The University of Alabama in Huntsville

(UAH)

Office of Sponsored Programs

Subcontract Procedure Manual

Procedures/processes noted in this manual will be followed, unless otherwise approved by the Director, OSP.
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SUBCONTRACT PROCEDURAL MANUAL

A. CONSULTANT/SUBCONTRACT APPROVAL REQUEST (CSAR) REVIEW PROCEDURES

1. When processing a new prime award, the contract administrator sends the subrecipient a Subrecipient Commitment Form (OSP Form SUB2013001). This form collects contact, F&A rate, small business concern, human/animal subjects, conflict of interest, debarment and suspension, fiscal responsibility and audit status information. Upon receipt the contract administrator sends the subcontract administrator the completed form.

2. Upon receipt of the CSAR, Example 1, pgs 15-17, ensure all required documents are attached and match up the Subrecipient Commitment Form to the CSAR. A complete CSAR must have the following as a minimum:
   - Scope of Work
   - Resume of Consultant or Key Personnel (PI)
   - Copy of subrecipient’s or company’s cost proposal as submitted with UAH’s official proposal or a cost proposal must be requested in accordance with the funding level/authority of the CSAR.
   - Note: The daily rate for consultants cannot exceed $691.12/day, without prior agency approval. See http://grants.nih.gov/grants/policy/salcap_summary.htm or the UAH OSP Website, or applicable daily rate.

3. Check the Excluded Parties List System (EPLS) at www.epls.gov/epls/search.do?page=2&status=current to ensure Consultant/Subcontractor is not debarred. Prepare the Consultant/Subcontract Pre-Award Comments approval form, Example 2, pg 18 adding any additional information not included on the CSAR. Forward complete CSAR with all supporting documents and the Consultant/Subcontract Pre-Award form to the appropriate Contract Administrator for approval/additional instructions if applicable.

4. Once you receive the Consultant/Subcontract Pre-Award form and CSAR back from the Contract Administrator,
   - Assign the CSAR a subcontract number
   - Assign the CSAR to either the contract assistant or Subcontract Administrator.

5. Update database prior to assigning the CSAR to the appropriate administrator.

6. Upon receipt of a fully executed CSAR, forward the CSAR with all attachments to Legal (John Cates) for review/approval (if necessary). Note: The Subcontract Administrator will annotate on the CSAR whether legal review/approval and/or Security and Immigration approval are required by leaving blank for signature or placing a “N/A” in the appropriate signature blocks.
7. Once legal (if necessary) signs off on the CSAR, forward to the Director, OSP for approval/signature. Note: IF Foreign National, CSAR goes to Security and Immigration before submitting to Legal (if necessary). Print a copy of the checklist that applies to your subcontract:

- Consultant, Example 3, page 19
- Follow the checklist and check off those documents/items that applies to your subcontract. Make sure you complete the checklist as you receive all required completed documents, by checking the appropriate received column.

8. Prepare your cost analysis. See Example 10, page 27 for consultant and Example 28, pages 47-48 for not-for-profit and subrecipient subcontracts. Some instances you may not be able to compare the actual services to a particular position within UAH, if this is the case, then please see the Subcontract Administrator for recommendations/suggestions.

9. Prepare your subcontract with all applicable supporting/required documents. If you are not sure about wording, PLEASE CHECK WITH THE SUBCONTRACT ADMINISTRATOR.

10. FOLLOW THE CHECKLIST WHEN PREPARING THE SUBCONTRACT, TO ENSURE ALL REQUIRED DOCUMENTS ARE INCLUDED/REQUESTED.

B. PREPARING THE SUBCONTRACT FOR CIRCULATION/SIGNATURES

- If consultant use the documents shown on pages 86-89.
- If company use the documents shown on pages 90-94. (Attachment 3 will depend on funding agency, see pages 97-107.)
- If Subrecipient/not-for-profit use documents shown on pages 95-107. (Attachment 2 will depend on funding agency, see pages 97-107.)

1. In a Blue folder (pressboard) assemble the subcontract as follow for review/approval:

- LEFT SIDE
  Fully executed CSAR with Contract Administrator Approval Form
  A signed and dated cost analysis
  Semi-completed Checklist as it applies to the subcontract.

- RIGHT SIDE
  One complete ready to mail copy of the subcontract, to include:
  Copy of Subcontract
  Agency terms and conditions, if federal pass thru, pages 97-107
  UAH Terms and Conditions, Example 11, page 28
  Certification and Representation, Example 12, page 29 or modified version for consultants
  NASA Form C-3043 (if NASA Prime), Example 14, page 31, or
  DD Form 882 (all others), Example 15, page 333
Invoice for consultant subcontracts only, Example 22, page 41  
Companies: DCAA Letter, Example 5, page 21  
Subrecipients and not-for-profit organizations: A-133 Letter, Example 6, page 22  
W-9 Form, Example 35  

Note: NASA Form C-3043 and DD Form 882 are only applicable to Subrecipient and companies.  

- FRONT OF FOLDER: Attach the Subcontract Approval Sheet (SAS), Example 9, page 26.  
- Submit the folder to the Subcontract Administrator for review/approval.  
- Once the Subcontract Administrator signs the SAS and return to the administrator, circulate the complete contract for all other signatures.  

2. After all signatures have been obtained, prepare subcontract for mailing. Do not make copies prior to this, since there maybe changes to the subcontract. Forward two copies of the entire subcontract to the subcontractor for signature or submit all forms via email.  

3. Upon receipt of the signed subcontract, forward to the Director, OSP for signature. Mail or email one fully executed copy of the subcontract to the subcontractor, update the database and prepare distribution and folders as noted in paragraph D.  

IF YOU HAVE ANY QUESTIONS, PLEASE CHECK WITH THE SUBCONTRACT ADMINISTRATOR BEFORE YOU PROCEED.  

C. IF A LETTER SUBCONTRACT  

Refer to Quick Reference Guide, Example 7, page 23-24, to determine if a letter subcontract or consultant subcontract will be issued.  

1. Department will prepare a draft letter subcontract, Example 8, page 25 and fax to OSP for review/approval.  

2. OSP will review the letter subcontract and make any necessary corrections/changes to the letter subcontract. The letter subcontract as a minimum must include the purpose of the contract, the period of performance, what the University will provide and what the consultant will be reimbursed for, as a not to exceed amount. A W-9 Form (Example 35) must also be submitted with the letter subcontract.  

3. If a letter subcontract and/or CSAR is submitted after the effective period of performance, a memorandum from the PI is required explaining why the established procedures where not followed, with a risk memo. The PI’s Department Chair, and/or Dean, Center Director must sign the memo. The Director must approve the justification before processing the letter subcontract or CSAR. If the Director recommends the CSAR not be processed then it must be disapproved by the VP for Research.
4. Prepare a SAS, Example 9, page 26 for the Contract Administrator, Subcontract Administrator, and Director, OSP review/approval.

5. The Subcontract Administrator (or individual responsible for processing letter subcontracts) will assign a subcontract number, enter the information in the subcontract database and return the letter to the department for processing.

6. The PI, Consultant, and Director, OSP must sign the letter subcontract prior to making any payments.

7. Payment will be made via an issue check requisition.
   - **Issue check requisition:** copy of fully executed letter subcontract, invoice, and required receipts must be submitted to OSP for approval. Department will mail all original documents to include the original fully executed letter subcontract, invoice and required receipts, attached to the requisition to Purchasing. OSP will verify reimbursements, and approve the requisition. A copy of the approved requisition along with original receipts will be delivered by an OSP student to purchasing for processing.

   - The only **subcodes** applicable to letter subcontracts are as follows:
     
     7103 – Honorarium
     7118 – Stipend (workshop Participants)
     7245- Travel (non-university employee)
     7246 – Travel (workshop participants)

   **Note:** If foreign travel is applicable, ensure statement “Airline must be an American Flag Carrier” is included in the subcontract; see Example 16, page 35.

8. The following information is required on all request for payments:
   - Applicable/approved organization number (“5” account number)
   - Correct account code
   - Name, address and SSN of recipient
   - Subcontract number
   - Period of performance
   - Classification of subcontractor (IN= individual) this is the only classification that can be used on a letter subcontract.
   - Statement: **First and Final Payment**
   - Signature of Budget Head and Contract Administrator

9. Letter subcontracts are issued for a specific one time only period. In rare instances, will a letter subcontract be amended; however, of a request to amend the letter subcontract is received, the Subcontract Administrator and Director, OSP must approve the request before an amendment is issued.
10. Payment to Foreign Visitors:

- Payment of Honorariums to foreign visitors is not allowed, if they have a B-1 Visa. However, the foreign visitor may accept reimbursement for travel and living expenses. Receipts must document these expenses. Acceptance of any income other than reimbursement is a violation of the foreign visitor’s VISA and may result in the foreign visitor not being allowed back into the United States.

- The H-1 Visa involves an offer of employment and the J-1 Visa is limited by time. Therefore, Security and Immigration must review all contractual documents to foreign visitors prior to OSP issuing them.

11. Once the documents are processed for payments and submitted to the appropriate departments, i.e. purchasing or C&G Accounting, start the closeout procedures. File the completed letter subcontract, with supporting payment documents in an orange folder behind the prime contract. Prepare the label as follows:

- SUBCONTRACT
- 5-xxxxx
- PI Name Agency

D. DATABASE AND SUBCONTRACT DISTRIBUTION

1. Database, see Example 17, page 36:

- Change item 1, status to “A” for Active
- Verify item 2, classification to ensure applicable classification is displayed.
- Verify item 3 is appropriately marked
- Verify item 4, beginning and ending period of performance is correct
- Select PI from pull down menu, if not already done
- Edit item 6 contact information is complete to include, mailing address, SSN, VISA/Passport, TIN/EIN, as applicable. Note it is very important to add any additional information not included on the original CSAR, especially, SSN, TIN/EIN, passports/Visa numbers, fax and email address, if available.
- Select update. Verify all screens are complete and no information/data is missing.
2. Distribution:

- Select print distribution sheet

  Example 18, page 37 will appear. Type in the subcontract number, add any additional comments, such as when final reports/invoices are due, and include the Budget Analyst or Administrative Assistant in the distribution, select NEXT.

- Print the distribution sheet; make appropriate number of copies on PINK paper.

- Prepare request for encumbrance if over $5,000 or exceed a six-month period, Example 19, page 38.

  Mail or email subcontract to applicable individuals as listed on the Distribution sheet. Note: only mail a copy of the fully executed subcontract w/statement of work. Mail a copy of the W-9 form to Accounts Payable and a copy to Purchasing. All other signed documents, to include the Terms and Conditions are for internal files only.

3. Preparing File Folder: (Orange for Consultants only)

- Right Side: (Contract/Correspondence Side) Original CSAR with supporting documents, checklist, cost analysis, unsigned copy of original subcontract, SAS and any additional documents to include request for amendment(s). Complete copy of fully executed subcontract and amendments as they apply in order of completion.

- Left Side: (Financial Side) Copies of payment tracking sheet as printed from database, request for payment memo, copy of invoice(s), memorandum receiving report or issue check requisition. Note all documents will be filed in the order of preparation.

4. Contract Administration

- Monitor subcontract to ensure compliance with all requirements.

- Upon receipt of invoice, review the invoice to ensure it complies with subcontract requirements, i.e., reports accompanying invoices if applicable; and that funds are available to cover the amount of the invoices.

- If funds are not encumbered prepare issue check requisition memo as shown in Example 20, page 39 and forward memo with a copy of invoice and receipts to PI for approval.

