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## Proposal Submission Guidelines (10-5-2)

**Purpose: Relevant procedures for investigators submitting external funding proposals.**

At the Office of Research & Innovation (ORI), we strive to provide TAMUK and the agency research community with excellent sponsored project administration services. Pre-award administration is complex and requires sufficient time to prepare prior to submission to the sponsor or lead institution. Adequate preparation time ensures that sponsor requirements and System Member rules and guidelines are followed, and that proposals are submitted on or before the sponsor's deadline. ORI Pre-award can add the most value when researchers make sure there is sufficient time for us to prepare our portions of the proposal and to conduct a thorough quality review. To ensure we are able to provide investigators with highest-level support, researchers must use the following guidelines for proposal services:

### 1. Initiate Contact with ORI

- a. Begin by completing and submitting the *Notice of Intent (NOI)*, a webform which is available on the ORI Pre-Award website at: <https://www.tamuk.edu/ori/Pre-Award/Proposal-Forms-Templates.html>.

The NOI must be submitted **a minimum of 10 business days** prior to

- a. the sponsor's deadline date, for TAMUK only or TAMUK Lead proposals, or
- b. the Lead Institution's internal deadline, for TAMUK subaward proposals.
- b. Complex proposals (e.g. the proposal contains subcontracts or cost share/match, etc.) or solicitations containing extra or uncommon terms and conditions may need additional preparation time, which may be longer than 2 weeks. Thus, researchers are encouraged to contact our office as soon as they know they want to prepare to submit a proposal.
- c. Cost Sharing should NOT be included in a proposed budget unless THE SPONSOR REQUIRES IT. The sources of cost-share should be identified, and written approval must be recorded on file, prior to submission.
- d. Always provide the sponsor funding opportunity or announcement, including the sponsor's name, opportunity/program title, deadline and other critical elements of the proposal, so an assigned proposal administrator can facilitate the development and submission process.

### 2. Prepare and Submit to ORI Administrative Portions of the Proposal

ORI requests the following documents, as applicable to your proposal, **a minimum of 5 business days** in advance of the sponsor deadline:

- 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 (subrecipient form, letter of commitment, etc.)
- g. Biosketches
- h. Current & Pending Support
- i. Data Management Plan
- j. Facilities & Equipment
- k. Other Required Sponsor Forms

### 3. All Portions of the Proposal

All completed proposal documents should be submitted to ORI Pre-award, in final format, **no later than 2 business days** prior to the sponsor or lead institution deadline.

### 4. ORI Pledge to the Research Community

- a. Proposals received by ORI Pre-award according to the **10-5-2** timeline outlined above will receive a complete and thorough quality review.
- b. For proposals completed and submitted to ORI Pre-award within this **10-5-2** timeframe, our office will work with the PI to make all necessary changes to ensure the proposal is administratively compliant.
- c. ORI pledges to submit on-time proposals, with limited exceptions, prior to the specified opportunity or program deadline. Proposals with required materials submitted within the **10-5-2** timeframe will receive priority over proposals received with shorter lead time.
- d. ORI staff will make every effort to submit all proposals.

***In the event a proposal or portions of a proposal are received outside of the requested timeframe, the investigator assumes all risk for proposals found to be non-compliant or submitted late to the sponsor or lead institution.***

- 5. **Approvals** - The Institutional Authorization Form along with other internal forms (Appendix B, Time & Effort, and Late Submission Form, if applicable) must be submitted to ORI no later than the proposal due date, with all authorizations and signatures.

If a proposal is submitted to the sponsor *without* ORI review, the proposal may be withdrawn if it is determined to be non-compliant with the System Member rules, or guidelines.

**Approved By:** Dr. Jose F. Espiritu, Vice President for Research & Innovation

**Approved By:** Diana P. Luna, Director, Contracts & Grants

**Approved:** 01/29/2024

**Effective:** Immediately

**Review Cycle:** Annually