

# SPONSORED RESEARCH NEWS

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## **Responsible Conduct of Research Training**

UAHuntsville is required under federal mandate 42 CFR 50.604 *Promoting Objectivity in Research* to ensure all employees (staff, students and faculty) charging to federally sponsored research grants and contracts receive up to eight (8) initial hours (6 hours face-to-face and 2 hours web-based) of Responsible Conduct of Research Training (RCR) by January 2011.

Office of Sponsored Programs has provided to-date five opportunities for the research community to complete the required 6 hours face-to-face mandatory training. We will be offering RCR face-to-face training on March 8-9, 2012, for those individuals that have not completed the required 6 hours. To register for training, please go to OSP's website and click on the "Responsible Conduct of Research" link. Session information is located at this link.

Effective March 10, 2012, anyone who has not completed the required 6 hours of face-to-face training will not be able to serve as a PI, CO-I, or listed as Key Personnel on any proposal submitted by OSP.

## **NIH Financial Conflict of Interest On-line Training**

In 2011, NIH revised its Financial Conflict of Interest (FCOI) policy. UAHuntsville and its investigators are required to comply with the regulation.

All UAHuntsville PIs, Co-Is and Key Persons **proposing to NIH** are required to complete the on-line FCOI tutorial. The link for the tutorial is on OSP's website under the **Compliance Tab**.

This tutorial reviews the requirements of and the responsibilities for compliance with the Federal regulations on FCOI, specifically Title 42 CFR Part 50, for grants and Title 45 CFR Part 94 for contracts. The tutorial will count towards your web-based RCR

training. This tutorial is designed to augment UAHuntsville's RCR Training program.

If you are a PI, Co-I, or Key Person on an active NIH grant, you should complete the tutorial within 14 working days of notification. If you have served as PI, Co-I, and/or Key on an NIH grant within the past two years, you should complete the tutorial. Once you complete the tutorial, you will receive a Certificate of Completion. Please fax (6677) a copy of your certificate or send via campus mail, Attn: Gloria Greene, OSP.

You must complete the tutorial before you can submit a NIH proposal as PI, or be named as either Co-I or Key on it.

## **Celebrating 50 Years of Success! UAHuntsville's Research Institute**



(L to R) Major General Francis McMorrow, Dr. Werhner von Braun, Research Institute Director Rudolph Hermann, and Alabama Governor John Patterson participating in the ground breaking ceremony for the Research Institute in Huntsville, December 20, 1962

### **Inside this Issue:**

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## Celebrating 50 Years of Success! UAHuntsville's Research Institute (*continues*)

On November 9, 2011, the Research Institute celebrated its 50th Anniversary. If you did not attend you really missed out on a once in a lifetime event. The efforts of individuals such as Dr. Charles A. Lundquist, Former Director, of Research Institute; Dr. Carroll D. Johnson, Distinguished Professor of Electrical Engineering; Dr. William Vaughan, Former Research Institute Director; and Dr. Richard "Dick" Rhoades, Current Director, Research Institute provided attendees a visual of Research Institute's early years and how it has transformed research now being performed on campus.

The UAHuntsville Library Archives and Special Collections on UAHuntsville Research Institute (compliments of Dr. Lundquist and Ms. Anne Coleman) is spectacular. The Celebration was narrated by Dr. Charles Lundquist. The "Ribbon Fracture" of the Reliability and Failure Analysis Lab was followed by a Public Colloquium: *The History of the Research Institute*, ending with a reception bringing together all who were/are instrumental in the bi-centennial success of the Research Institute.

Throughout this issue of the Sponsored Research News you will see photos (compliments of Dr. Lundquist) commemorating this UAHuntsville historic event. This event would not have been possible without the full cooperation and untiring support of those noted above, as well as Ms. Chrystal Morgan, Director, Research Communications, and many others who worked behind the scenes to make the celebration possible.

I invite each of you to please take a moment and view the photo gallery located at the Research Institute entrance of VBRH (E-Wing).

*"Research is what I'm doing when I don't know what I'm doing!" Wernher Von Braun*

### Proposal Submission via NSPIRES

All Team Members, including Co-I(s), must establish an organizational relationship, i.e., the business relationship or other auspices through which they are participating on a project prior to submitting proposals via NSPIRES.

NOTE: Organizational Relationships can only be made by the individual team members themselves. The submitting organization cannot do this. Proposals cannot be submitted without all Team Members having a confirmed organizational relationship. Additionally, any Team Member with the role of Co-I must have a confirmed affiliation with the submitting organization. This is also a requirement for proposal submittal to NASA.

If you are contemplating submitting a proposal to NASA and have not yet registered in NSPIRES, please do so by going to the following link <http://nspires.nasaprs.com/>. Please ensure you select The University of Alabama in Huntsville as your affiliation organization.

### Business Services—Procurement Card Policy

Below is the Procurement Card Policy for all departments utilizing research funds.

For frequent and same vendor/commodity purchases, a duplicate APPROVED Grant Purchase Request can be utilized as prior approval when using the Grant Procurement Card. A Grant Purchase Request does NOT have to be submitted for the purchase of commodities \$1999.99 or lower. (*former LPO limitations*) Prior to purchasing commodities \$1999.99 or lower submit an email to your OSP contract administrator detailing your required purchase.

**Note:** A printout of the approval email from OSP must be included in the reconciliation packet with the receipt. \* (*See notes Below*) It is the cardholder's responsibility to verify before purchase of commodities that each vendor is not currently debarred.

To search vendor's debarment status go to : <https://www.epls.gov/> . A printout of the verification must be included in the Reconciliation Packet.

