from Opportunity.

<u>Proposal General Information Screen – once the required fields (*) are completed, hit save and MAESTRO will assign a proposal number</u>

<u>General Info Tab</u>

Proposal General Info

- PI – You must select the PI by clicking on the magnifying glass. You can narrow the search by entering as many or as few criteria as you find helpful, when the correct name appears, highlight it and click ok or double click on the name
- Lead Organization – This should denote the department the PI is associated with, the "Name" search field allows you to search by department, highlight the correct department and click ok or double click on the department name
- Center – If a PI would like this proposal to be associated with a center in addition to his department, choose the appropriate center here, highlight it and click ok or double click the center name
- Administrative Organization – choose **SRS** from the drop down menu
- Title – type in the title of the proposal
- Nickname – this is for use by the PIs
- Begin Date – prior to routing, enter the date, please note it must be entered day/mo/year or use the calendar icon to choose the correct date
- End Date – prior to routing, enter the date, please note it must be entered day/mo/year or use the calendar icon to choose the correct date
- Duration – you can enter the number of months and the end date will automatically populate

- Proposal Type – choose appropriate type from drop down menu
- Activity Type – choose appropriate type from drop down menu
- Function – choose appropriate type from drop down menu
- Non-Disclosure Agreement Required – choose yes or no from the drop down menu
- Non-Disclosure Agreement Status – choose from the drop down menu
- Restricted/Classified – this is defaulted to no but choose yes as necessary based on feedback from PI
- Legacy No. – if this proposal is a continuation, renewal, or resubmission, enter the previous proposal number
- Total Amount – enter when budget is complete, prior to routing
- IDC Base Amount – enter when budget is complete, prior to routing
- IDC Base Type – enter when budget is complete, prior to routing
- IDC Rate – enter when budget is complete, prior to routing
- Unrecovered IDC – enter amount from budget template
- IDC Level – choose the type of level the IDC is calculating from the drop down menu
- IDC Justification – choose the best description of the IDC calculation from the drop down menu
- Cost Sharing Required – choose from drop down menu
- Full Proposal Receipt Time – choose from the drop down menu before the proposal is submitted for quality control

** Note: The checkboxes at the bottom pull from other screens. When those individual screens are completed the boxes will be automatically checked to give everyone a quick reference for what sections contain additional information.

Sponsor and Program Information

- Sponsor – Click on the magnifying glass and search following the methods outlined above, DO NOT SEARCH BY PARENT NAME
    - If the sponsor is not in the system, complete the Maestro Sponsor Request Form found on the K: drive in the Internal Forms-Procedures file and email to maestrosponsor@tamus.edu
- Prime Sponsor – if we are a subrecipient and there is a flow through sponsor, complete this section in the same method as the sponsor field
- Sponsor Address – type in the information as needed
- Technical Contact – type in the information as needed
- Business Contact - type in the information as needed
- RFP – Click on the magnifying glass and search for the solicitation
- Opportunity title – will automatically populate based on RFP
- Opportunity URL - will automatically populate based on RFP
- Deadline Type – choose from drop down menu

- Deadline Date – enter the date the proposal is due at the sponsor (NOTE: If the proposal has to be sent hard copy, this date should be the day before it is due to the sponsor.)
- If the proposal was chosen through a limited submission competition, click the box next to Limited Submission
- Submission Method – choose submission type from the drop down menu
- Submission Requirements – type any special notes about submission
- CFDA - will automatically populate based on RFP

Proposal Administrator

- This will default to the creator's name. If this is incorrect, click on the magnifying glass and select the correct person.

External Reference

- Choose action
- Choose create
- Choose the correct type from the drop down menu
- If this is the subcontract for an internal system member, enter the lead system's proposal number in this field

Congressional District (OPTIONAL)

- Choose action
- Choose create
- Type in the districts in the correct format – TX-017 in both the applicant and project fields

Personnel Screen

- The PI will automatically populate based on the initial log in screen
- The department associated with the PI does not pull from the General Section, it comes from BPP. So, make sure the system member and the department listed is the correct information for proposal routing and approvals.
- Add any additional Co-PI**s**
    - Choose action
    - Choose create
    - Search by last name
    - Choose role from drop down menu
- The credit for the proposal is information that should come from the PI.

Proposal Contact (if not PI)

- If the individual who is handling the submission is someone other than the PI, their information can be included here
- Choose action
- Choose create

- Enter the necessary information in the fields provided

Compliance Screen

- This section is completed by the PI at the Proposal Administrator's request. Be sure that the PI is aware that the screen is not complete until he/she has clicked on the Complete button at the top of the screen.

Documents Screen

This screen is used for uploading all documents and information related to the proposal.

Sponsor Requested Documents

- Upload all requested documents that the sponsor needs for the submission.
    - For proposals submitted via Grants.gov, upload the entire grants.gov package.
    - For proposals submitted through FastLane, generate the final proposal in FastLane upload here.

Routing Package

- Upload the proposal routing package here. This is the document that is viewed internally by all administrative staff that are included on the routing path. (See Proposal Routing Section)

Other Related Documents

- Upload the excel budget template
- Upload sponsor guidelines
- Upload important emails and other documentation

IDC Waiver Request Screen

- Currently, this screen is only utilized by Texas A&M AgriLife Research and Texas A&M AgriLife Extension.
- The PI should let you know that he/she would like to request reduced IDC.
- Choose action
- Choose create
- Input the Total Estimated Budget, IDC Rate Allowed (%), IDC Rate Requested (%) and Total IDC Waived
- The PI will need to explain the reason for the request for the reduced IDC.
- Upload the budget template and the scope of work/draft proposal text.
- Click Save and go back to the IDC Waiver Request Tab.
- Under IDC Waiver Routing Log, click on Action
- Click Configure Future Routing
- Click on Start Routing

IP Waiver Request Screen

Currently at this time, this screen is not utilized by SRS.

Budget Split Screen

- Click Action
- Click Create
- Click on the magnifying glass and choose the correct Organization.
- Input the Direct dollar amount and Indirect dollar amount
- Continue for all departments/organizations that are on the proposal.

*NOTE: This process will be explained further in the Budget Splits by Department Section.

Cost Sharing Screen

- Click Action
- Click Create
- Click on the magnifying glass and choose the correct Organization.
- Type – choose the appropriate description of the funds being cost shared
- Account – input the 6-digit account number for where the funds will be cost shared
- Source Description – input a short description of what is being cost shared
- Direct Amount – input the direct amount that is being cost shared
- Indirect Amount – input the indirect amount that is being cost shared

SubRecipient Screen

SubRecipient

- Click Action
- Click Create
- SubRecipient Name – enter the name of the subrecipient
- Cost Sharing – choose yes or no from the drop down menu
- Amount – input the budget amount for which the sub is requesting funds from the sponsor

Documents

- Upload all subrecipient documents

*NOTE: This process should be repeated for all subs listed on the proposal.

Reporting Code Screen

- This section should be completed by the PI at the same time as the Compliance section.
- A guide to complete this is provided by the Maestro team and available in the References section. This can be sent to the PI to use as a reference.

Notes Screen

- These are free form fields where any information about the proposal can be entered
- You can set permissions as to who can read these documents

Items to Note when using MAESTRO:

- You must hit save before exiting any screen if changes were made to that screen.

- Always log out of Maestro don't simply close the browser window. If you do close the window without logging out, you will not be able to log back in for 40 minutes.
- Use the back button on each screen, do not use the back arrow for the internet browser
- To log in a proposal, only the items denoted with an * must be completed

Organizational Eligibility

Solicitations typically contain organizational eligibility requirements. The proposal administrator, as part of the solicitation review process, determines if the member is eligible to submit a proposal. Some eligibility language might include the following:

- Institution of higher education
- Academic institution
- Non-profit institution
- Degree granting institution

There can be questions as to whether a TAMUS agency is eligible to submit or whether the proposal must be submitted through TAMU. If it is not clear, discuss with the Quality Control Administrator, the Proposals Trainer, or the Proposal Subject Matter Expert. If an administrative determination is needed after these discussions, email the SRS Executive Director with the solicitation eligibility language.   The SRS Executive Director will discuss with the member and inform the proposal administrator of the decision.

PI Eligibility

Principal Investigators and Co-Principal Investigators have primary institutional responsibility for providing scientific/technical leadership and administrative and financial management of sponsored projects.

It is up to the member to determine the criteria for a principal investigator, co-principal investigator or investigator.

Generally the following guidelines are followed.

- All full-time faculty regardless of academic rank
- Non faculty researchers in faculty equivalent positions

If in doubt as to eligibility, the proposal administrator should check with their director. If the director is unsure then approval from the member should be sought. Members can grant exceptions to the eligibility requirements.

INCOMING RESEARCHERS WHO HAVE NOT YET STARTED THEIR EMPLOYMENT

Typically researchers/faculty members who have accepted a position of employment will want to submit proposals prior to their start date. This is normally allowed.   The proposal administrator should contact the department's academic business contact for documentation of acceptance of position and for the approved salary amount.

Types of Proposals

There are several different types of proposals:

- Pre-Proposal: This sometimes needs a budget and should be logged into Maestro with the proposal type being Pre-Proposal.
- LOI (Letter of Intent): These do not typically get logged into Maestro as the sponsor does not require a budget from us. Most sponsors only require that the PI submit a short description of their proposed research.
- Limited Submission: These proposals are generally the result of a sponsor requirement that only allows a certain number of proposals to be submitted by one institution/organization. These proposals go through a mini-submission process set-up by the VPRs office who has a team of reviewers that review the mini-proposals. Once the proposal is selected, a notification is sent to SRS to be distributed to the correct proposal administrator
- Research Proposals: These are the majority of the proposals that we submit. This can be research for finding cures for specific cancers to research on the different spatial gases found in space.
- Teaching Proposals
- Extension Proposals
- Fellowships

Limited Submission Proposals

Program guidelines may limit the number of proposals that each institution may submit. In these cases an internal selection process is put in place to determine which proposals will be submitted.