- Upon receipt of requisition review to ensure all applicable information is on the document. If electronic requisition, forward copy of the approved electronic document with the original invoice to Purchasing for processing. Attach the original receipts to a copy of the issue check requisition and have a student deliver the documents to Purchasing. There is no need to send a copy of the requisition or receipts to Accounts Payable since this is done by Purchasing.
• Update database to reflect payment, as per example 21, page 40 and reports processed/received.

• File copy of reports, memo, approval requisition and invoice on the financial side of the folder.

• If funds **are encumbered** (You have a PO on file) prepare memo requesting a MR as shown in Example 23, page 42. Upon receipt of the MR, review to ensure all requested information is noted on the MR, approved the MR and forward original signed MR with original invoice and receipts (if applicable) to Accounts Payable. Update database and files as noted above.

5. **Additional notes**

   a. Payments to individuals for consultant services shall not exceed the daily equivalent of the maximum rate for Level II of the Federal Executive Schedule exclusive of expenses and indirect cost as noted in paragraph A.1. above. Please refer to the OSP website to verify current rate.

   b. Foreign nationals will require a VISA. All consultants’ subcontracts will be reviewed and approved by Security and Immigration before issuance. See Appendix B, VISA Types and Appendix C, Summary of VISA Options for additional information.

   c. Always review the prime contract’s terms and conditions regardless of the contract type and cost.

   d. **SUBCODES:**

      ▪ 7113 – Subcontract Costs – No F&A
      ▪ 7116 – C/S to individuals < $25,000
      ▪ 7117 – C/S to individuals > $25,000
      ▪ 7245 – Travel expenses non-UAH employees
      ▪ 7103 – Honorarium

   e. **Subcontract Types:**

      ▪ CN – Consultant
      ▪ VN – Vendor (Company)
      ▪ SR – Subrecipient (School/University/Not-for-Profit)
      ▪ NO – Default Setting

   f. Travel reimbursement for Consultants who reside within Madison County and traveling within Madison County will not be allowed. CSARs will be reviewed for the need to include a statement covering travel in excess of $100 within Madison County.

6. **Subcontract Close-out Procedures:**

   a. Prepare subcontract closeout form, see Example 24, page 43 not later than 60 days after subcontract has ended and final payment processed.
b. Prepare close out memo, attach original final report, if received, and forward to PI for acceptance/signature. If final report was not received or required, prepare memo as shown in Example 25, page 44.

c. Once the PI accepts the report, and/or if the consultant has met all contract requirements as per signed memo by PI, process the final invoice for payment.

d. Check Banner to ensure final payment has been issued.

e. Close out the subcontract in database, by selecting the pull down menu in Status “C”, see Example 26, page 45.

f. If funds remain, send a deobligation letter to consultant, see example 27, page 46 and make copy for file. Prepare a memo to PI to deobligate funds on subcontracts that have funds encumbered.

g. Close out folder will have a copy of all documents. File closed out subcontract behind prime contract.

E. SUBRECIPIENT/COMPANIES

1. CSAR Process

a. The Contract Administrator will provide a copy of the award document and proposed budget to the Subcontract Administrator. Send an email to the PI inquiring whether or not he/she intends to issue a subcontract as proposed/funded.

b. PI will prepare a CSAR as noted in paragraph A above. The CSAR should contain at a minimum the following:

- A statement of work (SOW) fully describing the work/effort to be performed. This is important should a dispute arise between the parties as to the adequacy of performance. The SOW should be able to resolve the issue.

- Resume of key/essential personnel(s).

- Any deliverable, to include reports and frequency of the required reports.

- Sole source justification if the subcontract was not proposed and exceeds the Small Purchase amount of $100,000.

- PI, Department Chair, Dean, and/or Center Director’s signature on CSAR as well as the PI’s signature on the Conflict of Interest Statement.

- Risk Memo if subcontract will be issued prior to award being received from the funding agency and accepted by UAH.
Follow all other steps as noted in paragraph A above.

2. Preparing the Subcontract

   a. Complete the cost analysis on salaries, fringes, fees, operating expenses, travel, indirect cost and any other applicable cost as proposed. Prepare cost analysis in accordance with Example 28, page 47.

   b. Request a copy of the subrecipient’s latest A-133 Audit Report, see Example 6, page 22. If company, have them complete the DCAA Letter as per Example 5, page 21.

   c. In some instances the PI may require an authorization to proceed letter be issued prior to an official subcontract being executed. See Example 29, page 49. The subcontract must state that it “Supersedes the authorization to proceed letter issue (add date).”

   d. An authorization to proceed letter is binding on the University. At a minimum it must state the following:

      - A value and spending level
      - A copy of the SOW
      - An effective period of performance
      - A copy of UAH’s terms and conditions

Prior to issuing an authorization to proceed letter, the following must be in place:

   - A fully executed prime award “5” account
   - If prime award is not in place a risk memo

An authorization to proceed letter can be issued when subcontractor needs to start work before the actual subcontract is issued/accepted; or when waiting on consent/approval from the funding agency; or when waiting on information to complete the cost analysis.

   e. Review the prime contract for any flow down clauses (see pages 97-107) and/or restrictions, etc., as they apply to the prime award. Note, the following prime agency guidelines will automatically flow-down:

      - NASA Grant and Cooperative Agreement Handbook
      - NSF Policy Manual
      - PHS Grant Terms and Conditions

   f. Consent, see Example 30, page 50 is required if one of the following applies:

      - Subcontract will exceed the small purchase limit amount of $100,000
      - Contract specifications requires approval/consent
      - Subcontractor will perform more than 50% of the research effort.
      - Foreign National used.
- Contract Administrator indicates requirement on pre-award sheet.

Prepare subcontract in accordance with procedures noted in paragraph B above and applicable checklist.

3. If subcontractor accepts the subcontract as submitted, obtain the Director, OSP signature and return a fully executed copy of the subcontract. Make sure all required documents are complete and signed as per transmittal letter.

4. If the subcontractor takes exception to any of the terms and conditions stated in the subcontract, provide a copy of the exceptions to Legal for review/determination, if unable to respond based on previous exceptions. Make the necessary changes if applicable and allowable and forward the amended document to the subcontractor for review/acceptance.

5. Set-up/Distribution of Subcontract
   a. Follow procedures noted in paragraph D above.
   b. Make distribution as follows:
   d. Prepare folders as follows:
      - Subcontract – gray folder, long yellow tab
      - Correspondence – blue folder, short blue tab
      - Report – yellow folder, short yellow tab
      - Financial – red folder, short red tab
      - A-133 Audit Report – purple folder, short purple tab
      - Financial Report – light green folder, long clear tab
e. Set up folders as follows (All items should be filed in chronological order with oldest date on bottom and most recent on top):

<table>
<thead>
<tr>
<th>Folder</th>
<th>Left Side</th>
<th>Right Side</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gray – Subcontract</td>
<td>Transmittal Letters out/in</td>
<td>Fully executed subcontract and applicable amendments</td>
</tr>
<tr>
<td>Blue – Correspondence</td>
<td>CSAR/memo, checklist, cost/price</td>
<td>SAS and an unsigned copy of subcontract and applicable amendments</td>
</tr>
<tr>
<td></td>
<td>analysis and other correspondence</td>
<td></td>
</tr>
<tr>
<td>Yellow – Report</td>
<td>Tracking sheet from dbase</td>
<td>Reports (Monthly, Annual/Final)</td>
</tr>
<tr>
<td>Red – Financial</td>
<td>Most current Payment Sheet from dbase</td>
<td>Financial memo, MR, requisitions, invoices, receipts</td>
</tr>
<tr>
<td>Purple – A-133 Reports</td>
<td>Correspondence</td>
<td>A133 Report Letter, Accounting Checklist, copy of report.</td>
</tr>
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6. Administration

   a. Monitor subcontracts to ensure compliance with deliverable and deliverable schedule.

   b. Notify subcontract of any pending reports/deliverables

   c. Follow-up on all outstanding reports

   d. Verify invoices for authorized expenditures, invoice period, reporting requirements and amounts.

   e. Upon receipt/verification of invoice, prepare memo, requesting a Memorandum Receiving Report (MR), forward memo with a copy of the invoice, to PI for processing.

   f. Check date of PO to ensure it is still active. Note: PO can only be extended for a period of three years after issue date. At this time a new PO will need to be issue.

   g. Process payments as noted in paragraph D.4, above.

7. If multi-year award:

   a. Complete cost analysis on next year funding, if not done at base award period.

   b. Request a cost proposal for next year funding, prior to issuing the amendment if not submitted with original base year proposal.

   c. Request new certifications and representations for each fiscal year the award is active.
d. Request a copy of the latest A-133 Audit Report for the applicable FY of which funding was issued.

8. Amendments:

a. PI must request all amendments to the subcontract in writing.

b. Added scope of work on subcontracts requires a new proposal from the subcontractor.

c. Subcontracts will not extend beyond the period of performance of the prime, unless the PI issues a risk memo.

d. Process all amendments as noted in paragraph D above.

9. Subrecipient Procedures for The Alabama Space Grant Consortium

a. Upon receipt of an award letter from the Director of the Alabama Space Grant Consortium, fax a copy of the entire award notification to the Subrecipient’s Office of Sponsored Programs. See Transmittal Memo (Example 34). The Subrecipient will then forward an authorized proposal to UAH’s Subcontract Administrator. In some instances the Subrecipient may scan and e-mail the document or simply let us know that a corresponding proposal has been approved by their Office of Sponsored Programs and let their PI's office send the proposal submission. They may e-mail the link number to Subcontract Administrator so that it can be added to the award document to reduce confusion.

b. Upon receipt of an authorized proposal, issue an amendment to the subcontract referencing the Subrecipient’s tracking number (if available). This will allow the Subrecipient to easily match the additional funds to the correct P.I and will help to ensure that both the Subrecipient’s and UAH’s sponsored program procedures are followed.

10. Subawards issued under ARRA “The American Recovery and Reinvestment Act of 2009” funds should include the following as attachments:

If subcontract is to a company, educational institution, or non-profit include:

a. The American Recovery and Reinvestment Act of 2009 (H.R. 1 and Public Law 111-5) terms and conditions. Can include a statement “This subaward is funded with ARRA funds and will be governed by the attached guidelines.

b. ARRA terms and conditions for the prime agency (NSF, DHHS, etc.)

c. ARRA Reporting Requirements (Attachment 4A).

d. “Pre-Award Subrecipient ARRA Data Required” form should be completed prior to fully executing the subaward.

If subcontract under ARRA is to a consultant/individual include:
a. The American Recovery and Reinvestment Act of 2009 (H.R. 1 and Public Law 111-5) terms and conditions. Can include a statement “This subaward is funded with ARRA funds and will be governed by the attached guidelines.

Include the following under reporting requirements, “No payments will be made until all forms are received”.

F. Close-out
   1. Upon receipt of final invoice, review subcontract to ensure final requirements have been met.
   2. Prepare subcontract closeout form in accordance with Consultant’s instructions.
   3. Request completed DD Form 882 or NASA Form C-3043 if not submitted with final report/invoice.
   4. Prepare closeout memo, see Example 24, and forward to PI.
   5. After PI’s acceptance/approval, prepare final invoice for payment; pending form noted in 3 above has been received or PI has stated that no new technology was discovered.
   6. Print out payment verification from Banner system.
   7. Complete subcontract closeout forms, sign and date the form, closeout subcontract in database.
   8. If funds remain, prepare De-obligation Letter, see Example 36, and mail to Subcontractor.
   9. Consolidate Gray, Blue, Red and Yellow folders into the Gray folder if possible, as follows:
      a. Left side: Financial data, reports and close out memo.
      b. Right side: Contract correspondence, contracts, amendments, and subcontract closeout form.
   10. File closed subcontract behind the prime.