**\*\*Debarment:** In accordance with several Public Laws and Executive Orders, an individual, institution or firm that is debarred, suspended or excluded from doing business with the Federal, State or local governments cannot participate in government procurements or receipt of particular government monies.

**Research Institute  
Diverse Science**

In 1970, Rudolph Hermann reached the age of 65, the nominal age for retirement of UAH administrators. After his retirement as Director of the Research Institute, he continued as a professor until 1980. He most enjoyed teaching astronomy. One of his astronomy students, Sandra Sherman, interviewed him and produced "Memoirs of Dr. Rudolph Hermann," which he personally edited and distributed to his friends.

The Research Institute Building continued as a site for much of the research at UAH through the decade of the 1970s. Additionally, new discipline oriented research centers began to spring up as research grew in scope and volume. The first was a Center for Environmental Studies funded by the State of Alabama in 1972.

**Above:** An experiment of Dr. John C. Gregory, UAH Department of Chemistry, to test the effect of energetic oxygen is carried aboard the Long Duration Exposure Facility (LDEF). In the photo above, LDEF has just been deployed from the shuttle to test the effects of energetic atomic oxygen and other aspects of exposure to space on a variety of materials.

**Above:** Dr. Hermann with the telescope of the von Braun Observatory in Huntsville.

**Above:** Dr. John C. Gregory.

**Above:** Electromagnetic wave propagation and scattering, quantum electronics, and lasers are some of the research areas in which Dr. C.H. Chen, professor of physics, had special interests.

**Right:** Drs. S.P. McManus, C. Riley and H.O. Cohen apply lasers in the stimulation of chemical processes.

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### **Business Services—Procurement Card Policy (continues)**

#### **Making a Purchase with a Grant Purchasing Card**

##### **Cardholder/PI:**

- Determine cost of commodities and best vendor price
- Determine if the Purchase is Allowable under Contract/Grant
- \*Send a detailed email to OSP of commodities needing to purchase
- Complete Travel Request form if out-of-state travel is required
- After approval purchase commodities (tax exempt) with Grant Purchasing Card
- Retain Receipt from purchased commodities
- Provide purchase documentation and OSP email approval to Department Reconciler

##### **Reconcilers:**

- Reconciler reviews pre-approved transactions and documentation
- Reconciler inputs proper ORG Account Code(s) in WORKS
- Reconciler allocates funds and signs off transactions in WORKS
- Reconciler must review Reconciliation Log for signature compliance
- Reconciler sends completed packet to the Procurement Office for final review

*\* It is not required that the cardholder delay purchase of commodities until an OSP email approval is received with the understanding that if the commodities charged is deemed unallowable, the charges will be transferred to the department's home labor account.*



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

#### **Export Control at the University:**

Traveling outside the U.S. 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/>

## **UAHuntsville Office of The Vice President for Research 2011-12 Junior Faculty Distinguished Research (JFDR) Award Recipients**

<b>Principal Investigator</b>	<b>Department</b>	<b>Research Project Title</b>
Babak Shotorban	MAE	Stochastic Charge Fluctuations of Dust Particles with Time-varying Currents in Plasmas
Ena Rose-Garden	Accounting	Auditor Quality, Auditor Change, and Bankruptcy Filing
Erin Colwitz	Music	Participate in the Conducting Master Class 2012
Farbod Fahimi	MAE	Coordination and Control for Groups of Autonomous Helicopters
Feng Zhu	Computer Science	Mitigating Psychological Attacks on Computer Privacy
Gang Wang	MAE	Optically Driven Speaker by Converting Light Energy to Sound
Jodi Price	Psychology	Does Feedback Enhance the Accuracy of Younger and Older Adults' Numerosity Estimates?
John Williams	ECE	Transparent Microthrusters using Photodefinable Glass
Luciano Matzkin	Biology	Genomic Analysis of Ecologically Distinct Populations of the Cactophilic <i>Drosophila</i> <i>Mojavensis</i>
Robert McFeeters	Chemistry	Elucidating the Pathway of SNOD Protein Induced Cell Death
Wafa Orman	Economics	What makes a Good Congressman? Taxes and Public Goods in the Laboratory





### **Export Control at the University (continues):**

- Doing business with certain people or entities.

### **The Research Security Administration Office will be offering two (2) presentations covering Export Control in a University Setting:**

Wednesday February 22, 2012

- 9:30-10:40 AM: TH S105
- 1:30 – 2:40 PM: VBRH M50

**Our Speaker will be a Special Agent from the Immigration and Customs Enforcement (ICE) Birmingham, Alabama**

**\*\*\*\* FOR ALL CLEARED INDIVIDUALS THIS PRESENTATION WILL MEET YOUR 2012 REQUIREMENT FOR YOUR REFRESHER SECURITY TRAINING\*\*\*\***

# NSF NEWS



### **NSF Research Terms & Conditions**

Effective February 1, 2012, Significant changes, additions and clarifications will be found in the *Research Terms & Conditions* dated June 2011, and the *NSF Agency Specific Requirements* dated February 1, 2012. Unless otherwise noted in a specific article, the *NSF Agency Specific Requirements* apply to all new NSF grants and funding amendments to existing NSF grants awarded on or after February 1, 2012. Note: The *Research Terms & Conditions* will not be applied to NSF cooperative agreements or to NSF fellowship awards made to individuals. A removable insert is included in this issue, which provides additional information.

