Proposed Plan and Model for the Office of Sponsored Research Services

March 21, 2011

Executive Summary to The Texas A&M University System Board of Regents

Key Process Steps, Recommendations, Impacts, and Next Steps in the Development of the Texas A&M University System Research Administration Shared Services Implementation Plan

The following summarizes some key process steps that followed the meeting of the Board of Regents in February 2011, and resultant key recommendations, impacts, and next steps identified by the Research Administration Shared Services Development and Implementation Steering Committee (RASS DISC) in the proposed plan for a new shared service entity, The Texas A&M University System Office of Sponsored Research Services.

Key Process Steps (February 4-March 21, 2011)

- Following the meeting of the Board of Regents in February 2011, Chancellor Michael D. McKinney charged Dr. Jeffrey R. Seemann, vice president for research at Texas A&M University and the A&M System chief research officer (CRO), to take the lead and develop an implementation plan for system-wide research administration shared services.

- Dr. Seemann established the RASS DISC to bring together the expertise and guidance of a large network of faculty, principal investigators (PIs), and administrators representing system members and the Texas A&M Research Foundation (RF).

- Members of the RASS DISC met weekly and directly involved CEOs, PIs, faculty groups, and research administration personnel from throughout the A&M System to keep the planning process open, engaged, and transparent. More than a dozen working groups were formed to contribute to this process and deepen discussions on specific areas.

- A web page was created (http://www.tamus.edu/offices/cro/activities/) to share information and updates with the research community and ensure transparency on the planning process.

- Key topics addressed in the RASS DISC’s implementation planning included finance/human resources, information technology, legal matters, funding and governance, best practices, governmental issues, and Maestro implementation (a software platform under development).
Key Recommendations

- The RASS DISC recommends the creation of a single, system-based Office of Sponsored Research Services (OSRS) to manage both pre- and post-award functions of sponsored research for all system members.

- The transition of all sponsored research administration into OSRS will take place in two phases. Phase I will focus on Brazos County-based system members who conduct research, and Phase II will focus on system universities outside Brazos County.

- The OSRS will initially serve and be staffed by personnel from Brazos County-based research administration offices (i.e., Texas A&M University, Texas AgriLife Research, Texas Engineering Experiment Station, Texas Transportation Institute, The Texas A&M Health Science Center, and the RF).

- The RF will operate as an independent 501 (c) (3) within the OSRS and continue to play an important role in providing research administrative services to system members. The RF councilors will be engaged with the Office of Technology Commercialization and Business Development.

- The OSRS will perform functions such as proposal services, contract services, project administration, etc.; receive operational funding based on an equitable assessment to system members; be led by a director who reports to the A&M System CRO; receive oversight/input from system members and from PIs; and report and benchmark on OSRS effectiveness.

- The RASS DISC expects the OSRS to be developed, staffed, and fully operational by September 2011.

Key Impacts

- By FY 2012, formation of the OSRS will result in a reduction in costs for research administration of approximately $1.7 million (10 percent) and a 50 percent increase in efficiency.

- Efficiency gains will also result in a cost avoidance of $5 million per year that would have been required to continue to manage $446 million of new sponsored research at the lower efficiency.

- The OSRS’s ongoing development and refinement of best practices for research grants and contracts management, along with full adoption of the Maestro system, will likely result in additional cost savings and efficiencies in future years, as well as increased competitiveness for system member PIs.

- The creation of the OSRS will enhance sponsored research services by applying best practices under a common management and training function, housed at a central location. Optimal distribution of workloads to research administration personnel also will be more easily accomplished through greater centralization.

- The creation and full implementation of OSRS will position all system members for the growth of their research enterprises.

Key Next Steps

- Important next steps include developing common position descriptions and other relevant human resources (HR) material; finalizing details relating to office space, best practices, funding models, intra-system agreements, and governance; defining responsibilities of the OSRS director and hiring a director or interim director; moving personnel from existing research administration offices to the new OSRS office; and updating existing accounting systems to address key needs (e.g., connections with Maestro on payroll and purchasing).
Webistes for TAMUS Research Services and TAMU Research Development

For Presentation to CPI of the College of Education and Human Development

April 20, 2011

Research Services

http://www.tamus.edu/offices/cro/activities/

Research Development

http://ord.tamu.edu/

http://ord.tamu.edu/funding-opportunities

http://ord.tamu.edu/proposal-resources

http://www.nordp.org/resources/writing_a_grant.php

http://www.nordp.org/resources/collaborative_funding_mech.php
## Sponsored Projects
### Payroll Cost Transfer Request

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1. **Why was the expense originally charged to the account from which it is now being transferred?**

2. **Why should this charge be transferred to the proposed receiving account?**

3. **What action is being taken to eliminate the need for future cost transfers of this type?**

4. **If the cost transfer request is more than 90 days from the date of the original charge, explain the reason for the delay.**

