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UAHuntsville
THE UNIVERSITY OF ALABAMA IN HUNTSVILLE
RESEARCH QUARTERLY

OSP Awesome Asset Award

Dr. Dongshen Wu, Asst. Professor, Mathematics

The Office of Sponsored Program staff recognize the effort, dedication and commitment it takes to submit proposals, conduct research, teach, mentor students and provide support to faculty and research staff.

We have decided to let you know how much we truly appreciate your support by recognizing those individuals (faculty, staff and students) that help us support them. We truly appreciate your willingness to adhere to established policies and procedures when working with us on all matters related to sponsored research pre and post-award functions. We want you to know that your effort has not gone unnoticed.

Individuals are nominated by the OSP staff. Recipients are presented with a certificate and engraved tin of M&Ms (UAHuntsville—OSP Team). To quote Voltaire, "Appreciation is a wonderful thing; it makes what is excellent in others belong to us as well."

The first recipients of the "OSP Awesome Asset" Award are Dr. Wu, Assistant Professor, Mathematics, nominated by Kenya Cole; Ms. Sarah Sandlin, (nominated while working in ECE), nominated by Barbara Czura; and Ms. Carole Vargo and Ms. Shelia Kirsch, ITSC, nominated by Kenya Cole.

On behalf of the entire OSP staff we say **THANK YOU!** Your efforts have not gone unnoticed. Your thoughtfulness, appreciation, and support of OSP have not gone unnoticed.
You are **"OSP Awesome Asset!"**

**Ms. Sarah Sandlin,
Staff Assistant, ECE**

**Ms. Carole Vargo, Programs Coordinator
&
Ms. Sheila Kirsch, Sr. Systems Admin., ITSC**

1/7/11 vs. Bemidji State: Lost 1-3
1/8/11 vs. Bemidji State: Won 4-3
GO CHARGERS!

RCR Training

On January 19th and 20th 2011. OSP offered the first face-to-face training sessions to comply with the federally mandated requirement to provide Responsible Conduct in Research (RCR) Training. The primary training topics were (a) Research Misconduct, and (b) Publication Practices and Responsible Authorship. The UAHuntsville research community support exceeded expectations, and based on the majority of comments received, the training was well-received.

Mr. Onofrietti, Director of Research Education, Office of the Vice President for Research, The University of Utah, did an outstanding job in presenting the topics and engaging the faculty, research staff, and students attending the sessions. Participants will have completed the entire required initial 6 hours face-to-face if they attended both sessions; 4 hours face-to-face if they attended one full session and the first half of the second session; and 3 hours face-to-face if they attended one session. A Certificate of Completion, will be sent to participants via campus mail and tracked in the OSP database.

On Being a Scientist: Introduction to the Responsible Conduct in Research

Reprint: On Being a Scientist: A Guide to Responsible Conduct in
    Research, The National Academies Press, 3rd Edition 2009
http: www.nap.edu/catalog/12192.html

Researchers have three sets of obligations that motivate their adherence to professional standards. First, *researchers have an obligation to honor the trust that their colleagues place in them.* Science is a cumulative enterprise in which new research builds on previous results. If research results are inaccurate, other researchers will waste time and resources trying to replicate or extend those results. Irresponsible actions can impede an entire field of research or send it in a wrong direction, and progress in that field may slow. Imbedded in this trust is a responsibility of researchers to mentor the next generation who will build their work on the current research discoveries.

Second, *researchers have an obligation to themselves.* Irresponsible conduct in research can make it impossible to achieve a goal, whether that goal is earning a degree, renewing a grant, achieving tenure, or maintaining a reputation as a productive and honest researcher. Adhering to professional standards builds personal integrity in a research career.

Third, because scientific results greatly influence society, *researcher shave an obligation to act in ways that serve the public*. Some scientific results directly affect the health and well-being of individuals, as in the case of clinical trials or toxicological studies. Science also is used by policy makers and voters to make informed decisions on such pressing issues as climate change, stem cell research, and the mitigation of natural hazards. Taxpayer dollars fund the grants that support much research. And even when scientific results have no immediate applica-

tions—as when research reveals new information about the universe or the fundamental constituents of matter—new knowledge speaks to our sense of wonder and paves the way for future advances.

By considering all these obligations—toward other researchers, toward oneself, and toward the public—a researcher is more likely to make responsible choices. When beginning researchers are learning these obligations and standards of science, the advising and mentoring of more-experienced scientists is essential.

Research is based on the same ethical values that apply in everyday life, including honesty, fairness, objectivity, openness, trustworthiness, and respect for others. A "scientific standard" refers to the application of these values in the context of research. Examples are openness in sharing research materials, fairness in reviewing grant proposals, respect for one's colleagues and students, and honesty in reporting research results.