The SRS Quality Control Administrator for proposals is the single SRS point of contact for limited submission proposals.

System members headquartered outside of College Station, will conduct independent screening and selection processes for limited submissions.

The TAMU Office of the Vice President for Research (OVPR) conducts the screening and selection process for limited submissions for TAMU, TAMU Galveston and research agency members headquartered in College Station. Except for the instances listed below:

- **Non research agency.** All AgriLife Extension limited submission decisions go through the Coordinator of Management Information in Administrative Services.

- **Off-campus.** AgriLife Research limited submission decisions go through the Coordinator of Management Information in Administrative Services.

SRS Procedure

Upon receiving notification from a researcher of the intention to submit a proposal, the Proposal Administrator will review the solicitation for limited submission requirements.   If a solicitation contains limited submission requirements, the Proposal Administrator will notify the SRS Quality Control Administrator to determine if the PI has been approved by the OVPR for submission.

If the PI has not been approved, the PI will be directed to follow the Limited Submit Process for the member they are submitting through. Members will notify the Quality Control Administrator regarding which PIs have been selected for submission who will then inform the appropriate Proposal Administrator.

SRS information on the OVPR Limited Submit Process is available at:
http://vpr.tamu.edu/researchdevelopment/funding/lsp/lsp

Excerpts from the website detailing the TAMU VPR process:
Identification
The Office of the Vice President for Research (OVPR) identifies limited submission proposal funding opportunities through internet searches, web services and historical opportunities. PIs are encouraged to notify the OVPR if they find funding opportunities that may fall into this category.

Notification
Email announcements are sent to research deans, department heads and sponsored research offices on campus including a link to the sponsor's website for full details of the opportunity. The OVPR will also post the announcement to the limited submissions page on the Division of Research website. The announcement includes the following information: URL for sponsor's full announcement; institutional eligibility; PI eligibility restrictions (if applicable); deadline for required internal e-mail of intent to submit to the internal selection process; internal proposal deadline; target date for notification to applicants of the results of the internal competition; and the external deadline for submission to sponsor.

Internal Proposal Submission, Review, and Selection
A date is established for an email of intent to be sent to the OVPR limited submissions email box. An internal proposal must be submitted electronically using e-proposal, the on-line application system. NOTE: Be prepared to upload a one-three page research plan summary, two-page bio sketch, and budget. This site is password protected. Texas A&M faculty may use their NetID and password to access the system. If you do not have a NetID, click on "signup," fill in the pertinent information and an account will be created for you.

If you have any questions about the limited submission process or the e-proposal system, please contact Shelly Martin at shelly.martin@tamu.edu or 979.862.2233. Once the selection committee determines which PI(s) will go forward with a full proposal to the sponsor, all internal applicants, and the limited submission liaison at Sponsored Research Services (SRS), are informed of the outcome.

Pre-Proposals
Many solicitations require the submission of a pre-proposal prior to the submission of a full proposal. The pre-proposal is reviewed by the sponsor and the sponsor may choose to contact the PI to submit a full proposal.

ENTERING THE PRE-PROPOSAL IN MAESTRO
Pre-Proposals will be assigned a proposal number in Maestro. In the Proposal Type field, select "Pre-Propsoal". Normally, pre-proposals are not routed unless it requires a detailed budget or

resource commitments. When the pre-proposal is submitted, the status in Maestro should be changed to 'submitted'.

STATUS OF THE PRE-PROPOSAL

If submission of a full proposal is not approved by the sponsor, the pre-proposal's status should be changed to 'declined' on the Action screen in Maestro.

Upon notification by the sponsor for approval to submit a full proposal, the Proposal Administrator should log into the pre-proposal and go to the Action screen, then click on Create Full Proposal. This will then create a new proposal for the full proposal submission with a new proposal number. The Pre-Proposal and the Full Proposal will reference the corresponding proposal number in the external reference section of the General Info Screen.

Declined Status: CGST codes proposals as declined. If the full proposal is declined, Maestro will automatically decline the linked pre-proposal.

Budget Preparation

Overview

A proposal budget is a reasonable estimate of costs based on the scope of work. The budget must be in compliance with all agency and university requirements. The SRS proposal administrator prepares proposal budgets based on information provided by the Principal Investigator.

Procedure

For consistency in preparing proposal budgets, Proposal Services has developed a standard spreadsheet file using MS Excel. Standard values such as fringe benefit rates, insurance premiums, tuition and escalation and facilities and administrative are already entered as defaults. The default values are updated at least annually or as changes occur. The spreadsheet performs budget calculations based on the variable values entered by the Proposal Administrator.

General Information

The Office of Management and Budget (OMB) issues documents establishing guidance for uniform cost principles and audit requirements for all Federal awards to non-Federal entities and administrative requirement for all Federal grants and cooperative agreements. Prior to December 26, 2014, SRS adhered to OMB Circular A-21, OMB Circular A-110, and OMB Circular A-133. As of 12/26/14, OMB consolidated a number of these circulars into one document called Uniform Guidance.

Information on Uniform Guidance is available here:

https://www.whitehouse.gov/sites/default/files/omb/financial/grant_reform/proposed-omb-uniform-guidance-for-federal-financial-assistance.pdf

https://srs.tamus.edu/wp-content/uploads//2014/12/UG_Cost_Principles_Reference_Guide.pdf

https://srs.tamus.edu/wp-content/uploads//2015/02/TAMUS-UG-PI-Quick-Guide-21915.pdf

Budget Cost Categories
The following section outlines the basic points to be covered in most standard budget details. Of course, exceptions will occur, but generally those are covered in the guidelines. All direct costs must be budgeted in one of the following categories.

Cost Categories

1. **Salaries and Wages (Personnel, Direct Labor, etc.)**
   All TAMUS employees' time commitments on a research project must be in this category. No TAMUS employee can be paid as a consultant. Also, a person cannot be paid more to do research than he/she is currently being paid by TAMUS at the time of the proposed research. The time that each employee spends on the project is listed as percent of time, full-time equivalent calendar months, and/or number of hours as prescribed by the sponsor requirements.

   When preparing the actual salary category calculations, it is necessary to determine the current salary rate for each individual on the proposal, the amount of time to be spent and applicable inflationary increases. Be sure to always start by looking at the budget period in relation to salary calculations.

   a. **Establishing Current Salary Rates**
      1) **Named Personnel**
         The salaries for named personnel can generally be located in the budget payroll personnel screen (BPP) in FAMIS/Canopy; if you need account numbers for cost sharing purposes, check the account numbers in the BPP/Canopy and then contact the departmental payroll office to confirm a monthly salary. TTI is the exception in that they provide us with a listing of all personnel. Use the columns including longevity when figuring TTI salaries.

         In past fiscal years, we have seen midyear increases which must be confirmed by the department.

         Occasionally, a named individual will be in line for a title change causing the use of the current salary to be inaccurate. When this circumstance exists, the PI informs the Proposal Administrator of the proposed change and provides an estimate of the rate used for the new classification. This salary increase must be verified and approved by the department head/payroll. The PI may increase the salary for a named individual in the "Other Personnel" category (Ex: post doc or graduate research assistant). In this case, we can use the salary given to us by the PI's since they set the "other personnel" salaries. But, if the projected salary increase for a named individual falls under the senior personnel category (PI, Co-PI, Co-Investigator) the Proposal Administrator contacts the department head for verification. Should the request be denied, it is the PI's responsibility to speak to the department head and let us know how to proceed.

      2) **Unnamed Personnel**
         "To be named" individuals also appear on the budget. These can range from senior personnel to administrative staff, students, etc. In this case, the TAMU Classified

Personnel Pay Plan Book should be consulted for the appropriate pay ranges for the various titled positions. If a classified position's budgeted salary is lower than or higher than specified, you will need to contact the PI. If it is lower, he/she can either change the title to fit the salary or increase the salary to the minimum. If higher, he/she can also change the title to fit the salary or lower the salary to meet the maximum. A job title that does not appear is considered unclassified and there are no restrictions on the base salary “other than common sense.” Extremely high or low salaries should be verified with the department. If a GRA is listed, consult the internal pay range schedule for appropriate minimum starting salaries to make sure the GRA is starting either at or above this level. **The rates given are half-time rates on the list “not FTE.”**

A graduate research assistant may not work more than 50% time for academic months but may work 100% time during the summer. Tuition should also be requested for a graduate research assistant, but is listed in other direct costs and is exempt from Facilities and Administrative costs. When a PI requests tuition, consult the individual sponsor guidelines to determine if it is an allowable cost.

b. Percent Time

Time commitments on proposed projects are frequently expressed as a percentage of an individual's time.

"Hourly as needed" is used when a PI wants to plug in a certain dollar figure and would probably use various people as needed for student workers.

c. Full-Time Equivalent Months (FTE)

Full-time equivalent months, or "staff-months", as they are commonly called, represent the total time commitment of an individual as complete monthly units. For example, if a person spends 50% of their time for 12 months, it is expressed as 6 (full-time) calendar months.

d. Number of Hours

Effort is budgeted as a percentage of time. Some sponsors require effort to be shown at an hourly rate. This section will help convert % effort to hourly rates. As a general rule, use 174 working hours per month for the purposes of salary calculations and 2,088 hours for the year. When the number of hours is requested for support of salary breakdown, the format will include "estimated hours," "rate per hour" and "estimated cost" in addition to the percent of time and duration involved.

e. Salary Computations

When preparing an estimate of an individual's salary commitment, it is necessary to know the individual's yearly salary including, percent time the individual will be working on the project and number of months the individual will be working. When calculating a person’s salary you will take their current fiscal year salary and add a 3% increase. Each subsequent year of the budget will have a 3% increase as well.

Note: The percent increase for salaries is established between SRS and various TAMUS administrative offices. The increases allowed in budget preparation are only estimates and should not be considered a guarantee.

