

UNIVERSITY RULE

15.01.01.M5 Preparation, Review and Submission of Sponsored Project Proposals

Approved March 3, 2002

Revised June 5, 2009

Revised February 10, 2016

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Rule Statement

This Rule establishes the university requirements associated with the preparation, review, and submission of sponsored project proposals.

Reason for Rule

In accepting sponsored awards, the University is obligated to fulfill the purposes and requirements of each sponsored agreement through its oversight of University personnel, resources and facilities. In order to assure that the work can be performed as described, review and approval of the principal investigator and university officials at various levels are necessary to assess feasibility costs and benefits, as well as identify institutional risks.

Definitions

Guidelines – Documented standards and/or processes approved by the Vice President for Research outlining the treatment of specific research administration duties performed by the Office of Research Administration in the Division of Research, in order to streamline specific processes.

Official Rule and Responsibilities

1. GENERAL

- 1.1 This rule applies to all extramural proposals even when a sponsor does not require that a proposal be signed and/or submitted by an authorized official.
- 1.2 All University proposals to perform research, instruction and other activities for external sponsors via sponsored awards must adhere to University Rules and Procedures, System Policies and Regulations, sponsor terms and conditions and other applicable federal and state regulations.

2. INTERNAL REVIEW AND APPROVAL

- 2.1 As an applicant organization, Texas A&M University (TAMU) has an institutional responsibility to verify the eligibility of all sponsored program proposals submitted to a sponsor on behalf of TAMU. The institution is also responsible for reviewing the proposal for accuracy, validity, and conformity with federal, institutional, sponsor policies and guidelines with respect to the administrative, fiscal, and scientific information in the proposal, including the correct application of the appropriate facilities and administrative rate. This responsibility is shared within the institution by the Principal Investigator (PI), the PI's Department Head and Dean, and Texas A&M Sponsored Research Services (SRS).
- 2.2 Sponsored research proposals are prepared for submission by SRS. Each proposal for external funding must be approved by all investigators, department head or unit director, dean or appropriate vice president, and the Vice President for Research (VPR) or designee.
- 2.3 Requests to provide mandatory cost sharing from TAMU resources must be approved by the account administrator of those resources, and the VPR or designee during the proposal routing process. All voluntary cost sharing must be approved by the account administrator and the Office of the Vice President for Research (OVPR) prior to proposal submission. Joint proposals involving two or more Texas A&M University System (TAMUS) members will be approved by each respective Chief Executive Officer (CEO) or designee.
- 2.4 Commitment of University resources, facilities and equipment requires institutional approval, including approval from the OVPR. The University will work in concert with SRS to ensure all University commitments are secured.

3. ROLES AND RESPONSIBILITIES FOR PREPARATION, REVIEW, AND APPROVAL OF PROPOSALS

- 3.1 The principal investigator is responsible for the following:
 - 3.1.1 notifying the appropriate office of intent to submit proposal;

- 3.1.2 preparing the scope of work, bio sketch, proposed budget, budget justification, technical, scientific, and scholarly content, and quality presentation of ideas for a project etc.;
 - 3.1.3 identifying and disclosing institutional compliance risks and issues, and coordinating with compliance offices as required (i.e. FCOI disclosure, IRB, IACUC, IBC, etc.);
 - 3.1.4 obtaining an IDC waiver and committed cost sharing approvals from the OVPR (if necessary);
 - 3.1.5 obtaining institutional letters required by solicitation;
 - 3.1.6 providing information regarding collaborators, subrecipients, and/or contractors;
 - 3.1.7 coordinating with Co-Principal Investigator (Co-PI) and Co-Investigator (Co-I) and their departments regarding participation and performance of the proposed work governing access and retention of data;
 - 3.1.8 confirming that if awarded, the project will be performed in accordance with the proposal, System regulations, University rules and guidelines, and sponsor requirements; and
 - 3.1.9 assuring that the proposal is submitted to the appropriate office for processing prior to being submitted to the sponsor for consideration and with sufficient time for the University to meet proposal deadlines.
- 3.2 The department head or center/institute director (or designee) is responsible for the following:
- 3.2.1 reviewing and approving the proposal in context with departmental/center/institute goals, objectives and resources;
 - 3.2.2 notifying the OVPR of any known undisclosed potential conflict of interest issues as they relate to external employment, consulting, and/or nepotism;
 - 3.2.3 approving commitments of faculty and staff effort and the possible effects of such commitments on the teaching and other obligations, including other research projects of the personnel;
 - 3.2.4 assigning space and facilities, for the proposed work;
 - 3.2.5 approving departmental/center/institute cost-sharing commitments;

