The University of Alabama in Huntsville
Office of Sponsored Programs
Pre and Post Award Desk Guide & Procedure Manual

Responsible University Official:
Director, Office of Sponsored Programs
Responsible Offices:
Office of Sponsored Programs and
Revised Date: September 2013
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Administrator Pre-Award Manual – Part I

I. Proposal Development Responsibilities:

A. Principal Investigator (PI) Roles and Responsibilities

1) The PI should notify the appropriate C&G Coordinator (CGC) or Contract Administrator (CA) as soon as they decide to submit a proposal. The PI should provide the CGC or CA with a copy of the solicitation, website, agency, and title (if applicable). It is the responsibility of the PI to read the solicitation as well as agency guidelines, if applicable.

2) The PI will provide the CA/CGC with information needed to develop a preliminary budget, the proposal title (if known), and any other additional information required to prepare the preliminary budget. If proposing foreign nationals, PI must obtain VISA information from the Office of International Engagement, prior to proposal submission.

3) The PI must obtain all letters of support, budgets, and applicable Statement of Works from the collaborator/subcontractor. The PI must also provide OSP with quotes for all equipment proposed, and an itemized list of materials and supplies in excess of $5,000. Please note, computers and/or laptops are not allowable as direct cost in accordance with OMB Circular A21, Section J, General Provisions for Selected Items of Cost; unless it will be integrated into a piece of equipment (the equipment (system) must be named and the PI must provide a justification explaining the integrations) or a justification is provided in accordance with UAH Cost policy: http://www.uah.edu/images/administrative/finance/contracts-grants/costpolicy.pdf

4) If cost share is required, the PI is responsible for securing all cost share prior to proposal budget development. The PI will inform the CA/CGC who will be responsible for all cost share committed.

5) Cost sharing or any special approvals (e.g. tuition, release time, waiving F&A, use of account code to fabricate equipment w/o F&A) requires the approval of several individuals, please coordinate these approvals in advance. Proposal will not be submitted by OSP without these approvals, if applicable. Please refer to the VP for Research policy on cost share if requesting cost share from VP for Research or requesting cost share of F&A at: http://www.uah.edu/research/resadmin/information/compliance/cost_sharesponsor ed.htm

6) If your research involves either human subjects or animals, you must obtain written institutional approval prior to the proposal being submitted through OSP. For additional information see:

a. Human Subjects:
http://www.uah.edu/research/resadmin/information/compliance/human
subjects.html
b. Animal Care:
http://www.uah.edu/research/resadmin/information/compliance/IACUC.htm

7) If your research involves hazardous or accountable materials, use of lasers, radiation and/or recombinant DNA, etc., this information must be disclosed during the signature routing/approval stage of the proposal on the Electronic Internal Coordination Sheet (ICS). See Figure I-1: Safety and Protection.

Note: If any of the boxes other than human subjects and/or animal use are checked, PI must complete and provide a copy of the Office of Environmental Health and Safety (OEHS) Project Registration Form to both OSP and OEHS PRIOR TO OFFICE OF SPONSORED PROGRAMS PROCESSING THE AWARD. Failure to disclose this information and/or complete the OEHS form will result in the award being placed on hold until completed. It is the responsibility of the PI to comply with all UAH policies on Environmental Health and Safety in the lab.

![Internal Coordination for Proposal 2012-867](image)

8) If the proposal is to be submitted electronically (PI may need to register) through National Science Foundation (NSF), Grants.gov, or NSPIRES (for
proposals to NASA). The PI is responsible for reading and following agency guidelines as well as the following:

a. NSF: The PI is responsible for completing and uploading all required forms with exception of the budget page. This includes the budget justification. Once all information has been uploaded into NSF FastLane, the PI will notify the appropriate CGC or CA. The PI must give OSP access to the proposal for electronic signature/submission.

b. NSPIRES: The PI is responsible for uploading all applicable data, including the cover page (which includes the budget). OSP cannot access the proposal for submission until the PI locks the proposal for submission. Once the proposal has been locked it must be unlocked in order to make corrections/additions.

c. GRANTS.GOV: (For proposals submitted to NIH or DOE.) The PI is responsible for downloading the application and uploading all required data. This viewer is compatible with both Windows and Macintosh. Once all documents are final in the application, the PI is to email it to the appropriate CGC or CA.

9) After review of proposal to ensure compliance with agency requirements and/or solicitation, the proposal will be released for review/approval via the Electronic ICS process.

10) Electronic approval is required for all involved in the proposal process and within the PI, Co-I, and/or Key Personnel chain.

11) The Provost must sign (if PI is faculty) if any of the following are proposed: (a) Cost share of academic time in excess of 20%; (b) Course/curriculum development; and/or (c) cost share committed by Provost. The Vice President for Research (VPR) must sign if any cost share commitment by VPR to include the waiver/reduction of Facilities and Administrative (F&A) Rate. See Figure I-2: Internal Coordination Routing Signature Page

12) The PI should be familiar with the Electronic approval systems. The User Guide is located on OSP’s website, and offers step-by-step instructions. See http://resadmin.uah.edu/resadminweb/information/ResearchInvestigatorPortalUserGuide.pdf
B. Contract and Grant Coordinators (CGC) and Contract Administrators (CA) Roles and Responsibilities

1) Contract and Grant Coordinators (CGC) are assigned to the colleges. The Colleges of Liberal Arts, Nursing, and Business Administration share a coordinator. CA is assigned to both a college and center(s).

2) Either the CGC or CA works with the PI to establish a budget and assist them with the proposal preparation, to include, but not limited to; obtaining quotes, letters of commitment, current and pending, and any other applicable documents required for the proposal; excluding writing/editing the technical portion of the proposal, in accordance with OMB Circular A21, UAH Cost Policy and agency guidelines. A draft budget will be submitted to the PI via email not later than 3 working days from date of receipt of budget information. PI must propose as a minimum 1% effort on all proposals unless otherwise noted in the solicitation/agency guidelines.

3) The preliminary budget will be reviewed by a Senior Administrator prior to release to the PI for review/approval/changes. After approval of the budget and all applicable documents are uploaded in the agency website or received by OSP, the Electronic ICS (See Figure I-2) is released.
4) The CGC/CA will provide the PI with a current and pending report if requested for review, to ensure the report is up-to-date. A Current and Pending Report is required by many funding agencies as part of the proposal submission process. These reports list all active accounts on which an investigator is listed as either the Principle Investigator or as a Co-investigator. As with the active accounts, only those proposals that list the investigator as the Principal Investigator or as a Co-investigator are included. See Figure I-3: Current and Pending

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**Current and Pending Support for Dr. Michael Anderson**

<table>
<thead>
<tr>
<th>Task Order</th>
<th>Description</th>
<th>Funding Source</th>
<th>Amount</th>
<th>Begin Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>53 09/10/10</td>
<td>Student Funding to Attend TRE Conference</td>
<td>UTCA</td>
<td>$19,240</td>
<td>10/1/2010</td>
<td>2/2/2011</td>
</tr>
<tr>
<td>11 01/11</td>
<td>S/ALDOT/Prototype Program for ALDOT Certified DSBE</td>
<td>ALDOT</td>
<td>$373,592</td>
<td>11/1/2010</td>
<td>10/1/2011</td>
</tr>
<tr>
<td>01 01/11</td>
<td>ALA Public Transportation: Strategic Vision</td>
<td>UTCA</td>
<td>$25,000</td>
<td>1/1/2011</td>
<td>12/31/2011</td>
</tr>
<tr>
<td>11-0191</td>
<td>S/ALDOT/Transportation Modeling Support for the MFS's Within Alabama</td>
<td>DOT</td>
<td>$60,000</td>
<td>10/1/2010</td>
<td>1/1/2012</td>
</tr>
</tbody>
</table>

**Pending Support**

<table>
<thead>
<tr>
<th>Task Order</th>
<th>Description</th>
<th>Funding Source</th>
<th>Amount</th>
<th>Begin Date</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>07/11</td>
<td>Analysis of Rural Public Transit in Alabama</td>
<td>UTCA</td>
<td>$26,910</td>
<td>12/26/2011</td>
<td>12 mo.</td>
</tr>
</tbody>
</table>

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*Figure I-3: Current and Pending*
5) A current and pending report can be produced by the PI in the Investigator Research Portal under the Forms and Certifications Screen. However, a PI cannot add a particular proposal number to the report, only the CGC or CA can do this. See Figure I-4: Investigator Research Portal.

6) Once the draft budget has been approved, the PI must send all final documents to the Coordinator/CA before the Electronic Internal Coordination Sheet may be released. All documents will be saved on the OSP Server in appropriately labeled folders for each proposal.

7) Changes in the budget in excess of 10% (this excludes cost share) to the budget once the proposal is submitted will require a second routing/approval. Any changes in cost share regardless of the amount will require a second routing/approval.

8) OSP will prepare all applicable certifications and representations required by the funding agency.

9) Once the VPR and Director, Office of Sponsored Programs review/sign off on the proposal, the proposal will be submitted by the OSP administrator.
10) Submission of proposal:
   a. OSP will make all necessary copies. If color diagrams are included in the proposal, please notify the CA/CGC. OSP has a high quality color printer.
   b. Electronic submission will be done by OSP.
   c. Paper copies will be sent via Federal Express. Overnight delivery will be at the expense of the PI, unless approved and funded by the Director, OSP or VP for Research.

11) Once the proposal has been submitted, a complete copy of the proposal to include electronic notification of receipt and a copy of the Federal Express shipping document (if applicable) will be provided to the PI for his/her files.

12) With increasingly complex proposal guidelines and submission procedures, inadequate lead-time may result in OSP submitting a proposal conditionally for reasons that include:
   a. Incomplete budget review to assure accuracy and compliance with UAH Cost Policy, OMB Circular A21, or;
   b. Incomplete review of sponsor’s announcement and/or solicitation requirements, or;
   c. In very rare instances, a conditional proposal may be withdrawn if the University is unable to correct budgetary errors, or to comply with cost sharing or other conditions identified in the announcement and/or solicitation.

13) All sponsored research proposals will be submitted by OSP. The VP for Research and Director of OSP are the University’s Board of Trustees appointed representatives authorized to sign proposals and grant applications, and submit them on behalf of the University. Deans, department chairs, center directors, and PIs are NOT authorized to sign nor submit proposals on behalf of the University.

II. Five (5) Working Days Proposal Submission Policy

   A. A “Ready to Submit” proposal is due in OSP for review/submission five (5) working days prior to the due date of the proposal (excluding the agency due date). “Ready to Submit,” includes a finalized budget, technical, and other supporting documents requested by the agency. (Please keep in mind that finalizing a proposal can take up to several days, please plan accordingly).

   B. OSP cannot guarantee a proposal received less than five (5) working days will be submitted prior to the agency deadline; or will be compliant if submitted.

   C. If the PI does not adhere to the five (5) days policy, it is at the discretion of the OSP Director to submit, unless the agency sent a Request for Proposal (RFP) with a deadline prohibiting the PI to adhere to the five (5) days policy. At this point, the “Ready to Submit” proposal will be processed as soon as possible and circulated in a RED folder marked “URGENT.”
III. The Proposal Development Process

A. Understanding the Solicitation.
   Once the PI notifies the CGC or CA of their intent to submit a proposal in response to a particular solicitation, the CGC and CA must review the solicitation thoroughly. Highlight and/or mark any information that is important to the proposal development, agency requirements, and submission. Some of the topics to look for include:

   1) Release Date: The release date tells when the agency released the solicitation to the general public. Pay close attention to this date.

   2) Deadline/Target Date: This is the date and time the proposal is due to the agency. Proposals submitted after the date and time specified will be rejected. Play special attention to time and time zone. Alabama is C.S.T. Overlooking the time zone can result in proposal not being submitted due to administrative error.

   3) Period of Performance: Some solicitations state a requested start date or how long they will fund the research for (period of performance). UAH period of performance is based on Fiscal Year (Oct – Sept) and months. You may also be required to further break down your cost by phases. For example Phase 1 is four (4) months; Phase 2 is twelve (12) months, etc. It is important to understand the budget structure, prior to developing the budget.

   4) Funding Amount/Limitation: Some agencies will include a funding limitation or not-to-exceed amount for the project year and/or total cost.

   5) Proposal Content: Outlines of contents are a common characteristic of solicitations. They will include the required documents, sections, and page limits (if applicable).

   6) Proposal Guidelines: This portion usually clarifies the not-to-exceed page limits, margins, fonts, format, and where to upload certain documents. Also pay attention to instructions on the title of documents. Something as simple as a title can result in a proposal being rejected.

   7) Point of Contact: This is the person you will contact if you have questions about the proposal requirements. If you and the PI do not agree on what is being asked, contact the Contracts Specialist for further clarification. Best approach if time permits is to do so in writing, copying the PI.

   8) Award Notification: Highlight these dates. Often you will find a PI will contact you a few months later asking you to follow up. Check these dates to remind them when to expect notification per the solicitation.
9) The agency solicitation is the guidelines we follow. However, if the solicitation is silent, then we comply with OMB Circular A-21 and UAH policies. If unsure, please verify with your supervisor or senior personnel.

B. Creating a Budget:

1) Checklist of Questions a Budget Request Information Form is saved in the General Folder for your use and the PI use to assist with the budget development. Send a copy of the form to the PI for completion. By using this form, it will reduce communication errors, as well as provide a working document for the administrator. See Figure III-1: Proposal Budget Request Form.
Proposal Budget Request Form

1. Agency and solicitation number (if applicable) or provide link or pdf:

2. Agency Due date: ________________ (remember due to OSP 3 business days prior to agency due date)

3. Title: ________________________________________________________________

4. Thrust area: __________________________________________________________

5. Fiscally Responsible Department:
   a. Affiliated department (if fiscally responsible is center or multiple academic):

6. Budget start date and length of POP: ________________________________

7. PI: ________________________________________________________________
   a. Approximate time during academic months:
   b. Approximate time during summer months:

8. Co-I(s):
   a. Approximate time during academic months:
   b. Approximate time during summer months:

9. GRA’s:
   a. Number of students: __________________________
   b. Stipend amount: __________________________

10. Undergrad students (rate, hours, total amount for undergrads)
    a. Number of students: __________________________
    b. Rate: __________________________
    c. Hours: __________________________
    d. Total amount: __________________________

11. Operating costs
    a. Materials and Supplies (if over $5k need breakdown of items):
    b. Travel
       i. Destination (if in state, give mileage):
       ii. Length of trip:
       iii. Number of travelers:
       iv. Registration costs:
    c. Publication costs:
    d. Subcontract/Consultant (will need budget and commitment letter from them as well)
       i. Name:
       ii. Amount:
    e. Other (please specify)

12. Equipment
    a. Item and amount: __________________________
       (Quote is required)

13. Overhead Type: [ ] Research [ ] Instruction [ ] Other [ ] IPA

14. Research location: [ ] On campus [ ] Off campus (specify miles from UAH):

Figure III-1: Proposal Budget Request Form
2) Type of Budget: We develop two budget types: Percent of Effort (grants); Loaded Rates (Contracts – Federal Prime); and Leave Loaded Rates (Subcontracts- Commercial Prime). Note: all proposals submitted to a company will be Leave Loaded Hourly (fully burdened) Rates.

a. Percent of Effort Budget: The university effort for all personnel (excluding hourly/on-call) is based on percentage of 100% effort for a two week pay period. The PI will identify what percent of effort to allocate for each person proposed. See Figure III-2: Budget Template (Percent of Effort).

(1) Salary is escalated at the beginning of the fiscal year (Oct 1) in accordance with the approved escalation rate.

(2) When developing a budget where the PI is faculty, remember the following:

<table>
<thead>
<tr>
<th>1 Week</th>
<th>.25 month</th>
</tr>
</thead>
<tbody>
<tr>
<td>Spring Semester</td>
<td>4.25 months (January through first week of May)</td>
</tr>
<tr>
<td>Summer Semester</td>
<td>3.50 months (2nd week in May through 3rd week in August)</td>
</tr>
<tr>
<td>Fall Semester</td>
<td>4.25 months (3rd week in August through December)</td>
</tr>
</tbody>
</table>

![Figure III-2: Budget Template (Percent of Effort)](image-url)
b. Leave Loaded Hourly Rate Budget: To calculate an individual’s LLHR we multiply PI’s salary by current fringe rate by applicable F&A rate then divide that by their Production Work Hours (PWH) or Direct Work Hours (DWH).

c. The chart below provides the PWH/DWH. This is based on how many years of employment and status (exempt or non-exempt).

d. The work year is based on 2080 hours.

e. All employees accrue 72 hours sick leave, 24 hours personal leave, and 112 hours of holiday leave per year. The difference in annual leave earned is determined by how long an employee has worked at the university and whether that individual is in an exempt or non-exempt status.

f. Once the hourly rate is calculated, the number of hours proposed will be multiplied by this rate.

g. The difference between a Loaded Rate (LR) and Leave Loaded Rate (LLHR) is PWH used as the divisor. The Loaded Rate uses 2080 hours as the divisor, indicating all paid absences are an allowable direct charge to the contract. Whereas the Leave Loaded Rate uses the applicable hours in the DWH column of Figure III-3: Production Work Hours below, which includes paid absences in the fully burdened rate. These hours are not an allowable direct charge to the contract.
3) Budget Revision (Before an Award is Made): If a proposal has been submitted and the agency notifies OSP that they are requesting a modification to the budget, you WILL revise the current proposal budget instead of creating a new one. Simply add the letter R at the end of the proposal number on the budget, for example: 2012-867R. Once the budget is approved, log into the proposal database, update the proposal number as well as the remaining modified fields. Note: No additional steps need to be taken if less than 20% of original proposed amount. If it’s more than 20%, refer to Page 9 Section D., Subsection A. of this Internal Manual.

4) Budgets for Graduate Research Assistants (GRA) Only: PI’s are required to charge a minimum of 1% of their time for all research awards with the exception of Graduate Research Assistant Fellowship Grants. Fellowship grants are funding solely for the GRA, however, the agency requires a PI be listed as their advisor. No funding is allowed for them, but they are listed as PI because GRA’s cannot be listed as a Principal Investigator. You will see these fellowship grants in such programs as GSRP or GRFP. The solicitation will clearly state this requirement.

5) Salary: Minimum Requirement: The PI should propose a minimum of 1% effort to the project. Please note that the proposal should reflect the actual effort required to manage the project. A PI as defined by OMB Circular and most if not all federal sponsors is key to the project and must therefore proposed effort, whether direct funded or cost shared. UAH requires a minimum of 1% effort for all PIs, Co-Is, and Key Personnel. This is significantly less than the required effort of other research universities.

   a) To find a person’s salary, log into our database and click on the Proposal Menu Tab on the left corner of your screen. Underneath Special Proposal Actions there is an icon called Investigator Salary Information. See Figure III-4 Proposal Menu Tab

![Figure III-4: Proposal Menu Tab](image-url)
b) Locate individual name in pull down menu. Salary will display as illustrated below in Figure III-5: Investigator Salary Information.

![Figure III-5 Investigator Salary Information](image)

**Figure III-5 Investigator Salary Information**


c) Salary Charging Restrictions:

1) Unless otherwise approved, faculty can only charge 20% of their effort during the academic (nine month) year on research without an approved course buy out. The faculty member charge 100% effort during the summer months.

2) Nine (9) month faculty cannot cost share salary during the summer.
6) Merit raise escalation of Salaries: The University's merit raise escalation takes effect on October 1st of each year. For the purposes of cost estimation, the approved merit raise escalation rate will be used for subsequent years. Students do not receive merit raises.

a) To Be Determined (TBD) hires are considered to be a current employee who has not been determined yet. This type of designations assumes a standard raise escalation.

b) To Be Hired (TBH) employees are considered to be new-hires coming into the University. They are not eligible for raises if hired after May of the beginning year so the budget would not include an escalation for them if the budget period begins after June 1.

c) Graduate Research Assistants can receive escalation on the third year. This escalation will promote GRA to the next promotional level. Increase in level is based on GRA standing in the program.

7) Mercer System: The Mercer System is a list of research labor categories and salary ranges for various positions used on sponsored research. A current copy of the Mercer Salary Ranges is located in the General Folder under Rates. The document includes the job title, minimum/maximum annual year salary ranges, and the minimum job requirements.

8) Graduate Research Assistants (GRA): GRAs have several appointment levels based on academic milestones. The salary range of the GRA is determined by the department within the ranges and level established by the Dean of Graduate Studies. A copy of the GRA Stipend Letter is saved in the General Folder under Rates Letter.

a) GRA’s can either be part-time (50%) or full-time (100%).

b) A GRA usually is not allowed to work in excess of 20 hours per week. This is equivalent to 100% effort.

c) GRAs receive tuition and health insurance as a fringe benefit and these costs must be considered when developing the budget. Applicable tuition and health insurance rates are located on the GRA Stipend Letter.

9) Undergraduate Research Assistants: Undergraduate Research Assistants are paid an hourly rate based on position type and class standing and years in position. Rates for undergraduate students are located in the General Folder under the Rates Letters. Undergraduate students do not receive tuition or health insurance, unless otherwise directed by funding agency. Undergraduates cannot exceed 1040 hours per year. PI Effort waived on Budget: The minimum 1% effort required by the PI can be waived if there are no GRA’s or other students on the budget. The PI is not considered to be supervising anyone, therefore, this is allowed.
10) Fringe Benefit Rates: Employee fringe benefits are calculated on all faculty and staff salaries or wage. This rate is established each fiscal year by Finance and Budget. The current Fringe Benefit Rate Memo is saved in the General folder.

