THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

SPONSORED RESEARCH NEWS

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Ray Vaughn, Ph.D.
Vice President for Research

Dear Colleagues,

It's hard to believe that in a few short weeks, we will be back in full swing with the start of the Fall semester. I have been settling in to the office of research and have been able to meet a number of you this summer, and I look forward to meeting others in the days ahead. I wanted to take a few moments of your time to bring you up to date on some of the activities of my office and to share some research success stories.

I wanted to take a few moments to mention the role of the principle investigator (PI) in grants and contracts that are awarded to UAH. I like to remind new faculty that once you are awarded a grant or contract, you take on responsibilities that go beyond just the research effort. While there are offices at UAH that assist in these responsibilities, the fundamental responsibility for accomplishment of all post award responsibilities rests with the PI. The grant process is generally broken up into pre-award and post-award. For the most part, pre-award is handled by the Office of Sponsored Programs and post-award is handled by financial accounting.

The PI responsibilities include progress reports to the sponsor, correct and timely invoicing, execution of the project budget according the plan presented in the funded proposal, compliance with all regulatory guidance associated with the project (e.g. export control, security, biological safety, etc.), and obtaining approval from the sponsoring agency for significant changes in scope. OSP works on behalf of the university as our contracting office to make sure your proposal is legally sufficient, meets the requirements of the solicitation, coordinates with the office of research security if necessary, and accepts the terms and conditions of the grant or contact on behalf of the university.

Mr. Pinner and I are working together to sponsor a visit by the National Council of University Research Administrators (NCURA) to review our pre- and post-award processing at UAH and make recommendations for improvement. Service to you is important to us and we are looking forward to receiving the report once the review is complete. This should happen during the Fall.

I was pleased in the Propulsion Research Center/MAE department's accomplishment in having seven (7) papers presented at the AIAA Joint Propulsion Conference July 16-17. Six of the papers were presented by our graduate students. Our faculty continues to make other research contributions that we are very proud of. A good example of this would include Dr. Richard Miller, Professor of Physics, whose recent work has contributed to the identification of bulk surface hydrogen (water) on the Moon. I am seeing and hearing of other similar accomplishments as I become more familiar with the activities of UAH and I want you all to know how proud we are of the research engagement of our faculty, staff, and students. You do an amazing job for our customers.

The Severe Weather Institute Research and Lightning Laboratory (SWIRLL) broke ground on July 15th. This facility, when completed, will offer a world-class research laboratory for UAH faculty, staff, and students. This is one more example of our research and academic progress that we are all so very proud of. We greatly appreciate the support of the Governor and legislature in making this happen.

As always, I welcome your emails and always enjoying hearing about research accomplishments. Don't hesitate to send them to me. In the future, you can expect to see more programs being announced to support faculty research endeavors. Look for these and please take advantage of them. Best wishes for the upcoming Fall semester.

Yours in Service –
Ray Vaughn
http://www.uah.edu/ovpr

To: The University Research Community

From: Ray Vaughn, Vice President for Research

Subject: NCURA Peer Review

Dear Colleagues,

On October 29-31, 2013 we will host a team of three nationally recognized research administrators on campus conducting a peer review as part of the National Council of Research Administrators (NCURA) peer review program. This review, similar in nature to an academic program review, is being done to ensure that we are appropriately organized to advance excellence in research and creative accomplishments within the UAH community.

The review utilizes National Standards that were developed by NCURA. The Standards represent indicators of effective operations and include such areas as:

- Proposal Services
- Award Acceptance and Initiation
- Award Management
- Research Ethics
- Organizational Structure and Staffing
- Communications, Outreach and Education
- Compliance and Risk Assessment
- Electronic Research Administration

The site visit in October provides an opportunity for the peer reviewers to interact with representatives of all the important constituent groups in the UAH research community. Some of you will be asked to meet with the peer reviewers for generally no more than an hour. If asked to participate please engage in this process fully so that we can gain as much information as we can from this important review.

The reviewers will provide a draft report on the review within 30 business days after the review is completed. Thank you in advance for your support and/or participation. If you have any questions or suggestions for improvement, please contact Gloria Greene, Director, Office of Sponsored Programs @ greeneg@uah.edu.

Yours in Service –
Ray Vaughn
Vice President for Research
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Inside This Issue . . .

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

Upcoming Limited Submission Solicitations

Sponsor Name	Program Name	Agency Limitation/Due Date
Simons Foundation	Math+X: Encouraging Interactions	The Simons Foundation's Math+X program is designed to encourage novel collaborations between mathematics and other fields in science or engineering by providing substantial operating funds to create new chairs at U.S. universities that join mathematics departments with chosen partner departments through matching grants for endowment. Only one (1) proposal per institution. **Agency Deadline: 9/30/2013**
Arnold and Mabel Beckman Foundation	Beckman Young Investigators Program	The Beckman Young Investigator (BYI) Program is intended to provide research support to the most promising young faculty members in the early stages of academic careers in the chemical and life sciences *particularly to foster the invention of methods, instruments and materials that will open up new avenues of research in science.* Only one (1) proposal per institution. **Agency Due Date: 9/30/2013**
NSF	Advancing Digitization of Biodiversity Collections (ADBC) NSF 12-565	Only one proposal may be submitted by any one organization as the lead organization. Organizations may be involved in more than one collaborative effort as a non-lead proposal. **Agency Due Date: 10/18/2013**
Microsoft	Microsoft Research Faculty Fellowship Program 2014	Limited one per organization. Nominees must be new faculty members in the first, second, or third year of their first faculty appointment as of the application deadline. **Agency Due Date: 10/21/2013**
United States-India Educational Foundation	Obama Singh 21st Century Knowledge Initiative: US-India Institutional Partnership Grants	To strengthen collaboration and build partnerships between American and Indian institutions of higher education. Limited one per organization. Activities should be designed to develop expertise, advance scholarship and teaching, and promote long-term ties between partner institutions. **Agency Due Date: 11/1/2013**
W. M. Keck Foundation	Science and Engineering Research Program	Project leaders must be PI-eligible faculty members or researchers. Only one Phase 1 application for this program to the Foundation. **Agency Due Date: 11/1/2013**
NSF	Materials Research Science and Engineering Centers (NSF 13-556)	Only one MRSEC preliminary proposal may be submitted by any one organization as the lead organization in this competition. MRSECs support interdisciplinary and multidisciplinary materials research and education of the highest quality while addressing fundamental problems in science and engineering of a scope and complexity requiring the scale and synergy provided by a campus-based research center. **Agency Due Date: 11/30/2013**
NSF	Science, Technology, Engineering, and Mathematics Talent Expansion Program (STEP) NSF 11-550	An institution that awards baccalaureate degrees is allowed to submit only one Type 1 proposal, or to be part of only one consortium submitting a Type 1 proposal. There are no restrictions on the number of Type 2 proposals that an individual or organization may submit. **Agency Due Date: 12/3/2013**
NSF	Major Research Instrumentation Program (MRI) NSF 13-517	UAH may submit a maximum of 3 proposals. If three proposals are submitted, at least one of the proposals must be for instrument development (i.e., no more than two proposals may be for instrument acquisition). **Agency Due Date: 1/23/2014**

Additional information about the above Limited Submissions and other funding opportunities are available on the OSP Website, under the "Limited Submission" link. http://www.uah.edu/osp/home

OMB Circulars A21, A110, and A133 Proposed Changes and What to Expect

On January 31, 2013, the federal government released a proposal for the OMB Uniform Guidance: Cost Principles, Audit, and Administrative requirements for Federal Awards. The proposed guidance is intended to streamline the language from eight existing OMB Circulars ((Audit Requirements: A133 & A50); Cost Principles: A21, A87, A122, and 45 CFR Part 75); and (Administrative Requirements: (A102, A110, and A89) into one document outlining the structure, scope, and terms of the cost principles and administrative requirements governing federal grants and cooperative agreements for all grant recipient institution types. The consolidation is aimed at eliminating duplicative or almost duplicative language in order to clarify where policy is substantively different across types of entities, and where it is not.

The core elements and impacts of the proposed common circular will remain and when finalized will be into Title 2 of the Code of Federal Regulations (2 CFR . . .). Below is a summary of the proposed rules OMB is proposing and those issues that COGR and its Member Institutions has identified as the most significant opportunities to ensure that Grants Reform is meaningful to the research community.