The most serious violations of standards have come to be known as "scientific misconduct." The U.S. government defines misconduct as "fabrication, falsification, or plagiarism (FFP) in proposing, performing, or reviewing research, or in reporting research results." All research institutions that receive federal funds must have policies and procedures in place to investigate and report research misconduct, and anyone who is aware of a potential act of misconduct must follow these policies and procedures.

Scientists who violate standards other than FFP are said to engage in "questionable research practices." Scientists and their institutions should act to discourage questionable research practices (QRPs) through a broad range of formal and informal methods in the research environment. They should also accept responsibility for determining which questionable research practices are serious enough to warrant institutional penalties.

Standards apply throughout the research enterprise, but "scientific practices" can vary among disciplines or laboratories. Understanding both the underlying standards and the differing practices in research is important to working successfully with others.

"Research is what I'm doing when I don't know what I'm doing ."
~Wernher Von Braun

What You Need to Know About Export Control

Export Control Laws are federal regulations that control the conditions under which certain information, technologies, and commodities can be transmitted overseas to anyone, including U.S. citizens, or to a foreign national on U.S. soil. The laws are implemented by both the Department of Commerce through its Export Administration Regulations (EAR) and the Department of State through its International Traffic in Arms Regulations (ITAR).

Export control laws have the potential to substantially impact UA-Huntsville research and researchers in most fields of science and engineering. If research involves specified technologies, the EAR and/or ITAR may require the campus to obtain prior federal approval before allowing foreign nationals to participate in the research, before partnering with a foreign company, or before sharing research results in any manner (including by publication or presentation at conferences) with persons who are not U.S. citizens or permanent resident aliens.

Export regulations apply whether or not the recipient is funded by a grant, contract, or other agreement, and apply whether or not the EAR or ITAR are cited in the award document. If a researcher accepts export -controlled technology or information from a government agency or from industry, the researcher is subject to ITAR or EAR regulations.

Most UAHuntsville research activities are excluded from export controls because of a general exception for "fundamental research" under the export control regulations. By not accepting any restriction on publication or foreign nationals, UAHuntsville protects the fundamental research exemption.

It is important that faculty and other researchers understand their obligations under the regulations and follow them. The consequences of violating the regulations can be severe, and include loss of research funding, fines, and/or prison time. The campus will assist investigators to comply with export control laws, but the primary responsibility rests with the principal investigator of the research.

Fundamental Research, as used in the export control regulations, includes basic or applied research in science and/or engineering at an accredited institution of higher learning in the U.S. where the resulting information either is ordinarily published and shared broadly in the scientific community or where the resulting information has been or is about to be published.

Fundamental research is distinguished from research that results in information that is restricted for proprietary reasons or pursuant to specific U.S. government access and dissemination controls.

University research will not qualify as fundamental research if (1) the institution accepts any restrictions on the publication of the information resulting from the research, other than limited prepublication reviews by research sponsors to prevent inadvertent divulging of proprietary information or to insure that publication will not compromise patent rights of the sponsor; or (2) the research is federally funded and specific access or dissemination controls regarding the resulting information have been accepted by the university or the researcher.

Please direct any questions you may have about Export Control to Denise Spiller, Director, Research Security, X6444 or email: Denise.Spiller@uah.edu

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UAHuntsville Office of The Vice President for Research
2010-11 Junior Faculty Distinguished Research (JFDR) Award Recipients

Principal Investigator	Department	Research Project Title
Erin Colwitz	Music	Funds to Participate in the Conducting Master Class at the Oregon Bach Festival, Eugene, Oregon
Lingze Duan	Physics	Rapid Scanning Optical Coherence Tomography based on a Single Femtosecond Laser
Kelly Gamble	ACC/FIN	Does Intuition Influence Investor Judgment?
Haley Hoy	Nursing	The Effect of Transplant Education on Nurses' Attitudes Toward Organ Donation and Advocacy for Transplantation: Instrument Development
Marita O'Brien	Psychology	Refining a Process for Describing Human Technology Interactions
Wafa Hakim Orman	Economics and IS	Corporate Philanthropy as a Compensating Differential
Jodi Price	Psychology	Chinese Character Learning: Do Point Values and Presentation Format Matter?
Sayed Sadeghi	Physics	Light-activated Nanoparticle Molecules
Christine Sears	History	Privateers in the Early American Republic: Sailors, National Identity and Maritime Labor
Babak Shotorban	MAE	Uncertainty Quantification of Turbulence Models with High-Performance
Derrick W. Smith	Education	The Characteristics and Role of Tactile Graphics in Secondary Mathematics and Science Textbooks in Braille
Brenda Talley	Nursing	Smokeless Tobacco Use Among Rural Women

UAHUNTSVILLE OFFICE OF RESEARCH SECURITY
Denise Spiller, Director
VBRH—Suite E20, (256) 824-6444

Reporting of Suspicious Emails:

The reporting of suspicious emails by both cleared and un-cleared staff, employees and students is pertinent to our Security Program here at the University. The email that you may not think is suspicious may end up being the "last piece of the puzzle" that our local CounterIntelligence office at the Federal Bureau of Investigation and Defense Security Service are waiting for.

