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# FOIA MARKER

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**Record Group/Collection:** Donated Historical Materials  
**Collection/Office of Origin:** Frieden, Lex, Collection  
**Series:** Disability Rights Organizations  
**Subseries:**

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**OA/ID Number:** 52062  
**Folder ID Number:** 52062-003

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**Folder Title:**  
[TIRR - The Institute for Rehabilitation and Research] Baylor College of Medicine Memo [1995-1996]

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**Stack:**

**Row:**

**Section:**

**Shelf:**

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## Withdrawal/Redaction Sheet (George Bush Library)

| Doc. No. / Type | Subject/Title                                                      | Date   | Restriction | Classification |
|-----------------|--------------------------------------------------------------------|--------|-------------|----------------|
| 01. Letter      | To: Lex Frieden From: Karen McMullen<br>Re: [Confidential] (2 pp.) | 2/8/96 | C           |                |

Page 1 of 1

**Collection:**

**Record Group:** Donated Historical Materials

**Office:**

**Series:**

**Subseries:**

**WHORM Cat.:**

**File Location:** [TIRR - The Institute for Rehabilitation and Research] Baylor College of Medicine Memo [1995-1996]

**Pinksheet Number:** MB10853

**OA/ID Number:** 52062-003

**Date Closed:** 9/13/2016

**FOIA/Sys Case #:** 2016-2624-S

**Re-review Case #:**

**P-2/P-5 Review Case #:**

Let  
Ratifications  
for personnel?  
~~Let us~~ Do we need  
to change any of  
our processes for grants?  
And we share this with  
the ~~Project~~ Grant leaders?  
Let me know  
thanks  
JH  
6/10/96

Document Originally  
Attached to  
Following Page



## MEMORANDUM



## BAYLOR COLLEGE OF MEDICINE

Department of Physical  
Medicine and Rehabilitation  
(713) 798-6198

Address correspondence to:  
Smith Tower, Suite 1421  
6550 Fannin  
Houston, Texas 77030

To: Louisa Adelung  
President, CEO  
TIRR

From: Anthony J. O'Callaghan, MBA  
Administrator

Date: June 5, 1996

Subject: Baylor Personnel Issues

As you are aware, there are several individuals on the Baylor payroll that are primarily supported by TIRR grants and operations. Over the last several months various issues have arisen that have caused problems not only for the individuals being paid, but also for my staff in implementing and tracking the paperwork. Therefore, in an effort to streamline and formalize these processes as well as bring equity to our overall handling of these issues, we will make the following changes over the next few months so that all Baylor personnel will be handled in a uniform manner by next July 1, 1997.

First, since Baylor and TIRR have different fiscal years, we will process increases for this year only for individuals funded by TIRR operations and grants when we receive a letter stating the individuals, funding source, amount, and effective date. We will not be able to process this increase retroactively, and will need at least 30 days notice prior to the effective date of the increase. Several months ago this issue occurred, and it took an inordinate amount of man-hours on the part of my staff to implement, track and provide feedback to the Principle Investigators. The whole process was fragmented from the very beginning and took 5 - 6 months to fully implement.

Second, we will no longer process supplemental pay for Baylor personnel in order to provide TIRR bonuses. We believe that this is added compensation in recognition for TIRR related activities which should be funded by TIRR. There is also an equity situation in that no other Baylor employees receive such compensation, and the paperwork and tracking of this information is very labor intensive.

Beginning July 1, 1997, all Baylor personnel will be handled in accordance with Baylor policies whereby increases (if applicable) will take place on July 1 for the entire fiscal year. If TIRR would like for Baylor employees to receive increases on TIRR grants and TIRR operations, we will need the information by April 1, 1997 in order to implement the increases which will take effect on July 1st. We need three months lead time in order to finalize Baylor paperwork and process Faculty appointment letters. The Baylor system is large and cumbersome with several policies that must be followed. It takes a few weeks to get personnel changes through the system, and retro-active changes are especially time consuming in that they must be individually documented for audit purposes.

Page 2

Grants will always have start and end dates throughout the year, and we will always be dealing with the issue of adjusting time and effort reports as percents of time shift among different grants. However, we do not process any mid-year increases on other employees every time a grant has started, and will no longer be able to do so for employees on TIRR grants.

Also, we no longer have the manpower to dedicate time and effort into pulling these individuals out of the Baylor budget process (which is in April and May) only to turn around a few months down the road and individually process personnel forms for individual increases on TIRR grants followed by additional changes for TIRR operations.

I know you can understand that as the environment in healthcare changes, and as we try to maximize employee productivity, functions must also change and be consolidated. Please feel free to give me a call if you should have any questions regarding these personnel issues.

cc: Martin Grabois, M.D., Chairman  
Brian Hamilton, Controller - TIRR  
Lex Frieden, Ph.D.  
Karen Hart, Ph.D.  
Harvey Levin, Ph.D.

*Louisa Adelung*

*Let these reports be prospective or retrospective? Louisa #12/12*

# MEMORANDUM

DATE: April 19, 1996

TO: TIRR and Baylor Department of PM&R Researchers

FROM: Lex Frieden *LF*  
Harvey Levin, Ph.D. *HL*

-----

In an effort to make the process of managing grants and inter-institutional personnel sharing more logical and more efficient, we will institute the following procedures effective May 1, 1996.

- 1) Principal investigators will submit a matrix showing all personnel and grants under their direction to Debbie Peters, 1421 Smith Tower (FAX: 798-4688), Baylor Department of PM&R and to the grants accountant at TIRR on or by the first day of each month. Data on the matrix should indicate the intended personnel distribution for the month on which the form is submitted. Please note that column one should be checked if there is any change from the preceding month. Also, please note that each employee must sign the matrix next to his or her distribution for each month. This procedure is required by grant auditors and is intended, in part, to insure that each employee knows what grants they are working on--and what portion of their time is being attributed to those grants. A copy of the form to be used for this purpose is attached.
- 2) Principal investigators will submit a memorandum to Betty Bacha, 1421 Smith Tower, Baylor Department of PM&R, and to the grants accountant at TIRR on each occasion that a new employee is to be hired or when a current employee will be added either full or part time to a new or existing grant. This memo should include the following information: Name of the individual who is to be hired; institution which will employ this individual; short description of this individual's role as well as his or her proposed title, percentage of time to be purchased, and grant or grants to be charged. If more than one grant is to be billed, then the proposed distribution should be stated. The proposed start date for this individual should also be included, along with a projected end-date or planned length of service.