5. **If the effort was previously certified in TimeTraq or the Time and Effort system, explain what changed and why.**

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### APPROVED: Printed Name/Signature

- **Principal Investigator**  
  Signature  
  Date

- **Department Head (Required for transfers over 90 days)**  
  Signature  
  Date

- **Sponsored Project Office**  
  Signature  
  Date

- **Organization:**

- **Director/Manager Sponsored Project Office (Required for transfers over 90 days)**  
  Signature  
  Date

- **Organization:**

- **Sponsored Project Office**  
  Signature  
  Date

- **Organization:**

- **Director/Manager Sponsored Project Office (Required for transfers over 90 days)**  
  Signature  
  Date

- **Organization:**

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### Additional Signatures (if applicable):

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The Sponsored Projects - Payroll Cost Transfer Request form is required when transferring PAST payroll expenses to, from, or between sponsored project accounts. Changes to FUTURE pay periods should be processed by routing an EPA document.

NAME: Employee Name

UIN: Employee UIN

DATE: Date prepared and routed for approval.

QUESTIONS 1-3: Required for ALL requests.

QUESTION 4: Required for all cost transfers over 90 days from the date of the original charge. (Payroll Cost Transfer 90 Day Counter located at http://tamurs.tamu.edu/forms.)

QUESTION 5: Required if effort has been certified in the TimeTraq or Time and Effort System.

REQUIRED SIGNATURES:

All Cost Transfers:

1. Principal Investigator
2. Sponsored Project Office

Transfers Over 90 Days:

1. Principal Investigator
2. Department Head
3. Sponsored Project Office
4. Director/Manager Sponsored Project Office

Additional Signatures (page 2 of 2) As Needed:

1. Required for cost transfers between accounts with different Principal Investigators
2. Multiple sponsored project offices

ROUTING:

1. Principal Investigator or authorized staff member forwards to Department Administrator
2. Department Administrator forwards to Sponsored Research Office.

NOTE: Forward to the “RECEIVING” sponsored research office. For example, the cost transfer is moving payroll from a TAMRF administered account to a TAMURS administered account. The form should first route to TAMURS for approval.

3. The final approving sponsored research office will forward to the employee's system member payroll office for processing.
PRINCIPAL INVESTIGATOR CHECKLIST:

- All required questions are complete (see page 3 for instructions).
  - Questions 1-3 are required for all payroll cost transfers.
  - Question 4 is required if the cost transfer is more than 90 days from the expensed/posted date. (Payroll Cost Transfer 90 Day Counter located at http://tamurs.tamu.edu/forms.)
  - Question 5 is required if the effort has been certified in the TimeTraq or Time and Effort system.

- Print and sign form

- Forward (e-mail or mail) to Department Administrator

DEPARTMENT ADMINISTRATOR CHECKLIST:

- Check NAME, UIN, and DATE for accuracy.

- Check TimeTraq or the Time and Effort System to confirm effort has not been certified.
  - If effort has been certified, question 5 is complete.
  - If effort has not been certified and document is open, place report on hold pending payroll correction.

- All required questions are complete
  - Questions 1-3 are required for all payroll cost transfers.
  - Question 4 is required if the cost transfer is more than 90 days from the expensed/posted date. (Payroll Cost Transfer 90 Day Counter located at http://tamurs.tamu.edu/forms.)

- Required signatures complete

- System member payroll office documents attached.

- E-mail to the sponsored research office that is RECEIVING the cost transfer. For example, the cost transfer is moving payroll from a TAMRF administered account to a TAMURS administered account. The form should first route to TAMURS for approval.
Recommendations for Nomination and Awarding of Distinguished Research Fellow (DRF) Status

Approved by Dean's Council
September 1, 1998

1. Departments in the College of Education should take an active role in nominating faculty to be considered for the Distinguished Research Fellow (DRF) status and for other research awards and recognition, e.g., Distinguished Professorships and Former Students Distinguished Achievement Awards in Research. A number of departments on campus (e.g., Chemistry) have active standing committees that serve this role, and are successful in presenting strong candidates for consideration for any available awards, both on campus and off. Ideally, the eligible faculty would have current dossiers for fine-tuning for submission, and would be the individuals from that department who would receive consideration for the award. Thus, a procedure should be established within each department for nominating the most deserving individuals. This committee might consist of the department head and several senior scholar/researchers including, but not limited to the DRFs.