Please forward all emails "that just don't seem right" to the Research Security Administration office, denise.spiller@uah.edu or dn0003@uah.edu. We will forward the emails to our DSS Representative and FBI office and let their experts be the one to review the emails.

Here is the response from the local DSS office "**Your program has generated a great number of high value suspicious contact reporting**"

Mr. Joe Parker, Office of Counterintelligence, Defense Security Service, provided a back briefing regarding suspicious emails reported from UAHuntsville. Mr. Parker will be speaking at February Research Council meeting. We look forward to the helpful tips he has to pass onto us and what the current threats are here in the Huntsville area.

Export Control at the University:

Travel outside the U.S., be it for business or personal pleasure, can present export control issues for both cleared and un-cleared UAHuntsville employees, faculty, and staff. There are government regulations that affect:

- Taking items with you on a trip in support of your work or conference such as:
    Laptops (personal or UAH property)
    Encryption products
    Data/technology
    Blueprints, drawings, schematics
- Supplying certain technologies/data at a "closed" conference or meeting (not open to all technically qualified members of the public, and attendees are not permitted to take notes)
- Travel to sanctioned/embargoed countries: http://www.ustreas.gov/offices/enforcement/lists/
- Doing business with certain people or entities

What this means is that a license could be required from the Departments of Commerce, State, or Treasury, depending on what you are taking and the country you are traveling to. Another aspect to consider is that a license could also be required if you are providing a defense service* to a foreign person.

Fortunately, travel to most countries does not usually constitute an export control problem. In some cases, an exception or exemption to the license requirements is available. Please review the Laptop and GPS Decision Tree to see if you meet the requirements for the Exception to a License.

The Research Security Administration Office will be offering four (4) Export Control Presentations in the month of February. Our scheduled guest speaker is Mr. Walter Dawkins III, Special Agent Immigration & Customs Enforcement (ICE) Birmingham. These presentations are tentatively scheduled for February 15th at 9:30 am and 1:30 pm (TH S105) and on February 23rd at 9:30 am and 1:30 pm (VBRH M50). Contact Denise Spiller for additional information. We hope to see you there.

UAHuntsville Contracts and Grants Accounting
Valarie King, Director, SKH 233 (256) 824-2231

Section 1512 of the American Recovery and Reinvestment Act of 2009 (ARRA)

The American Recovery and Reinvestment requires awardees to submit a quarterly report no later than 10 calendar days after each calendar quarter in which the recipient receives the award (Jan 10, April 10, July 10, and Oct 10). Reports are cumulative each quarter and include information such as the award number, award amount, and award description, primary place of performance, project status, and number of jobs funded.

The Office of Management and Budget (OMB) has posted Memorandum 10-34 which provides guidance in improving transparency of narrative descriptions in both the "Award Description" and "Quarterly Activities/Project Description for Prime and Sub-recipients" fields. The quarterly report should not be considered a quarterly scientific progress report. This report should provide a clear summary of project activities that have taken place during the reporting quarter, including personnel in place, the research underway and any purchases of equipment purchased and installed.

The University has developed an electronic process to help facilitate the quarterly reporting process in federalreporting.gov. On a quarterly basis, an email notification is sent out to remind each Principal Investigator (PI) of the upcoming reporting deadline. The PI should log into Self Service Banner under the finance tab to provide and/or review the following data elements:

- Quarterly Project/Activity Report (not to exceed 2000 characters)
- Project Status
- Jobs Funded (hours worked / total hours in the reporting quarter)
- Expenditures to date
- Award Number
- Award Amount

The quarterly certification must be completed by the **6th day** after each calendar quarter. These signatures mean that the PI has completed the quarterly project report and that all direct charges have been reviewed and are reasonably accurate as shown. The certification statement **must be signed by the PI**, but can be based upon a reconciliation and review performed by another knowledgeable person. The certification itself **may not** be delegated.

Non-compliance with Section 1512 reports is a violation of the terms and conditions of the contract or grant.

