

AGENDA
RESEARCH AND SCHOLARSHIP COMMITTEE (RSC) OF THE FACULTY SENATE
September 14, 2012, 1:30-3:00 p.m.

Business

- Chair Welcome—Randy Lee
- Review and Approval of May 4, 2012 Retreat minutes--*document attached*
- Election of Vice Chair
- Announcement of Vacant RSC Positions (CLASS, GCSW, HRM, NSM)

Issues for RSC to Address in 2013:

- **Centers & Institutes**—*document attached*
 - Close defunct centers ASAP
 - Classify all remaining centers by December 1
 - Perform outside reviews of DOR centers
- **Innovation Summit to Advertise UH IP**
 - Seeking major Keynote speaker
- **Rework IDC Redistribution Policy**—Resources & Core Facilities Subcommittee will look at this
- **Increase Efficiency for Core Facilities**
 - UH needs should be identified and supported
 - Cris Milligan—Manage core facilities and work with faculty
 - Need accurate inventory of major equipment/facilities on campus
- **Tuition Waiver Policy**—Implement by September 1?
- **Tobacco Policy Statement in MAPP/SAM**
- **Consortium Policy**—Centers & Institutes Subcommittee will look at this—*document attached*

Assignment of 2013 Subcommittees:

- **Resources & Core Facilities:** Lee, Burns, Fletcher, Harold, Tam
- **Centers & Institutes:** Fletcher, Jacobson, Ogmen, Palmer, Zouridakis
- **Research Excellence Awards:** Dryer, Long, Lopez, Tam, CLASS Position
- **GEAR Program:** Burns, Gunaratne, Lopez, Sharma, Zouridakis
- **New Faculty/Small Grants Program:** Bensaoula, Carrera, Ogmen, GCSW Position, HRM Position
- **Update RSC Bylaws**—*need ad hoc subcommittee (Matt Johnson as Chair?)*
- **Conflict of Interest & Compliance**—*Need Representative (Palmer?)*
- **Intellectual Property**—*Need Representative (NSM Position?)*

Old Business:

- **Tuition Waiver Policy**—update on behalf of Dr. Bose-- *Document attached.*
- **Research Assessment**—Haluk Ogmen

New Business:

- **Approval of dates for internal programs**—*Document attached.*
- **Support of research facilities**—individual labs vs core facilities vs research buildings
- **Balance between strict safety regulations and ability to conduct research**
- **Personal/vacation days while drawing summer salary, related to travel**
- **Consulting**—how many days a week is allowed? *Document attached.*

Adjourn—Next meeting October 19, 2012 from 1:30 to 3:00 p.m.

RETREAT

Present: Matthew Johnson, Wynne Chin, Frederick Lopez, Haluk Ogmen, Michael Harold, James Garson, Jack Fletcher, Janok Bhattacharya, Randall Lee, Gemunu Gunaratne, Alan Burns, Vincent Tam, Ray Cline, Abdelhak Bensaoula, Stuart Long, Dmitri Litvinov, Rathindra Bose, Anne Sherman, Brooke Gowl, Selesta Hodge, Cris Milligan, Maribel Salazar, and Christie Peters.

Absent: Pradeep Sharma, Stowe Shoemaker, Chinhui Juhn, Robert Palmer, and Coleen Carlson.

The meeting was called to order by the Chair at 8:30 a.m.

Review and approval of minutes from April 13, 2012 meeting: Dr. Lee made a motion to approve the April minutes and Dr. Ogmen seconded. The motion carried.

2012-2013 Meeting Dates were noted and passed out to all. Anne Sherman will send a meeting request to all for the proposed dates. Cris Milligan indicated that the meeting times should be changed so that Dr. Bose can attend. Anne will work with Dr. Bose and his staff to finalize before the meeting requests are sent out to the members.

Election of Center/Institute Member This discussion was led by Dr. Litvinov, who brought up the issues. Does the RSC allow the representative to be elected by just the 12 DOR centers or by the entire faculty? Dr. Garson suggested a straw poll, which indicated that the majority believed it should go to the full faculty with the caveat that this first election be a one-year term and that the RSC would “hash it out” during the coming year. After the straw poll and discussion, Dr. Lee made the motion, which was seconded by Dr. Chin, that the representative be elected by the general faculty and have a one-year term. This motion passed.

Chair Report: Dr. Bhattacharya reported that the RSC has completed a lot of business this year and that the coming year will be challenging. Dr. Bose will address these challenges for which he needs the RSC support. Dr. Bhattacharya is Chair of the search committee for the Associate Vice President for Research, and there are 4 interviews currently being set up.

Vice Chancellor/Vice President Report:

1. Dr. Bose thanked all of the RSC for working with him this year on the challenges and issues and reported that he is ready to move forward with the research agenda.
2. He knew when he interviewed for the position that UH did not have a complete infrastructure and that resources were limited. His agenda is to provide the needed resources to the best of his ability. He stated that we need to collectively defend the processes that have been established.
3. The biggest challenge for the coming year will be the Federal Audit that starts in September, 2012, under OMB Circular A-133. He reported that two weeks ago the State Audit Office looked at our records and that our effort reports had to be brought up to date for this audit. We were vulnerable and his staff helped to get caught up, specifically Beverly Rymer, Selesta Hodge, and Nancy Ward. There were no major findings, as a result of this effort.