(A) Audit Requirements:

1. Increase threshold for a single audit from $500,000 to $750,000 in federal spending.
2. Enhance federal agency use and oversight of single audit, to include addition of an accountable official, use of single audit metrics, cooperative audit resolutions and guidance to agencies on the nature of quality control reviews to obtain or conduct.
3. Change the audit supplement scope where its focus is on improper payments and program outcomes rather than compliance minutia.
4. Provide clarification of criteria for low-risk auditee, including the removal of certain provisions allowing an institution to be low-risk with agency approval. **Implication/Impact**: The institutional impact and implication is this proposed rule will reduce the pool of audited entities and focuses audit attention on the highest risk areas of program oversight.
5. Compliance supplement elements are directly integrated into the common circular resulting in a reduction in the number of supplement compliance requirements from 14 to 6. **Impact/Implications:** A-133 Compliance Supplement should still be reviewed, but the remaining elements represent a focused set of requirements to target waste, fraud and abuse. The 6 remaining areas include: (a) Activities allowed or unallowed and allowable costs/cost principles (now combined); (b) Cash Management; (c) Eligibility; (d) Reporting; (e) Subrecipient Monitoring; and (f) Special Tests and Provisions.
6. Auditees cannot determine that an audit finding does not warrant further action. Auditees must initiate corrective actions immediately upon audit report acceptance. **Impact/implication:** Auditees must review and respond to and address all audit findings on a timely basis (immediately).
7. (a) Federal agencies are permitted to conduct other audits in addition to the single-audit, but these should be coordinated with and build on the single audit; (b) Federal awarding agencies and pass-through entities can rely on cognizant agency oversight and/or management decisions; (c) subrecipients are not required to submit to pass-through entities for program-specific audits. **Impact/Implications:** Multiple agency audits and additional agency audits should be better coordinated and in line with each other. Subrecipients will have fewer reporting requirements in program-specific audits.

(B) Cost Principles:

1. Language from the A-87, A-21, and A-122 cost principles are consolidated, merged and clarified into a single document, with limited variations by type of entity.
2. Using flat indirect (F&A) rates instead of negotiated rates. Intent is to reduce indirect costs. Flat Rate Option: (a) OMB to work with cognizant federal agencies, DCA and ONR to develop discount factors for each type of entity; (b) Probably different discounts for different types of grantees (c) Might even be different discounts for different size orgs of a specific type grantee; (d) Institutions with CAS covered contracts would continue to need a negotiated rate. **Impact/Implication:** F&A rates can be extended up to four years reducing the frequency of rate calculations and negotiations between an institution and its cognizant agency. Institutions willing to accept a flat indirect rate of 10% do not need to conduct a rate calculation.
3. An institution may establish the internal controls necessary to validate compensation (salary and wage) costs as long as these internal controls follow the guidance provided (in line with previous standards for time and effort reporting). All institution types must certify effort at least annually, depending on the individual and activities, but the specific period can be determined based on institution practice/periods, i.e. in line with the institutions academic and/or fiscal calendar. Effort must be certified either by the individual employee or by an individual responsible for verification that the work was performed.

OMB Circulars A21, A110, and A133 Proposed Changes and What to Expect *(continues)*

(B) Cost Principles (*continues)*:

4. Expanding the Utility Cost Adjustment (UCA) factor to more educational institutions, which is currently at 1.3% and only available to 66 institution in A-21, Exhibit B. **Impact/Implications:** To qualify institution must submit a utility cost study justifying the increase and an approved plan to reduce their utility costs over time to cognizant federal agency • DCA and ONR will work in coordination with OMB to develop such a utility study • Estimated to cost an additional $80 million in indirect costs if and when it is fully implemented.
5. Clarify when institutions may charge directly allocable administrative support as a direct cost. Includes project-specific activity such as managing substances and chemicals, data and image management, complex project management and security • Purpose is to clarify how allowable costs are routinely charged. **Impact/Implication:** Institutions may charge administrative and clerical salaries – as well as other items of cost – directly to a federal award when it is appropriate, allocable and meets the conditions outlined in the federal guidance. The burden for justifying direct costs as allocable to an award remains with the institution.
6. An institution may classify and treat computing devices consistent with "supplies" as opposed to equipment, if the acquisition cost is less than $5,000 (or less than the institution's capitalization threshold if the threshold is greater than $5,000). Computing devices not considered a depreciable asset by an institution's capitalization policy may be charged (expensed) as a cost of supplies. **Impact/Implication:** Would be separate line item on budget but not subject to inventory; and would reduce special burden of obtaining permission for such purchases.
7. $5000 is the threshold for an allowable maximum residual inventory of unused supplies, assuming purchase was properly allocable. **Impact/Implication**: Intent is to minimize confusion about appropriate disposal or re-expensing of unused inventory at end of an award, and harmonize cost principles with current language in A-110 and A-102.
8. Eliminate requirements in A21, F2C for institutions to conduct studies of cost reasonableness for large research facilities.
9. Eliminate the restriction in A21 J14h(2) that certain institutions have on the use of indirect cost recovery associated with depreciation or use allowances.
10. Eliminate the need to perform a lease purchase analysis (A21 J26) to justify interest costs associated with facility construction that benefit federal programs; and eliminates need to notify cognizant agency (J26b(6)) when relocating federal programs associated with a facility funded in whole or in part with federal reimbursement on financial debt.
11. An institution may budget for contingency funds on large projects (e.g. construction or upgrades to large facilities or instruments, or IT systems) to the extent they are necessary to improve the precision of budget estimates. **Impact/ Implication:** Major project scope changes, unforeseen risks, or extraordinary events may not be included. The charges associated with the use of contingency funds must be compliant with the federal guidance cost principles. More than likely will modify the language in A21 J11. Institutions may budget for contingency amounts in grantee proposed budgets and, if awarded, these amounts will be incorporated into the awarded amounts. Institutions must estimate these amounts using broadly-accepted cost estimating methodologies and specify this practice in the budget documentation of the proposal.
12. Disclosure Statement (CASB): Proposed reform is to raise the minimum threshold from $25 million to $50 million in federal awards based on the average for the most recent 3 years. If institution drops below the threshold, Cost Accounting Standards no longer applies. The elimination of the CASB requirements applies only to grants and cooperative agreements.

(C) Administrative Requirements:

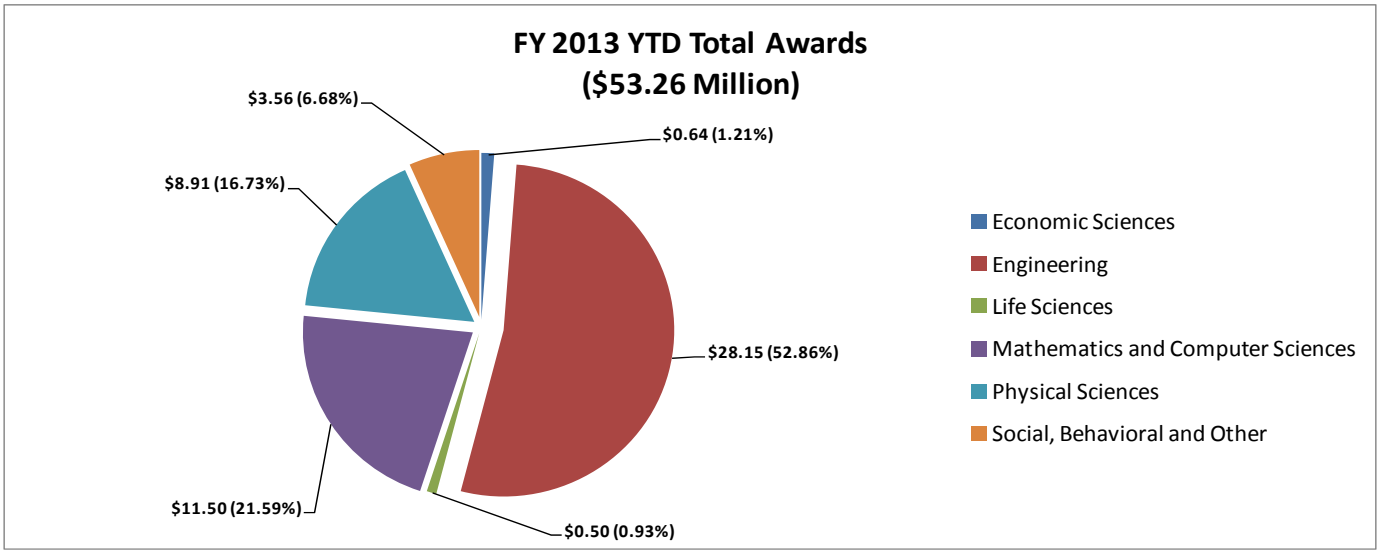
1. Standards and requirements for all federal grants and cooperative agreements irrespective of entity type are uniformly combined under a single circular, with limited exceptions. **Impact/Implication:** Uniform administrative requirements are provided for all recipients of federal awards.
2. A merit-based review would be required for the first time. This would be aimed at ensuring transparency in the award making process and increase quality of awarded projects. Merit-based selection criteria is distinguished from eligibility criteria for applicants for federal awards. Criteria to be evaluated in making an award determination shall be described in the funding opportunity announcement. **Impact/Implication:** Transparency in the award-making process will better inform institutions and investigators of the process, enabling the increased quality of proposals and resultant awarded projects.
3. Available federal financial assistance must be made public via the Catalog of Federal Financial Assistance (CFFA) (previously the Catalog of Federal Domestic Assistance - CFDA); and agencies must leave notices open for at least 30 days. **Impact/Implication:** Applicants have additional time and information (depending on current practices) in preparing applications via the updated Catalog of Federal Financial Assistance.