Changes You Should Know:

- If you are using "grant funds" to make purchases on LPOs, you will have until 30 June 2011 to use them. Effective 1 February 2011, LPOs for purchases on a research contract/grant and related cost share org must be approved by OSP prior to use. Procurement Services will began training all departments on the Procurement Card (P-Card) Program. Training will be completed by 30 June 2011. Once your department has received its P-Card, all unused LPOs will be returned to Procurement Services. Please contact Terence Haley, Director, Procurement Services at 6151 or Haleyt@uah.edu if you have additional questions.

- Effective 14 February 2011 all retro(s) will be processes through the Office of Contracts and Grants Accounting, for additional information please contact Valarie King, Director, C&G Accounting at 2231 or Valarie.King@uah.edu.

- In order for purchases to be deemed allowable, all charges must post to the research org, 60 days prior to the end date of the contract/grant. Exceptions to this are as follows: Pending approval of a No Cost Extension (NCE) from funding agency and a Risk Memo to cover the total amount of the procurement. For additional information please contact your administrator , or C&G Coordinator.

- Effective 12 July 2010, Miscellaneous Voucher (MV) **may only** be used to reimburse UAHuntsville employees for restaurant and/or food purchases unrelated to travel expenses. MV **cannot** be used to pay consultants. The Miscellaneous Voucher will only be used to disburse: (1) Student refunds, scholarships, etc.; (2) Travel advances for UAHuntsville Student Teams and Clubs; and (3) Utilities. Exception to the MV Policy: Individual must obtain approval from Procurement Services and attach to MV when seeking reimbursement that does not comply with the University's policies and procedures, including those outlined on the MV.

UAHuntsville Cash Advancement Policy

The UAHuntsville Cash Advancement Agreement is established to support UAHuntsville Student Team/Club/Group Travel. Cash advances shall be limited to the amounts needed and timed to be in accordance with the actual **immediate cash requirements** in carrying out the purpose of the approved program or project. The University is required to have written procedures that minimize the time elapsing between the cash advance and the actual disbursement of funds. With that said the University has a cash advance agreement that is posted on the accounting and financial reporting website. This form can only be used for travel associated with **sponsored student/ group travel** and it's the responsibility of the employee receiving the cash advance to provide a **Sponsored Student Team / Club / Group Travel Expense Voucher**, including receipts, expenditure documentation and a **Bursar's Office receipt for any funds not used** for the stated purpose of this cash advance. This should be submitted to Jeremy Holden **within 14 days** of returning from the trip or immediately upon cancellation of the trip. Please note that we should **not** be requesting cash advance and depositing the funds in an interest bearing account. Any interest earned on advances is required to be submitted promptly, but at least quarterly, to the Federal agency of the applicable contract or grant issuing the cash advancement.

VPR'S CORNER

Dear Colleagues:

We interrupt your regularly scheduled motivating and thought provoking commentary from Dr. John Horack, VPR for the following:

The VPR Corner will resume with the next issue of the OSP Research Quarterly.

IN THE NEWS

NSF Revised Proposal Policies

All applications proposing projects to NSF on/after January 18, 2011 must comply as follows:

- Chapter V—Section 2, SF 424 (R&R) (Cover Sheet), 2.15 Enter Estimated Project Funding (Field 15 on the Form), includes information related to NSF's implementation of the National Science Board's recommendations regarding cost sharing (see GPG, Chapter II.C.2.g(xi), Cost Sharing). Applicants are advised that the amount entered in the Total Non-Federal Funds (Field 15.b) will be entered on Line M of the NSF budget for those programs where cost sharing is required, when entered into the NSF FastLane System. Review of the solicitation's guidance on cost sharing is vital since inclusion of voluntary committed cost sharing is prohibited for most solicitations. NSF-required, mandatory cost sharing will only be required when explicitly authorized by the NSF Director.

- Chapter V– Section 4, R&R Other Project Information, 4.12 Add Other Attachments contains a clarification of NSF's long standing data policy. All proposals must describe plans for data management and sharing of the products of research, or assert the absence of the need for such plans. The attachment name must include the words "Data Management Plan". NSF will not permit submission of a proposal that is missing a Data Management Plan. The Data Management Plan will be reviewed as part of the intellectual merit or broader impacts of the application, or both.

CLARIFICATIONS AND OTHER CHANGES

- Chapter III—Section 6, Proposal File Update – Post Submission, has been revised to explain that the Proposal File Update Module can no longer be used to submit revised budgets. They must now be submitted via the FastLane Revised Proposal Budget Module.

- Chapter III- Section 6, Warning Messages has been supplemented to make it clear that failure to submit all required sections of the application may result in the application being returned without review Chapter V – Section 4, R&R Other Project Information, 4.12 Add Other Attachments, has been clarified to show that a mentoring plan is not required for postdoctoral researchers who are listed as Senior Personnel in Section A of the Budget.