The Federal Audit is a different matter. The state audit covered FY 2010 and FY 2011, but for the federal audit, we must get FY 2012 caught up. The result of not being ready is a stiff fine. Therefore, this is his first and major priority for this summer. Effort reporting affects all funding sources because it is important to record a faculty member's total commitment, if he/she is charged to a federal project.

4. Regarding a permanent fix, we are in the process of licensing and installing three major programs: PeopleSoft Grants for Post-award, InfoEd for Pre-award, and Maximus for effort reporting. The challenge will be that we will be running dual systems for all three of these areas until we are comfortable that the three new ones are ready to go on their own.
5. Because of this important emphasis, the tuition waiver policy may be delayed. The original goal was to have it in place by August 31, 2012. He will continue to work on it, but it may be delayed as much as one year.

Centers and Institutes: Jack Fletcher, Stowe Shoemaker, Haluk Ogmen, Brooke Gowl, and Cris Milligan. Dr. Ogmen reported that the members had reviewed the information on the three centers and that they had received an application for a new center. The committee will meet soon to discuss this information, so that the responses can go forward to Dr. Bose. The new application is for a college based center and if there are no major issues, it should go forward for approval. This is a good example to use as a model for the future approval process. For some of the centers/institutes, Dr. Fletcher suggested that a charge-back mechanism should be considered by the subcommittee.

Stowe Shoemaker is leaving the university and will need to be replaced on the subcommittee. Cris Milligan asked for an alternate, in addition to filling Dr. Shoemaker's place on the subcommittee. Dr. Gunaratne volunteered to be the replacement.

The Chancellor has asked Dr. Bose to revise the MAPP on Centers and Institutes by 12/31/2012. This revision will include information on who is responsible for the center/institute and how one can be closed if there is either inactivity or if there is no return on investment.

Dr. Lee suggested the following:

1. Need clear definitions of center/institute under departments, colleges, and the University.
2. Need to categorize all of the current ones based on these definitions.
3. Establish a "closing" policy.
4. Close defunct centers/institutes.
5. Require report cards from all centers/institutes.
6. Review centers/institutes as requested by department, college, or University (DOR).

Dr. Litvinov made a motion and it was seconded by Dr. Lee to close down centers/institutes that have not had any activity within the past 5 years in consultation with the "owner" and to remove them from the UH website. The motion passed.

Core Facilities: Dr. Lee indicated that the request for proposals had been presented to the Faculty Senate and there was a question about requests for less than \$400K. Dr. Bose indicated that the RSC needed to develop a process which DOR can use for these requests, one that does not micromanage.

Tuition Support for Graduate Students: See Vice Chancellor/Vice President report.

Internal Awards: Dr. Garson and Dr. Tam reviewed the awards that had been made during the year. A copy of the awards funded is attached to these minutes. Regarding the GEAR awards, we have received complaints that PIS did not know what the selection process was and if they had known, they might have written their proposal differently. All agreed that the process should have been communicated. The second issue is that more funding is needed for these awards. For GEAR, we had 78 proposals and only funded 11. There was discussion about the GEAR and how it could be restructured. During the discussion, it was noted that some of the award winners had significant start-up packages and perhaps should be restricted from receiving a GEAR. Dr. Bose noted that the start-up packages now require a detailed budget so that it will be easier to see what was awarded; PIs will be asked to give more justification in their Internal Award proposals. Dr. Bose also noted that he has asked Dr. John Roberts for a plan on how he would administer \$50,000 for publication for humanities faculty. This is in addition to the amount awarded for internal grants, and he is waiting for this plan from Dr. Roberts. Dr. Bose also pledged to work harder to identify additional funds for these awards.

Potential changes for next year: Regarding the process, all agreed that it needs to be more transparent next year. Also, the RSC can just set one deadline for proposals and let the colleges create their own internal deadlines. Feedback from the RSC can be done by sending notes taken during the selection process. All agreed that the proposal writer needs to know if non-experts will be reviewing the proposal. Dr. Bhattacharya will send an email to all of the 13 that were not awarded. There was discussion about restricting a PI from only applying for one program a year. For all of the awards, there will be language added regarding start-up funding. If you have start-up funding, you must provide additional justifications for the request. For small grants, you must provide additional justifications if you have had start-up funding within the last 3 years. Dr. Garson made a motion to accept all of these changes, Dr. Lee seconded, and the motion passed.

Research Space Allocation: At the April 13, 2012 RSC meeting, Dr. Lee suggested that the RSC adopt a motion to require the Provost to vet their findings on space through the RSC.

Dr. Bose indicated that he is working with Administration and Finance regarding the charging of ERP rent to faculty. This is a big audit issue that needs to be resolved.

