OFFICE OF THE GOVERNOR
Economic Development and Tourism

GURI APPLICATION KIT

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GOVERNOR'S UNIVERSITY RESEARCH INITIATIVE

Program Summary

The Governor's University Research Initiative grant program (GURI) was enacted in 2015 by the 84th Legislature with a goal to bring the best and brightest distinguished researchers in the world to Texas. This program is a matching grant program to assist eligible institutions of higher education in recruiting distinguished researchers. The GURI grant program is operated within the Office of the Governor ("OOG") in the Economic Development and Tourism Division.

To be eligible to apply for a grant award, an applicant eligible institution must meet certain basic qualifying criteria, including the following items:

- The applicant must be an eligible institution meaning it is a general academic teaching, as defined in Section 61.003 of the Texas Education Code; a health-related institution, meaning a medical and dental unit as defined in Section 61.003 of the Texas Education Code or another health science center, public medical school or public dental school as established by statute or in accordance with Chapter 61 of the Texas Education Code.
- The proposed researcher must be a "distinguished researcher" which means a Nobel Laureate or the recipient of an equivalent honor; or a member of a national honorific society, such as the National Academy of Sciences, the National Academy of Engineering, the National Academy of Medicine or an equivalent honorific organization.
- The proposal must involve the recruitment of a distinguished researcher in the fields of science, technology, engineering, mathematics, and medicine.
- The applicant institution cannot recruit a distinguished researcher from another eligible institution; or a private or independent institution of higher education.
- The grant application must have the support of the applicant institution's president and of the institution's governing board, the chair of the institution's governing board, or the chancellor of the University System if the applicant institution is a component of a University System.

The GURI program is codified in Chapter 62 of the Texas Education Code, Subchapter H and the program's administrative rules may be found in Title 10, Part 5, Chapter 190 of the Texas Administrative Code.

Applications will be accepted on a rolling basis from eligible institutions with a proposed grant match commitment amount of $5 million or less per distinguished researcher.

Award Priorities

Priority will be given to proposals that involve the recruitment of a Nobel Laureate, a member of the National Academy of Sciences, National Academy of Engineering, or the National Academy of Medicine.

The OOG shall give priority to proposals that:

- Demonstrate a reasonable probability of enhancing Texas' national and global economic competitiveness;
- Demonstrate a reasonable probability of creating a nationally or internationally recognized locus of research superiority or a unique locus of research;
- Are matched with a significant amount of funding from a federal or private source that may be transferred to the applicant institution;
- Are interdisciplinary and collaborative; or
- Include a strategic plan for intellectual property development and commercialization of technology.

In making its decision, the OOG may also consider the following matters:

- The extent to which the subject matter of the research offers the opportunity for interdisciplinary and collaborative research at the applicant institution and with other eligible institutions;
- Any commercialization track record of the researcher being recruited;
- The extent to which the proposal supports the recruitment of a distinguished researcher distinguished in, or to be engaged in, basic, translational, or applied research; or
- Whether the recruitment of a distinguished researcher proposes to develop new research capabilities of the eligible institution or to expand the institution's existing research capabilities.

Ineligible Grant Proposals

The following types of grant proposals will **not** be considered for a GURI grant award:

- Proposals for the support or retention of distinguished researchers who are employed by the applicant eligible institution at the time of the grant application if filed.
- Proposals that are contingent on the future availability of match funding that the institution does not have available at the time of the grant application is filed.
- Proposals that do not include an eligible distinguished researcher.

  Eligible institutions are invited to consult with the OOG prior to submitting a grant application, including assistance in determining whether a particular honor will qualify as an "eligible "equivalent honor" or "equivalent organization."

Source and Availability of Funds

The GURI fund is a dedicated account in the state's general revenue fund. The source of funds for the GURI grant program is a biennial appropriation by the Texas Legislature in addition to other authorized deposits in the fund. All funding beyond the current state fiscal biennium is contingent upon the appropriation of funds by the Texas Legislature.

