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# The Research Quarterly

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## What's News

Effective February 19, 2008, The Office of The Vice President for Research implemented the following:

1. Assigning Dr. Jim Snider, Associate VP for Research, to serve as the OMBUDSMAN for OSP. He will work with you to resolve any issues you may have regarding OSP policies and procedures. The appointment of Dr. Snider as the OMBUDSMAN provides the faculty and research staff with an alternate point of contact to resolve any issues. However, this does not preclude them from working with Gloria Greene, Director, Office of

Sponsored Programs.

2. The Office of Sponsored Programs have completed its "How to Submit a Proposal" training presentation. All faculty and research staff are strongly encouraged to attend the training. However, prior to submitting a proposal, all faculty and research staff with **less than** three years of employment at UAHuntsville will be required to attend the training presentation. A calendar with dates and times of this training will be distributed via campus mail and is posted on the OSP website: <http://www.uah.edu/research/resadmin/index.html>

3. Finally, a ready to submit proposal is due in OSP three working days prior to due date to the sponsoring agency for all competitive solicitations. Proposals received less than the required three working days **will not** be submitted. For example: A proposal deadline of Feb 14, 2008 will require a ready to submit proposal in OSP not later than Feb 11, 2008, **Note, in some instances the three working days rule may not apply, and the proposal will be processed in order to meet funding agency short deadline.**

## UAHuntsville EXPO 2007: Research Institute/Aerophysics Research Center: Center Director: Dr. Dick Rhoades



# The Research Quarterly



## New Tradition at UAHuntsville

### “Blue and White Fridays”

Each Friday, students, staff and faculty are encouraged to wear blue and white to show support for UAHuntsville.

## Parts to Fabricate Equipment and Facilities and Administrative (F&A) Cost

Parts to fabricate equipment incur the normal UAHuntsville F&A rate unless prior approval (at the proposal stage) to cost share the F&A have been obtained from the Vice President for Research. If the F&A is not cost shared (when we waive F&A that otherwise could be charged, we are cost sharing) the funds are credited to account code 7436, account code 7435 is used when the F&A will be charged.

Parts to fabricate equipment is only used in a situation in which the parts are being purchased to build a definable, end-result piece of equipment. Each requisition for these parts must have the name of

the resulting equipment stated on it. Items purchased to restock an inventory or with no immediate, definable equipment fabrication purpose will be purchased on account code 7435.

Prior to proposal submission, the PI is required to submit a request to the VPR for approval to cost share F&A on parts to fabricate equipment. The request must explain the reason for the request and the amount of F&A cost shared. Written approval from the OVPR is required prior to proposing items as equipment.

Failure to obtain approval during the proposal stage, will require the PI to obtain after the fact approval.

The PI must submit a memo (email) to the Vice President for Research requesting after the fact approval to cost share F&A on parts to fabricate equipment. The memo must explain why the F&A should be cost share and why prior approval was not obtain prior to submission of the proposal. After the fact cost share of F&A on parts to fabricate equipment will not be approved for parts purchased prior to obtaining OVPR approval.

Please let your contract administrator and/or C&G coordinator know when preparing your proposal if you will be fabricating a piece of equipment for delivery to the funding agency.

## Meet Jana Savanapridi, C&G Coordinator

The Office of Sponsored Programs, is happy to introduce Jana Savanapridi. Jana is the Contracts and Grants Coordinator for The College of Business, College of Nursing and College of Liberal Arts.

Jana is a Huntsville native, gradu-

ate of Grissom High School. Jana has a Bachelor of Arts in Asian Studies/History from Connecticut College. Prior to coming to UAHuntsville, Jana worked for DirectClassroom.com and Connecticut College.

Jana has experience in grant re-

search, grant writing, proofreading and editing to name a few. If you have not had an opportunity to meet with Jana to discuss funding opportunities, please set aside some time you schedule to do so.

Jana may be reached at 2702, or [jana.savanapridi@uah.edu](mailto:jana.savanapridi@uah.edu).

