

UH Research Forum

January 25, 2023



Welcome & Announcements

Claudia Neuhauser, Ph.D.

Interim Vice President for Research

Today's Agenda

TRIP: Are we there yet?

Cris Milligan, Assistant Vice President for Research Administration

Chercheurs sans frontieres: Global Collaboration

Michael Pelletier, Executive Director of the UH Institute for Global Engagement

Investigaciones internacionales con seres humanos: Human Subjects Research Conducted in International Settings

Yadira Cortez, Associate Director, Office of Research Integrity and Oversight

Foreign Influence: How to Navigate Agency Compliance

David Schultz, Assistant Vice President, Sponsored Research Administration

Shopping Internationally: Buying Goods from a Foreign Supplier

Cris Milligan, Assistant Vice President for Research Administration

TRIP: Are we there yet?

Cris Milligan

Assistant Vice President for Research
Administration



TRIP Website

The screenshot shows the top navigation bar of the University of Houston Division of Research website. The main header is dark red with the University of Houston logo and name on the left, and links for 'Login to AccessUH', 'Give to UH', and 'Search' on the right. Below this is a white navigation bar with the 'Division of Research' title and a list of menu items: 'About', 'Funding Opportunities', 'Sponsored Projects', 'Compliance', 'Tech Transfer', 'Resources', 'News & Events', and 'Contact Us'. The 'Funding Opportunities' menu is expanded, showing a list of options: 'Identifying Opportunities', 'Limited Submissions', 'Internal Awards', 'Resources for Investigators', 'Early Career Investigators', 'Unique Opportunities', 'Texas Research Incentive Program (TRIP)', 'Center Requests For Proposals (RFPs)', and 'Internal Funding Terms & Conditions'. The 'Texas Research Incentive Program (TRIP)' option is highlighted in yellow. Below the navigation bar is a yellow banner with links for 'Faculty', 'Inventors', 'Research Admins', and 'Industry Partners'. The main content area features a dark background with a large image of a man speaking at a podium and a smaller image of two people working on a laptop in a lab.

<https://uh.edu/research>

TRIP Website



Division of Research

About - Funding Opportunities - Sponsored Projects - Compliance - Tech Transfer Resources - News & Events - Contact Us -

UH Home > Division of Research > Funding Opportunities > Texas Research Incentive Program

FUNDING OPPORTUNITIES

[Identifying Opportunities](#)

[Federal Sponsors](#)

[Internal Awards](#)

[Resources for Investigators](#)

[Texas Research Incentive Program](#)

[Internal Funding Terms & Conditions](#)

Texas Research Incentive Program (TRIP)

The Texas Research Incentive Program (TRIP) provides matching funds to assist in leveraging private gifts for the enhancement of research productivity and faculty recruitment. UH is one of eight institutions eligible for the [program](#).

Eligibility

What qualifies for the TRIP Match?

Gifts or endowments of at least \$100,000 from private sources for the purpose of enhancing research activities at the University of Houston, including:

- Endowed chairs
- Professorships
- Research facilities
- Research equipment
- Research program costs
- Graduate research stipends or fellowships
- Undergraduate research

Am I eligible?

Certain gifts are not TRIP eligible, including:

- Federal/state funded
- Sponsored research
- Contract for services
- Deliverables are required beyond standard financial and progress reports
- Results/findings confidential
- Shared IP or special rights to IP given to funder

If 'no' to all... ➔ **TRIP ELIGIBLE**



IMPORTANT LINKS

[TRIP Match Process Flowcharts](#)

[TRIP Program Requirements](#)

[TRIP Pending Gifts and Gifts Received to Date](#)

[UH TRIP Match Distribution Policies](#)

[University Contacts](#)

[Texas Higher Education Coordinating Board](#)

[TRIP Implementation Task Force Final Report](#)

<https://uh.edu/research/funding-opportunities/texas-research-incentive-program/>

Texas Research Incentive Program

Gift Eligibility

Only cash gifts are eligible for TRIP. Contributions from a government agency are not eligible. Pledges do not qualify, but pledge payments qualify. Gifts-in-kind and gifts of property do not qualify unless they were given originally for the sole purpose of research and sold for cash. Contracts or fees for services are not eligible for TRIP. Qualifying gift purposes include:

- Endowed Chairs
- Endowed Professorships
- Research Facilities
- Research Equipment
- Research Program Cost
- Research Graduate Stipends/Fellowships
- Undergraduate Research

TRIP was established by the Texas Legislature in 2009 for the purpose of providing matching funds to assist eligible public institutions to leverage private gifts for the enhancement of research productivity and faculty recruitment. It is implemented through the Texas Higher Education Coordinating Board.