Grant Term

The grant term will commence as soon as practicable and shall end no later than August 31, 2019.

Funding Level

Applications will be accepted with a proposed grant match commitment amount of $5 million or less per distinguished researcher. No minimum proposed grant match commitment is established at this time.

Match Requirements

The grant has a 1:1 match requirement. An applicant may commit any funds of the eligible institution that are immediately available for that purpose, other than appropriated general revenue.

Employment Commitment

Applicants will be required to commit in the Grant Agreement to a firm employment date for the Distinguished Researcher. Unless otherwise agreed to by the OOG, the firm employment date for the Distinguished Researcher will be 12 months after the date the grant application is filed.

Grant Funds Disbursement

OOG grants are paid on a cost-reimbursement basis.

Eligible Budget Categories

- One-Time Salary Supplement
- Professional and Consultant
- Travel
- Equipment
- Supplies
- Construction
- Direct Operating Expenses

Ineligible Costs

Ineligible costs include, but are not limited to:

- Salary and fringe benefits, other than a one-time salary supplement to the Distinguished Researcher
- Costs to recruit an ineligible distinguished researcher
- Costs relating to entertainment, amusements, or social activities, including but not limited to shows, exhibitions or sporting events
- Professional dues, association fees, memberships, or lobbying
- Honorary gifts
- Purchase or lease of vehicles
- Promotional items or recreational activities
- Travel that is unrelated to the direct support of the recruitment of the distinguished researcher

- Consultants or vendors who participate directly in writing a grant application
- Indirect costs
- Unallowable costs set forth in state or federal cost principles, the grant application or the grant agreement.

REVIEW AND AWARD PROCESS

The OOG will review each completed grant application filed in the order in which it is received electronically.

All areas of the proposed grant budget are subject to review and approval by the OOG. At any time during the review process, an OOG staff member may contact the Applicant to request additional information.

Recommendation by the Advisory Board

The Advisory Board will consider a grant application and will present to the OOG its recommendation for approval or disapproval of the application.

OOG Decision

The OOG makes the final decision whether to award a grant. All grant decisions rest completely within the discretionary authority of the OOG. The decisions made by the OOG are final and are not subject to appeal.

Grant Award Notification

The Applicant shall be notified via email of the OOG's decision regarding a grant award. Approved Applicants will be given a deadline of 30 days, specified in the award letter, to submit all appropriate documents, including an executed grant agreement, as outlined in the award email from the OOG. An Applicant's failure to return the signed documents to the OOG within the prescribed time period may be construed as a rejection of the grant award, and the OOG may unauthorize awarded funds.

REPORTING AND COMPLIANCE

State and Federal Requirements

All Applicants should review and be familiar with the OOG administrative rules governing the GURI Program. These rules are published in Texas Administrative Code, Title 10, Part 5, Chapter 190.

In addition to the OOG's administrative rules, Applicants should be familiar with the Uniform Grant Management Standards (UGMS) and relevant Code of Federal Regulations (CFR) that relate to state, and if applicable, federal grant funding.

UGMS can be found at: http://comptroller.texas.gov/procurement/catrad/ugms.pdf

Applicants must agree to comply with the attached uniform state assurances as set forth in the Uniform Grant Management Standards in order to submit an application.

Grant Agreement

Eligible institutions that are selected for a GURI matching grant will be required to execute a Grant Agreement as a condition of the grant award. Failure to comply with the terms and conditions of the grant agreement make affect the grantee's eligibility for reimbursement payments.

Grant Management

Grantees will be expected to make to progress in meeting the goals of the recruitment project in a timely manner and in accordance with the Grant Agreement.

Reporting Requirements

If an Application is funded, the grantees will be required to fulfill reporting requirements, as outlined in the Grant Agreement with the OOG. Grantees shall cooperate with OOG and provide all requested information to OOG in connection with the preparation of any reports that may be required from time to time to be made by OOG to the Texas Legislature or any relevant governmental entity regarding and GURI Grant Application or Award.