### **New NSF Reporting Rules**

The New NSF reporting rules now require the submission of a Project Outcomes Report for the General Public. This is a new final report that is submitted in addition to your final project report. The Project Outcomes Report serves as a brief summary, prepared specifically for the public, of the nature and outcomes of your NSF-funded project. The report must be submitted within 90 days after the expiration date of your project.

You are required to prepare and submit your report using Research.gov. Go to <http://www.research.gov> and log in as an NSF User with your NSF ID to get started. Delays in the submission of the Project Outcomes Report may result in funding and other delays in the administration of this and other awards. Be advised that failure to submit Project Outcomes Reports will impede your ability to receive new funding.

This report will be posted on Research.gov exactly as it is submitted and will be accompanied by the following disclaimer: *This Project Outcomes Report for the General Public is displayed verbatim as submitted by the Principal Investigator (PI) for this award. Any opinions, findings, and conclusions or recommendations expressed in this Report are those of the PI and do not necessarily reflect the views of the National Science Foundation; NSF has not approved or endorsed its content.*"

Answers to general questions about this requirement may be found in the FAQs on Project Outcomes Report for the General Public at: [http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=porfaqs](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=porfaqs).

### **NSB Releases Report on NSF's Merit Review Criteria**

The National Science Board (NSB) has released its report *National Science Foundation's Merit Review Criteria: Review and Revisions*. The report is the culmination of a thorough review by the NSB Task Force on Merit Review to determine if the Merit Review Criteria used by the National Science Foundation (NSF) to evaluate all proposals since 1997 remain appropriate. The Board also recognized that the America COMPETES Reauthorization Act of 2010 included a provision mandating the retention of the Broader Impacts criterion. Based on the Task Force's analyses, NSB concluded that the two current Merit Review Criteria of Intellectual Merit and Broader Impacts remain appropriate for evaluating NSF proposals, though with revisions. The revisions to the Criteria are described in the report.

## Early Years

**Above:** Space technology provides views of the Earth, such as this clear-day, false-color image of Alabama. Images from satellites are essential for studies of weather and climate.

**Above and left:** During the national energy crisis of the 1970s, Dr. Ernest Stuhlinger, former Associate Director for Science at NSF, led a UAH research project on electric cars. He was a senior research scientist and adjunct professor from 1970 to 1996. Above, Stuhlinger left, discusses the battery pack for the UAH electric car in the picture at left.

**Left:** On Stuhlb in 1973, Dr. H.U. Walter from UAH was the Principal Investigator on an experiment to grow indium antimonide crystals in microgravity. This is a photograph of one of the crystals produced.

**Above:** Professor Wyckoff of the College of Engineering, right, and Dean Wilson of the College of Science, discuss an experiment using lasers, an example of how disciplines often overlap.

**Above:** In 1973, Dr. Guenther Otto of UAH and Dr. Lewis Lacy of MSFC were investigators with an experiment on Skylab to study phenomena of immiscible mixtures.

**Right:** Recognizing previous energy studies at UAH, the Alabama Solar Energy Center was established at UAH in 1978 by executive order of the governor. Testing of the relative performance of various photovoltaic arrays was an important activity of the Center.

**Left:** One example of the diagnostic measurements made by UAH was brake retarding force and balance.

**Above:** Dr. Kenneth Johnson, left, first director for the Center for Environmental and Energy Studies, with David Christensen, right, on March 8, 1975 at the kick-off of the UAH solar energy test facilities.

**Above:** In 1976, the UAH Center for Environmental and Energy Studies hosted the National Solar Energy Workshop and produced the workshop report. In January 1977, David Christensen delivered a copy of the report to Gov. George Wallace.

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# VPR Corner



Dear Colleagues:  
I hope these words find you well.

Bottle Rockets - unassailably the most successful band ever to come from Festus, Missouri - have been making their own, unique brand of country-rock music for over 20 years. Their fourth CD, Brand New Year, which contains a song of the same name, was released in 1999. It remains one of my favorites, especially at this time of year.

"It's a brand new year / Same old troubles / Stroke of midnight / Won't change a thing."

OK, it's hardly an upbeat, optimistic, promise-filled outlook for a fresh start to a new year. But looking around at 2011, in many ways, it is perhaps quite easy to subscribe to such a cynical viewpoint.

The economy is still doing poorly - very poorly for many. Budgets - what might be left of them - are tightening further. Government may appear to work less well than ever. Infrastructure is thin or crumbling. The world remains a very dynamic, unpredictable, and dangerous place. Angela

Merkel, the German Chancellor, said publicly that 2012 will be harder than 2011. So much for inspiration. Rolling over the digit counter on the calendar is indeed not an event that transforms the world.

But those who know Bottle Rockets' music also know there is much more beneath their apparent musical cynicism, pessimism, and darkness. In many ways, their two decades of performing songs that point out the hardships, challenges, insanity, and disappointments of "Average Joe" (or Joanne) life in America is, itself, imbued with a form of extreme optimism.

Life in Bottle Rockets' songs isn't always happy. But equally, their music doesn't recommend despair, anarchy, revolution, vitriol, escape, or complaining as solutions to the many problems we face. Their stark and unmistakable exposition of "what isn't right" about many things is done in such a way as to leave "constructive action to fix things" as the only sensible path forward, as if the next line of "Brand New Year" might read:

"Therefore I'll have to get up tomorrow / be personally accountable / apply myself positively / and find a way to work with others / to make things better."