Texas Research Incentive Program



To qualify for TRIP matching, a gift must be made in a minimum payment of \$100,000 and designated exclusively for research purposes. The match is provided in three categories:

Matching Levels	
50% Match	Cash gift of \$100,000 to \$999,999
75% Match	Cash gift of \$1 million to \$1,999,999
100% Match	Cash gift of \$2 million to \$10 million

Texas Research Incentive Program



Documents Needed

- Copy of deposit documentation (i.e. check, wire, ACH).
- Fully executed agreement and/or award letter that clearly restricts gifts to research support.
- Stock submission require transaction letter or statement from the donor and institution broker.

Processing Requirements

- Research gifts that are over \$100k along with supporting documentation have a 30 day submission clock.
- Documents are submitted to the Higher Education Coordinating Board and are anonymously peer reviewed.
- Submissions are considered in the chronological order by which they become eligible, which is defined by the deposit date of the funds.
- Once the coordinating board approves, the gift/match is added to list of approved matches and awaits legislative review for timing of funding. Receipt of TRIP Match funding can take between 5-6 years.

Texas Research Incentive Program



*The State of Texas has paid **\$361,247,004** in TRIP Match Funds to date.*

*UH has received **\$61,922,253** to date.*

Texas Research Incentive Program Success

- Since FY2010, the State of Texas has paid \$394,497.004 in TRIP Match funds.
- There is a \$324.4M backlog of eligible gifts (dating back to FY2017) awaiting TRIP Match payment.
 - UH's portion of the backlog is \$111M.

TRIP Match Distribution Policy

- For all matching funds received for any gift submitted to TRIP on August 1, 2017 or beyond, 50% will be allocated to the fund of the gift submitted and 50% will be allocated to the President's Strategic Initiatives.

Texas Research Incentive Program



How do I submit an eligible gift for matching funds?

- As gift and grant proposals are developed, principal investigators will work with college/department business administrators to determine eligibility. As payment comes in for the gift, college staff will notify University Advancement's Gift Management Department to intercept the payment and begin the TRIP Match submission to the Texas Higher Education Coordinating Board (THECB) within 30 days of receipt of funds.

Who should I contact for questions?

- College/Department personnel will assist the faculty with the identification of potential gift match funds. For questions about the submission process, or to track the status of a submitted TRIP Match gift, contact Thu-Van Nguyen, tnguy255@central.uh.edu, Matching Gift Administrator, University Advancement.

Thank You!

Questions?

Type your question to the moderator for the panel discussion at the end.



Chercheurs sans frontieres: Global Collaboration

Michael Pelletier

Executive Director of the UH Institute for Global
Engagement



Institute for Global Engagement



University Partnerships



University Partnerships supports UH Colleges and Departments in the formalization of international relationships and collaborations:

- Memoranda of understanding
- Affiliation agreements
- International partnerships

University Partnerships



← → ↻ <https://www.uh.edu/provost/university/global/#branches> A 🔍 🏠 🗺️ 👤

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UH GLOBAL

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CONTACT INFORMATION

UH Institute for Global Engagement
University of Houston
101 E.W. Cullen Building
Houston, TX 77204
Email: uhglobal@uh.edu

UH Institute for Global Engagement

[IGE Overview](#) [University Partnerships](#) [Faculty Awards & Funding](#) [Fulbright Awards](#) [IGE Team](#)

University Partnerships

Any formal collaboration such as a Memorandum of Understanding, an Articulation Agreement, or a Contract between UH and a foreign institution requires the endorsement of UH Institute for Global Engagement, the Office of the Provost and, if necessary, the Office of the General Counsel before it can be implemented. The [Process for Establishing International Affiliations](#) assists UH faculty and administrators through the required steps in establishing formal collaborations.