These procedures have been developed by a team of people representing the Baylor Department of PM&R, Baylor's Accounting Office, and TIRR Administration. While they may seem burdensome at first to some of you, they are necessary to improve efficiency and accountability. If you need assistance with these procedures, please call Debbie Peters at 798-8942. Also, you may wish to confer with Laurie Redd at ILRU who has been using these procedures for the past 10 years.

| DISNEY / WARNER GRANTS |                            |             |             |             |             |             |                 |               |                 |                  |           |
|------------------------|----------------------------|-------------|-------------|-------------|-------------|-------------|-----------------|---------------|-----------------|------------------|-----------|
| MONTH:                 |                            |             |             |             |             |             |                 |               |                 |                  |           |
|                        |                            |             |             |             |             |             |                 |               |                 |                  |           |
| EMPLOYEE               | Change From<br>Prior Month | GRANT<br>#1 | GRANT<br>#2 | GRANT<br>#3 | GRANT<br>#4 | GRANT<br>#5 | TOTAL<br>GRANTS | OTHER<br>TIRR | OTHER<br>BAYLOR | TOTAL<br>PERCENT | SIGNATURE |
| Bashful,               |                            | 30          |             |             |             |             | 30              |               | 70              | 100              |           |
| Bunny, Bugs            | x                          |             | 50          | 40          |             |             | 90              | 10            |                 | 100              |           |
| Doc                    |                            | 50          |             |             |             | 50          | 100             |               |                 | 100              |           |
| Dopey                  |                            | 2           | 2           | 2           | 2           | 2           | 10              | 90            |                 | 100              |           |
| Duck, Daffy            | x                          |             | 50          |             |             | 50          | 100             |               |                 | 100              |           |
| Goofy                  |                            | 5           |             | 20          | 5           |             | 30              | 35            | 35              | 100              |           |
| Grumpy                 |                            |             | 20          |             | 5           | 5           | 30              |               | 70              | 100              |           |
| Happy                  |                            | 20          | 5           |             |             | 25          | 50              | 25            | 25              | 100              |           |
| Jane                   |                            | 20          |             | 20          | 40          | 20          | 100             |               |                 | 100              |           |
| Mouse, Mickey          | x                          |             | 20          |             |             | 20          | 40              | 60            |                 | 100              |           |
| Pinochio               |                            | 5           |             |             | 60          | 35          | 100             |               |                 | 100              |           |
| Sleepy                 |                            |             | 50          |             |             |             | 50              |               | 50              | 100              |           |
| Sneezy                 |                            | 10          |             | 20          | 30          |             | 60              | 40            |                 | 100              |           |
| Tarzan                 |                            | 10          | 5           |             |             | 55          | 70              |               | 30              | 100              |           |



MEMORANDUM

DATE: April 29, 1996

TO: Lex Frieden  
Harvey Levin, Ph.D.

FROM: William H. Donovan  M.D.

RE: Research Grants

Thank you for your memo dated April 19th.

What about UT personnel? I feel that the matrices and memoranda referred to in Paragraph 1 and 2 involving UT people (including SCI/TBI Model Systems) should also go to Doug Hewett, UT Houston Medical School, MSB 7.137, Houston, TX 77030, telephone number 792-0745.



**BAYLOR  
COLLEGE OF  
MEDICINE**

Department of Physical  
Medicine and Rehabilitation  
(713) 798-6198

Address correspondence to:  
Smith Tower, Suite 1421  
6550 Fannin  
Houston, Texas 77030

**MEMORANDUM**

To: Lex Frieden  
From: Debbie Peters  
Date: February 21, 1996  
Subject: TIRR and Baylor Paperwork

In response to your recent memo (sorry I'm a little late, but New Orleans was great!), the only comments I have are:

1. Paragraph 1, second line, have the information sent directly to me (Debbie Peters, Smith Tower 1421, Fax #798-4688) instead of the "Department". I don't want this information being sent to various locations and getting crossed in the mail.
2. State somewhere in the opening that these guidelines apply to all grants, but that only grants that cross institutional lines need to be reported to both TIRR and BCM. For example, I don't need all this information on all the TIRR grants and there is no need for the Baylor grants (like the big RT-4 grant with Hart and Rintala) to be reported to TIRR. However, I do need all the Baylor grants and you guys need all the TIRR grants.

Attached is a sample of the format for monthly reporting. Also attached is a copy of our department policy for hiring and terminating employees. Please feel free to give me a call if you have any questions or wish to discuss further.

cc: A.J. O'Callaghan

| DISNEY/WARNER GRANTS     |                         |          |          |          |          |          |              |            |              |               |           |  |
|--------------------------|-------------------------|----------|----------|----------|----------|----------|--------------|------------|--------------|---------------|-----------|--|
| MONTH:                   |                         |          |          |          |          |          |              |            |              |               |           |  |
| EMPLOYEE                 | Change From Prior Month | GRANT #1 | GRANT #2 | GRANT #3 | GRANT #4 | GRANT #5 | TOTAL GRANTS | OTHER TIRR | OTHER BAYLOR | TOTAL PERCENT | SIGNATURE |  |
| Bashful, Debbie          |                         | 30       |          |          |          |          | 30           |            | 70           | 100           |           |  |
| Bunny, Bugs              | X                       |          | 50       | 40       |          |          | 90           | 10         |              | 100           |           |  |
| Doc, <del>Doc</del>      |                         | 50       |          |          | 50       |          | 100          |            |              | 100           |           |  |
| Dopey                    |                         | 2        | 2        | 2        | 2        | 2        | 10           | 90         |              | 100           |           |  |
| Duck, Daffy              | X                       |          | 50       |          |          |          | 100          |            |              | 100           |           |  |
| Goofy                    |                         | 5        |          | 20       | 5        |          | 30           | 35         | 35           | 100           |           |  |
| Grumpy, <del>Felix</del> |                         |          | 20       |          | 5        | 5        | 30           |            | 70           | 100           |           |  |
| Happy, Karen             |                         | 20       | 5        |          |          | 25       | 50           | 25         | 25           | 100           |           |  |
| Jane                     |                         | 20       |          | 20       | 40       | 20       | 100          |            |              | 100           |           |  |
| Mouse, Mickey            | X                       |          | 20       |          |          | 20       | 40           | 60         |              | 100           |           |  |
| Pinocchio                |                         | 5        |          |          | 60       | 35       | 100          |            |              | 100           |           |  |
| Sleepy                   |                         |          | 50       |          |          |          | 50           |            | 50           | 100           |           |  |
| Sneezy                   |                         | 10       |          | 20       | 30       |          | 60           | 40         |              | 100           |           |  |
| Tarzan                   |                         | 10       | 5        |          |          | 55       | 70           |            | 30           | 100           |           |  |

*Ellen vey for Debbie*

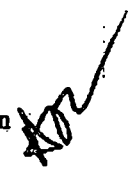
**BAYLOR  
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Houston, Texas 77030

**MEMORANDUM**

TO: Faculty and Staff

FROM: Anthony J. O'Callaghan   
Administrator

DATE: August 16, 1995

SUBJECT: Departmental Hiring and Termination Procedures

This memorandum is to inform you of the procedures involved in the hiring of personnel which comply with Baylor requirements. As of July 1, 1995, Betty Bacha has been assigned to handle personnel paperwork including PAF's, staff recruitment processing, etc for our Department. She is located in the Smith Tower at 6550 Fannin, Suite 1421, Houston, TX 77030. Her direct phone number is 798-8285. All paperwork should be directed to Betty's attention for processing and for my final approval.

**PROCESS TO INTERVIEW CANDIDATES:**

1. Submit to my office a fully completed Staff Requisition/Funding Authorization Form including the principal investigator's approval signature. All items must be completed except the position number. Charge sources must be shown.
2. My office will review and approve this information, and submit the form to Personnel Employment.
3. If the candidate is applying for a new position, Baylor Personnel will need to approve the position prior to a recruiter being assigned to the requisition. If the candidate is applying to fill a vacancy, a Personnel Recruiter will be in contact with you.
4. Baylor Personnel will have all applicants complete an Employment Application, which is done prior to any title, salary or job offer is made.

Please be aware that, even though you select a candidate for employment, an application and various forms must be sent to me for final authorization, and the personnel recruiter must be informed so they can offer the candidate the position.

