

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 that 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 Integrity and Oversight (RIO) 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: Assistant Vice President, Sponsored Research Administration

Review: Every five years

IV. APPROVAL

/Claudia Neuhauser/
Interim Vice President for Research

/Renu Khator/
President

Date of President's Approval: January 18, 2024