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## Inside this issue:

|   |   |
|---|---|
| Proposing Materials, Supplies and Equipment | 2 |
| Office of Technology Commercialization      | 2 |
| Spotlight on ITSC                           | 2 |
| Research Security                           | 3 |
| Contracts & Grants Accounting               | 4 |

# The Research Quarterly

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## Contracts, Grants and Gifts (Know the Difference)

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

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

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

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

### **Mission of and Benefit to Funding Agency**

Contract/Grant: Funds are in support of items that are directly related to the funding agency's business activities, and may or may not be directly related to the University's mission.

Gift: Funds are in support of items that are directly related to the recipient's mission, while only indirectly related to the funding

agency's business.

### **Penalty for Non-Performance**

Contract/Grant: (e.g. punitive damages) may exist for failing to deliver items on a timely basis. Funder may include audit and compliance terms.

Gift: The only penalties for failure to deliver items on a timely basis are returning unspent funds; there are no penalties for failing to use all the funds.

### **Scope of Work**

Contract/Grant: Funder determines the "how to's," such as a protocol for testing or specific method of program delivery. Contracts and grants both requires at a minimum; a detailed budget, financial and/or programmatic reporting, define period of performance, imposes restriction with respect to allowable costs, patents, rights in data, etc, requires an audit of the award expenditures, requires the work performed as directed by a specific SOW, requires compliance with all federal and state regulations to include, but not limited to agency guidelines; OMB Circulars A21, A110, and A133, and university policies and procedures. *All contracts and grants are administered by the Office of Sponsored Programs.*

Gift: Funder expresses the goal of an activity rather than the "how to's."

Donors does not regularly impose contractual requirements; funds are awarded irrevocably; gifts are eligible for Federal Income Tax deduction. *Gifts are administered by The Office of Development.*

### **Cost Determination**

Contract/Grant: Proceeds are the cost of providing the item plus facilities and administrative (F&A) costs.

General Accounting Office (GAO) states that the government has a right to expect that the recipient (University) will use the funds only for authorized purposes and only in accordance with the terms and conditions of the award. The rights of an awarding agency to oversee the expenditure of funds by the recipient to ensure that the money is used for authorized purposes, and its duty to account for the use of funds are implicit in the award relationship and not dependent upon specific language in the authorizing legislation.

Gift: Proceeds are a subsidy to the cost of providing an item (i.e., the activity is something UAHuntsville would be doing anyway, whether or not the funding in question is provided.)

# The Research Quarterly

## Proposing Materials, Supplies and Equipment



OSP's Halloween Party '07  
"UAHuntsville Rugby Team"  
Dr. Williams, Faye Hartman,  
Mary Beth Walker and Patti  
Sparkman (center front)

OSP requires an itemized listing of all proposed materials and supplies over \$5,000 and a quote for all equipment. We are often asked why you need this information, when the funding agency does not require it.

OMC Circular A21: Cost Principles for Educational Institutions, Section C.2, states "All cost proposed and expended must be allowable, reasonable, and allocable."

Section C.4.d(1) states "The recipient institution is responsible for ensuring that costs charged to a sponsored agreement are allowable, allocable, and reasonable."

Section C.10.1, states: "An educational institution's practices used in estimating costs in pricing a proposals shall be consistent with its cost accounting practices used in accumulating and reporting costs."

An itemized list of materials and supplies over \$5,000 is required in order for the administrator to ensure the items proposed are allowable, reasonable, and allocable. We do not require you to obtain a quote for these items; however, we do require a best guess estimate of the cost for each item that makes up the total materials and supplies proposed in excess of \$5,000. All equipment

proposed must have a quote. The quote can be faxed, website, catalog, etc. The quote will assure that administrator that the item proposed is in fact equipment as defined, and does not require prior approval from the VPR.

Each proposal submitted requires the Director, OSP to certify that all costs proposed are for appropriate purposes and in accordance with the provisions of OMB Circular A21; established institution written policies and procedures; that the proposal does not include any costs which are unallowable; and all costs proposed are properly allocable to the sponsored research agreement..

## Office of Technology Commercialization (OTC)



OSP's Halloween Party '07  
Glenda Barnett, OSP and  
Dr. Joe Geary, CAO

The Office of Technology Commercialization (OTC) oversees all aspects of technology commercialization at UAHuntsville. This involves everything from education of faculty, staff and students to protection and licensing of intellectual property, to assisting

in the development of spin-off companies by providing the appropriate resources for UAHuntsville entrepreneurs.

OTC is located in VBRH, E39.  
Mr. Kannan Grant, Director.

For more information please contact OTC.

Phone: (256) 824-6620

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Email: [otc.info@uah.edu](mailto:otc.info@uah.edu)

Website: [www.otc.uah.edu](http://www.otc.uah.edu)

- **Knowledge**
- **Innovation**
- **Marketplace™**

## Spotlight on Information Technology and Systems Center (ITSC)

The Information Technology and Systems Center (ITSC) conducts multidisciplinary research at UAHuntsville in many facets of information technology.

Basic and applied research is performed to develop new techniques and systems that ultimately solve real-world problems by the transfer of innovative technologies and knowledge.

Students, faculty, and research

scientists are involved in all aspects of the center.

ITSC serves as the focal point for UAHuntsville research endeavors in information technology and systems and provides leadership in applications of information technology for multiple disciplines and computational environments.