APPLICATION CHECKLIST

The Application Kit provides the information necessary to prepare the application for funding through the GURI Program.

The Application Kit is available on the OOG's website at http://gov.texas.gov/ecodev/guri/online_portal.

Updates and helpful reminders about the application process will be posted at this location. Applicants are encouraged to refer to this site regularly. The OOG reserves the right to modify the Application Kit, the Application or other required documents.

NOTE: Be sure to download the Budget Worksheet, which is also a part of the Grant Application. The Budget Worksheet is a separate electronic file. See additional instructions in this Kit.

- ☐ Establish Username and Password
- ☐ Online Application
- ☐ Supporting Documentation for Grant Application
  - ☐ Distinguished Researcher Claimed Credentials
  - ☐ Distinguished Researcher Resume/Curriculum Vitae
  - ☐ Letters of Support as required by 10 TAC § 190.23
  - ☐ Signed Statement Supporting the Grant Application
- ☐ Completed Budget Worksheet http://gov.texas.gov/ecodev/guri/online_portal

GRANT APPLICATION INSTRUCTIONS

BEGINNING FEBRUARY 2016

APPLICATIONS WILL ONLY BE ACCEPTED ONLINE AS DESCRIBED BELOW:

Hard copy Applications will not be accepted.

Application Registration

All Applicants are required to register to access the Online Application Portal.

Online Application Portal

Each user will be required to establish a user account and password. Click the following link: https://gov.texas.gov/guri_app/ and click on ***Register as a new user***.

Once all required fields have been filled out on the "Request Login" page, please click ***Request Login.***

Once all information provided on the "Request Login" is verified, a follow-up email will be sent that will include a confirmation link that will need to be executed so that you may begin to fill out the online application.

Any login requests received by the OOG after 4pm will not be processed until the following business day.

Users will be required to answer each question in the online application and attach all pertinent documents. After an application is submitted in the online application portal, no changes to the application can be made. Please make sure all information and responses are true and correct before clicking "Submit Application".

Note: GURI Password Rules: Must be a minimum of nine characters long, must not contain consecutively repeating characters, cannot be a password previously used within the last 365 days, and it must contain at least one letter, one number, and one special character (for example: $,%,!,etc.).

Each applicant is required to have a single point of contact as required by Title 10, Part 5, Chapter 190 of the Texas Administrative Code.

Required Software and Capabilities

Microsoft Excel 97 or a newer version is required to complete the Application and apply for a grant. Please note that not all versions of Microsoft Excel are the same. If an error message is received, save as *.xls*, instead of *.xlsx. Adobe Reader* is required to access the Application Kit. *Adobe Reader* can be downloaded for free at www.adobe.com. In order to submit the required documents, Applicants will need to have the capability to combine and create a pdf file.

Upon submission of the Application, the Applicant should receive an automated confirmation from the OOG. It is recommended that the Applicant retain a copy of that email.

The OOG accepts no responsibility for delays in submission, electronic or otherwise. Applicants are strongly advised to allow for and anticipate any such delays by submitting the Application as early as possible.

Contact Information

Assistance with general questions and other technical questions about the Application, Application Kit or the application process is available via:

- Email: GURI@gov.texas.gov
- Phone: (512) 936-0100

Email is the preferred method for submitting questions. Each person submitting a question should include their name, the name of the eligible institution, email address, and phone number.

The OOG will remain available to assist eligible institutions during the grant application process. Please note, however, that OOG staff will not assist with writing Applications.

INSTRUCTIONS FOR BUDGET WORKSHEET

The Budget Worksheet records information for expenditures related for both GURI grant funds and committed matching funds.

The total of requested GURI grant funds cannot exceed the total of the committed match grant funds. The Budget Worksheet may be accessed by clicking the following link: http://gov.texas.gov/ecodev/guri/online_portal

Match can be met by cash or in-kind commitments. Match may only be allocated within the eligible budget cost categories for GURI grant expenses.