G. Governing Regulations
   Agency regulations: NASA Grants and Cooperative Agreement Handbook, NSF Grants Manual, Federal Acquisition Regulation (FAR) and/or Terms and Conditions
   OMB Circular A-110, Grant Administration Rules
   OMB Circular A-21, Cost Principles for Educational Institutions
   OMB Circular A-133, Audit of Institutions of Higher Education and other Nonprofit Institutions
State Guidelines
University Policies set by the Board of Trustees
Procedures established by the Office of Sponsored Programs

II. Applicable Sub codes

7114 Subcontract to Commercial or Educational Institution up to $25k
7115 Subcontract to Commercial or Educational Institution over $25k

The following Subcodes will be used when F&A is waived or cost shared. Verify the use of these Subcodes with the Contract Administrator:

7113 Subcontract to Commercial or Educational Institution that incur no F&A charges

Note: Travel is not separated when issuing a subcontract to an agency or educational institution.

I. A-133 Audit Report Compliance

1. OMB Circular A-133: Audit of Institutions of Higher Education and other Nonprofit Institutions, requires all Educational and Nonprofit organizations to complete an A-133 Audit each fiscal year, if they have received Federal Funds in excess of $500,000.

2. Subrecipients are required to complete the Subrecipient A-133 Compliance Confirmation Under OMB Circular A-133 form and/or forward a copy of their most recent A-133 audit report. Subrecipients are defined as educational and nonprofit organizations that receive federal funds from another educational and/or nonprofit organization via a Subcontract.

3. A current Subrecipient A-133 Compliance Confirmation Under OMB Circular A-133 form, or copy of the most recent Federal Audit Clearinghouse Data Collection Form, SF-SAC, or A-133 Audit Report must be on file for all Subrecipients that have received federal funds in excess of $500,000; and have been issued a subcontract. Those Subrecipients not fitting this criterion will complete Paragraph 1 of the Subrecipient A-133 Compliance Confirmation Under OMB Circular A-133 form.

4. A Subrecipient A-133 Compliance Confirmation Under OMB Circular A-133 form or Audit Report must be on file for each fiscal year the Subrecipient received funding from UAH.

5. The Schedule of Findings and Questioned Costs Section I of the A-133 Audit Report A-133 Audit, will be reviewed (if provided). If there are any questionable findings (“YES”) noted in this section, the report will be forwarded to the Director, OSP or designee for review. If determined by the Director, OSP or designee that addition review is required, the Audit Report will be forwarded to C&G Accounting for review/recommendations, see Example 31. Otherwise, the report if “unqualified” and “low-risk auditee” with “no findings” checked, will be filed.
6. A copy of each applicable year A-133 Audit Report or Subrecipient A-133 Compliance Confirmation Under OMB Circular A-133 form will be filed in the A-133 Audit file folder and OSP database will be updated.

7. If additional information is required by C&G Accounting and upon notification from C&G Accounting, the subcontract administrator will prepare an A-133 Audit Letter, see Example 33, requesting the additional information from the subrecipient. Subrecipient will have ten (10) business days from date of letter, to provide additional information as per the Audit Letter.


9. Forward requested information to C&G Accounting upon receipt. See step 7.

10. Monitor all active accounts to ensure a current A-133 Audit Report or Letter is on file if UAH federal funds were issued during the fiscal year the subcontract was active one fiscal year before and one year after close-out if applicable.
OFFICE OF SPONSORED PROGRAMS (OSP)
Consultant/Subcontract Approval Request (CSAR)

Authorization is requested for the following: (*Note: Subcontracts to individuals will be issued to their home address and not place of business.)*

*Name: ____________________________ SSN/TID: ____________________________

** Agency Name: ____________________________

Address: ____________________________

Phone No.: ____________________________ Fax No.: ____________________________ Email: ____________________________

Prime Contract No.: ____________________________ Org Code.(s): __________ Acct code(s) __________

Period of Performance: _______________ (Must be consistent with Prime, unless risk memo is attached)

Foreign National? ___Yes/___No. If Yes, must provide copy of visa or permanent resident status.

Will individual complete Research in the United States (UAH) ___Yes/___No. If Yes, you must coordinate this through Regulatory Compliance, UC118, 824-6078

UAH GRA’s and GTA’s may not receive subcontracts as long as they are receiving GRA or GTA funding.

Attach Statement of Work or write in area provided on the reverse side of this form.

PAYMENT METHOD (Indicate method below.)

1. $_________ per__________ (hr/day/month) for ________ (hr/day/month) not to exceed $__________

2. Travel reimbursement only. Total travel reimbursement not to exceed $__________.

   Transportation:
   Air Fare (roundtrip coach): $__________
   Mileage (@ $0.51/mile): $__________
   Lodging (______ days): $__________
   Meals (NTE $40/avg. day for ____ days): $__________
   Miscellaneous Expenses (itemized): $__________

3. Other: ____________

Payment(s) will be made upon receipt of signed invoice(s) and completion/submission of subcontract requirements. **Note:** Final invoice will not be processed until P.I. accepts deliverables or services performed in writing, and submission of completed/signed DD Form 882 or NASA Form C-3043 by consultant/subcontractor, if applicable.

WRITTEN REPORTS/Deliverables

_____ Monthly _____ Annual _____ Semi-Annual _____ Final Due NLT: ________________

Other Deliverables (specify) ____________ due not later than ________________

* If issuing subcontract to an individual

** If issuing subcontract to a company/educational institution
STATEMENT OF WORK (if insufficient space, please attach SOW to CSAR):

CSAR PROCEDURES: For timely processing, it is requested that CSARs be received in OSP two weeks prior to the requested beginning period of performance. The CSAR should be complete including a detailed statement of work and the required department signatures. A copy of the consultant's/Kev Personel's vita/resume should be attached to the CSAR. Upon receipt, OSP submits the CSAR to the Office of Counsel and Security and Immigration as necessary. After approval is obtained, the subcontract document is submitted to the Principal Investigator for review and approval. After P.I. approval, the original subcontracts and appropriate certifications are transmitted to the consultant/subcontractor. When the subcontracts are returned, they will be fully executed by the Director, OSP. UAH is not obligated to pay a consultant/subcontractor who begins work without a fully executed subcontract or before the contract start date. A P.I. DOES NOT HAVE THE AUTHORITY TO AUTHORIZE WORK IN ADVANCE OF THE UAH SUBCONTRACT EXECUTION.

If you require an immediate start date, you may submit a justification along with a request for a letter of intent to authorize the consultant/subcontractor to begin work. If agency approval of the consultant/subcontractor is required, a risk memo with an alternative "2" or "3" account number must be submitted. If consultant/subcontract was not named in the proposal, PI must complete Certification form and attach to CSAR.

REQUIRED AUTHORIZATIONS
(* Requesting department is responsible for obtaining these signatures)

*Principal Investigator: Date

Office of Counsel: John Cates Date

*Department Chair: Date

Research Security/Immigration: Date

*Dean/Center Director: Date

Subcontract Administrator, OSP: Date

**VP for Research/Provost Date

Director, OSP: Date

** OSP will obtain the Provost or VP for Research Signature if applicable.
CERTIFICATION

Principal Investigator: ________________________ Subcontract No.: ________________________

Each Principal Investigator on all sponsored projects must complete this certification before the consultan/subcontracts can be processed by the Office of Sponsored Programs.

Full text versions of the University’s Scientific Misconduct Policy and Conflict of Interest Policy are available at: www.uah.edu/research/resadmin/information/compliance

Complete this certification for all consultant/subcontracts not proposed under this award.

CONFLICT OF INTEREST:

Please answer all questions below. If "yes" is the answer to any questions, attach to this document in a sealed envelope addressed to your Dean or Center Director, a description of the nature and extent of the affiliation. Any answer of "yes" on the questions posed will elicit review by the appropriate Dean/Center Director and, if indicated, be forwarded with Dean/Center Director’s comments/recommendations to the Professional Review Committee.

1. Will acceptance of this sponsored program interfere with meeting your obligations to students, faculty colleagues, or UAH?
   ___ yes ___ no

2. Do you or will you have any affiliation with the proposed external funding organization, a subcontractor, or vendor that would or could interfere with meeting your obligations to students, faculty colleagues, research colleagues, or UAH?
   ___ yes ___ no

3. Other than as described in the proposal, do you plan to involve students in any capacity in the proposed work for this external funding organization during the course of this sponsored project?
   ___ yes ___ no

4. Do you or any members of your immediate family participate as an officer, partner, director, trustee, employee, advisory/other board member, or agent in any capacity with the external funding organizations, a subcontractor or vendor or any organization providing goods and/or services for this proposed sponsored project?
   ___ yes ___ no

5. Do you or any member of your immediate family hold more than five percent (5%) actual or beneficial ownership of the voting stock or controlling interest of the external funding organization, a subcontractor or vendor or any organization providing goods and/or services for this proposed sponsored project?
   ___ yes ___ no

ANSWER QUESTIONS 6 AND 7 IF THIS IS A GOVERNMENT SPONSORED PROJECT

6. Have you or any member of your immediate family received significant income from a subcontractor, vendor or any organization providing goods and/or services for this proposed sponsored project?
   ___ yes ___ no

7. Do you or any member of your immediate family anticipate receiving significant income from a subcontractor or vendor or any organization providing goods and/or services from this proposed sponsored project?
   ___ yes ___ no

PI signature: ________________________________________________

Based on an answer of "yes" to any of the above questions and the PI’s explanation, the proposed consultant/subcontracts is:

Approved ___ Disapproved ___ Department Chairman ____________________________ (date)

Approved ___ Disapproved ___ Dean/Center Director ____________________________ (date)
CONSULTANT/SUBCONTRACT PRE-AWARD COMMENTS

PLEASE COMPLETE THIS FORM AS IT APPLIES TO THE PRIME CONTRACT/GRANT

DATE: September 5, 2012

TO: Mark Massey, Contract Administrator

FROM: Steve Parker, Contract Specialist II

ISSUE SUBK TO: College of Charleston (2012-072)

Acct. No. 805093 / 5-26883 Prime Contract No. NNM11AA01A

Subcontract Total Value: $10,000 Period of Performance: 11/20/11 – 5/31/12

Indirect Allowed: Yes: No Contract Grant: ___________

Yes or No Funds in the amount of $10,000 available in the 7000 Subcode?

Yes or No Was this Consultant/Subcontract proposed?

Yes or No Is notification/approval required?

Yes or No Is this a Federal pass-through? If yes, list agency

Yes or No Request Consent from Funding Agency to issue Consultant/Subcontract.

Yes or No Foreign National (Agency approval required)?

Yes or No Export Control?

Yes or No Is a DD Form 254 required for this Consultant/Subcontract?

Yes or No Risk Memo dated , attached.

Yes or No Does the subcontract value exceed 50% of the prime award value for this task?

_________ P.I.’s percent of effort on this organization number.

Administrator Approval: ___________________________ Date ___________________________

TO BE COMPLETED BY SUBCONTRACT ADMINISTRATOR

To: (Please prepare a Subcontract)

Subcontract No.: SUB2012-072 Subcode: 7114

_________ Foreign National (CSAR must be approved by Security & Immigration First)

_________ Issue Authorization to Proceed Letter

_________ Account set up with risk memo/running on risk memo

_________ Check Prime contract for applicable Flow Down

_________ X Non-Debarment checked in Excluded Parties List System (EPLS)

Other:

Reminder – CSAR must be signed by all concerned – prior to issuing subcontract unless otherwise noted.

