The Welch Foundation
Research Grants
RESEARCH PROGRAMS

Research Grant Program
Guidelines and Procedures

Effective November 1, 2023

GENERAL INFORMATION

Purpose
The purpose of the research grant program is to support fundamental chemical research at educational institutions within the state of Texas.

Eligibility
Applications are restricted to universities, colleges or other educational institutions located within the state of Texas and also listed as an educational institution by the Texas Higher Education Coordinating Board.

A principal investigator applying for a research grant must be a full-time regular faculty member with tenure or on the tenure track. Any Co-PI must meet the same eligibility standards as the principal investigator.

Only one proposal per year may be submitted by a principal investigator. Principal Investigators or Co-Principal Investigators can hold only one research grant at a time. Welch endowed chair holders are not eligible to apply for a research grant. Faculty in a department which has a Departmental grant are eligible to apply for a research grant. Contact the foundation if clarification is required.

Grant Applications
Applications must be submitted between November 1 and by the last business day of January to be considered for the next grant year, June 1 - May 31.

The Foundation will respond to all grant applications. Awards will require formal acceptance by the grantee institution of the conditions set forth in the Foundation's award letter and all terms and conditions stated in these Research Grant Program Guidelines and Procedures.

Applicants must use the official online application portal in ProposalCentral. All information requested in the online application and attachments must be supplied and a failure to do so will disqualify the application.

Welch research grant proposals should have no scientific overlap with any current externally funded projects.

Proposals should describe work that encompasses a three-year period.

Proposal Review
The Scientific Advisory Board reviews all proposals and make funding recommendations to the Board of Directors. The Board of Directors make the final decision on which proposals will be funded. All applicants will be notified of the decision on their proposal in April.

APPLICATION INSTRUCTIONS
Applicants are required to be full-time regular faculty members with tenure or on tenure track.
The ProposalCentral website (https://proposalcentral.com)

Deadline to submit an application is 12:00 PM CST on the last business day of January.

If you have any difficulties registering, logging in, or creating your application, contact ProposalCentral Customer Support:
Toll-free U.S. and Canada 1-800-875-2562   Email: pcsupport@altum.com
Normal Business Hours: 8:30am – 5:00pm Eastern Time (Monday thru Friday)

Getting started in ProposalCentral

New users of ProposalCentral will need to create an account by using the "Create One Now" link and complete the registration process. After you register, complete your Professional Profile before starting an application.

Current registered users with ProposalCentral can login with your username and password.

To start an application, select the "Grant Opportunities" tab. A list of applications will be displayed. From the filter drop down menu, select "Welch Foundation". The research grants application will appear. Click the "Apply Now" link to begin your application.

Application Format

The following information is required to submit a complete application. Numbers correspond to the application sections that appear on the left side of the online application.

1. *Title Page*. Enter the title of the research project. The title is limited to 150 characters (including spaces). Click "New" or "Renewal" in the appropriate circle. If your proposal is a renewal, list your current grant number in the next field. Click "Yes" or "No" if you have submitted the same application to any other agencies. Click "Yes" or "No" for the question "Are you a full-time, tenure or tenure-track professor?" Finally, click "Yes" or "No" for the question "Are you submitting your application from an institution located within the state of Texas?" When this page is complete, either click "Save" or "Next".

2. *Download Templates & Instructions*. The program guidelines and procedures document and any other required templates to be completed with this application will appear in this section. Click the "Download" button to the left of the description to save the file to your own computer. If there are any templates to fill out, they will need to be downloaded, completed, and then converted to a PDF file and uploaded back into Section 12. (see below)

3. *Enable Other Users to Access this Proposal*. This section allows you to give other users access to your grant application at varying levels of permissions. This is where you would add Sponsored Projects personnel, an institution representative who has signature authority, or a Co-PI to give them the necessary access to your application.

4. *Applicant/PI*. Provide the required information for the applicant. Your profile should have prefilled most or all of the required data, however, you can edit your Professional Profile from here to complete any required fields.