Vice Chair Moves to Chair for 2013: Dr. Bhattacharya welcomed Dr. Randy Lee as the new Chair for the RSC beginning 9/1/2012. A new Vice Chair will need to be elected at the September, 2012, RSC meeting. Dr. Lee asked all to begin thinking about taking this position.

TARU Data Presentation: Dr. Ogmen gave a presentation for TARU Data. Dr. Bhattacharya suggested that this presentation be given to the Faculty Senate and put on our website.

New Business for 2013: Bylaws for the RSC.

Retreat adjourned at 12:00 noon.

DOR CENTERS		
DOR CENTER NAME	DIRECTOR'S NAME	DIRECTOR REPORTS TO:
Biology of Behavior Institute	Dr. Gregg Roman	Dr. Rathindra Bose, Vice Chancellor/VP for Research and Technology Transfer
Center for Advanced Materials	Dr. Alex Ignatiev	Dr. Rathindra Bose, Vice Chancellor/VP for Research and Technology Transfer
Center for BioMedical and Environmental Genomics	Dr. Yuriy Fofanov	Dr. Rathindra Bose, Vice Chancellor/VP for Research and Technology Transfer
Center for Neuromotor & Biomechanics Research	Dr. William Paloski	Dr. Rathindra Bose, Vice Chancellor/VP for Research and Technology Transfer
Houston Coastal Center	Dr. Steve Pennings	Dr. Rathindra Bose, Vice Chancellor/VP for Research and Technology Transfer
Institute for Molecular Design	Dr. James Briggs Scott Gilbertson	Dr. Rathindra Bose, Vice Chancellor/VP for Research and Technology Transfer
Institute for NanoEnergy	Dr. Seamus Curran	Dr. Rathindra Bose, Vice Chancellor/VP for Research and Technology Transfer
Texas Center for Superconductivity at the University of Houston	Dr. Allan Jacobson	Dr. Rathindra Bose, Vice Chancellor/VP for Research and Technology Transfer
Texas Institute for Measurement, Evaluation, and Statistics	Dr. David Francis	Dr. Rathindra Bose, Vice Chancellor/VP for Research and Technology Transfer
Texas Learning and Computation Center	Dr. Barbara Chapman	Dr. Rathindra Bose, Vice Chancellor/VP for Research and Technology Transfer
Texas Obesity Research Center	Dr. Rebecca Lee	Dr. Rathindra Bose, Vice Chancellor/VP for Research and Technology Transfer

COLLEGE CENTERS				
College	Center Name	Contact	Currently Active?	Notes/Activity
Architecture	Sasakawa International Center for Space Architecture	Dr. Larry Bell	Yes	Website is updated periodically
Business	Information System Research Center	Dr. Everette Gardner	No	
Business	Institute for Diversity and Cross-Cultural Management	Prof. George Gamble	Yes	Being restructured; website is updated
Business	Institute for Health Care Marketing	Dr. Partha Krishnamurthy	Yes	Website is up to date
CLASS	Center for Public History	Dr. Martin Melosi	Yes	Website currently being updated
CLASS	Center for Forensic Psychology	Dr. John Vincent	Yes	Not listed on DOR website
CLASS	Hobby Center for Public Policy	Dr. Jim Granato	Yes	Not listed on DOR website
CLASS	Center for Immigration Research	Dr. Jessica Brown	Yes	Not listed on DOR website
CLASS	Center for International and Comparative Studies	Mr. Ryan Kennedy	Yes	Not listed on DOR website
CLASS	Women's, Gender & Sexuality Studies	Dr. Elizabeth Gregory	Yes	Not listed on DOR website
CLASS	Center for Mexican American Studies	Dr. Tatcho Mindiola	Yes	Not listed on DOR website
CLASS	Center for the Americas	Dr. Lois Parkinson Zamora & Dr. Susan Kellogg	Yes	
CLASS	Center for the Study of African American Culture	Dr. James Conyers	Yes	
CLASS	International Telecommunications Research Institute	Dr. Fred Schiff	Yes	No website
CLASS HHP	Center for Neuromotor and Biomechanics Research Center	Dr. William Paloski	Yes	Needs to be updated
Education	Asian American Studies Center	Dr. Yali Zou	Yes	Website currently being updated
Education	All Kids Alliance	Dr. Robert Wimpelberg		Not listed on DOR Website