CHANGES MAY NOT BE MADE WITHOUT THE APPROVAL OF THE SUBCONTRACT ADMINISTRATOR
# REQUIREMENTS/CERTIFICATION CHECKLIST - CONSULTANTS

<table>
<thead>
<tr>
<th>ALL</th>
<th>REQUIRED</th>
<th>RECEIVED</th>
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<tbody>
<tr>
<td>Statement of Work</td>
<td></td>
<td></td>
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<tr>
<td>Resume</td>
<td></td>
<td></td>
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<tr>
<td>Cost &amp; Price Analysis</td>
<td></td>
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<tr>
<td>Contracting Officer's Consent/Notification</td>
<td></td>
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</tr>
<tr>
<td>Debarment Certification (FAR 52.209-5)(NASA Grant Handbook, 1260.10( c) (2)) (OMB A-110)</td>
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</tr>
<tr>
<td>Verification of VISA Type/Restrictions (if Foreign National)</td>
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<tr>
<td>Request for Permission to Engage in Professional Activities for Additional Compensation (UAH employees only)</td>
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<tr>
<td>W-9 Form (Request for Taxpayer Identification Number and Certification)</td>
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Note: Bring to the attention of the Subcontract Administrator, any consultant exceeding a level of effort of 25 hours/week for more than a 6 month period, to discuss other options.

- Verification of VISA Type for Foreign Nationals is very important, refer to Immigration Handouts 2-3 and Appendix I. Security must sign the CSAR to authenticate the VISA Type and any applicable restrictions applying.

- UAH employees should complete a Request for Permission to Engage in Professional Activities for Additional Compensation form prior to subcontract award. This form should come over with the CSAR if possible. However, do not hold the subcontract pending receipt.

Revised 9/5/12 (WMD)
# REQUIREMENTS/CERTIFICATION CHECKLIST

<table>
<thead>
<tr>
<th>ALL ↓</th>
<th>REQUIRED</th>
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<tbody>
<tr>
<td><strong>Statement of Work</strong></td>
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<tr>
<td><strong>Resume (Key Personnel only)</strong></td>
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</tr>
<tr>
<td>Contracting Officer's Consent/Notification <em>(if applicable)</em>&lt;br&gt; If requesting consent, See NASA Subcontract Approval Checklist</td>
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<tr>
<td>DD Form 882 or NASA Form C-3043 (except travel only or where otherwise noted)</td>
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<tr>
<td>Drug Free Workplace Cert. <em>(1-2 person business except travel only &amp; UAH employees for on campus work) (FAR 52.223-6)</em></td>
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<tr>
<td>Equal Employment Opportunity (FAR.22.800)</td>
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<tr>
<td>Certification Regarding Debarment (FAR 52.209-5)</td>
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<tr>
<td>Utilization of Small Business Concerns (FAR 52.219-8, unless small business)</td>
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<tr>
<td>Flow Down Prime Contract Clauses</td>
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<tr>
<td>Audit Report (A-133 or equivalent) All Educational &amp; Non Profit Institutions</td>
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<tr>
<td>DCAA Certification (all others) (See DCAA Memo)</td>
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<tr>
<td>Responsible Conduct of Research Certification <em>(if Educational, Non-Profit or Consultant)</em></td>
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<tr>
<td>Pre-Award Subrecipient Data Required. FFATA <em>(Not individual)</em></td>
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</tbody>
</table>

>$10,000 ↓$  

| Previous Contracts and Compliance Reports (FAR 52.222-22) |          |          |
| Affirmative Action Compliance (FAR 52.222-25) |          |          |
| Certification of Nonsegregated Facilities *(FAR 52.222-21)* |          |          |
| Clean Air & Water Certification (FAR 52.223-1) *(OMB A-110)* |          |          |

>$100,000 ↓$  

| Certification and Disclosure Regarding Payment to Influence Certain<br> Federal Transactions (Lobbying) *(FAR 52.203-11)* |          |          |
| Justification for Other Than Full and Open Competition *(FAR 6.3, unless small business)* |          |          |
| Request for Audit Assist *(When subcontractor will not release proprietary costing<br>Data – send request to funding agency)* |          |          |

>$500,000 ↓$  

| Certificate of Cost & Pricing Data *(FAR 15.406-2)* |          |          |
| Contract Pricing Proposal Cvr Sheet *(SF1411)* |          |          |
| Financial Rpt. Form 533 *(NASA HQ only)* |          |          |
| Subcontracting Plan *(FAR 19.708, unless small business)* |          |          |

>$1,000,000 ↓$  

**Equal Opportunity Pre-Award Clearance**(FAR 22.810)<br>Revised 12/10 *(JSP)*
Memorandum

To: TJSHY, LLC
    2598 Quincy Road
    Solon, IA 52333

From: The University of Alabama in Huntsville

Date: September 5, 2012

Subject: DCAA Audit or equivalent

The following information is required from all subcontractors receiving federal funds.

The last DCAA Audit or equivalent was conducted on ____________________.

The following Agency conducted this audit:

Name: __________________________________________

Address

________________________________________________

________________________________________________

POC: James Shymansky

Telephone Number: _______________________________________

I the undersigned certify that the information provide above is accurate to the best of my knowledge.

BY: _____________________________________________

Name/Title: ___________________________________________

Agency: TJSHY, LLC

Date: ___________________________________________

_____ Not-for-Profit organization
SUBRECIPIENT: Alabama A&M University  
Office of Sponsored Programs  
P.O. Box 411  
Normal, AL 35762

DATE: September 5, 2012

SUBJECT: SUBRECIPIENT A-133 COMPLIANCE CONFIRMATION UNDER OMB CIRCULAR A-133

1. ( ) We are not subject to the audit requirements of A-133 because our organization:

( ) did not receive more than $500,000 in Federal Awards during the fiscal year ended in 2011
( ) is a For-Profit Organization
( ) is exempt for the following reason(s):


2. ( ) We have completed our A-133 Audit for our fiscal year which ended during 2011 (___________ to __________)  
The name, amount and CFDA number of the funds provided by The University of Alabama in Huntsville (UAH) are/is listed as follows: (if necessary, please attach a separate listing)


The schedule of findings and questioned costs disclosed no findings relative to the federal awards provided by UAH and that the summary schedule of prior audit findings did not report the status of any audit findings related to the federal awards provided by UAH.

3. ( ) Enclosed is a copy of our FY 2011 A-133 Audit Report, which is our latest report and includes the following:

   a. Financial statement and schedule of expenditures of Federal Awards  
   b. Summary schedule of prior audit findings  
   c. Auditor’s reports, and  
   d. Corrective action plan.

4. ( ) We have not completed our A-133 Audit for our fiscal year ended during 2011. Within thirty days of completion, we will send you either written notification or a copy of the audit report package. This report is expected to be completed on _______.


Signature/Date

Name/title

PLEASE RETURN YOUR RESPONSE TO: THE UNIVERSITY OF ALABAMA IN HUNTSVILLE, OFFICE OF SPONSORED PROGRAMS, ATTN: STEVE PARKER, HUNTSVILLE, AL 35899
The University of Alabama in Huntsville
Office of Sponsored Programs (OSP)

QUICK REFERENCE GUIDE: CONSULTANT/SUBCONTRACTS

LETTER SUBCONTRACT PROCEDURES
IF:
• To an individual
• One time only payment (can include both a payment for honorarium and travel)
  (1) Stipend/honorarium, NTE $2000 – payment must be for a fixed price, i.e. $500.00. Payment cannot
      be for hourly rates and/or not to exceed amount (NTE).

  (2) Travel, NTE $2000, will be reimbursed for actual expenses. The following statement must be
      included for all travel reimbursements "TRAVEL MUST BE ON A U.S. FLAG CARRIER
      AIRLINE". Any exception to this requires agency’s advance approval, in writing.
• Period of performance 90 days or less.

SEE LETTER CONTRACT PROCEDURES A

IF THE ABOVE DOES NOT APPLY TO YOUR SITUATION SEE B

A: LETTER CONTRACT
The OSP assigns all letter contracts. A subcontract number will be assigned upon review/approval of a faxed
copy of the Letter. The Draft letter contract should be faxed to OSP, 824-6677. If the letter is in compliance with the
above, a subcontract number will be issued.

The letter contract should state what the consultant will be reimbursed/paid and, what UAH will provide, such as
lodging and/or meals, the period of performance, and the event/task they will be reimbursed for.

The following signatures are required on all Letter Contracts: The PI’s, the Director, OSP (Gloria Greene) and the
Consultant w/Social Security Number.

Payment:
Payment must be made by one of two ways: Miscellaneous Voucher or Issue Check Requisition. Regardless of the
method of payment, the following documents must be attached:
  a. Original signed letter contract.
  b. Expense voucher/receipt/invoice, as applicable.

(1) If issues check requisition is used: a complete copy of the letter contract with all supporting documentation must
be faxed to OSP, before OSP’s approval. The Director, OSP will sign the faxed copy of the executed Letter contract
and forward it to Purchasing, attached to a copy of the approved requisition. Original documents must be forwarded
to Purchasing, with a copy of the electronic requisition attached.

(2) If miscellaneous voucher is used: all original documents must be submitted to OSP. The Director, OSP will sign
the Letter contract and all documents will be forwarded to Contracts & Grants Accounting.

Note: Any exceptions to the above must be approved by the Director, OSP.

B – CONSULTANT/SUBCONTRACTS

PI must complete a Consultant/Subcontract Approval Request Form (CSAR), see Example A. PI is responsible for
obtaining the following signatures: Chairperson, Dean, and Director as it applies to the PI.

If Subcontract is to an individual: the following is required: complete mailing address, (email address if available),
phone number, social security number and a resume. A subcontract cannot be issued to an individual’s place of
business.

If to an Agency: complete business address, telephone and tax number of the point of contact.
The PI must prepare a statement of work. Note if a fee is paid, all subcontracts will require a final written report, unless the SOW requires a deliverable, or the PI determines a written final report is not applicable.

The completed CSAR, with a SOW and resume for Key Personnel should be sent to OSP. OSP will prepare and issue the subcontract.

If period of performance is two months or more, funds will be encumbered. This will be done via electronic requisition. The Subcontract Assistant/Administrator will provide you with all the information required to complete the requisition.

If funds are encumbered, payments to subcontractors/consultants will be made by Memorandum Receiving Report (MR). This document will be requested by OSP upon receipt of an invoice from the subcontractor/consultant.

Funds not encumbered are paid via issue check requisition, upon receipt of invoice and notification by OSP.

Please contact Steve Parker, 2654, if you have any questions, or require our assistance with the subcontract procedures/policies that are not covered by this guide.
April 4, 2012

Dr. Ed Smith
2304 Line Drive
Scottsboro, AL 35768

RE: Letter Subcontract: 2012-XXX

Dear Mr. Smith:

The University of Alabama in Huntsville is very pleased to invite you to participate in our conference entitled: “Philosophy and Mysticism: Influences and Interactions,” on December 7-13, 20XX.

You will receive Stipend of $250 and reimbursement for travel expenses as follows: lodging, meals, rental car, miscellaneous expenses and cost of round trip coach airfare. We anticipate your total reimbursement not to exceed $1,500. A fully executed letter subcontract must be in place prior to the effective date of performance, therefore please sign this letter where indicated and return immediately. UAH will reimburse only reasonable and economical travel related expenses. Reimbursement shall be made after presentation of a signed copy of this letter (please include your social security or passport number), expense form (enclosed form), along with supporting original receipts.

By signing below you are accepting this subcontract and agreeing to all terms. If you have any questions, require further information, are unable to accept, please contact Dr. Richard Miller at (256) 824-2454. Please return this signed letter to the University of Alabama in Huntsville, Attn: Dr. Richard Miller, The University of Alabama in Huntsville, Morton Hall, Room 334A, Huntsville, AL 35899.

