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Responsible Conduct in Research (RCR)

"An environment that protects and nurtures research integrity is one in which questions can be freely raised. All individuals actually or potentially involved in maintaining scientific integrity need the security of knowing that open-mindedness and fair procedures are ensured." *Report of the Commission on Research Integrity*, p. 24. Department of Health and Human Services, 1995.

It is federally mandated that all individuals involved in sponsored research, regardless of the source of support e.g., students (undergraduate and graduate), postdocs, visiting scholars, researchers (faculty and staff), and subcontractors must complete a minimum of 8 hours of *Responsible Conduct in Research* (RCR) training. This training must consist of no more than two (2) hours of web based training and no less than six (6) hours of face-to-face training. Frequency of training will be at least once during each career stage, and refresher training every four (4) years. Responsible conduct of research is defined as the practice of scientific investigation with integrity. It involves the awareness and application of established professional norms and ethical principles in the performance of all activities related to scientific research.

Basic Principles

The following principles are based on several key concepts about responsible conduct of research and best practices that have evolved over the past two decade's experiences:

1. Responsible conduct of research is an essential component of research training. Therefore, instruction in responsible conduct of research is an integral part of all research training programs, and its evaluation will impact funding decisions.

2. Active involvement in the issues of responsible conduct of research should occur throughout a scientist's career. Instruction in responsible conduct of research should therefore be appropriate to the career stage of the individuals receiving training.

3. Individuals supported by individual funding opportunities such as fellowships and career development awards are encouraged to assume individual and personal responsibility for their instruction in responsible conduct of research.

4. Research faculty of the institution should participate in instruction in responsible conduct of research in ways that allow them to serve as effective role models for their trainees, fellows, and scholars.

5. Instruction should include face-to-face discussions by course participants and faculty; i.e., on-line instruction may be a component of instruction in responsible conduct of research but is not sufficient to meet the sponsoring agency requirement for such instruction, except in special or unusual circumstances.

6. Instruction in responsible conduct of research must be carefully evaluated in all grant applications for which it is a required component.

The Office of Research Integrity (ORI) supports several programs designed to promote education and training in the responsible conduct of research (RCR) that covers the following nine instructional areas:

- **Data Acquisition, Management, Sharing and Ownership**
- **Conflict of Interest and Commitment**
- **Human Subjects/Animal Welfare**
- **Research Misconduct**

"Bad Credit Score" (John Rogers)
OSP 2010 Halloween Party

Responsible Conduct in Research
(continues)
- **Publication Practices and Responsible Authorship**
- **Mentor / Trainee Responsibilities Peer Review**
- **Collaborative Science**
- **Ethics and Morality (Whistleblowing)**

To ensure UAHuntsville is compliant with the federal mandated RCR requirement, the Office of Sponsored Programs, Office of Research Compliance, Provost and Deans will be developing/identifying courses that provides education and training in terms of the nine instructional areas noted above. Any one (students, postdocs, visiting scholars, research staff, faculty and subcontracts (consultants))currently working on a sponsored research project must complete the on-line RCR and export control training. Upon completion of RCR and Export Control training you will receive a Certificate of Completion.

The Office of Sponsored Programs will, until further notice, oversee and document completion of training. It is the responsibility of the PI to ensure all individuals working on the research project complete the required on-line training. Failure of any individual to complete the required training will result in the account being frozen, of which the non-compliant individual(s) is/are charging, until verification of completion. Both web based training courses will count as 30 minutes each towards the required eight (8) hours initial training. On-line training Session I: Responsible Conduct in Research, and Session II: Export Control are located on the Office of Sponsored Programs website under the "TRAINING" tab. The link to the OSP website is: http://resadmin.uah.edu/resadminweb/. Subcontractors, consultants, and visiting scholars must either provide proof of RCR training or complete the

UAHuntsville on-line training sessions. Payment will be held pending verification of training completion, for subcontracts/consultants and visiting scholars if applicable.

Upon completion of each session, a certification will display. You can print or save the certificate. An email notifying OSP and/or the Faculty Advisor (students) of completion will also and OSP will maintain records for all training completed by each individual for auditing/verification purposes. These records will include the following: name, department/center, A-number, date of training completion, length and type of training, and session title. It is the responsibility of the PI to ensure everyone charging to the sponsored research account has completed Sessions I and II within two pay periods of starting work on the project.

