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The Research Quarterly

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UAHuntsville
Research Quarterly

What's News

American Recovery and Reinvestment Act (ARRA) Reporting

The American Recovery and Reinvestment Act of 2009 (ARRA) was signed into law on February 17, 2009. Now more than six months later, UAHuntsville is receiving awards and preparing to report for the first time. Agencies issuing research awards clearly face a significant challenge to expedite the award process even though the dollar volume and number of awards to be issued are overwhelming. Both the Office of Sponsored Programs (OSP) and Contracts and Grants Accounting (C&GA) are working very hard to ensure UAHuntsville receives these awards in a timely manner and all reporting requirements are passed on to the UAHuntsville Research Community in a timely manner. UAHuntsville has been reporting on ARRA funds received from the State of Alabama under the State Fiscal Stabilization Funds (SFSF) Appropriation since September 09, our first federal report was submitted 10 October 2009 to FederalReporting.gov.

A website has been created to provide you with valuable information about ARRA proposals submitted and Awards received. Please go to www.uah.edu and click on the Stimulus Information Logo. Information available on the Stimulus Website includes, but is not limited to:

- Links to Agencies ARRA websites
- Roles and responsibilities for collecting, verifying and reporting data
- Flow Chart for UAHuntsville ARRA Reporting
- SFSF Compliance Procedures
- SFSF Frequently Asked Questions (FAQ)
- Link to Recovery.gov

As information becomes available, the website will be updated. OSP and C&GA are working on a PowerPoint Training Presentation and Frequently Asked Questions for ARRA funds. Every recipient of State (SFSF) and Federal ARRA funds will be required to complete the online training. Once the presentation is complete and available on the website, PIs and administrators will be sent an email asking them to complete the online training. You will have five (5) working days from date of notification to complete the training or your accounts will be frozen.

To date UAHuntsville has received ARRA grants totaling \$9,978,327, of which \$7,531,279 is a grant from the State of Alabama, State Fiscal Stabilization Funds (FY10: \$4,184,044 and FY11: \$3,347,235).

For additional information please contact Gloria Greene at greeneg@uah.edu.

Awards Issued under UAHuntsville Delivery Order Contracts

UAHuntsville F&A Rates for FY10

Effective 1 October 2009, the F&A Rates charged to Sponsored Research contracts and grants are as follows:

On-Campus

Research: 47.3%
Instructions: 48%
Other Sponsored Activities: 40%
IPA: 9%

Off-Campus

Research (≤50 miles): 27.5%
Research (> 50 miles): 26%
Instructions: 26%
Other Sponsored Activities: 26%
IPA: 9%

The correct F&A rate will be determined at the time of proposal development. Be sure you understand the nature of the sponsored activity before finalizing the proposal budget. For additional information about the application of F&A rates, please visit the OSP Website under “Other Information.”

Post-Doctoral Research Assistant Positions

Effective September 2009, we created three new position classifications within the current university position classification system: Post-doctoral Research Assistants I-III.

Employees in these limited-term positions will receive the same benefits enjoyed by Research Associates, with one exception regarding annual leave. All accrued leave must be used prior to their agreed upon termination date, otherwise the leave will be forfeited upon separation from the university.

The University have two large delivery order contracts: (ED) Advanced Weapon System & Manufacturing Technologies, (W31P4Q-09-D-0010) POP: 4/20/09 through 3/15/14. Total contract value is \$77,863,133. Dr. Gary Maddux, PI—Director, SMAP Center. (SED) Research & Manufacturing Technologies Support, (W31P4Q-05-C-0136) POP: 5/24/05– 5/23/10. Total contract value is \$24,095,370. Dr. Dick Rhoades, PI—Director, Research Institute.

If you receive funding or are expecting funding under either contract please note the following: OSP will strongly discourage orgs being set up at risk for these accounts, since it is highly unlikely the task order will be back dated. The effective date of awards issued under either delivery order is the

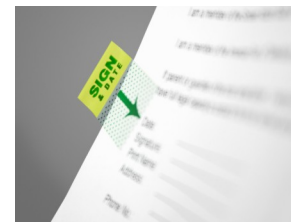
date the funding document (modification or amendment) is signed by the Contracting Officer. Secondly, despite the intentions of the COR or COTR, the Contracting Officer is the only individual with the authority to commit the government. OSP will not modify the start date of an award based on communications received from the COR or COTR, all changes must come to OSP as an amendment or modification signed by the Contracting Officer.