Click here to view the [UH MOU approved form](#).

For questions or to discuss setting up an international university partnership, please contact [Dr. Luis Alcocer](#), Assistant Director of University Partnerships.

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OFFICE OF THE PROVOST

University of Houston
Ezekiel W. Cullen Bldg., Room 203
Houston, TX 77204
832-842-0550

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<https://www.uh.edu/provost/university/global/#branches>

Faculty and Staff Programs



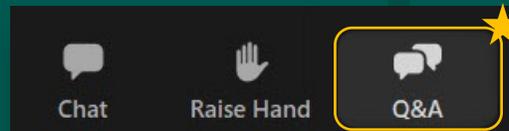
The screenshot shows a web browser window with the URL <https://www.uh.edu/fulbright/faculty-staff/types-of-programs/>. The page features a red header with the University of Houston logo and navigation links for 'Login to AccessUH', 'Give to UH', and 'Search'. Below the header, the 'Fulbright' logo is prominently displayed. A breadcrumb trail reads 'UH Home > Fulbright > Faculty & Staff > Types of Programs'. On the left, a sidebar menu lists 'FULBRIGHT' categories: 'Students & Alumni', 'Faculty & Staff' (selected), 'Types of Programs' (highlighted), 'Fulbright Scholar', 'Visiting Scholar', 'Fulbright Scholars', 'Applicant Resources', and 'Contact Us'. The main content area is titled 'Faculty & Staff: Types of Programs' and lists two program types: 'Fulbright Scholar Programs' and 'Fulbright Visiting Scholar Programs', each with a 'Learn More >' link. The footer contains the University of Houston logo, contact information, a grid of utility links (e.g., A-Z Index, Human Resources, Library), and social media icons for Facebook, Twitter, Instagram, and LinkedIn. A copyright notice at the bottom states '©2023 University of Houston. All rights reserved.' and includes links for reporting problems and various university policies.

<https://uh.edu/fulbright/faculty-staff/types-of-programs/>

Thank You!

Questions?

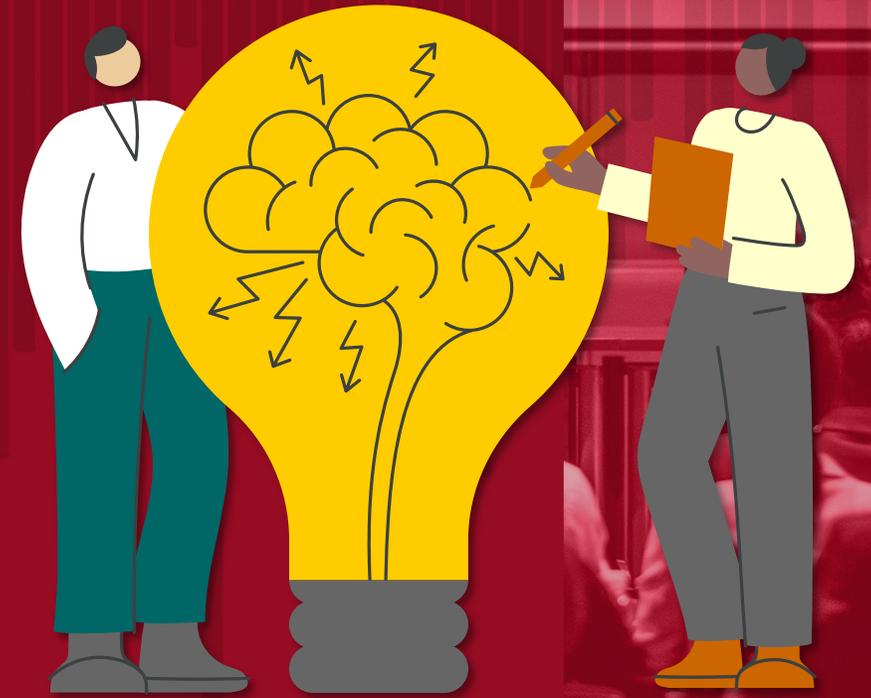
Type your question to the moderator for the panel discussion at the end.



