



Office of Research and Economic Development
Research Grants and Contracts - Proposal Submissions and Final Approval Procedures
Standard Office Procedure (ORED 01.03)

***Purpose:** To describe procedures for external funding proposals/final approvals for grants or contracts that include research*

Overview: Office of Research and Economic Development (ORED): The ORED supports faculty, staff, and students applying for grants and contracts that include research. Our goal is to quickly facilitate the process for applications and ensure appropriate oversight of the application process through an award with final approval. We also want to suggest that anyone applying for a grant or contract look for ways to include research that will qualify for “Restricted Research” (RR) funding from the Texas Higher Educational Coordinating Board (THECB) [RR can be qualitative (e.g., oral history or trend analysis) or quantitative]. Please see our RR program at: <https://www.tamuct.edu/research/index.html>

Logic for RR Funding: *The RR Funding from the THECB results from research funds generated by A&M Central Texas grants and contracts – or from community based grants and contracts - that include what the THECB defines as “research.” If a grant or contract includes **any** funds meeting research criteria, the amount of those research funds is included in the total amount of funds counted by the THECB for our university. Traditionally, the THECB Funds (sent to us by THECB) are calculated as approximately 10% of the total approved RR Funding for the university. An example of RR Funding might be with A&M Central Texas generating \$1,000,000 of RR-qualifying funds in a year, where the THECB will disburse approximately \$100,000 to A&M Central Texas that year. In essence, the RR Funds generate an additional “indirect” amount that would be dispersed according to the usual Indirect Cost Funds (ICFs) guidelines – including to the PIs for approved RR grants and contracts.*

Pre-Proposal Development: Development of research grants and contracts takes a significant number of individuals with the approval process that is not unilateral with any one person. There is also a significant amount of collaboration which means that it requires sufficient preparation time prior to submission to the sponsor. Adequate preparation time will ensure that sponsor requirements, A&M Central Texas rules, internal university guidelines or procedures such as this process, and any related Texas A&M University System regulations are followed - while allowing proposals to be submitted by the sponsor’s deadline. ORED has an arrangement with Sponsored Research Services (SRS) at A&M College Station to provide proposal development service, including budget help. In addition, there are offices at A&M Central Texas that provide input for proposals, including Human Resources and the Office of the Provost for salary and hiring assistance, the Office of Finance and Administration for assistance with finances, and the Research Compliance Officer for several potential compliance issues including Export Control.

In addition, some applications may require guidance from the Institutional Review Board or the Institutional Biosafety Committee, although in most cases paperwork for those committees can be done after an award is received.

Note: Please know that A&M Central Texas does not have an Institutional Animal Care and Use Committee (IACUC) and therefore NO vertebrates (under the regulation of IACUC rules and procedures) may be used in research, teaching, or testing including any observations that directly interact with vertebrates. Observations without interactions such as the use of binoculars to “watch” vertebrates in the wild may be allowed.

To expedite research proposals through the steps needed, the ORED asks that you contact us as soon as you know that you will be applying for a grant or contract, so we can help prepare you for the process. We require specific paperwork and processes for research support and want to give your proposal a thorough quality review. To ensure that the ORED provides researchers with the highest level of support, please review the following guidelines for proposal services:

PHASE 1. Initial ORED Contact: Pre-Award Form and Initial Research Proposal Approval - Steps 1-3 [Note: Any grant/contract with RR would be classified as a research proposal]

1. Researchers are required to submit a completed Pre-Award form available on the ORED Canvas Community *a minimum of 10 business days, and up to 15 minimum business days for complex proposals (as indicated below) prior to the sponsor deadline date*. The Pre-Award form includes places for signatures of university administrators who need to pre-approve your proposal, *as well as any potential RR Funds*. The approvers include the VP for Finance and Administration or designee for initial contract review (if developed), the department chair and dean, and the VP for Research and Economic Development, for reviews of cost sharing and ICFs, as well as overall approval. The form also includes a breakdown of the offices and individuals who receive ICFs, including their percentage of the ICFs. *Note that the proposal PI receives a portion of the ICFs*. Not all sponsors permit ICFs, so it is important to indicate if ICFs exist in the Pre-Award form. Specific timelines required for review are indicated below.

If you would like to receive assistance from SRS on proposal development, they will need 5 business days in addition to the days needed by ORED; therefore with SRS applications, 15 minimum business days is needed for the research approval process. Applicants are encouraged to contact SRS directly to let them know about the upcoming proposal, as well as ORED with Dr. Murphy. Our university's contact person at SRS is:

Ms. Shelly Berry Hebb, Associate Director, Preaward Services
Email: sberry@tamu.edu Phone: (979) 845-8758

Ms. Hebb may direct your proposal to another member of SRS if there is a better fit for your sponsor or they have experience with the specific grant program.

