

# **OFFICE OF RESEARCH AND SPONSORED PROGRAMS GUIDELINES**

**Office of Research and Sponsored Programs**

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## OVERVIEW OF DUTIES AND RESPONSIBILITIES

### Mission

In an institution dedicated to the acquisition, creation, and application of knowledge, research, and scholarship—the creation or discovery of knowledge—remains central.<sup>1</sup> Along with UHCL academic administration, it is the responsibility of the Office of Research and Sponsored Programs to assist faculty in their research needs. The Office of Research and Sponsored Programs is the primary service office for faculty seeking opportunities for support from external research. The Office of Research and Sponsored Programs assists faculty by identifying potential sponsors, offering technical proposal development assistance, including budget formulation, review of proposals for compliance with agency and UHCL policies, liaison with agency program officers, and project management of awards after they are granted to the University.

### Standards

1. The UHCL Office of Research and Sponsored Programs strives to follow the highest professional guidelines and to meet performance indicators.
  - A. The National Association of College and University Business Officers (NACUBO) recommends:
 

“Organizations provide external funds to an institution to support and promote institutional research and other activities; to aid in the development and transmission of new knowledge to society; to train individuals for participating in complex technologies; and to provide support for expanding and building specialized facilities and equipment. When an institution receives such funds, it must manage those funds and support the faculty member responsible for carrying out the program....In this way, the institution is a service provider to a client (the faculty member)....”<sup>2</sup>
  - B. The Council on Governmental Relations (COGR) notes:
 

“Principle VIII-1, Pre-award and Proposal Requirements. The college or university provides information on prospective sponsors and processes proposals in compliance with sponsor guidelines and requirements. The college or university provides information to principal investigators (PIs) on sources of support for research activities and provides adequate review of proposals prior to their submission to a sponsor.

    - i. Indicator 1. The institution has written procedures defining what approvals are required for proposals to external sponsors.
    - ii. Indicator 2. The PI formally accepts responsibility for the information in the proposal and certifies compliance with sponsor requirements.
    - iii. Indicator 3. Institutional officials provide adequate review of proposals prior to submission and certify to the accuracy of institutionally-negotiated costs (i.e., fringe benefits, facilities and administrative costs, etc.)
    - iv. Indicator 4. Sponsored program personnel ensure receipt of completed and authorized proposals from proposed sub-recipients prior to their inclusion in a proposal submission to a potential sponsor.
    - v. Indicator 5. Where required, the institution has the ability to prepare and submit electronic proposals to potential sponsors.”<sup>3</sup>
  - C. American Institute of Certified Public Accounts (AICPA)
 

ORSP Accountants endeavor to follow the technical policies regarding financial accounting and reporting standards of the AICPA. <http://www.aicpa.org/members/div/acctstd/index.htm>
  - D. Office of Management and Budget (OMB) Circulars

ORSP follows federal regulations specified in Circulars A21, A110, and A133:  
<http://www.whitehouse.gov/omb/circulars/>

E. Cost Accounting Standards (CAS) 501 and 502.

### Categories of Duties

The primary duties and responsibilities of this office are described as (a) proposal development or pre-award, (b) project management or post-award, and (c) regulatory and policy compliance, as indicated below.

PROPOSAL DEVELOPMENT	PROJECT MANAGEMENT	REGULATORY & POLICY COMPLIANCE
Identify potential sponsors and alert potential PIs to opportunities	Provide initial review of grant or contractual document for concurrence with proposal	Ensure that all research activities whether external or internal meet Federal and University standards for the use of human and animal subjects or for protection of intellectual property rights.
Assist in review of sponsor guidelines	Set up awards in financial system	Ensure compliance with State, Federal and private sponsors' financial management regulations
Receive notice of intent from PIs and schedule planning meeting	Hold orientation with PI and College Business Coordinators	Maintain grant files in accordance with sponsor or State retention guidelines
Prepare and validate budgets in cooperation with PIs	Monitor and approve all expenditures	Assist faculty in development of human subject protection applications (Committee for the Protection of Human Subjects)
Review all proposals and submit for UHCL official signatures	Forecast project funds during life of the grant	Maintain records of researcher compliance with Conflict of Interest policy and procedures
Enter and submit proposal content in electronic formats as required by sponsors and in conformity with deadlines	Monitor subgrants or subcontracts to outside parties	Assist faculty in processing of animal protocols (Institutional Animal Care & Use Committee) and provide liaison with federal agency as required
Copy and ship proposals to sponsors as required in conformity with deadlines	Prepare and send financial status reports and billings to sponsors	Provide fiscal oversight for compliance functions
Track review, award and declination status with sponsors	Represent UHCL in audits of sponsored projects	
Negotiate terms and conditions	Negotiate terms and conditions.	
<b>Provide training as appropriate</b>	<b>Provide training as appropriate</b>	<b>Provide training as appropriate</b>

### PROPOSAL DEVELOPMENT

1. Proposal transmittal, either by hardcopy or softcopy, requires the faculty writer(s) to relinquish direct access to the proposal and its budget to ORSP. The staff then works to conform the proposal, in all

respects, to agency submission requirements. The faculty proposal writer(s) must be available to provide additional information, but will not have direct access to the transmitted writing or budget.

2. If prior written notice of a pending submission is not provided to ORSP or a proposal is transmitted after the agreed-upon lead time date, then ORSP will manage the proposal submission on an “as possible” basis, first respecting other proposal transmittals in process. No guarantee of an “on time” delivery can be offered.
3. ORSP requires the proposal to be turned in for final review and signatures five days in advance of the sponsor’s due date.
4. Investigators are reminded to complete UHCL’s Conflict of Interest certification forms and, as required, certify that they have obtained necessary training in human subject protections.

## PROPOSAL TECHNICAL PRESENTATION

### Scientific Merit and Review Criteria

Principal investigators are encouraged to consider in advance the specific review criteria the sponsoring agency will apply when considering the proposal’s scientific merit that will be detailed in the text. Criteria depend upon the agency’s strategic objectives. ORSP strongly recommends that investigators contact agency program officers in advance as to certain agency priorities and funding opportunities, including discretionary grants, in support of specific agency endeavors. Agencies’ goals must be delineated by the Government Performance & Results Act of 1993 (GPRA) Strategic Plan 2001-2006, described in

[http://www1.od.nih.gov/ORSPP/ORSPP/gpra/gpra\\_contacts.htm](http://www1.od.nih.gov/ORSPP/ORSPP/gpra/gpra_contacts.htm).

1. Examples of several agency review criteria are illustrated in the tables following:
  - A. The National Science Foundation’s rule is that proposals that do not address intellectual merit and broader impacts will be returned without review.<sup>4</sup> The reviewer will expect the proposal to be responsive to two questions: What is the intellectual merit of the proposed activity? And what are the broader impacts of the proposed activity?

INTELLECTUAL MERIT	BROADER IMPACTS
How important is the proposed activity to advancing knowledge and understanding within the field or across different fields?	How well does the activity advance discovery and understanding while promoting teaching, training and learning?
How well qualified is the investigator (individual or team) to conduct the project? If appropriate, comment on the prior work of the investigator.	To what extent will the project enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?
To what extent does the proposed activity suggest and explore creative original concepts?	How well does the proposed activity broaden the participation of underrepresented groups?
How well conceived and organized is the proposed activity?	Will the results be disseminated broadly to enhance scientific or technological understanding?
Is there sufficient access to resources?	What may be the benefits of the proposed activity to society?

- B. The National Institutes of Health’s review criteria are focused upon five criteria:

**Significance:** Does this study address an important problem? If the aims of the application are achieved, how will scientific knowledge be advanced? What will be the effect of these studies on the concepts or methods that drive this field?

**Approach:** Are the conceptual framework, design, methods and analyses adequately developed, well-integrated and appropriate to the aims of the project? Does the applicant acknowledge potential problem areas and consider alternative tactics?

**Innovation:** Does the project employ novel concepts, approaches or methods? Are the aims original and innovative? Does the project challenge existing paradigms or develop new methodologies or technologies?

**Investigator:** Is the investigator appropriately trained and well suited to carry out this work? Is the work proposed appropriate to the experience level of the principal investigator and other researchers (if any)?

**Environment:** Does the scientific environment in which the work will be done contribute to the probability of success? Do the proposed experiments take advantage of unique features of the scientific environment or employ useful collaborative arrangements? Is there evidence of organizational support?

2. The US Department of Education's Review Criteria and rating structure are shown below:

REVIEW CRITERIA
<b>Extent of Need:</b> how needs addressed, how needs identified, plans for institutional development and linkage with business community – 20 points maximum
<b>Plan of Operation:</b> how objectives to be accomplished, how relate to Title VI, Part B, design and time line, management of project, utilization of resources & personnel, equal access & treatment for project participants – 30 points
<b>Quality of Key Personnel:</b> Project Director's education, experience, other qualifications + percent of time, other key personnel qualifications, plus encouragement of underrepresented groups to apply – 10 points
<b>Budget &amp; Cost Effectiveness:</b> Federal and required 50% non-Federal match in support of project –15 points
<b>Evaluation Plan:</b> effectiveness, results, kinds of data and methodology for objective and quantifiable evaluation) – 10 points
<b>Data Management and Sharing Plan:</b> provides Office of Information Technology (OIT) security standards for safeguarding data in a formalized, written data management plan, reviewed by Security Officer – 5 points
<b>Adequacy of Resources:</b> facilities, equipment, supplies, other participants, and matching funds – 10 points

#### PROPOSAL BUDGET FORMULATION

1. Budgets are normally prepared anticipating three award types: grants, contracts and special research support or cooperative agreements. The choice of the type of legal instrument is a prerogative of the Federal Government under the Federal Grant and Cooperative Agreement Act (GPRA) (31 U.S.C. 6301-08) The Program Announcement (PA) or Request for Proposal (RFP) will generally state the type instrument the agency plans to use.
2. PIs are encouraged to contact ORSP as soon as he or she begins preparing the proposal so that an orientation meeting can be scheduled. Granting agencies see hundreds of proposals yearly and are proficient at comparing level of funding requested to the research work proposed. It is important that the budget section of the proposal reflect, as accurately as possible, the funding needed to carry out the proposed project. ORSP will work with the investigator to ensure that the budget neither underestimates nor overestimates the funds requested, in order to minimize chances of rejection.
3. A carefully prepared budget which details the funds necessary to complete the project described in the technical section of the proposal strengthens the total research proposal and can substantially increase the likelihood of funding. It is important to consider whether certain budget items are "allowable", that is, chargeable as an expense to the research project. Furthermore, a carefully thought-out budget can often identify weak areas in the narrative and result in improvement of the technical proposal. ORSP staff can provide special instructions updating the program announcements or guides to the PI. ORSP staff can provide expertise in completing a budget request, verifying salary figures, fringe benefit rates and indirect

cost rates. Provided adequate lead time has been provided, ORSP will prepare the official funding agency budget request pages or prepare a budget for an agency which does not have preprinted forms.

4. Most proposals are prepared, and awards accepted, on a cost-reimbursable basis. It is the policy of UHCL not to accept fixed-price contracts. However, exceptions to this policy can be made only by ORSP, in consultation with the Office of the Senior Vice President of Academic Affairs and Provost, prior to the submission of the proposal.
5. Elements of a budget include direct costs, Facilities & Administrative (F&A) or indirect costs, cost sharing and/or matching funds, and consortium expenses. All costs must be justified to the level of detail required by the funding agency.

#### **A. Salaries and Wages**

- i. To determine total salaries and wages, list the amount of time to be spent by each person. Time should normally be shown in terms of person-months or as a percent of full-time effort, showing a breakdown between summer and regular academic year. PIs may not schedule activities in excess of their allowable workload of four courses. Please refer to the UHCL Faculty Handbook, Section 6.1 "Workload Policy for Faculty".
- ii. Sponsored activities may not result in any employees receiving compensation at a rate in excess of their authorized or board salary without prior approval of the sponsor. For multi-year projects, the budget should take into consideration any possible salary increases, which may be estimated on a historical percentage basis maintained by ORSP.
- iii. Compensation levels and new job classifications must conform to the University Staff Compensation Plan and, if unusual, should be cleared with Human Resources. If the plan does not cover an anticipated new position, consult ORSP. Normally, budget increments for professional and nonprofessional personnel should be included on proposals extending more than one year. If specific incremental figures are not available, estimate at 3% per year.
- iv. The maximum use of graduate and undergraduate students is encouraged. Student payments should be consistent with those customarily paid within the college or college. Part-time (hourly-monthly) employees should be identified either as students or non-students. The Human Resources office at UHCL can be contacted for a listing of appropriate salary ranges for student personnel.

#### **B. Fringe Benefits**

- i. Fringe benefits are calculated separately from salaries and wages. The rates cover costs paid to employees during periods of authorized absences from the job, such as vacation leave, sick leave, military leave, health insurance, social security, retirement and unemployment compensation. Some fringe benefits are statutory and therefore mandatory.
- ii. By agreement with the Department of Health and Human Services (DHHS), fringe benefits are specifically identified to each employee and are charged individually as direct costs. Fringe benefits include FICA, Retirement, Worker's Compensation, Life Insurance, Unemployment Insurance and Health Insurance. Rates depend upon such factors as selection of insurance plans and other variables. Therefore, when preparing a budget, PIs are requested to contact ORSP to verify the rate for current staff or for historical averages for projected new hires.
- iii. Students receive no benefits other than statutory FICA, workers compensation and unemployment. Part-time staff up to 49% FTE receive no benefits other than statutory FICA; part time staff working 50% FTE or greater are insurance-eligible at rates determined by the University of Houston System.

#### **C. Consultants**

- i. By definition, consultants are not employees of the University of Houston System (UHS) and fringe benefits are not calculated for their effort. The applicable rule reads “State law requires that an individual may not be hired as a consultant on an independent contractor basis if employed by any component of the UHS System during the previous twelve (12) month period”.
- ii. The use of paid consultants (independent contractors) may be justified when the project calls for expertise of a well-defined nature for a fixed period of time. An independent contractor is an individual over whom the component (university) has the right to control or direct the result of the work; however, the University shall not control the means or method of accomplishing the result. Consultants should be budgeted only for tasks where on-campus expertise does not exist or is not readily available.
- iii. Should the proposal be funded, the PI must ascertain that the services of the consultant are essential and cannot be provided by persons receiving salary on the grant or otherwise compensated for their services. The PI must further certify that a selection process has been utilized to secure the best qualified person and that the consultant’s charges are appropriate for the nature of the service rendered. The PI must also provide information or records to the UHCL Human Resources Office if the proposed consultant has been an employee of the State of Texas within the past two years. Often a sponsor will not permit payment to a consultant or will limit the amount of time and/or the rate per day. If in doubt as to whether consultants or rates paid to consultants are allowable, consult the sponsor’s program literature or contact ORSP.
- iv. ORSP has a sample evaluation form to help you decide if the proposed consultant should be a consultant or a UHCL employee. Human Resources may have more information, if needed. A sample of the form for requesting approval to retain a consultant may be obtained from college Business Coordinators.

#### **D. Travel**

Reimbursement for travel expenses is subject to University and sponsor regulations. Travel may be local (personal vehicle) and reimbursed at the state rate. Travel funds may be used to attend professional meetings to disseminate research information. Conference costs may also be placed in the travel category. Each proposed trip should be itemized and should include cost estimates for transportation cost, number of days of travel, and per diem. Registration fees may also be included in travel.

#### **E. Capital Equipment**

Capital equipment is generally defined by the State as personal property (including software) having an acquisition cost of \$5,000 or more and a useful life of one year or more. The federal definition spelled out in OMB Circular A-21, J16a(2) reads:

“‘Equipment’ means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of the capitalization level established by the organization for financial statement purposes, or \$5,000.”

In the proposal it is necessary to budget all the equipment that will be needed to perform the proposed tasks, including the estimated costs of freight and installation.

- i. Small items such as laptop computers under \$5,000 are considered supplies. Most sponsors will not support the purchase of general office equipment or personal computers other than laptops. In some cases, software purchases or subsequent software upgrade purchases are considered as capital expenditures. In addition, many federal agencies now require certification as to the unavailability of capital equipment at the time of proposed submission. ORSP will prepare and sign the certificate after receipt of verification of unavailability. If capital equipment requests require matching funds by UHCL, consult with ORSP to be sure that adequate funds are available to meet the University’s commitment.



ii. **Materials and Supplies**

Allowable items are determined by sponsor, but could include books, manuals, software, chemicals, laboratory items, non-capital equipment, animals, and field supplies. The item must be a direct benefit to the project; the amount should be reasonable and customary. The "use" of the item rather than the item itself is how supplies should be classified. (For instance, paper used to print project data should be considered a research supply vs. office supply.) Faculty who anticipate the use of research animals should consult with ORSP to see whether the funds requested are adequate.

F. **Subcontracts and Sub-grants**

Proposals which contain provisions for named individual or institutional subcontractors must be accompanied by a statement from the subcontractor of his intent to participate in the program if it is funded and signed by an authorized institutional officer. This offer should include a statement of work, an estimate of the time required to complete the work, and a proposed budget (including applicable indirect costs). The PI(s) must submit to ORSP a statement disclosing any direct or indirect financial interest in the "other direct costs" category of proposed budgets. The technical section of the proposal should include a statement concerning the need for a subcontract and the method(s) used to select the subcontractor.

G. **Other Direct Costs**

To budget the anticipated cost of publishing the results of the research or project, PIs should keep in mind that page charges may vary from journal to journal. Consider both page charges and reprint costs. Also, consider the cost of publishing and distributing numerous copies of a large report document. Animal maintenance costs include food and other routine laboratory fees. Consider, as appropriate to the project, costs for copying, long-distance telephone calls for special surveys, postage, reference books and materials, equipment maintenance, animal maintenance costs and library search services. For training grants, participant support in the form of stipends and tuition should be included here (stipends and tuition are exempt from indirect costs). Projects which have a high level of intensive computer use may need to include an additional fee.

H. **Matching Funds/Cost-Sharing**

All cost-sharing commitments should be discussed with ORSP before the PI begins to develop the program. Some agencies or programs require matching funds and/or cost-sharing. Matching funds are normally defined as cash (e.g., a percentage of the cost of a piece of equipment); whereas, cost-sharing is usually in the form of contributed time and effort by the PI and his/her associates. All requests for matching funds and cost sharing must be approved in advance by the PI's Dean, and the Senior Vice President for Academic Affairs and Provost. The Business Coordinator provides backup documentation for expenditures on matching grants.

I. **Facilities & Administrative Costs (Indirect Costs)**

Facilities & Administrative costs (Indirect Costs) are broad categories of costs that reimburse the University for laboratory and office space, utilities, administrative services (e.g., purchasing, accounting, research computing services, support personnel, security), custodial services; and building, grounds, street and parking lot maintenance. In other words, they include all those things essential to support sponsored activity that cannot be broken down and directly charged to a specific grant or contract. Indirect cost percentages are regularly negotiated, determined, audited and approved by the University's cognizant auditor, the U. S. Department of Health and Human Services (DHHS).

- J. Although the rates may be revised where the sponsor administratively limits indirect cost recovery, they are not subject to arbitrary adjustment either by the University or the sponsor. UHCL by agreement with the DHHS uses a modified total direct cost (MTDC) base. MTDC consists of all salaries and wages, fringe benefits, materials, supplies, services, travel, and sub-grants and subcontracts, up to the first \$25,000 of each sub-grant or subcontract (regardless of the period covered by the sub-grant or subcontract). MTDC excludes equipment, capital expenditures, charges for patient care, tuition remission, rental costs of off-

site facilities, scholarships, and fellowships, as well as the portion of each sub-grant and subcontract in excess of \$25,000.

- i. Some organizations, including some Federal agencies, limit indirect cost recovery. ORSP can provide information in these situations. Authority to limit permissible indirect costs rests with the Provost, rather than ORSP or the faculty investigator(s).
- ii. The University has separate indirect cost rates for research or instruction performed on and off campus. To aid in determining if a project is on or off campus, the following definition should be applied: "A sponsored project, or a specific task within that project, is considered off-campus when all activities are performed for a continuous period of more than an academic semester (i.e., more than 4 ½ consecutive months) in facilities not owned or maintained by the University." In addition, if more than 50% of a project is performed off-campus, then the off-campus rate will apply to the entire project.
- iii. Indirect costs rates are generally predetermined for the life of an award and remain fixed regardless of changes in the official rate structure.

## PROPOSAL SUBMISSION

### 1. **Institutional Authority**

It is the institution that is legally authorized to apply for funding from external entities, and when awards are made, they are made to the University. Compliance with the University's established policy for the submission of proposals to potential sponsors is the responsibility of ORSP. Therefore, prior to agency submission, all formal proposals must be routed through ORSP, which in turn reviews and recommends the proposal for signature by the Senior Vice President for Academic Affairs and Provost (or other designated officer).

### 2. **Pre-proposals**

Faculty is advised to keep ORSP informed of the submission of preliminary proposals which do not always require sign-off by the University. ORSP staff is happy to work with the PI in preparing preliminary, as well as formal proposals. Copies of proposals submitted by faculty to agencies that only make awards to individuals should be submitted to ORSP so faculty may receive credit for proposal submission. Should a faculty member request internal funds to support projects, ORSP will have the appropriate documentation.

### 3. **Cover and Signature Page**

Most agencies have a specified format for proposal cover sheets. Generally these cover pages require the title of the proposal, name of the PI(s), estimated start and completion dates, and funds requested. In addition, most proposals require the signatures of the PI(s) and the official authorized to sign for the University. Some agencies, e.g., National Institutes of Health, do not permit "per" signatures, so it is imperative that ORSP arrange for the official signatures.

### 4. **Dean's Approval**

The University requires a recommendation of commitment via electronic mail by the PI's College dean. This is a commitment from the College(s) to provide space, facilities, and resources to conduct the research, as well as to approve the faculty member's research commitment, vis-à-vis instructional time. ORSP initiates the request to the dean to review and provide the College's recommendation of commitment for the PI's proposal. If resources of outside organizations are involved, signatures must be obtained from their responsible College chairpersons, deans, and/or directors, by the PI. These signatures certify to various aspects of compliance and authorization.

### 5. **Copying and Shipping**

ORSP will copy and collate the proposal in accordance with the sponsor's requirements, prepare file and necessary distribution copies, and provide the PI with one additional copy. Due to time constraints, some proposals are handled by courier services, e.g., Airborne or Federal Express.

## 6. **Compliance and Assurances**

Some proposals will require specific details as follows:

- A. Animal Welfare Assurance, A3483-01 and Human Subjects Federalwide Assurance, FWA00004068. UHCL's Institutional Review Board is the Committee for the Protection of Human Subjects and registered as IRB#1, 00002968.
- B. ORSP cooperates with the UHCL Office of Environmental Health and Safety, as necessary, to ensure compliance with these regulations as appropriate. Individuals proposing research projects contemplating the use of carcinogenic or toxic compounds, animals, human subjects, recombinant DNA pathogens or radioactive materials in their research projects should contact ORSP.
- C. Animal Care Committee: The Institutional Animal Care and Use Committee (IACUC) oversees all procedures on campus involving live animals (classroom, research-laboratory oriented, funded or not funded); these functions are governed by the federal guidelines on proper procedures for animal care. University policy requires that all projects involving the use of live vertebrate animals be approved by the Institutional Animal Care and Use Committee (IACUC) prior to the initiation of any research.
- D. Institutional Review Board (IRB): Procedures involving the use of human subjects are governed by federal guidelines and UHCL policy. University policy requires approval by the IRB before contacts with potential subjects or data collection work can begin (otherwise, the data may not be used later). Federal guidelines require IRB approval of a project prior to award of funds.
- E. Regardless of whether the sponsor requires detailed budgets and justifications, the Office of Research and Sponsored Programs will require detailed and defensible costing of proposed expenses, in the event the proposal is funded.

## 7. **Collaborating Institutions**

ORSP is responsible for contacting the counterpart research office at collaborating institution(s) to ensure PI eligibility and obtain institutional support.

## **OFFICE OF RESEARCH AND SPONSORED PROGRAMS – UNIVERSITY ADVANCEMENT LIAISON**

### 1. **Liaison**

University Advancement (UA) and the Office of Research and Sponsored Programs (ORSP) work together in analyzing funding opportunities with UA focusing on private, corporate and foundation giving (excluding grants or contracts) to complement ORSP's efforts with same and agencies (for grants and contracts). By working together, the two offices can identify possibilities for bringing partners into proposals and/or developing more diverse funding options by including a variety of sources. UA is also involved in developing beneficial relationships with businesses and alumni, that may garner additional partners and/or support, and in working with media to help develop press releases or stories when appropriate.

### 2. **Direct Approaches**

Faculty is advised not to make direct approaches to private sponsors without clearing through University Advancement.

## **FACULTY RESEARCH AND SUPPORT FUNDS**

### 1. **Purpose**

ORSP is responsible for coordinating internal small grants from the Faculty Research and Support Funds (FRSF) to support research, creative and scholarly professional development activities. Faculty applicants are responsible for development of their own proposals, although ORSP staff can provide financial cost data, such as personnel salary and fringe.

2. At the discretion of the FRSF Committee and depending upon available funding, support may be awarded for such examples as student assistant salary and fringe, travel to conduct offsite research, equipment, materials, and faculty summer salary and fringe. (NOTE: Due to limited FRSF budget funding, faculty summer salary and fringe is not allowed at this time.)
3. Electronic submission is required. Five copies of any reprints, appendices or other materials not available in electronic format to be considered with the proposal must be provided to the Office of Research and Sponsored Programs. The curriculum vitae of the faculty member needs to be electronically attached. Required formats are located on UHCL web pages.
4. The average FRSF grant is approximately \$3,900 for the term of one year. Proposals are solicited once in fall (September 15) and once in the spring (March 15).
5. Voting members of the Faculty Research and Support Fund Committee will be a University committee of four representatives, one appointed by the Dean of each College. The Executive Director of the Office of Research and Sponsored Programs serves as ex-officio chair and fiscal manager.

### FACULTY RESEARCH INTERESTS

ORSP, with the assistance of the Office of Institutional Effectiveness, surveys, compiles and maintains a database of keywords provided by the faculty members according to their disciplines' terminology. The chart below presents the first and second levels provided by faculty to date.

Adlerian Theory of Family Influences	Mental Imagery
Aging in The Future	Microcomputer
American Literature	Multiracial Couples and Families
American Studies	Networking
Apoptosis	Neuroanatomy
Applied Statistics	Neurophysiology
Aquatic Ecotoxicology	Nicotine Dependence
Artificial Intelligence	Nitric Oxide Synthase
Auditing Standards	Numerical Relativity
Australian Literature	Object-Oriented Database Systems
Behavioral Testing and Assessment	Older Workers
Bilingual Education	Operating Systems
Bioinformatics	Opiate Narcotic Dependence
Cell Signaling	Organ Donation
Ceramic Arts	Organizational Change Readiness/Resistance
Cognitive Coaching	Pet Therapy in Counseling
College Alcohol and Drug Use	Philosophy of Science; History of Science
Communication Law / Media Law	Teachers & Second Language Learners
Compensation	Principalship And Principal Leadership Behaviors
Competence Assessment	Quantum Gravity
Composition	Race Relations

Computer Security/Internet	Race & Crime
Counseling Special Populations	Real-Time Systems
Cultural Geography	Reconstructive Memory
Dante And Medieval Romance Literature	Recruiting and Retaining Students as Future Teachers
Data Acquisition and Control	Religious Nationalism
Data Mining	Rhetorical Analysis
Educational Leadership	College Administration
Electronic Commerce & Payment	Sculpture
Employee Selection	Self-Efficacy (Preservice Teachers)
Environmental Education	Semiotics
Environmental Chemistry & Remediation	Sexuality
Eyewitness Memory/Eyewitness Testimony	Shifting Stance to Student Centered Teaching
Factor Analysis	Signal Detection Applied to Clinical Issues
Families and Their Children with Disabilities	Small Business
Family Sibling Structures	Software
Gender	Sports Nutrition
Geoffrey Chaucer	Sports Performance
Geographic Education	State and Local Government Accounting
Global Chain Management	State and Local Government Finance
Graph Algorithms	Statistical Design and Sampling
Health Psychology	Statistical Methodology and Inference
Human Rights	Strategic Human Resource Management
Independent Contractors	Survey Development and Data Analysis
India	Technology Integration
Information Systems Audit and Security	Technology Training
Instructional Technology	Television
Intercultural Depression	Strategic Human Resource Management
International Business & Education; Exchange Programs	Survey Development and Data Analysis
Internet Technology	Teams - Teamwork
Latin America	Turnover and Retention
Mexico	U.S. Women's History, 1607 To the Present
Leadership / Democratic Leadership	Ubiquitin-Proteasome Pathway
Literacy Instruction for Second Language Learners	United States History
Marketing Management-Pricing Strategy	Web Database Systems

Mathematical Problem Solving	Web Mining
Media	Wireless Computing and Security
Medieval Literature	Women's Health
Mental Illness	Writing Center --Theory and Practice

## AWARD ADMINISTRATION

### 1. **Agency-University Relationship**

When an award for a sponsored project is made, the granting agency, whether federal, state or private, makes that award to the University of Houston–Clear Lake; ORSP has been designated by the University of Houston Board of Regents as the campus’ institutional representative in these matters. As such, ORSP serves as the intermediary between the agency and the PI for the purposes of award negotiation, changes in the project budget, modifications to the award, date extensions and other matters. In addition, ORSP has the responsibility of filing required fiscal reports and ensuring compliance with agency and state regulations and guidelines.

### 2. **Principal Investigator (PI)**

The PI has the responsibility of directing the technical aspects of the project, carrying out the research effort within the scope authorized by the agency, and authorizing all expenditures of award funds within administrative constraints imposed by the agency, state and/or the University.

### 3. **Award Acceptance**

Many agencies require that the University accept an award document before the award can be effective. The Senior Vice President for Academic Affairs and Provost, as the University’s designated institutional representative, is responsible for signing these documents and thereby legally binds the University to the agreement. PI(s), College Chairpersons and Deans are not authorized to negotiate or sign on behalf of the University.

### 4. **Contractual Review**

In consultation with the PI, ORSP will review the budget, terms and conditions of the award before the Provost signs and will then return the document for the agency’s signature (execution of the contract), if necessary. When ORSP, in turn, receives a copy signed by the agency, it will assign a Ledger 5 cost center and see that the award is established in the University’s financial accounting system. Note: Every PI must have a USERID before the cost center can be activated.

## NOTICE OF AWARD

When an award has been executed on behalf of the University and the agency, ORSP will issue a Notice of Award informing the PI and College of receipt of the award. This “Notice of Award” identifies the budget number assigned to the project and establishes funds in the proper budget categories for expenditure in support of the research project. The funds are established in sponsored project cost centers so that they can be identified as having been received for externally sponsored activities.

### 1. **Pre-award Costs**

Costs to the project cannot be incurred and/or paid prior to the effective date of the award unless ORSP has negotiated what is known as a pre-award costing clause or unless the granting agency otherwise formally agrees to such an arrangement with ORSP. Upon issuing the Notice of Award, ORSP will conduct a meeting with the PI, the appropriate Business Coordinator from the College or Center and other relevant personnel to discuss the expenditure plan and strategies for its execution. The College may elect to offer a guaranteed cost center for pre-award costs with permission from ORSP.

## EXPENDITURE OF FUNDS

The notice of award gives the PI information that will be needed to expend the award funds, including any special conditions or restrictions. For instance, fiscal reporting requirements and technical report due dates will be noted. Categories of expense, called accounts, will be established based on the budget that the PI submitted to the agency. Accounts which are restricted by the agency will be indicated by asterisks next to the account. Accounts which do not have an asterisk generally allow expenditure flexibility. If there is any doubt as to the expenditure flexibility or whether funds can be transferred between accounts, contact ORSP for further explanation.

### **PEOPLESOFT SYSTEM**

After an award notice is received by ORSP, documents are prepared to input that information into the financial record system. The College's Business Coordinator generates monthly accounting reports for each sponsored program cost center. These reports reflect charges to the award, changes in specific data, etc. The PI can request a copy of the report for the award from his or her College. Questions regarding any problem on the monthly accounting reports should be directed to the Business Coordinator.

### **NEGOTIATIONS OF POST-AWARD CHANGES IN PROJECT**

ORSP works with the PI and the awarding agency whenever there are proposed changes in the research project that require institutional and agency approval. Examples may include changes in the direction of the research project, changes in senior project personnel, changes in budget, date extensions or other modifications of award terms and conditions. Any request for changes should be initiated by the PI in the form of a letter/e-mail and must be countersigned/approved by a representative of ORSP. The letter/e-mail addressed to the agency should reference the agency identification number and the University budget number.

### **OPERATION OF PROJECT**

The PI is responsible for the technical direction of the research project and for the initial authorization of all expenditures to be charged to the award budget. As with all expenditures, the appropriate Business Coordinator's signature is required. The PI is ultimately responsible for expending funds in compliance with all agency, state and University regulations. To aid the PI in meeting this responsibility, ORSP monitors expenditures to ensure compliance with the regulations.

1. The following expenditure documents must be reviewed and approved by ORSP prior to processing: all purchase vouchers, including payments to individuals acting on their own behalf as consultants, small business operators, and providers of services with whom the University does not have an employer-employee relationship.
2. Prior Approval Forms to Employ Consultants must be approved by ORSP prior to the date the consultant performs his or her services.
3. Petty cash requests. All ledger 5 expenditure documents must come through ORSP. In relation to the operation of a project, ORSP has the duty to monitor compliance with applicable regulations and to aid the PI in carrying out the research effort.

### **COST SHARING**

Universities are often required to share in the costs of certain grants from federal, state or private agencies. This requirement is known as cost-sharing. The amount of cost-sharing required and the method of meeting that requirement will be indicated to the PI in the Notice of Award. OMB Circular A-110, "Uniform Administrative Requirements," <http://www.whitehouse.gov/omb/circulars/a110/a110.html>

sets forth the criteria for grant cost-sharing as follows: all verification from records; are not included as contributions for other federally assisted programs; are reasonable and necessary to the project; are allowable charges; are not paid by the federal government under another assistance agreement and are provided for in the approved budget when required.

### **MATCHING FUNDS**

Some grants require the University to provide a substantial portion of the total costs of the acquisition. In some instances, a special College cost center can be created into which the matching funds may be deposited. ORSP and

the PI's College require certification of availability of matching funds before accepting such awards. The Business Coordinator will be responsible for tracking matching expenditures at the College level. The PI is responsible for tracking matching funds documentation from external sources.

## REPORTING RESPONSIBILITIES

### 1. Technical Reporting

- A. The Notice of Award package will indicate any technical reports that are to be provided by the PI. These reports are exclusively the responsibility of the PI. It is imperative that they are submitted on a timely basis. Failure to do so may jeopardize the University's reputation and future funding. Please forward to ORSP a copy of any technical reports submitted to the sponsor. External auditors routinely ask for copies of these reports from ORSP.

### 2. Fiscal Reporting

ORSP is responsible for all fiscal reporting functions on research projects. These functions include preparation of invoices, ensuring proper charging of indirect costs, processing of journal entries, and submission of any other data required to close-out a cost center. Fiscal reports are prepared in accordance with the terms and conditions of the award. Each report is a joint effort between ORSP, the PI and his College. There are times when the PI may have to provide copies of expenditure documents, information to complete patent or invention statements, and documentation of cost sharing. It is critical that the PI provide such information to ORSP in a timely fashion in order to meet agency-imposed deadlines for submission of the fiscal report.

- A. When cost-sharing other than time and effort reporting is required on an award, the documentation is to be collected by the PI's College and submitted monthly to ORSP where it will be reported to the agency with the required fiscal reports. Documentation must be identified as cost-sharing for a specific award.

### 3. Effort Reporting

- A. Federal guidelines in OMB circular A-21 require that anyone working on a federal grant must certify his/her effort during that specific period. ORSP is accountable and responsible for the timely preparation, processing and submission of effort reports. ORSP will submit effort reports with pertinent instructions to Principal Investigators for review, distribution and appropriate signatures on or before the last working day of June, November and February for the respective semesters. ORSP prepares and processes effort reports within six months after the end of a semester as required by OMB circular A-21. The effort reports are sent to the PIs on or before - Fall Semester (September – December) due date June 30; Spring Semester (January – May) due on November 30; and Summer Semester (June – August) due on February 28/29. Maintenance of approved, signed certified effort reports is the responsibility of the Principal Investigator and ORSP. The effort reports include all effort expended on sponsored projects, teaching, administration, and any other activity in which the person is paid through the UHCL payroll system, including cost sharing. An example of cost sharing is the portion of the cost of a sponsored project that is directly paid by UHCL instead of the sponsor. The total effort of each report must equal 100%. In the case of students, effort is considered 100%, even though they cannot work full time during the fall and spring semesters. All monthly employees working on sponsored projects must certify their effort on ORSP generated/reconciled effort reports. The PI has the responsibility of verifying the accuracy of percentages on effort reports certified by their employees/students. The PI must submit duly certified reports to ORSP on or before the last working day of July, December and March for the respective semesters. Any changes/revisions made to the effort report should be duly reported to ORSP within 10 working days from the date of ORSP submission. ORSP will validate, correct and re-submit the effort report within 2 working days.

## ASSET MANAGEMENT

- 1. The University's Asset Management office is charged with records maintenance and control of all property purchased, fabricated or otherwise acquired. It is also the Asset Manager's responsibility to



report to the sponsoring agency any equipment purchased with grant/contract funds. The PI(s) shares in this responsibility. In fulfilling these responsibilities, each PI needs to fully understand the following information. Property is to be used only for the purpose for which it was acquired or furnished in accordance with the terms of the specific grant or contract.

2. If a PI who has a grant or contract from NASA or a Department of Defense agency and wishes to acquire excess government property for use on his project, he should contact the UHCL Asset Manager who will request clearance.
3. The original copies of all equipment shipping documents are required by the Asset Manager upon their receipt so that the Asset Manager may submit the required reports. Property that is purchased or otherwise acquired on grants or contracts, may not be loaned, sold, traded in, discarded, moved, or cannibalized without the prior approval of the property manager.
4. Property which is in excess of the amount needed to perform a grant or contract must be immediately reported to the Asset Manager. Property is inventoried as of February each year, or more frequently as designated by the Asset Manager. Losses, damage, destruction, returns, turn-in or trade-in of property must be reported to the Asset Manager on occurrence. All property must be adequately cared for, maintained and safeguarded.
5. University property, including contract or grant property and items rented or leased by the University, may be removed from campus when necessary to conduct official business of the University. However, the written approval of the Asset Manager is required prior to removing such property from campus. The employee removing such equipment from campus must assume financial responsibility for the property unless he is specifically relieved of such responsibility.
6. All reports pertaining to property accountability and inventories are prepared by the Asset Manager. Therefore, all requests received by faculty which are of such a nature should be forwarded to the Asset Manager.
7. Upon termination, completion, or cancellation of a grant or contract, all property with title held by the sponsor must be returned immediately to the granting agency. To ensure that the University fulfills its responsibility in such cases, the PI and College Chairperson must cooperate with the Asset Manager.
8. If a PI is leaving UHCL and wishes to take any equipment on a grant or contract to his or her new institution, he or she should contact ORSP and the Asset Manager as soon as possible to ascertain the ownership of title to the equipment. If the sponsoring agency retains title, the equipment will be transferred with the grant or contract or will be returned to the agency upon its request. If title is vested in the University, the equipment may be transferred to the new institution, if the College and Provost's Office agree.
9. The University is normally reimbursed for the fair market value of University-owned equipment, and the Asset Manager will arrange the sale of such equipment with the new institution. The College Chair and Dean must write a memorandum on the PI's behalf to the Asset Manager via ORSP to include: (a) a description of the equipment, including tag number, cost center for original purchase and estimated current value; (b) a statement certifying the equipment is surplus at that time to the needs of the College and University; (c) a contact person and phone number, if known, for the institution to which the equipment is to be transferred. Any person who attempts to transfer equipment without proper authorization may subject himself to punitive action.

## **PERSONNEL**

### **1. University Guidelines**

- A. All employees involved in a sponsored project's effort must be paid in accordance with University guidelines. The salary and wage categories and job classifications for employees on sponsored project cost centers are the same as those established for all other employees of the University. All

personnel (whether faculty or professional staff) are subject to the regulations applied to all other University employees. Accurate allocation of time and effort must be reflected on all timesheets.

- i. **Vacation and Sick Leave Accruals:** If either full-time personnel or part-time continuing, benefits eligible personnel are employed on a grant or contract, they accrue vacation and sick leave time. Therefore, the grant or contract on which they are paid is responsible for payment of the accrued vacation at the time of the employee's termination. If the grant or contract does not have sufficient funds to pay the accrued vacation, it is the responsibility of the employing College to provide the necessary funding. It is the responsibility of the PI to ensure that these employees accurately report their vacation time prior to the project's expiration.
- ii. **Overtime and Payment in Excess of 100%:** All University personnel must be paid through the University payroll system, even if they are considered as consultants. All personnel in non-exempt positions must be paid time-and-a-half for hours worked in excess of 40 hours per week. No exempt staff or faculty member may be hired to work on a grant or contract if that effort results in payment in excess of 100% FTE unless he has received the prior written approval of the sponsoring agency, the Dean of the College and the senior vice president. Faculty or staff members must be paid in accordance with their normal salary rate at the University.

#### B. Consultants

The federal government requires that the University carefully monitor all payments made to consultants hired on sponsored projects regardless of the source of the funds. To comply, once the PI has determined that a consultant needs to be hired, prior approval must be obtained from ORSP. A Request for Approval to Employ Consultant form must be completed and submitted to the PI's College and then to ORSP. By completion of the form, the PI certifies that: (a) services to be provided are essential and cannot be provided by persons receiving salary support under the grant or otherwise compensated for their services; (b) selection process has been employed to secure the best qualified person available; (c) charges are appropriate considering the qualifications of the consultant, prevailing consultant rates and the nature of the services rendered. If written approval is not secured in advance of employing the consultant, ORSP may not be able to authorize payment. There may also be agency imposed regulations concerning maximum daily rates. See also [http://www.uh.edu/sam/AM/Am\\_02a24.htm](http://www.uh.edu/sam/AM/Am_02a24.htm).

- i. Federal regulations require that each consultant complete a report. The form that the University has devised to accommodate this requirement is the Consultant's Report of Activity and Invoice for Services and/or Expenses. Space is provided for the consultant to complete his report and detail his expenses. If a PI is reimbursing a consultant for expenses only, a Request for Approval to Employ Consultant form is not required. However, a Consultant's Report of Activity and Invoice for Services and/or Expenses is still required.

### TRAVEL

#### 1. University's Institutional Travel Policy

The University's Institutional Travel Policy pertains to most sponsored project cost centers. If the agency has more restrictive regulations, then the agency's regulations must be followed. For example, some federal agencies limit reimbursement for meals and lodging to the federal per diem limits. Only the contracting officer of the funding agency has the authority to allow any exceptions to this policy. To secure this approval, the PI should write a letter/e-mail requesting an exception and forward the letter/e-mail to ORSP for processing. Be sure reimbursement is claimed only for those places and for those dates for which agency prior approval was received. Travel to any other cities on any other dates is not reimbursable from grant and contract funds.

#### A. Foreign Travel

ORSP must approve requests for foreign travel on sponsored project funds before airline tickets can be issued. Because of special agency regulations for prior approval and the requirement by some agencies for utilization of U.S. flag carriers, ORSP should be contacted by the PI as far in advance of such trips as possible. Usually two to three months are required by the agency for approval of foreign travel, particularly if such travel is not already incorporated in the award budget. Also, many agencies require written approval before the trip is taken, even when the award indicates approval for foreign travel. Even though actual expenses may be claimed for foreign travel, the charge must be reasonable and logical. Approval for international travel requires completion of CITI training on Export Controls and the Export Controls and Travel Embargo Form.

#### **B. Domestic Travel**

Domestic travel on most sponsored project cost centers is subject to the University's Institutional Travel Policy. In some instances, however, the agency may put forth more restrictive travel regulations. In those cases, the agency's regulations must be followed. For example, some federal agencies limit reimbursement for meals and lodging to the federal per diem limits.

#### **C. Travel Charged to Two or More Budgets**

ORSP must approve all travel requests and vouchers charging more than one cost center when at least one of those cost centers is a sponsored project cost center. Additional documentation for this kind of voucher is required as follows: The primary purpose of the trip must be indicated. This information is necessary to justify the division of transportation and per diem expenses. Each day's activities and expenses must be listed and correlated to a specific project. It is necessary to be clear about the purpose of the trip and the distribution of charges.