All around us, I believe this kind of response to major challenges is evident. I see this in our current student generation and their commitments to social justice, responsible stewardship, and personal accountability to make the world a better place. Alabama's response to the tornado devastation of 27 April is a positive example for the world. Across North Africa and the Middle East, aided by technology and free flow of information, people are binding together and standing up to try to improve their social, economic, and political fortunes. Japan continues the enormous task of rebuilding after the Fukushima earthquake and nuclear disasters, and with great national pride, aided by winning the Women's Soccer World Cup in 2011. Europe is in the middle of its own serious and painful financial crisis, with strong and differing opinions on how to fix it - but Europe is not on the brink of war.

These are all positive signs amid a world of challenges that point to the possibility - the hope - of a better 2012. And I believe we here at UAHuntsville will do well to respond to our 2012 challenges in a similar way.

Good or bad, what happened in 2011 is past, and beyond our control. But what becomes of 2012 is something that is decidedly in our hands. We can choose to innovate. We can decide to re-invent ourselves. We can find ways to bring even better value to our stakeholders, students, and taxpayers. We can listen carefully and thoughtfully to the needs of those who depend on UAHuntsville, and we can work hard to fill those needs, through research, teaching, scholarship, and creative works that build our community in lasting ways. We can be a positive example to each other and to our community.

This is the wisdom I hear coming to us from Festus, Missouri - to find within ourselves the dedication to a constructive and proactive path to making things better. It is the path of building positive outcomes, and not just avoiding - or merely pointing out - negative ones. It is not the path of least resistance. But it is a path for which the rewards are more than equal to the labor.

The Bottle Rockets' CD immediately following Brand New Year was Blue Sky. It also featured a song titled the same as the album.

"I was nine years old / Climbing Trees / ... / I had a Burger-Chef / Pizza-Burger / Bicycle Ride / Wrinkled toes and fingers / From the slip-n-slide / Kind of a blue sky / Wonderful day"

These "Blue Sky" days are not imaginary or hypothetical. They are within our collective power to create - if we choose to make them happen.

For each of you in 2012, I wish many of these "Blue Sky, Wonderful Days." And I wish for all of us the strength, wisdom, and perseverance to work to realize the fullest potential of our exceptional community and to make these days become a reality. Happy New Year to all.

Kind regards,

John





**UAHUNTSVILLE**  
**OFFICE OF COMPLIANCE**  
**Mike Bryan, Chief Compliance Officer**  
**VBRH E41, (256) 824-6845**



This is my first article as UAHuntsville's Compliance Officer. I joined the staff of the University as its second chief compliance officer in 2011. As I introduced myself around campus at more than fifty meetings with UAH administration, faculty and staff, the most common questions I received were, "What is a Compliance and Ethics Program?" and "Why does UAHuntsville need a Compliance and Ethics Program?" I would like to share with you my answers to those questions.

Briefly stated, a compliance and ethics program is a program to prevent and deter organizational wrongdoing by exercising due diligence to prevent and detect misconduct and otherwise promote an organizational culture that encourages ethical conduct and a commitment to compliance with the law. The 'compliance' component is rather straight forward – comply with the legal and regulatory rules and University policies. However, the commitment to promoting an organizational culture that encourages *ethical* conduct is a much broader and deeper proposition. An ethics program seeks to enable responsible conduct and seeks to define responsibilities and aspirations that make up an organization's ethical compass (the 'broader' component). Such a program should cut into the organization's ethos, operating systems, guiding values and patterns of thought (the 'deeper' component).

"Why does UAHuntsville need a Compliance and Ethics Program?"

Self interest is the first reason that comes to mind. Prosecutors in the US Department of Justice and Inspectors General in Federal regulatory agencies are directed by the US Attorney's Manual to consider the existence and effectiveness of the organization's pre-existing compliance program in reaching a decision as to the proper treatment of an organizational target. Universities should have ethics and compliance programs to ensure they fulfill their legal and regulatory obligations. Universities operate in an environment governed by a vast and constantly changing array of federal, state and local regulations. The sheer number of these laws, their complexity and the gravity of violating many of these regulations necessitate a comprehensive and effectively maintained compliance program. For the curious, please consult the website of *The Catholic University of America* (<http://counsel.cua.edu/>) to access the Campus Legal Information Clearinghouse and review a library of regulations affecting higher education. This library was produced by a collaborative effort of the American Council on Education and Catholic University's Office of Counsel. At last count, there were in excess of 400 laws or regulations and their amendments that affected higher education. And that does not include the voluminous regulations that govern Federal government contracting contained in the Federal Acquisition Regulations ("FAR"). Browse the website *Where in Federal Contracting* (<http://www.wifcon.com/>) to obtain an overview of the complexity involved in working with the Federal government.

Secondly, ethics and compliance programs enhance the university's community culture. . Admittedly, in higher education, the process of building an effective compliance program starts with a handicap – the name. The common definition of 'compliance' is 'submission, obedience, conformity'. Nowadays, instead of submission and obedience we need to think of compliance and ethics programs as a reflection of an organizational culture that is defined by norms or beliefs shared by the university community. This culture is shaped by the organization's leadership and is often expressed in terms of shared values and guiding principles. In turn, these values and principles are reinforced by systems and procedures implemented throughout the organization. Thus, a university ethics and compliance program should reflect the shared values of the university community and its leadership. These values should embrace a desire to fulfill the university's academic mission with integrity and include a commitment to establishing systems and procedures designed to ensure that the university's legal, regulatory and ethical responsibilities are fulfilled.