(C) Administrative Requirements *(continues)*

4. Would require agencies to disclose all terms and conditions attached to awards and would provide more transparency at the solicitation stage about the scope of recipient responsibilities. Information provided in the funding announcement is standardized. Agencies cannot add additional application requirements beyond OMB approved data elements. **Impact/ Implication:** Guidelines standardize recipient requirements within funding opportunities. The federal government will evaluate options for further standardization of funding opportunities in the future.

The most significant changes to the circulars involve the Single Audit and cost principles related to direct and indirect costs. These potential reforms were open for public comment through June 2, 2013, under docket OMB-2013-0001 (www.regulations.gov). However, the fact that OMB requested public comment on a reform ideal does not mean that OMB has concluded that the reform ideal necessarily should be pursued. We expect to hear more about comments submitted in late fall/ early winter 2013.

If you have questions about the proposal for the OMB Uniform Guidance: Cost Principles, Audit, and Administrative requirements for Federal Awards, please contact Gloria Greene, Director, Office of Sponsored Programs at greeneg@uah.edu, or 824-2657.



TOP 10 AWARDS THIRD QUARTER FY13 (Note: Anticipated Award Amount)

Principal Investigator	Department/ Center	Project Title	Sponsor	Maximum Amount*
James Adams	CSPAR	U.S. Participation in the Extreme Universe Space Observatory on the Japanese Experiment Module	NASA/HQ	$1,142,358
Mikel Petty Jeff Thompson	CMSA CMER	Best Practices from Eight County Oil Spill Relief Grant: Replication and Deployment of Key Data and Technologies Across Alabama	Economic Development	$542,000
John Gregory	ESSC	Alabama Space Grant Consortium 5-Year Training Grant	NASA/GSFC	$514,580
Michael Briggs	CSPAR	Gamma Ray Large Area Space Telescope (GLAST) Burst Monitor Experiment	NASA/MSFC	$392,244
Ramazan Aygun	CS	STTR Phase II/Fluorescence Intensity-based Scoring of Macromolecule Crystallization Plates	iXpress Genes	$300,000
Phil Farrington	ISE	MSFC Aerospace and Systems Engineering Program	NASA/MSFC	$300,000
Gerald Karr	ESSC	NASA MSFC Academies	NASA/MSFC	$291,211
Joe Paxton	RI	Supply Chain and Logistics Study	MDA	$157,176
Max Bonamente	PH	Chandra X-Ray Observation (Postdoc Fellowship)	NASA/MSFC	$112,864
Sundar Christopher	ESSC	A Scale Analysis of the Relationships between Biomass Burning and the Mari-time Continent's Radiation	NASA/HQ	$102,000

National Science Foundation
WHERE DISCOVERIES BEGIN

Summary of Significant Changes for the NSF Grant Proposal Guide, NSF 13-1, January 2013 *"National Science Foundation's Merit Review Criteria: Review and Revisions"*

• **Chapter II, Introduction**, has been supplemented with information regarding the Foundation's core strategies from the NSF 2011-2016 Strategic Plan. Similar language regarding integration of research and education and integrating diversity previously appeared in Chapter III.A. The language was moved and updated to align with NSF's current strategic plan. The purpose of this change is to help eliminate internal and external confusion regarding whether these two core strategies are additional review criteria, while at the same time, reiterating their importance.

• **Chapter II.C.1.e, Proposal Certifications**, has been updated to include a new Organizational Support Certification to address Section 526 of the *America COMPETES Reauthorization Act (ACRA) of 2010.*

• **Chapter II.C.2.b, Project Summary**, has been revised to omit language regarding the inclusion of separate headings to address the two merit review criteria. In lieu of this approach, FastLane has been modified to display three separate text boxes in which proposers must provide an Overview and address the "Intellectual Merit' and "Broader Impacts" of the proposed activity. Because FastLane will enable the criteria to be separately addressed (still within one page), proposers will no longer need to include separate headings. Proposals that do not separately address the overview and both merit review criteria within the one-page Project Summary will be not be accepted or will be returned without review.

• **Chapter II.C.2.d, Project Description**, has been revised to implement changes related to the Content and Results from Prior NSF Support sections recommended by the National Science Board (NSB). The Content instructions were updated to provide contextual information about proposal preparation and to include revised language related to broader impacts of the proposed activities from the *ACRA* and the Board's report. In the past, the Project Description needed to include a description of broader impacts as an integral part of the narrative. The Project Description must now contain, as a separate section within the narrative, a discussion of the broader impacts of the proposed activities. This section also was updated to indicate that Intellectual Merit and Broader Impact activities must be described in two separate sections in the summary of Results from Prior NSF Support.

• **Chapter III, NSF Proposal Processing and Review,** has been revised to insert language in the introduction to Chapter III, regarding NSF core strategies. The purpose of this change is to reiterate the importance of integration of research and education and broadening participation as core strategies, as outlined in NSF's strategic plan.

• **Chapter III.A, Review Criteria**, has been renamed Merit Review Principles and Criteria and revised to incorporate recommendations from the NSB. New language has been added on merit review principles, and revised merit review criteria language was inserted. Language regarding evaluation of mentoring plans for postdoctoral researchers has been moved from the GPG Chapter III to the Postdoctoral Mentoring Plan instructions in Chapter II.C.2.j. References to the document containing examples illustrating activities likely to demonstrate broader impacts have been deleted. This was done to eliminate confusion over the document, which was often viewed as a prescriptive list of additional requirements instead of illustrative examples.

The above is excerpted from the Grant Proposal Guide and specifies the changes made to the document. Note that this is only the summary. The actual document should be referenced for the full language of the changes. Additional information and relevant links are located on the OSP Website, *NSF 13-1 Summary of Changes to the NSF Grant Proposal Guide (GPG)*

National Science Foundation Cancels a Round of Political-Science Grants

Charles Huckabee**,** *The Chronicle of Higher Education,* August 5, 2013

The National Science Foundation has scrapped its next cycle of grants for political-science studies, *Nature* reports, and scholars in the field are speculating that the agency did so in response to pressure from Congress, which in March imposed strict conditions on NSF funds for political-science research.

The restrictions, contained in a Senate amendment to a spending bill for the remainder of the 2013 fiscal year, stipulate that the NSF cannot approve any grants involving political science unless the agency can certify them "as promoting national security or the economic interests of the United States."

The agency did not explain its reasons for eliminating the current grant cycle, which had a mid-August application deadline. John H. Aldrich, a political scientist at Duke University, said the decision suggests that the agency buckled under the uncertainty of how to interpret the Congressional restrictions. Michael Brintnall, executive director of the American Political Science Association, agreed: "It's hard to imagine that it's not a factor in the decision," he told the magazine.

The August cycle is one of two the NSF holds each year to award grants from an annual budget of roughly $10-million for political science. The agency's Website says that it will hold its next call for political-science proposals in January, as usual. The Congressional restrictions are set to expire on September 30, the end of the 2013 fiscal year.

Individual Development Plans for NIH-Supported Trainees

Posted on July 23, 2013 by Sally Rockey NIH's Deputy Director for Extramural Research

NIH continue to make progress on implementing the recommendations proposed by the Advisory Committee to the NIH Director (ACD) working group which studied the biomedical research workforce. A Notice in the NIH Guide for Grants and Contracts was just posted announcing that NIH ***encourages grantees to develop an institutional policy requiring an Individual Development Plan (IDP) for every graduate student and postdoc supported by any NIH grant, regardless of the type of NIH grant that is used for support.***

NIH is encouraging grantee institutions to describe the use of the IDP in the Research Performance Progress report (RPPR) for all projects reporting graduate student and/or postdoctoral researchers. Instructions for reporting IDPs in the RPPR will be available on October 18, 2013, however, NIH understand that it will take time to develop and implement IDP policies. Institutions are encouraged to begin reporting IDPs in the RPPR by October 1, 2014. Institutions that have institutional IDP policies already in place are encouraged to begin reporting as soon as possible after instructions appear in the RPPR.