In most cases, additional funds for an existing task will be placed on a new task order and issued a new Contract Line Item Number (CLIN) or Subcontract Line Item Number (SLIN). OSP will in most if not all, cases, based on the new CLIN/SLIN and effective date, issue a new org for the additional funds. Therefore, charging to the existing org at Risk is strongly

discourage, since the probability of the cost being disallowed is high.

If you have any questions about the funding process for (SED) please contact Dr. Dick Rhoades for information on W31P4Q-05-C-0136 at rhoadesr@uah.edu, or for (ED) Dr. Gary Maddux for information on W31P4Q-09-D-0010 at Gary.maddux@us.army.mil.

Additional information about both delivery order contracts are available on the OSP Website under the Proposal Tab titled “How to Do Business with The Government.”



Contracting Officer Representative (COR) and Contracting Officer Technical Representative (COTR)

The COR and COTR hold unique and important positions in government contracting. The COR and COTR are designated by the Contracting Officer to assist in administering specific aspects of a contract. The COR and COTR holds positions of trust and responsibility. The COR and COTR are the liaisons between the contractor (UAHuntsville) and the Contracting Officer. The Contracting Officer relies on the expertise and background of the COR and COTR to ensure that the technical and financial aspects of the contract are accomplished.

The COR and COTR are not empowered to award, agree to, or sign any contract (including delivery and/or purchase orders) or modifications, or in any way obligate the payment of money by the Government. The COR and COTR may not take any action which may impact on contract or delivery order schedules, funds, scope or rate of Level of Effort. All contractual agreements, commitments, or modifications which involve prices, quantities, quality, or delivery order schedules (effective date of award) shall be made **only by the Contracting Officer**.

“The men who learn endurance, are they who call the whole world brother.”
Charles Dickens



Dear Colleagues:

I hope these words find you well. October and the new fiscal year are here, and they seem finally to have brought with them some beautiful weather, sunny skies, and cool temperatures. It finally feels like Fall Semester.

How recently it seems we were very concerned about not having enough water to quench Atlanta's thirst, or to keep the Tennessee River where it needs to be for the diverse (and sometimes competing) interests of recreational boating, hydroelectric power generation, irrigation, and cooling nuclear power plants. And then the rains came...and came...and came. And now they are gone, leaving in their place the exceptional weather we are accustomed to enjoy in the time between the Fall Equinox and Thanksgiving. With apologies to Dickens, as well as to our colleagues in Earth Science, we have experienced a 'tale of two climates.'

I have Charles Dickens on the mind at the moment, mostly because as I look around the campus, the community, and the world, I am reminded very much of "Tale of Two Cities."

It is indeed "the best of times" and "the worst of times." We are growing a University, building upon the exceptional hard work and accomplishments of those who have come before. We seek to elevate the stature of the education and the quality of the UAHuntsville experience to higher levels. We have experienced the greatest student growth in six years, and welcomed the brightest Freshman Class ever. We have hired over 30 new faculty members in the past two years. We have grown research expenditures to an all-time high of \$72M. We have done this, and more, in an environment where the budget has decreased 22% in the past two years, where University systems around the country are experiencing horrendous financial conditions, furloughing faculty, and eliminating programs.

To paraphrase Dickens just a bit further, it is the epoch of belief, and the epoch of incredulity. It is a season of light, and a season of darkness. We are living simultaneously in the spring of hope and the winter of despair. We have everything before us, and we have nothing before us. We are all going direct to Heaven and we are all going the other way. Since I had the honor of joining the UAHuntsville team seven months ago, I have seen reflections of each of these dualities in our day-to-day workings, as we have sought to grow UAHuntsville and to make it an ever-better place, in the face of some enormous challenges, opportunities, and changes.