Investigaciones internacionales con seres humanos: Human Subjects Research Conducted in International Settings

Yadira Cortez

Associate Director, Office of Research Integrity and Oversight



Research

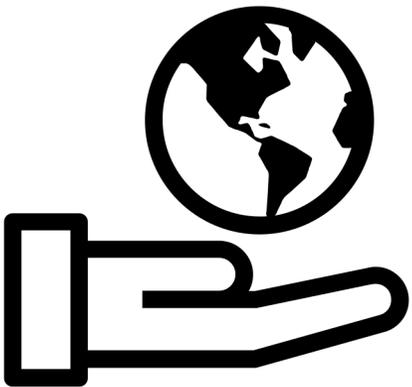


When is UH Considered Engaged in Research?

UH faculty, staff and students are considered to be engaged in research if they receive an award through a grant, contract, or cooperative agreement for research involving human subjects; or interact for research purposes (whether funded or non-funded) with any research subjects (e.g. recruitment, performing invasive or noninvasive procedures, manipulating the environment, obtaining informed consent), including those obtaining identifiable private information or identifiable specimens for analysis.

<https://www.uh.edu/research/compliance/irb/policies/intl-research/>

Protections



Protections Required by Regulations

- Provide equivalent protections to human subjects in foreign countries.
- Comply with any applicable regulations of the country in which the research will take place.
- Have sufficient knowledge of the local context (laws, regulations, culture and political and socio-economic factors) to enable the design and conduct of the research in ways that protect the rights and welfare of subjects.
- Be aware of and adhere to any additional international guidelines that may be applicable when conducting biomedical research.

Protections



Protections Required by Regulations

- Arrange for the training of all members of the research team, including those involved in data collection at the local site.
 - HIPAA training may still be required for the research team to handle data considered Protected Health Information, even if HIPAA does not apply in that country.
- Be aware of any special sponsor-specific requirements for funded projects involving international research.
- Be familiar with export control regulations. Training in export control may be required.