The PI may request a lower or higher salary increase be used in the budget calculations. Currently a 3% increase is considered the minimum "safe" allowance. Any increase over 10% must be approved by the department head. An email approval will work for SRS documentation purposes.

Certain budget formats require the salary to be shown by rate/hour and number of hours to be charged to the proposal. This requires converting the percent of time and number of months into the number of staff hours involved and changing the monthly salary rate to a rate per hour. These calculations are based on 174 hours in one staff month.

Step 1. Current monthly salary divided by 174 hours = hourly rate.

Step 2. Percent of time x number of months x 174 = estimated number of hours worked during the project period.

Step 3. Estimated number of hours x hourly rate = estimated cost (base).

Step 4. Estimated cost (base) divided by number of months = monthly base rate of pay.

Step 5. Apply the standard salary increase computation to the monthly base rate.
When the format is used, the individual salary increases are shown as a single line item appearing after the subtotal of the individual base salaries. It is expressed in the following format:

f. Salary Cap

Some sponsors, for example NIH and CPRIT, have limitations the maximum salary amount that a PI, Co-PI, Co-Investigator or other Senior Key personnel can be budgeted at. If you are working on a budget where the PI's salary exceeds the allowed amount, we have to budget the person's salary at the sponsor rate (see sponsor guidelines for current year salary cap). In the SRS budget template there is a template for Salary Cap Cost Share that we have to complete and route with the routing package. This shows the departments and the colleges the difference that will need to be made up at the time of award.

g. Budgeting PI Effort

The amount budgeted including any cost shared amount should reflect the effort that will be performed on the project. For example it is not logical for on a 12 month project for the PI to state that he will work 1 summer month when in actuality he/she will be working on the project throughout the year.

A better method is to express the effort in Person-Months or calendar months.   In the example above the same effort would be stated in the budget justification as 1 person month.   This does not tie the PI down to working only during a summer month.   The 1 person month is equal to 8.33% over the 12 month period. This is more realistic of the way that time will be spent on most projects. The budget justification should match the SRS spreadsheet and budget forms.

h. Time Commitments

University Rule 15.01.01M4
http://rules-saps.tamu.edu/TAMURulesAndSAPs.aspx#15

4.0 PROPOSAL AND SPONSOR COMMITMENTS

4.1 The best estimate of time needed to complete the work should be part of the budget preparation process for the proposal. This includes all time to be paid by the sponsor and time paid by TAMU (cost sharing). The budgeted salary and/or cost sharing for this best time estimate is calculated as follows: (IBS) x (proposed monthly level of effort) x (number of months) = amount budgeted in the proposal. For example: $5,000 x 10% x 6 calendar months = $3,000 budgeted salary.

4.2“Zero percent” effort or “as needed” is not an acceptable level of involvement for key personnel. A minimum of 1% effort is required by TAMU to be budgeted to the sponsored project for the principal investigator and other key personnel as appropriate. This is not required for the following types of proposals: equipment grants, travel grants, conference support, and student augmentation grants (i.e., dissertation support, training grants, scholarship/fellowship grants, etc.). Requests for additional exceptions should be documented and approved in proposals prior to submission to sponsors.

4.3 An individual’s commitment to sponsored projects may equal 100% only if all of the individual’s TAMU activities can be allocated to sponsored projects. Any individual engaged in administrative, teaching and other duties in addition to sponsored projects cannot allocate 100% time to sponsored projects during the reporting period.

i. De Minimis Effort

If a PI does not want to charge time to their research project, they have the option to submit a request for de minimis effort. Proposal administrators should advise the faculty member of this option. The proposal administrator should ask the PI/Co-PI what is his/her best estimate of time they will need to complete the scope of work. If the PI indicates that his/her effort will be less than 1%, then a request for de minimis effort can be submitted to the VPRs office for approval. Requests for de minimis effort should be submitted via email to Karan Watkins, kwatkins@tamu.edu. Any necessary information required for the approval of de minimis effort will be obtained by the VPRs office. Once the request is approved, the proposal administrator should upload a copy of the approval for de minimis effort to the routing package and a cost share statement will not be required.

j. Longevity

As a general rule, we do not calculate longevity in the budget. There are a few entities that utilize it. For the purposes of determining eligibility for longevity pay, a non-faculty employee is defined as one who is not, for any portion of the month involved, engaged in teaching academic courses and/or whose salary is not, for any portion of the month involved, paid from faculty salary appropriations. Only non-faculty members receive longevity on a research grant.

TAMU pays eligible full time and part-time employees longevity pay at the rate of $20 per month once an individual has been employed for two years. Payments increase $20 after each two years of service up to and including 42 years of service. The number of months a person has been employed by TAMU is listed as longevity on the BPP screen.

2. **Employee Benefits**
The employee benefits category is an estimated dollar figure based on total salaries and wages including salary increases. The estimate is derived from present percentages approved by the Texas A&M University System. However, the actual cost of each benefit is specifically identified by employee and charged individually during the course of the project. Employee fringe benefits include the cost of FICA, worker's compensation, unemployment compensation and retirement. The percentages used to estimate the costs are divided in two parts representing the student oriented sector (graduate research assistants and undergraduate student labor) and the faculty and staff.

In addition to the percentage used to calculate fringe benefits, medical insurance must also be estimated. Medical insurance is based on monthly premiums issued by The Texas A&M University System.

All personnel, excluding undergraduate student workers, are eligible for medical insurance. Graduate research assistants are eligible for medical insurance.

These rates can be found in the current year fringe benefits letter located on the K drive. These rates are also up-to-date in the SRS budget template.

3. **Materials and Supplies**
This category includes all items that can be purchased with a cost of less than $5,000 per item and/or a lifetime expectancy of less than one year. The following items are budgeted in this category:
    - Fuel
    - Controlled Items (Items costing $1,000 - $4,999)
    - Software
    - Supplies – Research and Office (if allowable)

4. **Equipment**

An article of non-expendable, tangible property with a useful life of more than one year and an acquisition cost of $5,000 or more is considered equipment rather than a supply. The item must meet both of these requirements. When an item is fabricated, request the name of the item being built and the general components used in the fabrication. Materials and fabrication costs of building an item of equipment are included to determine the overall value. The fabricated item must remain as a unit. Shipping costs are included as a part of the acquisition cost of the equipment. Software is classed as equipment when it is part of the operating system; software purchased separately is a supply. Application software packages are not equipment no matter what the cost, unless it is part of the initial set up of the computer. Consult the individual sponsor's guidelines.

When equipment is being cost shared the following phrase is footnoted on the budget justification:

"This equipment is cost shared with (System member) funds and state law requires that (System member) retain title to this item.

5. **Travel – Domestic or Foreign**

Travel is budgeted when related to the specific project or required by the sponsor to attend conferences, meetings with sponsors, meetings with collaborators, etc.

Domestic

Domestic travel is within the United States. Check each sponsor's definition. NSF also includes Canada, Puerto Rico and all U.S. possessions in domestic travel destinations.

Foreign

Foreign travel is all international travel. Check each sponsor's definition. The description should include a specific destination and purpose. Most agencies would like to see a specific meeting or contact point named if available.

a. **Transportation**

Transportation involves travel via airlines, vehicle rental, university vehicle rental, taxi and mileage.

1) **Airfare**

Much of the travel conducted in support of the research effort is accomplished by air. You can obtain airfare quotes on-line or the PI's estimate may also be used in determining the airfare rate.

2) **Car Rental**

Car rental is basically used in conjunction with airfare.

3) **Vehicle Rental**

Vehicle rental involves a large selection of university owned vehicles ranging from compacts to mini-buses. Each rental is based upon an established "Rental Rates for Short Term Rental of Transportation Services Vehicles" distributed by Texas A&M University Transportation Services.

4) **Personal Vehicle**

The mileage rate for personal vehicles is established by the State of Texas. This allowance covers all costs incurred in relation to the vehicle use (gas, mileage, oil, etc.). The travel policy should be consulted for additional rates established for special purposes such as trailer towing.

5) **Ground Transportation**
Ground transportation is allowed for travel costs without specifying the method of transportation (i.e., taxi or bus fare).

b. **Per Diem/Subsistence/Meals**
Per diem, subsistence, or meals is a separate item charged for the expenses incurred for lodging and/or meals.

1) **Per Diem**
Per diem specifies the use of the base reimbursement rate for lodging and meals. The reimbursement for per diem is based on a flat rate regardless of expenses incurred.

Domestic – via the General Services Administration
http://www.gsa.gov/portal/category/21287

2) **Foreign Per Diem**
When the PIs travel to a foreign country, the Proposal Administrator will calculate foreign per diem rates as specified in the Standardized Government Regulations. There are specific per diem rates for meals and lodging established by the federal government for domestic and foreign travel by location. Applicable rates are found at:

Foreign – via the U.S. Department of State
https://aoprals.state.gov/web920/per_diem.asp

3) **Subsistence**
Subsistence is the reimbursement of lodging and meals at the actual cost. When this allowance is made, the PI is reimbursed by providing actual receipts. Occasionally, the PI requests the domestic subsistence rates set by the federal government. The Standardized Government Regulations specify the maximum reimbursement allowance for foreign destinations.

4) **Meals**
Meals are reimbursed as a single charge if the travel is not overnight. A flat daily charge is allowed.

6. **Consultant**
Consultant costs are based on commitments from an individual to serve in an advisory capacity. Each consultant is listed by name, affiliation, number of hours and rate per hour. In the case of travel for the consultant, it can be included in the rate per day or as a separate item in the travel section. The costs should be verified by a letter of commitment stating fees and/or expenses.

7. **Subcontract**

Subcontracts are incorporated into a budget when the PI secures an outside organization to conduct a portion of the work. The subcontractor may be providing labor, equipment, analysis, etc. When a subcontract is secured, a written agreement is drawn up between SRS and the participant after the award has been made. At the proposal stage, a [Subrecipient Commitment Form] should be completed and must include a separate proposal completed by their organization with a budget, scope of work and institutional signatures. Participation of another university on a project is considered a subcontract.

