

UNIVERSITY RULE

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

Approved March 3, 2002

Revised June 5, 2009

Next Scheduled Review: June 5, 2012

Rule Statement

In accepting sponsored agreements, the University is obligated to fulfill the purposes and requirements of each sponsored agreement through its oversight of University personnel, resources and facilities.

Rule and Responsibilities

1. GENERAL

In accepting sponsored agreements, 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. All proposed sponsored activities must first be approved by the University prior to submission to sponsors. All proposals, after review and approval, must be submitted to sponsors by a representative or office designated by the Vice President for Research (VPR) on behalf of the University. In this regard, Texas A&M acts as the representative of the State of Texas.

All University proposals to perform research, instruction and other activities for external sponsors via sponsored agreements must adhere to University Rules and System Regulations and Policies, sponsor terms and conditions and other applicable federal and state regulations.

Texas A&M University Research Services (A&M Research Services) in the Office of the Vice President for Research (OVPR) and the Texas A&M Research Foundation (TAMRF) in concert with the OVPR are the central University offices responsible for sponsored project proposal administration and acceptance of awards on behalf of Texas A&M University.

2. INTERNAL REVIEW AND APPROVAL

Proposals are prepared for submission by A&M Research Services and the TAMRF. Each proposal for external funding, including those submitted through the TAMRF, must be approved by the principal investigator, department head or unit director, dean or appropriate vice president, and the VPR or designee. Requests to provide cost sharing from TAMU resources must be approved by the account administrator of those resources during the proposal submission process. 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.

3. ELIGIBILITY TO SERVE AS PRINCIPAL INVESTIGATOR

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 in compliance with the eligibility criteria of a potential sponsor. 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-principal investigator in accordance with the approval requirements stated in this section.

4. ROLES AND RESPONSIBILITIES FOR REVIEW AND APPROVAL OF PROPOSALS

4.1 The principal investigator is responsible for:

- 4.1.1 the scope of work,
- 4.1.2 the proposed budget and estimated costs of doing the work,
- 4.1.3 the technical, scientific, and scholarly content and quality,
- 4.1.4 the preparation of the proposal,
- 4.1.5 the presentation of ideas for a project,
- 4.1.6 coordination with compliance committees,
- 4.1.7 governing access and retention of data,
- 4.1.8 compliance with applicable University Rules and Procedures, and System Policies and Regulations, and
- 4.1.9 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.

- 4.2 The department head (or equivalent for interdisciplinary or intercollegiate faculty) is responsible for reviewing and approving:
 - 4.2.1 the soundness of the project in context with departmental goals, objectives and resources,
 - 4.2.2 the compatibility of the project with the principal investigator's other commitments and workload of the principal investigator,
 - 4.2.3 the availability of space and facilities,
 - 4.2.4 departmental cost-sharing commitments, and
 - 4.2.5 concurrence that if awarded, the project will be carried out within the department in accordance with the proposal and University Rules and Procedures and System Policies and Regulations.

- 4.3 The dean of the college is responsible for:
 - 4.3.1 determining the appropriateness of the project within college programs, resources and priorities,
 - 4.3.2 determining that committed resources will be available, and
 - 4.3.3 compliance requirements can be met. When more than one college is involved in a proposal, the proposal must be approved by the department head and dean of each department and college.

- 4.4 The Office of the Vice President for Research working through A&M Research Services is responsible for:
 - 4.4.1 assuring that the proposal has been prepared according to the appropriate and applicable rules and regulations of the University and the sponsor and that the pricing of the work is in accordance with acceptable cost principles and guidelines,
 - 4.4.2 reviewing the proposal to ensure that matters involving conflict of interest, human subjects, DNA research, hazardous substances, and the experimental use of animals, and other compliance issues have been identified,
 - 4.4.3 providing assistance to deans on issues that may arise at this level regarding multi-disciplinary or multi-institutional collaborations,
 - 4.4.4 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, and for
 - 4.4.5 reviewing the document 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.

5. EXCEPTIONS TO TAMU REVIEW AND APPROVAL PROCESS

- 5.1 **Joint Appointments.** In cases regarding principal investigators who have 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. The President or designee of the University may approve exceptions where it may be in the best interest of the college and the University to administer research proposals and contracts/grants through another System Member. In these cases, written authorization from the President to the dean of the college will provide the terms and conditions under which research proposals and contracts led by TAMU faculty and staff can be administered by another System Member. In lieu of any written authorization from the President regarding University faculty and use of University facilities, the proposal will be routed in accordance with the rules and procedures of the primary employer.
- 5.2 **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 Rules and Procedures.
- 5.3 **Deadlines.** In cases where the routing of the proposal is not complete prior to deadlines, the OVPR, upon review and risk assessment, can approve that the proposal be submitted and routing completed shortly thereafter. 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. The exception approval of the VPR or designee also will apply to other System Members as well as University proposals submitted through the TAMRF.

Related Statutes, Policies, or Requirements

Supplements [System Regulation 15.01.01](#)

Contact Office

OFFICE OF RESPONSIBILITY: Office of the Vice President for Research