



OFFICE OF SPONSORED PROGRAMS VBH SUITE E12

<http://www.uah.edu/osp>

Phone: (256) 824-6000 Fax: (256) 824-6677

Sponsored Programs: osp@uah.edu

PRINCIPAL INVESTIGATOR QUICK REFERENCE GUIDE

- **Note all proposals and awards will comply with 2 CFR 200 and all federal, state and local regulations.**

The University of Alabama in Huntsville Office of Sponsored Programs (OSP) supports and advances the University's mission by providing leadership and expertise in research administration and ensuring compliance with relevant regulations.

Roles and Responsibilities

Principal Investigator (PI)

The PI is responsible for the overall development and content of the proposal; may delegate aspects of preparation to administrative and scientific staff, but remains ultimately responsible for all aspects of the proposal as submitted.

- Reviews sponsor requirements—both standard and non-standard
- Develops the scope of work and determines the resources necessary to complete the project
- Prepares the budget and justification in collaboration with your Office of Sponsored Programs (OSP), Contract Administrator or Contract and Grant Coordinator, including confirming allowable budgeted items and verifying time/effort commitments, salaries, and rates (fringe benefits, F&A), tuition, cost-sharing; etc.
- Communicate with OSP as early as possible during budget preparation regarding preparation of Small Business Subcontracting Plan, if required.
- Consults with the Department/Dean/Center Director regarding the use of space and personnel, cost sharing, international activities and other key issues, as needed.
- Secures all university commitments required for proposal, to include Human and Animal subject protocol(s) or any other institute approval, i.e. biohazards, radioactivity, export controls, Foundation Relations, Fabricated Equipment approval and Subgrants.
- Complies with all state and federal regulatory requirements.
- Completes Conflict of Interest information requests and submits Disclosure, if required; ensures all other Senior/Key Persons do the same.
- Complete required RCR training, ensures all other personnel do the same.
- Provides ready to submit proposal to OSP representative in accordance with established policies and procedures.

Office of Sponsored Programs (OSP)

The Office of Sponsored Programs (OSP) prepares the budget, reviews the proposal, advises, provides institutional endorsement, and submits proposals.

Who should I contact?

If you are in:	You should contact:	
CAHSS, Business Admin, Education, Humanities Center, and ALDOT, ISEEM	Haley Smith haley.smith@uah.edu	X 2702
College of Science (COS) and Nursing	Gwen Moffett-Deere whitegr@uah.edu	X6004
College of Engineering (COE) – excluding MAE <i>Temp: Stevens UARC Subcontract</i>	Mirael Parker Mirael.parker@uah.edu	X2656
VPRED, MDS Team, OTAs, NASA/MSFC Coop Agreement and <i>Temp: CAO</i>	Kenya Cole-Jones colek@uah.edu	X2647
RSESC, Boeing Contract, VPRED Internal Funding Opportunities, RCR, Internal Training and Education	Antonia (Tonia) Pitts pittsa@uah.edu	X2651
CSPAR, Raytheon (SSES) and SMDC Delivery Order	Rokeim Roberts robertrf@uah.edu	X6946
CCRE, Provost(PCS, ISESD, Library, OIT and AA) <i>Temp: Government Property Close-out</i>	Krissy Donaghey Karmen.latimore@uah.edu	X2404
DO 062, AMCOM EXPRESS: SAIC, CAS, BAH, Torch Technology, OASIS: NG & QuantiTech	Howard “Gil” Yoder Gil.yoder@uah.edu	X2406
PRC and MAE	Stacey Kuzniewski Sck0001@uah.edu	X5592
AMCOM EXPRESS: Intuitive, DigiFlight, S3, IR Mountain, CSC, D3I, AMS, MTA & SigmaTech	Jessica Rodgers Jessica.mcombs@uah.edu	X2649
SMAP Center, ACHE GSRP, AL/SGC/NASA EPSCOR	Crina Gandila Crina.gandila@uah.edu	X2658
Stevens UARC, Provost(PCS, ISED, Library, OIT, AA) and CAO	TBH TBH@uah.edu	X5834
ESSC, Research Institute, AMCOM EXPRESS: Colsa	Stephanie Monteleone sem0033@uah.edu	X2659
ITSC, Jacobs, and TBE Subcontracts	Rhonda Beddingfield Rrb0012@uah.edu	X2660
Subcontracts Issued By UAH	Steve Parker parkerjs@uah.edu	X2654
Subcontracts/Consultant issued by UAH	Woodonna Deerman deermaw@uah.edu	X2661
Contracts & Grants Close-out	TBH TBH@uah.edu	X3804