2. All eligible faculties should be provided with a copy of the criteria for DRF status. The procedure for nomination and awarding of DRF status should be as follows:

   a. During the preceding fall semester, the departmental committee should identify the candidate for nomination for DRF by October 15th. The committee can consider self-nominations or those from colleagues in the department. Except for the years that current DRFs are considered for reappointment (see #4 below), departments will normally only have one nominee per year with a maximum of two per year.

   b. By November 15th, the nominee should provide an updated curriculum vitae, a short list of the top scholars in the field indicating his/her relationship with these respective peers, and an essay on his/her scholarly contributions that is a maximum of three pages in length.

   c. By December 1st, at least three leading national scholars in the nominee’s discipline should be identified and contacted by the departmental committee for letters of support for the nomination. Reviewers will hopefully contribute to this process because they will not be required to produce long, time-consuming letters. The outside reviewers will be provided with the candidate’s curriculum vitae, selected publications, and a list of the criteria for the award. Specific questions should be addressed, for example:
      - Does Professor X fall within the top 10% nationally of scholars as far as the impact of his/her scholar works on Discipline Y?
      - Are Professor X’s papers published in the top journals in the field?
      - Have Professor X’s papers had particular impact on your discipline?

   d. By March 1st, the departmental committee should meet to finalize the nomination, incorporating the letters from the outside reviewers. All letters received will be included in the dossier.
e. By April 1st, dossiers of nominees from the departments should be submitted to the Associate Dean for Research, who will distribute them to the DRFs for consideration. The DRFs will evaluate the applications with strict adherence to the criteria; the DRFs may seek other information on candidates who are forwarded to them. Those nominations meeting the criteria will be recommended for awarding of DRF status, regardless of the number. For these nominees not recommended for the award, an explanation will be sent to the candidate through the committee in the originating department.

f. By May 15th, the recommendations of the DRFs will be submitted to the Associate Dean for Research.

3. **Criteria for DRF Status** To be recognized as a DRF, the nominee should:
   - Hold the rank of Full Professor;
   - Be identified within the top 10% of research scholars at Research I Universities in their respective discipline;
   - Regularly publish his/her papers in prestigious journals in the nominee's discipline as indicated by impact factors; and
   - Present a compelling case that the work has contributed to new knowledge through research or has redirected the flow of inquiry in the discipline.

4. Reappointment to DRF status – During the ninth year following the awarding of DRF status, DRFs should be evaluated for reappointment. Nomination will be automatic, but the evaluation will follow the same criteria outlined under Criteria for DRF status (point 3) and current DRFs should have no advantage beyond the automatic nomination over other nominees in the process. Also, nominations of current DRFs will be in addition to the one nomination from each department each year, i.e., department may have more than one nominee the years the DRFs are reevaluated. Stipends of $1,500 and recognition plaques would only be awarded once, that is, reappointment would not carry another financial award or plaque.
Census of CEHD PI’s
Currently funded or have been funded in last 3 years

**EPsy (25)**
- Michael Benz
- Jamilia Blake
- Lisa Bowman-Perrott
- Daniel Brossart
- Mack Burke
- Linda Castillo
- Timothy Elliott
- Yvonne Goddard
- Jorge Gonzalez
- Shanna Hagan-Burke
- Jan Hughes
- Ol-Man Kwok
- Rafael Lara-Alecio
- Jeffrey Liew
- Patricia Lynch
- Yolanda Padron
- Richard Parker
- Susan Pedersen
- Cynthia Riccio
- Charles Ridley
- Deborah Simmons
- Laura Stough
- Fuhui Tong
- Kimberly Vannest
- Dalun Zhang

**HiLKN (21)**
- Susan Bloomfield
- Lei-Shih Chen
- Stephen Crouse
- George Cunningham
- James Fluckey
- Pat Goodson
- Jeffery Guidry
- Richard Kreider
- John Lawler
- Tim Lightfoot
- Michael Massett
- Lisako McKyer
- Ranjita Misra
- Buzz Pruitt
- Mary Shaw-Ridley
- Steven Riechman
- Charles Shea
- John Singer
- Christopher Woodman
- David Wright
- Ping Xiang

**TLAC (21)**
- Lynn Burlbaw
- Mary Margaret Capraro
- Robert Capraro
- Norvilla Carter
- Trina Davis
- Janet Hammer
- Larry Kelly
- Jim Kracht
- Gerald Kulm
- Pat Larke
- Chance Lewis
- Yeping Li
- Cathleen Loving
- Erin McTigue
- Patrick Slattery
- Scott Slough
- Dennie Smith
- Carol Stuessy
- Lynne Walters
- Hersh Waxman
- Gwen Webb-Hasan

**EAHR (6)**
- Mary Alfred
- Fred Bonner
- Roger Goddard
- Kathryn McKenzie
- Jim Scheurich
- Linda Skrle

Definition of Principal Investigator. The Council of Principal Investigators defines a Principal Investigator as any state-funded full-time member of the Texas A&M University community headquartered within Brazos County who is at least a Co-Principal Investigator on at least one contract or grant externally reviewed and externally funded within the previous three years.
# CPI Membership as of September 1, 2011

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<tr>
<th>Name</th>
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<tr>
<td>George Cunningham, Chair</td>
<td>HLKN</td>
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<td>Roger Goddard</td>
<td>EAHR</td>
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<td>Shanna Hagan-Burke</td>
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<td>Rafael Lara Alecio</td>
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<td>William Rupley, Past Chair</td>
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