5. *Institution and Institution Officials*. Either select your institution or be sure the correct institution has been populated. Enter information for the required Signing Official for your institution.

6. *Co-PI (if applicable)*. Enter information regarding any Co-PIs on this project. If there aren't any Co-PIs, leave this section blank.

7. *Project Summary*. Enter a brief summary of the proposed project. This summary is limited to 2,000 characters (including spaces). Any additional characters beyond this limit will be truncated once you move on to the next section. To ensure you comply with the character limit, it is advised to draft your summary in Microsoft Word or similar program which can give you a character count. **Research Impact paragraph**. In 200 words or less, add the appropriate descriptive paragraph as fined by the following. New proposals: Describe what the impact would be if this work is successful. Renewal proposals: Describe what impact the past work has had on the field.

8. *Budget Period Detail*. Enter a grant year start date of June 1 and an ending grant year date of May 31 of each period. You must complete all three periods for the budget. These are shown as Period 1, Period 2 and Period 3 and are separated into different windows. If your budget for periods 2 and 3 are the same as period 1, you can click "Copy Period 1 Forward" and from period 2, "Copy Period 2 Forward" so you don't have to enter the information manually each time. Proposals should contain a completed three-year budget for $100,000 per year. Funds may be utilized for direct expenditures in accordance with the following:
   a. Fellowships and Scholarships — Renewable postdoctoral fellowship appointments should be for 12 months, or in accordance with your institution's guidelines, but certainly not less than three consecutive months. Graduate fellowship appointments must cover a meaningful

period and certainly not less than three consecutive months. Undergraduate scholarship appointments must also cover a meaningful period such as an academic year, semester, or a minimum of two (2) consecutive months if during the summer.

b. Fringe Benefits — Amounts may be paid for individuals receiving fellowships or scholarships at rates approved by the institution.

c. Permanent Scientific Equipment — Items with at least one-year useful life expectancy and costing a minimum of $5,000.

d. Expendable Scientific Items, Services and Equipment Maintenance — The grantee institution must maintain a record of actual expenditures, by category, for inclusion in the financial statements.

e. Publication Expenses — Expenses for publishing the results of research accomplished with the grant.

f. Travel — Foreign or domestic travel expenses, including registration fees, by the principal investigator and current fellowship or scholarship recipients under the grant. Travel must be relevant to the research. Total expenditures may not exceed $5,000 per grant year.

Grant funds for direct expenditures may be utilized for any proper purpose beneficial to the research and not specifically excluded by the Foundation. Any expenditure made outside of these guidelines may result in a request for refund. **The following are excluded as direct expenditures:**

a. General office supplies, equipment or expenses.
b. Building construction, alteration, renovation, rent or utilities.
c. Personnel expenses other than fellowships and scholarships as detailed above.
d. Consultant fees and/or related expenditures.
e. Student tuition or fees.
f. Membership dues.
g. Overhead.

9. *Budget Summary*. A summary of the proposed budget appears here (fields are auto populated per the data entered in Section 8).

10. *Active and Pending Research Support*. Any other active and applied for research support must be added from your Professional Profile. If you have not added the listings already, it can be done from within the application by clicking the blue plus on the screen for that section and a pop-up screen will appear. Any "Other Support" already loaded into your profile will display on the screen and can be checked to add to your application. However, if you have new entries, click the "Create New Other Support" link and another pop-up screen will appear where the information can be entered. Once complete, click "Save and Close" and this entry will be added to your application as well as your profile. If you do not have any additional support, check the box on the original page of this section that says, "No Other Support to Report".