2. Complex proposals (e.g., those including subcontracts, federal or state-level government grants or contracts, security requirements, cost shares/matching) may need additional

preparation time to go through the Office of General Counsel or other A&M system reviews. See below for the separate timelines for Non-Complex and Complex proposals.

Note: Proposals with Cost Sharing should not be included in a proposed budget unless the sponsor requires it. The sources of cost share must be identified with written approval by the cost share administrator, and recorded as an addendum to the Pre-Award form submission.

3. The Pre-Award form must include a link to the sponsor funding opportunity/program announcement. In the event that an announcement link is not available, communication should include sponsor's name, opportunity/program title, deadline and other critical elements of the proposal so that appropriate offices can be alerted for facilitation of the development and submission process.

Note that the ORED does not submit proposals to sponsors; that is the responsibility of the Principal Investigator (PI) or Program Director (PD). SRS can also submit proposals at the PI/PD's request. Some federal agencies require an institutional submission; that is one of the services provided by SRS for A&M Central Texas applicants. Shelly Berry Hebb is our authority for institutional submissions.

PHASE 2. Final Proposal Review: *Routing Form and Final Approvals for Research Proposals - Steps 4-5*

All Research Proposals (with any amount of RR), must follow the steps here:

4. After steps 1-3 are complete with the Pre-Proposal form signed appropriately, the PI obtains the *Research Routing Form* [RRF is also known as the Contract Transmittal Form] from the Canvas Community page of the Contracts Administration office; info on accessing it is available on the ORED Canvas Community page in the Grants and Contract section's Research Routing Form link. When completed, the PI submits the RRF form and the following documents to Dr. Murphy in the ORED for routing to the next approving individual listed on the RRF (*hardcopy or emails are sufficient*), **at least five business days before the funding authority deadline day:**
 - a. A digital copy of the grant or contract proposal with a full budget and all components required for the submission to the funding agency, and
 - b. The Pre-Award Form submitted previously with approval signatures.
5. After the required documents have been submitted to the Office of Research, the VP for Research and Economic Development will determine the final signature authority (depending on the funder and the amount of the grant/contract).

Once the final signature authority has approved, the VP for Research and Economic Development will contact the PI with approval to submit the grant/contract to the funder. If SRS is submitting on behalf of the university, the VP will inform SRS to submit the proposal and inform the PI that SRS is submitting the proposal.

Time Required for Submissions and Research Process Questions:
[Contact Dr. Walter Murphy, Executive Director for Research and Sponsored Programs, at 254-519-5761 or murphyw@tamuct.edu]

Complex (Any Federal or State Funding Authority and requiring SRS Support): 15 Business Days
 Non-Complex (Regional, Local, Philanthropic without SRS Support): 10 Business Days

Complex: Example Timeline for Submitting a Research Grant/Contract Proposal:

- **July 12, 2021 (Monday) Last Day to Submit Pre-Approval Form to ORED [15 Business Days before Deadline Date (DD)]**
- **July 26, 2021 (Monday) Last Day to Submit RRF to ORED [5 Business Days before DD]**
- **July 30, 2021 (Friday) Deadline Day for Funding Submissions**

Non-Complex: Example Timeline for Submitting a Research Grant/Contract Proposal:

- **July 19, 2021 (Monday) Last Day to Submit Pre-Approval Form to ORED [10 Business Days before DD]**
- **July 26, 2021 (Monday) Last Day to Submit RRF to ORED [5 Business Days before DD]**
- **July 30, 2021 (Friday) Deadline Day for Funding Authority Submissions**

Submissions not meeting requirements above may not be processed in time. Case-by-case situations may warrant changing time requirements above and will be handled as such.

SRS Support: When an applicant wants more detailed proposal help, SRS is available starting with Ms. Hebb through her contact information above. SRS will work with A&M Central Texas grant and contract applicants to assure that all paperwork is completed. They request the following documents (when applicable) be submitted to them **a minimum of 5 business days** prior to the sponsor deadline date (whether from the ORED or the proposal applicants):

- a. Budget
- b. Budget Justification
- c. Draft Abstract/Summary or Statement of Work
- d. Draft Project Narrative/Description
- e. Relevant Approved Waivers
- f. Subcontract Documents
- g. Biographical Sketches
- h. Current and Pending Support Documents
- i. Data Management Plan
- j. Facilities and Equipment Documents
- k. Other Required Sponsor Forms

Thank you for your time to create a potential research grant or contract. We wish you well on your submissions.