The Office of Sponsored Programs will host the first of several face-to-face RCR training sessions on January 19-20, 2011. The training will focus on (a) Fabrication, Falsification and Plagiarism (FFP); and (b) *Publication Practices and Responsible Authorship (*mandatory for all GRAs and Postdocs). Training locations and times will be announced on **Charger Post https://chargerpost.uah.edu/ and the OSP Weekly Funding Bulletin.**

Rotorcraft Systems Engineering & Simulation Center Entry in OSP 2010 First Annual Pumpkin Decoration

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What Constitutes "Mentoring" under NSF Guidelines

Principal Investigator Advisor, Vol 1 No. 6 (July 2010)

The National Science Foundation (NSF) wants to ensure that principal investigators who receive NSF funding are providing mentorship to their post-docs. Under the America COMPETES Act, NSF will not make sure that funding applications include a mentoring plan as a supplementary document. If your NSF budget includes a post-doc and a mentoring plan is not included, the proposal will not be accepted by FASTLANE. The forms of guidance that constitute "mentoring" per NSF are:

- Career Counseling
- Training in preparation of grant proposals, publications and presentations
- Guidance on ways to improve teaching and mentoring skills
- Guidance on how to effectively collaborate with researchers from diverse backgrounds and disciplinary areas
- Training in responsible practices

NSF states that each proposal that requests funding to support postdoctoral researchers must include, as a supplementary document, a description of the mentoring activities that will be provided for the post-doc.

The mentoring plan is limited to one page and must describe the mentoring to be provided to all post-docs supported by the project. The mentoring plan is required, whether or not the post-doc resides at the prime organization and must be included for all proposals (sub-awardees and collaborative organizations). NSF cautions proposers to not use the mentoring plan as means to circumvent the 15-page project description limitation. The mentoring plan is evaluated as part of the merit review process under the broader impact merit review criterion.

Although the National Institute of Health (NIH) does not specifically requires a "mentoring" plan, it encourages one when submitting proposals for training grants, fellowships, or a mentored career development award; however, NIH states that you must have a fairly concrete mentoring program in place.

Dr. Gary Zank, Chair, Physics Department and Center Director, CSPAR prepared an article for the July 2010 issue of The Research Quarterly, entitled *"Mentoring: An Imprecise Art."* In summary, the article states that mentoring young scientists is one of the most rewarding aspects of a principal investigators career. Mentoring can be challenging, and time consuming, but ultimately an enriching, element of your job. Mentoring young investigators will more often than not, result in them becoming mentors. Pay it forward, become a mentor!

Compliance Corner

Marilyn Thomas, UAHuntsville
Chief Compliance Officer

Outside Consulting at UAHuntsville

UAHuntsville's mission includes a commitment to intensive research, rigorous scholarship, innovative education, technological research, cultural growth and entrepreneurial creativity in order to enrich our global community. In order to honor those commitments, all individuals within the UAHuntsville community have a clear obligation to consistently promote the best interests of the University above all competing interests as we conduct business and make day-to-day decisions.

The business relationships among the University, faculty, staff, private industry, and governmental entities are becoming increasingly more complex. As a result, there is more potential for actual or perceived conflicting loyalties and responsibilities for University faculty and staff employees. Accordingly, the University has set forth policies and procedures related to the areas of **Outside Consulting** and **Conflict of Interest and Commitment** to provide protection guidance for University employees and to protect the University mission. These subjects apply to the activities of University staff as well as University faculty.

UAHuntsville Faculty Policies and Procedures.
Appendix I in the UAHuntsville Faculty Handbook, *Conflict of Interest*, states that a conflict of interest exists when a faculty member's responsibility for teaching, research, or service is threatened or harmed because of an external relationship which directly or indirectly affects the financial interest of the faculty member, a family member or associate. For the purposes of this policy, "family" is defined as spouse, domestic partner, children, parents, parents-in-law, siblings, and other relatives. In addition, a conflict of interest exists when a faculty member makes more than a *de minimus* use of university academic, administrative, or other resources, or influences university decisions in such a way that could or does lead to personal gain or improper personal advantage or advantage to a family member or associate. *Appendix J* of the UAHuntsville Faculty Handbook, *Disclosure Forms for Consulting Activities*, covers the disclosure of external affiliations and activities of Principal Investigators, as well as the Request for Permission to Engage in Consulting Activities.

UAHuntsville Staff Policies and Procedures
Professional Consulting, Teaching and Other Outside Employment. Although full-time staff members' jobs with the University are expected to be their primary employment, staff members may engage in other employment under certain conditions. Professional consulting activities are defined as the rendering of professional services to an organization outside the University, or to an internal organizational unit other than that in which the individual is employed, based upon an employee's advanced education or special training. Teaching is one example of professional consulting. Professional consulting is considered a privilege and is encouraged if it involves appropriate activities. Such consulting must not, however, interfere with an employee's primary commitment to the University, create a conflict of interest, or discredit in any way the standing or image of the University.