NSF Asks,
What Do You Think of Review Criteria?

A National Science Board task force is seeking input on the two merit review criteria used to evaluate National Science Foundation (NSF) proposals: intellectual merit and broader impacts. NSF has established a website for collecting comments from administrators and faculty on the criteria's strengths and weaknesses, the institutional role in ensuring that the criteria are met, the ways the criteria influence the development of research projects, and suggestions for changes.
http://www.nsf.gov/nsb/publications/2011/01_19_mrtf.jsp

The reauthorized America COMPETES Act gives special attention to the broader impacts criterion and its capacity to help identify projects that meet national education, competitiveness, security, economic, and workforce goals. Within the next six months, COMPETES requires NSF to do the following: develop and implement a policy to clarify the broader impacts review criterion and educate NSF staff, reviewers, and applicants about it; allow for "some portion […] of research grant funds to be used for assessment and evaluation of the broader impacts activity;" encourage more training on the achievement of broader impact goals; and require applicants to provide evidence of institutional support for achieving the broader impacts objectives proposed.

NSF will post compiled feedback online shortly after the comment period closes, and the merit review task force will issue its report by the end of the calendar year.

OSP NORMS

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 to 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 professional lives.

Be stakeholder oriented, clarify mutual expectations up front, and establish trust.

IN THE NEWS

NIH Launches New Website

By establishing a new interactive website, "Feedback NIH," http://feedback.nih.gov/ the National Institutes of Health (NIH) is providing a forum in which individuals throughout the biomedical and behavioral research community can comment, express concerns, and ask questions about the agency's activities. Comments are currently being sought on separate proposals to create a new NIH institute - the Institute for Substance Use, Abuse, and Addiction - and a new NIH center- the National Center for Advancing Translational Sciences. Comments and questions not related to the current discussions may be submitted at any time to NIH-Listens@mail.nih.gov.

NSF Cost Sharing Changes Now in Effect

The National Science Foundation (NSF) has been fielding frequently-asked questions regarding its revised cost sharing policy, which took effect January 18, 2011. As previously reported in *GrantWeek*, the policy changes implement eight recommendations made by the National Science Board in August 2009.

The most notable of these is the prohibition of voluntary committed cost sharing. Going forward, all physical and personnel resources necessary for the project must be described in the Facilities, Equipment, and Other Resources section of the proposal. "The description," cautions the agency, "should be narrative in nature and must not include any quantifiable financial information." NSF's salary and wages policies, including rules for unpaid effort for senior personnel, have not changed. The revised Grant Proposal Guide reinforces the provisions of Office of Management and Budget guidance on voluntary uncommitted cost sharing and the tracking of researchers' effort. Awardees may continue to contribute voluntary uncommitted cost sharing to NSF-sponsored projects.

See the National Science Board recommendations for background information and the updated Grant Proposal Guide for details on the new policies.

NEH Announces $23 Million in Funding

The National Endowment for the Humanities (NEH) has announced $23 million in grants for 371 humanities projects. This funding will support a wide variety of projects, including research fellowships and awards for independent scholars and college and university teachers, traveling exhibitions, the preservation of humanities collections in smaller institutions, and educational programs to prepare libraries, museums, and archives to preserve and enhance access to their collections.

There are new characteristics of this NEH funding cycle. Several of the awarded grants will assist libraries, museums, and archives in environmental monitoring of humanities collections, disaster preparedness planning, and training staff in conservation techniques. This funding cycle also marks the first Bridging Cultures through Film grant awards. This new grant program, part of NEH's signature Bridging Cultures initiative, supports documentary film projects that examine international and transnational themes in the humanities.

Applicants in 49 states and the District of Columbia received funding in these categories: Historical and Cultural Organizations Planning and Implementation Grants, Bridging Cultures through Film Grants, Challenge Grants, Faculty Research Awards, Fellowships, Fellowships for Advanced Social Science Research on Japan, Humanities Initiatives for Faculty Grants, NEH On the Road Grants, Preservation Assistance Grants, Preservation Education and Training Grants, Small Grants to Libraries: Louisa May Alcott.

UAHuntsville Chargers WIN 1/8/11 vs. Bemidji State (4-3)
Photo courtesy of Scott Sandlin, OSP

ON THE OSP WEBSITE

- **Research Reports**: Center Directors/Deans/Department Chairs can locate information relating to sponsored research activities, both proposals and awards by PI, Co-I, center, and department. In addition to the search and sort reports, research expenditures and F&A reports by PI, Year –to-date and 6 year history reports are available.

- **Student Fellowship and Assistantships**: Here students can obtain information on available fellowships and assistantships grants, by funding agencies, to include due dates and active website links.