NOTE: Facilities and Administrative costs are only charged on the first $25,000 of the subcontract, when using our regular negotiated rate. Sub agreements between College Station-based TAMU system members (including Texas A&M University at Galveston) are exempt from the Facilities and Administrative costs excluding regional institutions (Texas A&M Corpus Christi, Prairie View A&M, and other regional institutions).

When a subcontract is included in a proposal to a sponsor that requires a cost sharing commitment, the subcontractor should be contacted to see if the institution or firm will be satisfying its portion of the cost sharing requirement. If the subcontractor is cost sharing, the internal cost sharing statement and routing sheet should be marked accordingly.

8. **Participant Support Costs**
Participant support costs are direct costs for items such as stipends, travel subsistence allowances and registration fees. Paid to or on behalf of participants or trainees (not PI's or TAMU employees) or other costs not duplicated elsewhere in the budget in connection with meetings, conferences, symposia or training projects located at TAMU or another university. A TAMUS faculty member cannot be reimbursed as a participant. This category is Exempt from the indirect calculation as per the Uniform Guidance dated December 26, 2014.

9. **Other Costs**
This is a major budget category used to budget all items that are not incorporated in another category but may not be allowable costs.
    - Allowance (Books, Settling – in)
    - Computing Services (not TAMU CIS)
    - Conference Fees
    - Fabrication charges that are not exempt
    - Insurance
    - Maintenance/Repair
    - Memberships
    - Postage
    - Professional Dues
    - Relocation
    - Equipment/Office/Vehicle Rental
    - Professional Services
    - Ship Costs – Mobilization/Demobilization and Shipboard Technical
    - Services

- Subscriptions
- Telephone – long distance

10. Animal Costs

Any costs associated with the purchase or daily care of an animal is budgeted here. For purchases you must list the species, the number of animals and the price per animal. For daily care list the cost per day associated with one animal.

11. Human Subject Costs

The only costs that are classified as human subject costs are monetary payments made to an individual for their participation in a project.

12. Publication Costs

Expenses incurred for the printing of articles or documents associated with the research.

13. Facilities and Administrative Costs (Indirect Costs or F&A Costs)

The Facilities & Administrative cost rate is a predetermined rate established with the Department of Health and Human Services (DHHS) for use on all federal awards. These rates are used for all proposals except those to Sponsors that have an established allowance. The F&A cost rate is allowed to cover expenses related to TAMUS owned facilities such as utilities, janitorial services, minor repairs, etc. All other costs are direct costs and should be allowed for in the budget detail preparation. The rental and utilities expense of facilities not owned by TAMUS is listed as a separate budget item. The F&A cost rate agreement establishes rates to be used for TAMUS on-campus and off-campus projects conducted on or off the College Station, Campus.

a. On Campus

The on campus research rate for TAMU and associated System members is budgeted at the current on-campus negotiated rate on modified total direct costs for proposals. Use the correct rate based on project start date.

b. Off Campus

The off campus research rate for TAMU projects conducted away from the College Station campus is budgeted at the current negotiated off-campus rate on modified total direct costs. The PI informs us whether he/she proposes the use of the off campus rate. The budget may also need to be separated and defined in specific tasks or phases (some of which may be off-campus and incorporating the off-campus rate). Therefore, proposals may incorporate the use of both rates. If a PI plans to use the off campus rate, he/she must submit an IDC waiver requesting the use of off-campus indirect and explain the benefits of using this rate.

c. Other Sponsored Activities

This category is normally only used by Texas A&M AgriLife Extension because the type of funding they receive is not normally related to research but mainly for outreach. If any other system part other than Texas A&M AgriLife Extension plans to request the other sponsored activities rate, the PI must submit an IDC waiver requesting to use this rate with an explanation the benefits of using the rate.

d. Intergovernmental Personnel Act (IPA)
This rate is only used when a PI is entering into an agreement with a federal sponsor to conduct business for long periods of time at the location assigned by the sponsor.

e. Exemptions
The F&A cost rate exempts certain items from the base amount of the F&A calculation. The modifications are as follows:

- Equipment
- Subcontracts-the excess after the first $25,000/subcontract
- Participant support costs per Uniform Guidance dated December 26, 2014
- CIS Rates
- Cyclotron Beam Time
- TTI Technical Support Services or Proving Grounds, Computing Services, Video/Web Services
- Tuition payments
- Stipends and/or Fellowships
- A & R Wind Tunnel

The TAMUS F&A cost rate agreement also exempts off-site facility rental fees in addition to the eight exemptions listed above.

f. Reduction of Facilities and Administrative Costs
Some sponsors only allow a certain amount for F&A costs. In these cases, it is calculated on the budget with the difference of the current F&A rate and the agencies F&A rate shown at the bottom of the budget template. A copy of the sponsor's guidelines stating F&A rate allowed goes in the routing proposal. Be sure to highlight the pertinent section explaining the charges.

When a PI arbitrarily reduces the F&A rate, he/she must get written approval from the Department Head, Dean and the System member representative (VPR for TAMU) before a budget is prepared. System members have a specific format for this request. Links to forms: HSC, TAMU, TEES, TAMUCC. AG requests are routed through Maestro.
When a rate other than our negotiated rate is used, the base is presumed to be Total Direct Costs (TDC) unless the sponsor's guidelines state otherwise.

Proposals with Intrasystem Collaborators

Background
Proposals submitted by a TAMUS member may typically include collaboration among system members. A matrix has been developed to determine when a subaward with a particular member is needed.

Procedure
The Proposal Administrator reviews the [Matrix] to determine if a subaward is required.

Yes on the matrix indicates the collaborating member is to be treated as a subaward. A separate proposal in MAESTRO will be created for the collaborating system members when a subaward is required. The subaward would appear on the lead institution as a subcontract line item. Generally, one Proposal Administrator will prepare both the lead member's budget and the subaward budget.

System members headquartered in College Station and Galveston that appear on the matrix have agreed to not include F&A cost on the first $25,000 of a subaward to another member that is on the grid.

No on the matrix indicates the collaborator would be incorporated into the main member's budget and a separate subaward would not be created.

System members that are headquartered outside of College Station in respect to a subaward are treated as separate subawards and as a non-system collaborator institution would be. An exception is the Texas A&M Engineering Experiment Station (TEES) who maintains agreements with regional divisions including the other system member agencies and universities. If TEES and the collaborating organization agree then they can be included as part of the TEES budget and not as a subaward.

Budget Splits by Department: TAMU & TEES

Generally, the Proposal Administrator will work with the lead PI or their representative to develop the proposal budget. The Proposal Administrator finalizes the overall budget. When multiple departments are involved, the Proposal Administrator will ask the PI to which department the individual cost should be allocated. Based on this information, the budget can be split by department.

- Save the overall/cumulative budget file.
- Add extra tabs within the budget file for the different departments.
- Name each tab by the respective departmental name/PI name
- Copy the overall/cumulative budget to each of tabs.
- Type the department name on the top of the budget page
- Zero out the budget for the items that do not belong to that department and hide those rows/columns.
- Save the budget file.
- Include the overall/cumulative budget and the split budgets in the proposal routing package.
- Be sure to complete the Budget Split Screen in Maestro so that it reflects the budget splits made in the Excel budget template.

*NOTE: By having all of the budgets in one Excel workbook makes project set up much easier in the end.

Cost Sharing Overview

Cost sharing is the portion of the total project costs of a sponsored agreement that is paid by the University (or an outside party) instead of the sponsor. Cost sharing sources include: academic time, system members contribution, waived indirect, third party and in-kind contributions.

Various federal agencies **require** that a portion of the funds supporting an awarded project be secured through a cost sharing arrangement with the organization or institution receiving the award. The amount required fluctuates from 1% of the total project up to a dollar for dollar match of funds. The guidelines for each sponsor should be reviewed for any indication of required cost sharing. Some key phrases or references to look for are "non-federal contribution", "institutional contribution", "dollar for dollar", "matching funds", required time commitments at "no charge", "lower rate", or "in-kind contribution". Sponsor guidelines should also be checked for reference to cost sharing amounts being accumulated on the entire project cost period or a designated increment. If not specified in the guidelines, the use of waived indirect costs as cost sharing should be verified with the sponsor.

Note: If cost sharing is required by the sponsor and a portion of the requested funding includes a subcontractor, the cost sharing is flowed down to the subcontractor. If the subcontractor is cost sharing, the internal cost sharing budget and Maestro should be marked accordingly. Also, NSF does not allow us to show any form of cost sharing unless specifically required in the program announcement.

The difference in the Facilities & Administrative cost rate established for TAMUS by DHHS and what is allowed by the sponsor are reflected on the budget template. When an individual is working on a project at no charge to the sponsor, a cost sharing budget must be prepared and routed for approval (exception to this rule is AgriLife Research and Extension). This document takes into account the individual's rate of pay, applicable fringe benefits, and the Facilities & Administrative cost. Often cost sharing is used to maintain sponsor support below set funding levels.

A. Levels of Cost Sharing

1. **Equipment**
   When cost sharing on the purchase of new equipment, we provide to the System member a description of the item(s), account number(s), and amount(s). This information is provided to us by the PI after the PI has communicated with the System member who is committed to the cost sharing.
2. **Non-Equipment Items**
   Cost sharing may be satisfied by any means that can be verified with accurate records of the expenditure. When a non-equipment item is cost shared, the Facilities & Administrative cost rate is applied to the total sum. An account number needs to be obtained from the System member committed to the cost sharing prior to routing.
3. **Salaries**
   The most common method of cost sharing is through the use of individual time commitments at no charge to the sponsor. The System member will be providing the

support. It is necessary for the Proposal Administrator to prepare the cost sharing budget to initiate routing. **Note: Any voluntary cost-sharing must be pre-approved** for all TAMU proposals, Corpus Christi and Galveston. Once submitted to a sponsor, any voluntary committed cost-sharing becomes mandatory cost-sharing and reportable to the sponsor.