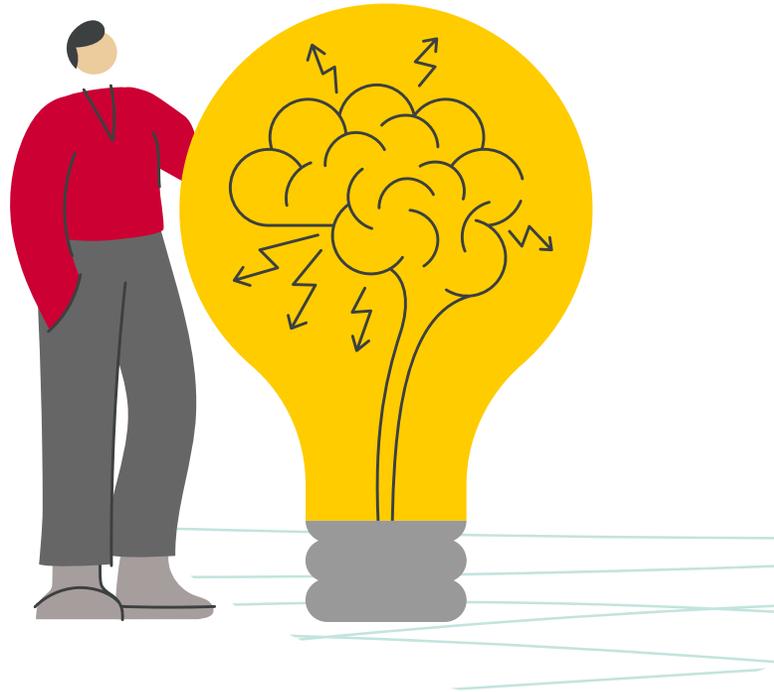
Approval

Local Approval Required

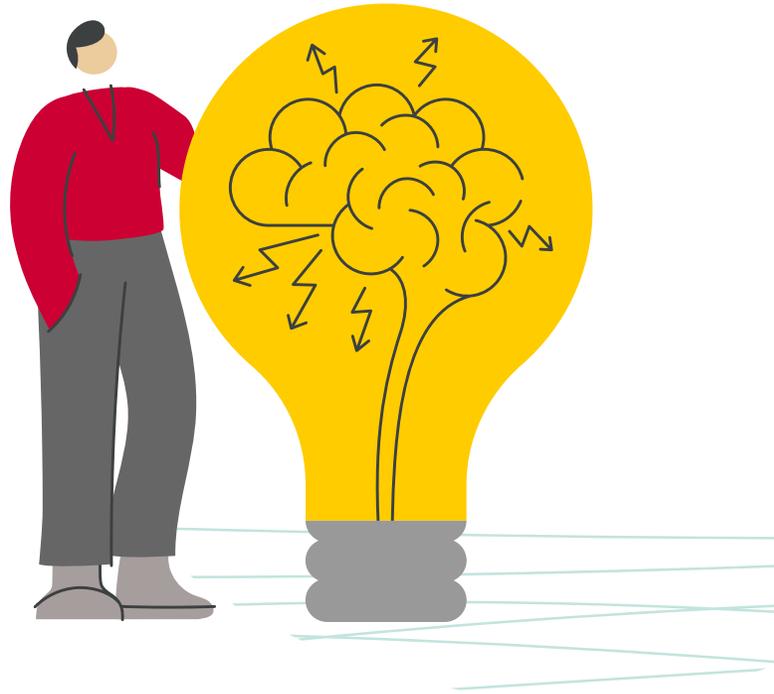
- Local approval is required. An IRB with a U.S. federalwide agreement or the foreign equivalent of an IRB (e.g., an established university or independent ethics committee (IEC¹)) is preferred and may be required.
- If a local ethics board does not exist, in the case of research that carries no more than minimal risk to participants*, a written statement from an individual who has the authority to ascertain that the research is ethical/acceptable within the context of that country's culture may be accepted.
 - Minimal risk: (determined by IRB): Minimal risk means that the probability and magnitude of harm or discomfort anticipated in the research are not greater in and of themselves than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.

Determination of risk also involves risks to the subject's privacy/confidentiality of their data

¹ An **Independent Ethics** Committee is a specially constituted review body whose responsibility is to ensure the protection of rights, welfare and safety of research participants.



Approval



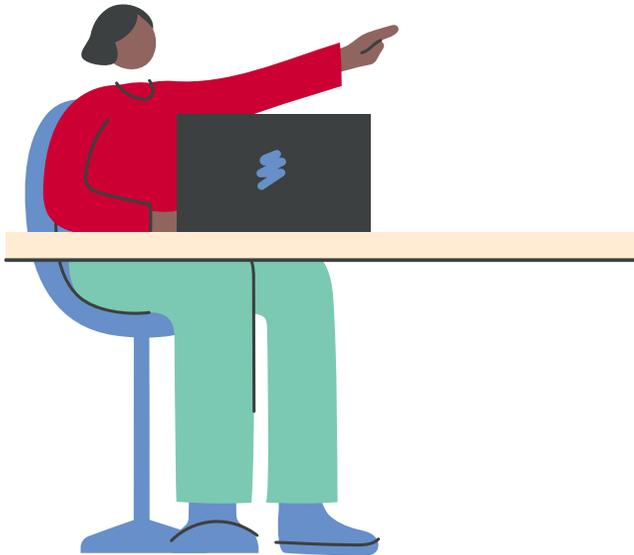
When Research is Greater than Minimal Risk:

- All possible efforts must be made to confirm if a local IRB or ethics board is available in the country where the research will take place.
- When no local ethics board is available the research is considered on a case-by-case basis. The IRB reserves the right to request additional information and/or determine that research is not approvable without further formal review in the country of interest.