- **Research Forms**: Every form applicable to sponsored research may be found under this link.

- UAHuntsville Internal Notice to Submit procedures for all limited submission solicitations.

- Training, webinars, and workshops registration.

- Link to Funding Websites: Community of Science, Grant Advisor, National Science Foundation, Federal Business Opportunities, etc.

- UAHuntsville GSA Schedule

- List of all current AMCOM EXPRESS Contracts and applicable domains

- List of Banner Account Codes, Credit Card Order Procedures, Current Fringe Benefit Rates, Recharge Center Procedures, etc.

- Weekly Funding Bulletins archive

- UAHuntsville OSP policies and procedures manuals

- Notifications on changes applicable to sponsored research activities and much, much more.

Recommendations on improving our website are always welcome.

SEMINARS, WEBINARS, TRAINING - OH MY!

DATE	TIME	LOCATION	TOPICS	OTHER INFORMATION
1 Mar 11	1:00-2:00PM	VBRH E8	Part 1: SBIR and STTR: Are these the Right Grants for You?	Webinar Register on-line: OSP Website
11 Mar 11	8:30AM-4:30 PM	TH S105	Write Winning Grants: Dr. Stephen W. Russell. Emphasis on NIH and NSF Grant Writing. Seminar is designed for faculty and research staff who have proposal development experience. See registration link for more cost information.	Seminar Register on-line: OSP Website. Cost: $275.00 /person due at time of registration. Registration cut-off is 4 March 2011.
1 Apr 11	Noon—1:00PM	VBRH E8	**Chat-n-Chew:** Preparing the NSF Data Management Plan, Identifying External Project Evaluators, and/or Strengthening proposals components: Intellectual Merit /Broader Impact Statement	Register on-line: OSP Website Lunch will be provided. Registration cut-off: 28 Mar 11
20 Apr 11	1:00—2:00PM	VBRH E8	Part 2: SBIR Proposal Structure for Academic Investigators	Webinar Register on-line: OSP Website
6 May 11	Noon—1:00PM	VBRH E8	**Chat-n-Chew:** Topic to be determined from 1 April 11 session. (Please submit topic suggestions to Susan)	Registration will open 4 Apr 11. Lunch will be provided.
19 May 11	1:00 - 2:00PM	VBRH E8	Part 3: SBIR Strategies: Academic Partners and University Consultants	Webinar Register on-line: OSP Website
21 Jun 11	1:00—2:00PM	VBRH E8	Part 4: SBIR and Intellectual Property	Webinar Register on-line: OSP Website
20 Jul 11	1:00—2:00PM	VBRH E8	Part 5: Beyond SBIR: STTR and Academic Opportunities	Webinar Register on-line: OSP Website
2 Aug 11	1:00—2:00 PM	VBRH E8	Part 6: Crafting Federal Cost and Budget Proposals	Webinar Register on-line: OSP Website

Seminars, Webinars and/or Training dates and topics are subject to change. We will provide as much notice as possible of any changes. Please contact Susan Phelan at Susan.phelan@uah.edu or 3747 for additional information. **Only on-line registration will be accepted.**

"The Answer Is . . ."

(1) *There is no gravity in deep space.*
If this were true, the moon would float away from the Earth, and our entire solar system would drift apart. While it's true that gravity gets weaker with distance, it can never be escaped completely, no matter how far you travel in space. Astronauts appear to experience "zero-gravity" because they are in continuous free-fall around the Earth. (Space.com) Just checking to see if you are paying attention!

(2) The funding agency pays for all sponsored research in advance.
The University must either bill the sponsoring agency or draw from funds authorized by the sponsoring agency after the charges are incurred.   All cost incurred under a sponsored research contract or grant are paid by the University pending reimbursement. (OMB Circular A110: Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations)

(3) There is no harm in certifying an incorrect Effort Certification, so long as I make the necessary correction via a retro.
The False Claims Acts prohibits any individual or business from submitting, or **causing** someone else to submit, to the government a false or fraudulent claim for payment. These false claims acts apply to all types of goods, services and government contracting, and have been particularly effective in combating over-charging effort; using grant money for other unrelated research; using grant money for personal expenses; improper conflicts of interest by the principal investigators; and/or failing to comply with applicable government safety and other regulations. (NSF Office of The Inspector General)

(4) Responsible Conduct in Research (RCR) training does not apply to me, since my funding does not come from NSF or NIH.
Research institutions (universities, hospitals, private research companies, and so on) are required by law to have policies that cover various aspects of their research programs if they accept Federal funds. They must have committees to review human and animal research. They must have procedures for investigating and reporting research misconduct and conflicts of interest. They must approve and manage all research budgets, ensure that laboratory safety rules are followed, and follow established practices for the responsible use of hazardous substances in research. They must also provide training for researchers who use animal or human subjects in their research and finally they must ensure all individuals charging to federally sponsored contracts and/or grants receive RCR training. (Office of Research Integrity)