The salary rate should be verified in BPP/Canopy. The cost sharing can only be conducted during the time that the PI is being paid from that particular account.

a. Account Numbers
The account numbers detail the department and the type of funds. Most PIs are paid from an academic account. The account number should be verified with the departmental business office before routing.

b. Allowable Effort
The cost sharing time requested must be consistent with the individual's appointment.

c. Salary
The current salary for the individual is used for cost sharing calculations with a 3% salary increase allowed for each additional year.

d. Fringe Benefits
Fringe benefits are included in the cost sharing contribution because they are actual expenses incurred by TAMUS for the individual's employment. FICA, worker's compensation, unemployment benefits and retirement contributions are included in the rate. Medical insurance benefits must also be included. **You may never cost share salary without the associated fringe benefits as the TAMU payroll system cannot bill the project for salary only.**

e. Facilities and Administrative Costs
The F&A costs applied to the cost sharing contribution are calculated at the maximum allowed. When the sponsor allows lower Facilities & Administrative cost, the cost shared F&A cost is still figured on the TAMU allowable rate, unless specified by the sponsor guidelines. The difference of the rate allowed by the sponsor and TAMU's rate is shown as a cost sharing contribution if allowed by the sponsor. A copy of the sponsor's guidelines limiting F&A/indirect costs must be included in the routing package.

When a PI requests to reduce the Facilities and Administrative cost and the sponsor accepts TAMUS Facilities & Administrative cost, the PI must request approval in writing from his department head, dean and the System member. The PI must have the written approval before the budget process begins. There is a specific form that TAMU VPR requires for this process.

Required Criteria for All Contributions: Cash and In-Kind

Information is available from OMB Uniform Guidance, Section 200.306 Cost Sharing or matching

http://www.ecfr.gov/cgi-bin/text-idx?node=2:1.1.2.2.1&rgn=div5

Responsibilities
All sources of cost sharing and matching must be identified at the proposal stage.

- **It is the responsibility of the Principal Investigator to determine the sources available for cost sharing on the research project**.
- The Principal Investigator must also determine how these resources will be used to benefit the project.
- The Proposal Administrator is responsible for determining the allowability of the proposed sources.
- The signers on the cost sharing statement are ultimately responsible for verifying that the funds will be available.

When to Avoid Cost Sharing
In most cases, official commitments to share the costs of research should be limited to programs where a governmental or non-profit entity requires cost sharing.

There is no cost-sharing or matching funds, of any kind, allowed with for-profit sponsors. This includes indirect cost waivers, in-kind PI release time, hard dollars, etc. It is illegal to subsidize for-profit organizations with taxpayers' money.

If the Proposal Administrator does not know the sponsor's status (for-profit or non-profit), an attempt is made to obtain the information from the Internet. If a search results in no status information, then the Proposal Administrator contacts the sponsor requesting a letter, signed by an officer of the organization, indicating their non-profit status. If they are non-profit, and do not want to write a letter, a copy of their IRS Form 1023, indicating their 501C3 status, will suffice.

Forms
When cost sharing is required by a sponsor, the plan for meeting that requirement should be determined and documented prior to the submission of the proposal. The Proposal Administrator prepares the appropriate cost sharing form to document the cost sharing plan detailing the sources of cost sharing and the planned expenditures of those funds as communicated by the Principal Investigator.

Cost Sharing Forms
AgriLife Research & Extension – PI should contact their departmental business administrator
TTI requires email approval
TAMUG requires email approval
TAMUCC
TEES requires email approval (PI, Dept. Head, Dr. Costas Georghiades, Mr. John Crawford)
TAMU Cost Sharing Waiver

These forms include the signatures of the Principal Investigator, department head, deans, and the person authorized to commit the resources which will be contributed to the project.

Subrecipient vs.Contractors Determination

Definitions
<u>Checklist</u>
The Subrecipient or Contractor Determination Checklist for the Principal Investigator will be a tool to be used (but is not mandatory) to determine whether a recipient is a subrecipient or a contractor.

Proposal Administrators are encouraged to use the tool to determine the appropriate relationship if there is doubt during budget preparation. The Checklist for the Principal Investigator should be uploaded in Maestro with the proposal.

Negotiators, SubNegotiators and Project Administrators are encouraged to use the tool if there is any question as to the appropriate recipient relationship during the project's life. The Checklist for the Principal Investigator should be electronically filed with either the subrecipient file or the purchase order, depending on the determination.

- The Checklist for the Principal Investigator should be sent to the Principal Investigator via email to complete and return via e-mail to SRS. The Principal Investigator should fill in the "Completed by" field with their name and date

- Once the completed Checklist from the Principal Investigator is received, it should be reviewed following the Guidance for Reviewing Checklist. More "Yes" answers to questions 1-3 indicate a contractor relationship is more appropriate. More "No" answers indicate a subrecipient relationship is more appropriate. If still uncertain, the employee reviewing the Checklist should confer with their supervisor. The supervisor should complete the "Secondary Review" field with their name and date.

- When a determination is made, the "Reviewed by" field should be completed by the SRS employee who is working with the Principal Investigator with their name and date.

- If it is determined that the relationship should be a subrecipient, a subaward is issued. If it is determined it is a contractor, an order requisition should be submitted to the assigned Project Administrator if the value of the agreement is over $10,000. A sole source justification is needed unless bids or proposals will be obtained. Subrecipient or Contractor Determination: A Checklist for the Principal Investigator available here.

Texas A&M System Sponsored Research Services
Subrecipient or Contractor Determination

A Checklist for the Principal Investigator

Proposal/Project Number: _____________ Maestro Number: _____________

Principal Investigator: ____

Subrecipient or Contracting Entity: ____________________________________

Please answer the following questions to assist Sponsored Research Services in determining the appropriate relationship with an entity.

1. Does the entity provide the proposed goods/services within its normal business operations? Check box if yes ☐
2. Does the entity provide similar goods or services to many different purchasers? Check box if yes ☐
3. Does the entity operate in a competitive business environment? Check box if yes ☐
4. Are the entity's personnel named and identified as having key roles in the proposed project? Check box if yes ☐
5. Will there be potentially patentable or copyrightable technology emanating from the activities of the entity? Check box if yes ☐
6. Are publications anticipated from the entity? Will individuals at the entity be coauthors on such articles? Check box if yes ☐
7. Is the entity providing cost sharing or matching funds to the project? Check box if yes ☐
8. Is the entity's performance measured against the objectives of the sponsored project? Check box if yes ☐
9. Does the entity have responsibility for programmatic decision making? Check box if yes ☐
10. Will the entity use the proposed funds to carry out a program of its own as compared to providing goods or services for the program? Check box if yes ☐

Completed by: _______________________________ Date: ______________________

For SRS Use Only Subrecipient ☐ Contractor ☐
Reviewed by (include name and date):____
Secondary Review if needed (include name and date):__________________________________

Subrecipient or Contractor Determination: Guidance for Completing Checklist

Texas A&M System Sponsored Research Services
Subrecipient or Contractor Determination
Guidance for Completing Checklist

More 'Yes' answers to questions 1-3 indicate a contractor relationship is more appropriate. More 'No' answers indicate a subrecipient relationship is more appropriate. Subsequently, more 'Yes' answers to 4-10 indicate a subrecipient relationship is more appropriate and more 'No' answers indicate a contractor relationship is more appropriate.

Contractor Questions:

1. Answer 'Yes' if the entity provides the same services or goods as part of its daily business operations?

2. Answer 'Yes' if the entity sells the same services or goods to any customer, or if the entity is simply running lab tests, fabricating equipment, or developing plans (not research plans) to the Principal Investigators (PI's) specifications.

3. Answer 'Yes' if other sources are readily available. They compete with others who can provide a similar service.

Subrecipient Questions:

4. Answer 'Yes' if the proposal includes any of the following for the entity's portion of the project: separate budget, facility and resource description, project site information, roles and responsibilities, or scope of work.

5. Answer 'Yes' if the entity's personnel share a financial interest in the project's intellectual property or are likely to claim such an interest.

6. Answer 'Yes' if the entity's personnel are listed as key personnel or investigators on the proposed project and therefore they are likely to be co-authors or any publications.

7. Answer 'Yes' if proposed budget includes cost sharing or matching funds for entity.

8. Answer 'Yes' if the entity's performance will be measured against the objectives of the sponsored project.

9. Answer 'Yes' if the entity works independently from the Texas A&M University System investigator, if they provide their own tools and equipment, if they solicit work from a number of customers, and or if they direct their own efforts.

10. Answer 'Yes' if the funds issued to the entity will be dedicated to completing the project.

Proposal Routing

Routing Package

- Select Action
- Select Upload New Document
- Browse to find the appropriate file
- Select Upload
- This is the document that the approvers will see in routing
- The routing package is uploaded as a single document in the following order
    - Documentation of Limited submission – if applicable
    - Budget
    - Indirect cost limitation page from guidelines or approved indirect cost waiver – if applicable
    - Cost sharing budget – if applicable
    - Cost Sharing approval document – if applicable
    - Cost sharing/matching requirement page from guidelines – if applicable
    - Budget justification
    - Routing Text, Proposal, or Statement of Work
- There is also the ability to add a note on any file you upload as needed
- The routing package should present to the reviewer/approver a complete picture of the proposal – budget and justification, text that explains the project, any special circumstances that need to be explained.

Other Related Documents

- Internal backup needs to uploaded in this section including:
    - Excel budget and cost sharing budget
    - Budget justification
    - Guidelines
    - E-mails that provide additional documentation

Revised Budgets

Budgets are often updated or revised after the proposal has been officially submitted to the sponsor. The updates are due to additions or deletions from the original proposed work statement, reduced or increased cost estimates, etc. The sponsor may contact the PI or the Project Administrator with the suggested changes in the funding level and request that an updated version be submitted for further negotiations. If so requested, the revision is then returned to the sponsor.

