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What's News

UAHUNTSVILLE WELCOMES THE VICE PRESIDENT FOR RESEARCH



Dr. Horack joined UAHuntsville on 23 February 2009. President Williams stated “I am delighted that John has accepted our offer. John emerged as the top candidate after an exhaustive process led by a national search firm, in conjunction with a committee of university and community research leaders. He has the range of credentials essential to leading UAHuntsville’s extraordinary research programs to even greater heights. In addition to his strong scientific, entrepreneurial and technological-management background, John brings a deep appreciation for the full intellectual capabilities of a research university, including the roles of the liberal arts, nursing and other scholarly disciplines.” Dr. Horack released his first cut at our

“Organizational Norms” to the Office of the Vice President (OVPR) Staff, Center Directors and Deans. These Norms as stated by Dr. Horack are currently a work in progress and once finalized will be displayed on his desk and the desk of the OVPR Staff. The “Norms” which will govern our behavior are as follows:

- Communicate Openly, Directly, and Truthfully, with respect for the views of others.
- Show Support for our team, for others at UAHuntsville and promote the University and its decisions.
- Find Solutions, not just identify problems.
- Seek first to understand, then be understood.
- Trust the motives of our colleagues.
- Celebrate our successes, and learn from both successes and failures
- Hold ourselves and each other accountable to our commitments.
- Put the global success of the University ahead of local or parochial concerns.
- Treat everyone as a professional, with courtesy, dignity, and mutual respect.
- Balance our personal and our professional lives
- Be stakeholder oriented, clarify mutual expectations up-front, and establish trust.

Join us in welcoming Dr. John Horack, Vice President for Research!

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On February 17, 2009, President Obama signed the \$787 billion American Recovery and Reinvestment Act¹ (ARRA) into law. One of the major initiatives of the Act is to renew America's investment in basic research and development. The following is a summary of the most pertinent information from the Act as it relates to research operations:

- The ARRA includes \$21.5 billion in federal research and development funding.
- National Institutes of Health (NIH), National Science Foundation (NSF), and Department of Energy have received \$10.4 billion, \$3 billion, and \$1.6 billion, respectively in stimulus funding.
- Funds must be obligated by prime recipients in a relatively short time period.

Federal agencies have begun posting information on how they plan to allocate funding received under the American Recovery and Reinvestment Act of 2009 (ARRA), including in some cases how they will monitor and report their actual spending. Below are the web site links established so far. Note that NIH has posted the most details, including an ARRA funding announcement for Challenge Grants and special terms and conditions for ARRA awards.

Up-to-date information on the ARRA is posted on the OSP website: <http://www.uah.edu/research/resadmin/index.html>

Federal Government Recovery Act Overview <http://www.recovery.gov/>

NIH Challenge Grants in Health and Science Research
http://grants.nih.gov/grants/funding/challenge_award/

Overview Information: Recovery Act Limited Competition: NIH Challenge Grants in Health and Science Research
<http://grants.nih.gov/grants/guide/rfa-files/RFA-OD-09-003.html>

NIH Standard Terms and Conditions: American Recovery and Reinvestment Act of 2009
http://grants.nih.gov/grants/policy/NIH_HHS_ARRA_Award_Terms.pdf

Recovery Act of 2009: NIH Review Criteria, Scoring System, and Suspension of Appeals Process
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-054.html>

National Science Foundation: <http://nsf.gov/recovery/>

Department of Defense: <http://www.defenselink.mil/recovery/>

Department of Energy: <http://www.energy.gov/recovery/>

NASA: <http://www.nasa.gov/recovery/>

National Institute of Standards and Technology: <http://www.nist.gov/recovery/>

NIH National Center for Research Resources (NCRR)
http://www.ncrr.nih.gov/about_us/ncrr_updates/index.asp

RFA-RR-09-007 - Recovery Act Limited Competition: Core Facility Renovation, Repair, and Improvement (G20)
<http://grants.nih.gov/grants/guide/rfa-files/RFA-RR-09-007.html>

RFA-RR-09-008 - Recovery Act Limited Competition: Extramural Research Facilities Improvement Program (C06)
<http://grants.nih.gov/grants/guide/rfa-files/RFA-RR-09-008.html>

PAR-09-118 - Recovery Act Limited Competition: High-End Instrumentation Grant Program (S10)
<http://grants.nih.gov/grants/guide/pa-files/PAR-09-118.html>

NOT-RR-09-008 - Addition of Recovery Funds to the Shared Instrumentation Grant Program
<http://grants.nih.gov/grants/guide/notice-files/NOT-RR-09-008.html>

RFA-OD-09-003 - The Challenge Grant
<http://grants.nih.gov/grants/guide/rfa-files/RFA-OD-09-003.html>