In addition, NIH posted a Request for Information (RFI) seeking input on several of the recommendations including the one calling for IDPs. The commenters nearly unanimously agreed with the implementation plan and thought that IDPs should be used to assist in tailoring individual training as part of the overall mentoring process. Many stressed that active and engaged faculty participation is essential for IDPs to be effective.

IDPs are a useful tool to help graduate students and postdocs identify their career goals and what they need to accomplish to achieve those goals. Perhaps more importantly, the IDP process can facilitate communication between faculty mentors and their trainees. However, IDPs will be meaningful only if mentors and mentees make full use of their potential as career development tools. NIH plan on monitoring the outcome of this effort, so stayed tuned for more on the subject as this unfolds. - See more at:
http://nexus.od.nih.gov/all/2013/07/23/individual-development-plans-for-nih-supported-trainees/#sthash.6yWZwFD1.dpuf

Extension of eRA Commons User IDs to Individuals in Graduate and Undergraduate Student Project Roles with Measurable Effort on an NIH Annual Progress Report (PHS2590 & RPPR) Notice Number: NOT-OD-13-097

Over the next year the NIH will start requiring an eRA Commons ID for all individuals in graduate and undergraduate student roles who participate in NIH-funded projects for at least one person month or more. That information will appear on NIH progress reports, including those submitted on paper using the DHHS Public Health Service Grant Continuation Progress Report (PHS 2590, rev. 8/2012), and electronically using the Research Performance Progress Report (RPPR, rev. 8/2012.)

Beginning on October 18, 2013 a warning will be generated when an RPPR is submitted that lists individuals in a graduate or undergraduate student role who have not established an eRA Commons ID. Then beginning in October 2014, RPPRs lacking the eRA Commons ID for Graduate and Undergraduate Students will receive an error and the RPPR will not be accepted by the NIH without this information.

The NIH PHS 2590 and RPPR forms will be modified to prompt for this information beginning on October 18, 2013. Also beginning on that date, graduate students and postdocs who complete their eRA Commons Profile will be required to answer certain demographic questions related to their date of birth, gender, race, ethnicity, disabilities, US citizenship status and country of citizenship; and where applicable, they will need to indicate their highest educational degree and the institution where it was earned, in order to complete the data collection. For items that request information on gender, race and ethnicity, and disability one of the acceptable responses will be ”I Do Not Wish to Provide”.

Once phased in, this new policy will extend the existing eRA Commons ID requirement for Program Directors/Principal Investigators (PDs/PIs) and postdoctoral researchers. In addition to providing information on PD/PIs and those in the training phases of their careers, grantee institutions will be encouraged to create an eRA Commons Account for all other personnel listed on the All Personnel List of the PHS 2590 or in the Participant Section (D.1) of the RPPR.

This new collection will provide more comprehensive information about the size and nature of the biomedical research workforce. Entering an eRA Commons ID in the Participant Section of the RPPR will pre-populate other components of this form reducing some of the burden associated with annual progress reporting. The newly revised instructions and forms will be available on October 18, 2013 at http://grants.nih.gov/grants/forms.htm.

Additional information and tools are available at:
http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-097.html

UAH Office of The Vice President for Research
Internal Awards (2013)

2013 Research Infrastructure Fund (RIF) Awardees

PI	Title	Center/Department
James Baird	A Conductivity Meter for Chemical Reactions in Solutions	Chemistry
Phillip Bitzer	Investigations of High-Speed Lightning Processes using a High Speed Video Camera	COS/ESSC
Lingze Duan	Ultrafast NanoPhotonics on the Optical-Cycle Scale	Physics
Valdimir Florinski	The CSPAR Supercomputer Initiative	CSPAR
Sara Graves	A Testbed for Innovative Big Data and Cybersecurity Research	ITSC
Robert Griffin	Proposal to Establish the Earth Science Human Dimensions, Discovery, & Decision-Making (HD30 Lab)	COS/ESSC
Peter Jenke	Lanthanum Bromide to Develop High-Energy Gamma-Ray Detectors	CSPAR
Kevin Knupp	Replacement Van for the UAH Mobile Integrated Profiling System	COS/ATE
Shankar Mahalingam	A Proposal to Acquire Additional Equipment in Support of the COE HPTC System	COE
George Nelson	Effects of Humidity and Temperature on Bio-Battery Performance	MAE
Ken-Ichi Nishikawa	MBP for 3-D Visualization of Data from Relativistic Jet Simulations	CSPAR
Jeffrey Weimer	Repair of the Nanoscope III Scanning Probe Microscope at UAH	Chemistry
Kunning Xu	RIF Equipment Proposal: Spectroscopy Camera for Optical Emission Measurements in Plasma and Combustion	PRC

2013 UAHuntsville Individual Investigator Distinguished Research (IIDR) Awardees

PI	Title	Center/Department
Azita Amiri	The Effect of Formaldehyde Exposure During Pregnancy on Fetal Weight	Nursing
Chien-Pin Chen	Improving the Atmospheric Boundary Layer Simulation Model for the Optical Wave Propagation through Deep Turbulence Media	CME
Brahmananda Dasgupta	Chaotic Magnetic Fields: Applications in Physics and Technology	CSPAR
Anna Foy	Recovering the Original Design of James Grainger's The Sugar-Cane (1764)	English
Robert Frederick	Energetic Materials Diagnostics with Real-Time X-Ray Radioscopy (Hiatt)	PRC
Joe Gear	UAH Dragonfly/Army YPG Test Analysis	CAO
Junpeng Guo	Perfect Light Trapping for Energy Harvesting and Sensing	CAO
Liwu Hsu	Firm Value and Risk in Franchised Channels	Marketing
Jakobu La Roux	Investigating the Basic Physics of High Energy Ion Related Space Weather Radiation Hazards	CSPAR
Gang Li	Flux Tubes in the Solar Wind and Their Effects on the Solar Wind MHD Turbulence	CSPAR

UAH Office of The Vice President for Research
Internal Awards (2013)

2013 UAHuntsville Individual Investigator Distinguished Research (IIDR) Awardees (continues)

PI	Title	Center/Department
Ying-Cheng Lin	Damage-Free Seismic-Resisting HPFRC Building Frame System	CEE
Luciano Matzkin	Genomic Analysis of Postmating Effects in the Reproductive Tracts and Brains of Cactophili	Biology
Robert McFeeters	Pattern Specific Aromatic Labeling Methodology to Study Membrane Proteins	Chemistry
John Mecikalski	Development of Data Assimilation System of S-band Dual-Polarimetric Doppler Radar Measurements Toward Benefiting the Operational Community	ESSC
Marieta O'Brien	Understanding Mental Models of Residents for Tornadoes and Protective Actions	Psychology
David Pan	A Novel Adaptive Coding Framework for Efficient Compression of Weather Radar Data	ECE
Mikel Petty	Concurrent Model Validation and Operational Test Using Bayesian Experimental Design	CMSA
Nikolai Pogorelov	Magnetized Relativistic Outflows in Astrophysical Objects: New Opportunities of Numerical Modeling with a Multi-Scale Fluid-Kinetic Simulation Suite	CSPAR
Jodi Price	Examining the Impact of Stimulus Characteristics on Younger and Older Adults' Actual and expected Recall Performance	Psychology
Sarma Rani	Combustion Instability Prediction in Rocket Engines through Computational Enhancements in Loci-Chem	PRC
Seyed Sadeghi	Quantum Detection and Ranging (QuDAR) of Biological Molecules Based on Hybrid Nanoparticle Systems	Physics
William Seidler	Design and Fabrication of the Magnetic Insulated Transmission Line and Diode Housing for the Charger and Fusion Propulsion Facility	PRC
Babak Shotorban	Physics-based Modeling of Lofting of Firebands in Wildfires	MAE
Nathan Slegers	Beneficial Aerodynamic Effect of Butterfly Scales for Micro UAS	MAE
Derrick Smith	Investigating Audio Embossed Graphic Images for Individuals with Visual Impairments and Blindness Using Emerging Technologies	Education
Bruce Stallsmith	An Investigation into the Presence and Possible Coevolution of Gill Parasite Infection in Freshwater Fish Populations of Panama and the United States	Biology
Wolfram Verlaan	Evaluating the Effectiveness of a Freedom School Summer Reading Program	Education
Gang Wang	Development and Characterization of an Optically Driven Microfluidic Pump Using Carbon Nanotubes	MAE
Kunning Xu	Electromagnetic Field Effects on Combustion Kinetics and Instabilities	PRC
Gary Zank	Heating the Suns's Atmosphere: a Turbulence Perspective	CSPAR

2013 Charger Innovation Fund (CIF) Awardee

PI	Title	Center/Department
Fan Tseng	Developing a DEA Component for Implementation in a Nurse Staffing Decision Support Dashboard	Management & Marketing

Differentiating between Gifts and Grants, or…

Sponsored projects fall within several general functional categories. Examples of those categories are: research, training, clinical trials, public service, fellowships, and equipment awards. In general, sponsors of those activities include agencies of the Federal government, state and local governments, foundations, international organizations, research institutes, professional societies, and corporations.