Lastly, there is a business case for ethics and compliance programs. Effective ethics and compliance programs can serve as both a sword and a shield for universities. As a shield, an ethics and compliance program can help protect universities from fines and penalties, false claims act claims, reputational loss, operational loss and disruption, and agency and court imposed compliance programs. As a sword, effective ethics and compliance programs can increase effective business processes. The Ethics Resource Center in 2009 completed a research paper, *Ethical Culture Building: A Modern Business Imperative* which can be accessed at <http://www.ethics.org/resource/ethical-culture-building-modern-business-imperative>. Research cited in the paper show that a strong ethical culture creates a happier, healthier organization. Quoting from the paper, "Studies connect positive, ethical cultures to: lower rates of observed misconduct; reduced pressure to compromise standards; increased reporting of misconduct to leadership; greater satisfaction with management's response to misconduct; greater satisfaction with the organization as a whole; lowered exposure to situations inviting misconduct; and increased sense of preparedness to handle situations inviting misconduct."

"Think for a moment about the impact of these connections. The relationship between ethical culture and satisfaction, for example, is not surprising; it makes sense that employees are more engaged and want to work in places that don't undermine or ask them to ignore their personal values. Also, ethical culture teaches employees how to "do the right thing." No matter how strong their values, employees cannot be expected to be naturally familiar with all of the laws and regulations that pertain to their work. Nor can they





be expected to be automatically aware of the ethical ambiguities that they might face in a situation or position. However if employees are aware of relevant ethical and legal issues, they will be more likely to ask the right questions and ultimately do the right thing when faced with a dilemma. Many people do the wrong thing simply because they are unaware - they don't know that they should be concerned or ask for help." (Ethics Resource Center (2009). *Ethical Culture Building: A Modern Business Imperative*. Washington, DC: ERC.)

In conclusion, the case for compliance and ethics: Honesty and integrity are necessary hallmarks of all that we do in higher education. For knowledge to be advanced and free exchange of ideas to be undertaken successfully, truthfulness, individual accountability, and ethical behavior are necessary companions; anything less compromises our commitment to academic excellence and merit as prevailing values. University faculties have published the results of significant research on how organizations can create and maintain ethical environments and a commitment to compliance with the law. A commentator on the subject of ethics and compliance has opined that higher education has "talked the talk", now the institutional mission of advancing human creativity and knowledge likewise calls upon academic and administrative leaders to "walk the walk" by building effective institutional ethics and compliance programs.

The Office of University Compliance is available to assist in any compliance and/or ethics related issue that you may encounter. Please contact me at [michael.b.bryan@uah.edu](mailto:michael.b.bryan@uah.edu) or at X6845. In the event you desire to make an anonymous inquiry or report, please go to the UAHuntsville Ethics Hotline webpage at <http://www.uah.edu/ethics/>.

(Portions of this article were excerpted with permission from: *The Case for Compliance Programs: The Legal and Policy Mandates*, NACUA Program, November 2011; *College & University Compliance Programs: Obligations, Organization and Implementation*, NACUA Program, November 2009; Ethics Resource Center (2009), *Ethical Culture Building: A Modern Business Imperative*. Washington, DC: ERC.)

### *Proposed 2012 New Year's Resolutions from the Office of University Compliance*

**Be it known**, that pursuit of the University's mission requires a shared commitment to a strong set of core values, as well as a commitment to the ethical conduct of all University activities.

**Now**, Therefore, we the University Community

**Resolve to:**

1. **Observe** the highest standards of ethical and professional conduct, and to conduct all business and related professional activities in good faith and with civility, fairness, integrity and respect for others.
2. **Uphold** the University policy of equal treatment, opportunity and respect in relations with faculty, administrators, staff, students and others who come into contact with the University.
3. **Familiarize** ourselves with the federal, state and local laws and regulations that apply to our activities and conduct ourselves in compliance with such laws and regulations.
4. **Transact** all University business in conformance with policies and procedures and accordingly to become familiar with those that bear on our areas of responsibility.
5. **Devote** primary professional allegiance to the University and to the mission of teaching, research and public service; take appropriate steps, including consultation if issues are unclear, to avoid both conflicts of interest and the appearance of such conflicts; and to appropriately manage any conflict of interest that may arise.
6. **Conduct** our research with integrity and intellectual honesty at all times and with appropriate regard for human and animal subjects.
7. **Follow** all applicable legal, contractual and policy restrictions on the use, disclosure and safeguarding of Confidential and Private Information.
8. **Ensure** that University resources, such as funds and other property are used appropriately for the benefit of the University and in compliance with applicable laws and regulations and University policies and procedures.
9. **Act** in good faith and adhere to all agreements and other binding obligations undertaken by the University.
10. **Uphold** the standards of the University and to report suspected violations of laws, regulations and/or University policy without fear of retaliation.

**Happy New Year !**





## NIH NEWS

### **NIH Fiscal Policy for Grant Awards—FY12**

The following NIH fiscal policies are instituted in FY 2012: Non-competing awards will be issued without cost of living/inflationary adjustments in FY 2012; however adjustments for special needs (such as equipment and added personnel) will continue to be accommodated.

This policy applies to all grants (research and non-research) when applicable. The NIH will make efforts to keep the average size of awards constant at FY 2011 levels or lower. For new and competing grants, NIH awarding Institutes/Centers (IC) will develop funding principles consistent with overall NIH goals, considering the funds provided to their IC this fiscal year.

### **Implementing the New NIH Animal Guide**

*By Dr. Sally Rockey, NIH's Deputy Director for Extramural Research, serving as the principal scientific leader and advisor to the NIH Director on the NIH extramural research program.*

Last week our Office of Laboratory Animal Welfare announced that NIH will adopt the 8<sup>th</sup> edition of the *Guide for the Care and Use of Laboratory Animals*. Since 1985, we have required that institutions base their animal programs on the *Guide*, and it has been 15 years since the last *Guide* update. The 8<sup>th</sup> edition includes important revisions to ensure the continued humane care and use of vertebrate animals in the research we support.