11. *Publications*. List all the papers published by the principal investigator in peer-reviewed/refereed journals within the last 25 months ending January 31 of the current grant application year. (For example, if the grant application is due January 31, 2024, list all publications between December 31, 2021-January 31, 2024) You may also add up to five additional papers most pertinent to the proposed project that were published in the three calendar years prior to the 25 months. (For example, five additional publications can be listed from the years of 2019, 2020 and 2021.) **Publications must be added in reverse chronological order (newest to oldest)**. Any publications added to the application must be added from your Professional Profile. If you have not added the listings already, it can be done from within the application by clicking the blue plus on the screen for that section and a pop-up screen will appear. Any "Publications" already loaded into your profile will display on the screen and can be checked to add to your application. However, if you have new entries, click the "Create New Publication" link and another pop-up screen will appear where the information can be entered. Once complete, click "Save and Close" and this entry will be added to your application as well as your profile. If you do not have any publications, check the box on the original page of this section that says, "No Publications to Report".

12. *Application Attachments.* Prepare and upload the following documents into your application in PDF format:
   a. Project Description – Cover the background and the approach of the research proposal of the principal investigator. This section should be no more than five pages, including any exhibits. References are not included in the five-page limitation. This detailed description must utilize a font size of 11 points or larger, line spacing must be at least 1.5 spaced, but no more than five lines of text per vertical inch, and margins must be at least an inch in all directions.
   b. Principal Investigator's Biosketch – An NIH-style biosketch should be provided and limited to two pages. If there is a Co-PI, a biosketch also must be uploaded for the Co-PI.
   c. Tenure Letter – A letter from the grantee institution stating that the principal investigator is a full-time faculty member with tenure or is on tenure track. If there is a Co-PI, there must be a letter for them as well.
13. *PI Data Sheet.* This section contains a few items from the PI's professional profile and lists a small amount of PI demographic information.
14. *Validate.* Validate the application on ProposalCentral. This is an essential step and checks for required data and attachments. You will not be able to submit your application if all the required information has not been provided. An application that has not been validated cannot be submitted.
15. *Electronic Signatures.* Signatures on applications will be handled digitally within the application.
16. *Submit.* After you click the "Submit" button, an email will be sent to you confirming your submission. At this point you can no longer edit any portion of your application without contacting The Foundation and having your application "unsubmitted" back to you.

POST AWARD GUIDELINES AND PROCEDURES

Control of Research

The conduct and supervision of all research performed under a Foundation grant shall be within the exclusive control of the grantee institution. In accepting a grant, the grantee institution agrees to assume the entire responsibility for the research, for taking any necessary precautions for protection of persons and property, for proper operation and maintenance of all equipment in research activities and for safe disposal of any hazardous waste materials.

Appointments

The purpose of postdoctoral and graduate fellowships and undergraduate scholarships is education and training in chemistry through research. All postdoctoral and graduate fellowships and undergraduate scholarships must have signed letters of appointment on file at the grantee institution. An individual's appointment can be supported in combination with non-Welch funding, but 50 percent or more must be funded from the Welch grant. Graduate students can receive funding from a grant through the time they are awarded a terminal degree. Limits on the terms of postdoctoral fellows funded from Welch grants should follow the grantee institution's policies on postdoctoral appointments. Renewable postdoctoral fellowship appointments should be for 12 months or in accordance with your institution's guidelines, but not less than three consecutive months. Graduate fellowship appointments must cover a meaningful period and certainly not less than three consecutive months. Undergraduate scholarship appointments must also cover a meaningful period such as an academic year, semester, or a minimum of two (2) consecutive months if during the summer.

There shall not be any employer-employee relationship between the Foundation and the principal investigators or recipients of appointments under Foundation grants.

Attribution Rights

Any publication in scientific media shall include an acknowledgement referencing the Welch grant number and stating that the research was funded in part by a grant from The Welch Foundation. In addition, the background section of any patent application filed on an invention made with the assistance of a Welch Foundation grant shall include an acknowledgement referencing the Welch grant number and stating that the development of this invention was funded in part by The Welch Foundation.