Normally, 35 hours per month is the maximum consulting time that is allowed. However, in application of this general rule, supervisors may **limit** the amount of time an employee may engage in consulting activities. For an individual whose outside professional services consist only of teaching, the maximum outside load is three semester hours per term. **Consulting and teaching must not be performed during regularly scheduled work hours. If this is not possible, an employee may, with supervisory approval, charge the time to vacation leave, personal leave or leave without pay. Professional consulting activities and teaching must be disclosed to and approved by an employee's supervisor by completing the Professional Consulting/Teaching Disclosure Form and submitting it to the employee's supervisor for consideration.**

Outside employment, other than professional consulting and teaching, should be disclosed to the employee's supervisor. Although maximum time-per-month limits do not apply to such outside employment, it is expected that such employment will not interfere with an employee's responsibilities to the University and that such employment would be part-time in nature. **Employees must obtain the written approval of their supervisors and department heads prior to engaging in any consulting or outside employment activities as described above.** Requests for approval of prospective consulting activity or outside employment should be initiated at least two weeks in advance of the effective starting date of the proposed consulting or outside employment to allow time for processing and evaluation. Supervisors and department heads will determine if the employment satisfies the criteria mentioned above. If a determination is made that the outside employment is not consistent with University policy and the employee accepts the position after being so advised, the employee will be subject to dismissal.

Basic Definitions
The National Institutes of Health (NIH), Department of Health and Human Services (DHHS), and other regulatory agencies provide policies, guidelines, and examples to assist

recipients of public funds in administering grants and awards. Vanderbilt University has developed comprehensive definitions of the terms *Conflict of Interest* and *Conflict of Commitment* to best reflect the intent of various regulations.

"A conflict of interest refers to a situation in which an individual's financial, professional, or other personal considerations may directly or indirectly affect, or have the appearance of affecting, an individual's professional judgment in exercising any University duty or responsibility, including the conduct or reporting of research. Typically, a conflict of interest may arise when an individual has the opportunity or appears to have the opportunity to influence the University's business, administrative, academic, research, or other decisions in ways that could lead to financial, professional, or personal gain or advantage of any kind.

A conflict of commitment refers to a situation where an individual engages in external activities, either paid or unpaid, that interferes with their primary obligation and commitment to the University. Individuals in the University community should evaluate and arrange their external interests in order to avoid compromising their ability to carry out their primary obligations to the University, and most conflicts of interest or commitment should generally be avoided or resolved through the exercise of personal judgment or discretion."

OSP 2010 HALLOWEEN PARTY

Colleges and Centers entries in the 2010 OSP First Annual Halloween Pumpkin Decorating Contest—OSP Annual Halloween Party. Thank you participants (Left to right) Nursing, RSESC, CSPAR, CAO, OSP, CMSA, College of Engineering, ITSC and College of Science.

It's Support not Service!
By Vincent "Bo" Bogdanski,

A PI calls his contract administrator to get an explanation as to why his requisition was disapproved in Banner. The administrator explains that the purchase was not disapproved, but the use of sponsored research funds was not allowable. The exasperated response from the PI is "You are supposed to be a service organization and yet you do nothing but prohibit me from doing my job!"

Since I have been associated with research administration, I have heard that the research administrator works in a "service" organization, and the job is to provide "customer service" to the PI. This service concept seems to be acceptable as a fact throughout the research administration community, and using the term "service" is second nature. I propose that using the familiar term "service" as a standard for the research administrator or the research administration organization creates misunderstandings, confusion, and arbitrary expectations of the research administrator. Just like the PI who had a preconceived notion of service (see above), many who we 'serve' also bring these inaccurate definitions to bear when dealing with the research administrator.

I trust that those who describe research administrator as "service" do not intentionally mislead but instead have not considered the ramifications of using a familiar term with those who are either inexperienced as to the mission of research administration or unfamiliar with the expected outcomes of a well-managed research organization.

A more appropriate and accurate term to describe the purpose of research administration activities is "support." For compliance purposes, research administration 'support' the research community. Under defined matrix, the

Office of Sponsored Programs supports the institution and the PI in the research enterprise. Principal investigators, when conducting most, if not all sponsored research on campus, do not have a choice as to which OSP to submit your proposal through. I am not suggesting that there are no elements of "service" while performing "support." I think that describing research administration as "service" is unfair to the research administrator and give the wrong impression to university constituencies.