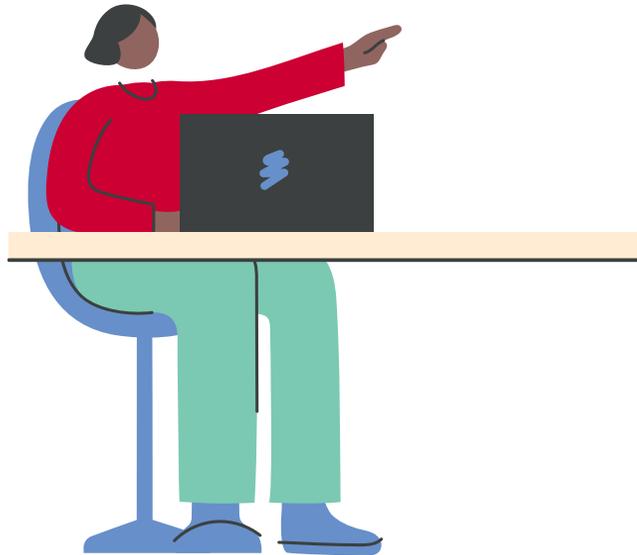
Submitting Your Protocol

When submitting your protocol:

- If an IRB/IEC is not available, designate a person or body that can speak to local context and culture. Obtain this review in writing.
- Designate a contact within the country that can be available to speak to subjects as necessary about the research. Obtain a letter of support stating this person's ability and willingness.
 - The above two individuals may or may not be the same person
- Provide a detailed description of the role of local collaborators who may be included on the research team.
- Provide a detailed description of how data collected will be stored in the international location and how it will be transported to UH.



Submitting Your Protocol



When submitting your protocol:

- Indicate if the PI speaks the language of the international site. If the PI does not speak the local language, the protocol must describe how communication with the research subjects will be accomplished.
- The informed consent process must be sensitive to local laws and cultural norms.
- Allow extra time for local context review, IEC review, translations of documents, etc. Generally, the IRB can provide preliminary review with documents in English but final translations are required prior to the start of the research. Ensure a Translation Assurance document (on IRB website) is submitted.
- Coordinate closely with the IRB office on the timing of approvals; flexibility is possible.

Contact



For Information, Contact:

IRB office
713-743-9204
CPHS@central.uh.edu

Thank You!

Questions?

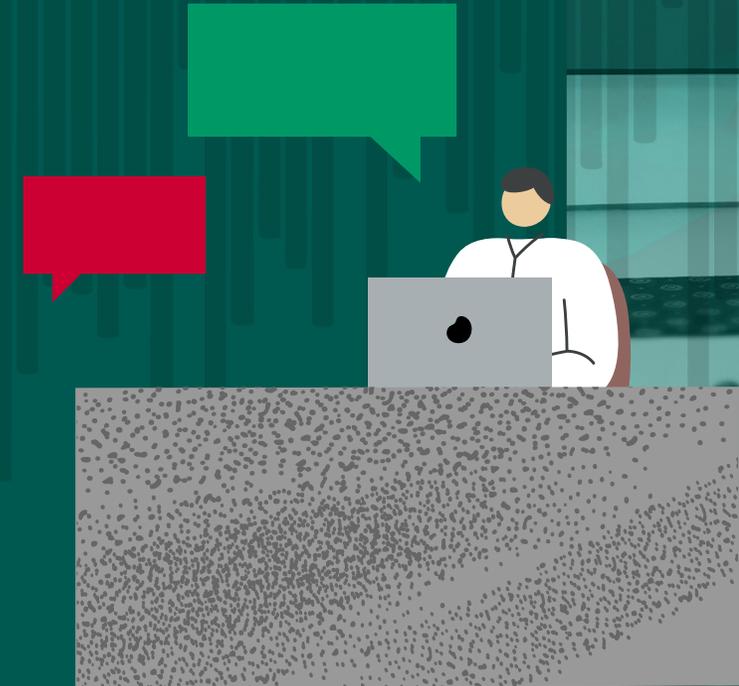
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Foreign Influence: How to Navigate Agency Compliance