Grant Payments

Grant funds normally will be paid by the Foundation on a quarterly or annual basis. Quarterly payments will be made in equal amounts and normally remitted in June, September, December and March for the current grant year. Annual payments will normally be remitted in June for the current grant year. There may be circumstances when the Foundation will remit grant payments for future time periods. If this occurs, the PI cannot utilize these future funds until the grant year they are allocated for is in effect.

Absence of Principal Investigator

If a principal investigator expects to be away from the grantee institution for an appreciable period of time, the Foundation must be informed in advance. The grant will become inactive unless the grantee institution submits a written request acceptable to the Foundation demonstrating that the grant will remain under the full control of the grantee institution.

Transfer of Principal Investigator

If a principal investigator transfers out of the grantee institution, standard closeout procedures should be carried out at the grantee institution with respect to the grant. A new grant proposal may be submitted by any eligible Texas educational institution to which a principal investigator has transferred.

Deliverables (Year-End Reports) (must be submitted through ProposalCentral by the last business day of July of each year):

1. **Progress Report** (ProposalCentral Webform). Report the progress of the research and list publications authored and submitted during the grant year (June 1 – May 31). This report is a webform with the following elements:

   a. *Research Objective* – Enter your brief research objective in the block provided. You are limited to 500 characters (including spaces).

   b. *Report the progress of your research this grant year* – Enter the progress you made on your research during the grant year in the block provided. You are limited to 2,000 characters (including spaces).

   c. *Publications* – For all sections in this area, the publications listed will only be those where the current status date falls during the grant year of this report (June 1 – May 31). This section is completed by adding publication entries from your ProposalCentral profile or by adding the publication directly from the publication section on the report. The information should be entered in the same format as it appears on the article or reprint. These entries must be filled out as completely as possible prior to adding them to the progress report webform. This includes making sure the digital reprint file is uploaded to the Welch Supported-Published articles. Do not report publications that have already been reported in this section in a previous progress report. Make sure the Status of the publication in your profile (Published in journal or Preprint server or submitted to journal) matches the Publication Category selected (Welch Supported-Published; Welch Supported-Accepted; Welch Supported-Submitted; Non-Welch Supported-Published/Accepted; Non-Welch Supported-Submitted; Welch Supported-Books or Other Non-Peer Reviewed) when adding it to the report. If, after you've added a publication record to your report, you need to make changes to the entry, you can select the edit action to the right of the publication and edit the entry. Once saved, it will update your report as well as your profile. The status of any publication listed in this section must reflect its position at May 31 of the grant year being reported.

   d. *Upload* – Upload the completed deliverable template titled "Research Personnel Template." Please be sure to fill in all fields for each personnel supported this grant year.

   e. *Inventions* – This section is completed by adding any patents or inventions from your ProposalCentral profile or by adding a new entry that will also update your profile. These entries must be filled out as completely as possible prior to adding them to the progress report webform. You should only list patents or inventions that came about as a result of either partial or full

support from your Welch funding. If you do not have any patents or inventions, click "No Inventions to Report".

    f. *Electronic Signatures* – Both the principal investigator and a university authorized representative should independently sign this document. Both individuals must be logged into ProposalCentral as themselves before entering their electronic signature. We will not accept someone signing someone else's name. Once completed, the report can be submitted by either signatory.

2. **Expenditures** (ProposalCentral Award Budget Webform). Report expenditures during the most recent grant year (June 1 - May 31). All amounts should be reported on a cash basis. The award budget expenditures have the following items:

    a. *Personnel Cost* – For year-end reporting, you must only enter expenditures and descriptions in the "expenditure" column. If your personnel were unidentified in the budget column, you must add a personnel line, name the personnel and fill in the appropriate information only in the expenditure column. Do not change anything in the budget column and do not add expenditures on a line that had not identified the name of the personnel.

    b. *Permanent Scientific Equipment* – If permanent equipment has been purchased (cost of $5,000 or more), add a line in this category so you may identify the equipment and load exact expenditures.

    c. *Expendable Scientific Items* – If expendable items or services have been purchased, add lines for each category of expendables purchased and note the expense in the expenditure column.

    d. *Publication Expenses* – If publication expenses were budgeted, list the expenditure in the same line. If they were not budgeted, add a line showing just the expenditure.

    e. *Travel* – If travel expenses were budgeted, list the expenditure on the same line. If they were not budgeted, you will need to add a line showing just the expenditure. Total expenditures may not exceed $5,000 per grant year.

    f. *Other Changes* - Welch Internal Use Only – Do not use this line.

    g. *Carry Forward* - Welch Internal Use Only – Do not use this line.