(5) As the Principal Investigator (PI) I am only responsible for ensuring the research on my contract/grant is completed. The administrative staff is responsible for financial matters related to the contract/grant.
The Principal Investigator (PI) has primary responsibility for achieving the technical success of the project, while also complying with the financial and administrative policies and regulations associated with the award. Although PI's may have administrative staff to assist them with the management of project funds, the ultimate responsibility for the management of the sponsored research award rests with the PI. These fundamental responsibilities of the PI during the post-award phase of a sponsored research award include: execute the project as outlined in the funded proposal, using sound management techniques; carry out the project's financial plan as presented in the funded proposal, or make changes to the plan following a prescribed set of policies and procedures; report project progress to the sponsor as outlined in the terms of award; maintain an accurate record of project related expenses; comply with all UAHuntsville policies and procedures related to sponsored research; and comply with all applicable sponsor rules, regulations and/or terms and conditions of the award.

(6) It's my money, I can spend it any way I want to; the agency does not care!
Awards (contract/grants) are between the University and sponsoring agency. The University has a fiduciary responsibility to ensure all sponsored research contacts and grants are executed in accordance with UAHuntsville Cost Accounting Policy as approved by DHHS, funding sponsors terms and conditions, Federal Acquisition Regulations, OMB Circulars A21 and A110. Most grants allow the Authorized Organization Representative (AOR) or Director, Sponsored Programs to reallocate funding into allowable categories up to 20% of the total award value for that year without having to seek approval from the sponsor. This is called Expanded Authority. Expanded Authority is not applicable to contracts.

Snow Art by Steve Parker, OSP
Who is this person? Call Steve, he is more than willing to share!

I hope these little know sponsored research facts are helpful and remember, when in doubt please contact your contract administrator or C&G Coordinator.

Are You Smarter Than A _____ ?

We just completed our first face-to-face training seminar in Responsible Conduct in Research on 19-20 January 2011. The training offered several interactive exercises, which sparked some very constructive and informative debate among the participants. The complete presentation (Power Point slides) , polling results and graphical displays for each training session will be posted on OSP's website. So let's test your knowledge.

1. True or False: Research misconduct is limited to fabrication and falsification in proposing, performing, or reviewing research or in reporting results. ○ True   ○ False

2. Components of Responsible Conduct in Research include: (identity correct answers)
    ○ Mentoring
    ○ Research subjects protections
    ○ Data Management
    ○ Creation of the Office of Research Integrity
    ○ Sanctions for engaging in questionable research practices
    ○ Authorship

3. True or False: Regulations alone will ensure compliance and ethical practices. ○ True   ○ False

4. The procedures for investigating misconduct in research involve: (choose any 3)
    ○ Allegation
    ○ Adherence to institutional rules of engagement
    ○ Inquiry
    ○ Investigation
    ○ Sanctions
    ○ Reporting

5. True or False: The ethical dimensions of research are confined solely to protections for research subjects.
    ○ True   ○ False

6. True or False: A whistleblower who reports suspected research misconduct receives a monetary award as an incentive. ○ True   ○ False

7. Research integrity includes: (more than one answer may apply)
    A. Research Planning
    B. FERPA Compliance
    C. Research Conduct and Management
    D. Research Reporting

8. True or False: Institutions must maintain an active assurance of compliance with the Office of Research Integrity in addition to assurances that cover work with human and/or animal subjects. ○ True ○ False

9. True or False: Mentoring can promote RCR and reduce the risk of research misconduct. ○ True   ○False

10. True or False: Conflicts of Interest must be defined and discussed as part of the institutions RCR training.
    ○ True ○False

Answers:
(1) False; (2) Mentoring, Research subjects protections, Data Management and Authorship; (3) False; (4) Allegation, Inquiry, Investigation, Sanctions, Reporting; (5) False; (6) False; (7) Research Planning, Research Conduct and Management, Research Reporting; (8) True; (9) True; (10) True

"Teaching is more than imparting knowledge, it is inspiring change. Learning is more than absorbing facts, it is acquiring understanding." ~ William Arthur Ward

Meet The Staff

Sarah Sandlin, C&G Coordinator, College of Engineering, was a staff assistant in UAHuntsville Electrical and Computer Engineering (ECE) Department. Sarah joined the Office of Sponsored Programs in November 2010. Sarah has a Bachelor of Science in Business Administration from The University of Wisconsin-Stevens Point. She was a Program Assistant at the University of Central Florida. Sarah provides support to the College of Engineering faculty in both pre and post-award sponsored research activities. Sarah's office is located in EB100, X6385, email address is Sarah.sandlin@uah.edu.