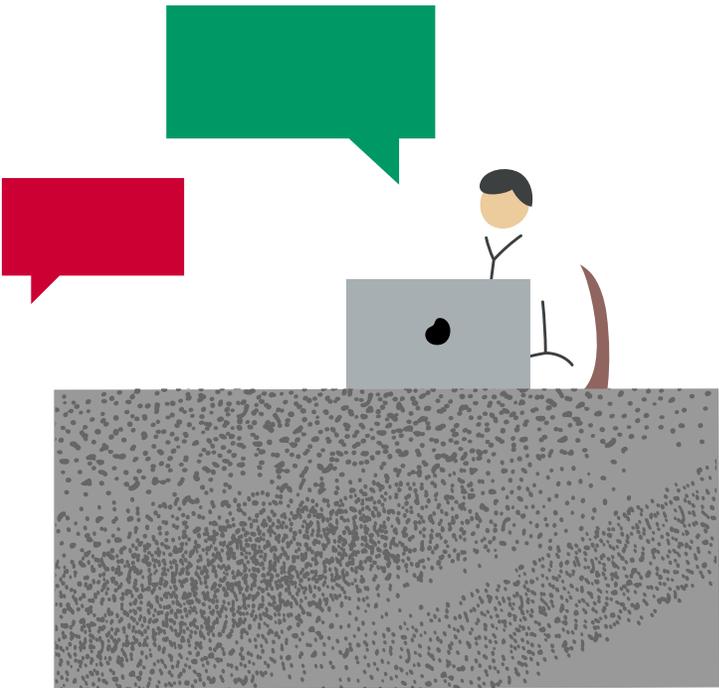
David Schultz

Assistant Vice President for Sponsored Research Administration



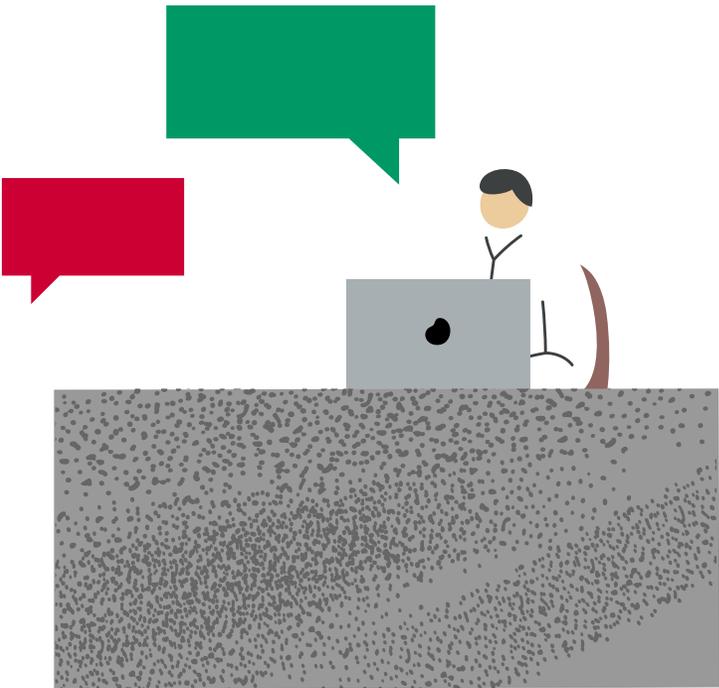
Foreign Engagement

- UH is a Tier 1 research university committed to the free and open exchange of ideas, information, and activities within a welcoming environment of faculty and students, as well as collaborating partners, across the globe.
- At the same time, numerous federal agencies and Congress have become increasingly concerned about potential foreign influence on research activities within the U.S.
- It is important to ensure all international relationships are disclosed and vetted to comply with agency and university requirements



Foreign Engagement Disclosures

- Several agencies now require PIs, Co-PIs and Senior Personnel to disclose of foreign engagement or activities in proposals
 - Biosketch, Current and Pending, Other Support, and Research Resources
- Updates or changes after the proposal but before the award should be updated during the Just-in-Time Procedures
- After the award updates should be disclosed in the progress reports
- NSF required 30 days after university becomes aware, NIH required disclosure at time of knowledge



NSF Disclosures

NSF Proposal & Award Policies & Procedures Guide (NSF 23-1) will be effective for proposals submitted or due on or after January 30, 2023