For additional information about ITSC please contact:  
Dr. Sara Graves, Director

Phone: (256) 824-6868

Fax: (256) 824-5149

Email: [sgraves@itsc.uah.edu](mailto:sgraves@itsc.uah.edu)

Website: [www.itsc.uah.edu](http://www.itsc.uah.edu)



## Office of Research Security

**For individuals here on campus that hold security clearances things to remember:** When planning a trip abroad for business or pleasure you will need to read the Foreign Travel Related Vulnerabilities Pamphlet that you can find on our Website. Once you have read the pamphlet you will need to complete the "Notification of Foreign Travel" form, this form along with your itinerary needs to be sent to our office before your travel. When you have returned from your trip you are required to complete the "Notification of Foreign Travel Debriefing" form this too will need to be sent to our office.

**Clearances are passed in 3 ways:**  
Visit Authorization Letters (VALs)

are used to pass secret and top secret clearances. 5-10 days advance notice is required to ensure proper processing time. Perm Certifications (PERM CERT) are used to pass requests for Sensitive Compartmented Information (SCI) access. Please allow 2-3 weeks advance notice to our office allowing sufficient time for the processing done by/through the government agency. International Visit Requests (VARs) secret and top secret clearances to locations **other than a** US Government facility, allow 30 days for processing through the Defense Security Service (DSS).

Visit Authorization Request Worksheet requires much information such as the following:

Security POC, security phone, fax number, technical POC, along with their phone number, contract number, and purpose of visit to name a few these forms must be completed with all the information to assist our office in completing them and faxing them in a timely manner. These forms can be found on our website or contact our office 824-6048 or 824-6444. It is the Employee's responsibility to complete the form or get the information to our office for processing.



OSP's Halloween Party '07  
"Computer & Network Services"  
Don Halverstadt and  
Jim McCullars

## Awards: October—December 2007

**Dr. Jia Li, Mathematical Sciences:** C/Dragoon Technologies, Inc.  
Title: Formulated Questions as Mathematical Problems

**Dr. Mikel Petty, CMSA:** C/Gnosys Systems, Inc.  
Title: Phase I STTR/Alternative Aggregate Combat Modeling Algorithms

**Dr. Rhonda Gaede, ECE:** F/National Science Foundation  
Title: Applying Automatic Test Equipment (ATE) to the Functional Verification Problem

**Dr. Konstanty Mazuruk, CMR:** C/Watring Technologies, Inc.  
Title: Phase I STTR/Traveling Magnetic Fields for Crystal Growth System for Ternary Alloys

**Ms. Karen Clanton, CONT ED:** F/Army/AMCOM  
Title: Garrison Project: Redstone EUL Academic Facility Requirement Finalization/Commitment

**Dr. Gopi Podila, Biological Sciences:** C/U of Chicago, Argonne, LLC  
Title: Assignment of Enzymatic Function for Core Metabolic Enzymes

**Ms. Karen Clanton, CONT ED:** S/AL State Department of Education  
Title: Teaching the Future: Mastery of Science and Mathematics through Space Exploration

**Dr. Nagendra Singh, ECE:** F/National Science Foundation  
Title: Micro-processes Driven by Narrow Structures of Shear Alfvén Waves Generating Parallel Potential Drop

**Dr. Mike Botts, ESSC:** C/Open GIS Consortium  
Title: Use of SensorML and Space Time Toolkit to Demonstrate Geolocation and Processing of Imagery with OGC



OSP's Halloween Party '07  
Felecia Troupe, (Bad Cop)  
Kristen Tapscott, (Cat-n'-Hat)  
and Kenya Cole (Geisha)



OSP's Halloween Party '07

"Research Security:  
Women in Black"

Denise Spiller, Delores Newton  
and Buster

**FY 07 Sponsored Research  
Information:**

**AWARDS:**  
(1122) \$82,290,029

**PROPOSALS:**  
(559) \$194,510,389

**EXPENDITURES:**  
\$94,810,012

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

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

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

## Contracts and Grants Accounting

**Robert Leonard** joined UAH as Controller in June 2006. Robert was appointed Acting Director of Contracts and Grants Accounting in April 2007 in addition to his current duties as UAH Controller. Robert's duties include supervision of Contracts and Grants Accounting, General and Foundation Accounting, Bursar, and Accounts Payable. Prior to coming to UAH, he served as business manager and controller at Huston-Tillotson University in Austin, Texas, and also served as part of the college's Administration and Finance Executive Committee. Robert earned a bachelor's degree in Accounting and Business from Huston-Tillotson College, and an M.B.A in Business and Management from Webster University in San Antonio, Texas.

**Valarie King** joined Contracts and Grants Accounting in November 2007 as the Associate Director. In this capacity she is responsible for financial reporting and compliance for all sponsored program activity, special projects and overseeing and directing C&G personnel. She will also interact with external auditors. Valarie is a Certified Public Accountant with over 8 years work experience in public accounting and indus-

try. She has experience in understanding A -133 audits, Sarbanes-Oxley Act, Section 404 and Audits of Internal Controls over Financial Reporting. Valarie graduated from Alabama A&M University with a major in Accounting. She is a member of the American Institute of Certified Public Accountants and the Alabama Society of Certified Public Accountants. She is also an active member of Delta Sigma Theta Sorority, Inc.

**Brandy Nicholson** was promoted to Contracts and Grants Accounting Manger in October 2007. Brandy has worked at UAH for over 7 years in different accounting roles for the University. She has a bachelor's degree in Accounting from the University of North Alabama in Florence. Some of Brandy's current duties include training the C&G accounting staff and supervising student assistants and temporary employees.

Please feel free to contact us and we will be glad to help with any questions that you may have. The Contracts and Grants Accounting website is also available for additional staff and account information.

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