### Travel Mileage Rate

Effective January 1, 2008, the mileage rate paid to persons traveling in privately owned vehicles on official business for the state and/or sponsored research contracts and grants increased to 50.5 cents per mile.

All travel for official business (state and contract/grants) must adhere to the UAHuntsville Travel Policy.

<http://www.uah.edu/admin/Finance/TRAVEL%20POLICY%2009-08-05.pdf>



## Spotlight on Small Business Development Center (SBDC)

The Small Business Development Center (SBDC) provides assistance to small businesses and aspiring entrepreneurs. The center provides business management counseling, startup counseling, training/workshops, and a resource library.

Small business owners or managers can receive professional assistance and direction in any of the following areas: financial capital, business planning, personnel, record keeping, licens-

ing, taxes, intellectual property, government procurement, government regulations, marketing, commercialization, small business innovation and research programs, market research, inventory control, or how to conduct a feasibility study.

Small business owners and entrepreneurs may visit the resource library and use business planning guides, watch or check out videos on business management, or work interactively with the Inter-

net, Electronic Data Interchange demos, or Electronic Commerce demos.

For event training and/or additional SBDC services, please visit the SBDC Website: <http://sbdc.uah.edu/>

For additional information about SBDC please contact:  
Dr. Larry Crowson, Director  
Phone: (256) 824-6422  
Fax: (256) 824-4339  
Email: [Larry.Crowson@uah.edu](mailto:Larry.Crowson@uah.edu)

## Office of Research Security—Denise Spiller, Director

For individuals accessing MSFC, NASA has implemented a new badge application process that was effective 1/1/2008. All applications are done on-line via the Research Security Office. Badge application forms or MSFC Remote IT access forms can be picked up from this office, you can contact Denise Spiller 824-6444 or Delores Newton 824-6048 for further information. There is also a new form that has been implemented for any UAH individual who requires an access card to the NSSTC building, please contact our office for details if you require an access card.

Individuals that have a Personnel Security Clearance this is a reminder that it a requirement that you attend some type of “refresher” briefing annually. If you attend a security briefing off-site at a Government or another

contractor location please notify our office with the type of briefing and the date completed. The Research Security Office offers “refresher briefings” during the month of November and December but for individuals that have completed a briefing elsewhere they do not have to attend the refresher briefing. Any questions regarding refresher briefings please contact our office.

Our Annual Security Inspection was conducted on Thursday, February 21st by a representative from the Defense Security Service (DSS). There are 5 ratings a facility can receive, Superior, Commendable, Satisfactory, Marginal, Unsatisfactory, the University received a rating of Commendable.

Delays in submitting the Periodic Reinvestigation for Personnel Security Clearances was a finding this year in the review. Reminder to ALL individuals that have been granted a personnel security clearance “to have a clearance is not a right it is a privilege and to maintain the clearance an investigation must be completed every 5 years for Top Secret and every 10 years for Secret.



### Funding Opportunities

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

COS aggregate valuable information so you can spend less precious time searching for the information you need, leaving more time for your projects.

UAHuntsville OSP is a subscriber to COS. To learn more about COS, attend one of the classes being offered by OSP this month.

The dates are as follows:  
Thurs. March 6 @ 10:30 AM  
and Fri. March 28 @ 2:30PM

Classes will be in VBRH E8, to sign up please send an email to [parkerjs@uah.edu](mailto:parkerjs@uah.edu) or call Steve at 2654.

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

## Awards: January—February 2008

**Dr. Pat Reardon, Center for Applied Optics: C/AXSYS Technologies**  
Title: Optical Support for Telescope System

**Dr. Houssam Toutanji, CEE: C/OPTECHNOLOGY**  
Title: Phase II/SBIR/ Strategically Tuned Absolutely Resilient Structures (STARS)

**Dr. Joe Geary, Center for Applied Optics: C/ERC, Inc.**  
Title: Optical Engineering Support for Collimator Effort

**Dr. Joe Ng, Biological Sciences: F/NASA/GSFC/ASGC**  
Title: Investigation of Protein Crystallization of Extremophilic Proteins for Classroom Education