Contact Gloria Greene (osp@uah.edu) X 2657 for:

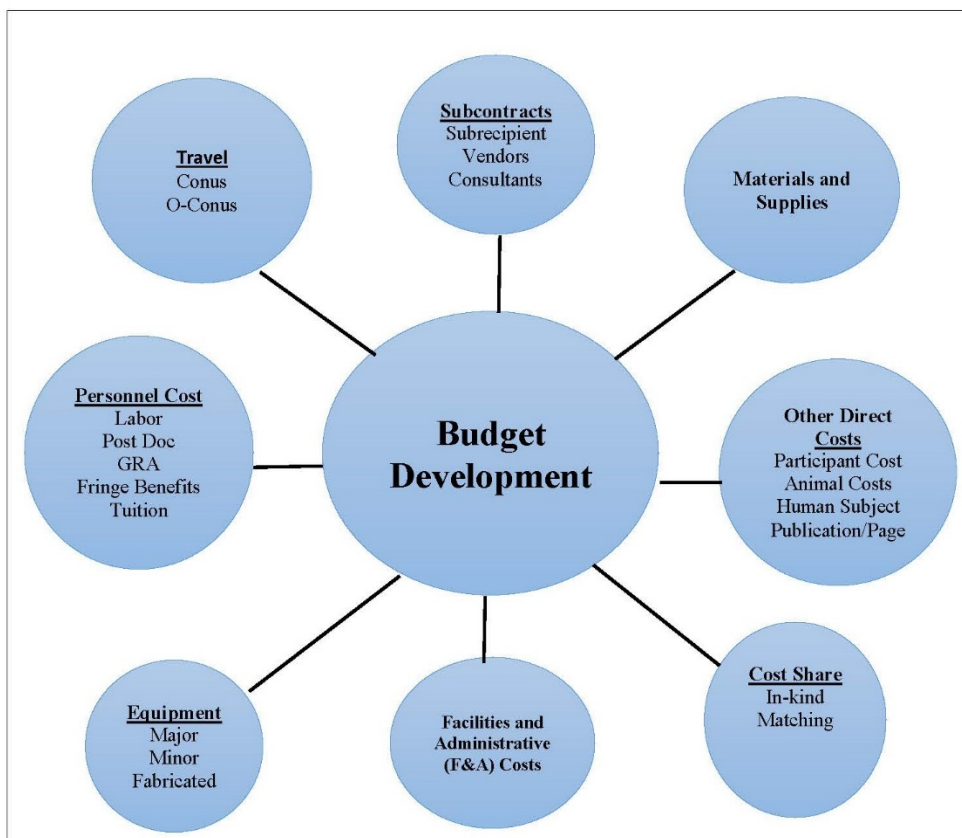
- ▶ Teaming Agreements ▶ Non-Disclosure Agreements ▶ Material Transfer
- ▶ Equipment Use Agreements ▶ Any other research-related document

Additional information on these agreements is located on the OSP Website: <http://www.uah.edu/osp> under “OSP Administrative Memo”

Budget Development

Definition of “Budget”: a detailed statement outlining estimated project costs to support the sponsored project. A budget should include all the Direct Costs and Facilities and Administrative (F&A) (or overhead) costs required to carry out the project objectives. Specific requirements, including cost principles as defined by the federal government in the Office of Management & Budget (OMB) 2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, must be adhered to at the proposal stage and when the funds are expended. Proposals to non-federal sponsors requesting approval of direct costs which are unallowable for federal reimbursement should clearly include and justify those costs in the budget.

- Direct Costs – Expenses that are specifically associated with a particular sponsored project or activity and can be directly assigned to that project or activity with a high degree of accuracy for example graduate student stipend and tuition.