These organizations fund sponsored projects through a variety of mechanisms such as contracts, grants, letter agreements, purchase orders, material transfer agreements, and/or cooperative agreements.

What Characterizes a Gift?

- Given in the spirit of "Disinterested Generosity" (IRS Term)
- No contractual obligations or deliverables
- No intellectual property rights
- Awarded irrevocably
- No required reporting (progress or financial)
- Not given in response to solicitation of support for a specifically-defined research project

Gift: An irrevocable charitable contribution to the Foundation for the benefit of the University of Alabama in Huntsville, which is intended as a donation, bestowed voluntarily and without expectation of tangible compensation. Gifts usually take the form of cash, checks, securities, real property, or personal property and may be current or deferred.

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)

Grants: Are those received in accordance with the terms of approved grant proposals for specific programs and projects. Commitments of University's resources or services are made as a condition of the grant, and an accounting of the use of the funds is required by the grantor.

Contract: Restricted payments received by the University from various sponsors, made in accordance with the terms of contracts entered into by the University to conduct specific programs. Payments made pursuant to contracts are not gifts.

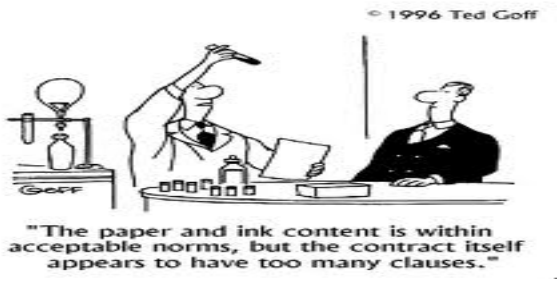
Note: A Grant is a Contract, but a Contract is not a Grant!

Governing Regulations:

Grants: Conducted under OMB Circulars A-21 Cost Principles for Educational Institutions, A-122 Cost Principles for Non-Profits, and A-110 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations

Contracts: Conducted under the Federal Acquisition Regulations (FAR)

If still unsure, contact Bob Lyon, VP for Advancement (6501) at Robert.lyon@uah.edu; or Gloria Greene, Director, Office of Sponsored Programs (2657) at greeneg@uah.edu.



A Grant (or Cooperative Agreement) and Contract will:	Grant	Contract
Require a detail budget be followed, w/any deviations requiring sponsor approval	*X	X
Require financial and/or programmatic reporting	X	X
Define a period of performance during which the funds can be used	X	X
Impose restrictions with respect to allowable cost, patents, rights in data, etc.	X	X
Award requires UAH's involvement in the testing or evaluation of proprietary products/data	X	X
Require an audit of the award expenditures	X	X
Require that the work performed is directed by a specific SOW	X	X
Vest title to equipment purchased by UAH	X	
*Allow UAH to re-budget without prior approval	X	
Allow UAH to grant no cost extensions (up to 12 months)	X	

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

SPONSORED PROGRAMS
THIRD QUARTER FY13

UAH CHARGERS

RESEARCH QUARTERLY DASHBOARD

	Proposals Submitted FY13			Awards Received, FY13			Expenditures FY13	
College/Center	No.	Amount Requested	% Change vs. FY12($)	No.	Amount Received	% Change vs. FY12($)	Amount Expended	% Change vs. FY12($)
College of Business*	10	$728,594	-66.00%	9	$259,007	-43.57%	$357,304	-82.05%
College of Engineering	95	$18,445,637	-46.85%	57	$6,034,774	**252.99%**	$2,081,585	**65.56%**
College of Science	58	$13,118,554	**101.96%**	27	$1,206,369	**11.11%**	$1,264,896	**9.18%**
College of Liberal Arts**	13	$1,281,813	-6.17%	5	$139,244	-88.63%	$232,956	**433.28%**
College of Nursing	5	$762,879	-65.02%	1	$347,553	0.00%	$343,876	**1270.57%**
CAO	29	$4,946,199	-16.44%	22	$612,751	-27.16%	$831,526	-14.79%
CMER	2	$84,482	-85.20%	7	$677,848	-18.95%	$765,271	-12.16%
CMSA	12	$4,654,100	-55.40%	10	$879,260	**7.98%**	$936,010	-24.77%
CSPAR	85	$17,244,597	-27.76%	69	$4,585,026	-14.21%	$4,384,073	**15.80%**
CSS	0	$0	0.00%	0	$0	0.00%	$0	-100.00%
ESSC	73	$22,057,746	**47.11%**	39	$3,919,494	-21.08%	$6,927,811	-1.49%
ITSC	12	$7,727,000	**79.27%**	35	$2,580,500	-45.82%	$4,685,006	**17.97%**
LSB	0	$0	0.00%	1	$46,132	0.00%	$83,826	-23.30%
Provost***	6	$3,477,521	**451.12%**	14	$3,389,651	**586.62%**	$2,824,725	-8.08%
PRC	30	$7,176,042	**50.34%**	12	$1,333,107	**271.39%**	$1,693,947	**29.50%**
Research Institute	52	$3,439,673	-76.92%	90	$3,643,691	**2.21%**	$10,285,051	**97.64%**
RSESC	23	$3,135,922	-3.99%	33	$1,553,487	**28.34%**	$2,346,457	-21.06%
SMAP Center	138	$25,713,049	-4.85%	307	$22,103,674	-5.31%	$28,586,310	**7.23%**
VP F&A	0	$0	0.00%	3	$28,050	-95.33%	$1,906,282	**115.96%**
VPR	4	$3,972,028	0.00%	95	-$80,030	-89.44%	$54,189	-3.17%
Total	**647**	**$137,965,836**	**-14.2%**	**836**	**$53,259,589**	**2.78%**	**$70,591,101**	**10.97%**

* CBA includes: CMOST& SBDC
** LA includes Humanities Center
*** Provost includes: PCS, ISED, Library, OIP, & AA

A successful society is characterized by a rising living standard for its population, increasing investment in factories and basic infrastructure, and the generation of additional surplus, which is invested in generating new discoveries in science and technology.—Robert "Bob" Trout

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

SPONSORED PROGRAMS
THIRD QUARTER FY13

UAH CHARGERS

Sponsored Programs by Unit of Indiviudals Responsible for Project Execution

	Proposals Submitted FY13		Awards Received		Expenditures FY13	
College/Center	Amount Requested	% Change vs. FY12($)	Amount Received	% Change vs. FY12($)	Amount Expended	% Change vs. FY12($)
College of Business	$712,719		$477,257		$384,765	
College of Engineering	$26,633,056		$7,010,182		$2,451,274	
College of Science	$33,023,462		$6,722,622		$5,442,653	
College of Liberal Arts	$1,863,321		$139,844		$265,561	
College of Nursing	$836,306		$347,553		$343,876	
CAO	$1,866,871		$394,923		$631,494	
CMER	$67,824		$666,848		$811,713	
CMSA	$6,140,583		$890,260		$1,025,483	
CSPAR	$13,558,436		$3,868,857		$3,429,375	
CSS	$19,142		$578,627		$0	
ESSC	$9,178,455		$2,012,245		$4,925,089	
ITSC	$7,887,536		$2,580,500		$3,951,871	
LSB	$0		$0		$30,665	
NMDC	$119,818		$0		$0	
Provost	$35,000		$35,000		$2,242,124	
PRC	$2,205,530		$286,000		$1,224,253	
Research Institute	$3,482,322		$3,643,691		$10,038,110	
RSESC	$3,135,922		$1,553,487		$2,544,996	
SMAP Center	$25,713,049		$22,103,674		$28,768,694	
VP F&A	$0		$28,050		$1,997,739	
VPR	$1,486,483		-$80,030		$81,365	
Total	**$137,965,836**		**$53,259,589**		**$70,591,100**	

*FY12 3rd Qtr data not available

Being in a band is always a compromise. Provided that the balance is good, what you lose in compromise, you gain by collaboration. —Mike Rutherford

Use Storytelling Tactics to Engage Reviewers

From: Principal Investigators Association: "NIH R01 Grant Application Mentor: An Educational How-to Manual."

Most NIH reviewers make up their minds regarding your proposal's merit as they read the first page of your application, according to principal investigators who have served in such roles. And they read the rest of your application looking to support their original impression.

Consequently, the quicker you grab their attention, the more likely you will engage them to support your proposal. Your Project Summary/Abstract should present the opening chapter of your story, offering a short description of what the reader will find in the narrative.