NEW AWARDS: January—March 2009

Principal Investigator	Department/ Center	Title
Dr. Michael Anderson	CEE	UA/UTCA/Preparing for Transit-Oriented Development A Primer and Training Course
Dr. Mohamed Ashour	CEE	UA/UTCA/Road Embankment and Slope Stabilization
Dr. Arastoo Biazar	ESSC	Lamar University/GOES Data Assimilation in CAMx Modeling System
Dr. Jason Cassibry	PRC	Orbitech/Advances Met Fueled by Water w/Plume Diagnostics and Modeling
Dr. Lawrence Greenwood	MMG	Army/AMCOM/Research, Development, and Analysis for the End-to-End AMCOM G3 Supply Chain
Dr. Jeet Gupta	MIS	SAIC/SAP Training & Curriculum Development in Support of the UNITEs Program
Dr. Vistasp Karbhari	Provost	UCSD/Evaluation of Long Term Performance of Epoxy Bonded Mechanical
Dr. Kevin Knupp	ESSC	NSF/Collaborative Research: Mesoscale and Microscale Processes in Extratropical Cyclones
Dr. Kathleen Leonard	CEE	UA/UTCA/Transportation Engineering Advancement and Mentoring Summer Program
Ms. Sue O'Brien	RSESC	VCSI/FASTSAT-HSV Initiative
Dr. David Pan	ECE	NRL/Efficient Data Compression Techniques for Weather Data
Dr. Gary Zank	CSPAR	SWRI/Supporting Science for the Interstellar Boundary Explorer (IBEX)
Dr. Ken Zuo	MAE	UA/UTCA/Modeling Damage in Concrete, Pavements and Bridges

Funding Opportunities

Community of Science

Looking for potential funding opportunities? Have you tried Community of Science (COS)? COS is the leading global resources for hard-to-find information critical to scientific research and other projects across all disciplines.

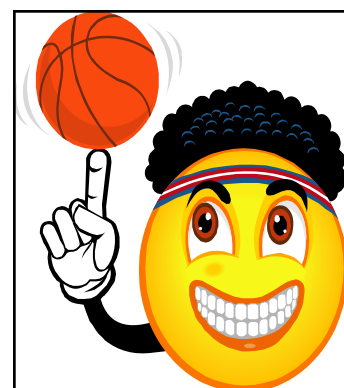
You can access COS from the OSP website, under the PROPOSAL TAB "Funding Sources"
<http://www.uah.edu/research/resadmin/index.html>

To learn more about COS, please contact Steve Parker at 2654 or parkerjs@uah.edu.

Weekly Funding Bulletin

The OSP Weekly Funding Bulletin, is an abstract of funding opportunities from various agencies such as NASA, DOE, DOD, NIH, NSF, Private Foundations, and State Agencies. It includes special topic announcements from the agencies, as well as the dates and times of OSP selected solicitation reviews. The bulletin is sent via email each week.

If you would like to receive the Funding Bulletin, please send an email to: ospweeklyfundingbulletin@uah.edu



Gifts vs. Contracts/Grants: Know the Difference

University of Tennessee Professor Convicted of Arms Export Violation

A federal jury convicted retired University of Tennessee professor Dr. J. Reece Roth, on 18 counts of conspiracy, fraud and violating the Export Control Act as it relates to the illegally exporting military technical information relating to plasma technology designed to be deployed on the wings of drones operating as a weapons or surveillance systems.

Dr. Roth was convicted on conspiracy, wire fraud and export control charges on September 3, 2008 for improperly sharing sensitive technology with students from China and Iran.

The case is the latest in a series involving the Arms Export Control Act. It also is among the first in which the government sought to punish a defendant for distributing scientific know-how rather than equipment to foreigners studying at universities with military research contracts.

Violations of the Arms Export Control Act carry a maximum possible penalty of ten years imprisonment and a \$1,000,000 fine. Wire fraud carries a maximum possible penalty of 20 years imprisonment and a \$250,000 fine, while conspiracy carries a maximum penalty of five years imprisonment and a 250,000 fine.

The verdict "should serve as a warning to anyone who knowingly discloses restricted U.S. military data to foreign nationals," said Patrick Rowan, acting assistant attorney general for national security.

Complete Article located at:
<http://www.usdoj.gov/>

Sponsored projects falls within several general functional categories. Examples of these categories are: research, training, public services, fellowships, travel and equipment awards.

In general, sponsors of those activities include agencies of the federal, state, and local governments, foundations, international organizations, research institutes, societies and corporations.

These organizations fund sponsored projects using a variety of mechanisms such as contracts, grants, letter agreements, credit cards, purchase orders, and/or cooperative agreements.

Contracts and grants differ on its application. A contract is used mostly for applied research, whereas a grant is mostly used for basic fundamental research.



What Characterizes a Gift?

Given in the Spirit of "Disinterested Generosity" (IRS Terms.)

No contractual obligations or deliverable.

No intellectual property rights.

Award irrevocably.

No required reporting (progress or financial.)

Not given in response to solicitation of support for a specifically-defined research project.

What Characterizes a Contract or Grant?

Specified performance period.

Generally have to return unobligated balance.

Specific scope of work.

Required financial reports.

Detailed technical/progress report or other work product.

The right to audit.

Other contractual obligations (e.g. patent rights.)

Complicating Factors

Trying to avoid F&A

Wanting research credit for gifts

Double counting (gift/sponsored awards.)

Distinct and separate accounting functions and reporting requirement.

Council for Advancement and Support of Education (CASE)

CASE is the professional organization for advancement professionals at all levels who work in alumni relations, communications, fundraising, marketing and other areas (<http://www.case.org>).

CASE goal is to ensure that institutions report only those transactions that involve true **philanthropic** intent.

To be considered a gift, no further involvement on the part of the donor is appropriate upon gift acceptance.

For the most part, if the IRS does not recognize a transaction as a charitable donation, it is inappropriate to recognize the transaction as a gift for CASE reporting.

IRS Publication 1771—Charitable Contributions: Substantiation and Disclosure Requirements:

A contribution made by a donor in exchange for goods or services is known as a **quid pro quo** contribution.

A charitable organization must inform the donor in writing that the amount of the contribution that is deductible for federal income tax purposes is limited to the excess of money contributed over the value of goods or services provided by the organization.

IRS Publication 526-Charitable Contributions—Tax Return Instructions:

If you received a benefit as a result of making a contribution to a qualified organization, you can deduct only the amount of your contribution that is more than the value of the benefit you received.

If you have questions about Gifts, please contact University Advancement, Dr. Jeff Sands, VP for University Advancement, 6127 or jeff.sands@uah.edu.

If you have questions about Contracts/Grants please contact The Office of Sponsored Programs, Gloria Greene, Director, Sponsored Programs, 2657 or gloria.greene@uah.edu.



We make a living by what we get, but we make a life by what we give.

Winston Churchill

It's My Money, Why Can't I Spend It The Way I Want Too?

UAHuntsville Revised Travel Guidelines

The Board of Trustees of The University of Alabama Board Rule 413, Travel Guidelines is the official guidelines for UAHuntsville. A copy of the revised Travel Guidelines effective March 2009 may be found at:

<http://www.uah.edu/admin/Finance/travelinfo.html>

Risk Memo

The Risk Memo Forms were revised January 2009 and can be found on the OSP website at: <http://www.uah.edu/research/resadmin/information/general/risk.html>.

Please note:

A contract/grant or a cost sharing Banner account is NEVER used for a risk account.

Contracts and Grants Accounting will monitor the level of risk and the balance of the risk account. If the level of risk exceeds the balance of the risk account, both accounts will be frozen until the situation is resolved.

Risk memos should be used judiciously.

If you have questions about Risk Memos and the process, please contact:

Judy Conine at 6063 or judy.conine@uah.edu

When a proposal results in a contract or grant award, OSP reviews the award document and arranges for its official acceptance by the University. UAHuntsville is the legal recipient of the award. The PI is the person who conducts the project and is responsible for the scientific progress and expenditures of funds.

When funds are expended on a contract or grant, the University pays all expenses out of its General Funds to include, salaries, fringes, tuition, consultant/subcontractor cost, vendor invoices, and reimbursement of research related travel expenses. Not until these expenses are charged and paid by the University, can the University then re-

quest reimbursement from the funding agency. Often it is said to the staff of OSP and/or C&G Accounting that funding received under a sponsored research grant belongs to the PI. Some believe that when the contract or grant is awarded, the funding agency issues a check for the amount of the award. This is not the case. Rarely will a funding agency pay for research in advance of completion. Most research is reimbursed as cost is incurred and invoiced. The University must then wait for the funding agency to issue a check for expenses incurred. It is at this point that OMB Circular A21, "Cost Principles for Educational Institutions" becomes pivotal and the rules governing allow-

able cost will determine if any and/or all cost billed will be reimbursed. Payment from some funding agencies may take up to six months. In most cases if the contract is Fixed Price, invoicing is not done until 90 days after the end date of the contract and all deliverables have been received and accepted by the funding agency. So, while the university's obligations to its employees and vendors have been met, we must wait for the funding agency to audit our invoices, supporting documentation, accept/receipt of final reports and/or deliverable; ensure compliance with billing instructions and OMB Circular A21 as it applies to allowable cost for sponsored activities, before they issue payment.

Sabbatical Leave of Principal Investigators

As a Principal Investigator on a grant or contract and you plan to take Sabbatical Leave, you are required to notify the funding agency. If the leave is for a period of up to 3 months, you must notify the agency of arrangements for conducting the project during the temporary absence. If absent for a period longer than 3 months (such as sabbatical leave), arrangements for oversight of the project must be sent to the funding agency for approval. This information must be provided at least 30 days before departure or as soon as practical after the prospective absence is known. OSP must receive written approval from the Program/Technical Officer of the funding agency and percent of effort charged to the grant or contract must be adjusted as outlined in the

approved plan.

Both NSF and NIH requires the PI submit a letter to their program officer for approval. The letter should provide at a minimum the following information:

- The name of the institution where the sabbatical leave will be taken.
- A statement that his leave qualify as "sabbatical leave" in accordance with UAHuntsville established policies.
- The estimated amount and percent of salary support to be provided by UAHuntsville during the leave period.
- The estimated amount and percent of salary support to be charged to each grant/contract as well as to all other funding sources during the leave period, **not to exceed 100%**.

- A brief description of the activities to be performed by the PI while on sabbatical leave and the relationship of each contract/grant.
- The estimated percentage of time the PI will be spending on activities related to each grant/contract during the sabbatical.
- The extend of research to be continued on each grant/contract at UAHuntsville during the PI absence.
- The name, contact information and CV of the proposed person to be left in charge of day-to-day activities in the PI Absences.

This information must be sent to the funding agency in a letter signed by the PI and Director, OSP.



**Contracts and Grants
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The Office of Sponsored Programs (OSP) mission is to support three distinct groups: 1) UAHuntsville faculty and research staff; 2) UAHuntsville administration; and 3) our funding sponsors.

OSP strives to maintain balance among these groups by reviewing proposals to external funding agency, proper fiscal management of funds received, and oversight of compliance matters related to external agencies and the federal government.

OSP's role is to support the faculty, staff, and administration of UAHuntsville; in effectively seeking, obtaining, and managing their research and scholarly activities to enhance their educational role.

CURRENT FUNDING OPPORTUNITIES

National Institute of Health (NIH)

Exploratory Investigations in Food Allergy (R21) (RFA-AI-09-011)

Due Date(s): Letter of Intent: 19 May 2009
Proposal Due: 19 June 2009

<http://grants.nih.gov/grants/guide/rfa-files/RFA-AI-09-011.html>

Biobehavioral Methods to Improve Outcomes Research (R01) (PA-09-125)

Due Date(s): Multiple dates, see announcement. Earliest submission date: 5 May 2009

<http://grants.nih.gov/grants/guide/pa-files/PA-09-125.html>

National Science Foundation (NSF)

Engineering Research Centers (ERC) Partnerships in Transforming Research, Education and Technology

Due Date(s): Letter of Intent: 15 May 2009
Preliminary Proposal Due: 15 July 2009
Full Proposal (Invited) Due: 12 January 2010

http://www.nsf.gov/pubs/2009/nsf09545/nsf09545.htm?govDel=USNSF_25

Undergraduate Research and Mentoring in the Biological Sciences

Due Date: Preliminary Proposal: 15 September 2009

<http://www07.grants.gov/search/search.do?&mode=VIEW&flag2006=false&oppId=45696>

Research Experiences for Teachers (RET) in Engineering

Due Date: 16 November 2009

<http://www07.grants.gov/search/search.do?&mode=VIEW&flag2006=false&oppId=45707>

NSF Astronomy and Astrophysics Postdoctoral Fellowships Grant

Due Date: Second Wednesday in October 2009

<http://www07.grants.gov/search/search.do?&mode=VIEW&flag2006=false&oppId=45723>

Research and Evaluation on Education in Science and Engineering Grant

Due Date(s): Letter of Intent: 9 October 2009
Proposal Due: 12 November 2009

<http://www07.grants.gov/search/search.do?&mode=VIEW&flag2006=false&oppId=45726>

Math and Science Partnership Grant

Due Date: 20 August 2009

<http://www07.grants.gov/search/search.do?&mode=VIEW&flag2006=false&oppId=45734>

National Aeronautics and Space Administration (NASA)

Ground-Based Studies in Space Radiobiology

Due Date(s): Step 1: 23 April 2009
Step 2: 25 July 2009

<http://nspires.nasaprs.com>

ROSES 2009: Advancing Collaborative Connections for Earth System Science Grant

Due Date: 26 June 2009

<http://www07.grants.gov/search/search.do?&mode=VIEW&flag2006=false&oppId=46097>