During a meeting defining 2 CFR Part 220 (formerly called: OMB Circular A-21) handling of administrative costs, a college official says to the Director, Sponsored Programs, "Let's not talk about what we can't do, because as a service organization you need to think outside-the-box and recommend ways to avoid the difficulties of 2 CFR Part 220."

If research administration were truly a "service" organization, this college official would have been correct in their expectations. However, 2 CFR Part 220 contains accounting principles which are accepted in the research administration and accounting communities. Thinking outside-the-box is a worthy effort if your objective is to make the sale and satisfy the customer. However, if your objective is to maintain compliance, achieve consistency and keep the institution from potentially being assessed a penalty, the college official's definition of "service" is inaccurate.

Generally, consistency and compliance dominates "support" while customer choice and flexibility are characteristics of "service." "Service" focuses on a single customer on an individual basis. "Support" is more complicated. Every decision requires research administrators to consider what is consistent within the institution policy as well as the needs and desires of individual departments, colleges, institutes and centers. Then the PI's needs must

be considered.

Often enough there are conflicts between the needs and desires of some of these various constituencies. Even more importantly, decisions which are perceived as deviations form norm can often have potential long-term impacts on an institution. Other constituencies can learn of the supposed inconsistency and want similar treatment. If the inconsistency is recommended from higher levels, the decision may lead to a change in policy or practice which may become the new norm. This on-going analysis followed by recommended decision may easily lead one or more of the constituencies to be "unhappy." If research administration is "service," this is unacceptable; if it is "support," this is not necessarily optimal, but is still within mission objective.

One key to a successful organization is proper management involvement. Understanding the role and operation of any research administration support organization is absolutely to provide appropriate supervision. Senior administrators must be visible, active, supportive, encouraging and objective when dealing with issues associated with "support."

Those managers not involved tend to lack empathy, demonstrating a lack of understanding of the research administrator role. Managers who do not take the time to learn what their support organization actually achieve merely have a general knowledge of result of the support organization's efforts without an appreciation for the individual professional within the organization. When management combines lack of empathy with a concept of "service" versus "support," the research administrator is in a very uncomfortable and confused position, not truly understanding their true role and function within the institution's overall research enterprise.

There are at least two positive actions managers need to accomplish to assist research

SUPPORT	SERVICES
Rules and compliance driven.	Profit and/or result driven.
Administrative compliance and uniformity with fess problems indicated success.	Cumulative individual outcomes indicates success.
Constituencies are users.	Customers are consumers.
Objective is to prevent adverse action against institution.	Objective is for the customer to return or provide positive suggestions to others.
Multi-party interests considered, i.e., institution, PI, Sponsor, College, Department.	Focus on a single customer at a time.
Management provides the policy to implement the rules.	Management provides the guidelines to implement organizational principles.
Specific rules allow for less flexibility, waivers formally provided at highest levels.	Management expects judgment and discretion within defined parameters at every level of the organization. Increased waiver authority moves up the ladder.
Exceptions are rare and based on policy.	Exceptions can be more frequent and based on circumstances and define management decisions.
Institution requires utilization of designated support organization.	Customer has choice of using competing organizations or not using any available service.
Client satisfaction a preferred goal.	Customer satisfaction the ultimate goal.
Work hours standard.	Work hours based on customer preferences and competing needs.
Lack of accurate metrics, some benchmarks.	Measurable results based on market share, profitability and/or stated goals.
Client anticipates compliance with certain rules. "No" could be an acceptable answer to certain questions.	Customer anticipates comparison of product, choices and anticipate results. There is the option to not purchase or purchase elsewhere.
Management supports the people who carry out the rules	Management supports the people who achieve results.
Needs to educate the client.	Needs to sell to the customer.

This is not to say that "support" creates the compliance and ethical standards but only reinforces the standards that management considers important for the institution's research enterprise.

"Support" or "Service:" they are more than mere words.

Bo Bogdanski created the matrix to the left, which provides indicators of what encompasses "support" as opposed to "service." The matrix is not meant to imply that elements on either side of the matrix cannot cross over to the other side, but instead suggests that these factors are more dominant to one side of the matrix or the other. This list is not exhaustive. Generally, consistency and compliance dominate "support" while customer choice and flexibility are characteristic of "service."