    Note: The "Proposed", "Awarded", and "Carry Forward" columns should not be altered in any way from what was approved previously by The Welch Foundation. At year-end reporting time, principal investigators and university officials should be entering only expenditures and carry forward balance into the next grant year. As with the progress report, both the principal investigator and a university authorized representative should independently sign award budget/expenditures. Both individuals must be logged into ProposalCentral as themselves before entering their electronic signature. We will not accept someone signing someone else's name. Once completed, the report may be submitted by either signatory.

3. **Carry Forward** (ProposalCentral Award Budget Webform). An unexpended balance of more than $30,000 must have a letter submitted from the grantee institution explaining the circumstances for the carry forward and the plans to use those funds in the following year. If the carry forward balance equals or exceeds the annual award amount at the end of the grant period, the Foundation reserves the right to put future grant payments on hold for the remainder of the grant term or to enact a fourth-year no-cost extension (no additional funds) to allow the grantee to spend out the funds prior to receiving additional funding.

    Note: Input for expenditures are found in the "Budget" area of ProposalCentral grant record. Populating approved carry forward amounts will be handled by Welch when the expenditures are approved.

Termination of Grants

    A grant may be cancelled for cause if The Foundation determines that progress toward the objective of the grant is not being made satisfactorily or if the grantee institution or the principal investigator is not in compliance with the terms and conditions of the award letter or these guidelines. Principal investigators should notify The Foundation and request a termination if it becomes clear they will not be able to fulfill the

terms of the award for any reason. Once the principal investigator or grantee institution is aware the grant will terminate, expenditures may no longer be made for permanent scientific equipment or for expendable scientific items that cannot be utilized during the remainder of the grant term. In addition, no new appointments may be made to the grant. Standard closeout procedures will be carried out at the grantee institution with respect to the grant.

The following shall be forwarded to the Foundation within 60 days after the termination of a grant for any reason:
1. Final Progress Report.
2. Final Financial Statement.

A refund of any unexpended balance will be requested after the Final Financial Statement has been approved and will be due to The Foundation within 30 days.

No-Cost Extensions

Principal Investigators may request a no-cost extension for research grants for up to 12 months. Requests must be submitted to The Welch Foundation prior to the current termination date using the 'deliverable template' for no-cost extensions and submitted via the correspondence section in proposalCentral. The request must explain the need for the extension beyond the established end date, include an estimate of the unexpended balance at the grant's end date, and describe how the balance will be used. Anticipating an unexpended balance when the grant expires is not a sufficient justification for an extension. The Foundation, in its sole discretion, will ascertain the need and length for an extension based on the details provided in the request.

The rules for terminating grants apply to any granted extension. Expenditures may no longer be made for permanent scientific equipment or expendable scientific items that cannot be utilized during the remainder of the grant, and no new trainee appointments may be made to the grant. If part of the justification for the extension is to support postdoctoral fellows, graduate students, or undergraduate students, these individuals must already be appointed and receiving support by the Welch grant. Extension requests will NOT be considered after the grant has expired.

Documentation

As a condition of a grant, all documents in connection with a grant (e.g. original proposal, award acceptance, and year-end reports) must be submitted through ProposalCentral and signed by the principal investigator and persons authorized by the institution to sign such documents (e.g., Research Dean or Signing Official). Scanned original signatures and digital signatures are considered original signatures.