Initiation

A revision begins when the PI, Project Administrator, or contract negotiator contacts the Proposal Administrator to initiate the change in the original proposal submission. If there is a firm due date, that date should be referenced in Maestro. The PI or Project Administrator will provide the adjustments to the original submission along with any additional limitations that may prevail (i.e. a limited funding level).

Log in a Revised Budget

- Log into Maestro
- Search for the correct proposal to be revised
- Click on Action
- Select Create New Revision
- Proceed from this point in the same manner as with a new log-in. Some information will be complete, but may need to be updated.

Preparation

The budget is revised according to the information received from the PI or the Project Administrator. All information pertaining to the cost section of the proposal is updated to reflect the changes.

Cost sharing information, if applicable, should be updated at the revision stage. A revised statement is completed even if the only change is the basis for calculating the fringe benefits. When preparing a revised cost sharing statement, mark the proposal type as "Revised". Prepare the cost sharing amounts according to any adjustments or any rate changes that apply.

After required forms are adjusted to coincide with the revised budget, the revision follows the same process as any other proposal and is then ready for internal approvals and submission.

Cost Sharing Revision Only (processed as an internal proposal)

A request may be made by the Project Administrator or the PI to adjust the original proposed cost sharing statement. This request should not be confused with the overall revision phase of a proposal. The cost sharing statement is generally revised due to conflicts with existing time commitments; inabilities to meet the cost sharing requirement on the original account; or arrangements have been made to satisfy the contribution by another method.

Routing

Revised budgets are routed via Maestro in the same manner as new proposals. Routing is only required if there is a change of 25% of the total award (increase or decrease), change in PI, major change in scope of work, change in cost share or change in indirect costs.

Quality Check Procedure

Proposals prepared by SRS are expected to be checked prior to submission by a Quality Control Administrators. When your proposal is ready to be checked, send an email to the appropriate Quality Control Administrators; include the internal budget, the guidelines and the final document to be checked. The email subject line should be this: QC: Proposal Number, PI Name, Sponsor, Due Date & Time.

Small Business Subcontracting Plan

Background
Large business concerns receiving contract awards valued in excess of $1,000,000 for construction or $650,000 for other than construction, are required to submit subcontracting plans for the review of the Deputy for Small Business and approval of the Contracting Officer. There are other types of sponsors that also require subcontracting plans: some federal with requests of $650,000 or over and some State of Texas agencies with requests of $100,000 or over. The Proposal Administrator should be alert for this requirement and follow the procedure below.

Procedure
Generally when responding to a Request for Proposal (RFP) that will be in excess of $650,000 for other than construction or in excess of $100,000 for Texas agencies, SRS may be required to submit a Small Business Subcontracting Plan as part of the proposal. The requirements for the subcontracting plan can be found at FAR19.704, Subcontracting plan requirements. The SRS Purchasing department has templates prepared which can be modified for the specific plan.

- The PI and SRS Purchasing will review the proposal budget for opportunities to subcontract to potentially small or disadvantaged businesses.
- The SRS purchasing department will complete the subcontracting plan and provide the plan to the Proposal Administrator to be included in the proposal.

If a portion of the budget will be subcontracted, a subcontracting plan may be required from the subcontractor. Be alert for this requirement in the guidelines.

Compliance

Reprinted from the TAMU VPR's site:

Guiding Principles of Research Compliance

This draft has been developed by The Texas A&M University System.
Printable version (PDF)

- The Texas A&M University System is committed to the protection of human and animal subjects involved in research, to the safety of our faculty, staff, and students involved in conducting research, and to the welfare of the public.
- We all share responsibility for continuously striving to proactively, collaboratively, and transparently support and strengthen both our culture of research compliance and our research compliance monitoring programs, while at the same time facilitating an environment that is fundamentally supportive of competitive research.
- We understand that our capacity to carry out competitive research and receive research funding is dependent on our capacity to demonstrate that we have a fundamental

commitment to research compliance, a robust infrastructure to support research compliance, and effective programs and processes to verify that compliance.

- It is the responsibility of the Principal Investigators (PIs) to carry out their research in compliance with all federal, state, and university requirements, with approval from the appropriate university committee, such as the Institutional Animal Care and Use Committee (IACUC), Institutional Biosafety Committee (IBC), and Institutional Review Board (IRB).
- It is the responsibility of each Texas A&M System member—represented by department heads, deans, senior leadership, other administrative officials, and the Institutional Official—to facilitate monitoring of research compliance, to support communication of PI compliance issues, and, when necessary, to take active measures to ensure compliance.

As proposal administrators, it is our duty to (as diligently as possible) check that the compliance information is accurately completed by the PI and reported to the sponsor.

Glossary and Acronyms

A

A-21
"Cost Principles for Educational Institutions," a circular published by the federal Office of Management and Budget (OMB) that establishes the principles for determining the costs applicable to grants, contracts, and other government agreements with educational institutions (also known as Sponsored Projects). Replaced 12/26/14 by Uniform Guidance.

A-110
"Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," a circular published by the federal Office of Management and Budget (OMB) that sets forth standards for obtaining consistency and uniformity among federal agencies in the administration of grants to and agreements with institutions of higher education, hospitals, and other non-profit organizations. Replaced 12/26/14 by Uniform Guidance.

A-133
"Audits of States, Local Governments, and Non-Profit Organizations," a circular published by the federal Office of Management and Budget (OMB) that sets forth standards for obtaining consistency and uniformity among federal agencies for the audit of states, local governments, and non-profit organizations expending federal awards. Replaced 12/26/14 by Uniform Guidance.

AAALAC
American Association for the Accreditation of Lab Animal Care

AFCS
Air Force Systems Command

AFOSR
Air Force Office of Scientific Research (DOD)

Allocable Costs
Those allowable costs that actually benefit the grant or contract to which they are being charged.

Allowable Costs
Those categories of costs that can be charged to a grant, such as salaries and equipment. Certain types of costs, such as the cost of alcoholic beverages, are not allowable and may not be charged to a contract or grant.

ARDC
Army Research and Development Command

ARO
Army Research Office

ASDC
Army Strategic Defense Command

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

Award
Funds that have been obligated by a funding agency for a particular project.

B

Broad Agency Announcement (BAA)
An announcement of a federal agency's general research interests that invites proposals and specifies the general terms and conditions under which an award may be made.

Budget
The detailed statement outlining estimated project costs to support work under a grant or contract. (See also rebudget.) Line items may differ but usually include salary, fringe benefits, materials and supplies, computer costs, travel, student support, equipment subgrants or subcontracts, publication costs and other allowable miscellaneous costs.

Budget Adjustment
The act of amending the budget by moving funds from one category or line item to another.

Budget Justification
Statement used to explain expenditures as necessary to complete the proposed research.

Budget Period
The interval of time into which the project period is divided for budgetary and funding purposes. (Also called Period of Performance.)

C

CDC
Centers for Disease Control

CFDA
Catalog of Federal Domestic Assistance

Change Order
A written order signed by the contracting officer, directing the contractor to make changes that the changes clause of the contract authorizes the contracting officer to order without the consent of the contractor.

Classified Research
Generally defined as research subject to a security classification established by a federal agency. Sponsored proprietary research for which the sponsor requires a delay in publication in excess of six months also is often considered classified research.

Close Out
The act of completing all internal procedures and sponsor requirements to terminate or complete a research project.

COE
Core of Engineers

Cognizant Audit Agency
The office or staff that is designated to perform audits on behalf of the federal government for sponsored programs at a university.

Collaborator
TAMUS personnel or non-TAMUS person added to a budget, often at no cost (if TAMU personnel, shown in personnel section; if non-TAMUS personnel, shown in other direct costs).

Commercial Potential
Likelihood of the innovation or product developed in research having technology commercialization potential

Competing Proposals
A proposal submitted for the first time or unfunded proposals that are resubmitted; either must compete for research funds. Ongoing projects must compete again if the term of the original award has expired.

Compliance
Category of research administration concerning with the application of federal regulation to research.

Consortium Agreement
Group of collaborative investigators/institutions; arrangement can be formalized with specified terms and conditions.

Consultant
A non-TAMUS individual who is engaged to perform independently, a specific job for a stated sum of money

Continuation Proposal
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 may or may not compete with new project proposals.

Contract
A mechanism for 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.

Contract/Grant Officer
A sponsor's designated individual who is officially responsible for the business management aspects of a particular grant, cooperative agreement, or contract. Serving as the counterpart to the business officer of the grantee/contractor organization, the grant/contract officer is responsible for all business management matters associated with the review, negotiation, award, and administration of a grant or contract and interprets the associated administration policies, regulations, and provisions. (For definition of scientific officer, see Program/Project Officer.)

Cooperative Agreement
An award similar to a grant in which the sponsor's staff may be actively involved in proposal preparation. It is also anticipated that the sponsor's staff will have substantial involvement in research activities once the award has been made.

COS
Community of Science A web server containing information about scientific expertise, funded scientific research, and funding opportunities for research.

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

Cost-Reimbursement Type Contract/Grant
A contract/grant for which the sponsor pays for the full costs incurred in the conduct of the work up to an agreed-upon amount.

Cost-Sharing
A general term that can describe virtually any type of arrangement in which more than one party supports research, equipment acquisition, demonstration projects, programs, institutions. Example: A university receives a grant for a project estimated to have a total cost of $100,000. The sponsor agrees to pay 75% ($75,000) and the university agrees to pay 25% ($25,000). The $25,000 is the cost-sharing component. Can be the percent of effort an employee works on a sponsored program in excess of the percent of pay charged to the sponsored program account.