Note: 2 CFR 200 (Uniform Guidance) indicates that the salaries of administrative and clerical staff be treated as F&A, if the administrative expense does not meet the criteria for direct charging as follows:

- Direct Charging of these costs may be appropriate where a major project or activity explicitly budgets for administrative or clerical services and individuals involved can be accurately identified with the project or activity
- “Major project” is defined as a project that requires an extensive amount of administrative or clerical support, which is significantly greater than the routine level of such services provided by the departments
- Four criteria must be met for direct charging administrative expenses to a sponsored project:
 - o Incurred for the performance of a major project or activity
 - o Specifically identified and directly benefitting the project
 - o Budgeted and approved by the sponsor
 - o Supported by a budget justification (preferably at the proposal stage)

Facilities & Administrative (F&A) Costs

F&A costs are University expenses that cannot be specifically identified with a particular project or activity. Also known as “indirect costs” or “overhead,” these costs are for administration, buildings, utilities, and other expenses necessary for operations of the University.

- Sometimes called “indirect costs” or “overhead,” these are the costs of administration, buildings, utilities, and the many other expenses necessary for the research operation of the university.
- The F&A rate applied to all sponsored projects is based on where the PI sits. *For example: if the PI is performing all work at a site other than university’s facilities (e.g., PI Office or Lab), the off campus rate will apply.* If the effort is split between on and off-campus, both rates will be applied proportionately.
- One example of an F&A cost is utilities because they benefit many activities in a building.
- Because individual F&A costs cannot be assigned to projects, the university calculates a rate to determine the fair share of F&A costs each project should be charged and negotiates this rate with the government. The rate is then applied to all sponsored research projects—including federal and non-federal sponsors.
- F&A costs are applied on a modified total direct cost (MTDC) base. The non-F&A-bearing costs in the budget must be identified so that project F&A can be accurately calculated.
- The MTDC base excludes the following cost components: Tuition, Capital expenditures, Equipment, and Subgrants (subrecipient) in excess of \$25,000
- UAH negotiates its F&A rate with the Department of Health and Human Services (DHHS), our cognizant federal audit agency UAH normally does not waive or reduce the F&A costs of any sponsored research project.

All sponsored programs proposals, awards, and agreements issued on behalf of UAH must be processed through OSP.

Proposals Approval and Submission Process

All proposals submitted by the university must be reviewed and approved by the PI's Department Chair, Dean, and Center Director. Depending on the activities or special commitments (such as cost sharing) in the proposal, additional reviews and approvals may be required. A Ready-to-Submit proposals must be received in OSP at least five working days, before agency due date.

[Financial Conflict of Interest Disclosures](#) must be submitted by each investigator or key person named in NIH and NSF proposals before submission of the proposal. Other sponsors may require this disclosure as well; refer to the funding solicitation.

[Electronic Routing via Kualu](#) Instructions on how to approve a proposal in Kualu

Internal Routing and review process:

- Principal Investigator, Co-investigator, and Key Personnel
- Department Chair, Dean and Center Director of the PI, co-investigator and Key Personnel identified by name in the proposal if not in fiscally responsible unit.
- OSP senior contract administrator for proposal review
- Director, Office of Sponsored Programs

Complete Roles and Responsibilities of the above individuals can be found on the OSP Website under Researcher's Resources.

UAH's implementation of both agencies' regulations includes a requirement that the principal investigator and other key personnel provide information PRIOR TO THE SUBMISSION OF PROPOSALS on the extent (if any) of any financial holdings or income which meet the government's thresholds (\$10,000).

Potential conflicts do not need to be resolved before submission of the proposal. Conflict of Interest Disclosure can be completed online at [myUAH.edu](#).

Defining Sponsored Research

Basic (*aka fundamental or pure*) **research** is driven by a scientist's curiosity or interest in a scientific question. The primary motivation is to expand man's knowledge, not to create or invent something. There is no obvious commercial value to the discoveries that result from basic research. NSF defines Basic Research "*as systematic study to gain knowledge or understanding of the fundamental aspects of phenomena and observable facts without specific applications toward processes or products in mind.*"

For example, basic science investigations probe for answers to questions such as:

- How did the universe begin?
- How do slime molds reproduce?
- What is the specific genetic code of the fruit fly?
- Examples of Basic (fundamental) Research awards are grants (NSF, NIH, NASA, ARO, etc.) and cooperative agreements.

Applied research is designed to solve practical problems of the modern world, rather than to acquire knowledge for knowledge's sake. One might say that the goal of the applied scientist is to improve the human condition. NSF defines Applied Research “as systematic study to gain knowledge or understanding necessary for determining the means by which a recognized and specific need may be met.”