Beginning January 1, 2012, institutions that receive NIH funding for animal activities must base their animal care and use program on the 8<sup>th</sup> edition of the *Guide*. By December 31, 2012, you must complete at least one of your twice yearly inspections using the new *Guide*. We understand it will take some time to implement changes, so all the changes need not be complete by the end of next year, but an implementation plan should be in place.

To help clarify how we expect institutions to implement the new *Guide*, we created position statements and provided the ability to comment on your understanding of those statements. We also posted all the comments received during the public comment period earlier this year.

I encourage you to check out all the updated resources on our website. They are consistent with the 8<sup>th</sup> edition of the *Guide* and include frequently asked questions (updated FAQs are flagged), tutorials, and sample reports. <http://nexus.od.nih.gov/all/2011/12/08/implementing-the-new-animal-guide/>

### **New! Electronic Submission of Administrative Supplements**

Beginning February 2012, you will have the option of submitting administrative supplement requests electronically. NIH is conducting two pilots, one through Grants.gov and the other through eRA Commons. Both pilots are intended to reduce your application burden by standardizing the request process. You can continue to submit requests the old-fashioned way during the pilots, but we encourage you to try out these new systems. As always, be sure to check with your institute or center prior to submitting your administrative supplement request.

### **NIH Financial Conflict of Interest**

*The public trust in what we do is just essential, and we cannot afford to take any chances with the integrity of the research process.*— Dr. Francis Collins, Director, NIH

#### 2011 Revised Regulations:

An Institution applying for or receiving NIH funding from a grant or cooperative agreement must be in compliance with all of the revised regulatory requirements no later than 365 days after publication of the regulation in the Federal Register, i.e., August 24, 2012, and immediately upon making the Institution's Financial Conflict of Interest policy publicly accessible as described in 42 CFR part 50.604(a). **Institutions must comply** with the 1995 financial conflict of interest regulation until the Institution fully implements all of the regulatory requirements of the 2011 revised regulation.

Institutions are responsible for implementing the regulations by their financial conflict of interest policy, evaluating their investigators' significant financial interests, determining and managing financial conflicts of interest, and reporting financial conflicts of interest to the NIH.

Investigators are responsible for complying with the institution's policy, disclosing their significant financial interests, and complying with the institution's management of any financial conflicts of interest.

NIH's role remains to provide guidance and oversight. However, the revised regulations do institute a more rigorous approach to the management of investigator significant financial interests and resulting financial conflicts of interest to enhance the objectivity and integrity of the research process. These include changes to address investigator disclosure, institutional management of financial conflicts of interest, and federal oversight. In particular, the regulations:

- Require investigators to disclose to their institutions all of their significant financial interests related to their institutional responsibilities as opposed to only those that they see as related to Public Health Service (PHS)-supported research.
- Lower the monetary threshold for disclosure of significant financial interests, generally from \$10,000 to \$5,000.
- Require institutions to report to the PHS awarding component more comprehensively on identified financial conflicts of interest and how they are being managed.





## **UAHUNTSMVILLE** **CONTRACTS & GRANTS ACCOUNTING** **Valarie King, Director** **SKH (256) 824-6421**

### **UAHuntsville Travel Expenses for Food**

Effective February 1, 2012, the “out-of-state” section of the UAHuntsville Travel Policy is revised to include an increase in the University meal reimbursement amount and special provisions for individuals charging to sponsored research accounts. The revised policy will allow reimbursement of **actual** meal expenses up to the GSA Per Diem allowed by the funding agency.

Check the GSA website for applicable Per Diem Rates at : <http://www.gsa.gov/portal/category/21287> A copy of the most recent GSA Per Diem Rate for the applicable travel state must be attached to your Out-of State Travel Reimbursement Form. Please contact Robert Leonard, X2233 or [Robert.Leonard@uah.edu](mailto:Robert.Leonard@uah.edu) if you have questions regarding this change.



### **Costs Normally Treated as Indirect Costs**

The University’s Facilities and Administrative (F&A) cost rate agreement with the Federal Government provides rates that should be used to recover costs incurred (cost of doing business) to conduct federally sponsored research, but are not directly identifiable to a sponsored project.

Contracts and Grants Accounting will transfer any costs that are normally treated as indirect costs to the department that is fiscally responsible for the award unless all three criteria in Section 3.1 of the University’s Cost Policy have been met. Costs normally treated as indirect are listed below:

- Administrative and clerical salaries, wages and fringe benefits
- Computer software and supplies
- Computer hardware and supplies
- Equipment (general purpose)
- Office supplies
- Telephone charges
- Memberships and subscriptions
- Printing
- Postage
- Copying and Binding

The cost policy can be located on the OSP website under the **Compliance tab**.

- Require institutions to make certain information concerning identified financial conflicts of interest held by senior/key personnel accessible to the public.
- Require investigators to be trained on the regulations and their institution’s financial conflict of interest policy at designated times.

For more information on the major changes to the regulations, see the Financial Conflict of Interest Policy on OSP Website, under the Compliance Tab.

### **New OLAW Guide Sets a High Bar for Cage Sizes**

The NIH’s recommendations for cage-space requirements are far larger than the current standard in most labs, and up until now scientists had full latitude on deciding the floor space necessary for lab mice and rats. OLAW expects scientists to base their animal care and use program on the 8th Edition effective Jan. 1, 2012.