Example of Worksheet

Governor's University Research Initiative											
GURI Funds					Commited Match Budget						
Budget Category	Expected Time to Expend (In Months)	Expense Description	Grant Budget		Budget Category	Expected Time to Expend (In Months)	Match Description	Match Type (Cash or In-kind)	Grant Budget	Source of Funds	TOTAL Budget
One-Time Salary Supplement	3	One-time Salary Supplement	$ 100,000.00		One-Time Salary Supplement	3	One-Time Salary Supplement	Cash	$ 100,000.00	Other - Institution donations	$ 200,000.00
Professional and consultant		Legal Services for IP Transfer	$ 10,000.00								$ 10,000.00
Travel	2	Travel to and from Current institution - Recruitment Meetings	$ 25,000.00								$ 25,000.00
Travel					Travel	5		Cash	$ 1,000.00	Other - Institution donations	$ 1,000.00
Equipment	3	Argon and Carbon Dioxide Lasers	$ 100,000.00								$ 100,000.00
Supplies	1	Spectroscopy lab supplies	$ 3,000.00								$ 3,000.00
Construction	12	Renovate/Build out Old Faithful Hall	$ 600,000.00		Construction			Cash	$ 738,000.00	Other - Institution donations	$ 1,338,000.00
Direct operating expenses	3	Apartment rent during relocation	$ 2,000.00		Direct operating expenses			Cash	$ 1,000.00		$ 3,000.00
TOTAL			$ 840,000.00						$ 840,000.00		$ 1,680,000.00

STATEMENT SUPPORTING THE GRANT APPLICATION

This signed statement must be submitted with the Grant Application
or the Application will not be considered.

APPLICATION FOR DISTINGUISHED RESEARCHER:_____

NAME OF APPLICANT INSTITUTION: _____

1. **CERTIFICATIONS AND ASSURANCES.** The undersigned certifies that it shall comply with the requirements of applicable state law, regulations, and policies, including, but not limited to, Texas Government Code Chapter 783, the administrative rules of the Texas Comptroller of Public Accounts at Title 34, Chapter 20, Subchapter I of the Texas Administrative Code, the State Uniform Grant Management Standards (UGMS), including the Uniform Statement Grant Certification and Assurances, and the GURI administrative rules at Title 10, Part 5, Chapter 190 of the Texas Administrative Code.
2. **TRUE AND CORRECT INFORMATION.** The undersigned certifies that the information contained in this Grant Application is true and correct to the best of his or her knowledge.
3. **DEADLINES AND SUBMISSION OF APPLICATION.** The undersigned understands that the Applicant institution must submit the information and documents as required in the Application Kit. The undersigned further acknowledges that:
   - It is the Applicant institution's responsibility to submit the Grant Application to the OOG in the specified manner;
   - Grant Applications submitted in other formats will not be accepted;
   - The OOG accepts no responsibility for delays in electronic submission delivery; and
   - Proof of sending a document by email or other means is not proof that the OOG received the information.

(NAME)	**(TITLE)**
Name of Certifying Official	Title of Certifying Official

UNIFORM STATE GRANT CERTIFICATIONS AND ASSURANCES

The Grantee must assure and certify compliance with any and all applicable federal and state statutes, regulations, policies, guidelines and requirements, including, but not limited to, the Uniform Grant Management Standards (UGMS); and Title 1, Part 1, Chapter 4 of the Texas Administrative Code, and the GURI administrative rules at Title 10, Part 5, Chapter 190 of the Texas Administrative Code that govern the application, acceptance and use of State funds for this project. In instances where multiple requirements apply to a Grantee, the more restrictive requirement applies. ***By accepting the grant award, the Grantee certifies and assures that it complies and will continue to comply with the following:***