Education	Center for Gifted and Talented Education	Dr. Theresa Monaco	Yes	Links to Dr. Monaco's webpage
Education	Consistency Management & Cooperative Discipline (CMCD)	Dr. H. Jerome Freiberg		"We have not been currently or in the past a center or institute."
Education	Houston Area Teacher Center (HATC)	Dr. Allen Warner	Yes	This is a service center and not a research center. Website is up to date.
Education	Institute for Urban Education	Dr. Robert Houston	Yes	No website
Education	National Center for Student Success	Dr. Catherine Horn	No	Director left UH
Education	Urban-Talent Research Institute	Dr. Richard Olenchak		no response
Engineering	Center for Innovative Grouting Materials and Technology	Dr. C. Vipulanandan		no response
Engineering	National Center for Airborne Laser Mapping	Dr. Ramesh Shresta	Yes	Not listed on DOR Website
Engineering	Center for Electromagnetic Compatibility	Dr. Ji Chen	Yes	Not listed on DOR Website
Engineering	Texas Diesel Testing & Research Center	tbd	Yes	Not listed on DOR Website
Engineering	Center for Neuro-Engineering and Cognitive Sciences	Dr. Haluk Ogmen Exec Dir Dr. Anne Jacobson, Dir	Yes	Website currently being updated
Engineering	Center for Reliability of Ceramics	Dr. K.W. White	No	Website outdated
Engineering	Composites Engineering & Applications Center for Petroleum Exploration & Production	Dr. Su Su Wang		no response
Engineering	Center for Integrated Bio and Nano Systems	Dr. Dmitri Litvinov	Yes	Website is up to date
Engineering	Southwest Public Safety Technology Center	Dr. Shin-Shem Steven Pei		

Engineering	University Research, Engineering and Technology Institute for Intelligent Bio-Nano Materials and Structures for Aerospace Vehicles	Dr. Karolos Grigoriadis	No	Remove from list
Graduate College of Social Work	Center for Drug and Social Policy Research	Dr. Patrick Bordnick	Yes	Website Updated August 2011, Created under the UH Drug Abuse Research Dev
Graduate College of Social Work	Child & Family Center for Innovative Research	Dr. Patrick Bordnick	Yes	Website updated annually
Hilton Rest Mgt	American Hotel & Lodging Association (AH&LA) Information Center	Ms. Lydia Westbrook	Yes	Website updated periodically
Hilton Rest Mgt	Gaming Education and Research Institute (GERI)	Mr. Jim Wortman	Yes	Needs to be updated
Hilton Rest Mgt	Hospitality Industry Diversity Institute (HIDI)	Dean John Bowen	No	Disbanded by the college
Hilton Rest Mgt	Hospitality Financial and Technology Professionals (HFTP) Research Institute	Ms. Tanya Venegas	Yes	Website updated annually
Hilton Rest Mgt	Wine & Spirits Management Institute (W&SMI)	Dr. Glenn Cordua y Cruz	Yes	Website updated regularly
Law Center	AA White Dispute Resolution Center	Ben Sheppard		no response
Law Center	Blakely Advocacy Institute	Jim Lawrence	Yes	Website updated periodically
Law Center	Center for Children, Law & Policy	Ellen Marrus	Yes	Just updated website
Law Center	Center for Consumer Law	Richard M. Alderman	Yes	no response
Law Center	Center for U.S. and Mexican Law	Dr. James Conyers	Yes	Website updated monthly
Law Center	Criminal Justice Institute (CJI)	Sandra Guerra Thompson	Yes	Website updated annually

Law Center	Health Law & Policy Institute	April Moreno		no response
Law Center	Institute for Higher Education Law & Governance (IHELG)	Michael A. Olivas	Yes	Updated regularly
Law Center	Institute for Intellectual Property & Information Law (IPIL)	Greg Vetter	Yes	Updated regularly
Law Center	Program on Law and Computation	Seth Chandler	Yes	Website needs updating
Law Center	Southwest Juvenile Defender Center	Ellen Marrus		Regional group for the Nat'l Juvenile Defender Ctr. In SW Texas
Law Center	Texas Consumer Complaint Center	David Tiede	Yes	A Law school clinic providing free legal advice
Law Center	The Environment, Energy & Natural Resource Center	Mr. Tracy Hester	Yes	Website updated periodically
NSM	Center for Applied Geoscience Excellences and Energy	Dr. John Castagna		no response
NSM	Allied Geophysical Laboratories	Dr. Rob Stewart		Not listed on DOR Website
NSM	Center for Nuclear Receptors and Cell Signaling	Dr. Jan-Ake Gustafsson		Not listed on DOR Website
NSM	Institute for Molecular Design	??		Not listed on DOR Website. Link on NSM website does not work
NSM	Institute for NanoEnergy	??		Not listed on DOR Website
NSM	Institute for Climate and Atmospheric Science (ICAS)	Dr. Robert Talbot	Yes	Formerly IMAQS; website new
NSM	Mission-Oriented Seismic Research Program (MOSRP)	Dr. Arthur Weglein	Yes	Website is up to date
Pharmacy	Center for Experimental Therapeutics and Pharmacoinformatics	Dr. Ke-He Ruan	Yes	Website updated annually
Pharmacy	Heart and Kidney Institute	Dr. Mustafa F. Lokhandwala	Yes	Website updated annually