To help scientists better understand NIH’s new minimum standards for lab animal care and use, *Principal Investigators Association* has developed a new, complimentary white paper entitled: *Your NIH Funding at Risk: New OLAW Guide Sets a High Bar for Cage Sizes*. A copy of the White Paper is located on the OSP Website, under the **Compliance Tab**.

### **Salary Limitation on NIH FY2012 AHRQ Grants, Cooperative Agreements, and Contracts**

For AHRQ FY2012 competing and non-competing awards with an initial ISSUE DATE on or before December 22, 2011, the salary limitation is limited to Executive Level I (currently \$199,700).

For AHRQ FY2012 competing and non-competing awards with an initial ISSUE DATE on or after December 23, 2011, the salary limitation is limited to Executive Level II (currently \$179,700). An individual’s base salary is not constrained by the legislative provision for a limitation of salary.

The rate limitation simply limits the amount that may be awarded and charged to AHRQ grants and contracts. For individuals whose salary rates are in excess of Executive Level II, the grantee/contractor may pay the excess from non-federal funds

### **Compliance Tidbit**

In Federal contracting or Federal ‘pass through’ industry subcontracting, did you know that submission of embellished resumes in support of a sliding scale rate based upon education and experience is a violation of the False Claims Act and the False Statements Act? *United States v. Blecker*, 657 F.2d 629 (4<sup>th</sup> Cir. 1981)



## NSF PROPOSALS: HOW NOT TO GET FUNDED\*

### NSF Division of Astronomical Sciences

#### ***THE FAST PATHS TO RETURN-WITHOUT-REVIEW:***

##### **GRANT PROPOSAL GUIDE (GPG) AND PROGRAM SOLICITATION: BOOOORRR-RIIINNNGGG!**

Don't waste your time reading these documents. They're nothing but detailed descriptions of program objectives, proposal requirements, and formatting guidelines, all of which you can ignore. If you must read the GPG, get an old copy from your colleague down the hall, because it never changes.

##### **BROADER IMPACTS: SOMEBODY ELSE'S PROBLEM**

Just because you're asking a federal agency for taxpayer dollars, that's no reason to address the agency's review criteria. Your brilliance transcends such petty concerns. Don't write about them in the 1-page project summary; nobody reads this page anyway.

##### **RESULTS FROM PRIOR NSF SUPPORT: WHO CARES?**

Everybody knows past performance is no guarantee of future returns. So what if the GPG says it's required and that there's no difference between PI's and Co-I's? You know better than to waste valuable space. Put it in a figure caption. Better yet, leave it out. Any diligent reviewer can look it up.

#### ***EIGHT FUN WAYS TO ANNOY REVIEWERS AND PROGRAM DIRECTORS:***

##### **WRITE FOR YOUR FRIENDS**

Everybody is either already working in your area or wishing they could—and there's no need to impress the latter. Jargon can be taken for granted. If reviewers can't see the far-reaching implications of your work, that's their problem.

##### **IT'S NOT A PROPOSAL, IT'S A REVIEW ARTICLE**

Your knowledge of the literature and technical intricacies of your field are sufficient to earn you funding. Reviewers are impressed by what you know, not what you don't. Discussion of work yet to be done is best scattered through the proposal, hidden inside lengthy paragraphs, or confined to the bottom of page 15.

##### **MAKE 'EM EARN IT**

Reviewers should put as much effort into reading your proposal as you put into writing it. Section headings, paragraph breaks, and logical flow are just crutches. Format each page for maximum information density!

##### **EDUCATION: YOU'RE THE FIRST**

Nobody has ever attempted to teach astronomy, so there is no literature on the subject for you to be aware of.

##### **SHOW YOU CARE**

For a personal touch, refer to female graduates of your Ph.D. program as "Ms." instead of "Dr." to emphasize your inclusiveness.

##### **USE THAT SERIES OF TUBES**

Honestly, your web page is all the Broader Impact you need, as long as you've updated it since 1998.

##### **PROOFREADING IS FOR WIMPS**

Nobody equates typos and other errors with being sloppy. It's not like your trying to convince anyone you can carry out a complex project.

##### **AVOID UNPLEASANTNESS**

Did you just get an Email advising you to fix a problem in your submitted proposal? Ignore it! NSF gets so few proposals that they'll be grateful for yours, no matter how non-compliant it is. Besides, program directors are sad, lonely people who used to be scientists. If you respond you're only encouraging them.

\*May contain traces of sarcasm.

UAHuntsville promotes the personal and intellectual growth of our students, staff, and faculty, in rich and diverse environment, through commitment to innovative research, exceptional teaching, and relevance to local, regional, national, and global stakeholders, thereby enabling our community to fundamentally improve the human condition for all people everywhere. *Dr. John Horack, Vice President for Research*