Permission to reprint this article was granted by The National Council of University Research Administrators (NCURA), *NCURA Magazine, Volume XLII, No. 5.*

Bo Bogdanski is a senior research administrator at Colorado State University. He has been a speaker at national and regional NCURA workshops and concurrent sessions, is a faculty member of SPA II and is a former member of the NCURA Board of Directors. Bo has sixteen years university research administration experience after a 22 year career in the Air Force.

**OSP Haunted Squares
2010 Halloween Party**

**Ghost Buster (Barbara Czura) &
Auburn Caveman (Steve Parker)
OSP 2010 Halloween Party**

administrators or the office of sponsored programs. First, management must have and be knowledgeable about well-written and concise policies and procedures. The research community needs to be aware of the contents and location of these policies and procedures. Managers must articulate these policies and procedures as the basis for routine decisions and minimize exception to policy. Secondly, the old adage, "praise in public and scold in private," could be modified to say "praise the work of the support organization to the constituency and keep any admonitions as private as possible."

These two actions, emphasizes the support organization's contribution to the institution is consistent with the ethical and compliance standards that are embodied within the whole institution. If instead management minimizes the contribution of "support" they decentralize the compliance and ethical standards to individual departments, colleges, centers and/or PIs, thus allowing for various interpretations of what is acceptable compliance and ethical conduct.

VPR's Corner

Dear Colleagues:

I hope these words find you well.

On October 15, the University hosted an event on campus, colloquially called "Panama Day," to note the completion of the Summer Research and Study Abroad session held in June and July with our colleagues at CATHALAC in Panama. In total, 14 students from across UAHuntsville were able to spend eight weeks in Central America. While there, they lived in the homes of Panamanian families, and learned about the region, its people, the environment, and challenges the region faces in sustainability and climate change. University faculty, staff, parents, corporate representatives, and other stakeholders gathered to celebrate a job well done, and to look forward to future collaborations and activities. It was a fantastic day, and provided an exceptional window into the best of what a University has to offer.

For nearly all of those who had a chance to participate in the 2010 summer session, they are at a time in their lives where the future holds great possibilities. For all of us, but especially for those who are primarily students at this point, life is abundant with opportunity. And the 21st-Century world is an exciting canvas upon which to unfold a career and a life. For students - of all ages - the world is your oyster. But the world is also your classroom. It is your laboratory. And it is your teacher.

In grade school, high-school, and through much of our learning careers before entering a University, one's teacher is easy to identify. She's "Mrs. Weisenstein," or he's "Mr. Lewis." Through much of our lives, we rightly associate the word 'teacher' with a single individual. And while this is an accurate definition, in the context of University it is equally incomplete. Here, it is different.

Certainly your Chemistry professor can be "Dr. Smith," or your literature teacher "Dr. Jones." But teachers in a University environment are more than just individuals at the front of classrooms or in distance-learning videos. Teachers of University students are also the Embera; or the Kuna, two indigenous peoples of Panama.

The professors and teachers we see at the front of every class are critical to a quality education, and in many ways define the essential character of our University. We simply could not have a University without them, or their dedication to the profession. And as a University, the world's teachers, and their lessons, are equally important. But unlike those teachers we have here, and with whom we interact in class, the "teachers of the world" are primarily not here. They are "out there." To learn from them, to experience their lessons, and to see the world through their instructive lens, we must go.

We must go to places that we have not seen before. We must make the effort to seek out learning, in any and all places where it can be found, in addition to having it "delivered to us." We must have the courage to step out, in order to be able to say "I know of this place because I have been there," rather than only saying "I know of this place because I have read about it in a textbook, or seen photographs on the Internet, or heard about it on the radio." Like our 14 students from the summer of 2010, we must have the courage to go.

We are indeed the University of Alabama in Huntsville. However, our domain, the places to which our community is bonded, and the localities of things that matter to us in our daily lives far exceed any zip-code starting with the numbers 3-5-8. The world is so much bigger than the space bounded by the Tennessee River, the Tennessee State Line, I-65, and Jackson County. And we have so much to offer the world. As a University, we strive to build young minds to become not only productive and contributing citizens in our community, but also of the planet. To do this successfully, we must know the world we wish to serve. We must go.

Forty one years ago, our University contributed to the first humans leaving the planet for another body in the solar-system. With help from Huntsville, the American flag was planted on the Moon. Today we seek to 'plant our University flag' onto other parts of our world. We must go. And we must return.

Like the Apollo astronauts of the 1960's and 1970's, when we go, we will bring back remembrances of our travels and learning. For them - and for us - new knowledge of the places we have gone, photographs to document our visit, and other evidence of having been incarnate in another place. But upon returning, in addition to the evidence that "we were there," we also will bring back something else - a new and unique view of ourselves, impossible to attain in any other way than to "go."

VPR's Corner (continues)

Apollo gave us many things. But perhaps it gave us no single thing more important than the picture of the blue-marble Earth hanging alone in the blackness of space, and as the role-reversed object rising in the sky over the horizon of another celestial body. This view of ourselves, seen for the first time by human eyes on Apollo 8, may have been the most important part of the entire journey. It enabled us to see the planet, our species, and the fragility of life in a whole new way.

"Panama Day" showed that the same is true for our students and our University. Fourteen of our community have come back, not only with pictures, stories, and new friends. They see our world and their role in it with new eyes, and in completely new ways unimaginable just six months ago, prior to their departure. For having made the trip, they are transformed; and therefore, so are we all.

T. S. Eliot had it right. "And the end of all of our exploring, will be to arrive where we started, and know the place for the first time." But first, we must go.

John M. Horack, Ph.D.
Vice President for Research
John.Horack@uah.edu

Hotdog (Sarah) & Cheeseburger (Natalie)

College of Engineering
1st Annual Pumpkin Craving Contest
OSP 2010 Halloween Party

Pebbles (Brittany), Wilma (Delores), VPR (John),
and Betty (Denise)

In Case You Missed It!

RELEASE: 10-208, 2 September 2010: NASA SELECTS INVESTIGATIONS FOR FIRST MISSION TO ENCOUNTER THE SUN
WASHINGTON -- NASA has begun development of a mission to visit and study the sun closer than ever before. The unprecedented project, named Solar Probe Plus, is slated to launch no later than 2018. NASA invited researchers in 2009 to submit science proposals. Thirteen were reviewed by a panel of NASA and outside scientists. The total dollar amount for the **five selected** investigations is approximately $180 million for preliminary analysis, design, development and tests. The Joint Collaborative proposal : Solar Wind Electrons Alphas and Protons Investigation (SWEAP): principal investigator, Justin C. Kasper, Smithsonian Astrophysical Observatory in Cambridge, Mass; will specifically count the most abundant particles in the solar wind -- electrons, protons and helium ions -- and measure their properties. The investigation also is designed to catch some of the particles in a special cup for direct analysis. Members of the collaborative team are: Smithsonian Astrophysical Observatory (SAO) UAHuntsville, MIT, SSL-UC Berkeley, NASA/MSFC and Los Alamos National Laboratory. The press release and additional information about SWEAP is located at: http://www.nasa.gov/topics/solarsystem/sunearthsystem/main/solarprobeplus.html

Flappers: Kenya Cole, Felecia Troupe
Hot Dog : Sarah Porter

BEAM BOOSTER
"Dr. Richard Fork thinks focusing on laser propulsion could power up Huntsville's space community. Dr. Fork and his UAHuntsville team study high-powered, space-based lasers that could be used on asteroids and space debris." The article is available in The Huntsville R&D Report, Fall 2010, pages 22-25.

NATIONAL SOLAR OBSERVATORY RELOCATION EFFORT
UAHuntsville Leads "Team Huntsville" proposal to bring the National Solar Observatory Program to Alabama, with NASA/MSFC, Alabama A&M University, Team Redstone, SciQuest, the Chamber of Commerce, and numerous corporate partners. To read more about the National Solar Observatory Relocation Effort, go to: http://resadmin.uah.edu/resadminweb/researchannouncements.asp

UAHuntsville Contracts and Grants Accounting Information You Should Know!

OSP Norms

Purchasing Scientific Books on Sponsored Research Grants/Cooperative Agreements

The cost to purchase scientific books for sponsored research projects is included in the library cost pool which is a component of the facilities cost pool in our F&A cost proposal.

The purchase of books on sponsored research projects (excluding student grants, such as GRSP) are not allowed, (see OMB Circular A110: *Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations*) unless the book directly benefits the sponsored research and is not in the library.

The procurement of books must be included in the proposal, to include title and author, with a justification as to how the book(s) will benefit the sponsored research, and a certification from the library (on letterhead) that the book is not available in the library or the intra-library loan program. For additional information please contact Valarie King @ 2231 or email: valarie.king@uah.edu.