Sincerely,

Dr. Richard Miller
Director, AMSTI Master Site & HASP

Gloria Greene, MA, CRA
Director
Office of Sponsored Programs

XXX (Account to be charged)
### OFFICE OF SPONSORED PROGRAMS
### SUBCONTRACT APPROVAL SHEET (SAS)

**Date:** September 7, 2012

<table>
<thead>
<tr>
<th>Subcontract Number:</th>
<th>Subcontractor:</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012-XXX</td>
<td>JTSHY, LLC</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>Account/Contract Number:</th>
<th>Agency:</th>
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<tr>
<td>242506/T365ZXXXXX</td>
<td>F/DoED</td>
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<tr>
<th>Period of Performance:</th>
<th>Principal Investigator(s):</th>
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<tbody>
<tr>
<td>1/28/XX – 8/31/XX</td>
<td>Dr. Jason O'Brien</td>
</tr>
</tbody>
</table>

1. New Subcontract.
2. Cost Reimbursable
3. Total subcontract value not to exceed: $1,890 ($540/day for 3.5 days)
4. Final invoice due no later than 10/15/XX.
5. Final report, DD Form 882 and Program Eval Plan, 2012-2013 due no later than 9/7/XX.

### APPROVALS

I have reviewed the attached document and approve of all provisions.

<table>
<thead>
<tr>
<th>Principal Investigator: Dr. J. O'Brien</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contract Specialist: Mr. S. Parker</td>
<td>Date</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>Contract Administrator: Ms. McComb</th>
<th>Date</th>
</tr>
</thead>
</table>

**After signing, return to Woodonna Deerman in the Office of Sponsored Programs, VBRH E-30 or call 2661 for pick-up. Thank you.**

<table>
<thead>
<tr>
<th>Director, OSP: Ms. Greene, MA, CRA</th>
<th>Date</th>
</tr>
</thead>
</table>
COST AND PRICE ANALYSIS

Subcontract Number: SUB 2002-XXX
Prime Contract: NCC8-XXX
Consultant Name: Dr. Frederick B. Seeley
Period of Performance: 19 August 20XX – 30 September 20XX
Resume: On File
Consent: No consent requirements
Budget: N/A
Breakdown of Costs:
Fee: $44.29/hour for 256 hours
NTE $11,500
Travel: N/A
TOTAL NOT TO EXCEED: $11,500

The fee of $44.29/hour is deemed fair and reasonable when compared to the salary of a current UAH Physicist in the Department of Physic with an annual salary of $96,399.86 or $46.35/hour. Dr. Seeley's background and experience in the SBSL is unique and required for this research effort. Dr. Seeley has published papers on the SBSL process and therefore is considered an expert in this area of research.

Andrea Dixon, Contract Administrator

Date
THE UNIVERSITY OF ALABAMA IN HUNTSVILLE
GENERAL TERMS AND CONDITIONS
OFFICE OF SPONSORED PROGRAMS CONTRACT

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The following terms and conditions apply to all Office of Sponsored Programs Professional Services contracts entered into by the Board of Trustees of the University of Alabama, for and on behalf of The University of Alabama in Huntsville.

1. Standard of Performance. All services rendered by the Contractor and its employees, agents, or representatives in performance of this Contract shall conform to the highest standards of workmanship for the type of work involved. Each of the Contractor's employees performing services under this Contract shall be well qualified for the services he or she is performing. The Contractor warrants to the University that all work performed shall: (a) conform in all respects to all of the requirements of this Contract; (b) be free from all defects in materials and workmanship; and (c) be free from all defects in design and be fit for its intended purposes.

2. Inspection. The University, through its authorized representatives, shall have the right at all reasonable times to inspect or otherwise evaluate the work performed or being performed by the Contractor.

3. Changes. The University may at any time, through a written Change Notice to this Contract, make changes within the scope of work or period of performance of this Agreement. The Contractor and the University shall negotiate in good faith and equitable adjustment, if appropriate, in the terms of this Contract to cover any such change. No payment by the University for extras shall be made unless such are performed pursuant to the University's written Change Notice.

4. Principal Investigator. The skill and ability of the Contractor's Principal Investigator for work called for by this Contract is an important consideration for the University's assent to enter into this Contract. Accordingly, the Contractor may not change its Principal Investigator without first obtaining the prior written consent of the University, which consent will not be unreasonably withheld.

5. Assignment. The Contractor may not assign, subcontract, or delegate performance of any of its rights or obligations under this Contract in whole or in part without obtaining the prior written approval of the University. Any
CERTIFICATION REGARDING DRUG-FREE REQUIREMENTS (52.223-6) (JAN 1997)

A. The grantee certifies that it will provide a drug-free workplace by:
   1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violations of such prohibition:
      a. The dangers of drug abuse in the workplace;
      b. The grantee's policy of maintaining a drug-free workplace;
      c. Any available drug counseling, rehabilitation, and employee assistance programs;
      d. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

   2. Establishing a drug-free awareness program to inform employees about:
      a. The dangers of drug abuse in the workplace;
      b. The grantee's policy of maintaining a drug-free workplace;
      c. Any available drug counseling, rehabilitation, and employee assistance programs;
      d. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

   3. Making it a requirement that each employee be engaged in the performance of the grant be given a copy of the statement required by paragraph 1.

   4. Notifying the employee in the statement required by paragraph 1 that, as a condition of employment under the grant, the employee will:
      a. Abide by the terms of the statement, and
      b. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction.

   5. Notifying the agency within ten days after receiving notice under subparagraph 4(b), with respect to any employee who is so convicted.

   6. Taking one of the following actions, within 30 days of receiving notice under subparagraph 4(b), with respect to any employee who is so convicted:
      a. Taking appropriate personnel action against such an employee, up to and including termination, or
      b. Requiring such employee to participate satisfactorily in a drug abuse or rehabilitation program approved for such purposes by a Federal, State or local health, law enforcement, or other appropriate agency.

   7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1, 2, 3, 4, 5, and 6.

B. The grantee shall insert in the space provided below the site(s) for the performance of work done in connection with specific grant:

   Place(s) of Performance: Alabama A&M University

EQUAL OPPORTUNITY (FAR 52.222-26) (FEB 1999)

If, during any 12-month period (including the 12 months preceding the award of this contract), the Contractor has been or is awarded nonexempt Federal contracts and/or subcontracts that have an aggregate value in excess of $10,000, the contractor shall comply with this clause in its entirety. Upon request the Contractor shall provide information necessary to determine the applicability of this clause.

CERTIFICATION REGARDING DEBARMENT SUSPENSION, PROPOSED DEBARMENT, AND OTHER RESPONSIBILITY MATTERS (52.209-5) (MAR 1996)

1. The prospective primary participant certifies that, to the best of its knowledge and belief, it and its principals:
   a. Are ☐ are not ☐ not presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal agency;
   b. Have ☐ have not ☐ within a three-year period preceding this offer, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) contract or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, false pretenses or destruction of records, making false statements, tax evasion, or receiving stolen property; and
   c. Are ☐ are not ☐ presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in subdivision (a)(1)(I)(3) of this provision.
   d. The Offeror has ☐ has not ☐, within a three year period preceding this offer, had one or more contracts terminated for default by and Federal Agency.

2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

UTILIZATION OF SMALL, SMALL DISADVANTAGED AND WOMEN-OWNED SMALL BUSINESS CONCERNED (FAR 52.219-8) (OCT 1999)

   a. It is the policy of the United States that small business concerns, small business concerns owned and controlled by socially and economically disadvantaged individuals and small business concerns owned and controlled by women shall have the maximum practicable opportunity to participate in performing contracts let by any Federal agency, including contracts and subcontracts for subsystems, assemblies, components, and related services for major systems. It is further the policy of the United States that its prime contractors establish procedures to ensure the timely payment of amounts due pursuant to the terms of their
EXAMPLE 13

UNIVERSITY OF ALABAMA IN HUNTSVILLE

OCI ANALYSIS/DISCLOSURE FORM

(See Clause _____ of the Prime Contract for Additional Information and Instructions)

University of Alabama in Huntsville Offeror (Proposed Subcontractor):

1. Subcontract Number: ________________________________

2. Program Title: ________________________________

3. Company Name: ________________________________
   Address: ________________________________
   Point of Contact and Telephone: ________________________________
   Email Address: ________________________________

4. Type of Work to be performed under this solicitation:
   ________________________________

5. Contract Number: ________________________________
   Program Title: ________________________________
   Government Technical POC: ________________________________

6. Brief Summary/Description of work to be performed under Item 5 Action above:
   ________________________________

Submit one completed Attachment to this OCI Disclosure Form per contract to be analyzed.

This form and its attachments are complete and accurate to the best of my knowledge. I understand that any written guidance I receive from UAHuntsville concerning Organizational Conflicts of Interest with regards to UAHuntsville is dependent upon this information, and therefore may change if UAHuntsville receives further or different information.

_________________________________________  ________________________________
Name and Title of Company Official  Signature and Date
Example 14

NASA GRANTEE
NEW TECHNOLOGY SUMMARY REPORT

NASA requires each research grantee, research contractor, and research subcontractor to report new technology to the NASA Commercial Technology Office. For that purpose, the following reports and corresponding schedules are provided:

<table>
<thead>
<tr>
<th>Title of Report</th>
<th>Form Number</th>
<th>Timetable</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Technology Disclosure</td>
<td>NASA Form 1679</td>
<td>The grantee discloses each discovery of new technology individually, at the time of its discovery</td>
</tr>
<tr>
<td>NASA Grantee New Technology Summary Report (checkmarked &quot;Interim&quot;)</td>
<td>NASA C-3043</td>
<td>For multi-year grants, the grantee summarizes the previous year’s disclosures on an annual basis. The first Interim New Technology Summary Report is due exactly 12 months from the effective date of the grant. Future reports are due annually, thereafter.</td>
</tr>
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</table>

Grantee Name: The University of Alabama in Huntsville
Grantee Address: Office of Sponsored Programs, VBRH E-12
Telephone No.: 256-824-2654
NASA Grant No: NNX07AL52A Grant Completion Date: 5/31/10
NASA GM: University of Alabama

New technology should be reported whether or not it is or may be patentable.

Large business contractors and subcontractors must disclose all reportable items to NASA. Reportable items as used in NASA contracts (or subcontracts) with large businesses means any invention, discovery, improvement, or innovation, whether or not patentable, conceived or first actually reduced to practice in the performance of work under a NASA contract (or subcontract). Reportable items include, but are not limited to, new processes, machines, manufactures, and compositions of matter, and improvements to, or new applications of, existing processes, machines, manufactures, and compositions of matter. Reportable items also include new computer programs, and improvements to, or new applications of, existing computer programs, whether or not copyrightable.

Small business, nonprofit organization, and college and university contractors and subcontractors must disclose all subject inventions to NASA. Subject inventions as used in NASA contracts (or subcontracts) with other than large businesses means any invention or discovery which is or may be patentable and is conceived or first actually reduced to practice in the performance of work under a NASA contract (or subcontract). Subject inventions include any new process, machine, manufacture, or composition of matter, including software, and improvements to, or new applications of, existing processes, machines, manufactures, and compositions of matter, including software.

Subject to approval by contractors (or subcontractors) who retain or obtain title to subject inventions or reportable items, all such reported items are evaluated for publication in NASA Tech Briefs. If an item is published in NASA Tech Briefs, the innovator receives a monetary award from NASA.