For example, applied researchers may investigate ways to:

- improve agricultural crop production
- treat or cure a specific disease
- improve the energy efficiency of homes, offices, or modes of transportation
- Examples of Applied Research awards are Phase I/Phase II SBIR/STTR, commercial contracts and some state contracts/grants.

Development research is systematic use of the knowledge and understanding gained from research for the production of useful materials, devices, systems, or methods, including the design and development of prototypes and processes. Examples of Development Research are contract specific and will be defined in the SOW to include awards issued under the Delivery Orders such as D0010, R136, etc.

Instruction and Training is defined as teaching and training activities. Sponsored instruction includes agreements which support curriculum development as well as all types of teaching/training activities, whether offered for credit toward a degree or certificate, on a noncredit basis, or through regular academic departments or by separate divisions, summer school, or external division.

For example, instruction and training includes:

- Any project for which the purpose is to instruct any student at any location
- Curriculum development projects at any level, including projects which involve evaluation of curriculum or teaching methods. **Note that such evaluation may be considered “research” when the preponderance of activity is data collection, evaluation, and reporting.**
- Projects which involve UAH students in community service activities for which they are receiving academic credit
- Activities funded by awards to colleges or centers for the support of students
- Fellowship support for pre-doctoral and post-doctoral training activities, which may include grants to fund dissertation work and travel in relation to a dissertation
- General support for writing of textbooks or reference books, video or software to be used as instructional materials.

Other Sponsored Activities are programs and projects which involve the performance of work other than instruction and organized research. Most projects in this category do not include students or benefit from the library.

Examples of Other Sponsored Activities include:

- Travel grants
- Support for conferences, seminars or workshops

- Support for University public events such as “exhibits”
- Support for student participation in community service projects which do not result in academic credit
- Support for projects pertaining to library collections, acquisitions, bibliographies, or cataloging
- Programs to enhance institutional resources, including computer enhancements, etc.
- Health services programs/projects

Note: UAH is a state-funded institution of higher education; therefore, we are prohibited by state law from entering into any agreement which contain the following:

- **Indemnification Clauses**
- **Another state governing laws**
- **Exclusive agreements (w/o OVPRED approval)**
- **Claiming all Intellectual Property Rights**
- **Payment of Program Management Facilitation Fees**
- **Any other terms and conditions identified by Office of Counsel.**

Funding Opportunity

(If you are not registered to receive the distribution list for the ODP Funding Bulletin) Please contact the following: **PDO Funding Bulletin: send email to opd@uah.edu**

Located on the OSP Website:

Research Development & Grant Writing Newsletter

Research Education Training Coordinator: pittas@uah.edu

Tidbits Thursday information Videos

Proposal Preparation

Cost estimating method used is based on percent of effort and is consistent with our current Cost Accounting Standards (CAS). All Salaries are quoted based on actual.

All proposals are routed electronically via Banner. A copy of the user guide is located on the OSP Website under “**Research Documents**” **click on: “Investigator Research Portal User Guide”**

UAH fiscal year begins 1 Oct

UAH Proposed Fringe Benefit Rate is 37%

UAH escalating factor is 3%

UAH Negotiated F&A (indirect) Rates effective 10/1/16 – 9/30/20 (under negotiation):

Type	On-Campus	Off-Campus
Research	48%	27.5%
DOD Research	50%	28%
Instructions	50%	26%
Other Sponsored Activities	32.5%	26%
IPA	10%	10%

Proposal/Award Information

A **Ready-to-Submit** proposal is due in OSP five (5) working days before the agency submit date.

Contracts and Grants Coordinators assigned to the colleges will provide both pre- and post-award (non-financial) support.

- All salaries are verified through Human Resources.
- Travel is reimbursed and proposed in accordance with UAH Travel Policy.
- It is the policy of the Vice President for Research **not to** waive or cost share F&A.
- Course Buy-Out must be approved by the department chair and Dean.
- A copy of the OSP Proposal Submission Process/Procedure is located on the OSP Website: <http://www.uah.edu/osp> under “**Researchers Resources**”

Other Information:

CAGE Code: 9B944

DUNS Number: 949687123

EIN: 63-0520830

SAM (aka CCR) Registration: current

Cognizant Audit Agency: Office of Naval Research

UAH is self-insured

F&A is not charge to capital expenditures such as equipment, fellowships, scholarships and software in excess of \$5,000.