11) Operating Costs: This cost category includes such items as materials and supplies, travel, subcontracts, publications, machine shop time, etc. The cost estimate should always have some basis for the amount proposed, such as subcontractor’s cost, quotes from vendors, travel estimates, etc.
   a) Materials/Supplies: requires backup documentation/breakdown any time they exceed $5,000.
   b) Travel: A breakdown is always required. Only travel information for the first year is required (remaining years can be escalated). The PI at a minimum must provide the destination, number of travelers, and number of nights/trip. Breakdown should include as a minimum:
      • Location
      • Mode of transportation
      • Number of travelers per # of trips
      • Rental car
      • Registration fees (if applicable)
      • Per Diem rates as per the GSA Schedule:

Notes:

(1) All foreign travel, whether it is state/research/personal travel, must contact Research Security. Travelers will have to sit through briefing before/after training.

(2) Rental Car: If PI drives own car or university vehicle, then only mileage is calculated. Usually for close destinations/states. If PI drives rented car, go to expedia.com for rates. Daily rates include mileage (do not show car rental and mileage). All persons traveling must share one rental car.

12) Equipment: In accordance with OMB Circular A-21, Section J.18, an article of nonexpendable, tangible property having a useful life of more than one year, can stand alone, has a value of $5,000 or more, and must receive prior approval from the funding agency. If possible, proposed equipment needs a written price quote or copy of a catalogue price. The equipment requirement should be clearly documented in the budget justification of the proposal. Any item that may seem to be equipment but does not meet this threshold goes under Operating. Also, the following comment should appear at the bottom of the budget along with other comments saying “There is no F/A on Equipment”.

13) Parts to Fabricate Equipment: If the Vice President for Research provides written approval, these items—parts for fabrication of a defined piece of equipment—can be
proposed with no F&A costs. In order to do this, the PI must send the Contract Administrator a justification as to why these are considered fabrication. The Administrator will create two budgets, one with F/A on the fabricated items and one budget without. They will send the justification and two budgets to the VPR and request approval. The CA will then relay the results back to the PI.

14) Consultants/Subcontracts: Consultants are individuals who will perform work on the contract. Subcontracts are issued to other institutions or businesses. Overhead is only charged on the first $25K of each consultant or subcontract award.

(a) Consultants need the following information:
   1) Vita
   2) Scope of work
   3) Detailed budget (like ours)

(b) Subcontracts need the following information:
   1) Vita for Key Personnel
   2) Scope of work
   3) Detailed budget (like ours)
   4) Commitment Letter from their home organization.

(15) Software/Computer Purchases: According to the UAH Cost Policy and OMB Circular A-21, computers are unallowable unless they are considered scientific or project specific. To purchase a computer, in accordance with OMB Circular A21 and the University’s Cost Policy, the request must answer yes and provided sufficient justification to the following three questions:

(a). Question #1: Was the software/computer was proposed?
(b) Question #2: Is funding available?
(c) Question #2: Is the software/computer is program specific/scientific?

Software/computer should not be proposed, if it’s not program specific and justified. The PI must provide adequate justification for proposing these items. You should ask the PI for a justification, which can be in a simple email, stating the following:

(a) Please review the attached policy, in particular section 3.1. If your request is consistent with the requirements noted in this section, please submit an email to me explaining how the purchase of a computer of a federal sponsored research contract is an allowable direct charge. We will accept your justification if the conditions in 3.1 are met and approve your requisition. Thanks for your help.

http://resadmin.uah.edu/resadminweb/information/compliance/costpol.pdf

(b) Once you receive a quote, justifications (requisition, if applicable) bring all documents to IT Specialist John Rogers who will review the documents and determine if the item is program specific. If it is still considered unallowable, the PI may purchase the item from their PI or department state account.

(16) Facilities & Administrative (F&A) Costs Overhead Costs: The Principal Investigator should let the Contract Administrator know if the effort will be performed on-campus or off-campus at a site provided by the funding agency. This will determine the
correct F&A Cost rate. The off-campus rate does not include the "facilities" component because the funding agency is providing the facilities so UAH is not incurring that cost. Standard overhead rate for UAHuntsville is 48% unless negotiated otherwise. See UAH's Financial Data Sheet for summary of overhead rates, Figure III-6: FY13-16 Financial Data Sheet.

The University of Alabama in Huntsville
FINANCIAL DATA SHEET

1. Prior Summary
The cost estimate presents applicable pricing information based on the standard format adopted by the University, and is consistent with our current cost accounting standards. UAH’s fiscal year begins October 1; the academe year begins around the third week of August. Salaries are associated effective October 1 each year.

2. Cost Substantiation
a. Salaries:
Proposed salaries are quoted based on salaries, unless otherwise noted on the proposal budget; and non-student salaries are increased by 4% each fiscal year to cover anticipated rises. These increases are MERIT, not cost-of-living raises. Percentage of time is estimated. Salaries are verified through the established payroll system and after the fact verification of chloroform. (for those listed on the proposal budget). Note that a full time graduate assistant appointment is the equivalent of a 50% full time employee.

b. Fringe benefits:
Pension contributions are made to various retirement plans, and are included in salaries. Benefits are charged as a direct expense on negotiations in the facilities and administrative cost rate. Fringe benefits are charged as a direct expense. They include: Social Security, Medicare, Disability Insurance, and Federal Unemployment. An estimated fringe benefit rate of 34% is usually proposed for non-student employees. Graduate Research Assistants receive tuition assistance as a fringe benefit and are charged accordingly. This rate is based on the academic year as specified in the contract. Each individual's actual fringe benefit charge is reported.

c. Travel:
Reimbursement of travel will be in accordance with the University of Alabama travel regulations. Expenses for off-site travel are to be paid on the basis of actual, reasonable, and necessary expenses. Expenses for travel by air or train basic transportation costs will be reimbursed on the basis of actual costs for common carrier and at the approved rate per mile for automobiles.

d. Facilities and administrative cost rate:
The University negotiates the pre-award rate for facilities and administrative cost rate with the Department of Health and Human Services. The negotiated facilities and administrative cost rates for FY13-FY16 (10/1/12-9/30/16) follow:

<table>
<thead>
<tr>
<th>On Campus</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>Off Campus</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research</td>
<td>48.0%</td>
<td>48.0%</td>
<td>48.0%</td>
<td>48.0%</td>
<td>Research**</td>
<td>27.5%</td>
<td>27.5%</td>
<td>27.5%</td>
<td>27.5%</td>
</tr>
<tr>
<td>Instruction</td>
<td>48%</td>
<td>50%</td>
<td>50%</td>
<td>50%</td>
<td>Instruction</td>
<td>28%</td>
<td>28%</td>
<td>28%</td>
<td>28%</td>
</tr>
<tr>
<td>Other Sponsored Activities</td>
<td>41%</td>
<td>34%</td>
<td>34%</td>
<td>34%</td>
<td>Other Sponsored Activities</td>
<td>28%</td>
<td>28%</td>
<td>28%</td>
<td>28%</td>
</tr>
<tr>
<td>F&amp;A</td>
<td>10%</td>
<td>10%</td>
<td>10%</td>
<td>10%</td>
<td>F&amp;A</td>
<td>10%</td>
<td>10%</td>
<td>10%</td>
<td>10%</td>
</tr>
</tbody>
</table>

These rates are based on Modified Total Direct Costs (MTDC). Equipment, capital expenditures, charges for patient care and tuition remission, dental costs, scholarships, and fellowships as well as the portion of each contract and subaward in excess of $25,000 shall be excluded from modified total direct costs. **Off-campus Research rate will be 26% if access to 20 miles from UAH Campus.**

3. Government Agency Contacts:
   Administrative Contracting Officer
   Office of Naval Research, 1215 Jefferson Davis Hwy, Suite 1004, Box 2368, Arlington, VA 22209
   Att: Cynthia Brown, (202) 606-1613
   Naval Science & Grants Office, (202) 606-1613

   Fiscal and Business Office, (202) 606-1613

4. Awards:
   Resulting contracts or grants should be forwarded to:
   Office of Sponsored Programs, VERR Suite E12
   Huntsville, AL 35899
   Phone: (256) 824-6000, Fax: (256) 824-6877

   5. Additional Information:
   CAS Disclosure Statement: Pooled with AUI/US, Jan 2006
   Darryl Mayes, Director
   Division of Cost Allocation
   DHRH/OA Deputy of the Inspector General
   Unit Independence Ave, Room 106 Oakes Building
   Washington, DC 2001"
(a) Overhead rate(s) are only reduced from actual negotiated rate when and only when the agency solicitation limits the rate. Reduction of overhead rate for reason(s) other that agency limitation must be approved by the Vice President for Research (see additional process below).

(b) Any deviation from the standard rate should be noted at the bottom of the budget with an * and a comment like: *Agency limit on F&A is XX%.

(c) How F&A is determined: F&A Costs are calculated as an established percent of specific direct costs. This cost covers the facilities and administrative services necessary to support the research effort but which " … cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other [sponsored] activity" (OMB Circular A-21). This cost includes such items as depreciation on equipment and buildings, operations and maintenance, general administration, departmental administration, sponsored projects administration and a portion of library costs. The rate is negotiated periodically with the Department of Health and Human Services.

(d) What does not incur F&A: According to OMB Circular A-21 and the UAH Cost Policy, equipment, capital equipment, patient care, tuition, building renovations, rental costs for non-University owned space, scholarships/fellowships, Subawards in excess of $25K do not receive F&A.

(e) The administrative rate is currently capped at 26% so the difference would be the facilities, i.e., if a rate is 46% you could normally ascertain 26% is administrative and 20% would be facilities.

(f) UAH have an off campus rate of 26.5% for off campus research conducted within 50 miles or less of campus. The .5% is an allowance for access to our campus Library.

(g) Special Circumstances: the following items should normally be treated as F&A cost except when the particular cost item can be justified as an exceptional need or special circumstance. Examples of these are as follows: office supplies postage administrative and clerical salaries local telephone charges general purpose equipment.

(h) F&A Rate Proposal: Approved vs. Restricted/Reduced: On 5/11/11, a procedure was established when Administrators are dealing with restricted/reduced F&A:
   - 3 cases where f/a is waived:
     - GSRP awards
     - Equipment grants
     - Participant support awards
   - Effective 3/21/12, Provide a copy of the cost share approval request to the Sr. Budget Manager (Judy Conine) for tracking of all VPR F&A cost share.
   - Indirect Request Approval Budget Form: Effective September 12, 2012, the Indirect (F&A) Cost Rate Exception Request/Approval Form, (Figure III-7) will be used when the PI is requesting waived or reduced indirect cost on the proposal budget. This should be done at the proposal stage.
o If the agency caps the F&A, VPR does not need to approve. This includes if the solicitation states you can voluntary make up the difference. Unless actual money is being lost, VPR does not need to approve.

o Provide the VPR with appropriate backup documents explaining any F&A rate restrictions/reductions. Effective immediately, in the Miscellaneous Folder, save all F&A forms. If there are restrictions/reductions, also provide a copy of the solicitation, and/or any backup documents with the F&A restrictions, with applicable page marked or annotated. This will give The Vice President for Research or the Assoc. Vice President for Research a better understanding of differing rates.

o The form is saved in the General Folder. The two page document will contain one page explaining when you will need to use the form and request approval along with directions. The second page is the form. The Contract Administrator is to fill out the form, sign, and send to the Director, OSP. Once the VPR review and makes a decision, the form will be returned to the administrator.

(17) Cost Share: In some instances, a funding agency requires the proposer to bear part of the cost of the project. The funding agency solicitation should be carefully reviewed to ensure that the cost sharing restrictions are accommodated.

(a) All cost sharing commitments must have written documentation. Cost sharing commitments must be administered in compliance with the Cost Sharing and Matching Costs on Sponsored Programs Policy: http://www.osp.uah.edu/2012-04-18-19-26-34/post-award/cost-sharing-policy-and-procedure

(b) Mandatory/Volunteer Cost Share: Mandatory Cost Sharing is cost sharing contractually required by the sponsoring agency. Voluntary Cost Sharing is cost sharing provided by the University in excess of mandatory cost sharing requirements. Mandatory cost share includes: non-federal funds, such as state funding, F&A, In-kind and third party cash.
## Indirect (F&A) Cost Rate Exception Request/Approval

Note: F&A Rate Exception Request/Approval is required for each new proposal (excluding continuation).

<table>
<thead>
<tr>
<th>Waiver Number</th>
<th>Date Received</th>
<th>Reviewed By</th>
</tr>
</thead>
</table>

* If waiver number will be added by OVPR if approved.

### Requester Information

<table>
<thead>
<tr>
<th>Department/Center</th>
<th>Office Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>PI Name</td>
<td>E-mail:</td>
</tr>
<tr>
<td>Proposal Number (REQUIRED)</td>
<td>Telephone:</td>
</tr>
<tr>
<td>Solicitation Number</td>
<td>Agency:</td>
</tr>
<tr>
<td>Solicitation Title</td>
<td>Proposal Title</td>
</tr>
</tbody>
</table>

### Exception Type:

- **Required for Sponsor Policy Exception:**
  1. Copy of sponsor policy with this request;
  2. URL Link to published policy, if available;
  3. Program name and solicitation number

- **REQUIRED for OVPR Policy Exception:**
  1. Justification for reduction/waiver;
  2. OSP Administrator must sign this request.

### Exception Calculations

<table>
<thead>
<tr>
<th>Period of Performance</th>
<th>MM/DD/YYYY to MM/DD/YYYY</th>
<th>On Campus</th>
<th>Off Campus</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rate</td>
<td>Direct Cost $0.00</td>
<td>Recovery Amount $0.00</td>
<td></td>
</tr>
<tr>
<td>Applicable Rate $0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td></td>
</tr>
<tr>
<td>Exception/Sponsor Rate $0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td></td>
</tr>
</tbody>
</table>

**Estimated Loss $0.00**

### “Other” Direct Costs Description:

1. Applicable Rate refers to UAHuntville F&A Rate Agreement. Applicable rate may vary from UAHuntville approved rates if they are different.
2. If request is based on an already approved exception, provide a detailed section titled “Other” Direct Costs Description.
3. Direct Costs and Recovery Amount are based on the full amount of the entire project period of performance.

### Approvals

All signatures are required for requesting indirect cost rate exceptions.

<table>
<thead>
<tr>
<th>Office of Sponsored Programs Administrator (signature indicates completion of exception calculations – only)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>VP for Research</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature:</td>
</tr>
</tbody>
</table>

### Notes:

1. It is the policy of the University to propose and charge its full negotiated F&A rate on all sponsored projects.
2. Send completed form along with required back up documentation (in a single PDF file) to grinerr@uah.edu.
3. Policy regarding indirect cost rate exception is located on the OSP Website under Researcher Resources.
4. VPR decision will be sent via email to PI and Director, OSP.

OVRP/OSP Form 2012-001
IV. Required Areas

A. Thrust Areas: All proposals must have a Thrust Areas identified. The PI must choose from the list of approved thrust areas, See Figure IV-1: Sponsored Research Thrust Areas. The Thrust Areas are the same as those identified by the National Science Foundation (NSF). Effective 5/1/12, thrust areas are as follows:

<table>
<thead>
<tr>
<th>Thrust Areas</th>
</tr>
</thead>
<tbody>
<tr>
<td>1000 Biomedical Engineering (including Biomedical, Neurosurgery, and space technology)</td>
</tr>
<tr>
<td>1100 Biological Sciences (including Plant, Animal, Microbiology, and Marine Biology)</td>
</tr>
<tr>
<td>1300 Chemical Engineering (including Chemical, Biochemical, and Geological Sciences)</td>
</tr>
<tr>
<td>1500 Civil Engineering (including Construction, Transportation, and Geotechnical Engineering)</td>
</tr>
<tr>
<td>1600 Computer Sciences (including computer science, computer systems, and information science)</td>
</tr>
<tr>
<td>1700 Engineering (including Aerospace, Aeronautical, and Systems Engineering)</td>
</tr>
<tr>
<td>1800 Engineering (including Electrical, Electronic, and Computer Engineering)</td>
</tr>
<tr>
<td>1900 Environmental Sciences (including Environmental, Agricultural, and Biochemical Engineering)</td>
</tr>
<tr>
<td>2000 Geosciences (including Geology, Geophysics, and Meteorology)</td>
</tr>
<tr>
<td>2100 Humanities (including English, Language, and Literature)</td>
</tr>
<tr>
<td>2200 Mathematics (including Mathematical, Computational, and Applied Mathematics)</td>
</tr>
<tr>
<td>2300 Physical Sciences (including Physics, Chemistry, and Astronomy)</td>
</tr>
<tr>
<td>2400 Social Sciences (including Economics, Sociology, and Political Science)</td>
</tr>
</tbody>
</table>

Figure IV-1: Sponsored Research Thrust Areas
B. Affiliations: All research conducted is affiliated with a particular discipline (Science, Engineering, Business, etc.) The affiliation cannot be with a center. However, if the PI is with a center, the affiliation must be with a particular college department as noted in Figure IV-2: Department Affiliation, below. The PI is responsible for identifying which discipline the research is affiliated with. The research can be affiliated with multiple disciplines; however, it can only have one Thrust Area.

<table>
<thead>
<tr>
<th>General Information</th>
<th>Departmental Affiliations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Competitive Bid Proposal</td>
<td>Mechanical and Electrical</td>
</tr>
<tr>
<td>Graduate Student Participation</td>
<td></td>
</tr>
<tr>
<td>New Curriculum</td>
<td></td>
</tr>
<tr>
<td>Peer Reviewed</td>
<td></td>
</tr>
<tr>
<td>Recovery Act Funds (ARRA)</td>
<td></td>
</tr>
<tr>
<td>SBIR/STTR Proposal</td>
<td></td>
</tr>
</tbody>
</table>

*Figure IV-2: Department Affiliation*

C. Certifications/Training.
(1) Training: All UAH personnel charging to sponsored research accounts must complete the following training:
   - (a) Responsible Conduct of Research (Introduction) On-line
   - (b) Responsible Conduct of Research (RCR) 8 hours (6 hours face-to-face and 2 hours on line)
   - (c) Export Control (on-line)
   - (d) NIH Financial Conflict of Interest (Applicable only to NIH and NSF proposals)
   - (e) Whistleblower Certification. Mandatory for Contracts when DFAR Clause 252.203-7002, is included in the contract (i.e., Delivery Order Contracts)

(2) All personnel charging to a federally sponsored research project are required to complete both RCR and Export Control Training as a minimum, in order to submit a proposal. Export Control renewal is required every two years from date of initial training. The Export Control renewal is completed on line. RCR does not have a renewal date; just as long as it’s completed they are ok to submit.
(3) Training Verification:

(a) Log into the database and click on the proposal icon on the left portion of your screen. Under “Special Proposal Actions,” click on the Principal Investigator Certifications, See Figure IV-3: Proposal Menu

(b) Select the individual name from the pull down menu, and all training completed will display in the Principal Investigator Certifications window, see Figure IV-4: Principal Investigator Certifications
V. **Responsible Conduct of Research (RCR)**

A. Responsible Conduct of Research (RCR) training is an Office of Research Integrity (ORI) requirement for institutions receiving federal research funding. The National Science Foundation and National Institute of Health are the first federal agencies to require institutions to provide proof of training, by having the AOR certify that a program is in place and training is being conducted. For additional information see [http://ori.dhhs.gov/documents/rcrintro.pdf](http://ori.dhhs.gov/documents/rcrintro.pdf) see pages 12-14.

   (1) Regardless of the funding agency, RCR training applies to everyone charging to a federally sponsored research contract or grant, and related cost share account. The purpose of RCR training is to ensure everyone understands research ethics. Undergraduate students charging to a federally funded research contract or grant, or related cost share account are only required to complete the Introduction to RCR on-line training.

   (2) The minimal RCR training required is a total of eight (8) hours, of which 6 hours must be face-to-face and 2 hours web-based. Individuals teaching certain courses identified by the Deans of each college and approved by the Provost and Vice President for Research can satisfy up to 6 hours of face-to-face training. A list of these courses is located on the OSP Website under the Training Tab at [http://www.uah.edu/osp/training/responsible-conduct-of-research-online-training](http://www.uah.edu/osp/training/responsible-conduct-of-research-online-training).

   (3) Effective March 10, 2013 anyone not RCR certified will not be able to serve as a PI or Co-I, and/or listed as key on any proposal without a certified RCR Face-to-Face Completion Plan on file, see *Figure V-1: RCR Face-to-Face Training Completion Plan*
RCR Face-to-Face Training Completion Plan

1. The undersigned hereby acknowledges that I have not completed the required number of face-to-face Federally-mandated Responsible Conduct of Research (RCR) training, and that I will complete the required RCR face-to-face training when next offered in Click here to enter text.

2. I acknowledge that I have completed the minimum of 2 hours required online training, including the mandatory "RCR Training To Facilitate The Ethical Conduct Of Research" (0.5hr)
http://osp.uah.edu/training/responsible_conduct_of_research_online_training

3. I acknowledge that I will review the Office of Research Integrity online resources related to RCR provided below:
http://ori.hhs.gov/research-misconduct-0
http://ori.hhs.gov/data-management-0
http://ori.hhs.gov/mentorship-0
http://ori.hhs.gov/collaborative-science-0
http://ori.hhs.gov/conflicts-interest-and-commitment

Signature: ___________________________ Date: ___________________________

UAH Employee Name: Click here to enter text. UAH Employee Email: Click here to enter text.

Department/Center: Click here to enter text.
Position: Click here to enter text.