General Information
NASA GRANTEE  
NEW TECHNOLOGY SUMMARY REPORT

1. Type of Report: ☐ Interim  X Final  Reporting Period: __________________________

2. Size of Business: ☐ Large  ☐ Small  ☐ College/ University  ☐ Nonprofit Organization

3. Have any reportable items or subject inventions resulted from work performed under this contract during this reporting period?  ☐ Yes  ☐ No

4. Are New Technology Items being disclosed (NF 1679 or equivalent) with this Summary Report?  ☐ Yes  ☐ No

- **New Technology Items**
  
  Please provide the title(s) of all new and previously disclosed new technology items conceived or first reduced to practice under this grant. Use a separate piece of paper if additional space is required.

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</tbody>
</table>

- **Grant Subcontractors**
  
  Please complete the following section listing all research subcontractors participating to date. Include each subcontractor's name, address, contact person, telephone number, and the subcontract award date. Use a separate piece of paper if additional space is required.

  __________________________________________________________

  __________________________________________________________

  __________________________________________________________

  __________________________________________________________

  Date of Award:__________________________________________

  __________________________________________________________

  __________________________________________________________

  __________________________________________________________

  Date of Award:__________________________________________

  __________________________________________________________

  __________________________________________________________

  __________________________________________________________

  Date of Award:__________________________________________

- **Certification**
  
  I certify that active and effective procedures ensuring prompt identification and timely disclosures of reportable new technology items have been followed. Furthermore, I certify that all new technology items required to be disclosed and conceived during the period identified on this form have been disclosed to NASA.

  __________________________  __________________________
  Name and Title of Authorized Official  Signature and Date
# Report of Inventions and Subcontracts

**Section I - Inventor Information**

- **Name of Inventor:** [Name]
- **Invention Description:** [Description]
- **Invention Date:** [Date]
- **Invention Number:** [Number]

**Section II - Foreign Inventions**

- **Title of Invention:** [Title]
- **Invention Country:** [Country]
- **Employer:** [Employer Name]
- **Invention Date:** [Date]
- **Invention Number:** [Number]

**Section III - Subcontracts**

- **Award/Assignment:** [Award/Assignment]
- **Subcontractor:** [Subcontractor]
- **Date:** [Date]
- **Address:** [Address]

**Section IV - Legal Information**

- **Legal Entity:** [Entity]
- **Legal Representative:** [Representative]
- **Address:** [Address]

**Section V - Other Information**

- **Contract Number:** [Number]
- **Contract Title:** [Title]
- **Contractor:** [Contractor Name]

---

For more details, please refer to the official documentation or legal text.
FLY AMERICA ACT WAIVER CHECKLIST
(To assist in determining qualification for a waiver of the restrictions of the Fly America Act under 41 CFR Part 301-10, check the applicable statement(s) below.)

____ Foreign air travel on a non-U.S. air carrier is financed by U.S. Government, or will be claimed as costs under an award. *(If you do not check this block, the restrictions of the Fly America Act do not apply. Check at least one of the statements below to qualify for a waiver of the restrictions of the Fly America Act.)*

____ Use of foreign air carrier is a matter of necessity because of: *(Must check one below)*
   ____ U.S. flag air carrier cannot provide the air transportation needed, e.g.:
      ____ Use of foreign air carrier is necessary for medical reasons.
      ____ Use of foreign air carrier is required to avoid unreasonable risk to traveler's safety. *(See 41 CFR 301-10.138(b)(2) for supporting evidence needed.)*
      ____ Seat on U.S. air carrier in authorized class of service is unavailable, seat on foreign air carrier in authorized class of service is available.
      ____ Other. *(Provide detailed explanation.)*
   ____ Use of U.S. flag air carrier will not accomplish the Department's mission. *(Provide detailed justification)*

____ Bilateral or multilateral air transportation agreement. U.S. is a party and Dept. of Transportation determines agreement meets requirements of Fly America Act.

____ No U.S. flag air carrier provides service on a particular leg of your route *(Travelers can only use foreign air carrier to or from the nearest interchange point to connect with a U.S. carrier.)*

____ A U.S. flag air carrier involuntarily reroutes traveler on a foreign air carrier.

____ Service on a foreign air carrier is three hours or less, and use of U.S. flag air carrier doubles en route travel time.

____ Air travel is between the U.S. and another country and use of a U.S. carrier on a nonstop flight extends travel time by 24 hours or more.

____ Any other air travel. *(You must check at least one of the following statements to qualify for a waiver of the Fly America Act restrictions in this section)*
   ____ Use of a U.S. carrier increases the number of aircraft changes outside the U.S. by two or more.
   ____ Use of a U.S. carrier extends travel time by six hours or more.
   ____ Use of a U.S. carrier requires a connecting time of four hours or more at an overseas interchange point.

Remember, you must use a U.S. flag air carrier on every portion of the route where it provides service unless you qualify for a waiver.
**SubContracts**  
**SUBCONTRACT DATABASE UPDATE**

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<td>Christa L. Ladingham</td>
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<tr>
<td>Assistant</td>
<td>Laurie C Salehi</td>
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<td>Dr. Carl G. Davis</td>
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<td>Company Name</td>
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<tr>
<td>Address</td>
<td>300 South Jefferson Street</td>
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<td>City</td>
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Prior to printing distribution sheet make sure the following fields are changed/complete:

1. Status – change to active “A”
2. Classification – change to Individual “IN”
3. Type – change to Consultant “CN”
4. Beginning and ending POP: make sure both are complete
5. Select Principal Investigator from Pull Down Menu
6. Make sure all the contract information is complete to include:  
   a. Complete mailing Address  
   b. SSN or passport/VISA number

- CN = Consultant  
- VN = Vendor  
- SR = Subrecipient  
- No = Default
1. Enter Subcontract Number, e.g. 2000-101 (do not add "A4, etc., if amending)

2. Type any additional information that is relevant to the subcontract, such as when reports and due to include the Patent/New Invention/Technology reports.

3. Include Budget Analysis and/or Administrative Assistant in the distribution, since they are usually the ones that prepare other documents such as encumbrance requisitions, change orders, etc.

4. Select NEXT – review sheet for accuracy and print.
MEMORANDUM

TO: Rachel Fields
SUBJECT: Requisition to Encumber Funds for SUB2012-201
DATE: September 11, 2012

In order to insure that the subcontract has sufficient funds for payments, it is necessary to encumber funds. When an M.R. is sent to Accounts Payable, it is important to reference the correct P.O.

Please submit electronically a requisition to encumber funds for this subcontract. Please e-mail Woodonna Deerman (deermaw@email.uah.edu) the requisition number, so it can approve it.

Subcontract: 2012-201 requires an encumbering P.O. for the amount of $11,500 as follows:

Address for requisition:

Merri Beth Bass
111 Whitfield Street
Athens, AL 35613

merribeth.bass@uah.edu
256-232-0284 Phone

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<th>Account Number</th>
<th>Subcode</th>
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<td>200559</td>
<td>7116</td>
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Please include the following:
1. Subcontract Number: **SUB2012-201**
2. SS No.: **416-92-4730**
3. Period of Performance covered by subcontract **8/1/12 – 5/30/13**
4. Vendor type: **Independent (IN)**
5. Original SubK on file in OSP
6. **Mail original PO to Woodonna Deerman, VBRH E-30**
MEMORANDUM

DATE: September 11, 2012

TO: Linda Berry

FROM: Woodonna Deerman
Office of Sponsored Programs
VBRH E-30

SUBJECT: Dr. Bright Dornblaser
SUB2012-067

Please submit electronically an ISSUE CHECK REQUISITION for payment of the attached subcontract.

Address: Dr. Bright Dornblaser
5406 McCandless Street
Austin, TX 78756

Account: 745482
Subcode: 7245
Amount: $540.80

Please include the following in your description:

1. Issue check for payment no. 1st and Final Payment
2. Subcontract Number SUB2012-067
3. SSH: 477-82-8477
4. Period of Performance covered by invoice 4/24/12 - 4/29/12
5. Vendor type:
   - Large Business (LB)
   - Small Business (SB)
   - Educational Institution (ED)
   - Small Disadvantaged Business (SDB)
   - Non-Profit (NP)
   - Individual (IN)
   - Other (OT)

6. Original SubK in OSP
7. Attention Woodonna Deerman

The above information can be found on the invoice and the pink subcontract distribution page or within the subcontract. If I can be of assistance, please call me at 824-2661, or email: deermaw@email.uah.edu. Thank you for your cooperation.
# SubContracts

**Sub Contract Number** 2012-008-A3  
**Sub Contractor** Alliant Techsystems Operations - ATK  
**Period of Performance** 10/1/2011 to 8/31/2012

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**Total Paid**  
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$258,481.00  
$258,481.00  

**Balance**  
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$0.00  
$0.00  
$0.00  

http://resadmin.uah.edu/trial/Subcontracts/SubCont5Form.asp  
9/11/2012
EXAMPLE 22
THE UNIVERSITY OF ALABAMA IN HUNTSVILLE
INVOICE AND EXPENSE VOUCHER
ATTACHMENT 3-4

SUB2005-045

INVOICE

I hereby invoice The University of Alabama in Huntsville according to the terms of the above referenced subcontract as follows (complete blanks for indicated line):

1. A fee to be invoiced according to the following schedule: $____ at ___________ intervals. This interval $_________.

2. A lump sum inclusive of all expenses to be paid $____ at ___________.

3. A fee based on effort expended and calculated at the rate of $185.00 per hour during the period of ___________ (dates) for ___________. The total value of this invoice for these dates is $_________.

EXPENSE VOUCHER

This is to certify that I incurred the following actual travel expense during the period of ___________ and authorized pursuant to the terms of The University of Alabama in Huntsville Subcontract noted above. Original receipts are required for all travel-related expenses to include, but not limited to: (1) registration fees, (2) air/rail/bus fare, (3) lodging, (4) equipment, and (5) meals. NOTE: The University will not pay for alcoholic beverages or personal telephone calls. If you claim a telephone call, you must indicate that it is related to the business of this contract. Meal costs must be actual expenses, not a daily average, and not exceed a weekly average.

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TOTAL DUE $____ $____ $____ $____ $____ $____ $____ $____ $____

Return Completed Form w/Receipts To:

The University of Alabama in Huntsville
Office of Sponsored Programs
Attn: Kenya S. Cole
Huntsville, AL 35899

Signed: ____________________________
Printed Name: _______________________
Date: _____________________________
Tax ID No.: 04-2564110

I the undersign hereby certify that the charges indicated above are accurate and actual.
INVOICE

I hereby invoice The University of Alabama in Huntsville according to the terms of the above referenced subcontract as follows (complete blanks for indicated line):

1. A fee to be invoiced according to the following schedule: **$0.00** at **Monthly** intervals. This interval $___________________________.

2. A lump sum inclusive of all expenses to be paid $___________________________.

3. A fee based on effort expended and calculated at the rate of **$0.00** per ____ inclusive of all expenses, during the period of ____ (dates) for ____. The total value of this invoice for these dates is **$0.00**

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Return Completed Form w/receipts To: The University of Alabama in Huntsville Office of Research Administration
Attn: **Kenya S. Cole**
Huntsville, AL 35899

Signed: ___________________________
Printed Name: ___________________________
Date: ___________________________
SSN No.: ___________________________

*I the undersign hereby certify that the charges Indicated above are accurate and actual.*

Revised 6/04

41A
(USE ONLY IF FUNDS HAVE BEEN ENCUMBERED)

MEMORANDUM

Please send a MR to me in Research Administration, VBRH E-12 for payment of the attached invoice on the subcontract referenced below.