**THE PROCESS TO HIRE CANDIDATES:**

1. After you have interviewed all candidates and reached a final decision, a Recruitment/Interview Report and a Job Related Exposure Certificate must be completed with charge sources, date of appointment and investigator's approval. Please submit these forms to me for approval, and my office will submit to Personnel Compensation.
2. All paperwork should be submitted prior to the start date of employment. All new hires must meet with representatives of Personnel Services prior to or on the first day of employment. Personnel Employment representatives will insure that a I-9 Certificate is completed, and insure that all non-citizens have been processed through the International Services Office. They will also schedule new hires for Orientation and

the Occupational Health clearance. Personnel Benefits will conduct a benefit program enrollment, secure the W-4 Form, and direct all new hires with clinical responsibilities to Risk Management for malpractice insurance coverage.

3. Time Sheets for non-exempt new hires are produced by Personnel after all paperwork has been received. Time Sheets will be delayed if the paperwork is late or incomplete; therefore, it is critical that all paperwork be processed in accordance with the above guidelines to insure that the new hire receives a paycheck in a timely manner. Special time sheets can be produced by my office, but we would like to keep this activity to a minimum.

4. Faculty and Exempt employee time sheets should already be available in your department. However, if you need additional copies please contact Betty Bacha. Faculty and Exempt employee time sheets need to be turned in once monthly unless they need to be docked for time off when leave is not available. In this case, their time sheets should be turned in the same time as non-exempt employees as follows:

a) for the 1st - 15th of the month, time sheets are due by 4:00 p.m. on the 16th of the month (of the first work day after the 15th).

b) for the 16th - end of month, time sheets are due by 4:00 p.m. on the 1st of the following month (or the first work day of the following month).

Please note that Faculty hires require a formal recommendation from the Department Chair to the Executive Vice President as well as a Record of Professional Training and Experience Form to Faculty Affairs. Postdoctoral Fellow hires require coordination through the Baylor Department of Education Office as well as a Postdoctoral Fellow Request Form.

#### **PROCESS TO TERMINATE EMPLOYEES:**

If an employee plans to terminate, the investigator should submit to my office a letter of explanation signed by the investigator showing reason and effective date of termination. A letter of resignation from the employee is required for voluntary termination. If an employee is being laid off due to reduction in force or for other reasons, a letter of explanation signed by the investigator should be submitted to my office showing the reason and effective date of termination.

If an employee is on extended sick leave without enough available leave to cover the time off, please contact Betty Bacha to discuss how this leave should be handled. Please communicate with your employees that our office will handle all paperwork relating to terminations. Be sure that all paperwork is submitted prior to the termination date.

I hope this clarifies any questions you may have had regarding the Baylor requirements and processing of personnel within our department. If you have additional questions, please contact Betty or myself before calling Personnel or Payroll. Please circulate this memo to all personnel within your area who may be involved with the hiring process.



|                                          |                  |                |
|------------------------------------------|------------------|----------------|
| Post-It™ brand fax transmittal memo 7671 |                  | # of pages • 2 |
| To                                       | LEV FRIEDEN      |                |
| From                                     | D PETERS         |                |
| Co.                                      | TIRR             |                |
| Co.                                      | BCM              |                |
| Dept.                                    | Phone # 798-8942 |                |
| Fax # 799-7095                           | Fax # 798-4688   |                |

# BAYLOR COLLEGE OF MEDICINE

Department of Physical  
Medicine and Rehabilitation  
(713) 798-6198

Address correspondence to:  
Smith Tower, Suite 1421  
6550 Fannin  
Houston, Texas 77030

## MEMORANDUM

To: Anthony O'Callaghan Lex Frieden  
Jackie Berry Shu-Ming Hsu  
Chryll Batiste Betty Bacha

From: Debbie Peters

Date: January 31, 1996

Subject: Personnel Paperwork & Interinstitutional Agreements (IAs)

I want to start by thanking all of you for your time, brain power, and commitment to improving the process by which paperwork flows between BCM and TIRR as well as inside the BCM system. As you all know, we recently held a meeting with Tony, Lex, Shu-Ming and myself with a subsequent meeting between Jackie, Chryll, Shu-Ming and myself. The focus was to improve the current system of tracking individuals, specifically those on grants where the funding changes within a given fiscal year.

The outcome of the first meeting was that Lex will work with Harvey Levin in processing a form for all major grants and/or PI areas (i.e. a form for the ILRU grant, the SCI grant, the various NASA grants, Dr. Nosek's area, Dr. Krouskop's area, etc.). This form will list the individuals down the page with the funding sources across the top. A separate column will be added to indicate individuals with funding changes beginning that period. A copy of this form will come to me by the first working day of each month to inform me of changes for that month. I would like for this to be in place by March 1st.

I will then work with Betty to file the necessary paperwork in the BCM system. IAs will only be processed the beginning of Baylor's fiscal year (July 1) or in cases where funding is increasing to an amount greater than on the current IA. Otherwise, if funding is lower than the approved IA, Baylor's Labor Distribution Report (LDR) will drive the billing process whereby Jackie's area will send a bill to Shu-Ming. (And Shu-Ming will just trust us and pay the full amount each month!!!) Also, Lex and Shu-Ming will generate a letter from TIRR authorizing the two of them in addition to Louisa to sign off on IAs which will help prevent delays in turn-around time between the two institutions. Therefore, all IAs that are generated will be sent by Betty to Shu-Ming for processing.

By receiving the information on each individual and funding source by the first of the month, our department has enough time to process the LDR and PAF (Personnel Action Form) without having to go to the extra steps of making retro changes in the system. If retro changes are needed, then the changes for affiliated institutions go to Jackie, the grants go to Tom Rice, and the fund 11 retros go to Robin Bickle. Also, it is my understanding that if a PAF is required (i.e. for example in cases where the FTE % changes), and if the PAF is processed by the deadline each month, then the LDR form is unnecessary as the PAF information is already in the system.

Page 2

Hopefully the above process will speed up the processing time as well as eliminate all the extra paperwork that has been floating between all the departments. I would like for everyone to work through this process and keep me informed of any snags so we can make adjustments before problems get out of control. I also want to make sure we do not create a bigger problem by trying to stream line a process only to have an outside support department be left out of the loop.

Thanks again.

The Institute for Rehabilitation and Research (TIRR)



*Independent Living Research Utilization Program*  
2323 South Shepherd, Suite 1000  
Houston, Texas 77019  
Telephone (713) 520-0232 (voice), (713) 520-5136 (TTY)  
Fax (713) 520-5785



MEMORANDUM

**TO:** Tony O'Callahan  
Baylor Department of PM & R

**FROM:** Lex Frieden/ Laura Smith  
ILRU

**DATE:** January 18, 1996

---

ILRU currently has a project funded by The Robert Wood Johnson Foundation. One component of this project includes the analysis of survey data. We have asked Don Rossi to assist us with this aspect of our project and he has agreed to do so. ILRU is therefore proposing to purchase 20% of Mr. Rossi's time beginning January 19, 1996. We do not know the exact date by which this activity will be completed however, we anticipate that the work will be finished by the end of March. In the next few weeks if we see that there will be a need for Mr. Rossi's time beyond that date we will let you know this.

This 20% of Mr. Rossi's time should be charged against ILRU's Robert Wood Johnson grant cost center #530, project #601, account #63110 (consultant honoraria). If you have any questions regarding this request please contact Laura Smith at 520-0232.