Therefore, the Summary should be a faithful, although condensed, replica of the narrative. NIH reviewers indicate that applicants often submit Abstracts that contain ideas found nowhere in the application's body, or Summaries that fail to include important ideas that do appear in the main sections.

As stated earlier, reviewers use the Project Summary/Abstract to prepare themselves to intelligently read the application as a whole. Therefore, if the Abstract is an unfaithful map, they are like drivers heading into one state while holding a map of another.

A good place to begin your abstract, and to get your reviewers' attention, is by answering these four questions:

1. What is the problem or need that your proposal will address?
2. Why is it so important that it must be resolved? In other words, what is the significance?
3. Why are you the only person or group, or best-suited one, who can resolve the problem or need?
4. What is your proposed solution to address the problem?

For additional grant writing tips, please visit the OSP Website: http://www.uah.edu/osp/researcher-s-resources/pre-award/research-development-grant-writing-news

Upcoming Office of Sponsored Programs Training

Date(s)	Topic	Presenter	Location
Oct 17-18, 2013	**"Responsible Conduct of Research (RCR) Face-to-Face Training"** **Overview:** All faculty, staff and Graduate Students charging to a sponsored program contract or grant are required to have 6 hours of face-to-face RCR training.	Mr. Tony Onofrietti, Director of Research Education, Research Integrity and Compliance University of Utah	TBD
TBD	**"Introduction to new Financial Interest Disclosure Policy for NIH and NSF Funded Research"** **Overview:** Institutions are now required to implement the requirements of the 2011 revised Financial Conflict of Interest (FCOI) regulation provided at 42 CFR Part 50 Subpart F, "Responsibility of Applicants for Promoting Objectivity in Research for Which PHS Funding is Sought." Learn how this impacts UAHuntsville ... and you!	Mr. John Cates, Office of Counsel and University Chief Compliance Officer	VBRH E8
Sept 16, 2013 **Oct 08, 2013** **Nov 18, 2013**	**"PI Electronic Gateways for Research"** **Overview**: PIs will learn how to use the PI portal for reviewing proposal submissions and awards, as well as ChargerNet to access summaries of proposal award activity for the university and other resources.	Mr. John Rogers Senior Information Specialist,	VBRH E8
Sept 25, 2013	**"Intellectual Property (IP) Primer"** **Overview:** Practical information on protecting intellectual property, UAHuntsville processes related to IP, and ways the Office of Technology Commercialization can help commercialize new technologies.	Mr. Kannan Grant, Director, Office of Technology Commercialization	VBRH E8
Sept 27, 2013 **Oct 8, 2013** **Nov 6, 2013**	**"How to Submit a Proposal"** **Overview:** This class will teach you the basics of submitting proposals to OSP as well as offer insight into the submission process.	Ms. Felecia Troupe Associate Director, Sponsored Sponsored Programs	VBRH E8

The complete training calendar is located on the OSP Website. For additional information please contact Susan Phelan at X3747 or email: Susan.phelan@uah.edu

OFFICE OF TECHNOLOGY & COMMERCIALIZATION
Kannan Grant, Director
VBRH—E39 (256) 824-6621

America Invents Act

On September 16, 2011, President Obama signed into law the *Leahy-Smith America Invents Act* (AIA), a bipartisan, bicameral bill that updates our patent system. It was intended to encourage innovation, job creation, and economic growth. Both houses of Congress overwhelmingly supported the proposal, which was sponsored by House Judiciary Committee Chairman Lamar Smith (R-Texas). The House of Representatives passed H.R. 1249 by a vote of 304-117 earlier this year. The Senate passed the bill by a vote of 89-9. Senator Patrick Leahy (D-Vermont) partnered with Chairman Smith on the legislation. Congressman Smith led the House efforts on patent reform for more than six years.

While much of the law went into effect on September 16, 2011, several provisions of the law were transitioned over a period of time, with the full law effective on March 16, 2013.

With over 20,000 novel technologies, new devices, methods, and drug molecules being invented by graduate students, researchers, and professors at U.S. universities on a yearly basis, it is important that UAH's innovators are informed of some of the patent law changes in this AIA. Below are some of changes to the current patent law that could have implications for university-derived inventions:

(i) Change from First-to-Invent system to a First-Inventor-to-File
This is one of the most important changes the AIA makes to the U.S. patent system. This affects all patent applications with a priority date on or after March 16, 2013. This change almost brings United States patent law into harmony with the European Patent Office (EPO) and many other countries. However, the AIA has a grace period while the EPO and other countries do not. This has important implications for patenting strategy. While more traditional first-to-file patent systems are effectively determined by who wins the race to file a patent application at the patent office, the new U.S. system includes provisions that allow an inventor to publicly disclose his or her invention to save that inventor's place in line for subject matter disclosed in the publication and later filed patent application—even if another inventor files a patent application first—so long as the inventor files a patent application within one year of the disclosure.

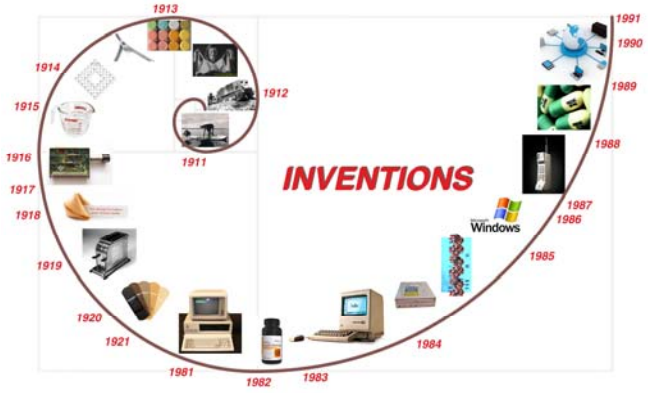
(ii) Creation of Micro-Entity Status
"Micro-Entity" status will result in lower patenting fees on qualifying individuals and academic institutions. Qualifying micro-entities will enjoy a 75% reduction on some patent-related government fees if they can certify: (1) that their employer, from whom the majority of his/her income is obtained, is an institution of higher education as defined in the Higher Education Act of 1965; or (2) the applicant has assigned, granted, or conveyed, or is under an obligation to assign, grant, or convey, an ownership interest in the application to such an institution of higher education. While this provision was due to be effective upon enactment (16 September 2011), the U.S. Patent & Trademark Office has up to 18 months to develop the regulations to identify exactly which fees will be eligible for the reduction. The U.S. Patent & Trademark Office has issued a timetable that shows they expect to promulgate the regulations by February 2013. And at the same time the United States Patent and Trademark Office (USPTO) has the rights to set its own fees.

(iii) Post-grant proceedings and "Patent Trial and Appeal Board"
AIA provides for a new 9-month opening after a patent issues in which any third party may initiate a post-grant review of the patent. This review is somewhat similar to the patent-opposition procedures available in other countries, such as the EPO, and possibly allows for a less costly way of challenging patents than through an inter partes patent reexamination or a lawsuit. There are also revisions to the inter partes reexamination procedure, including a name change—now a "review" rather than a "reexamination." Both post-grant and inter partes reviews are to be carried out in front of a new Patent Trial and Appeal Board, although inter partes review is limited to patents and publications while post grant review is not so limited. Various changes to the post-grant review process are effective one year after enactment, although with the exception of certain business method patents, the new post-grant review procedure will only be available for patents granting on applications filed after March 16, 2013.

(iv) Fast Track
Under the AIA, certain inventions in areas such as environment, energy, renewable, greenhouse gases, and counter-terrorism may be fast-tracked and receive patentability decision within 12 months.

(v) Human Organisms
Human organisms are now deemed unpatentable.

If you are interested in finding out more about the AIA, please contact Kannan Grant at the Office of Technology Commercialization at (256) 824-6621 or email at kannan.grant@uah.edu.



OFFICE OF RESEARCH SECURITY
Denise K. Spiller, Director
VBRH—E20 (256) 824-6929

Military Secrets Leak From U.S. Universities With Rules Flouted By *Daniel Golden, Bloomberg News (2012)*

For 15 days in late 2009, Internet users in 36 countries, including China, Russia, Iran and Pakistan, viewed sensitive information about U.S. weapons technology that was supposed to be for American eyes only.

The disclosure, which prompted a rebuke from a U.S. State Department official, came from a Georgia Institute of Technology course for federal employees and contractors on infrared technology used in weapons-aiming systems for aircraft, ships and tanks. Asked by instructor David Schmieder to copy the course onto a DVD, Georgia Tech's media staff instead uploaded it to servers.

The lapse by Atlanta-based Georgia Tech illustrates how colleges and federal arms-control regulators are often lax in enforcing Americans-only limits intended to prevent theft of military technology from U.S. campuses. Even as they enroll more graduate students from countries such as China and Iran, universities are conducting more research that is restricted to American citizens and permanent residents because of its national-security implications. Foreign governments are targeting universities to "obtain restricted information or products," the FBI said in a 2011 report.