TO: Peggy Pierce
    MSB 107

FROM: Gloria Greene,
    VBRH E15

SUBJECT: SUB1997-059
    Oakwood College

DATE: January 24, 2001

Account Number: 5-34982

Purchase Order: PO#32307

Payment Amount: $6,000.00

Please include the following in your description:

1) Subcontract Number SUB97-059
2) Payment Number: 3rd & Final
3) Period of Performance covered by invoice: 4/1/00 – 8/31/00
4) Original SubK in RA

The above information is found on the attached invoice and the pink subcontract distribution page or within the subcontract. If I can be of assistance, please call me at 824-2657. Thank you for your cooperation.
CHECKLIST FOR SUBCONTRACT CLOSE-OUTS

SUBCONTRACT NO.: Subk Period of Performance: 

SUBCONTRACTOR: 

PRIME CONTRACT NO: PRIME ACCT NO: 

- AGENCY CONSENT/NOTIFICATION 
- REQUIRED CERTIFICATIONS (or clauses incorporated in agreement) 
- DD FORM 254, SECURITY/IMMIGRATION 
- DD FORM 882, INVENTIONS & SUBCONTRACTS 
- FORM 1018 or 1662 EQUIPMENT INVENTORY 
- FORM C-3043 NASA NEW TECHNOLOGY SUMMARY REPORT 
- COPY OF AUDIT REPORT ON FILE (if NP or ED) 
- FINAL REPORT/DELIVERABLES & ACCEPTANCE: 
  This Subcontractor has performed within the terms of the subcontract.
  I hereby accept final report, deliverables, and the performance of the 
  subcontractor. Final payment may be made. Please send RA a copy of the report.
  P.I. Signature: 

- FINAL PAYMENT PROCESSED IN R.A. 
  All financial obligations on this subcontract have been met & paid.
  Accts. Payable: 

- ENTERED ON REPORT DBASE 
- CLOSED ON DBASE 

COMMENTS: 


CLOSED BY: 

ALL CLOSED SUBCONTRACTS WILL BE FILED BEHIND THE PRIME CONTRACT AFTER CLOSEOUT.
Revised 3/98

PLEASE RETURN TO IN RESEARCH ADMINISTRATION, VBRH, Suite E-12
MEMORANDUM

TO: Dr. Gary Maddux
    Principal Investigator

FROM: Gloria Greene
    Assistant Research Administrator
    Research Administration, VBRH, E15

SUBJECT: Subcontract Close-out
          SUB2000-322

DATE: January 24, 2001

If you have received the final technical report and/or all applicable deliverables for the above referenced subcontract and you find it/them acceptable, please indicate your approval by signing below. Please return the signed memo to my attention.

Please notify me if you do not plan on accepting the deliverable(s).

Accepted:

Dr. ___________________________ Date

44
MEMORANDUM

DATE: January 24, 2001

TO: Dr. Dimmock
    OB 400-F

FROM: Gloria Greene
       Assistant Research Administrator
       Research Administration, RI E-15

SUBJECT: Monthly/Final Progress Report
         SUB2000-322

Attached is your copy of the Monthly or Final Progress Report, for the above referenced subcontract. If you find it acceptable, please indicate your approval by signing below. Please return the signed memo to my attention. As payment is contingent upon your acceptance of the referenced report, please notify me if you do not plan on accepting it.

Thank you.

Accepted:

______________________________  ____________________
Dr.                                                 Date
# SubContracts

**Sub Contract Number**: 2000-158  
**Status**: C  
**Classification**: IN  
**Administrator**: Christa L. Landingham  
**Assistant**: Laurie C. Salehi  
**Beginning POP**: 4/14/2000  
**Type**: CN  
**CSAR Received in RA**: 5/1/2000  
**Date to Admin.**:  
**Date to Asst.**: 5/1/2000  
**Ending POP**: 5/6/2000  
**Comments**: 1. letter subk to Carol Crosslin  
2. Closed on 5/10/00, all contractual requirements met.  
**Principal Investigator**: Dr. Carl G. Davis  
**Classified**: C Yes ☑ No

## Contact Information

- **Company Name**: Limestone County Board of Education  
- **Contact Name**: Ms. Carol Crosslin  
- **Address**: 300 South Jefferson Street  
- **City**: Athens  
- **State**: AL  
- **Zip**: 35611  
- **Fed Tax ID**: 63-6000969

## Change Edit

Change/add to the following fields:

1. **Status** - change to Complete “C”
2. **Comment** - add date closed in database.
3. **Make sure all applicable fields are checked/completed as it applies to the subcontract.**
PREPARE ON RA LETTER HEAD

January 24, 2001

Science Applications International Corporation
6725 Odyssey Drive
Attn: Ms. Pamela White
Huntsville, AL 35806

SUBJECT: SUB2000-110, Deobligation of Funds

Dear Ms. White:

Funds in the amount of $458.71 are deobligated on the above referenced subcontract. Final payment has been made, and all contractual obligations have been met.

If you have any questions, please contact Laurie Salehi, Contracts Assistant at (256) 824-2649.

Sincerely,

Valerie Seaquist
Research Administrator

CF: File
COST & PRICE ANALYSIS  
University of Arizona, Tucson, AZ  
SUB2000-309  
Period of Performance: 7/1/00-2/01/01  
PRIME: NAG5-5273

LABOR
1. Dr. Krider’s hourly rate of $62.66 is acceptable when compared to a UAH Principal Research Scientist hourly rate of $63.76, maximum range.

2. Dr. Weidman’s hourly rate of $29.92 is acceptable when compared to a UAH Research Scientist hourly rate of $36.09 mid-range.

3. Student Assistant hourly rate of $8.50 is acceptable when compared to a UAH Research /Technical Assistant hourly rate of $6-$9 conditionally.

FRINGE: Fringe rates proposed by U of AZ are acceptable; these rates have been approved by DHHS and are effective until June 30, 2002.

TRAVEL: Travel will be reimbursed as actual cost. The proposed cost is acceptable to UAH for the purpose of this effort.

OPERATING AND EQUIPMENT COST: The cost proposed is acceptable to UAH. All expenses will be reimbursed as actual cost. U of AZ’s equipment threshold is $1,000, whereas UAH’s is $2,000 and NASA is $5,000. In accordance with UAH and NAS the only equipment to be procured under this subcontract will be a GPS Board for $2,300 and a Suitcase PC for $5,400.

FACILITIES AND ADMINISTRATIVE COST  
U of AZ’s F&A rate is 51.5% and has been approved by DHHS until June 30, 2002. F&A is not charged to equipment.

UAH has determined that the proposed cost of $40,000 is acceptable, pending U of AZ’s clarification of fringe rate proposed.

Gloria Greene  
Sr. Subcontract Administrator
PREPARING COST ANALYSIS

A cost breakdown should be attached to the statement of work; however, this is not the case with the majority of the Consultant CSARs. Therefore, a resume is required. If travel reimbursement is allowed, detailed explanation about travel is required, which will include as a minimum, method of travel, dates of travel, number of trips, cost of transportation, hotel, meals and any miscellaneous expenses allowed.

A. Prepare Fee Cost Analysis, See Example 6a:

1. If the Consultant has been used before, compare rate to old subcontract, annotating the subcontract number in the cost analysis, or

2. Compare to a UAH employee with similar job functions, based on Consultant's resume
   a. Do not assume the Consultant has included Fringe Benefits, overhead and/or profit in the hourly rate, when making the comparison with a UAH employee.
   b. Do not load the UAH employee's salary with Fringe Benefits and indirect.
   c. If the rate seems to high, go back to the Consultant and ask for further breakdown of hourly rate. If the hourly rate includes fringe, overhead and/or a profit, have the Consultant provide you the percentage of each addition. Back this amount out of the hourly rate for example:

Mr. Johnson’s resume indicates that he is a Research Associate. His hourly rate is $45.00/hr. After comparing his rate with a UAH’s Research Associate, maximum salary range, this rate appears to high. After contacting Mr. Johnson, you learn he has included in that rate 25% overhead. Once you remove the overhead from his hourly rate, you now have a more accurate hourly rate to compare, for example: $45.00 + 1.25 = $53.00.

d. The Consultant’s hourly rate can be converted to an Annual Salary by multiplying the hourly rate by 2080, for example: $35.00/hr x 2080 = $72,800, or

e. The UAH employee Annual salary can be converted to an hourly rate by dividing the Annual Salary by 2080, for example: $75,400 + 2080 = $36.25.

f. The hourly rate paid to individuals for consultant services shall not exceed the daily equivalent of the maximum rate for Level IV of the Federal Executive Schedule exclusive of expenses and indirect cost. The current maximum rate is $500.00/day or $62.50/hr. Estimated rate for FY03 is $524.04/day or $65.63/hr.

B. Prepare cost analysis for Travel Expenses

1. Travel will always be reimbursed at actual expenses, receipts for transportation (airfare), lodging, meals, parking, and/or gasoline (if using privately owned vehicle), and any other allowable expense as defined by the subcontract, must accompany all requests for travel reimbursements. Finally, in accordance with the attached if foreign travel.

2. Mileage will be reimbursed at the rate of $0.345/mile.

3. Lodging and meal expenses proposed will be compared to the Federal Joint Travel Regulation Per Diem Rates for the travel destination. The Consultant must justify rates that seem to be higher than the rates noted in the per diem chart.

4. Airline ticket cost can be obtained from any available travel agency or Internet site. The Consultant will only be reimbursed for Coach Fare.

5. Finally, if you are not sure, or if an unusual situation arises, consult the Subcontract Administrator.
October 24, 2001

The Board of Trustees of
The Leland Stanford Junior University
Office of Sponsored Programs
651 Serra Street, Room 260
Attn: Mr. Aaron M. Hoff
Stanford, CA 94305-4125

Subject: Authorization to Proceed under SUB2001-402

Dear Mr. Hoff:

The University of Alabama in Huntsville intends to award Stanford University a subcontract in the amount of $28,000 for the collaborative support/services of Dr. Vahe Petrosian, Physics Department under UAH’s Prime Grant issued by NASA/GSFC, in accordance with the attached Statement of Work. Pending receipt and acceptance of the subcontract, Stanford University is authorized to proceed with this effort effective August 1, 2001 at a level of liability not to exceed $28,000. The period of performance for this subcontract will be August 1, 2001 through April 30, 2002, unless otherwise terminated.

This Authorization to Proceed is based on mutually agreed upon Terms and Conditions, and a fully executed subcontract between Stanford University and UAH. If you accept the authorization to proceed, please sign below, and fax back to (256) 824-6677, attn: Gloria Greene.

If you have any questions please contact Gloria Greene, Assistant Research Administrator at (256) 824-2657 or Email: greeneg@email.uah.edu.

Sincerely,

Valerie Seaquist
Director, Research Administration

Enclosure

CF: Dr. Miller/Physics

Accept

____________________
Date

____________________
Contract Officer

TID#: ____________________
October 24, 2001

Mr. Ron Smith  
Code GP 24R  
NASA/Marshall Space Flight Center  

Ref: NAS8-38609, D.O. 181 “Development of Software to Model ASAF-I Image Quality”  

Dear Mr. Smith:

The University of Alabama in Huntsville is requesting consent to subcontract with Swales & Associates, Inc. under the above referenced delivery order. The information listed below is the required information according to the FAR 52.244-2.

1. The Statement of Work is provided as Attachment “A.”

2. A Time and Materials subcontract will be issued.

3. Swales & Associates, Inc., Beltsville, MD. A Justification for Other Than Full and Open Competition is provided as Attachment “B.”

4. The proposed subcontract price will not exceed $100,000 and a Cost & Price analysis is provided as Attachment “C.”

5. A Certificate of Current Cost or Pricing Data is not required below $500,000.

6. The proposed subcontractor’s certifications are provided as Attachment “D.”

7. The proposed subcontractor’s letter of support, budget, and resume are provided as Attachment “E.”

If you have any questions, please call me at (256) 824-2657 or email at greeneg@email.uah.edu.

