

UNIVERSITY RULE

15.01.01.M2 Administration of Research Projects

Approved December 5, 2000

Supplements [System Policy 15.01](#) and [System Regulation 15.01.01](#)

1. GENERAL

- 1.1 The primary purpose of Texas A&M University research is to advance knowledge and further the educational process.
- 1.2 The University cooperates within the limits of its means and mission with individuals, government agencies, corporations or other outside parties, in seeking solutions to research issues of mutual interest.
- 1.3 In accepting grants or upon entering into contracts, the University is obligated to fulfill the purposes of the grant, or to meet the requirements of a contract, and not to direct the funds or other resources to other uses without the specific written authorization of the sponsor.
- 1.4 The University is entrusted with the use of federal, state and other public funds, private funds, facilities, and property. Funds, personnel or facilities cannot be diverted to serve the specific interests of a private firm or individual. (Refer to [System Policy 07.01: Ethics Policy](#).) Each faculty member who participates in sponsored research, or other sponsored programs, is responsible for ensuring that any research or other activity undertaken or recommended for approval is in compliance with all applicable rules. ([Also see System Policy 15.01: Research Agreements](#).)

2. SPONSORED RESEARCH PROGRAMS

- 2.1 Sponsored Research programs or projects: are activities that are supported, in whole or in part, with funds, materials, or other resources provided by sources outside of the University. (Refer to [Rule 15.01.01.M5: Preparation, Review and Submission of Sponsored Project Proposals](#).)

Sponsored research programs include the following categories:

- 2.1.1 Educational Service Agreements: Agreements under which financing is provided for all or part of the costs incurred for training or other educational services. Examples of Educational Service Agreements include summer institutes, special training programs for selected participants, and the development and introduction of new or expanded courses.

- 2.1.2 Grants or contracts for organized research and public service programs: Research and public service activities (excluding Educational Service Programs) which are separately budgeted and accounted for.
- 2.1.3 Fixed amount financing: Research activity financed exclusively in the form of scholarships, fellowships, traineeships, or other fixed amounts such as a cost-of-education allowance or normal published tuition rates and fees.

3. RIGHTS AND RESPONSIBILITIES FOR PERFORMANCE OF SPONSORED RESEARCH PROGRAMS

- 3.1 The President has primary responsibility for all sponsored programs under the University's jurisdiction.
- 3.2 The President has designated the primary responsibility for the initiation, content, scope, quality, facilities, funding and conduct of University sponsored research programs to the Executive Vice President and Provost.
- 3.3 The Executive Vice President and Provost has designated the overall responsibility for the University's research program to the Vice President for Research. The Vice President for Research is charged with informing the faculty of the responsibilities and rights associated with sponsored research programs. The Vice President for Research or designee also provides the final institutional review and must approve each University proposal to resolve any financial, administrative or legal questions, and to concur with any commitments of University space, facilities, and services.
- 3.4 Research activity within individual colleges is the responsibility of the respective dean or dean-equivalent. Each college maintains a research office administered by an assistant or associate dean for research. (Refer to University Rules [15.01.01.M3: University Councils, Committees and Boards Governing Research](#) and [15.01.01.M5: Preparation, Review and Submission of Sponsored Project Proposals](#).)
- 3.5 The University is legally responsible and accountable to research sponsors for the performance of funded activities and the proper use of funds. Principal investigators are delegated the responsibility for managing the budget and conduct of the sponsored project and are expected to coordinate compliance with the terms of agreements or contracts, funding agency requirements, University Rule [15.01.01.M5: Preparation, Review, and Submission of Sponsored Project Proposals](#) and other related System policies and University rules.
- 3.6 All proposals must:

- 3.6.1 be germane to the interests and/or expertise of the principal investigator and to the department or college,
 - 3.6.2 be truthful and accurate in their content, and
 - 3.6.3 not contain plagiarized materials or research data that has been intentionally fabricated or falsified. (Refer to University Rule [15.99.03.M1: Responsible Conduct in Research and Scholarship](#))
- 3.7 Compensation of faculty and staff members who participate in sponsored research and other sponsored programs is governed by University Rules and System policies concerning salary and wage administration regardless of the source of funding or the organization that processes the research proposal. (Refer to University Standard Administrative Procedure [21.01.99.M0.03: Payment of Research and Survey Participants.](#))

4. ACADEMIC FREEDOM FOR RESEARCH

Refer to [System Policy 12.01 Academic Freedom, Responsibility and Tenure](#), and [University Rule 12.01.99.M2: University Statement on Academic Freedom, Responsibility, Tenure and Promotion.](#)

5. PRINCIPAL INVESTIGATOR ELIGIBILITY

- 5.1 Eligibility to act as a University principal investigator or senior personnel on a sponsored research project is a privilege typically limited to University employees (generally faculty members). Non-faculty University principal investigators must hold a faculty-equivalent research position to serve as a principal investigator, project director, co-principal investigator, or other senior personnel on a sponsored research project. The dean or designee shall determine the eligibility of an individual to serve as a principal investigator. For purposes of this Rule, in any case where there is no reporting relationship to a college dean, the appropriate vice president or designee will make eligibility determinations. A department head, dean, or vice president (when there is no reporting relationship to a college dean) may limit an individual's status as a principal investigator or co-principal investigator on a University sponsored project. Retirees who are not employed by the University but who wish to serve in the role of a principal investigator must petition the department head for approval. Except as provided in the case of retirees, all individuals who serve in the role of a principal investigator on University sponsored projects **must** be employed by the University. Visiting faculty may serve as co-principle investigator in accordance with the approval requirements stated in this section.

- 5.2 On a case by case basis, a department head and college dean may make exceptions to the provisions of this Rule regarding the eligibility of a principal investigator. Documentation of such approvals must be submitted with the related proposal to the Office of Sponsored Projects.

Exceptions may include situations involving:

- 5.2.1 conferences, exhibits, workshops, or public events,
 - 5.2.2 specific projects that are part of large interdisciplinary programs,
 - 5.2.3 career development awards, and
 - 5.2.4 externally-funded clinical medicine sponsored research or training projects.
- 5.3 The approval of The Vice President for Research is required in cases where:
- 5.3.1 proposals are submitted by a faculty candidate selected by a department but not yet approved by the Provost,
 - 5.3.2 there are circumstances related to special cases of sponsored instruction, or
 - 5.3.3 an individual who would not ordinarily be eligible to serve as a principal investigator is designated as the principal investigator.

6. MULTI-AUTHORED RESEARCH PAPERS

- 6.1 Principal investigators and senior faculty have special responsibilities to assure the overall cohesiveness and validity of the publications in which they appear as co-authors.
- 6.2 All authors in a group effort have a shared responsibility for the published result and shall have the opportunity to review all sample preparation procedures and data, as well as all data acquisition and analysis procedures.
- 6.3 Each author in a group effort shall have access to the manuscript prior to its being submitted for publication, and shall agree to his or her inclusion as a co-author. All the participants should be informed that the paper is being prepared for publication.
- 6.4 In the initial phase of the project, each research group shall define appropriate practices for the maintenance of data.

7. TEXTBOOK AND SCHOLARLY BOOK EDITING AND AUTHORSHIP

- 7.1 Departmental support for textbook and scholarly book editing, or authorship, and technology-mediated instructional material, should be

consistent with individual academic obligations to the University, and shall be in accordance with System Regulations [17.02.01: Management of Intellectual Property](#) and [17.02.02: Technology Mediated Instruction](#). Departmental priorities for support of faculty work are established by the departmental administration, with the concurrence of the college dean.

- 7.2 The ownership and acceptance of royalties for authorship of textbooks and scholarly book editing shall be in accordance with the provisions of System Regulations [17.02.01: Management of Intellectual Property](#) and [17.02.02: Technology Mediated Instruction](#).

OFFICE OF RESPONSIBILITY: [Vice President for Research](#)