Pharmacy	Institute for Drug Education and Research	Dr. Diana Chow	Yes	Website updated annually
Pharmacy	Institute of Community Health	Dr. E. James Essien	Yes	Website updated annually
Technology	Center for Applied Technology	Dr. Heidar Malki	Yes	Center inactive but still has some cost centers associated with it.
Technology	Center for Information Security Research and Education (CISRE)	Dr. William Arthur Conklin	Yes	Website updated quarterly
Technology	Center for Life Sciences Technology	Dr. Rupa Iyer	Yes	Website last updated May 2012
Technology	Center for Logistics and Transportation Policy	Dr. Carol Brace	Yes	Website currently being updated
Technology	Center for Technology Literacy	Dr. Raymond Cline	Yes	Website currently being updated
Technology	Texas Manufacturing and Assistance Center	Ms. Ann Pham	Yes	Website updated monthly
UHCL	Environmental Institute of Houston	Dr. George Guillen	Yes	Used to be at UH; website updated monthly
	Institute of Space Systems Operation	Dr. David Criswell	No	

GUIDE TO CONSORTIUMS AT UH

Purpose

These guidelines describe procedures for the establishment and administration of Sponsored Project Consortiums (SPCs), commonly known as Industrial Affiliates Programs.

Definition

Sponsored Project Consortiums are a gateway for launching and conducting frequent, open communication between participating researchers and the corporate community. Companies gain direct access to the capabilities of university faculty members and their students in exchange for annual membership fees which primarily fund basic research. Corporate members are not granted intellectual property ownership rights and there are no required deliverables. Corporate members typically attend annual meetings, receive copies of reports and publications, and have opportunities to recruit students.

How are SPCs different from Sponsored Research?

Sponsored Project Consortiums typically focus on an area of research that looks at a general problem that a group of industries maybe facing. The affiliate members do not receive intellectual property ownership rights in return for their membership fees, but are granted a license to use any IP developed by the consortium.

A sponsored project, on the other hand, is a one-on-one arrangement where a company funds a research project with a specific statement of work and budget for a defined period of time. The project benefits only the one sponsor. In sponsored research, the sponsoring company pays the full direct and indirect costs of the research. In return, the company may receive an option to license inventions resulting from the project.

The written agreement

A written agreement spells out the approach, shared rights and obligations on which these entities intend to collaborate. Attached is a sample contract that forms the basis for a typical consortium membership agreement. The agreement is negotiated by Research Contracts Officers associated with the DOR Office of Contracts and Grants. With the exception of minor changes, all of the agreements of a single consortium must be the same for every member. The amendments to the agreement for annual renewals are standards letters of invitation to continue annual membership, which both parties must sign.

Payment

SPC members pay a predefined membership fee, usually annually. The payment amount varies from consortium to consortium and depends on the value of the services provided to members. Within a single consortium level, all members are required to pay the same fee amount. Members may sign up for different levels of membership, but the option to do so must be available to all members.

Renewals are sent out each year by the Office of Contracts and Grants with a proforma invoice to pay. The invoices sent with the agreements do not establish accounts receivable or spending authority for the Principal Investigator until the payment is received, and the agreement does not create a liability or obligation on the part of the members or the University until it is signed and fully executed.

Annual Process

One month before the anniversary date of the consortium begin date, the PI sends to OCG, a list of all members that should receive a renewal agreement and the names and contact information for any new members. OCG will prepare and send membership renewals in the form of an addendum to the original agreement, along with an invoice to pay the current year's annual payment. The newly recruited members will be sent a packet containing the following items:

- Cover welcoming letter signed by the PI
- Standard consortium agreement
- Scope of work of the consortium
- Invoice for the first year (option to pay for several years up-front)

OCG will conduct follow up with the members for signed agreements and payment unless notified by the PI or member that the current year membership will not be renewed. The PI will receive a modification notice each time a payment is received and posted to the consortium cost center.

Indirect Costs

All SPCs are subject to Facility and Administrative cost charge, which is currently 20 percent Modified Total Direct Cost (MTDC).

Allowable and Unallowable Cost

Cost on consortium funds are subject to [the University MAPP policy as it relates to local fund] or [general criteria for direct charging]. Appropriate documentation is required to ensure the expenditures can be identified with the purpose and activity state in the scope of work.

ROLES & RESPONSIBILITIES

Deans/Chairs/Head Administrator

- Reviews written requests from faculty to establish SPCs and forwards them for approval to the Office of the Vice Chancellor/Vice President for Research and Technology Transfer.

The Vice Chancellor/Vice President for Research and Technology Transfer

- Reviews and approves all written requests to establish SPCs at the University of Houston. Consortia with fewer than 4 or so members may not be approved. The request must be accompanied by a proposal or scope of work, a projected 5 year budget and a management plan.

Office of Contract and Grants

- Contract Officer (Sandy Brown) prepares standard Sponsored Project Consortium Membership Agreements, and work with PIs to negotiate the standard SPC Membership Agreements with members.
- Support staff (Lisa Roberts) forwards approved SPC Membership Agreements to members along with attachments (Scope of work, introduction letter from PI for new agreements, and invoices)
- Support staff (Lisa Roberts) receives the fully executed agreement for file and checks for corresponding payment.
- Support staff (Lisa Roberts) sends follow-up emails to members that have not returned signed agreement nor payments.
- Research Administrator (RA) Modify the consortium award budget to add payments and sent out a Notice of Award to PI informing them of the addition to spending authority and by whom.