Financially, perhaps, it is indeed the worst of times. And while it may be hard to describe this period of our history as the best of times, there can be no doubt – we are moving forward and we are making progress. Like the world Dickens describes in "Tale of Two Cities", we are experiencing a kind of rebirth; from the University, community, and region we were, to the University, community, and region we are becoming.

As much as I like Dickens, he isn't the only author on my mind at the moment. During a recent sleepless night, I wandered down to my library and revisited with the 20th-Century explorer Ernest Shackleton. "South" is a diary/scientific-log of the voyage of the *Endurance* to the bottom of the world. On this famous voyage, the ship was lost, and the crew of roughly two-dozen men, their dogs, and their equipment, were stranded on the ice – for nearly two years. With no human contact, no ship, few resources, incredible teamwork, and a bit of luck, they managed to overcome. Every person who left with the ship at the start of its voyage survived to see England again. For these men, it was the best of outcomes in the worst of times.

What is remarkable to me about "South" is not only Shackleton's writing, but the photographs of the men. They are smiling. They are optimistic. They are busy. They are productive. And they are working to control their own destiny. In the absolute worst of times, their success is achieved by working together towards the best of times.

How easy it would have been for them to self-destruct. How easy it would be, after days without food, in bad weather, and having seen the ship crushed by the ice, to begin to view their colleagues as something other than members of the same team. How easy it would have been to 'turn' on Shackleton, to organize a mutiny, to act out of frustration, emotion, or sheer despair. But they didn't. The team viewed each other as valuable, each one with an important role to play in their overall success. They valued each other for more than just the protein content of their bodies. The men didn't eat each other. They didn't eat Shackleton.

I believe that there are lessons in both Dickens and Shackleton in how we deal with the situation in which we find ourselves at UAHuntsville. We are not nearly as starved for resources as the crew of the *Endurance*, yet we seek an outcome more flourishing than simple survival. We seek an outcome that reflects the new time is being born at UAHuntsville, in the region, and the world. Another time is reaching its end. We have long since stopped being the best in the world at growing watercress.

Continues on page 4

How do we deal with such challenges? For me, I believe the answer starts with us. It starts with recognizing that while it may seem we have nothing before us, we actually have everything we need to find our way. It starts with the simple recognition of the dualities of our time, and the acceptance that we must move forward while dealing with setbacks. We must continue to find ways to invest while the resource environment shrinks. We must continue to recognize that the UAHuntsville of tomorrow will not be the same as the UAHuntsville of yesterday. As good as we have been, we can still be – and must strive to be – better.

As we enter the 2010 fiscal year, we will be asked to do some very hard things. We will face some serious financial challenges. We will have to make and implement some very hard decisions. And at the same time, we will be asked to grow the University, to enrich our environment, and to give our students an ever-more meaningful, vibrant, and valuable University experience. In a period of extreme turmoil and uncertainty, we will crave equilibrium. But the equilibrium we must seek is that of a moving bicycle – continually balancing and adjusting while moving forward – not the static equilibrium of an object at rest.

I would ask you to refresh your memory of the OVPR norms that were generated the week I arrived on campus. For us to be fully successful, I believe their full adoption will be required. They can serve as a most important tool for how we interact, how we work together, and how we achieve our desired common outcomes.

We will be stretched for resources, tired, and frustrated. But the person next to us is not the source of our next meal. They are not here to serve as the object upon which we vent our emotions. The person next to you – faculty, staff, or student – is a colleague and a professional. They share the challenges we are facing. They find themselves in the same situation as you are in; or perhaps a more difficult one. They are here, as you are, to help make UAHuntsville a better place. You are responsible for them, and to them, as they are responsible for you, and to you.

In an incredibly challenging time, we will be asked to be better. We can be better, in large part, simply by being better to each other. Success requires us to be more like the men on the ice, and less like those of the French Revolution. We can get out the guillotines. Or we can bind like the crew of the *Endurance*.