Culture of Openness

Eager to preserve their culture of openness and global collaboration, campuses are skirting -- and even flouting -- export-control laws that require foreigners to hold government licenses to work on sensitive projects.

Using unlicensed foreign students on export-controlled projects "happens all the time," said Michael Deal, an international trade lawyer in Arlington, Virginia, and a former official at the U.S. Commerce Department, which regulates technology that has both civilian and military applications. "The academic world is completely undisciplined about it. Its casual approach has undoubtedly led to the erosion of the U.S. competitive advantage."

Basic research is open to people of any nationality. Classified work, such as electronic counter-measures that jam enemy radar, requires all participants to have security clearances. Export controls -- over, for example, developing trucks with extra protection against mines and explosives -- occupy a middle ground. They exempt fundamental research that is ordinarily publishable or already in the public domain, as well as courses that are widely taught and in the academic catalog.

Universities, which blocked a 2004 proposal to expand export controls, are now backing an Obama administration initiative to streamline them. They say that outmoded, cumbersome controls damage America's economic competitiveness and discriminate against foreign students. Stanford University and the University of California don't accept restricted contracts.

While export-control violators are subject to imprisonment or fines, the federal government rarely goes after universities. Rather than investigate violations, the government depends on universities to disclose them. Once they do, it usually lets them off with a warning.

Enforcement "is grounded in voluntary compliance, in essence an honor system, on the part of the academic community," according to a 2009 court filing by the U.S. Justice Department. "Neither any government agency nor any university has the ability, resources or manpower to audit and supervise every government-funded export-controlled project being conducted in an academic setting."

The number of voluntary disclosures by industry and academia is increasing 10 percent a year, said a State Department official, who asked not to be named. The State Department administers the International Traffic in Arms Regulations (ITAR), which govern export of military items and information.

Must Have License

Before a foreign national can participate in export- controlled research, the university must first obtain a license from the government. If the student comes from any of about 20 countries, the State Department normally denies the license application. That list includes countries subject to an arms embargo, such as China, as well as five nations that the U.S. regards as sponsors of terrorism, such as Iran and Syria. Students from those five are generally ineligible for Commerce licenses too.

Georgia Tech didn't tell the State Department for almost six months about the Internet linking of the infrared-technology course. The university then sought to minimize the breach by citing an assurance from an Army official that much of the information had been approved for public release. When the official denied making this statement, Georgia Tech filed a corrected report acknowledging the mistake. Still, the State Department, which reproved Georgia Tech for "serious violations," didn't seek penalties.

Tensions between law enforcement and academia over balancing national security with the global pursuit of knowledge came into focus in the case of University of Tennessee professor J. Reece Roth, a 74-year-old plasma technology innovator and a graduate of the Massachusetts Institute of Technology, who began serving a four-year prison sentence in January for conspiracy and violating the Arms Export Control Act.

continues on page 16 ⟶

Military Secrets Leak From U.S. Universities With Rules Flouted By *Daniel Golden, Bloomberg News (continues)*

Working with Knoxville-based Atmospheric Glow Technologies Inc., Roth used a Chinese and an Iranian graduate student --both unlicensed -- on an export-controlled Air Force contract to develop plasma actuators to guide the flight of unmanned aircraft. Disregarding a warning by Robin Witherspoon, then the university's export-control officer, Roth took a laptop computer containing export-restricted files to China, and had the Chinese student e-mail him research information.

University officials contacted federal authorities. Atmospheric Glow Technologies pleaded guilty to 10 counts of export control violations and cooperated in the investigation. The university wasn't prosecuted because it didn't know of or condone Roth's actions and disclosed them to the FBI once they came to light, said Assistant U.S. Attorney Will Mackie.

When FBI investigators questioned Roth, he told them that the university's policy of non-discrimination against foreign students "would essentially trump" export controls, an FBI agent testified at Roth's 2008 trial. "His opinion stated to us was in essence that perhaps we should not have export controls," the agent said.

Doctoral Degrees

"This contention that any export-controlled information must not go out of the country is going to make it virtually impossible for scholars to take their laptops out of the United States," Roth said.

Roth testified that foreigners made up "probably about 60 percent to 70 percent" of graduate students in electrical engineering and computer science at the University of Tennessee. In 2010, 54 percent of U.S. doctoral degrees in engineering were awarded to non-resident aliens, according to the Washington- based American Society for Engineering Education. Foreigners on temporary visas made up 46 percent of science and engineering graduate students at Georgia Tech, according to a federal survey.

China sent 76,830 graduate students to U.S. universities in 2010-2011, more than any other country and up almost 16 percent from the prior year, according to the Institute of International Education in New York. Iran ranked sixth with 4,696 graduate students, a 24 percent increase.

Even as their laboratories depend on foreign graduate students, universities are escalating U.S.-only research. The University of Illinois at Urbana-Champaign has 103 graduate students from Iran alone, including 21 in computer science. Foreigners on temporary visas made up almost 60 percent of Illinois graduate students in computer science in 2009, according to a federal survey.

At the same time, Illinois ramped up to between 90 and 100 export-controlled research projects this year, generating $50 million in revenue, a fivefold increase in five years, said Howard Guenther, associate vice chancellor for research. "We've had an explosion in the number of programs" requiring foreigners to be licensed, partly because the government is funding more ITAR-controlled projects, he said.
Illinois has beefed up export-control staff to review contracts, negotiate with funders, and train researchers, Guenther said. It hasn't had any violations, he said.

Export-controlled work has "very clearly" increased at Purdue University, said Peter Dunn, associate vice president for research. "It can be a challenge to find an American researcher."

The University of California and Stanford don't accept U.S.-only contracts. Research that "would restrict access on the part of certain students should not be conducted at universities where our mission is to educate students and disseminate knowledge," Stanford spokeswoman Lisa Lapin said in an e-mail.

Other schools profit from the University of California's principled stand, said Patrick Schlesinger, an assistant vice chancellor at the flagship Berkeley campus. "More and more schools are deciding, 'We love hearing that Berkeley won't take on a research project,'" he said. "'That means our school will get a chance at it.'"

Most universities that take on export-controlled research construe the restrictions narrowly. Because rules can be ambiguous, acting as if a project is fundamental research often makes it so, said Ben Griffiths, senior legal counsel at the University of Wisconsin.

The University of Texas at Austin has disclosed four violations, said Susan Sedwick, associate vice president for research. Three were minor, she said. The other, "an existing situation that I discovered when I came here" six years ago, involved taking controlled equipment and software abroad. "Not that the university hadn't looked at it, they just looked at it in the wrong way," she said. "They thought they had an exemption that they didn't." Sedwick's office monitors grants and contracts, advises faculty, and works closely with the university's information security staff and international office to ensure compliance, she said.

Universities have been waging a political battle against U.S.-only rules since 2004, when a series of reports by federal inspectors general criticized academia. "At least one university allowed foreign nationals access to export-controlled technologies without obtaining an export license," which "could allow foreign nations to counter or reproduce the technology," the Department of Defense inspector general found.

When the Commerce Department's inspector general called for more controls, universities stymied the proposal. "The higher education community really pushed back and expressed very clearly our concern about the crippling effect on the open research environment," said Robert Hardy, director of contracts and intellectual property management for the Council on Governmental Relations, a Washington-based association of research universities.

Continues on page 18 ⟶

Military Secrets Leak From U.S. Universities With Rules Flouted By *Daniel Golden, Bloomberg News (continues)*

In December 2007, an advisory committee of industry and university leaders suggested pruning Commerce's restricted list. It "is too all-encompassing, covering a vast spectrum of militarily less important items ranging from police handcuffs to hunting rifles, and from conventional radios to mass-market computers," the committee said.

The National Research Council, a nonprofit organization of prominent scientists, joined the chorus in 2009, attacking export controls as "unwieldy, slow" and "difficult to administer rationally."

Overhauling Controls

Responding to such criticisms, the Obama administration is overhauling the controls, in the face of opposition from some Republican members of Congress and hardliners within the State and Defense departments. It's working to move some items from the State Department's list of controlled military and satellite technology to Commerce's dual-use roster, which has fewer prohibited countries and a lower bar.

At Georgia Tech, export controls affect classes as well as research. As of November 2010, Georgia Tech Research Institute, the university's applied research arm, offered 69 professional- education courses for federal employees and contractors, of which eight were classified. Fifteen were restricted under State Department rules.

Schmieder, 67, a principal research scientist at Georgia Tech, is familiar with such distinctions. He testified as an expert witness for the government in the 2010 conviction of Noshir Gowadia in federal court in Hawaii for selling classified missile technology to China. (Gowadia's appeal is pending.)