Thank you for your assistance.

cc: Lex Frieden  
Laurie Redd  
Shuh-Ming Hsu  
Tyna Schexnayder

# MEMORANDUM

DATE: January 23, 1996

*come*  
TO: Louisa Adelung

*To*  
FROM: Lex Frieden *LF*

As you know, I have met with Brian, Shuh-Ming, Tony O'Callaghan, and Debbie Peters regarding ways to make the institutional agreement process more functional, and at the same time, better organize our information related to non-TIRR personnel who are working at TIRR, or in other locations on TIRR projects. I have also spoken to Beverly about this matter. One important aspect of our plans to streamline the process involves the delegation of Institutional Agreement signatory authority by you under certain conditions.

I would propose the following conditions. While you have approved this idea in principle, I think it is important for you to consider each of these situations to see if you feel OK about them. Also, there may be other situations which you can think of that we should address. Finally, with your approval, I would be happy to draft a memo from you formally designating the grant accountant and Vice President for Grants Administration to have delegated signatory authority. This memo would be circulated to appropriate Baylor and TIRR personnel.

Situations which we have reviewed are as follows:

*ok* 1) If there are no changes on the TIRR side of the agreement, the grant accountant can sign the Institutional Agreement (IA).

*ok - only if some grant funding is involved*  
*see next pg* 2) If there are no changes on the TIRR Operations side of the equation, and the PI knows about or has requested the changes on the grant side, the grant accountant can sign the IA.

*ok* 3) If there are no changes on the TIRR Operations side of the equation, and the affected PI or PIs do not know why the grant side will be changed, the Vice President for Grants Administration will sign the IA, in consultation with the affected PI or PIs.

*ok* 4) If the TIRR Operations obligation changes in the equation, but that change has the affect of lowering TIRR's Operation side commitment, the grant accountant will sign the IA, and provide notice to the Vice President for Grants Administration and the Chief Executive Officer.

- OK* 5) If the TIRR Operations obligation changes in the equation, and TIRR is expected to bear a greater burden from Operations, the Chief Executive Officer will sign the IA, in consultation with the Vice President for Grants Administration.
- JK* 6) Any IAs which do not fit one of the above situations will be reviewed by the Vice President for Grants Administration to determine the appropriate level of signature authority.

*Let - I see this working for all  
the BCM & UT emp & some grant  
funding. There are a few employees  
(also only, I think) that have no  
grant funding. On those I believe  
I should sign. Many fall into  
# 6 above.*

*JK  
1-24-96*



## MEMORANDUM

DATE: February 14, 1996

TO: Harvey Levin, Ph.D.  
Debbie Peters  
Tony O'Callaghan  
Shuh-Ming Hsu

FROM: Lex Frieden

---

Please find attached a draft memo which I have prepared pursuant to several meetings involving Baylor and TIRR administrative personnel. As you know, this represents only part of our "re-engineering" process. However, this is an important part, because it will require the cooperation of many of our faculty.

Please review this draft carefully for clarity and accuracy and let me have your comments by Friday, February 16, so that Dr. Levin and I can get this out the first of next week. Thanks for your assistance.

Note: Tony and Debbie--I need copies of what you consider to be the "model" form and memo to be used as attachments to this memo.

## MEMORANDUM

DATE: February 14, 1996

TO: TIRR and Baylor Department of PM&R Researchers

FROM: Lex Frieden  
Harvey Levin, Ph.D.

---

In an effort to make the process of managing grants and inter-institutional personnel sharing more logical and more efficient, we will institute the following procedures effective March 1, 1996.

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Subject: TIRR and Baylor Paperwork

In response to your recent memo (sorry I'm a little late, but New Orleans was great!), the only comments I have are:

1. Paragraph 1, second line, have the information sent directly to me (Debbie Peters, Smith Tower 1421, Fax #798-4688) instead of the "Department". I don't want this information being sent to various locations and getting crossed in the mail.
2. State somewhere in the opening that these guidelines apply to all grants, but that only grants that cross institutional lines need to be reported to both TIRR and BCM. For example, I don't need all this information on all the TIRR grants and there is no need for the Baylor grants (like the big RT-4 grant with Hart and Rintala) to be reported to TIRR. However, I do need all the Baylor grants and you guys need all the TIRR grants.

Attached is a sample of the format for monthly reporting. Also attached is a copy of our department policy for hiring and terminating employees. Please feel free to give me a call if you have any questions or wish to discuss further.

cc: A.J. O'Callaghan

| DISNEY / WARNER GRANTS |             |       |       |       |       |       |        |       |        |         |           |
|------------------------|-------------|-------|-------|-------|-------|-------|--------|-------|--------|---------|-----------|
| MONTH:                 |             |       |       |       |       |       |        |       |        |         |           |
|                        | Change From | GRANT | GRANT | GRANT | GRANT | GRANT | TOTAL  | OTHER | OTHER  | TOTAL   | SIGNATURE |
| EMPLOYEE               | Prior Month | #1    | #2    | #3    | #4    | #5    | GRANTS | TIRR  | BAYLOR | PERCENT |           |
| Bashful, Debbie        |             | 30    |       |       |       |       | 30     |       | 70     | 100     |           |
| Bunny, Bugs            | x           |       | 50    | 40    |       |       | 90     | 10    |        | 100     |           |
| Doc, Lex               |             | 50    |       |       | 50    |       | 100    |       |        | 100     |           |
| Dopey                  |             | 2     | 2     | 2     | 2     | 2     | 10     | 80    |        | 100     |           |
| Duck, Daffy            | x           |       | 50    |       |       | 50    | 100    |       |        | 100     |           |
| Goofy                  |             | 5     |       | 20    | 5     |       | 30     | 35    | 35     | 100     |           |
| Grumpy, Tony           |             |       | 20    |       | 5     | 5     | 30     |       | 70     | 100     |           |
| Happy, Karen           |             | 20    | 5     |       |       | 25    | 50     | 25    | 25     | 100     |           |
| Jane                   |             | 20    |       | 20    | 40    | 20    | 100    |       |        | 100     |           |
| Mouse, Mickey          | x           |       | 20    |       |       | 20    | 40     | 60    |        | 100     |           |
| Pinocchio              |             | 5     |       |       | 60    | 35    | 100    |       |        | 100     |           |
| Sleepy                 |             |       | 50    |       |       |       | 50     |       | 50     | 100     |           |
| Sneezy                 |             | 10    |       | 20    | 30    |       | 60     | 40    |        | 100     |           |
| Tarzan                 |             | 10    | 5     |       |       | 55    | 70     |       | 30     | 100     |           |

**BAYLOR  
COLLEGE OF  
MEDICINE**

Department of Physical  
Medicine and Rehabilitation  
(713) 798-6198

Address correspondence to:  
Smith Tower, Suite 1421  
6550 Fannin  
Houston, Texas 77030

**MEMORANDUM**

TO: Faculty and Staff

FROM: Anthony J. O'Callaghan *AO*  
Administrator

DATE: August 16, 1995

SUBJECT: Departmental Hiring and Termination Procedures

This memorandum is to inform you of the procedures involved in the hiring of personnel which comply with Baylor requirements. As of July 1, 1995, Betty Bacha has been assigned to handle personnel paperwork including PAF's, staff recruitment processing, etc for our Department. She is located in the Smith Tower at 6550 Fannin, Suite 1421, Houston, TX 77030. Her direct phone number is 798-8285. All paperwork should be directed to Betty's attention for processing and for my final approval.