To date, Dr. XXXXXX has completed the following federally mandated required training:

(Administrator to fill in)
Click here to enter text.
Click here to enter text.
Click here to enter text.
Click here to enter text.
Click here to enter text.

OSP-RCR2012-01 Rev 1 sjp 11 September 2013

Figure V-1: RCR Face-to-Face Training Completion Plan
B. Export Control Certification: Export Control Training is available on-line. Link for Export Control Certification is http://resadmin.uah.edu/RSA/exportcontroltraining.asp. Once the certification is complete, an email is sent to Research Security with the name, department, A# and date of training. This information is added to the Training database by Research Security for tracking. If you do not see the certification and the PI says he completed it, check with Research Security.

C. Whistleblowers Certification: The University is required to notify all personnel charging to a federally sponsored contract including DFAR 252.203-7002 about the Whistleblower Rights and Protections. This will include anyone (faculty, staff, and student) working on a contract which includes DFAR 252.203-7002: Whistleblower Protection for Contractor Employees. See Figure V-2: Whistleblower Protection for Contractor Employees. The form will be included with all new awards. A copy of the form is saved in the Common Folder, under Federal Forms.

(1) This will become a standard form with all awards including this clause either by reference or in full-text. In addition, it will be noted on the Document Approval Sheet (DAS) that this award must comply with DFAR 252.203-7002: Whistleblower Protection for Contractor Employees, with a due date not later than 48 hours after submission of the latest BLLR for anyone that has not already completed the form. If an individual is discovered to be charging to an applicable contract/account and a copy of the form is not on file in OSP, the PI will be sent an email requesting the completed form within 24 hours of notification. The notification will state the following: “A review of payroll charges for org number XXXXXX indicates Mr/Ms/Dr/ John Smith has charged labor to this contract and has not completed the required attached Notice of Whistleblower Rights and Protections Form. Please forward the completed form to me not later than 24 hours (add date) from the date of this email. Please note, failure to comply with this requirement will result in the applicable account being frozen until full compliance is met.”

(2) Copies of the Whistleblower Certifications will be provided to the Contract Assistant for input in the database. A hardcopy of the form is placed in a binder located in the assistant office labeled “DFAR 252.203-7002 Compliance.” This is a one-time only requirement.
Notice of Whistleblower Rights and Protections
Under the National Defense Authorization Act
and Employee Acknowledgement of Receipt of this Notice

The 2008 and 2009 versions of the National Defense Authorization Act (10 U.S.C. Section 2409) (NDAA) provides protections for employees of Federal contractors who make specific disclosures about waste or mismanagement, dangers to public health or safety, or violations of law relating to a Department of Defense contract.

Who is protected?
Employees of Federal contractors and ‘contractors’ include any person or entity awarded a contract with a “covered agency”, which includes:

- Department of Defense
- The Army, Navy, Air Force or Coast Guard
- National Aeronautics and Space Administration (NASA)

What are people who report fraud protected from?
Being discharged, demoted, or otherwise discriminated against as a reprisal for making a protected disclosure.

What kinds of disclosures are protected?
To be protected, the disclosure must be made by the employee to one of the following:

- A member of Congress
- A representative of a committee of Congress
- An Inspector General that receives funding from or has oversight over contracts awarded for or on behalf of the Department of Defense
- The Government Accountability Office
- A Department of Defense employee responsible for contract oversight or management, or
- An authorized official of an agency or the Department of Justice

8.31.2011
What must the disclosure include?

The disclosure must include information that the employee reasonably believes is evidence of:

- Gross mismanagement of a Department of Defense contract or grant
- Gross waste of Department of Defense funds
- A substantial and specific danger to public health or safety
- A violation of law related to a Department of Defense contract (including the competition for or negotiation of a contract)

How do I report a whistleblower reprisal complaint?

An employee who believes that he or she has been subject to reprisal in violation of the NDAAA may file a complaint with the Inspector General of the agency who awarded the contract or the Inspector General of the Department of Defense.

**Employee Acknowledgement of Receipt of Notice of Whistleblower Rights and Protections**

The undersigned employee of Federal contractor, the University of Alabama in Huntsville, hereby acknowledges receipt of this Notice of Whistleblower Rights and Protections in accordance with DFAR 252.203-7002.

---

Employee Printed Name

A#

Employee Signature

Center/Department

Date

8.31.2011

*Figure V-2: Whistleblower Protection for Contractor Employees-Page 2*
VI: Proposal Submission

I. How to Create a New Proposal

A. Obtaining a New Proposal Number
   (1) In the OSP database, look on the left column of your screen and click on the “Proposal Menu” icon. This will take you to the Proposal Menu. Underneath the Proposal Modifications section, you are going to click on the “Enter a New Proposal.”

   (2) When you click on “Enter a New Proposal,” you will be taken to a new screen with three drop down boxes. This information is required prior to obtaining a proposal number. Once this information is completed, click “Next.”
(3) A new proposal number will generate and appear. Click on that number to complete the General Proposal Information as follows:

![General Proposal Information Form](image)

**Figure VI-C: OSP ERA General Proposal Information – Page 1**

OSP Pre-Award Administrator Manual 9/2013
The following information will need to be filled out:

A. Title: Name of the Project
B. Sub Agency: Who are you submitting to?
C. Principal Investigator: Who is leading the project at UAH.
D. Thrust: Area of Research Category.
E. Contract Administrator: Who from OSP is submitting proposal.
F. Amount: Total funding amount requested.
G. Period of Performance (Months): How many months is the project period.
H. Fiscally Resp.Unit: What department the PI is going through to submit.
I. Due Date: Deadline in which proposal must be submitted.
J. Indirect Rates: Please fill out the rate and amount in the table. Be sure to include any comments if they pertain to F&A restrictions/regulations. On the right side of the table are additional columns called unrestricted rate/amount. Please fill out this section showing what the F&A should have been. When F&A is zero: Please remember to fill out the comment section describing why rate is at zero.
K. Department Affiliations: If submitting through a center, there must be another department affiliation named.
L. Health/Safety: If check Yes, then a new box will appear with the following categories”

Health/Safety: If the project contacts any of the following this box must be checked and the category also selected:
   a. Human Subjects
   b. Highly Toxic Chemicals
   c. Pressurized Gases
   d. Microbial Agent/Products
   e. Lasers
   f. Radioisotopes or X-ray generating equipment
   g. Cerinogenic/mutagenic/teratogenic chemicals
   h. Human blood, body fluid, tissue
   i. Recombinant DNA or RNA molecules
   j. Animal Subjects
   k. Toxins or Toxin Products
   l. Explosives/propellants
   m. Cell or tissue culture
   n. Selected agents.

M. Special Circumstance Project: Special Purposes or Circumstances where direct charging of costs normally treated as indirect costs may be appropriate charging costs normally treated as indirect as a direct charge to a sponsored project may be approved for projects that involve the following special purpose or circumstance:
   a. 00-No
   b. 01- Commercial (Internal Funds)
   c. 02-Foundation/Non-Profit Agency
   d. 03-State (Appropriated Funds)
   e. 04- Training Grant
   f. 05- Planning Grant
   g. 06- Geographically Inaccessible Project
h. 07- Conference/Seminar for Large Number
i. 08- Large, Complex Program (EPSCOR, Multi-Alliance, or Management)
j. 09- Excessive Data Accumulation
k. 10- Production of Manuals, Books, or Visual Aids
l. 11- Project Specific Database Management, Human/Animal Protocol
m. 12- Other Sponsored Activities (Public Service, Etc)
n. 13- Other (Justify)
o. 20- Multiple

N. Responding To: In this section you will put what solicitation the PI is applying to or if it’s a Request for Proposal from an agency.

O. Did you receive the ready to submit proposal from the PI less than 3 working days prior to the submission date?:
   a. OSP has to be consistent as a department. Always check this in the database.
   b. A ready to submit proposal is due in OSP five (5) working days prior to due date to the sponsoring agency for all competitive solicitations. Proposals received less than the required five working days run the risk of not being submitted in compliance with the agency requirements. For example: A proposal deadline of Friday, September 27 will require a ready to submit proposal in OSP not later than Friday, September 20, 5:00PM CST. Note, in some instances the five working days rule may not apply, and the proposal will be processed in order to meet funding agency short deadline.

P. Proposal Co-Principal Investigators: Add all Co-I’s involved in the project.

Q. Proposal Collaborators: Add any subcontracts or consultants that are collaborating with the PI on this specific project. Once you click “add” another area will open to add additional collaborators.

R. Cross Organizational: Select yes if the proposal that you are submitting to involves several organizations or departments at UAH that collaborating together on the proposal. For example, a Professor from the College of Science, Engineering, and CAO are all included on the proposal budget.

S. Converted: This will automatically change to yes when the proposal is converted to a contract.

T. Competitive Bid: Select yes if the proposal that you are submitting to is a Sealed or Competitive Bid.

U. Cost Sharing: Select yes if there is cost share on your proposal.

V. Graduate Student Proposed: Select yes if there is a GRA on your proposal.

W. New Curriculum: Select yes if the proposal could create a new class or curriculum at the university.

X. NSSTC Proposal: Select yes if the proposal that you are submitting to is through the National Space Science and Technology Center.

Y. Peer Review: Select yes if the proposal that you are submitting to is expected to be reviewed by fellow peers. This is usually specified in the solicitation. Usually if its competitive, it will have peer review.

Z. Recovery Act Funds (ARRA): Select yes if the proposal that you are submitting to is awarded funding from the Recovery Act or ARRA. This is usually specified in the solicitation.
A1. SBIR/STTR: Select “Yes” if the proposal is in response to either a Small Business Innovation Research Proposal (SBIR) or a Small Business Technology Transfer (STTR) Proposal. Remember to include SBIR or STTR and the Phase in the title.

(4) Once the above referenced fields are all filled out, click “update” on the top right corner of your screen. When you do this the “Date Submitted” icon will change from “Not Ready” to a new open field. You will fill in this field with the date that you submit the proposal. Also a “Display ICR Allocation” link will appear underneath the indirect rate table.

(5) Once the “Display ICR Allocation” link appears, click on the link, this will generate an Allocation of Rights graph/document which shows how the F&A will be distributed. Save a copy of this form in the Miscellaneous Folder. Print a copy for your files.

(6) If you selected “Yes” in your Cost Share, you will have to insert the cost share committed in the proposal database. You do this by selecting “Next” at the top right corner of the database. This will take you to the Proposal Cost Sharing Screen. There are two sections associated with Cost Sharing. You will start by clicking the “Add Cost Share” link.
(7) After you click the “Add Cost Share” blue link, it will take you to this page.
You will need to complete the following five (5) areas:

**A.** At the top of the Proposals Cost Sharing screen you will see a “Required Cost Share” box, please click if the solicitation states that Cost Sharing is Mandatory. If it is not, please do not click the box.

**B.** Next, select the cost share type: Cash, F&A, in-kind, other, or F&A Agency Cap.

**C.** Next, type in the value or total amount committed.

**D.** Next, you will either select one responsible party that is going to cover this cost share: UAH or an External Agency. If it’s a UAH Department, in the Responsible UAH Cost Share Party you will select what department has committed to cover that cost share. If it’s coming from an External Agency, select the organization in this drop down box.

**E.** Provide any information that will assist others in understanding what you have done and why.

See completed screen below.

A. At the top of the Proposals Cost Sharing screen you will see a “Required Cost Share” box, please click if the solicitation states that Cost Sharing is Mandatory. If it is not, please do not click the box.

B. Next, select the cost share type: Cash, F&A, in-kind, other, or F&A Agency Cap.

C. Next, type in the value or total amount committed.

D. Next, you will either select one responsible party that is going to cover this cost share: UAH or an External Agency. If it’s a UAH Department, in the Responsible UAH Cost Share Party you will select what department has committed to cover that cost share. If it’s coming from an External Agency, select the organization in this drop down box.

E. Provide any information that will assist others in understanding what you have done and why.

See completed screen below.
(8) Once all the fields are correctly filled out, click the “Done” button on the top right corner of your screen.
(9) To add a new entry for each cost share commitment made by the department and/or center, repeat steps above to enter in the cost share. Once you finish click done.

Proposals Cost Sharing

<> designates Required Cost Sharing

UAH Cost Share

President, Vice Presidents and Provost

<> VP for Research F&A $592.00 Edit Delete

Colleges and Centers

<> CAO Cash $1,234.00 Edit Delete

External Cost Share

No Cost Sharing Provided by External Sources!

Figure VI-I: OSP ERA Proposal Cost Sharing Page 5
VII. Proposal Routing

I. Internal Approvals
   A. Releasing Proposal for Signature: Once you have filled out the proposal information in the database, receive a “ready to submit” proposal and have all required documents saved in the Proposal database and a hard copy for the proposal folder you are now ready to release the ICS.

   B. On the top right corner of the screen, click the middle link “Electronic ICS Distribution” and it will take you to the “Internal Coordination Routing Screen.”

   ![Internal Coordination Sheet](image)

   **Figure VII-1: Preparing Internal Coordination Sheet**
C. On the Internal Coordination Routing Screen you will see a time interval, the proposal number in which you are working on, the different tiers of signatures required, and the “Create Distribution Button”.

D. Indicate how long you would like the time intervals between notifications to be. If you are releasing a proposal with a same day deadline, two (2) hours is the best choice. Otherwise 3-4 hours intervals are best.

E. The routing system utilizes email as its notification mechanism. An email messages is generated to inform the investigators and reviewers/approvers that the proposal has been released for approval and requires their attention. The approval notification message is sent to all reviewers/approvers included in the current approval tier at the time the tier is released for approval. A tier is released for review and approval when the previous tier is complete. The initial tier (Level 1) notifications are sent out by the system when the Contract Administrator releases the proposal for routing.

F. After you have selected the time interval, press the “Create Dist List”. This list will take the information included in the proposal screen and generate a distribution list that must sign. Take your time to review this list and make sure that it is correct.

---

**Figure VII-2: Setting Time Interval and Creating Distribution List**
A. If the distribution list is correct, then click the “Release ICS” button at the bottom of the screen. This will begin the investigator approval process.

B. If a tier level has not been reviewed and approved within a specified time period an additional email notification is sent out to the individuals identified as reviewers/approvers for the units within the tier level that have not approved the ICS. No reminder is sent to those individuals that have approved the ICS. On second and subsequent reminders, the Principle Investigator and Contract Administrator are also notified. The time period allowed for review and approval is set by the system to a default value; however, it is a customizable quantity that may be adjusted by the Contract Administrator. All tier levels share the same review/approve time setting. If the Contract Administrator changes the review/approval time for the proposal, all tier levels have that modified time window for review and approval before the reminder notifications are sent.

C. In the event that an investigator, department chairman, dean, or center director is unavailable for approval, and no other designated party is available to approve on their behalf, the Contract Administrator assigned to the proposal has override approval authority. The override approval is NOT meant to be used except in this type of situation. If the Provost or Vice President for Research is unavailable, Director of the Office of Sponsored Programs, Associate Director of the Office of Sponsored Programs, and Research Budget Director have override approval authority. If an override is performed, the system records that the required approval was received and the routing continues. The overriding party is recorded
as the approver and shows up on the approval tab as a red signature stamp instead of the green signature stamp that is associated with a non-override approval.

D. If you are signing for someone, create a memo and save it to the Miscellaneous Folder in the database including the reason why you are signing for the particular person. Then if the person is PI or Co-I they will need to sign a hard copy of the Internal Coordination Sheet and return it to OSP as soon as they can. Here is an example of the memo to include:

![Memorandum]

**Memorandum**

**TO:** Vice President of Research and Office of Sponsored Programs  
**FROM:** Barbara Sumner  
**Contract Administrator II, Office of Sponsored Programs**  
**SUBJECT:** Approvals for Electronic ICS  
**DATE:** September 13, 2012

Proposal 2012-734 has a deadline of today. In order to submit within the requirement, I have approved for Dr. Patrick Reardon, Director of CAO, due to him being out of town for the holidays. We have tried to reach him via email and phone, but were unsuccessful, Dr. Robert Lindquist has informed me of his whereabouts and has asked for me to approve for him. OSP has sent him a hard copy of the ICS and requested he fill out the information, sign, and return it to me at his earliest convenience. Please let me know if you have any questions.

Thanks.

**Figure VII-4: ICS Signature Authorization Memo**
E. If the Principal Investigator is having difficulty going through the electronic ICS process, feel free to send the PI or any other people needing to sign the link to the Investigator Research Portal guide. This gives the PI step by step instructions on the ERA system. The link to the Investigator Research Portal guide is: http://resadmin.uah.edu/resadminweb/information/ResearchInvestigatorPortalUserGuide.pdf

F. Also remember on the Internal Coordination Routing screen, the PI's name is a green link. If you click on that link it will take you into the portal giving you the screens that the PI would see. This might help answer a question quickly. If you are having difficulty with any portion of the database—whether it is adding a PI's name to our system, adding an agency, or finding out why a glitch occurred, contact the IT specialist at 256-824-2648 in Room VBRH E-11.

G. Red Folder: For those proposals that require immediate submission due to late notification, (agency) a paper copy of the entire proposal will be place in a RED FOLDER, and this folder will be routed to the OSP Reviewer, VPR if applicable and the Director, OSP for approvals. If the late notification is the PI error, proposal will not be placed in a RED FOLDER. Inform the PI that there is no guarantee the proposal will be submitted, and if submitted, there is no guarantee the proposal will be in compliant with solicitation requirements. Remember, if you start the proposal process with less than five (5) working days to submit, you will finish the process and ensure it complies and is submitted on time. The Contract Administrator will be sure to communicate that the proposal is due today, however, does not meet the requirements to be placed in a RED folder.

H. If the proposal is in a RED folder, this is considered a RUSHED Proposal. The RED folder tells the person signing to stop whatever they are doing and put that proposal at the top of their priority. The VPR will even be interrupted in meetings to sign these.

II. Submitting the Proposal

A. Once you have gathered all signatures, notify the Principal Investigator that you have gathered all required signatures and are requesting final approval to submit their proposal. Once you receive approval, submit the proposal. If you receive a confirmation email of the submission, please be sure to forward those documents to the PI. Be sure to print a final copy of the submitted proposal for the proposal folder. Then update the General Proposal Information page’s “Date Submitted” section with the date that you submitted the proposal.
B. Once the submit date is entered and the update button is clicked the “Proposal Status will change to “Pending.”

III. Finishing up the Process

A. Place proposal folder in the “Make Folder” pile in student work area.

B. Filing Proposals: Each Administrator should have a Proposal Filing Cabinet in their office. These cabinets will hold all pending proposals.
   i. If you receive notification from a PI or agency that a proposal is DENIED, print out that notification as a backup document and update the General
Proposal Information Page from “Pending” to “Denied”. Put the backup document inside the folder and give it to the students to file.

ii. Administrators will keep “Pending” Proposals for 2 years then will update the database saying the proposal is “Expired”.

iii. Denied/Withdrawn/Expired Proposals are taken down the hall and stored for another 2 years.

iv. Awarded proposals will be converted in accordance with Post Award Procedures.

IV. Updating the ERA Proposal Folders (Database)

A. Budget Folder:
   1. OSP Approved Final Budget
   2. Breakdowns included of Travel and M&S over $5K
   3. Equipment Quotes
   4. Subcontract/Consultant Budget
   5. Financial Data Sheet

B. Technical Folder
   1. Final Statement of Work
   2. Final Technical

C. Miscellaneous Folder
   1. Indirect Cost Recovery (ICR) Sheet generated from the proposal main screen.
   2. Internal Coordination Sheet (ICS) generated from the main screen
   3. Copy of signed electronic ICS
   4. Cover Letter with AOR signature
   5. Solicitation/RFP/RFA/RFQ
   6. RCR/Export Control verification document
   7. Subcontractor/Consultant SOW/Commitment Letter/Budget, if applicable
   8. Current and Pending Report (if applicable)
   9. All correspondence related to the proposal preparation.

V. Hard Proposal Folder: (in order of top document to bottom)

A. Outside cover of folder: ICR, ICS
B. Inside left: Budget, Salary information, travel information, Quotes, Subcontract/Consultant Budgets, Financial Data Sheet, Solicitation/RFP/RFA/RFQ, applicable correspondence (Emails, etc.)
C. Inside Right: Signed Cover Letter, statement of work, subcontract/consultant documents, etc.
Terms and Conditions

VI. UAH Exceptions to Certain Terms and Conditions

A. In rare instances, terms and conditions will be included with the solicitation (most commonly with Federal solicitations). If this is the case, there are terms and conditions we may not accept, because we are a state funded institution of higher education and therefore is prohibited by state law from doing so. Here are those terms and conditions that we are prohibited from accepting and the appropriate language to use when preparing your exception letter:

1. **Indemnity:** “Request deletion of this clause in its entirety. UAH is an entity of the State of Alabama and therefore is prohibited by law from entering into contract containing indemnification or hold-harmless clauses as per Section 14, Article 1 of the Constitution of the State of Alabama of 1901, states “that the State of Alabama shall never be made a defendant in any court of law or equity.” However, UAH will accept the substitution of the following pertaining to Indemnify: “All indemnification requirements shall be provided in accordance with the laws of the State of Alabama, and shall be to the maximum extent allowable thereby. In the event of a conflict or dispute regarding these indemnification provisions, the laws of the State of Alabama shall govern”.”

2. **Warranty:** “Delete this paragraph in its entirety. UAH will perform in accordance with the standards of care, skill, and diligence consistent with (i) recognized and sound research and development practices, procedures, and techniques; (ii) all applicable laws and regulations; (iii) the specifications, documents, and procedures applicable to the resulting contractual agreement; and (iv) the degree of knowledge, skill, and judgment normally exercised by professional firms with respect to service/effort of a similar nature.”

3. **Inspection and Rejection:** We request deletion of this clause. Having no profit base, UAH can’t support “warranties” or “guarantees” which require reworks at University expense. At the same time, we recognize the Buyers’ desire for the careful and skilled handling of its research or development effort. We therefore, suggest substituting this clause with the following: “UAH does not maintain a formal quality control/quality assurance system, UAH will perform in accordance with the standards of care, skill, and diligence consistent with (i) recognized and sound research and development practices, procedures, and techniques; (ii) all applicable laws and regulations; (iii) the specifications, documents, and procedures applicable to the resulting contractual agreement; and (iv) the degree of knowledge, skill, and judgment normally exercised by professional firms with respect to service/effort of a similar nature.”

4. **Intellectual Property:** “UAH brings technical and scientific expertise to the project and cannot agree to complete release of its intellectual property rights. The following clause is a suggested substitution: All intellectual property rights in data, information, inventions, or discoveries whether or not patentable, generated under this agreement which are made solely by an employee or agency of {funding agency} under
this sponsored project shall be owned by {funding agency}. All intellectual property rights in data, information, inventions, or discoveries, whether or not patentable, generated under this agreement which are made solely by an employee or agent of UAH under this sponsored project shall be owned by UAH. Intellectual property rights in data, information, inventions, or discoveries, whether or not patentable, generated under this agreement which are made jointly by an employee or agent of {funding agency} and employee or agent of UAH under this agreement shall be jointly owned by {funding agency} and UAH. In the event of a joint patentable invention, {funding agency} and UAH agree to cooperate in the preparation and execution of documents necessary to affect such patent filing.”

5. **Exclusivity:** “Delete this clause in its entirety. As a state funded institution of higher education, UAH cannot enter into agreement/contract that has an exclusivity clause written into it. However, UAH will agree to appoint an exclusive Principal Investigator to this research effort.”

6. **Payment of Fees:** “Delete this paragraph in its entirety. UAH is a not-for-profit state funded institution of higher education and therefore is unable to pay Program Management Facilitation Fee (PMFF) or any fee to do business on sponsored projects. Our cost on any award is actual cost without profit, fees, etc.”

**B.** All terms and conditions, after your initial review will be forwarded to, UAH’s Legal and Office of Technology and Commercialization for review of the documents. This is accomplished as follows: Go to “My Computer,” then “Proposals Folder,” and then “the Legal Folder.” Save a copy of the document in the folder which have your name attached to it. Send an email to both Legal and OTC notifying them that a document is pending their review. Comments will be annotated in the document via track changes by Legal and/or OTC. You will be notified via email once the review is completed. Retrieve the edited document you’re your Legal Review Folder and save in the Proposal “Miscellaneous Document Folder.”

**C.** Upon receipt and review of the exceptions, prepare an exception letter to accompany your proposal letter. This letter will be saved with the annotated terms and conditions in the “Miscellaneous Document Folder.” NOTE: It’s very important to NOT forward the edited document you receive from OTC and/or Legal to the agency. You MUST type an exception letter with the changes you are requesting.
July 20, 2012

Teledyne Brown Engineering, Inc.
Attn: Harry A. Chaffee
Vice President, Contracts
300 Sparkman Drive
Huntsville, AL 35805
1.256.726.1241
Harry.Chaffee@tbe.com

Subject: Basic Ordering Agreement

Dear Mr. Chaffee:

The UAHuntsville is pleased to respond to the above referenced quotation. As a state institution of higher education there are some common commercial terms and conditions that we cannot accept. We have reviewed the applicable terms and conditions and request exceptions below.

G. CONTRACT ADMINISTRATION DATA, Section G-8. Part B. (Page 7 of 11): Please delete the following sentence from the section: “laws and that in the event of a breach of this representation agrees to indemnify and hold Buyer harmless from any costs of damage, including attorney fees, as a result of such breach.” UAHuntsville is prohibited by State law from entering indemnification agreements.

If the above changes are acceptable to you, please make the requested changes and email or fax the document to Barbara Sumner at 256-824-2659 or barbara.sumner@uah.edu. Also, if you require additional contractual, administrative, or negotiation assistance please feel free to contact me at the number listed below.

Thank you,

Barbara C. Sumner
Contract Administrator II
UAHuntsville
Office of Sponsored Programs
301 Sparkman Drive, E-20
(256) 824-2659 / (256) 824-6677 (fax)

Figure VI-I: Sample Exception Letter to Terms and Conditions
<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Account Balance (Banner Statement)</td>
<td>1</td>
</tr>
<tr>
<td>II. Account Code List</td>
<td>7</td>
</tr>
<tr>
<td>III. Audit Certification/A-133/Audit Report</td>
<td>13</td>
</tr>
<tr>
<td>IV. Budget Change Process</td>
<td>15</td>
</tr>
<tr>
<td>A. Budget Change: Increase or Decrease</td>
<td>15</td>
</tr>
<tr>
<td>(1) Completing the Budget Change Form</td>
<td>15</td>
</tr>
<tr>
<td>(2) Processing the Budget Change in the Database</td>
<td>16</td>
</tr>
<tr>
<td>B. Budget Change for a Re-budget</td>
<td>19</td>
</tr>
<tr>
<td>(1) Completing the Re-budget Form</td>
<td>19</td>
</tr>
<tr>
<td>(2) Processing the Re-budget in the Database</td>
<td>22</td>
</tr>
<tr>
<td>C. Budget Change for the Internal Award</td>
<td>24</td>
</tr>
<tr>
<td>(1) Completing the Budget Change for Internal Award</td>
<td>24</td>
</tr>
<tr>
<td>(2) Processing the Internal Award in the Database</td>
<td>26</td>
</tr>
<tr>
<td>D. Budget Change for Realignment</td>
<td>28</td>
</tr>
<tr>
<td>E. Budget Change for Leave Loaded Awards</td>
<td>30</td>
</tr>
<tr>
<td>(1) Completing the Leave Loaded Spreadsheet</td>
<td>30</td>
</tr>
<tr>
<td>(2) Completing the Leave Loaded Budget Change</td>
<td>34</td>
</tr>
<tr>
<td>V. Check Process</td>
<td>35</td>
</tr>
<tr>
<td>A. Processing Checks for a Payment</td>
<td>35</td>
</tr>
<tr>
<td>B. Processing Checks for an Award Increase</td>
<td>35</td>
</tr>
<tr>
<td>VI. Close-out Process</td>
<td>35</td>
</tr>
<tr>
<td>VII. Converting a Proposal to an Award</td>
<td>36</td>
</tr>
<tr>
<td>A. Conversion in the Proposal Database</td>
<td>36</td>
</tr>
<tr>
<td>B. Processing the Budget in the Database</td>
<td>44</td>
</tr>
<tr>
<td>C. Entering Award Information on the Contract Side</td>
<td>46</td>
</tr>
<tr>
<td>VIII Cost Share</td>
<td>57</td>
</tr>
<tr>
<td>A. Processing Cost Share</td>
<td>57</td>
</tr>
<tr>
<td>(1) Setting up a New Cost Share Account</td>
<td>57</td>
</tr>
<tr>
<td>(2) Processing F&amp;A and External Sources (In-Kind) as Cost Share</td>
<td>63</td>
</tr>
<tr>
<td>(3) Processing the Cost Share Memo and Budget Change</td>
<td>66</td>
</tr>
<tr>
<td>(4) Reducing Cost Share Commitment</td>
<td>73</td>
</tr>
<tr>
<td>B. Other Cost Share Information</td>
<td>79</td>
</tr>
<tr>
<td>(1) Cost Share Realignment</td>
<td>79</td>
</tr>
<tr>
<td>(2) Transferring Charges on Cost Share</td>
<td>79</td>
</tr>
<tr>
<td>IX. Credit Card Process</td>
<td>80</td>
</tr>
<tr>
<td>X. Document Approval Sheet (DAS)</td>
<td>82</td>
</tr>
<tr>
<td>A. DAS for New Award</td>
<td>82</td>
</tr>
<tr>
<td>B. DAS for Modification/Amendment/Supplement</td>
<td>85</td>
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I. Audit Certification/A-133/Audit Report

Finding out the account balance is important to do before approving any financial document.

1. Log into BANNER and click on the Finance tab and then Budget Queries.

2. In the Create a New Query section, make sure the field next to it says Budget Status by Account. Then click the Create Query button below it.
3. In the table that appears, make sure all the highlighted options are checked and then click Continue.
4. As highlighted in the screen shot, choose the current fiscal year, type in the index number (org number) and click Submit Query.
5. The screen will show the populated fund number and organization number fields. Click *Submit Query*. 
6. The budget statement will be displayed. The very last line and last cell of the last column gives the available balance. You can also use the budget statement to determine how much funding is available in various account codes. The very first column tells you the account code and the very last column indicates the amount available. Amounts that are in parentheses indicate the amount already expended.
II. Account Code List

The account code list is used as a reference to determine which account code should be used with a particular line item on a financial document such as a budget change, requisition, etc. It is found at this web address on the Accounting and Financial Reporting website:

http://www.uah.edu/admin/Finance/bannerinfo.html

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<td>8105</td>
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<td>Purchase of Land</td>
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<td>8308</td>
<td>Legal and Admin Expense</td>
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III. Audit Certification/A-133/Audit Report

Steve Parker handles the audit reports/documents. Take the document to him to complete. Below is an example of an A-133 form you may receive which was completed and signed by Mr. Parker.

---

RACNE
Regional Application Center for the Northeast at Cayuga Community College
June 11, 2010

Dear Colleague:

According to our records the University of Alabama in Huntsville is a sub-recipient of Federal funds sub-awarded to you by the Regional Application Center for the Northeast at Cayuga Community College (RACNE). As a sub-recipient of Federal funds, RACNE requests certification from your organization that you are in compliance with the audit requirements in OMB Circular A-133 for the fiscal year ending in 2009.

Please complete the appropriate section below by placing an “X” to indicate the status of your FY2009 audit and the means of providing requested information. This letter should be signed and returned with the required documents, if any, as an email attachment to steve.parker@uah.edu or by mail to the address referenced below to the attention of Thomas Stoppsa.

Our A-133 audit for the most recent period _______ to _______ has been completed. The audit was conducted in accordance with OMB Circular A-133; the schedule of findings and questioned costs disclosed no audit findings relating to the Federal award from RACNE; and, the summary schedule of prior audit findings did not report on the status of any audit findings relating to the Federal award from RACNE. In accordance with Section 330(a)(7), noted below is the Federal pass-through award provided by RACNE:

Amount of Sub-Award
$92,921

Description of Prime Award
NSF Award # 0948346 “U.S.-Panama EAGER: THE CLIMATE 1-STOP…”

Our A-133 audit for the most recent period _______ to _______ has been completed. Material non-compliance issues or reportable conditions were identified. Please complete either:

___ A copy of the audit reporting package, including a corrective action plan can be found at the following internet address: ___

___ We have attached, faxed or mailed our audit reporting package, including a corrective action plan report to you.

X Our A-133 audit for the most recent period 10/1/08 to 9/30/09, has not yet been completed. The audit is expected to be completed by August 2010. Within 30 days of completion, we will provide written notification of the outcome of the report. We will provide you with an internet address or copy of our audit report or written notification as required by Section 320(e). We will also provide a corrective action plan should there be any material weaknesses or material findings of noncompliance identified.

Our FY 08 audit can be viewed at: http://www.uah.edu/admin/finance/reports.html

I certify that the above completed paragraph(s) characterizes the position of the University of Alabama in Huntsville and that I am a duly authorized representative. Further, I certify that all relevant material findings contained in the audit report, if completed, have been disclosed.

Signature: __________________ Name and Title (print): Steve Parker, Contract Specialist
Institution: The University of Alabama in Huntsville
Email Address: steve.parker@uah.edu
Tel No.: 256-824-2654

The James T. Walsh Regional Economic Center
199 Franklin St., Suite 300 * Auburn, New York 13021-3025
* 315.252.8699 * Fax: 315.253.7335

Date: 6/11/10
For other certifications, when the prime asks if there are audit findings, they are referring to if there were any between us and them (the company). Go to the Accounting and Financial Reporting website to find our annual audit reports:

http://www.uah.edu/admin/Finance/reports.html. The most current one is done for the prior year.
IV. Budget change

A. Budget Change: Increase or Decrease

a) Completing the Budget Change Form

Find the budget change template at: [http://www.uah.edu/admin/Budget/forms.php](http://www.uah.edu/admin/Budget/forms.php). Under Budget Office click Budget Change Form. From top to bottom and left to right, complete or review the form as follows:

1. Date: Change the date to current date
2. Division/School: Change if applicable
3. Department: Change if applicable

<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
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<td>Faculty Research</td>
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<tr>
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<td>6500</td>
<td>27510</td>
<td>Employee Benefits</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>I</td>
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<td>27510</td>
<td>Expenditures (Operating)</td>
<td>$17,823.00</td>
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<td></td>
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<tr>
<td>I</td>
<td>745503</td>
<td>7522</td>
<td>27510</td>
<td>Machine Shop Transfer</td>
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<tr>
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<td>27510</td>
<td>F&amp;A (47.3%)</td>
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<tr>
<td>I</td>
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<td>8101</td>
<td>27510</td>
<td>Equipment</td>
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<td>C/S not indiv over 25m</td>
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</table>

$49,953.00

Reason for Budget Change:

PI: Hugh Christian

POP: 6/1/2012 to 5/31/2014

DOE Award:

Contract Type: CR

Federal Pass Thru: DARPA

4. **I/D**: I means increases and D means decreases. Make sure to put an I for all increases and D for all decreases.
5. **Org. No.**: Type in the org number on each line as needed
6. In the **Account Code** section, type in the account codes on each line as applicable. Refer to pp. 7-12, **Account Code List**.
7. **Rule CD or Fund**: Type in the fund numbers on each line as needed

8. **Description**: Type in the description of the account code. Refer to pp. 7-12, *Account Code List*.

9. **Amount**: Enter the dollar amount that will be put in each account code per the proposal budget for new awards. Be sure to total all amounts on the last cell of that section.

10. **Reason For Budget Change**: Type in the explanation for the budget change such as: New award, Award Increase, Award Decrease
    - You can also add other account identifying information to this section such as title, PI name, proposal number, etc.

11. Sign the budget change in the next section

12. Print the budget change once done if you are the originator.

**b) Processing the Budget Change in the Database**

1. Go to the Accounts Financing Information screen which is the second screen on the contract menu after searching and accessing the org/fund number has been. Click the *Add Action* option.

![Accounts Financing Information Screen](image-url)
2. This will take you the Budget Action screen. Click Transaction Type: Award.

3. Complete as follows:

- Enter the organization or fund number in the first field under the Transfers To section and the amount in the second field.
- If there is a supplement or modification number, add it in the Supplement Number (if applicable) field.
- Then add any comments in the General Comments field as shown in the below.
- Finally click the Apply button in the top right corner.
4. You will be taken to the screen you began with. There you will see the transaction you just completed as highlighted in the diagram below.

![Image of the UAH Office of Sponsored Programs Accounts Financing Information (Accounts Page 2) screen]

### B. Budget Change for a Re-Budget

A re-budget is moving funds from one account to another from the same contract number.

**a) Processing the Re-Budget Form**

Find the budget change template at: [http://www.uah.edu/admin/Budget/forms.php](http://www.uah.edu/admin/Budget/forms.php). Under **Budget Office** click **Budget Change Form**. From top to bottom and left to right, complete or review the form as follows:

1. **Date**: Change the date to current date
2. **Division/School**: Change if applicable
3. **Department**: Change if applicable
**THE UNIVERSITY OF ALABAMA IN HUNTSVILLE**

**REQUEST FOR BUDGET CHANGE**

**DATE:** 10/18/2012

**CHECK ONE**
- Temporary Budget Revision
- Permanent Budget Revision

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<th>Acct.</th>
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<th>DESCRIPTION</th>
<th>AMOUNT</th>
<th>D/C</th>
<th>CREDIT ACCOUNT NO.</th>
<th>SUB.</th>
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<td>26105</td>
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<td>Equipment</td>
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**AMOUNT:** $28,542.00

**REASON FOR BUDGET CHANGE**

Realignment of funds

**PI:** John Christy

**POP:** 8/25/2010 to 8/26/2011

**Title:** S/ADAI/State Climatologist 2010-2011 Cost Share for 745403

**DOD Rated Award:**

**Contract Type:** FP

**Federal Pass Thru:**

**APPROVALS**

**ORIGINATOR:**

**BUDGET UNIT HEAD:**

**White:** Accounts Payable

**Canary:** Department

**OFFICE OF THE VICE PRESIDENT FOR FINANCE AND ADMIN.**
4. **I/D:** *I* means increases and *D* means decreases. Make sure to put an *I* for all increases and *D* for all decreases. The top section of that column can be an increase and the bottom section can be the decrease.

5. **Org. No.:** Type in the org number on each line as needed. The org number for the increase will be in the top section (the org funds are being moved to) and the org number for the decrease (the org funds are being moved from) will be bottom section of this column.

6. In the **Account Code** section, type in the account codes on each line as applicable. Refer to pp. 7-12, *Account Code List*.

7. **Rule CD or Fund:** Type in the fund numbers on each line as needed for the corresponding org number.

8. **Description:** Type in the description of the account code. Refer to pp. 7-12, *Account Code List*.

9. **Amount:** Enter the dollar amount that will be increased in each account code in the top increase section. Enter the dollar amount that will be decreased in each account code in the bottom decrease section. Be sure to total all amounts on the last cell of that section. Both the top and bottom section totals should match.

10. **Reason For Budget Change:** Type in the explanation for the budget change such as: Realignment 
- You can also add other account identifying information to this section such as title, PI name, proposal number, etc.

11. Sign the budget change in the next section

12. Print the budget change once done if you are the originator.

**b) Processing the Re-Budget in the Database**

1. Go to the Accounts Financing Information screen which is the second screen on the contract menu after searching and accessing the org/fund number has been. Click the *Add Action* option.
2. Select the Re-Budget option which will present four columns. If you already have the budget change, use the information on it to complete the following steps:
   - Enter the organization or fund number you’re moving funds from in the first field under the Transfers From section and the amount in the second field.
   - Then, enter the organization or fund number you’re moving the funds to in the first field under the Transfers To section and the amount in the second field. If you already have the budget change: Enter the organization or fund number on budget change and the amount in the second field.
   - If there is a supplement or modification number, add it in the Supplement Number (if applicable) field.
   - Then add any comments in the General Comments field as shown in the below.
   - Finally click the Apply button in the top right corner.
3. You will be taken to the screen you began with. There you will see the transaction you just completed as highlighted in the diagram below. If you are in the org number that was decreased, then you will see a decrease. To see the transaction for the other org number, you will need to access that account by going to the same screen in the database.

![UAH Office of Sponsored Programs Accounts Financing Information (Accounts Page 2)](image)

C. Budget Change for the Internal Award

An internal award is new award that receives funding from a prime or dummy account that was previously set up. They will both belong to the same contract/grant number.

a) Completing the Budget Change for the Internal Award

Find the budget change template at: [http://www.uah.edu/admin/Budget/forms.php](http://www.uah.edu/admin/Budget/forms.php). Under **Budget Office** click **Budget Change Form**. From top to bottom and left to right, complete or review the form as follows:

1. **Date**: Change the date to current date
2. **Division/School**: Change if applicable
3. **Department**: Change if applicable
4. **I/D:** I means increases and D means decreases. Make sure to put an I for all increases and D for all decreases. The top section of that column can be an increase and the bottom section can be the decrease.

5. **Org. No.:** Type in the org number on each line as needed. The org number for the increase will be in the top section (the org funds are being moved to) and the org number for the decrease (the org funds are being moved from) will be bottom section of this column.

6. In the **Account Code** section, type in the account codes on each line as applicable. Refer to pp. 7-12, **Account Code List**.

7. **Rule CD or Fund:** Type in the fund numbers on each line as needed for the corresponding org number.

8. **Description:** Type in the description of the account code. Refer to pp. 7-12, **Account Code List**.

9. **Amount:** Enter the dollar amount that will be increased in each account code in the top increase section. Enter the dollar amount that will be decreased in each account code in the
bottom decrease section. Be sure to total all amounts on the last cell of that section. Both the top and bottom section totals should match.

10. **Reason For Budget Change:** Type in the explanation for the budget change such as: Realignment
   - You can also add other account identifying information to this section such as title, PI name, proposal number, etc.

11. Sign the budget change in the next section

12. Print the budget change once done if you are the originator.

**b) Processing the Internal Award in the Database**

1. Go to the Accounts Financing Information screen which is the second screen on the contract menu after searching and accessing the org/fund number has been. Click the *Add Action* option.

2. Select the *Internal Award* option. You will see four columns.
   - Enter the organization or fund number you’re moving funds from in the first field under the *Transfers From* section and the amount in the second field.
   - Then, enter the organization or fund number you’re moving the funds to in the first field under the *Transfers To* section and the amount in the second field.
   - If there is a supplement or modification number, add it in the *Supplement Number (if applicable)* field.
   - Then add any comments in the General Comments field as shown in the below.
   - Finally click the *Apply* button in the top right corner.
3. You will be taken to the screen you began with. There you will see the transaction you just completed as highlighted in the diagram below. If you are viewing the org number that was decreased, then you will see a decrease on this screen. To see the transaction for the other org number, you will need to access that account by going to the same screen in the database.

4.
D. Budget change for the Realignment

This type of budget change is for moving money from one account code to another within an organization or fund number. Only the budget change form will be processed for this transaction. This will not be processed in the database.

Find the budget change template at: http://www.uah.edu/admin/Budget/forms.php. Under Budget Office click Budget Change Form. From top to bottom and left to right, complete or review the form as follows:

1. **Date:** Change the date to current date
2. **Division/School:** Change if applicable
3. **Department:** Change if applicable
4. **I/D:** I means increases and D means decreases. Make sure to put an I for all increases and D for all decreases. The top section of that column can be an increase and the bottom section can be the decrease.
5. **Org. No.:** Type in the org number on each line as needed. The org number for the increase will be in the top section (the org funds are being moved to) and the org number for the decrease (the org funds are being moved from) will be bottom section of this column.
6. In the **Account Code** section, type in the account codes on each line as applicable. Refer to pp. 7-12, Account Code List.
7. **Rule CD or Fund:** Type in the fund numbers on each line as needed for the corresponding org number.
8. **Description**: Type in the description of the account code. Refer to pp. 7-12, *Account Code List*.

9. **Amount**: Enter the dollar amount that will be increased in each account code in the top increase section. Enter the dollar amount that will be decreased in each account code in the bottom decrease section. Be sure to total all amounts on the last cell of that section. Both the top and bottom section totals should match.

10. **Reason For Budget Change**: Type in the explanation for the budget change such as: Realignment  
    - You can also add other account identifying information to this section such as title, PI name, proposal number, etc.

11. Sign the budget change in the next section
12. Print the budget change once done if you are the originator.

E. **Budget Change for Leave Loaded Awards**  
For leave loaded awards a leave loaded spread sheet must be done along with a budget change.  
This document can be found on the server in the General Folder under Loaded Rate Calculations. This form is only done for cost reimbursable commercial contracts.

**a) Completing the Leave Loaded Spread Sheet**

1. After accessing the document, choose the tab for the action you wish to complete. The tabs are highlighted in the below screenshot. The first form to be completed is the 3rd tab.
2. In the first section

- **Org/Fund Number**: Enter the org number in the first field and the fund number in the next.
- **PI**: Enter the PI’s full name.
- **Contract Number**: Enter the title of the contract.
- **Agency**: Enter the name of the agency/company.

**NOTE**: The other fields will auto-populate from previously entered information.

3. In the second section, actual budget information will be entered as follows:

<table>
<thead>
<tr>
<th>T</th>
<th>Employee’s regular loaded rate x # hrs.</th>
<th>Hrs.</th>
<th>Actual Award Amount</th>
<th>LHR x Total Hours Authorized</th>
<th>Leave $amount</th>
<th>Salary leave $amount (814)</th>
<th>Leave-related Fringe Benefit (650)</th>
<th>Business Interruption Insurance (93)</th>
<th>Leave-related F&amp;A</th>
<th>Nonleave $am</th>
</tr>
</thead>
<tbody>
<tr>
<td>28</td>
<td>3,499.99</td>
<td>48.0</td>
<td>5,400.00</td>
<td>4,292.44</td>
<td>792.45</td>
<td>469.16</td>
<td>150.95</td>
<td>3.87</td>
<td>168.47</td>
<td>3,499</td>
</tr>
<tr>
<td>30</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>31</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>32</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>33</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>34</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>35</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>36</td>
<td>0.00</td>
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<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>37</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>38</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>39</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>40</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
</tbody>
</table>

- **First Column**: Enter the PI’s last name
- **Employer’s regular loaded**: This field will auto-populate once the next field is filled.
- **Hrs.**: Enter the number of hours listed for the researcher on the budget.
- **Actual Award Amount**: Enter the total amount of the researcher’s labor rate

**NOTE**: This amount includes the fringe and F&A calculated on his salary.

The other fields will auto-populate from previously entered information.
4. The next section should be completed if there is a GRA on the budget (on the left) or if there is equipment (on the far right). For the GRA, only the Actual GRA Award Amount needs to be entered which is the total amount of everything that the GRA is receiving. 

**NOTE:** The other fields will auto-populate from previously entered information.

<table>
<thead>
<tr>
<th>GRA</th>
<th>GPA</th>
<th>Rate</th>
<th>Actual GPA Award Amount</th>
<th>GRA Stipend</th>
<th>GRA Health Inc.</th>
<th>Tuition (553)</th>
<th>FIa</th>
<th>Equipment</th>
</tr>
</thead>
<tbody>
<tr>
<td>GPA</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
</tbody>
</table>

5. Operating information should be entered in the next section.

<table>
<thead>
<tr>
<th>Calculating Other Operating Cost</th>
<th>Budget Change Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating Amount</td>
<td>Less F&amp;A</td>
</tr>
<tr>
<td>Operating</td>
<td>$0.00</td>
</tr>
<tr>
<td>Travel</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

- Operating; Amount: Enter the actual operating costs with the F&A included.
- Travel; Amount: Enter the actual travel costs with the F&A included.

**NOTE:** The other fields will auto-populate from previously entered information.
6. The next section requires information for salary calculation and should be completed as follows:

<table>
<thead>
<tr>
<th>Salary</th>
<th>Fringe</th>
<th>F&amp;A</th>
<th>Divisor</th>
<th>LHR</th>
</tr>
</thead>
<tbody>
<tr>
<td>$100,312.00</td>
<td>1.33</td>
<td>1.27</td>
<td>1660</td>
<td>$89.95</td>
</tr>
</tbody>
</table>

- **F&A Rate**: Enter the rate that is being used on the contract. This rate can be changed.
- **Fringe Rate**: Enter the fringe rate used on the contract.
- **Divisor**: Enter the direct working hours divisor used on the budget. Example: 2080 for 9 month faculty.

**NOTE**: The other fields will auto-populate from previously entered information.

7. The final section completes the GRA information. Any

<table>
<thead>
<tr>
<th>Salary</th>
<th>Tuition</th>
<th>Health Ins.</th>
<th>F&amp;A</th>
<th>Divisor</th>
<th>LHR</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>0.00</td>
<td>1.27</td>
<td>0</td>
<td>0.00</td>
<td>$00</td>
</tr>
</tbody>
</table>

*Note for GRA Rates, Divisor will always be total hours

- **Salary**: Only the stipend amount should be entered.
- **Tuition**: Enter the total amount.
- **Health Ins.**: Enter the total amount.
- **Divisor**: Enter the total number of hours proposed for the GRA.

**NOTE**: The other fields will auto-populate from previously entered information.
b) Completing the Leave Loaded Budget Change

The leave loaded budget change is the last tab of the document. The information completed in the leave loaded spread sheet populates the leave loaded budget change. Only the following information will need to be completed: Date, Division, Department, Reason for Budget Change. Sign the form and process as normal.
V. **Check Process**

When you receive a check in the mail, determine if it is for a payment of an invoice on an award or to increase the value of an award.

A. **Processing Checks for a Payment**
   1. Stamp the back of check in the appropriate place (where you would normally sign it). Felecia usually has the stamp.
   2. Indicate the org and fund number on the check (you may use a post it note).
   3. Make a copy of the check & post it note and send the original to C&G.

B. **Processing Checks for an award increase**
   1. Stamp the back of check in the appropriate place (where you would normally sign it). Felecia usually has the stamp.
   2. Since the check is for an award increase, do a budget change (Refer to pp. 15-34, *Budget Change Process*) and a green sheet (Refer to pp. 98-100, *Green Sheet*).
   3. Make a copy of the check and send the original to C&G along with the budget change and green sheet.

VI. **Close outs**

- All grants and contracts must be closed out when the POP ends and no additional extensions are pending.
- The Government Property Assistant handles the majority of the close out process and fills out any forms.
- At the beginning of each month, take all contracts whose POP has ended in the 30 days prior to him for closing out.
- The contract administrator must make sure all final reports have been submitted by the PI on the contract or grant.

VII. **Converting a Proposal to an Award**

When a proposal is funded you will receive an award document, such as a grant or contract. At that point you will create and circulate a DAS. Refer to pp. 82-85, *DAS*. When the DAS has been returned to you, it is time to convert the proposal to an award.

A. **Conversion in the Proposal Database**
   1. On the *Main Menu* of the database, click on the *Proposal Menu* option.
2. This takes you into the proposal database called *Proposal Menu*.

3. On the *Proposal Menu* screen, click *Convert to Contract*
4. On the Proposal Search Screen, enter the proposal number in the field of the same name.

5. Click the Submit Query button in the bottom left corner to go to the second Proposal Search screen.
6. On the second Proposal Search screen, click on the proposal number to take you to the Converting Proposal Number... screen.

7. On the Converting Proposal Number... screen, if you are converting to a new account, choose the first option-to a New Account.
8. Choose from these options: Select a contract number and Type a Contract Number. If you choose Select a contract number (for previously existing contract numbers) go to step 9. If you choose Type a Contract Number (for if the contract number doesn’t previously exist), go to step 11.

9. Select a contract number allows you to choose from existing contract numbers in the database. Then Click Next.
10. Select the contract number from the drop box and click Next. Then jump to step 12.

11. *Type a Contract Number:* allows you to type the new contract number in. Then Click Next.
12. Then choose the *Contract Type* in the first box and then the *Contract Classification* in the second box (generally *NONE* if not specified in the award). Then click *Add*.

13. When this screen appears confirming the Order number; click *Next*
14. This screen gives you the new 5-account number; jot it down. Then, enter the beginning and end dates (POP) of the new award in the correct fields and click Next.

![Office of Sponsored Programs Internal Administrator Manual- Post Award]

15. The next screen displays confirmation of the new 5-account number. Click Proceed.
16. The next screen will ask you to re-enter the POP. Then click Update in the top right corner, which will take you to another Edit Contracts screen. Then click Next in the top right corner, which will take you to the Budget Action screen.

B. Processing the Budget in the Database

1. On the Budget Action screen, for just adding funds on an award, choose Transaction Type: Award. The 5-account number will be automatically added in the first field under the Transfers To section.
2. Enter the funding amount in the second field. Add comments in the comment section such as: New Award; Click Apply in the top right hand corner.

3. When the following screen appears, click the Next button in the top right corner. Clicking the Display Distribution Sheet button will not take you to the correct screen for this process.
4. The screen will inform you that the proposal has successfully been converted. Click on the blue 5-account number (highlighted), which will take you to an *Edit Contracts* screen.

![Proposal Menu screenshot](image-url)
C. Entering Award Information on the Contract Side

1. On the Edit Contracts screen, the boxed in section is what needs special attention. Most of the fields are pre-populated from previously entered information. The following fields will need to have information entered:

- Contract Award History: enter the date, amount and new award comment
- Public Relation: Choose the applicable option
- SBDB: Choose the applicable option
- DoDx Number: Usually for DOD contracts; check the award
- CFDA: If the award is a grant or pass thru contract from federal agency, enter the 5-digit number
- Export Control Type: Choose the applicable option
- DFAR2522037002 Received: Choose the applicable option; usually for DOD contracts

Then click **Update** and **Next**.

2. The **General Accounts Information (Accounts Page 1)** screen is where the identifying award information is entered.
3. How to complete the screen will be explained in sections as follows:

a) Section 1:

Section 1 is pre-filled with information entered on the Proposal side of the database. You will click the Next button in the top right corner once all fields have been completed.

b) Section 2:

- **Title**: Enter the title for the award as used on the DAS
- **Prop. Title**: This field is pre-filled
- **Modification Number**: Leave empty for new awards. Only for modifications/supplements/Amendments
- **CLIN No.**: Enter if applicable per the award document
- **Award Sub Agency**: This field is pre-filled
- **Thrust (Account)**: This field is pre-filled
- **TDO No.**: Fill if applicable, per the award document
c) Section 3

- **POP**: Enter the start and end dates
- **Contract Administrator**: This field is pre-filled
- **Principal Investigator**: This field is pre-filled
- **Fiscally Responsible Unit**: This field is pre-filled
- **Export Control Type**: Choose the appropriate type as indicated on the DAS
- **Research Type**: Choose the appropriate type as indicated on the DAS
- **Permanent Distribution Comments**: Enter significant information that will need to be seen at all times on a distribution
- **Highlighted information**: Check Yes or No to these; refer to the award document or DAS to answer:
d) Section 4

The Departmental Affiliation: Will pre-fill once the Next button is clicked at the top of the page.

Federal Pass Through: Choose Yes or No. If Yes, choose the agency from the drop box.

State Pass Through: Choose Yes or No. If Yes, choose the agency from the drop box.

Account Co-Investigators: Any Co-Investigators on the proposal database will be pre-filled here.

Accounts Financing Information (Accounts Page 2) is the next screen. The areas of the screen that need to be completed are listed below:

- **Equipment Funding**: If Yes, the budget will specify this. Otherwise, choose No.
- **Travel Funding**: If Yes, the budget will specify this. Otherwise, choose No.
- **Cost Sharing**: If Yes, the budget will specify this. Otherwise, choose No.
- **Indirect**: See the budget or DAS for the indirect (F&A) rate and enter it in this field.
- **Travel Authorization**: Choose from the drop box the type of approval to travel. This will be found in the award document.
- **Cumulative Budget Action**: This tells how much funding has been received for the award up to this point.
• **Budget Actions:** This line shows the budget information that was entered previously, giving the date, type of award (if chosen), any notes (if entered) and the amount.

• Once all information has been completed, click *Update* followed by *Next* in the top right corner.

5. **Accounts Financing Information (Accounts Page 3)** is the next screen in which information regarding any reports is entered. It should be completed as follows:

- **Draft Due Date** or **Final Due Date**: Enter the date in the field. You can find this information on your DAS or the award document.

- **No Technical Reports Required**: Check this box if no technical reports are required

- **Technical Reports**: Choose the frequency or type as per the award document. If Monthly Report, enter the day of the month in the field below that option.

  *NOTE:* IF THE FINAL IS REQUIRED, CLICK YES.

- **Non Technical Reports**: Choose the type as per the award document.
6. Click the *Update* button on the top right of the screen and you will see that the *Reports* section is filled with the specified type of report, date it is due and the ability to edit the information. Click *Next* in the top right corner.
7. The **PI Effort Tracking Information (Accounts Page 5)** screen appears. This is where the PI’s effort is entered. Click the **Add Track** option to enter information.

![PI Effort Tracking Information](image)

8. When the **Add Track** option is clicked, you will need to complete the empty fields. The fields that need completion are highlighted.

![Account Effort Tracking](image)

- **Investigator**: This field is pre-populated.
- **Percent of Effort**: This can be found on the DAS or budget.
- **Start and End Date**: This can be found on the DAS or budget.
- **Comments**: Any info of note regarding the effort can be placed here.
9. Then click Update in the top right corner, which takes you back to the PI Effort Tracking Information (Accounts Page 5) screen. There you can also choose the Add New Individual for Effort Tracking. This is for adding PI or Co-I that was not previously proposed.

10. Clicking that option, gives you the screen below which is completed just like the Account Tracking Screen previously mentioned in step 8 of this section. The only difference is you must choose the investigator name. Then click update to back to the PI Effort Tracking Information (Accounts Page 5) screen.
11. Back on the **PI Effort Tracking Information (Accounts Page 5)** screen, click on the Account Create Form option.

12. The account create form appears. Make a note of the new organization number located at the top right of the account create.
13. Click the back button on your browser to go back to the PI Effort Tracking Information (Accounts Page 5) screen and click Done in the top right corner.

14. Next, a green sheet will need to be done. Refer to pp. 98-100, Green Sheet.

15. After the Green sheet is done, a distribution will need to be sent to C&G Accounting. Refer to pp. 98-100, Green sheet.

16. THE CONVERSION AND DISTRIBUTION PROCESSES ARE NOW COMPLETE. Subcontracts
If the award has a subcontract (does not apply to Consultants), the Administrator will forward a copy of the Subrecipient Commitment Form (Appendix A) to the company for completion and return to the administration. The administrator will forward the form to the Subcontract Administrator.

VIII. Cost Share
Cost share accounts are departmental accounts. They are linked to the 5 account. The rules that apply to the 5 account apply to the cost share account

A. Processing Cost Share

a) Setting Up a New Cost Share Account

1. Go to the Account Cost Share Information (Accounts Page 4) screen and click Add Cost Share.
2. On the Accounts Cost Sharing screen complete as follows:

- Choose the Cost Share Type from the drop down box.
  - **Cash**: if the funds will be provided from UAH non-F&A funds
  - **F&A**: if the funds being cost shared are indirect costs refer to p. 63, b).
  - **In-Kind**: if a service is being provided for the research by an outside entity, but no funds are being provided. Refer to p. 63, b).

  **NOTE**: When the account is set up, send the Certification of In-Kind Cost Sharing Form to the company. They will fill it out when they have completed their part before the final invoice is sent.

- Choose the Responsible UAH Cost Share Party from the drop down box. This is the department/school/center, etc that is covering the cost share.

3. If the agency providing the cost share is outside of UAH click External Agency Cost Share Party and choose the applicable agency. If they are not listed, ask the IT person to add them to the database. Then click Update in the top right corner.
4. The *Cost Share Entries – Add New Cost Share Entry* button appears. Click this button to enter the cost share information.

5. In the *Cost Share Amount* field, enter the amount that will be covered. The *Date of Cost Share* field is auto populated. Then in the *Comments* field, enter the line items are being cost shared and their amounts. Click *Done* in the top right corner.
6. When the screen changes you will see the information that you just entered in the Cost Share Entries section at the bottom of the screen. Click the Account Create Form in the top right corner of the screen.

![Accounts Cost Sharing Form]

7. You will be presented with the option to choose the cost share PI. In the 2-Account Owner section, choose the dean or center director for the responsible area covering the cost share. Example: If College of Science is covering the cost share, choose Dr. John Fix, the dean, as the cost share PI. Then click Next in the top right corner.

![2-Account Cost Share Set-up Form]
8. The account create appears. Review it to make sure that the information on the screen is correct according to what you entered. Print the screen. Once you receive the cost share memo from the responsible department, you will enter the cost share amount they are covering for that specific time period in the Amount section of the account create. The amount may be less than the total amount they are cost sharing. Sign and date at the bottom of the page.
9. Click the back button on the browser to take you back to the previous screen. Then click the Done button in the top right corner.

10. This takes you back to the first screen of the cost share information. You will see the information you entered displayed as highlighted.

11. Request the cost share budget change and memo from the department covering the cost share. Send them the cost share org number and 2- number along with the budget and ICS showing their cost share commitment as proposed. When they return it to you go to the. Refer to pp. 66-73, c) Processing the Cost Share Memo and Budget Change.
b) **Processing F&A and External Sources (In-Kind) As Cost Share**

1. After choosing the *Cost Share Type* as F&A as in step 2 above, select the VP for Research as *Responsible UAH Cost Share Party*. Then click *Update* at the top right. Or...

   ![Accounts Cost Sharing]

   For external cost share, choose *In-Kind* as the *Cost Share Type*. Then go to the *External Agency Cost Share Party* option and choose the company. Then click *Update* at the top right.

   **NOTE:** When the account is set up, send the Certification of In-Kind Cost Sharing Form to the company. They will fill it out when they have completed their part before the final invoice is sent. It can be found on the OSP website under Research Forms.

   ![Accounts Cost Sharing](In-Kind Cost Share)

   ![Accounts Cost Sharing](Updating Cost Share)

   ![Accounts Cost Sharing](Certification of In-Kind Cost Sharing)
2. The Cost Share Entries –Add New Cost Share Entry button appears. Click this button to enter the cost share information.

![Accounts Cost Sharing](image)

3. In the Cost Share Amount field, enter the amount that will be covered. The Date of Cost Share field is auto populated. Then in the Comments field, enter the line items are being cost shared and their amounts. Click Done in the top right corner.

![Account Cost Sharing Entry](image)
4. When the screen changes you will see the information that you just entered in the Cost Share Entries section at the bottom of the screen. Click the Done button in the top right corner of the screen.  

*NOTE:* No account create is needed for this.

5. This takes you back to the first screen of the cost share information. You will see the information you entered displayed as highlighted.
### c) Processing the Cost Share Memo & Budget Change

The budget analysts usually complete and send the cost share memo and budget change to add funding to the cost share account if they have not previously fully funded it. These can be processed using the following steps:

1. Review the Cost Share Memo by giving special attention to these areas:
   - **FROM**: make sure the name of the department covering the cost share is entered
   - **DATE**: Should be present
   - **For Salary, operating, and/or equipment, please transfer**: The amount should be included here.
     - **From State Org**: the org the funds are being provided FROM should be entered here
     - **To Cost Share Org**: The cost share number that was created should be entered here. This information should have been sent to the budget analyst.)
   - **For fringes, please transfer**: The amount should be included here.
     - **From State Org**: the org the funds are being provided FROM should be entered here
     - **To Cost Share Org**: The cost share number that was created should be entered here. This information should have been sent to the budget analyst.)
   - **Approvals**:
     - **Budget Unit Head**: The department should sign this line
2. The Cost Share Budget Change is processed almost the same as a normal budget change. Refer to pp. 15-34, *Budget Change Process*. The areas of difference are noted as follows:

- The org code being decreased should be the state org
- The account code being decreased should be 7802 for fringes and 7801 for everything else
- The org code being increased should be the new cost share org number
- The account codes being increased should be the line items you are moving the funds too. For example: If funds are being moved to faculty salaries, use 6125. If they are being moved to fringe, use 6500.
- In the *Reason for Budget Change* section the budget analyst should have indicated what the cost share is covering, which year it is covering and the 2- number.
3. Once you review and sign the documents, go to the database *Budget Action Menu*. 
4. Select the Create/Edit Budget Action option.

5. Then select the Add Budget Action option. OR
If this is not a new cost share and funds are being added, select the View/Edit Budget Action option and skip to step 9.
6. Enter the cost share org number and click the New Cost Share Account button.

![Cost Share Budget Action](image)

7. Then complete each field as shown and click Insert in the top right corner.

![Cost Share Budget Action Details](image)

8. The final screen will show you the results of the information you entered. The cost share budget information has been entered and the distribution can be done.

![Budget Action Results](image)
9. Enter the cost share org number and click Submit.

10. On the next screen, click the Add option.

11. Then complete each field as shown and click Insert in the top right corner.
12. The final screen will show you the results of the information you entered. The cost share budget information has been entered and the distribution can be done.

\[ \text{Cost Share Budget Action Org. No. 253232} \]

\[ \text{Date} \quad \text{11/20/12} \]
\[ \text{Amount} \quad 2538 \]
\[ \text{Source Account} \quad 253001 \]

\[ \text{Comment} \quad \text{Year 1 cost share for Dr. Gregory. Salaries ($7466) and fringe ($2538)} \]

\[ \text{UAH Office of Sponsored Programs} \]
\[ \text{Budget Action for 253232 (2-70811)} \]

\[ \text{Cumulative Budget Action} \quad 2,538.00 \]

\[ \text{Budget Actions} \quad \text{Add} \quad 253001 \quad 2,538.00 \quad \text{Edit} \quad \text{Delete} \]

\[ \text{Total} \quad 2,538.00 \]

\[ \text{d) Reducing Cost Share Commitment} \]

If the PI can’t meet the cost share commitment, he may be able to have it. Go to the agency and ask if the cost share can be reduced. Funding may also be reduced by the agency, in this case. When the reduction has been granted, the reduction can be processed in the database as follows:

a) Have the PI send a cost share memo and budget change showing the reduction

b) Process the cost share memo and budget change as follows:
1. From the Contract Menu, access the org number that the cost share corresponds to. Go to the fourth screen as shown below. Then click Edit for the desired cost share.
2. Click the *Add New Cost Share Entry* button.

3. Here is where you will enter information regarding the reduction. Complete the screen as follows:
• Cost Share Amount: enter the amount to be reduced with a minus sign in from of it.
• Comments: enter the reason why the cost share is being reduced.
• Click Done to continue.

4. This will take you back to the previous screen. If you look in the Cost Share Entries section, you will see the information you just entered appears there in the first line. You will then click Done in the top right corner.

5. On the next screen, click the Next button in the top right corner.
6. Clicking *Done* on this screen will take you back to the *Contract Menu*.

7. *Here* you will select the *Create/Edit Budget Action* option.
8. Then choose the View/Edit Budget Action option.

9. Clicking the Add option will allow you to enter the budget information for the reduction.
10. Each field should be completed as follows:

- **Date**: Enter the current date.
- **Amount**: enter the amount with a minus in front of it.
- **Source Account**: enter the cost share account number.
- **Comment**: Enter the reason for the reduction.

11. Clicking *Finish* takes you back to the first screen
B. Other Cost Share Information

a) Cost Share Realignment

Funds can be moved between line items for realignment as needed and to cover an overrun. In order to do this:

1. The budget analyst or you will do a budget change and memo increasing the account.
2. Go to database and increase the cost share award by the amount indicated.
3. Go to Create/Edit Budget Action menu for cost share and increase the cost share award by the amount indicated. Refer to pp. 66-73, c).

b) Transferring Charges on Cost Share

To move funds from one cost share account to another (they must belong to same contract) between line items:

If cost shares are owned by same centers: funds can be moved between the two. If funds charged to be moved are labor, a retro will need to be done to move the charges. If funds to be moved are other than labor, a transfer authorization will have to be done.

IX. Credit Card Process
The credit card process allows the PI to quickly and easily make purchases for research on an award.

1. Funding agency should send statement of work (SOW) to OSP indicating the PI and that this will be a credit card contract or the PI will contact OSP directly with the SOW.

2. Research Administration contacts the PI and based on his/her information prepares a quote for the funding agency—usually faxed.

3. Funding agency contact calls Research Administration letting them know that the agency will accept this quote and providing the following information:
   - Agency POC/Credit Card holder
   - Credit card #, Credit card company, Credit card expiration date
   - Period of authorization (POP)
   - Statement of work, deliverables and deliverable person/location
   - Type of award (fixed price or cost reimbursable)
   - Invoice frequency & location: Determined by the length of the project

4. Upon receipt of this information, OSP prepares a letter of understanding which is faxed to the funding agency’s credit card holder for concurrence signature. This becomes our contractual document (example below.)

Dear Mr. Doe (credit card holder):

The terms of referenced credit card order are listed below. If you concur, please sign where indicated and fax back to UAH OSP at 824-6677. Technical communication will be between you and Dr. Sam Smith at 824-0000. Please note that the University’s mission is teaching and research and sponsored research must be consistent with this mission. Therefore, all research must be approached on a "best effort" basis and cannot be distorted by the need to guarantee delivery of a product.

Order #: Mastercard -xxxx (last four digits of credit card)
Amount: $5,000
Period: 11/1/02-12/15/03
Scope of Work: Two power supply boxes built to the attached specifications
Delivery: On or before 12/15/03 to Mr. John Doe; Acme Corp, 5555 Memorial Parkway
Type: Fixed price

Sincerely,
Concur: __________________________

John Doe, Acme Corp.
Director __________________________

Office of Sponsored Programs
5. Once the signed letter is returned to us, complete a DAS (Refer to pp. 82-85, DAS), attaching the letter for signature by OSP’s Director, then return a copy of the letter to the agency.

6. Set up a proposal number for this in the database.

7. Convert the proposal and administer it like other awards. Refer to pp. 36-56, Converting a proposal to an Award.

8. Complete the distribution (Refer to p. 87) and attach a memo as follows:

```
Memo

To: Person’s Name (C&G Accounting)
From: Contract Administrator’s Name
Date: 12/5/2012
Re: Credit Card Order for Org. No. (5-XXXX)

This memo is to provide you with the credit card number for the above account. With all the credit card fraud identified daily I deem it safer to send this directly to you instead of placing it on the green sheet like we used to before. The credit card holder is ___________ with Agency the Visa# XXXX XXXX XXXX XXXX Expires 05/2011.

Thanks
```

9. The UAH PI must inform OSP when work is complete/delivery has been made and invoice will be sent to funding agency.
X. **DAS**

Any changes made to a contract or grant should have a DAS, signed accordingly, in the folder. This is how we notify the PI of changes and stay consistent with our policies in case of an audit. The DAS can be found on the server in the General folder. Sample DAS:

A. **DAS for a New award**

How to complete the DAS is explained in sections as follows:

1. This is contract administrator and contract general info:

   ![Document Approval Sheet (DAS)](image)

   - **Contract Administrator:** Your name.
   - **Proposal No.:** the proposal number.
   - **Date:** Current date.
   - **Contract Name:** This is the project title used in the proposal which is preceded by the information in the chart below: the type, prime and sub agency & department (if applicable). F = Federal, C = Commercial, A = Academic, S = State, O = Other
- **Contract Number**: This information is found in the award documentation.
- **Agency Name**: This information is found in the award documentation.
- **Period of performance**: Enter the beginning and ending dates. This information is found in the award documentation.
- **Account Number**: This will be “Pending” until the award has been processed in our database.

2. **Points of Significance** are important items in the contract that need to be noted for the PI:

   **Points of Significance**:
   
   1. New award in the amount of $237,128
   2. Cost sharing required: COS $11,671 for salaries and fringe & $10,375 for M&S, ESSC $25,000 for salaries and fringe, VPR $32,000 for Equipment & $22,580 for F&A = Total of $101,626
   3. Deliverables: Final report due 9/1/13
   4. PI % of effort: 0% as per solicitation
   5. Thrust Area: 1600
   6. F&A: 48% cost shared
   7. Contract Type: CR
   8. Export Control Type: FRE
   9. CFDA #: 47.050
   10. Pass Thru: No

<table>
<thead>
<tr>
<th>Type</th>
<th>Prime</th>
<th>Sub Agency</th>
<th>Department</th>
<th>Project Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>F</td>
<td>DOD</td>
<td>Army</td>
<td>AMRDEC</td>
<td>XXXXXX</td>
</tr>
<tr>
<td>C</td>
<td>SAIC</td>
<td>AMCOM EXPRESS</td>
<td></td>
<td>XXXXXXXXXX</td>
</tr>
<tr>
<td>C</td>
<td>COLSA</td>
<td>SBIR Phase I</td>
<td></td>
<td>XXXXXX</td>
</tr>
<tr>
<td>F</td>
<td>NASA</td>
<td>SSC</td>
<td>GSRP</td>
<td>XXXXXXXXXX</td>
</tr>
<tr>
<td>F</td>
<td>NASA</td>
<td>MSFC</td>
<td></td>
<td>XXXXXXXX</td>
</tr>
<tr>
<td>A</td>
<td>AAMU</td>
<td></td>
<td></td>
<td>XXXXXXXXXXX</td>
</tr>
<tr>
<td>S</td>
<td>Alabama</td>
<td>ADECA</td>
<td></td>
<td>XXXXXXXXXX</td>
</tr>
</tbody>
</table>
- New award and amount. Find this in the award document.
- Cost sharing (if applicable) broken down by line item, amount and department providing it.
- Deliverables such as any reports due to the agency and when they are due. Find this in the award document.
- The percent of effort the PI and Co-I will be doing research.
- The thrust area used for the proposal.
- The F&A rate.
- The type of contract such as CR = Cost Reimbursable, FP = Fixed Price, etc. Find this in the award document.
- The Export control type which could be:
  - Fundamental Research Exemption (FRE): Most grants that do not have any export control clauses or notice
  - Export Control Notice: If there possibly could be any export controlled information
  - Export control clause: If there are any export controlled clauses in the contract

3. In the first option below, indicate if the award is fixed price or no by putting an X or NA. Then in the This award is... section, ask the PI to indicate the type of research.

<table>
<thead>
<tr>
<th>NA</th>
<th>This is a fixed price award and the fiscally responsible unit agrees to cover any cost overruns incurred in ensuring completion of the effort as required in the attached agreement.</th>
</tr>
</thead>
<tbody>
<tr>
<td>X</td>
<td>This award is (check one):</td>
</tr>
<tr>
<td></td>
<td><strong>X</strong> Basic (Fundamental) research which is research undertaken primarily to acquire new knowledge without any particular application or use in mind.</td>
</tr>
<tr>
<td></td>
<td><strong>NA</strong> Applied Research which is research conducted to gain the knowledge or understanding to meet a specific, recognized need.</td>
</tr>
<tr>
<td></td>
<td><strong>NA</strong> Development which is the systematic use of the knowledge or understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including the design and development of prototypes and processes.</td>
</tr>
<tr>
<td></td>
<td><strong>NA</strong> Instruction includes agreements which support curriculum development as well as all types of teaching/training activities, whether offered for credit toward a degree or certificate, on a non-credit basis, or through regular academic departments or by separate divisions, summer school or external division.</td>
</tr>
<tr>
<td></td>
<td><strong>NA</strong> Other sponsored activities are programs and projects which involve the performance of work other than instruction and organized research. Most projects in this category do not involve students or benefit from the library.</td>
</tr>
</tbody>
</table>
4. **Signatures** is the section in which approvals from the PI, your supervisor and Gloria are indicated via their signature. Circulate the DAS to the PI first, then internally in OSP.

![Signatures section]

B. DAS for a Modification/Amendment/Supplement

A DAS for a modification or amendment is processed similar to a DAS for a new award. Refer to p 82, A. The major differences are as follows:

1. Next to the **Contract Number**, indicated the mod # or amendment #. Example mod 8, amend. 8
2. In the **Account Number** section, enter the org and fund number corresponding to the contract.
3. In the **Points of Significance** section, note the information that is being changed per the award documentation.

C. No proposal DAS

A no-proposal DAS is completed similarly to the DAS for a new award. Refer to p 82, A. The major differences are as followed:

1. A proposal will need to be set up
2. After the main first page, there are two pages of certifications that need to be sent to and completed by the PI along with the DAS.
XI. De-obligation

A de-obligation is a decrease in funding on an award that may be open or closed. Before processing a de-obligation, the following documentation must be received:

A. De-obligating Ongoing Awards

1. A modification or some sort of official documentation requesting the de-obligation must be received. Check with C&G first to make sure the account will not be overrun if funds are de-obligated.
2. Send a DAS to the PI to make sure he is aware of the de-obligation.
3. Complete and circulate a DAS. Refer to pp. 82-85, DAS.
4. Process the De-obligation in the database using the following steps:
   - Process in the database as a normal modification. Refer to pp. 103, Modification/Amendment/Supplement.
     NOTE: You will need to decrease the award value as well as the funding amount for an ongoing award.
   - Process a budget change to decrease the account. Refer to pp. 15-34, Budget Change Process.
   - Process a distribution (green) sheet
   - Send the distribution to C&G Accounting

B. De-obligating Closed Awards

1. A modification or some sort of official documentation requesting the de-obligation must be received. Check with C&G first to make sure the account will not be overrun if funds are de-obligated.
2. Send a DAS to the PI to make sure he is aware of the de-obligation.
3. Complete and circulate a DAS. Refer to pp. 82-85, DAS
4. Process the De-obligation in the database using the following steps:
   - No DAS or signature needed unless asked for on the mod
   - Process in the database as a normal modification. Refer to pp. 103, Modification/Amendment/Supplement.
     NOTE: Do not decrease the award value; only the funding amount for a closed award.
   - Process a distribution (green) sheet. Refer to pp. 98-100, Green Sheet.
   - File green sheet and send files to closeout closet
XII. Distribution

a) The distribution needs to be sent to C&G and a copy kept for our file. It should be comprised of the following documents:

- **Award document**: It may be a contract, grant, authorization to proceed or official document
  - If this is a modification, amendment or change to an existing award, include that official document. We keep the original document.
- **Account Create**: This is only for new awards.
- **Budget change**: Only needed if funding is being added or decreased.
  - If it is a leave loaded award, be sure to include the leave loaded spread sheet.
- **Green sheet**: This includes the noted changes to the award. This document should be copied onto green paper.
- **Proposal Budget**: Send this with distributions for new awards or budget revisions.

b) The distribution should be scanned, and uploaded to the Accounts folder on the server with the corresponding org and fund number. Then a copy should be emailed to the PI and his budget analyst or administrative person.
XIII. Effort Report

The effort report is a document that shows the tracked effort of PIs for all of their current awards.

1. Go to the Contract Menu

2. Click on Effort Report
3. When the following screen will appears, choose the applicable PI (Researcher) and the start and end date of the award:

![Researcher Effort Reports Screen](image1)

4. Click *Create Chart* to take you to the effort report for that period:

![Researcher Effort Reports Screen](image2)
5. The effort report is explained below:

- Arrow 1: The green filling corresponds to the percent of effort the PI is working on the left side. 
  
  **NOTE:** If the effort exceeds 100%, contact the PI to realign his effort on his accounts.

- Arrow 2: The various research organization (org) numbers the PI has are indicated.

- Arrow 3: The period of performance for each org number is given.

- Arrow 4: The percent of effort for each org number is given.

- Arrow 5: The actual effort period for the PI is indicated.

- Arrow 6: Comments tell any special information about the effort on the org.
XIV. Equipment Form (Tangible Property Purchase Approval Form)

If a PI requests to purchase equipment or computer hardware/software, usually on a requisition, an equipment form must be completed and attached to the request. The equipment form can be found on OSPs website under Research Forms. This form must be completed by the PI and attached to the requisition that has been approved by the contract administrator. Refer to pp.123-131, Requisitions.

The requisition should be accompanied by a quote for the purchase. The following steps show how to review the document by breaking into sections:

1. In the first section check the basic information as follows:

   ![Requisition Form Example]

   - Requisition No.: Found on the requisition
   - Agency: The name of the agency giving the contract
   - Department: Name of the requesting UAH department
   - Location: Where the equipment will be housed
   - Org. No.: Found on the requisition
   - Award No.: The contract number
   - Budget Unit Head: PI on the contract
   - Custodian: Person responsible for use of the purchase; usually the PI

2. The Item Information section:

   ![Item Information Example]

   - Description and intended use: should include a short, detailed explanation of the purchase and how it will be used.
   - Manufacturer: should state the company that makes the purchase and match the quote.
• Estimated Cost: should state the cost of the item and match the quote.
• Model No.: should match the quote.

3. In sections II. General and III. Approval, use the contract to make sure that the areas they have checked are correct. If the Item is sole source, make sure the department has attached that form.

4. In section IV. Certification, make sure they have selected an option under A. and that the PI signs and dates in B.
5. Once the other sections are reviewed, give the requisition to the Government Property Specialist who will review and sign section V. Certification. He will review it and return it to you.

---

V. CERTIFICATION
By signing this document, I am certifying that:

A. APPROVAL (Yes/No)
   _____ All required approvals have been received from the contracting agency.

B. SCREENING (Check One)
   This item has been screened through the University's inventory and is not available for the following reason:
   - Not required (item cost is under $10,000 threshold for screening of UAH inventory)
   - Not available (item is not in inventory)
   - In use on another contract.
   - Obsolete (state of disrepair or no longer state-of-the-art)
   - Other:

C. TITLE (Check One)
   - State
   - Government
   - Other ____________________________

---

Government Property Manager ____________________ Date ________________
XV. Export Control Form

The Export Control form is a document that indicates whether there are export controlled data on a contract. It is a two-page can be found on the server by going to the General folder > OSP-Forms and choosing the file entitled Export Control Review Form. Each new award needs to have one completed.

Review the form the steps below will show how to do this by breaking the form into sections, addressing each item from top to bottom, left to right.

1. In the first section, the contract administrator must complete the required fields:

   ![Export Control Form Image]

   a. Title of Sponsored Research: Enter the title of award.
   b. Contract Number: Enter the identifying number on the award document.
   c. Principal Investigator: Enter the PI’s name.
   d. Fiscally Responsible Unit: Enter the PI’s college or center.
   e. Sponsor: Enter the name of the funding agency.

2. In the next section, each question must be answered according to the terms of the contract or grant. If any of the questions has a yes answer, it must be sent to the Office of Counsel for approval and then to the PI to sign and complete the second page EAR/ITAR information. The form does not need to be sent to the PI if the contract or grant is Fundamental Research Exempt (FRE).
3. The next section only requires signatures if the answer is yes to any of the previous questions. In that case you would have sent the export control form to the Office of Counsel for them to review the clause and give approval. If they give approval via email, there is no need for signature on this form. Just make sure to attach the email.
4. The final section must be completed and signed by the PI if any of the questions in step two are answered yes. If no questions were answered yes, there is no need for the PI to complete and sign the form.

PART II: TECHNICAL REVIEW (To be completed by Principal Investigator)

To All Principal Investigators: The Office of Sponsored Programs (OSP) has determined that the sponsored research agreement for the project identified above contains provisions that may require University compliance with export control laws and regulations that are issued by the Department of Commerce and/or State. A final determination of the applicability of those regulations to this particular project depends on whether the research falls within a category of technology the government had determined raises particular issues of national security or economic interest. As the Principal Investigator for the project, you are the person most qualified to decide if your research falls within covered areas. Please note that your project should be reviewed periodically as the applicability of export control regulations could change based on the direction of the research, changes in the status of controlled information and technology or changes in the law and regulations.

Procedure: You will have to review descriptions of technologies that are controlled by the International Traffic in Arms Regulations (ITAR), 22 CFR Section 121.1 (http://www.pmtrc.org/docs/ITAR22 CFR Part-121.pdf) or Export Administration Regulations (EAR), 15 CFR Section 744, Supp. 1 (categories 0-9) (http://www.access.gpo.gov/bis/ear/pdf/indexxcl.pdf) and decide if the technology involved in this particular project falls within one or more of those categories. Principal Investigators reviewing NASA-funded projects are encouraged to use the “NASA export Processing Template” (which is also used by you NASA technical counterpart) which can be located at http://www.hq.nasa.gov/office/cpr/nasaepp/ecpman.html. If you would like additional information on export control laws and how they may affect University research, you may wish to read the material available online in the Export Control section of the OSP website at: http://www.uah.edu/research/resadmin/information/compliance/export_control.html.

If you have any questions, contact Gloria Greene, Director, Office of Sponsored Programs at 824-2657 or greeng@uah.edu.

CERTIFICATION
(Please complete and return to Contract Administrator assigned to this Project.)

I have reviewed the relevant EAR and ITAR regulations and determined that Sponsored Research Contract Number __________ (select the appropriate response)

☐ 1. Does not involve technologies that are covered by either the EAR or the ITAR:

☐ 2. May involve technologies that are covered by either EAR or ITAR:

☐ 3. Is dominated by EAR or ITAR-governed technology, specifically (Identify category by name and section)

☐ 4. Includes discrete, easily identifiable and separable research components that are within the scope of an ITAR-governed technology, specifically (identify category by name and section)

☐ 5. Includes discrete, easily identifiable and separable research components that are within the scope of an EAR-governed technology, specifically (identify category by name and section)

I understand that if boxes 2, 3, 4 or 5 are selected by me, this matter will be referred to the Vice President for Research and my Department Chair/Dean or Research Center Director for further review.

Printed Name, PI  
PI’s Signature  
Date
XVI. Folder Set-up

A. Green Folder (Bottom to top)

Right Side
- Document from proposal folder
- Export Control Form or Effort Report
- DAS
- Other emails/documentation by date of correspondence

Left Side
- Budget (proposal)
- Award document/Original contract
- Green sheet
- Any other distributions

B. Red Folder (Bottom to top)

Right Side
- Account Create Form
- Budget Change Form
- Leave Loaded Form (if applicable)
- Other financial documents in the order they are processed. (e.g. transfer authorizations, requisitions, etc.)

Left Side
- Budget Statements

C. Red-Cost share Folder (Bottom to top)
- Account Create Form
- Budget Change Form
- Cost Share Memo

D. Yellow- Report Folder
- Copy of report
- Copy of transmittal letter
XVII. Green Sheet

1. On the Contract Menu Screen, click the Distribution Sheet option.

2. The Budget Change Distribution Sheet screen appears and complete it as follows:

- In the first field, enter the desired org, fund, or cost share number.
- In the second field, enter any extra names of people you would like to be included on the distribution sheet.
• In the third field, *Special Distribution Comments* enter any special information that C&G should know budget is not included on the other screens of the contract menu. Example: NCE thru 5/5/15

• On the left side of the last field, choose if a modification, amendment, supplement or none (new award) is being processed.

• On the right side of the last field, make sure the *Dollar Transaction, Print Budget Action Comments* and *Print Permanent Distribution Comments* options are checked.

  *NOTE:* When you are performing an action where no funding is being added or subtracted (such as a NCE), only the *print permanent distribution comments* should be checked.

3. Then click *Next*. The *Contract Distribution* screen appears. The following information on this screen should be reviewed to make sure it matches any changes to the database:

![Contract Distribution Table]

• **Period of Performance**: Make sure the dates match the award document

• **Award/Modification**: Make sure the amount is what is being funded for this particular budget period.

• **Total Value (Entire Contract)**: Make sure the amount here is the overall total value of the award as stated in the award document.
- **Reports Due**: Final: This is pre-populated, if applicable. Make sure this is correct.
- **Notes**: These are notes that were entered from the Budget screen and/or the previous screen. Make sure they are correct and correspond to what is in the award document.

4. After reviewing the green sheet, print it out and make two green copies.
XVIII. IPA

See instructions below from the OSP website on how to process the IPA:

OFFICE OF SPONSORED PROGRAMS
INTERGOVERNMENTAL PERSONNEL AGREEMENT (IPA) PROCEDURES

The following procedures will be implemented for proposing and billing IPAs.

An IPA is an employment agreement between the University of Alabama in Huntsville and a Federal Agency, i.e., NASA, DOD, Navy, Air Force, etc.

IPAs are usually for a period not to exceed two years. Some agreements may be extended for an additional period not to exceed two years.

The individual must be a UAH employee for a period not less than twelve months prior to being placed on an IPA. While in an IPA status, the UAH employee will be governed by all federal guidelines governing a federal employee.

The employing agency will be responsible for all security clearances and training of the IPA while for the duration of his/her appointment, in accordance with the employing agency’s security policies and procedures. The employing agency will be responsible for all export control requirements while the individual is in an IPA status.

Proposal Preparation

Once OSP is notified by the appropriate college or center of a potential IPA, the Contract Administrator will prepare the proposal budget. If the individual is not a current UAH employee, the Contract Administrator will prepare two (2) proposal budgets as follows:

Non-UAM Employee:

A twelve-month proposal budget will be prepared in accordance with the individual’s offer letter. This proposal will include at a minimum the actual salary, fringe benefits calculated at the current rate, unless otherwise noted; and the on campus research Facilities and Administrative (F&A) cost unless otherwise noted.

This cost will be proposed at 100% of effort over a twelve-month period at a minimum. If other cost, i.e., travel and operating expenses are allowed, these costs will be
proposed with the applicable F&A cost applied.

**IPA Budget:**

1. The IPA budget will be prepared as follows:
   a. For a period of two (2) years.
   b. All IPAs (amendments and modifications) will be calculated as per the attached Sample IPA Budget.
   c. This amount will be divided by 2080 hours to calculate the hourly rate.
   d. The IPA account will be set up as follows:

<table>
<thead>
<tr>
<th>Account Codes</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>6150</td>
<td>Prof-Non Faculty</td>
</tr>
<tr>
<td>6500</td>
<td>Fringe Benefits (34%)</td>
</tr>
<tr>
<td>7910</td>
<td>F&amp;A (9%)</td>
</tr>
</tbody>
</table>

IPA salary is escalated by 5% each applicable fiscal year. This 5% escalation is not a cost of living increase but a projected merit increase as noted on the OSP Financial Data Sheet.

2. The following statement will be added to all IPAs in the block 26: “The second year costs will be adjusted based on actual costs experienced during the first year. At the end of the IPA assignment, the agency will fund UAH for any unused leave earned during the assignment to the extent that this leave remains an obligation of UAH to the assignee.”

**Billing Procedures:**

3. OSP will negotiate the invoicing terms. UAH’s preferred method of billing will be to invoice for actual expenses (cost reimbursable).
   a. Once the IPA terminates, C&G Accounting will submit an invoice to the funding agency for the balance of all unused leave which reflects a continuing obligation of UAH to the IPA assignee — regardless of FY in which leave was not used.
   b. C&G Accounting will bill IPAs in accordance with instructions noted in block 27 of the IPA document. C&G Accounting will also follow-up on unpaid invoices coordinating with OSP and the PI as necessary.
XIX. Modification/Amendment/Supplement

These are documents received from the agency to make changes to existing awards, such as adding funds, extending POP, etc.

A. Processing a Modification/Amendment/Supplement

1. Review the document to see what information is being changed. Popular changes are:
   - POP change
   - Addition or decrease of funding
   - Stop work order
   - Etcetera
2. Do a DAS (Refer to pp. 82-85, DAS) which will include the noted information. Then circulate it to the PI, Supervisor and OSP director.
3. Process in database according to the information that is being changed, making sure to add the mod # on the first screen of the database as shown.

4. Do a distribution (Refer to pp. 87, Distribution) which should include:
   - Budget change (if applicable).
   - Green sheet. Refer to pp. 98-100, Green Sheet.
   - The modification document.
XX. NCE or POP Request

To extend a contract/grant you will request a NCE. The NCE extension will grant extend the period of performance but requires no additional funding.

A. Requesting an NCE

1. Find out the new end date the PI desires.
2. Get a justification or reason from the PI as to why the contract/grant needs to be extended.
3. Draft a letter to the agency requesting the extension as shown in the sample letter and the explanation that follows:

September 26, 2013

Dr. Business Man  
Contract Program Manager  
Company, Incorporated  
1000 Commercial Blvd  
Edwards AFB, CA 93524

Re: Contract ABCDEFG

Dear Dr. Man:

The University of Alabama in Huntsville, on behalf of the Principal Investigator, Dr. Research Guy, hereby requests a five-month no cost extension to **31 May 2010** on the above referenced contract.

This extension is needed to meet the continue research and complete final publications on this contract.

If you need additional technical information or assistance, please contact Dr. Guy at (256) 824-####. For additional administrative or contractual questions, please contact the undersigned at (256) 824-####.

Sincerely,

Contract Administrator Name  
Contract Administrator  

Cc: Dr. Research Guy (PI)
• Make sure the agency address and point of contact is included in the letter-find this info in the file.
• For the subject line include the contract #
• In the first paragraph PI's name, the # of months needed and the new end date.
• The 2nd paragraph is the justification: an explanation of why the extension is needed.
• In the 3rd paragraph change the PI's and contract administrator information.
• Sign and scan the letter to send via email.

4. Send the email to the agency and copy the PI.
5. Once approval is granted via a modification or official agency documentation, update the POP in the database. Refer to p. 105 B., Processing the NCE in the Database.
6. Update the PI’s effort for the new period. Use the same percent of effort the PI was working previously. Refer to p. 105 B., Processing the NCE in the Database.
7. Do a distribution for C&G to update the POP. Refer to p. 87, Distribution.

B. Processing the NCE in the Database

1. After entering the org number in the Contract Menu and clicking enter, choose the contract number on the left side of the Contract Search screen.
2. Next, enter the new end date in the Ending Period of Performance field and click Update.
3. At the bottom of the screen, click on the org and fund number to take you to the first screen of the *Contract Menu*. 
4. In the *Modification Number* field, enter the mod, amendment or supplement number if applicable. Then in the *POP* field enter the new end date. Finally click the *Update* button followed by the *Next* button in the top right corner.
5. Click Next for three screens. At the third screen you will be able to update the PI’s percent of effort. It should be the same as the last period. Click Add Track.

![PI Effort Tracking Information](image1)

6. Enter the new information for the Percent of Effort, Start Date (which is typically the day after the previous end date) and End Date of the NCE.

![Account Effort Tracking](image2)
7. You will then be returned to the beginning screen where you will see the updated information as highlighted below.

8. A distribution should then be done for the NCE. Refer to p. 87, Distribution.
XXI. Out of Office notice

A. Voicemail Set up
   1. Pick up the phone receiver and press the Message button on your phone and the automated voice will begin to speak.
   2. Press *82 at any time which will give you the option of which greeting you would like. Choose option 3 for your temporary greeting.
   3. You will then press 5 to record the greeting; then press the pound key to stop recording.
   4. Press 2 to review the greeting.
   5. Press 76 to delete it if you are not satisfied and 5 to record it again.
   6. Press 9 to set the expiry date as prompted, pressing pound after each entry.
   7. The automated voice will repeat the options you have chosen.

B. Email Set up

   1. Go to the Google mail interface and click on the Settings button in the top right corner of the screen and choose the Settings option
2. Scroll down to the Vacation Responder section. Fill out according to the screen shot below. Then click the *Save Changes* button on the bottom of the screen.
The screen will change to show at the top of the screen that the Out of Office message has been set and give you the option to *End Now* or edit your *Vacation Settings*.
XXII. PI change on contract/grant

1. Find out who the new PI is and get a resume from him.

2. Send an email to the company requesting a PI change, give a justification and attach the PI’s resume. See sample email that follows:

   This email is to inform you of a change in the principal investigator on Contract ABCDEFG account entitled F/CompanyName/Very Important Research. The University of Alabama in Huntsville requests that the PI is changed on this contract from Dr. Research A. Lot to Dr. Inves T. Gate who is currently a co-investigator on this account. His resume is attached.

   Justification: Dr. Lot has relinquished his status of PI on this account.

   Please respond to verify receipt.

   Thank you,

   Contract Administrator Name

3. Do a DAS (Refer to pp. 82-85, DAS) once approval is received from company.

4. Update the database and do a green sheet (Refer to pp. 98-100, Green Sheet).
XXIII. Program Income

"Program Income" means gross income earned by the recipient that is directly generated by a supported activity or earned as the result of an award (OMB Circular A-110, see below.) Program income should be accounted and expended according to the terms and conditions of the applicable contract/grant. In the event that the award terms are silent on this issue, the provisions of OMB Circular A-110, section .24 apply. Please note that some funding agencies expect the first expenditures to be made to the program income account and then to the agency funds.

1. In instances where the contract or grant is involved in any manner with the income producing activity, a separate 5-xxxxxx account should be established to expend the program income. Give the account a title that identifies it as "Program income for 5-xxxxxx" (the contract/grant award account that the program income supports.)
   - If there was no proposal for this, set up the proposal. Refer to the Pre-award proposal guide.
   - Create & circulate a DAS. Refer to pp. 82-85, DAS
   - Create the new account as explained above. Refer to pp. 36-56, Converting a Proposal to an Award.
2. When funds are collected (e.g., registration fees for a meeting), they should be taken to the appropriate Contract Administrator who will prepare a modification (Refer to pp. 103, *Modification...*) to the Program Income account. The P.I. should then send an "increase funds" *Request for Budget Change* form to OSP. Refer to pp 15-19 A., *Budget Change for Increase or Decrease*. This form will increase the "5" account credit by the amount of the deposit.

Funds credited to the "5" account should be credited to the account codes from which you plan to spend the money, including account code 7900 (F&A.) The "reason" section at the bottom of the form should indicate that this is program income. [In calculating the cost of registration fees, seminar fees, etc., the P.I. should include F&A costs. When program costs are paid from the program income account, C&G Accounting will debit F&A costs along with the direct costs. This means that an increase budget change for $2,000 in fees should have $1,374.57 credited to a direct charge account code (usually "7000") and $625.43 credited to account code 7900. This example assumes a 46.5% F&A rate.]

3. This is a "5" account and all actions are processed through OSP just like other "5" accounts.

4. When a program income account is established, the Contract Administrator should review the award document, the agency regulations and *OMB Circular A-110* to determine the program income regulations and order of precedence governing this situation. The Administrator should provide this information to the C&G Accountant and the P.I. These regulations will determine the precedence of expenditure and the disposition of funds remaining at the end of the award.
XXIV. Progress Report

Progress reports are due as often as the agency requires—quarterly, semi annually or annually.

1. In the database, go to the third screen of the Contract Menu- Account Reporting Information as shown. It should be completed as follows:

- **Draft Due Date or Final Due Date:** Enter the date in the field. You can find this information on your DAS or the award document.
- No Technical Reports Required: Check this box if no technical reports are required
- **Technical Reports:** Choose the frequency or type as per the award document. If Monthly Report, enter the day of the month in the field below that option.
  
  *NOTE:* If the final is required, click Yes.
- **Non Technical Reports:** Choose the type as per the award document.
2. Click the Update button on the top right of the screen and you will see that the *Reports* section is filled with the specified type of report, date it is due and the ability to edit the information.
3. When a report is received from the PI, click on edit for that specific report as shown.

<table>
<thead>
<tr>
<th>Reports</th>
<th>Date Received</th>
<th>Type</th>
<th>Due Date</th>
<th>Date Received</th>
</tr>
</thead>
<tbody>
<tr>
<td>B</td>
<td>12/27/2011</td>
<td>Received</td>
<td>12/15/2011</td>
<td></td>
</tr>
<tr>
<td>A</td>
<td>1/27/2012</td>
<td>Received</td>
<td>1/25/2012</td>
<td></td>
</tr>
<tr>
<td>F</td>
<td>10/27/2012</td>
<td>Not Received</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Ending Period of Performance: 10/27/2012

4. On the screen that follows you will be able to update the received report information

- Report Type: This is a pre-populated field.
- Due Date: This is a pre-populated field.
- Received: Choose the Yes option for a received report.
- Date Received: Enter the date the report was received
- Special Info: Enter any information that is out of the ordinary related to the report.
5. Then click the *Update* button in the top right corner to display the updated report information as highlighted below.

6. Print a copy of the report & the email and put them in the appropriate file folder.
XXV. Purchase Card (P-Card)

The P-Card is an expenditure method for the PIs to purchase research materials and supplies. The PI Below is the most updated information of what was agreed upon by the Procurement Card Committee for all departments utilizing research funds.

A. Reviewing and Approving the P-Card Application

1. The prospective Cardholder will complete the application for a Procurement Card. Each line of the form should be completed as indicated unless it duplicates a previous response.

2. OSP should verify the information, sign the form and forward it to Procurement.
3. Special areas to note:
   - In the Authorized FOAPAL field, if multiple org numbers are being used for this P-Card, a separate sheet should be attached indicating this. Check the balances in Banner and note them next to the org numbers.
   - The suggested spending limit should be marked as other and the amount written on the form if the account has less than $2,000.

B. P-Card Purchase Guidelines

1. For frequent and same vendor/commodity purchases, a duplicate APPROVED Grant Purchase Request / email can be utilized as prior approval when using the Grant Procurement Card.

2. The Departments/Centers are should send notification to asking approval for purchases on the P-card prior to making the purchases. These are not courtesy notifications; they require our approval and response to the Requestor. Make sure when you receive the email from the Department/Center, it includes the vendor name, item, price and org/fund number before approving. If the request doesn’t have this information, ask for it.

3. When sending the approval back to the Requestor, add Purchasing (pcard@uah.edu) to the reply.
XXVI. Realignment/Revision (budget)

1. Check the agency requirements for the amount they allow to be realigned without their approval.

2. To realign funding above the allowed amount without agency consent on a contract or grant, we must go back to the funding agency.

3. On a contract, request permission from the company, if the funds will be realigned for equipment or software and ask who it will vest with: us or them. A revised budget may be required for the realignment. The agency will specify this.

4. Once the realignment/revision is approved, complete a DAS (Refer to pp. 82-85, DAS) and get all approvals.

5. Once you receive the approved DAS, update the database and process a budget change if any funding is being added or decreased. Refer to pp. 15-19 E., Budget Change for Increase or Decrease.

6. Do a distribution. Refer to pp. 87, Distribution.

XXVII. Requisitions

The requisition is a form used to purchase items, reimburse personnel for purchases and pay individuals/award fellowships or scholarships.

A. Accessing the Requisition in Banner

1. Log in to Banner and choose the Finance option.
2. Choose the *Approve Documents* option.

3. In the *Approve Documents* screen, select the *All documents which you may approve* option and click the *Submit Query* button.
4. The list of requisitions to be approved will appear. Locate the desired requisition and choose one of the following options:
   - Document: click on the document number to view and print the requisition.
   - Approve: click this option when the requisition has been reviewed and ready to approve.
   - Disapprove: click this option if the requisition needs to be denied for non-allowance.
5. After clicking the requisition number, the requisition form will appear. You may then review and approve it. Refer to pp. 127-130, *Reviewing & Approving the Requisition.*
B. Reviewing & Approving the Requisition:

1. Review the Requisition Header by checking the following sections of it:
   - **Requestor**
   - **Ship To:** This should always be UAH Central Receiving
   - **Vendor:** Be aware that the vendor should correctly correspond with the requisition request

   ![Requisition Header](image)

<table>
<thead>
<tr>
<th>Requisition</th>
<th>Order Date</th>
<th>Trans Date</th>
<th>Delivery Date</th>
<th>Print Date</th>
<th>Total</th>
</tr>
</thead>
</table>

   - **Origin:** SELF_SERVICE
   - **Complete:** Y
   - **Approved:** N
   - **Type:** Procurement
   - **Requestor:** Peggy N. Kauffman
   - **Phone Number:** 256-961-7768
   - **E-mail:** peggy.kauffman@nsstc.uah.edu
   - **Accounting:** Document Level
   - **Ship to:** UAH Central Receiving Bldg
     - 301 Sparkman Drive
     - Huntsville, AL 35899 United States of America
   - **Attention:** Peggy N. Kauffman
   - **Vendor:** A25122791 Neely Coble Company Truck Center
     - P.O. Box 1249
     - 403 Beltline Road
     - Decatur, AL 35602
     - **Phone Number:** 256-350-1630
     - **Fax Number:** 256-301-1843
   - **Document Text:** Quote Number: Q33566

2. Make sure you have received back up documentation such as quotes, receipts, etc. Then, review the Requisition Commodities by checking the following sections of it and comparing them to the backup documentation:
   - **Description:** Be sure it is an allowable purchase
     
     **Note:** For a computer, hardware or software Purchase, complete an equipment form which Scott will need to approve (refer to p. 91-93, Equipment Form). The requisition should be stamped with the equipment stamp.
- **Qty**: Make note of the quantity being purchased
- **Unit Price**: This is the price of each item being purchased
- **Ext Amount**: This is the Qty times the Unit Price
- **Cost**: this is the total cost of that purchase line
- **Total**: this is the total cost of all purchase lines added together

![Requisition Commodities Table]

3. Review the *Requisition Accounting* section by checking the following areas of it:
   - **Fund/Orgn**: These are the account numbers. Check the database or file to make sure the period or performance has not ended. Then check the operating balance in Banner. Refer to p. 1-6, *Account Balance*. Sufficient funds should be available to make the purchase.
   - **Acct**: This is the account code. Make sure it corresponds to what is being purchased. Refer to p. 7-12, *Account Code List*.
   - **Amount**: This tells how much will be charged to the specified account code. This can differ from the *Total* if two or more org/fund numbers are being used.

![Requisition Accounting Table]

☑️ No Related Documents Available
4. Once you have reviewed the requisition, go back to steps 1 and 2 to get to the *Approve Documents* screen. Then click *Approve* for the corresponding requisition.

**NOTE:** Requisitions cannot carry over to next month; Banner will not allow you to approve them. Disapprove the requisition, contact Purchasing to re-set it, then the department to re-approve it. It will then reappear in the queue for approval.

5. The next screen confirms that the first part of the approval process has been done. Click the *Approve Document* button to complete the approval process.
6. The document is now approved. Click the *Continue* button to take you back to the requisition approval screen. Stamp the hardcopy of the requisition with the approved stamp and initial it.

C. Equipment & Computer Purchase on Requisitions (Equipment Stamp)

If a PI requests to purchase equipment, software and computer products usually on a requisition, an equipment form must be completed and attached to the request. Refer to p. 91-93, *Equipment Form*. The requisition must also be stamped with the red equipment stamp which is usually located in the main area of the office suite.

The equipment stamp must be completed as in the figure and as follows:
1. **TITLE:** The equipment title is determined by the agency. Review the contract/grant documentation to see if the equipment is:
   - State owned or
   - Government owned or furnished

   **NOTE:** If materials & supplies are being purchased to be part of a computer system that is on the same contract or grant, look in the agency handbook to see who the title will vest with. If materials & supplies are being purchased to be part of a computer system that is on a different contract or grant, title will vest with us.

2. **AGENCY:** Write the name of the company or agency and the contract/grant number.

3. **LOCATION:** This information will be on the equipment form.