- Revisions to the Biographical Sketch and Current and Pending Support formats to include certifications from the individual regarding information being accurate, current, and complete
- Requirement for NSF program officers to request updated Current and Pending Support information prior to making a funding recommendation, in accordance with the NSPM-33 Implementation Guidance
- Requirements for use of SciENCv for the Biographical Sketch and Current and Pending Support documents

NIH Disclosures

NIH requires the disclosure of all sources of research support, foreign components, and financial conflicts of interest for senior/key personnel on research applications and awards



- Applicants and recipient organizations must:
 - Work with faculty and other staff to make sure that all applications, progress reports (Research Performance Progress Reports), and Just in Time submissions include an accurate and complete account of all sources of research support, and relevant affiliations for individuals named as senior/key personnel
 - Ensure that all senior/key personnel working on a grant disclose their significant financial interests in accordance with regulation and institutional policy

NIH Disclosures



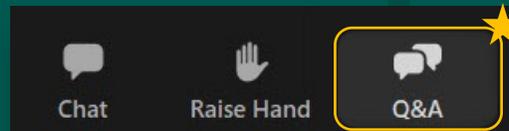
Applicants and recipient organizations must (continued):

- Ensure that all reports and communications submitted to NIH are complete and accurate
- Protect proprietary information and sensitive and confidential data as part of proper stewardship of federally funded research
- Take all reasonable and appropriate actions to prevent the inadvertent disclosure, release or loss of sensitive personal information
- Immediately notify NIH of developments that have a significant impact on NIH-supported activities
- Disclose information throughout the grant process, from updating a senior/key personnel's biosketch and other support, submitting an application, progress reporting, and submitting final reports, or anytime there is a significant change
- Obtain NIH prior approval for inclusion of any foreign components to an NIH award

Thank You!

Questions?

Type your question to the moderator for the panel discussion at the end.



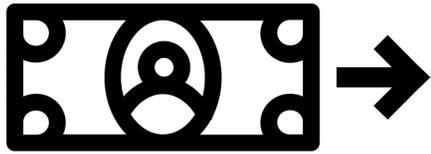
Shopping Internationally: Buying Goods from a Foreign Supplier

Cris Milligan

Assistant Vice President for Research
Administration



Foreign Suppliers

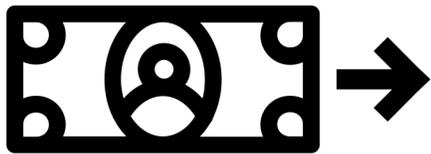


Procuring research equipment and supplies from a foreign vendor can present a challenge.

- Fund Type
- State Restrictions
- Vendor Payment Requirements

Foreign Suppliers

The Division of Research funding for faculty start up packages, internal awards, and cost sharing is typically allocated using state funds.



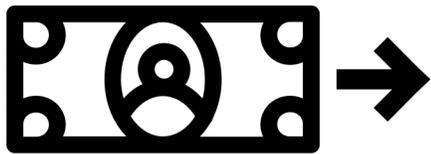
While state funds have advantages:

- Funding salaries on certain state funds allows the corresponding fringe to be charged to a centrally funded cost center.
- The fringe benefits will not impact the budget of the DoR award.

They can also be a bit finicky, especially when the dollar amount is high.

- International payments can only be made by check. Wire transfers are not allowed.

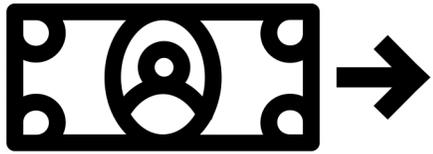
Foreign Suppliers



Many vendors located outside of the United States require wire transfers as payment. If all you have are state funds, how can you purchase equipment?

- Ask the vendor for a payment exception.
- Procure the equipment through a US reseller, rather than directly from the foreign vendor.
- Use an alternative (non-state) source of funds and reallocate expenses.
- Swap funds.

Foreign Suppliers



Shopping internationally with state funds is achievable with a bit of preplanning and creativity.

Thank You!

Questions?

Type your question to the moderator for the panel discussion at the end.



UH Research Forum

January 25, 2023