**PROCESS TO INTERVIEW CANDIDATES:**

1. Submit to my office a fully completed Staff Requisition/Funding Authorization Form including the principal investigator's approval signature. All items must be completed except the position number. Charge sources must be shown.
2. My office will review and approve this information, and submit the form to Personnel Employment.
3. If the candidate is applying for a new position, Baylor Personnel will need to approve the position prior to a recruiter being assigned to the requisition. If the candidate is applying to fill a vacancy, a Personnel Recruiter will be in contact with you.
4. Baylor Personnel will have all applicants complete an Employment Application, which is done prior to any title, salary or job offer is made.

Please be aware that, even though you select a candidate for employment, an application and various forms must be sent to me for final authorization, and the personnel recruiter must be informed so they can offer the candidate the position.

**THE PROCESS TO HIRE CANDIDATES:**

1. After you have interviewed all candidates and reached a final decision, a Recruitment/Interview Report and a Job Related Exposure Certificate must be completed with charge sources, date of appointment and investigator's approval. Please submit these forms to me for approval, and my office will submit to Personnel Compensation.
2. All paperwork should be submitted prior to the start date of employment. All new hires must meet with representatives of Personnel Services prior to or on the first day of employment. Personnel Employment representatives will insure that a I-9 Certificate is completed, and insure that all non-citizens have been processed through the International Services Office. They will also schedule new hires for Orientation and



the Occupational Health clearance. Personnel Benefits will conduct a benefit program enrollment, secure the W-4 Form, and direct all new hires with clinical responsibilities to Risk Management for malpractice insurance coverage.

3. Time Sheets for non-exempt new hires are produced by Personnel after all paperwork has been received. Time Sheets will be delayed if the paperwork is late or incomplete; therefore, it is critical that all paperwork be processed in accordance with the above guidelines to insure that the new hire receives a paycheck in a timely manner. Special time sheets can be produced by my office, but we would like to keep this activity to a minimum.

4. Faculty and Exempt employee time sheets should already be available in your department. However, if you need additional copies please contact Betty Bacha. Faculty and Exempt employee time sheets need to be turned in once monthly unless they need to be docked for time off when leave is not available. In this case, their time sheets should be turned in the same time as non-exempt employees as follows:

- a) for the 1st - 15th of the month, time sheets are due by 4:00 p.m. on the 16th of the month (of the first work day after the 15th).
- b) for the 16th - end of month, time sheets are due by 4:00 p.m. on the 1st of the following month (or the first work day of the following month).

Please note that Faculty hires require a formal recommendation from the Department Chair to the Executive Vice President as well as a Record of Professional Training and Experience Form to Faculty Affairs. Postdoctoral Fellow hires require coordination through the Baylor Department of Education Office as well as a Postdoctoral Fellow Request Form.

#### PROCESS TO TERMINATE EMPLOYEES:

If an employee plans to terminate, the investigator should submit to my office a letter of explanation signed by the investigator showing reason and effective date of termination. A letter of resignation from the employee is required for voluntary termination. If an employee is being laid off due to reduction in force or for other reasons, a letter of explanation signed by the investigator should be submitted to my office showing the reason and effective date of termination.

If an employee is on extended sick leave without enough available leave to cover the time off, please contact Betty Bacha to discuss how this leave should be handled. Please communicate with your employees that our office will handle all paperwork relating to terminations. Be sure that all paperwork is submitted prior to the termination date.

I hope this clarifies any questions you may have had regarding the Baylor requirements and processing of personnel within our department. If you have additional questions, please contact Betty or myself before calling Personnel or Payroll. Please circulate this memo to all personnel within your area who may be involved with the hiring process.

MEMORANDUM

DATE: February 16, 1996

*For* TO: ✓ Louisa Adelung  
Martin Grabois

*To* FROM: Lex Frieden *LF*

*Please proceed  
Thanks for  
your work  
ga  
2-19-96*

Here follows certain facts, conclusions, and action steps which I have deduced from the research that I have done on the matter of TIRR indirect rates and Baylor indirect support for research at TIRR.

- 1) While I originally understood that Baylor was paying for space under the terms of the Spinal Cord RT grant subcontract, I have now determined that instead of space, Baylor is actually passing through indirect at the rate of 15 percent of the subcontract amount. This probably covers the space usage for the TIRR employees on that grant, but it probably does not cover all the space costs for Baylor personnel on that grant since they are not included on the subcontract.
- 2) Instead of getting a portion of the indirect on grants from Baylor, it may make more sense and be more fair to both institutions to simply associate a space charge with each individual who is working on a Baylor grant in TIRR space, regardless of whether that individual is employed by Baylor or TIRR. The central issue here is the cost of supporting and maintaining the space. Of course, the applied space charge should account for ancillary services such as utilities, housekeeping, maintenance, security, common space, and so forth. This space charge should be proportionate in the case where someone is only part time on a Baylor grant in TIRR space. Likewise, TIRR should be prepared to pay for space when individuals working on TIRR grants are using Baylor space. This approach is much simpler and far more straightforward than one which divides indirect according to some formula.

Memorandum  
February 16, 1996  
Page 2 --

3) The current TIRR indirect rate is accurate, and there is no possibility of using alternate means of calculating this rate to make it higher. Unlike Baylor, TIRR is a hospital and therefore it must use the Medicare cost report as the basis for indirect calculations. This keeps TIRR's rate lower than educational institutions which may use alternate calculation methods for determining their indirect rates. You may be interested to know that we conducted a hypothetical exercise to determine the actual cost of support services which TIRR contributes to grants. Instead of using the prescribed methods of determining indirect rates, we simply added all of the grant related expenses we could possibly imagine and looked at them as a percentage of grant income. The product of our calculation was approximately 16 percent or roughly the same as our current indirect rate for off-site research. As you know, our on-site rate is somewhat higher (30.2 percent). As long as we keep our aggregate realized indirect income near 16 percent of the overall grant revenue, we should be breaking even.

yes! With your permission, I will notify all TIRR and Baylor Department of PM&R researchers that space charges should be included in all future grants to one institution where work will be done in another institution, regardless of which institution employs the people who will be working in that space. In cases where grant regulations do not allow space rental charges, an indirect charge equal to the current applicable rate should be provided for all institutions where substantial work is to be conducted.

Please let me know if you need further clarification of these issues or if we need to meet again about these matters. Thank you for your assistance.

MEMORANDUM

DATE: February 16, 1996

*from* TO: Louisa Adelung

*to* FROM: Lex Frieden *LF*

*see comments*

---

Please find attached a draft memo from you to pertinent individuals which relates to operationalizing the IA re-engineering project on which we have been working. Please call me if you have any questions about this, or let me know if you want us to put this in final form for your signature. Also, please check the distribution of this document. Thanks.



DRAFT

MEMORANDUM

DATE: February 16, 1996

TO: Lex Frieden  
Brian Hamilton  
Tony O'Callaghan  
Debbie Peters  
Tyna Schexsnayder

Anyone else?

