

UNIVERSITY of HOUSTON
MANUAL OF ADMINISTRATIVE POLICIES AND PROCEDURES

SECTION: Research
AREA: Office of Contracts and Grants

Number: 08.01.01

SUBJECT: Sponsored Research Activities

I. PURPOSE AND SCOPE

Research is a fundamental mission of the University of Houston. The University of Houston's research program is designed to encourage the production of new knowledge, resulting in the enhancement of teaching and training students, and the development of new applications that directly impact the economy of Houston and the state of Texas. Oversight of processes for obtaining sponsored (extramural) research funding and adherence to sponsor guidelines is the responsibility of the Office of Contracts and Grants (OCG).

This document assigns responsibilities and assists University personnel in complying with sponsored research requirements.

II. POLICY

- A. The University is responsible for complying with sponsor regulations, including any and all regulations promulgated by federal and state funding agencies and associated legislative bodies. The University shall enact policies, as are necessary and proper, to comply with such regulations, including those related to [financial and other conflicts of interest](#) and requirements to ensure a tobacco-free workplace in locations where sponsor-funded research is conducted.
- B. The primary responsibility of the Office of Contracts and Grants (OCG) is to ensure compliance with all applicable regulations. OCG is also responsible for promulgating [guidelines](#) to help ensure compliance with these regulations and providing training for the UH Research Administration Certification Program.
- C. Each college, department and unit business administrator must ensure compliance with OCG guidelines and obtain certification through the [University of Houston Research Administration Certification Program \(RACP\)](#). OCG will notify principal investigators, department chairs, deans, division heads, and the Senior Vice President for Academic Affairs and Provost of any instances of non-compliance with OCG Guidelines, as appropriate.
- D. In the event the university expends funds on the basis of an award and those funds cannot be collected, the expenses will be reallocated to the department responsible for the non-collection. If the non-collection is caused by failure to complete a project or not comply with the terms of the award, the responsible department will be the principal investigator's academic or research unit. If the Principal Investigator is not found to be accountable for the deficit, the University reserves the right to take action against the sponsor to recover the debt. Actions against the sponsor may include, but are not limited to: suspension of the agreement, legal actions, sanctions and/or penalties authorized by senior management and disqualification of the sponsor from doing any future work with the University.

- E. Effort reporting is required on all federal and federal flow-thru awards and awards with cost-shared effort. University procedures for reporting time and effort are located on the [OCG web site](#). OCG is responsible for implementing a monitoring process to ensure that departments comply with time and effort reporting requirements. Failure to comply with time and effort reporting requirements may result in repayment of funds and the inability to secure future funding for sponsored projects. Any repayment will be funded by the department which failed to comply with the effort reporting requirement. OCG is responsible for notifying the appropriate University authority when personnel are non-compliant with these requirements.

- F. The principal investigator is responsible for ensuring that all regulatory compliance approvals (human subjects, animal care and use, conflict of interest, biological and radiation safety) are in place. The Office of Research Policies, Compliance, and Committees conducts a congruency review of these items with a direct comparison to the sponsored project documentation prior to the release of research funds.

III. REVIEW AND RESPONSIBILITY

Responsible Party: Executive Director, Office of Contracts and Grants

Review: Every three years on or before January 31

IV. APPROVAL

Ramanan Krishnamoorti

Interim Vice President for Research and Technology Transfer

Renu Khator

President

Date of President's Approval: February 10, 2017

REVISION LOG

Revision Number	Approved Date	Description of Changes
1	08/05/2004	Initial version
2	06/05/2012	Applied revised MAPP template and added new Revision Log. Added information to Section II.A on complying with all regulations from state and federal funding agencies. Added hyperlinks where appropriate. Changed the title for the VC from Research and Intellectual Property Management to Research and Technology Transfer
Interim	08/24/2012	Interim release based on SAO Audit related to the National Research University Fund. Added Section II.D on reallocation of expenses and responsibilities based on non-collection of funds. Added Section II.E on time and effort reporting compliance and monitoring; noncompliance may result in repayment of funds and the inability to receive funding for future sponsored projects
3	04/19/2013	Review cycle to remove "Interim" designation from MAPP 08.01.01. Added information to Section II.A concerning the Cancer Prevention Research Institute of Texas (CPRIT) requirements to provide a tobacco-free workplace for sponsored-funded research locations. Added information to Section II.D regarding the University contacting the sponsor concerning responsibility for debts
4	02/10/2017	Added Section II.F on Principal Investigator responsibilities for regulatory compliance approvals. Added link to Research Administration Certification Program (RACP) in Section II.C. Updated responsible party's title