REIMBURSEMENTS OVER 60 DAYS

Effective 1 October 2010, all reimbursements that are submitted more than 60 days past the time of expense (i.e., travel reimbursement: 60 days after the completion of travel; miscellaneous vouchers: 60 days after the date of purchase) will be coded as follows:

7216—Travel over 60 days Taxable;
7633—Misc. Reimbursable over 60 days taxable ;

The reimbursement is considered taxable income to the traveler unless a reasonable justification for an exception is presented. Reimbursements charges to these account codes will be reported to Payroll Services on a quarterly basis and will be noted on W-2's as taxable income to the employee. Tax withholding will be made from a subsequent salary check. Federal tax regulations require that substantiation of reimbursable expense be made within a reasonable period. Under the IRS safe-harbor rule, that period is sixty (60) days. Please contact Mr. Robert Leonard, Controller at 2233 or Robert.Leonard@uah.edu.

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.

OSP 2010 Halloween Party: C&G Accounting "PRISON BREAK"

Left-Right Standing: Brendella Reddock, Anna Alindogan, Robert Leonard, Valarie King, Keamonnee Marcus, Carrie Rice; kneeling: Dee Brown and Ian Sweitzer

UAHuntsville

Office of Sponsored Programs Staff

Wishes Everyone

Happy Thanksgiving

TRAINING

Webinar: Office of Sponsored Programs: VBRH E8 (OSP Conference Room)

Prepare a More Competitive Major Research Instrumentation Grant Application for NSF • Dec 8th • 1:00PM CST
Featured Presenter: Karen Markin, Ph.D., is director of research development at the University of Rhode Island. She has served as a proposal reviewer for a variety of organizations, including NSF and the U.S. Department of Education. This webinar is designed to make sure you understand the unique aspects of NSF's complex MRI application and be able to adhere and respond competitively. A Glimpse of the Agenda:• How to address the "Broader Impacts" criterion to boost chances of grant approval • Secrets from successful applicants on handling specific challenges, including "shared use" and the "management plan" • Gain expertise in the special documentation section required for MRI grant submissions • Learn the proven methodologies to set your project apart and have it rise to the top tier of all submissions.
Institutions are limited to three (3) proposals, one development and two acquisition. The UAHuntsville Internal Notice of Intent is available on the OSP Website http://resadmin.uah.edu/resadminweb/# Click on the UAHuntsville Internal Notice of Intent link.

How To Become a Better Mentor To Your Post Docs • Dec 10 • 12:00 Noon CST
Featured Presenter: Thomas Landefeld, Ph.D. is a Professor and Pre-Health Advisor at California State University-Dominguez Hills. In addition, he is the director for the Undergraduate Student Training in Academic Research (U STAR) and Bridges to the Baccalaureate Degree Programs, both NIH-funded student minority research programs. Related to these responsibilities, he has serves as a President of both the MARC/MBRS and Bridges to the Future Program Director's Organizations (PDO). Come prepared to explore how you can take action to expand your impact and wisdom by making mentoring an easier, more enjoyable and ultimately rewarding experience to cultivate more effective and mutually beneficial relationships.   Essential webinar for all principal investigators who find themselves involved in mentoring postdocs, either through choice or necessity! Describing all of the expectations, responsibilities and rewards involved in mentoring students; Dr. Landefeld provides advice and proven strategies for: • What to expect as a mentor and what your mentee expects of you! • Using appropriate language with your mentee • Time management: How to be accessible • Tips to be a keen observer • What to do when things go wrong!

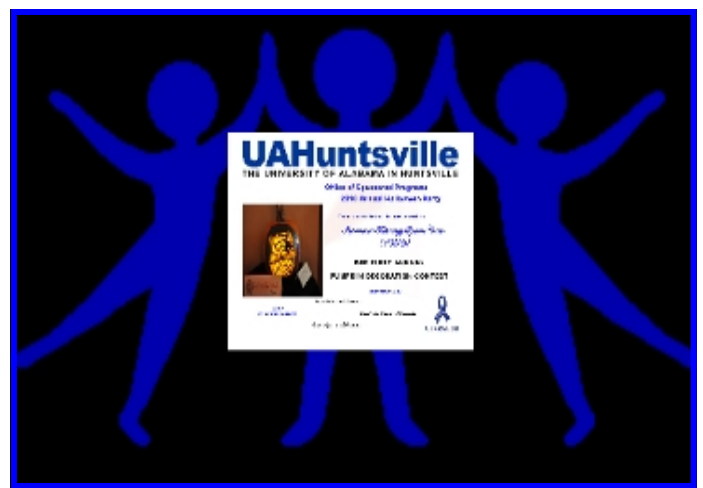Seating is limited, please RSVP to Susan Phelan @ susan.phelan@uah.edu or 3747. Feel free to bring your lunch.