John M. Horack, Ph.D.
Vice President for Research
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Board of Trustees Revises Patent Policy

From John O. Cates, Office of Counsel, UAHuntsville

On June 19, 2009, the Board of Trustees of The University of Alabama revised the patent policy applicable to all three campuses of the University of Alabama System. The new Patent Policy is substantially similar to the old Patent Policy which has been in effect since 1980. However, there are some important differences. **Campuses are no longer required to have a Patent Committee. Each campus President now has the option of appointing an officer, or a non-profit organization, to serve as campus Patent Administrator. Students are now expressly covered by the Patent Policy. Also, it is now expressly stated that the Patent Policy is a contractual obligation, and not just a condition of employment, of all employees. Covered inventions are now automatically the property of the Board of Trustees without the requirement of a written assignment from employees. If the University decides not to pursue patent protection or commercialization of an invention, the University may negotiate the return of the invention to the inventing employee or student.**

The University's policy of sharing the commercial fruits of all commercialization inventions with employee inventors remains unchanged. UAHuntsville's policy of sharing invention commercialization proceeds with its employee inventors remains among the most generous in the nation.

For additional information regarding the revised Patent Policy, please contact John Cates at John.Cates@uah.edu, for additional information about commercialization and the patent process, please contact Kannan Grant at Kannan.grant@uah.edu.

NEH Workshop

The Vice President for Research and Office of Sponsored Program co-sponsored the *NEH Application Writing Workshop* on September 22, 2009. The workshop was attended by UAHuntsville College of Liberal Arts Faculty, and faculty from Alabama A & M University, University of Tennessee – Chattanooga, University of Alabama, and Oakwood University.

Dr. John Cox, NEH was the facilitator. In addition to topics addressing grant writing and improving your chances, the workshop included a Mock Peer Review Panel and Application Writing Strategies.

Dr. Robert Stewart, Executive Director, Alabama Humanities Foundation spoke to attendees about programs in progress at AHF.

In the afternoon, Dr. Cox met with individuals privately to discuss potential ideas for grant applications.

Dr. Cox stated that the large meeting and mock panel, as well as the individual meetings, went very well. *"It was certainly well worth the trip."*

Special thanks to Dean Glenn Dasher for his support and opening remarks to the attendees and presenters. Visiting faculty expressed their appreciation for being invited and the great hospitality UAHuntsville showed them!

Annual Security Refresher Training

Delores Newton, Interim Research Security Director

UAHuntsville had a Facility Defense Security Services (DSS) inspection August 10, 2009. During that inspection, a discussion arose regarding the Annual Security Refresher Training that we are required to hold for all employees who hold a personnel security clearance. In the past, we have accepted the training provided by the government on Redstone Arsenal in lieu of our training. We were informed by DSS that all employees are required to attend UAHuntsville's refresher training. Even though the government requires UAHuntsville employees working on the arsenal to attend their training, the government training "will not" count as satisfying UAHuntsville employees training requirements. All cleared UAHuntsville employees must attend UAHuntsville's training class.

If you received a notification email, it means that you hold a

personnel security clearance to support a Department of Defense (DOD) contract or maybe several contracts. One of the requirements of holding and maintaining your personnel security clearance is to attend "Refresher Training" per the National Industrial Security Program Operating Manual (NISPOM) paragraph 3-107 which states that we, the security office, shall provide "all" cleared employees with some form of security education and training at least annually. If individuals do not meet this requirement their clearance can be subject to termination. **If you attended the Export Control Training that UAHuntsville Research Security Administration sponsored on September 24 –25, 2009, you have met your security training obligation for this calendar year.**

This year, to meet this requirement, we will be having a great

speaker from the Federal Bureau of Investigation (FBI), Mr. Guy Hardman IV, who is with the local FBI office. Many of you that attended last year's briefing may have met Mr. Hardman. He has a new and improved briefing to present to us this year.

Due to the number of cleared employees and the room capacity, I ask that you send me an email informing me of which one of the scheduled sessions you would like to attend. Scheduling will be on a first come first serve basis, so please respond early to ensure your time.

Material Science/Optics Bldg (McDonald Douglas Auditorium) Room 100.