Research Financial Services

- Prepares invoices and gives a copy to support staff to be sent out with agreement. *The invoices are not booked as an Accounts Receivable until the actual payment is received.*
- Follow up on payment and work with the treasury office to identify and allocates them as they are received so that they can be posted to the correct SPC's cost center.
- Assist faculty member with reminders, collections, and follow-up for payment.

Faculty Lead

- Identifies scope of research and develops general methodology.
- Sets membership fees.
- Acts as SPC Director. Maintains a website of member affiliates
- Hosts annual workshop/meeting to present research results, working sessions, opportunities to discuss employment of university students and graduate students for both permanent and co-op/internship programs.
- Handles the day-to-day program administration.
- Sends out reminders, and follow-up for payment, including withholding access to non-paying members.

List of Active UH consortiums

G094777 – Dr. De-Hua Han - Fluid & Rock Properties and Seismic Hydrocarbon Indicators

G096869 – Dr. Ce Liu - Well Logging Consortium

G094786 – Dr. Arthur Weglein - Mission-Oriented Seismic Research Program

G089898 – Dr. Adrian Glasser - UHCO Accommodation and Presbyopia Research Center

G094776 – Dr. Janok Bhattacharya - Quantitative Sedimentology Research Consortium

G103956 – Dr. Paul Mann - Caribbean Basins, Tectonics, and Hydrocarbons - Phase III

G097310 – Dr. Kumaraswamy Vipulanandan - Center for Innovative Grouting Materials and Technology

G101781 – Dr. Ji Chen – Center for Electromagnetic Compatibility Research

G094095 – Dr. Alex Ignatiev - CAM Consortium Memberships

G099988 – Dr. Robert Stewart - Allied Geophysical Laboratories (AGL) Consortium: Full-wave Seismic
Exploration for Reservoir Lithologies and Fluids From Lab to Oilfield

INTERNAL PROGRAMS SCHEDULE For consideration by the RSC					
Award	Program Announcement	Proposal Deadline	Winners Notified	Cost Centers Est.	RSC Subcommittee Members
Small Grants	9/21/2012	11/9/2012	12/21/2012	1/11/2013	Bensaoula, Carrera, Ogmen, GCSW, HRM
New Faculty Research Program Grants	9/21/2012	11/9/2012	12/21/2012	1/11/2013	Bensaoula, Carrera, Ogmen, GCSW, HRM
GEAR	12/3/2012	2/1/2013	4/19/2013	5/3/2013	Burns, Gunaratne, Lopez, Sharma, Zouridakis
Research Excellence Award	12/3/2012	2/1/2013	4/19/2013	5/3/2013	Dryer, Long, Lopez, Tam, CLASS

these circumstances, the faculty member should consult with the appropriate administrative unit or OCG.

Payments to Human Subjects

Human subjects are individuals whose physiological or behavioral characteristics and responses are under study in a research project. Payments to these individuals and the protection of their confidentiality must comply with the guidelines of the funding agency, the Office of Research Services, the Committee for the Protection of Human Subjects, and the Internal Revenue Service. All projects involving human subjects must be reviewed and approved prior to the start of the project. Researchers should consult with the college business administrator prior to starting the research project to determine the most appropriate method for paying subjects.

See the MAPP policy 05.02.04 website at <http://www.uh.edu/aff/universityservices/policies/mapp/05/050204.pdf>.

Office of Development

The Office of Development is responsible for helping acquire gifts to the university from private donors including individuals, corporations, foundations and other organizations in the Houston community and elsewhere. It does so by working with university officers, faculty, and alumni, and friends of the university to identify, cultivate, and prepare and submit appropriate proposals to donor prospects. It also conducts stewardship activities to recognize existing donors.

Funds designated as gifts to the institution and not defined as research grants/contracts or research arrangements are processed through the Office of Development which reports through the Vice President for University Advancement.

To contact the Office of Development, call 713-743-8880, or visit the website at <http://www.uh.edu/about/offices/university-advancement/>.

Consulting

(UHS Board of Regents policy 57.02.)

Full-time members of the faculty and professional or administrative staff may engage in external consultation or other paid professional services, provided such activities benefit the System and contribute to the professional development of the individual. This privilege is subject in all instances to the conditions set forth below. Failure to comply with this policy may subject an employee to disciplinary action including reprimand, suspension, or termination.

- A. The first responsibility of the individual is to the System, and outside professional commitments should not interfere with the person's full-time responsibility to the System.
- B. No outside obligation should result in any conflict of interest involving the individual's responsibilities to the System or to its programs, policies, and objectives. Consulting and other professional agreements that represent actual or potential conflicts of interest must be avoided. *(See Board of Regents Policy 57.08.)*
- C. Use of System facilities, space, equipment, or support staff for consulting or other paid professional activities is permitted only if a financial arrangement has been concluded between the individual and the administration prior to the employee's beginning the outside consulting or other paid professional service.