*What about  
Tony's counterpart  
@ UT?*

FROM: Louisa Adelung

Effective immediately, the following signature authority will apply to all Institutional Agreements (IAs) pertaining to research personnel:

- 1) If there are no changes <sup>to</sup> ~~on the TIRR side of the agreement~~ <sup>'s obligations</sup>, the TIRR grant accountant can sign the Institutional Agreement (IA).
- 2) If there are no changes <sup>to</sup> ~~on the TIRR Operations side of the equation~~ <sup>obligation</sup>, and the PI knows about or has requested the changes <sup>to</sup> ~~on the grant side~~ <sup>TIRR obligation</sup>, the TIRR grant accountant can sign the IA.
- 3) If there are no changes <sup>to</sup> ~~on the TIRR Operations side of the equation~~ <sup>obligation</sup>, and the affected PI or PIs do not know why the grant <sup>?</sup> ~~side~~ <sup>obligation</sup> will be changed, the TIRR Vice President for Grants Administration will sign the IA, in consultation with the affected PI or PIs.
- 4) If the TIRR Operations obligation changes ~~in the equation~~ <sup>obligation</sup>, but that change has the affect of lowering TIRR's Operation ~~side commitment~~ <sup>obligation</sup>, the TIRR grant accountant will sign the IA, and provide notice to the TIRR Vice President for Grants Administration and the TIRR Chief Executive Officer.
- 5) If the TIRR Operations obligation changes ~~in the equation~~, and TIRR is expected to bear a greater burden from Operations, the TIRR Chief Executive Officer will sign the IA, in consultation with the TIRR Vice President for Grants Administration.
- 6) Any IAs which do not fit one of the above situations will be reviewed by the TIRR Vice President for Grants Administration to determine the appropriate level of signature authority.

If you have any questions about this matter, please contact either Lex Frieden at 797-5283 or me at 797-5280.

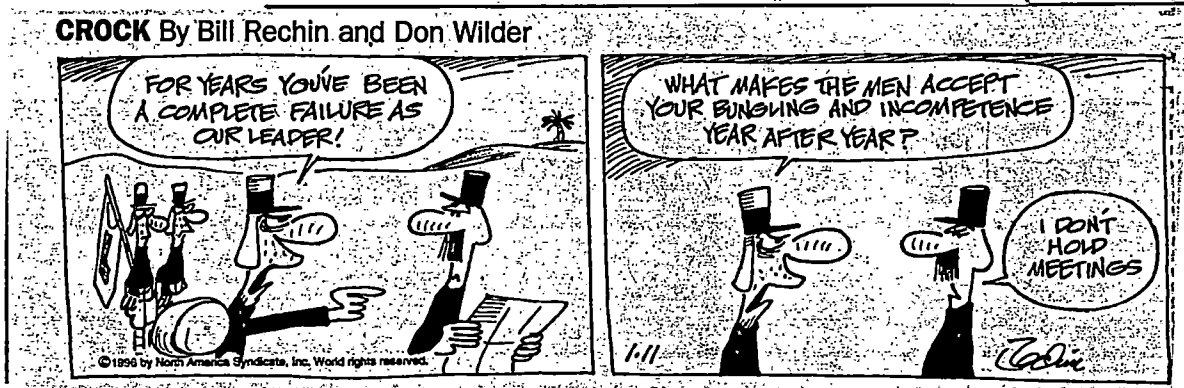
## MEMORANDUM

DATE: February 14, 1996

TO: ➡ Laurel Richards  
Laurie Redd  
Quentin Smith

FROM: Lex Frieden

In the interest of assuring that you understand the possible compromises which may arise from more frequent meetings with you guys, please note the following:





## MEMORANDUM

DATE: February 15, 1996  
TO: Karen McMullen  
FROM: Lex Frieden

---

Following the brief discussion which you and I had on the telephone last week regarding matters pertaining to the Metropolitan Multi-Service Center, I obtained the attached information from Doug Drey, an employee at the Center. I am concerned that Mr. Drey is having difficulty sharing his vision and that of the disabled community with his supervisors and with responsible officials in the Human Services Department and the Parks Department. I am also concerned that Mr. Drey may face some hazing if his supervisors discover that he is frustrated by his inability to persuade them to consider the real needs and concerns of the disabled community and the real opportunities for our wonderful facility. Perhaps you can help to move forward the ideas contained in this attachment. If there is something that I should do in this regard in addition to that which I have already done, please let me know. Thanks, Karen.

# Withdrawal/Redaction Sheet

## (George Bush Library)

| Document No.<br>and Type | Subject/Title of Document                                          | Date   | Restriction | Class. |
|--------------------------|--------------------------------------------------------------------|--------|-------------|--------|
| 01. Letter               | To: Lex Frieden From: Karen McMullen<br>Re: [Confidential] (2 pp.) | 2/8/96 | C           |        |

**Collection:**

**Record Group:** Donated Historical Materials

**Office:**

**Series:**

**Subseries:**

**WHORM Cat.:**

**File Location:** [TIRR - The Institute for Rehabilitation and Research] Baylor College of Medicine Memo [1995-1996]

|                                     |                                |
|-------------------------------------|--------------------------------|
| <b>Date Closed:</b> 9/13/2016       | <b>OA/ID Number:</b> 52062-003 |
| <b>FOIA/SYS Case #:</b> 2016-2624-S | <b>Appeal Case #:</b>          |
| <b>Re-review Case #:</b>            | <b>Appeal Disposition:</b>     |
| <b>P-2/P-5 Review Case #:</b>       | <b>Disposition Date:</b>       |
| <b>AR Case #:</b>                   | <b>MR Case #:</b>              |
| <b>AR Disposition:</b>              | <b>MR Disposition:</b>         |
| <b>AR Disposition Date:</b>         | <b>MR Disposition Date:</b>    |

### RESTRICTION CODES

Presidential Records Act - [44 U.S.C. 2204(a)]

Freedom of Information Act - [5 U.S.C. 552(b)]

P-1 National Security Classified Information [(a)(1) of the PRA]  
P-2 Relating to the appointment to Federal office [(a)(2) of the PRA]  
P-3 Release would violate a Federal statute [(a)(3) of the PRA]  
P-4 Release would disclose trade secrets or confidential commercial or financial information [(a)(4) of the PRA]  
P-5 Release would disclose confidential advice between the President and his advisors, or between such advisors [(a)(5) of the PRA]  
P-6 Release would constitute a clearly unwarranted invasion of personal privacy [(a)(6) of the PRA]

C. Closed in accordance with restrictions contained in donor's deed of gift.

PRM. Removed as a personal record misfile.

(b)(1) National security classified information [(b)(1) of the FOIA]  
(b)(2) Release would disclose internal personnel rules and practices of an agency [(b)(2) of the FOIA]  
(b)(3) Release would violate a Federal statute [(b)(3) of the FOIA]  
(b)(4) Release would disclose trade secrets or confidential or financial information [(b)(4) of the FOIA]  
(b)(6) Release would constitute a clearly unwarranted invasion of personal privacy [(b)(6) of the FOIA]  
(b)(7) Release would disclose information compiled for law enforcement purposes [(b)(7) of the FOIA]  
(b)(8) Release would disclose information concerning the regulation of financial institutions [(b)(8) of the FOIA]  
(b)(9) Release would disclose geological or geophysical information

# **METROPOLITAN MULTI-SERVICE CENTER**

## **MISSION**

TO PROVIDE A FACILITY, STAFF AND HEALTH-FITNESS/RECREATIONAL PROGRAMS; TO SUPPORT AND ASSIST ORGANIZATIONS THAT ENHANCE THE INDEPENDENCE OF PERSONS WITH DISABILITIES

## **GOALS**

TO CONTINUE TO PROVIDE A FIRST CLASS ENVIRONMENT FOR IN-HOUSE AGENCIES AT A REASONABLE COST

TO PROVIDE PEOPLE WITH DISABILITIES THE OPPORTUNITY TO ACHIEVE HIS/HER MAXIMUM SOCIAL, PHYSICAL, INTELLECTUAL, AND EMOTIONAL FUNCTIONING POTENTIAL THUR HEALTH-FITNESS AND RECREATIONAL PROGRAMS