Sincerely,

Gloria Greene  
Sr. Contract Administrator

Encl.
MEMORANDUM

DATE: October 24, 2001

TO: Trenette Brown, Contracts and Grants Accounting

FROM: Gloria Greene, Research Administration

SUBJECT: *A-133 Audit*

Enclosed for your review/approval is/are:

- X A copy of *Tuskegee University’s A-133 Report for the period ending 6/30/99*

- Subrecipient’s A-133 Audit Letter for __________ for the period ending ______

- Response from __________ on A-133 Audit Findings

Please provide comments/recommendation to my attention
Checklist for A-133 Audits

The University of Alabama in Huntsville
Checklist for Reviewing
Subrecipient A-133 Audit Reports

Subrecipient: Tuskegee University

A-133 Audit Period: 6-30-99

Subrecipient letter received: Yes (Complete Section A below)
No (Complete Section B below)

Section A – Subrecipient Letter Received

1. The letter states that an audit was conducted in accordance with the Circular A-133.

2. The letter states the period covered by the audit and the name, amount and CFDA number of the funds provided by the pass-through entity.

3. The letter states that the schedule of findings and questioned costs disclosed no findings relative to the federal awards provided.

4. The letter states that the summary schedule of prior audit findings did not report the status of any audit findings relating to the federal awards provided by the pass-through entity.

If the above items are answered yes then no further work required. If not, the A-133 Report should be requested from the subrecipient and Section B (below) should be completed.

Section B – A-133 Reporting Package Received

1. Independent Accountant Firm: Ernst & Young

2. Auditor’s Results:

Accountant

(1) The type of report issued on the general purpose financial statements: Unqualified

(2) Reportable conditions in internal controls disclosed by the audit of the financial statements: Yes
Accountant

(3) Material weaknesses in internal controls disclosed by the audit of the financial statements: yes

(4) Noncompliance that is material to the financial statements: no

(5) Reportable conditions in internal controls over major programs: yes

(6) Material weaknesses in internal controls over major programs: yes

(7) The type of report issued on compliance for major programs: Qualified

(8) Auditee qualified as a low-risk auditee under section .530 of OMB Circular A-133: no

(9) Identification of total amounts questioned:

(10) Status of prior audit findings:

3. Any findings relevant to UAH:

4. Is there a corrective action plan?

5. Do UAH's records need to be adjusted because of audit findings of subrecipient?

6. Audit report reviewed by Accounting:
   Name: ___________________ Date: ______________

7. Follow-up needed by Research Administration on financial findings:

Tuskegee University  
Vice President for Business and Fiscal Affairs  
ATTN: Ms. Leslie V. Porter  
Tuskegee, AL 36088  

Subject: FYE 6/30/98 – 6/31/00 A-133 Audit Reports  

Dear Ms. Porter:  

After review of Tuskegee University’s A-133 Audit Reports for the period noted above, The University of Alabama in Huntsville is requesting information on what if any corrective actions/procedures have been implemented to correct the following areas of concerns:  

**FYE 1998:**  

a. Tuskegee had findings for reportable conditions in internal controls over both financial reporting and major programs.  

b. Findings that Tuskegee does not adhere to the Davis Bacon Act.  

**FYE 1999:**  

a. Tuskegee had findings for reportable conditions and material weakness in internal controls, over both financial reporting and major programs.  

b. Findings that subrecipient monitoring requirement is not being performed.  

**FYE 2000:**  

a. Findings that an expense occurred outside the Period of Performance.  

b. Tuskegee had findings for reportable conditions and material weakness in internal controls, over both financial reporting and major programs.  

c. Finding on the level of effort requirement. University was unable to provide details of specific number of hours charged to federal grants.  

**FYE 1998 – 1999:** That no policy exist regarding the federal suspension and debarment requirement for subrecipient receiving payments greater than $100,000.00.
FYE 1998 – 2000:

a. Tuskegee had qualified opinions for major programs, consecutively, each of the last three fiscal years.

b. Numerous findings on equipment purchase, inventory tracking, etc. Has any equipment been purchased with UAH pass through funds for each of these fiscal years?

c. Tuskegee sought reimbursement for expenditures that were not made at the time of the request.

Please provide me with correct actions/procedures implemented by Tuskegee, to the following address: University of Alabama in Huntsville, Office of Research Administration, Huntsville, AL 35899, not later than August 10, 2001.

If you have any questions, please contact Ms. Trenette Brown, at (256) 824-2235.

Sincerely,

Gloria Greene
Assistant Research Administrator

cc T. Brown, C&G Accounting
SUBRECIPIENT COMMITMENT FORM

Subrecipient Legal Name: 
Subrecipient PI Name: 
Address: City: State: 
Address where research will be performed: City: State: 
Proposal Title: 
Performance Period Begin Date: End Date: 
UAH's PI Name: 
Prime Sponsor: 

SECTION A - Proposal Documents

The following documents are included in our proposal submission and covered by the certifications below (check as applicable):

☐ STATEMENT OF WORK (required)
☐ BUDGET AND BUDGET JUSTIFICATION (required) Total Amount Requested __________
☐ Small/Small Disadvantaged Business Subcontracting Plan, in agency-required format
☐ Biosketches of all Key Personnel, in agency-required format
☐ Other:

SECTION B - Certifications

1. Facilities and Administrative Rates included in this proposal have been calculated based on:
   ☐ Our federally-negotiated F&A rates for this type of work, or a reduced F&A rate that we hereby agree to accept.
   (If this box is checked, please attach a copy of your F&A rate agreement or provide a URL link to the agreement.)
   ☐ Other rates (please specify the basis on which the rate has been calculated in Section D Comments below)

2. Fringe Benefit Rates included in this proposal have been calculated based on:
   ☐ Rates consistent with or lower than our federally-negotiated rates
   (If this box is checked, please attach a copy of your FB rate agreement or provide a URL link to the agreement)
   ☐ Other rates (please specify the basis on which the rate has been calculated in Section D Comments below)

3. Small Business Concern ☐ Yes ☐ No
   Subrecipient represents that it is a small business concern as defined in 13 CFR 124.1002.
   If "Yes": Subrecipient represents that it is a:
   ☐ Small disadvantaged business as certified by the Small Business Administration
   ☐ Women-owned small business concern
   ☐ Veteran-owned small business concern
   ☐ Service-disabled veteran-owned small business concern
   ☐ HUBZone small business concern

4. Cost Sharing ☐ Yes ☐ No Amount: __________
   Cost sharing amounts and justification should be included in the subrecipient's budget

5. Human Subjects ☐ Yes ☐ No Approval Date: __________
   If "Yes": Copies of the IRB approval and approved "Informed Consent" form must be provided before any subaward will be issued.
   Please forward these documents to UAH's PI and UAH's Office of Sponsored Programs as soon as they become available.
   In accordance with UAH policy, UAH's IRB must conduct a secondary review of the subaward work and issue a companion approval before any subaward will be issued.
   If "Yes": Have all key personnel involved completed Human Subjects Training? ☐ Yes ☐ No

6. Animal Subjects ☐ Yes ☐ No Approval Date: __________
   If "Yes": A copy of the IACUC approval must be provided before any subaward will be issued.
   Please forward this document to UAH's PI and UAH's Office of Sponsored Programs as soon as it becomes available.
   In accordance with UAH policy, UAH's IACUC must conduct a secondary review of the subaward work and issue a companion approval before any subaward will be issued.
SUBRECIPIENT COMMITMENT FORM

7. Conflict of Interest

☐ Subrecipient Organization/Institution certifies that it has an active and enforced conflict of interest policy that is consistent with the provision of 42 CFR Part 50, Subpart F "Responsibility of Applicants for Promoting Objectivity in Research." Subrecipient also certifies that, to the best of its knowledge, (1) all financial disclosures have been made related to the activities that may be funded by or through a resulting agreement and required by its conflict of interest policy; and (2) all identified conflicts of interest have or will have been satisfactorily managed, reduced or eliminated in accordance with subrecipient's conflict of interest policy prior to the expenditure of any funds under any resultant agreement.

☐ Subrecipient does not have an active and/or enforced conflict of interest policy and agrees to abide by UAH's Policy on Financial Disclosures in Sponsored Projects, located online at http://www.uah.edu/osp/conflict-of-interest. Pursuant to the Policy, for projects funded by PHS agencies Subrecipient "Investigators" must complete the required disclosures at the time of proposal submission and complete training prior to the expenditures of any funds under any resultant agreement.

8. Debarment and Suspension

Is the PI or any other employee or student participating in this project debarred, suspended or otherwise excluded from or ineligible for participation in federal assistance programs or activities? ☐ Yes ☐ No

(If "Yes", explain in Section D Comments below)

The Subrecipient certifies they: (answer all questions below)

☐ are ☐ are not presently debarred, suspended, proposed for debarment, or declared ineligible for award of federal contracts

☐ are ☐ are not presently indicted for, or otherwise criminally or civilly charged by a government entity

☐ have ☐ have not within three (3) years preceding this offer, been convicted of or had a civil judgment rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) contract of subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property

☐ have ☐ have not within three (3) years preceding this offer, had one or more contracts terminated for default by any federal agency

9. Fiscal Responsibility (Check each box that applies):

The organization certifies that its financial system is in accordance with generally accepted account principles (GAAP) and:

☐ has the capability to identify, in its accounts, all Federal awards received and expended and the Federal programs under which they were received;

☐ maintains internal controls to assure that it is managing Federal awards in compliance with applicable laws, regulations and the provision of contracts or grants;

☐ complies with applicable laws and regulations;

☐ can prepare appropriate financial statements, including the schedule of expenditures of federal awards;

☐ there are no outstanding audit findings which would impact contract costs. If there are findings, submit a copy of the most recent report that describes the finding and steps to be taken to correct the finding.

SECTION C - Audit Status

10. Audit Status

☐ Subrecipient receives an annual audit in accordance with OMB Circular A-133.

Most recent fiscal year completed: FY

Were any audit findings reported? (If "Yes," explain in Section D, Comments, below.) ☐ Yes ☐ No

Please attach a complete copy of your most recent A-133 audit report or provide the URL link to a complete copy.

☐ Subrecipient DOES NOT receive an annual audit in accordance with OMB Circular A-133.

Subrecipient is a:

☐ Non-profit entity (under federal funding threshold)

☐ Foreign entity

☐ For profit entity

☐ Government entity

Please complete an A-133 COMPLIANCE CONFIRMATION UNDER OMB CIRCULAR A-133 (OSP Form SUB2013002). A limited scope audit may be required before a subaward will be issued.
APPROVED FOR SUBRECIPIENT
The information, certifications and representations above have been read, signed and made by an authorized official of the Subrecipient named herein. The appropriate programmatic and administrative personnel involved in this application are aware of agency policy in regard to subawards and are prepared to establish the necessary inter-institutional agreements consistent with those policies. Any work begun and/or expenses incurred prior to execution of a subaward agreement are at the Subrecipient's own risk.

Signature of Subrecipient's Authorized Official

Name and Title of Authorized Official

Email

Phone

Date

Legal Name of Subrecipient's Organization/Institution

Address

City, State, Zip

Federal Employer Identification Number (EIN)

DUNS or DUNS+4 number

Subrecipient's Congressional District

Is Subrecipient owned or controlled by a parent entity?  
☐ Yes  ☐ No

If "Yes", please provide the following:

Parent Entity Legal Name:

Parent Entity Address, City, State, Zip:

Parent Entity Congressional District:

Parent Entity DUNS:

Parent Entity CAGE Code:

Parent Entity EIN: