Welcome to UH Research & Innovation
The University of Houston is on the move
Total Research Expenditures Increasing

<table>
<thead>
<tr>
<th>Millions</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17</th>
<th>FY18</th>
<th>FY19</th>
<th>FY20</th>
<th>FY21</th>
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<tbody>
<tr>
<td>$0</td>
<td>$114</td>
<td>$116</td>
<td>$131</td>
<td>$141</td>
<td>$151</td>
<td>$162</td>
<td>$169</td>
<td>$177</td>
<td>$195</td>
<td>$201</td>
<td>$203</td>
</tr>
</tbody>
</table>

University of Houston
Division of Research
Licensing Income Grew

*In FY19 there was a settlement of ~$15M that is not reflected in the graph*
UH has Eight National Centers

- Advanced Superconductor Manufacturing Institute (ASMI)
- Subsea Systems Institute (SSI)
- Pre-existing Texas Center for Learning Disabilities (TCLD)
- National Center for Airborne Laser Mapping (NCALM)
- Center for Integrated Catalysis (CIC)
- Borders, Trade and Immigration Institute (BTI)
- CENTER for Addictions Research and Cancer Prevention (RCMI)
- Center for Success of English Learners (CSEL)
National Academy Members

CAREER Award Winners: 70
NAI Members: 22
NAE Members: 15
NAS Members: 4
UH is designated an Innovation and Economic Prosperity University

1 22 79

Top royalty-earning Institution in the U.S. (without a med school) National Academy of Inventors Members Top 100 Global Universities for U.S. Utility Patents
UH is a Carnegie-designated Tier One Public Research University
Institutional Thrusts

- Cyber and Physical Security
- Drug Discovery and Development
- Sustainable Communities and Infrastructure
- Accessible Healthcare
- Energy Security and Transition

Research Tools
- Data
- Imaging
- Automation
- Materials
- Advanced Manufacturing
Presidential Frontiers Faculty

Building a Top 50 National Public Research University
Research Preeminence

The UH Strategy: GOAL

Significant growth of UH’s research enterprise to achieve parity with top 50 national public universities in federal research priorities aligned with societal challenges

Historic Moment for UH Research

Confluence of
• New UH Strategy
• UH Research Priorities
• Federal Research Priorities
We are here to help

Dr. Claudia Neuhauser
Associate VC/Associate VP for Research and Technology Transfer
Mission

To effectively and professionally serve the research community at UH and to lead the university in creating, managing and propagating institutional research priorities.
Division of Research

- Pre-Award
- Post-Award
- Research Financial Services
- Office of Contracts & Grants
- Technology Transfer and Innovation
- Research Integrity & Oversight
- Communications
- Animal Care Operations
- Business Operations
- Data & Assessment
- HEALTH
- TcSUH
- TIMES
- DSI
- HuRRI
- CCME
- DDI
- AMI
The Division of Research supports faculty to:

- Discover Funding Opportunities
- Prepare a Proposal
- Manage Grants and Contracts
- Comply with Federal Regulations
- File a Patent or Copyright
- Patent or License Technology
- Launch a Startup
Research Operations

- **Contracts & Grants**
  - Pre-Award
  - Post-Award
  - Finance

- **Research Integrity**
  - Human Subjects Research
  - Animal Research
  - Conflict of Interest

- **Animal Care**
  - Two Animal Care Facilities
Technology Transfer & Innovation

**INTELLECTUAL PROPERTY**
- Patents
- Licensing

**INNOVATION & PARTNERSHIPS**
- Startups
- Venture Funds
- Innovation Center & Labs
Foundational Offices

**BUSINESS OPERATIONS**
- Human Resources
- Budgeting/Accounting
- Research Core Facilities

**COMMUNICATIONS**
- External Visibility
- Internal Engagement

**DATA & ASSESSMENT**
- Analytics & Reporting
- Research Information Team/IT
Faculty Resources
Internal Awards Programs

- Small Grants: $90,000
- New Faculty Research: $150,000
- GEAR: $250,000
- Excellence in Research and Scholarship: $50,000
- Equipment Grants: $1M
- Bridge Funds: $300,000
- National Center Planning: $1M
- Seed Grants: $420,000
- Lab Renovation/New Lab Grants: $500,000

Faculty Programs Total: $3,760,000
Faculty Café: University Research Explained
# Fall Faculty Café Schedule

<table>
<thead>
<tr>
<th>Session Topic</th>
<th>Date</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Getting Setup in Pivot &amp; Grant Forward</td>
<td>Thursday, September 30</td>
<td>11 a.m.-Noon</td>
</tr>
<tr>
<td>New Faculty: Intro to Internal Awards</td>
<td>Tuesday, October 5</td>
<td>12 p.m.-1 p.m.</td>
</tr>
<tr>
<td>Data Management Best Practices for UH Researchers</td>
<td>TBD</td>
<td>11 a.m.-Noon</td>
</tr>
<tr>
<td>Research Congruency</td>
<td>Thursday, October 7</td>
<td>11 a.m.-Noon</td>
</tr>
<tr>
<td>Master the ICON System to Manage Your IRB</td>
<td>Tuesday, October 12</td>
<td>11 a.m.-Noon</td>
</tr>
<tr>
<td>Internal Awards: How to be Successful</td>
<td>Wednesday, October 13</td>
<td>11 a.m.-Noon</td>
</tr>
<tr>
<td>Foreign Influence and Export Controls</td>
<td>Tuesday, October 19</td>
<td>11 a.m.-Noon</td>
</tr>
<tr>
<td>Using Metrics to Communicate your Impact</td>
<td>Wednesday, October 20</td>
<td>11 a.m.-Noon</td>
</tr>
<tr>
<td>Mastering the Craft of Research</td>
<td>Wednesday, October 27</td>
<td>12 p.m.-1 p.m.</td>
</tr>
<tr>
<td>Effort Reporting</td>
<td>Thursday, October 28</td>
<td>11 a.m.-Noon</td>
</tr>
<tr>
<td>Protecting Your Invention</td>
<td>Tuesday, November 2</td>
<td>11 a.m.-Noon</td>
</tr>
<tr>
<td>Understanding Research COI Disclosures</td>
<td>Thursday, November 4</td>
<td>11 a.m.-Noon</td>
</tr>
<tr>
<td>New Faculty: Learn ICON to Manage Your IRB</td>
<td>Wednesday, November 17</td>
<td>12 p.m.-1 p.m.</td>
</tr>
<tr>
<td>IRB Reliance for Collaborative Studies</td>
<td>Tuesday, November 30</td>
<td>11 a.m.-Noon</td>
</tr>
<tr>
<td>New Faculty: Research Resources: Shared Equipment and Cores</td>
<td>Thursday, December 2</td>
<td>12 p.m.-1 p.m.</td>
</tr>
</tbody>
</table>
Office of Contracts and Grants (OCG)

Overview

Benjamin Mull
Director, Pre-Award
Pre-Award

1. Identify funding opportunities that align with faculty research interests
2. Assist faculty members with proposal preparation
3. Create and route transmittals for institutional approvals
4. Review and submit proposals
5. Coordinate the transfer of incoming faculty awards to UH
1. Review award agreements and accept awards

2. Establish project cost centers for spending

3. Establish sub-award agreements, and monitor sub-recipients

4. Track the submission of technical reports

5. Serve as liaison with sponsors on award management matters
Research Financial Services

1. Review grant expenditures, prepare and submit invoices and financial reports, manage and monitor payments

2. Prepare and submit final financial and non-financial closeout reports to agencies

3. De-obligate and inactivate project cost center at award expiration

4. Coordinate external financial audits

5. Review and approve all payroll corrections related to awards

6. Oversee the UH Effort Reporting certification process
Contract Negotiation and Execution

Review and negotiate monetary and non-monetary agreements related to research

- Sponsored project research agreement with private for-profit and industry organizations
- Confidentiality and/or Non-Disclosure Agreement (NDA)
- Data Use and Software License Agreement
- Equipment Use Agreement
- Material Transfer Agreement
- Other types of research collaboration agreements
PI Transfer In

Overview

• PI informs the existing Institution of desire to transfer the project to the University of Houston (UH) and obtains permission to proceed

• PI contacts the sponsor(s) for approval and instruction to transfer the award to UH

• Existing Institution notifies sponsor(s) of the PI’s pending transfer

• The existing Institution provides sponsor(s) the relinquishing paperwork

• Sponsor sends original Institution revised award document to change the period of performance and de-obligate funds per relinquishing paperwork
Overview

• Original Institution typically has 90 days after the end of the award for closeout

• PI works with the UH department to enroll in the University’s HR System, where an employee ID is established.

• PI works with the department to complete a transmittal routing form based on relinquishing paperwork, which should include the award statement of work and new budget and amount transferred to UH

• Sponsor issues a new award document (Notice of Award) to UH

• UH accepts and sets up the award with a cost center to allow spending
Interim funding is temporary funding provided by the university to mitigate delays in the receipt of sponsor funds. An interim-funded award provides the PI with short-term funding in the same cost center that will be used when the official award is received.

A PI may submit a written request for interim funding on the form provided. The Department or College Dean, Chair, or Department Business Administrator must guarantee in writing that charges posted to the interim-funded cost center will be reallocated to a non-sponsored project research cost center if the award does not materialize.

Projects that involve human subjects or animal care may not be interim funded until approval has been issued by the Committee for the Protection of Human Subjects.
## Central Contract Information

<table>
<thead>
<tr>
<th>Email</th>
<th>Team</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong><a href="mailto:preaward@central.uh.edu">preaward@central.uh.edu</a></strong></td>
<td>OCG Pre-Award Team</td>
</tr>
<tr>
<td><strong><a href="mailto:uhpostaward@uh.edu">uhpostaward@uh.edu</a></strong></td>
<td>OCG Post-Award Team</td>
</tr>
<tr>
<td><strong><a href="mailto:dorbill@central.uh.edu">dorbill@central.uh.edu</a></strong></td>
<td>OCG Billing Team</td>
</tr>
<tr>
<td><strong><a href="mailto:ord@central.uh.edu">ord@central.uh.edu</a></strong></td>
<td>ORD Team - Central email-pre-proposals for Limited Submission opportunities.</td>
</tr>
<tr>
<td><strong><a href="mailto:doreffrt@central.uh.edu">doreffrt@central.uh.edu</a></strong></td>
<td>OCG Post-Award, effort reporting use</td>
</tr>
<tr>
<td><strong><a href="mailto:dorcontracts@listserv.uh.edu">dorcontracts@listserv.uh.edu</a></strong></td>
<td>OCG contracts</td>
</tr>
</tbody>
</table>

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**University of Houston**

**Division of Research**
Main Contact Information

Pre-Award
Benjamin Mull, Ph.D.
Director, Pre-Award & Mjr Proposals
713-743-3711
bbmull@uh.edu

Post-Award
Kelley Christopher
Research Administrator
3713-743-6939
kbchristopher@uh.edu

Research Financial Services
Grace Rosanes
Director, Research Financial Services
713-743-3617
tgrace@uh.edu
Research Integrity and Oversight (RIO)

Overview

Kirstin M. Holzschuh
Executive Director
Research Integrity and Oversight

...is your one stop shop for ethical oversight and compliance review!

- Institutional Review Boards (IRB) – Human Subjects Research
- Institutional Animal Care and Use Committee (IACUC) - Use of animals in research and teaching
- Research Conflict of Interest (rCOI) review
- Responsible Conduct of Research (RCR) compliance/education
- Congruency Review for funded research
- Research Misconduct proceedings
Integrated Compliance Online Network (ICON)

- All submissions for to the IRB, IACUC and COI committees use our online system, ICON
- Automated notifications and reminders
- Easy access to SOPs, checklists, and other tools (Library tab)
- Designed to work with all browsers (check security settings)
IRB and IACUC

- **3 IRBs**, divided by college, fully convened meetings monthly
  - Meeting schedules and deadlines on website
  - Exempt and expedited reviews on a rolling basis
  - Reliance agreements with other IRBs

- **IACUC** – fully convened meetings monthly
  - Meeting schedules and deadlines on website
  - Semiannual Facility Inspections
  - AAALAC Site Visit every 3 years
COI, Congruency, and RCR

rCOI

- Disclosures of financial interests required initially and at time of new award/contract (or at least annually) – rolling due date

Congruency Review (IRB, IACUC, COI, Safety)

- Prior to release of funds

RCR

- Verification of compliance with RCR plans
- Training in all RCR areas – graduate courses, faculty/staff/lab workshops available
Compliance and Customer Service

Research Misconduct and Compliance Investigations

- Allegations must be in good faith
- Fair and unbiased assessments
- Protections against retaliation

Consultations and Customer Service

- Review of IRB, IACUC protocols and rCOI situations prior to submission to minimize turnaround times (upon request)
- Hands-on assistance for students
<table>
<thead>
<tr>
<th>RIO Email Addresses</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>IRB</strong></td>
</tr>
<tr>
<td><a href="mailto:CPHS@central.uh.edu">CPHS@central.uh.edu</a></td>
</tr>
<tr>
<td><strong>IACUC</strong></td>
</tr>
<tr>
<td><a href="mailto:IACUC@central.uh.edu">IACUC@central.uh.edu</a></td>
</tr>
<tr>
<td><strong>rCOI</strong></td>
</tr>
<tr>
<td><a href="mailto:COI@central.uh.edu">COI@central.uh.edu</a></td>
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<td><strong>RCR and research misconduct:</strong></td>
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<tr>
<td><a href="mailto:RCR@central.uh.edu">RCR@central.uh.edu</a></td>
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<tr>
<td><strong>Congruency:</strong></td>
</tr>
<tr>
<td><a href="mailto:GRC@central.uh.edu">GRC@central.uh.edu</a></td>
</tr>
</tbody>
</table>
Animal Care Operations (ACO)
Overview

David Brammer
Executive Director
Animal Care Operations will enhance animal welfare and animal well-being as we promote and support breakthroughs in biomedical research

*Excellence through Continuous Improvement*

- AAALAC accredited
- PHS assurance
- USDA registered and inspected
- Rodents, Primates, and Rabbits
- ABSL1 and ABSL2 facilities
Animal Care Operations

ACO@uh.edu

Training
• CITI or individual species training
• Occupational Health
• Security clearance for area
• Tour of Animal facilities
Welcome to ACO

Animal Care Operations provides professional veterinary medical, husbandry, and proposal review services.
Animal Care Operations

**Separate from IACUC**
Three Core Ventures

Technology Commercialization

Industrial Partnerships

Startup Development
The Technology Commercialization Team supports UH’s research activities through the protection and commercialization of intellectual property generated by UH faculty, staff, and students.

- Engage and educate UH inventors about IP and commercialization at any stage
- Partner with faculty to disclose and file with the USPTO to protect their innovative research
- Identify commercialization opportunities for faculty innovations and technologies
- Provide support & IP expertise to industry collaborations & partnerships
OTA’s Industry Ventures Team support faculty by:

• Building relationships with companies aligned with UH research thrusts
• Identifying and working with faculty interested in partnering with industry
• Structuring strategic relationships around specific research programs

and in collaboration with Office of Contracts & Grants,

• Assist with development and negotiation of industry partnerships and collaborations
• Support the negotiation of scopes of work, financial terms, and IP
The Startup Development Team works to develop a broad range of programs and services to support faculty startups.

**Institutional Collaborations**
Defined pathways for startups and industry partners to engage and collaborate with UH researchers to develop solutions to real world problems facing industry.

**Workshops & Programs**
Creating opportunities for faculty, students, and startups to learn and engage in building knowledge, capacity, and community within the startup ecosystem at UHTE.

**Venture Mentoring**
Mentor network of seasoned professionals and experts providing real world guidance to startups and entrepreneurs.

**Experiential Programs**
Opportunities for students and fellows to get first-hand experience working in the startup ecosystem through internships and fellowships and talent-matching with startup human capital needs.

**Business Support Services**
Onsite business operations resources and experts to assist startups with day-to-day needs.

**Technology Showcases**
Events highlighting new technologies being developed at UH through industry partnerships and collaborations.

**Supporting early-stage companies in moving innovative technologies to the marketplace**
UH Innovation: The Technology Bridge

Hub for translating UH innovation to the real-world commercial marketplace

Building 4 – Innovation Center
Co-Working Space

Building 5 – Incubator Labs
Private & Shared Wet Labs
Getting Connected with OTTI

Find out more at uh.edu/innovation

Check out OTTI’s monthly newsletter “The Connector”

Visit UH’s TechMap (techmap.uh.edu) to learn more about the Houston ecosystem!
Research Administration
Overview
Cris Milligan
AVP for Research Administration
Business Operations

Business Operations provides human resources, financial, and administrative support services for the Division of Research.

For the **Research Community** we provide financial administration of

- Internal Awards
- Research Investments, and
- Faculty Startup Awards

Faculty Startup awards are funded by multiple sources, including your department, college, and the “university,” as indicated in your offer letter. In general, the Division of Research provides the “university” funds.
The DOR Business Operations team provides a Notice of Award that includes a cost center (often referred to as your account) to your academic unit. Your academic unit’s business officer will administer these funds, similar to when you receive an externally-sponsored project.

Our team works collaboratively with your academic unit’s business office to assist with compliance, financial monitoring, and closeout of your faculty startup award.

Detailed information about your Faculty Startup and Internal Awards can be found in the PI WorkCenter located in AccessUH.
The Research Administration office provides oversight to laboratory renovation and construction projects, as well as University Level Core Facilities and large equipment purchases.
Communications
Overview

Lindsay Lewis
Executive Director, Strategic Research
Communications
Connecting with DOR

Websites

www.uh.edu/research
www.uh.edu/innovation

Email

• Operational Announcements
• Events
  • R&I Forum
  • Faculty Café Sessions

Newsletters

• Inside Research – Every Wednesday
• The Big Idea – Every month
• UH Research News (sign up)
• The Connector (sign up)
Data, Assessment & IT (DAIT)

Overview

Mohammad Saklayen
Executive Director

Data = Understanding

“The goal is to turn data into information, and information into insight.” – Carly Fiorina
DAIT Work Areas

Systems Support:
- Hardware & System Software
  - File Server, Email Server,
  - Web Server, Peripheral Server
  - Back Up Server, Database server
Client Support:
- Hardware and Desktop Apps
  - Desktop, Laptop, Smartphone,
  - Peripheral
Network Security:
- Access control
- Authorization

Data Security
Disaster Recovery
Business Continuity

Compliance
Planning Policy

Application Support:
- ICON Sult, PeopleSoft
  - Functional Maintenance
    - Unit Testing
    - Upgrade
    - Troubleshooting
    - Business Process Implementation
    - Access Maintenance
- Spice Works
- SharePoint (Research Module)
- Listservs
- SalesForce
- Data Model Design, Mapping,
  - Testing
  - Data Interface

Data Integrity:
- Validation
- Verification
- Restructure and
  - Realign codes
- Redundancy Control
- Data Synchronization
  - Update

Data Integration
Training
Change Management
S/W, H/W Inventory,
License Management

Analytics and Reporting:
- Ad Hoc Reports
  - Internal Users
  - External Constituents
- National/State/Local Survey, Reports
- Tableau Dashboard
- Executive Reports
- Exception Reports
- System Report
- IDC Distribution
DAIT Organizational Structure

Dr. Amr Elnashai
VC/VP
Research/ Tech Transfer

Mohammad Saklayen
DAIT
Executive Director

Hannah Niven
Exec. Admin. Assistant

Hao Yu
System Admin

Student 1

Ronnel Paladan
USS3

Student 2

System Analyst 3
Vacant

Musse Duale
System Analyst 3

Don Frissell
System Analyst 2
Research Dashboards

- Externally facing with proper authentication
- Analytics on internal data – proposals, awards and expenditure
- Analytics on external data – NSF expenditure
- Parameterized and multi-layer of data
- Visual presentation and data extraction
- Can be accessed through research.uh.edu
Research Dashboards

**Proposals by College**
(College-Department Type: Home, Date Type: Begin Date)

Select a college and click on the link 'Click for Relevant Range' from the popup menu to view the relevant funds requested range. Hover over Fiscal Year and click the '+' or '-' icon to drill up or down.

<table>
<thead>
<tr>
<th>College/Department</th>
<th>FY 2019</th>
<th>FY 2020</th>
</tr>
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<tbody>
<tr>
<td>DEAN, ENGINEERING</td>
<td></td>
<td></td>
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<tr>
<td>DEAN, NATURAL SCIENCE &amp; MATHE</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DEAN, PHARMACY</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DEAN/LIBERAL ARTS &amp; SCI</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DEAN, EDUCATION</td>
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<td></td>
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<tr>
<td>DEAN, TECHNOLOGY</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DEAN, OPTOMETRY</td>
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</tr>
</tbody>
</table>

**Proposal Funds Requested Range**
(Fund Range: All)

To drill up or down, hover over Fiscal Year and click the '+' or '-' icon.

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>FY 2019</th>
<th>FY 2020</th>
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<tbody>
<tr>
<td></td>
<td>12B</td>
<td>12B</td>
</tr>
</tbody>
</table>

Report Time: 8/13/2021 2:57:45 PM

Proposals Submitted:
- FY 2019: 1270
- FY 2020: 1286

Funds Requested:
- FY 2019: $12,041,327
- FY 2020: $73,786,429

University of Houston
Division of Research
Yearly Report/Master Deck of Slides

- Public domain
- Year end summary of the research enterprise
- Comprehensive in nature
- Visual presentation of data only
Yearly Report/Master Deck of Slides

Master Deck of Slides FY20

- Active Projects and Expenditures
- College Awards
- College Proposals
- College Research Expenditures
- Department Research Expenditures
- DOR Centers – FY20 Expenditures
- DOR Centers – FY20 Proposals
- Federal Expenditures
- FY17-FY20 College Research Expenditures
- Grants and Contracts - Assistant Professor
- Texas Universities
- Total Expenditures by Faculty Rank
- Proposal Success
- Total Funds Requested > $1M
- Research Awards - Sources
TO SERVE
the research community, grad students, keeping us compliant, satisfying client requirements, protecting our intellectual and financial interests

TO LEAD
managing the conversations, institutional research priorities, leading the implementation, supporting the broader view of individual and small-group research