- 3.2.6 confirming appropriate salary and title are used in the budget if an individual is being hired, promoted or given a raise that is not currently reflected in the payroll system; and
 - 3.2.7 confirming that if awarded, the project will be carried out within the departmental/center/institute facilities by departmental/center/institute personnel, in accordance with the proposal and System Policies and Regulations, University Rules and Procedures and Guidelines and any administrative guidelines.
- 3.3 The dean of the college (or designee) is responsible for the following:
- 3.3.1 reviewing and approving the proposal in context with college goals; objectives and resources;
 - 3.3.2 determining that committed resources will be available; and
 - 3.3.3 agreeing that if awarded, the project will be carried out within the college facilities by college personnel, in accordance with the proposal, University Rules and Procedures, System Policies and Regulations, and Administrative Guidelines.
- 3.4 The Vice President for Research (VPR) is the Institutional Official for TAMU. The VPR, or designee, is responsible for the approval of all TAMU proposals including those administered at SRS and the Research Foundation (RF). The Office of the Vice President for Research is responsible for institutional approval of proposals, not limited to the following:
- 3.4.1 assuring that the proposal has been prepared according to the appropriate and applicable rules and regulations of the University and that the pricing of the work is in accordance with acceptable cost principles and guidelines;
 - 3.4.2 reviewing the proposal for compliance issues that have been identified by the principal investigator (PI);
 - 3.4.3 providing assistance to investigators, departments, and deans to ensure proper credit, recognition, and fiscal authority on multi-disciplinary or multi-institutional collaborations;
 - 3.4.4 reviewing the proposal for institutional risks in regard to strategic, financial, reputational, compliance, and personnel risks of the work being proposed and making recommendations to the University administration for mitigation of identified risks;

- 3.4.5 reviewing the proposal for scope and institutional commitments such as cost sharing and assuring that the institution is recovering its costs of the project or that the benefits to the University exceed any request for waiver of facilities and administrative costs or cost sharing provision. This would include university cost sharing on system member awards;
- 3.4.6 determining the required approvals of the proposal;
- 3.4.7 assuring proper routing and approval of proposal;
- 3.4.8 accepting on behalf of the university, the obligations and compliance requirements imposed by federal and state regulations, along with system and university Guidelines that apply to submitting a proposal and accepting an award; and
- 3.4.9 certifying, on behalf of the university, that TAMU will comply with all assurances, commitments, and certifications submitted as part of the proposal and any additional requirements of the corresponding award.

4. EXCEPTIONS TO TEXAS A&M UNIVERSITY REVIEW AND APPROVAL PROCESS

- 4.1 University faculty whose primary employer is within a Texas A&M University college will route proposals through Texas A&M University unless Presidential authorization is granted to the college to route through a System Member other than Texas A&M University.
 - 4.1.1 When a principal investigator (PI) has one or more joint appointments with other System Members, the administrative location (adloc) shall serve as the indicator of the primary administrator and employer of the principal investigator for proposal and contract administration.
 - 4.1.2 Where TAMU faculty are partnering as a co-principal investigator (Co-PI) on a proposal where the lead PI is authorized to submit under another system member as set forth in this rule, the OVPR must approve the TAMU Co-PI activities and commitments in the proposal.
- 4.2 In rare situations, there may be a need for an individual to submit a grant through a System Member that is different from their primary employer (adloc). In these cases, the Department Head, Dean and the VPR must approve for the University, along with the collaborating System Member.
- 4.3 TAMU Branch Campuses. In lieu of any written delegation of authority from the University for the purposes of proposal and contract administration, research conducted by Texas A&M at Galveston and Texas A&M at Qatar faculty and employees will be processed in accordance with Texas A&M

University Rules and Procedures.

- 4.4 Deadlines. External offices, such as SRS and System Members seeking university approvals as outlined in this rule are expected to do so in a manner that provides the University with sufficient time to allow routing, review and secure approvals, prior to submission of the proposal.

In cases where the routing and approval of the proposal is not complete prior to deadlines, SRS is authorized to submit the proposal by the proposal deadline, contingent upon PI approval. Any amendments or changes to the proposal will be made as soon as reasonably feasible with consideration of reputational risks of making changes after submission of a proposal to a potential sponsor. In the event that the proposal is submitted without the OVPR approval, the proposal must complete routing for required approvals prior to award establishment.

5. LETTERS OF INTENT AND PRE-PROPOSALS

- 5.1 Letters of intent and pre-proposals that do not include budgets/projected costs or commitments can be sent directly to the sponsor by the PI if institutional approval is not required. However, any budgets or projected costs of the work must be approved through the proposal routing and approval process prior to being communicated to the sponsor.

Related Statutes, Policies, or Requirements

[System Policy 15.01 Research Agreements](#)

[System Policy 15.04 Sponsored Research Services](#)

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

Contact Office

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