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

## 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.



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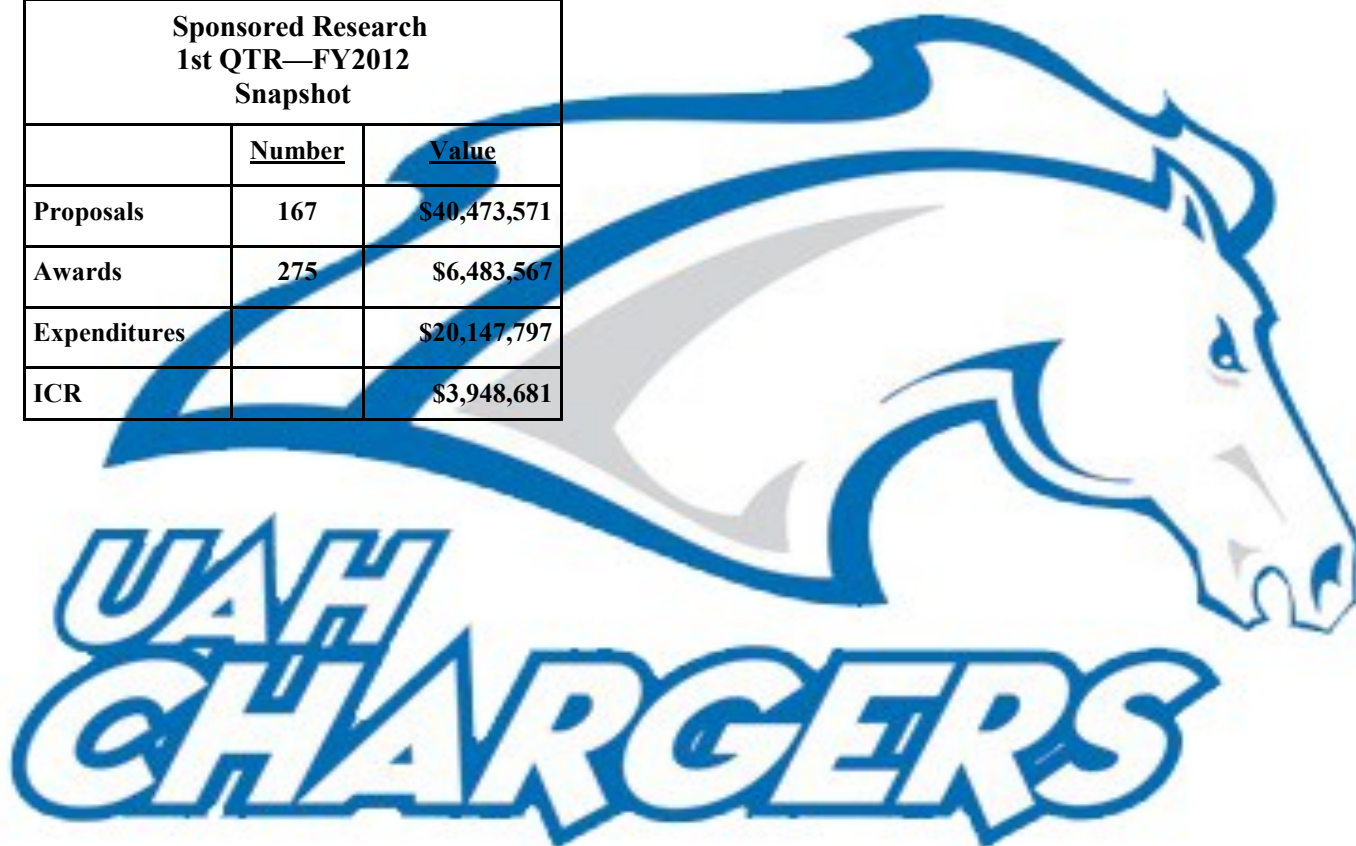
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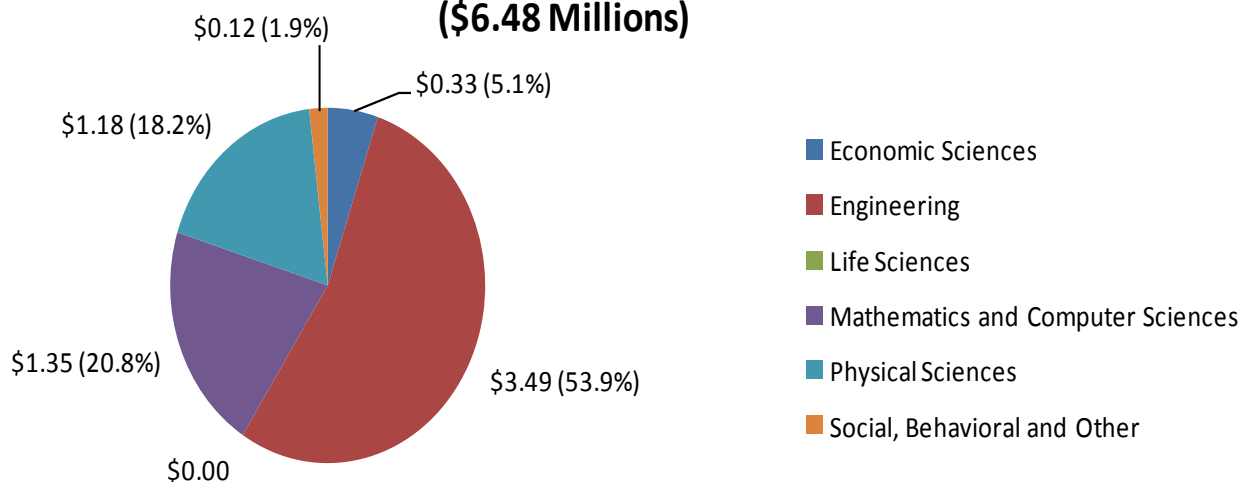
# UAHuntsville

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

Sponsored Research 1st QTR—FY2012 Snapshot		
	<u>Number</u>	<u>Value</u>
Proposals	167	\$40,473,571
Awards	275	\$6,483,567
Expenditures		\$20,147,797
ICR		\$3,948,681



**FY 2012 Total Awards \***  
**(\$6.48 Millions)**



\* 1st Quarter FY12 (Oct 11—Dec 11)

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.