CSR
Center for Scientific Review (National Institutes of Health)

D

DAF
Department of the Air Force

DARPA
Defense Advanced Research Projects Agency (DOD)

Deemed Export
An export is defined as the shipment of tangible items and the transmission or transfer of software code or information to another country, while a “deemed export" is the disclosure of controlled software code or information to foreign nationals in the U.S.

DHHS
Department of Health and Human Services

DIA
Defense Intelligence Agency

Direct Costs
Clearly identifiable costs related to a specific project. General categories of direct costs include but are not limited to salaries and wages, fringe benefits, supplies, contractual services, travel and communication, equipment, and computer use.

DOA
Department of the Army

DOC
Department of Commerce

DOD
Department of Defense (includes Air Force, Army, ARPA, and Navy)

DOE
Department of Energy

DOED (DED)
Department of Education

DOL
Department of Labor

DOI
Department of Interior

DOJ
Department of Justice

DON
Department of the Navy

DOT
Department of Transportation

E

Electronic Research Administration (ERA)
Conducting research administration by utilizing electronic resources such as the Internet, form templates, databases, and other electronic tools.

EPA
Environmental Protection Agency

EPIK
TEES management information systems used primarily by staff for financial/accounting, research proposals/projects, personnel tracking, and general record keeping.

Equipment
Generally, an article of nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit. It is not a replacement part or a component returning a piece of equipment to its original condition.

Expiration Date
The date signifying the end of the performance period, as indicated on the Notice of Grant Award.

Export Controls
Federal regulations controlling exports. A license must be obtained from the relevant agency prior to the export of any covered equipment, materials, technology, software, or information.

Extension
An additional period of time given by the sponsor to an organization for the completion of work on an approved grant or contract. An extension allows previously allocated funds to be spent after the original expiration date.

F

FAA
Federal Aviation Administration

Facilities and Administrative (F&A) Cost Rate
The rate used in determining the indirect costs of a sponsored program. Set, approved rates are to be used for agreements with the federal government and are to be used on all project budgets unless prior waiver approval is obtained.

Facilities and Administrative (F&A) Costs
Costs 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, or Overhead.

F&A costs are necessary to conduct the normal business activities of an organization but are of such a nature that they cannot be readily identified with specific functions or directly charged to the various divisions/departments. F&A costs are real, auditable costs incurred each time SRS accepts an award for a sponsored program.

Facility Renovations
Planned renovation of a facility to provide for the conduct a research project if funded.

FAR
Federal Acquisition Regulations

Fellowship
Awards of financial support to individual named students or postdoctoral scholars, or to the system member on behalf of individual named students or postdoctoral scholars.

FHWA
Federal Highway Administration

Final Report
The final technical or financial report required by the sponsor to complete a research project.

Financial Conflict of Interest
A situation which could potentially create competing professional or personal interests that could make it difficult to fulfill duties impartially; or which could create an appearance of impropriety that could undermine confidence in the ability to act properly.

Fiscal Year (FY)
Any twelve-month period for which annual accounts are kept.

Fixed-Price (FP) Contract/Grant
A contract/grant for which one party pays the other party a predetermined price, regardless of actual costs, for services rendered. Quite often this is a fee-for-service agreement.

FOIA
Freedom of Information Act

Foreign Travel
Includes travel outside the U. S. and its territories and possessions (Guam, American Samoa, Puerto Rice, the Virgin Islands, and the Canal Zone) and Canada. A trip is considered foreign travel for all legs of the itinerary if the traveler does not return to his/her duty post prior to departure for a foreign destination.

Formal Proposal
Any proposal submitted by an SRS employee to an outside entity that may directly lead to an award. All formal proposals require an institutional endorsement by an official authorized to commit System Member resources.

Fringe Benefits
Employee benefits paid by the employer. (e.g., FICA, Medicare, Worker's Compensation, Insurance, etc.)

Funding Cycle
Range of time during which proposals are accepted, reviewed, and funds are awarded. If a sponsor has standing proposal review committees (or boards) that meet at specified times during the year, application deadlines are set to correspond with those meetings. For some sponsors, if proposals are received too late to be considered in the current funding cycle, they may be held over for the next review meeting (i.e., National Science Foundation's Target Dates).

G

General Purpose Equipment
Equipment which is not limited only to research, scientific, or other technical activities. Examples: office equipment and furnishings, air conditioning equipment, reproduction and printing equipment, motor vehicles, automatic data processing equipment.

GPG
Grant Proposal Guide for the National Science Foundation.

Grant
A type of financial assistance awarded to an organization for the conduct of research or other program as specified in an approved proposal. A grant, as opposed to a cooperative agreement, is used whenever the awarding office anticipates no substantial programmatic involvement with the recipient during the performance of the activities.
For an award to be considered a grant, it normally will contain the following elements:

1. The statement of work must be phrased in general terms to allow the project director a significant amount of freedom to change emphases within the general area of work as the project progresses
2. Deliverables are minimal usually consisting of reports only.
3. Separate accounting procedures are required.
4. Benefits of the project are to accrue to the nation and the world.

Grant/Contract Officer
A sponsor's designated individual who is officially responsible for the business management aspects of a particular grant, cooperative agreement, or contract. Serving as the counterpart to the business officer of the grantee/contractor organization, the grant/contract officer is responsible for all business management matters associated with the review, negotiation, award, and administration of a grant or contract and interprets the associated administration policies regulations, and provisions *(For definition of scientific officer, see Program/Project Officer.).*

Grants.gov
Single Web source http://www.grants.gov/ to find federal funding opportunities and apply for grants.

Guidelines
The outlines and/or policy statements from the sponsor which should be followed in order for a proposal to be accepted by the funding agency.

H

Hazardous Chemical
As defined by OSHA, any chemical that is a health hazard or a physical hazard is a hazardous chemical.

Human Subject
A living individual about whom a researcher obtains:

1. Data through intervention or interaction with the individual or
2. Identifiable private information.

Human Subjects Research
Any research or clinical investigation that involves human subjects. SRS human subjects research is overseen by the Texas A&M University Institutional Review Board http://rcb.tamu.edu

I

IACUC Institutional Animal Care and Use Committee. The committee that oversees research involving animals http://rcb.tamu.edu

IBC Institutional Biosafety Committee oversees research involving hazardous materials, select agents or recombinant DNA http://rcb.tamu.edu

IRB Institutional Review Board The committee that oversees research involving humans. http://rcb.tamu.edu

Incremental Funding
A method of funding contracts that provides specific spending limits below the total estimated costs. These limits may be exceeded only at the contractor's own risk. Each increment is, in essence, a funding action.

Indirect Costs (IDC)
Costs related to expenses incurred in conducting or supporting research or other externally-funded activities but not directly attributable to a specific project. General categories of indirect costs include general administration (accounting, payroll, purchasing, etc.), sponsored project administration, plant operation and maintenance, library expenses, departmental administration expenses, depreciation or use allowance for buildings and equipment, and student administration and services. *(See also Facilities and Administrative Costs.)*

Indirect Cost Rate
The rate, expressed as a percentage of a base amount, established by negotiation with the cognizant federal agency for TAMUS (DHHS), on the basis of the institution's projected costs for the year and distributed as prescribed in OMB Circular A-21. The indirect cost rate is charged on a set of direct costs known as an indirect cost base which for TAMUS is MTDC or Modified Total Direct Cost.

Infectious Biohazards
Microbes capable of infecting and causing disease in human subjects.
Informal Proposal A short, 2-to-5 page description of the proposed project that does not involve a commitment of System Member resources or a signature on behalf of the system member. An informal proposal may include a total cost estimate, but does not include a budget and is not expected to result directly in an award. The purpose of an information proposal is usually to inform and interest the potential sponsor enough to request a more detailed formal proposal. Also sometimes called a letter of proposal, mini-proposal, preliminary proposal, or concept paper.

In-Kind Contribution
A non-cash commitment, such as contributed effort or supplies, to share the costs of a sponsored program.

Interim Funding
Authorization to expend funds on a project to a specified limit before the award document has been received from the sponsor.

Internal Proposal
A proposal that is not submitted to a sponsor, but instead sent directly to the contract negotiator at SRS.

IRB
Institutional Review Board (for human subjects research)

K

Key Personnel
The personnel considered to be of primary importance to the successful conduct of a research project. The term usually applies to the senior members of the project staff contributing time and effort.

L

Lab Animals
Animals used in research projects.

Longevity
Additional monthly salary paid to faculty/staff after being with the University for more than 2 years.

M

Misconduct in Science
Fabrication, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data.

Modification
An award document that modifies any aspect of an existing award other than those named above. Example: Carryover approvals, adding or deleting special terms and conditions, changes in funding levels (including NSF's Research Experience for Undergraduates, NIH's Minority Supplement, DOD's ASSERT Programs), administrative changes initiated by the agency, extensions that include changes in terms, change of principal investigator, etc.

Modified Total Direct Costs (MTDC)
the basic indirect costs calculated on a subset of direct costs, normally excluding among other costs, equipment, patient care, space rental, alterations and renovations, and subcontract costs in excess of the first $25,000. i.e., The portion of direct costs on which indirect costs are based.

N

NAS
National Academy of Science

NASA
National Aeronautics and Space Administration

NCHRP
National Cooperative Highway Research Program

NCI
National Cancer Institute

NCRR
National Center for Research Resources

NCURA
National Council of University Research Administrators

NEA
National Endowment for the Arts

NEH
National Endowment for the Humanities

NEI
National Eye Institute

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
A proposal submitted for the first time or for an ongoing project that must re-compete for funding prior to expiration of the original award.