1. Grantee possesses legal authority to apply for the grant. A resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative, or their designee of the organization to act in connection with the application and to provide such additional information as may be required. State agencies are not required to adopt a resolution.
2. A grantee must comply with Texas Government Code, Chapter 573, Vernon's 1994, by ensuring that no officer, employee, or member of the applicant's governing body or of the applicant's contractor shall vote or confirm the employment of any person related within the second degree of affinity or the third degree of consanguinity to any member of the governing body or to any other officer or employee authorized to employ or supervise such person. This prohibition shall not prohibit the employment of a person who shall have been continuously employed for a period of two years, or such other period stipulated by local law, prior to the election or appointment of the officer, employee, or governing body member related to such person in the prohibited degree.
3. A grantee must insure that all information collected, assembled or maintained by the applicant relative to a project will be available to the public during normal business hours in compliance with Texas Government Code, Chapter 552, Vernon's 1994, unless otherwise expressly prohibited by law.
4. A grantee must comply with Texas Government Code, Chapter 551, Vernon's 1994, which requires all regular, special or called meeting of governmental bodies to be open to the public, except as otherwise provided by law or specifically permitted in the Texas Constitution.
5. A grantee must comply with Section 231.006, Texas Family Code, which prohibits payments to a person who is in arrears on child support payments.
6. No health and human services agency or public safety or law enforcement agency may contract with or issue a license, certificate or permit to the owner, operator or administrator of a facility if the license, permit or certificate has been revoked by another health and human services agency or public safety or law enforcement agency.
7. A grantee that is a law enforcement agency regulated by Texas Government Code, Chapter 415, must be in compliance with all rules adopted by the Texas Commission on Law Enforcement Officer Standards and Education pursuant to Chapter 415, Texas Government Code or must provide the grantor agency with a certification from the Texas Commission on Law Enforcement Officer Standards and Education that the agency is in the process of achieving compliance with such rules.
8. When incorporated into a grant award or contract, standard assurances contained in the application package become terms or conditions for receipt of grant funds. Administering state agencies and local grantees shall maintain an appropriate contract administration system to insure that all terms, conditions. and specifications are met.

9. A grantee must comply with the Texas Family Code, Section 261.101 which requires reporting of all suspected cases of child abuse to local law enforcement authorities and to the Texas Department of Child Protective and Regulatory Services. Grantees shall also ensure that all program personnel are properly trained and aware of this requirement.
10. Grantees will comply with all federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps and the Americans With Disabilities Act of 1990; (d) the Age Discrimination Act of 1974, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to the nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
11. Grantees will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. § § 276a to 276a-7), the Copeland Act (40 U.S.C. § § 276c and 18 U.S.C. § § 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. § § 327-333), regarding labor standards for federally assisted construction subagreements.
12. Grantees will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P. L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
13. Grantees will comply with the provisions of the Hatch Political Activity Act (5 U.S.C. § 7321-29) which limit the political activity of employees whose principal employment activities are funded in whole or in part with Federal funds.
14. Grantees will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act and the Intergovernmental Personnel Act of 1970, as applicable.
15. Grantees will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protections Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA. (EO 11738).
16. Grantees will comply with the flood insurance purchase requirements of 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234. Section 102 (a) requires the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition proposed for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards.
17. Grantees will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National

Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

18. Grantees will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
19. Grantees will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
20. Grantees will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
21. Grantees will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residential structures.
22. Grantees must adopt and implement applicable provisions of the model HIV/AIDS work place guidelines of the Texas Department of Health as required by the Texas Health and Safety Code, Ann., Sec. 85.001, et seq.
23. Grantees will comply with Public Law 103-277, also known as the Pro-Children Act of 1994 (Act), which prohibits smoking within any portion of any indoor facility used for the provision of services for children as defined by the Act.
24. Grantees will comply with all federal tax laws and are solely responsible for filing all required state and federal tax forms.
25. Grantees will comply with all applicable requirements of all other federal and state laws, executive orders, regulations and policies governing this program.
26. The applicant must certify that they are not debarred or suspended or otherwise excluded from or ineligible for participation in federal assistance programs.