

SAP 15.01.01.T0.01 Preparation, Review and Submission of Sponsored Projects



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Policy Statement

All proposed sponsored activities must be approved by the university prior to submission to sponsors. This Standard Administrative Procedure (SAP) provides guidance for managing the submission process for sponsored projects.

Reason for Policy

In accordance with System Regulation *15.01.01, Sponsored Agreements- Research and Other*, Tarleton State University (Tarleton) must establish procedures to support the administration of federal or other externally sponsored agreements.

Procedures 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 (PI) 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 associate vice president for research on behalf of the university. In this regard, Tarleton acts as the representative of the State of Texas.

2. INTERNAL REVIEW AND APPROVAL

2.1 Proposals are prepared for submission by the Office of Research and Innovation. Each proposal for external funding must be approved by the following or their representative and as appropriate to the request:

- principal investigator, or
- department head, unit or center director,
- dean or appropriate vice president,
- associate dean of research and innovation,
- associate director of financial accounting services,
- director of procurement services, and
- associate vice president for finance and administration.

The provost and university president will receive executive notification upon approval and submission.

2.2 Requests to provide cost sharing from Texas A&M University (TAMU) resources must be approved by the account administrator of those resources during the proposal submission process. Joint proposals involving two or more members of The Texas A&M University System (System) shall be approved by each respective chief executive officer (CEO) or designee.

3. ELIGIBILITY TO SERVE AS PRINCIPAL INVESTIGATOR

3.1 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.

3.2 The dean or designee shall determine an individual's eligibility to serve as a principal investigator in compliance with the eligibility criteria of a potential sponsor. For purposes of this SAP, 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, unit or center director, or vice president may limit an individual's status as a principal investigator or co-principal investigator on a university sponsored project when there is no reporting relationship to a college dean.

3.3 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, dean, and appropriate vice president 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 Tarleton.

3.3.1 Newly employed faculty may petition their department head and dean to serve as principle investigators for proposal submission prior to the

completion of employment documentation. 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:

- scope of work,
- proposed budget and estimated costs of doing the work,
- technical, scientific, and scholarly content and quality,
- preparation of the proposal,
- presentation of ideas for a project,
- coordination with compliance committees,
- governing access to and retention of data,
- compliance with applicable Tarleton rules and procedures, and system policies and regulations, and
- 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, unit, or center director is responsible for reviewing and approving:

- the soundness of the project in context with departmental goals, objectives, and resources,
- compatibility of the project with the principal investigator's other commitments and workload,
- the availability of space, equipment, and facilities,
- departmental cost-sharing commitments, and
- concurrence, that if awarded, the project will be carried out within the department in accordance with the proposal and Tarleton rules and procedures and system policies and regulations.

4.3 The dean, unit or center director, or appropriate vice president is responsible for:

- determining the appropriateness of the project within a college's or unit's programs, resources, and priorities,
- determining that committed resources will be available, and
- determining that compliance requirements can be met. When more than one college is involved in a proposal, the proposal must be approved by the department head, unit director, or dean of each.

4.3.1 When more than one college is involved in a proposal, the proposal must be approved by the department head, unit director, or dean of each appropriate college.

4.4 The Office of Employee Services is responsible for:

- determining the appropriate title, salary, and benefit level when new employees are required,
- ensuring that equal employment opportunity and affirmative action regulations are met, and
- assisting the PI and administrative assistants with employment documentation and processes.

4.5 The Office of Faculty Research is responsible for:

- 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,
- reviewing the proposal to ensure that matters involving conflict of interest, human subjects, DNA research, hazardous or controlled substances, and the experimental use of animals, export control, and other compliance issues have been identified and the appropriate compliance officials notified,
- providing assistance to deans or others on issues that may arise regarding multi-disciplinary, multi-unit, or multi-institutional collaborations,
- working with the PI to enter the proposal into Maestro workflow for internal review and with final submission to the sponsor, and
- facilitating principle investigator post-award project administration training.

4.6 The Office of Business Services is responsible for:

- assuring accuracy of budget calculations, including fringe rate and indirect cost rate,
- assuring budgeted costs are allowable,
- reviewing the proposal for institutional financial risks and making recommendations to the university administration for mitigation of identified risks,
- determining availability of funding committed as cost-sharing.

4.7 The Office of Support Services is responsible for:

- 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,
- ensuring that the proper Delegation of Authority is followed, and
- directing the development, review, and execution of award contracts, Memoranda of Understanding (MOU) or Memoranda of Agreement (MOA).

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 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 Tarleton faculty and staff may 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.

Related Statutes, Policies, or Requirements

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

[System Regulation 15.04, Sponsored Research Services](#)

Contact Office

Office of Sponsored Projects
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