TO PROVIDE SPACE FOR PUBLIC FORUMS, MEETINGS, AND SOCIAL EVENTS AT A REASONABLE COST

**METROPOLITAN  
MULTI-SERVICE CENTER**

**HOURS OF OPERATION**

**MONDAY-FRIDAY\***

**7:00 A. M.-----9:00 P. M.**

**SATURDAY\***

**8:00 A. M.----9:00 P. M.**

**SUNDAY\***

**11:00 A. M.----8:00 P. M.**

**\*SUBJECT TO BE OPEN LATER ON REQUEST**

# METROPOLITAN

## MULTI-SERVICE CENTER

### STAFFING

| JOB CODE                              | PAY GRADE |
|---------------------------------------|-----------|
| 976.9 RECREATION FACILITY MANAGER**   | 20        |
| 976.7 THREE(3) RECREATION SUPERVISORS | 16        |
| ONE(1) PT                             |           |
| ONE(1)OT                              |           |
| ONE(1)RT                              |           |
| 974.2 TWO LIFE GUARDS                 | 08        |
| 976.1 RECREATION ASSISTANT            | 06        |
| (WEIGHT ROOM)                         |           |
| 974.1 POOL ATTENDANT                  | 04        |
| ( ASSIST CHANGING)                    |           |
| 491.1 CLERK TYPIST                    | 06        |
| 481.2 CLERK                           | 05        |

\*\*COMBINE ADMIN. ASST. AND RECREATION FACILITY MANAGER  
TO CREATE 303.5 ADMINISTRATIVE SUPERVISOR GRADE 22

# **METROPOLITAN**

## **MULTI-SERVICE CENTER**

### **ACTIVITY LIST**

#### **MENTALLY DISABLED ADULTS**

**TENNIS**  
**BASKETBALL**  
**VOLLEYBALL**  
**SWIM LESSONS**  
**LEISURE SWIM**  
**MONTHLY DANCE**  
**TRACK & FIELD**  
**FITNESS ACTIVITIES**

#### **PHYSICALLY DISABLED ADULTS**

**TENNIS**  
**BASKETBALL**  
**SWIM LESSONS**  
**LEISURE SWIM**  
**FOOTBALL**  
**SOFTBALL**  
**QUAD RUGBY**  
**TRACK & FIELD**  
**FITNESS ACTIVITIES**

#### **DISABLED YOUTH**

**AFTERSCHOOL PROGRAM**  
**SWIM LESSONS**  
**LEISURE SWIM**  
**SUMMER DAY CAMP**  
**WHEELCHAIR SPORTS CAMP**  
**TRACK & FIELD**



# **ADA COMPLIANCE AND WHEELCHAIR- FRIENDLY USAGE**

1. RESURFACE TENNIS COURT
2. POOL AND WEIGHT ROOM EQUIPMENT
3. DIFFERENT FLOOR FOR GYM
4. PAVE SOFTBALL FIELD
5. ACCESSIBLE PLAYGROUND EQUIPMENT
6. AUTOMATIC DOORS

W

M E M O R A N D U M

DATE: February 16, 1996

TO: Louisa Adelung  
Martin Grabois

FROM: Lex Frieden 

---

Here follows certain facts, conclusions, and action steps which I have deduced from the research that I have done on the matter of TIRR indirect rates and Baylor indirect support for research at TIRR.

- 1) While I originally understood that Baylor was paying for space under the terms of the Spinal Cord RT grant subcontract, I have now determined that instead of space, Baylor is actually passing through indirect at the rate of 15 percent of the subcontract amount. This probably covers the space usage for the TIRR employees on that grant, but it probably does not cover all the space costs for Baylor personnel on that grant since they are not included on the subcontract.
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Memorandum  
February 16, 1996  
Page 2 --

3) The current TIRR indirect rate is accurate, and there is no possibility of using alternate means of calculating this rate to make it higher. Unlike Baylor, TIRR is a hospital and therefore it must use the Medicare cost report as the basis for indirect calculations. This keeps TIRR's rate lower than educational institutions which may use alternate calculation methods for determining their indirect rates. You may be interested to know that we conducted a hypothetical exercise to determine the actual cost of support services which TIRR contributes to grants. Instead of using the prescribed methods of determining indirect rates, we simply added all of the grant related expenses we could possibly imagine and looked at them as a percentage of grant income. The product of our calculation was approximately 16 percent or roughly the same as our current indirect rate for off-site research. As you know, our on-site rate is somewhat higher (30.2 percent). As long as we keep our aggregate realized indirect income near 16 percent of the overall grant revenue, we should be breaking even.

With your permission, I will notify all TIRR and Baylor Department of PM&R researchers that space charges should be included in all future grants to one institution where work will be done in another institution, regardless of which institution employs the people who will be working in that space. In cases where grant regulations do not allow space rental charges, an indirect charge equal to the current applicable rate should be provided for all institutions where substantial work is to be conducted.

Please let me know if you need further clarification of these issues or if we need to meet again about these matters. Thank you for your assistance.

MEMORANDUM

DATE: February 16, 1996

TO: Louisa Adelung

FROM: Lex Frieden *LF*

---

Please find attached a draft memo from you to pertinent individuals which relates to operationalizing the IA re-engineering project on which we have been working. Please call me if you have any questions about this, or let me know if you want us to put this in final form for your signature. Also, please check the distribution of this document. Thanks.

DRAFT

MEMORANDUM

DATE: February 16, 1996

TO: Lex Frieden                      Anyone else?  
Brian Hamilton  
Tony O'Callaghan  
Debbie Peters  
Tyna Schexsnayder

FROM: Louisa Adelung

-----  
Effective immediately, the following signature authority will apply to all Institutional Agreements (IAs) pertaining to research personnel:

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- 4) If the TIRR Operations obligation changes in the equation, but that change has the affect of lowering TIRR's Operation side commitment, the TIRR grant accountant will sign the IA, and provide notice to the TIRR Vice President for Grants Administration and the TIRR Chief Executive Officer.
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- 6) Any IAs which do not fit one of the above situations will be reviewed by the TIRR Vice President for Grants Administration to determine the appropriate level of signature authority.

If you have any questions about this matter, please contact either Lex Frieden at 797-5283 or me at 797-5280.

*29. Hamman*

The Institute for Rehabilitation and Research (TIRR)

1333 Moursund, Houston, Texas 77030-3405  
In the Texas Medical Center  
Telephone (713) 799-5000, 797-5790 (TDD)  
Fax (713) 799-7095



MEMORANDUM

TO: Physician Empowerment Group

FROM: R. Edward Carter, M.D. *[Signature]*

DATE: March 13, 1996

---

I am enclosing a copy of the recommendations for the Action Plan for Grant/Clinical Studies Income for followup from the previous PEG discussion.

*fil PEG*

*[Signature]*



## ACTION PLAN - GRANT/CLINICAL STUDIES INCOME

OVERALL GOAL: Develop grants/clinical studies income that would be of assistance in decreasing patient cost and/or personnel cost.