**Thursday October 29, 2009
9 am to 10:30 am**

**Thursday October 29, 2009
2:15 pm—3:30 pm**

Export Controls—What Universities Should Know

UAHuntsville's Office of Research Security sponsored Export Control Training on September 24-25, 2009, Mr. Jan de Beer, from Frost Brown Todd, LLC an attorney specializing in Export Control, made the presentation. Mr. de Beer's presentation, "United States Export Controls—What Universities Should Know," was very informative.

The presentation covered many areas of interest to all researchers and travelers abroad. Some of the topics discussed were:

- New emphasis on export compliance following 9/11
- Iranian and North Korean nuclear program
- Increased emphasis on the protection of US technological

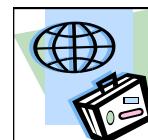
leadership

- Increased perception of China as a global technological competitor
- What Happens if You Don't Comply with the Regulations
- Scope of Export Control and Examples of an Export
- International Traffic in Arms Regulations (ITAR)
- Export Administration Regulations (EAR)
- Deemed Export Rules and Foreign Nationals Exceptions
- Traveling with GPS or Laptop Computers
- Public Domain Exclusion
- Fundamental Research: National Security Decision Directive (NSDD-189)

The takeaway points from the training were as follows:

- Export Compliance is EVERYONE's RESPONSIBILITY!
- Export is a privilege not a right
- DO NOT SIGN ANY AGREEMENT ON BEHALF OF UAHUNTSVILLE
- Compliance **is not** an unnecessary hurdle!

Additional information on Export Control and UAHuntsville's Export Control Policies and Procedures are located on the Research Security Website.



New Awards: July—September 2009

Contracts and Grants Accounting Staff

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Rita Cramblit, 6048
Security Assistant
dm003@uah.edu

Website:
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PI	Title	Amount	POP
Lior Burko Physics	F/NASA/SSC/EPSCoR/A Wave Extraction Method for Numerical Relativity Simulations of Compact Binary Inspirals	\$11,110	8/09—5/10
Daniel Cecil ESSC	F/NASA/SSC/GSRP/Electrically Hot Convection and its Relation to Tropical Cyclogenesis and Intensification	\$29,881	9/09—8/10
Sundar Christopher/ John Christy ESSC	F/DOC/NOAA/Satellite-Based Assessment of Regional Air Quality and Climate	\$439,200	8/09—7/11
Letha Etz Korn Computer Science	F/NSF/SHF: Collaborative Research Improving Code Clone Categorization	\$133,242	9/09—8/12
Sara Graves ITSC	F/NASA/SSC/Sediment Analysis Network for Decision Support Project Summary (SANDS)	\$390,179	8/09—7/11
John Gregory SGC	F/NASA/SSC/EPSCoR/High Temperature Shape Memory Allows for Improved Efficiency in Aeronautic Turbo machinery	\$750,000	9/09—9/12
Jatinder Gupta MIS	F/DOD/NAVY/FISC/NPS/Finding Appropriate Contractor Incentives for Success in Implementing Performance Based Logistics	\$52,000	8/09—5/10
Vistasp Karbhari Provost	A/USCD/Assessment of Long-Term Durability of FRP Composite Materials	\$160,426	7/09—12/10
Robert Lindquist CAO	F/NSF/ARRA/MRI/Acquisition of Deterministic Polishing Tool	\$851,725	9/09—8/12
Mikel Petty CMSA	A/JHU/APL/Live-Virtual-Constructive Architecture Roadmap Implementation	\$124,000	8/25—5/10
Gopi Podila Biology	F/NSF/MRI/Acquisition of a Confocal Laser Scanning Microscope w/Multifluorescence Detection Capability	\$415,000	9/09—8/12
Carmen Scholz Chemistry	A/MIT/ARRA/Engineering Development of a Chronic Retinal Implant	\$124,616	7/09—6/10
Junpeng Guo ECE	F/NASA/SSC/EPSCoR/Nano-Plasmonics Sensors for Space Applications	\$11,100	8/09—5/10

*FY 2009 Research Activity	Total Proposals Submitted	Total Awards Received	Total Expenditures
	769/\$198,741,945	1329/\$76,890,789	\$73,210,398

**Totals exclude construction*

Mission Statement

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