NHLBI
National Heart, Lung and Blood Institute

NIA
National Institute on Aging

NIAAA
National Institute on Alcohol Abuse & Alcoholism

NIAID
National Institute of Allergy and Infectious Diseases

NIAMSD
National Institute of Arthritis & Musculoskeletal & Skin Diseases

NICHHD
National Institute of Child Health and Human Development

NICRA
Negotiate Indirect Cost Rate Agreement

NIDCD
National Institute on Deafness & Other Communicative Disorders

NIDDKD
National Institute of Diabetes, Digestive and Kidney Diseases

NIDR
National Institute of Dental Research

NIEHS
National Institute of Environmental Health Services

NIGMS
National Institute of General Medical Services

NIH
National Institutes of Health

NIMH
National Institute of Mental Health

NINCDS
National Institute of Neurological, Communicative Disorders, Stroke

NSF
National Science Foundation

NOAA
National Oceanic and Atmospheric Administration

No Cost Time Extension
An extension of the period of performance beyond the expiration data to allow the principal investigator to finish a project. Usually, no additional costs are provided.

Notice of Grant Award
The legally binding document that serves as a notification to the recipient and others that a grant or cooperative agreement has been made; contains or references all terms of the award; and documents the obligation of funds.

NSF
National Science Foundation

O

OMB Circulars
Regulatory circulars issued by the Office of Management & Budget (OMB). OMB Circulars A-21, 110, 122, 128 and 133 pertain to awards made prior to 12/26/14.

ONR
Office of Naval Research

ORNL
Oak Ridge National Laboratory

P

Percent Effort
Time spent on a project by the PI, Co-PI and other personnel involved in the completion of the research, expressed in percentages. Used for salary calculations.

Period of Performance
See Budget Period

PHS
Public Health Service

PHS 2590
Application for Continuation of a PHS Grant (National Institutes of Health)

PHS 398
Application Form for a PHS Grant (National Institutes of Health); replaced by the SF424 (R&R) application and electronic submission information form used by Grants.gov.

PI
Principal Investigator

Pre-Award Costs
Cost incurred prior to the beginning date of a budget period; SRS and sponsor approval are required for these to allowable costs on a project.

Pre-Proposal
A brief description, usually 2-10 pages, of research plans and estimated budget that is sometimes submitted to determine the interest of a particular sponsor prior to submission of a formal proposal. Also termed Preliminary Proposal.

Principal Investigator
The individual responsible for the conduct of research or other activity described in a proposal for an award; listed as the primary person on the proposal or award.

Program Announcement
Describes existence of a research opportunity. It may describe new or expanded interest in a particular extramural program or be a reminder of a continuing interest in an extramural program.

Program/Project Officer
A sponsor's designated individual officially responsible for the technical, scientific, or programmatic aspects of a particular grant, cooperative agreement, or contract. Serving as the counterpart to the principal investigator/project director of the grantee/contractor organization, the program/project officer deals with the grantee/contractor organization staff to assure programmatic progress.

Progress Report
Periodic, scheduled reports required by the sponsor summarizing research progress to date. Technical, fiscal, and invention reports may be required.

Project Period (PP)
The total time for which support of a project has been programmatically approved. A project period may consist of one or more budget periods. *(Also see Budget Period.)*

Proprietary
There is no general definition for proprietary information in the U.S. legal code. The Federal Acquisition Regulation (48 CFR 27.402 Policy) does, however, provide a definition. "…contractors may have a legitimate proprietary interest (e.g., a property right or other valid economic interest) in data resulting from private investment. Protection of such data from unauthorized use and disclosure is necessary in order to prevent the compromise of such property right or economic interest, avoid jeopardizing the contractor's commercial position, and preclude impairment of the Government's ability to obtain access to or use of such data."

Proposal
An application for funding that contains all information necessary to describe project plans, staff capabilities, and funds requested. Formal proposals are officially approved and submitted by an organization in the name of a principal investigator.

Proposal Revision
Any revision made by the project director, SRS, or potential sponsor to the narrative, budget, or any other section of the proposal after submission to a potential sponsor and before an award has been received.

R

Radioactive Materials
Material that is radioactive must be overseen by the Radiological Safety Committee.

Radiological Safety Committee
Texas A&M University committee with the authority to approve special operations and issue permits related to the use of radioactive materials, including lasers, magnets, microwaves, radiation-producing devices, and ultraviolet lamps.
http://ehsd.tamu.edu/RadiologicalSafety.aspx

Recombinant DNA Research
Research conducted with molecules constructed outside living cells, where DNA segments are joined or replicated, where a DNA sequence may be modified, or where related research is conducted with this type of material. This research is overseen by the Institutional Biosafety Committee http://rcb.tamu.edu

Renewal Proposal
Applicable to grants and cooperative agreements only. A competitively-reviewed proposal requesting additional funds extending the scope of work beyond the current project period.

Request for Applications (RFA)
Announcements that indicate the availability of funds for a topic of specific interest to a sponsor. Proposals submitted in response to RFAs generally result in the award of a grant. Specific grant announcements may be published in the Federal Register and/or specific sponsor publications. *(Also see Broad Agency Announcements.)*

Request for Proposal (RFP)
Announcements that specify a topic of research, methods to be used, product to be delivered, and appropriate applicants sought. Proposals submitted in response to RFPs generally result in the award of a contract. Notices of federal RFPs are published in the Commerce Business Daily.

Request for Quotations (RFQ)
A formal request for a price quotation on equipment or supplies to be purchased.

Restriction Against Foreign Nationals
A clause in a research agreement that restricts foreign nationals (defined as any non-U.S. citizen who is not a permanent resident of the U. S.) from participating in a funded research project. Researchers are responsible for complying with restrictions against using foreign nationals and with any other U. S. laws governing visa status.

Resubmission Proposal
A subsequent request for support of a particular research project after the initial proposal was unfunded. The original agency identification is included in the proposal but the remaining process is the same as a new proposal

Revised Budget
A revision occurs when a previously submitted budget is adjusted and forwarded to the funding sponsor. These may be initiated either by the PI or at the request of the sponsor.

S

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

SBIR
See Small Business Innovative Research

Scientific Diving
Participation in scuba diving for scientific research.

Scope of Work
Scientific or research approach that will be used by the PI and his or her staff in attaining the goals set forth in the sponsor guidelines.

Senior Personnel
Professional personnel who are responsible for the scientific or technical direction of project.

Small Business Innovative Research (SBIR)
Agency administered programs supported by ear-marked federal funds, making grants to small business entities.

Small Business Technology Transfer (STTR)
Grant applications and/or programs to fund small business “teamed” with research institutions.

Sponsor
The organization that funds a research project.

Sponsored Program
A program that has received an award from an external source for a specified purpose with sufficient custodial responsibility to warrant unique administrative accountability. The sponsor may provide a portion or all of the support necessary to perform the activity and may place varying constraints on the use of its funds. Sponsored program typically are:

1. Initiated by a formal proposal and award notice;
2. Restricted to a particular purpose (e.g., support for general use by an academic unit may be considered a restricted gift, but support for an activity within an organization may warrant handling as a sponsored program).

SRS (Sponsored Research Services)
The office which oversees contract negotiation and awarded research project management/administration for The Texas A&M University System.

Stipend
A payment made to an individual under a fellowship or training grant in accordance with pre-established levels to provide for the individual's living expenses during the period of training.

STTR
See Small Business Technology Transfer

Subaward
A document written under the authority of, and consistent with the terms and conditions of an award (a grant, contract or cooperative agreement), that transfers a portion of the research or substantive effort of the prime award to another institution or organization.

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.

System Member
Part of The Texas A&M University System through which the proposal is submitted to the sponsor (i.e., AgriLife Extension, AgriLife Research, TAMU, TEES, TTI, etc.). SRS submits all proposals on behalf of the system members.

T

Task Order Agreement (TOA)
A legally binding document authorizing work and appropriating funds as a supplement to a basic contract.

Teaming Agreement
An agreement between two or more parties to participate in a research project or teaching activity.

Terms of Award
All legal requirements imposed on an agreement by the sponsor, whether by statute, regulation(s), 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 sponsor's interests.

THECB
Texas Higher Education Coordinating Board

Total Direct Costs (TDC)
The total of all direct costs of a project.

Total Project Costs
The total allowable direct and indirect costs incurred by the institution to carry out an approved project or activity.

Transfer Proposal
A proposal submitted to the sponsor reflecting a change in the grantee institution. A new budget must be prepared reflecting system policies and routed for approvals.

U-Z

Uniform Guidance (UG)
UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS. Took effect 12/26/2014. Consolidated, streamlined, and supersedes eight existing OMB Circulars, including A-21, A-110, and A-133.

Unsolicited Proposals
Proposal submission to a sponsor not in response to an RFP, RFA, or program announcement.

USGS
US Geological Service

VPR Texas A&M University's
Vice President for Research Office http://vpr.tamu.edu

Voluntary Cost Share
Cost sharing not required by the sponsor

SRS Proposal Preparation Guidance – TAMU

- SRS Proposal Administrators may utilize person-months or calendar-months if the PI indicates there will be a consistent level of effort throughout the project year.
- SRS Proposal Administrators should budget summer and academic months based on the PI's anticipated actual effort.
  - Summer months only -- allowable if the PI is only going to work in the summer months.
  - A higher level of summer effort is allowable, if the PI indicates this will be the actual effort.
  - SRS will look at modifying the SRS budget template to enable clearer differentiation between calendar months and academic/summer months.
- SRS Proposal Administrators should ensure that a project's budget spreadsheet matches its budget justification, especially in terms of committed effort.
- SRS will provide cost sharing statements that clearly indicate the excess amount over sponsor mandated salary caps.
- When budgeting projects where a sponsor mandated salary cap is applicable, SRS will budget the individual's salary at the salary cap (not the investigator's IBS), and disclose this to the sponsor.
- Mentors should review the proposals of inexperienced trainees for the above issues prior to routing.
- SRS Proposal Administrators should utilize the NOTES section of the Maestro proposals module to describe any unusual circumstances associated with the proposal.

The below guidance is applicable to all proposals except those from AgriLife Research or Extension:

- PI's must charge effort to their project. In exceptional cases the System member may approve Voluntary Committed Cost Sharing (VCCS). This VCCS should be committed to the sponsor whenever possible.