### **AUDIT**

1. Periodically, sponsored project cost centers are audited by external agencies. Audits can be one of three types: (a) Audit of direct costs under general expenditure systems (e.g., Time and Effort Reporting, Prior Approval System, Consulting System); (b) compliance audit under Office of Management and Budget Circular A-133 "Audits of Institutions of Higher Education and Other Nonprofit Institutions" <http://www.whitehouse.gov/omb>; or (c) individual award audit for all award expenditures. There are also internal audits conducted by the UH System. All UHCL faculty and staff are required to cooperate with the UH System Internal Auditing Department and/or external auditors, granting full access to any information requested. If a college, center or department does not have the required information, ORSP is always available for assistance.
2. Each audit involving sponsored projects is coordinated by ORSP.
  - A. During an audit, it may be necessary for ORSP to contact Colleges or PI(s) to request information about a specific contract or grant. It is the responsibility of the PI to keep accurate records supporting all costs for a minimum of three years after the agency has accepted the final report. Copies of progress reports, documentation of the selection process used to hire consultants, and of time and effort expended must be maintained for the same amount of time. If there is a disallowance on a specific grant or contract, a campus review will occur to determine who is responsible for its repayment.

### **RECORDS RETENTION**

Federal and state agencies, as well as many local agencies and foundations, require the University to maintain all project-related records for a minimum of three years after the acceptance of the final report for audit purposes. Consequently, PI(s) and Project Directors should retain complete grant files for a minimum of four years (Fiscal Year End + 3) after project termination. After that date, PI(s) may check with ORSP to ascertain whether longer retention is necessary. See University of Houston System Administrative Memorandum 03.H.01, Records Retention, <http://www.uh.edu/af/universityservices/policies/sam/3FiscalAffairs/3H1.pdf>. (Note: the link contains "Fiscal" instead of "Fiscal".)

**OFFICE OF RESEARCH AND SPONSORED PROGRAMS - STAFF RESPONSIBILITIES**

<b>Responsibility</b>	<b>Resource</b>	<b>Telephone 281-283-</b>	<b>E-Mail Address</b>
Policy oversight, IRB, FRSF, Intellectual Property, all grant activities and negotiations	A. Glen Houston, Ph.D., Interim Executive Director	3016	houston@uhcl.edu
Cost analysis and financial reporting, grant account and subcontract maintenance, cost share and subcontract negotiations	Research Admin Accountant II	3018	warnerr@uhcl.edu
Compliance including human and animal subjects, proposal coordination	Marlene Thomas, Department Assistant III	3015	thomasm@uhcl.edu
Proposal development and opportunity research	Lisa White, Grant Development Administrator III	3019	whiteli@uhcl.edu
Proposal development and opportunity research	Erin Haynes, Grant Development Administrator I	2134	haynes@uhcl.edu

**NOTES AND OTHER RESOURCES**

1. UHCL Self-Study SACS Report, Vision 2020, p. 73
2. College and University Business Administration, Fifth Edition, Vol. 3, Deirdre McDonald Greene, Ed., p. 1083
3. "Managing Externally Funded Programs at Colleges and Universities: A Guideline to Good Management Practices," Council on Governmental Relations, November 2001
4. NSF Govt. Performance & Results Act of 1993 (GPRA) Strategic Plan 2001-2006
5. NSF Merit Review Criteria: <http://www.nsf.gov/pubs/2002/nsf022/bicexamples.pdf>
6. NSF Grant Policy Guide: <http://www.nsf.gov/pubs/ods/getpub.cfm?gpg>
7. NIH Grants Policy Statement: <http://grants1.nih.gov/grants/policy/policy.htm>
8. US Department of Education:  
<http://www.ed.gov/about/priorities.jsp>  
<http://www.ed.gov/pubs/planrpts.html>
9. UH System Administrative Memorandum 02.A.24, Secs.2.2 and 3.2.

## APPENDIX A - FREQUENTLY ASKED QUESTIONS (FAQs)

1. How do I obtain a copy of an RFP from the Department of Education?  
<http://www.ed.gov/offices/OCFO/contracts/request.html>
2. How do I find out about priorities of the Federal granting agencies? Government Performance and Results Act [http://www1.od.nih.gov/ORSP/ORSPp/gpra/gpra\\_contacts.htm](http://www1.od.nih.gov/ORSP/ORSPp/gpra/gpra_contacts.htm)
3. What are the rules about keeping archival records?
  - A. University of Houston System, Administrative Memorandum 03.H.01, Records Retention  
[http://www.uh.edu/sam/AM/Am\\_03h01.htm](http://www.uh.edu/sam/AM/Am_03h01.htm)
  - B. How do I look up rules about records retention? [http://www.uh.edu/sam/AM/Am\\_03h01.htm](http://www.uh.edu/sam/AM/Am_03h01.htm)
4. What are the resources for ethical considerations such as research integrity and conflict of interest?
  - A. Office of Research Integrity: <http://www.ori.hhs.gov/>
  - B. University of Houston Board of Regents: <http://www.uhsa.uh.edu/uhs13600.htm>
  - C. University of Houston System: [http://www.uh.edu/sam/AM/AM\\_02a29.htm](http://www.uh.edu/sam/AM/AM_02a29.htm)
  - D. UHCL Faculty Handbook: <http://b3308-adm.cl.uh.edu/PolicyProcedures/Policy.html>
  - E. National Institutes of Health, Financial Conflicts of Interest and Research Objectivity: Issues for Investigators and Institutional Review Boards (6/5/00): <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-00-040.html>
  - F. NIH Bioethics: <http://www.nih.gov/sigs/bioethics/>
5. If I am planning a research project involving human subjects, what do I need to know?
  - A. [DHHS Human Subjects Site](#) - Office for Human Subject Protections (OHRP)
  - B. Office of Human Research Protections, Policy Guidance, 45 CFR 46 ("Common Rule"): <http://ohrp.osophs.dhhs.gov/humansubjects/guidance/45cfr46.htm>
  - C. Nuremberg Code: <http://ohsr.od.nih.gov/nuremberg.php3>
  - D. Belmont Report: <http://ohrp.osophs.dhhs.gov/humansubjects/guidance/belmont.htm>
  - E. World Medical Association Declaration of Helsinki: <http://www.wma.net/e/policy/b3.htm>
  - F. Bioethics Resources on the Web: <http://www.nih.gov/sigs/bioethics/IRB.html>
  - G. UHCL Committee for Human Subjects Protections provisions
  - H. National Library of Medicine Current Bibliographies: "Ethical Issues in Research Involving Human Participants": [http://www.nlm.nih.gov/pubs/cbm/hum\\_exp.html](http://www.nlm.nih.gov/pubs/cbm/hum_exp.html)
  - I. National Institutes of Health, Required Education in the Protection of Human Subject Participants, Notice OD-00-039 (June 5, 2000 - Revised August 25, 2000): <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-00-039.html>
6. What are some recommended human research protections educational resources?
7. National Institutes of Health, Office of Extramural Research, Frequently Asked Questions for the Requirement for Education on the Protection of Human Subjects (9/24/02):  
[http://grants.nih.gov/grants/policy/hs\\_educ\\_faq.htm](http://grants.nih.gov/grants/policy/hs_educ_faq.htm)
8. University of Texas Office of Research Support & Compliance (Parts I and II): The University of Texas at Austin Institutional Review Board has provided its human subjects manual on the UT-Austin website at <http://www.utexas.edu/research/rsc/humanresearch/>. Review of this material also meets the educational requirements mandated by the new NIH policy.

9. NIH Computer Based Training for Researchers: <http://ohsr.od.nih.gov/cbt>
10. Office of Human Research Protections, Educational Materials: <http://ohrp.osophs.dhhs.gov/educmat.htm>
11. What do I need to know about laboratory animal welfare policies, resources and forms?
  - A. Animal Welfare Act and Regulations, US Department of Agriculture, Animal Welfare Information Center: <http://www.nal.usda.gov/awic/legislat/usdaleg1.htm>
12. National Institutes of Health, Office of Laboratory Animal Welfare (OLAW): <http://www.grants.nih.gov/grants/olaw/olaw.htm>
13. Institutional Animal Use and Care Committees: <http://www.iacuc.org/>
14. University of Houston ACO: [http://www.research.uh.edu/ocg/Preaward/Animal\\_Care\\_Operations/aco.html](http://www.research.uh.edu/ocg/Preaward/Animal_Care_Operations/aco.html)
15. Protocol Application Forms: [http://www.research.uh.edu/ocg/OCG\\_InstFundResProg.htm](http://www.research.uh.edu/ocg/OCG_InstFundResProg.htm)
16. What is the support source called Faculty Research and Support Funds (FRSF)? See proposal submittal procedures following.
17. What do I need to know about intellectual property? <http://www.uh.edu/sam/AM/01E01.htm> and <http://www.uhsa.uh.edu/uhs13200.htm>
18. What's in the System Administrative Manual (SAM) Directory? <http://www.uhsa.uh.edu/uhs24000.htm>
19. Where do I look for information of the University of Houston Board of Regents?  
<http://www.uhsa.uh.edu/regents/faq.html>  
<http://www.uhsa.uh.edu/regents/policy/asa.html>
20. Where would I search for agency program solicitations?
  - A. Department of Education <http://www.ed.gov/pubs/KnowAbtGrants/>
21. HHS Roadmap for Grants
22. HHS Funding Opportunities
  - A. National Institutes of Health: <http://grants1.nih.gov/grants/funding/funding.htm>
  - B. National Science Foundation: <http://www.nsf.gov/home/grants.htm>
  - C. Texas Higher Education Coordinating Board: <http://www.thecb.state.tx.us/Research>
  - D. Welch Foundation: <http://www.welch1.org/>
  - E. Community of Science (COS): <http://www.cos.com/>
  - F. Community Foundations Grantsmakers Listing: <http://www.foundations.org/grantmakers.html>
  - G. Society of Research Administrators: <http://www.srainternational.org/newweb/grantsweb/index.cfm>
  - H. Grants Net: <http://www.grantsnet.org/>

**APPENDIX B - FACULTY RESEARCH AND SUPPORT FUNDS (FRSF) ELECTRONIC SUBMITTAL PROCEDURES****1. REQUEST DEAN'S SUPPORT**

The Investigator should send one email, with the FRSF proposal and vita attached, to the Dean of the faculty member's college requesting project support. Please copy the Office of Research and Sponsored Programs (ORSP), [devino@uhcl.edu](mailto:devino@uhcl.edu), on this email. ORSP will acknowledge receipt of the proposal and vita. (A copy to the Dean's Secretary is also strongly advised.)

**2. COMPLETED SUBMISSION**

The Dean's support email should be sent to ORSP, [sponsoredprograms@uhcl.edu](mailto:sponsoredprograms@uhcl.edu), by 5 p.m. on the last day of the FRSF cycle. The dean's support will be electronically acknowledged. The submittal process is now complete.

A. The Dean's support will be electronically acknowledged upon receipt.

B. Both the faculty member's email proposal and the Dean's recommendation of support MUST BE RECEIVED PRIOR to 5 pm on the due date for the FRSF cycle.

**3. PROPOSALS TO COMMITTEE**

ORSP will send the proposal, vita and Dean's support to each FRSF committee member for review and consideration after the end of the cycle.

**4. COMMITTEE'S DECISION**

The FRSF committee will meet after that cycle's deadline to discuss all proposals. Faculty submitters will be notified after that cycle's FRSF committee meeting of their proposal's status via email from the Office of Research and Sponsored Programs with a copy to their College's Dean.

**5. ACCEPTANCE TO TERMS AND CONDITIONS OF AWARD**

Faculty members who are funded are to forward an email to [thomasm@uhcl.edu](mailto:thomasm@uhcl.edu) (Marlene Thomas), stating acceptance to the terms and conditions specified in the award email. Once the email of acceptance is received by the Office of Research and Sponsored Programs, the cost center and funding oversight process will be established.

## APPENDIX C – DISTRIBUTION OF IDC FUNDS

Indirect Costs (IDC), also known as Facilities and Administration (F&A) rates, is a negotiated rate with the Department of Health and Human Services (DHHS). State policy provides that earned indirect costs (IDC) be retained by state colleges and universities. The redistribution of these funds across campus is at the sole discretion of the University President. The recovered IDC can be distributed to various divisions including the PI, based upon a negotiated formula developed by the VP of Administration and Finance and the Senior VP for Academic Affairs and Provost and approved by the President (See [UHCL Research and Sponsored Program Administration Policy](#)). These guidelines provide the distribution formula for recovered IDC.

### **Formula of Distribution:**

- A. Single PI: When only one academic department and college is involved in the project, the indirect funds returned to the generating unit will follow the following formula:
  1. ORSP: 55%
  2. Faculty Research Support Fund: 17%
  3. Admin and Finance: 8%
  4. Dean of College: 5%
  5. PI: 15%
  
- B. Multiple PI across multiple departments and or colleges: When multiple academic departments and colleges are involved on a project, each unit will receive a portion of the IDC based on participation of the PIs with the distribution identified in Cayuse. In these instances, the following formula will be followed:
  1. ORSP: 55%
  2. Faculty Research Support Fund: 17%
  3. Admin and Finance: 8%
  4. Dean of College: 5% (split between colleges based on distribution identified before proposal submission)
  5. PI: 15% (split between PIs based on distribution identified before proposal submission)
  
- C. When a University Level Center/Institute (ULCI) or a non-academic unit is involved in a sponsored project, the unit will be included in the distribution of the IDC similar to the college and PI distribution with the college portion being returned to the VP that the ULCI or non-academic unit of the PI.
  1. In the case where the PI is staff in a ULCI or non-academic unit, the distribution formula will be:
    - a. ORSP: 55%
    - b. Faculty Research Support Fund: 17%
    - c. Admin and Finance: 8%
    - d. VP of ULCI/non-academic unit: 5%
    - e. PI: 15%



2. For multiple PIs:
  - a. ORSP: 55%
  - b. Faculty Research Support Fund: 17%
  - c. Admin and Finance: 8%
  - d. Dean of academic unit/ VP of ULCL/non-academic unit: 5% (split between colleges based on distribution identified before proposal submission)
  - e. PI: 15% (split between colleges based on distribution identified before proposal submission)

**Usage:**

- A. All cost centers related to sponsored projects will have an allocation table set up in PeopleSoft that follows the distribution scenarios outlined above.
- B. For recovered IDC splits:
  - During the pre-award stage of proposal development, an agreement on the split of the recovered IDC will be reached and submitted as part of the pre-award proposal package. Upon awarding of the grant or contract, this document will be used to set up the allocation table in PeopleSoft.

**Procedure for changing the IDC distribution formula:**

- A. Every three (3) years the VP of Administration and Finance and the Senior VP for Academic Affairs will review the distribution formula and either renew the formula or discuss and agree to changes in the distribution formulas.
  - Any changes to the distribution formula must be reviewed for budgetary impact to all units affected by the purposed formula
- B. If the Dean or VP of the ULCL/non-academic unit wishes to transfer their portion of the distribution to another unit, a memo will be generated justifying the transfer for a specified time period and will be signed by both parties which will be shared with ORSP. Once the memo is received, the allocation table in PeopleSoft related to the IDC distribution will be updated to reflect the agreement. The memo may be reviewed each fiscal year or updated as needed.

**IDC Distribution Agreements:**

Please note that the formula for IDC distribution discussed above is reflected in the PeopleSoft IDC allocation table. Any agreements or memos that adjust this formula will either be housed in Cayuse as part of the proposal development process described above or part of the post-award record in Cayuse. UHCL utilizes a federally negotiated rate that is detailed on the Office of Research and Sponsored Programs' webpage ([F&A rates](#)). UHCL's current federally negotiated rates are 16% for off-campus and 50% for on-campus projects.