OSP 2010 Halloween Party Planners:
Barbara Czura, Mirael Davis & Susan Phelan

The Office of Sponsored Programs 2010 Halloween Party

1st Annual Pumpkin Carving Contest Winners!

1st Place Winner
College of Nursing

2nd Place Winner
Information Technology & Systems Center

We (OSP) would like to thank the Centers and Colleges for taking the time to participate in our 1st Annual Pumpkin Carving Contest (more winners on last page). We look forward to next year!

COMING IN 2011

"CHEW N' CHAT" The Office of Sponsored Programs will host a series of discussion groups in the new year for faculty and research staff writing proposals. The "Chat N' Chew" sessions will be a forum for individuals to share information and resources on a wide range of subjects related to proposal development, best practices, lessons learned and resources for preparing and revising proposals. Topics will include:

- Identifying External Project Evaluators

- New NSF Requirements for 2011

- Developing a Mentoring Program

- Strengthening Proposal Components

  ○ Intellectual Merit ○ Broader Impacts ○ Data Management Plan

- Research.Gov

Lunch will be provided. Look for more information and a schedule of sessions starting in January 2011. Send additional topics for discussion to Susan Phelan at susan.phelan@uah.edu .

FUNDING OPPORTUNITIES—Short Suspense

U.S. Department of Homeland Security (DHS) Scholarship Program

The ORAU University Partnerships Office is pleased to provide the information below regarding a program available to all institutions. This notice is a service to ORAU Sponsoring and Associate Institutions. Supporting students interested in pursuing the basic science and technology innovations that can be applied to the security mission of DHS.

Undergraduate students **U.S. citizenship required** **Funding available for fall 2011** **Full tuition and monthly stipends**

Includes 10-week summer internships at federal research facilities or DHS Centers of Excellence

Application Deadline: January 5, 2011 Complete information is available online at http://www.orau.gov/dhsed/

Questions regarding the DHS Scholarship Program can be sent via e-mail to dhsed@orau.org.

ONR Summer Faculty Research Program (SFRP)

Applications for the 2011 Office of Naval Research Summer Faculty Research Program closes in 3 weeks!!!

The Office of Naval Research (ONR) sponsors the Summer Faculty Research Program (SFRP) for U.S. citizens who hold teaching or research appointments at U.S. colleges and universities. The application deadline for the 2011 Summer Faculty Research Program is DECEMBER 6, 2010.

Please visit the program's website, http://onr.asee.org/ for more information and to access the online application. If you have further questions please email t.donovan@asee.org.

NASA EPSCoR Seed Grant Program 2011: URGENT ACTION REQUIRED!!!

NASA Seed Grant call for proposals is open. You are requested to send a letter of intent to propose, consisting only of: the proposal title, a <200 word abstract, area of technical specialty, and your name, contacts, and affiliation. Letter of Intent should be sent by **COB November 26th, 2010** to gregoryj@uah.edu, and to Teresa Shurtz at shurtzt@uah.edu. These letters do not commit you to propose and do not require institutional approval, though you are advised to send copies to your Office of Sponsored Program administration.

The opportunity is very similar to previous competitions. There is a very short turn-around. These are small awards, requiring match, and short (6 page) proposals. The opportunity is restricted as before to those in an early stage of their academic careers (see AO for details).

Proposals must be received by **COB December 17, 2010**. These must be formal submissions with institutional signatures in accordance with the AO. A copy of the AO is posted on the OSP Website.

UAHuntsville
THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

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FY2010 Sponsored Research Snapshot	Number	Value
Proposals	871	$272,692,644
Awards	1577	$102,141,545
Expenditures		$83,051,387
ICR		$15,542,882
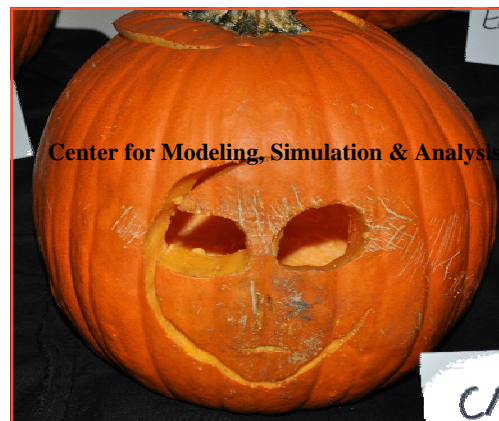
Center for Modeling, Simulation & Analysis

3rd Place Winner
College of Science

Best Represent Unit
Center for Space Plasma & Aeronomic Research

Most Original
Propulsion Research Center

Most Traditional
Center for Applies Optics

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.