Only the first \$25,000 of each Subrecipient agreement issued by UAH is subject to F&A. The F&A limitation is not applicable to vendors and consultants, which will incur F&A on the total amount.

The F&A rate approved is effective for the life of the contract and grant.

Sponsored Programs Research Reports are located under *my.UAH* Research

Below is a list of some (not all) information located on the OSP Website:

- Conducting Research with UAH
- Staff Directory
- Limited Submissions
- OSP Administrative Memos
- Preparing and Submitting a Proposal
- Training
- OVPR Internal Funding Opportunities
- Cost Sharing Policy and Procedure
- Federal Agency Links
- Research Forms and Documents
- Active Task Order Subcontracts

Visit the OSP website: <http://www.uah.edu/osp> for additional information and resources.

Cost Principles

Four Cost Principles: Allowable, Allocable, Reasonable, and Consistent

1. A cost is **allowable** when:

- a. It serves the university business purpose, including instruction, research and public service.
- b. It is permissible according to UAH cost policy and federal regulations (regardless of whether or not it is a sponsored project).
- c. It is permissible (for a sponsored project) according to the terms and conditions of the Sponsored Agreement.

2. A cost is **allocable**:

- a. For a sponsored project the cost must provide “benefit” to the project.
- b. For a gift, it must correspond to the intent of the donor.

3. A cost is **reasonable** if a prudent person would purchase the item at that price. Determine whether a cost is reasonable by considering whether:

- a. The cost is necessary for the performance of the activity.
- b. Incurrence of the cost is consistent with established UAH policies and practices.

4. A cost is **consistent** when like expenses are treated in the same manner in like circumstances. For the sponsored projects, consistency means that sponsors pay for costs either as a direct charge or as an F&A cost, not both directly and indirectly. The university establishes policies that, if followed, ensure consistency.

Cost Sharing

In accordance with UAH VPR OSP Policy #07.02.04, cost sharing on sponsored projects will only be approved when it is specifically required by the agency. Cost sharing “to increase the probability of the proposal being funded,” will not be permitted. **Whether cost sharing is mandatory or voluntary, a commitment becomes binding once an award is made.** For this reason, UAH strongly encourages limiting cost sharing to that which is mandated by the sponsor or is necessary to make UAH’s proposal competitive.








Service Center Charges

Service centers are units that are established to provide goods and services to other UAH departments, centers, and occasionally, external customers. These centers are essentially “small businesses” operated by a department or center, often to facilitate research activities. Charges from university established service centers are allowable costs when they provide a direct benefit to the project. UAH’s service centers accumulate the costs of providing goods/services and bill these costs, by means of user fees. Service center costs, therefore, may represent direct costs to UAH research programs. A complete description of UAH’s Service Center policy is located on CGA website.

Limited Submissions

Some funding opportunities have a limit on the number of proposal the university can submit in response to the opportunity. The Limited Submission Policy 07.01.17 establish the guidelines used to coordinate submission and selection of proposals submitted in response to a Limited Submission solicitation, by The University of Alabama in Huntsville, Office of The Vice President for Research and Economic Development.

Additional Support:

Government Property	Scott Sandlin Scott.sandlin@uah.edu	 2662
Office of Technology & Commercialization	Kannan Grant, Dir. Kannan.grant@uah.edu	 6620
Research Security	Denise Spiller, Dir. Denise.spiller@uah.edu	 6444
Proposal Development Office	Suzy Young, Dir Suzy.Young@uah.edu	 3448
Compliance/OSP Legal Review	Mike Huff, Attorney Huffm@uah.edu	 6633
Purchasing	Terence Haley, Dir. Terence.haley@uah.edu	 6674
Contracts and Grants Accounting (Post Award Support)	Valarie King, Dir. Valarie.king@uah.edu	 2231

For additional information please contact:

OSP email: osp@uah.edu

Director: Gloria W. Greene, MA, CRA, VBH E26
Phone: X 2657 Email: greeneg@uah.edu

Sr. Associate Director: Kenya Cole-Jones, VBH E20
Phone: X 2647 Email: colek@uah.edu

“Effective teamwork begins and ends with communication.” Mike (Coach K) Krzyzewski