- D. Individuals may not represent themselves as acting in the capacity of System employees when conducting consulting or other paid professional activities. The System bears no responsibility for any actual or implied obligations or liabilities incurred by the individual resulting from a consulting or other paid professional agreement or activity.
- E. Faculty who wish to arrange consulting or other paid professional activities must provide prior written notification to their dean. Review by the dean of such activities will include consideration of any real or apparent conflict of interest and the benefit of the proposed service to the System and the component university. Each faculty member who engages in consulting or other paid professional service, including teaching on a temporary basis at other institutions, must ensure that such activities do not require commitments of time averaging more than one day per calendar week, and must arrange such activities so as not to interfere with regularly scheduled classes.
- F. Professional or administrative staff who wish to arrange consulting or other paid professional activities must obtain prior written approval from the appropriate supervisor. While consulting is a recognized aspect of faculty activities with the limitations noted in this document, consulting by professional or administrative staff must be justified on an individual basis by clear and direct benefit to the System.
- G. When any of an individual's salary is paid from funds for externally sponsored activities, the time allowable for consultation or other paid professional activities must comply with sponsor requirements.

Unpaid public service is not included in this policy, nor are occasional lectures which include fees, unless these activities require significant amounts of time or otherwise conflict with regular System obligations.

The Chancellor/President will establish a process for monitoring outside paid professional activities of their faculty and staff in order to ensure that such activities are consistent with the above policy and also serve system purposes. The Chancellor/President will report to the Board of Regents annually on such activities.

Reporting Consulting and Paid Professional Service Activities

Reporting of consulting activities shall be kept as uncomplicated as possible and will consist of a written report to the department chair and dean of the college or the unit administrator at the conclusion of each academic year.

For additional information: consult the Office of the Provost, 713-743-9101.

UNIVERSITY of HOUSTON
MANUAL OF ADMINISTRATIVE POLICIES AND PROCEDURES

SECTION: Human Resources
AREA: Compensation

Number: 02.01.07

SUBJECT: Consulting and Paid Professional Service - Exempt Staff

I. PURPOSE AND SCOPE

This document provides the process for monitoring paid professional service of exempt staff to ensure that such activities are consistent with Board of Regents Policy 57.02, Consulting and Paid Professional Service and System Administrative Memorandum 02.A.08 - Consulting and Paid Professional Service. This document applies to all benefits-eligible exempt staff, regardless of the source of funds from which paid. Policy provisions for faculty are promulgated by the Office of the Senior Vice President for Academic Affairs and Provost.

II. POLICY STATEMENT

The University of Houston recognizes that consulting and other paid professional service of exempt staff may be beneficial to the employee and the University of Houston. However, the employee's primary responsibility is to fulfill their duties and responsibilities to the University of Houston. Consulting and paid professional service is a secondary activity, which should not create a conflict of interest, time, or commitment with University of Houston responsibilities.

III. DEFINITIONS

- A. Additional Compensation: Pay from UH for work performed outside the employee's normal duties and outside normal work hours in addition to the employee's regular base salary. Work performed for the University of Houston outside the employee's normal duties and outside normal work hours is considered an overload assignment. Policy provisions regarding additional compensation regarding overload assignments are set forth in MAPP 02.01.06 - Additional Compensation - Exempt Staff.
- B. Contract staff: Exempt staff whose terms of employment are defined by contract.
- C. Consulting and paid professional service: Activities undertaken for remuneration from a third party where the activity is within the scope of activities, functions, or expertise for which the individual is compensated by the University of Houston.
- D. Exempt staff: Staff employees in positions that are not subject to the overtime provisions of the Fair Labor Standards Act (FLSA). Exempt staff includes professionals, administrators, and executives who are paid on a monthly basis.
- E. Multiple Employment: Work performed for another component university of the System within the scope of activities, functions, or expertise for which the component university compensates the individual is considered consulting or outside employment. Consulting activities must be non-regular, part-time appointments or temporary appointments as defined in SAM 02.A.34 - Types of Staff Employment. Prior written approval to engage in these activities is required. Compensation for these services must be made through the component university's payroll system and are subject to withholding and other payroll deductions.

