




Office of the Vice President for Research Guideline

Title	Interim Funding on Sponsored Agreements
Guideline No.	2015-0001
Effective Date	February 1, 2015; updated 5/30/19
Responsible Office	Research Administration Tribbie Grimm 979.862.1769 tgrimm@tamu.edu
Responsible University Officer	Carol J. Cantrell Senior Associate Vice President for Research
VPR Signature and Date	 5/31/19

Purpose: This guideline identifies the requirements for Interim Funding on sponsored projects administered by the Texas A&M Sponsored Research Services (SRS) on behalf of Texas A&M University (TAMU), Texas A&M University Health Science Center (TAMHSC), and Texas A&M University at Galveston (TAMUG). Interim funding is used to support and enhance the timely and successful completion of sponsored agreements.

Definition: Interim Funding is defined as a temporary source of internal funding allocated during periods when external sources of funding have been committed but not yet been finalized.

Guideline:

When sponsored award funding is imminent and delays in project setup are due mainly to the finalization of the award between the sponsor and SRS, interim funding can be provided in efforts to reduce payroll cancellations, order equipment and provide support to graduate students and other personnel subject to special requirements.

In order to minimize risks to the institution, eligibility for interim funding on new awards, continuations and renewals is subject to all of the following criteria:

- 1) Sponsor types:
 - a. The sponsor is either a federal, federal flow-through, State of Texas, State of Texas flow-through, or U.S. non-profit institutions of higher education (IHE).
 - b. Any award sponsored by a foreign or for-profit entity (i.e., Industry) including flow-through to non-profit sponsors cannot be interim funded.
 - c. In the case of a U.S. non-profit sponsor (other state, municipalities, foundations, etc.), if all conditions listed below are met, (items #2-6), interim funding can be established for up to 75% of the award or \$100K (whichever is less) by SRS with the approval and back-up account from the department which will secure/assume all risks.
- 2) A proposal must have been routed and approved by the Vice President for Research (VPR). Approvals of the proposal beyond the VPR are not required to establish interim funding.
- 3) Project personnel are Financial Conflict of Interest (FCOI) compliant per Texas A&M University Rule 15.01.03.M1.

- 4) All research compliance assurances have been reviewed and the project is deemed compliant for project set-up.
- 5) Notification has been received by SRS from an authorized official at the funding agency, confirming that the award will be issued and the effective date after which charges to the project can be incurred.
- 6) No deliverables (reports, presentations or other deliverables) may be submitted to the sponsor by the Principal Investigator (PI) or any other party until the award agreement has been finalized. Prior to an agreement being signed by all parties, the research performed on interim funding belongs to TAMU, TAMHSC, or TAMUG.

Contingent upon all of the above criteria being met, the VPR has delegated authority to SRS to approve interim funding on TAMU, TAMHSC, and TAMUG grants via one of the two following scenarios (see criteria 1 on interim funding matrix):

1. A total of \$30K of direct costs can be provided.
2. Two months of salary and fringe budgeted in the proposal, up to \$100K. This is calculated on each support account so that two months of salary and fringe for all employees can be provided up to \$100K for multidisciplinary projects.

The above interim funding will be automatic from SRS and will be secured by the VPR without the need for a back-up source of funding (departmental back-up account) or signature from the college or department. The VPR has delegated to SRS that continuations for subsequent years that were proposed in the original proposal with continued funding contingent on progress reports will be automatically provided for the scenarios above. A request for additional interim funding can be initiated by the PI, the department head or dean, SRS, or VPR.

If interim funding is needed for an amount greater than two months of salary and fringe, or for other direct costs between \$30K and \$100K a departmental back up account will be required and the amount will not be secured by the VPR. SRS will seek approval from the department and college. Interim funding will not be provided via SRS for projects that do not meet the above interim funding criteria (see criterion 2 on interim funding matrix).

If interim funding is needed for an amount MORE THAN \$100K a departmental back up account will be required and will not be secured by the VPR. SRS will seek approval from the department, college, and VPR, and will provide justification as to why the agreement and/or award is not yet finalized. Interim funding will not be provided via SRS for projects that do not meet the above interim funding criteria (see criterion 3 on interim funding matrix).

Regardless of sources of funding, interim funding cannot be provided in an amount equal to or greater than 75% of total award.

Forms: <https://srs.tamus.edu/forms/srs-forms>

INTERIM FUNDING MATRIX			
IF = Interim Funding	Criteria 1: Standard Amount	Criteria 2: Amount with No Salaries or Fringes (Between \$30-100K)	Criteria 3: Amount Exceeds Standard Limit
Amount Approved	1) \$30,000 Direct Costs (Based on Total Award Budget, both direct and indirect); OR 2) Two (2) months of salary/fringe budgeted in proposal up to \$100,000.	Amount between \$30K -100K, and there is no Salary/Fringe.	1) Greater than \$30,000 Direct Costs (Based on Total Award Budget, both direct and indirect); OR 2) Greater than two (2) months of salary/fringe budgeted in proposal over \$100,000.
Approval of IF	Automatic from SRS; meets criteria 1-6.	Dept. Head and Dean	SRS obtains approval from Dept., College, VPR, and justification why agreement/award is not finalized.
Dept. Back-up Account	Not required	Required	Required
Funding Secured	By VPR	Not secured by VPR; department/college secures	Not secured by VPR; department/college secures
Who initiates IF Request?	SRS should initiate; automatic approval.	PI, Dept. Head, Dean, SRS, or VPR	PI, Dept. Head, Dean, SRS, or VPR
IF for Continuations	Automatic when continuations for subsequent years were proposed in original proposal with continued funding contingent on progress reports.	Not automatic for Continuations	Not automatic for Continuations
Limit for IF Amount	Less than 75% of total award.	Less than 75% of total award.	Less than 75% of total award.