Michael B. Bryan, J.D., UAHuntsville Chief Compliance Officer, prior to coming to UAHuntsville was a consultant in the areas of strategic planning and acquisitions, corporate legal and regulatory compliance, commercial transactions, human capital management and risk management. Before becoming an independent consultant, Michael was General Counsel/Senior Executive Manager with Legacy Managers, LLC, Huntsville, AL, and Deputy Attorney General, State of Alabama, Office of the Attorney General. Michael received his J.D. from The University of Alabama School of Law, Tuscaloosa, AL. Michael received his B.S. degrees in Psychology and Chemistry from The University of Alabama. Michael joined UAHuntsville in January 2011. His office is located in VBRH E41, X 6845, email address is Michael.B.Bryan@uah.edu.

Rui "Roy" Guo, Information Systems Assistant, joined the Office of Sponsored Programs in January 2011. Prior to joining OSP, Roy was a Field Service Technician with UAHuntsville IT Solutions Department. Roy received his MBA from UAHuntsville. Roy's office is located in VBRH E11, X6087, email: Rui.Guo@uah.edu.

Drew Hamilton, Web Coordinator, Level I, received his BA from UA-Huntsville in Studio Arts. Drew worked in OSP prior to graduation as a student specialist II. Drew's office is located in VBRHE37, X2653, email: Drew.Hamilton @uah.edu

The Seven Habits of Highly Effective People
Stephen R. Covey—1994

Be Proactive: The habit of being proactive, or habit of personal visions, means taking responsibility for our attitudes and actions. Take the initiative and the responsibility to make things happen.

Begin with the End in Mind: This is the habit of personal leadership. Start with a clear destination to understand where you are now, where you're going, and what you value most.

Put First Things First: This is the habit of Personal management, which involves organizing and managing time and events. Manage yourself. Organize and execute around priorities.

Think Win-Win: Win-Win is the habit of interpersonal leadership. Win-Win is the attitude of seeking mutual benefit. This thinking begins with a commitment to explore all options until a mutually satisfactory solution is reached, or to make no deal at all.

Seek First to Understand, Then to be Understood: This is the habit of empathic communication. Understanding builds the skills of empathic listening that inspires openness and trust.

Synergize: This is the habit of creative cooperation or teamwork, synergy results from valuing differences by bringing different perspectives together in the spirit of mutual respect.

Sharpen the Saw: This is the habit of self-renewal. Preserving and enhancing your greatest asset, yourself, by renewing the physical, spiritual, mental and social/emotional dimensions of your nature.

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"Alone we can do so little; together we can do so much." - Helen Keller

Hockey Photos by Scott Sandlin, OSP

Sponsored Research
1st QTR—FY2011
Snapshot

	Number	Value
Proposals	180	$46,103,868
Awards	264	$15,702,884
Expenditures		$17,964,599
ICR		$3,487,513

UAHuntsville OSP Electronic Proposal Process

The Office of Sponsored Programs is in the process of training all faculty and research staff on using the OSP Electronic Proposal system.

As we complete training for each center and department, we will activate your access to the website. Pending training, paper routing/approvals will continue.

In order to reach as many faculty and research staff at one time, we are asking each center and department to schedule this training during one of your center/college/department staff meetings. Please send an email with the date, time and location for training. Please note, Tuesdays and Thursdays are not available from 11:00AM – 1:30PM. We would like to limit the training to a minimum of 45 minutes, including questions.

We will need access to the internet, a projector and screen. We will bring a laptop and reference guide. It is very important that every individual currently submitting proposals or who will be submitting proposal attend the training.

Make-up training will be conducted some time in late March in VBRH E8.

Office of Research Integrity (ORI)
Interactive Video on Research Misconduct

ORI has released an interactive video on Research Misconduct entitled" "The Lab: Avoiding Research Misconduct."

The video is now available for viewing on the web site of the Office of Research Integrity, U.S. Department of Health and Human Services. A link to the video is located on the OSP Website under the "Training" tab.

This interactive film is an extremely rich and substantively educational resource for teaching/learning research integrity and ethics. It deals with the issue of research misconduct. Filmed in a university research environment, it makes excellent use of the best knowledge and science regarding ethical decision-making and the responsible conduct of research.

Faculty, research staff, student (graduate and under-graduate) are strongly encouraged to view the video. The video simulation allows users to assume the role of a graduate student, post-doc, research administrator, or PI and make decisions that affect the integrity of research.

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.