Schmieder had his restricted September 2009 course, "Infrared Technology and Applications," videotaped because he planned to retire and wanted to train his successor. He asked the university's media specialists to place the video on a DVD.

After encountering technical problems copying the tape to a disc, Bailey, the media supervisor, suggested making it available by a link. Under the impression the sessions would only be available internally at Georgia Tech, Schmieder agreed.

The course, including 14 Power Point slides displaying technical data from export-controlled sources, was uploaded to Georgia Tech's servers on Nov. 19, 2009. It remained accessible until Dec. 4, when Schmieder noticed the mistake. He notified university staff and the material was immediately removed from servers. Users in 36 countries viewed the slides 660 times, led by the U.S. with 278, the Netherlands with 68, and India with 52. There were 33 hits from China, 17 from Saudi Arabia, nine from Pakistan, two from Russia and one from Iran.

While Georgia Tech subsequently traced most of the hits to IP addresses in the U.S., South America, Australia and Western Europe, it didn't identify users in the countries of greatest concern, such as China and Iran. Instead of specific addresses, such countries have a block of addresses all registered to their governments, university spokesman Matt Nagel said.

There were 16 hits to the video of the course instruction, all from the U.S., the university said. Because the slides and video were placed on separate servers, "it would have been difficult for someone to locate all the pieces and put them back together into a coherent whole," Schmieder said.

Following an internal investigation, Georgia Tech vice provost Steven McLaughlin disclosed the violation on May 24, 2010, to the State Department's Directorate of Defense Trade Controls. He wrote that the university had been assured by an Army export control officer for night-vision technology that many of the slides had since been approved for public release.

Georgia Tech retracted that statement three months later after the Army's Night Vision Lab contacted Schmieder to deny that it had approved the information's release.

"It was my personal opinion that most of the images were to be approved," Schmieder said. "My comments were misinterpreted" to have come from the Army.

The State Department "determined that serious violations did occur," Daniel J. Buzby, deputy director of its Office of Defense Trade Controls Compliance, notified McLaughlin on Sept. 23, 2010. "This compilation of information is so comprehensive and so sensitive in its description of U.S. Government technology directions that DTCC is concerned over how it was allowed to be placed on a World Wide Web-accessible server."

In response, Georgia Tech prohibited video recording of restricted courses without prior written approval. It also discussed the incident with everyone involved and provided additional training for all research institute employees, McLaughlin said.

"In hindsight, I would do more to remind my co-workers of the sensitive nature of the material and the need for special handling," Schmieder said.

If you have questions and concerns about ITAR, Export Control, and research projects, please contact Denise Spiller, Security Administrator, VBRH E20, @ Denise.spiller@uah.edu, X6444.

The Office of Sponsored Programs (OSP) is your starting point for doing business with UAH faculty, researcher staff, and students. OSP will prepare/process the following:

•Teaming Agreement **·Non-Disclosure Agreement** **•Equipment/Facility Use Agreement**
•Proposal Preparation **•Review/negotiate/execute all contract documents**
•Letters of Support/Intent **•Certifications and Representations** **•Export Control**

PROPOSAL PREPARATION

Cost estimating method used is based on percent of effort or fully burdens hourly rates and is consistent with our current cost accounting standards.

Ready to Submit Proposal is due to OSP five (5) working days prior to agency due date.

UAH FY begins 1 Oct

Proposal Fringe Rate: **34%**

Escalating factor: **4%**

Negotiated *F&A Cost Rates Effective: 10/1/12-9/30/16
·On-campus Research: **48%**
•On-campus Instructions:
FY13:46%
FY14-16: 50%
•On-campus Other Sponsored Activities:
FY13:41
FY14-16: 32.5%
•**Off-campus Research: **27.5%**
•Off-campus Instructions/Other Sponsored Activities: **26%**
•Intergovernmental Personnel Agreements (IPA): **10%**
These rates are based on Modified Total Direct Costs (MTDC).

F&A is not charged on equipment, fellowships, and scholarships.

Only the first $25,000 of each subcontract issued by UAH is subject to F&A.

*F&A: Facilities and Administrative Cost. (Indirect)

**Off-campus Research rate will be 26% if >50 miles from campus.

PROPOSAL/AWARD INFORMATION

GSA Schedule: GS-23F-0062P

CAGE Code: 9B944

DUNS# 949687123

EIN: 63-0520830

CCR Registration: Aug 99

UAH is self Insured

Legal Name:
The Board of Trustees of The University of Alabama, for and on behalf of The University of Alabama in Huntsville, *doing business as* ***UAH***

Cognizant Audit Agency:
Office of Naval Research
Atlanta Regional Office
100 Alabama Street, NW
Suite 4-R15
Atlanta, GA 30303-3104
POC: Douglas Heaton, ACO
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Email: heatond@0nr.navy.mil
Antoinette Bigby, Grants Specialist
(404) 562-1614
Email: bigbya@onr.navy.mil

WHAT YOU SHOULD KNOW

UAH is a state funded institution of higher education. We enjoy sovereign immunity pursuant to Section 14, Article 1 of the Constitution of Alabama and therefore, cannot enter into any agreement which requires the following:

•Indemnification

•Governing by another state law

•Exclusive Agreements

•Claiming all intellectual property rights

•Payment of Program Management Facilitation Fee (PMFF)

Alternate language to some terms and conditions will be suggested upon review of all documents, when applicable.

The University's mission is teaching and research and sponsored research must be consistent with this mission. Therefore, UAH will make every effort to fulfill the requirements of the contract or grant, the proposed set of deliverables, and the timeline contained in the proposals.

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

For additional information, please visit our Web site:
http://www.uah.edu/osp/home
For all other inquires/assistance: Gloria Greene, Director, OSP (256) 824-2657, email: greeneg@uah.edu

Research Centers

Aerophysics Research Center (ARC) and Research Institute (RI) Steve Messervy, PhD, Director 256.464.6343 fax 256.464.6848 steve.messervy@uah.edu	**Center for Applied Optics (CAO)** Patrick Reardon, PhD, Director 256.824.2530 fax: 256.824.6618 reardonp@uah.edu	**Center for Management & Economic Research (CMER)** Jeff Thompson, Director 256.824.2605 fax 256.824.6060 Jeff.thompson@uah.edu
Center for Modeling, Simulation & Analysis (CMSA) Mikel Petty, PhD, Director 256.824.4368 fax 256.824.4322 pettym@email.uah.edu	THE UNIVERSITY OF ALABAMA IN HUNTSVILLE	**Center for Space Plasma & Aeronomic Research (CSPAR)** Gary P Zank, PhD, Director 256.824.2482 fax 256.824.6575 Gary.Zank@uah.edu
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Propulsion Research Center (PRC) Robert Frederick, PhD, Director 256.824.7200 fax 256.824.7205 Robert.Frederick@uah.edu	**Rotorcraft Systems Engineering and Simulation Center (RSESC)** Sue O'Brien, Acting Director 256.824.6133 fax 256.824.6791 obriens@uah.edu	**Systems Management & Production Center (SMAP)** Gary A. Maddux, PhD, Director 256.824.2679 fax 256.313.1922 gary.maddux@us.army.mil

Support Offices

Department	Purpose	POC
Contracts & Grants Accounting	Charges on sponsored research contracts and grants (account statements)	Ms. Valarie King, Director Email: Valarie.King@uah.edu Phone: 256.824. 2231 Website: http://www.uah.edu/admin/c-g/
Purchasing	Requisitions, purchase orders, P-cards, and any actions relating to purchasing.	Mr. Terence Haley, Dir., Procurement Services Email: Terence.haley@uah.edu Phone: 256.824.6674 Website: http://www.uah.edu/admin/bussvcs/
Compliance	University Compliance	Mr. John O. Cates, Chief Compliance Officer Email: john.cates@uah.edu Phone: 256.824.6633
Office of Sponsored Programs	Question about Government Property and/or contracts and grants close-out.	Mr. Scott Sandlin, Government Property/Close-out Email: Scott.Sandlin@uah.edu Phone: 256.824.2662
Research Security	Security briefing, security badge and security clearances.	Ms. Denise Spiller, Director Email: Denise.Spiller@uah.edu Phone: 256.824.6444 Website: http://www.uah.edu/rsa
Technology and Commercialization	Copyright Policy; Patent Policy; Income from Patents and Institutional Guidelines for the Reporting and Subsequent Processing of Inventions and Disclosures	Mr. Kannan Grant, Director Email: Kannan.grant@uah.edu Phone: 256.824.6620 Website: http://www.uah.edu/otc

The Office of Sponsored Programs' (OSP) mission is to support three distinct groups: 1) UAHuntsville faculty, students 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 agencies, 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.