IV. GENERAL PROVISIONS

- A. An employee must obtain **prior** written approval to engage in consulting and paid professional service. The employee must submit a written request to his/her immediate supervisor. Requests must include the employing entity, the nature of the proposed work, time commitment, duration, and justification of benefit to the university.
- B. All requests for consulting and paid professional service require the approval of the dean/director of the employing department.
- C. No employee shall accept consulting or paid professional service, which could result in any conflict of interest that would impair his/her independence of judgment in performance of university duties or induce the employee to disclose confidential information acquired through his/her position. This provision is in accordance with System Administrative Memorandum 02.A.29 - Ethical Conduct of Employees. An employee who violates these standards is subject to discipline and dismissal from employment with the University of Houston, regardless of whether the request to engage in such activities was approved. Discipline and dismissal of staff employees is prescribed in MAPP 02.04.03 - Discipline and Dismissal of Staff Employees.
- D. Use of University of Houston facilities, space, equipment or support staff for consulting and paid professional service is not permitted unless financial arrangements have been made between the university and the employee, which adequately covers the university's costs, before the employee engages in such activities.
- E. Employees may not represent themselves as acting in an official capacity on behalf of the University of Houston when conducting consulting or paid professional service. The University of Houston is not responsible for any actual or implied obligations or liabilities incurred by the employee resulting from the consulting or other paid professional service.
- F. Consulting and paid professional service must be performed on the employee's own time. Authorizations for absences from an employee's official place of duty because of consulting or paid professional service shall be requested and approved in accordance with university policy governing leave entitlements.
- G. Unpaid public service is not covered by this document. Lectures that include fees are also not covered by this document, unless these activities require significant amounts of time or otherwise adversely affect the employee's performance of assigned university duties.
- H. An employee may not accept an honorarium or any fees or gifts in consideration for any services performed in his/her official capacity on behalf of the university, excluding travel reimbursements.

V. DUAL OFFICE HOLDING

The board must give its approval before any officer of the system or its component institutions may hold other non-elective state or federal office or position of honor, trust, or profit. Approval must include formal findings that the dual office holding is of benefit to the state or required by state or federal law, and creates no conflict of interest.

VI. GENERAL PROCEDURES

- A. An employee must submit a Consulting and Outside Employment Application Form to his/her immediate supervisor prior to engaging in consulting or paid professional service activities. The form includes identification of the employer, nature of the proposed work, duration and time required, and justification of benefit to the University of Houston. The form also includes a description of facilities, space, equipment or support staff that will be used and the financial arrangements that have been made with the university for such use. The form also requires the employee to divulge any equity ownership he/she may have in the consulting employer.
- B. The employee must sign the Consulting and Outside Employment Application Form, certifying agreement to conduct the consulting or paid professional service activities in accordance with the provisions of this document and the accuracy of the information contained on the form.
- C. The dean/director of the employing department must review and approve requests for third-party consulting or multiple employment consulting.
- D. Dual office holding requests require the Board's approval.
- E. Once the request form has been approved, the employee may begin the consulting or paid professional service activities. The dean/director of the employing department is responsible for ensuring that the original approved request is submitted to Human Resources. One copy of the original approved request should be maintained in the departmental records, and one copy should be provided to the employee.

VII. CONTRACT STAFF

Annually, full-time and part-time employees (excluding secretarial and clerical personnel) of the Intercollegiate Athletics Department shall provide a written detailed account to the Chancellor of all athletically-related income and benefits from sources outside the university. The approval of such employment and income must occur within the guidelines of the university in order to be in compliance with NCAA legislation, specifically NCAA Bylaw 11.2.2 (Athletically Related Income).

VIII. ANNUAL REPORTING

The Office of the Executive Vice President for Administration and Finance will prepare an annual report of all consulting and paid professional service activities for the Chancellor's annual report to the Board of Regents.

IX. REVIEW AND RESPONSIBILITY

Responsible Party: Associate Vice President for Finance

Review: Every two years on or before June 1

X. APPROVAL

Carl Carlucci
Executive Vice President for Administration and Finance

Renu Khator
President

Date of President's Approval: _____ May 17, 2011

XI. REFERENCES

Board of Regents Policy 57.02 - Consulting and Paid Professional Service
Board of Regents Policy 57.04 - Dual Office Holding
System Administrative Memorandum 02.A.08 - Consulting and Paid Professional Service
System Administrative Memorandum 02.A.29 - Ethical Conduct of Employees
MAPP 02.01.06 - Additional Compensation - Exempt Staff

NCAA Regulations (Bylaws Section 11.2 and 11.3)
Consulting and Outside Employment Application Form

REVISION LOG

Revision Number	Approved Date	Description of Changes
1	01/02/2001	Initial version
2	08/06/2001	This document was revised to comply with Internal Audit Report 1997-10, which requires the implementation of MAPP 02.01.07 to include the requirements for athletically-related income required by the NCAA Bylaws
3	02/17/2005	Applied revised MAPP template. Added documentation to Section V, Additional Compensation to reflect current operating requirements. Deleted Section VI, Multiple Employment. Changed the responsible party from AVP for Human Resources to the Chief Human Resources Officer
4	05/17/2011	Applied revised MAPP template and added Revision Log. Changed MAPP title from "Consulting and Outside Employment" to "Consulting and Paid Professional Service." Added definitions for Additional Compensation and Multiple Employment. "Paid professional service" inserted for "outside employment" throughout the document. Removed Section V, Additional Compensation. Revised Section VI, Dual Office Holding. Revised Section VII.E to reflect current operating practices. Removed Section VIII.A. The responsible party was changed from the Chief Human Resources Officer to AVP for Finance. The review period was changed from May 1 st to June 1 st . Removed Index terms and added references. Removed Addendum A form and added to text as web link