4. **Exempt:** Choose this option if the title is State (UAH); **Non Exempt:** Choose this option if the title is not State (UAH)

### XXVIII. Risk Account/Memo

During the course of a contract or grant a situation may arise in which the P.I. needs to obligate funds at risk. Examples might be: continuing to work past the contract end date with a contract extension request in process, issuing a letter of authorization to a subcontractor or ordering un-proposed equipment prior to receipt of agency approval, submitting expenditures against an account with a deficit balance pending receipt of new funds, or opening an account prior to receipt of the award document.

In each of these situations, the agency could withhold the contractual action and the university would be responsible for the expense incurred. In any situation such as this, the university cannot proceed without a risk memo stating that, in the event the agency action does not take place, the expense incurred at risk will be paid from non-contract/grant funds.

#### A. Risk Memo for Pending Awards (Risk Account)

If you have submitted a proposal and are awaiting award from the agency but the PI wishes to begin work on the project, a risk account can be set up. The form will be completed and sent to OSP by the PI. How to review and check the form will be shown below in sections.

##### a. Completing the Form for a Risk Account

The risk memo form will be completed and sent to OSP by the PI. How to review and check the form will be shown below in sections.

1. The first section requires general identifying information:
• **From**: The name and center or department requesting the risk account should be present.

• **Date**: The date of the request should be present.

• **Subject**...: The corresponding proposal number which is pending award should be present.

• **Risk Org Code**...: A non-research account number should be present.

  *NOTE*: A contract/grant or a cost sharing Banner account is NEVER used for a risk account.

• **Risk dates**: The dates the PI wants the risk account to be set up for should be present, up to 90 days.

• **Pending receipt**...: The name of the agency that will grant the award should be present and the amount of funds that are being risked.

  *NOTE*: If more than $5000 is being risked, a justification should be attached which addresses:

  o Who is authorizing the new funding (the agency point of contact)?
  o What is the reason for the risking of funding?
  o When are funds coming in?
2. The last section requires signature approvals. The PI signature is always required. The other signatures are needed according to the explanation given on the form:

At the end of the risk period, if the agency has not provided funding, the expenses will be charged to the Risk Org Code by C&G Accounting and the research org code will be frozen. Should the agency provide the funding or approve the request after the Risk Org Code has been charged, OSP will notify C&G Accounting to reverse the initial journal entry to the Risk Org code.

Principal Investigator: ___________________________ Name ________________ Date ________________
Chairman (if using a dept org as the Risk Org): ___________________________ Name ________________ Date ________________
Dean/Director (if using a dept org as the Risk Org): ___________________________ Name ________________ Date ________________
Contract Administrator: ___________________________ Name ________________ Date ________________
VP for Research (if using a ctr org as the Risk Org): ___________________________ Name ________________ Date ________________

Revised 1/09

- PI signature is always required.
- Chairman signature is required if the risk org being used is a college or department org
- Dean/Director signature is required if the risk org being used is a center org.
- VP for Research signature is required if the risk org being used is a center org.

3. Once all signatures have been acquired, the risk account will then be set up. Refer to pp. 133-136, *Converting the Risk Account to a Contract*. 
b. **Converting the Risk Account to a Contract**

Set up an account create as follows:

1. Click the *Create a Risk Account* option on the proposal menu.

2. Enter the proposal number in the field of the same name, and then click *Submit Query*. 
3. On the Proposal Search screen, click on the proposal number.

4. Enter the financially responsible department and the amount to be risked in the corresponding fields. Then, click the Create New Risk Account button.
5. You are given a fund and org on the next screen. Click Continue to move on.

![Creating Risk Account for Proposal]

6. The account create form screen pops up. Complete the form (Refer to pp. 136-138, Completing the Account Create for a Risk Account), attach it to the front of the risk memo and send it to C&G after making a copy for the file.

c. Completing the Account Create Form for a Risk Account

Complete the account create as follows, section by section, reading from left to right.

1. The first section requires identifying information:

![THE UNIVERSITY OF ALABAMA IN HUNTSVILLE Request for New Banner Fund, Organization, and Index]
• Organization/Index No.: Enter the new org number.
• Fund No.: Enter the new fund number.
• Date: Enter the current date.
• Prepared By: Enter the contract administrator’s name.
• Suggested account name: Enter the proposal title preceded by the agency acronym / agency name/. Example: C/Jacobs/Proposal title
• Financial Manager name, A#: The PI’s name and A number.
• Campus Address: The PI’s building and office number. Example: VBRH E-18.
• Fiscally Responsible Dept: The department the proposal went through.
• PI Home Labor Dept: Same as above.
• Funding Type: Indicate if the agency is commercial, federal, state, private or other.
• Amount: The amount indicated on the risk memo.

2. Complete the FRAGRNT section as follows:

- Thrust Area: The same as used for the proposal.
- Grant Number Assignment: Same as the fund number.
- Title: Same as the Suggested Account Name above.
- Prin. Investigator: As requested.
- Start Date: The start date the PI stated on the risk memo.
- End Date: The end date the PI stated on the risk memo.
- Sponsor Award No.: Enter the verbiage “RISK ACCOUNT”.

3. Complete the FTMFUND and FTMORGN sections as follows:
4. Complete the FTMACCI and approval sections as follows:

- Fund Number Assignment: The fund number as stated above.
- Indirect Rate: The F&A rate used in the proposal.
- Organization Number Assignment: The org number as stated above.
- Default Program: indicate the number for instruction, research or public service.
- Cost Sharing: Indicate whether cost sharing on the proposal- ‘Yes’ or ‘No’.

- Index Code Assignment (left side): The org number as stated above.
- Index Code Assignment (right side): The fund number, preceded by ‘G’. Example: G27639.
- Fund: The fund number as stated above.
- Organization: The org number as stated above.
- Authorized Approval Signature: The contract administrator signs here.
- Date: Write in the current date.
B. Risk Memo for Existing Accounts

The risk memo should be completed by the PI and sent to the contract administrator. The contract administrator should review it as follows:

1. The first section requires general defining information:

   - **From**: The name and center or department requesting the risk account should be present.
   - **Date**: The date of the request should be present.
   - **Subject...**: The corresponding org number that is at risk should be present.
   - **Risk Memo for Research Org Code...**: A research account number should be present. 
     *NOTE*: A contract/grant or a cost sharing Banner account is NEVER used for a risk account.
   - **Banner Available Balance**: The amount of funds in the research account should be present and the date they were last available. Check the balance in Banner to make sure this amount is still there.
   - **Risk Org Code to use...**: A non-research account number should be present.
   - **Risk dates**: The dates the PI wants the risk account to be set up for should be present, up to 90 days.
2. In the second section, the PI should choose the option that is applicable to his situation. Each option is self explanatory.

2. In the second section, the PI should choose the option that is applicable to his situation. Each option is self explanatory.

   __A. Pending receipt of additional funds from (agency):__
   Amount of overrun allowed: $________________  (if more than $5,000, attach a justification)

   __B. Pending no cost extension from (agency):__
   Not to exceed available balance of: __________________  (if more than $5,000, attach a justification)

   __C. Pending receipt of additional funds and extension of period of performance from (agency):__
   Amount of overrun allowed: $________________  (if more than $5,000, attach a justification)

   __D. Pending approval for:
   Equipment purchase    Subcontract
   Foreign travel        Other (explain)
   Purchase amount allowed: $________________  (if more than $5,000, attach a justification)

   __E. No expenditures are allowed. C&G Accounting will not transfer the unapproved charges to the Risk Org Code while this risk memo is in effect. This is a one-time risk; no additional risk will be approved beyond the 90 day period specified in the subject area.

   NOTE: If more than $5000 is being risked, a justification should be attached which addresses:
   o Who is authorizing the new funding (the agency point of contact)?
   o What is the reason for the risking of funding?
   o When are funds coming in?

3. The last section requires signature approvals. The PI signature is always required. The other signatures are needed according to the explanation given on the form.

   At the end of the risk period, if the agency has not provided funding or approved the request, the related expenses will be charged to the Risk Org Code by C&G Accounting and the research org code will be frozen. Should the agency provide the funding or approve the request after the Risk Org Code has been charged, OSP will notify C&G Accounting to reverse the initial journal entry to the Risk Org code.

   Principal Investigator: ___________________________ Name ______________ Date ______________
   Chairman (if using a dept org as the Risk Org): ___________________________ Name ______________ Date ______________
   Dean/Director (if using a dept org as the Risk Org): ___________________________ Name ______________ Date ______________
   Contract Administrator: ___________________________ Name ______________ Date ______________
   VP for Research (if using a ctr org as the Risk Org): ___________________________ Name ______________ Date ______________

   Revised 1/09

   • PI signature is always required.
   • Chairman signature is required if the risk org being used is a college or department org
- Dean/Director signature is required if the risk org being used is a center org.
- VP for Research signature is required if the risk org being used is a center org.

4. You should then go to the first screen of the contract menu and in the Account Risk Memo section, choose Yes.

**NOTE:** Make sure to go back and change the status to No when the account has been taken of risk.
5. Once the risk memo has been completed and the information updated in the database, send a copy of the document and justification (if applicable) to C&G Accounting and put a copy in the file.

XXIX. Small Business Reports

These are for all contracts that require small business plan- contracts of $650k or more that have sub-awards. The reports are done semi-annually or per your contract.

A. Registration in ESRS

Each administrator will have to register on the ESRS site in order to utilize it.

[https://esrs.symplicity.com/contractor](https://esrs.symplicity.com/contractor). Follow the directions below from the ESRS website:

---

**eSRS Registration Process for Contractors**

1. Go to the eSRS Homepage at [https://esrs.symplicity.com/](https://esrs.symplicity.com/)
2. Select "For Contractors"
3. Select under the "New Users" heading, the "Register" button
4. Enter your company’s DUNS number. (Previously, this field was called the "Contractor Identification Number.") Please do not include any dashes when entering your DUNS number. Upon entering the DUNS, eSRS will pull the appropriate company information from the Central Contractor Registration (CCR) database and auto-populate most of the fields on the screen. You will still need to fill-in the required "contact information" fields. (If the auto-populate information is incorrect, you'll need to contact CCR rather than eSRS.)

   For security purposes, the password must meet the following criteria:
   1. Must be between 10 and 14 characters
   2. Must contain 2 of each of the following: lower case letter, upper case letter, number, special character (i.e., !, %, ^)

5. Once complete, make sure to select the "Submit" button.
6. Open your email to look for the eSRS registration notice. In the email, click on the provided eSRS link to confirm your information and to continue the registration process.
7. Proceed to the "eSRS Sign-In" screen.

*For Help: Federal Service Desk*
B. ESRS USER Guide

For detailed instructions on how to submit small business reports, go to the following link to access the ESRS User Guide:

http://www.esrs.gov/documents/esrs_contractor_user_guide_1.9.pdf

C. ESRS Quick Reference

For definitions and explanations of the ESRS website access the ESRS Quick Reference for Federal Government Prime Contractors:


XXX. Transfer Authorizations

Transfer Authorizations are used to transfer charges from one account to another. The form can be found on the OSP website under Research Forms. Cost transfers must be made promptly. In this context, "promptly" means that the cost transfer should be made no later than 90 days of the original transaction. Requests for cost transfers to be processed between 91 and 120 days must be signed specifically by the principal investigator and must also be approved by the applicable department chair. If under some rare circumstances it should be necessary to make a cost transfer beyond 120 days, then the applicable dean's signature will be required in addition to the signatures of the principal investigator and department chair. Requests for late (greater than 90 days) cost transfers should include an explanation of the extenuating circumstances which prevented the transaction from being made earlier.

Processing the Transfer Authorization

When you receive the form, review it. It should be accompanied by any applicable backup documentation for the charges. The steps below will show how to do this by breaking the form into sections, addressing each item from top to bottom, left to right.
1. In the first section the information date should be entered.

- The **TO: Budget Unit to be Charged** is the department or account that will incur the costs. That org number should be placed in the **Account number** field directly across from it.
- The **FROM: Budget Unit to be Credited** is the department or account from which charges are being moved. That org number should be placed in the **Account number** field directly across from it.

  **NOTE:**
  - Accounts (if research orgs) must be related UNLESS they tie to the same PO#.
  - Transfers can be done between state and research accounts
  - If a state account is used and the charge is in house (UAH), no Banner printout is needed because charges will not hit the account charged.
  - There has to be a charge made on the account number that they are transferring funds from (the **Budget Unit to be Credited**). Look in the backup to see this charge. It may be in the form of a Banner print out.

2. In the next section, **Description**, review the charges made. They should be allowable and match any backup attached as well as the amounts listed and overall price. No alcohol or entertainment can be charged.
3. In the last section, Approvals, make sure all applicable signatures are given.

- Make sure budget unit heads for both accounts sign (usually the PI or his proxy).
- Print and Sign on the line provided for OSP.
- Make a copy of the entire packet for the file.
- Send the original to C&G.
7.0 COST TRANSFERS POLICY

It is the responsibility of all departments and operating units to have in place internal controls that provide for the charging of all costs to the appropriate accounts. Therefore, transferring costs between accounts is considered legitimate only when necessary to correct an error, properly allocate charges between accounts involving closely related work, or redistributing charges in those few cases where the university’s billing systems will not allow for charging the appropriate amount to the proper accounts upon original posting.

In all cases, cost transfers must be made promptly. In this context, "promptly" means that the cost transfer should be made no later than 90 days of the original transaction. Requests for cost transfers to be processed between 91 and 120 days must be signed specifically by the principal investigator and must also be approved by the applicable department chair. If under some rare circumstances, it should be necessary to make a cost transfer beyond 120 days, then the applicable dean’s signature will be required in addition to the signatures of the principal investigator and department chair. Requests for late cost transfers should include an explanation of the extenuating circumstances which prevented the transaction from being made earlier.

Complete Cost Policy is located at: http://www.osp.uah.edu/documents/costpol.pdf
XXXI. Travel Authorizations

The travel authorization or TA is used for travelers to give an estimate of their expenses. It is found on the Accounting and Financial Reporting website under UAH Forms at this link: http://www.uah.edu/admin/Finance/forms.html.

A. Approving the Travel Authorization

1. Check the proposal budget to determine if travel is allowed.
2. Review the form reading from right to left as follows:

   ![Travel Authorization Form]

   3. Make sure the Name and Date fields are complete
   4. In the Charge To or Index number fields, enter the organization number.
   5. Check the organization number and pull the file.
   6. The Destination field there should be a city and state or a city and country.
      - If the destination is in Alabama visit the UAH travel guidelines at http://www.uah.edu/admin/Finance/Policies/UAH%20Travel%20Policy%20March%202009.pdf for the in state travel policy and procedures.
      - If the destination is out of the country, see the agency guidelines for the foreign travel policy.
      
      NOTE: Request approval for foreign travel from the agency if not in proposal or if it is an agency requirement. Give a copy of foreign TAs to Research Security once approved.
   7. Dates of trip must be within POP. The conference is only valid if it falls within the POP.
NOTE: If a person is adding vacation to their conference trip, they can only put charges for the conference days on their travel authorization. They must note which days are actual conference days and their expenses will be calculated using that measure.

8. In the Reason For Making Trip field the type of conference or meeting should be named. Reason for making trip must be valid. Google the conference to ensure its validity or review SOW to see if it is related to the travel Make sure the following questions are answered:
   - Is this a conference?
   - Is it agency directed or does it help fulfill the mission?

9. Estimate of Cost: Check the budget balance to see if funds are available. Refer to pp. 1-6, Account Balance. If funds are not available, get the department to move funds to operating. The department needs to move the funds first by sending a budget change. Then the TA can be approved.

   - Transportation: Refers to airfare which should be no more than a couple hundred more than the highest Expedia fare. OR if the individual is driving, they can estimate .555 cents per mile.
   - NOTE: Trips should typically leave and return to Huntsville, AL. Travelers should always drive to destinations less than four hours from Huntsville, AL.
   - Lodging: Go to GSA per diem site to make sure cost amounts are reasonable/allowable: http://www.gsa.gov/portal/category/21287 by searching the meal and lodging rates for the destination.
NOTE: If two people are sharing a room, only one person can claim the room charge on their travel authorization and get repaid. Then they can split it later.

- **Registration fee**: If a conference is named, Google it and search for the registration fee on the website.
- **Meals**: Meal allowance on contracts and grants is $60 per day, effective November 2012. Meals are charged for every day of the trip.
- **Personal/Rental Car**: Visit Expedia.com to get an estimate for the daily rental rate for a small car for one day less than the total trip.
- **Miscellaneous**: Should be as in the proposal budget. This is for extras like gas, taxi and hotel tips, etc.
- **Plans For reservations and tickets are as follows**: The traveler may or may complete this.

<table>
<thead>
<tr>
<th>Maximum amount allowed for reimbursement:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Traveler</td>
<td></td>
</tr>
<tr>
<td>Printed Name of Approver</td>
<td>Budget Unit Head</td>
</tr>
<tr>
<td>Printed Name of Approver</td>
<td>Dean of School</td>
</tr>
<tr>
<td>Printed Name of Approver</td>
<td>* Office of Sponsored Programs Administrator</td>
</tr>
<tr>
<td>Printed Name of Approver</td>
<td>Vice President</td>
</tr>
</tbody>
</table>

To ensure that the University’s travel reimbursement policies continue to qualify as an “Accountable Plan” (as defined by Internal Revenue Service guidelines), all travel claims shall normally be filed within sixty (60) days of the date that the expenses were incurred.

Form should be prepared in triplicate, a copy to be retained by the department and by the school and original to be sent to accounting.

*Signature and extra copy needed when any part of travel is charged to contracts and grants*

**An amended travel authorization is required if the total actual cost exceeds total estimated cost by more than 10%**

Revised 3-9-2012

- Maximum amount allowed for reimbursement: This should always be actual expenses.
- Traveler: The traveler should sign this line
- Budget Unit Head: The PI of the org number used should sign this line
- Dean of school: This should be signed by the applicable dean (for a college) or center director (for a center)
- Contracts & Grants Administrator: This line should be signed the OSP administrator last
- Vice President: If the traveler is a center director or dean (provost signature)
10. Make a copy of the TA for the file and return the original to the sender.

B. Processing Travel Authorizations in the Database

1. Go to the on the contract menu and click *Travel Menu*

2. Click *Create New Travel Authorization* and then next
3. Starting from the top and working left to right, use the travel authorization to complete the screen as follows:

- **Travel Dates**: Enter the beginning date of the trip
- **Thru**: Enter the end date of the trip
- **Estimated Cost**: Enter the total estimated cost
- **Blanket Auth**: The travel authorization will indicate if it is a blanket authorization for in-state travel and will include documentation. Choose the option that corresponds.
- **Type Travel**: Choose the Professional Research option
- **Inter**: Check this box if the trip is international
- **Destinations**: Enter the city being traveled to

- **State**: Enter the state being traveled to
- **Country**: Complete this only if the trip is international. Enter the name of the foreign country
- **Travel dates**: These fields allow you to enter travel dates for travel with multiple trips that may have different travel dates. In the first field enter the beginning date of the particular trip and enter the end date for that trip in the second field.

- **Travelers**: Enter the name of the traveler. If you have multiple TAs for the same trip, enter the name of each traveler on each line.

- **Accounts**: Enter the org number being used on the TA. If multiple org numbers are being used enter one per line.

- **% Expense**: enter the percentage of the cost is being charged to the corresponding org number.

- **Comments**: Any notes of interest may be added to this field.

4. Click the *Submit* button at the top of the screen to save the completed form.
   - The *Delete* button allows you to erase the information.
   - The *Exit* button allows you to leave the screen.
   - The *New Travel* button allows you to open a new screen to complete another TA.
   - The *Copy* button allows you to copy the currently completed screen and edit it for another TA if necessary.

C. **Updating Travel Authorizations in the Database**

1. Go to the on the contract menu and click *Travel Menu*
2. Then click on the *Edit/View Existing Travel Authorization* option

3. The screen that appears allows you to enter identifying information to get to the travel. It is best to enter the org number in the *Account* field, then click the *Find Travel* button.
4. The next screen will be the results of the search. Once you look through the results and find the desired travel, click the travel dates for the travel to take you to it.

<table>
<thead>
<tr>
<th>Travel Date</th>
<th>Travellers</th>
<th>Acct/Org</th>
<th>Destinations</th>
</tr>
</thead>
<tbody>
<tr>
<td>10/26/2009 - 10/30/2009</td>
<td>Arastoo Pour Biazar</td>
<td>745375</td>
<td>Washington</td>
</tr>
<tr>
<td>10/18/2009 - 10/21/2009</td>
<td>Yun Hee Park</td>
<td>745375</td>
<td>Chapel Hill</td>
</tr>
<tr>
<td>12/1/2009 - 12/3/2009</td>
<td>Arastoo Pour Biazar</td>
<td>745375</td>
<td>Boulder</td>
</tr>
<tr>
<td>10/17/2009 - 10/21/2009</td>
<td>Arastoo Pour Biazar</td>
<td>745375</td>
<td>Research Triangle Park</td>
</tr>
<tr>
<td>5/28/2010 - 6/7/2010</td>
<td>Arastoo Pour Biazar</td>
<td>745375</td>
<td>Paris</td>
</tr>
<tr>
<td>9/12/2010 - 9/18/2010</td>
<td>Arastoo Pour Biazar</td>
<td>745375</td>
<td>Istanbul</td>
</tr>
<tr>
<td>9/17/2012 - 9/21/2012</td>
<td>Arastoo Pour Biazar</td>
<td>745375</td>
<td>Newport</td>
</tr>
<tr>
<td>10/14/2012 - 10/18/2012</td>
<td>Arastoo Pour Biazar</td>
<td>745375</td>
<td>RTP</td>
</tr>
</tbody>
</table>
5. When the screen with the travel information appears, you can edit it, then click submit to save the revised information.