**Dr. Stephen Dow, Mathematical Sciences: C/SAIC**  
Title: Javelin BST

**Dr. Carla Confer, Education: S/ALDoED**  
Title: Collaboration in Secondary Special Education

**Dr. John Pottenger, Office of International Programs and Services: S/ACHE**  
Title: Success Through Academic Research (STAR)

**Dr. Don Gregory, Physics: C/Digital Fusion**  
Title: Phase I/SBIR/Optical Reflecting Flexible Membrane

**Dr. Kathleen Leonard, CEE: A/UA/UTCA**  
Title: Engineering Summer Institute—Phase VIII

**Dr. Gregory Harris, CMER: C/Marathon Equipment, Inc.**  
Title: Lean Implementation

Looking for information? Have you tried the OSP Website?  
<http://www.uah.edu/research/resadmin/index.html>

Under the **Proposal Tab**, you can find information such as:

- How to do business with UAHuntsville. This is an excellent reference source for your Industry partner
- The Proposal Process Flowchart
- UAHuntsville GSA Schedule
- A list of UAHuntsville AMCOM EXPRESS Partners
- A guide on doing business with the Government under one of our two delivery order contracts.

## **Contracts and Grants Accounting Staff**

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## **Research Security**

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Delores Newton, 6048  
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Website:  
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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.

## Subcontracting to Students—John Cates: UAHuntsville Attorney

Sometimes students, particularly graduate students, are budgeted as direct costs on sponsored research agreements. If the federal government is the sponsor of the research, either directly or indirectly, then the legal, accounting and ethical issues presented are substantial.

The rules applicable to reimbursement of payments to graduate students and post-docs are complicated by a number of factors. First, the reimbursement rules depend significantly on whether such payments represent compensation for services, a stipend for expenses, tuition remission, or some other form of scholarship. Second, the question of whether particular payments represent compensation is itself complicated by varying definitions of compensation for different university purposes—grant reimbursement, tax law, and labor law being the main examples. Third, in some cases an individual receiving support of one kind, such as a stipend under a research training grant, may be restricted in his or her eligibility to receive compensation for services under a research grant. Robert J. Kennedy, *Federal Regulation of Personnel Payments under Research Grants*, National Association of College and University Attorneys (2002).

As you might expect for this kind of issue, the source for unraveling these complicated factors is primarily the *Office of Management and Budget Circular A-110*. The A-21 rules are different for *post-docs* and gradu-

ate students. For graduate students, under A-21's cost principle entitled "Scholarships and Student Aid Costs," compensation paid as or in lieu of wages is allowable, provided that:

(1) there is a bona fide employer-employee relationship between the individual and institution for the work performed,

(2) the tuition or other payments are reasonable compensation for the work performed and are conditioned explicitly upon the performance of necessary work, and

(3) it is the institution's practice to similarly compensate students in non-sponsored as well as sponsored activities.

The rules are even more complicated when a principal investigator proposes to *subcontract* with a student, usually a graduate student. Since most research contracting at UAH is federally sponsored, it is highly likely that the subcontracting rules and clauses found in the Federal Acquisition Regulation will apply to the subcontract. It is very doubtful that a student could actually comply with the onerous social clauses that may be flowed down to him or her by the subcontract. The potential conflict of interest problems that may arise from student subcontract are also troubling. Obviously, a faculty member's role in assessing the academic performance and progress of a student is distinctively different from his role in evaluating work performed for compensation under a subcontract to a sponsored research agreement.

A faculty member could be subjected to liability if the student believes that his or her grade or progress in academic matters was adversely affected by work done pursuant to a subcontract. This conflict is so readily apparent and intractable that it is difficult to see how the conflict could be managed except by having different faculty members perform each role. Another potential trouble spot is that a large amount of sponsored research is done pursuant to a non-disclosure agreement. It is not a good practice to train and educate students by having them perform work that they are contractually prohibited from discussing with later graduate schools or potential employers. For these reasons, that UAHuntsville will not usually, if ever, approve the practice of subcontracting sponsored research agreements to students.