Research Director/Office should be responsible for:

- ① Establish research interest profile on TIRR physicians.
- ② Establish a mechanism to survey RFPs from BCM, UT and the Federal Registry for distribution to interested physicians.
- ③ Establish orientation and educational meetings with physicians and key staff to sources of research income opportunities not only from federal government agencies, but from foundations, drug companies and others. This could also involve key members of the research staff.
- ④ For multidiscipline studies, initiate periodic meetings of staff interested in these topics and explore multidiscipline grants as they become available.
5. We should strongly encourage all attending physicians at TIRR to take advantage of research opportunities in order to lower their salary distribution and their secretary's salary distribution on the Department budgets.

### Bill

- ① To hex - Need the inventory sorted - all TIRR  
UT & BCM ~~docs~~.
- ② - Need someone checking the Fed Reg. - Resp. promptly  
Payroll to final applications
- ③ - Met to Harvey, Quenter
- ④ - " " " "



# MEMORANDUM



BAYLOR  
COLLEGE OF  
MEDICINE

August 1, 1995

To: All Baylor College of Medicine Faculty Members Interested in Seeking Private Gift Funding

From: R. Glen Smiley  
Vice President for Development

The Office of Development works closely with the Office of Research to assist faculty in raising funds for equipment, facilities, research, scholarships, endowments, or programs.

The Office of Development helps faculty and administration raise money from private and non-governmental sources: foundations, corporations and individuals. The Office of Development carefully coordinates the College's approach to all previous and potential donors because the building and maintaining of relationships with these individuals and organizations are important to fund raising.

The Office of Development has worked with the Office of Research to develop guidelines for your use in contacting potential funders. These guidelines should be used in conjunction with any reports generated by the SPIN database from the Office of Research and whenever you identify a potential donor.

## Guidelines

1. *If you want to approach a foundation or corporation which has a special initiative—such as a young investigator award or an RFP/RFA for a specified project—you should coordinate the submission of your proposal with the Office of Research. No contact is needed with the Office of Development. These types of foundations normally are listed in Research News or on the Office of Research Gopher. Example: Robert Wood Johnson Foundation Young Investigators Award.*
2. *If you want to approach a foundation or corporation for any other purpose, you should first review the attached list of names of reserved foundations and corporations.*
  - A. *If the foundation or corporation does not appear on the list, you may submit your proposal without further clearance. Please send a copy of the submittal letter and proposal to Tom Moore, Director of Foundation Relations, c/o Office of Development, Room 177A. Your assistance will help the Office of Development keep track of which prospects have been approached and their funding preferences.*

- B. *If the foundation or corporation appears on the reserved list, you need to obtain clearance from the Office of Development before proceeding.* These prospects cannot be approached without the approval of the Development Office.

The names on the reserved list generally represent the College's top local donors or prospects. They normally are approached only for priorities established by the College's Board of Trustees and administration. In many cases, these foundations and corporations have made a recent gift to the College or have a pledge outstanding. Or, they were approached recently for a gift and will not consider another proposal at this time. In many cases, prospects on this list will not accept a proposal without a cover letter of support from the Office of Development.

3. *If you identify individuals who may be prospects for your project or the College, you are required to work with the Office of Development before proceeding.* This coordination will minimize approaching a prospect for more than one project at a time, a circumstance which most often results in no project being funded.

If you have any questions or need assistance in fund raising, please call Tom Moore, Director of Foundation Relations, in the Office of Development at 798-4714. The staff has a variety of information (including directories, records on prior gifts to the College and sample proposals) to help you. Thank you.

## Reserved List of Foundations and Corporations - 8/1/95

*These Prospects Can Not Be Approached Without Prior Clearance by  
Office of Development*

The Abercrombie Foundation  
Abbott Laboratories  
Amoco Foundation  
M.D. Anderson Foundation  
AT & T Foundation  
C. R. Bard Foundation, Inc.  
M. R. Bauer Foundation  
Arnold & Mabel Beckman Foundation  
Alice & David C. Bintliff Foundation  
Bristol-Myers Squibb Foundation  
The Brown Foundation, Inc.  
Browning-Ferris Industries  
Burroughs Wellcome Fund  
Effie & Wofford Cain Foundation  
Harry S. & Isabel Cameron Foundation  
Carnegie Corporation of New York  
Eugene B. Casey Foundation  
Edna McConnell Clark Foundation  
The Clayton Fund  
Coastal Corporation  
The Coca-Cola Foundation  
Coker Memorial Research Foundation  
Cockrell Foundation  
Commonwealth Fund  
Compaq Computer Corporation  
Conoco, Inc.  
Continental Airlines  
The Cullen Foundation  
The Cullen Trust for Health Care  
Cullen Trust for Higher Education  
Charles E. Culpeper Foundation  
Charles A. Dana Foundation  
Arthur Vining Davis Foundation  
Destec Energy, Inc.  
John S. Dunn Research Foundation  
Ellwood Foundation  
Enron Foundation  
Exxon Company USA  
The William Stamps Farish Fund  
Ray C. Fish Foundation  
The Fondren Foundation  
Ford Foundation  
The George Foundation  
Glaxo, Inc.  
Guardian Savings  
George Gund Foundation  
The Hamill Foundation

The John A. Hartford Foundation  
Albert & Ethel Herzstein Charitable Foundation  
The Hobby Foundation  
Hoffmann-LaRoche, Inc.  
Houston Endowment Inc.  
Houston Industries, Inc.  
Huffington Foundation  
Howard Hughes Medical Institute  
Johnson & Johnson  
The Robert Wood Johnson Foundation  
Ralph A. Johnston Foundation  
The Joan & Marvin Kapan Foundation  
W. M. Keck Foundation  
W. K. Kellogg Foundation  
R.J. Kleberg, Jr. & H.C. Kleberg Foundation  
Kresge Foundation  
Lilly Endowment, Inc.  
Lyondell Petrochemical Company  
The J.E. & L.E. Mabee Foundation, Inc.  
John D. & Catherine T. MacArthur Foundation  
Josiah Macy, Jr. Foundation  
Lucille P. Markey Charitable Trust  
G. Harold & Leila Y. Mathers Foundation  
Maxxam, Inc.  
Mayo Foundation  
McAshan Foundation  
James S. McDonnell Foundation  
McKnight Foundation  
Robert & Janice McNair Foundation  
The Meadows Foundation, Inc.  
Andrew W. Mellon Foundation  
Merck & Company, Inc.  
The Moody Foundation  
National Convenience Stores  
The Samuel Roberts Noble Foundation  
Oshman Foundation  
The Alvin & Lucy Oswley Foundation  
Panhandle Eastern Corporation  
Pennzoil Company  
The Pew Charitable Trusts  
Pharmacia Biotech, Inc.  
Milton & Moselle Pollack Foundation  
The Tom & Pat Powers Foundation  
RGK Foundation  
Sid W. Richardson Foundation  
Rockwell Fund, Inc.  
Scurlock Foundation

**Reserved List of Foundations and Corporations - 8/1/95**

*These Prospects Can Not Be Approached Without Prior Clearance by  
Office of Development*

Shell Oil Company Foundation  
Alfred P. Sloan Foundation  
Vivian L. Smith Foundation  
Nelda C. & H.J. Lutcher Stark Foundation  
Swalm Foundation  
Sysco Corporation  
T.L.L. Temple Foundation  
Tenneco, Inc.  
Texaco Foundation, Inc.

Texas Commerce Bank  
Transco Energy Company  
William K. Warren Foundation  
The Welch Foundation  
Neva & Wesley West Foundation  
The Whitaker Foundation  
Wyeth Laboratories